

Certification Evaluation Report

Roundtable on Sustainable Biomaterials

Global / Smallholder

Associação de Fornecedores de Cana de Guariba - Socicana

SCS Certificate Code: SCS-RSB/PC-0027

Rua José Mazzi, 1450 • Vila Garavello • CEP: 14840-000 • Guariba - SP Brazil

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www.socicana.com.br

CERTIFIED	EXPIRATION
October 21, 2016	October 20, 2021

DATE(S) OF AUDIT
September 1, 2020
DATE OF LAST UPDATE
October 15, 2020

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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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Sub Certificate Codes (if applicable) **Error! Bookmark not defined.**

SECTION A – PUBLIC SUMMARY

1.0 GENERAL INFORMATION

1.1 Operator Information

1.1.1 Name and Contact Information

Organization name	Associação de Fornecedores de Cana de Guariba - Socicana		
Operator Number	1502		
Contact person	Rafael Bordonal Kalaki		
Address	Rua José Mazzi, 1450, Vila Garavello. CEP: 14840-000 - Guariba - SP Brazil	Telephone	+55 16 3251-9270
		Fax	-
		e-mail	rbkalaki@socicana.com.br
		Website	www.socicana.com.br

1.2 Scope of Certificate

Please select one:	<input type="checkbox"/> RSB EU RED	<input checked="" 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 type="checkbox"/> 2nd Annual Surveillance <input type="checkbox"/> 3rd Annual Surveillance <input checked="" type="checkbox"/> 4th Annual Surveillance
Scope as it appears on certificate:	Production of Sugarcane	
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	
<p><i>Note 1: If the scope is different, please contact SCS.</i></p> <p><i>Note 2: Where the client uses external organizations (public or private) to provide utilities services, such as electricity, waste disposal, water, the auditor shall check that these organizations are run according to local requirements (i.e. the law) but these organizations will not be considered in scope of the audit. Therefore no on-site visits to these utility services are required.</i></p>		
Total workers covered by scope of certification:	4 smallholder farmers and family members	
Number of women workers	None	

1.2.1 Determination of Extent of Audit

Total number of subsidiaries, branch offices, affiliated entities, external third parties contracted or otherwise engaged, operational	Socicana's main office and farms in scope.
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structures, sites, facilities, processing and production units, and supply chain structures	
Participating Operator Risk Class	6 – Low (updated 01/09/20)
Disputes or prior Non-compliances	None
Changes in scope since last evaluation	None
Total number of compliance claims	None

1.2.2 Standards Used

Applicable RSB-Accredited Standards

Standard Name and Version
RSB Standard for Certification for Smallholder Groups (RSB-STD-03-002 V1.1); RSB Principles & Criteria for Smallholder Groups (RSB-STD-03-001 V2.0); RSB Risk Management (PRO-STD-60-001 V3.2); RSB GHG Calculation Methodology (RSB-STD-01-003-01 V2.3); RSB Chain of Custody (RSB-PRO-20-001 V3.2).

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 Agricultural Sites/ Feedstock Production Sites/ Farms

Site Type		<input checked="" type="checkbox"/> Agriculture	<input type="checkbox"/> Forestry
		<input type="checkbox"/> Biomass Production	<input type="checkbox"/> Other:
Feedstock(s) Produced:		Sugarcane	
Current Land Use		Prior Land Use	
<input type="checkbox"/> Biomass Production		<input type="checkbox"/> Biomass Production	
<input checked="" type="checkbox"/> Agriculture		<input checked="" type="checkbox"/> Agriculture	
<input type="checkbox"/> Other:		<input type="checkbox"/> Other:	
Current Employment on Site		Prior Employment on Site	
<input type="checkbox"/> Negligible		<input type="checkbox"/> Negligible	
<input checked="" type="checkbox"/> Local Average		<input checked="" type="checkbox"/> Local Average	
<input type="checkbox"/> Above Local Average		<input type="checkbox"/> Above Local Average	
<input type="checkbox"/> Full		<input type="checkbox"/> Full	
Owned/Controlled By:	Smallholder farmers		
Location/City:	Guariba, São Paulo		

Total number of farms included in certification scope	4 farms owned by 7 growers				
Total farms of farms visited as a sample	Remote audit of 2 farms				
Details on ALL farms in scope:	Farm/Entity	Visited as sample	Location (Lat. - Long.)	Area (ha)	Area Planted (ha)
	Sítio São Pedro	X	21.45045638 48.57318732	41.1	38.19
	Santo Antônio II		21.46194914 48.57578314	20.0	20
	São João I		21.48744462 48.49586128	20.57	15
	São Sebastião	X	21.33910442 48.47136319	12.1	8.47
Were shapefiles of farms requested?	Yes.				
Did Operator provide shapefiles of farms included in scope of certification?	Satellite images of the farms 2003 vs 2013 were reviewed to confirm the non-conversion.				
Total Area (ha)	93.77				
Total Planted Area (ha)	81.66				
Total area set aside for conservation purposes (ha)	7.11				
Annual Feedstock Production Volume (please specify unit of measurement)	9,570 tons (estimated for 2020)				
Feedstock Production counted as RSB in last calendar year (tons)	2,603 ton (confirmed for 2019)				
Amount sold as RSB certified in last calendar year (tons)	None				
Amount of RSB material in stock at end of last calendar year (tons)	None				

1.4 GHG Intensity

Primary Producers			
Raw Material:	Sugarcane	GHG:	Default value used

2.0 EVALUATION PLANNING & PROCESS

2.1 Audit Team

Auditor Name:	Eddie Gómez	Auditor role:	Lead Auditor
Qualifications: Eddie is an Agronomist and has a master’s and Ph.D. degrees in Food, Agricultural and Biological Engineering with emphasis in sustainable production of biomass and renewable energy sources. Since 2016 has been involved with certification of agricultural operations against sustainability standards in Latin America. Eddie is currently a lead auditor of the Bonsucro Certification System, the International Sustainability and Carbon Certification (ISCC), RSB, the Alliance for Water Stewardship (AWS) and the Low Carbon Fuels Standard LCFS from CARB.			

2.2 Evaluation Schedule and Extent of Audit

2.2.1 RSB Audit types Matrix

	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

2.2.2 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.

2.2.3 Evaluation Itinerary and Activities

Time	Element/Activity	Personnel Involved
9/1/20	Associação de Fornecedores de Cana de Guariba - Socicana	
9:00	Opening Meeting (desk audit) <ul style="list-style-type: none"> - Introduction to certification program and assessment process to on-site staff. - Review of scheduled activities. - Confirmation of scope of products to be certified and any product groupings, and clarification of all suppliers; farms, blending, transportation, storage. - Client to outline production process and overall process flow. - Update from client and any changes to the operation. - Follow up on implementation of any corrective action plans from desk audit or previous initial field audit. 	Management
9:30	Document Review (desk audit) <ul style="list-style-type: none"> - RSB Risk Management (PRO-STD-60-001 V3.2) - RSB Standard for Certification of Smallholder Groups (RSB-STD-03-002 V1.1) 	Management
12:00	Lunch Break	
13:00	Document Review (desk audit) <ul style="list-style-type: none"> - RSB Principles & Criteria for Smallholder Groups (RSB-STD-03-001 V2.0) for years 0-3 - RSB Chain of Custody (RSB-PRO-20-001 V3.2) - Confirm application of RSB GHG Calculation Methodology (RSB-STD-01-003-01 V2.3) or use of default values 	Management
17:30	Closing Meeting <ul style="list-style-type: none"> - Presentation of general audit finding. - Presentation of all non-compliances and opportunities for improvement. - Fix timetables for corrective actions. - Reiterate SCS appeal policy. - Ask for questions. 	Management

2.3 Documentation Submitted by Operator

Manual de Normas do SIG – Sistema de Gestão Interna from 06/08/2020
Manual dos Membros do Grupo from 06/08/2020
Lista de Participantes (com área de conservação) - Cana Sustentável 20 - 21
Estimativa - Cana Sustentável - safra 20-21.xlsx
RSB Certification Self Risk Assessment Form- Analise de risco 2020.pdf
Check list RSB - Jose Bracciali -2020
Check list RSB - Jose Vagner Carqui - 2020
Check list RSB Edgar Morita 2020 julho
Cronograma de Eventos Socicana - 2020.xlsx

2.4 Evaluation of Management System

2.4.1 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.

See 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)

2.4.2 Evaluation of RSB compliance claims and use of RSB trademarks

The RSB short claim, as defined in RSB-PRO-50-001	None
Any other claims used as per RSB-PRO-50-001	None
Does Operator use RSB trademarks on off-product or on-product claims?	None

2.5 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 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
6	Low	01/09/2020	Self-risk assessment documentation was reviewed. The auditor agrees with the result, risk and class.

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 Findings

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.

Opportunity for Improvement is an observation made which does not fully impact compliance but could potentially affect the PO’s ability to comply with RSB requirements in the future.

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)
N/A	N/A	N/A	Non-compliances were not found during the audit.	N/A

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 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"/>	
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 to standards listed in Section 1.2.2
	Certification decision by:	Inna Kitaychik
	Date of decision: For initial or continued certification	October 15, 2020
	Surveillance schedule:	Re-certification audit in July 2021
Notes:		