



# MSPO CERTIFICATION SUMMARY REPORT

## SPOC S11 NABAWAN & TENOM

SURVEILLANCE 11

Onsite Audit Date: 03/10/2022 – 06/10/2022

TUV NORD (Malaysia) Sdn Bhd  
No. 9F-1A, 9<sup>th</sup> Floor, Tower 2 @ PFCC  
Jalan Puteri 1/2, Bandar Puteri Puchong  
47100 Puchong, Selangor.  
Phone: +603 8600 4031/4032  
Fax: +603 8600 4550

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# MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board (MPOB)  
Certifying Unit: SPOC S11 Nabawan & Tenom  
Client Number: 92-070  
Audit Type: Surveillance 11  
Mode of Audit: Onsite

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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 eleven (11) audit for SPOC S11 Nabawan & Tenom 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 S11 Nabawan & Tenom 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 S11 Nabawan & Tenom in managing the independent smallholders' scheme.

The supporting documents are provided to the audit team as well as information received by means of interviews and background investigation.

The documents and information are reviewed against the requirements and criteria mentioned below. TÜV NORD has employed a risk-based approach in the verification, focusing on the identification of significant risks and reliability of the monitoring and reporting.

The assessment is carried out on the basis of the MS 2530-2:2013: Part 2: General principles for independent smallholders.

The following references are used as part of the assessment; the compliance of the requirements out of the guidelines applied was checked:

1. Kod Amalan Baik (GAP) Perkebun Kecil, Malaysia Palm Oil Board;
2. Guidelines for Development of a Standard Operating Procedure for Oil Palm Cultivation on Peat.

### 1.3. Appointment & Qualification of Audit Team Members

The audit team appointed consists of the team leader and two team members. The team contribute to the review of documents, assessment of the project activity and preparation of the report.

#### Qualification of the Lead Auditor: Mohamad Norhisham Bin Mohd Salleh

Requirement	Qualifications
Post-secondary education, college or university diploma / degree in one of the following i) Agriculture; ii) Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences,); iii) Engineering, Process Technology; iv) Energy Management, Quality Management;	Graduate in Applied Science (Major In Agrobiology).

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Requirement	Qualifications
v) Social Sciences and/or Anthropology; vi) Business Management; or vii) Other relevant related fields	
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	5 years working experience in oil palm plantations.
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	5 years working experience in oil palm plantations.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	5 years working experience in oil palm plantations.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed ISO 9001:2015 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 ISO 45001:2018 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 14001:2015 Lead auditor course.
Completed High Conversation Value assessment	Attended and completed the HCV-HCS for producer 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	Muhamad Anuar Bin Hasan Khairul Bin Azizul	Graduate in Plantation Industry and Management.	Yes
	Khairul Ismail Anwar Bin	Graduate In Agricultural 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)	Muhamad Anuar Bin Hasan Khairul Ismail	7 years working experience in oil palm plantations.	Yes
	Khairul Ismail Anwar Bin	5 years working experience in oil palm plantations.	Yes
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Muhamad Anuar Bin Hasan Khairul Ismail	Successfully completed MS2530 series of standards for Lead Auditors.	Yes
	Khairul Ismail Anwar Bin	Successfully completed MS2530 series of standards for Lead Auditors.	Yes
Conducted a minimum six (6) on-site audits for a total of at least 20 man-days of audit experience as an auditor-in-training under the direction and guidance of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes.	Muhamad Anuar Bin Hasan Khairul Ismail	Qualified and appointed as Lead auditor for MS2530 scheme	Yes
	Khairul Ismail Anwar Bin	Qualified and appointed as Lead auditor for MS2530 scheme.	Yes

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Requirement	Name Assessor	Qualification	Compliance
Field working experience in the palm oil sector or demonstrable equivalent	Muhamad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantations.	Yes
	Khairul Anwar Bin Ismail	5 years working experience in oil palm plantations.	Yes
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Muhamad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantations.	Yes
	Khairul Anwar Bin Ismail	5 years working experience in oil palm plantations.	Yes
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Muhamad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course.	Yes
	Khairul Anwar Bin Ismail	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course.	Yes
Health and safety auditing on the farms processes and activities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Muhamad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 45001:2018 Lead Auditor course.	Yes
	Khairul Anwar Bin Ismail	Successfully completed IMS ISO 45001:2018 Lead Auditor course.	Yes
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Muhamad Khairul Anuar Bin Azizul Hasan	Successfully completed Basic SA 8000 training.	Yes
	Khairul Anwar Bin Ismail	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	Muhamad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 14001:2015 Lead auditor course and auditor for MSPO scheme.	Yes
	Khairul Anwar Bin Ismail	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	Muhamad Anuar Bin Hasan Khairul Bin Azizul	Attended and completed the HCV-HCS for producers online course.	Yes
	Khairul Ismail Anwar Bin	Attended and completed the HCV-HCS for producers online course.	Yes
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Muhamad Anuar Bin Hasan Khairul Bin Azizul	Able to communicate in Bahasa Malaysia and English.	Yes
	Khairul Ismail Anwar Bin	Able to communicate in Bahasa Malaysia and English.	Yes



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## 2. METHODOLOGY

The audit approach consists of the following steps:

- Appointment of team members;
- Contact client for relevant documentation according to the applicable MSPO standards;
- Latest smallholders list;
- Audit planning;
- Background investigation, desk review of submitted documents;
- Assessment, inspections, interviews SPOC personnel,; review of documentation;
- Review of SPOC management system;
- Reporting;
- Resolution of non-conformance (NC) (if any);
- Draft audit reporting;
- Technical review;
- Final audit reporting;
- Final approval, certification decision and issuance of certificate.

### Surveillance Eleven (11) Audit:

Surveillance eleven (11) audit conducted onsite from 03/10/2022 – 06/10/2022 covering the following activities but not limited to below:

#### Onsite:

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

#### Onsite

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

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

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

The group of smallholders consists of 85 new members and 1,094 old members. The total number of smallholders for this audit are 1,179.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size  $S = 1.5\sqrt{1,179} = 51.50$  round up to the next integral 52.

As per OPMC 2 issue 2, from the sample size, the number of the new members are  $52 \times 75\% = 39$  and number of existing members are  $52 \times 25\% = 13$ .

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

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

Name	GPS Coordinates
Existing members	
Ariffin Bin Antikoh	5° 8'32.62" N, 118° 4'49.42" E
Anduhut Bin Likor	5°28'6.4" N, 118°30'3.4" E
Felix Bin Tulangkou	5°28'2.77" N, 118°29'8.75" E
Kim lun Bin nPingu @Pingu	5°28'3.85" N, 118°30'1.19" E
Parimin Bin Lauti	5°28'6.4" N, 118°29'9.24" E
Lee Yun Bin Penggoh	5°28'2.31" N, 118°29'9.60" E
Timpai @Timpai Bin Baigon	5°28'3.57" N, 118°29'9.96" E
Busak Binti Fadan	5°36'37.40" N, 118°16'12.42" E
Wong Fook Min	5°36'37.57" N, 118°16'13.99" E
Nining Binti Atui	5°36'35.69" N, 118°16'12.09" E
Jahali Bin Antau	5°36'35.66" N, 118°16'14.44" E
Zubaidah Binti Rusi	5°36'35.96" N, 118°16'16.62" E
Kauseh Bin Nuing	5°36'34.52" N, 118°16'15.63" E

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Name	GPS Coordinates
<b>New members</b>	
Sapiring Bin Onsomok	5°36'36.12" N, 118°16'17.22" E
Johannes Bin Epatan	5°36'32.02" N, 118°16'11.88" E
Rusnani Binti Sibawon	5°36'37.51" N, 118°16'15.51" E
Sulpakali Kainsor	5°36'37.31" N, 118°16'17.32" E
Asang Bin Lasuan	5°27'6.13" N, 118° 5'30.03" E
Bannat Salarong	5°26'59.52" N, 118° 5'30.25" E
Ted Bobfe Tanis	5°27'8.46" N, 118° 5'29.91" E
Helter Jainol	5°27'2.80" N, 118° 5'29.72" E
Yasnie Bin Samaan	5°34'14.68" N, 117°53'7.93" E
Sofia Binti Anggang	5°28'22.47" N, 118° 5'26.47" E
Jeckuani Juhani	5°26'6.14" N, 118° 4'23.09" E
Juliani Juhani	5°30'39.37" N, 118°16'26.17" E
Tampui Bin Bokol	5°34'23.85" N, 117°52'39.11" E
Dleyani Yakus	5°32'16.07" N, 118° 7'57.97" E
Saumin Sapitai	5°33'51.53" N, 117°55'4.13" E
Ampat Bn Soromon	5°25'51.69" N, 118° 3'14.38" E
Kinah Bte Andigos	5°30'58.84" N, 118°16'19.38" E
Sam Bin Sigar	5°25'59.09" N, 118° 3'20.26" E
Masang Bin Singgilon	5°26'52.40" N, 118° 5'7.76" E
Titus Takinon	5°33'58.37" N, 117°51'5.42" E
Johnnairi Bin rabin	5°26'27.51" N, 118° 4'40.66" E

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Name	GPS Coordinates
New members	
Lawrance Bin Angnsuk	5°33'31.39" N, 118° 5'6.76" E
Rikah Binti Sukai	5°31'2.21" N, 118°16'22.29" E
Suin Bin Sait	5°26'54.13" N, 118° 5'15.12" E
Wong tet Loi @ Wong Su Loi	5°26'54.78" N, 118° 5'19.11" E
Karistina Binti Antikoh	5°26'40.89" N, 118° 5'8.08" E
Yong Yun Zon	5°26'44.40" N, 118° 5'28.29" E
Albiaan Bin Anam	5°29'53.31"N, 118°12'43.47" E
Jainno Bin Rasam	5°29'16.15" N, 118°12'59.09" E
Murni Binti Rasam	5°33'29.50" N, 118° 7'51.62" E
Jailih Bin Sasau	5°32'44.78" N, 118° 8'1.21" E
Baselin Bin Rasam	5°32'41.46" N, 118° 7'48.66" E
Sarius Asau	5°26'48.13" N, 118° 5'8.06" E
Mariam Binti Bokulon	5°26'45.82" N, 118° 5'8.27" E
Juvinus Bin Kintus	5°34'55.91" N, 118° 7'40.62" E
Lagud Plantation	5°33'26.59" N, 118° 6'21.49" E
Voo Lee Fun	5°35'24.47" N, 118° 8'4.11" E
Voo Lee Ching	5°20'22.08" N, 119° 1'21.49" E
Chong Chee Vui	5° 9'10.82" N, 118°17'26.45" E

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### **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 S11 Nabawan & Tenom is a branch of MPOB located at Pejabat MPOB Caw. Keningau, Tingkat 1, Lot 13, Bariawa Shop House, Jalan Bank Bumiputera, 89008 Keningau, Sabah 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 Tenom & Nabawan district.

The smallholders in Tenom & Nabawan as shown in the below maps.



Figure 1: Smallholders location for SPOC S11 Nabawan & Tenom.

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Figure 2: Smallholders location for SPOC S11 Nabawan & Tenom.



Figure 3: Smallholders location for SPOC S11 Nabawan & Tenom.

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Figure 4: Smallholders location for SPOC S11 Nabawan & Tenom.



Figure 5: Smallholders location for SPOC S11 Nabawan & Tenom.



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### 4. CERTIFICATION ASSESSMENT

#### 4.1. ASA 11

The objective of the audit is to assess the activities of MPOB Cawangan SPOC S11 Nabawan & Tenom are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

##### 4.1.1. Surveillance 11 Audit:

The surveillance audit is conducted from 03/10/2022 to 06/10/2022..

The number of smallholders in this surveillance audit are 1,179.

The number of smallholders 1,094 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 85.

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

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

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

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

During this surveillance 11 audit, there are two OFI raised.

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

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

#### 4.2. Stakeholders' Consultation

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

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

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Therefore, there is no physical stakeholders consultation conducted for this surveillance audit. TUV NORD (Malaysia) Sdn. Bhd., has published the audit notification on 02/09/2022 to announce the audit of the certified unit. As at audit date on 03/10/2022 there are no comments received.

### 4.3. Summary of Assessment

Principle and Criteria Assessment Summary	
<p>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.</p>	

Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
4.1.1.1	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB MSPO Policy, doc no: MSPO/SSCC/POLISI-01, revision 3 dated 01/08/2021.</p> <p>MSPO policy is publicly displayed at MPOB office notice board.</p> <p>Document review on smallholders individual file verify MSPO policy is include in MSPO application form signed by SPOC S11 Nabawan &amp; Tenom Group Manager and smallholders.</p> <p>Field interviews with sampled smallholders informed they have been briefed on the MSPO policy.</p>	Yes
4.1.2.1	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB list of social and environmental impact and action plan, document no: MSPO/SPOC/L-04/ISP, issue no: 4, revision no: 4, effective date: 01/06/2021.</p> <p>The assessment includes activity, impact and action plan.</p> <p>Example:</p> <p>Activity: Spraying</p> <p>Impact: Generate empty chemical containers</p> <p>Action plan: Triple rinsed and label the empty chemical containers and store in designated place.</p> <p>Field interviews with sampled smallholders informed they practices triple rinsed and the empty chemical containers was marked with 'X' and store at designated place.</p>	Yes
4.1.2.2	<p>SPOC S11 Nabawan &amp; Tenom distribute latest Warta Sawit to smallholders during MSPO briefing on 28/09/2021.</p> <p>Those who did not attended the briefing will receive a copy during LKN (GAP) visit.</p> <p>Field Interviews with sampled smallholders informed they obtained new information from group manager and received the Warta Sawit when attend training.</p>	Yes

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Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB Guidelines for Economic and Financial Power Plans doc no MSPO/SSCC/GP-01/PEK, issue no.: 4, rev: 4 dated 01/06/2021.</p> <p>The guideline has a flow chart describing the steps approach for delivery of FFB to collection center or mill with the type of documents:</p> <ol style="list-style-type: none"> <li>1. Sales receipt;</li> <li>2. Weighbridge ticket;</li> <li>3. Transfer records to BRL;</li> <li>4. Keep Receipt;</li> <li>5. SPOC will collect records and prepare summary.</li> </ol> <p>Document review verify weighbridge tickets are kept by smallholders.</p> <p>Field interviews with sampled smallholders informed they kept the weighbridge ticket for traceability purposes.</p>	Yes
4.2.1.2	<p>SPOC S11 Nabawan &amp; Tenom group manager maintain records of FFB production and sales of each smallholder.</p> <p>Document review verify SPOC S11 Nabawan &amp; Tenom maintain copy of FFB sales and weighbridge ticket in smallholders individual file.</p> <p>Field interviews with sampled 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 S11 Nabawan &amp; Tenom adopted MPOB Senarai Keperluan Undang-Undang (Sabah), document no: MSPO/SPOC/L-01/SKU, version: 7, dated 01/06/2021.</p> <p>Example of laws listed:</p> <ol style="list-style-type: none"> <li>1. Akta 127: Akta Kualiti Alam Sekeliling 1974;</li> <li>2. Ordinan Buruh Sabah;</li> <li>3. Akta 149: AKta Racun Makhluk Perosak 1974;</li> <li>4. Akta 342: Perintah Pencegahan dan Pengawalan Penyakit Berjangkit (Pindaan Jadual Pertama) 2020;</li> <li>5. Perintah Gaji Minimum 2022.</li> </ol> <p>Briefing on legal compliance has been conducted on 07/09/2022.</p> <p>Document review on sample smallholders verify, copy of MPOB license is maintained in the smallholder's individual file with validity from 17/06/2022 to 31/05/2027.</p>	Yes

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<b>Principle 3: Compliance to legal requirements</b>		
Indicator	Summary of Assessment	Compliance
	Field interviews with sampled smallholders informed they are aware on legal requirement.	
4.3.2.1	Type of land title for SPOC S11 Nabawan & Tenom smallholders are either country lease or Native title or Permohonan Tanah (PT) issued by Sabah Land Department.  Stated in the land title either industry, oil palms, or for agricultural purposes.  Reviewed letter from GM SPOC S11 Nabawan & Tenom to MPOB headquarters, dated 29/09/2022 regarding the list of 11 smallholders under process of changing land use right.	Yes
4.3.3.1	SPOC S11 Nabawan & Tenom, smallholders are either country lease, native title or Permohonan Tanah (PT) status.  The native title is issued by Sabah Land Department with smallholders name and used for agricultural crop of economic value.  Document review on the land title map shows the detail of land and ownership.	Yes
4.3.3.2	SPOC S11 Nabawan & Tenom smallholders who hold native land title are issued by Sabah Land Department.  Site inspection and verification on the land title map shows the detail of land ownership and boundary stones used to indicate boundary.	Yes

<b>Principle 4: Social Responsibility, health, safety and employment conditions</b>		
Indicator	Summary of Assessment	Compliance
4.4.1.1	SPOC S11 Nabawan & Tenom adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 04, revision 02 dated 01/06/2021.  The SOP describes; <ol style="list-style-type: none"> <li>1. The flow chart in the SOP describes grievance and complaint process is to be resolved within 14 days;</li> <li>2. Group manager is in charge in handling the complaint and grievances;</li> <li>3. Grievance and complaint records are archived and maintained.</li> </ol> Review on 'Taklimat MSPO' report verified the complaint and grievances procedure has been briefed to smallholders dated 07/09/2022.  Field interviews with sampled smallholders informed they understand the complaint and grievance procedure and process flow.	Yes
4.4.1.2	SPOC S11 Nabawan & Tenom adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 04, revision 02 dated 01/06/2021.  Review the SOP stated time line to resolve disputes within 14 days.	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<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 complaints outside the scope of the group manager it will refer to other parties or MPOB HQ.</p> <p>Field interviews with sampled smallholders informed they have been briefed on complaint and grievance process.</p>	
4.4.2.1	<p>SPOC S11 Nabawan &amp; Tenom adopt MPOB Guidelines Occupational Safety &amp; Health, document number MSPO/SPOC/GP-02/KKP, issue: 3, revision: 0 effective date: 01/06/2021.</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>Document reviewed on ‘Taklimat MSPO’ report, safety and health training has been conducted on 07/09/2022.</p> <p>Field interviews with sampled smallholders informed they have been briefed on importance of safety and health during working in field.</p> <p>Example:</p> <p>Wearing of PPE for chemical spraying activity: Apron, face mask, goggle, safety boot, rubber hand glove and safety helmet.</p>	Yes
4.4.3.1	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p> <p>The form included payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning.</p> <p>Field interviews with sampled smallholders informed, they working by themselves or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.2	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB MSPO application form with a statement “provide equal opportunity and treatment regardless of race, colour, sex, religion, political affiliation, nationality, social origin and shall not engage in or support discriminatory practices.</p> <p>SPOC S11 Nabawan &amp; Tenom adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p> <p>There are no complaints related to discrimination during documents review.</p> <p>Field interviews with sampled smallholders informed no discrimination occurs.</p>	Yes
4.4.3.3	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p>	Yes

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<b>Principle 4: Social Responsibility, health, safety and employment conditions</b>		
Indicator	Summary of Assessment	Compliance
	<p>The form has included payment rates for operational activities such as harvesting, chemical spraying, manuring and pruning.</p> <p>Field interviews with sampled smallholders informed they are working by themselves and assisted by family members in carrying out field operations or hiring casual workers.</p>	
4.4.3.4	Field visit and interview call interview with sampled smallholders SPOC S11 Nabawan & Tenom farm informed there is no on-site living quarters.	Yes
4.4.3.5	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p> <p>The form describe:</p> <ul style="list-style-type: none"> <li>Not to employ young workers below the age of 15-18 years old, for working in dangerous and heavy work.</li> </ul> <p>Field interviews with sampled smallholder's farms informed no hiring of underage workers in the field.</p>	Yes
4.4.4.1	<p>SPOC S11 Nabawan &amp; Tenom established training programme year 2021. The training programme include 'Taklimat MSPO, GAP and LKN visit.</p> <p>Review on training record year 2021 verified there is training carried out for smallholders.</p> <p>Example:</p> <p>Title: Taklimat MSPO;</p> <p>Date: 07/09/2022.</p> <p>Field interviews with sampled smallholders informed they have been briefed on MSPO implementation in farms.</p>	Yes

<b>Principle 5: Environment, natural resources, biodiversity and ecosystem services</b>		
Indicator	Summary of Assessment	Compliance
4.5.1.1	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB List of Social and Environmental Impact and Action Plan, document number MSPO/SSCC/I-04/ISP, revision 04, issue 04 dated 01/06/2021.</p> <p>Example of environmental impact and action plan:</p> <p>Activity: Chemical Spraying;</p> <p>Environmental impact: Empty containers;</p> <p>Action Plan: Triple rinsed, punctured and kept in the stores.</p> <p>SPOC S11 Nabawan &amp; Tenom briefed smallholders on the environmental topics on 07/09/2022.</p> <p>Field visits at sampled smallholders farms observed there are no over spray activities observed in the smallholders farm.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Field interviews with sampled smallholders informed they have been briefed on environmental impacts on empty chemical container.	
4.5.2.1	There is no usage of renewable energy by the SPOC S11 Nabawan & Tenom smallholders.  Field interviews with sampled smallholders informed they do not use renewable energy at farms.	Yes
4.5.3.1	SPOC S11 Nabawan & Tenom adopted MPOB List of Scheduled and Domestic Wastes MSPO/SPOC/L-03/SRD Issue 4 rev 1 effective date 01/06/2021.  Document review of waste record, GM SPOC include the monitoring of empty containers from smallholders fields updated 01/06/2022  Review of MSPO training reports dated 07/09/2022, briefing included the agenda of managing and disposal of empty chemical containers.  Field visits at sampled smallholder's farms observed, empty chemical containers marked with 'X' and kept in stores.  Field interviews with sampled smallholders informed empty chemical containers will be recycle and reused after triple rinsing.	Yes
4.5.3.2	SPOC S11 Nabawan & Tenom adopted MPOB SOP for Scheduled Waste Management, doc no: MSPO/SPOC/SOP-04/BT issue 4 revision 4 effective date 01/06/2021.  The SOP describe:  1. To conduct triple rinsing for each empty chemical container before disposed;  2. To put marking on empty chemical container for chemical mixing purposes;  3. All scheduled waste shall be disposal according to the Environmental Quality (Scheduled waste) Regulations, 2015.  SPOC S11 Nabawan & Tenom established "Rekod Pengurusan Bahan Buangan Terjadual Tahun 2022" established by SPOC S11 for monitoring of scheduled waste generated such as empty chemical containers and fertilizer bags.  Field interviews with sampled smallholders, informed empty chemical containers need to rinse 3 times before reused and marked with 'X'.	Yes
4.5.4.1	SPOC S11 Nabawan & Tenom adopt MPOB guidelines River Buffer Zone, doc no: MSPO/SPOC/GP-03/ZPS, issue 4 dated 01/06/2021.  The SOP describes:  1. Guideline on buffer zone length;  2. No activities such as chemical spraying and manuring;  3. Flow chart on buffer zone establishment.	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	<p>SPOC S11 Nabawan &amp; Tenom conduct briefing on environmental protection include buffer zone topics dated 07/09/2022.</p> <p>Field interviews with smallholders informed they understand the need to conserve the buffer zone areas and not to carry out any chemical spraying or manuring activity near the waterways.</p>	
4.5.4.2	<p>SPOC S11 Nabawan &amp; Tenom smallholders practice rain harvesting.</p> <p>Field interviewed with smallholders informed they practice rain harvesting using empty drums for chemical spraying activity and washing purpose.</p>	Yes
4.5.5.1	<p>SPOC S11 Nabawan &amp; Tenom adopted list of totally protected plants and wildlife from Wildlife Department of Keningau, document no.: JHL.KGU.100-0/1jid.13/33 dated 05/10/2022.</p> <p>Example:</p> <ol style="list-style-type: none"> <li>1. Sun bear;</li> <li>2. Sunda clauded leopard;</li> <li>3. Sunda pangolin;</li> <li>4. Pygmy elephant.</li> </ol> <p>SPOC S11 Nabawan &amp; Tenom briefed smallholders on protection of wildlife dated 07/09/2022.</p> <p>Review on wildlife posters are displayed at the MPOB Keningau notice board.</p> <p>Filed interviews with sampled smallholders informed they have sighted monkey and squirrel within their farm.</p>	Yes
4.5.6.1	<p>SPOC S11 Nabawan &amp; Tenom adopted MPOB Guidelines Zero Burning Practices, doc. No. MSPO/SPOC/GP-04/APS, issue 4 rev. 1, effective date 01/06/2021.</p> <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>SPOC S11 Nabawan &amp; Tenom conduct briefing on zero burning to smallholders dated 07/09/2022.</p> <p>Field visits at sampled smallholder's farms, there are no signs of open burning within the smallholders' farms.</p>	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>SPOC S11 Nabawan &amp; Tenom conducted GAP briefing for harvesting, manuring, chemical application and PPE usage dated 07/09/2022.</p> <p>Field interviews with sampled smallholders informed they had been briefed on GAP implementation in their farm.</p>	Yes



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Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
	Field visits at sampled smallholders farms observed implementation of good agricultural practice on frond stacking and proper palm pruning.	
4.6.1.2	<p>Field visit at SPOC S11 Nabawan &amp; Tenom smallholders' field, field signage displayed at their farm.</p> <p>Information included in the signage are:</p> <ul style="list-style-type: none"> <li>• Land owner;</li> <li>• Lot number;</li> <li>• Total area;</li> <li>• Year planting.</li> </ul>	Yes
4.6.2.1	<p>SPOC S11 Nabawan &amp; Tenom established SOP, 'Garis Panduan Pelan Daya Ekonomi dan Kewangan', doc no: MSPO/SPOC/GP-01/PEK, issue no: 4, date effective: 01/06/2021.</p> <p>The procedure described the expenses and income management for smallholders.</p> <p>From document review of smallholder file, SPOC GM include smallholders name into budget for land conversion to oil palm issued to MPOB HQ dated 29/09/2022.</p> <p>Example:</p> <p>Smallholder Name: X;</p> <p>Planted Area: 5.95 ha;</p> <p>Current land terms in grant: Fruit.</p>	Yes
4.6.3.1	<p>SPOC S11 Nabawan &amp; Tenom established monthly MPOB FFB mill price at office notice board and via WhatsApp group.</p> <p>Field interviews with sampled smallholders inform they have access to the FFB prices via phone call, WhatsApp group, MPOB portal, MPOB office notice board and FFB price display on mill or dealer's weighbridge.</p>	Yes

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Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	SPOC S11 Nabawan & Tenom smallholders' database is review with first planting in year 1990 and latest replanting in year 2020. There are no new planting for old members and new members. Therefore, no assessment on high biodiversity value area.	Yes
4.7.2.1	SPOC S11 Nabawan & Tenom smallholders' database is review with first planting in year 1990 and latest replanting in year 2020. There are no new planting for old members and new members. Therefore, no assessment on type of soil.	Yes
4.7.3.1	SPOC S11 Nabawan & Tenom smallholders' database is review with first planting in year 1990 and latest replanting in year 2020. There are no new planting for old members and new members. Therefore, no data available for type of terrain available.	Yes

## 4.4. Status of Non-Conformities Previously Identified

	The stage 1 audit findings of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address identified audit findings. Details of the follow up action taken on stage 1 audit findings were recorded in the Stage 1 audit report.
<b>X</b>	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address any nonconformity identified.
	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS NOT been implemented effectively. Non-conformity will be re-raised.
	No non-conformity raised in previous audit.
<p><i>Note 1: If a minor non-conformity raised in last audit, is not closed out, the finding will be raised to a Major non-conformity.</i></p> <p><i>Note 2: All major and minor NCs raise in last audit are required to capture in this report together with the review of the non-compliance implementation.</i></p>	

## 4.5. Detail of Audit Findings in last Audit

AUDIT OUTCOME		
During last audit	0	<b>MAJOR Non-Conformities</b>
	0	<b>MINOR Non-Conformities</b>

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

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

ON-SITE AUDIT OUTCOME		
During this onsite audit,	0	<b>MAJOR Non-Conformities</b>
	0	<b>MINOR Non-Conformities</b>

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Nr.	Indicator	Description	Location	Opportunity for Improvement
1.	4.1.2.1	The action plan for continual improvement shall be based on the consideration for the main social and environmental impact and opportunities of the independent smallholder's group, such as SPOC. Independent smallholders shall be aware of the need to understand the importance of continuous improvement.	Office	SPOC S11 Nabawan & Tenom could improve CIP on PT (Permohonan Tanah) action plan.
2.	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.	Field	SPOC S11 Nabawan & Tenom could improve the buffer zone marking.

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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 S11 Nabawan & Tenom consisting of 1,179 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:	1,179
Total certified acreage of smallholders:	7,317.7674 Ha

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## 6. RECOMMENDATION

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

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

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

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

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

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

Puchong, 08/11/2022

Mohamad Norhisham Bin Mohd Salleh  
TUV NORD (Malaysia) Sdn Bhd  
Audit Team Leader

Puchong, 14/12/2022

Navin Baskram  
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