

Certification Evaluation Report

Roundtable on Sustainable Biomaterials

Associação de Fornecedores de Cana de Guariba - Socicana

SCS Certificate Code- SCS-RSB/PC-0027

Rua José Mazzi, 1450 • Vila Garavello • CEP: 14840-000 • Guariba - SP Brazil

Cristiane Regina de Simone

www.socicana.com.br

CERTIFIED	EXPIRATION
October 21, 2016	October 20, 2021

DATE(S) OF AUDIT
September 29 and October 02, 2017
DATE OF LAST UPDATE
11/21/2017

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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 de Fornecedores de Cana de Guariba - Socicana		
Operator Number	1502		
Contact person	Cristiane Regina de Simone		
Address	Rua José Mazzi, 1450, Vila Garavello. CEP: 14840-000 - Guariba - SP Brazil	Telephone	+55 16 3251-9270
		Fax	-
		e-mail	crsimone@socicana.com.br
		Website	www.socicana.com.br

1.2 Scope of Certificate

Please select one:	<input type="checkbox"/> RSB EU RED	<input checked="" type="checkbox"/> RSB Global
Please select boxes that apply:	<input type="checkbox"/> Pre-assessment <input type="checkbox"/> Initial Assessment <input type="checkbox"/> Re-certification <input type="checkbox"/> Follow-Up to NCs	<input checked="" type="checkbox"/> 1st Annual Surveillance <input type="checkbox"/> 2nd Annual Surveillance <input type="checkbox"/> 3rd Annual Surveillance <input type="checkbox"/> 4th Annual Surveillance
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:		
<i>Note: If the scope is different, please contact SCS.</i>		

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:	Sugarcane
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			
Total workers covered by scope of certification:		None worker is hired. A total of 15 small farmers (family farm associated with Socicana), listed below.			
Number of women workers		None.			
Total farms included in certification scope		8			
Geographic location:	Farm/Entity	Farmer	Location (Latitude S) (Longitude W)	Area (ha)	Area Planted (ha)
	Sítio São Pedro	Jose Luis Bracciali	21.45045638 48.57318732	41.10	38.19
	Fazenda Santa Lourdes	Antonio Luiz N. de Mattos Barretto	21.17339099 48 31.4312040	55,60	32.17
		Marineide Correa de Matos Barretto		55,60	32.17
	Fazenda Santa Cruz	Eduardo Jose Ramalho	21.34847896 48.42522267	41.60	29.04
		Maria de Fátima C. Ramalho		41.60	29.04
		Roberto Tadeu Ramalho		41.60	29.04
	Fazenda Sto Antonio	Antonio Roque Stefano (Israel Stefano)	21.3744918 48.67303582	48.40	43.56
	Sto Antonio II	Jose Erminio Gibertoni	21.46194914 48.57578314	37,0	32.0
		Jorge Erminio Gibertoni		37,0	32.0
	São João I	Jose Wagner Carqui	21.48744462 48.49586128	20.57	15.00
		Paulo Sergio Caparelli		20.57	15.00
	São Sebastião	Mario Morita	21.33910442 48.47136319	12.10	8.47
		Edgar Morita		12.10	8.47

	São João / Coqueiral	Marisa Terezinha S. Borsetti	21° 34' 32" 48° 28' 53"	48,40	27.83
		Durvalina Thome Sichieri		48,40	27.83
NEW Please request shapefiles of all farms					
Were shapefiles of farms requested?		Satellite images of the farms 2003 vs 2013 were reviewed to confirm the non-conversion.			
Did Operator provide shapefiles of farms included in scope of certification?		Auditor has requested that maps or shapefiles be sent.			
Total Area (ha)		528,97			
Total Planted Area (ha)		366,88			
Total area set aside for conservation purposes (ha)		105.79 (By law, at least 20% of the farmland must be set aside for conservation purposes).			
Annual Feedstock Production Volume (please specify unit of measurement)		27,265 t			
Amount sold as RSB certified in last calendar year (tons)		None yet.			
For Biofuels Producers: Please state the GHG emissions occurring at the operator's sites in g CO₂eq/ dry-ton for raw materials and intermediary products and g CO₂eq/MJ for final biofuels (annualized, after allocation) and if applicable, achieved emission savings, and if applicable, explanation for deviation from typical GHG values					
Raw Material:	Sugar cane	GHG:	_____ g CO ₂ eq/ dry-ton raw material		
Final Biofuel		GHG:	_____ g CO ₂ eq/MJ		
<i>Add more lines as you see fit</i>					

1.3 Standards Used

1.3.1 Applicable RSB-Accredited Standards

Title	Version	Date of Finalization
RSB P&Cs for Smallholder Groups (RSB-STD-03- 001)	1.0	April 29, 2015
RSB Standard for Certification of Smallholder Groups (RSB-STD-03-002)	1.1	April 29, 2015
RSB Standard for Risk Management (RSB-STD-60- 001)	3.1	September 01, 2016
RSB GHG Calculation Methodology (RSB-STD-01- 003-01)	2.1	December 07, 2012
RSB Standard for Traceability (Chain of Custody) (RSB-STD-20-001)	3.1	September 23, 2014

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/>).

2.0 EVALUATION PLANNING & PROCESS

2.1 Documentation Submitted by Operator

Document	Comments
RSB Application	Operator Number: 1502 Application data: 07/04/2016
RSB Self Risk Assessment	Total Risk Score: 4 Risk Class: Low
Clearance certificates of Debts: Federal, State & Municipality	Certificate of the FGTS-CRF validity period: 03/Sep/2017 to 02/Oct/2017; Certificate Number: 2017090301002937630468 Municipal certificate N° 1865/2017, city of Guariba, State of São Paulo in Brazil. Validity: 20/Oct/2017. Certificate of Negative Debts relating to federal taxes and Union's Active-internal revenue service of Brazil. Code of Control: DC13.7197.A153.1C57 Valid until 17/March/2018. Certificate of (No) Debts relating to Sao Paulo State, #16696668, validity: 18/Oct/2017.
Internal Management System – IMS (Manual de Normativas do SIG – Sistema Interno de Gestão – CP.CS.0003). Revision 1, April 25, 2017.	This IMS procedure follows the RSB Standard for Certification of Smallholder Groups [RSB-STD-03-002 (Version 1.1)] and includes a procedure for Chain of Custody / RSB Standard for Traceability (Chain of Custody) (RSB-STD-20-001)
Letter of commitment for the associated producer to participate in the certification process RSB or equivalent.	Presented four letters of commitment sampled from the 15 associated producers included in the scope of RSB Certification.
Rural Environmental Management Plan (Plano de Gestão Ambiental Rural – PGAR).	Equivalent to the Environment and Social Management Plan – ESMP (June, 2017).
Normative Management Manual / Manual of Member Group (Manual de Normativas de Gestão do Grupo / Manual dos Membros do Grupo CP.CS.0004)	(Revision 1.0), 25/04/2017. This IMS procedure follows the RSB Standard for Certification of Smallholder Groups [RSB-STD-03-002 (Version 1.1)]
Bylaws of the Guariba Association of Suppliers of Cane – Socicana (Estatuto Social da Associação dos Fornecedores de Cana de Guariba – Socicana)	Registered on 19/July/2016.
Mass balance / GHG emissions	Used RSB default value of 14 g CO ₂ (eq) / MJ
Stakeholders List	Listed 16 entities & people

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 year
Main audit	Every 5 years	Every 3 years	Every 2 year
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
Qualifications: Auditor and consultant to 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.			

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	15 small farmers (sugarcane producers)
Participating Operator Risk Class	Low (risk score = 4)
Disputes or prior Non-compliances	Two NC-Minor and five Opportunities for Improvement
Changes in scope since last evaluation	Number of producers decreased from 17 to 15 (two dropped Agenor Bracciali and Edson Tadeu Rizzo) and one name changed (Mr. Antonio Roque Stefano was replaced by Mr. Laerte Stefano on the same farm); Number of Farms reduced from 10 to 8; Total Area reduced to 528,97 ha; Cane plantation reduced to 366,88 ha.
Total number of compliance claims	None.

2.4.2 Evaluation Itinerary and Activities:

This was a Desk Audit. Audit activities were expended in reviewing documents, reporters, procedures, and photos (documents, receipts, farm roads, deposit of pesticides, etc.).

Date: 29/09/2017 – Friday	
	Activities/ notes
8:30 – 9:00 AM	Open meeting by Skype (Auditor and Mrs. Cristiane Simone)
9:00 – 12:00 AM / 1:00 – 6:30 PM	Follow up on implementation of corrective action / opportunity for improvement from previous audit. Evaluation of RSB P&C Checklist
Date: 02/10/2017 – Monday	
	Activities/ notes
7:30 – 12:00 AM and 1:00 – 5:30 PM	Evaluation of Group procedures; Chain of Custody; Risk Management.
5:30 – 6:30 PM	Consolidation of notes and confirm desk audit findings;
6:30 – 7:30 PM	Closing Meeting (by Skype with Mrs Cristiane Simone): Presentation of General Audit Finding; Presentation of all Non-Compliances (NC) and Opportunities For Improvement (OFI); Next steps: corrective actions and final report

2.5 Evaluation of Management System

2.5.1 Methodology and Strategies Employed

At planning phase of this desk audit, it was sampled, at least a minimum, the equivalent of the square root of the total number of farms (8) / Members of Group (15). Thus, four members of group resulting also in four farms were sampled.

Therefore, in this desk audit, all required information for proof of evidence was collected from four farms and four farmer members of group, including:

- Corrective action taken to resolve the NC indicated in the certification audit, including all members of Group;
- Information, records and photographs proving evidence to the indicators of the P & Cs of RSB applied to groups of smallholder producers;
- Registrations of property, sales of the product (cane), acquisition of agrochemicals;
- Records of empty packaging of agrochemicals devolutions and final disposal of hazardous waste and lubricating oil;
- Training: Date, duration and content of courses

From SOCICANA the requested data and records listed in topic "2.1 Documentation Submitted by Operator" above were requested.

Following the "guideline" presented in the RSB standard for Smallholder Groups (RSB-STD-03- 001), when forwarding the audit plan for SOCICANA, a questionnaire for guidance on how the desk audit would proceed was prepared.

The Association hired a security engineer to conduct an internal audit of the four sampled properties/members of the group, based on the orientation questionnaire forwarded. This independent audit, as called throughout this document, produced four reports, one for each property/group member.

In addition to the evidence obtained in the interviews with the members of the group, the report presents several photos , showing documents, property details, deposits of pesticides, sugar cane planting images, road conditions, and firebreaks. These reports gave numerous evidence regarding the attendance of the audited indicators in this "desk audit".

2.5.2 Capacity of the participating operator to implement its management systems

The Association of Suppliers of Cane Guariba – SOCICANA is a non-profit civil society, founded on February 15, 1951. The entity is headquartered in Guariba, Sao Paulo State, Brazil and constitutes a representative body of the sugar cane producer class. Its work covers a radius of 100 kilometers from the headquarters, where there are 1,743 active members (<http://socicana.com.br/quem-somos/>).

Besides this association, there are two other branches associated with Socicana:

- COPLANA – Agroindustrial Cooperative for selling chemicals (fertilizer and agrochemicals – pesticides, herbicides and fungicides) and providing technical assistance for applying these chemicals and,
- Coopcredi which provides a financial credit to associated producers.

To assist the associated producers, Socicana has a Technical Department and a Legal Department. These departments provide the following sustainability services to the associated producers:

Social:

- Support for elaboration of the Program of Medical Control of Occupational Health (PCMSO) and Environmental Risk Prevention Program (PPRA);
- Assistance in analysis of agribusiness contracts;
- Legal assistance on land property and labor issues

Environmental

- APPLY RIGHT (Aplique certo): improve the result of applying pesticides to avoid waste and reduce environmental impacts;
- Environmental Advice regarding fires in sugarcane fields;
- Guidance and preparation of the Rural Environmental Register (Cadastro Ambiental Rural - CAR)
- Elaboration of Burning Elimination Program (PEQ);
- Elaboration of Green Ethanol-Environmental Protocol.

Economics

- QUALIPLANT: Service offered to associate producers to ensure the quality of the planting of sugar cane. Tools are made available to monitor their agricultural practices and improve the quality and productivity of sugarcane plantations;
- Evaluation of losses in mechanized harvesting: Socicana measures the harvesting losses and makes recommendations to avoid them;
- Monitoring analysis of TRS - total recoverable sugar (ATR) in the mills;
- Online monitoring (on track) TRS delivered to the mill;
- Guidance on costs of sugarcane culture;
- Conferring and monitoring the TRS relative

Combined Subjects

- Lectures and training such as those listed in: <http://socicana.com.br/downloads/>
- Orientation and implementation of socio-environmental certification;
- Monitoring of new technologies for innovation and knowledge transfer;
- Targeting improvements in the management of rural property, Socicana is working on three large sustainability projects. There are various initiatives, occurring simultaneously, aimed to promote the technical and managing assistance to the associated producers, such as:
 - Farm inspections made by specialist workshops on agricultural costs management in partnership with the University of Sao Paulo State - Unesp of Jaboticabal, Datagro and Pecege research (PECEGE - Continuing education program in economics and business management);
 - Basic workshops to fill field notebook (costs) by Socicana;
 - Specialists in addition to legal panels about NR 31, NR 12, Labor law, CAR (Rural Environmental Register), water resource management, among other issues.

Focusing on the sustainability process, Socicana maintains a compendium of legislation that applies to farmers who seek RSB certification, available on the website:

<http://socicana.com.br/2.0/wp-content/uploads/leis-aplicadas.pdf>

In attendance to certifications requirements, Socicana, in partnership with the RSB, launched the Sustainable Sugarcane Program (SS, with the following goals:

- Identify needs and opportunities in the context of the small producer in Brazil;
- Promote better management of rural properties, with focus on economic, social and environmental sustainability
- Identify partnerships for the small producer to participate in sustainable production chains
- Recognize, by means of RSB certification, good practices carried out by the small producers.

For the implementation of this program, using expert advice, the Socicana team carried out a diagnosis on properties of integrated producers in the program. Non-conformities have been identified and corrective action plans were established. All small farms had full support for the implementation of good practices in the management of their farms.

Finally, in sustainability-related initiatives, Socicana created a communication channel aimed at transparency in its actions and a willingness to listen to all interested parties: those in the community, partner companies, unions, members, municipalities, social-environmental responsibility organs and non- governmental organizations. Now it is possible to achieve improvements in the feedstock and new partners in the projects.

2.5.3 Evaluation of RSB compliance claims and use of RSB trademarks

Type (compliance claim, trademark use)	Description	Findings
No claims were made up to now.		

2.6 Stakeholder Consultation Process

In this Desk Audit no stakeholder consultation was made.

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

Stakeholder Comments	SCS Response
Economic Concerns	
No comments	
Social Concerns	
No comments	
Environmental Concerns	
No comments	

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3.0 RISK ASSESSMENT RESULTS

SCS Risk Assessment Results	Deviations from Operator Risk Assessment Results	Risk Factor Difference
Score = 4	None	0

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"/>	<p>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.</p>
<input type="checkbox"/>	<p>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.</p>
<input type="checkbox"/>	<p>Major NCs were issued to the Operator during the evaluation and the Operator has not yet satisfactorily closed all major NCs.</p>

4.1.4 Non-compliances and Current Status

- **Initial certification audit: Non-conformities and Opportunities for Improvement 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	OFI	RSB-STD-03- 001 Indicator C4.e.i	<p>The Group of producers are oriented regarding the need to collect the Social Security dues (Instituto Nacional de Seguro Social- INSS) and having receipts of payment for eventual services provided by rural workers.</p> <p>However, there is no follow-up mechanism for such payments. Thus, SOCICANA might consider the possibility of incorporating in the field book an item for the control of payments via RPA and its collection of INSS dues.</p> <p>Evidence of 2017: Producer members have received orientation by means of an individual workshop which was held on the 24th, 25th and 26th of January 2017. Evidence that the topic was treated in the corrective action request – SAC (item 3) individually on form of contracting, payments via RPA and the recoil of the INSS was observed. An attendance list of all producers of the group signatures was reviewed. From this workshop held in January up to the desk audit, only one of the members of group sampled hired a rural worker and presented receipt of RPA payment.</p>	Closed
2016 – 02	OFI	RSB-STD-03- 001 Indicator C11.b vi	<p>In inspections of the chemical deposits, it was observed that there are opportunities for improvement in the facilities and storage of products: Socicana might consider the possibility of improvements on the storage of chemicals, including pesticides and fuel, considering technical and legal requirements.</p> <p>It was evidenced that, in the individual workshop held on the 24th, 25th and 26th of January 2017 the members of group received orientation on:</p> <p>5) application records - field notebook;</p>	Closed

			<p>archive prescription and returning empty packing of pesticides;</p> <p>5.1) Regularizing pesticide deposits.</p> <p>5.2) Printing and keeping records on the deposit of pesticides, and keeping the emergency certificate and FISPQ during transportation;</p> <p>5.3) Not using prohibited pesticides;this list is on the website of Socicana.</p> <p>All Producers received the printed Socicana Guidebook which is available on the following site: https://www.slideshare.net/equipeagroplus/manual-de-construes-rurais-soja-plus</p>	
2016 – 03	OFI	RSB-STD-03- 002 Indicator 2.2.3	<p>The Term of Commitment of Adherence to the Program for Sustainable Cane indicates in its “section G” that "the producer will receive and attend SOCICANA and RSB technicians”. Even though it is implied that Socicana and RSB are received for conducting these inspections, it would be only internal, since the certifier would do the external audits. So, Socicana could clarify the rules, to indicate that the group member must accept the realization of both internal and external inspections.</p> <p>The auditor reviewed evidenced of the change to item 4.1.6 in the Manual of the Group Members.</p>	Closed
2016 – 04	NC – Minor	RSB-STD-03- 002 Indicator 2.2.4	<p>There is no evidence in the rules of group that the producer group has an obligation to report the occurrence of non-conformances, both intentional and unintentional.</p> <p>The auditor reviewed evidence of the change in item 4.1.12 in the Manual of the Group Members.</p>	Closed

2016 – 05	OFI	RSB-STD-03- 002 Indicator 4.3	<p>Item 6.11 of the standard “Group Management” indicates that “the calendar is the responsibility of the specialist or technical sector.” However, there are no guides that this calendar for internal inspections should prioritize the farms that have a greater risk of NC occurrence. Thus, the standard of management of the group might clarify that in scheduling internal inspections, members with a high risk of non- compliance should be prioritized.</p> <p>The auditor reviewed evidence of the change in item 6.11.2 in the Manual of the Group Members: Inclusion of Note 1: the definition of the audit timetable will be set by the Manager of the Group and the Manager will consider members with greater risk of failing to meet the requirements of the RSB.</p>	Closed
2016-06	NC – Minor	RSB-STD-03-002 Indicator 4.4	<p>There is no evidence in the Group Standard guidance for the stipulation that internal inspectors shall be independent and free of any conflict of interest vis-à-vis the group management or group members.</p> <p>The auditor reviewed evidence of the change in item 4.1.6 in the Manual of the Group Members in Members Group commitment topic regarding the Group’s responsibility to “...Receive and meet Socicana technicians or third parties hired to perform internal audit and external audits such as the RSB or contracted third parties (including certifiers companies). Internal audits are to be independent and free from any conflict of interest; such as a relationship between members of the Group / Socicana / contractors providing consultancy, among other companies”.</p>	Closed

2016 – 07	OFI	RSB-STD-03- 002 Indicator 7.3	<p>Consider adding the following requirement to protocol documents: when production estimates strongly differ from the previous year’s figures, group members shall justify (explain) the changes in production estimates to group management.</p> <p>The auditor reviewed evidence of the change in item 4.1.11 in the Manual of the Group Members in Members Group commitment topic:</p> <p>“The Member should inform the SOCICANA annual estimate of the harvest and the subsequent harvest. If there is any strong deviation of the estimate from the delivered amount, the Group Member shall justify the changes in production estimates to the Manager of the Group.”</p>	Closed
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- **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)
2017-01	OFI	RSB-STD-03-002 Indicator 1.4	<p>In the Group Manual, section 6.12, called "Capacitações / Treinamentos / Oficinas" it is stated that "It is required that all members participate in capacitation/training / workshops that aim to help the company meet the requirements for certification and promote knowledge in theoretical and practical terms to support the plan of action that will be executed by members." However, it was reviewed by the auditor that there was one producer who did not participate in two required trainings: 1. spraying pesticides and 2. first aid. The independent auditor reports that, "before the Brazilian legislation, the producer who works on your own farm is responsible for you, so no workplace safety training is mandatory". Therefore, in such cases, the requirement for all members of the group to be trained is not valid.</p> <p>Thus, in the 6.12 item Socicana would consider some cases of exception or non-mandatory training.</p>	Open

2017-02	OFI	RSB-STD-03-001 Indicator C4.f.iii	<p>The independent auditor report shows that the producers interviewed have some knowledge of the proper final disposal of the waste generated on their respective farms. However, no one keeps records or provided evidence of the destination of used lubricating oil or scrap iron accumulated on their respective properties.</p> <p>SOCICANA might want to check the need to direct the Members of Group about the possibilities for final destination of waste generated on the property and the need to maintain records proving the proper final disposal.</p>	Open
2017-03	OFI	RSB-STD-03-001 Indicator C4.f.iv	<p>In the evaluation of the independent auditor, it was verified that the producers interviewed use water from a well (three cases) or mine (one case) on their farms. However, none of them performed analysis of the quality of the drinking water.</p> <p>SOCICANA would check the opportunity to achieve a partnership to enable Members of Group for conducting periodic analyses of drinking water from their properties.</p>	Open
2017-04	OFI	RSB-STD-03-001 Indicator C8.a.ii	<p>It was found that Socicana guides associated producers in matters related to improving soil fertility through information directed to their producers posted on its internet site. However, in the interviews of the independent auditor is was verified that:</p> <ul style="list-style-type: none"> (i) Besides crop rotation, no producer carries out practices aimed at increasing the content of organic matter (OM) in the soil; (ii) No producer keeps track to see if OM is increasing or decreasing over the years; (iii) Not all producers carry out planting fertilization based on soil analysis. <p>SOCICANA should consider the opportunity to offer more information about soil management techniques, aimed at increasing soil organic matter content and guidelines for fertilizing cane plantation based in results of the physico-chemical analysis of soils to the members of group.</p>	Open
2017-05	Minor NC	RSB-STD-03-001	<p>Although members of group have received the corrective action request to "regulate the deposit of agrochemicals", on 23/01/2017, this</p>	Open

		<p>Indicator C11.c.vi</p>	<p>orientation was not yet fully implemented at the time of the audit, when the visit "in loco" was performed by the Independent Auditor on days 18 and 19 September 2017. There were several NCs, such as:</p> <ul style="list-style-type: none"> - the door to the pesticide deposit with the inscription "danger poison" had no plaque or sign posted with danger symbols, as required by the NR 31.8.17 (d); - Bottles of pesticides were kept in a styrofoam box with other materials to used on the property; -A rigid container of pesticide reused as trash can; - Empty rigid containers of pesticides Left open on sitel . Although triple washed, they were not destroyed; - Rigid containers with rest of pesticide, were placed on the platform but some others were "dumped" on the floor. <p>SOCICANA must guide and accompany the Group's Members in the correction of their pesticide deposits and the destruction of the rigid packaging, after the triple washing.</p>	
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5.0 CERTIFICATION DECISION

Certification Recommendation	
<p>Operator to be awarded RSB certification subject to the minor non-compliances stated in Section 4.2.5.</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
<p>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:</p>	
<p>Operator has addressed any Major NC(s) assigned during the evaluation.</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
<p>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.</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
<p>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.</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>
<p>Comments and/or details of any issue which was difficult and/or impossible to evaluate:</p>	

To be completed by Certification Decision-Making Entity	Technical Review by: If different to decision-maker	Inna Kitaychik
	Certification decision:	Approved for Certification
	Certification decision by:	Matthew Rudolf 
	Date of decision: For initial or continued certification	21 November 2017
	Surveillance schedule:	2 nd Surveillance Audit by September 29, 2018 Notes:

Sub Certificate Codes (if applicable)

Legal Entity/Operational Site	Sub-Certificate Code