

MSPO CERTIFICATION SUMMARY REPORT

SPOC J38 LABIS

SURVEILLANCE 03

Onsite Audit Date: 11/01/2021 – 12/01/2021

Remote Audit Date: 13/01/2021 – 14/01/2021

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MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and 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	19
4.1.	<Type of Audit CA / Special / ASA>	19
4.2.	Stakeholders' Consultation	19
4.3.	Summary of Assessment	20
4.4.	Status of Non-Conformities Previously Identified	31
4.5.	Detail of Audit Findings in last Audit	31
4.6.	Detail of Audit Findings Identified During This Audit	31
5.	CONCLUSION	32
6.	RECOMMENDATION	33
	Distribution / Confidentiality / Rights of ownership / Limitations / Responsibilities / Audit Objectives	34
	Annex / Enclosures	34

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and 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
JAKOA	Jabatan Kemajuan Orang Asli

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



1. INTRODUCTION

MPOB has commissioned TÜV NORD (Malaysia) Sdn Bhd to conduct surveillance audit for SPOC J38 Labis 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 SPOC J38 Labis 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 SPOC J38 Labis 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: 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; v) Social Sciences and/or Anthropology;	Graduate in Office Management & Technology.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and 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)	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 standard 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.
Completed High Conversation Value assessment	Attended and completed the HCV-HCS for producers online course

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and 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	Chan Shi Lie	Graduate in Bachelor of Media Technology (Major in Broadcasting)	Yes
	Sheron Pui Wui Ling	Bachelor in Medical Science	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)	Chan Shi Lie	6 years working experience in oil palm plantations.	Yes
	Sheron Pui Wui Ling	4 years working experience in QA, QMS and internal audit, and 2.5 years working experience in MSPO audit experience.	Yes
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Chan Shi Lie	Successfully completed MS 2530:2013 series of standards for Lead Auditors	Yes
	Sheron Pui Wui Ling	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	Chan Shi Lie	Qualified and appointed as auditor for MSPO scheme.	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



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.	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	Yes
Field working experience in the palm oil sector or demonstrable equivalent	Chan Shi Lie	6 years working experience in oil palm plantations.	Yes
	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	Yes
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Chan Shi Lie	6 years working experience in oil palm plantations.	Yes
	Sheron Pui Wui Ling	Qualified and appointed as auditor for MSPO scheme.	Yes
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Chan Shi Lie	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Sheron Pui Wui Ling	Successfully completed ISO 9001:2015 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	Chan Shi Lie	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Sheron Pui Wui Ling	Successfully completed ISO 45001:2018 Lead Auditor course.	Yes
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Chan Shi Lie	Successfully completed SA 8000 Basic training	Yes
	Sheron Pui Wui Ling	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	Chan Shi Lie	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Sheron Pui Wui Ling	Successfully completed IMS ISO 14001:2015 Lead auditor course and auditor for MSPO scheme.	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J38 Labis

Client Number: 92-038

Audit Type: ASA 03

Mode of Audit: Remote and Onsite



Requirement	Name Assessor	Qualification	Compliance
Completed High Conversation Value assessment	Chan Shi Lie	Qualified and appointed as auditor and lead auditor for MSPO scheme.	Yes
	Sheron Pui Wui Ling	Attended and completed the HCV-HCS for producers online course	Yes
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Chan Shi Lie	Able to communicate in Bahasa Malaysia, Mandarin and English.	Yes
	Sheron Pui Wui Ling	Able to communicate in Bahasa Malaysia, Mandarin and English.	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and 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, contractors; review of documentation;
- Review of SPOC management system;
- Reporting
- Resolution of non-conformance (NC) (if any)
- Draft audit reporting
- Technical review
- Final audit reporting
- Final approval, certification decision and issuance of certificate.

Surveillance Audit:

Surveillance audit conducted both on site on 11/01/2021 – 12/01/2021 and remotely on 13/01/2021 – 14/01/2021 covering the following activities but not limited to below:

Onsite: 11/01/2021 – 12/01/2021

- 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;

Remote: 13/01/2021 – 14/01/2021

- Confirmation of the appropriate interactive communication tools as describe in IAF MD4
- Desk documentation assessment;
-

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



- Production records
- Review revised and updated documentation;
- Training records
- Assessment reporting

On-site & Remote 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 and virtual site inspections, observation of tasks and processes, interviews of smallholders, SPOC officers, review of documentation and data.

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

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

The communication tool applied for remote audit is Zoom Skype / WhatsApp and Telephone.

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

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 801 new members and 309 existing members. The total number of smallholders for this audit are 1,110.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size $S = 1.5\sqrt{1,110} = 49.97$ round up to the next integral of 50.

As per OPMC 2 issue 2, from the sample size, the number of the new members are $50 \times 75\% = 37.5$ and number of existing members are $50 \times 25\% = 12.5$. Total new members = 13 and existing members = 38, Total samples = 51.

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

Table 2-1: List of Sample Smallholders

Name	GPS Coordinates
Existing Smallholders	
Ong Leon Hean	2.296262°N, 103.087776°E
Omar Bin Sulaiman	2.482222°N, 103.090278°E
Ong Yong Heng	2.311121°N, 103.132264°E
Chew Kiat Seng	2.297851°N, 103.079108°E
Khoo Swee Liow	2.306944°N, 103.145111°E
H'ng Kiat Seng	2.476389°N, 102.970833°E

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Name	GPS Coordinates
Existing Smallholders	
Khoa Boon Hock	2.319561°N, 103.157791°E 2.278897°N, 103.075561°E
Seet Kim Moy	2.342774°N, 103.134114°E
Sam See Moi	2.470323°N, 102.979698°E
Tan Lai	2.329192°N, 103.140303°E
Chua Chong Khen	2.382778°N, 102.965556°E 2.382331°N, 102.964111°E
Gan Teong Liak	2.479444°N, 102.972778°E
Kok Kai May	2.480302°N, 102.951216°E

Name	GPS Coordinates
New Smallholders	
See Keh Waa	2.293122°N, 103.082995°E
Lee Kin Voon	2.302225°N, 103.088691°E
Lim You Kiang	2.410991°N, 103.032471°E
Goo Cheah Kheng	2.420561°N, 103.036231°E
Lee Thean Tin	2.297781°N, 103.140389°E
Lim Kwang Chien	2.431471°N, 103.045191°E
Ong Boon Seng	2.428519°N, 103.035421°E
Tan Guan Choon	2.331759°N, 103.143260°E
Ng Lee Chen	2.428531°N, 103.042211°E
Lim Cheng Chai	2.408211°N, 103.024841°E 2.407551°N, 103.023411°E 2.410371°N, 103.033481°E 2.412151°N, 103.034281°E 2.412671°N, 103.033591°E
Ng Chee Siong	2.424051°N, 103.048441°E
Soh Chew Eng	2.424371°N, 103.045841°E 2.423581°N, 103.047531°E
Tee Kim An	2.280485°N, 103.075731°E
Goh Kim Hock	2.431081°N, 103.047071°E
Lim Choon San	Not Available
Soh Eng Hwa	Not Available

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Name	GPS Coordinates
New Smallholders	
Yi Shing Piew	Not Available
Chen Quek Yew	2.426141°N, 103.038581°E 2.427281°N, 103.039231°E 2.426631°N, 103.038961°E
Yow Tran Sion	Not Available
Le Kin Chong	2.302225°N, 103.088690°E
Rokiah Binti Azal	2.477241°N, 103.053321°E 2.463581°N, 103.063461°E 2.480591°N, 103.099711°E 2.453281°N, 103.077841°E
Lee Kok Sang	2.324589°N, 103.142822°E
Nor Hamizah Binti Omar	2.477431°N, 103.094681°E
Arman Bin Dayo	2.391859°N, 103.245147°E
Amjah Bin Lumpik	2.370804°N, 103.246237°E
Bukit Desa Cemerlang Sdn Bhd	Not Available
Shahairul Hizam Bin Jita	2.388242°N, 103.252731°E
Muda Bin Mat	2.371755°N, 103.256924°E 2.381205°N, 103.250404°E 2.382973°N, 103.248426°E 2.384591°N, 103.250356°E
Maja binti Muda	2.371636°N, 103.258822°E 2.380488°N, 103.249426°E
Brick Dotcom (Johor) Sdn Bhd	2.364191°N, 103.036371°E
Apau Bin Luel	2.322213°N, 103.208401°E 2.309782°N, 103.223275°E
Luel Bin Ampin	2.320312°N, 103.221173°E
Nor Rahman Bin Yusof	2.351731°N, 103.027977°E
Katan Bin Limbak	2.329805°N, 103.159953°E
Rosita binti Jantan	2.321295°N, 103.214695°E 2.305198°N, 103.225161°E
Ningki Bin Jahari	2.322398°N, 103.213307°E 2.320831°N, 103.210511°E
Muhammad Azizuddin Bin Tokiran	2.480471°N, 103.011051°E

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



Name	GPS Coordinates
New Smallholders	
	2.462121°N, 103.007791°E
Aziman Bin Alias / Kaab Bin Alias	2.458273 °N, 103.066189°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 J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite

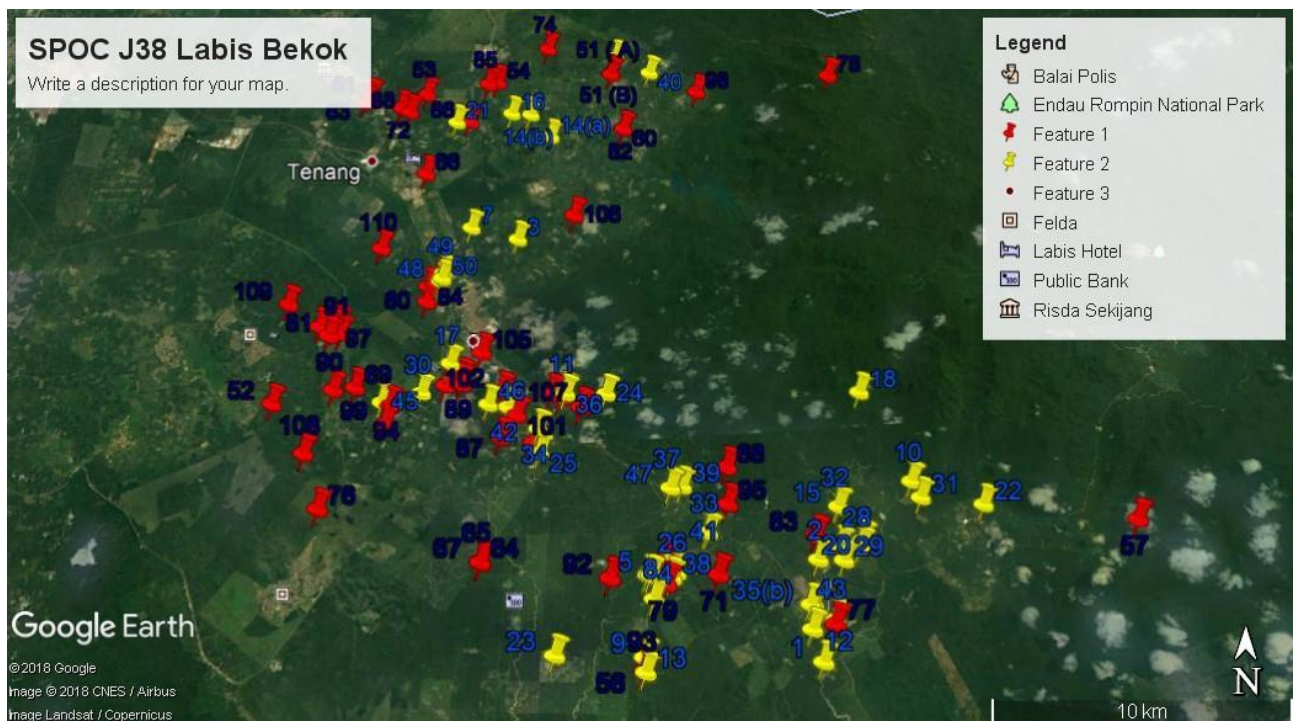


3. ORGANISATION INFORMATION

MPOB Cawangan SPOC J38 Labis, is a branch of MPOB located at No.34, Tingkat Atas, Jalan Genuang Perdana, Taman Genuang Perdana, 85000 Segamat, Johor, Coordinate 2.498722°N, 102.846944°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 Segamat district.

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

Figure 1



MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



Figure 2

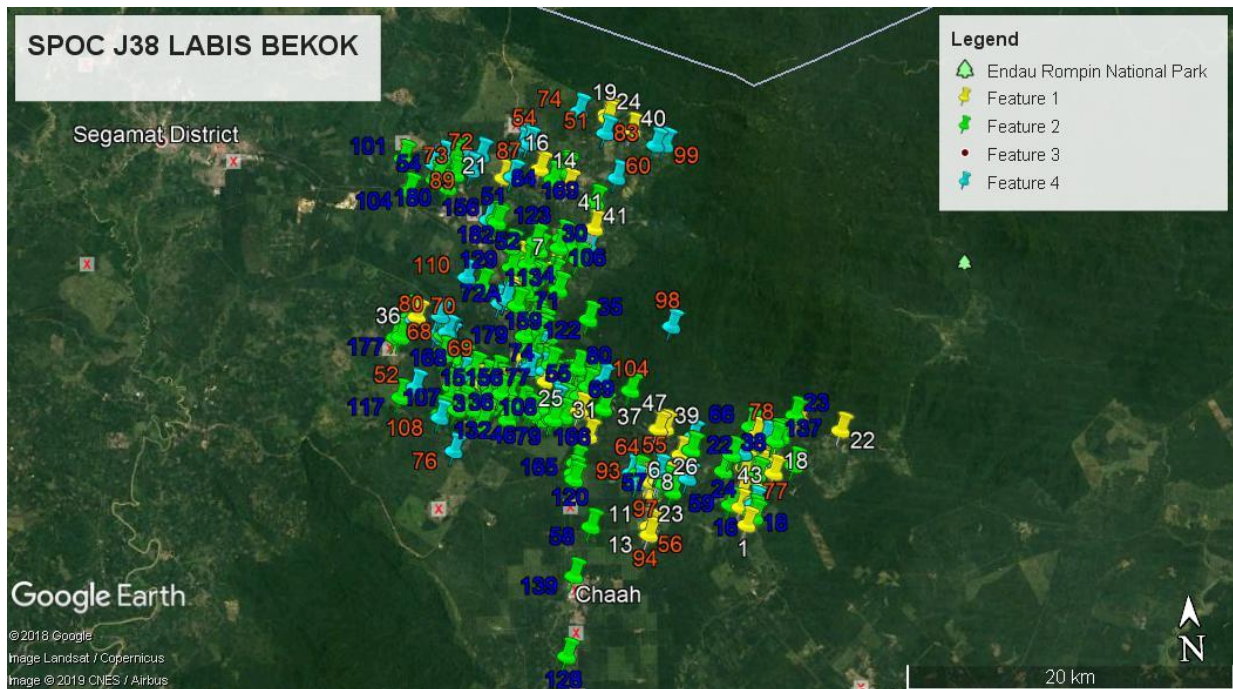


Figure 3

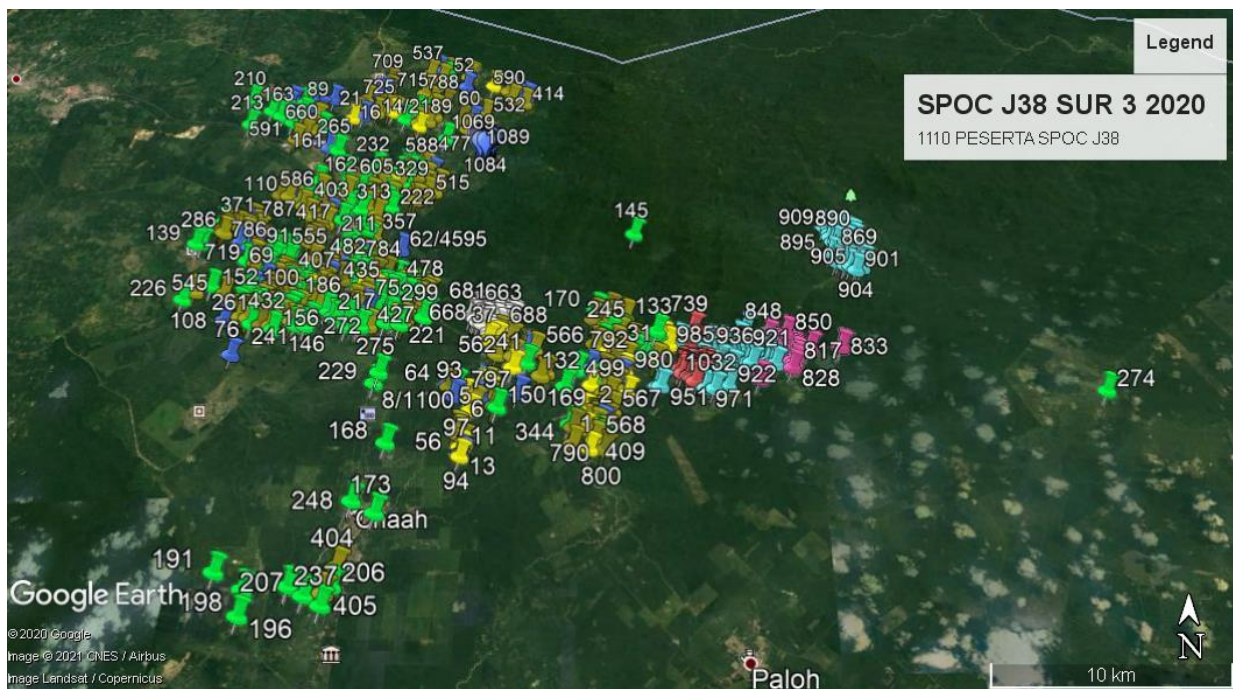


Figure 4

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC J38 Labis

Client Number: 92-038

Audit Type: ASA 03

Mode of Audit: Remote and Onsite



Figure 5



Figure 6

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



Figure 7



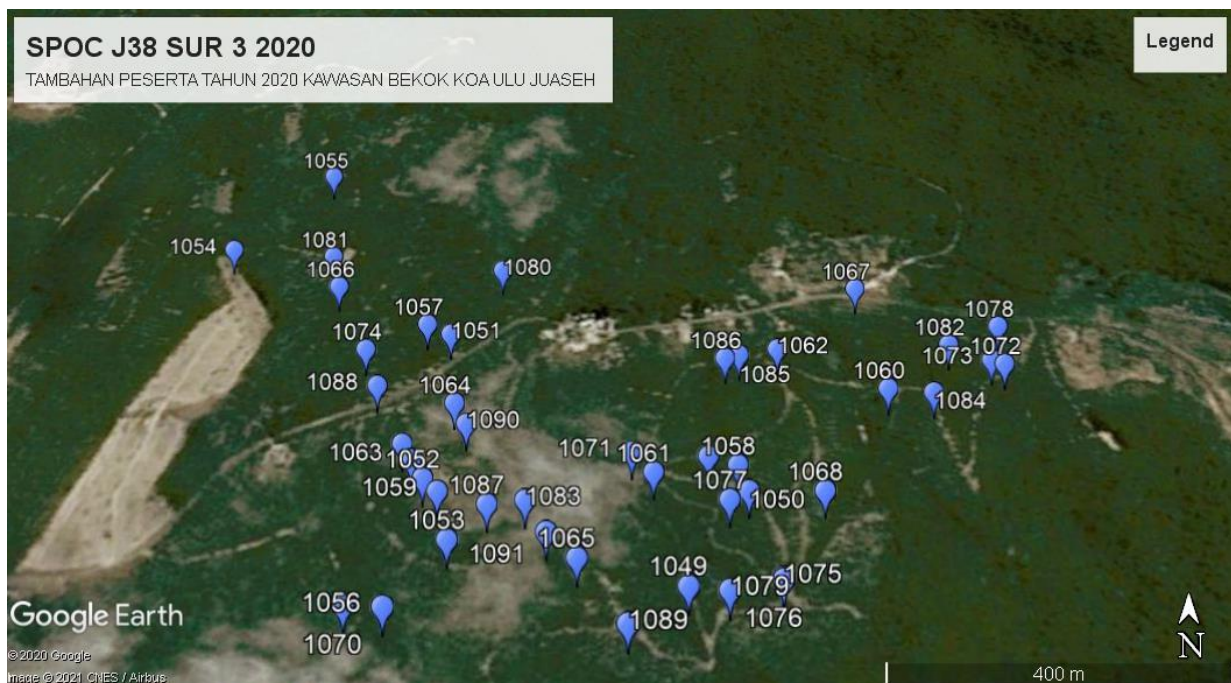
Figure 8

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



Figure 9



MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



4. CERTIFICATION ASSESSMENT

4.1. ASA 04

The objective of the audit is to assess the activities of MPOB Cawangan SPOC J38 Labis are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

4.1.1. Surveillance:

The surveillance audit is conducted both remotely on 13/01/2021 – 14/01/2021 and on site on 11/01/2021 – 12/01/2021.

The number of smallholders in this surveillance audit are 1,110.

The number of smallholders 309 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 801.

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

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

During the surveillance 02 audit, there are 4 OFIs raised.

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

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

4.2. Stakeholders' Consultation

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

The audit team leader has review the stakeholders' consultation feedback during the last surveillance audit and there are no concerns or complaints or disputes raised or any prior to this audit.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



Therefore, there is no stakeholders consultation conducted for this surveillance audit.

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><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis establish MSPO Policy document number MSPO/SSCC/POLISI-01, rev:01, dated 01/08/2019 signed by Group Manager and displayed at the noticeboard.</p> <p>The copy of MSPO policy disseminated in smallholders individual files and brief during MSPO briefing conducted on 09/08/2020 and advisory visit on 09/09/2020. Onsite interview smallholders inform they aware on the MSPO policy.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review of smallholders personal files verify MSPO application form are available, signed and acknowledged by SPOC group manager.</p>	Yes
4.1.2.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt Senarai impak sosial, persekitaran & pelan tindakan. Document no: MSPO/SPOC/L-04/ISP, issue no.: 3, rev: 3 dated 01/06/2020.</p> <p>Onsite Interview and visit at smallholders' fields indicates they practice the reuse of empty container.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review verify example of social impact and action plan:</p> <ol style="list-style-type: none">1. Activity: Harvesting2. Social Impact: Able to provide new exposure to farmer through a systematic and disciplined farm work system.3. Action Plan: Ongoing efforts. <p>Onsite interview and visit at smallholders' fields they practice the good agricultural practices as according to MPOB guideline.</p> <p>Document review verify example of environmental Impact and action plan:</p> <ol style="list-style-type: none">1. Activity: Chemical spraying2. Environmental impact: Disposal of empty chemical containers	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
	3. Action plan: Recycle and reused the empty chemical containers Onsite interview SPOC J38 Labis smallholders inform they recycle and reused the empty chemical containers for chemical spraying.	
4.1.2.2	<u>Onsite: 11/01/2021 – 12/01/2021</u> SPOC J38 Labis distribute Warta Sawit to smallholders through MSPO training and advisory visit. The Warta Sawit disseminated to smallholders during MSPO awareness briefing conducted on 09/08/2020 and advisory visit on 09/09/2020. Onsite visit confirmed smallholders received Warta Sawit.	Yes

Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<u>Onsite: 11/01/2021 – 12/01/2021</u> SPOC J38 Labis established Guidelines for Economic and Financial Power Plans "Garis Panduan Pelan Daya Ekonomi dan Kewangan, doc no MSPO/SSCC/GP-01/PEK, issue no.: 3, rev: 3 dated 01/06/2020. The guideline has a flow chart describing the step approach for delivery of FFB to ramp operator / collection center or mill with the type of documents. 1. Sales receipt 2. Weighbridge ticket 3. Enter to BRL 4. Keep Receipt 5. SPOC will collect records and prepare summary <u>Remote: 13/01/2021 – 14/01/2021</u> Document review on internal audit conducted on 01/09/2020 verify no finding raised on traceability.	Yes
4.2.1.2	<u>Onsite: 11/01/2021 – 12/01/2021</u> SPOC J38 Labis group manager maintain records of FFB production and sales of each smallholder. SPOC J38 Labis monitor FFB pricing on monthly basis obtain from dealer and ram operators. Smallholders keep copy of records of FFB sales obtain on monthly basis. Onsite interview smallholders inform FFB sales and delivery records is available and maintain in the BRL logbook. <u>Remote: 13/01/2021 – 14/01/2021</u> Document review sales records kept by SPOC group manager, verify consist of summary of deliveries and sales invoices from dealer or ramp operator to smallholders.	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt legal register document no: MSPO/SPOC/L-01/SKU, issue no.: 3, rev: 4 dated 01/06/2020.</p> <p>SPOC J38 establish list of applicable legal documents Document no. MSPO/SPOC/L-02/LLR, issue no.: 3, rev: 4 dated 01/06/2020.</p> <p>Example of laws:</p> <ol style="list-style-type: none">1. Akta Kualiti Alam Sekeliling 1974.2. Akta Taman Negara 1980.3. Akta Pekerjaan 1955.4. Minimum Wages Order 2018. <p>Onsite interview with smallholders inform they are aware on legal requirement applicable for them.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Example of smallholders with valid MPOB license:</p> <p>Sample 1, smallholder MPOB license number: 749018001008, valid from 24/01/2019 to 31/12/2023.</p> <p>Sample 2, smallholder MPOB license number: 758172001008, valid from 19/03/2019 to 29/03/2024. Document review verify on briefing record of legal requirement to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p> <p>Document review on databased shared by SPOC group manager verify smallholders license number crosscheck with MSPO application forms and copy of MPOB license in smallholders personal files.</p>	Yes
4.3.2.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis smallholders are either having customary right land, freehold title or lease title.</p> <p>Onsite interview with smallholders inform they are no land dispute lodged to SPOC group manager.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review on individual smallholders files verify smallholders as fully owned or one of the listed land owners.</p> <p>The land is to be used only for agricultural purposes.</p> <p>There are no dispute recorded within SPOC J38 Labis.</p> <p>Document review on letter from SPOC J38 group manager to MPOB HQ, dated 31/10/2019 follow up on 07/01/2021. Verify the letter stated on application on changing land use for existing and new SPOC J38 members.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.3.1	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>SPOC J38 Labis land titles are customary right land, freehold or lease hold titles.</p> <p>Remote: 13/01/2021 – 14/01/2021</p> <p>Document review for all members with customary right land verify, Orang Asli obtain the Surat Pengesahan Status Tanah approved by Jabatan Kemajuan Orang Asli (JAKOA) Daerah Segamat.</p> <p>Example:</p> <p>Letter of Pengesahan Status Tanah state the ownership of customary land for Orang Asli, reference no Bil.(22).JS.D1.021/JLD.7 dated 02/02/2020.</p>	Yes
4.3.3.2	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>Smallholders individual files review the land titles include a map, lot number, area size and boundary marking.</p>	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>SPOC J38 Labis adopt MPOB guidelines 'Aduan dan Rungutan', doc no. MSPO/SSCC/SOP/01/AR, issue no.: 3, rev: 2 dated 01/06/2020.</p> <p>Onsite interview with smallholders informed they understand the procedure for complaint and grievance.</p> <p>Remote: 13/01/2021 – 14/01/2021 Document review verify on briefing record of complaint and grievance to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p> <p>There are no complaints as at audit.</p> <p>Records book review there are no complaints since certification audit in January 2017.</p>	Yes
4.4.1.2	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>SPOC J38 Labis adopt MPOB guidelines 'Aduan dan Rungutan', doc no. MSPO/SSCC/SOP/01/AR, issue no.: 3, rev: 2 dated 01/06/2020.</p> <p>The flow chart in the SOP describes the normal complaint process is to be resolved within 14 days. If the complainant is not satisfied with the action taken the complaint will extend another 10 days for the response.</p> <p>The group manager is the responsible person to handle and manage any complaints.</p> <p>Onsite interview with SPOC J38 smallholders informed they are aware of complaint and grievance procedure.</p> <p>Remote: 13/01/2021 – 14/01/2021</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>Document review verify the flowchart describe the steps and timeline to manage and respond any complaint received.</p> <p>The total days to resolve is 14.</p> <p>Any complaint outside the scope of the group manager it will refer to other parties or MPOB HQ to handle the matter.</p>	
4.4.2.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt MPOB Guidelines “Garis Panduan Keselamatan dan Kesihatan Pekerjaan, document no. MSPO/SPOC/GP-02/KKP, issue no.: 3, rev: 0 dated 01/06/2020.</p> <p>Scope of the guideline describe:</p> <p>Responsibilities of the group manager and smallholders.</p> <p>Safety work practices for harvesting, chemical spraying and fertilizer application.</p> <p>Onsite interview smallholders inform they are aware and understand on safety measuring. They would use applicable PPE suitable for the operation such as example harvesting or chemical spraying.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u> Document review verify on briefing records of safety and health to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p>	Yes
4.4.3.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt Syarat Mengupah Pekerja (Employment Terms) document no: MSPO/SPOC/SMP-01, rev-01 for hiring of field workers by smallholders.</p> <p>The document describe the requirements for hiring of workers.</p> <p>SPOC J38 Labis adopt document Terma Perjanjian Pekerja (Employment Agreement) MSPO/SPOC/TPP-01 for hiring or workers.</p> <p>Onsite interview smallholders confirm they aware prior commence of work, casual worker and smallholders will have mutual verbal agreement on price rate.</p> <p>Majority of smallholders' fields operate on family based or subcontract to FFB dealers for harvesting, chemical spraying and fertilizing.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u> Document review on briefing record of hiring of workers to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p>	Yes
4.4.3.2	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt 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>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>In addition, SPOC J38 adopt "Syarat Mengupah Pekerja Di Kebun Sawit" document no. MSPO/SPOC/SMP-01 signed by GM and Zone Manager.</p> <p>Onsite visit and interview smallholders inform no discrimination occurs and aware about the policy on discrimination.</p> <p>Remote: 13/01/2021 – 14/01/2021 Document review on briefing record of no discrimination policy to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p>	
4.4.3.3	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>SPOC J38 Labis adopt form, 'Terma Penggajian Pekerja' document number MSPO/SPOC/TPP-01, dated 01/10/2020.</p> <p>The form has includes payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning.</p> <p>Onsite interview smallholders inform they are subcontract to FFB dealers for harvesting, chemical spraying and fertilizing. Agreement of payment rate based on mutual verbal agreement from both smallholder and FFB dealers.</p>	Yes
4.4.3.4	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>No living quarters observe during onsite visit for all sampled smallholders fields.</p>	Yes
4.4.3.5	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>SPOC J38 Labis establish "Syarat Mengupah Pekerja Di Kebun Sawit" document no. MSPO/SPOC/SMP-01 signed by group manager and Zone Manager with a statement "No hiring or allow children below age of 15 years to work in the farm.</p> <p>There is no hiring of children as worker from the interview with smallholders and no child labour found during the field visit. All harvesting, fertilizing and spraying activity are carried out either by own or among family members or subcontract to FFB dealers.</p> <p>Onsite interview smallholders inform no present of child workers on fields. Smallholders aware and understand on legal restriction on hiring under age workers.</p> <p>Remote: 13/01/2021 – 14/01/2021</p> <p>Document review verify on briefing records of no hiring of children to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p>	Yes
4.4.4.1	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>SPOC J38 Labis establish annual training programme for year 2020 dated on 30/01/2020.</p> <p>The annual training programme include with:</p> <ol style="list-style-type: none"> 1. MSPO awareness Year 2020 2. Advisory Visit Year 2020 	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 4: Social Responsibility, health, safety and employment conditions

Indicator	Summary of Assessment	Compliance
	<p>SPOC J38 Labis establish and disseminate copy of briefing module to smallholders for their keeping to understand on MSPO and its requirements.</p> <p>Remote: 13/01/2021 – 14/01/2021</p> <p>Document review verify on briefing records of MSPO awareness to smallholders conducted on 09/08/2020.</p> <p>Document review verify on advisory visit at smallholders fields conducted on 09/09/2020.</p>	

Principle 5: Environment, natural resources, biodiversity and ecosystem services

Indicator	Summary of Assessment	Compliance												
4.5.1.1	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>SPOC J38 Labis adopt MPOB Social and Environment Impacts and Action Plan, document number MSPO/SPOC/L-04/ISP, issue no.: 3, rev: 3 dated 01/06/2020.</p> <p>The document include a section for Environmental Impact and Action Plan.</p> <table border="1"> <thead> <tr> <th>Activity</th><th>Environmental Impact</th><th>Action Plan</th></tr> </thead> <tbody> <tr> <td>Spraying chemicals</td><td>Schedule waste disposal (empty chemical containers)</td><td>Triple rinsing, and store at chemical storage area.</td></tr> <tr> <td>New planting</td><td>Air pollution due to open burning of plant waste.</td><td>Observed zero open burning, good practice in managing</td></tr> <tr> <td>Poultry</td><td>Water contamination</td><td>Practice monitoring and good poultry practices.</td></tr> </tbody> </table> <p>Onsite interview smallholders inform they aware on environmental impacts on their activities. They practice selective spraying and maintain riparian area during chemicals spraying.</p> <p>Remote: 13/01/2021 – 14/01/2021</p> <p>Document review verify briefing record on environmental topics to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p>	Activity	Environmental Impact	Action Plan	Spraying chemicals	Schedule waste disposal (empty chemical containers)	Triple rinsing, and store at chemical storage area.	New planting	Air pollution due to open burning of plant waste.	Observed zero open burning, good practice in managing	Poultry	Water contamination	Practice monitoring and good poultry practices.	Yes
Activity	Environmental Impact	Action Plan												
Spraying chemicals	Schedule waste disposal (empty chemical containers)	Triple rinsing, and store at chemical storage area.												
New planting	Air pollution due to open burning of plant waste.	Observed zero open burning, good practice in managing												
Poultry	Water contamination	Practice monitoring and good poultry practices.												
4.5.2.1	<p>Onsite: 11/01/2021 – 14/01/2021</p> <p>Onsite visit and interview with all sampled SPOC J38 smallholders confirmed they do not use renewable energy at site.</p>	Yes												
4.5.3.1	<p>Onsite: 11/01/2021 – 12/01/2021</p> <p>SPOC J38 Labis adopt MPOB List of Scheduled and Domestic Wastes Doc. No. MSPO/SPOC/L-03/SRD, issue no.: 3, rev: 0 dated 01/06/2020.</p>	Yes												

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>Onsite visit and interview smallholders inform empty chemical containers recycle and reused after triple rinsing. Smallholders reused empty fertilizer bag for loose fruit collection and able to identify the existing waste generate from their activities.</p> <p>Onsite interview SPOC group manager, the list of wastes being brief during their advisory visit at smallholders fields on 09/09/2020.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review verify the list consists of solid, liquids and gaseous wastes.</p> <p>Waste generated from agricultural inputs: Fronds</p> <p>Waste generated is not from agricultural inputs: Empty chemical containers</p>	
4.5.3.2	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt MPOB SOP 'Pengurusan Bahan Buangan Terjadual', doc no: MSPO/SSCC/SOP-03/BT, issue no.: 3, rev: 3 dated 01/06/2020.</p> <p>The SOP objective 'Monitor and ensure the waste management process and disposal of waste for responsible individuals can be implemented in an orderly, efficient and safe manner'.</p> <p>Empty chemical containers are triple rinsed before being re-used which is in line with Section 8.2 from "Pengembangan Racun Perosak" 2018 by the Department of Agriculture Malaysia.</p> <p>Onsite interview and visit smallholders' fields confirm they will do their own spraying and manuring activities in their field. Some smallholders subcontract to FFB dealers.</p> <p>SPOC J38 Labis smallholders will properly store in their own stores and chemical cabinet provided by MPOB. This is verified during site visit.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review verify flowchart describe steps in managing and disposal of scheduled wastes.</p> <p>Document review verify briefing record on managing and disposal of empty chemical containers to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p>	Yes
4.5.4.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt MPOB guidelines 'Garis Panduan Zon Penanaman Sungai', MSPO/SPOC/GP-03/ZPS, issue 3, revision 0 dated 01/06/2020.</p> <p>Onsite interview smallholders inform that they are aware and understand and practice the restriction chemical application at buffer zone area.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u> Document review on briefing records of restriction chemical application at buffer zone area to smallholders</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>conducted on 09/08/2020 and advisory visit on 09/09/2020. Stated in the training materials:</p> <ol style="list-style-type: none"> 1. Proper frond stacking. 2. Pruning SOP. 3. Spraying and preservation of soft grass. 4. Conservation on riparian areas and non-permitted activities on such area. 	
4.5.4.2	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 smallholders practice rain harvest by using drums and culverts for chemical spraying activities.</p> <p>Onsite visit and interview smallholders' fields verify they implement the practices.</p>	Yes
4.5.5.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis establish list of wildlife in Segamat district.</p> <p>Document review verify the list has been issued by Segamat Wildlife District Department.</p> <p>Onsite interview smallholders inform there are wild boar, elephant and monkey existing surrounding the Segamat District.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review verify briefing record on list of wildlife in Segamat District to smallholders conducted on 09/08/2020 and advisory visit on 10/02/2020.</p>	Yes
4.5.6.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt MPOB Guidelines Garis Panduan Amalan Pembakaran Sifar doc. No. MSPO/SSCC/GP-04/APS, issue no.: 3, rev: 3 dated 01/06/2020.</p> <p>Onsite interview and visit smallholders' fields confirm they aware with no open burning practice.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review verify on briefing record of zero burning practices to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p>	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt MPOB Manual Pekebun Kecil updated on 01/06/2020.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
	<p>Onsite visit verify smallholders implement best practice with proper frond stacking, maintain harvesting cycle, implement rain water harvesting and maintain grass at riparian buffer.</p> <p>Onsite interview with SPOC group manager, the Good Agricultural Practices (GAP) brief to smallholders during their advisory visit at smallholders' fields.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review verify on briefing record of GAP for harvesting, manuring, chemical application and PPE usage to smallholders conducted on 09/08/2020 and advisory visit on 09/09/2020.</p>	
4.6.1.2	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis establish visual identification for each smallholders with information of name of smallholders, lot, area planted, year planted and GPS coordinate.</p> <p>Onsite visit at the smallholders' fields verify their field information available.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Photos review on smallholders' field verify visual identification contain name of smallholders, lot, area planted, year planted and GPS coordinate.</p>	Yes
4.6.2.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis establish Guideline, Garis Panduan Pelan Daya Ekonomi Dan Kewangan" no, MSPO/SSCC/GP-01/PEK, issue no.: 3, rev: 3 dated 01/06/2020.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review verify of budget proposal for training program covers with training cost.</p>	Yes
4.6.3.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis monitor FFB pricing on monthly basis through input from selected ramp and dealers for fair price.</p> <p>Onsite interview smallholders inform they obtain FFB price from collecting center weighbridge through phone call to dealer and FFB dealers.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review verify payment voucher from ramp or dealers kept in smallholders' files.</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
 Certifying Unit: SPOC J38 Labis
 Client Number: 92-038
 Audit Type: ASA 03
 Mode of Audit: Remote and Onsite



Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis smallholders' databased is review with first planting conducted on 1990 and the latest replanting in year 2020.</p> <p>Onsite visit verify a smallholder field with replanting in year 2020. The land first planting for the smallholder was at 1997.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review of land title issued by Segamat District Land Office date 05/06/1995, the land used is for oil palm. The land has declare as freehold land and verify by MPOB in MSPO Application form.</p>	Yes
4.7.2.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt MSPO Application form which includes assessment on soil type, land topography and suitability for planting oil palm.</p> <p>The soil conditions for the smallholder land with replanting in year 2020 has been verified by MPOB prior to approval for certification purposes.</p> <p>Onsite interview with smallholders and SPOC GM informed there are replanting in year 2020.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review of MSPO Application form for replanting area year 2020, information verify;</p> <p>1. The soil types is suitable for replanting</p> <p>Document review of Soil series map and GPS coordinate in MSPO Application form for replanting area year 2020, information verify;</p> <p>1. GPS field coordinate: 2.324598° N, 103.1428215° E</p>	Yes
4.7.3.1	<p><u>Onsite: 11/01/2021 – 12/01/2021</u></p> <p>SPOC J38 Labis adopt MSPO Application form that state planting not allowed for land with topography of 25° and above.</p> <p>The soil conditions for the smallholder land with replanting in year 2020 been verified by MPOB prior to approval for certification purposes and confirmed that the land's terrain is between 0° to 6°.</p> <p>Onsite interview with smallholders and site observation verify land's terrain is between 0° to 6°.</p> <p><u>Remote: 13/01/2021 – 14/01/2021</u></p> <p>Document review of MSPO Application form for replanting area year 2020, information verify;</p> <p>1. Replanting area is not 25° and above.</p> <p>2. Land topography for replanting area is 0° to 6° (flat and undulating).</p>	Yes

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and Onsite



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.
	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 raise 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

No findings on last surveillance audit

4.6. Detail of Audit Findings Identified During This Audit

Nr.	Indicator	Description	Location	Opportunity for Improvement
1	4.2.1.1	The group management shall commit itself to implement and maintain the requirements for traceability. (MAJOR)	SPOC J38 Office	SPOC J38 Labis may consider improve on information in weighbridge tickets.
2	4.6.1.2	A visual identification or reference system shall be established for each field or block of oil palm planting. (MAJOR)	SPOC J38 Field	SPOC J38 Labis may consider improve on the visual identification at smallholders fields.
3	4.7.2.1	Independent smallholders should obtain information on soil types, topography and their suitability for oil palm plantings from the relevant government agency. New planting plans should be prepared in consultation with extension service officers (MINOR)	SPOC J38 Office	SPOC J38 Labis may consider improve the MSPO Applications form to include soil type for verification purposes prior to approval.

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and 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 J38 Labis consisting of 1,110 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:	1,110	
Total certified acreage of smallholders:	3,705.43	Ha
Certified FFBs output January to December 2020:	65,399.90	Mt
Projected FFBs output January to December 2021:	71,960.38	Mt

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and 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 / Recertification
X	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 22/01/2021

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

Puchong, 22/01/2021

Nur Amanina Zahir
TUV NORD (Malaysia) Sdn Bhd
Certifier / Approver

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC J38 Labis
Client Number: 92-038
Audit Type: ASA 03
Mode of Audit: Remote and 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