

Certification body & risk assessment

| | | |
|-----------------------------|--|-----------------------------------|
| Name of Certification Body | | <i>Logo of Certification Body</i> |
| Registration number REDcert | | |
| Name of accrediting body | | |
| Accredited scope(s) | | |
| Date of accreditation | | |

Contact details of the certification body

Address: _____

Country: _____

Person responsible: _____

Phone number: _____

Email address: _____ Website: _____

Risk assessment

The audit was conducted based on the following risk assessment:

| | |
|-----------------------------------|--|
| Name of risk assessment (file) | |
| Date of the assessment | |
| Result (e.g. low, standard, high) | |
| Comment | |

Other voluntary schemes

N/A

The economic operator has or had a certificate of (an) other voluntary scheme(s) recognized under Revised Directive (EU) 2018/2001 art. 30 (4) or (6) (*expand list if necessary*)

| | |
|--|--|
| Name of the voluntary scheme | |
| ID-Number of certificate | |
| Scope of the certificate | |
| Current status of certificate (e.g. valid, suspended, withdrawn, terminated) | |

Valid until

Important: All fields are mandatory!

© REDcert

| <u>Auditee Information</u> | | | |
|--|--------------------------|--|------------------------------|
| 1. Information about the operation | | | |
| Company name (name of the operation) | 0 | | |
| 104 - Group certification of points of origin (please also fill out 3) | <input type="checkbox"/> | | |
| 2. Scope of application | | | |
| | REDcert-EU | | |
| 103 - Point of origin | <input type="checkbox"/> | | |
| 103 - Group of points of origins (central office) | <input type="checkbox"/> | | |
| 450 - Waste-to-fuel plant (RCF) | <input type="checkbox"/> | | |
| 451 - Exhaust gas-to-fuel plant (RCF) | <input type="checkbox"/> | | |
| 501 - Supplier (dealer/warehouse/logistic center - before the last interface) | <input type="checkbox"/> | | |
| 502 - Supplier (dealer/warehouse/logistic center - after the last interface) | <input type="checkbox"/> | | |
| 3. Number of point of origins supplying off gases and/or liquid or solid waste streams | | | <input type="checkbox"/> N/A |
| Inspected as part of the audit of the fuel producer | | | |
| Sites inspected (operating site and inspection date) Expand list if necessary or attach as an enclosure! | | Name, Street, Post code, City | Inspection date |
| | 1 | | |
| | 2 | | |
| | 3 | | |
| | 4 | | |
| | 5 | | |
| Note: All fields are mandatory! | | | © REDcert |

Information on fuel production

1. Information on the fuel production plant

| | | |
|--|--------|---------------|
| Start of operation | | |
| Annual production capacity [t] <i>Please specify fuel types. Expand list if necessary!</i> | Fuel 1 | Capacity in t |
| | Fuel 2 | Capacity in t |
| | Fuel 3 | Capacity in t |

2. Information on type and amount of material streams used by the fuel producer **N/A**

| | Type of material stream <i>Expand list if necessary!</i> | Estimated amount of material streams that could be used annually in [t] | Actual amount of material streams in the previous calendar year in [MJ] |
|---|--|--|--|
| 1 | e.g. plastic wastes | | |
| 2 | | | |
| 3 | | | |

3. Information on type and amount of recycled carbon fuel produced by the fuel producer **N/A**

| | Type of renewable fuel <i>Expand list if necessary!</i> | Estimated annual amount of renewable fuel that could be produced annually [t] | Actual amount of renewable fuel produced in the previous calendar year [t] |
|---|---|--|---|
| 1 | | | |
| 2 | | | |
| 3 | | | |

Note: All fields are mandatory!

[Information on fuel trade](#)

Information on type and amount of recycled fuel delivered (scopes 501 and 502)

N/A

| | Type of renewable fuel | <u>Estimated</u> amount of renewable fuel that could be delivered [t] | <u>Actual</u> amount of renewable fuel delivered in the previous calendar year in [t] |
|---|------------------------|---|---|
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |

**Additional information on the section "Information on type and amount of recycled fuel delivered"*

Please indicate the type of fuel delivered (outgoing goods) by the trader as REDcert-EU certified. For example, if a trader trades RCF-Methanol, please type Methanol.

Note: All fields are mandatory!

© REDcert

Key:

Conform = full compliance
 Minor NC = imited, isolated, temporary, not systematic
 Major NC = potentially reversible, repeated and systematic
 Critical NC / KO = intentional, irreversible, jeopardising integrity
 N/A = Scheme requirement is not applicable

= Input field
 = Input field with KO evaluation
 = Input not possible

| | | |
|----------------------|--|--------------------|
| Company name: | | Audit date: |
|----------------------|--|--------------------|

| No. | Criterion/requirement | Evaluation | | | | | Comments / description of the inspected documents / records / certificates |
|------------|---|----------------------|---|---|---|---|--|
| | | CONFORM | MINOR | MAJOR | CRITICAL / KO | NOT APPLICABLE (N/A) | |
| 1 | System principles | | | | | | |
| 1.1 | General system requirements | | | | | | |
| 1.1.1 | Is there a written commitment to comply with the scheme requirements within the scope of application? (e.g. in the form of a certificate or contract with REDcert) | <input type="text"/> | <input style="background-color: #cccccc;" type="text"/> | <input type="text"/> | <input style="background-color: red;" type="text"/> | <input type="text"/> | |
| 1.1.2 | Is the scope specified consistent with the scope entered in the REDcert database? | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input style="background-color: red;" type="text"/> | <input type="text"/> | |
| 1.1.3 | Is the information in the REDcert database up-to-date (e.g. contact persons, e-mail addresses, operating sites, etc.)? | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input style="background-color: #cccccc;" type="text"/> | |
| 1.1.4 | Are the requirements for using the Union Database (UDB) met? | <input type="text"/> | <input style="background-color: #cccccc;" type="text"/> | <input type="text"/> | <input style="background-color: red;" type="text"/> | <input type="text"/> | |
| 1.1.5 | Is the information in the Union database (UDB) correct (e.g. VAT-ID, legal form, contact details)? | <input type="text"/> | <input style="background-color: #cccccc;" type="text"/> | <input type="text"/> | <input style="background-color: red;" type="text"/> | <input type="text"/> | |
| 1.1.6 | Do the data recorded in the Union Database (UDB) match the data in the REDcert data base? | <input type="text"/> | <input style="background-color: #cccccc;" type="text"/> | <input type="text"/> | <input style="background-color: red;" type="text"/> | <input type="text"/> | |
| 1.1.7 | Are there contracts with third parties (sub-contractors, external service providers, intermediaries) that ensure that all of the information necessary to meet the requirements has been passed on? | <input type="text"/> | <input style="background-color: #cccccc;" type="text"/> | <input type="text"/> | <input style="background-color: red;" type="text"/> | <input type="text"/> | |
| 1.1.8 | If transshipment points are used, was their status as transshipment points verified on site at least once by the certification body responsible? | <input type="text"/> | <input type="text"/> | <input style="background-color: #cccccc;" type="text"/> | <input style="background-color: red;" type="text"/> | <input type="text"/> | |
| 1.2 | Organisational structure | | | | | | |
| 1.2.1 | Are the responsibilities and duties of the employees clearly stipulated and documented in writing? | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| 1.2.2 | Are the people affected aware of their duties? | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| 1.2.3 | Has the operation appointed someone responsible for implementing and maintaining the QM system according to the REDcert requirements? | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| 1.3 | Staff qualification and training | | | | | | |
| 1.3.1 | Are the employees responsible in the company aware of the requirements of Revised Directive (EU) 2018/2001 (incl. Delegated Regulation (EU) 2023/1185 and the REDcert-EU requirements) and do they have the necessary knowledge (qualification) to meet them? | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |
| 1.3.2 | Are the employees verifiably trained to fulfil their duties or can their qualifications be plausibly proven otherwise? | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | |

| | | | | | | | | |
|------------|---|--|--|--|--|--|--|--|
| 1.4 | Mass balance system | | | | | | | |
| 1.4.1 | Has the operation introduced a suitable mass balance system that guarantees that the requirements of Revised Directive (EU) 2018/2001? | | | | | | | |
| 1.4.2 | Does balancing of RCF occur at permissible intervals defined by the operation? | | | | | | | |
| 1.4.3 | Is balancing of RCF documented and does it include the necessary records of the relevant inputs received, changed in the operating process and delivered? | | | | | | | |
| 1.4.4 | Does the operation have appropriate technical equipment or procedures to carry out the mass balance accurately and properly? | | | | | | | |
| 1.4.5 | Was the accounting process complete and correct? | | | | | | | |
| 1.4.6 | Are the registered quantities, transaction and mass balance periods in the UDB correct and plausible (including all sites)? | | | | | | | |
| 1.5 | GHG calculation | | | | | | | |
| 1.5.1 | Is the methodology for reporting or calculating GHG emissions based on actual values understood and correctly applied in accordance with the Delegated Regulation (EU) 2023/1185? | | | | | | | |
| 1.5.2 | If emission savings are credited under e _{ex-USP} , can the fuel producer prove the admissibility of this credit? Is the existing use or fate indicated correctly in the self-declaration and is the avoided emission claim plausible? | | | | | | | |
| 1.5.3 | Are the required calculations carried out complete and | | | | | | | |
| 1.5.4 | Are all required information and data (incl. Standard values from Part B or Part C of Delegated Regulation (EU) 2023/1185) used documented, up-to-date and complete? | | | | | | | |
| 1.6 | Documentation | | | | | | | |
| 1.6.1 | Are the necessary documents and records checked to ensure that they are up-to-date and complete and kept in a safe place? | | | | | | | |
| 1.6.2 | Are the documents and records legible and is there a transparent link between the RCF and the records? | | | | | | | |
| 1.6.3 | Are the documents and records kept in line with the valid audit intervals and can they be provided? | | | | | | | |
| 1.6.4 | The self-declaration(s) submitted by the point of origin(s) is/are legible, complete and correct. | | | | | | | |
| 1.6.5 | Are all consignments to or services for other economic operators contractually defined and is the respective flow of goods documented? | | | | | | | |
| 1.6.6 | Are the scheme requirements satisfied when proofs of sustainability are issued? | | | | | | | |
| 1.6.7 | Are the issued proofs of sustainability complete, correct and consistent (e.g. REDcert template, national databases, Union Database (UDB))? | | | | | | | |
| 1.6.8 | Are the proofs of sustainabilities and the documents required for their issuance kept for at least 5 years? | | | | | | | |
| 1.7 | Dealing with non-conformities | | | | | | | |
| 1.7.1 | Is there a documented procedure for dealing with non-conformities and is it followed? Are corrective measures undertaken as quickly as possible? | | | | | | | |
| 1.7.2 | Are preventative measures e.g. in form of risk management scheme formulated and implemented to prevent future non-conformities from occurring? | | | | | | | |
| 1.8 | Reporting and passing on information | | | | | | | |
| 1.8.1 | Are the purchasers of RCF provided with all required data and information? | | | | | | | |
| 1.8.2 | Is it guaranteed that this data is handled confidentially when passing on sensitive company-related information to downstream operations? | | | | | | | |

| | | | | | | | | |
|-------|--|--|--|--|--|--|--|------------------------------|
| 1.9 | Group organisation and group administration (Only if the prerequisites for group certification are fulfilled!) | | | | | | | <input type="checkbox"/> N/A |
| 1.9.1 | Is there a central group administrative office responsible for the organisation and internal monitoring of the group members? | | | | | | | |
| 1.9.2 | Is there an up-to-date and complete site registry? | | | | | | | |
| 1.9.3 | Is the group homogeneous? Do the group members have -comparable production systems and products? -near adjacent areas? -similar characteristics? | | | | | | | |
| 1.9.4 | Are there valid contracts/invoices between the individual operations and the group management regulating their relationship? | | | | | | | |
| 1.9.5 | Is an internal audit carried out to determine whether new members satisfy the scheme requirements before they can join the group? | | | | | | | |
| 2 | Process step-specific requirements | | | | | | | |
| 2.1 | General requirements | | | | | | | |
| 2.1.1 | Has the operation identified / defined and documented the sequence of processes in its own scope of application? | | | | | | | |
| 2.1.2 | Is the material stream used to produce the RCF exclusively of non-renewable origin or, if the material stream consists of a mixture of renewable and non-renewable materials, are there processes in place to ensure correct determination of the amount of RCF produced in the process? | | | | | | | |
| 2.1.3 | In the case of liquid and solid waste streams of non-renewable origin used for the production of the RCF, is it proven that they can no longer be used for recycling and therefore fulfil the waste hierarchy according to Article 4 of Directive 2008/98/EC? | | | | | | | |
| 2.2 | Incoming material stream and/or RCF | | | | | | | |
| 2.2.1 | Is it clear from the records who conducted the audit and verified the data and quantities upon receipt of material streams and/or RCF in the operation? | | | | | | | |
| 2.2.2 | Do the delivery documents contain the following for every material stream and/or RCF: - the name and address of the supplier/upstream operation - the certificate number and the name of the certification scheme or, in the case of deliveries from a point of origin, the REDcert-EU self-declaration - the type of material stream and/or RCF received - the quantity of material stream and/or RCF - the date the material stream and/or RCF was received - In the case of a RCF, the GHG emissions in grams of carbon dioxide equivalents per megajoule and the country of RCF production | | | | | | | |
| 2.2.3 | Are there purchasing contracts or other industry-relevant documents or documents similar to purchasing contracts? | | | | | | | |
| 2.3 | Internal processes (processing and mixing) | | | | | | | |
| 2.3.1 | Is every newly produced quantity of RCF from internal processes recorded in a mass balance system? | | | | | | | |
| 2.3.2 | Is the following data recorded: - emissions factors and values applied (with reference sources) - GHG emissions saving credits ($e_{\text{ex-user}}$, e_{CCS}) - type of internal process (e.g. pyrolysis, refining, mixing of the RCF in tank storage, etc.) - quantity of relevant inputs that went into the process - quantity of RCF that went out of the process - process and facility-specific conversion rates/conversion factors (MJ/MJ)/ losses - upstream emissions - allocation of the GHG emissions - GHG emissions after allocation ($E_{\text{ex-EU}}$) - GHG emissions after allocation (E) including emissions from the combustion of the RCF (e_{u})? | | | | | | | |
| 2.3.3 | Are upstream emissions and resulting GHG emissions recorded in internal processes and are GHG emissions allocated? | | | | | | | |
| 2.3.4 | Do the records show who has carried out the control and verification of the information on the internal process in the establishment? | | | | | | | |

| | | | | | |
|------------|--|--|--|--|--|
| 2.4 | Outgoing RCF | | | | |
| 2.4.1 | Is the following data recorded at a minimum and passed on to the downstream operation: - the name and address of the downstream operation - the certificate number and the name of the certification scheme - the type of RCF supplied - the quantity of RCF - the date the RCF was supplied - the GHG emissions in grams of carbon dioxide equivalents per megajoule - country of RCF production | | | | |
| 2.4.2 | Do these records make it possible to establish a connection to the documented incoming RCF? | | | | |
| 2.4.3 | Are the incoming and outgoing quantities plausible? | | | | |
| 3 | Step-specific requirements | | | | |
| 3.1 | Last interface <input type="checkbox"/> N/A <i>(Final fuel producer)</i> | | | | |
| 3.1.1 | Does the operation calculate the greenhouse gas emission savings? | | | | |
| 3.1.2 | Are the calculations complete and transparent? | | | | |
| 3.1.3 | Are all required records available upon request? | | | | |
| 3.1.4 | Are the requirements for greenhouse gas emission savings met? | | | | |

| | | | | | | | |
|--|--|------------------------------|-------|-------|---------------|----------------------|---------------------|
| 3.2 | Suppliers after the last interface | <input type="checkbox"/> N/A | | | | | |
| 3.2.1 | Is a (partial) proof of sustainability issued for every delivery of RCF after the last interface? | | | | | | |
| 3.2.2 | Does the mass balance system of the supplier ensure that the information from the (partial) proof of sustainability received is correctly transferred when issuing (partial) proof of sustainability (both when RCF is divided up into smaller quantities as well as mixed)? | | | | | | |
| Evaluation of the audit results | | COMPLIANT | MINOR | MAJOR | CRITICAL / KO | NOT APPLICABLE (N/A) | KO (no certificate) |
| Number of evaluations | | 0 | 0 | 0 | 0 | 0 | #BEZUG! |
| Total of all evaluations (not including N/A evaluations) | | 0 | | | | | |
| Audit results as a % | | | | | | | |
| Number of points (COMPLIANT=20 pts, MINOR=15 pts, MAJOR=5 pts, CRITICAL / KO=0 pts, NOT APPLICABLE (N/A)=0 pts, KO = no certificate) | | 0 | 0 | 0 | 0 | 0 | |
| Total of all points | | 0 | | | | | |
| Max. number of points | | 0 | | | | | |
| Audit result as a % (total of all points divided by the max. number of points * 100) | | #BEZUG! | | | | | |

