

# MSPO CERTIFICATION SUMMARY REPORT

SPOC S20 BATU PUTEH

ASA 11

Onsite Audit Date: 25/10/2022 - 28/10/2022

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# MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board  
Certifying Unit: SPOC S20 Batu Puteh  
Client Number: 92-083  
Audit Type: ASA 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 annual surveillance eleven (11) 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 SPOC 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 2 team members. The team contribute to the review of documents, assessment of the project activity and preparation of the report.

#### Qualification of the Lead Auditor: 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 MS 2530 series standards for Lead Auditors.
Carried out 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 as Lead auditor for MSPO scheme.
Field working experience in the palm oil sector, or demonstrable equivalent	5 years working experience in oil palm plantation.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	5 years working experience in oil palm plantation.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed IMS ISO 9001 Lead Auditor course.
Health and safety auditing on the farm and in processing facilities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Successfully completed IMS ISO 45001 Lead Auditor course.
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Successfully completed SA 8000 Basic training.
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Successfully completed IMS ISO 14001 Lead Auditor course.
Completed High Conversation Value assessment	Attended and completed the HCV-HCS for producers online course.

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

### Qualification of Team Members

Requirement	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	Mohamad Norhisham bin Mohd Salleh	Graduate in Applied Science (Major In Agrobiologi).	Yes
	Ariff Bin Lokman	Graduate in Plantation Industry and Management	
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)	Mohamad Norhisham bin Mohd Salleh	5 years working experience in oil palm plantations.	Yes
	Ariff Bin Lokman	7 years working experience in oil palm plantation	
Successfully completed MPOCC endorsed lead auditor training	Mohamad Norhisham bin Mohd Salleh	Successfully completed MS2530 series of standards for Lead Auditors.	Yes
	Ariff Bin Lokman	Successfully completed MS2530 series of standards for Lead Auditors.	
Carried out 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.	Mohamad Norhisham bin Mohd Salleh	Qualified as auditor based on audit log.	Yes
	Ariff Bin Lokman	Qualified as Lead Auditor for MSPO scheme.	

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Requirement	Assessor	Qualification	Compliance
Field working experience in the palm oil sector or demonstrable equivalent  Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Mohamad Norhisham bin Mohd Salleh	5 years working experience in oil palm plantations.	Yes
	Ariff Bin Lokman	7 years working experience in oil palm plantations..	
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Mohamad Norhisham bin Mohd Salleh	Successfully completed IMS ISO 9001, ISO 14001 and ISO 45001 LA course.	Yes
	Ariff Bin Lokman	Successfully completed IMS ISO 9001, ISO 14001 and ISO 45001 LA course.	
Health and safety auditing on the farms processes and activities  Or  Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Mohamad Norhisham bin Mohd Salleh	Successfully completed IMS ISO 9001, ISO 14001 and ISO 45001 LA course.	Yes
	Ariff Bin Lokman	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	Mohamad Norhisham bin Mohd Salleh	Successfully completed SA 8000 Basic training	Yes
	Ariff Bin Lokman	Successfully completed SA 8000 Basic training and Auditor for MSPO and RSPO scheme.	
Environmental and ecological auditing or experience with organic agriculture.  or  Successfully completed Environmental Management Systems ISO 14001 standard	Mohamad Norhisham bin Mohd Salleh	Successfully completed IMS ISO 14001:2015 LA course.	Yes
	Ariff Bin Lokman	Successfully completed IMS ISO 9001, ISO 14001 and ISO 45001 LA course.	
Completed High Conversation Value assessment	Mohamad Norhisham bin Mohd Salleh	Attended and completed the HCV-HCS for producers course.	Yes

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Requirement	Assessor	Qualification	Compliance
	Ariff Bin Lokman	Attended and completed the HCV-HCS for producers online course.	
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Mohamad Norhisham bin Mohd Salleh	Able to communicate in both Bahasa Malaysia and English.	Yes
	Ariff Bin Lokman	Able to communicate in both 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, stakeholders, contractors; review of documentation;
- Review of SPOC management system;
- Reporting;
- Resolution of non-conformance (NC) (if any);
- Draft audit reporting;
- Technical review;
- Peer review;
- Address Peer Review Comments (if any);
- Final audit reporting;
- Final approval, certification decision and issuance of certificate.

### Annual Surveillance Eleven (11) Audit:

The annual surveillance audit carried out onsite from 25/10/2022 – 28/10/2022 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 surveillance 14 audit;
- Assessment reporting.

#### Onsite

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

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

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 40 new members and 965 old members. The total number of smallholders for this audit are 1,005.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size  $S = 1.5\sqrt{1,005} = 47.55$  round up to the next integral of 48.

As per OPMC 2 issue 2, from the sample size, the number of the new members are  $48 \times 75\% = 36$  and number of existing members are  $48 \times 25\% = 12$ .

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
<b>Existing Smallholder</b>	
Abd Wahid Bin Jalal	5°16'38.32"N 118°01'15.99"E
Ela Bin Lebo	5°16'21.28"N 118°00'41.69"E
Hasnawati	5°16'22.51"N 118°00'48.94"E
Damariah Binti Damma	5°16'28.93"N 118°01'3.530"E
Herman Bin Wallang	5°16'23.89"N 118°00'50.85"E
Surianti Binti Latip	5°16'24.08"N 118°00'50.51"E
Hartini Binti Dollah	5°12'55.65"N 117°54'30.34"E
Ebo Bin Gomp	5°16'11.27"N 117°59'59.94"E
Beche Binti Lada	5°17'12.13"N 117°59'9.930"E
Bacho Bin Tawi	5°16'25.36"N 118°00'34.23"E
Crahaya Binti Juna	5°15'49.95"N 117°57'00.64"E
Dayang Sawanah Binti Amat	5°16'18.49"N 118°00'08.78"E
<b>New Smallholder</b>	
Mude Bin Samma	5°16'02.01"N 118°05'50.99"E
Erni Binti Muhammad Jaiz	5°27'58.35"N 117°57'14.18"E
Kahar Bin Abdul Kadi	5°17'17.69"N 118°07'26.00"E
Sairah Binti Sappe	5°15'55.71"N 118°06'08.62"E
Hasnah Binti Arshad	5°17'07.18"N 118°07'28.74"E
Jida Binti Umar	5°15'55.97"N 118°05'57.52"E
Elna Binti Tiblan	5°12'47.05"N 118°05'24.14"E

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Name	GPS Coordinates
Buwathy Bin Hattas	5°15'33.26"N 118°02'37.47"E
Marawia Binti Maming	5°21'03.53"N 117°58'19.39"E
Mahmudin Bin Mohammad	5°16'40.86"N 118°01'36.47"E
Jalalkamis Bin Raupong	5°20'42.79"N 117°58'30.84"E
Sukarman Bin A. Sakka	5°19'19.96"N 117°59'31.75"E
M.Tahir Bin Umar	5°14'08.10"N 118°03'52.05"E
Mohd Yunus Bin Tahir	5°13'13.56"N 118°05'10.98"E
Mariani Binti Landu	5°11'47.71"N 117°54'54.39"E
Tamrin Bin Shahirin	5°31'34.53"N 117°57'04.99"E
Fazilah Binti Shahirin	5°18'11.54"N 118°00'22.33"E
Zefree Bin Shahirin	5°24'09.82"N 117°54'26.25"E
Jusnadi Bin Jahar	5°31'11.46"N 117°57'12.55"E
Mohd Fadhil Bin Khamshah	5°30'01.15"N 117°56'54.81"E
Minah Binti Aluah	5°31'15.99"N 117°57'09.01"E
Rappe Bin Karang	5°16'56.32"N 117°58'05.22"E
Jumaadi Bin Rappe	5°17'05.57"N 117°58'26.50"E
Syamsuddin Bin Lapo	5°17'24.60"N 117°58'26.60"E
Fitriani Binti Mansur	5°17'09.82"N 117°59'24.07"E
Mohammad Samri Bin Saleng	5°16'30.74"N 118°01'02.94"E
Masse Bin Pajji	5°17'14.85"N 118°07'16.51"E
Rafinah Binti Ransah	5°21'07.75"N 117°58'19.20"E
Samsuddin Bin Mambo	5°11'44.03"N 117°54'45.09"E
Abd Hadi Bin Tabbuka	5°16'04.61"N 117°59'26.93"E
Hasni Binti Chambolong	5°21'54.16"N 118°03'29.41"E
Sadat Bin Tahang	5°11'41.72"N 117°54'41.66"E
Mahmud Bin Talib	5°17'42.62"N 117°59'29.61"E
Jani Sikin	5°26'15.28"N 117°56'42.07"E
Albah Bin Aras	5°17'47.32"N 117°58'20.65"E
Salbiah Binti Rappe	5°17'02.11"N 117°58'12.80"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.

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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 Kinabatangan as shown in the below maps.



**Figure 1:** Smallholders' Locations Maps No. 1

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**Figure 2:** Smallholders' Locations Maps No. 2



**Figure 3:** Smallholders' Locations Maps No. 3

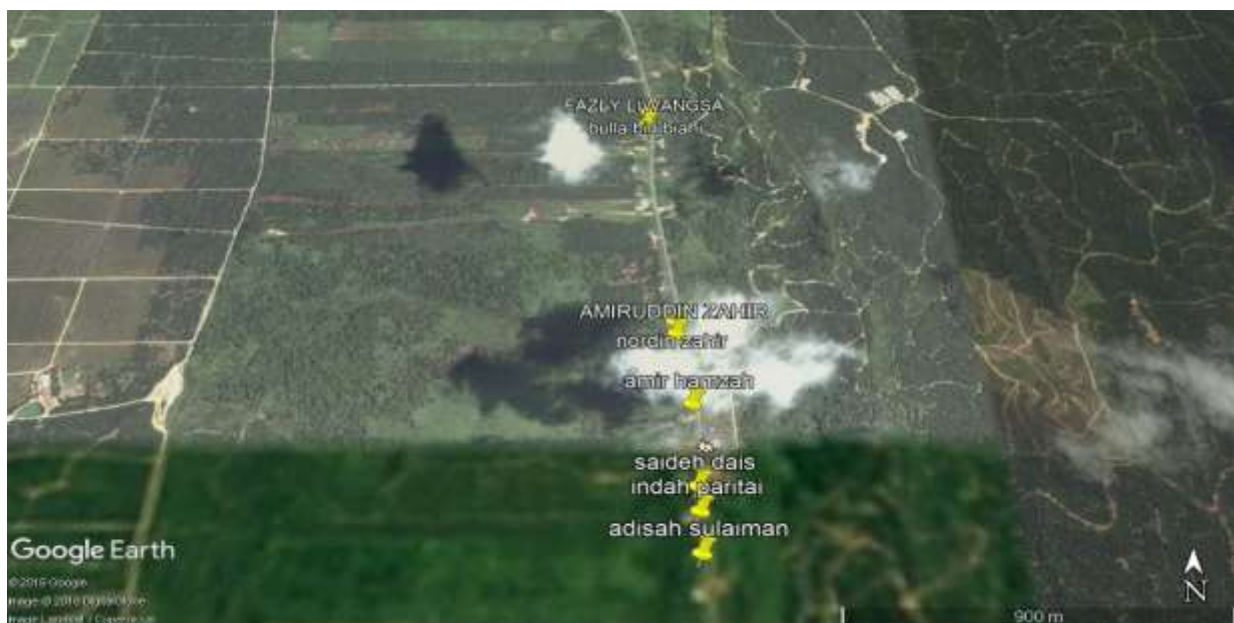


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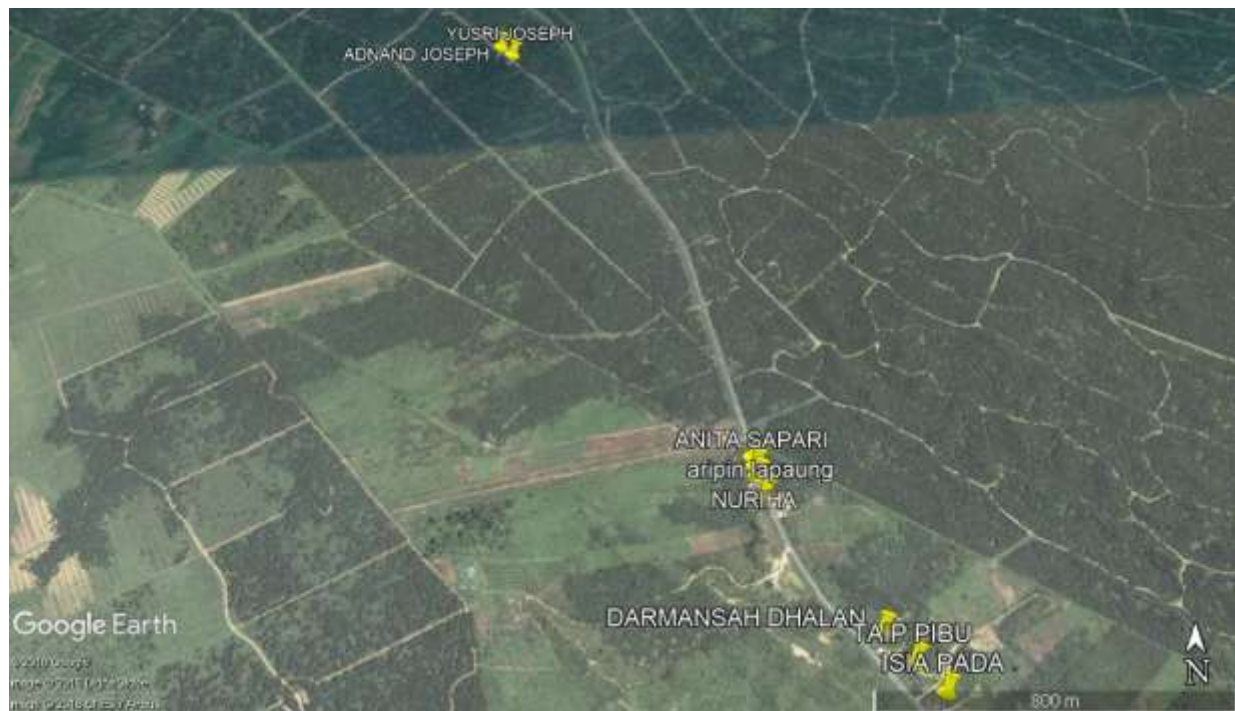
**Figure 4:** Smallholders' Locations Maps No. 4



**Figure 5:** Smallholders' Locations Maps No. 5

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**Figure 6:** Smallholders' Locations Maps No. 6



**Figure 7:** Smallholders' Locations Maps No. 7



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**Figure 8:** Smallholders' Locations Maps No. 8



**Figure 9:** Smallholders' Locations Maps No. 9

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**Figure 10:** Smallholders' Locations Maps No. 10



**Figure 11:** Smallholders' Locations Maps No. 11

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**Figure 12:** Smallholders' Locations Maps No. 12



**Figure 13:** Smallholders' Locations Maps No. 13



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Figure 14: Smallholders' Locations Maps No. 14



Figure 15: Smallholders' Locations Maps No. 15

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Figure 16: Smallholders' Locations Maps No. 16



Figure 17: Smallholders' Locations Maps No. 17



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**Figure 18:** Smallholders' Locations Maps No. 18



**Figure 19:** Smallholders' Locations Maps No. 19

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### 4. CERTIFICATION ASSESSMENT

#### 4.1. Annual Surveillance Audit

The objective of the audit is to assess the activities of MPOB Cawangan SPOC S20 Batu Puteh are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

##### 4.1.1. Annual Surveillance Eleven (11):

The annual surveillance eleven (11) audit is carried out from 25/10/2022 - 28/10/2022.

The number of smallholders in this surveillance audit are 1,005.

The number of smallholders 965 remain the same for this surveillance audit.

The number of smallholders joined during this recertification audit are 40.

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 the recertification audit there are 2 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.

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

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TUV NORD (Malaysia) Sdn. Bhd., has published the public notification on 22/09/2022 as to accommodate stakeholder's consultation meeting for SPOC S20 Batu Puteh to provide comments. As at audit date on 25/10/2022 there are no comments received.

### 4.3. Summary of Assessment

#### Principle and Criteria Assessment Summary

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

#### Principle 1: Management Commitment & responsibility

Indicator	Summary of Assessment	Compliance								
4.1.1.1	<p>SPOC S20 Batu Puteh established MSPO policy doc number MSPO/SSCC/POLISI-01 signed by group manager and display at SPOC office notice board.</p> <p>MSPO Policy is included in smallholder individual file and signed by smallholders.</p> <p>MSPO training carried out on 21/07/2022 has brief on MSPO policy.</p> <p>Field interviews with sampled smallholders informed they had been briefed on MSPO Policy dated on 21/07/2022.</p>	Yes								
4.1.2.1	<p>SPOC S20 Batu Puteh established List of Social and Environmental Impact and action plan, document number MSPO/SSCC/I-04/ISP dated 01/06/2021.</p> <p>The table include topics on activity, impact and improvement plan.</p> <table><tr><th>Type</th><th>Activity</th><th>Impact</th><th>Action Plan</th></tr><tr><td>Legal</td><td>Land ownership status for applicants who have land status PT (land application) / LA (Land Application)</td><td>Legal issue for land use right</td><td>GM SPOC is responsible for updating the record of the list of MSPO applicants with PT/LA land status on an annual basis and sent to the MPOB HQ.</td></tr></table> <p>Review the MPOB MSPO implementation progress report dated 21/10/2022, the listed existing and new smallholders with LA are updated and in progress for approval.</p> <p>Field interviews with sampled smallholders informed they had been briefed on LA status progress.</p>	Type	Activity	Impact	Action Plan	Legal	Land ownership status for applicants who have land status PT (land application) / LA (Land Application)	Legal issue for land use right	GM SPOC is responsible for updating the record of the list of MSPO applicants with PT/LA land status on an annual basis and sent to the MPOB HQ.	Yes
Type	Activity	Impact	Action Plan							
Legal	Land ownership status for applicants who have land status PT (land application) / LA (Land Application)	Legal issue for land use right	GM SPOC is responsible for updating the record of the list of MSPO applicants with PT/LA land status on an annual basis and sent to the MPOB HQ.							



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Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
4.1.2.2	<p>SPOC S20 Batu Puteh Group Manager provided smallholders Warta Sawit and shared the MSPO information via WhatsApp's group as tools to disseminate new information and techniques.</p> <p>Reviewed the Latest Warta Sawit distribute is Bil. 80 (1) / January - April 2022.</p> <p>Field interviews with sampled smallholders informed they obtained new information from WhatsApp's group and received the latest Warta Sawit.</p>	Yes

Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC S20 Batu Puteh 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 step approach for delivery of FFB to ramp operator / 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. Enter 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 tickets for traceability purposes.</p>	Yes
4.2.1.2	<p>SPOC S20 Batu Puteh group manager maintain records of FFB production and sales of each smallholder.</p> <p>Records of individual sales and delivery of FFB are recorded for all smallholders and well maintained.</p> <p>Document review verify SPOC S20 Batu Puteh 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 S20 Batu Puteh adopted MPOB Senarai Keperluan Undang-Undang (Semenanjung Malaysia), document no: MSPO/SPOC/L-01/SKU, version: 5, dated 01/06/2021.</p> <p>Example of laws listed:</p> <ol style="list-style-type: none"><li>1. Akta 139: Akta Kilang dan Jentera 1967;</li></ol>	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	<p>2. Akta 265: Akta Pekerjaan 1955;                      3. Akta 149: AKta Racun Makhluk Perosak 1974;                      4. Perintah Gaji Minimum 2022;                      5. Akta 342: Akta Pencegahan dan Pengawalan Penyakit Berjangkit 1988.</p> <p>Briefing on legal compliance has been carried out on 21/07/2022.</p> <p>Document review on sample smallholders verify, copy of MPOB license is maintained in the smallholder's individual file with validity until 31/07/2025.</p> <p>Field interviews with sampled smallholders informed they have been briefed on legal requirement.</p>	
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> <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 smallholders is fully owned or one of the listed landowners.</p> <p>The native title issued by State Land Department for agricultural crop of economic value purpose. The map is available in the land title with details of the land and ownership.</p> <p>Field interviews with sampled smallholders informed there are no disputes found and boundary stones or boundary drains used to indicate the boundary.</p>	Yes
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 issued by State Land Department in the smallholders name and used for agricultural crop of economic value.</p> <p>Document review verify the map is available in the land title that show details 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>Document review verify the land title map show the details of land, ownership and boundary stones or boundary drains used to indicate their boundary.</p>	Yes

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<b>Principle 4: Social Responsibility, health, safety and employment conditions</b>		
<b>Indicator</b>	<b>Summary of Assessment</b>	<b>Compliance</b>
4.4.1.1	<p>SPOC S20 Batu Puteh adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 04, revision 02 dated 01/06/2021.</p> <p>The SOP describes;</p> <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> <p>Complaint and grievances procedure has been briefed to smallholders dated 21/07/2022.</p> <p>Field interviews with sampled smallholders informed they have been briefed on complaint and grievance procedure and process flow.</p>	Yes
4.4.1.2	<p>SPOC S20 Batu Puteh adopted MPOB Guidelines Complaint and Grievance, document number MSPO/SPOC/SOP-01/AR, issue 04, revision 02 dated 01/06/2021.</p> <p>Review the SOP stated time line to resolve disputes within 14 days.</p> <p>Stated in the SOP person in charge is Group Manager. The Group Manager is assigned for:</p> <ol style="list-style-type: none"> <li>1. Accepting the grievances;</li> <li>2. Analyzed and investigate on issue raised.</li> </ol> <p>Any complaint outside the scope of the group manager it will refer to other parties or MPOB HQ.</p> <p>Field interviews with sampled smallholders informed they have been briefed on complaint and grievance process and timelines to resolve the complaints dated 21/07/2022.</p>	Yes
4.4.2.1	<p>SPOC S20 Batu Puteh adopt MPOB Guidelines Occupational Safety &amp; Health, document number MSPO/SPOC/GP-02/KKP, issue: 4, 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>Safety and health training has been carried out on 21/07/2022.</p> <p>Field interviews with sampled smallholders informed they have been briefed on importance of safety and health during working in farm.</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

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.3.1	<p>SPOC S20 Batu Puteh adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p> <p>The form has includes 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 S20 Batu Puteh 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>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 S20 Batu Puteh adopted MPOB Employment Terms document number MSPO/SPOC/SMP-01, rev-02 updated 01/06/2021.</p> <p>The form includes 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 or assisted by family members in carrying out field operations.</p>	Yes
4.4.3.4	<p>Field interviews with sampled smallholders and field visit of sampled smallholders SPOC S20 Batu Puteh, there are no on-site living quarters provided.</p>	Yes
4.4.3.5	<p>SPOC S20 Batu Puteh 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 smallholders informed they have been briefed on legal restriction on hiring child workers dated 21/07/2022.</p>	Yes
4.4.4.1	<p>SPOC S20 Batu Puteh established training programme year 2021. The training programme include 'Taklimat MSPO', GAP and LKN visit.</p> <p>Reviewd training record year 2022 verified there is training carried out for smallholders.</p> <p>Example:</p> <p>Title: 'Taklimat MSPO'</p> <p>Date: 21/07/2022</p> <p>Field interviews with sampled smallholders informed they have attend MSPO training. Smallholders are able to demonstrate understanding on farm management.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services														
Indicator	Summary of Assessment	Compliance												
4.5.1.1	<p>SPOC S20 Batu Puteh adopted MPOB List of Social, Environmental impacts and action plan, document number: MSPO/SPOC/L-04/ISP, version: 04, dated 01/06/2021.</p> <p>Environmental impact and action plan:</p> <p>Activity: Chemical application;</p> <p>Environmental impacts: Water pollution due to chemical application near to drains;</p> <p>Action plan: Continuous of good agricultural practice and advisory visit by TUNAS officer.</p> <p>Document review verify environmental training has been carried out on 21/07/2022.</p> <p>Field interviews with sample smallholders informed they have been briefed on the environmental impacts for chemical application at farm.</p>	Yes												
4.5.2.1	<p>Field visits to sampled smallholder's farm indicates there is no renewal energy use.</p> <p>Field interviews with sampled smallholders informed they are not using any renewable energy at farm.</p>	Yes												
4.5.3.1	<p>SPOC S20 Batu Puteh adopted MPOB list of chemical and domestic waste, document number: MSPO/SPOC/L-03/SRD, issued: 4 dated 01/06/2021.</p> <p>Example:</p> <p>From agriculture input:</p> <table border="1"> <thead> <tr> <th>Agricultural input</th><th>Waste produced</th><th>Impact</th></tr> </thead> <tbody> <tr> <td>Pesticides Herbicides</td><td>                     1. Empty chemical containers;                      2. Chemical residue after triple rinse                      3. Contaminated rags                      4. Contaminated soil while spillage                      5. Smoke produce during combustion                 </td><td>                     1. Breeding ground for mosquitoes;                      2. Water pollution                      3. Air pollution                 </td></tr> </tbody> </table> <p>From non-agricultural input:</p> <table border="1"> <thead> <tr> <th>Non-Agricultural equipment</th><th>Waste produced</th><th>Impact</th></tr> </thead> <tbody> <tr> <td></td><td></td><td></td></tr> </tbody> </table>	Agricultural input	Waste produced	Impact	Pesticides Herbicides	1. Empty chemical containers; 2. Chemical residue after triple rinse 3. Contaminated rags 4. Contaminated soil while spillage 5. Smoke produce during combustion	1. Breeding ground for mosquitoes; 2. Water pollution 3. Air pollution	Non-Agricultural equipment	Waste produced	Impact				Yes
Agricultural input	Waste produced	Impact												
Pesticides Herbicides	1. Empty chemical containers; 2. Chemical residue after triple rinse 3. Contaminated rags 4. Contaminated soil while spillage 5. Smoke produce during combustion	1. Breeding ground for mosquitoes; 2. Water pollution 3. Air pollution												
Non-Agricultural equipment	Waste produced	Impact												

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Principle 5: Environment, natural resources, biodiversity and ecosystem services			
Indicator	Summary of Assessment		Compliance
	<p><b>Chemical Pump</b></p> <ol style="list-style-type: none"> <li>1. Chemical residue discharge into the water course.</li> <li>2. Contaminated pumps.</li> <li>3. Spill of lubricant oil from pump to onto soil.</li> </ol>	<ol style="list-style-type: none"> <li>1. Breeding ground for mosquitoes;</li> <li>2. Polluting water sources.</li> </ol>	
	<p>During field visits observed empty chemical containers are used to store water for chemical spraying activities.</p> <p>Document review on environmental training has been carried out on 21/07/2022 include topic on waste management and disposal.</p> <p>Field interviews with sampled smallholders informed they have been briefed on empty chemical containers can be recycle and reused after carried out triple rinsing.</p>		
4.5.3.2	<p>SPOC S20 Batu Puteh adopted MPOB SOP MPOB SOP for Scheduled Waste Management, doc no: MSPO/SPOC/SOP-03/BRP issue 4 effective date 01/06/2021.</p> <p>The SOP describe:</p> <ol style="list-style-type: none"> <li>1. To conduct triple rinsing for each empty chemical container before disposed;</li> <li>2. To put marking on empty chemical container for chemical mixing purposes;</li> <li>3. All scheduled waste shall be disposal according to the Environmental Quality (Scheduled waste) Regulations, 2015.</li> </ol> <p>Document review verify SPOC Bukit Garam established "Rekod Pengurusan Bahan Buangan Terjadual 2022" to monitor of scheduled waste generated such as empty chemical containers and fertilizer bags.</p> <p>Field visits sample smallholders farms confirmed no empty chemical containers left in the farm.</p> <p>Field interviews with sampled smallholders informed they recycled and reused the empty chemical containers.</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 4 dated 01/06/2021.</p> <p>The SOP describes:</p> <ol style="list-style-type: none"> <li>1. Guideline on buffer zone length;</li> <li>2. No activities such as chemical spraying and manuring;</li> <li>3. Flow chart on buffer zone establishment.</li> </ol> <p>Document review verify briefing on environmental carried out to smallholders on 21/07/2022 include topic on buffer zone management.</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 understand the need to conserve the buffer zone areas and not to carry out any chemical spraying or manuring activity near the waterways.	
4.5.4.2	Field interviews and farms visits observed sampled smallholders practice rain harvesting using drum for chemical spraying.	
4.5.5.1	<p>SPOC S20 Batu Puteh adopted MPOB List of Social, Environmental impacts and action plan, document number: MSPO/SPOC/L-04/ISP, version: 04, dated 01/06/2021.</p> <p>SPOC S20 Batu Puteh established list of wildlife identified by Pejabat Perhilitan Daerah Kinabatangan dated 22/09/2022.</p> <p>Example of wildlife:</p> <ol style="list-style-type: none"> <li>1. Wild boar;</li> <li>2. Elephant;</li> <li>3. Crocodile;</li> <li>4. Monkey;</li> <li>5. Jungle fowl;</li> <li>6. Wild cat.</li> </ol> <p>Document review verify briefing on environmental carried out to smallholders on 21/07/2022 include topic on wildlife management and requirement.</p> <p>Field interviews with sampled smallholders informed they sighted the monkeys and jungle fowl within their farm.</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 4 rev. 01, effective date 01/06/2021.</p> <p>SOP describes the responsibilities of all parties in caring for the environment by not practicing open burning during the work of opening plantations or replanting oil palm.</p> <p>Documents review verify briefing on environmental carried out to smallholders on 21/07/2022 include topic on zero burning requirement.</p> <p>Field visits observed no open burning practice within the smallholders' farms.</p> <p>Field interviews with sample smallholders informed they only practice with felling and mulching palm trees during replanting.</p>	Yes



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Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	<p>SPOC S20 Batu Puteh adopted MPOB Guideline “Garis Panduan Pelan Daya Ekonomi dan Kewangan”, document number: MSPO/SPOC/GP-01/PEK, rev 4, updated on 01/06/2021.</p> <p>The procedure describes:</p> <ol style="list-style-type: none"> <li>1. Good agricultural practice starting from land preparation until harvesting;</li> <li>2. Dosage of fertilizer and chemical application on field;</li> <li>3. Calculation on smallholders yield, RM / hectare / year.</li> </ol> <p>SPOC S20 Batu Puteh briefed on Good Agriculture Practice (GAP) to smallholders during MSPO programme on 21/07/2022 and LKN visits.</p> <p>Example of LKN visits carried out on 26/01/2022.</p> <p>Field visits at sampled smallholder's farms observed smallholders implemented GAP such as:</p> <ul style="list-style-type: none"> <li>• Proper stacking of fronds;</li> <li>• Good maintenance of harvesting path.</li> </ul> <p>Field interviews with sampled smallholders informed they have been briefed on GAP such as fronds stacking during LKN visit.</p>	Yes
4.6.1.2	<p>SPOC S20 Batu Puteh established visual identification for each smallholder with information of smallholders' name, field address, GPS coordinates, lot size and year of planting.</p>	Yes
4.6.2.1	<p>SPOC S20 Batu Puteh adopted MPOB guideline Economic and Financial Plan, document no. MSPO/SPOC/GP-01/PEK, issue 3, no. revision 04 dated 01/06/2021.</p> <p>All other operation budgets and costs are under the control of MPOB HQ.</p> <p>Document review verify evidence of budget approval for MSPO training and LKN visit. The budget includes MSPO training, LKN and miscellaneous expenses.</p>	Yes
4.6.3.1	<p>SPOC S20 Batu Puteh monitors FFB pricing on monthly basis through input from selected mills/ ramps or dealers for fair price.</p> <p>Field interviews with sampled smallholders informed they have access to the FFB prices via phone call 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 S20 Batu Puteh database is review with first planting in 1989 and latest replanting in year 2019.  There are no new plantings for existing and new members.  Therefore, no assessment on high biodiversity value area.	Yes
4.7.2.1	SPOC S20 Batu Puteh database is review with first planting in 1989 and latest replanting in year 2019.  There are no new plantings for existing and new members.  Therefore, no assessment on type of soil.	Yes
4.7.3.1	SPOC S20 Batu Puteh database is review with first planting in 1989 and latest replanting in year 2019.  There are no new plantings for existing and new members.  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 findings. Details of the follow up action taken on stage 1 audit findings were recorded in the Stage 1 audit report.
	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS implemented to address any nonconformity identified.
	The last audit results of this system have been reviewed, in particular to assure appropriate correction and corrective action HAS NOT been implemented effectively. Non-conformity will be re-raised.
X	No non-conformity raised in previous audit.
<i>Note 1: If a minor non-conformity raised in last audit, is not closed out, the finding will be raised to a Major non-conformity.</i>	
<i>Note 2: All major and minor NCs raise in last audit are required to capture in this report together with the review of the non-compliance implementation.</i>	

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

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

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

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

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

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Nr.	Indicator	Description	Location	Opportunity for Improvement
1.	4.5.1.1	Independent smallholders are expected to be aware of the environmental impact but are not expected to undertake any formal impact assessment unless there is a legal requirement.	Field	SPOC S20 Batu Puteh could improve the buffer zone marking.
2.	4.6.1.2	A visual identification or reference system shall be established for each field or block of oil palm planting.	Field	SPOC S20 Batu Puteh could improve the fields marking availability

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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 1,005 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 carried out 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: 1,005

Total certified acreage of smallholders: 6,395.1868 Ha

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### 6. RECOMMENDATION

The audit team carried out 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
X	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 11/11/2022

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

Puchong, 02/12/2022

Navin Baskram  
TUV NORD (Malaysia) Sdn Bhd  
Certifier / Approver

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### 7. LIST OF STAKEHOLDERS

No stakeholders' consultation carried out 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