



RSB
Roundtable on
Sustainable Biomaterials
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CONTROLUNION

Public Summary – RSB audit

Bioflex Agroindustrial S.A.

Certificate Number: CUC/RSB/832135/565983

Fazenda Sao Joao, s/n, Zona Rural, 57240-000, Sao Miguel dos Campos, Brazil

CERTIFIED	EXPIRATION
26-02-2021	25-02-2026

DATE(S) OF AUDIT
12 - 15.01.2021
date of last update
26.02.2021

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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.

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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	Bioflex Agroindustrial S.A.		
Contact person	Marco Aurelio Cabral Campelo		
Operator Number	2182	CUC PRJ number	PRJ 832135
Address	Fazenda Sao Joao Zona Rural 57240-000 Sao Miguel dos Campos BRAZIL	Telephone	+55 82 3211-0055
		Fax	n/a
		e-mail	marco.campelo@granbio.com.br
		Website	www.granbio.com.br

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

CERTIFICATION SCOPE	
First collector of sugar cane straw and producer of bioethanol	
Please select boxes that apply:	<input type="checkbox"/> Biomass producer
	<input type="checkbox"/> Point of Origin
	<input checked="" 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:	
<i>Note: If the scope is different, please contact CU.</i>	

Participating site I	
Name	Bioflex Agro Industrial S.A.
Address	Fazenda Sao Joao, Zona Rural, 57240-000, Sao Miguel dos Campos, BRAZIL

Participating site II	
Name	Distribution centre Fazenda Furado I
Address	São Miquel dos Campos

Participating site III	
Name	Park of ethanol tanks at Caeté mill
Address	São Miquel dos Campos

Description of activities	
	Bioflex Argo Industrial is a first collector of sugarcane straw. After the sugar cane has been harvested, the straw remains in the field, approximately 50% is collected by the company and pressed into bales. The bales are transported to the factory for weighing and transported to the distribution center for storage. From storage, the bales are transported to the industrial site for processing (fermentation and distillation) into ethanol. The produced ethanol is stored in the tank farm next to the industrial site. After storage the ethanol is transported to the harbor and transported to the customer.
Annual throughput of previous 12 months	
Feedstock input in mt	N/A confidential
Final/primary product output in mt	N/A confidential
Intermediate/by-product output in mt	N/A confidential
% output in yield (total output/total output)	N/A confidential
Amount sold as RSB certified in mt	N/A initial audit
GHG CO ₂ eq/MJ Biofuel	8,2 g CO ₂ eq/MJ
% of emission reductions	90,3

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
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 (RSB Procedures & Standards Archives RSB)	

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

Names auditteam:	Chris Pen	Auditor role:	Lead auditor (remote)
	Loek Verwijst		GHG reviewer (remote)
	Danilo Blanco		Auditor/translator on site
	Guilherme Schmidt Marinello		Auditor/translator on site

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 site with office and production facilities 1 storage location raw materials (sugar cane straw) 1 storage location processed ethanol 54 POOs
Participating Operator Risk Class	Medium risk (initial audit), low risk after evaluation
Disputes or prior Non-compliances	n/a
Changes in scope since last evaluation	n/a, initial audit
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: 8 hours Stakeholders consultation: 12 hours Office audit: 24 hours Visits of 2 warehouses: 6 hours Visits of 11 POOs: 22 hours Reporting: 16 hours Total: 88 hours

Description of the evaluation / evaluation	
Operation(s)/ sites visited	Activities/ notes
Participation site I 12 -15.01.2021	Opening Meeting: scope of audit confirmation
	Evaluation of documented/company system
	Closing meeting
Participation site II 14.01.2021	Opening Meeting
	Evaluation of documented system
	Closing meeting
Participation site III 15.01.2021	Opening Meeting
	Evaluation of documented system
	Closing meeting
Audits of the PoO's based on the sample 13 and 14.01.2021	Opening Meeting
	Evaluation of documented system
	Closing meeting

People interviewed		
Name	Function	Company
João Batista Farah Emiliano	Director	Bioflex
Carlos Henrique Medeiros	Coordinator	Bioflex
Julio Espirito Santo	Tech. Manager	Granbio
Sara Azevedo Martins	EHS & Quality Coordinator	Bioflex
João C. G. Filho	Processing Engineer	Bioflex – 1
Jade Varallo Corte	Consultant	FPN / Granbio
Ermi Ferrari	Consultant	FPN / Granbio
Roberto Keli	Consultant	FPN / Granbio
Altamir Barros Souza	Agricultural Engineer	Usina Caeté
André B. Pereira	Manager	Usina Reunidas Seresta
Luiz E. C. Cardozo	Agricultural Manager	Ind. Porto Rico
José Marcos L. da Silva	Planning/Costs Coordinator	Ind. Porto Rico

Action taken by the organization prior to (re)issue of certificate

Prior to the audit, the participating operator has included the relevant RSB EU requirements in the management system and drawn up a GHG calculation. RSB GHG calculator was used to prepare the GHG calculation. There has been contact with RSB about the application and adaptation of the calculator in order to be able to use it for the Bioflex process. The self-risk assessment and screening tool has been carried out and provided prior the audit. All documentation regarding demonstrable compliance with the RSB requirements is digitally stored in folders and shared in the Dropbox folder during the audit.

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.

A total of 20 stakeholders have been identified and contacted prior and during the audit. Of the 20 stakeholders contacted, 3 responded in writing, and no response was received from the remaining 17. All 3 responses were positive responses related to the Participating Operator. Conduct further stakeholder research on strengths and weaknesses of the Participating Operator's management system and operations was not necessary.

3.0 RISK ASSESSMENT RESULTS

(RSB-Risk-Assessment-Tool-Version-3.2.1 Pilot-Period)

CUC Risk Assessment Results	9	Low risk
Participation Operator Assessment Results	9	Low risk
Deviations and Risk Factor Difference	No both 9 and low risk	
Final risk class: For the first audit, POs are automatically attributed a 'medium' risk class. Low risk after evaluation	<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

Summary of Non-compliances and Current Status	
Non- compliance Number	1
Category	Major
Relevant RSB Standard & Indicator No	9.2.11
Description of requirement	The operator provides evidence of the following data for the calculation of actual values (either based on measured data or on technical specifications of the processing facility) <ul style="list-style-type: none"> - energy consumption - fuel consumption - transport distance - feedstock input - product/by-product/effluent output - auxiliary material / fertilizer / pesticide / seed consumption
Description of non-conformity	The electricity and steam consumed in the GHG calculation does not match the purchased quantities according to the invoices; GHG calculation 12400 MWh / 62511 mt, invoices 13065 MWh / 63986 mt Quantities are included for the consumptions during the processing (sugar, DAP, Yeast, Yeast extract and Antibiotic powder). No materials have been selected for these entered quantities of consumptions. As a result, no emission factors have been assigned and these emissions are not included in the calculation
Description of actions taken to address non-compliances, the evaluation of those actions and decision to accept them for compliance with RSB standards	Root cause analysis has been performed, after which remedial action and corrective actions have been taken: see file 01_NCR_RSB_OPERACAO_jan.2021 - Electricity, Steam and Input emission factor
Status	Closed

Non- compliance Number	2
Category	Major
Relevant RSB Standard & Indicator No	P&C 4.f.1
Description of requirement	Workers shall not be exposed to any occupational health or safety hazards without adequate protection and training as defined in national law and international standards.
Description of non-conformity	During the documents review, the occupational health attestation for workers from Caldeiraria sector (GHE-23) didn't have the information that the workers were able to perform work in heights. During the verification of trainings, it was evidenced that the workers indeed perform work in heights and through interviews with the responsible persons it was evidenced that they were performing work in heights without this health analysis. It is in discordance with Brazilian regulation NR-35 item 35.4.1.2.1
Description of actions taken to address non-compliances, the evaluation of those actions and decision to accept them for compliance with RSB standards	A root cause analysis has been performed, after which remedial action and corrective actions have been taken: see file 02_NCR_EHS&Q_RSB_Bioflex_Signed
Status	Closed

Non- compliance Number	3
Category	Major
Relevant RSB Standard & Indicator No	P&C 4.e.1
Description of requirement	Wages shall be provided in cash or in another form acceptable to workers.
Description of non-conformity	During the documents review, it was evidenced that the tax FGTS (kind of a bonus for long periods working in the same company) for months November and December 2020 were not paid.
Description of actions taken to address non-compliances, the evaluation of those actions and decision to accept them for compliance with RSB standards	A root cause analysis has been performed, after which remedial action and corrective actions have been taken: see file 03_RNC_P&O_Financeiro_Signed
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 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	Glenn Feryn (CU RSB Certifier)
	Certification decision:	The Organization has been (re-)assessed by CUC according to the standard(s) described in Section 3.
	Certification decision by:	Glenn Feryn
	Date of decision: For initial or continued certification	26-02-2021
	Surveillance schedule:	Notes: surveillance audit shall be scheduled within 6 months of the issuance of the first certificate