

Certification Evaluation Report

Roundtable on Sustainable Biomaterials

ASB Biodiesel (Hong Kong) Ltd.

SCS Certificate Code- SCS-RSB/PC-0028

22 Chun Wang Street, Tseung Kwan O Industrial Estate, Hong Kong, China

Client Contact

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CERTIFIED	EXPIRATION
March 29, 2017	March 28, 2019

DATE(S) OF AUDIT
8-10 May 2018
DATE OF LAST UPDATE
23 July 2018

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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	ASB Biodiesel (Hong Kong) Ltd.		
Operator Number	2094		
Contact person	Elaine Wong		
Address	22 Chun Wang Street, Tseung Kwan O Industrial Estate, Hong Kong, China	Telephone	+852 6102 3151
		Fax	
		e-mail	elaine.wong@asb-biodiesel.com
		Website	www.asb-biodiesel.com

1.1.2 Additional Parties Involved **(Can be moved to appendix if certain information is confidential)**

Organization name	ASB Chun Yip		
Contact person	Ms Man Chung		
Address	DD96, LOT 839, SC SS1, Ho Sheung Heung, Shueng Shui, North Territories	Telephone	
		Fax	
		e-mail	
		Website	
Nature of Involvement:			
ASB Subsidiary for collecting UCO in Hong Kong, in scope.			

Organization name	Topsafe Petrochemical Logistics and Storage Services Co. Ltd		
Contact person	Jerry Yen		
Address	中国广东省东莞市虎门港立沙 岛石化基地 Petrochemical Base, Lisa Island, Humen Port, Dongguan City, Guangdong Province, PRC.	Telephone	
		Fax	
		e-mail	
		Website	
Nature of Involvement:			
Dependent storage owner and operator			

1.2 Scope of Certificate

Please select one:	<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"/> Initial Assessment <input type="checkbox"/> Re-certification <input type="checkbox"/> Follow-Up to NCs	<input type="checkbox"/> 1st Annual Surveillance <input checked="" type="checkbox"/> 2nd Annual Surveillance <input type="checkbox"/> 3rd Annual Surveillance <input type="checkbox"/> 4th Annual Surveillance *Note: 6 month surveillance due to high risk classification of PO
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>		
Total workers covered by scope of certification:	74	
Number of women workers	12	

INDUSTRIAL FACILITIES	
Name	ASB Biodiesel (Hong Kong) Ltd.
Type	<input type="checkbox"/> Agriculture Milling and/or Fermentation <input checked="" type="checkbox"/> Biofuel Production and/or Distribution <input type="checkbox"/> Vegetable oil Extraction <input checked="" type="checkbox"/> Other, please explain here: treatment plant of waste/residues
Location/City	Hong Kong, China
Geographic location (<i>Latitude & Longitude</i>)	22.284530, 114.268950
Start date of operations (initial start date)	13 Oct 2013
Number of processing steps	5 steps (of which 2 side production lines) (fatty matter recovery, esterification, transesterification and distillation, glycerine)
Annual throughput of previous 12 months (Can be moved to appendix if certain information is confidential) **Note: values provided are from 1 January 2018 – 31 March 2018 due to recent de-suspension of RSB certificate and re-start of mass balance system)	
Feedstock Input (Metric Ton)	Used cooking oil (4278 MT) Grease Trap oil (273 MT)
Final/Primary Product Output (Metric Ton)	Biodiesel (3946 MT)
Intermediate/by-product Output (Metric Ton)	Crude glycerine (319 MT) Bioheating oil / biopitch (319 MT)

% output yield compared to input material (total output/total input)	GTW → GTO: 13.33% GTO → Biodiesel: 89.73% UCO (China) → Biodiesel: 85.94% UCO (Hong Kong) → Biodiesel: 85.76% UCO (Japan) → Biodiesel: 85.08%		
Amount sold as RSB certified (tons)	0 (all certified materials sold as ISCC EU)		
Description of Production/Processing Activities: RSB scope of the audit: UCO, GTW, POME (only to cover the last consignment under previous contracts). The multi-feedstock blend consists of waste cooking oil (WCO/UCO), and grease recovered from grease trap waste (GTW), which may include mixed vegetable oil and animal fat from restaurant kitchens. Palm oil mill effluent (POME) was not collected or processed during the recent mass-balance period, and there are no plans to collect this in the future. No RSB materials were collected, produced, or sold during the previous mass balance period, with all EU-certified sustainable materials claimed as ISCC EU materials.			
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:		GHG	
Final Biofuel		GHG	14 g CO2eq/MJ (default value)
<i>Add more lines as you see fit</i>			

WAREHOUSES (if in scope)	
1. Name	Topsafe Petrochemical Logistics and Storage Services Co. Ltd (Dependent Storage)
Location/City	Dongguan, Guangdong Province, China
Geographic location (<i>Latitude & Longitude</i>)	22.946724, 113.561039
Material stored:	Biodiesel

1.3 Standards Used

1.3.1 Applicable RSB-Accredited Standards

Title	Version
RSB-STD-01-001 RSB Principles & Criteria	v3.0
RSB-STD-11-001-20-001 Standard for Traceability	v3.6
RSB-STD-11-001-30-001 Standard for Participating Operators	v3.2
RSB-STD-11-001-60-001 Standard for Risk Management	v3.2
RSB-PRO-11-001-50-001 Procedure on Communication and Claims	v3.3
RSB-STD-11-001 RSB Standard for EU market access	v3.2

RSB-STD-11-001-01-010 RSB EU RED Standard for the certification of biofuels based on waste and residues	v1.2
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

ASB Biodiesel (Hong Kong) Ltd. In & Out summary.xls (mass balance)	RSB Manual Rev08
RSB POS Template ver 2017.12.27 rev 05.xls	RSB training plan and schedule 2018
RSB Training record 2018 Jan	ASB emergency response plan version 2 with appendices
RSB Communications and Claims ASB Biodiesel rev02	Health & Safety Policy 201702
RSB Risk Assessment 2018	RSB Screening Tool
RSB Membership application form rev01	Water assessment report
All delivery notes and invoices, and supplier agreements	ASB Biodiesel (Hong Kong) Ltd. business registration
Environmental Protection Department permit	January, February and March 2018 stack gas assessment report
Dangerous Goods Storage License	Dangerous Goods Manufacturing License
Water test reports	ASB Chun Yip mass balance sheet
ASB Chun Yip business license	ASB Chun Yip contract
Topsafe bonded warehouse agreement	Topsafe business license
Topsafe container calibration certificate	Topsafe mass balance (asb)

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:	Robert Earley	Auditor role:	Lead Auditor
<p>Qualifications: Robert is an auditor of RSB and ISCC certifications, and has been trained in ISO 9001:2015 auditing. Additionally, he is currently an expert consultant on UN, EU, charitable foundation and NGO projects focused on sustainable transportation and air pollution. Prior to becoming a consultant, Robert was the Transport Program Manager of Manila-based Clean Air Asia, promoting clean and efficient freight and logistics across Asia, and before that was the Director of the Clean Transportation Program at the Innovation Center for Energy and Transportation (iCET), which developed standards for lifecycle GHG emissions assessment for biofuels in China, and which became the first member of the RSB in China. He is currently on the board of the Beijing Energy Network as well as the China Carbon Forum. Mr. Earley, who has lived in China since 2005 and is fluent in Mandarin Chinese, studied environmental science at the University of Calgary and Urban and Regional Planning at the University of Waterloo in Canada. His coursework at the University of Calgary included impacts of agriculture and conservation in agricultural areas in southern Alberta.</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	3
Participating Operator Risk Class	High
Disputes or prior Non-compliances	None since last audit, but previously had RSB certificate suspended (already re-instated), and had one ISCC certificate revoked, which has now also <u>been</u> re-instated.
Changes in scope since last evaluation	Addition of dependent storage
Total number of compliance claims	None since last evaluation

2.4.2 Evaluation Itinerary and Activities

Time	Element/Activity	Personnel Involved
8 May 2018	Location: Primary Facility: 22 Chun Wang Street, Tseung Kwan O Industrial Estate, Hong Kong, China	
<i>Day 1</i> 8:00 a.m.	Opening Meeting <ul style="list-style-type: none"> - Introductions of audit team and ABT representatives; overview of on-site certification program and assessment process to ASB staff - Confirmation of scope of certification - Confirmation of scheduled activities, communications, and resources - Closing meeting time to be on Thursday at 16:00 - Confidentiality - Work safety, emergency and security procedures - Availability and roles of guides - Methods of reporting and types of findings and communication of these - Audit team responsible for executing the audit plan and documenting evidence - Sampling procedures - Working languages - SCS appeal policy - Questions and discussion 	Management
8:30	Review of Participating Operator Requirements (RSB-STD-11-001-30-001*) * NOTE: Please review "Checklist for PO and RSB EU P&C Indicators.xlsx" <ul style="list-style-type: none"> - General requirements - Training requirements - Grievance 	Management, Representative for HR

9:30	<p>Principles and Criteria, <i>RSB-STD-01-001 v. 3.0*</i> * NOTE: Please review “Checklist for PO and RSB EU RED P&C Indicators.xlsx”</p> <ul style="list-style-type: none"> - 1. Legality <ul style="list-style-type: none"> o Legal register or system, anti-bribery - 2. Planning, monitoring, and continuous improvement <ul style="list-style-type: none"> o Results of screening exercise, ESMP, FPIC, dispute resolution - 3. Greenhouse Gases <ul style="list-style-type: none"> o Include discussion on GHG calculation method: default or actual - 4. Human and labour rights <ul style="list-style-type: none"> o Slave/forced labour, child labour, non-discrimination, wages and working conditions, occupational health and safety, training, emergency procedures, PPE, contracted labour, grievance mechanism 	Management
11:00	<p>Human Resources</p> <ul style="list-style-type: none"> - Review contracts, policies, training plans, and grievance process - Review occupational health and safety training records - Review piece work and living wage practices; equality issues - Review performance with respect to freedom of association mechanism 	HR Representative
11:45	<p>Procedure on communication and claims (<i>RSB-PRO-11-001-50-001</i>) Review ASB procedures and records</p>	Management
12:00 p.m.	<p>Lunch</p> <ul style="list-style-type: none"> - Time is of the essence. Please arrange lunch to be brought in to the offices or provide one or more “fast food options” so that lunch does not consume more than the allotted time. 	
12:30	<p>Risk Management</p> <ul style="list-style-type: none"> - Presentation of evidence of a risk management approach based on ISO 31000:2009 taking into account: <ul style="list-style-type: none"> o The context of the organization - Risk identification, risk analysis, risk evaluation, and risk treatment 	Risk management representative (e.g. production engineering)
14:30	<p>Chain-of-custody system (<i>RSB-STD-11-001-20-001, v. 3.6</i>)* * NOTE: See Checklist for PO and RSB EU Participating Operators (P.O.)</p> <ul style="list-style-type: none"> - General requirements (evidence of system, etc.) - Records (see especially P.O. checklist 6.2.2 and 6.2.3, 6.3, 6.4.1 and 6.4.2) - Requirements for handling certified material (see P.O. checklist sec. 8) 	Management
15:30	<p>Chain of custody audit of records Auditor will sample production records and records of outgoing material</p>	Management
16:30	<p>Site Walk-through</p> <ul style="list-style-type: none"> - Review site map - Observe material receiving and handling operations - Observe chemical processing locations - Observe sludge pond/water discharge facility - Observe product shipping arrangements 	Production, Receiving/Shipping, Material handling, Waste management Personnel

	<ul style="list-style-type: none"> - Visit control room 	
17:30	Auditor debriefing on results of first day's audit <ul style="list-style-type: none"> - Discuss potential non-compliances and opportunities for improvement - Discuss any needed adjustments to the audit schedule 	Management
18:00	Auditor departs for hotel in Hong Kong	

Time	Element/Activity	Personnel Involved
9 May 2018	Location: Primary Facility: 22 Chun Wang Street, Tseung Kwan O Industrial Estate, Hong Kong, China	
8:00	Information on Points of Origin* * NOTE: See "First Collector" requirements to maintain information about suppliers (i.e. "Points of Origin"), especially H1.1.5.4.b in RSB-PRO-70-001) <ul style="list-style-type: none"> - Auditor will review a representative sample of contracted feedstock suppliers for information covering the following: <ul style="list-style-type: none"> o <i>description and operating figures (e.g. throughput, output of main product(s), by-product(s) and waste/residues) of the process/operation where the waste or residue is derived from</i> - Quarterly balance of incoming and outgoing material including records (mass balance review) 	Management
10:00	Principles and Criteria, v. 3.0* * NOTE: Please review "Checklist for PO and RSB EU P&C Indicators.xlsx" <ul style="list-style-type: none"> - 7. Conservation <ul style="list-style-type: none"> o Review those criteria that are relevant to the process - 9. Water <ul style="list-style-type: none"> o Review the results of water resource analysis, water management plan - 10. Air <ul style="list-style-type: none"> o Review air management plan and application of best available technology o Review emissions of major air pollutants identified in Principle 10 - 11. Technology <ul style="list-style-type: none"> o Review waste and by-product management plan - Review the use of Annex III Rotterdam Convention chemicals, presence of pollutants on the Stockholm Convention of Persistent Organic Pollutants, and Montreal Protocol chemicals - 12. Land Rights <ul style="list-style-type: none"> o Review Free, prior and Informed consent on land use changes 	Management
12:00	Lunch Break <ul style="list-style-type: none"> - Time is of the essence. Please arrange lunch to be provided on site. 	

13:00	Depart for ASB Chun Yip DD96, LOT 839, SC SS1, Ho Sheung Heung, Shueng Shui, North Territories	
14:30	<p>Introduction and document overview at ASB Chun Yip</p> <ul style="list-style-type: none"> - Refer to “Checklist for PO and RSB EU P&C Indicators.xlsx”, General requirements (evidence of system, etc.) - Records (see especially P.O. checklist 6.2.2 and 6.2.3, 6.3, 6.4.1 and 6.4.2) - Requirements for handling certified material (see P.O. checklist sec. 8) <p>-Check sustainability declarations of all sources -Observe weigh bridge tickets, receipts from all feedstock sources -Check input and output documentation from the collection point (mass balance) -observe safety documentation at facility (training materials, procedures) - list of all suppliers of sustainable biomass, and copy of their valid certificates - list of all collection points, including name and address - if applicable record of mass balance calculation - if PO is not legal owner of the site, a written contract</p>	Management – including Chun Yip documentation manager
4:30	<ul style="list-style-type: none"> - Site visit <ul style="list-style-type: none"> o In addition to viewing the site, should include a visit with on-site top management / facility manager 	Management
5:00	<p>Auditor debriefing on results of first day’s audit</p> <ul style="list-style-type: none"> - Discuss potential non-compliances and opportunities for improvement - Discuss any needed adjustments to the audit schedule 	
5:15	- Auditor departs for hotel in Shenzhen	Management

Time	Element/Activity	Personnel Involved
10 May 2018	Location: TOPSAFE PETROCHEMICAL LOGISTICS AND STORAGE SERVICES CO. LTD, 中国广东省东莞市虎门港立沙岛石化基地 Petrochemical Base, Lisa Island, Humen Port, Dongguan City, Guangdong Province, PRC.	
8:00	- Depart Shenzhen hotel for Dongguan	Management
10:15	<p>Introduction and document overview at Topsafe Petrochemical Logistics and Storage</p> <ul style="list-style-type: none"> - Refer to “Checklist for PO and RSB EU P&C Indicators.xlsx”, General requirements (evidence of system, etc.) - Records (see especially P.O. checklist 6.2.2 and 6.2.3, 6.3, 6.4.1 and 6.4.2) - Requirements for handling certified material (see P.O. checklist sec. 8) 	Management

	<ul style="list-style-type: none"> -Check sustainability declarations of all sources -Observe weigh bridge tickets, receipts from all feedstock sources -Check input and output documentation from the collection point (mass balance) -observe safety documentation at facility - list of all suppliers of sustainable biomass, and copy of their valid certificates - list of all collection points, including name and address - if applicable record of mass balance calculation - if PO is not legal owner of the site, a written contract 	
11:30	<p>Site tour</p> <ul style="list-style-type: none"> - Should include meeting with Topsafe senior management 	Management
12:00	<p>Lunch Break</p> <p>Time is of the essence. Please arrange lunch to be provided on site.</p>	
13:00	<p>Auditor review and consolidation of notes</p>	
13:30	<p>Return to Hong Kong, ASB Biodiesel</p> <p>Auditor to consolidate notes in car</p>	
16:00	<p>Closing meeting</p> <ul style="list-style-type: none"> - Present overall conclusions from audit findings - Present details of non-compliances and opportunities for improvement - Fix timetables for corrective actions - Reiterate SCS appeal policy - Respond to questions 	All relevant management
17:00	<ul style="list-style-type: none"> - Auditor departs for hotel and leaves for Beijing in the morning. 	

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.

2.5.2 Capacity of the participating operator to implement its management systems

Note: include an overall evaluation of the participating operator’s responsiveness and ability to consistently and effectively implement its management system based on the financial, technical, and human resources available.

~~Include overall evaluation of management system implementation here or fill in the table in Appendix 2 (the details of the observations and substantiating evidence collected during evaluation of the central management office and management systems of the participating operator)~~

2.5.2.5.2 Evaluation of RSB compliance claims and use of RSB trademarks

Type (compliance claim, trademark use)	Description	Findings
Compliance claim	Check of incoming contracts	Incoming contracts signed with suppliers are all compliant, but no materials have been acquired since the certificate has been re-instated
Compliance claim	Check of declaration of conformity template	As no RSB-certified biofuel has been produced, only the template could be checked, which is compliant to the RSB standard

2.6 Stakeholder Consultation Process (for Main audits)

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.

3.0 RISK ASSESSMENT RESULTS

Based on the most recent self-risk assessment (no older than 3 months from the audit date) the PO's risk assessment results are:	Corresponding risk class (low, medium, high):
13	Medium (according to self-risk assessment); however Operator is being treated as a High risk client following previous audits.

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 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.

4.1.3 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 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.

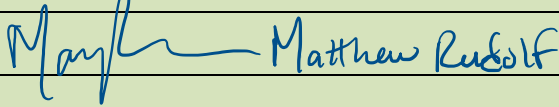
Summary of Non-compliances and Current Status				
Non-compliance Number	Type of Non-compliance	Relevant RSB Standard & Indicator No.	Summary of Finding and Evidence Collected	Status of Non-compliance (Open/Closed)
2018-1	Minor	RSB-STD-11-001-30-001 Standard for Participating Operators v.3.2, indicator 2.8: You shall carry out and keep updated a self-evaluation of your operations as defined in the certification scope (See 1.3), to comply with RSB standards and procedures.	No clear, complete and organized account of self-evaluation of operations against the RSB standards was presented during the audit	Closed
2018-2	Minor	RSB-STD-11-001-30-001-ver.3.2-Consolidated RSB EU RED Standard for participating operators, Indicator 2.6. Have systems in place for settling	No documentation was provided for existence of a system in place for settling disputes and complaints about the PO's performance raised by other people or organizations	Closed

		disputes and complaints about your performance raised other people or organizations, in line with the RSB Grievance Procedure (RSB-PRO-65-001).		
2018-3	Minor	RSB-STD-11-001-20-001 ver.3.6 RSB EU RED Standard for Traceability (Chain of Custody). Indicator 1.9: You shall make sure that sufficient details to identify the material are included in the product information attached to every batch of RSB EU RED or EU RED Certified Material that you acquire, handle or forward.	Supplier Wing Feng in, for example delivery notes WFA039, WFA038, WFA039, addressed the receiver as ASB Biodiesel (Hong Kong) Ltd. Rather than ASB Chun Yip, which should have been the correct receiving entity. While financial invoices appear to be valid, the delivery notes have the incorrect receiving entity listed.	Closed
2018-4	Minor	RSB-STD-11-001-20-001 ver.3.6 RSB EU RED Standard for Traceability (Chain of Custody). Indicator 1.9: You shall make sure that sufficient details to identify the material are included in the product information attached to every batch of RSB EU RED or EU RED Certified Material that you acquire, handle or forward.	Template delivery notes for incoming and outgoing RSB EU RED certified material do not include the date of initial operation of the facility.	Closed
2018-5	Major	P&C 4.f.3. The operator shall ensure that workers are skilled in the	While safety documentation is in place, the auditor was not given a safety introduction when entering the industrial facility, even upon request	Closed

		implementation of their prescribed activities and jobs to minimize health and safety risks and the risk of work related accidents	for a safety introduction. Furthermore, while in the testing laboratory, the technician was able to introduce safety procedures and produce documentation but was not wearing personal safety equipment as described in the safety procedures. With multiple observations, it was determined that this is a systematic issue.	
2018-6	Minor	P&C 9.b.5. The operator shall undertake annual monitoring of the effectiveness of the water management plan.	No report on the effectiveness of the water management plan was observed during the audit.	Closed
2018-7	OFI	P&C 9.b.6. The water management plan shall include steps for reusing or recycling waste water, appropriate to the scale and intensity of operation.	Although the operation appears to reuse and recycle water from its operations, this is not stated in its water management plan.	Closed
2018-8	Minor	P&C 10.a.1. An emission control plan that identifies major air pollutants including particulate matter. The plan shall describe any air pollution mitigation strategies that are employed, or else the rationale for not utilizing such strategies.	The emission control plan did not describe air pollution mitigation strategies for particulate matter.	Closed

2018-9	OFI	PO Checklist 1.4 Certification scope	Observation: please put all location-related data into one document	Closed
2018-10	OFI	PO Checklist 1.10 Self risk assessment	Department heads are aware and assigned roles, but need to resolve a responsible person quickly.	Closed

5.0 CERTIFICATION DECISION

Certification Recommendation		
For Initial and Re-certifications: Operator to be awarded RSB certification subject to the minor non-compliances stated in Section 4.2.5.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
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.	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 checked="" type="checkbox"/> No <input type="checkbox"/> No Major NCs issued <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:		
To be completed by Certification Decision-Making Entity	Technical Review by: If different to decision-maker	Inna Kitaychik
	Certification decision:	Continued certification under the RSB standards
	Certification decision by:	
	Date of decision: For initial or continued certification	July 26, 2018
	Surveillance schedule:	Re-certification March 2019; audit to take place January 2019.
Notes:		

