



CONTROLUNION



RSB
Roundtable on
Sustainable Biomaterials
www.rsb.org

Public Summary – RSB audit

Phillips 66 Limited

Certificate Number: CUC/RSB/847526/299817

7th Floor, 200-202 Aldersgate Street
London, EC1 4HD United Kingdom

CERTIFIED	EXPIRATION
23-12-2016	22-12-2021

DATE(S) OF AUDIT
14 and 15-2-2019
date of last update
2-2-2019

Control Union Certifications, Meeuwenlaan 4-6,
8011 BZ, Zwolle, The Netherlands
0031 (0) 38 426 0100
certification@controlunion.com
certification.controlunion.com

FOREWORD

Methodology

Control Union Certifications (CUC), is an international inspection and certification Audit and certification is carried out in conformity with the procedures as laid down Based on the information provided by the auditor and by the client, the certifier reviews and evaluates all information provided and certifies the products when all conditions of the regulations are fulfilled. The result of the evaluation is documented in this report and the applicable Annexes. Audit work by the auditor and certification by the certifier are clearly separated activities.

Report

This report is the result of the findings of a certification evaluation carried out by an independent lead auditor or team of experts representing Control Union Certifications. The purpose of the assessment was to evaluate the compliance of the client with respect to the standards used within the scope of the certificate. The report is made in accordance with standard RSB-PRO-70-01. The full report can only be reviewed by authorized Control Union and RSB staff.

In case of any complaint or appeal with respect to findings and certification decisions taken by CUC, a dispute protocol and form is available on the CUC website:

http://certifications.controlunion.com/publications.aspx?Program_ID=2 and can also be provided on request.

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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	Phillips 66 Limited		
Contact person	Jill Tabot		
Operator Number	1486	CUC PRJ number	847526
Address	7th Floor, 200-202 Aldersgate Street London, EC1 4HD United Kingdom	Telephone	(+44) (0)20.7822.4459
		Fax	
		e-mail	Jill.D.Talbot@p66.com
		Website	www.phillips66.com

1.1.2 Additional Parties Involved

Is not included (Confidential)

1.2 Scope of Certificate

Please select audit:	<input checked="" type="checkbox"/> RSB EU RED	<input type="checkbox"/> RSB Global
Please select boxes that apply:	<input type="checkbox"/> Pre-assessment	<input type="checkbox"/> 1st Annual Surveillance
	<input type="checkbox"/> Initial Assessment	<input checked="" type="checkbox"/> 2nd Annual Surveillance
	<input type="checkbox"/> Re-certification	<input type="checkbox"/> 3rd Annual Surveillance
	<input type="checkbox"/> Follow-Up to NCs	<input type="checkbox"/> 4th Annual Surveillance

CERTIFICATION SCOPE

Operator (biofuel producer) of waste/residue-based biofuels and bio liquids.

Please select boxes that apply:	<input type="checkbox"/> Biomass producer	
	<input type="checkbox"/> Point of Origin	
	<input type="checkbox"/> First collector	
	<input checked="" type="checkbox"/> Industrial operator	
	<input type="checkbox"/> Trader	
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:		

Note: If the scope is different, please contact CU.

Participating site I	
Name	Phillips 66
Address	7th Floor, 200-202 Aldersgate Street London, EC1 4HD United Kingdom

Participating site II	
Name	Humber Refinery
Address	Eastfield Road, South Killingholme, North Lincolnshire DN40 3DW United Kingdom

Description of activities	
	Purchase of certified UCO Coproducting to produce biodiesel, biogasoline and biogas
Annual throughput of previous 12 months is not included (Confidential)	

1.3 Standards Used

1.3.1 Applicable RSB-Accredited Standards

Title	Version
RSB Standard for EU market access	RSB-STD-11-001 V 3.2
RSB EU RED Standard for Participating Operators	RSB-STD-11-001-30-001 V3.2
RSB EU RED Standard for Chain of Custody	RSB-STD-11-001-20-001 V3.6
Procedure on Communications and Claims	RSB-PRO-11-001-50-001 V3.3
RSB EU RED Standard on waste and residues	RSB-STD-11-001-01-010 V1.2
Consolidated RSB EU RED Standard for Risk Management	RSB-STD-11-001-60-001 V3.2
RSB EU RED GHG Calculation Methodology	RSB-STD-01-003-01 V2.3

All standards employed are available on the websites of the Roundtable on Sustainable Biomaterials (<http://rsb.org/sustainability/rsb-sustainability-standards/>).

2.0 EVALUATION PLANNING & PROCESS

2.1 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

2.2 Audit Team

2.2.1 Audit Team

Names auditteam:	Chris Pen	Auditor role:	Lead Auditor
Qualifications: Chris is a certified Auditor against 2 EU approved voluntary schemes (RSB and ISCC EU), 1 RED national scheme (Dutch Double Counting) and one national scheme CO ₂ Prestatieladder (reduction CO ₂ emissions scope 1, 2 and 3) with many years of experience in certification sector.			

2.3 Evaluation Schedule and Extent of Audit

2.3.1 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	1 head office, 1 refinery
Participating Operator Risk Class	Low risk
Disputes or prior Non-compliances	N/A
Changes in scope since last evaluation	N/A
Total number of compliance claims	N/A

2.3.2 Activities Duration and justification audit

Duration and justification audit	
Audit Duration (in hours):	Preparation time: 2 hours Audit at office: 6 hours Audit at refinery: 6 hours Reporting: 2 hours Total: 16 hours

Description of the evaluation / evaluation	
Operation(s)/ sites visited	Activities/ notes
14-2-2019 Participating site I	Opening Meeting: scope of audit confirmation
	Evaluation of documented/company system
15-2-2019 Participating site II	Opening Meeting day 2
	Evaluation of documented/company system
	Closing meeting

People interviewed
Jill Talbot, Simon Horriben, Andrew Fowler, Darren Partridge, Daniel Salmon

Action taken by the organization prior to (re)issue of certificate
P&C's are covered by the Environment & Social Management Plan which has been set up as preparation for the audit. A CoC manual has been set up including all relevant requirements.

2.4 Stakeholder Consultation Process

In accordance with CUC 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 CUC are noted below.

3.0 RISK ASSESSMENT RESULTS

CUC Risk Assessment Results	6	Low risk
Participation Operator Assessment Results	6	Low risk
Deviations and Risk Factor Difference	No both 6 and low risk	
Final risk class	<input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	

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 Non-Compliance

Non-compliance: failure to comply with one or more requirements specified in the RSB standards and/or the RSB certification systems

4.1.2 Evaluation of Non-conformities

CUC shall monitor and evaluate all actions taken by the participating operator to address non-compliances finalization of the evaluation report CUC shall evaluate at minimum those aspects of the operation(s) of

CUC shall ensure that recommendations to close major non-compliances, and whether major non-compliances were corrected, rectified or otherwise brought into compliance with the RSB standards and the RSB certification systems, together with the respective certification reports are submitted to peer review and duly decided by its certification decision entity.

4.1.3 Identified non-conformities during present evaluation

Non-compliance (NCs) identified during this evaluation are listed below. In case the organization has Each element (requirement) of the Standard is evaluated by means of a checklist. Please refer to the annexed checklists for details.

4.1.4 Assessment of non-compliance raised during and after previous audit report

Check if section is not applicable, i.e. it concerns a main assessment/initial audit, or no NCs were raised Below an overview is given of the actions taken by the client/certificate holder to correct any NC's. For each NC a description of its current status is given. In the case a minor NC has not been settled within 3 months the RSB certificate will be withdrawing

4.1.5 Major Non-compliances

<input 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.
<input checked="" 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 NCs 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.

4.1.6 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	2019-1
Category	Major
Relevant RSB Standard & Indicator No	8.3.12
Description of requirement	Operators applying a fixed accounting ensure that a balance is achieved over a pre-defined (max. 3 months) time period
Description of non-conformity	The mass balance for bio propane has no quarterly opening and closing stock.
Status	closed

5.0 CERTIFICATION DECISION

Certification Recommendation		
Operator to be awarded RSB certification subject to the minor non-compliances stated in Section 4.1.6.	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 CUC Responsible Biofuels Program evaluation protocols. If certification is recommended, the Operator has satisfactorily demonstrated the following without exception:		
Operator has closed any Major NC(s) assigned during the evaluation.	Yes <input checked="" type="checkbox"/> No <input 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: N.A.		
To be completed by Certification Decision-Making Entity	Technical Review by: If different to decision-maker	
	Certification decision:	The Organization has been (re-)assessed by CUC according to the standard(s) described in Section 3.
	Certification decision by:	Frank van der Velden
	Date of decision: For initial or continued certification	22/2/19
	Surveillance schedule:	Third annual surveillance audit in December 2019 Notes: n.a.