

Certification Evaluation Report

Roundtable on Sustainable Biomaterials

Associação dos Fornecedoros de Cana da Região de Bariri - ASSOBARI

SCS Certificate Code- SCS-RSB/PC-0025

Av. Per. Prefeito Domingos A. Fortunato, 365

CEP 17.250-000, Bariri – SP, Brazil

Acácio Masson Filho

<http://www.assobari.com.br>

CERTIFIED	EXPIRATION
September 19, 2016	September 18, 2021

DATE OF FIELD AUDIT
July, 5 th to 7 th , 2016
DATE OF LAST UPDATE
September 19, 2016

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FOREWORD

SCS Global Services (SCS) is a certification body accredited by the Roundtable on Sustainable Biomaterials (RSB) to conduct evaluations of biofuel operators. Under the RSB/SCS certification system, participating operators meeting international standards of biofuel production can be certified as “sustainable,” thereby permitting the Operator’s use of the RSB endorsement and logo in the marketplace subject to regular RSB/SCS oversight.

SCS deploys interdisciplinary teams of natural resource specialists and other experts all over the world to conduct evaluations of biofuel operations. SCS evaluation teams collect and analyze written materials, conduct interviews with Participating Operator’s staff and key stakeholders, and complete field and office audits of the operation(s) identified in the certification scope. Upon completion of the fact-finding phase of all evaluations, SCS teams determine compliance to the RSB Principles and Criteria.

Please Note: An RSB certificate itself does not constitute evidence that a particular product supplied by the certificate holder is certified to RSB standards. Products offered, shipped or sold by the certificate holder can only be considered covered by the scope of this certificate when the required RSB claim is clearly stated on-product. For more information about the RSB, visit their website at www.rsb.org.

Organization of the Report

This report of the results of our evaluation is divided into two sections. Section A provides the public summary and background information that is required by the Roundtable on Sustainable Biomaterials. This section is made available to the general public and is intended to provide an overview of the evaluation process, the management programs, and policies applied to the Participating Operator, and the results of the evaluation. Section A will be posted on the RSB Participating Operators Database (<http://rsb.org/certification/participating-operators/>). Section B contains more detailed results and information for use by the Participating Operator.

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SECTION A – PUBLIC SUMMARY

1.0 GENERAL INFORMATION

1.1 Operator Information

1.1.1 Name and Contact Information

Organization name	Associação dos Fornecedores de Cana da Região de Bariri - ASSOBARI		
Operator Number	1500		
Contact person	Acácio Masson Filho		
Address	Av. Per. Prefeito Domingos A. Fortunato, 365 CEP 17.250-000, Bariri – SP, Brazil	Telephone	+ 55 14 3662-6180
		Fax	
		e-mail	assobari@assobari.com.br
		Website	http://www.assobari.com.br

1.2 Scope of Certificate (*)

Please choose one:	<input checked="" type="checkbox"/> RSB EU RED	<input type="checkbox"/> RSB Global
The scope assessment agrees with the scope under which the operator applied	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
If no, please explain:	Please note that this audit was a GAP assessment of a Bonsucro-certified Operator to RSB certification.	
<i>Note: If the scope is different, please contact SCS.</i>		

(*) RSB Principles & Criteria (RSB-STD- 11-001-01-001) Operators certified against Bonsucro Standard Version 3.0

SITE INFORMATION FOR AGRICULTURAL SITES OR FEEDSTOCK PRODUCTION SITES					
Site Type		<input checked="" type="checkbox"/> Agriculture		<input type="checkbox"/> Forestry	
		<input type="checkbox"/> Biomass Production		<input type="checkbox"/> Other:	
Feedstock Produced:		Sugar cane			
Current Land Use		Prior Land Use			
<input type="checkbox"/> Biomass Production		<input type="checkbox"/> Biomass Production			
<input checked="" type="checkbox"/> Agriculture		<input checked="" type="checkbox"/> Agriculture			
<input type="checkbox"/> Other:		<input type="checkbox"/> Other:			
Current Employment on Site		Prior Employment on Site			
<input type="checkbox"/> Negligible		<input type="checkbox"/> Negligible			
<input checked="" type="checkbox"/> Local Average		<input checked="" type="checkbox"/> Local Average			
<input type="checkbox"/> Above Local Average		<input type="checkbox"/> Above Local Average			
<input type="checkbox"/> Full		<input type="checkbox"/> Full			
Geographic Location	FARM	LATITUDE	LONGITUDE	AREA (ha)	PLANTED AREA (ha)
	Fazenda Ribeirão Bonito	22°05'41.18"	48°57'05.87"	48.71	44,85
	Fazenda Santa Maria	22°03'09.25"	48°52'10.28"	13.21	12,17
	Sítio Água Do Piracanjuba	22°06'21.74"	48°53'10.18"	20.39	20,39
	Sítio Corrego Das Pedras	22°06'30.26"	48°53'34.99"	73.40	35,85
	Estancia Bodoquena	22°02'36.81"	48°46'53.44"	281.00	108,52
	Sítio São José	21°59'59.28"	48°42'38.03"	10.20	6,62
	Fazenda Iguatemy	22°05'45.91"	48°45'35.22"	177.60	30,66
	Sítio Do Vovô	22°01'25.99"	48°40'09.16"	42.71	21,98
	Sítio São Judas Tadeu li	22°02'19.86"	48°39'39.04"	8.40	8,40
	Sítio São Domingos	22°04'11.80"	48°46'03.91"	70.30	31,88
	Fazenda São Sebastião	22°07'37.42"	48°44'51.71"	168.00	100,66
	Sítio Santo Antonio	22°01'12.72"	48°50'04.52"	16.02	13,15
	Sítio Santo Antonio I	22°01'47.11"	48°46'35.28"	48.30	23,83
	Sítio Nossa Senhora Aparecida	22°06'33.65"	48°41'26.34"	37.66	30,40
	Sítio Figueira	22°00'41.79"	48°41'13.91"	22.60	10,51
	Sítio Serrinha	22°00'36.26"	48°43'37.97"	110.80	30,87
	Sítio São Pedro	22°00'40.09"	48°45'23.44"	58.70	11,26
	Estancia Toninho	22°01'21.49"	48°43'56.71"	128.60	53,83
	Chacara Sape	22°02'59.25"	48°44'16.06"	29.30	10,88
	Sítio Cruz Preta	22°06'48.21"	48°50'22.04"	38.80	28,96
	Sítio São Francisco de Assis	22°04'37.30"	48°47'32.62"	42.10	28,13
	Sítio Glória Da Penha	22°01'14.82"	48°49'40.66"	11.80	11,24
	Fazenda Lajeado	22°00'57.55"	48°39'38.64"	157.14	152,83

Sítio Maria Elisa	22°00'13.63"	48°44'42.89"	67.37	56.18
Fazenda São Francisco	22°03'44.50"	48°47'13.23"	70.30	60.07
Sítio Santa Ana	22°01'22.17"	48°49'00.13"	22.70	19.45
Sítio São João Do Coqueirinho	22°01'58.75"	48°41'34.58"	24.50	16.37
Sítio Shangri-Lá	22°03'00.35"	48°44'02.53"	8.30	5.55
Chacara Pedregulho	22°02'08.09"	48°39'31.09"	10.30	7.46
Sítio São José	22°01'54.38"	48°42'26.01"	20.30	16.61
Sítio Terra Viva	22°07'09.30"	48°41'13.82"	26.20	13.94
Sítio Sonho Meu	22°02'50.29"	48°43'56.78"	8.85	5.54
Sítio Santa Rita De Cassia	22°01'08.54"	48°49'21.15"	36.32	36.02
Sítio Pedregulho	22°02'06.52"	48°41'31.34"	35.86	30.15
Sítio São Sebastião	22°03'03.65"	48°43'20.41"	16.31	16.31
Sítio Bananal	22°02'31.29"	48°43'16.88"	96.80	84.28
Fazenda Paraíso Ii	22°07'10.91"	48°50'52.49"	146.30	85.65
Fazenda Santa Helena Iii	22°01'53.36"	48°47'31.36"	26.62	24.59
Fazenda Santa Helena	22°01'38.66"	48°47'37.30"	59.90	6.71
Sítio Capim Fino	21°59'54.27"	48°44'50.79"	59.00	31.10
Sítio Amaral	22°06'59.03"	48°41'11.06"	27.00	20.94
Fazenda Santa Helena	22°01'45.79"	48°47'35.78"	59.90	8.47
Sítio Maria Rosa	22°05'02.30"	48°48'02.82"	15.10	6.13
Sítio Santa Helena	22°01'04.10"	48°44'00.46"	12.10	11.95
Sítio São Carlos	22°00'56.13"	48°40'47.11"	72.60	27.89
Fazenda São Sebastião	22°07'30.35"	48°44'45.57"	13.89	13.89
Sítio Santa Cruz	22°04'59.39"	48°46'48.65"	48.40	33.00
Sítio Macaco	22°08'39.53"	48°49'17.83"	31.70	18.66
Fazenda Boa Vista	22°09'11.66"	48°50'23.06"	26.67	26.67
Fazenda São João Do Taquaral	22°07'39.15"	48°49'22.67"	84.77	84.77
Sítio Santa Joana	21°57'47.55"	48°48'55.67"	57.70	25.70
Sítio São Paulo	22°00'07.33"	48°47'44.39"	6.90	4.27
Sítio Santo Antonio	21°59'49.86"	48°51'43.26"	75.00	53.52
Sítio São Lucas I	22°00'17.88"	48°49'52.03"	36.82	22.66
Sítio Por Do Sol	22°00'29.99"	48°49'41.12"	18.20	16.06
Sítio Pau D'alto	22°01'19.79"	48°49'09.23"	66.60	12.05
Sítio Boa Vista	22°00'27.39"	48°49'36.17"	14.64	11.34
Sítio Camila	21°56'24.83"	48°46'18.98"	24.10	21.97
Sítio São Sebastião	21°58'44.54"	48°50'36.63"	41.70	23.02
Sítio Santa Joana	21°58'03.51"	48°48'47.12"	6.42	6.42
Sítio Santa Helena	21°58'20.43"	48°47'40.39"	57.00	43.05
Sítio São José	21°59'13.97"	48°49'44.66"	38.60	24.67

	TOTAL			3187.48	1860.95
Owned/Controlled By:	ASSOBARI is an association of sugar cane producers.				
Location/City:	There are 62 Farms in the scope of certification, which are located in the following Sao Paulo State municipalities: Arealva, Bariri, Boraceia and Itaju.				
Total Area (ha)	3,187.48 ha				
Total Planted Area (ha) (*)	1,860.95 ha				
Annual Feedstock Production Volume (please specify unit of measurement)	148,880 t				

(*) Assobari has almost 300 farms associated with. In the scope of this certification there are 62 farms.

1.3 Standards Used

1.3.1 Applicable RSB-Accredited Standards

Title	Version	Date of Finalization
RSB Principle & Criteria and (RSB-STD-11-001-01-001)	2.1	May 10 th , 2011
RSB GHG Calculation Methodology (RSB-STD-01-003-01)	2.1	December, 7 th , 2012
RSB Standard for Traceability of RSB Certified Material (Chain of Custody) (RSB-STD-20-001)	3.1	November 28 th , 2014
RSB Standard for Risk Management (RSB-STD-60-001)	3.1	May 19 th , 2015
RSB Standard for Participating Operators (RSB-STD-11-001-30-001)	3.1	June 2014
Procedure on Communication and Claims (RSB-PRO-11-001-50-001)	3.1	May 19 th , 2015
All standards employed are available on the websites of the Roundtable on Sustainable Biomaterials (http://rsb.org/sustainability/rsb-sustainability-standards/). Standards are also available upon request from SCS Global Services (http://www.scsglobalservices.com/).		

Other RSB documents used

Title	Version	Date of Finalization
RSB Screening Tool [RSB-GUI-01-002-02]	2.6	October 27 th , 2015
Auditor Checklist for RSB Certification of Bonsucro-certified Operators (RSB-CHK-02-003)	1.0	May 3 rd , 2014

2.0 EVALUATION PLANNING & PROCESS

2.1 Documentation Submitted by Operator

Assobari's Application	Operator Number: 1500 (24/05/2016) Total Area of the entire site: 18,812 hectares Sugar cane plantation: 13,580 hectares Other crops: 5,231 hectares Material Input: 1,086,433.6 Metric Tons (sugar cane) Material Output: 76,050.35 Metric Tons (ethanol) Area out of scope of certification: 11,719.47 ha.
Model of Letter of "Commitment to partnership for development, implementation and maintenance of the international standard RSB for farmers (sugar cane suppliers)".	This letter was signed up with 62 sugar cane producers.
RSB Self Risk Assessment	Submission #475 (07-07-2016). Result: 4 = Low risk class.
Chain of Custody Management System	Covers RSB-STD-11-001-20-001 (Version 3.4) and RSB-PRO-11-001-50-001 (Version 3.1)
Bonsucro Certificate	Certificate Number Bonsucro - CUC - FR - 844970
Final report of Bonsucro Initial audit - Assobari	April, 2015
Environmental Social Management Plan - ESMP	RG_59_PGA, Version 3.0 (2016).
Negative Declaration of Debts - NDD	NDD at level Federal, state and Municipality
Pastas de controle e registros dos oito produtores amostrados para inspeções de campo	See Below Farms sampled for field inspections.

Farms sampled for field inspections

FARM NAME	MUNICIPALITY	ASSOCIATED FARMER	# OF HARVESTING IN THE FARM
ESTANCIA BODOQUENA	BARIRI	ACACIO MASSON FILHO	1 st , 2 nd and 8 th
FAZENDA SÃO SEBASTIÃO	BARIRI	ANTONIO GERALDO FANTON	1 st , 8 th and 13 th
ESTANCIA TONINHO	BARIRI	ESPOLIO DE EVERALDO ROMERO	1 st , 3 rd , 4 th and 7 th
FAZENDA LAJEADO	BARIRI	GUSTAVO HENRIQUE NOGUEIRA	3 rd and 4 th
FAZENDA SÃO FRANCISCO	BARIRI	JOÃO CLAUDIO MOÇO	1 st and 2 nd
SITIO SANTA CRUZ	BARIRI	VANDERLEI PAULO DALLALIO	10 th and 13 th
FAZENDA SÃO JOÃO DO TAQUARAL	BORACEIA	DALTON CESAR PALLAMIN	7 th and 8 th
SITIO SÃO FRANCISCO	BARIRI	GETÚLIO VARGAS GUTIERREZ	7 th , 8 th and 9 th

2.2 Audit Type and Determination

The following table summarizes the audit types for RSB Audits:

	Low risk class	Medium risk class	High risk class
Certificate validity	5 years	3 years	2 years
Main audit	Every 5 years	Every 3 years	Every 2 years
Surveillance audit	Annual	Annual	Annual

2.3 Audit Team

2.3.1 Determination of Audit Team

- Desk audits shall always be conducted by at minimum one (1) international lead auditor. The lead auditor appointed may include additional auditors and/or technical experts in the audit team if this is required by the extent of the audit.
- Field audits shall always be led by one (1) international lead auditor.
- The lead auditor appointed shall include at minimum one (1) local auditor in the audit team. The lead auditor appointed may include additional auditors and/or technical experts in the audit team if this is required by the extent of the audit.
- For field audits of participating operators in High Risk class shall always the lead auditor appointed shall appoint at minimum
 - one (1) local auditor and
 - one (1) technical expert on social issues to evaluate compliance with social requirements and the risk of non-compliance due to social issues and
 - one (1) technical expert on environmental issues to evaluate compliance with environmental requirements and the risk of non-compliance due to environmental issues.
 - The lead auditor appointed may include additional auditors and/or technical experts in the audit team if this is required by the extent of the audit.

2.3.2 Audit Team

Auditor Name:	Luciano Lisboa Junior	Auditor role:	Lead Auditor
<p>Qualifications: Luciano is an auditor and consultant in the forest and agriculture products industry. He is a lead auditor for the SCS Biofuels program and had conducted audits in Roundtable on Sustainable Biofuels (RSB) both as national and international lead auditor. He is also certified as lead auditor in the Bonsucro and International Sustainability and Carbon Certification (ISCC) schemes. Luciano has a Bachelor’s Degree in Agronomy from “LUIZ DE QUEIRÓZ,” University of São Paulo and a Doctorate in Forestry from North Carolina State University, Raleigh NC, USA. Mr. Lisboa has been conducting assessments for SCS since 2010.</p>			

2.4 Evaluation Schedule and Extent of Audit

2.4.1 Determination of Extent of Audit

Total number of subsidiaries. branch offices. affiliated entities. external third parties contracted or otherwise engaged. operational structures. sites. facilities. processing and production units. and supply chain structures	62 farms and Farmers.
Participating Operator Risk Class	Low
Disputes or prior Non-compliances	None
Changes in scope since last evaluation	None
Total number of compliance claims	None

2.4.2 Evaluation Itinerary and Activities

Dia/horário	Atividade	Pessoal envolvido
July 7th, 2016 – Tuesday	Bariri – SP	
9:00	<p>Opening Meeting (Assobari Office)</p> <ul style="list-style-type: none"> - Introduction to certification program and assessment process - Review of scheduled activities; - Review of RSB Procedures; confirm roles, responsibilities and processes; - Confirmation of scope of certification (farms and producers associated with Assobari). 	Managers and Members of ASSOARI
9:45 – 12:00	<p>Revisão de Documentos e Entrevistas</p> <ul style="list-style-type: none"> - Maps and farms location; - Review of the audit plan: definition of inspection sites and planned activities; 	Managers

	<ul style="list-style-type: none"> - RSB Screening Exercise review. 	
13:00 – 17:00	<ul style="list-style-type: none"> - Operational procedures, quality control and production; - Chain-of-custody procedures / checklist; - Principles & Criteria: P2, C2.a; 2.b; P4 C4.d e 4.e. 	Managers
July 8th, 2016 – Wednesday	Inspection of Farms (morning) Assobari Office (Afternoon)	
7:00 - 13:00	<p>Inspection of eight Assobari's associated farms (Estância Toninho; Fazenda São João do Taquaral; Fazenda São Francisco; Sítio Santa Cruz; Sítio São Francisco de Assis; Fazenda Lajeado and Estância Bodoquena):</p> <ul style="list-style-type: none"> - Inspection of field activities and working conditions; - Chemical storage deposits and solid waste management; - Environmental conservation areas; - Road conditions and soil conservation; - Interviews with farmers and workers. 	Associated farmers and workers
14:00 - 17:00	ASSOBARI's Office <ul style="list-style-type: none"> - Principle 3: RSB GHG (validation of the data input in the calculation of the GHG emission RSB calculator); - Principle 7: C7.a e C7.c.; 	Managers and ASSOBARI's Consultor
July 9th, 2016 – Thursday	ASSOBARI's Office	
8:30 – 12:00	<ul style="list-style-type: none"> - Principle 8; P9; P10 C10.b; P11 e P12; - Review of RSB Standard for Risk Management (RSB-STD-60-001 V 3.0). 	Managers
13:00 – 16:00	<ul style="list-style-type: none"> - Compilation of the findings of the audit report - Prepare for the closing meeting. 	Auditor
16:00 – 17:00	Closing Meeting <ul style="list-style-type: none"> - Presentation of the general findings of the audit: overview of NC and OFI; - Definition of the deadlines for establishing the corrective action / conclusion of the report; - Reiterate the appeal policy of SCS; - Time for questions and answers. 	Managers and Members of ASSOBARI

2.5 Evaluation of Management System

2.5.1 Methodology and Strategies Employed

SCS deploys interdisciplinary teams with expertise in agriculture, ecology, forestry, social sciences, natural resource economics, and other relevant fields to assess an Operator's compliance to RSB standards and policies. Evaluation methods include document and record review, implementing sampling strategies to visit a broad number of site and facility types, observation of implementation of management plans and policies, and stakeholder analysis. When there is more than one team member, team members may review parts of the standards based on their background and expertise. On the final day of an evaluation, team members convene to deliberate the findings of the assessment jointly. This involves an analysis of all relevant site observations, stakeholder comments, and reviewed documents and records. Where consensus between team members cannot be achieved due to lack of evidence, conflicting evidence or differences of interpretation of the standards, the team is instructed to report these in the certification decision section.

At beginning of audit, it was planned to sample, at minimum, the equivalent of the square root of the total number of farms (62). Eight farms were sampled for inspection.

2.5.2 Capacity of the participating operator to implement its management systems

Association and associate members

The Association of Suppliers of Sugar - ASSOBARI was founded on 25 January 2005 and it is affiliated with the ORPLANA (*Sugar Cane Growers Organization the Center-South of Brazil*). Currently, ORPLANA congregates 33 cane suppliers associations: 25 in the State of São Paulo; one in Mato Grosso, one in Mato Grosso do Sul, three in Minas Gerais and three in Goiás. ORPLANA represents approximately 16,000 cane suppliers across the Center-South region of Brazil.

Assobari has 278 members, totaling 13,580 hectares of sugar cane plantations, covering the municipalities of: Arealva (8%), Bariri (52.78%), Bocaina (0.97%), Boracéia (8.47%), Iacanga (0.48%), Santa Maria (1.69%), Itaju (27.12%) and Pederneiras (0.49%), providing cane for several ethanol plants in the region, as for example: Della Coletta Bioenergia, Raizen – Unidade Barra Bonita and Diamante, Tonon Bioenergia, Grizzo, Usina Iacanga (sugar and alcohol) and Usina Santa Fe.

Services Provided by Assobari

Assobari provides the following services to its associated sugar cane producers:

- Harvest Plan that is held at the beginning of every year with the Environment Secretary of the State of São Paulo - CETESB.
- Coordination of Green Ethanol Project with Environment Secretary of Sao Paulo State;
- Creator of project "Week of Clean Field in Bariri region (clean up solid wastes from sugarcane farms).
- In agriculture Assobari carries out: monitoring of planting and harvesting, sampling of sucrose, soil sampling, survey of yield losses, soil pests and population survey; GPS mapping;

- Recommendation of soil analysis, adjustment of agricultural implements, biologic control by using *Cotesia Flavips*; technical support and meetings with the ethanol plants.
- In healthcare area are offered: medical consultations with physicians from various specialties, laboratory tests, electrocardiogram, ultrasound, x-rays, psychological consultations, and agreements with commercial suppliers in various cities of the region with special discounts.
- Total Area of the entire site is 18,812 hectares; Sugar cane plantation: 13,580 hectares; Other crops: 5,231 hectares
- Material Input: 1,086,433.6 Metric Tons (sugar cane);
- Material Output: 76,050.35 Metric Tons (ethanol);
- Area out of scope of certification: 11,719.47 ha.
- Certifications: BONSUCRO (see in Website: www.bonsucro.com); Certification Body: Control Union Brazil. Status: Certified; Description: First BONSUCRO certification to sugar cane producers group in the world.
- Green Ethanol (etanol verde). Website: www.ambiente.sp.gov.br. Certification Body: Environmental Secretary of São Paulo State; Status: certified; Description: Certificate with the Environment Secretary of the State of São Paulo to fulfill a commitment to eliminating the burning of sugar cane and also the preservation of riparian forest zones.

Assobari Management System: Human, Financial and Technical Resources

Assobari has a central office which has both administrative and technical staff to support and represent the associated producers. In its management system, the participating operator has provided support to associated producers in the fields: administrative management, legal, financial, environment and sustainability.

For RSB certification Assobari has the support of a specialized consultant and the support of WWF. Assobari has a Quality and Environment – Social Protocol for sugar cane production, which has almost 300 indicators. The partnership with WWF aims to encourage members to join sustainable certification processes such as RSB. In this sense, WWF has cooperated with training and in the definition of criteria for membership of the producers associated with the certification process. In a period of three years, WWF intends to assess the improvements and achievements in the best practices, such as the use of chemicals (pesticides and fertilizers).

Group Management System: Human, Financial and Technical Resources

Assobari keeps track of all the activities carried out in farms belonging to the scope of certification. Each associated producer has a “Producer Folder” which covers the following information:

- Farm Map - (Plots, Plantation data, varieties, quantity of harvesting);
- Registration of the Property by planting fields (with Area / production / harvesting type)
- Farm Satellite images before January, 1st, 2008
- Control sheet of activities by plot
- Invoices from Diesel purchases
- Contract or sales invoices of sugarcane
- Statement of the alcohol and sugar plant (quantity and quality – several parameters – of sugarcane supplied or sold)
- Proof of Land Possession (CCIR, Registration or Scripture).

- Record and follow-up of Complaints
- Soil Fertilization Plan and Soil Analysis
- Invoices from fertilizers purchases
- Mill's Vinasse Documents (Analysis and Application controls).
- Inventory of fertilizer
- Control sheet of product application
- Calibration of equipments for applying fertilizers
- Invoices from pesticides purchases
- Inventory of pesticides
- Control sheet product application
- Justification of non-application of herbicides
- Calibration of equipment for applying pesticides
- List of Pesticides Used
- Return of pesticide packages and used lubricating oils
- Justification for bits and leafhoppers control (if any)
- Declaration of compliance with the reduction burning plan
- Communication and application for Burning SMS-SP - (Sigam)
- Rural Environmental Register – CAR
- Report of drinking water quality
- Knowledge and compliance declaration with the points relating to third parties / plan for correcting NC
- List of Subcontracted Workers
- Lists of workers (employees)
- Works and employees documents: CTPS, RG, CPF, CNH and Holerith.
- Contract of employment (employees)
- Occupational health certificate – ASO
- Record of attendance of the employee
- Register of Certificate Courses / Trainings
- Invoices and Record of personal protective equipment - PPE
- Wash control of Safety clothing in the application of pesticides

Also, Assobari has an Environmental Social Management Plan – ESMP which includes:

- Conservation Plan of roads and tracks
- Control and recovery plan of soil structure in affected areas
- Environmental risk evaluation form of contamination of water courses
- Environmental mitigation plan of contamination of water courses
- Fire Plan
- Planting the recovery PPA (Permanent Protection Areas – Riparian Zones)
- Plan to implement the New Brazilian Forest Code
- Compromise agreements with the relevant standards of Certification
- Environmental Risk Prevention Program - PPRA and,
- Program of Medical Control of Occupational Health – PCMSO

Finally, the Assobai's Producer Folder Control shows that the associated producers have individual "Particular Instrument Contracts of Purchase and Sale of Sugarcane" covering the harvests from 2014/2015 to 2018/2019 with a local alcohol / sugar mill.

2.5.3 Evaluation of RSB compliance claims and use of RSB trademarks

Type (compliance claim, trademark use)	Description	Findings
None		

2.6 Stakeholder Consultation Process

In accordance with SCS and RSB protocols, consultation with key stakeholders is an integral component of the evaluation process. Stakeholder consultation takes place prior to, concurrent with, and following field evaluations. The primary purpose of such consultation is to solicit input from affected parties as to the strengths and weaknesses of the Participating Operator’s management system and operations, relative to the standard, and the nature of the interaction between the company and the surrounding communities.

Principal stakeholder groups are identified based upon the certification scope of the participating operator.

Stakeholder consultation activities are organized according to the requirements of the RSB. The table below summarizes the major comments received from stakeholders and the assessment team’s response. Where a stakeholder comment has triggered a subsequent investigation during the evaluation, the corresponding follow-up action and conclusions from SCS are noted below.

2.6.1 Summary of Stakeholder Comments and Responses from the Team. Where Applicable

Stakeholder Comments	SCS Response
Economic Concerns	
The Assobari provides technical assistance free of commercial interests.	There is an agronomist working with Assorabi, who is responsible for technical assistance to associated farmers. Also, he is responsible for prescription of pesticides, which is carried out by the prague control, cost efficiency and safety use of the product.
The Assobari has a systemic control of associated producers.	Assobari keeps on track of all the activities carried out on associated farms. Each associated producer has a Producer Folder, as mentioned before in the topic 2.5.2 “Capacity of the participating operator to implement its management systems”.
Social Concerns	
None	
Environmental Concerns	
None	

3.0 RISK ASSESSMENT RESULTS

SCS Risk Assessment Results	Deviations from Operator Risk Assessment Results	Risk Factor Difference
Risk score = 4 (Low Risk)	Risk score = 4 (Low Risk)	None

Due to the results of the Risk Assessment, the evaluation did not need to be rescheduled.

4.0 RESULTS OF THE EVALUATION

4.1 Process of Determining Compliance

4.1.1 Structure of Standard and Degrees of Non-Compliance

RSB-accredited biofuel standards consist of a three-level hierarchy: the principle, the criteria that correspond to that principle, and then the performance indicators that elaborate upon each criterion. Consistent with SCS Sustainable Biofuels Program evaluation protocols, the team collectively determines whether or not the subject operation is in compliance with every applicable indicator of the relevant sustainable biofuel standard. Each non-compliance must be evaluated to determine whether it constitutes a major or minor non-compliance at the level of the associated criterion or sub-criterion. Not all indicators are equally important, and there is no simple numerical formula to determine whether an operation is in non-compliance. The team therefore must use their collective judgment to assess each criterion and determine if the Operator is in compliance. If the Operator is determined to be in non-compliance at the criterion level, then at least one of the applicable indicators must be in major non-compliance.

4.1.2 Interpretations of Major and Minor Non-compliances

Major Non-compliances, either alone or in combination with non-compliances of other applicable indicators, result (or are likely to result) in a fundamental failure to achieve the objectives of the relevant RSB Criterion. These non-compliances must be resolved or closed out before a certificate can be awarded. If Major NCs arise after an operation is certified, the timeframe for correcting these non-compliances is typically no more than three months. Certification is contingent on the certified FME's response to the NCs within the stipulated time frame.

Minor Non-compliances are typically limited in scale or can be characterized as an unusual lapse in the system. Most minor NCs are the result of a non-conformance at the indicator-level. Non-compliances must be closed out within a specified time period of award of the certificate.

4.1.3 Major Non-compliances

<input checked="" type="checkbox"/>	No major NCs were issued to the Operator during the evaluation. Any minor CARs from previous surveillance audits have been reviewed and closed prior to the issuance of a certificate.
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<input type="checkbox"/>	Major NCs were issued to the Operator during the evaluation. which have all been closed to the satisfaction of the audit team and meet the requirements of the standards. Any minor CARs from previous surveillance audits have been reviewed and closed prior to the issuance of a certificate.
<input type="checkbox"/>	Major NCs were issued to the Operator during the evaluation and the Operator has not yet satisfactorily closed all major NCs.

4.1.4 Non-compliances and Current Status

Instructions:

- Initial certification audit: list all Non-conformities and Opportunities for Improvement issued during this audit.
- Surveillance/Recertification: list status of minor NCs that were not closed in previous audit. then list new NCs/OFIs issued during this audit.

Summary of Non-compliances and Current Status				
Non-compliance Number	Type of Non-compliance	Relevant RSB Standard & Indicator No.	Summary of Finding and Evidence Collected	Status of Non-compliance (Open/Closed)
2016 - 01	NC - Minor	RSB-STD- 11-001-01-001, indicator 11.d	<p>In the pesticide warehouse inspections were evidenced non-compliances related to:</p> <ul style="list-style-type: none"> • Lack of separation of pesticides in wooden pallets, for better viewing, access and identification of products stocked; • Display of outdated FISPQ (safety information of chemicals) and emergency information of stored products, both placed in hard-to-reach location; • Lack of fire extinguishers. 	Open
2016-02	OFI	RSB-STD- 11-001-01-001, indicator 11.e	<p>In the ESPM document, Assobari would consider some opportunities for improvement, including:</p> <ul style="list-style-type: none"> • Separate the item 3.10 of the PGA "noise and waste", in two topics, in order to facilitate / improve understanding. 	Open

			<ul style="list-style-type: none"> In the topic "waste", include in the actions described, the needed application of CADRI for the final disposal of certain wastes generated, like the PPE and others (Sao Paulo State Law). 	
2016-03	OFI	RSB-STD-20-001, indicator 1.3	The Assobari would express formally to the purchaser of sugarcane, that for the purposes of certification, COC and, consequently, the calculation of GHG Emissions, that the legal transfer of ownership of the product is made in beginning of the the crop harvesting.	Open

5.0 CERTIFICATION DECISION

Certification Recommendation		
Operator to be awarded RSB certification subject to the minor non-compliances stated in Section 4.2.5.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
The SCS evaluation team makes the above recommendation for certification based on the full and proper execution of the SCS Responsible Biofuels Program evaluation protocols. If certification is recommended. the Operator has satisfactorily demonstrated the following without exception:		
Operator has addressed any Major NC(s) assigned during the evaluation.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Operator has demonstrated that their system of management is capable of ensuring that all of the requirements of the applicable standards are met over the sites and facilities covered by the scope of the evaluation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
Operator has demonstrated that the described system of management is being implemented consistently over the sites and facilities covered by the scope of the certificate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
Comments and/or details of any issue which was difficult and/or impossible to evaluate:	There were no difficult and/or impossible issues to evaluate.	
To be completed by Certification Decision-Making Entity	Certification decision by:	Neil Mendenhall
	Date of decision: For initial or continued certification	September 19, 2016
	Surveillance schedule:	Annual surveillance
	Notes:	