



MSPO CERTIFICATION SUMMARY REPORT

SPOC S21 SUKAU

ANNUAL SURVEILLANCE 11

Onsite Audit Date: 19/09/2022 – 21/09/2022

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MSPO Certification Summary Report

Company Name: Malaysian Palm Oil Board (MPOB)
Certifying Unit: SPOC S21 Sukau
Client Number: 92-084
Audit Type: ASA 11
Mode of Audit: Onsite



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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 eleven (11) audit for SPOC S21 Sukau 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 S21 Sukau 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 S21 Sukau in managing the independent smallholders' scheme.

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

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

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

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

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

1.3. Appointment & Qualification of Audit Team Members

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

Qualification of the Lead Auditor: Mohamad Norhisham Bin Mohd Salleh

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

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Requirement	Qualifications
v) Social Sciences and/or Anthropology; vi) Business Management; or vii) Other relevant related fields	
At least five (5) years of work experience in the oil palm sector or related field in consultancy / auditing of similar industry or equivalent related to and as necessary for the certification process. (e.g., sustainability, palm oil management; agriculture, ecology; social science)	5 years working experience in oil palm plantations.
Successfully completed MPOCC endorsed lead auditor training	Successfully completed MS2530 series of standards for Lead Auditors.
Conducted at least three (3) MSPO or equivalent sustainability certification audits as Lead Auditor-in-training with a minimum of fifteen (15) man-days under the supervision of a qualified Lead Auditor for MSPO or equivalent sustainability certification schemes within the last two (2) years.	Qualified and appointed as lead auditor for MSPO scheme.
Field working experience in the palm oil sector, or demonstrable equivalent	5 years working experience in oil palm plantations.
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	5 years working experience in oil palm plantations.
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Successfully completed ISO 9001:2015 Lead Auditor course.
Health and safety auditing on the farm and in processing facilities Or Successfully completed Occupational, Health & Safety Management System ISO 45001 standard	Successfully completed ISO 45001:2018 Lead Auditor course.
Workers welfare and social auditing experience or Successfully attended SA8000 or related social or ethical accountability codes	Successfully completed Basic SA 8000 training.
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Successfully completed IMS ISO 14001:2015 Lead auditor course and auditor for MSPO scheme
Completed High Conversation Value assessment	Attended and completed the HCV-HCS for producer online course.

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

Qualification of Team Member(s)

Requirement	Name Assessor	Qualification	Compliance
Post-secondary education, college or university diploma / degree in one of the following i) Agriculture; ii) Science & Technology (e.g. Environmental Sciences, Life Sciences, Geological Sciences, Natural Sciences,); iii) Engineering, Process Technology; iv) Energy Management, Quality Management; v) Social Sciences and/or Anthropology; vi) Business Management; or vii) Other relevant related fields	Muhammad Khairul Anuar Bin Azizul Hasan	Graduate in Agricultural Science.	Yes
	Arif Bin Lokman	Graduate in Plantation Industry and Management.	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)	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantations.	Yes
	Arif Bin Lokman	7 years working experience in oil palm plantations.	Yes
Successfully completed MPOCC endorsed lead auditor / auditor trainings	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed MS2530 series of standards for Lead Auditors.	Yes
	Arif Bin Lokman	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.	Muhammad Khairul Anuar Bin Azizul Hasan	Qualified as auditor based on audit log.	Yes
	Arif Bin Lokman	Qualified as auditor based on audit log.	Yes

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Requirement	Name Assessor	Qualification	Compliance
Field working experience in the palm oil sector or demonstrable equivalent	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantations.	Yes
	Arif Bin Lokman	7 years working experience in oil palm plantations.	Yes
Good Agricultural Practices (GAP) and Integrated Pest Management (IPM), pesticide and fertilizer use	Muhammad Khairul Anuar Bin Azizul Hasan	7 years working experience in oil palm plantations.	Yes
	Arif Bin Lokman	7 years working experience in oil palm plantations.	Yes
Successfully completed Quality Management Systems (QMS) ISO9001 standard	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Arif Bin Lokman	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	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Arif Bin Lokman	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	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed Basic SA 8000 training.	Yes
	Arif Bin Lokman	Successfully completed Basic SA 8000 training.	Yes
Environmental and ecological auditing or experience with organic agriculture. or Successfully completed Environmental Management Systems ISO 14001 standard	Muhammad Khairul Anuar Bin Azizul Hasan	Successfully completed IMS ISO 9001, 14001 and 45001 LA course.	Yes
	Arif Bin Lokman	Successfully completed IMS ISO 9001, 14001, 45001 Lead Auditor course.	Yes

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Requirement	Name Assessor	Qualification	Compliance
Completed High Conversation Value assessment	Muhammad Khairul Anuar Bin Azizul Hasan	Attended and completed the HCV-HCS for producer online course.	Yes
	Arif Bin Lokman	Attended and completed the HCV-HCS for producer online course.	Yes
Able to communicate in Bahasa Malaysia, English and / or any other local language.	Muhammad Khairul Anuar Bin Azizul Hasan	Able to communicate in Bahasa Malaysia and English.	Yes
	Arif Bin Lokman	Able to communicate in Bahasa Malaysia and English.	Yes

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2. METHODOLOGY

The audit approach consists of the following steps:

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

Surveillance 11 Audit:

The Surveillance audit conducted remotely or onsite from 19/09/2022 – 21/09/2022 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 stage 1 or stage 2 or SA audit;
- Assessment reporting.

Onsite

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

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

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

The group of smallholders consists of 68 new members and 494 old members. The total number of smallholders for this audit are 562.

As per MPOB requirements the risk factor of 1.5 shall be applied. Therefore, the sample size $S = 1.5\sqrt{562} = 35.55$ round up to the next integral of 36.

As per OPMC 2 issue 2, from the sample size, the number of the new members are $36 \times 75\% = 27$ and number of existing members are $36 \times 25\% = 9$.

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

Table 2-1: List of Sample Smallholders

Name	GPS Coordinates
Existing members	
Saharon Bin Ahmad	5°30'44.071" N , 116°16'09.365" E
Sahara Binti Massa	5°33'26.59" N , 118° 6'21.49" E
Salimalik Asamara	5°33'34.80" N , 118°2'54.68" E
Nasrun Binti Sugarah	5°29'55.5" N , 118°12'41.2" E
Halimah Binti Sadura	5°33'54.58" N , 117°55'10.23" E
M Amin Bin Laihi	5°31'42.35" N , 118°16'2.29" E
Mohamad Ali Bin Ibrahim	5°34'14.68" N , 117°53'7.93" E
Hakim Bin Mas	5°33'46.48" N , 117°54'36.56" E
Mohamed Shahim Fazul Rahman	5°29'45.68" N , 117°57'0.09" E

Name	GPS Coordinates
New members	
Beche Binti Laubung	5°33'47.64" N , 117°54'58.57" E
Mohd Fadilah Kamsa Bin Amiruddin	5°33'28.55" N , 118° 3'37.16" E
Umai Samiah Binti Juak @ Abd Razak	5°39'45.36" N , 118°15'42.84" E

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Name	GPS Coordinates
New members	
Ratnah Binti Paliho	5°33'57.86" N, 118°17'27.30" E
Idar Binti Awang	5°28'55.15" N, 118° 5'6.98" E
Jamil Bin Abdul Rahim @ Abd Ruhim	5°35'37.84" N, 118° 8'23.91" E
Malaya Bin Kasurah	5°34'11.98" N, 117°53'28.25" E
Burhan Bin Lahama	5°33'33.80" N, 118° 4'46.03" E
Rorsiah Binti Lahama	5°33'27.93" N, 118° 5'31.25" E
Hassanuddin Bin Tampa	5°31'10.85" N, 118° 1'30.29" E
Patimah Binti Badri	5°31'1.94" N, 118° 1'29.85" E
Lias Bin Abd Rahman	5°35'13.49" N, 118° 7'53.82" E
Suartina Sani Bte Mohammad Rozani	5°26'12.59" N, 118° 3'30.95" E
Amiruddin Bin Shamsuddin	5°27'18.89" N, 118° 3'9.30" E
Asmiddah Bte Amrin	5°22'57.38" N, 117°42'54.07" E
Uddin Bin Mansul	5°27'11.09" N, 118° 3'17.53" E
Harizah Binti Adon	5°30'54.44" N, 118°17'46.49" E
Misuara Binti Jahaya	5°33'57.38" N, 117°53'44.94" E
Ladang Harapan	5°29'26.11" N, 118°13'42.99" E
Noriah Binti Marban	5°30'43.16" N, 118°15'40.30" E
Aslee Bin Indal	5°34'51.10" N, 118°18'21.65" E
Asmat Bin Ali	5°23'16.811" N, 117°53'31.632" E
Sariha Binti Maharan	5°30'56.42" N, 118°17'24.09" E
Suriyanti Bte Abidin	5°33'34.55" N, 118° 3'30.48" E

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Name	GPS Coordinates
New members	
Shahrul Bin Amir	5°37'22.67" N, 117°59'45.23" E
Jamiah Binti Hanafi	5°38'24.20" N, 118° 7'34.74" E
Abdul Wahid Bin Lahaba	5°26'13.65" N, 118° 4'43.24" 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 S21 Sukau, is a branch of MPOB located at Pejabat MPOB Cawangan Kinabatangan, Blok F, Tingkat 1, Lot 12, Bangunan Perkasa Realty Sdn Bhd, 90200 Kinabatangan, Sabah is managed by a group manager and supported by a team officers to manage the cluster providing technical support, estate management skills and training as well as develop the independent smallholders' scheme around the Kinabatangan district.

The smallholders in Kinabatangan as shown in the below maps.



Figure 1: Smallholders location for SPOC S21 Sukau.

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Figure 2: Smallholders location for SPOC S21 Sukau



Figure 3: Smallholders location for SPOC S21 Sukau

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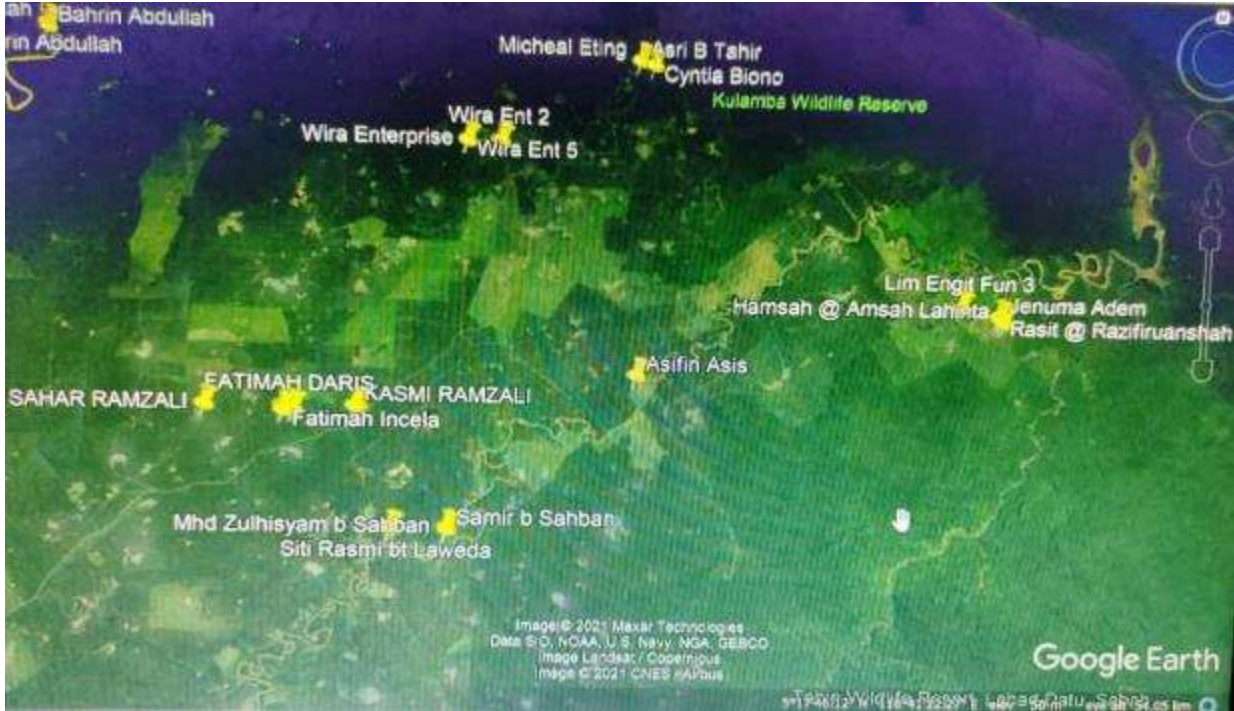


Figure 4: Smallholders location for SPOC S21 Sukau

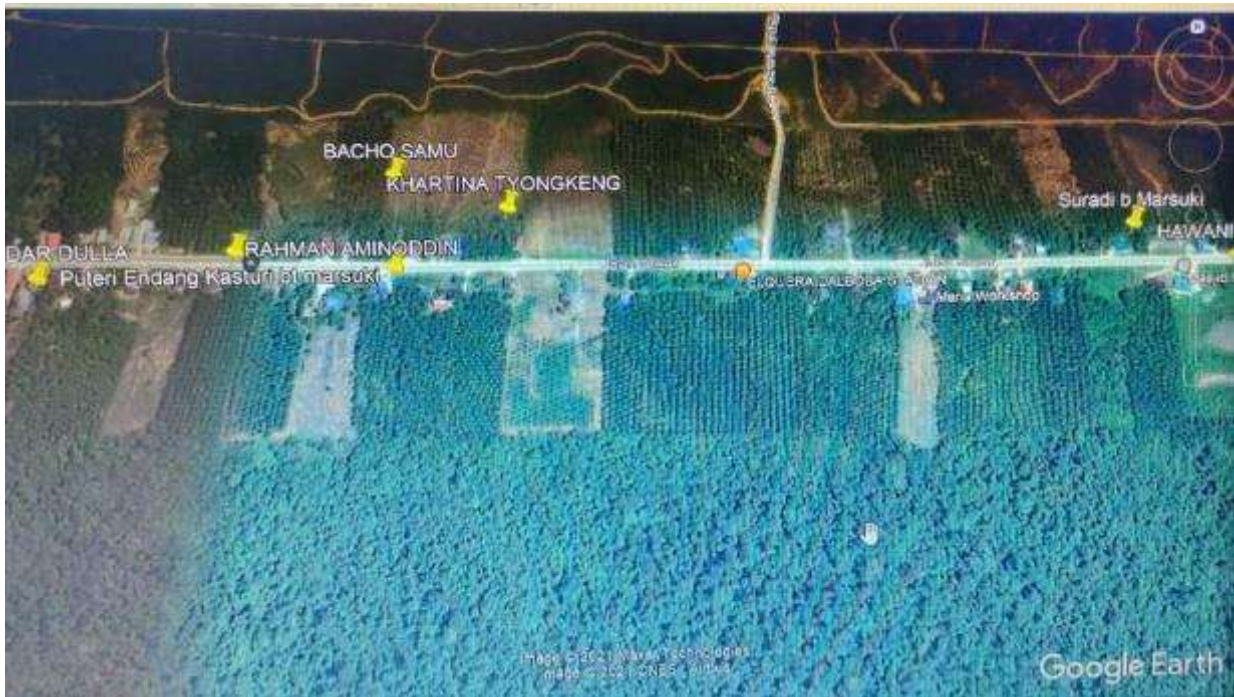


Figure 5: Smallholders location for SPOC S21 Sukau

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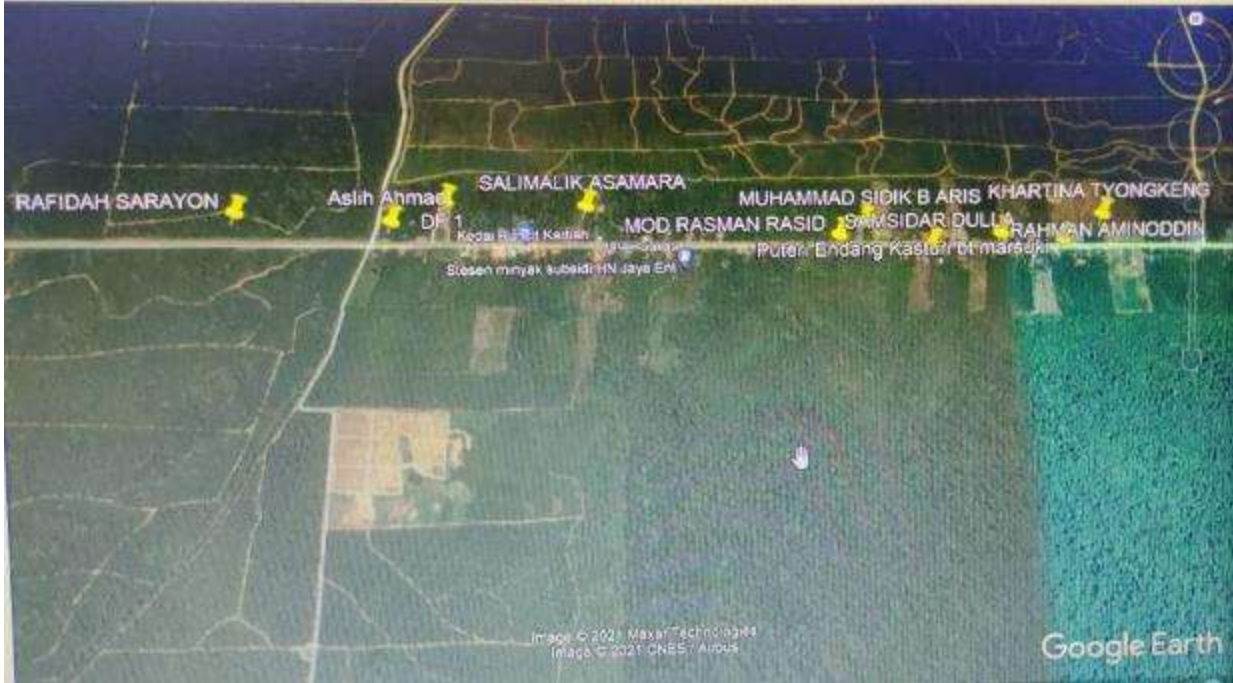


Figure 6: Smallholders location for SPOC S21 Sukau

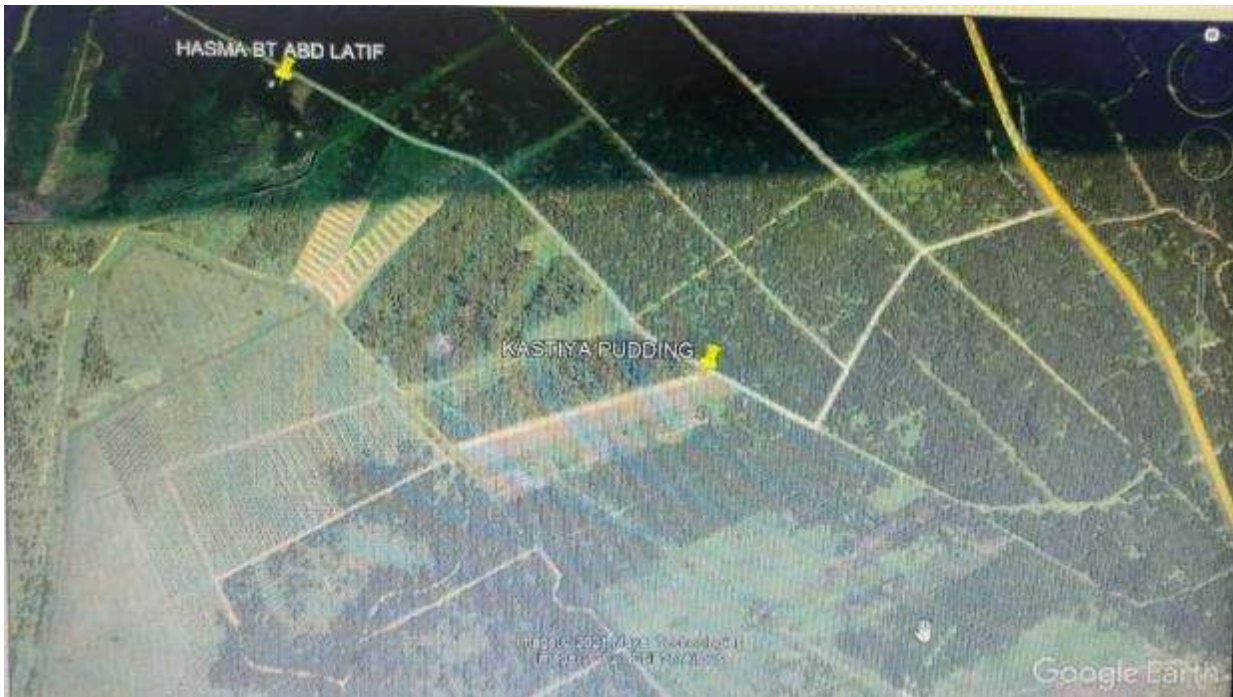


Figure 7: Smallholders location for SPOC S21 Sukau

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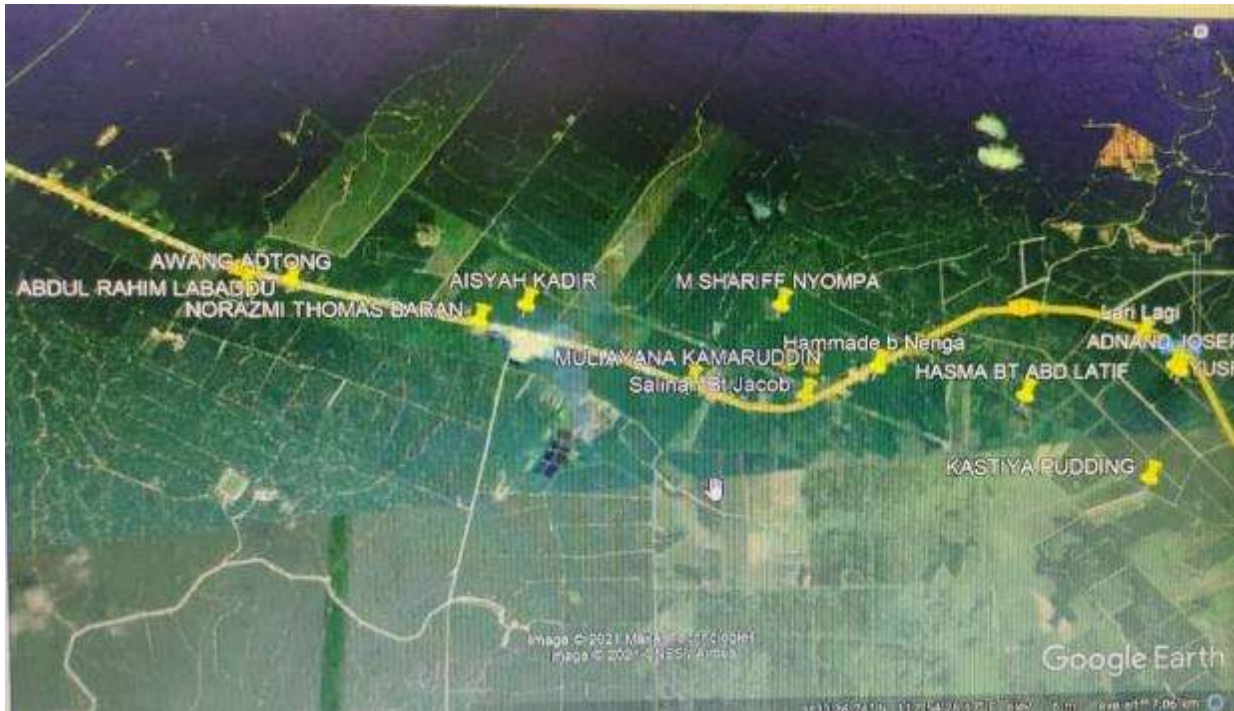


Figure 8: Smallholders location for SPOC S21 Sukau

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4. CERTIFICATION ASSESSMENT

4.1. ASA 11

The objective of the audit is to assess the activities of MPOB Cawangan SPOC S21 Sukau are in compliance with MS 2530-2: 2013 Part 2: General principles for independent smallholders' requirements.

4.1.1. Surveillance 11 Audit:

The surveillance audit is conducted from 19/09/2022 to 21/09/2022.

The number of smallholders in this surveillance audit are 562.

The number of smallholders 494 remain the same for this surveillance audit.

The number of smallholders joined during this surveillance audit are 68.

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

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

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

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

During this surveillance 11 audit, there is one Major and two OFI raised.

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

4.2. Stakeholders' Consultation

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

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

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

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TUV NORD (Malaysia) Sdn. Bhd., has published the audit notification on 19/08/2022 to announce the audit of the certified unit. As at audit date on 19/09/2022 there are no comments received.

4.3. Summary of Assessment

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

Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
4.1.1.1	<p>Document review confirmed, copy of application form available in smallholders file, signed and acknowledged by SPOC GM.</p> <p>Site visit observed MSPO policy displayed at MPOB office notice board.</p> <p>Smallholders are briefed on MSPO Policy during MSPO awareness programme conducted on 22/07/2022.</p> <p>Field interviews with sampled smallholders understands and aware of MSPO requirements.</p>	Yes
4.1.2.1	<p>SPOC S21 Sukau adopted MPOB Manual Prosedur Kerja (MPK) 2020, Lampiran 9 'ist of social and environmental impact and action plan' document no: MSPO/SPOC/L-04/ISP, issue no 3, rev 3 date effective: 01/06/2021.</p> <p>Example of social impact and action plan: Activity: Harvesting Social impact: FFB stolen Action plan: Report to 'Majlis Pengurusan Komuniti Kampung' and Police for further action.</p> <p>Example of environmental impact and action plan: Activity: Manuring and integrated farming. Environmental impact: Improve in soil fertility and soil structure (application of organic fertilizer). Action plan: Ongoing.</p> <p>Document review verify SPOC S21 Sukau established CIP dated 14/09/2022 include monitoring of the land use conversion. The status of land use conversion is in progress on approval from 'Jabatan Tanah dan Ukur Sabah'.</p>	Yes
4.1.2.2	<p>SPOC S21 Sukau distributed Warta Sawit 2022 edition to smallholders during MSPO awareness training on 22/07/2022.</p>	Yes

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Principle 1: Management Commitment & responsibility		
Indicator	Summary of Assessment	Compliance
	<p>Field interviews with sampled smallholders informed they received information on Warta Sawit during LKN (GAP) visit.</p> <p>Field interviews with sampled smallholders, they obtained new information from group manager and received the Warta Sawit when attend training.</p>	

Principle 2: Transparency		
Indicator	Summary of Assessment	Compliance
4.2.1.1	<p>SPOC S21 Sukau adopted MPOB Guidelines for Economic and Financial Power Plans doc no MSPO/SSCC/GP-01/PEK, issue no.: 4, rev: 4 dated 01/06/2021.</p> <p>The guideline has a flow chart describing the steps approach for delivery of FFB to collection center or mill with the type of documents:</p> <ol style="list-style-type: none"> 1. Sales receipt; 2. Weighbridge ticket; 3. Transfer records to BRL; 4. Keep Receipt; 5. SPOC will collect records and prepare summary. <p>Document review verify weighbridge tickets are kept by smallholders.</p> <p>Field interviews with sampled smallholders informed they kept the weighbridge ticket for traceability purposes.</p>	Yes
4.2.1.2	<p>SPOC S21 Sukau group manager maintain records of FFB production and sales of each smallholder.</p> <p>Document review verify SPOC S21 Sukau maintained 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 S21 Sukau adopted MPOB 'Senarai Keperluan Undang-Undang, 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"> 1. Akta 139: Akta Kilang dan Jentera 1967; 2. Akta 265: Akta Pekerjaan 1955; 3. Akta 342: Akta Pencegahan dan Pengawalan Penyakit Berjangkit 1988; 	Yes

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Principle 3: Compliance to legal requirements		
Indicator	Summary of Assessment	Compliance
	<p>4. Perintah Gaji Minimum (Pindaan 2022).</p> <p>Briefing on legal compliance has been conducted on 22/07/2022.</p> <p>Document review on sampled smallholders verify, copy of MPOB license is maintained in the smallholder's individual file with validity from 02/08/2021 to 31/07/2026.</p> <p>Field interviews with sampled smallholders informed they are aware of legal requirement.</p>	
4.3.2.1	<p>SPOC S21 Sukau smallholders land titles are country lease or native title issued by State Land Department.</p> <p>Document review verify on the sampled smallholder's individual file, some smallholders are in the process of 'Pengesahan PT'.</p> <p>The land used for oil palm or agricultural purposes.</p> <p>Document review, SPOC S21 Sukau established CIP dated 14/09/2022 include monitoring of the land use conversion. The status of land use conversion is in progress on approval from 'Jabatan Tanah dan Ukur Sabah'.</p> <p>Field interviews with sampled smallholders informed there are no disputes occur and boundary stones or boundary drains used to indicate the boundary.</p>	Yes
4.3.3.1	<p>SPOC S21 Sukau 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 sighted the map is available in the land title that show details of land and ownership.</p>	Yes
4.3.3.2	<p>SPOC S21 Sukau smallholders who hold native land titles are issued by State Land Department.</p> <p>Document review sighted the land title map show the details of land, ownership and boundary stones or boundary drains used to indicate the boundary.</p>	Yes

Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.1.1	<p>SPOC S21 Sukau 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"> 1. The flow chart in the SOP describes grievance and complaint process to be resolved within 14 days; 2. Group manager is in charge in handling the complaint and 	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
	<p>grievances;</p> <p>3. Grievance and complaint records are archived and maintained.</p> <p>Document review on Taklimat MSPO report, complaint and grievances procedure has been briefed to smallholders dated 22/07/2022.</p> <p>Field interviews with sampled smallholders informed they have been briefed on complaint and grievance procedure and process flow.</p>	
4.4.1.2	<p>SPOC S21 Sukau 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"> 1. Accepting the grievances; 2. Analyzed and investigate on issue raised. <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 22/07/2022.</p>	Yes
4.4.2.1	<p>SPOC S21 Sukau adopt MPOB Guidelines Occupational Safety & 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"> 1. Responsibility of GM and smallholders regarding safety and health; 2. Procedure and type of PPE used for harvesting, manuring and spraying. <p>Document review on safety and health training has been conducted on 22/07/2022.</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
4.4.3.1	<p>SPOC S21 Sukau 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 are working by themselves or assisted by family members in carrying out field operations.</p>	Yes

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Principle 4: Social Responsibility, health, safety and employment conditions		
Indicator	Summary of Assessment	Compliance
4.4.3.2	<p>SPOC S21 Sukau 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 remote documents review.</p> <p>Field interviews with sampled smallholders informed no discrimination occurs.</p>	Yes
4.4.3.3	<p>SPOC S21 Sukau 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 verification and interview of sampled smallholders SPOC S21 Sukau, there are no on-site living quarters.</p>	Yes
4.4.3.5	<p>SPOC S21 Sukau 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"> Not to employ young workers below the age of 15-18 years old forworking in dangerous and heavy work. <p>Field interviews with sampled smallholders informed they have been briefed on legal restriction on hiring child workers dated 22/07/2022.</p>	Yes
4.4.4.1	<p>SPOC S21 Sukau established training programme year 2022. The training programme include 'Taklimat MSPO', GAP and LKN visit.</p> <p>Document review on training record year 2022 verified there is training carried out for smallholders.</p> <p>Example:</p> <p>Title: Taklimat MSPO;</p> <p>Date: 22/07/2022.</p> <p>Field iinterviews with sampled smallholders informed they have attended 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 S21 Sukau adopted MPOB Social and Environmental impacts and action plan, document number MSPO/SPOC/L-04/ISP, revision no: 4, date effective 01/06/2021.</p> <p>Example:</p> <p>Activity: Chemical spraying;</p> <p>Environment impacts: Water ways pollution;</p> <p>Action plan: To provide continues training and LKN for smallholders.</p> <p>Document review on training program and records confirmed smallholders briefed on environmental management dated 22/07/2022.</p> <p>SPOC S21 Sukau conducted LKN to smallholders' site has include briefing on social and environmental impacts to smallholders.</p> <p>Field interviews with sampled smallholders informed they understand the environmental impacts.</p>	Yes
4.5.2.1	<p>Field visits at SPOC S21 Sukau sampled smallholders' farms and interviews with sampled smallholders informed there is no renewable energy used by them.</p>	Yes
4.5.3.1	<p>SPOC S21 Sukau adopted MPOB List of Scheduled and Domestic Wastes, Doc. No. MSPO/SPOC/L-03/SRD, rev 4, updated on 01/06/2021.</p> <p>The SOP described two (2) types of waste generated by smallholders which are from agricultural or non-agricultural activities.</p> <p>Example:</p> <ul style="list-style-type: none"> Waste generated from agriculture: Empty chemical containers; Waste generated from non-agriculture: Domestic waste. <p>SPOC S21 Sukau group manager briefed smallholders on waste management during LKN visit on 07/09/2022.</p> <p>Field interviews with sampled smallholders informed they understand on managing of wastes such as reused the fertilizer bags for loose fruit collection and empty chemical containers can be recycle and reused after triple rinsing.</p>	Yes
4.5.3.2	<p>SPOC S21 Sukau adopted Pengurusan Bahan Buangan Terjadual, document number: MSPO/SPOC/SOP-03/BT, revision no: 4, date effective 01/06/2021.</p> <p>The SOP describes as follows:</p> <ul style="list-style-type: none"> To monitor and ensure the process of scheduled waste handling in proper manner; All empty chemical containers shall be tripled rinsed before reused. <p>Field iinterviews with sampled smallholders informed empty chemical containers will be kept at designated store and reused for chemical spraying activity.</p>	Yes

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Principle 5: Environment, natural resources, biodiversity and ecosystem services		
Indicator	Summary of Assessment	Compliance
	Briefing on disposal of empty chemical containers conducted during LKN visit by Group Manager SPOC S21 Sukau on 09/09/2022.	
4.5.4.1	SPOC S21 Sukau adopted MPOB Guidelines 'Garis Panduan Zon Penampunan Sungai' MSPO/SPOC/GP-03/ZPS, rev 4 dated 01/06/2021. Field interviews with sampled smallholders informed they understand and practice the restriction on chemical application at buffer zone area. Training on buffer zone protection conducted during LKN visit dated 09/09/2022.	Yes
4.5.4.2	Field interviews with sampled smallholders informed they has practicing rain water harvesting by using the empty drums or dug hole for chemical spraying and washing purpose.	Yes
4.5.5.1	SPOC S21 Sukau updated list of wildlife dated 28/09/2021. Review on the poster of totally protected wildlife of Kinabatangan is displayed at MPOB SPOC S21 Sukau office. Example of wildlife: <ul style="list-style-type: none"> • Elephant; • Wild boar; • Crocodile. Field interviews with sampled smallholders informed they sighted wild boar, squirrel and monkey in the farm and understand no hunting of wildlife.	Yes
4.5.6.1	SPOC S21 Sukau adopted MPOB Guidelines Garis panduan Amalan Pembakaran Sifar doc no: MSPO/SPOC/GP-04/APS, issue 04 dated 01/06/2021. The SOP describes: "To ensure smallholders aware of environmental impact by practicing zero burning". Field interviews with sampled smallholders informed they are aware and understand no open burning allowed in farm. Field visit at smallholder's farms observed no sign of open burning.	Yes

Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
4.6.1.1	SPOC S21 Sukau adopted MPOB Guideline "Garis Panduan Pelan Daya Ekonomi dan Kewangan", document number: MSPO/SPOC/GP-01/PEK, rev 4, updated on 01/06/2021. The procedure describes:	Yes

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Principle 6: Best Practices		
Indicator	Summary of Assessment	Compliance
	<p>1. Good agricultural practice starting from land preparation until harvesting;</p> <p>2. Dosage of fertilizer and chemical application on field;</p> <p>3. Calculation on smallholders yield, RM / hectare / year.</p> <p>SPOC S21 Sukau briefed on Good Agriculture Practice (GAP) to smallholders during MSPO programme on 22/07/2022 and LKN visits.</p> <p>Example of LKN visits carried out on 01/09/2022 and 09/09/2022.</p> <p>Field visit at sampled smallholder's farm observed smallholders implemented GAP such as:</p> <ul style="list-style-type: none"> • Proper stacking of fronds; • Good maintenance of harvesting path. <p>Field interviews with sampled smallholders informed they have been briefed on GAP such as fronds stacking during LKN visit.</p>	
4.6.1.2	<p>SPOC S21 Sukau established visual identification for numbers of smallholders with information of smallholders' name, field address, GPS coordinate, lot size and year of planting.</p> <p>Non-conformity:</p> <p>During site verification and interviewed sampled of new smallholders, there are no visual identification signage at their farms.</p>	No
4.6.2.1	<p>SPOC S21 Sukau 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 S21 Sukau 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 S21 Sukau database is review with first planting in 1990 and latest new planting is in year 2021. There are no new plantings for existing and new members in year 2022. Therefore, no assessment on high biodiversity value area.	Yes
4.7.2.1	SPOC S21 Sukau database is review with first planting in 1990 and latest new planting is in year 2021. There are no new plantings for existing and new members in year 2022. Therefore, no assessment on type of soil.	Yes
4.7.3.1	SPOC S21 Sukau database is review with first planting in 1990 and latest new planting is in year 2021. There are no new plantings for existing and new members in year 2022. 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.

ON-SITE AUDIT OUTCOME		
	1	MAJOR Non-Conformities

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During this onsite audit,	0	MINOR Non-Conformities
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Non Conformity Number < 01 >			
Indicator # and Description:	Indicator: 4.6.1.2 A visual identification or reference system shall be established for each field or block of oil palm planting. (MAJOR)		
Location:	SPOC S21 Sukau		
Description of Finding / Objective Evidence:			
During site verification and interviewed sampled of new smallholders, there are no visual identification signage at their farms.			
Classification	<input checked="" type="checkbox"/> Major	<input type="checkbox"/> Minor	
Raise by:	Ariff Bin Lokman	Date Raise:	21/09/2022
Deadline for implementation			
Root Cause Analysis (by company):			
"Kekangan masa untuk pekebun kecil menyediakan papan tanda di kebun".			
Correction (by company):			
"Mengarahkan pekebun kecil yang terlibat untuk memasang papan tanda di kebun dan menghantar gambar".			
Corrective / Preventive Action (by company)			
Mewajibkan semua peserta SPOC S21 Sukau untuk memasang papan tanda di kebun.			
Review of Correction & Corrective / Preventive Action			
A review of objective evidences provided sighted visual identification signages for sampled smallholders, including information such as the smallholder's name, lot number, year planting, and land area. The signages are placed on smallholder's farms. Based on the document review, the major non-conformity is considered closed. Further verification on implementation will be verified on 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 Auditor: Ariff Bin Lokman		Date of Closure: 26/10/2022	
Review of Implementation			
Name of Lead Auditor / Auditor:		Date of Review:	

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Nr.	Indicator	Description	Location	Opportunity for Improvement
1.	4.2.1.2	To keep records of sales and delivery or transportation of fresh fruit bunches.	Field	SPOC S21 Sukau could improve FFB records in the BRL.
2.	4.6.1.1	All independent smallholders oil palm farms shall implement best practices such as the MPOB Codes of Practice, Malaysian Standards, ISO Standards and the Kod Amalan Baik (GAP) Pekebun Kecil	Field	SPOC S21 Sukau could improve good agricultural practises (GAP) on: <ul style="list-style-type: none">• Weed control.• Fertilizer application.

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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 S21 Sukau consisting of 562 independent smallholders according to MS 2530-2:2013 Part 2, General Principles for Independent Smallholders.

There is one Major NC raised in this audit and closed out successfully.

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:	562
Total certified acreage of smallholders:	4,202.692 Ha

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6. RECOMMENDATION

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

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

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

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

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

	Recommended for Certification / Recertification
X	Recommended for Continuity of Certification
	Suspended of Certification

Puchong, 09/10/2022

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

Puchong, 27/10/2022

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

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7. LIST OF STAKEHOLDERS

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

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

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

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

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

Salvo clause:

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

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

Annex / Enclosures

Annex / corresponding audit documentation	<input checked="" type="checkbox"/> P&C Audit Report / Checklist(s) <input checked="" type="checkbox"/> Audit Plan
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