RSB
ROUNDTABLE ON SUSTAINABLE BIOFUELS

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RSB Generic Chain of Custody Standard

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Introduction

This standard specifies the provisions that shall be complied with in *chain of custody* tracking to achieve RSB certification. *Chain of custody* tracking is based on continuous information about each stage of the trail taken by products from primary production at the crop site to the final user. It includes each stage of processing, conversion, transformation, manufacturing, trading and distribution where progress to the next stage of the supply chain involves a change of legal and/or physical control.

Any organization legally and/or physically controlling *biomass/biofuel* product along the supply chain is required to establish effective *chain of custody* tracking systems.

Verification by independent certification bodies of these *chain of custody* tracking systems for compliance with the requirements prescribed in this *RSB Generic Chain of Custody Standard* is required, if an organization (*participating operator*) intends to make *compliance claims* about conformity with *RSB standards* and the *RSB certification systems*. Developing and implementing *chain of custody* tracking and management systems enable organizations (*participating operators*) to effectively control the flow of *biomass/biofuel* product through their respective purchasing, processing and sales systems and inform their respective *customer*s about the origin and characteristics of the material(s) in their products.

This *RSB Generic Chain of Custody Standard* and the RSB certification systems are designed to provide a credible guarantee to constituents (e.g. business, government, civil society organizations, etc.) that products associated with *compliance claims* about RSB certification originate from sources which comply with the *RSB standards*. RSB chain of custody standards thereby facilitates transparent tracking and control of *biomass/biofuel* product along the supply chain.

Compliance with this standard provides a consistent, international basis for independent, third party verification of *compliance claims* about the sourcing of *biomass/biofuel* products. It enables suppliers to demonstrate compliance with public or private procurement policies and specifications, such as the EU Directive on the promotion of the use of energy from renewable resources (Directive 2009/28/EC of 23 April 2009).

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A. Intent of this standard

The intent of this standard is to ensure that *participating operators* only associate claims to compliance with RSB requirements with *biomass/biofuel* product which is compliant with the *RSB standards*.

Only *biomass/biofuel* product produced, processed, transformed, converted, traded, and/or otherwise handled in an operation which:

> ➢ participates in the *RSB certification systems*,

> ➢ meets the requirements and the intent of this standard, and

> ➢ is verified by a certification bodies recognized in the *RSB certification systems* for compliance with all applicable RSB requirements,

shall be associated with claims to compliance with the *RSB standards*.

B. Scope of this standard

This standard specifies the requirements for chain of custody tracking and control of operations participating (i.e. *participating operators*) in the RSB certification systems. The standard lists the RSB requirements for *acquiring, handling and forwarding RSB compliant biomass/biofuel* products. It provides a range of options for tracking *biomass/biofuel* product characteristics and associating claims to compliance with RSB requirements.

This standard applies to all operators participating (i.e. *participating operators*) in the *RSB certification systems*.

This standard applies at any sites where *biomass/biofuel* products are legally and physically controlled by *participating operators*.

C. Status and effective date

The version 2.0 of this *RSB Generic Chain of Custody Standard* shall be effective on 1 March 2011

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D. Note on use of this standard

All aspects of this standard are considered to be normative, including the intent, scope, standard effective date, note on the use of this standard, references, terms and definitions, and requirements, unless otherwise stated. Users implementing this standard shall ensure that the intent of this standard is met. To ensure that the intent of this standard is met, users shall implement all of the requirements specified in this standard, and all additional measures necessary to achieve the intent of this standard.

E. References

RSB-STD-20-002 RSB "Identity of product preserved" chain of custody standard

RSB-STD-20-003 RSB "Segregation of product" chain of custody standard

RSB-STD-20-004 RSB "Mass balance of product" chain of custody standard

RSB-STD-20-005 RSB "Content ratio accounting of product" chain of custody standard

RSB-STD-30-001 RSB Standard for participating operators

RSB-STD-50-001 RSB Standard on communication and claims

RSB-STD-60-001 RSB Standard for risk management

F. Terms and definitions

For the purposes of this International Standard, the terms and definitions given in *RSB-DOC-10-002 RSB Glossary of Terms* shall apply.

G. Requirements

1. General Requirements

1. 1. Responsibilities

1. 1. 1. The *participating operator* shall demonstrate that all requirements prescribed in this standard and the intent of this standard are implemented and met.

1. 1. 2. The *participating operator* shall appoint and document a management representative as having overall responsibility and authority for implementation of and compliance with all applicable requirements of the *RSB standards*.

1. 1. 3. The *participating operator* shall document all sites where *RSB compliant* product is acquired, handled and forwarded and where *internal processing steps* occur.

1. 1. 4. The *participating operator* shall appoint and document for each site where *RSB compliant* product is acquired, handled and forwarded and where *internal processing steps* occur, a management representative having overall responsibility and authority for implementation of and compliance with the *RSB standards* at the site.

1. 1. 5. The *participating operator* shall document all changes to the *chain of custody* tracking and management systems.

1. 2. Procedures

1. 2. 1. The *participating operator* shall establish, document, implement and maintain procedures and/or work instructions covering all applicable requirements of this standard.

1. 2. 2. The *participating operator* shall identify and document the personnel responsible for each procedure, together with the qualifications and/or training measures required for its implementation.

1. 3. Training

1. 3. 1. The *participating operator* shall demonstrate that staff responsible for implementing requirements prescribed in this standard is knowledgeable and competent to implement his/her responsibilities. This shall, in particular, include all aspects of the operation(s) where product not compliant with RSB requirements could be mistaken for *RSB compliant product* and enter into the *chain of custody* tracking and management system as *RSB compliant product* (critical control points).

1. 4. Records

1. 4. 1. The *participating operator* shall maintain complete and up-to-date records covering all aspects of implementation of and compliance with all applicable requirements of this standard.

1. 4. 2. The *participating operator* shall retain all records and reports related to and/or relevant for implementation of and compliance with the requirements of this standard (e.g. purchase and sales documents, training records, production records, volume summaries, etc.) for at least five (5) years.

2. Scope of chain of custody tracking and management systems

2. 1. The *participating operator* shall establish, maintain and keep updated documentation of all products *acquired* and/or *handled* and/or *forwarded* as *RSB compliant product* which includes the following information:

2. 1. 1. *product characteristics* and *RSB product classification*, which allow for unique identification of the product in all operations controlled by the participating operator, and for unmistakable and unambiguous differentiation from all other products, and especially for unmistakable and unambiguous differentiation from all product not compliant with RSB requirements;

2. 1. 2. for each *product type* and *internal processing step*, the *tracking model*(s) used for *acquisition, handling and forwarding* of *RSB compliant product:*

2. 1. 2. 1. *identity of product preserved*,

2. 1. 2. 2. *segregation of product,*

2. 1. 2. 3. *mass balance of product,*

2. 1. 2. 4. *content ratio accounting of product.*

2. 2. *Participating operators* implementing the:

2. 2. 1. "identity of product preserved"-*tracking model* shall implement in addition to this standard, the *RSB "Identity of product preserved" chain of custody standard (RSB-STD-20-002)*;

2. 2. 2. "segregation of product"-*tracking model* shall implement in addition to this standard, the *RSB "Segregation of product" chain of custody standard (RSB-STD-20-003)*;

2. 2. 3. "mass balance of product"-*tracking model* shall implement in addition to this standard, the *RSB "Mass balance of product" chain of custody standard (RSB-STD-20-004)*;

2. 2. 4. "content ratio accounting of product"-*tracking model* shall implement in addition to this standard, the *RSB "Content ratio accounting of product" chain of custody standard (RSB-STD-20-005)*;

2. 3. The *participating operator* implementing simultaneously more than one *tracking model* in their operation(s) shall define clear product groups for each *tracking model* used. *Product groups* shall allow for unique identification of the product in each *tracking model* employed by the *participating operator*, and for unmistakable and unambiguous differentiation from product in other *tracking models* employed by the

participating operator, and especially for unmistakable and unambiguous differentiation from all product not compliant with *RSB* requirements.

2. 4. The *participating operator* transferring *RSB compliant product* from one *tracking model* into another *tracking model* shall document this change of *tracking model*s as a separate *internal processing step*.

2. 5. The *participating operator* shall ensure that the total volume of RSB compliant material forwarded is at no point in time greater than the total volume of RSB compliant material acquired.

Guidance

Guidance to requirement 2.1.: *Participating operators* may group various products that share similar characteristics in terms of product type, quality and production process into *product groups.*

Guidance to requirement 2.3.: Using different *tracking model*s in the same operation includes transferring *RSB compliant product* acquired under one *tracking model* into another *tracking model* (see also requirement 5.4).

3. **Supplier validation**

3. 1. The *participating operator* shall establish and maintain an up-to-date documentation of all *suppliers* of *RSB compliant products*. The documentation shall include supplied product type including other relevant product characteristics, and the chain of custody *tracking model* employed by the supplier.

3. 2. The *participating operator* shall verify the validity and scope of the *supplier*'s RSB certificate for any aspect that could affect the availability and authenticity of supplied *RSB compliant products*.

4. **Acquiring RSB compliant product**

4. 1. Any and all acquisition of *RSB compliant product* shall be based on legally binding agreement between the *supplier* and the *participating operator*.

4. 2. The *participating operator* shall request from the *supplier* all information to identify the product characteristics of the *RSB compliant product*. The information requested shall at minimum contain the information required under 6.2.1. to 6.2.10. below.

4. 3. The *participating operator* shall only accept product as *RSB compliant product* which

is acquired together with the information requested from the *supplier* into chain of custody tracking and management systems, and the *participating operator* shall not accept any product as *RSB compliant product* which is not at the time of acquisition accompanied by the information requested from the *supplier*.

4. 4. Upon acquisition of *RSB compliant product* and prior to *handling* of *RSB compliant product* the *participating operator* shall verify the *product documentation* (e.g. supplier invoice, transport documentation, other supporting documentation) provided by the *supplier* and associated with the *RSB compliant product* acquired to ensure the following:

4. 4. 1. the supplied product type, product quantities, qualities, identification codes and other characteristics are in compliance with the supplied documentation and with related acquisition arrangements and contracts;

4. 4. 2. the *supplier*'s *RSB participant code* is valid;

4. 4. 3. the identification (e.g. name, address, other relevant information, etc.) of the *supplier* is stated;

4. 4. 4. the identification (e.g. name, address, other relevant information, etc.) of the *supplier*'s last processing *site* is stated, and if the supplier's last processing site is managed by an external third party on behalf of the supplier, the identification (e.g. name, address, other relevant information, etc.) of this external third party;

4. 4. 5. chain of custody *tracking model* employed at the *supplier*'s last processing *site* is stated in the *product documentation*;

4. 5. Upon acquisition of *RSB compliant product* the *participating operator* shall document the following information to characterize the *RSB compliant product*:

4. 5. 1. date of entry in the participating operator's *chain of custody* tracking and management systems;

4. 5. 2. reference to the legally binding agreement between the *supplier* and the *participating operator*;

4. 5. 3. reference to the site of the *participating operator* responsible for acquisition of the *RSB compliant product* (i.e. the site of the *participating operator* responsible for acquisition of the *RSB compliant* product is the first *internal processing step* where the *RSB compliant product* is handled);

4. 5. 4. if applicable, reference to external third parties responsible on behalf of the *participating operator* for acquisition of the *RSB compliant product*;

4. 5. 5. product documentation provided by the *supplier* and associated with the *RSB compliant product acquired*;

4. 5. 6. all product and tracking characteristics which differentiate the *RSB compliant product* from other product;

4. 5. 7. unique identification codes for each batch of *RSB compliant product acquired;*

4. 5. 8. name of the staff person who received the *RSB compliant product*;

4. 5. 9. name of the staff person verified the characteristics of the *RSB compliant product* and accepted it as input to the participating operator's *chain of custody* tracking and management systems.

4. 6. The *participating operator* shall use the information listed in point 4.3. and 4.4. and any additional information required to uniquely identify each batch of *RSB compliant product acquired* and to unmistakably and unambiguous differentiate each *batch* of *RSB compliant product* from other product.

5. Handling RSB compliant product

5. 1. The *participating operator* shall identify and document all internal processing steps under his/her/its *scope* and control where *RSB compliant products* is *handled* between *acquisition* of *RSB compliant product* and *forwarding* of *RSB compliant product.*

5. 2. For *RSB compliant product* passing through an *internal processing step* the *participating operator* shall identify and document the following information:

5. 2. 1. date when the *RSB compliant product* entered the *internal processing step;*

5. 2. 2. date when the *RSB compliant product* left the *internal processing step;*

5. 2. 3. reference to the site of the *participating operator* responsible for handling of the *RSB compliant product*;

5. 2. 4. if applicable, reference to external third parties responsible on behalf of the *participating operator* for handling of the *RSB compliant product*;

5. 2. 5. unique and unmistakable identification and description of the *internal processing step*;

5. 2. 6. *conversion factors*, including the methodology for establishing (calculating) them and for ensuring that they are kept updated. The *conversion factor*(s) shall be based on recognized and/or published methods;

5. 2. 7. chain of custody *tracking model* employed for tracking the *RSB compliant product* through the *internal processing step*;

5. 2. 8. unique identification code for the *RSB compliant product*. If the product characteristics of the *RSB compliant product* remain unchanged in the *internal processing step* the unique identification code may remain unchanged. A new unique identification code shall be assigned to the *RSB compliant product* if one or more *product characteristics* are changed.

5. 2. 9. name of the staff person who verified the *product characteristics* of the *RSB compliant product* and the conformity of the *RSB compliant product* with the requirements of the *RSB standards*.

5. 3. The *participating operator* shall ensure that *RSB compliant product* can be tracked continuously without interruption through all *internal processing steps* between acquisition of *RSB compliant product* and forwarding *RSB compliant product*.

5. 4. The *participating operator* shall document as a separate *internal processing step* if *RSB compliant product* is passed from one *tracking model* to another *tracking model*.

6. Forwarding RSB compliant product

6. 1. The *participating operator* shall identify and document the *RSB compliance claim* associated with each *product item* and/or group/combination of *product items* and/of the total *batch* of products, according to the requirements of the *RSB standards*. The *RSB compliance claim* shall be identified according to the *tracking model* used in the last *internal processing step* and for *forwarding RSB compliant product*.

6. 2. The *participating operator* shall identify and document for any and all *RSB compliant product* forwarded to a customer all *product characteristics* and the following information:

6. 2. 1. name and address of the *customer* of the *RSB compliant product*;

6. 2. 2. name and address of the first processing site within the *customer's* operation, to which the *RSB compliant product* is forwarded*;*

6. 2. 3. date when the *RSB compliant* product is forwarded*;*

6. 2. 4. type and quantity and other important characteristics of the *RSB compliant product* forwarded;

6. 2. 5. unique identification number of the batch of *RSB compliant product* forwarded to the *customer*;

6. 2. 6. the *participating operator*'s *RSB participant code*;

6. 2. 7. reference to the site of the *participating operator* responsible for forwarding of the *RSB compliant product*;

6. 2. 8. if applicable, reference to external third parties responsible on behalf of the *participating operator* for forwarding of the *RSB compliant product*;

6. 2. 9. chain of custody *tracking model* employed at the *supplier*'s last *internal processing step*;

6. 2. 10. the *RSB compliance claim* associated with each *product item* and/or group/combination of *product items* and/or the total *batch* of products, according to the requirements of the *RSB Standard for Communication and claims (RSB-STD-50-001)*;

6. 2. 11. all documentation associated with the *RSB compliant product* forwarded to the *customer* together with the *RSB compliant product*;

6. 2. 12. name of the staff person who verified the correctness of the documentation associated with the *RSB compliant product* and *forwarded* to the *customer.*

6. 3. The *participating operator* shall forward the information required under point 6.2.1 to 6.2.9. upon request together with the *RSB compliant product* to the *customer.*

6. 4. If information required under point 6.2.1 to 6.2.9. is requested from the *participating operator* by the *customer*, the *participating operator* shall ensure that:

6. 4. 1. the information required under point 6.2.1 to 6.2.9. is compiled in a single document;

6. 4. 2. forwarding *RSB compliant product* is indicated on the sales documentation, sales invoices and transport documentation related to the R*SB compliant product*;

6. 4. 3. the document containing the information required under point 6.2.1 to 6.2.9. is forwarded together with the *RSB compliant product.*

6. 5. The *participating operator* shall provide the information required under point 6.1. upon request to the *RSB System Operating Entity (SOE)*, the accreditation body/bodies and/or the certification body/bodies engaged in the RSB certification systems.

Guidance

Guidance to requirement 6.2.3.: The date when the *RSB compliant product* is forwarded is the time when the customer directly or indirectly takes legal **and** physical control of the *RSB compliant product).*

Guidance to requirement 6.2.4.: The type and quantity and other important characteristics shall allow the unmistakable differentiation of the RSB compliant product from any other product.

Guidance to requirement 6.2.7.: The site of the *participating operator* responsible for forwarding of the *RSB compliant product* is the last *internal processing step* where the *RSB compliant product* is handled.