

# MSPO CERTIFICATION SUMMARY REPORT

SPOC Q27 SIBUTI 2 – (DAGANG,  
NIAH, BULAU, BEKENU & SIBUTI)

SURVEILLANCE 04

Remote Audit Date: 05/04/2021 – 09/04/2021

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# MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board  
Certifying Unit: SPOC Q27 Sibuti 2  
Client Number: 92-101  
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 surveillance audit 04 for SPOC Q27 Sibuti 2 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 Q27 Sibuti 2 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 Q27 Sibuti 2 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.

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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)	6 years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.
Successfully completed MPOCC endorsed lead auditor training	Successfully completed MS2530 series of standards for Lead Auditors
Conducted at least three (3) MSPO or equivalent sustainability certification audits as Lead Auditor-in-training with a minimum of fifteen (15) man-days under the supervision of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes within the last two (2) years.	Qualified and appointed as lead auditor for MSPO scheme.
Field working experience in the palm oil sector, or demonstrable equivalent	6 years 10 months of working experience in managing sustainability for oil palm industry for both upstream and downstream division.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	6 years 10 months of working experience in managing sustainability for oil palm industry for both upstream and downstream division.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course
Health and safety auditing on the farm and in processing facilities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Successfully completed Basic SA 8000 training.
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Successfully completed IMS ISO 9001, 14001, 45001 LA course training attended.
Completed High Conversation Value assessment	Attended and completed the HCV-HCS for producers online course

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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 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

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Requirement	Name Assessor	Qualification	Compliance
auditor-in-training under the direction and guidance of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes.	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

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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



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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, stakeholders
- 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 04:

The surveillance audit conducted remotely on 05/04/2021 – 09/04/2021 covering the following activities but not limited to below:

#### Remote:

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

### Remote Assessment

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

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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 (22 March 2021) 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, WhatsApp and Telephone

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

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

The group of smallholders consists of 711 new members and 1,141 existing members. The total number of smallholders for this audit are 1,852.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size  $S = 1.5\sqrt{1,852} = 64.55$  round up to the next integral of 65

As per OPMC 2 issue 2, from the sample size, the number of the new members are  $65 \times 75\% = 48.75$  and number of existing members are  $65 \times 25\% = 16.25$ . Total new members = 49 and existing members = 17, Total samples = 66.

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
<b>Existing Members</b>	
Kunchit Anak Unyung	3.850672°N, 113.912538°E
Menung Anak Junang	3.860106°N, 113.918824°E
Lintok Anak Jaman	3.862760°N, 113.908664°E
Larry Anak Asan	3.865545°N, 113.920321°E
Saripah Anak Nuing	3.849116°N, 113.913948°E
Maria Anak Gan	3.842425°N, 113.925705°E
Dumang Anak Belili	3.860514°N, 113.919478°E
Majang Anak Ringkai	3.870858°N, 113.923143°E
Beji Anak Sinaun	3.848657°N, 113.913908°E
Nancy Anak Jabok	3.842216°N, 113.926187°E
Frida Anak Philip Ligeng	4.028725°N, 113.931983°E 4.014592°N, 113.940267°E 4.004142°N, 113.931769°E
Ayut Anak Jabar	4.040914°N, 113.937775°E

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Name	GPS Coordinates
<b>Existing Members</b>	
Mamat Anak Akam	4.025625°N, 113.920511°E
William Rungga Anak Henry	4.040650°N, 113.935481°E
Terine Anak Nyawai	3.864989°N, 114.074285°E
Michi Anak Mapang	3.869520°N, 114.085537°E
Senorita Anak Ajup	3.872913°N, 114.082321°E

Name	GPS Coordinates
<b>New Members</b>	
Merayang Anak Pengarah	Not Available
Mering Anyi	Not Available
Nur Aleeya Ladong	Not Available
Sero Anak Amo	Not Available
Sunta Anak Upong	Not Available
Tamu Binti Jimun	Not Available
Tayoi Anak Pa	Not Available
Toni Bin Sudin	Not Available
Urai Ajang	Not Available
Rajit Anak Ambas	Not Available
Rosmiririm Anak John Duat	Not Available
Lenggang Anak Bugat	Not Available
Joseph Anak Su	Not Available
Henry Tindin Anak Luang	Not Available
Jaya Anak Jantan	Not Available
Rimbu Anak Undan	Not Available
Diana Anak Ngadi	Not Available
Joseph Anak Sampurai	Not Available
Donny Anak Lumpoh	Not Available
Paing Anak Jupan	Not Available
Elephant Village Enterprise	Not Available
Tony Anak Jupan	Not Available
Tony Anak Mugan	Not Available
Utik Anak Guang	Not Available
Johnny Anak Senin	Not Available

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Name	GPS Coordinates
New Members	
Sharmine Isah Anak Edward Ekau	Not Available
Senin Anak Rambor	Not Available
Tubak Anak Sandah	Not Available
Likan Anak Besi	Not Available
Akang Anak Musa	Not Available
Anna Anak Mancha	Not Available
Gingdan Anak Mancha	Not Available
Jimbun Anak Sating	Not Available
Merai Anak Reang	Not Available
Ramba Anak Mancha	Not Available
Rantai Anak Mancha	Not Available
Rosline Anak Sang	Not Available
Tony Anak Masam	Not Available
Umpok Anak Kelabu	Not Available
Jambai Anak Jali	Not Available
Linie Anak Jimbai	Not Available
Kami Anak Sayo	Not Available
Bibi Anak Unding	Not Available
Serina Anak Seman	Not Available
Muktar Dahari Anak Rimba	Not Available
Awin Mabong Anak Jambai	Not Available
Jati Anak Unding	Not Available
Sungping Anak Jambeng	Not Available

### 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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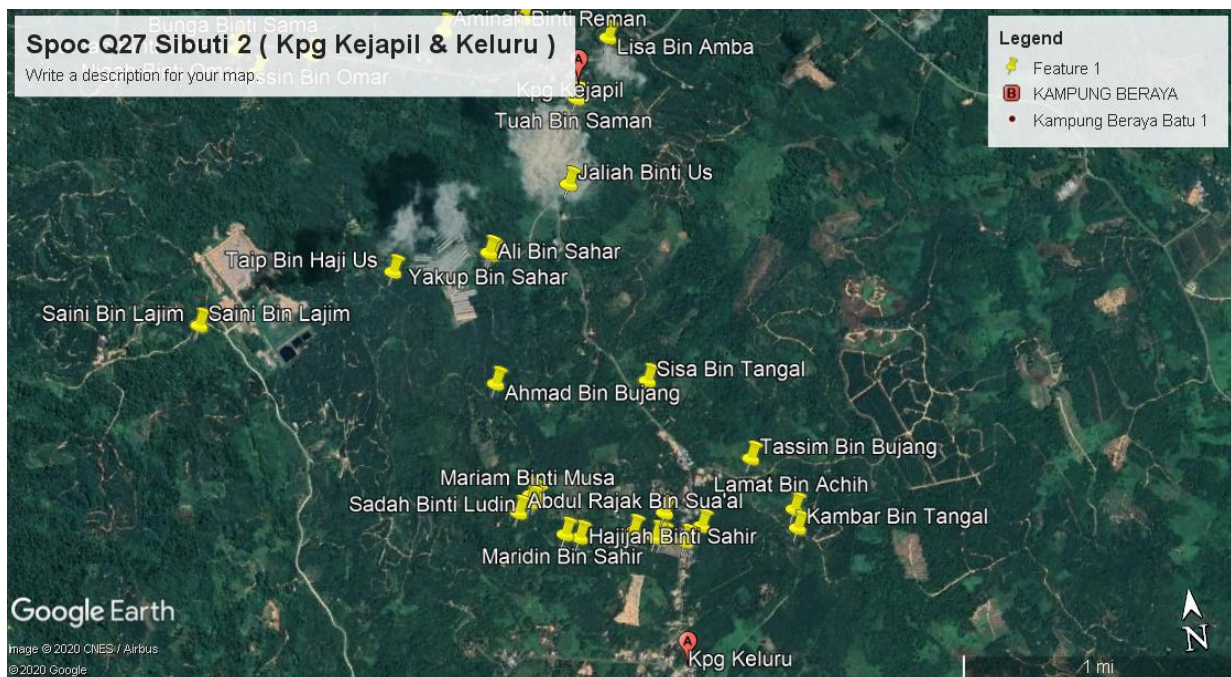
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### 3. ORGANISATION INFORMATION

MPOB Cawangan SPOC Q27 Sibuti 2, is a branch of MPOB located at 1<sup>st</sup> Floor Survey, Lot 1828 (Sub lot 2), Lot 647, 1223, 1225, Blok 8, Sepupuk 98200 Niah, Sarawak (N 3.8629°, E 113.7151°) 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 Sibuti district.

The smallholders of SPOC Q27 Sibuti 2, Sarawak as shown in the below maps.



Map number 1



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Map number 2



Map number 3

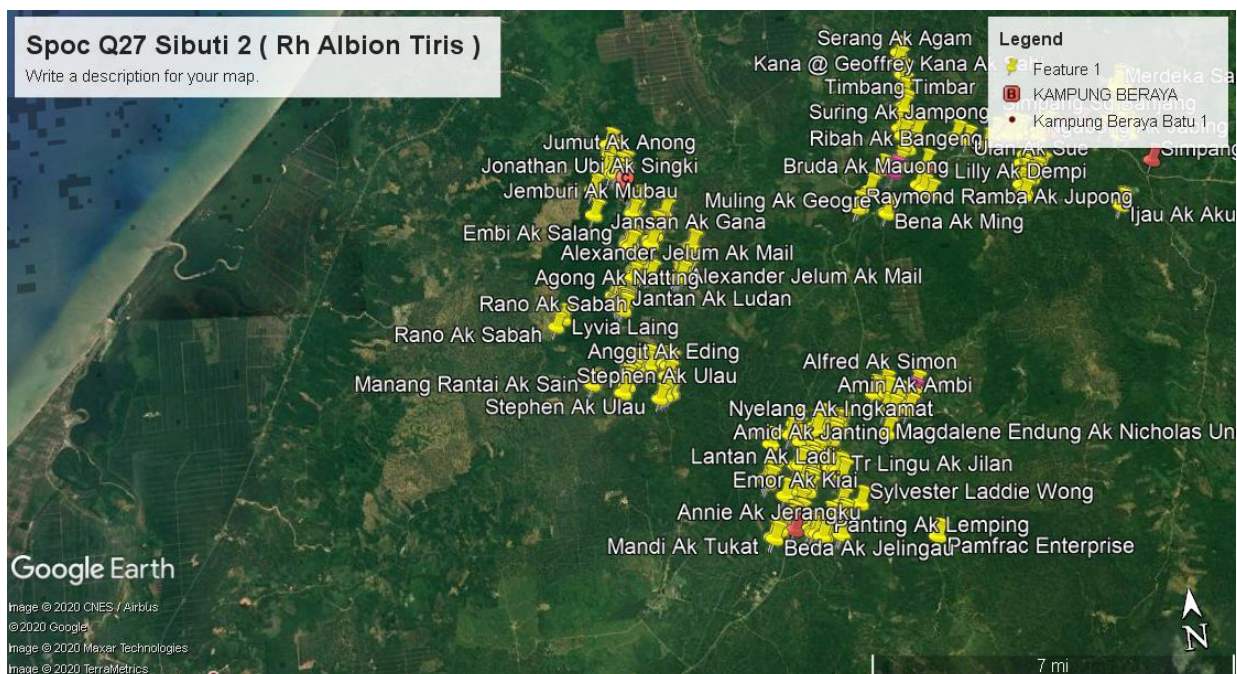


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Map number 4



Map number 5

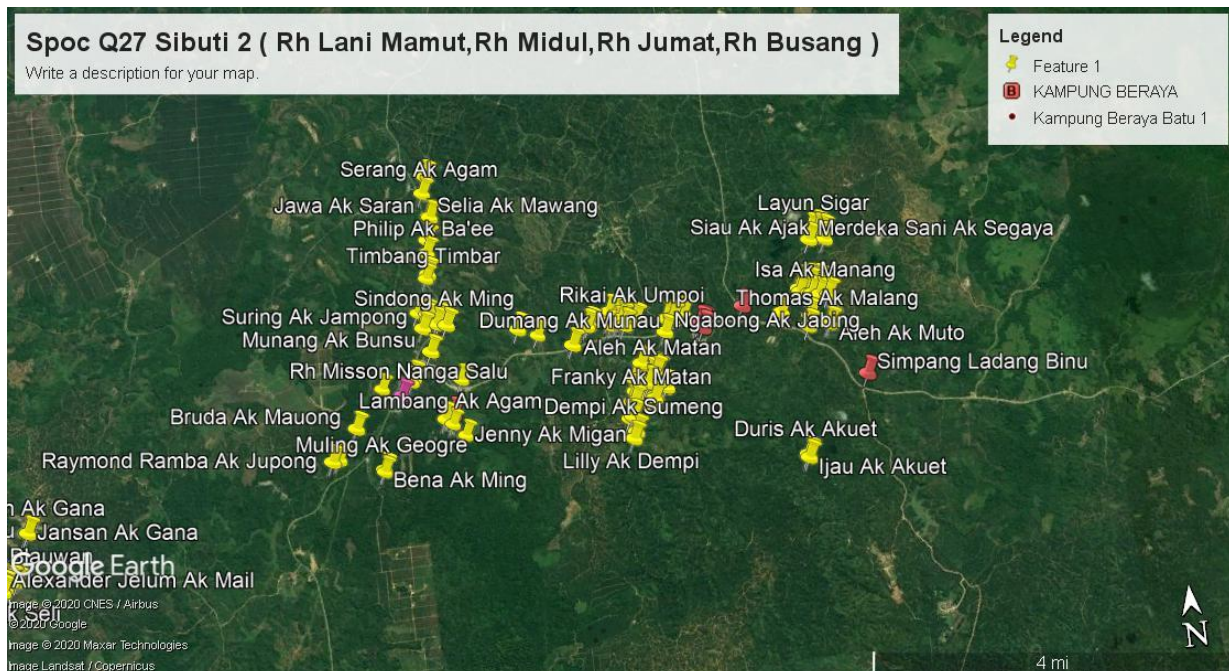


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Map number 6

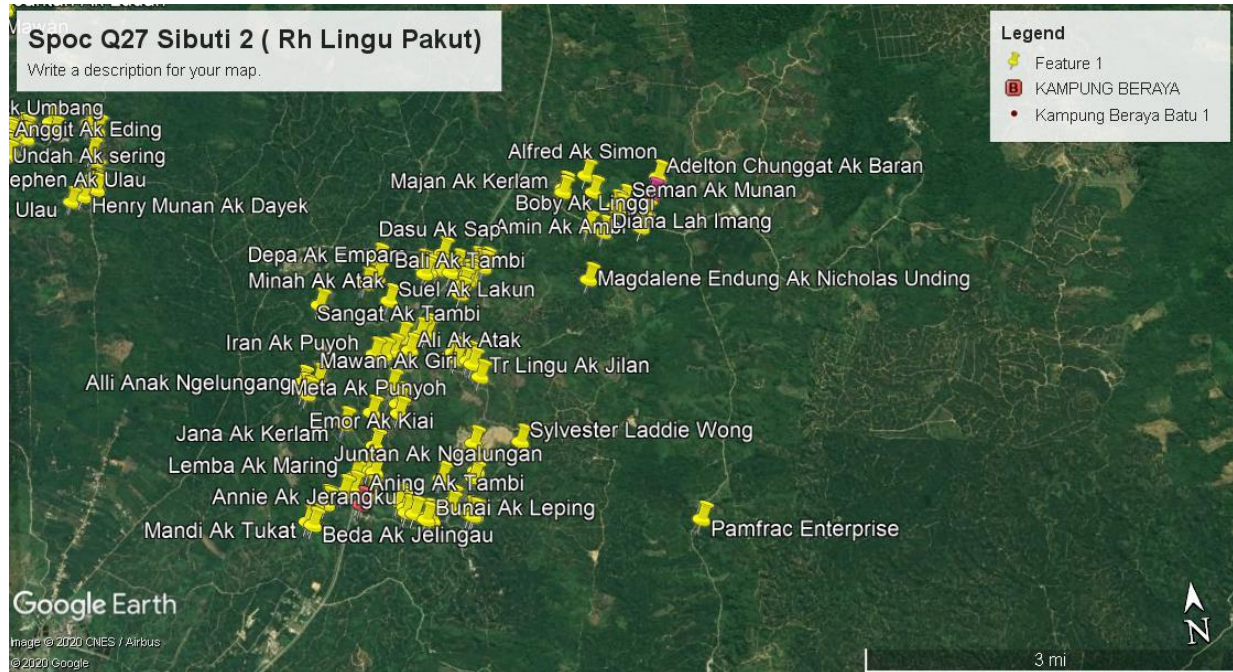


Map number 7



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### 4. CERTIFICATION ASSESSMENT

#### 4.1. ASA 04

The objective of the audit is to assess the activities of MPOB Cawangan SPOC Q27 Sibuti 2 is in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

##### 4.1.1. Surveillance 04:

The surveillance audit is conducted on 05/04/2021 to 09/04/2021.

The number of smallholders in this surveillance audit are 1,852.

The number of smallholders 1,141 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 711.

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

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

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

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

During the surveillance audit, there are 2 Opportunities for Improvement (OFI) are raised.

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

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

#### 4.2. Stakeholders' Consultation

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

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

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TUV NORD (Malaysia) Sdn. Bhd., has published the audit notification on 08/03/2021 to announce the audit of the certified unit. As at audit date on 05/04/2021 there are no comments received.

### 4.3. Summary of Assessment

#### Principle and Criteria Assessment Summary

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

#### Principle 1: Management Commitment & responsibility

Indicator	Summary of Assessment	Compliance
4.1.1.1	SPOC Q27 Sibuti 2 adopted MPOB MSPO Policy document number MSPO/SSCC/POLISI-01, revision 2, updated 01/06/2020 signed by group manager and displayed at the noticeboard.  Virtual photo observation, the policy is publicly available at MPOB office notice board.  Remote document review on SPOC Q27 smallholders personal files, MSPO application form is available, signed and acknowledged by SPOC Q27 group manager.  Phone call interview with sampled smallholders informed they aware on the MSPO policy.	Yes
4.1.2.1	SPOC Q27 Sibuti 2 adopted MPOB list of social and environmental impact and action plan, document number MSPO/SPOC/L-04/ISP, issue no: 3, revision no: 3, effective date: 01/06/2020.  Document review on annual program for year 2021, verify SPOC Q27 group manager has plan for continuous advisory visit on briefing of GAP to smallholders.  Phone interview with sampled smallholders and virtual photo review for smallholders farms verify they practice with recycle and reused of empty chemical containers for chemical spraying.	Yes
4.1.2.2	SPOC Q27 Sibuti 2 distribute latest Warta Sawit 2020 to smallholders through LKN visiting and MSPO Briefing program on 26/09/2020.  Phone call Interviewed with smallholders they obtained new information from SPOC Q27 group manager and received the Warta Sawit when attend training.	Yes

#### Principle 2: Transparency

Indicator	Summary of Assessment	Compliance
4.2.1.1	SPOC Q27 Sibuti 2 adopted MPOB Manual Prosedur Kerja MSPO Kelompok Minyak Sawit Mampan document number MSPO/SPOC/GP-	Yes

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Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
	<p>01/PEK revision number 03, dated 01/06/2020 which include 'Carta Alir Kebolehejakaan Perbelanjaan dan Pendapatan Pekebun Kecil' as a traceability procedure.</p> <p>The guideline include flow chart describing the step approach for delivery of FFB to ramp operator / collection centre or mill with the type of documents.</p> <ol style="list-style-type: none"><li>1. FFB delivered to ramp/ collecting center / mill</li><li>2. Sales receipt</li><li>3. Weighbridge ticket</li><li>4. To kept all the FFB sales and delivery. To be recorded in BRL</li><li>5. SPOC Group Manager will collect records and prepare FFB production summary</li></ol> <p>Phone call interview with with sampled smallholders informed weighbridge tickets copies are maintained.</p>	
4.2.1.2	<p>SPOC Q27 Sibuti adopted MPOB MSPO form for sales and production record document number MSPO/SPOC/GP-01/PEK, effective date 01/06/2020.</p> <p>Remote document review on SPOC Q27 smallholders records of weighbridge tickets verify the tickets issued from respective collection center or mills.</p> <p>Phone call interview with sampled smallholders informed weighbridge tickets copies are maintained.</p>	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p>SPOC Q27 Sibuti2 adopt MPOB legal register document number MSPO/SPOC/L-01/SKU, issue number: 3, rev: 4 dated 01/06/2020.</p> <p>Example:</p> <ol style="list-style-type: none"><li>1. Pesticides Act 1974 (Act 149)</li><li>2. Children and Young Persons (Employment) Act 1966 (Act 350)</li><li>3. Occupational Safety and Health Act 1994 (Act 514)</li><li>4. Prevention and Control of infectious Diseases (Measures within Infected Local Areas) (No.7) Regulation 2020</li></ol> <p>Remote document review on sample smallholders verify, copy of MPOB license is maintained in the smallholders individual file Example of MPOB licence;</p> <ol style="list-style-type: none"><li>1. Smallholder 1, MPOB license valid until 30/06/2022</li><li>2. Smallholder 2, MPOB license valid until 31/12/2025</li></ol>	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	3. Smallholder 3, MPOB license valid until 31/07/2024 Phone interview with sampled smallholders they are aware on legal requirement.	
4.3.2.1	SPOC Q27 Sibuti 2 smallholders land titles are either freehold or NCR land. Land use: Agricultural purposes	Yes
4.3.3.1	SPOC Q27 Sibuti 2 smallholders individual files are reviewed, there are 2 types of land titles as follows: 1. Freehold 2. NCR Freehold land titles issued by Superintendent of Lands & Surveys Sarawak, Miri Division. The NCR titles are acknowledged by "Tuai Rumah"	Yes
4.3.3.2	SPOC Q27 Sibuti 2 smallholders individual files are reviewed remotely. Surat Perakuan established for smallholders with NCR title is acknowledged by Tuai Rumah Kawasan as the rightful owner. The acknowledge land titles include a map for the location.	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	SPOC Q27 Sibuti 2 adopted MPOB Complaint & Grievance guideline and flow chart, doc. no. MSPO/SPOC/SOP-01/AR issues 03 revision 2 dated 01/06/2020. The procedure include: 1. Complaint and grievance form, document no. MSPO/SPOC/F-01/AR 2. Complaints and grievance action taken record Complaint and grievance to be resolved within 14 days as describes in procedure. SPOC Q27 Sibuti 2 group manager is responsible person to handle and resolve incoming complaints. Briefing on the SOP conducted by SPOC Q27 Sibuti 2 group manager dated 26/09/2020 to smallholders. Review the complaint record SPOC Q27 Sibuti 2 there is no complaint received from smallholders as of audit date. During phone Interviewed with smallholders they understand the complaint procedure.	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.2	<p>SPOC Q27 Sibuti 2 adopted MPOB Complaint &amp; Grievance guideline and flow chart, doc. no. MSPO/SPOC/SOP-01/AR issues 03 revision 2 dated 01/06/2020.</p> <p>The complaint and grievance has a table listing the activities to resolve any complaints.</p> <p>The group manager is the responsible person to handle and resolve any complaints.</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>SOP described if complaint received not under the jurisdiction of group manager it will refer to relevant party or MPOB HQ to handle the matter.</p> <p>Phone interviewed with smallholders informed they understand on complaint procedure.</p>	Yes
4.4.2.1	<p>SPOC Q27 Sibuti 2 adopted MPOB Guidelines Occupational Safety and Health guideline, document no. MSPO/SPOC/GP-02/KKP issue: 3 dated 01/06/2020.</p> <p>Scope of the guideline describes:</p> <p>Responsibilities of the group manager and smallholders.</p> <p>Safety work practice for chemical spraying, harvesting and fertilizer application.</p> <p>Smallholders are briefed during MSPO training dated 26/09/2020.</p> <p>SPOC Q27 Sibuti 2 established Training plan for year 2021 include safety training.</p> <p>Phone interviewed with smallholders informed they understand on safe work practices especially for chemical and fertilizer application handling.</p> <p>Smallholders informed they use personnel protective equipment such as rubber glove, apron, face mask and safety boot before application for chemical and fertilizer activity.</p> <p>SPOC Q27 Sibuti 2 Group Manager conduct the briefing during latest MSPO training dated 26/09/2020.</p>	Yes
4.4.3.1	<p>SPOC Q27 Sibuti 2 adopted MPOB "Syarat Mengupah Pekerja Di Kebun Sawit guideline 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 Q27 Sibuti 2 adopted "Terma Penggajian Pekerja", guideline document no: MSPO/SPOC/TPP-01, rev-01 describes rate for specific field work paid to the workers:</p> <p>Example:</p> <p>1. Oil Palm harvesting (RM/mt)</p>	Yes



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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	2. Fertilizer application (RM/beg) 3. Chemical spraying (RM/acre) 4. Pruning (RM/trees) Phone interviewed with smallholders informed there is no hiring of casual or permanent worker. All fields operate by own family or "gotong royong" in long house.	
4.4.3.2	SPOC Q27 Sibuti 2 adopted MPOB 'Syarat Mengupah Pekerja Di Kebun Sawit', document no: MSPO/SPOC/TPP-01, rev-01 describes to provide equal opportunity and treatment regardless of race, religion, colour, sex, political affiliation, nationality, social origin and shall not engage in or support discriminatory practices. Smallholders are briefed during MSPO awareness programme conducted on 26/09/2020. Phone interviewed with smallholders informed they understand the policy and no discriminatory practices.	Yes
4.4.3.3	SPOC Q27 Sibuti 2 adopted MPOB 'Syarat Mengupah Pekerja Di Kebun Sawit', guideline document no: MSPO/SPOC/TPP-01, rev-01 describe the payment method to the casual workers. Phone interviewed with smallholders informed no hiring of casual or permanent workers. All fields are operate by own family or "gotong royong" in long house.	Yes
4.4.3.4	SPOC Q27 Sibuti 2 field photo review no living quarters in the field and confirmed during phone interviewed with smallholders.	Yes
4.4.3.5	SPOC Q27 Sibuti 2 adopted MPOB "Terma Penggajian Pekerja", MPOB guideline document no: MSPO/SPOC/SMP-01 rev-01 for hiring of field workers by smallholders. The guideline document describes the requirement for children and young person as follows: 1. Point no 2. Not at all allow / hire children under the age of 15 years. 2. Point no 3. Does not at all allow/hire young people under the age of 15-18 to perform heavy work in the field. Smallholders are briefed during MSPO training conducted on 26/09/2020. During phone interview with smallholders inform all field operations will be operate by own family or "gotong royong" in long house only.	Yes
4.4.4.1	SPOC Q27 Sibuti 2 established Training plan year 2021. Example of briefing conducted: 1. MSPO awareness briefing. 2. LKN visit for smallholder's farms includes MSPO and GAP briefing.	Yes

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

Indicator	Summary of Assessment	Compliance
	<p>SPOC Q27 Sibuti 2 group manager conduct MSPO training includes MSPO briefing, complaint and grievance process, GAP, environmental, social and safety and health dated 26/09/2020.</p> <p>Phone interviewed with smallholders informed they obtain the knowledge of GAP during MSPO training or group manager briefing during LKN visit.</p>	

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

Indicator	Summary of Assessment	Compliance
4.5.1.1	<p>SPOC Q27 Sibuti 2 adopted MPOB 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>Activity: Chemical spraying</p> <p>Environmental impact: May cause water pollution to the river or stream</p> <p>SPOC Q27 Sibuti 2 conducted training for smallholders on environmental impact on 26/09/2020.</p> <p>Phone interview with smallholders informed they aware on protection of environment especially protection on wildlife and buffer zone.</p>	Yes
4.5.2.1	<p>There is no renewal energy used by SPOC Q27 Sibuti 2 smallholders.</p> <p>These is confirmed through phone interviewed with smallholders and photos verification.</p>	Yes
4.5.3.1	<p>SPOC Q27 Sibuti 2 adopted MPOB guidelines for Managing Scheduled Waste, document no: MSPO/SSCC/SOP-03/BT, revision 01, issue 03 dated 01/06/2020.</p> <p>Example:</p> <p>List of wastes generate from agriculture: Fronds</p> <p>List of wastes generate from non-agriculture: Empty fertilizer begs</p> <p>During phone interview with SPOC Q27 Sibuti 2 smallholders informed they understand on managing of wastes such as reused the fertilizer bags for loose fruit collection and empty chemical containers can be recycle and reused after triple rinsing.</p>	Yes
4.5.3.2	<p>SPOC Q27 Sibuti 2 adopted MPOB guidelines for 'Pengendalian dan Perlupusan Bahan Kimia', doc no: MSPO /SSCC/SOP-03/BT, revision 01, issue 03 dated 01/06/2020.</p> <p>SOP describes to 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>Phone interviewed with SPOC Q27 Sibuti 2 smallholders informed they are aware that empty chemical containers need to rinse 3 times before</p>	Yes



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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	disposed or reused and labeled with "x" if not reused for chemical spraying activity.  Virtual field observation through photos to SPOC Q27 Sibuti 2 smallholders observed the empty chemical containers is labeled with "x".	
4.5.4.1	<p>SPOC Q27 Sibuti 2 adopt MPOB guidelines 'Garis Panduan Zon Penampunan Sungai', document number: MSPO/SSCC/GP-03/ZPS, issue 03 dated 01/06/2020.</p> <p>The guidelines describes the responsibility of smallholders to take care of environmental at the buffer zone from polluting by chemical.</p> <p>SPOC Q27 Sibuti 2 adopt MPOB guidelines 'Garis Panduan Pelan Daya Ekonomi Dan Kewangan', document number: MSPO/SSCC/GP-01/PEK, revision 03, issue 03 dated 01/06/2020.</p> <p>Point 3 of guideline describes pruning arrangement of frond at the contour of the terrace and between rows at the flat area, to retain the water and soil conservation.</p> <p>SPOC Q27 Sibuti 2 conducted training for smallholders on environmental impact on 26/09/2020.</p> <p>Phone interviewed with SPOC Q27 Sibuti 2 smallholders informed they aware and understand that chemical application is not allowed at buffer zone area.</p>	Yes
4.5.4.2	SPOC Q27 Sibuti 2 smallholders practice rain harvesting for field operations using empty drums and pits.	Yes
4.5.5.1	<p>SPOC Q27 Sibuti 2 establish list of wildlife in Sibuti, Miri district dated 31/12/2020.</p> <p>Review on the submitted photos of a poster of totally protected wildlife of Sarawak is displayed at MPOB SPOC Q27 Sibuti 2 office.</p> <p>Example:</p> <ol style="list-style-type: none"> <li>1. Wild boar</li> <li>2. Crocodile</li> </ol> <p>Phone interview with SPOC Q27 Sibuti 2 smallholders informed they observe monkey and squirrels in their field.</p>	Yes
4.5.6.1	<p>SPOC Q27 Sibuti 2 adopted MPOB Guidelines Garis panduan Amalan Pembakaran Sifar doc no: MSPO/SPOC/GP-04/APS, revision 01, issue 03 dated 01/06/2020.</p> <p>The SOP describe:</p> <ul style="list-style-type: none"> <li>• To ensure smallholders aware of environmental impact by practicing zero burning.</li> </ul> <p>SPOC Q27 Sibuti 2 conducted training for smallholders on environmental impact during MSPO awareness training dated 26/09/2020.</p> <p>Review on submitted photos for SPOC Q27 Sibuti 2 smallholder's farms, no sign of opening burning in the field.</p>	Yes

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

Indicator	Summary of Assessment	Compliance
	Phone interview with SPOC Q27 Sibuti 2 informed they are aware that open burning is prohibited by the Sarawak state law.	

### Principle 6: Best Practices

Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>SPOC Q27 Sibuti 2 briefed on Good Agriculture Practice (GAP) to smallholders during MSPO programme on 26/09/2020.</p> <p>Virtual photo observation for smallholders' farms verify the implementation of good agricultural practice such as:</p> <ol style="list-style-type: none"><li>1. Proper stacking of fronds.</li><li>2. Good maintenance of harvesting path.</li><li>3. Proper palm pruning.</li></ol> <p>Phone call interview with smallholders informed they aware on good agricultural practices on their fields to meet MPOB guidelines.</p>	Yes
4.6.1.2	<p>SPOC Q27 Sibuti 2 established signage as smallholders farms information consist of smallholders name, farm size, and year of planting.</p> <p>Virtual photo observation, SPOC Q27 sampled smallholders established and displayed signaged at their farms.</p>	Yes
4.6.2.1	<p>SPOC Q27 Sibuti 2 adopt MPOB Guideline Economic and Financial Plan, MSPO/SPOC/GP-01/PEK, issue 3, revision 3 dated 01/06/2020.</p> <p>Remote document review verify evidence of budget plan for MSPO training and LKN visit SPOC Q27 Sibuti 2. The budget includes MSPO training, LKN and miscellaneous expenses.</p>	Yes
4.6.3.1	<p>SPOC Q27 Sibuti 2 monitors FFB pricing on monthly basis through input from selected mills/ ramps or dealers for fair price.</p> <p>Phone call interview with sampled smallholders informed FFB price obtained through daily FFB price displayed at mill or collection center notice board.</p>	Yes

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Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	<p>SPOC Q27 Sibuti 2 smallholders database is review with 1<sup>st</sup> planting in 1979 and latest replanting in year 2019.</p> <p>There is one new planting in year 2020 for a new member.</p> <p>Document review of MSPO application form, MPOB verify the land as NCR land.</p>	Yes
4.7.2.1	<p>SPOC Q27 Sibuti 2 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 new planting in year 2020 has been verified by MPOB prior to approval for certification purposes.</p> <p>Document review of MSPO application form and smallholder databased for new planting area, information verify;</p> <p>1. The soil type is Mineral Soil (Pendalaman) and suitable for new planting.</p>	Yes
4.7.3.1	<p>SPOC Q27 Sibuti 2 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 new planting 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>Document review of MSPO Application form for new planting area year 2020, information verify;</p> <p>1. New planting area is not 25° and above.</p> <p>2. Land topography for replanting area is 0° to 6° (flat and undulating).</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>	

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### 4.5. Detail of Audit Findings in last Audit

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

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

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

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

Nr.	Indicator	Description	Location	Opportunity for Improvement
1	4.3.1.1	Independent smallholders shall show awareness of compliance with all applicable local, state, national and ratified international laws and regulations. (MAJOR)	Office	SPOC Q27 Sibuti 2 may improve monitoring on MPOB licenses.
2	4.4.4.1	Independent smallholders are encouraged to seek knowledge to increase their competency in oil palm management. (MINOR)	Smallholders' farms	SPOC Q27 Sibuti 2 smallholders may improve awareness in good agriculture practices.
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 the Kod Amalan Baik (GAP) Pekebun Kecil. (MINOR)	Office	SPOC Q27 Sibuti 2 may improve information in MSPO Application forms.

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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 Q27 Sibuti 2 consisting of 1,854 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:	1,852	
Total certified acreage of smallholders:	12,459.50	Ha
Certified FFBs output January to December 2020:	128,313.11	Mt
Certified FFBs output January to February 2021:	20,891.97	Mt
Projected FFBs output March to December 2021:	127,600.00	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, 28/04/2021

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

Puchong, 28/04/2021

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

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### 7. LIST OF STAKEHOLDERS

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

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

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

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

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

Salvo clause:

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

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

### Annex / Enclosures

Annex /  
corresponding audit documentation

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