

Certification Evaluation Report

Roundtable on Sustainable Biomaterials

RSB Global

LanzaTech Inc.

SCS Certificate Code: SCS-RSB/C-0055

8045 Lamon Ave. #400, Skokie, Illinois, 6077, USA

Megan Vandehey, Sustainability Coordinator

www.lanzatech.com

CERTIFIED	EXPIRATION
12 January 2023	11 January 2028

DATE(S) OF AUDIT
5 th October 2022
DATE OF LAST UPDATE
12 January, 2023

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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 (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.

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	LanzaTech Inc.		
Operator Number	2239		
Contact person	Megan Vandehey, Sustainability Coordinator		
Address	8045 Lamon Ave #400, Skokie Illinois, 60077, USA	Telephone	+1 847 324-2400
		Fax	-
		e-mail	Megan.Vandehey@lanzatech.com
		Website	www.lanzatech.com

1.2 Scope of Certificate

Please select one:	<input type="checkbox"/> RSB EU RED	<input checked="" type="checkbox"/> RSB Global
	<input type="checkbox"/> RSB CORSIA	<input type="checkbox"/> RSB Japan Fit
Please select boxes that apply:	<input type="checkbox"/> Pre-assessment	<input type="checkbox"/> 1st Annual Surveillance
	<input checked="" type="checkbox"/> Initial Assessment	<input type="checkbox"/> 2nd Annual Surveillance
	<input type="checkbox"/> Re-certification	<input type="checkbox"/> 3rd Annual Surveillance
	<input type="checkbox"/> Scope Expansion	<input type="checkbox"/> 4th Annual Surveillance
	<input type="checkbox"/> Follow-Up to NCs	
Scope as it appears on certificate:	Trader Input: all applicable certified materials Output: all applicable certified materials	
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	
Audit scope and extent: Total number of subsidiaries, branch offices, affiliated entities, external third parties contracted or otherwise engaged, operational structures, sites, facilities, processing and production units, supply chain structures, farms/ agricultural/ biomass sites	One branch office and no subsidiaries	
<i>Note 1: If the scope is different, please contact SCS.</i>		

1.2.1 Standards Used

Applicable RSB-Accredited Standards

Standard Name and Version
RSB Procedure for Traceability (Chain of Custody) (RSB-PRO-20-001 V3.2)
RSB Standard for Participating Operators (RSB-PRO-30-001 V3.3)
RSB Procedure on Communication and Claims (RSB-PRO-50-001 V3.5)
RSB Procedure for Risk Management (RSB-PRO-60-001 V3.3)
RSB Standard for Advanced Products (RSB-STD-02-001 V2.0)
RSB Standard for Advanced Fuels (RSB-STD-01-010 V2.4)
RSB GHG Calculation Methodology (RSB-STD-01-003-01 V2.3)

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 Traders

1. Name	LanzaTech
Address	8045 Lamon Ave #400, Skokie Illinois, 60077, USA
Material traded	All applicable certified materials

1.4 GHG Intensity

Advanced products from non-biogenic end-of-life products or production residues (Category II)			
Advanced Product:	all applicable certified materials	GHG:	PO is a paper trader. Therefore, GHG calculations are limited to the emissions linked to the transport. This is an initial audit and transport distances are not yet known. The GHG calculator and emission factors were verified and fulfill the RSB requirements.
Avoided emissions in g CO₂eq/ dry-ton for raw materials and (intermediary) products			PO is a paper trader thus, it will forward this information as received from supplier.

2.0 EVALUATION PLANNING & PROCESS

2.1 Audit Team

Auditor Name:	Raúl G. Mitre	Auditor role:	Lead Auditor in training
Qualifications: Raúl G. Mitre has more than 13 years of experience in auditing more than 250 projects in carbon markets such as CDM, GS, VCS and CCB in 20 countries, as well as more than 10 years of experience auditing management systems based on ISO 9001, ISO 14001, ISO 45001, ISO 50001, ISO 37001 and ASCA. Raúl has a Bachelor of Industrial Administration (Productivity and Quality specialization) from the Instituto Politécnico Nacional (Mexico), and Master’s degrees in Quality Management (Universidad La Salle México, Mexico) and Project Management (Universidad La Salle España, Spain).			
Auditor Name:	Rob Earley	Auditor role:	Team Auditor (Qualified lead auditor supervisor)
Qualifications: Rob Earley is the manager of the RSB Program at SCS Global Services, based in Beijing, China. He studied at the Beijing International Studies University and received his Master’s degree in environmental studies at the University of Waterloo, in Waterloo, Ontario, Canada. Mr. Earley is an expert on sustainable biofuel projects. He has worked on projects involving incorporating biofuel-based vehicles into diesel fleets and linking sustainable biodiesel projects with food safety and elimination of used cooking oil as a waste to improve sustainability of urban and inter-urban transport systems. He has also worked on several air quality projects for transit systems in China.			

2.2 Evaluation Schedule and Extent of Audit

2.2.1 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.

2.2.2 Evaluation Itinerary and Activities

Time	Element/Activity	Personnel Involved
Auditor(s) names: Raúl G. Mitre (On-site) & Robert Earley (Remote via Teams)		
Day 1 10/05/2022	8045 Lamon Ave #400, Skokie Illinois, 60077, USA	

9:00 a.m.	<p>Opening Meeting and General Requirements</p> <ul style="list-style-type: none"> - Introduction to certification program and assessment process to on-site staff; confidentiality; safety procedures; method of reporting and NC grading, etc. - Review of scheduled activities - Review of RSB procedures; confirm roles, responsibilities and processes - Confirmation of scope of products to be certified - Client to outline production process and overall process flow - Review of Risk Assessment Tool 	Management
9:30 a.m.	<p>Document Review: Participating Operator/Standards Checklist</p> <ul style="list-style-type: none"> - Review of training procedures and records - Review of grievance mechanism and records - Review of traceability method and implementation (including acquiring, handling and forwarding of sustainable material); meter calibration records - Analysis of material balances and records - Review of records - Review of GHG inputs – transportation emissions (if any) - Communications and claims 	Management
12:30 p.m.	<p>Lunch Break Please prepare a simple meal on-site or nearby to maintain audit schedule</p>	
13:00 p.m.	<p>Document Review continued: any remaining issues not covered in the morning</p>	
3:45 p.m.	<p>Report writing Auditor(s) take time to consolidate notes and confirm audit findings and prepare the closing meeting record</p>	
4:30 p.m.	<p>Closing meeting</p> <ul style="list-style-type: none"> - Presentation of general audit findings - Presentation of all non-compliances and opportunities for improvement - Review of closing meeting record - Establish timetables for signed closing meeting record, corrective action and submission of Correction Action Plan - Overview of timetable for audit report completion - Reiterate SCS appeal and grievance policy - Questions 	
End of audit		

2.2.3 Evaluation of RSB compliance claims and use of RSB trademarks

Does Operator use RSB trademarks on off-product or on-product claims?	No
Are all claims used in line with scope and allowed claims per RSB-PRO-50-001 or Advanced Product Standard, as applicable? Indicate specific claims used.	Not Applicable
If claims deviate from approved language in standard, signed document specifying claims approved by RSB:	Not Applicable

3.0 RISK ASSESSMENT RESULTS

3.1.1 Risk Class

Note: For multi-site operations, the highest risk class will apply for the Participating Operator.

Site	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
Main Office	6	low	09/19/2022	The risk assessment score and risk class were found as correct, plausible and accepted by the Audit team.
Overall Risk	6			

3.1.2 Risk Impact on Certificate Validity

	Low risk class	Medium risk class	High risk class
Certificate validity	5 years	3 years	2 years
Main audit	Every 5 years	Every 3 years	Every 2 years
Surveillance audit	Annual	Annual	Annual

4.0 RESULTS OF THE EVALUATION

4.1 Process of Determining Compliance

4.1.1 Structure of Standard and Degrees of Non-Compliance

Consistent with SCS Sustainable Biofuels Program evaluation protocols, the audit team collectively determines whether or not the Participating Operator and entities in scope are compliant with every applicable indicator. Each non-compliance is evaluated to determine whether it constitutes a major or minor non-compliance. 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.

4.1.2 Interpretations of Findings

Major Non-compliances (NCs), 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 finding that could potentially affect the PO’s ability to comply with RSB requirements in the future.

Observation is an occurrence that can impact conformity with the RSB standard but is not an opportunity for improvement and does not directly impact conformity to the standards.

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)
			Not Applicable	

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 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 type="checkbox"/> No <input type="checkbox"/> No Major NCs issued <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"/>	
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:	12 January 2023
	Certification decision by:	Miguel Ruiz
	Date of decision: For initial or continued certification (scope expansion decisions list separately)	12 January 2023
	Surveillance schedule:	First surveillance audit must occur by 11 January 2024. Notes: N/A