

MSPO CERTIFICATION SUMMARY REPORT

SPOC S20 BATU PUTEH

SURVEILLANCE 04

Remote Audit Date: 09/11/2020 – 13/11/2020

TUV NORD (Malaysia) Sdn Bhd
No. 9F-1A, 9th Floor, Tower 2 @ PFCC
Jalan Puteri ½, Bandar Puteri Puchong
47100 Puchong, Selangor.
Phone: +603 8600 4031/4032
Fax: +603 8600 4550

MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board
Certifying Unit: SPOC S20 Batu Puteh
Client Number: 92-083
Audit Type: ASA 04
Mode of Audit: Remote



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ABBREVIATIONS

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

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1. INTRODUCTION

MPOB has commissioned TÜV NORD (Malaysia) Sdn Bhd to conduct surveillance audit for SPOC S20 Batu Puteh 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 S20 Batu Puteh 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 S20 Batu Puteh 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 1 team member. The team contribute to the review of documents, assessment of the project activity and preparation of the report.

Qualification of the Trainee Lead Auditor: Khairul Anwar Bin Ismail

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 Agricultural Science

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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)	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 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 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 Lead Auditor course
Completed High Conversation Value assessment	Qualified as Auditor for MSPO scheme.

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

Qualification of Team 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	Mohd Nur Amin Bin Mohd Halim	Graduate in Office Management & Technology.	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)	Mohd Nur Amin Bin Mohd Halim	6 years 10 months of working experience in both upstream & downstream division on managing sustainability of oil palm industry.	Yes
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Mohd Nur Amin Bin Mohd Halim	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.	Mohd Nur Amin Bin Mohd Halim	Qualified as auditor for MSPO scheme.	Yes
Field working experience in the palm oil sector or demonstrable equivalent	Mohd Nur Amin Bin Mohd Halim	6 years 10 months of working experience in managing sustainability for oil palm industry for	Yes

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Requirement	Name Assessor	Qualification	Compliance
		both upstream and downstream division.	
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Mohd Nur Amin Bin Mohd Halim	6 years 10 months of working experience in managing sustainability for oil palm industry for both upstream and downstream division.	Yes
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Mohd Nur Amin Bin Mohd Halim	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	Mohd Nur Amin Bin Mohd Halim	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course	Yes
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Mohd Nur Amin Bin Mohd Halim	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	Mohd Nur Amin Bin Mohd Halim	Successfully completed IMS ISO 9001, 14001, 45001 LA course training attended.	Yes
Completed High Conversation Value assessment	Mohd Nur Amin Bin Mohd Halim	Successfully completed HCV-HCS course.	Yes
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Mohd Nur Amin Bin Mohd Halim	Able to communicate in Bahasa Malaysia and English.	Yes

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2. METHODOLOGY

The audit approach consists of the following steps:

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

Surveillance 04 Audit:

Surveillance audit conducted remotely on 09/11/2020 – 13/11/2020 covers the following activities but not limited to below:

Remote:

- Confirmation of the appropriate interactive communication tools as describe in IAF MD4
- Desk documentation assessment;
- Virtual interview management;
- Virtual stakeholders communication; If required
- Virtual interview of smallholders via phone call or Whatapps video call;
- Virtual inspection of farm using photos or videos;
- Production records
- Review revised and updated documentation;
- Training records
- Assessment reporting

Remote Assessment

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

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

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

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

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

The document review is based on the soft copy and photos format. The virtual inspection is based on photos and video format.

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

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

The group of smallholders consists of 283 new members and 473 existing members. The total number of smallholders for this audit are 756.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size $S = 1.5\sqrt{756} = 41.2$ round up to the next integral or 42

As per OPMC 2 issue 2, from the sample size, the number of the new members are $42 \times 75\% = 32$ and number of existing members are $42 \times 25\% = 11$.

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

Table 2-1: List of Sample Smallholders

Name	GPS Coordinates
New Smallholders	
Henry Bin Kumil	5°29'43.52"N,117°57'18.82"E
Asli Bin Ahmad @ Mohammad Asli	5°32'02.98"N,117°56'54.32"E
Ramin Bin Jani	5°29'52.79"N,117°57'19.00"E
Sahlan Bin Tinis	5°29'48.64"N,117°57'19.06"E
Farizah Binti Joseph @ Mohd Hussian	5°31'07.00"N,117°56'47.14"E
Sapinah Binti Sapary	5°32'36.38"N,117°56'50.19"E
Normala Binti Saporay	5°32'34.56"N,117°56'46.02"E

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Name	GPS Coordinates
New Smallholders	
Rajimah Binti Dahkun	5°32'33.36"N,117°56'39.93"E
Rusmawatih Binti Jaminah	5°32'32.10"N,117°56'33.96"E
Kamal Jayraj Bin Dzainuddin Ishak	5°32'14.03"N,117°56'55.56"E
Hirmy J Sigawin	5°31'07.61"N,117°57'08.14"E
Ho Fu Ngen	5°32'17.44"N,117°56'55.67"E
Sunoto Bin Yahmin	5°32'14.03"N,117°56'55.56"E
Patima @ Azizah Binti Ahmadal	5°31'57.11"N,117°56'45.57"E
Liew Mung Siong	5°31'46.03"N,117°56'57.87"E
Rohayati Binti Saleh	5°31'14.23"N,117°57'13.47"E
Ding Arniah Binti Kiram	5°30'13.50"N,117°57'12.74"E
Dayang @ Jamilah Binti Ahmadal	5°32'06.36"N,117°56'56.64"E
Mohd Hanafiah Han @ Han Suan Kuang	5°32'04.98"N,117°56'44.76"E
Jumaidah Binti Turaja	5°31'24.51"N,117°57'08.21"E
Ariffin Bin Sani	5°31'17.69"N,117°57'08.17"E
Rasman Bin Rase	5°31'51.95"N,117°56'58.25"E
Ropel Farhan Bin Cyril Pongod	5°31'15.23"N,117°57'08.04"E
Junaidi @ Junaid Bin Sahirin @ Shahirin	5°31'16.30"N,117°57'14.25"E
Salinah Binti Ahdah	5°30'20.59"N,117°57'11.66"E
Fazidahanim Binti Ahdah	5°30'19.66"N,117°57'12.64"E
Shamendra A/L Pathumanathan	5°17'24.14"N,117°59'08.94"E
Arbayah Binti Mojon	5°26'09.74"N,117°56'09.44"E

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Name	GPS Coordinates
New Smallholders	
Pathumanathan A/L Sannadurai	5°16'36.70"N,117°59'08.84"E
Rosrizah Binti Amor	5°26'20.78"N,117°56'46.42"E
Mohd Norazrie Bin Ali	5°22'02.40"N,117°57'01.79"E
Azmi Bin Noh	5°26'24.78"N,117°56'44.56"E
Existing Smallholders	
Amrullah Bin Muhd Sabir	5°23'55.42"N,117°57'06.82"E
Hassan Bin Firman	5°23'32.85"N,117°56'41.23"E
Halimah Binti Hj Abd Kadir	5°19'59.43"N,117°59'05.83"E
Muhammad Jufri Bin Palewai	5°23'15.72"N,117°55'56.35"E
Muhammad Syarul Fikri Bin Aris	5°23'06.23"N,117°55'53.92"E
Ibrahim Bin Ujub	5°16'48.39"N,118° 1'33.92"E
Nur Janna Binti Jamaluddin	5°23'15.61"N,117°55'54.41"E
Ramil Bin Bulkin	5°23'11.48"N,117°56'19.92"E
Hartini Binti Dollah	5°23'13.78"N,117°56'25.65"E
Laura James Sibin	5°23'25.78"N,117°56'33.05"E

Non-conformance:

On the basis of the desk review, evidences presented during the audits as well as from the onsite visits non-conformance (NC) Major, Minor and Opportunity for Improvements (OFI) may be raised during the audit.

Major non-conformance shall be addressed and responded with 60 days from closing date of audit. For minor non-conformances action plan to be submitted within 30 days from closing date of audit for review and acceptance. Implementation of Minor NC will be review and verify during the next audit.

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3. ORGANISATION INFORMATION

MPOB Cawangan SPOC S20 Batu Puteh, is a branch of MPOB located at Blok F, Lot 12, Tingkat 1, Bangunan Perkasa Realty Sdn Bhd, 90200 Kinabatangan, Sabah, Coordinate 5°34' 45" N 117°50'35" E is managed by a group manager and supported by a team officers to manage the cluster providing technical support, estate management skills and training as well as develop the independent smallholders' scheme around the Kinabatangan district.

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

Figure 1



Figure 2



Figure 3

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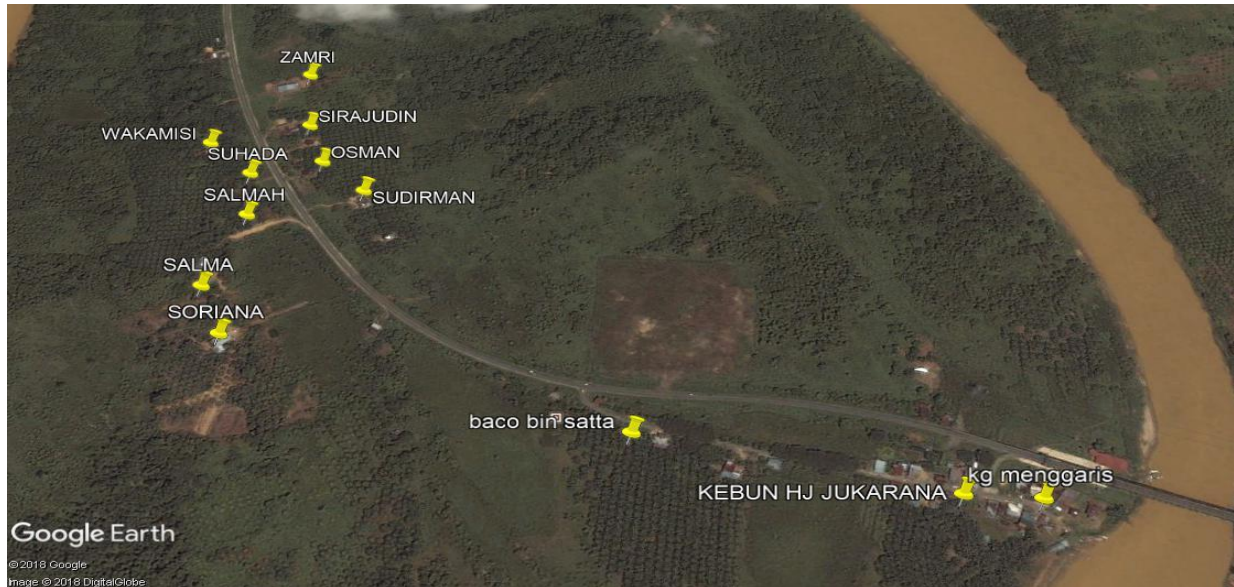


Figure 4



Figure 5

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Figure 6



Figure 7

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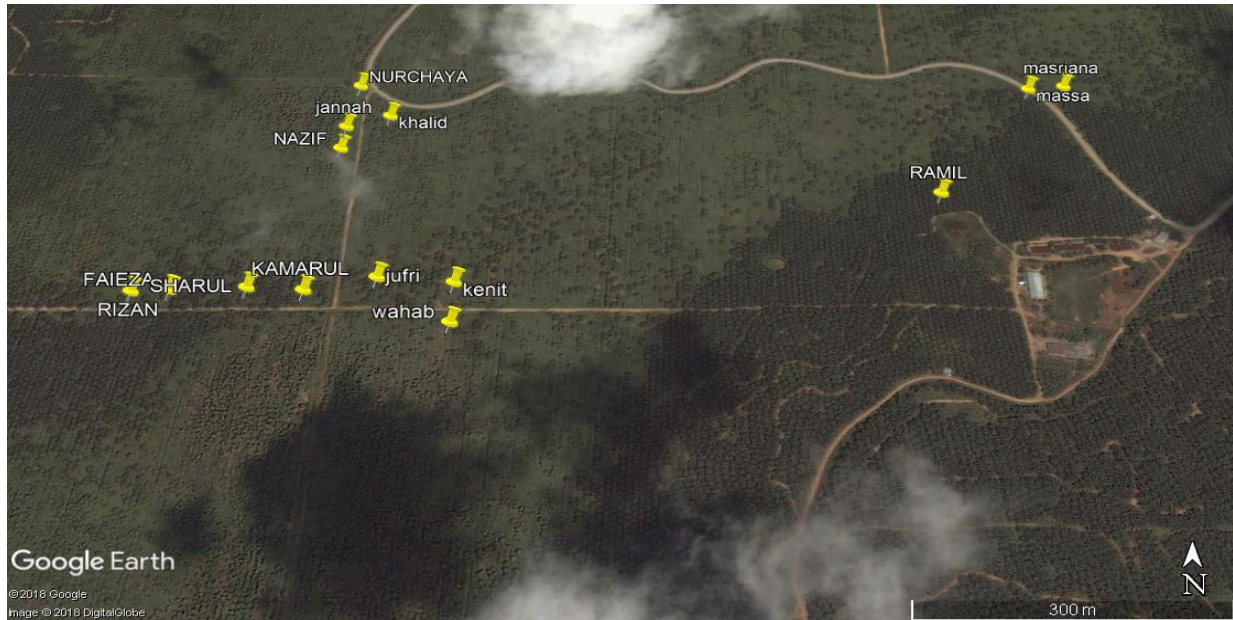


Figure 8



Figure 9

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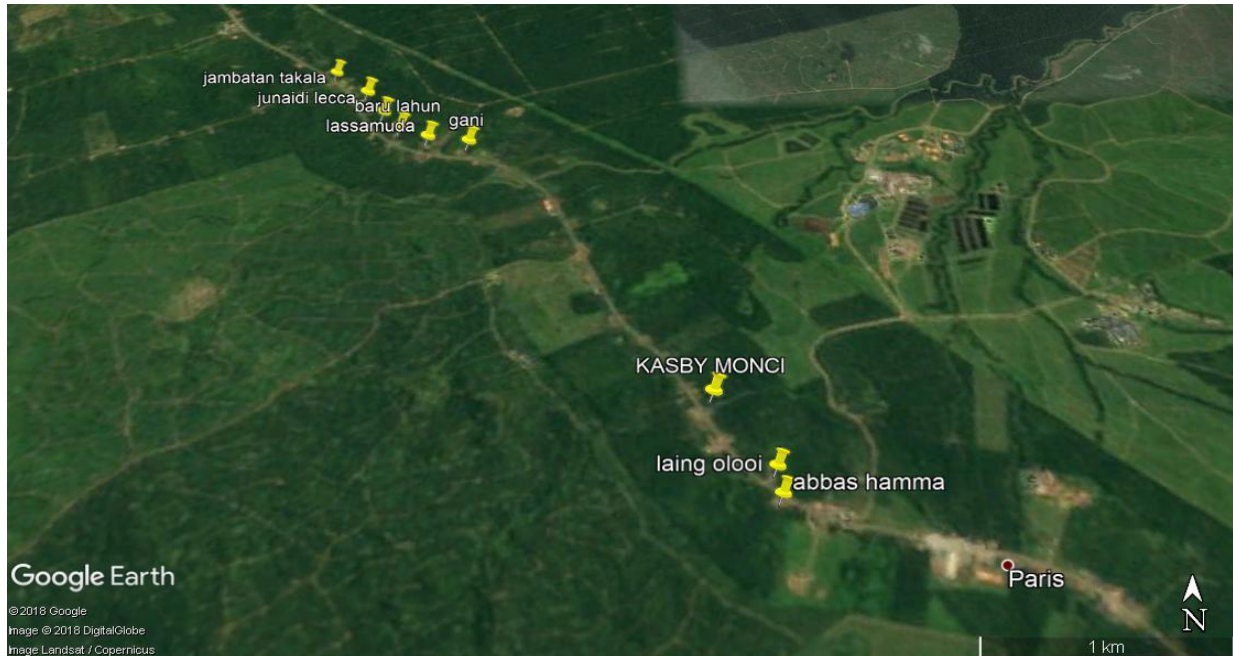


Figure 10



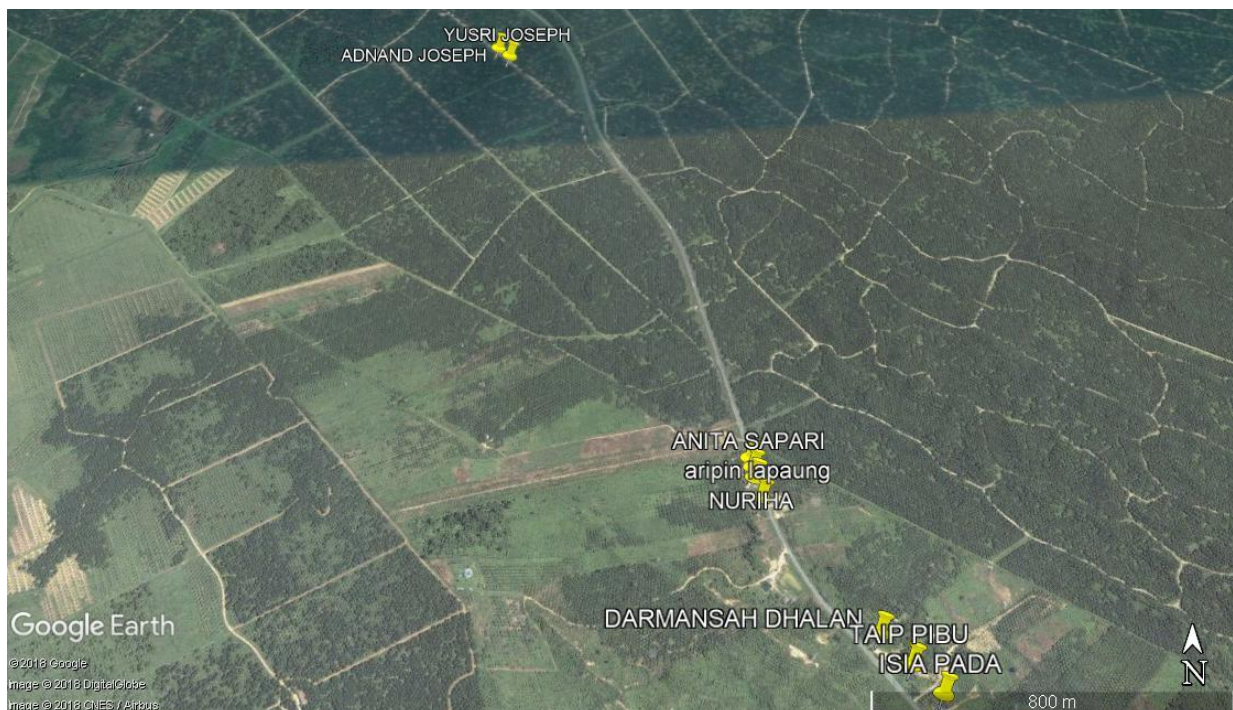
Figure 11

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Figure 12



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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 S20 Batu Puteh are 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 09/11/2020 to 13/11/2020.

The number of smallholders in this surveillance audit are 756.

The number of smallholders 473 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 283.

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 03, there are 1 Major non-compliance and 2 OFI raised.

For this audit, the major non-compliance raised in the last audit, the audit team has reviewed by means of remote inspection of smallholders' farms, conduct interviews, review and verify documents that are established, corrected and implemented appropriately by the SPOC team. The corrective measures implemented could be verified as appropriate.

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.

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

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

4.3. Summary of Assessment

Principle and Criteria Assessment Summary

The assessment team conducted a thorough assessment of each principle and criteria. Over the 5 years' period of the certificate cycle, there will be 4 annual surveillance audits with all criteria 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 S20 Batu Puteh has established MSPO policy doc number MSPO/SSCC/POLISI-01. The MSPO Policy is include in smallholder individual file and signed by smallholders. MSPO training conducted on 28/07/2020 has brief on MSPO policy. Phone call interviewed with smallholders they understand on the MSPO requirement. They attended training conducted by group manager.	Yes
4.1.2.1	SPOC S20 Batu Puteh established List of Social and Environmental Impact and action plan, document number MSPO/SSCC/I-04/ISP dated 01/06/2020. Example of Environmental Impact: Activity: Manuring and crops integration Impact: Improved in soil nutrients via manuring. Using organic / fertilizer integrated with other cash crops. Action taken: ongoing From photos review and phone call interview confirmed smallholders have conduct manuring and crops integration in the block.	No
4.1.2.2	SPOC S20 Batu Puteh Group Manager provide smallholders Warta Sawit and share the MSPO information via Whatapps group as tools to disseminate new information and techniques Remotely document reviewed the Latest Warta Sawit distribute is Bil. 74 (1) January – April 2020. Phone call interview with sampled smallholders confirmed obtained new information from Whatapps group and received the Warta Sawit.	Yes

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Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC S20 Batu Puteh has established Garis Panduan Pelan Daya Ekonomi dan Kewangan document number: MSPO/SSCC/GP-01/PEK effective date 01/06/2020.</p> <p>Records to be fill up in the BRL for traceability. ;</p> <p>The procedure describes</p> <p>Smallholder Expenditure and Income Traceability Flow Chart.</p> <p>BRL logbook provided to smallholders to fill up the records of FFBs sales and delivery.</p> <p>From photos review and phone call interview with smallholders confirmed received the BRL logbook, update the log book and regularly monitored by SPOC group manager.</p>	Yes
4.2.1.2	<p>SPOC S20 Batu Puteh maintain records of FFB production and sales of each smallholders.</p> <p>Document review verify sales records kept by the group manager consist of summary of deliveries and sales invoice from dealers or ramp operators to smallholders.</p> <p>SPOC S20 Batu Puteh monitor FFB pricing on monthly basis obtain from dealers and ramp operators.</p> <p>From photos review and phone call interview smallholders inform FFB sales and delivery records available and copies are kept.</p> <p>Document review verify FFB recorded in the 'Buku Rekod Ladang (BRL)' have been crosschecked with FFB weighbridge tickets.</p>	Yes

Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
4.3.1.1	<p>SPOC S20 Batu Puteh established the List of legal, document number MSPO/SSCC/L-01/SKU, effective date 01/06/2020.</p> <p>Example:</p> <p>Act 127: Environmental Quality Act 1974 update year 2006</p> <p>Act 342: Prevention and Control of Infectious Disease Act 1988</p> <p>Document review verify confirmed the smallholders MPOB license keep file and valid.</p> <p>Phone call interview with smallholders they are aware of legal requirements with information received through MSPO training dated 28/07/2020 and from Whatapps group.</p>	Yes
4.3.2.1	<p>SPOC S20 Batu Puteh smallholders land titles are country lease or native title issued by State Land Department.</p> <p>Document review verify on the smallholder individual file, some smallholders are in the process of 'Pengesahan PT'.</p>	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	<p>Country lease title states the land is for cultivation of agricultural crop of economic value with tenure of 99 years.</p> <p>Document review verify the land title of smallholder is fully owned or one of the listed landowners.</p> <p>The native title is issued by State Land Department for agricultural crop of economic value. The map is available in the land title with details of the land and ownership.</p> <p>From photos review and phone call interview with smallholders confirmed no disputed found and boundary stones or boundary drains used to indicate their boundary.</p>	
4.3.3.1	<p>SPOC S20 Batu Puteh smallholders land titles are country lease, native title or 'Pengesahan PT' status.</p> <p>The native title is issued by State Land Department in the smallholders name and used for agricultural crop of economic value.</p> <p>From photos review confirmed the map is available in the land title which show the detail of land and ownership.</p>	Yes
4.3.3.2	<p>SPOC S20 Batu Puteh smallholders who hold native land title are issued by State Land Department.</p> <p>From photos review confirmed the map is available in the land title which show the detail of land and ownership and boundary stones or boundary drains used to indicate their boundary.</p>	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	<p>SPOC S20 Batu Puteh adopted MPOB guidelines Complaint and Grievance, doc no. MSPO/SPOC/SOP-01/AR, issue 03, revision 02 dated 01/06/2020.</p> <p>Document review on briefing record for complaint and grievance guidelines to smallholders, verify conducted through online platform in WhatsApp's Group dated on 28/10/2020.</p> <p>Document review verify complaint record book on animal attack in field lodged by smallholder dated 02/11/2020.</p> <p>Phone call interview smallholders inform aware on grievance procedure online training conducted on 28/10/2020.</p>	Yes
4.4.1.2	<p>SPOC S20 Batu Puteh adopted MPOB guidelines Complaint and Grievance, doc no. MSPO/SPOC/SOP-01/AR, issue 03, revision 02 dated 01/06/2020.</p> <p>The procedure has a table a flowchart to resolve any complaints.</p> <p>The group manager is the responsible person to handle and manage any complaints.</p>	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>Document review verify flowchart describe the steps and timeline to manage and respond any complaint received.</p> <p>The total days to resolve is 14.</p> <p>Any complaint outside the scope of the group manager it will refer to other parties or MPOB HQ to handle the matter.</p> <p>Document review verify briefing record on complaint and grievance guidelines to smallholders through online platform in WhatsApp's Group conducted on 28/10/2020.</p> <p>Phone call interview smallholders inform they are aware on complaint process and timelines to resolve the complaints.</p>	
4.4.2.1	<p>SPOC S20 Batu Puteh adopt MPOB Guidelines Occupational Safety & Health, document no. MSPO/SPOC/GP-02/KKP, issue: 3, revision: 0 effective date: 01/06/2020.</p> <p>Scope of the guideline describe:</p> <p>Responsibilities of the group manager and smallholders / workers.</p> <p>Safety work practices for harvesting, chemical spraying and fertilizer application.</p> <p>Document review verify briefing record on safety and health to smallholders through online platform in WhatsApp's Group conducted on 28/10/2020.</p> <p>Phone call interview smallholders' confirmed that they aware on safe work practices. Smallholders informed they use personnel protective equipment for field activities such as sprayer and manuring</p>	Yes
4.4.3.1	<p>SPOC S20 Batu Puteh adopted MPOB Employment Terms document no: MSPO/SPOC/SMP-01, rev-01 for hiring of field workers by smallholders.</p> <p>The document describe the requirements for hiring of workers.</p> <p>SPOC S20 Batu Puteh adopt MPOB document Employment Agreement MSPO/SPOC/TPP-01, rev. 01, for hiring or workers.</p> <p>Phone call interview smallholders inform they are aware prior commencement of work, a mutual verbal agreement on the price rate.</p> <p>Majority of smallholders' operate on family based or subcontract to local community or hired worker for FFB harvesting, chemical spraying and fertilizing activities.</p>	Yes
4.4.3.2	<p>SPOC S20 Batu Puteh adopt MPOB Conditions for hiring workers in oil palm fields, document no. MSPO/SPOC/SMP-01, rev-01 signed by the group manager and Zone Manager.</p> <p>Document review verify smallholders signed MSPO application form include with the descriptions onstatement of "provide equal opportunity and treatment regardless of race, colour, sex, religion, political affiliation, nationality, social origin and shall not engage in or support discriminatory practices.</p>	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	Document review verify briefing record on hiring casual worker to smallholders through online platform in WhatsApp's Group conducted on 28/10/2020. Phone call interview smallholders inform they are aware about the policy on discrimination.	
4.4.3.3	Phone call interview smallholders inform majority are using local community or hired worker for field activities. The payment made by smallholders to the workers are based on agreeable tonne FFB and per hectare chemical spraying and manuring.	Yes
4.4.3.4	There is living quarter provided by smallholder to his worker. Virtual field observation through photos of smallholders' housing, verify the housing provided with basic amenities include electricity and water. .	Yes
4.4.3.5	SPOC S20 Batu Puteh adopt MPOB Conditions for hiring workers in oil palm fields, document no. MSPO/SPOC/SMP-01, rev-01 signed by GM and Zone Manager with a statement "No hiring or allow children below age of 15 years to work in the farm." Documents review on briefing record for restriction on hiring child labour to smallholders verified through online platform in WhatsApp's Group dated on 28/10/2020. Phone call interviewed smallholders inform no child labour working in the field. All harvesting, fertilizing and spraying activity are carried out either by smallholder themselves, among family members or casual workers.	Yes
4.4.4.1	SPOC S20 Batu Puteh establish annual training programme for 2020. The program conducted includes: 1. MSPO Training 2. Lawatan Khidmat Nasihat Document review verify briefing record on MSPO awareness programme through online platform in WhatsApp's Group conducted on 28/10/2020.	Yes

Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
4.5.1.1	SPOC S20 Batu Puteh adopt MPOB Social and Environment Impacts and Action Plan, document number MSPO/SPOC/L-04/ISP, issue 3, revision: 3 effective date 01/06/2020. The document include a section for Environmental Impact and Action Plan. Virtual field observation through photos of smallholders' fields verify there are no over spray activities observed in the field.	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Phone call interview smallholders' they are aware the environmental impact and the environmental topics was briefed by group manager through online platform in WhatsApp's Group on 28/10/2020.	
4.5.2.1	SPOC S20 Batu Puteh smallholders do no use renewable energy at site.	Yes
4.5.3.1	<p>SPOC S20 Batu Puteh adopt MPOB List of Scheduled and Domestic Wastes MSPO/SPOC/L-03/SRD Issue 3 rev 0 effective date 01/06/2020.</p> <p>Document review verify the list consists of: Solid, liquids and gaseous wastes</p> <p>Waste generated from agricultural inputs: Fronds</p> <p>Waste generated is not from agricultural inputs: Empty chemical containers</p> <p>Virtual field observation through photos and phone call interviewed, verify smallholder are aware that empty chemical containers can be recycle and reused after triple rinsing.</p>	Yes
4.5.3.2	<p>SPOC S20 Batu Puteh adopted MPOB SOP for Scheduled Waste Management, doc no: MSPO/SPOC/SOP-03/BT issue 3 revision 3 effective date 01/06/2020.</p> <p>The SOP objective 'Monitor and ensure the waste management process and disposal of waste for responsible individuals can be implemented in an orderly, efficient and safe manner'.</p> <p>Document review verify flowchart describing the steps in managing and disposal of scheduled wastes.</p> <p>Document review verify briefing record on managing and disposal of empty chemical containers through online platform in WhatsApp's Group conducted on 28/10/2020.</p> <p>Document review verify copy of MPOB Training Module for MSPO Independent Smallholders is distributed to participants through WhatsApp's Group.</p> <p>Phone call interview smallholders inform they practice with triple rinse the empty chemical containers and reused for chemical spraying.</p> <p>Virtual field observation through photos on smallholders' field, verify no chemical containers left inside fields.</p> <p>Phone call interview smallholders inform chemical spraying conducted by themselves, dealers' workers or casual workers.</p> <p>Phone call interview smallholders inform all chemical containers are stored properly in their own stores and chemical cabinet provided by MPOB.</p>	Yes
4.5.4.1	<p>SPOC S20 Batu Puteh adopt MPOB guidelines River Buffer Zone, doc no: MSPO/SPOC/GP-03/ZPS, issue 3, revision 0 dated 01/06/2020.</p> <p>Document review verify briefing record on restriction chemical application at buffer zone area to smallholders through online platform in WhatsApp's Group conducted on 28/10/2020.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Phone call interview smallholders' are aware to maintain the water quality and its importance.	
4.5.4.2	<p>SPOC S20 Batu Puteh smallholders practice rain harvesting or bring water from home for operation and chemical mixing usage.</p> <p>Phone call interviewed smallholders' informed they are bring water from home for spraying activities.</p> <p>Virtual field observation through photos of smallholder's field verify empty chemical containers reused to bring water into the field for spraying activities.</p>	Yes
4.5.5.1	<p>SPOC S20 Batu Puteh establish list of wildlife in and around Kinabatangan district.</p> <p>Example:</p> <p>Wild boars</p> <p>Document review verify briefing on list of wildlife in Kinabatangan District to smallholders through online platform in WhatsApp's Group conducted on 28/10/2020.</p> <p>Phone call interview smallholders informed there are wild boars in their fields.</p>	Yes
4.5.6.1	<p>SPOC S20 Batu Puteh adopted MPOB Guidelines Zero Burning Practices, doc. No. MSPO/SPOC/GP-04/APS, issue 3 rev. 01, effective date 01/06/2020.</p> <p>Document review verify briefing record on zero burning practices through online platform in WhatsApp's Group conducted on 28/10/2020.</p> <p>Virtual field observation through photos to smallholders' fields, verify no open burning occur and smallholders are aware that open burning is restricted by the law.</p> <p>Phone call interview smallholders' inform they aware on the no open burning practices during replanting.</p>	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>Document review verify briefing record on harvesting, manuring, chemical application and PPE usage as awareness to smallholders conducted on 28/10/2020 by SPOC S20 Batu Puteh.</p> <p>Virtual field observation through photos to smallholders' field verify the implementation of good agricultural practice such as:</p> <ol style="list-style-type: none"> 1. Proper stacking of fronds. 2. Good maintenance of harvesting path. 3. Proper palm pruning. 	Yes

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Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
	Phone call interviewed smallholders' inform they aware on good agricultural practices on their fields with guidance by GM SPOC.	
4.6.1.2	SPOC S20 Batu Puteh establish visual identification for each smallholder with information of smallholders' name, lot number, GPS coordinates, lot size and year of planting. Virtual field observation through photos of smallholders' field verify that fields marking with visual identification.	Yes
4.6.2.1	SPOC S20 Batu Puteh adopted MPOB Guideline Economic and Financial Plan, MSPO/SPOC/GP-01/PEK, issue 3, revision 3 dated 01/06/2020. Document review SPOC S20 Batu Puteh established annual training programme for year 2020 that includes field visit. Verify the operation budgets and costs for the annual training programme are under the control of MPOB HQ.	Yes
4.6.3.1	SPOC S20 Batu Puteh monitors FFB pricing on monthly basis through input from ramp / dealers for fair price. Phone call interview with smallholders verify the FFB price being obtain from the collecting center weighbridge through phone call or WhatsApps Group.	Yes

Principle 7: Development of new planting		
Indicator	Summary of Assessment	Compliance
4.7.1.1	Remote document review on list of smallholders and planting statements indicates no new planting in SPOC S20 Batu Puteh. The 1st planting is in year 1978. The latest replanting is in year 2019. There are no new plantings for existing and new members. Therefore, no data captured.	Yes
4.7.2.1	Remote document review on list of smallholders and planting statements indicates no new planting in SPOC S20 Batu Puteh. The 1st planting is in year 1978. The latest replanting is in year 2019. There are no new plantings for existing and new members. Therefore, no soil survey or topography is required.	Yes
4.7.3.1	Remote document review on list of smallholders and planting statements indicates no new planting in SPOC S20 Batu Puteh. The 1st planting is in year 1978. The latest replanting is in year 2019. Therefore, no data 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
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	findings. Details of the follow up action taken on stage 1 audit findings were recorded in the Stage 1 audit report.
X	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address any nonconformity identified.
	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS NOT been implemented effectively. Non-conformity will be re-raised.
	No non-conformity raised in previous audit.
<p><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	1	MAJOR Non-Conformities
	0	MINOR Non-Conformities

Non Conformity Number 1			
Indicator and Description	4.5.3.2 Independent smallholders shall ensure that waste from the smallholdings is disposed of appropriately. Smallholders shall adopt local and national legislation to dispose of hazardous chemicals and their containers		
Location:	Office		
Description of Finding / Objective Evidence:			
During site visit it was observe that smallholder number 60 empty chemical containers are found scattered in the field. The empty containers are not handle appropriately according to the SOP "Pengurusan Bahan Buangan Terjadual" document no MSPO/SSCC/SOP-03/BT, issue no: 2, rev: 2 dated 10/07/2019 point 8 states "Semua pelupusan mestilah mematuhi Peraturan Kualiti Alam Sekitar (Bahan Terjadual) 2005 Akta Kualiti Alam Sekitar". Form of 'Senarai Bahan Buangan' has established, however the form are not updated.			
Classification	<input checked="" type="checkbox"/> Major	<input type="checkbox"/> Minor	
Raise by:	Zul Hairi Bin Abu Hassan	Date Raise:	12/09/2019
Deadline for implementation	12/11/2019		
Root Cause Analysis (by company):			
Pekebun kecil tidak mengambil berat terhadap isu alam sekitar terutama bahan sisa terjadual.			
Correction (by company):			
1. Bekas racun rumpai yang masih digunakan ditandakan 'X' 2. Memastikan pekebun kecil menyusun bekas racun di stor atau tempat yang selamat 3. Melupuskan bekas racun yang tidak digunakan			
Corrective / Preventive Action (by company)			

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Non Conformity Number 1	
<ol style="list-style-type: none">1. Pekebun kecil telah mengarahkan pekerja membuat tanda 'X' pada bekas racun2. Bekas racun yang berselerak telah disusun ditempat yang selamat3. Bekas racun yang tidak digunakan dilupuskan dengan menanam bekas tersebut di dalam tanah	
Review of Correction & Corrective / Preventive Action	
Review on the document submitted by GM with the correction of handling empty chemical container and list of scheduled waste. The empty containers are handle appropriately according to the current pictorial evidence. The action taken is accepted and NC is closed. The implementation will be verify during next surveillance audit.	
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Site verification : <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Name of Auditor: Zul Hairi Bin Abu Hassan	Date of Closure: 01/11/2019
Review of Implementation	
Photo review and phone call interviews with smallholders confirmed they are aware on disposal of empty chemical containers from their fields in accordance to MPOB SOP for Scheduled Waste Management.	
Name of Auditor: Mohd Nur Amin Bin Mohd Halim	Date of Review: 13/11/2020

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	1	MAJOR Non-Conformities
	0	MINOR Non-Conformities

Non Conformity Number < 1 >			
Indicator # and Description	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. (MAJOR)		
Location:	Office		
Description of Finding / Objective Evidence:			
The continual improvement plan (CIP) does not indicate the monitoring of land with Land Application (LA) status.			
Classification	<input checked="" type="checkbox"/> Major	<input type="checkbox"/> Minor	
Mode of Audit	<input checked="" type="checkbox"/> Remote	<input type="checkbox"/> Onsite	
Raise by:	Khairul Anwar Bin Ismail	Date Raise:	13/11/2020

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Non Conformity Number < 1 >	
Deadline for implementation	13/01/2020
Root Cause Analysis (by company):	
Lack of information to improve the MSPO document management system at SPOC S20 Batu Puteh.	
Correction (by company):	
A continuous improvement plan (CIP) has been developed by the PIC and ICS MSPO SPOC S20 Batu Puteh.	
Corrective / Preventive Action (by company)	
The CIP documents developed will be used and monitored periodically to ensure the smooth operation of the MSPO documentation system in SPOC S20 Batu Puteh.	
Review of Correction & Corrective / Preventive Action	
Review documents submitted, the group manager has included in the continuous improvement plan (CIP) dated 24/12/2020 to monitor land with Land Application (LA) status.	
The evidence provided sufficient to close the NC.	
Further verification will be conducted in the next surveillance audit.	
Closed: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Site verification : <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Name of Lead Auditor: Khairul Anwar Bin Ismail	Date of Closure: 24/12/2020
Review of Implementation	
Name of Lead Auditor / Auditor:	Date of Review:

Nr.	Indicator	Description	Location	Opportunity for Improvement
1.	4.4.4.1	Independent smallholders are encouraged to seek knowledge to increase their competency in oil palm management.	Office	SPOC S20 Batu Puteh may consider improve the training programme for GAP topic

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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 S20 Batu Puteh consisting of 756 independent smallholders according to MS 2530-2:2013 Part 2, General Principles for Independent Smallholders.

There is 1 Major NC raised in this audit and closed out successfully. No site inspection to review the implementation since the Major NC is related to management system document.

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:	756
Total certified acreage of smallholders:	4,774.30 Ha
Certified FFBs output January to October 2020:	53,067.03 Mt
Projected FFBs output November to December 2020:	10,200 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
x	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 28/12/2020

Khairul Anwar Bin Ismail
TUV NORD (Malaysia) Sdn Bhd
Audit Team Leader

Puchong, 28/12/2020

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

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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