

# MSPO CERTIFICATION SUMMARY REPORT

## MPOB – SPOC Q23 BELURU 1

### SURVEILLANCE 04

Remote Audit Date: 11/01/2021 – 14/01/2021

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# MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board  
Certifying Unit: SPOC Q23 Beluru 1  
Client Number: 92-007  
Audit Type: ASA 04  
Mode of Audit: Remote

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### ABBREVIATIONS

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

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## 1. INTRODUCTION

MPOB has commissioned TÜV NORD (Malaysia) Sdn Bhd to conduct annual surveillance 04 audit for SPOC Q23 Beluru 1 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 Q23 Beluru 1 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 Q23 Beluru 1 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 (Trainee): Jasmandy Bin Syahrul

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 B. Sc (Hons) Plantation Technology and Management

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Requirement	Qualifications
vi) Business Management; or vii) Other relevant related fields	
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	9 years working experience in oil palm plantations
Successfully completed MPOCC endorsed lead auditor training	Successfully completed MS2530 series of standards for Lead Auditor
Conducted at least three (3) MSPO or equivalent sustainability certification audits as Lead Auditor-in-training with a minimum of fifteen (15) man-days under the supervision of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes within the last two (2) years.	Trainee Lead Auditor
Field working experience in the palm oil sector, or demonstrable equivalent	9 years of working experience in oil palm plantations
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	9 years of working experience in oil palm plantations
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed IMS ISO 9001 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 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 14001 Lead Auditor course
Completed High Conversation Value assessment	Qualified and appointed as auditor for MSPO scheme

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

### Qualification of Team Members

Requirement	Name Assessor	Qualification	Compliance
Post-secondary education, college or university diploma / degree in one of the following	Muhammad Khairul Anuar Bin Azizul Hasan	Graduate in Diploma in Planting Industry Management	Yes
i) Agriculture;	Zul Hairi Bin Abu Hassan	Graduate in Diploma in Planting Industry Management	Yes
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			
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)	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantations	Yes
	Zul Hairi Bin Abu Hassan	9 years working experience in oil palm plantations	Yes
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed MS2530 series of standards for Lead Auditor	Yes
	Zul Hairi Bin Abu Hassan	Successfully completed MS2530 series of standards for Lead Auditor	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.	Muhammad Khairul Anuar Bin Azizul Hasan	Qualified as Lead Auditor for MSPO scheme	Yes
	Zul Hairi Bin Abu Hassan	Qualified as Lead Auditor for MSPO scheme	Yes

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Requirement	Name Assessor	Qualification	Compliance
Field working experience in the palm oil sector or demonstrable equivalent	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantations	Yes
	Zul Hairi Bin Abu Hassan	9 years working experience in oil palm plantations	Yes
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantations	Yes
	Zul Hairi Bin Abu Hassan	9 years working experience in oil palm plantations	Yes
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 9001 Lead Auditor course	Yes
	Zul Hairi Bin Abu Hassan	Successfully completed ISO 9001 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	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 45001 Lead Auditor course	Yes
	Zul Hairi Bin Abu Hassan	Successfully completed ISO 45001 Lead Auditor course	Yes
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed Basic SA 8000 training	Yes
	Zul Hairi Bin Abu Hassan	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	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 14001 Lead Auditor course	Yes
	Zul Hairi Bin Abu Hassan	Successfully completed ISO 14001 Lead Auditor course	Yes
Completed High Conversation Value assessment	Muhammad Khairul Anuar Bin Azizul Hasan	Qualified and appointed as lead auditor for MSPO scheme	Yes

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Requirement	Name Assessor	Qualification	Compliance
	Zul Hairi Bin Abu Hassan	Qualified and appointed as lead auditor for MSPO scheme	Yes
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Muhammad Khairul Anuar Bin Azizul Hasan	Able to communicate in Bahasa Malaysia and English	Yes
	Zul Hairi Bin Abu Hassan	Able to communicate in Bahasa Malaysia and English	Yes



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### 2. METHODOLOGY

The audit approach consists of the following steps:

- Appointment of team members;
- Contact client for relevant documentation according to the applicable MSPO standards;
- Latest smallholders list;
- Audit planning;
- Background investigation, desk review of submitted documents;
- Assessment, inspections, interviews SPOC personnel, 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 04 Audit:

Surveillance audit 04 conducted remotely from 11/01/2021 to 14/01/2021 covers the following activities but not limited to below:

#### Remote:

- Confirmation of the appropriate interactive communication tools as describe in IAF MD4
- Desk documentation assessment;
- Virtual interview management;
- Virtual stakeholders communication; If required
- Virtual interview of smallholders; (phone call interview)
- Virtual inspection of farm; (photo review)
- Production records
- Review revised and updated documentation;
- Training records
- Assessment reporting

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### 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 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 this remote audit is WhatsApp and Telephone.

Document verification based on soft copy and photo format while virtual field inspection by using photo and video format.

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

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

The group of smallholders consists of 58 new members and 786 existing members. The total number of smallholders for this audit are 844.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size  $S = 1.5\sqrt{844} = 43.57$  round up to the next integral of 44.

As per OPMC 2 issue 2, from the sample size, the number of the new members are  $44 \times 75\% = 33$  and number of existing members are  $44 \times 25\% = 11$ .

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

**Table 2-1: List of Sample Smallholders**

Name	GPS Coordinates
Existing Smallholders	
Kachang Ak Sabai	4°12'12.899" N 114°5'43.277" E
Steward Gima Ak Aji	4°12'13.547" N 114°5'36.787" E
Menyie Ak Tenggan	4°12'34.409" N 114°5'22.858" E
Wawasan Bersatu	4°12'34.409" N 114°5'22.858" E
Imon Ak Aji	4°12'25.938" N 114°5'42.18" E
Ranchak Ak Ikok	4°1'47.107" N 114°0'6.418" E
Thomas Ak Aba	4°1'39.778" N 114°6'32.896" E
Linda Ak Enggong	4°1'50.819" N 114°6'7.491" E
Peter Ak Marikan	4°1'48.85" N 114°6'10.738" E
Rosalind Ak Kusau	4°1'47.381" N 114°6'13.849" E

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Name	GPS Coordinates
Existing Smallholders	
Davinna Ak Belaka	4°1'43.882" N 114°6'21.938" E
New Smallholders	
Monica Binti Lenya	4°12'13.68" N 114°5'19.118" E
Leslie Druce Ak James Damu	4°12'4.507" N 114°4'44.608" E
Maria Ak Baweng	4°11'13.729" N 114°5'16.22" E
Sunta Ak Munap	4°11'11.083" N 114°5'37.46" E
Tawi Ak Edi	4°09'34.351" N 114°3'16.099" E
Terry Ak Nyanggai	4°10'33.179" N 114°3'49.035" E
Rina Ak Panau	4°12'50.699" N 114°5'7.803" E
Albert Ak Sandom	4°2'55.018" N 114°0'12.085" E
Fellizia Micheal Sandom	4°3'17.798" N 114°0'4.478" E
Ramas Ak Jupa	4°4'37.97" N 113°59'15.568" E
Trolly Ak Sigah	4°2'4.837" N 114°0'0.684" E
Janis Bin Adai	3°56'56.087" N 114°6'0.871" E
Mohamad Fitri B Jara'ee	3°57'59.897" N 114°6'24.12" E
Mariah Bt Mat	3°57'44.334" N 114°5'5.575" E
Regina Ak Mapang	3°57'58.748" N 114°4'14.109" E
Ahmad Bin Mohd Ali	3°53'5.741" N 114°21'6.71" E
James Ak Umpit	3°58'59.768" N 114°5'8.57" E
Jau Ak Balai	4°9'32.18" N 114°2'50.409" E
Bedidy Ak Hassan	3°56'24.421" N 114°5'19.51" E
Royjustin Ak Remong	3°55'31.57" N 114°5'17.991" E
Jering Ak Lanun	3°56'3.419" N 114°5'1.6" E
Johnnady Ak Jugah / Susana Ak Karong	3°54'19.501" N 114°4'45.3" E
Diana Wan	3°58'21" N 114°5'44.998" E
Enteri Ak Banggau	3°58'30.13" N 114°5'23.33" E
Micheal Tuit Ak Ribut	3°58'19.531" N 114°5'7.71" E
Jalang Ak Rangai	4°9'49.367" N 114°1'33.182" E
Talip Ak Busang	4°9'36.464" N 114°2'24.759" E
Simon Ak Jambi	4°9'38.977" N 114°2'39.033" E
Brodie Ak Uchong	4°12'37.001" N 114°3'16.999" E
Jerry Ak Mikai / Emah Ak Umbing	4°9'40.385" N 114°3'26.64" E

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Name	GPS Coordinates
Existing Smallholders	
Ubong Lah	4°9'39.251" N 114°3'24.375" E
Siam Ak Asing	4°10'7.799" N 114°3'56.923" E
Mujing Ak Ragai	4°9'27" N 114°1'55.999" 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.

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### 3. ORGANISATION INFORMATION

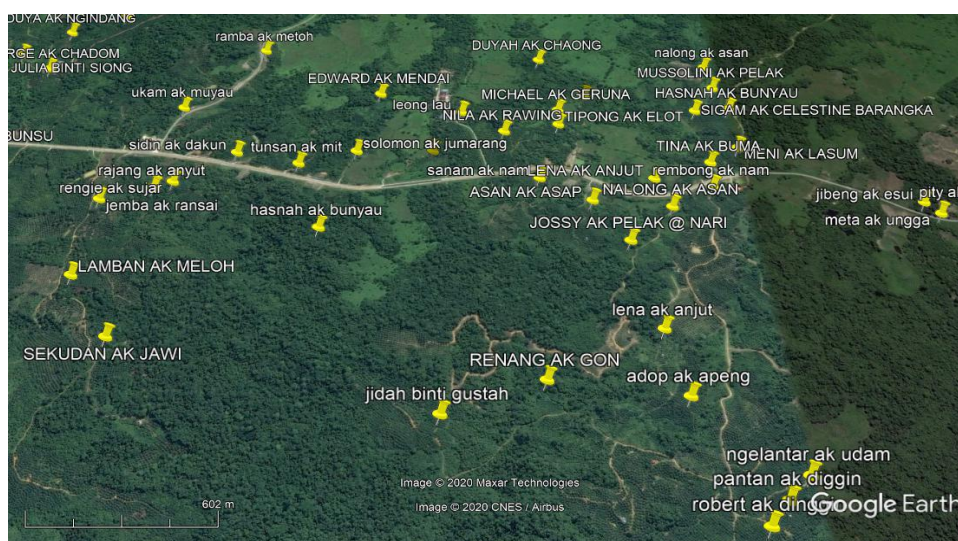
MPOB Cawangan SPOC Q23 Beluru 1, is a branch of MPOB located at Lot 1177 & 1178, Tingkat 4, Block 9, MCLD Miri Waterfront, Jalan Permaisuri, 98000 Miri Sarawak, coordinates 4°39'75 N, 113°98'61 E is managed by a group manager and supported by a team officers to manage the cluster providing technical support, estate management skills and training as well as develop the independent smallholders' scheme around the Miri Sarawak district.

The smallholders are in Miri Sarawak as shown in the below maps.

#### Existing Smallholders



Map 01



Map 02



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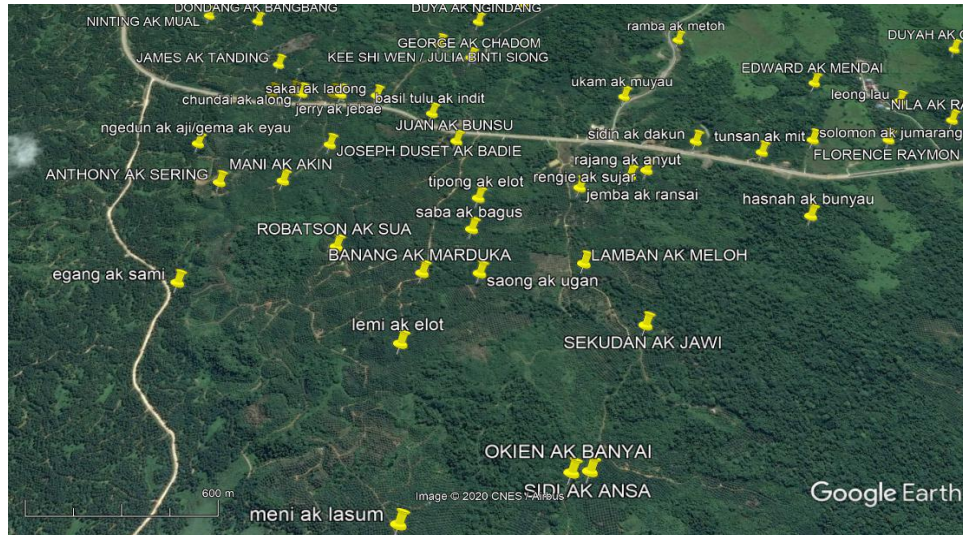
Company Name: Malaysian Palm Oil Board

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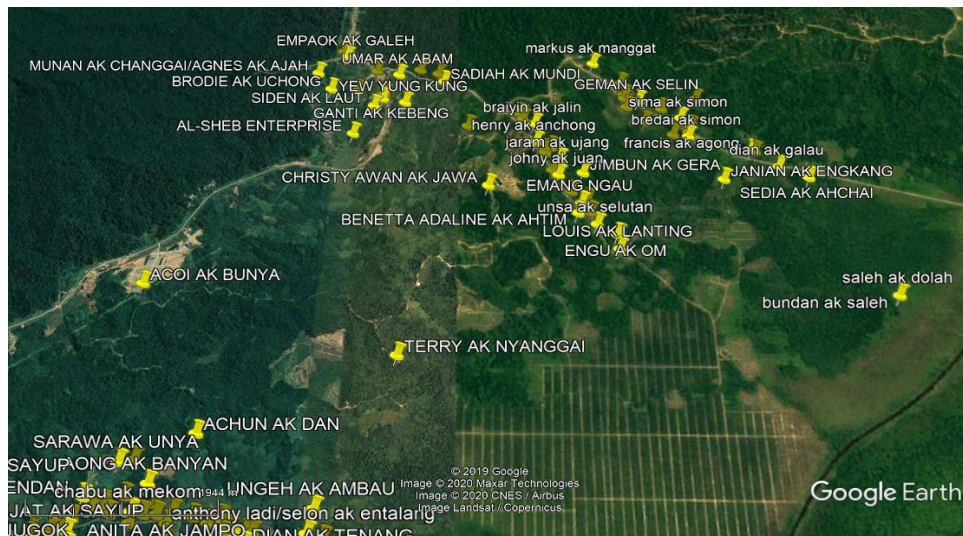
Client Number: 92-007

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Map 03



Map 04

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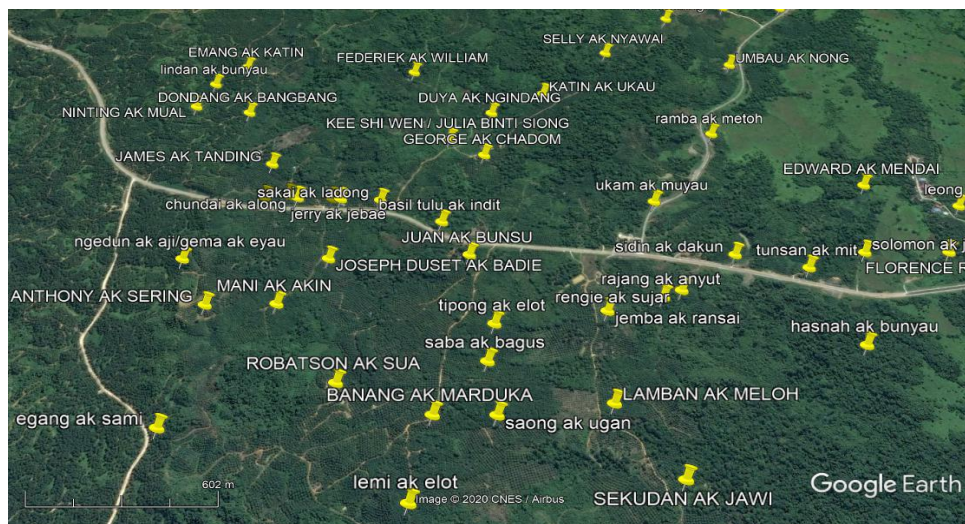
Client Number: 92-007

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Map 05



Map 06



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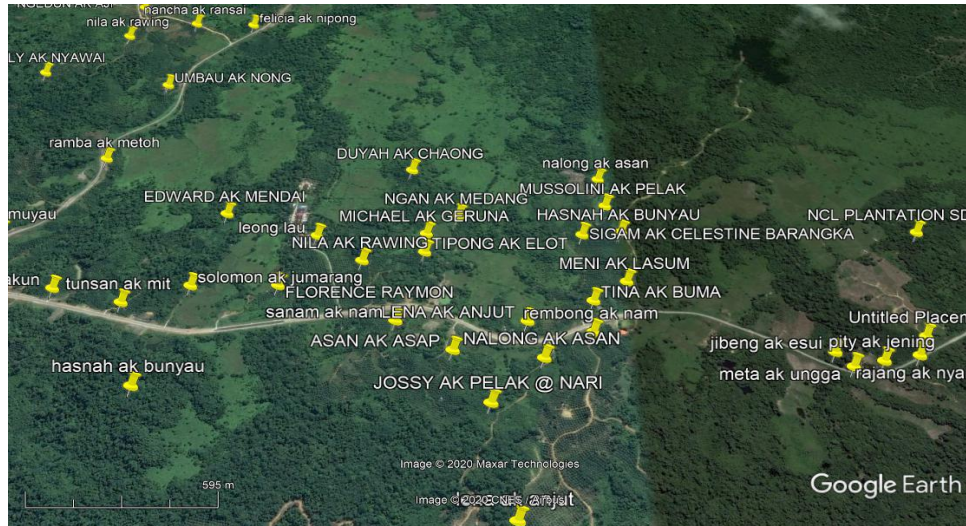
Company Name: Malaysian Palm Oil Board

Certifying Unit: SPOC Q23 Beluru 1

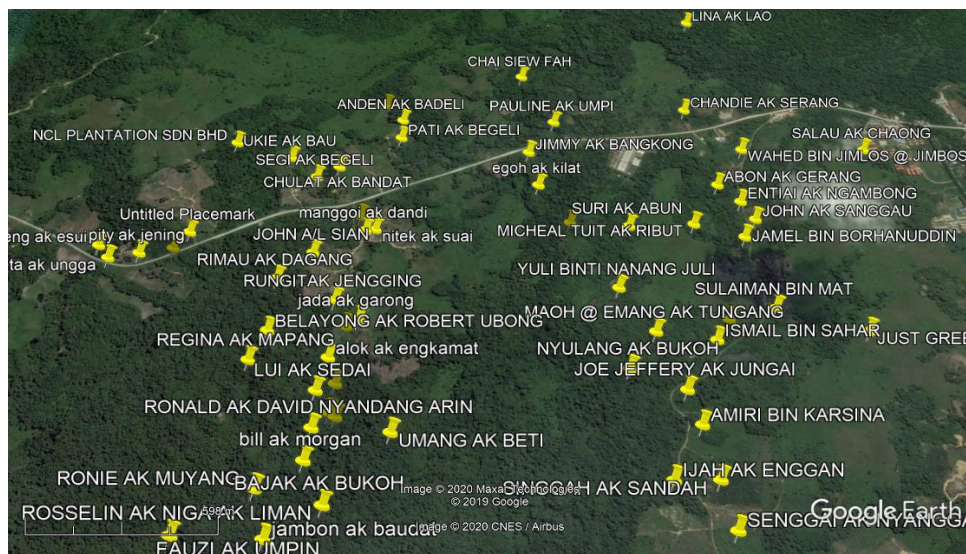
Client Number: 92-007

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Map 07



Map 08



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Map 09



Map 10

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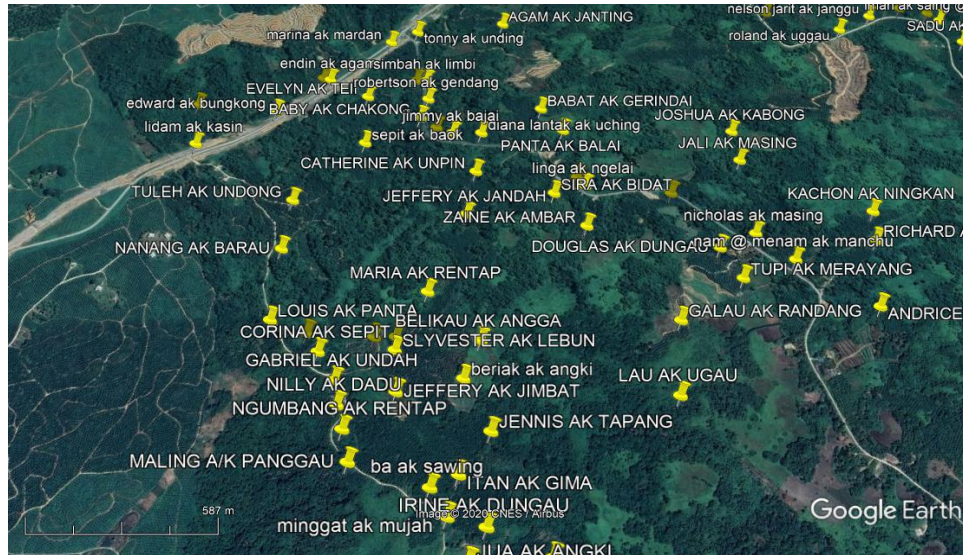
Company Name: Malaysian Palm Oil Board

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Map 11



Map 12



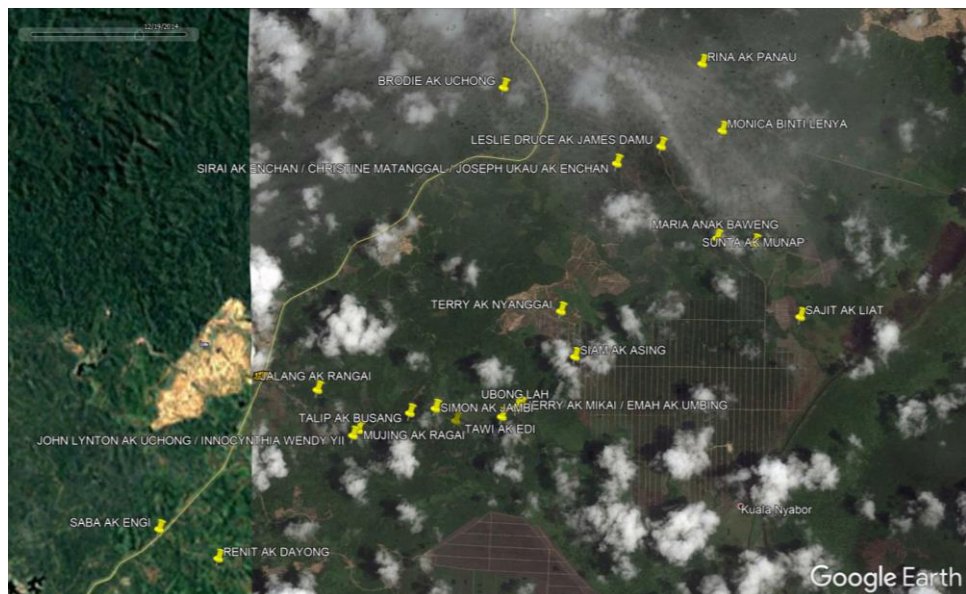
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Map 13

### New smallholders



Map 14

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Map 15



Map 16



## MSPO Certification Summary Report

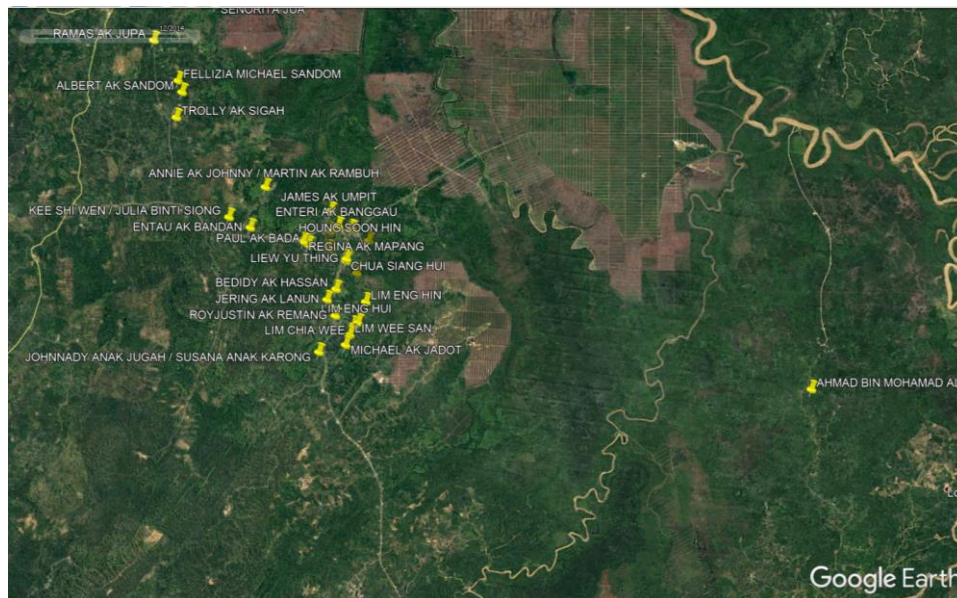
Company Name: Malaysian Palm Oil Board

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Map 17

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### 4. CERTIFICATION ASSESSMENT

#### 4.1. Annual Surveillance Audit

The objective of the audit is to assess the activities of MPOB Cawangan SPOC Q23 Beluru 1 are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

##### 4.1.1. Annual Surveillance 04:

The surveillance audit is conducted from 11/01/2021 to 14/01/2021.

The number of smallholders in this surveillance audit are 844.

The number of smallholders 786 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 58.

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

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

During the remote audit 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 04 audit, there are no Major NC or Minor NC and 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 of the previous surveillance audit and there are no concerns or complaints or disputes raised.

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

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### 4.3. Summary of Assessment

#### Principle and Criteria Assessment Summary

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

#### Principle 1: Management Commitment & responsibility

Indicator	Summary of Assessment	Compliance
4.1.1.1	<p>SPOC Q23 Beluru 1 adopted MPOB MSPO certification application form with the MSPO policy included in the form duly agreed and signed by smallholders and acknowledged by Group Manager.</p> <p>SPOC Q23 Beluru 1 established MSPO policy dated 01/06/2016 signed by GM.</p> <p>Virtual inspection on photo provided confirmed, the policy is publicly displayed at MPOB office notice board.</p> <p>Remote document review verified copy of application form in smallholders file signed by GM and smallholders.</p> <p>Phone call interviewed with smallholders informed they understand the MSPO policy requirements.</p>	Yes
4.1.2.1	<p>SPOC Q23 Beluru 1 adopted MPOB List of Social and Environmental Impact and Action Plan, document number MSPO/SSCC/I-04/ISP, revision 03, issue 03 dated 01/06/2020.</p> <p>The table include topic on activity, impact and improvement plan.</p> <p>Example:</p> <p>Environmental impact</p> <p>Activity: Chemical spraying</p> <p>Impact: Generate empty chemical containers</p> <p>Action and plan: Triple rinsed and punctured a hole at the empty chemical container and store in designated place</p> <p>Virtual inspection with photos provided confirmed the empty chemical containers are stored properly at designated place with red marking as described in the MPOB guidelines.</p> <p>Social impact</p> <p>Activity: Harvesting</p> <p>Social impact: FFB theft</p> <p>Action plan: Report to "Majlis Pengurusan Komuniti Kampung" and Police for further action.</p>	Yes

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Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
	Phone call interviewed with smallholders informed there is no FFB theft occurred at the farms and surrounding area. Smallholders are aware of action plan to be taken if there is any FFB theft occur again.	
4.1.2.2	<p>SPOC Q23 Beluru 1 distribute "Warta Sawit" to smallholders during LKN visit.</p> <p>Remote documents review indicate the LKN visit has been carried out at sampled smallholders on 26/11/2020 to brief and demonstrate on field operation practices and distribute the 'Warta Sawit'.</p> <p>Phone call interviewed with smallholders informed they have received 'Warta Sawit' and been brief during LKN visit.</p>	Yes

Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC Q23 Beluru 1 adopted MPOB 'Manual Prosedur Kerja MSPO Kelompok Minyak Sawit Mampan' document number MSPO/SPOC/GP-01/PEK revision number 03, dated 01/06/2020 which include 'Carta Alir Kebolehejekan Perbelanjaan dan Pendapatan Pekebun Kecil' as a traceability procedure.</p> <p>The traceability procedure describe smallholders provided with Buku Rekod Ladang (BRL) to record FFB sales.</p> <p>Phone call interview with smallholders informed FFB production, fertilizer and chemical application recorded in the BRL.</p> <p>Review the BRL of smallholders with information of FFB production.</p> <p>During document review, SPOC Q23 Beluru 1 maintain record of FFB sales in smallholders' individual file.</p>	Yes
4.2.1.2	<p>SPOC Q23 Beluru 1 established FFB production summary record by monthly basis for each smallholders updated as at December 2020.</p> <p>Document review verify, SPOC Q23 Beluru 1 maintain records of FFB sales and weighbridge ticket in smallholders' individual file.</p> <p>Phone call interview with smallholders informed FFB sales receipts and weighbridge tickets are maintained.</p>	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p>SPOC Q23 Beluru 1 adopt MPOB List of Legal Register, document number MSPO/SPOC/L-02/LLR revision number 05 dated 01/10/2020.</p> <p>Example:</p> <p>1. 'Akta 127: Akta Kualiti Alam Sekeliling 1974'</p>	Yes



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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	<p>2. 'Akta 342: Akta Pencegahan dan Pengawalan Penyakit Berjangkit 1988 Perintah Pencegahan dan Pengawalan Penyakit Berjangkit (Pindaan Jadual Pertama)'</p> <p>3. 'Akta 582: Akta MPOB Peraturan-Peraturan Lembaga Minyak Sawit Malaysia (Perlesenan) 2005'</p> <p>4. 'Undang-Undang Sarawak : Kod Tanah (CAP 81) 1958'</p> <p>During document verification, copy of MPOB license is maintained in the smallholders' individual file.</p> <p>Review the MPOB license for sampled smallholders are valid until 30/11/2024.</p> <p>Phone call interview with smallholders informed they are aware of legal requirements and information of legal requirements obtained through 'Program Pensijilan MSPO' conducted on 19/11/2020.</p>	
4.3.2.1	<p>SPOC Q23 Beluru 1 smallholders' land titles are Native Customary Right land (NCR).</p> <p>Review the 'Akuan Pengesahan Tanah NCR' form is signed by land owner and verified by 'Tuai Rumah'.</p> <p>During document verification, there is no dispute recorded within SPOC Q23 Beluru 1 on land ownership.</p>	Yes
4.3.3.1	<p>SPOC Q23 Beluru 1 smallholders' land titles are Native Customary Right land (NCR).</p> <p>Document review confirmed 'Akuan Pengesahan Tanah NCR' is verified by 'Tuai Rumah'.</p>	Yes
4.3.3.2	<p>SPOC Q23 Beluru 1 smallholders' land titles are NCR land verified by 'Tuai Rumah' as the rightful owner of the land.</p> <p>Review the 'Akuan Pengesahan Tanah NCR' include sketch map of the field location.</p> <p>During photograph verification, boundary marker of each smallholders' field is installed and maintained.</p>	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	<p>SPOC Q23 Beluru 1 adopted MPOB Guidelines Complaint and Grievance, doc no. MSPO/SPOC/SOP-01/AR, issue 03, revision 02 dated 01/06/2020.</p> <p>The SOP describes;</p> <ol style="list-style-type: none"><li>1. Stated in the SOP timeline for addressing the grievance and complaint are within 14 days.</li><li>2. Group manager is in charge in handling the complaint and grievances.</li><li>3. All the grievance and complaint records are documented.</li></ol>	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>Remote document review on complaint and grievances procedure has been briefed to smallholders during MSPO training on 07/03/2020.</p> <p>Phone call interview with smallholders informed they are aware and understand the complaint and grievance procedure and process flow.</p>	
4.4.1.2	<p>SPOC Q23 Beluru 1 adopted MPOB Guidelines Complaint and Grievance, doc no. MSPO/SPOC/SOP-01/AR, issue 03, revision 02 dated 01/06/2020.</p> <p>Review the SOP stated time line to resolve disputes within 14 days.</p> <p>Stated in the SOP person in charge is Group Manager. The Group Manager is assigned for:</p> <ol style="list-style-type: none"> <li>1. Accepting the grievances</li> <li>2. Analyzed and investigate on issue raised</li> </ol> <p>Any complaint outside the scope of the group manager it will refer to other parties or MPOB HQ.</p> <p>Phone call interview with smallholders informed they are aware on complaint and grievance process and timelines to resolve the complaints.</p>	Yes
4.4.2.1	<p>SPOC Q23 Beluru 1 adopt MPOB Guidelines Occupational Safety &amp; Health, document no. MSPO/SPOC/GP-02/KKP, issue: 3, revision: 0 effective date: 01/06/2020.</p> <p>SOP describes:</p> <ol style="list-style-type: none"> <li>1. Responsibility of GM and smallholders regarding safety and health.</li> <li>2. Procedure and type of PPE used for harvesting, manuring and spraying.</li> </ol> <p>Remote document review on safety and health training has been conducted on 07/03/2020.</p> <p>Phone call interview with 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, face mask, goggle, safety boot, rubber hand glove and safety helmet,</p>	Yes
4.4.3.1	<p>SPOC Q23 Beluru 1 adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form has includes payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning.</p> <p>Phone call interview with smallholders informed, they working by themselves or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.2	<p>SPOC Q23 Beluru 1 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>	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>SPOC Q23 Beluru 1 adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form describe:</p> <p>Against any form of discrimination, and implying human right in terms of opportunities, disregards of races, gender, religion, political affiliation, and nationality.</p> <p>There are no complaints related to discrimination found during documents review.</p> <p>Phone call interview with smallholders informed no discrimination occurs.</p>	
4.4.3.3	<p>SPOC Q23 Beluru 1 adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form has includes payment rates for operational activities such as harvesting, spraying, manuring and pruning.</p> <p>Phone call interview with smallholders informed, they are working by themselves or assisted by family members in running field operations.</p>	Yes
4.4.3.4	<p>Phone call interview with smallholders and photos of farm overview confirmed no on-site living quarters provided.</p>	Yes
4.4.3.5	<p>SPOC Q23 Beluru 1 adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 updated 01/10/2020.</p> <p>The form describe :</p> <p>Not to employ young workers below the age of 15-18 years old, for working in dangerous and heavy work.</p> <p>Phone call interview with smallholders confirmed no presence of child workers in field. Smallholders aware and understand on legal restriction on hiring under age workers.</p>	Yes
4.4.4.1	<p>SPOC Q23 Beluru 1 establish training programme year 2020 and 2021.</p> <p>The training programme include 'Taklimat MSPO, GAP and LKN visit.</p> <p>Example of training conducted:</p> <p>Title: 'Taklimat MSPO'</p> <p>Date: 07/03/2020</p> <p>Remote document review verified 'Taklimat MSPO' has been conducted on 07/03/2020. Photos and attendance of training are documented and maintained.</p> <p>Phone call interview confirmed smallholders has attended the MSPO training. Smallholders are able to demonstrate understanding of MSPO implementation in farms.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services								
Indicator	Summary of Assessment	Compliance						
4.5.1.1	<p>SPOC Q23 Beluru 1 adopted MPOB List of Social and Environmental Impact and Action Plan, document number MSPO/SSCC/I-04/ISP, revision 03, issue 03 dated 01/06/2020.</p> <p>Example:</p> <p>Example of environmental impact and action plan:</p> <p>Activity: Chemical spraying</p> <p>Environmental impact: Empty chemical containers</p> <p>Virtual field observation through photos of smallholders' fields verify there are no over chemical spray activities observed in the field.</p> <p>Phone call interview with smallholders informed they are aware the environmental impact and the environmental topics was briefed on 19/11/2020.</p> <p>Remote document review verified training agenda, photos and attendance are archived and maintained.</p>	Yes						
4.5.2.1	<p>Virtual field observation verified SPOC Q23 Beluru 1 smallholders do not use renewable energy at site.</p> <p>Phone call interview with smallholders informed they are not using any renewable energy.</p>	Yes						
4.5.3.1	<p>SPOC Q23 Beluru 1 adopted MPOB List of Scheduled and Domestic Wastes MSPO/SPOC/L-03/SRD Issue 3 rev 0 effective date 01/06/2020.</p> <p>Example:</p> <table border="1"> <thead> <tr> <th>Agricultural input</th><th>Waste produced</th><th>Impact</th></tr> </thead> <tbody> <tr> <td>Weedicide</td><td>Empty chemical containers</td><td>Breeding ground for mosquito Polluting water sources</td></tr> </tbody> </table> <p>Virtual field observation through photos and phone call interviewed, verify smallholder are aware of empty chemical containers can be recycle and reused after conducted triple rinsing.</p>	Agricultural input	Waste produced	Impact	Weedicide	Empty chemical containers	Breeding ground for mosquito Polluting water sources	Yes
Agricultural input	Waste produced	Impact						
Weedicide	Empty chemical containers	Breeding ground for mosquito Polluting water sources						
4.5.3.2	<p>SPOC Q23 Beluru 1 adopted MPOB SOP for Scheduled Waste Management, doc no: MSPO/SPOC/SOP-03/BT issue 3 revision 3 effective date 01/06/2020.</p> <p>The SOP describe:</p> <ol style="list-style-type: none"> <li>To conduct triple rinsing for each empty chemical container before disposed.</li> <li>To put marking on empty chemical container for chemical mixing purposes.</li> <li>All scheduled waste shall be disposal according to the Environmental Quality (Scheduled waste) Regulations, 2015.</li> </ol>	Yes						

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>Document "Rekod Pengurusan Bahan Buangan Terjadual Tahun 2020" established by SPOC Q23 Beluru 1 for monitoring of scheduled waste generated.</p> <p>Virtual field observation through photos on smallholders' field, confirmed there are no empty chemical containers left in farm.</p> <p>Phone call interviewed with smallholders informed empty chemical containers are use as water container for chemical spraying activity after conducted triple rinse.</p>	
4.5.4.1	<p>SPOC Q23 Beluru 1 adopt MPOB Guidelines River Buffer Zone, doc no: MSPO/SPOC/GP-03/ZPS, issue 3, revision 0 dated 01/06/2020.</p> <p>The SOP describes:</p> <ol style="list-style-type: none"> <li>1. Guideline on buffer zone length.</li> <li>2. No activities such as chemical spraying and manuring.</li> <li>3. Flow chart on buffer zone establishment.</li> </ol> <p>Remote document review verified training on environmental to smallholders conducted on 19/11/2020. Training photos and attendance are recorded.</p> <p>Phone call interview with smallholders informed they are aware to maintain the water quality and its importance.</p>	Yes
4.5.4.2	<p>Rain harvesting is practice by smallholders to collect rainwater for chemical spraying activity.</p> <p>Phone call interviewed with smallholders informed they are using drum to collect water for chemical spraying activities.</p> <p>Virtual field observation through photos of smallholders' field verify drums is use for collecting rainwater.</p>	Yes
4.5.5.1	<p>SPOC Q23 Beluru 1 established and display list of protected wildlife and trees species obtained from Sarawak Forestry Department.</p> <p>Example of protected animals:</p> <ul style="list-style-type: none"> <li>• Burung Terkukur</li> <li>• Tupai</li> </ul> <p>'Taklimat MSPO kepada Pekebun Kecil' conducted on 19/11/2020 on wildlife.</p> <p>Remote document review wildlife posters are displayed at MPOB office notice board. Interview with smallholders, they are aware on species protected by laws.</p> <p>Phone call interviewed with smallholders informed there are squirrel sighted.</p>	Yes
4.5.6.1	<p>SPOC Q23 Beluru 1 adopted MPOB Guidelines Zero Burning Practices, doc. No. MSPO/SPOC/GP-04/APS, issue 3 rev. 01, effective date 01/06/2020.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>SOP describes there is no open burning of any kind on the operating unit, except those comply with the Environmental Quality Order 2003 and obtain approval from Department of Environment.</p> <p>Document review verified training on environmental to smallholders conducted on 19/11/2020. Training photos and attendance are recorded.</p> <p>Virtual field observation through photos to smallholders' fields, verified no open burning occur. Phone call interviewed with smallholders informed they are aware no open burning allowed within their farm.</p>	

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>SPOC Q23 Beluru 1 Group Manager conducted field visit 'Latihan Khidmat Nasihat (LKN)' to smallholders field for Good Agriculture Practices (GAP). Activity includes harvesting operation, weed management and fertilizer application.</p> <p>Phone call interview with the smallholders informed:</p> <ol style="list-style-type: none"> <li>1. Harvesting at 2 rounds per month</li> <li>2. Chemical spraying at 2 to 3 rounds per year</li> <li>3. Fertilizer applied 2 to 3 rounds per year</li> </ol> <p>During photo verification soft grasses are maintained for moisture retention.</p>	Yes
4.6.1.2	<p>SPOC Q23 Beluru 1 established signage as reference system which includes information on smallholder name, field size, planting material and GPS coordinate.</p> <p>During photo verification signage is displayed at each smallholder field.</p>	Yes
4.6.2.1	<p>SPOC Q23 Beluru 1 adopted MPOB SOP, 'Garis Panduan Pelan Daya Ekonomi dan Kewangan', document number MSPO/SPOC/GP-01/PEK, issues number 03, revision number 03, effective date 01/06/2020.</p> <p>SPOC Q23 Beluru 1 established management plan include financial budget for 2021 for training program and field visit.</p> <p>Phone call interview with the management informed all operation budget and cost under MPOB HQ control.</p>	Yes
4.6.3.1	<p>SPOC Q23 Beluru 1 monitor FFB pricing through input from collection centre and mill for fair pricing.</p> <p>Phone call interview with smallholders informed FFB price obtained through daily FFB price displayed at collection centre and mill notice board.</p>	Yes

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Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	<p>Remote document review on list of smallholders and planting statements indicates new planting in SPOC Q23 Beluru 1.</p> <p>The 1st planting is in year 1993. The latest new planting is in year 2019.</p> <p>Review smallholders MSPO application form, farm management is compliance on do not plant near river, sea and forest.</p> <p>Interview by phone call and photo provided from smallholder confirm new planting in year 2019.</p>	Yes
4.7.2.1	<p>Remote document review on list of smallholders and planting statements indicates new planting in SPOC Q23 Beluru 1.</p> <p>The 1st planting is in year 1993. The latest new planting is in year 2019.</p> <p>Review smallholders MSPO application form, stated the field is compliance practice soil and water conservation (mud reservoir / mulch / keep grass soft / ground cover / terrace / no blanket spraying / non-toxic in water flow areas).</p> <p>Stated in the LKN dated 31/12/2020, soil type is mineral soil.</p>	Yes
4.7.3.1	<p>Remote document review on list of smallholders and planting statements indicates new planting in SPOC Q23 Beluru 1.</p> <p>The 1<sup>st</sup> planting is in year 1993. The latest new planting is in year 2019.</p> <p>Review smallholders MSPO application form, Stated points under farm management is compliance on not planting in very steep areas (&gt; 25 °). Stated in the form, smallholder field is flat land 0°- 6°.</p> <p>Interview by phone call smallholder informed no planting at above steep terrace.</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.
	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.
<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 raise 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
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During last audit	0	MAJOR Non-Conformities
	0	MINOR Non-Conformities

### 4.6. Detail of Audit Findings Identified During This Audit

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

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

Nr.	Indicator	Description	Location	Opportunity for Improvement
1	4.5.1.1	Independent smallholders are expected to be aware of the environmental impact but are not expected to undertake any formal impact assessment unless there is a legal requirement.	Office	SPOC Q23 Beluru 1 could consider improve awareness on environmental impact for chemical spraying activities.
2	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.	Office	SPOC Q23 Beluru 1 could consider improve on smallholders understanding for empty chemical container disposal method.
3	4.6.1.1	All independent smallholders oil palm farms shall implement best practices such as the MPOB Codes of Practice, Malaysian Standards, ISO Standards and and the Kod Amalan Baik (GAP) Pekebun Kecil.	Office	SPOC Q23 Beluru 1 may improve on agenda during 'Latihan Khidmat Nasihat' (LKN) visit.
4	4.6.1.2	A visual identification or reference system shall be established for	Field	SPOC Q23 Beluru 1 may improve on establishment of field identification.



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Nr.	Indicator	Description	Location	Opportunity for Improvement
		each field or block of oil palm planting.		

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### 5. CONCLUSION

Malaysia Palm Oil Board has commissioned TÜV NORD (Malaysia) Sdn Bhd to carry out the certification for the Sustainable Palm Oil Cluster (SPOC) for SPOC Q23 Beluru 1 consisting of 844 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:	844
Total certified acreage of smallholders:	4,638.85 Ha
Certified FFBs output January to December 2020:	40,845.553 Mt
Projected FFBs output January to December 2021:	53,749.90 Mt

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### 6. RECOMMENDATION

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

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

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

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

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

	Recommended for Certification / Recertification
<b>X</b>	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 26/01/2021

Jasmandy Bin Syahrul  
TUV NORD (Malaysia) Sdn Bhd  
Audit Team Leader (Trainee)

Puchong, 26/01/2021

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

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### 7. LIST OF STAKEHOLDERS

No stakeholders' consultation conducted in accordance to ACB – OPMC 4 Issue 2 dated 04/09/2020, Stakeholder Consultation Requirements Section 6: Consultation during audit, §6.1: During the stage 2 and recertification audit. Therefore, no stakeholders listed.

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

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

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

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

Salvo clause:

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

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

### Annex / Enclosures

Annex /  
corresponding audit documentation

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