

# Certification Evaluation Report

*Roundtable on Sustainable Biomaterials*

*Advanced Products*

*Tetra Pak Group*

**SCS Certificate Code: SCS/RSB-C-0039**

Ruben Rausings gata, Lund SE-221 86, Sweden

Sara Granholm

[www.tetrapak.com](http://www.tetrapak.com)

CERTIFIED	EXPIRATION
21 August 2020	20 August 2025

DATE(S) OF AUDIT
15 – 16, June, 2020
DATE OF LAST UPDATE
21 August 2020

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## FOREWORD

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SCS Global Services (SCS) is a certification body accredited by the Roundtable on Sustainable Biomaterials (RSB) to conduct evaluations of biofuel operators (CB Registration No. 592). 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](http://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	Tetra Pak Group		
Operator Number	2128		
Contact person	Sara Granholm		
Address	Ruben Rausings gata, Lund 221 86, Sweden	Telephone	+46 733 364 247
		Fax	--
		e-mail	sara.granholm@tetrapak.com
		Website	www.tetrapak.com

#### 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 checked="" type="checkbox"/> Initial Assessment <input type="checkbox"/> Re-certification <input type="checkbox"/> Follow-Up to NCs	<input type="checkbox"/> 1st Annual Surveillance <input type="checkbox"/> 2nd Annual Surveillance <input type="checkbox"/> 3rd Annual Surveillance <input type="checkbox"/> 4th Annual Surveillance
Scope as it appears on certificate:	Mechanical Processor Packaging made with coating resin and injection molding resin derived from RSB-certified polymers made from recycled content in pellet form	
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:		
<p><i>Note 1: If the scope is different, please contact SCS.</i></p> <p><i>Note 2: Where the client uses external organizations (public or private) to provide utilities services, such as electricity, waste disposal, water, the auditor shall check that these organizations are run according to local requirements (i.e. the law) but these organizations will not be considered in scope of the audit. Therefore no on-site visits to these utility services are required.</i></p>		
<b>Total workers covered by scope of certification:</b>	PPL Chateaubriant – SCO AM Closures (95 employees) PPL Budaörs -- SCO PM (Total number of employees: 294)	

<b>Number of women workers</b>	PPL Chateaubriant – SCO AM Closures (22) PPL Budaörs -- SCO PM (25)
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### 1.2.1 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	Tetra Pak Group (main office) Tetra Pak Global Supply SA (TP Group) Tetra Pak International SA (TP Group) Tetra Pak Production (Hungary) Ltd (factory) Tetra Pak Closures France (factory) Tetra Pak France (Tetra Pak France & Benelux; market company) AB Tetra Pak (Tetra Pak North Europe; market company)
Participating Operator Risk Class	Low Risk (3)
Disputes or prior Non-compliances	N/A initial audit
Changes in scope since last evaluation	N/A initial audit
Total number of compliance claims	None

### 1.2.2 Standards Used

#### Applicable RSB-Accredited Standards

<b>Standard Name and Version</b>
RSB Chain of Custody (RSB-STD-20-001 V3.2)
RSB Standard for Participating Operators (RSB-PRO-30-001 V3.2)
RSB Risk Management (RSB-PRO-60-001 V3.2)
RSB Procedure on Communication and Claims (RSB-PRO-50-001 V3.4)
RSB Standard for Advanced Products RSB-STD-02-001 V 2.0)

All standards employed are available on the websites of the Roundtable on Sustainable Biomaterials (<https://rsb.org/the-rsb-standard/working-with-the-rsb-standard/>). Standards are also available, upon request, from SCS Global Services.

### 1.3 Sites in Scope

#### 1.3.1 Industrial Facilities

<b>Facility # 1</b>	
<b>Name of Facility</b>	Tetra Pak Production (Hungary) Ltd
<b>Type</b>	<input type="checkbox"/> Agriculture Milling and/or Fermentation <input type="checkbox"/> Vegetable oil Extraction

	<input type="checkbox"/> Biofuel Production and/or Distribution <input checked="" type="checkbox"/> Other, please explain here: Mechanical Processor
Location/City	Industrial Site, H-2041, Budaörs, Hungary / P.O. Box 200, H-2041, Budaörs, Hungary
Geographic location ( <i>Latitude &amp; Longitude</i> )	47°27'22.3"N 18°54'14.7"E (Hungary)
Start date of operations (initial start date)	Expected (to start producing on September)
Number of processing steps	(0) Material intake, (1) Unwinding, (2) Pull and break, (3) Flame Treating, (4) Coating Station, (5) Foil Unwinder and Film Unwinder, (6) Plasma Treater, (7) Coating Station Inside, (8) Coating Station Decor, (9) Rewinding.
Description of the product or the product component that the certification covers, including, if applicable, the specification of the mass of the certified component related to the total product.	Input: Polymer with recycled content in pellet form. Output: Coating resin and injection molding resin. These are incorporated in the final product sold to customer as packaging & additional materials.
<b>Annual throughput of previous 12 months</b> (Can be moved to appendix if certain information is confidential)	
Feedstock Input (Metric Ton)	Initial Audit - Expected 7 tons
Final/Primary Product Output (Metric Ton)	NA
Intermediate/by-product Output (Metric Ton)	NA
% output yield compared to input material (total output/total input)	NA
Amount sold as RSB certified (tons)	NA

<b>Facility # 2</b>	
<b>Name of Facility</b>	Tetra Pak Closures (France)
<b>Type</b>	<input type="checkbox"/> Agriculture Milling and/or Fermentation <input type="checkbox"/> Vegetable oil Extraction <input type="checkbox"/> Biofuel Production and/or Distribution <input checked="" type="checkbox"/> Other, please explain here: Mechanical Processor
Location/City	Rue Winston Churchill BP 99, 44143 Chateaubriant Cedex, France
Geographic location ( <i>Latitude &amp; Longitude</i> )	47°42'13.1"N 1°22'52.6"W (France)
Start date of operations (initial start date)	Expected (to start producing on September)
Number of processing steps	(0) Supply & storage of raw material, (1) Pellet transfer by vacuum & mixing in the colorator, (2)

	Injection Molding, (3) Assembly, (4) Packaging & palletization, (5) Caps storage & shipping.
Description of the product or the product component that the certification covers, including, if applicable, the specification of the mass of the certified component related to the total product.	Input: Polymer with recycled content in pellet form. Output: Coating resin and injection molding resin. These are incorporated in the final product sold to customer as packaging & additional materials.
<b>Annual throughput of previous 12 months</b> <i>(Can be moved to appendix if certain information is confidential)</i>	
Feedstock Input (Metric Ton)	Initial Audit - Expected 7 tons
Final/Primary Product Output (Metric Ton)	NA
Intermediate/by-product Output (Metric Ton)	NA
% output yield compared to input material (total output/total input)	NA
Amount sold as RSB certified (tons)	NA

### 1.3.2 Traders

<b>1. Name</b>	Tetra Pak France & Benelux (Market Company)/ Legal name: Tetra Pak France
<b>Location/City</b>	Tetra Pak France Campus Equilibre 56-58, avenue Jean Jaurès CS50034 - 92707 Colombes Cedex, FRANCE
<b>Geographic location (<i>Latitude &amp; Longitude</i>)</b>	48°56'04.7"N 2°15'35.2"E
<b>Material stored:</b>	none
<b>2. Name</b>	Tetra Pak North Europe (Market Company)/Legal Name: AB Tetra Pak
<b>Location/City</b>	Tetra Pak Sverige AB, Ruben Rausings gata, SE-221 86 Lund; Sweden
<b>Geographic location (<i>Latitude &amp; Longitude</i>)</b>	55°41'23.7"N, 13°11'28.1"E
<b>Material stored:</b>	none
<b>3. Name</b>	Tetra Pak Global Supply SA (TP Group)
<b>Location/City</b>	65, Avenue de Lavaux CH-1009, Pully, Lausanne, Switzerland
<b>Geographic location (<i>Latitude &amp; Longitude</i>)</b>	46°30'39.7"N, 6°39'45.8"E
<b>Material stored:</b>	none
<b>4. Name</b>	Tetra Pak International SA (TP Group)
<b>Location/City</b>	65, Avenue de Lavaux CH-1009, Pully, Lausanne, Switzerland



<b>Geographic location (<i>Latitude &amp; Longitude</i>)</b>	46°30'39.7"N, 6°39'45.8"E
<b>Material stored:</b>	none

### 1.4 GHG Intensity

<b>Advanced products from recycled feedstocks (will be passed on from supplier)</b>			
<b>Advanced Product:</b>	<b>Pending first shipment post certification</b>	<b>GHG:</b>	_____ g Co2 eq/ dry ton raw material (Will be passed on from supplier)
<b>For advanced products from bio-based feedstocks: if and how the CO2 uptake was accounted for (see RSB-STD-02-001)</b>		<b>Pending first shipment post certification</b>	

### 1.5 Advanced Product Information

<b>If the feedstock for a batch of RSB certified Advanced Product is not wholly but only partly RSB-certified: state the amount of certified feedstock in relation to the total mass of the feedstock for the appropriate category:</b>	
<b>For Category I products:</b>	
<b>State the bio-based carbon or bio-based mass content that can be ensured at any time of the production process</b>	<b>NA – Category II Product</b>
<b>State the standard used for measuring or calculating the biobased carbon or bio-based mass content</b>	<b>NA</b>
<b>For Category II products:</b>	
<b>State the recycled carbon content in relation to the total carbon content</b>	<b>Recycled feedstock - 100% attributed</b>
<b>State the method used to determine the recycled carbon content</b>	<b>Mass balance calculation.</b>
<b>For Category III products:</b>	
<b>State the amount of primary fossil resources saved by the input of eligible feedstock in the production system</b>	<b>NA – Category II Product</b>

## 2.0 EVALUATION PLANNING & PROCESS

### 2.1 Audit Team

<b>Auditor Name:</b>	Eddie Gomez	<b>Auditor role:</b>	Lead Auditor
<b>Qualifications:</b> Eddie is an Agronomist and has a M.Sc. and Ph.D. in Food, Agricultural and Biological Engineering from The Ohio State University with emphasis in wastewater treatment systems for the production of renewable energy sources and on the development of biodegradable polymers. Since 2016 has been involved with the certification of agricultural and industrial operations against sustainability standards in Latin America. Eddie is currently a lead auditor of the Bonsucro			

Certification System, the Roundtable on Sustainable Biomaterials (RSB), the International Sustainability and Carbon Certification (ISCC), the Alliance for Water Stewardship (AWS) and the California Low Carbon Fuels Standard (LCFS).			
<b>Auditor Name:</b>	Camila Andino	<b>Auditor role:</b>	Witness Auditor
<b>Qualifications:</b> Industrial Engineer with a mention in Agribusiness and Quality, has a postgraduate degree in Management Systems for ISO 9001:2015, ISO 45001:2018 and ISO 14001:2015. She worked as head of Management Systems at Ingenio San Antonio, Nicaragua, where she led the maintenance and implementation of various industry standards and regulations such as Bonsucro, ISCC EU/Plus and Fair Trade USA. She currently works at SCS Global Services as a full-time auditor for Bonsucro and ISCC certifications. She has extensive technical knowledge in the sugar industry and sustainable management.			

## 2.2 Evaluation Schedule and Extent of Audit

### 2.2.1 RSB Audit types Matrix

	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

### 2.2.2 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.

### 2.2.3 Evaluation Itinerary and Activities

Remote audit due to Covid-19.

Time	Element/Activity	Personnel Involved
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<b>Day 1</b> <i>June 15, 2020</i>	<b>Remote audit to cover Central Certification Management at Tetra Pak Group</b>	
12:30 CET	<b>Opening Meeting and General Requirements</b> <ul style="list-style-type: none"> <li>- Introduction to certification program and assessment process to on-site staff</li> <li>- Review of scheduled activities</li> <li>- Review of RSB Procedures; confirm roles, responsibilities and processes at both sites</li> <li>- Confirmation of scope of products to be certified at both sites</li> <li>- Clarification of all suppliers; transportation, storage</li> <li>- Client to outline production process and overall process flow at both sites</li> <li>- Review site map(s) of both sites</li> </ul>	Management
13:30	<b>Document Review: Participating Operator/ Standards Checklist</b> <ul style="list-style-type: none"> <li>- Review of training procedures and records for both sites</li> <li>- Review of Grievance Mechanism</li> <li>- Review of traceability method and implementation (including acquiring, handling, and forwarding sustainable material)</li> <li>- Analysis of material balances and records</li> <li>- Review of records</li> <li>- Review of GHG inputs</li> <li>- Communications and Claims; review of approved Claims</li> <li>- Requirement for Advanced Fuels/ Advanced Products</li> </ul>	Management
17:00	<b>Report Writing</b> <ul style="list-style-type: none"> <li>- Auditor(s) take time to consolidate notes and confirm audit findings</li> </ul>	
	<b>End of Day 1</b>	

Time	Element/Activity	Personnel Involved
<b>Day 2</b> <i>June 16, 2020</i>	<b>Remote Audit to cover processes at both the Packaging Material Factory in Budaörs, Hungary and Closures Facility in Chateaubriant, France</b>	
12:45 CET	<b>Opening Meeting and General Requirements</b> <ul style="list-style-type: none"> <li>- Introduction to certification program and assessment process to on-site staff</li> <li>- Review of scheduled activities</li> </ul>	Management
13:30 CET	<b>Remote Site Walk-through through Video: Packaging Material Factory in Budaörs, Hungary</b> <ul style="list-style-type: none"> <li>- Observe operations at processing facility</li> <li>- Observe feedstock and product storage area</li> <li>- Observe other critical control points</li> </ul>	Production, Warehouseman, and Post Production Personnel
15:30 – 17:00 CET	<b>Remote Site Walk-through through Video: Closures Facility in Chateaubriant, France</b>	Production, Warehouseman, and

	<ul style="list-style-type: none"> <li>- Observe operations at processing facility</li> <li>- Observe feedstock and product storage area</li> <li>- Observe other critical control points</li> </ul>	Post Production Personnel
20:00 CET	<p><b>Closing Meeting</b></p> <ul style="list-style-type: none"> <li>- Presentation of General audit finding</li> <li>- Presentation of all non-compliances and opportunities for improvement</li> <li>- Fix timetables for corrective actions</li> <li>- Reiterate SCS appeal policy</li> <li>- Questions</li> </ul>	Management
	<b>End of Day 2</b>	

### 2.3 Documentation Submitted by Operator

_Tetra_Pak_RSB_CoC_Instructions_01JUNE2020
Annex_1a_Declaration_of_compliance_RSB_CoC_factories
Annex_1b_Declaration_of_compliance_RSB_CoC_MC
Annex_1c_Declaration_of_compliance_RSB_CoC_TetraPakGroup_companies
Annex_2_RSB_CoC_internal_risk_assessment_review
Annex_3_RSB_CoC_Training_particip_record_template
Annex_4_RSB_CoC_CAR_form
RSB_PO agreement _Tetra Pak_final_rev
Tetra Pak rPolymer audit scope 2020
Tetra_Pak_14APR2020_RSB_RiskAssessmentTool_RSBV3.2
Tetra_Pak_RSB_CoC_Site_List_16JUNE2020
Tetra Pak RSB supplier list 01JUNE2020
tetra-pak-gri-index

### 2.4 Evaluation of Management System

#### 2.4.1 Capacity of the participating operator to implement its management systems

Tetra Pak is a multinational food packaging and processing company with over 25,555 employees around the world. The company has operations in the Americas, Europe, Central Asia, Greater Middle East, Africa and Asia Pacific. Currently the company has more than 55 production plants, 5 R&D centers, 89 sales offices, 6 customer innovation centers and 11 technical training centers. Tetra Pak has a long history of working with governments worldwide on policy issues related to sustainability. The company’s sustainability strategy is founded on their commitment to a low-carbon circular economy. Four key areas include Renewable Packages, Recycled Content, Sustainable and Anti-littering openings and enhancing recycling by design. Currently the company is certified to the Bonsucro, FSC sustainability and the Aluminum Stewardship Initiative programs. It has been evidenced that the company has systems in place to comply with the requirements of the RSB certification. The company’s Central Office (CO) has

the overall authority to implement the standard within Tetra Pak. CO will receive support from various departments, such as Supply Chain Operations (SCO) Base Materials, Tetra Pak Global Supply (TPGS), Tetra Pak International (TPI), factories and market companies.

Evaluation of RSB compliance claims and use of RSB trademarks

<p><b>Does Operator use RSB trademarks on off-product or on-product claims?</b></p>	<p>The claim on the package will reference the circular polymers, and will be approved by RSB. Under this scenario (that the claims refer to the polymer) there is no need for the circular polymers to make up at least 25% of the carton materials, as the claims are just in reference to the polymers. As Tetra Pak is attributing 100% of the RSB claims to the polymers being used, the claims do not need to mention a percentage. Further, this meets the 25% minimum threshold for that material.</p> <p>RSB has approved the following claims language:</p> <p><i>“This Tetra Pak beverage carton is part of the circular economy, using RSB-certified polymers created from recycled plastics.”</i></p> <p><i>“By using RSB-certified polymers from recycled plastics, this carton contributes to circularity and sustainability.”</i></p>
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**3.0 RISK ASSESSMENT RESULTS**

Based on the most recent self-risk assessment the PO’s risk assessment results are (The number):	Corresponding risk class (low, medium, high):	Date of risk assessment (must be no older than 3 months from the audit date)	Auditor’s assessment of Operator’s risk
3	Low	April, 2020	The auditor agrees with the score and the risk class

**4.0 RESULTS OF THE EVALUATION**

**4.1 Process of Determining Compliance**

**4.1.1 Structure of Standard and Degrees of Non-Compliance**

RSB 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 evaluation protocols, the team collectively determines whether or not the subject operation is in compliance with every applicable indicator of the relevant 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 Findings

*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 operator’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.

*Opportunity for Improvement* is an observation made which does not fully impact compliance but could potentially affect the PO’s ability to comply with RSB requirements in the future.

#### 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.
<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

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)
NA	-	-	No NCs were issued during the audit	-
-	-	-	-	-

## 5.0 CERTIFICATION DECISION

Certification Recommendation		
<b>For Initial and Re-certifications: Operator to be awarded RSB certification subject to the minor non-compliances stated in Section 4.2.5.</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	
<b>For Surveillance Audits: Operator is to continue as an RSB certified Participating Operator subject to the minor non-compliances stated in Section 4.2.5.</b>	Yes <input 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 type="checkbox"/> <b>No Major NCs issued</b> <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:		
<b>To be completed by Certification Decision-Making Entity</b>	<b>Technical Review by:</b> If different to decision-maker	Inna Kitaychik
	<b>Certification decision:</b>	August 21, 2020
	<b>Certification decision by:</b>	Inna Kitaychik
	<b>Date of decision:</b> For initial or continued certification	August 21, 2020
	<b>Surveillance schedule:</b>	1 <sup>st</sup> surveillance by August 21, 2021  Notes: