



**RSB**  
Roundtable on  
Sustainable Biomaterials  
[www.rsb.org](http://www.rsb.org)



**CONTROLUNION**

## Public Summary – RSB audit

### Phillips 66 Limited

**Certificate Number: CUC/RSB/847526/507167**

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

<b>CERTIFIED</b>	<b>EXPIRATION</b>
<b>23-12-2016</b>	<b>22-12-2021</b>

<b>DATE(S) OF AUDIT</b>
<b>Remote: 7 and 8-12-2020</b>
<b>date of last update</b>
<b>24-02-2021</b>

Control Union Certifications, Meeuwenlaan 4-6,  
8011 BZ, Zwolle, The Netherlands  
0031 (0) 38 426 0100  
[certification@controlunion.com](mailto:certification@controlunion.com)  
[certification.controlunion.com](http://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 the latest version of standard RSB-PRO-70-001. 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> and can also be provided on request.

# CONTENTS

<b>FOREWORD</b> .....	<b>2</b>
<b>CONTENTS</b> .....	<b>3</b>
<b>SECTION A – PUBLIC SUMMARY</b> .....	<b>4</b>
1.0 GENERAL INFORMATION .....	4
1.1 Operator Information .....	4
1.1.1 Name and Contact Information .....	4
1.1.2 Additional Parties Involved .....	4
1.2 Scope of Certificate .....	4
1.3 Standards Used .....	5
1.3.1 Applicable RSB-Accredited Standards.....	5
2.1 Audit Type and Determination .....	6
2.2 Audit Team.....	6
2.2.1 Audit Team.....	6
2.3 Evaluation Schedule and Extent of Audit.....	6
2.3.1 Determination of Extent of Audit .....	6
2.3.2 Activities Duration and justification audit .....	6
2.4 Stakeholder Consultation Process .....	7
3.0 RISK ASSESSMENT RESULTS.....	8
4.0 RESULTS OF THE EVALUATION.....	8
4.1 Process of Determining Compliance.....	8
4.1.1 Non-Compliance .....	8
4.1.2 Evaluation of Non-conformities.....	8
4.1.3 Identified non-conformities during present evaluation .....	8
4.1.4 Assessment of non-compliance raised during and after previous audit report.....	8
4.1.5 Major Non-compliances.....	11
4.1.6 Non-compliances and Current Status .....	119
5.0 CERTIFICATION DECISION .....	120

## SECTION A – PUBLIC SUMMARY

### 1.0 GENERAL INFORMATION

#### 1.1 Operator Information

##### 1.1.1 Name and Contact Information

<b>Organization name</b>	Phillips 66 Limited		
<b>Contact person</b>	Jill Tabot		
<b>Operator Number</b>	1486	<b>CUC PRJ number</b>	847526
<b>Address</b>	7th Floor, 200-202 Aldersgate Street London, EC1 4HD United Kingdom	<b>Telephone</b>	(+44) (0)20.7822.4459
		<b>Fax</b>	n.a.
		<b>e-mail</b>	Jill.D.Talbot@p66.com
		<b>Website</b>	<a href="http://www.phillips66.com">www.phillips66.com</a>

##### 1.1.2 Additional Parties Involved

Is not included (Confidential)
--------------------------------

#### 1.2 Scope of Certificate

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

CERTIFICATION SCOPE	
Operator (biofuel producer) of waste/residue-based biofuels and bio liquids.	
Operator (biofuel producer) of waste/residue-based biofuels and bio liquids.	<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"/> Mechanical 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:	n/a
<i>Note: If the scope is different, please contact CU.</i>	

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

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

Description of activities	
	Purchase of certified UCO Co-processing to produce biodiesel, bio gasoline and biogas
<b>Annual throughput of previous 12 months is not included (Confidential)</b>	

### 1.3 Standards Used

#### 1.3.1 Applicable RSB-Accredited Standards

Title	Version
RSB Standard for EU Market Access (RSB-STD-11-001)	V3.2
RSB Procedure for Participating Operators (RSB-PRO-30-001)	V3.2
RSB Principles & Criteria (RSB-STD-01-001)	V3.0
RSB EU RED Standard for Traceability (Chain of Custody) (RSB-STD-11-001-20-001)	V3.6
RSB Procedure on Communications and Claims (RSB-PRO-50-001)	V3.5
RSB EU RED Standard for the certification of biofuels based on waste and residues (RSB-STD-11-001-01-010)	V1.2
RSB Procedure for Risk Management (RSB-PRO-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 ( <a href="#">RSB Procedures &amp; Standards Archives</a>   <a href="#">RSB</a> )	

## 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

<b>Names auditteam:</b>	Chris Pen	<b>Auditor role:</b>	Lead auditor
<p><b>Qualifications:</b> Chris is a certified Auditor against 2 EU approved voluntary schemes (RSB and ISCC EU and Plus), 1 RED national scheme (Dutch Double Counting) and one national scheme CO<sub>2</sub> Prestatieladder (reduction CO<sub>2</sub> emissions scope 1, 2 and 3 according ISO 14064 and 50001) with many years of experience in certification sector.</p> <p>GHG review is done by Loek Verwijst (CUC employee).</p>			

### 2.3 Evaluation Schedule and Extent of Audit

#### 2.3.1 Determination of Extent of Audit

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

#### 2.3.2 Activities Duration and justification audit

Duration and justification audit	
<b>Audit Duration (in hours):</b>	Preparation time: 2 hours Audit at office: 8 hours Audit at refinery: 3 hours Reporting: 4 hours Total: 17 hours

Description of the evaluation / evaluation	
Operation(s)/ sites visited	Activities/ notes
7 and 8/12/2020 Participating site I	Opening Meeting: scope of audit confirmation
	Evaluation of documented/company system
7/12/2020 Participating site II	Opening Meeting day 2
	Evaluation of documented/company system
	Closing meeting

People interviewed
Jill Talbot, Simon Hobben, Darren Partridge

Action taken by the organization prior to (re)issue of certificate
The self-risk assessment has been carried out and provided. P&C's are covered by the Environment & Social Management Plan.

## 2.4 Stakeholder Consultation Process

Not applicable for a surveillance audit



### 3.0 RISK ASSESSMENT RESULTS

CUC Risk Assessment Results	9	medium risk
Participation Operator Assessment Results	9	medium risk
Deviations and Risk Factor Difference	No both 9 and medium risk	
Final risk class:	<input type="checkbox"/> Low <input checked="" type="checkbox"/> Medium <input type="checkbox"/> High	

(RSB-Risk-Assessment-Tool: Old version)

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 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 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	N/A
Category	
Relevant RSB Standard & Indicator No	
Description of requirement	
Description of non-conformity	
Status	

## 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 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	<b>Technical Review by:</b> If different to decision-maker	Glenn Feryn (CU RSB Certifier)
	<b>Certification decision:</b>	The Organization has been (re-)assessed by CUC according to the standard(s) described in Section 3.
	<b>Certification decision by:</b>	Glenn Feryn
	<b>Date of decision:</b> For initial or continued certification	24-02-2021
	<b>Surveillance schedule:</b>	Notes: re-assessment audit in Q4 2021