



RSB
Roundtable on
Sustainable Biomaterials
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CONTROLUNION

Public Summary – RSB audit

Green Energy Hokuriku Co. Ltd.

Certificate Number: CUC/RSB/885340/640042

674-1 Kataguchikugue, Imizu, Toyama 934-0037 Japan

CERTIFIED	EXPIRATION
28-04-2022	27-04-2027

DATE(S) OF AUDIT
03-02-2022
date of last update
23-03-2022

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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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PUBLIC SUMMARY

1.0 GENERAL INFORMATION

1.1 Operator Information

1.1.1 Name and Contact Information

Organization name	Green Energy Hokuriku Co. Ltd.		
Contact person	Mr. Hirokazu Kaji		
Operator Number	2226	CUC PRJ number	885340
Address	674-1 Kataguchikugue, Imizu, Toyama Japan	Telephone	+81-766-86-5511
		Fax	+81-766-86-5514
		e-mail	h-kaji@geh.co.jp
		Website	http://www.geh.co.jp/

1.1.2 Additional Parties Involved

Fushiki Kairiku Unso Co. Ltd Hokuriku Port Service Co. Ltd.
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1.2 Scope of Certificate

Please select audit:		
<input type="checkbox"/> RSB EU RED	<input type="checkbox"/> RSB Global	<input checked="" type="checkbox"/> 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	
Activity: Power plant Products: PKS Sites: Green energy Hokuriku Co. Ltd. General (internal) storage, temporary storage Applicable certification scheme: RSB Japan FIT	
Please select boxes that apply:	<input type="checkbox"/> Biomass producer
	<input type="checkbox"/> Point of Origin
	<input type="checkbox"/> First collector
	<input type="checkbox"/> Industrial operator
	<input type="checkbox"/> Mechanical operator
	<input checked="" 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	General (internal) storage
Address	674-2 Kataguchikugue, Imizu, Toyama Japan

Participating site II	
Name	Temporary storage
Address	1150 Nishitakagi, Imizu, Toyama Japan

Description of activities	
	Purchasing and using PKS as fuel. The fuels are stored at the participating site I, and shipped to the powerplant by trucks.
Annual throughput of previous 12 months	
Feedstock input in mt	N/A (no actual transaction)
Final/primary product output in mt	N/A
Intermediate/by-product output in mt	N/A
% output in yield (total output/total output)	N/A
Amount sold as RSB certified in mt	N/A
GHG CO ₂ eq/dry ton	N/A
% of emission reductions	N/A

1.3 Standards Used

1.3.1 Applicable RSB Standards

Title	Version
RSB Procedure for Participating Operators (RSB-PRO-30-001)	V3.3
RSB Procedure on Communications and Claims (RSB-PRO-50-001)	V3.5
RSB Procedure for Risk Management (RSB-PRO-60-001)	V3.3
RSB EU RED GHG Calculation Methodology (RSB-STD-01-003-01)	V2.3
RSB Procedure for Traceability (RSB-PRO-20-001)	V3.2
RSB Standard for Japan FIT (RSB-STD-13-001)	V1.0
RSB Standard for Advanced Fuels (RSB-STD-01-010)	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:	Morihiko TOMOZAWA Julia Stefanovic (GHG reviewer)	Auditor role:	Lead Auditor
Qualifications: CUC approved lead auditor with seven years of auditing experience for sustainability related certification schemes (RSPO SCC, FSC CoC, PEFC CoC, GGL, RSB, ISCC). Having professional background in Environmental Science with a Ph.D and having successfully completed ISO9001 Lead Auditor Training.			

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	<p>There are three companies in their scope: one head office (PO, Green energy Hokuriku Co.,Ltd.: Power plant operation, purchasing fuels, inventory control of fuels, and selling electricity), two contractors who are in charge of transportation from port to the storages (Fushiki Kairiku Unso Co.,Ltd.), and operation at the storage and transportation from the storages to fuel feeder (Hokuriku Port Service Co.,Ltd. who is a subsidiary of Green Energy Hokuriku Co.,Ltd.)</p> <p>Green energy Hokuriku Co.,Ltd. purchases PKS from certified traders. The PO has ownership of PKS when they unload it from the vessels at a port. The PKS is transported from the port to their internal storage and/or the external storage. The operations at port and the storage units are outsourced to the</p>
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	two contractors.
Participating Operator Risk Class	Regular
Disputes or prior Non-compliances	NA (Initial assessment)
Changes in scope since last evaluation	NA (Initial assessment)
Total number of compliance claims	NA (Initial assessment)

2.3.2 Activities Duration and justification audit

Duration and justification audit	
Audit Duration (in hours):	6 hours

Description of the evaluation / evaluation	
Operation(s)/ sites visited	Activities/ notes
Powerplant: purchasing, using PKS/Green Energy Hokuriku Co. Ltd. (participating site I)	Administration, trading (purchasing), inventory control, Risk management, CoC management, Grievance management
Receiving(unloading from vessel), Storage and transportation/ Fushiki Kairiku Unso Co. Ltd, Hokuriku Port Service Co. Ltd. (Participating site II)	Receiving PKS from vessels (Fushiki Kairiku Unso Co. Ltd.)
	Storing (inventory control: Hokuriku Port Service Co. Ltd.)
	shipping (to powerplant by trucks: Hokuriku Port Service Co. Ltd.)

People interviewed	
Mr. Hirokazu Kaji	Vice-president, GREEN ENERGY HOKURIKU Co. Ltd.
Mr. Hitoshi Ofusa	Inventory control, GREEN ENERGY HOKURIKU Co. Ltd.
Ms. Miho Nakajima	Document control, GREEN ENERGY HOKURIKU Co. Ltd.

Action taken by the organization prior to (re)issue of certificate
Two Major NC shall be addressed before issue of certificate.

2.4 Stakeholder Consultation Process

In accordance with CUC and RSB protocols, consultation with key stakeholders is an integral component of the evaluation process. Stakeholder consultation takes place prior to, concurrent with, and following field evaluations. The primary purpose of such consultation is to solicit input from affected parties as to the strengths and weaknesses of the Participating Operator’s management system and operations, relative to the standard, and the nature of the interaction between the company and the surrounding communities.

Principal stakeholder groups are identified based upon the certification scope of the participating operator.

Stakeholder consultation activities are organized according to the requirements of the RSB. The table below summarizes the major comments received from stakeholders and the assessment team’s response. Where a stakeholder comment has triggered a subsequent investigation during the evaluation, the corresponding follow-up action and conclusions from CUC are noted below.

3.0 RISK ASSESSMENT RESULTS

CUC Risk Assessment Results	0	Low
Participation Operator Assessment Results	0	Low
Deviations and Risk Factor Difference	0	
Final risk class	<input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium (Initial assessment) <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	2022-01
Category	Major
Relevant RSB Standard & Indicator No	RSB-PRO-30-001 F.1.3
Description of requirement	The PO shall define the certification scope: <ul style="list-style-type: none"> · the product(s) for which the certification is intended; · the sites and facilities that the certification is covering, including a list of feedstock producers and points of origin (if covered by the certification); · the applicable certification scheme, and · the applicable standards and other normative document(s)
Description of non-conformity	Details of contractors in the certification scope are not documented in their manual.
Description of actions taken to address non-compliances, the evaluation of those actions and decision to accept them for compliance with RSB standards	The general standard manual shall be revised to include the necessary information. Revised manual is submitted by the participant. The necessary information is covered by the revised manual.
Status	Closed

Summary of Non-compliances and Current Status	
Non- compliance Number	2022-02
Category	Major
Relevant RSB Standard & Indicator No	RSB-PRO-20-001 F.1.5
Description of requirement	The operator shall have all necessary infrastructures (e.g. software or other tools) and operating procedures in place to effectively operate the chain of custody system and ensure that RSB certified material can be tracked continuously without interruption through all processing and trading steps taking place within the scope of certification between the acquisition of the material and forwarding to clients
Description of non-conformity	The procedure for controlling inventory in Green Energy Hokuriku Co.,Ltd. is not in place.
Description of actions taken to address non-compliances, the evaluation of those actions and decision to accept them for compliance with RSB standards	The general standard manual shall be revised to include the procedure for controlling inventory. The revised manual is submitted. The manual included the procedure for controlling inventory as well as more precise description about their CoC.
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 (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	28-04-2022
	Surveillance schedule:	Notes: 1 st surveillance audit needs to be organized before 27-04-2023