



Scheme principles for neutral inspections

Version EU 06

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1 Introduction

Economic operators who want to provide proof of the sustainability of the **production of biofuels, bioliquids and biomass fuels** in accordance with the requirements of Article 29(2) to (7) and (10) of Directive (EU) 2018/2001 must supply reliable information demonstrating compliance with these sustainability criteria. The information provided must be confirmed by an appropriate and independent (neutral) inspection.

This inspection covers not only the question of whether the **sustainability criteria** have been complied with and adhered to, but also whether the documents used by the economic operators are accurate, reliable and fraud-proof. The frequency and method of documentation and the reliability of the data must also be assessed.

The **REDcert scheme** is a certification scheme that provides proof of compliance with the sustainability criteria in accordance with the requirements of Directive (EU) 2018/2001 through independent audits. These scheme principles explain the prerequisites for and requirements of neutral inspections and describe how they are conducted in detail.

2 Inspection system

To ensure the sustainable production of biofuels, bioliquids and biomass fuels, the participants involved in the chain of custody are subject to **neutral inspections**. Certification bodies approved by and registered with REDcert, and accredited by national authorities (see section 5.1.1) check compliance with the scheme requirements along the entire production, processing and supply chain by conducting what are known as scheme audits of the respective economic operators. The audit result is documented in the scope-specific checklist (**audit report**). The audit report is approved by the certification body and entered in the REDcert database.

Economic operators along the entire supply chain who want to be certified under the REDcert certification scheme must register with REDcert. This can be done online at <https://www.redcert.eu>. The individual steps for joining the scheme are described in detail in the REDcert principles "Scope and basic scheme requirements".

Economic operators choose one of the certification bodies approved by REDcert to conduct neutral inspections. You can find a **list of the approved certification bodies** and their contact information on REDcert's website (www.redcert.org). After a contract is signed between the economic operator and the certification body (commissioning the certification), the certification body selected sends REDcert the **legally binding declaration** about performing audits and carries out these audits.

The economic operator to be certified must become thoroughly familiar with the REDcert-EU requirements prior to the audit. The **scheme principles** are available for downloading from REDcert's website at www.redcert.org.

The **audit and certification process** comprises the following steps:

1. The commissioned certification body conducts the **initial audit** of the operation (on-site audit and evaluation of the scheme requirements).
2. The certification body writes the **audit report**, submits it to peer review for approval and saves it in the REDcert database.
3. REDcert registers the audit report.
4. The certification body issues a **certificate** (certificate and/or inspection certificate) and enters the certificate data in the **REDcert database** (<https://redcert.eu>). All valid certificates and inspection certificates are published at www.redcert.org.

The economic operator may only start supplying sustainable biomass and/or bio-fuels/bioliquids/biomass fuels once these steps have been completed.

5. **Re-certification audit** within 12 months, etc.

2.1 Types of audits

There are two kinds of neutral inspections: **scheme audits** and **special audits**.

2.1.1 Scheme audits

During a scheme audit, compliance with scheme requirements is checked using the REDcert scope-specific checklists. A scheme audit consists of the initial audit, the re-certification audit, the surveillance audit and the follow-up audit.

Initial audit:

An initial audit (**prior to approval for participation in the REDcert-EU scheme**) is a fixed component of the scheme and is mandatory.

The initial audit is the first check and assessment of compliance with the REDcert-EU requirements prior to certification of an economic operator. During this audit, the processes are checked for coherence, and the documentation checked for accuracy, completeness, thoroughness and plausibility. The initial audit always takes place on site.

Re-certification audit:

The re-certification audit is a complete scheme audit to check whether the operation still satisfies the scheme requirements and that agreed corrective measures have been implemented. Processes and documents are audited retroactively and randomly inspected. The re-certification audit and the subsequent certification decision is carried out before the existing certificate or inspection certificate expires to ensure that certification is continuous. Every operation bears sole responsibility for ensuring that the relevant deadlines are met.

Prior to re-certification, the certification body must inform REDcert if an economic operator that was previously found to be in violation (major non-conformity) of the requirement to:

- declare the names of all schemes they participate in and
- make all relevant information, including the mass balance data and the auditing reports, available to the auditor, or

- was found to be in violation with any other aspect of the mandatory sustainability criteria,

Surveillance audit: A scheme audit conducted during the period of validity of the REDcert certificate to assess whether the participant continuously meets the requirements for certification. In the REDcert-EU scheme, surveillance audits are conducted during the year **in the area of waste and residues after initial certification.**

Follow-up audit: A follow-up audit is required if major non-conformities related to the fulfilment of the REDcert requirements are found during the initial/recertification audit that would prevent participation in the scheme or would result in the loss of the existing certification. The main priority of a follow-up audit which must take place within 3 months after the previous audit is to ensure that the agreed corrective measures have been implemented. **The operation may not supply products certified as sustainable in the period between the failed audit and the follow-up audit including a positive certification decision.**

If a follow-up audit has not been performed after three months, a complete initial audit is required.

2.1.2 Special audit

Special audits may be mandated by REDcert in cases where a violation is suspected or in the event of crises, incidents or for other reasons and/or also be carried out by REDcert.

The **content of the special audits** either corresponds to the content of scheme audits (in the sense of spot or shadow audits) or are carried out as a witness or office audit.

Spot audit:

A spot audit is an audit **announced at short notice**. Spot audits usually focus on checking reports of non-scheme-compliant activities/conduct or selected sustainability criteria. This type of audit can be carried out both at a scheme participant and at a certification body.

In addition, special audits are also a quality assurance measure of the scheme operator. The objective facts are determined on-site in these audits. And the certification bodies and scheme partners to be inspected are also selected using objective criteria.

Quality criteria (e.g. review of the audits reports and analysis of the certification process as part of REDcert monitoring or on the basis of complaints or if external third parties have submitted complaints of possible non-conformities) as well as financial figures (e.g. number of certificates issued) are both included. In addition, special audits can also be initiated based on random selection, primarily by auditors and certification bodies. The special audits of scheme participants, auditors or certification bodies can be accompanied by REDcert auditors or conducted independently by individuals appointed by REDcert.

Shadow audit:

A shadow audit is an **unannounced inspection** of a scheme participant. This audit can either be targeted like a spot audit or it can be a comprehensive document review like a scheme audit.

Office audit:

As part of an **on-site** "office audit", the quality of selected certification processes as well as the certification processes in the certification body are reviewed, among other things, in a **document check**.

Witness audit:

A witness audit is when an auditor approved in the REDcert scheme is **accompanied**. This includes observing the audit, which is carried out by one or more auditors from a REDcert certification body without interference or influence. Depending on what the objectives of the witness audit are, an entire scheme audit can be observed or only relevant parts thereof. The witness audit takes place **on site** at the premises of the certification body's customer (economic operator/scheme operator) to be certified.

2.2 Audit methods

To conduct the audit effectively and efficiently, the individual(s) managing the audit programme should select and determine the methods for the audit depending on the defined **audit objectives**, the defined **audit scope** and the defined **audit criteria**.

Audits can generally be carried out **on site, remotely or through a combination of both**. In the REDcert-EU scheme, verification of compliance with the requirements of Directive (EU) 2018/2001 is usually carried out on site.

The use of audit methods should be appropriate and balanced, taking into account the possibilities and limitations involved (**in accordance with ISO 19011**: Guide for auditing management systems).

On-site audit:

An on-site audit is carried out at the premises of an economic operator to be audited by a REDcert approved and registered auditor. Compliance with the requirements of the REDcert EU scheme of these economic operators is verified, assessed and documented by the auditor not only by **checking the documentation**, but also by **personally inspecting the site** where activities relevant to the audit (scope) take place, as well as by **interviews with the individuals involved** or by other plausibility checks.

Desk audit:

A desk audit is an audit that does not take place on the premises of the economic operator to be audited.

In the case of a desk audit, **documents** within the scope of an audit are checked to ensure that they are complete, correct, consistent and up-to-date outside the location of the audited party. The audited party's compliance with the requirements of the REDcert-EU scheme is verified on the basis of the **documentation**. This audit method is **possible** as long as

- the same depth of inspection can be guaranteed
- the security and confidentiality of electronic and electronically submitted information is guaranteed
- it is carried out by mutual consent between the auditor and the audited party

The information obtained is usually used to plan the on-site audit. The desk audit also gives an indication of the effectiveness of the audited site's document management system.

Remote audit ¹:

A remote audit is a method, subject to certain conditions, of carrying out an audit no longer exclusively, with the physical presence of the individuals involved, but virtually, using appropriate **information and communication technologies (ICT)**. Remote audits are **not permitted** if

- the scheme participant is being audited to verify conformity with the requirements of the REDcert EU scheme first time
- major non-conformities were found during the last audit
- significant changes have occurred, e.g. in site management, processes, activities or responsibilities for relevant processes (subject of the audit);
- there are risks that jeopardise the effectiveness of the audit (e.g. classified information)

REDcert assumes that remote audits are not the norm, as they cannot replace face-to-face contact and on-site assessment.

At the same time, the audit methods described here can be applied when conducting **scheme audits, special audits and sample inspection**.

2.3 Process and duration of audits

Audits must be carried out in accordance with the requirements of ISO 19011.

The **duration of the audit** is determined by the respective certification body and contractually agreed with the respective scheme participant prior to beginning the audit.

REDcert, however, has the right to define a minimum duration for the respective scopes in the future, particularly based on the audit results, in the interest of quality assurance.

¹ International Accreditation Forum (2018): Mandatory document on the use of information and communication technologies (ICT) for audit/review purposes. IAF MD 4:2018.

2.4 Audit intervals

The certification body must conduct a complete audit **once a year** to determine whether the operation still satisfies the requirements for certification.

The re-certification audit and the subsequent decision about certification are carried out before the existing certificate or inspection expires to ensure that certification is continuous.

For **collectors and suppliers of waste and residues** the following also applies:

A mandatory **surveillance audit** must be carried out of the collector and supplier within a **six-week period** before the expiry of 6 months from the initial certification. For collection points and suppliers who handle both waste and residues (e.g. used cooking oil/fat) and raw materials (e.g. virgin vegetable oil), an additional monitoring audit is carried out **three months** after the initial certification (for the first mass balance period).

2.5 Evaluation of the audit results

The evaluation of the REDcert requirements and the respective number of points are shown in the table below.

Table 1: Evaluation options in the REDcert scheme

Evaluation	Explanation	Number of points
Compliant	Complete compliance	20 points
Minor	Minor non-conformity	15 points
Major	Major non-conformity	5 points
Critical (KO)	Scheme requirements are not fulfilled	0 points
N/A	Scheme requirements are not applicable (when N/A is entered for a requirement, this must be explained in the audit report; not all criteria can be evaluated with N/A)	0 points

In addition, several criteria are defined as "KO" (see the respective checklist). Because not satisfying a defined **KO criterion** puts the integrity of the scheme at risk, a certificate cannot be issued following a KO evaluation. In this case, a new audit must be performed. The new date is to be agreed with the respective certification body depending on the type and severity of the violation.

A **critical evaluation** which recurs in the subsequent audit and which was not previously defined as a KO criterion can be evaluated as KO in this audit.

The **preliminary results of the audit** are determined by the auditor at the end of the audit and explained to the operation being audited. Points are used to weight the results. Depending on the number of points achieved or whether a criterion is evaluated as 'Critical', the audits are categorised in the following groups:

Compliant (100%)

No problems were found, the REDcert requirements are fully satisfied. The total number of possible points is achieved.

- Certificate/inspection certificate can be issued

Partially compliant (75–99%)

The scheme requirements are not fully satisfied but the non-conformities found do not put the scheme integrity at risk. A minimum of 75% of the total number of possible points is achieved.

The corrective measures agreed with the auditor/certification body must be implemented by the dates specified.

Certificate/inspection certificate can be issued once the auditor responsible has accepted the corrective measures proposed by the operation and the deadlines for their implementation.

Non-compliant (< 75% and/or KO evaluation/s)

Significant problems were found in the fulfilment of the REDcert-EU scheme requirements. Scheme integrity is not assured.

- No certificate/inspection certificate.

The problems found are tracked and sanctions introduced (not in the case of initial certifications) in accordance with the REDcert **sanction management system** (see REDcert scheme principles for integrity management).

If the audit result is "non-compliant" (< 75% and/or KO evaluation), the neutral **certification body is required:**

- to **inform REDcert within 24 hours** (i.e. send the audit report to REDcert in electronic form),
- to **agree to corrective measures** with the scheme participant and
- to **define an appropriate time period or deadline** by which the operation has to verify implementation of the corrective measures – usually through another on-site audit. This **follow-up audit** must have been conducted at the latest three months after the previous audit. If after three months no follow-up audit has been carried out, a **full scheme audit** is required to obtain a new REDcert confirmation of conformity.

Prior to re-certification, the certification body must inform REDcert if an economic operator that was previously found to be in violation (major non-conformity) of the requirement:

- to declare the names of all schemes they participate in and
- to make all relevant information, including the mass balance data and the auditing reports, available to the auditor, or
- was found to be in violation with any other aspect of the mandatory sustainability criteria

2.5.1 Definitions of non-conformities

Minor evaluations of REDcert criteria are:

- minor non-conformities
- isolated or temporary non-conformities
- non-systematic non-conformities

Example: Omission of a parameter in the GHG calculation that does not have a significant impact on the GHG intensity report.

Major evaluations of REDcert criteria are:

- major non-conformities
- recurring and systematic problems or aspects which, either alone or in combination with other non-conformities, may lead to a fundamental scheme failure

Example: Systematic problems with the reported mass balance or GHG data report

Critical evaluations of REDcert criteria:

- endanger the integrity of the REDcert EU scheme

Example: *Land conversion that contravenes RED Article 29 (3-7); intentional production of waste and residues (e.g. mixing vegetable oil with used cooking oil (UCO = Used Cooking Oil))*

KO definition of REDcert criteria are:

- requirements which, if not complied with, have a particularly critical effect on scheme integrity or which are extremely important for the scheme for other reasons

2.5.2 Corrective measures, time periods and impacts

All evaluations, except where there is 100% compliance, must be transparently explained in the audit report. For all identified minor, major and critical/KO evaluations, corrective measures are also defined, including appropriate time periods and responsibilities.

For minor, major and critical/KO non-conformities, the audited scheme participant proposes corrective measures to the auditor.

The **action plan** documents the evaluations with the respective comments and corrective measures, including appropriate time periods and responsibilities. If it was not possible to completely define the action plan during the audit, it must be finalised with the responsible auditor at the latest 7 days after the audit by the audited scheme participant and submitted to the certification body. **In the case of criteria evaluated as major, critical and KO, measures must be defined immediately.**

The scheme participant is responsible for **implementing the corrective measures** within the time period agreed with the certification body.

Criteria evaluated as minor

- corrective measures must be verifiably implemented no later than by the next regular audit
- issue of certificate

Criteria evaluated as major

- corrective measures must be verifiably implemented no later than **40 days** after the audit. Extraordinary circumstances may justify an extension of the time limit by another 30 days. Any such extension is subject to the PRIOR consent of REDcert.
- no certificate is issued (initial audit) until the agreed corrective measure(s) has (have) been implemented in a verifiable, appropriate and timely manner
- existing certificate suspended for a maximum period of 40 days if the deadline for implementing measures is not met
- existing certificate withdrawn if, during the period of suspension, the agreed corrective measure has not been implemented in a verifiable, appropriate and timely manner

Criteria evaluated as critical

- immediate suspension of an existing certificate (for surveillance or re-certification audits)
- corrective measures must be verifiably implemented within **30 days** of the audit
- no certificate is issued (initial audit) until the agreed corrective measure has been implemented in a verifiable, appropriate and timely manner

- the certificate is withdrawn if the 30-day time period for implementing measures is exceeded

Criterion defined as KO

- failure to comply with any of these criteria results in suspension or withdrawal of the certificate and triggers sanction proceedings (except for an initial audit)

When a certificate is suspended, scheme participants may NOT identify biomass as sustainable.

Scheme participants with a suspended certificate may not join another scheme with the same scope. Every potential REDcert scheme participant must disclose upon registration whether and to what extent he has already been or is a participant in another certification scheme (see REDcert Scope and basic scheme requirements).

The certification bodies are required to immediately update the status of a certificate in the database. **The implementation of the corrective measures is verified by the certification body.** If agreed corrective measures have not been effectively implemented resulting in a new non-conformity with the corresponding requirement in a subsequent audit, this requirement may be given a lower evaluation.

REDcert reserves the right to set other time periods for the corrective measures based on the respective degree of fulfilment.

2.6 Reporting

After the audit, the auditor creates an **audit report** using the report forms provided by REDcert that are part of the scope-specific checklists. This report must be countersigned by the person responsible in the operations undergoing the audit.

The audit report/checklist contains information about e.g.

- the start and end of the audit (duration of the audit),
- the address where the audit was conducted,
- the audit participants,

- the audit result,
- the evaluation of each individual requirement and
- a list of the documents checked.

The audit report also includes information on how the operations are classified to determine the scope of the audit, the type of biomass and any agreed corrective measures including their implementation. The former is also noted on the certificate/inspection certificate. By collecting this information, the audit report also gives a comprehensive overview of the audit and certification process.

Copies of the audit report are provided to REDcert in the REDcert database no later than 6 weeks (or 42 calendar days) after the on-site audit. As part of internal monitoring, REDcert requires certification bodies to provide all audit reports and actual GHG value calculations (including relevant background information where appropriate) on the use of GHG emission saving credits (e_{ccr} , e_{ccs} , e_{sca}) to REDcert. If there are questions about the results, REDcert contacts the respective certification body.

If the audit shows that the operation has not satisfied the requirements of the REDcert-EU certification scheme, the report must be electronically submitted to REDcert within 24 hours after the audit has been completed.

2.7 Document check

When checking documents, there are a number of ways to lower the risks borne by the downstream economic operators in the supply chain. For example: **economic operators occasionally participate in several voluntary certification schemes** to meet customer requirements for certifications from specific certification schemes. This makes it particularly challenging for auditors who verify the **mass balance** of these kinds of economic operators because they need to have a complete overview of all transactions. The economic operators therefore have to ensure that the auditor knows which schemes they participate in and that all relevant information is made available to the auditor. This also includes the complete mass balancing documents for a site and access to reports from previous audits².

For annual audits the auditor shall check at least the following:

- list of all operating sites to be subject to certification (each operating site should have its own mass balance system)
- proof of all incoming consignments of sustainable biomass or biomass fuels in the mass balance system (input) per site, including a description of the material and the suppliers or customers
- proof of all outgoing consignments of sustainable biomass or biomass fuels in the mass balance system (output) per site, including a description of the material and the suppliers or customers

Note: the mass balance records must contain information on both the inputs and the outputs of sustainable and unsustainable material (including where relevant fossil fuels) handled by the sites.

- proof of every conversion step (conversion factor applied) that takes place when processing biomass raw materials to allow this result to be incorporated into the calculation (especially in the case of processing residues to ensure that the process is not being modified to produce more waste or residue material)
- a sample of the calculations (inputs, outputs, conversion factors, and any balances carried forward). All data should be checked against the book keeping system.

² European Commission DG ENER: Letter on tracing the origin of waste and residues used for biofuels to prevent fraud (10.10.2014) at: http://ec.europa.eu/energy/sites/ener/files/documents/2014_letter_wastes_residues.pdf (accessed on 10.10.2016).

Information about calculation of mass balancing can be provided through e. g. contracts, commercial documents, etc. and should be traceable in accounting.

- the mass balance timeframe (basically no longer than 3 months and for producers of agricultural and forest biomass and first gathering points that only source agricultural or forest biomass no longer than 12 months respectively) which should be transparent, documented and consistent
- the results of each sustainable biomass balance (positive/balanced/negative balance)

Inputs and outputs should be accompanied, where relevant, by a set of sustainability characteristics. Auditors should check that sustainability characteristics have been allocated appropriately. At the end of the mass balance period, the sustainability data carried forward should be equivalent to the physical stock.

The auditor also receives all information on the mass balance prior to a planned audit. The last mass balances completed during the period under review must be inspected. During initial audits, the auditor should check whether appropriate precautions and preparations have been made to set up a mass balance system (see REDcert Scheme principles for mass balancing).

The on-site audits carried out in the REDcert scheme by recognised certification bodies ensure that the economic operator meets the mass balancing requirements, including proper allocation of sustainability characteristics, where relevant.

To further improve the robustness of the verification procedure (audits), economic operators are only allowed to use actual values after the capability to conduct such a calculation according to the **GHG emission calculation** methodology has been verified by an auditor. Such verification can be performed during the audit of the economic operator before participation in the voluntary scheme. REDcert also requires economic operators to make all relevant information about the calculation of actual GHG emissions available to the auditors in advance of the planned audit. The auditor should in turn record the emissions incurred from processing at the audited operating site (emissions after allocation) and, if relevant, the actual savings in the audit report in order to document that the calculation was thoroughly verified and understood. If these emissions deviate significantly from the typical values, the report should also include reasons explaining the deviation³. For more information, see the REDcert scheme principles for GHG calculation.

³ European Commission DG ENER: Note on conducting and verifying actual calculations of GHG emission savings version 2.0 (2017) at: https://ec.europa.eu/energy/sites/default/files/documents/note_on_ghg_final_update_v2_0.pdf

Collection points shall be required to submit a list of all points of origin that have signed a self-declaration to the auditor prior to the audit of the collection point. The amount of waste generated per month (or year) shall be explicitly stated on the self-declaration. Evidence or documents for all individual deliveries shall be available at the collection point and verified by the auditor (e.g. waste disposal agreement, delivery slips, self-declarations, etc.).

The auditor shall also verify the existence of and volume supplied from at least the square root of the points of origin on the list supplied by the collection point in all cases (see also section 4.4.1 **Scope of sample**). The verification may be undertaken remotely, unless there is doubt concerning the existence of the point of origin or if the collecting point meets the criteria for on-side audit as set out above (see also section 2.2 **Audit methods**).

2.8 Risk management

Risk management, which is an important component of the internal quality management system, is designed to ensure that the participants along the value chain are subject to in-depth audits and at sufficient intervals so that the legal requirements set forth in Directive (EU) 2018/2001 and scheme-specific requirements for biomass production, conversion and supply can be guaranteed with the highest level of reliability.

REDcert accounts for particularly **critical risk criteria** that endanger the integrity of the scheme for all steps along the supply chain by defining them as KO criteria. This means that non-compliance with one of these criteria results in non-certification (under the scope of the initial/recertification audit) or in the immediate loss of the certificate (under the scope of follow-up/surveillance audits). In the event of non-compliance with criteria that represent a **low or medium risk**, certification or continuation of certification is only possible if the respective corrective measures are implemented that guarantee fulfilment of the scheme requirements.

Deadlines are agreed and compliance monitored depending on the severity of the violation. This is the responsibility of the certification bodies and is checked regularly by REDcert.

Further information on maintaining scheme integrity is included in the REDcert scheme principles of integrity management.

2.9 Issuing and withdrawing certificates

It is up to the discretion of the respective certification body to decide whether to issue or

withdraw a certificate.

A maximum of **6 weeks (42 calendar days)** may lie between the day of audit and the issuance of the certificate. If this is the **initial certification**, the certificate may only be issued after a scheme contract has been signed between REDcert and the economic operator. The templates and forms provided by REDcert must be used.

The certification bodies are required to IMMEDIATELY update the **status of a certificate** in the database.

If the **REDcert scheme contract** is terminated, any valid certificates are automatically withdrawn.

Certificate status

- **valid:** an active certificate following the successful completion of an audit.
- **suspended:** temporary invalidation of a certificate due to one or more measures not (yet) implemented for criteria evaluated as major, critical or KO
- **withdrawn:** permanently invalid certificate. Possible reasons for a certification body to withdraw a certificate include early re-certification, serious scheme violations of the certification scheme, change of certification body.
- **expired/terminated:** certificate that is no longer active. The scheme participant may reapply for certification.

3 Scope of audit/certification

Individual audit and certification of a single operating site:

Audits/certifications only apply for the operating site in which they were performed (**site-specific**). The operating site (interface or dependent/non-autonomous site) audited is issued a **certificate or an inspection certificate** when it passes the audit (see section 2.5). All economic operators along the supply chain can be individually certified as well. Customers can check at any time in the **REDcert certificate database** whether a certificate is valid and, if so, for how long (www.redcert.org).

In the case of a **first gathering point**, all operating sites (affiliated dependent/non-autonomous sites) must be included in the audit.

Affiliated dependent/non-autonomous storage facilities or operating sites are storage facilities or operating sites (e.g. concrete slabs, silos, tanks, etc.) which are part

of an interface and receive biomass, weigh it if necessary and keep records of all incoming and outgoing biomass, but do not perform invoicing.

All storage facilities that accept and store sustainable biomass on behalf of the first gathering point must be certified. Warehouses and silos that belong to the first gathering point and accept and weigh biomass and keep records of all incoming and outgoing biomass, but do not perform invoicing, also have to be inspected. The storage facilities are inspected as part of the audit of the first gathering point. The first gathering point is audited once a year. After a successful audit, the first gathering point is issued a certificate that includes an annex containing a list of all storage facilities.

A **farm** can belong to a group which is described below (see section 4.). If not, every operation must be audited and certified separately.

Non-autonomous sites (storage facilities) of a **collection point** must be randomly inspected as part of the certification of the collection point. The collection point is audited once a year.

3.1 Inspections and certification of dependent/non-autonomous storage facilities (upstream operations)

The following applies for first gathering points/collectors (first interface):

Dependent/non-autonomous storage facilities and operating sites are subject to **sample inspections** as part of the audit of the first gathering point/collector.

The first gathering point and collector are audited/certified once a year (every 12 months).

A **certificate** for the first gathering point can only be issued if the inspections of the farms and the upstream storage facilities/transshipment points were conducted ahead of time. The same applies to the collection points for waste and residues and their waste producers and upstream storage facilities/transshipment points. The certificate is accompanied by a list of dependent/non-autonomous storage facilities or agricultural biomass producers.

The following applies for all other downstream interfaces:

Group certification is not possible for economic operators downstream in the supply chain. These economic operators need individual certification – sample inspections and group certification is not possible for these economic operators.

3.1.1 Scope and process of sample inspections for storage facilities

The **minimum number of operations** to be inspected is the square root of the total number of sites (\sqrt{y} where y is the number of operations) rounded up to the next whole number. The risk factors listed below form the **basis for the sample inspections**. A representative selection of the various operations should be inspected. The following **selection criteria** must be taken into account:

- results of the internal inspections of the operations and assessments of the management and/or previous certification

- documents with complaints and other relevant aspects for corrective and preventative measures
 - significant differences in the size of the operations
 - deviations in shift models and work procedures
 - complexity of the processes in the individual
 - changes since the last certification
 - geographic distribution of the operations
 - additional risk criteria at the discretion of the respective certification body
- ➔ 25% of the samples are to be selected randomly

This selection does not have to be made at the beginning of the inspections. It can also take place when the first gathering point/collector is audited. In every case, **the inspection of the individual operations must be carried out and completed before a certificate can be issued for the first gathering point/collector** including the individual storage facilities.

3.1.2 Threshold for a failed inspection of storage facilities or operating sites

If the audit result of one of the operations is “non-compliant”, a certificate is be issued or the certificate is withdrawn for the first gathering point/collector (for the entire group). In addition the certificate is also flagged as “withdrawn” in the REDcert database. Because only sites with valid certificates may supply sustainable biomass, **neither the first gathering point nor the individual storage facilities/operating sites may continue to sell sustainable biomass** if this kind of serious violation is found. A current list with valid certificates can always be accessed on REDcert's website (www.redcert.org; public REDcert certificate database).

3.1.3 Exemption for transshipment points

Transshipment points (and the use of them) are defined as locations where:

- incoming and outgoing goods are not documented
- incoming biomass is not weighed
- short-term storage for the purpose of transshipment does not generally exceed 24 hours
- the containers are not changed/mixed (e.g. transferred to new containers)
- delivered biomass is not processed/treated

Transshipment points are defined accordingly as sites where goods (biomass or waste and residues) are only provided for transport. The waste regulations relevant for the use of transshipment points must be complied with. **If transshipment points are used as described above, the following requirements do not apply:**

1. registration as an operating site in the REDcert database and, as a result,
2. sample inspections of the transshipment points

In connection with the relevant waste regulations, **the following requirements/conditions must be satisfied by the respective scheme participants to claim the exemption.**

1. Short-term storage for transshipment purposes may not generally exceed 24 hours.
2. No mixtures or changes of any kind are made to the container or the product itself at the transshipment site.

If the site does not meet the criteria for transshipment points, it is considered a site subject to inspection (storage facility).

The certification body must be notified of the use of transshipment points for the transshipment of sustainable biomass in accordance with the Directive (EU) 2018/2001.

The certification body must **verify compliance** with the requirements above once on site at the next opportunity and confirm this in written form to REDcert and the scheme participant.

The continued use of the transshipment point is to be verified by the certification body in every subsequent audit (e.g. by providing the confirmation of the on-site inspection). In case of doubt, the certification body is authorised to inspect transshipment points at any time.

4 Group certification

Group certification is the certification of a group of operations where the certification applies to the group as a whole. In these cases, **a selection of various operations in the group can be subject to a sample inspection as proof that all group members comply.** The requirements of the valid standards created for this purpose, e. g. the P035 standard of the “International Social and Environmental Accreditation and Labelling Alliance” (ISEAL), are included here to define common requirements for the certification of producer groups. The audit is conducted **once a year**. The sample inspections are defined by the certification body. The **inspection certificate** is valid for all group members.

REDcert uses the term **“sample inspection”** to mean an external review by the neutral certification body at the level of the biomass producer/waste producer for group certification or the inspection of dependent operating sites. In contrast, REDcert uses the term “scheme audit” to mean an external review of the REDcert requirements of interfaces or scheme participants by the neutral certification body.

4.1 General requirements

Group certification is only possible for

- farms,
- producers of waste and residues from biomass and for
- producer organisations and cooperatives that supply input materials directly to the first gathering point or storage facilities/collection points that belong to them.

This option may not be used by downstream economic operators in the supply chain (see also section 3.1).

Group certification can only be used by largely **homogeneous groups** with an identical scope.

Group inspections to prove compliance with the **land-related scheme criteria** are only acceptable

- if the pieces of land are close together and
- have similar characteristics.
- the group members should have
- similar production systems and
- products (this is a prerequisite for a group certification).

Group inspections for the **purpose of calculating GHG savings** are only acceptable if the operating sites have similar production systems and products.

4.2 Requirements of group management

4.2.1 Central office/group manager

Individual economic operators who have come together to form structured groups may be certified as a group in accordance with the ISEAL standard P035. These groups are partially responsible for carrying out this inspection. To this end, the group needs an **internal management system** to create confidence that the individual group members meet the scheme requirements. The group does not have to be an independent legal entity. However, all of the operations in the group must be **legally or contractually affiliated** with the central office of the group and be integrated into a management system that is defined and set up as well as monitored and internally inspected by the central office. This means that the central office has the right to mandate that the operations introduce necessary corrective measures. This must be documented if applicable in the official contract between the central office and the operations.

Requirements of the group manager:

- administration of an internal management system to create confidence that the individual group members meet the scheme requirements.
- maintenance of an updated list of group members
- transparent representation of the delivery relationship with the operations by means of contracts or invoices
- authority to decide whether group members may join the group or be excluded

- responsible management of the certification process
- communication between the neutral certification body and the group members
- annual on-site audit and certification as group manager by the neutral certification body

Group inspections are possible for farms/waste and residue producers that supply input material directly to the **first gathering points/collectors**.

Groups can be formed by farms that are members of **producer organisations and co-operatives** or by first gathering points that directly supply these operations. This is done by means of a **self-declaration**.

The following requirements apply to producer organisations and cooperatives:

- The central office of the cooperative must keep a list of members and can decide which operations may join the group.
- There must be valid contracts between the individual operations and the group.
- The group must have or set up a shared central office and appoint a representative of the group management who is responsible for managing the group and implementing the scheme requirements.
- The central office is responsible for the management of the certification process and the communication between the certification body and the group members.

The following requirements apply to the groups of farms that are organised by the respective first gathering point:

- The first gathering point must keep a list of the operations in the group and can decide which operations may join the group.
- The supply relationship must be transparent through contracts with the operations and invoices.
- The first gathering point is responsible for the management of the certification process and the communication between the certification body and the operations.

Prior to the audit, the group manager must provide the certification body with an appropriate and practical **overview of the self-declarations submitted** to select the scope of the sample and the production units to be inspected with adequate lead time.

4.2.2 Group members

Requirements of the group members:

- obligation to the group manager to comply with the requirements of the REDcert EU scheme
- submission of a valid, signed and non-contradictory self-declaration to the group manager (to be updated annually)
- participation in the sample inspections to be carried out externally by the neutral certification body
- obligation to remedy any problems identified within the agreed time periods

4.3 Self-declaration

All group members without exception must submit a valid, signed and non-contradictory self-declaration.

4.3.1 Agricultural biomass producers

The REDcert-EU scheme distinguishes between **cross-compliance (CC) and non-cross-compliance farms**. Accordingly, the following self-declarations are available for submission:

➤ Self-declaration for cross-compliance farms

With his signature, the **"CC farmer"** confirms, among other things, that he is a recipient of direct payments and therefore subject to cross compliance and that the biomass meets requirements for the production of agricultural biomass (Art. 29 of Directive (EU) 2018/2001).

➤ Self-declaration for NON-cross-compliance farms

With his signature, the **"non-CC-farmer"** confirms, among other things, that he meets the requirements of the REDcert-EU scheme for the production of sustainable

agricultural biomass (Scheme principles for the production of biomass, biofuels, bi-liquids and biomass fuels).

4.3.2 Self-declaration for producers of waste and residues

The following self-declarations are available for submission in the REDcert-EU scheme for waste and residue producers:

➤ **Self-declaration for the supply of waste and residual materials for biofuel production**

The waste and residue producer confirms with his signature that the delivered material is exclusively waste or residue as defined by Directive (EU) 2018/2001.

4.4 Scope and process of sample inspections

The **group** is inspected at least **once a year** (every 12 months) by a neutral certification body for compliance with the REDcert EU scheme requirements using the scope-specific checklists provided by REDcert. These regular neutral inspections always consist of:

- the scheme audit and certification of the group manager (**central office**) and
- the sample inspections of **group members**.

4.4.1 Scope of the samples

The scope of the sample inspections is determined by the certification body **based on risk**. The **overall group** is formed by the number of valid self-declarations submitted to the group manager and is the basis for determining the sample scope.

The **scope of the group members subject to sample inspections** is determined by the certification body based on risk, taking into account the following basic rules:

The minimum number of operations for sample inspections is the square root of the total number of sites (\sqrt{x} where x is the number of operations) rounded up to the next whole number. The number of signed self-declarations before the initial inspection is used to define the scope of the samples.

The sample scope increases if a threshold of unsuccessful inspections is exceeded (see section 5.3.1)

If a valid certification for the REDcert scheme exists, the list of suppliers for the last REDcert audit is the basis for the sample

- when switching to another REDcert scheme (e.g. from DE to EU) as long as these schemes build on one another.
- For a re-certification audit, the two points above – the list of suppliers for the previous audit along with the currently signed self-declarations – determine the scope.

If the number of signed self-declarations is different from the number of suppliers in the list for the previous audit, the larger number must be used.

Agriculture

Agricultural biomass producers must be inspected as follows within the scope of group certification:

- **Cross-compliance farms** are subject to sample inspections (see section 4.4.1).
- **Non-cross compliance farms** must be fully inspected.

Waste and residues

As part of every on-site audit of collection points, operations that supply waste and residues (known as **waste producers** or so called **points of origin**) are subject to sample inspections.

Waste producers that supply

- **more than 10 tonnes** of waste or residues a month (annual average) must be inspected on site by way of random sampling (\sqrt{x} where x is the number of operations),
- **less than 10 tonnes** of waste or residues do not generally need to be inspected on site. However, risk-based inspection of these waste producers is still possible,
- Alternatively, smaller quantities, which can be linked, for example, to an appropriate industry standard (e.g. EWABA - European Waste-to-Advanced Biofuels Association)

or to a voluntary commitment, can be used to determine the sample size, as long as the European Commission, does not prescribe any quantities⁴.

In addition, **sampling can only be applied** if the contractual basis on which the point of origin operates prevents incentives to make false claims about the nature of the raw material, and if the risk of fraudulent behaviour is low.

Waste producers for which sampling cannot be applied must be inspected individually.

All waste and residue producers of downstream interfaces are always subject to certification.

4.4.2 Selection of the samples

The selection of sample inspections is determined and documented by the certification body.

When selecting **agricultural biomass producers** for the sample inspection, special priority must be given to the following **risk criteria** (risk assessment):

- The self-declaration does not apply for the entire quantity of biomass produced by the operation.
- Sustainable and non-sustainable biomass is produced in the same operation (the operation supplies both types of biomass).
- The biomass is cultivated on nationally or internationally recognised protected areas and is subject to special requirements.
- Size of the supplier (actual quantity supplied)
- ➡ 25% of the sample is to be selected randomly.

⁴ Assessment Protocol template_REDII_FINAL (2020), 7.8 Specific aspects relevant for wastes and residues (OPTIONAL – only relevant when wastes and residues are within scope): 'Points of origin supplying more than [to be determined] tonnes per month of high risk waste or residue (e.g. used cooking oil) shall be subject to an on-site audit, which [...]'

In the case of **biomass from waste and residues**, the sample must be taken with a view to risks, taking into account the following **factors**:

- type of waste producers,
- type of waste and residual materials (e.g. multi-feedstock),
- type of GHG calculation (primarily when calculated individually).

The sample must

- be representative for the entire group and
- be determined using a combination of risk and random selection (for random selection, the sample must represent a share of at least 25%). **The type of sample and the underlying risks as well as their assessment must be documented.** The operations selected for inspection should vary from year to year.

4.5 Sample inspections

As part of the sample inspections carried out by the neutral certification body, the REDcert-EU requirements of group members are inspected and evaluated using the **scope-specific checklists** provided by REDcert.

The inspections are based on the plausibility and traceability of the information in the self-declaration.

It is generally expected that **group inspections are conducted on site** (e.g. that auditors visit the individual producers).

Desk inspections may be allowed if they provide the same level of assurance as an on-site inspection (e.g. through the availability of high-quality satellite images, data on protected areas and peatland that provide information for the relevant time frame). Certification bodies must demonstrate under which conditions desk inspections of this kind could provide the same level of assurance as on-site inspections.

To this end, **criteria are to be defined** to enable

- the general risk level/potential of a region/area to be determined,
- which consequences the risk level/potential has for conducting the inspections and

- what type of proof needs to be available to permit desk inspections (self-declarations from economic operators cannot be regarded as sufficient proof in this context).

The defined criteria (see section 4.5.1) as well as the proof used as a basis for a desk inspection must be accessible, transparent, traceable, tamper-proof, credible and trustworthy.

If the desk inspections show that the REDcert requirements are not or not adequately satisfied, the certification body must undertake further appropriate steps to check compliance (e.g. on-site inspections).

4.5.1 Agriculture

Examples of what needs to be inspected in and for the respective time frames of the **agricultural sample inspections** (on site and as desk audit):

- verified conformity with Cross Compliance (CC) requirements,
- detailed and documented information about and/or independent traceability databases and
- tools to be used for identifying the farm and its cropland, etc.

The documentation on where the biomass was farmed (records) must be kept by either the farm or the first gathering point/central office.

4.5.2 Waste and residues

Collection points, interfaces and suppliers that operate in the supply chain and are registered in the REDcert scheme are required to undergo inspections and be certified.

The sample **inspections of the producers** carried out by the neutral certification body include the following:

- the requirements for traceability and mass balancing (i. e. the volume of waste and residues supplied)
- the documentation requirements
- the requirements for the GHG emissions saving and the calculation method and, if applicable, the sustainability requirements for the production of biomass

For biomass produced from waste or residues - as long as they did not originate from agriculture, forestry and fishing or from aquacultures - there is no requirement to provide verification related to the land-related criteria in accordance with Directive (EU) 2018/2001.

If there are no specific support systems in Europe or the European member states for residue- and waste-based biomass that favour their use over other biomass fuels and thus create incentives for false declarations or fraudulent behaviour, the check of compliance of producers with the requirements of the REDcert-EU scheme can be carried out as a **desk audit** due to the low sustainability risk and replace on-site inspections if

- they are conducted with the same level of reliability and accuracy
- the same depth of inspection can be guaranteed
- the security and confidentiality of electronic and electronically submitted information is guaranteed
- it is carried out by mutual consent between the auditor and the producer to be inspected

The underlying risks as well as their evaluation for a decision in favour of a desktop audit must be documented by the certification body.

4.6 Threshold values for a failed sample inspection

If at least 1/3 of the operations inspected do not meet the scheme requirements, the scope of the inspections must be doubled ($2 * \sqrt{x}$, where x is the number of operations). If at least 1/3 of the operations inspected do not meet the scheme requirements, the scope of the inspections must be doubled again. In an extreme case, this can continue until all operations that belong to this first gathering point have been inspected (inspection density of up to 100%).

The first gathering point and/or the central office of the group will be informed of all major/critical non-conformities.

Only operations that satisfy the scheme requirements may supply biomass certified as "sustainable".

Group members who do not meet the REDcert requirements (KO evaluation) must be excluded from the group and from REDcert certification.

4.7 Issue of inspection certificates

An inspection certificate for the group manager can only be issued once the sample inspections of the producers have also been successfully completed.

This certificate issued to the group manager is valid for the entire group.

In addition, the requirements from section 5.3.2 apply.

5 Requirements and responsibilities of certification bodies

The neutral monitoring and certification of operations in the REDcert scheme is carried out by neutral certification bodies. The certification bodies are legal entities that check compliance with the requirements of Directive (EU) 2018/2001 along the production and supply chain. Operations can freely choose which REDcert certification body they want to work with. All certification bodies that participate in certification in the REDcert scheme have to fulfil the requirements below.

5.1 Requirements for certification bodies

5.1.1 Recognition by a national authority or accreditation body

All certification bodies require accreditation pursuant to the principles set out in Article 4 of Regulation (EC) 765/2008, either by the competent authority in the respective country or by a national accreditation body according to ISO/IEC 17065 or alternatively ISO/IEC 17021. Accreditation shall be to the scope of the Renewable Energy Directive (EU) 2018/2001 (RED II), or alternatively for the specific scope of the voluntary scheme⁵.

A certification body is obliged to notify REDcert immediately if the accreditation or recognition is suspended, withdrawn or terminated by the accreditation body or by the competent national public authority.

⁵ The scope of accreditation will be defined within the implementing act on voluntary schemes to be published by the European Commission; the scheme principles will be up-dated accordingly in due time.

REDcert reserves the right to require further proof of accreditation for the approval of certification bodies in the REDcert scheme.

The certification bodies conduct their audits in accordance with the requirements in **ISO 19011** (prerequisite for accreditation). Conformity evaluations are carried out in line with the specifications of **ISO/ICE Guide 60**.

5.1.2 Registration by REDcert and contract conclusion

The certification body submits an **application** for registration with REDcert as outlined in "Application for registering a certification body" (see section 7.1.2). The certification body must already be able to carry out audits when the application is submitted. At least one qualified auditor must be registered at the time of registration. When the form has been completely filled out and all required documents have been submitted, REDcert decides whether to approve or reject the application within four weeks and informs the applicant of the decision in writing.

REDcert approves the certification body by concluding a written, legally binding **contract** created by REDcert. The certification body is only authorised to perform inspections and issue certificates under the REDcert certification scheme once the signed contract has been received and all other requirements necessary for accreditation (e.g. internal and external training) have been implemented.

5.1.3 QM system and documentation

The certification bodies must have a **documentation system** that addresses the following elements at a minimum:

- general quality management system (including manual, guidelines, definition of responsibilities)
- document and record management
- management review
- internal audits
- procedure for identifying and managing non-conformities
- procedure for initiating preventive measures to eliminate the causes of potential non-conformities

5.1.4 Independence and impartiality

Evaluations and decisions may not be affected by personal relationships, financial incentives or other types of influences. The certification bodies and the auditors are independent of the interfaces, operations and suppliers and free of all **conflicts of interest** and can provide proof of this.

5.1.5 Technical and staffing requirements

The certification bodies have the respective **equipment and infrastructure** to review compliance with the scheme requirements and the requirements of Directive (EU) 2018/2001 for all participants in the chain of custody. The certification bodies have sufficient **qualified staff** who fulfil the requirements listed under section 6. The verification that these prerequisites are fulfilled must be provided by presenting suitable documents on the equipment of the respective certification body, its structure and its staff.

5.1.6 Principle of peer review

To ensure that the principle of peer review is upheld (**separation of evaluation and certification**), the certification body employs at least two persons. This means that the decision to approve certification is not made by the same person who performed the audit. The certification body also appoints a person who has in-depth scheme knowledge and is responsible for communication with REDcert.

5.1.7 Handling complaints and claims

The certification bodies must have an effective **process** in place for handling complaints and claims. This process is part of the QM system of the respective certification body and ensures that the fastest possible response is given in the event of complaints and claims and that corrective measures are introduced if necessary.

5.1.8 Selection and appointment of an audit team

The certification body must have a defined **procedure** for the selection and appointment of the audit team, taking into account the competencies required to achieve the objectives of the audit. The audit team must have the appropriate competencies required to conduct

the audit to ensure compliance with the criteria of the REDcert-EU scheme and in accordance with the audit scope. If there is only one auditor, the auditor must have the competencies to perform the duties of a lead auditor. If necessary, the audit team can also be supplemented by technical experts who work under the supervision of an auditor.

5.2 Invalidating approval

The approval of a certification body becomes invalid if it is withdrawn, revoked or if it expires or ends some other way.

5.3 Responsibilities of certification bodies

Certification bodies that perform inspections under the REDcert certification scheme are responsible for the following:

5.3.1 Risk management

With its risk management, **the certification body ensures that all operations and operating sites under the REDcert scheme are inspected at sufficient intervals and with adequate intensity.** This is intended to ensure the greatest possible reliability in the implementation of the requirements of Directive (EU) 2018/2001 and the requirements of the REDcert certification scheme.

5.3.2 Performing audits/inspections and issuing certificates and inspection certificates

The certification bodies have to prove implementation of a **documented process** that governs the certification process and the issuance of certificates and inspection certificates under the REDcert certification scheme. The general requirements of the audit process are specified by the standard **ISO 19011**. Audits/inspections shall be properly planned, conducted and reported on. This definitely means that the **auditor**:

- identifies the activities undertaken by the economic operator that are relevant to the scheme requirements
- identifies the relevant systems of the economic operator and their overall organisation with respect to the scheme requirements and checks the effective implementation of relevant control systems
- establishes at least a "limited assurance level"⁶ in the nature and complexity of the economic operator's activities
- analyses the risks that could lead to a material misstatement based on the auditor's professional knowledge and the information submitted by the economic operator
- draws up an audit plan which corresponds to the risk analysis and the scope and complexity of the economic operator's activities, and that defines the sampling methods to be used for the operator's activities
- carries out the verification plan by gathering evidence in accordance with the defined sampling methods plus all other relevant proof that the verifier will base his conclusion on
- requests that the economic operator provide any missing elements of inspection trails, explain variations, or revise claims or calculations before reaching a final verification conclusion⁷

The certificate issued to the interface is a conformity confirmation. Interfaces are issued a **certificate** when they fulfil the scheme's requirements. Economic operators that fulfil the requirements of Directive (EU) 2018/2001 but are not themselves interfaces are issued an **inspection certificate**.

Certificates and inspection certificates can only be issued after a positive on-site audit. The certificate or inspection certificate templates provided by REDcert must be used.

⁶ A "limited assurance level" implies a reduction in risk to an acceptable level as the basis for a negative form of expression by the inspector such as "based on our assessment nothing has come to our attention to cause us to believe that there are errors in the evidence", whereas a "reasonable assurance level" implies a reduction in risk to an acceptably low level as the basis for a positive form of expression such as "based on our assessment, the evidence is free from material misstatement". (see ISEA 3000)

⁷ Communication from the Commission on voluntary schemes and default values in the EU biofuels and bioliquids sustainability scheme (2010/C 160/01)

5.3.3 Lists of interfaces

The certification bodies have to keep a list of all economic operators that they have issued certificates to. **The list has to include at a minimum their name and address as well the unique registration number of the interface, and the security of the data has to be guaranteed.** The data is to be stored transparently in the records and must be up-to-date.

5.3.4 Storing and handling information

Certification bodies have to keep the **results of inspections** and **copies of all certificates** that they issue under the REDcert certification scheme for **at least 5 years**. The audit reports are provided solely to the company and REDcert. **If a scheme participant switches to a different approved certification body, the first certification body is required to provide the new certification body with the required data.** The certification bodies are required to document the results of the conformity evaluation in such a way that it is possible at any time for REDcert to check the results and records. In addition, it must guarantee that storage is secure, complete and transparent.

5.3.5 External and internal training for auditors

The certification bodies are responsible for implementing external and internal training for auditors. REDcert supports the qualification and further training of the auditors with annual **mandatory seminars**. The certification bodies are informed and trained in regular informational events and training sessions as well as with newsletters and memoranda on current issues and developments in the relevant areas. It is the responsibility of the certification body to appoint a **contact person** who disseminates this information in internal training sessions.

6 Requirements of REDcert auditors

The auditors are to be identified to REDcert by name and they must provide proof that they fulfil the requirements below. **CVs together with references, confirmations and/or other relevant documents can serve as evidence of sufficient expertise, professional experience and experience as an employee (auditor) of a certification body.** These are to be documented by the respective certification body, updated and provided to REDcert upon request. REDcert is authorised, particularly in the case of missing documents or insufficient qualification of the auditors, to reject the application for registration or to withdraw an existing approval.

6.1 Training and qualification

The auditors must have the **special knowledge** necessary for conducting the audits/inspections related to the scheme criteria and the aspect of the scheme being inspected.

6.1.1 Knowledge of GHG balancing

All auditors involved in GHG verification must demonstrate appropriate experience in **GHG accounting** (especially specific knowledge of the **GHG calculation methodology** pursuant to Directive (EU) 2018/2001, for short: RED II). The knowledge needed for GHG balancing can be verified by, e.g. education in the areas of process, energy and environmental technology, environmental engineering, environmental quality management, environmental process technology, regenerative energies, energy and environmental system technology and energy technology as well as special GHG training courses (including RED II GHG calculation methodology). Appropriate proof of the technical and professional expertise acquired in GHG accounting within the scope of the chosen training course must be provided.

At least two years of experience in **life cycle greenhouse gas emission assessment** and specific experience in **verifying GHG emission calculations using the REDI/REDII calculation methodology**. Relevant experience depending on the type of audits to be carried out by the individual auditor. When verifying the soil organic carbon content for the purpose of applying the emission reduction credit for soil carbon accumulation (e_{sca}) it should be noted that this requires specific **technical expertise** (e.g. soil science).

6.1.2 Inspections of farms

Auditors who perform inspections of farms must have expertise in at least the following areas:

a) Knowledge of handling data sources and analysis of geographic data

Completed training and education in the areas of agricultural sciences, geography, geographic sciences, geoinformatics, geoscience and environmental sciences are proof of knowledge in how to deal with data sources such as, **e.g. map material, GPS data, GIS data, satellite images**. Appropriate proof of the technical and professional expertise acquired to analyse geographic data and handle data sources within the scope of the chosen training course must be provided.

b) Soil knowledge

The required soil knowledge for **peatland** identification, assessment of the **degraded areas** or for further proof of soil-related requirement criteria of Directive (EU) 2018/2001 can be documented by, e.g. completed training and education in the areas of agricultural sciences, soil science, geological sciences, geoecology, landscape ecology, environmental sciences. Appropriate proof of the technical and professional expertise acquired in soil evaluation within the scope of the chosen training course must be provided.

c) Biological and ecological knowledge

The required knowledge on **species and biotope types** (e.g. types of grasslands, wetlands) native tree species and identification of the canopy cover can be verified by, e.g. completed training and education in the areas of biology, botany, ecology, forestry, landscape ecology, environmental sciences, provided that the technical and professional expertise can be demonstrated as part of the selected training path.

Verifying compliance with the "**highly biodiverse grasslands**" criterion requires technical knowledge that goes beyond the knowledge that is generally expected from the auditors verifying the accuracy of the information provided by market operators (e.g. assessing whether grassland maintains the natural species composition as well as its ecological characteristics and processes and whether the grassland is species-rich).

Assessing whether grassland preserves the natural species composition and ecological characteristics and processes and whether grassland is species-rich can be performed by **experts** who have acquired a specific qualification for this purpose (e. g. in biology, ecology, botany, plant sociology, grassland science, site evaluation, ecosystems, site mapping, etc.). These experts must be external, independent of the activity being inspected and free of conflicts of interest. The role of the expert is to establish whether a specific piece of land is, or in case of conversion, was highly biodiverse grassland on a case-by-case basis. An assessment of this kind does not need to be conducted annually. It is often sufficient to conduct a single assessment, e.g. if a piece of grassland is converted into cropland to grow agricultural raw materials.

In terms of carrying out the neutral inspection, this means that a precautionary approach should be taken in assessing whether or not the grassland was highly biodiverse: the auditor must judge whether an assessment of highly biodiverse grassland is necessary or whether the result of the assessment is consistent with the information provided by the producer and whether the expert who conducted the assessment took all requirements into account⁸.

If an assessment is necessary, it must be conducted by a qualified independent expert who may be additional to the auditor. The assessment and result must then be reviewed as part of the inspection.

⁸ European Commission DG ENER: Letter to the voluntary schemes with guidance on how to verify protection of highly biodiverse grasslands (29.01.2015) at: <https://ec.europa.eu/energy/sites/ener/files/documents/PAM%20to%20vs%20on%20HBG.pdf> (accessed on 10.10.2016).

6.1.3 Waste and residues

Auditors who perform inspections of producers/suppliers of residues and waste must have expertise in at least the following areas:

a) Knowledge of handling data sources and registers

Proof of knowledge in handling waste data **such as weighing data, register for non-hazardous waste, register for hazardous waste** (electronic verification procedure) is, for example, completed training in waste management or training in agricultural sciences, civil engineering or environmental sciences in connection with a proven waste management activity.

b) Knowledge of waste management

Appropriate expertise is required for the necessary assessment of waste and residues. The expertise requires at least knowledge of the **legal basis** for handling biomass from waste and residues, as well as operational implementation and application.

Proof of expertise can be provided as part of an initial training plan or through successful participation in a relevant course or through training in the fields of waste management, agricultural sciences, civil engineering or environmental sciences in connection with a proven waste management activity.

6.1.4 Inspection of interfaces, warehouses and suppliers

Auditors who perform inspections of interfaces, storage facilities and suppliers must have experience in **mass balance systems, traceability and data handling**. Proof of the required knowledge can be provided by completed studies at a university or a technical college or a comparable qualification in the areas process technology, energy management, environmental engineering, environmental and quality management, environmental oriented process engineering and renewable energies.

6.2 Required knowledge, professional and practical experience as an auditor

Special skills	audit methodology, communication skills, extensive knowledge of the legal requirements in the relevant area and of the REDcert scheme requirements
Required qualification as an auditor	Training (e.g. in accordance with ISO 19011) Duration: at least 3 days
Professional experience	At least 4 years of professional experience in the area to be inspected in a relevant position
Practical experience as an auditor	At least 5 audits/inspections in the last 2 years in the inspected area (e.g. ISO-, EfbV, EMAS, GMP, QS, SURE, ISCC)

6.2.1 Training and performance review of certification personnel

The personnel of a certification body in the REDcert scheme is subject to a defined systematic training obligation before they can begin their activities in the scheme. This is done in the REDcert scheme through the train-the-trainer principle.

REDcert conducts these training for individuals responsible for implementing the certification body's "train-the-trainer principle".

This requires that the people responsible and certification bodies have successfully participated in the training courses offered by REDcert in keeping with the train-the-trainer principle. Part of the train-the-trainer courses held by REDcert is an exam to determine whether the training has been successful.

All training and performance assessments of the qualified people responsible and certification bodies are documented.

The training certificate (type, duration, location and main contents of the training) must only be provided by the training organisation if the trainee is present for the entire duration of the event.

The training certificate shall be presented at the time of the application of a new auditor.

6.2.1.1 Initial training before starting work

Candidate auditors carrying out activities under Directive (EU) 2018/2001 for the first time must demonstrate the required competence acquired through education and training in an examination prior to being approved as an auditor in the REDcert scheme.

An overview of the initial training and development of the examination obligations for certification personnel are provided in the training matrix below.

Certification personnel	Initial Training	Obligatory performance review	
		Exam	Witness-Audit
Auditor candidates	x	x	x²
Staff member of certification body ¹	x	-	-

¹ insofar as they are involved in the handling of certification procedures in the REDcert scheme

² to exam alternatively

The qualification of auditors who can prove that they have already carried out audits against a voluntary scheme recognised by the EU Commission for an equivalent scope as the SURE scheme is considered to be sufficiently proven by the associated monitoring of the certification scheme and the competent authorities. A renewed proof of qualification via an examination is therefore not necessary in the REDcert scheme.

Furthermore, the certification bodies are free to carry out an exam on a voluntary basis for employees of the certification body who are not active as auditors.

6.2.1.2 Further education and training for maintenance of acceptance

After the auditors are approved, **regular participation** - at least once a year - in training for the REDcert scheme is mandatory. The training sessions are either offered and conducted by REDcert or, after consultation on content and scope, by **qualified individuals responsible for implementing the certification body's "train-the-trainer principle"** who have passed a successful REDcert train-the-trainer training.

The certification body is obliged to maintain the competence of the certification personnel with regard to the certification system through regular training.

Training needs and content include from adjustments to the certification system as a result of:

- changes in the legal framework,
- clarifications or notifications from the EU Commission,
- findings from the annual harmonization meeting of the certification bodies,
- corrective and/or improvement measures as a result of complaints or as a result of assessments by the accrediting body.

REDcert reserves the right to request documentation on participants, content, duration and performance assessment from the qualified people responsible and certification bodies.

The **topics covered in training** include the following areas at a minimum:

- content of the relevant legislation
- content of the scheme documentation in the REDcert-EU scheme
- content and handling of the REDcert-EU checklists for neutral inspections
- requirements for verifying criteria
- reporting requirements to the scheme operator
- practical questions about inspections and the REDcert scheme
- workshops to categorise non-conformities and guarantee consensus
- harmonisation of evaluation practices to guarantee consensus
- review of the knowledge gained as performance assessment

REDcert immediately informs the certification bodies of changes and other relevant developments in the scheme.

6.2.2 Performance of initial exams

The scope and content of mandatory initial exams are bindingly defined by REDcert. The initial examinations are organised and conducted by a "trainer" successfully trained by REDcert through the certification body. In exceptional cases and after confirmation by REDcert, the examination can also take place online. The certification body shall inform REDcert with sufficient time in advance of the date of the examination and the names of the examinees.

The organisation and implementation of in-house training courses also enables the certification bodies to provide flexible and cost-effective examination management in line with the requirements.

The examination questions are to be answered by the examinee within a specified time. The test ends without exception at the end of the specified time. The examination documents are evaluated by REDcert in the follow-up.

6.2.3 Examination result

To pass the examination it is necessary to answer at least 60% of the given questions correctly.

The evaluation of the test is carried out by REDcert under consideration of the 4-eyes-principle. The result is assigned to the data of the auditor concerned and his certification body within the framework of the REDcert scheme administration.

The examination result will be sent to the candidate in writing to the contact address chosen by him/her (private or business). The examination is only considered to be "passed" when the positive result is sent.

6.2.4 Conducting witness audits

As an alternative to participation in an exam, the performance review may also take the form of a witness audit, i.e. the accompaniment of an on-site audit. The candidate auditor must carry out the audit independently under the supervision of the lead auditor. His findings are to be confirmed by the lead auditor or, if necessary to correct.

After the audit, the lead auditor must prepare and submit to REDcert a report evaluating the performance of the candidate auditor, as specified by REDcert.

The lead auditors, who the certification/registration body considers to have the appropriate competence to assess the performance of candidate auditors, shall be notified to REDcert in advance and confirmed by REDcert.

Alternatively, the auditor candidate can be assessed by a witness auditor provided by SURE, with the costs incurred being borne by the auditor.

6.2.5 Monitoring of the examination process

Within the framework of internal monitoring, REDcert ensures that

- the specifications regarding the content and duration, as well as
- the consequences in the event of misconduct (in particular disruptions and attempts to defraud, prohibition of recordings of any kind)

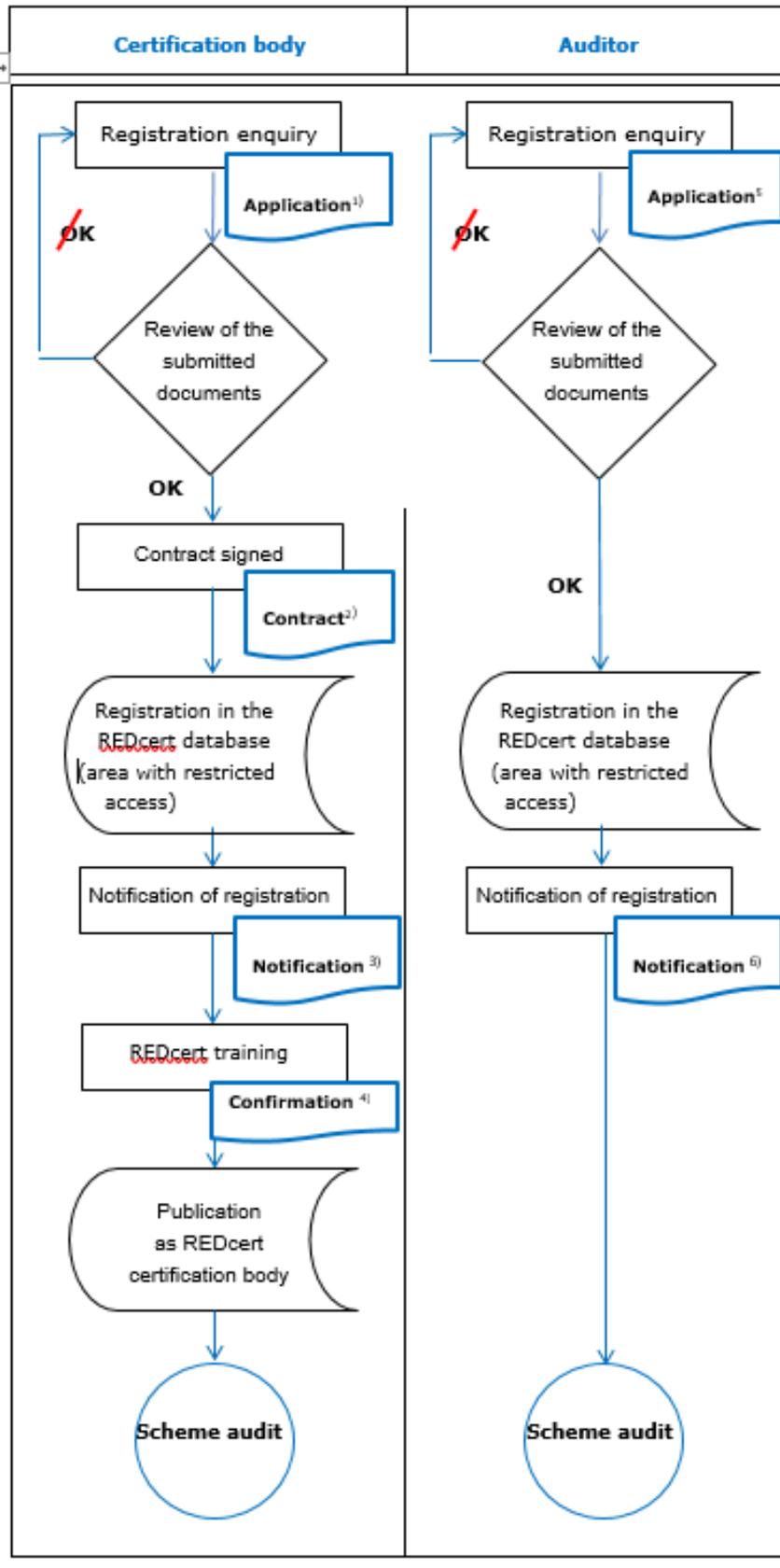
are adhered to, for example by having a representative of REDcert accompany the online exams.

The proper conduct of the examination must be confirmed by the certification body with the trainer's signature.

7 Registration process

The figure below shows the registration processes for the certification bodies and the auditors. Please see **section 5** "Requirements and responsibilities of certification bodies" and **section 6** "Requirements of REDcert auditors" for information about the skills necessary for successful registration. Please see **section 7.1** "Relevant documents" for information on the documents required for registration.

Figure 1: REDcert registration processes for certification bodies and auditors



7.1 Relevant documents

7.1.1 Registering a scheme partner

See REDcert scheme principles "Scope and basic scheme requirements".

7.1.2 Registering a certification body

The following documents are distributed upon request or after completing the respective REDcert registration process:

1) **Application for registration of a certification body in the REDcert scheme**

The application includes questions in compressed form about information on what is expected from REDcert certification bodies formulated under section 5 "Requirements and responsibilities of certification bodies". It is to be sent by the certification body **submitting the application together with the sample documentation** listed here to REDcert in electronic format. Application and documentation are subject to a review process at REDcert. If the information submitted by the certification body does not fulfil the REDcert requirements, the registration process is interrupted to clarify any questions. If the information submitted by the certification body meets the requirements, REDcert sends the master agreement to the certification body.

2) **Master agreement for neutral inspections in the REDcert scheme**

The master agreement governs the prerequisites for certification bodies in the REDcert scheme and the certification procedures for REDcert scheme participants. When this contract is signed, the **certification body is recognised by REDcert and registered in the REDcert database** (access-restricted area of the REDcert certification portal). The data registered here must be kept up-to-date by the certification body. REDcert must be informed if this information changes.

3) **Notification of certification body registration in the REDcert scheme**

With the registration notification, REDcert sends all of the **documents and information necessary for REDcert certification** to the certification body.

4) **Confirmation of participation in the REDcert train-the-trainer training**

REDcert conducts train-the-trainer training sessions for the certification bodies. In these sessions, the people responsible at the certification body for the “train-the-trainer” principle are given extensive information that makes it possible for the certification bodies to begin their certification activities under the REDcert scheme. **Participation in a train-the-trainer training session is mandatory** before the certification body begins its certification activities. Training is documented by a confirmation of participation from REDcert that REDcert keeps on file.

7.1.3 Registering an auditor

The following documents are distributed upon request or after completing the respective REDcert registration process:

5) **Application for registration of an auditor in the REDcert scheme**

The application includes questions in compressed form about information on what is expected from REDcert certification bodies formulated under section 6 “Requirements and responsibilities of REDcert auditors”. It is to be sent by the certification body **submitting the application together with the sample documentation** listed here to REDcert in electronic format. Application and documentation are subject to a review process at REDcert. If the information submitted does not meet the qualifications required by REDcert, the registration process is interrupted to clarify any questions. If the information submitted meets the qualifications required by REDcert, REDcert sends a notification of registration of an auditor including the scope registered for the auditor in the REDcert scheme.

6) **Notification of registration of an auditor in the REDcert scheme**

When this registration notification is sent, the auditor is **recognised by REDcert and registered in the REDcert database** (access-restricted area of the REDcert certification portal). REDcert must be informed of any changes affecting the registered auditor in question.

Expanding the auditor's scope

Registered auditors also need REDcert's consent to expand their scope of audits. For this purpose, the responsible certification body submits an **informal application to REDcert including relevant documents and proof** of the qualification/skills of the auditor in question.

8 REDcert integrity and quality assurance measures

REDcert undertakes a number of measures to monitor scheme integrity and guarantee the quality of inspections as well as compliance with the scheme requirements. These include both preventative measures to assure the defined quality requirements as well as inspection measures that reflect the degree of fulfilment and serve as a basis for the continued further development and improvement of the REDcert scheme. REDcert integrity management is described in the **Scheme principles for integrity management**. The structure of the REDcert integrity management system is shown in the figure below.

Figure 2: REDcert integrity management system



9 Relevant documents

The documentation structure of the REDcert-EU scheme includes the following:

No.	Document	Published/revised
1	Scope and basic scheme requirements	The current version of the REDcert-EU scheme principles is published on the website at www.redcert.org .
2	Scheme principles for the production of biomass, biofuels, bioliquids and biomass fuels	
3	Scheme principles for GHG calculation	
4	Scheme principles for mass balance	
5	Scheme principles for neutral inspections	
6	Scheme principles integrity management	
7	Phase-specific checklists	

REDcert reserves the right to create and publish additional supplementary scheme principles if necessary.

The legal EU regulations and provisions for sustainable biomass as well as biofuels, bioliquids and biomass fuels including other relevant references that represent the basis of the REDcert-EU documentation are published separately on REDcert's website at www.redcert.org. When legal regulations are referenced, the most current version is always assumed.

10 Revision information Version EU 06

Section (of version 05)	Change
all	<ul style="list-style-type: none"> - value chain / biomass chain - REDcert document - inspection / inspector - follow-up inspection - Directive 2009/28/EC <p>Renamed, amended:</p> <ul style="list-style-type: none"> - chain of custody / supply chain - REDcert principles - audit / auditor - re-certification audit - Directive (EU) 2018/2001 (for short: RED II)
---	Added: 1 Introduction
1	<p><i>[...] Certification bodies registered and accredited with REDcert check compliance with the scheme requirements along the entire production, processing and supply chain.</i></p> <p><i>[...] After a contract is signed between the economic operator and the certification body, the certification body selected saves the legally binding declaration about performing inspections in the REDcert scheme and carries out the inspection.</i></p> <p><i>[...] 2. The certification body writes the inspection report and saves it in the REDcert database.</i></p> <p>Renumbered, amended, added:</p> <p>2 Inspection system</p> <p><i>[...] Certification bodies approved by and registered with REDcert, and accredited by national authorities (see section 5.1.1) check compliance with the scheme requirements along the entire production, processing and supply chain by conducting what are known as scheme audits of the respective economic operators. The audit result is documented in the scope-specific checklist (audit report). The audit report is approved by the certification body and entered in the REDcert database.</i></p>

	<p>[...] After a contract is signed between the economic operator and the certification body (commissioning the certification), the certification body selected sends REDcert the legally binding declaration about performing audits and carries out these audits.</p> <p>[...] 2. The certification body writes the audit report, submits it to peer review for approval and saves it in the REDcert database.</p>
<p>1.1</p>	<p>Renumbered, renamed: 2.1 Types of audits</p>
<p>1.1.1</p>	<p><i>[...] A scheme inspection consists of the initial inspection, the follow-up inspection and the recertification inspection.</i></p> <p><i>[...] Recertification inspection: [...] Processes and documents are inspected retroactively and spot checked. The recertification inspection is carried out before the existing certificate or inspection certificate expires to ensure that certification is continuous.</i></p> <p><i>[...] The operation may not supply products certified as sustainable in the period between the failed inspection and the follow-up inspection.</i></p> <p>Renumbered, renamed, added:</p> <p>2.1.1 Scheme audits</p> <p>[...] A scheme audit consists of the initial audit, the re-certification audit, the surveillance audit and the follow-up audit.</p> <p>[...] Initial audit: [...] The initial audit always takes place on site.</p> <p>[...] Re-certification audit: [...] Processes and documents are audited retroactively and randomly inspected. The re-certification audit and the subsequent certification decision is carried out before the existing certificate or inspection certificate expires to ensure that certification is continuous.</p> <p>[...] Surveillance audit: A scheme audit conducted during the period of validity of the REDcert certificate to assess whether the participant continuously meets the requirements for certification. In the REDcert-EU scheme, surveillance audits are conducted during the year in the area of waste and residues after initial certification.</p> <p>[...] Follow-up audit: [...] The operation may not supply products certified as sustainable in the period between the failed audit and the follow-up audit including a positive certification decision.</p>

<p>1.1.2</p>	<p>[...] The content of the inspections corresponds to the content of scheme inspections (e.g. in the sense of shadow audit) or are carried out as a witness or office audit (see section 6):</p> <p>All inspections (scheme and special inspections) may only be conducted by inspectors/auditors approved by REDcert.</p> <p>Renumbered, renamed, added, deleted:</p> <p>2.1.2 Special audit</p> <p>[...] The content of the special audits either corresponds to the content of scheme audits (in the sense of spot or shadow audits) or are carried out as a witness or office audit.</p> <p>Spot audit:</p> <p>A spot audit is an audit announced at short notice. [...]</p> <p>Shadow audit:</p> <p>A shadow audit is an unannounced inspection of a [...]</p> <p>Office audit:</p> <p>As part of an on-site "office audit", the quality of [...]</p> <p>Witness audit:</p> <p>A witness audit is when an auditor approved in the [...]</p>
<p>---</p>	<p>added: 2.2 Audit methods</p>
<p>1.2</p>	<p>[...] REDcert, however, has the right to define a minimum duration for the respective steps in the future, [...].</p> <p>Renumbered, renamed, amended:</p> <p>2.3 Process and duration of audits</p> <p>REDcert, however, has the right to define a minimum duration for the respective scopes in the future, [...].</p>
<p>1.3</p>	<p>[...] The follow-up inspection is conducted before the [...].</p> <p>Renumbered, renamed, amended, added:</p> <p>2.4 Audit intervals</p> <p>The re-certification audit and the subsequent decision about certification are carried out before the [...].</p> <p>For collectors and suppliers of waste and residues the following also applies:</p> <p>A mandatory surveillance audit must be carried out of the collector</p>

	<p>and supplier within a six-week period before the expiry of 6 months from the initial certification. For collection points and suppliers who handle both waste and residues (e.g. used cooking oil/fat) and raw materials (e.g. virgin vegetable oil), an additional monitoring audit is carried out three months after the initial certification (for the first mass balance period).</p>												
<p>1.4</p>	<p><i>Table 1: Evaluation options in the REDcert scheme</i></p> <p>[...] Depending on the number of points achieved or whether a criterion is evaluated as KO, the inspections are categorised in the following groups:</p> <p><i>No non-conformities (100%) [...]</i></p> <p><i>Minor non-conformities (75–99%) [...]</i></p> <p><i>Major non-conformities (< 75% and/or KO evaluation/s) [...]</i></p> <p><i>Prior to recertification of an economic operator that was previously found to be in major non-conformity with the requirement [...]</i></p> <p>Renumbered, renamed, changed to, added:</p> <p>2.5 Evaluation of the audit results</p> <p>[...] Table 1: Evaluation options in the REDcert scheme</p> <table border="1" data-bbox="411 1131 1158 1391"> <thead> <tr> <th>Evaluation</th> <th>Explanation</th> </tr> </thead> <tbody> <tr> <td>Compliant</td> <td>Complete compliance</td> </tr> <tr> <td>Minor</td> <td>Minor non-conformity</td> </tr> <tr> <td>Major</td> <td>Major non-conformity</td> </tr> <tr> <td>Critical (KO)</td> <td>Scheme requirements are not fulfilled</td> </tr> <tr> <td>N/A</td> <td>Scheme requirements are not applicable</td> </tr> </tbody> </table> <p>[...] A critical evaluation which recurs in the subsequent audit and which was not previously defined as a KO criterion can be evaluated as KO in this audit.</p> <p>[...] Points are used to weight the results. Depending on the number of points achieved or whether a criterion is evaluated as 'Critical', the audits are categorised in the following groups:</p> <p>Compliant (100%) [...].The total number of possible points is achieved. [...]</p> <p>Partially compliant (75–99%) [...]. A minimum of 75% of the total number of possible points is achieved. [...]</p> <p>Non-compliant (< 75% and/or KO evaluation/s) [...].</p> <p>> to define an appropriate time period or [...]. This follow-up audit must have been conducted at the latest three months after the</p>	Evaluation	Explanation	Compliant	Complete compliance	Minor	Minor non-conformity	Major	Major non-conformity	Critical (KO)	Scheme requirements are not fulfilled	N/A	Scheme requirements are not applicable
Evaluation	Explanation												
Compliant	Complete compliance												
Minor	Minor non-conformity												
Major	Major non-conformity												
Critical (KO)	Scheme requirements are not fulfilled												
N/A	Scheme requirements are not applicable												

	<p>previous audit. If after three months no follow-up audit has been carried out, a full scheme audit is required to obtain a new REDcert confirmation of conformity.</p> <p>Prior to re-certification, the certification body must inform REDcert if an economic operator that was previously found to be in violation (major non-conformity) of the requirement: [...]</p>
---	added: 2.5.1 Definitions of non-conformities
---	added: 2.5.2 Corrective measures, time periods and impacts
1.5	<p><i>[...] Copies of the inspection report are provided to REDcert in the REDcert database no later than 6 weeks after the on-site inspection. [...]</i></p> <p>Renumbered, added:</p> <p>2.6 Reporting</p> <p>[...] Copies of the audit report are provided to REDcert in the REDcert database no later than 6 weeks (or 42 calendar days) after the on-site audit. As part of internal monitoring, REDcert requires certification bodies to provide all audit reports and actual GHG value calculations (including relevant background information where appropriate) on the use of GHG emission saving credits (e_{ccr}, e_{ccs}, e_{sca}) to REDcert. [...]</p>
1.6	<p><i>Issuing and revoking certificates</i></p> <p><i>[...] A maximum of 6 weeks may lie [...]. If this is the first certification, the certificate may [...]</i></p> <p>renumbered, amended, added:</p> <p>2.9 Issuing and withdrawing certificates</p> <p>[...] maximum of 6 weeks (42 calendar days) may [...]. If this is the initial certification, the certificate may [...]. [...] The certification bodies are required to IMMEDIATELY update the status of a certificate in the database.</p> <p>Certificate status [...]</p>

1.7	<p><i>Scope of the inspections</i></p> <p><i>Individual inspection and certification of a single operating site: [...]</i></p> <p><i>Group certification: [...]</i></p> <p>deleted, changed to, added:</p> <p>2.7 Document check</p> <p>[...] For annual audits the auditor shall check at least the following: :</p> <ul style="list-style-type: none"> ➤ list of all operating sites [...] ➤ proof of all incoming consignments [...] ➤ proof of all incoming consignments [...] <p>Note: [...]</p> <ul style="list-style-type: none"> ➤ proof of every conversion step (conversion factor applied) [...] ➤ a sample of the calculations [...] <p>Information about calculation of mass balancing [...]</p> <ul style="list-style-type: none"> ➤ the mass balance timeframe [...] ➤ the result of each sustainable biomass balance [...] <p>Inputs and outputs should be accompanied [...]</p> <p>The auditor also receives all information on the mass balance prior to a planned audit. The last mass balances completed during the period under review must be inspected. During initial audits, the auditor should check whether appropriate precautions and preparations have been made to set up a mass balance system (see REDcert Scheme principles for mass balancing).</p> <p>The on-site audits carried out in the REDcert scheme by recognised certification bodies ensure that the economic operator meets the mass balancing requirements, including proper allocation of sustainability characteristics, where relevant.</p> <p>[...]</p> <p>Collection points shall be required to submit a list of all points of origin that have signed a self-declaration to the auditor prior to the audit of the collection point. The amount of waste generated per month (or year) shall be explicitly stated on the self-declaration. Evidence or documents for all individual deliveries shall be available at the collection point and verified by the auditor (e.g. waste disposal agreement, delivery slips, self-declarations, etc.).</p>
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	<p>The auditor shall also verify the existence of and volume supplied from at least the square root of the points of origin on the list supplied by the collection point in all cases (see also section 4.4.1 Scope of sample). The verification may be undertaken remotely, unless there is doubt concerning the existence of the point of origin or if the collecting point meets the criteria for on-side audit as set out above (see also section 2.2 Audit methods).</p>
1.7	<p><i>[...] Document inspection</i></p> <p>Added (renumbered, renamed, reworded):</p> <p>4 Group certification</p> <p>4.1 General requirements</p> <p>4.2 Requirements of group management</p> <p>4.2.1 Central office/group manager</p> <p>4.2.2 Group members</p> <p>4.3 Self-declaration</p> <p>4.3.1 Agricultural biomass producers</p> <p>4.3.2 Self-declaration for producers of waste and residues</p> <p>4.4 Scope and process of sample inspections</p> <p>4.4.1 Scope of the samples</p> <p>4.4.2 Selection of the samples</p> <p>4.5 Sample inspections</p> <p>4.5.1 Agriculture</p> <p>4.5.2 Waste and residues</p> <p>4.6 Threshold values for a failed sample inspection</p> <p>4.7 Issue of inspection certificates</p>
1.8	<p>Renumbered, added:</p> <p>2.8 Risk management</p> <p><i>[...] Further information on maintaining scheme integrity is included in the REDcert scheme principles of integrity management.</i></p>
2	<p><i>Defining the scope of the sample for upstream operations</i></p>
2.1	<p><i>Group inspections and certification for farms</i></p>
2.1.1	<p><i>Scope and process of sample inspections for groups</i></p>
2.1.2	<p><i>Threshold for a failed inspection</i></p>
2.2	

2.2.1	<i>Inspections and certification of waste producers</i>
2.2.2	<i>Scope and process of sample inspections</i>
2.3	<i>Threshold for a failed inspection</i>
2.3.1	<i>Inspections and certification of storage facilities</i>
2.3.2	<i>Scope and process of sample inspections for storage facilities</i>
2.3.3	<i>Threshold for a failed inspection</i>
	<i>Exception for transshipment points</i>
	<p>Deleted, renamed, reworded, renumbered, added:</p>
	<p>3 Scope of audit/certification</p>
	<p>Individual audit and certification of a single operating site: [...]</p>
	<p>In the case of a first gathering point, all operating sites (affiliated dependent/non-autonomous sites) [...].</p>
	<p>Affiliated dependent/non-autonomous storage facilities or operating sites are storage facilities [...].</p>
	<p>All storage facilities that accept and store sustainable biomass on behalf of the first gathering point must [...].</p>
	<p>[...] Non-autonomous sites (storage facilities) of a collection point must be randomly in-spected as [...].</p>
	<p>3.1 Inspections and certification of dependent/non-autonomous storage facilities (upstream operations)</p>
	<p>The following applies for first gathering points/collectors (first interface): [...]. The first gathering point and collector are audited/certified once a year [...].</p>
	<p>[...] The certificate is accompanied by a list of dependent / non-autonomous storage facilities or agricultural biomass producers.</p>
	<p>The following applies for all other downstream interfaces: [...].</p>
	<p>3.1.1 Scope and process of sample inspections for storage facilities</p>
	<p>[...] It can also take place when the first gathering point/collector is audited. [...] before a certificate can be issued for the first gathering point/collector [...].</p>
	<p>3.1.2 Threshold for a failed inspection of storage facilities or operating sites</p>
	<p>If the audit result of one of the operations is “non-compliant”, a certificate is be issued or the certificate [...].</p>

	<p>3.1.3 Exemption for transshipment points</p> <p>Transshipment points (and the use of them) are defined as locations where: [...]</p>
3	<p>Renumbered, reworded:</p> <p>5 Requirements and responsibilities of certification bodies</p>
3.1 3.1.1	<p><i>Recognition by a national authority or accreditation body</i></p> <p>All certification bodies require approval from the [...]</p> <p>Renumbered, reworded:</p> <p>5.1 Requirements for certification bodies</p> <p>5.1.1 Recognition by a national authority or accreditation body</p> <p>All certification bodies require accreditation pursuant [...].</p>
3.1.2	<p>Renumbered, added:</p> <p>5.1.2 Registration by REDcert and contract conclusion</p> <p>[...] The certification body must already be able to carry out audits when the application is submitted. At least one qualified auditor must be registered at the time of registration.</p> <p>[...] The certification body is only authorised to perform inspections and issue certificates under the REDcert certification scheme once the signed contract has been received and all other requirements necessary for accreditation (e.g. internal and external training) have been implemented.</p>
---	<p>Added: 5.1.3 QM system and documentation</p>
3.1.3 3.1.4 3.1.5 3.1.6	<p>Renumbered:</p> <p>5.1.4 Independence and impartiality</p> <p>5.1.5 Technical and staffing requirements</p> <p>5.1.6 Principle of peer review</p> <p>5.1.7 Handling complaints and claims</p>
---	<p>Added: 5.1.8 Selection and appointment of an audit team</p>
3.2	<p>Renumbered, renamed: 5.2 Invalidating approval</p>

<p>3.3 3.3.1</p>	<p>Renumbered: 5.3 Responsibilities of certification bodies 5.3.1 Risk management</p>
<p>3.3.2</p>	<p><i>[...] Inspections shall be properly planned, conducted and reported on. This generally means that the inspector: [...]</i></p> <p>Renumbered, reworded, added: 5.3.2 Performing audits/inspections and issuing certificates and inspection certificates <i>[...] Inspections shall be properly planned, conducted and reported on. This definitely means that the inspector: [...]</i> <i>[...] The certificate or inspection certificate templates provided by REDcert must be used.</i></p>
<p>3.3.3 3.3.4 3.3.5</p>	<p>Renumbered, renamed: 5.3.3 Lists of interfaces 5.3.4 Storing and handling information 5.3.5 External and internal training for auditors</p>
<p>4</p>	<p><i>[...] CVs together with references, confirmations and/or other relevant documents can serve as evidence of sufficient expertise, professional experience and experience as an inspector of a certification body. [...]</i></p> <p>Renumbered, renamed, amended: 6 Requirements of REDcert auditors <i>[...] CVs together with references, confirmations and/or other relevant documents can serve as evidence of sufficient expertise, professional experience and experience as an employee (auditor) of a certification body. [...]</i></p>
<p>4.1</p>	<p><i>1. Knowledge of GHG balancing</i> <i>2. Inspections of farms</i> <i>a) Knowledge of handling data sources</i> <i>b) Soil knowledge</i> <i>c) Biological and ecological knowledge</i> <i>Inspection of interfaces, warehouses and suppliers</i></p> <p>Renumbered, added:</p>

	<p>6.1 Training and qualification</p> <p>6.1.1 Knowledge of GHG balancing [...] Appropriate proof of the technical and professional expertise acquired in GHG accounting within the scope [...]. At least two years of experience in life cycle greenhouse gas emission assessment and specific experience in [...].</p> <p>6.1.2 Inspections of farms [...] a) Knowledge of handling data sources and analysis of geographic data [...] Appropriate proof of the technical and professional expertise acquired to analyse geographic data and handle data sources within the scope of the chosen training course must be provided.</p> <p>b) Soil knowledge The required soil knowledge for peatland identification, assessment of the de-graded areas or for further proof of soil-related requirement criteria of Directive (EU) 2018/2001 can be documented by, e.g. [...]. Appropriate proof of the technical and professional expertise acquired in soil evaluation within the scope of the chosen training course must be provided.</p> <p>c) Biological and ecological knowledge The required knowledge on species and biotope [...] environmental sciences, provided that the technical and professional expertise can be demonstrated as part of the selected training path.</p> <p>Added: 6.1.3 Waste and residues</p> <p>Renumbered: 6.1.4 Inspection of interfaces, warehouses and suppliers</p>				
<p>4.2</p>	<p>[...]</p> <table border="1" data-bbox="411 1579 1219 1756"> <tr> <td data-bbox="411 1579 702 1756"><i>Practical experience as an inspector</i></td> <td data-bbox="702 1579 1219 1756"><i>At least 5 inspections in the last 2 years in the inspected area (e.g. ISO 9001, ISO 14001, GMP, QS)</i></td> </tr> </table> <p>Renumbered, added:</p> <p>[...]</p> <table border="1" data-bbox="411 1899 1219 2022"> <tr> <td data-bbox="411 1899 759 2022"><i>Practical experience as an auditor</i></td> <td data-bbox="759 1899 1219 2022"><i>At least 5 audits/inspections in the last 2 years in the in-spected area (e.g.</i></td> </tr> </table>	<i>Practical experience as an inspector</i>	<i>At least 5 inspections in the last 2 years in the inspected area (e.g. ISO 9001, ISO 14001, GMP, QS)</i>	<i>Practical experience as an auditor</i>	<i>At least 5 audits/inspections in the last 2 years in the in-spected area (e.g.</i>
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		ISO-, EfbV, EMAS, GMP, QS, SURE, ISCC)	
4.2.1	Further education and training Added, renamed, renumbered: 6.2.1 Training and performance review of certification personnel 6.2.1.1 Initial training before starting work 6.2.1.2 Further education and training for maintenance of acceptance 6.2.2 Performance of initial exams 6.2.3 Examination result 6.2.4 Conducting witness audits 6.2.5 Monitoring of the examination process		
5 5.1 5.1.1 5.1.2 5.1.3	Renumbered, added: 7 Registration process The figure below shows the registration processes for the certification bodies and the auditors. Please see [...]. Figure 1: REDcert registration processes for certification bodies and auditors 7.1 Relevant documents 7.1.1 Registering a scheme partner 7.1.2 Registering a certification body [...] In these sessions, the people responsible at the certification body for the "train-the-trainer" principle are given extensive information [...]. [...] Training is documented by a confirmation of participation [...]. 7.1.3 Registering an auditor The following documents are distributed upon request or after completing the respective REDcert registration process: [...] 5) [...] REDcert sends a notification of registration of an auditor including the scope registered for the auditor in the REDcert scheme. Expanding the auditor's scope		
6 6.1 6.2 6.3	<i>REDcert integrity and quality assurance measures</i> <i>Internal monitoring</i> <i>Complaint management system</i> <i>Quality assurance measures to monitor the entire REDcert scheme</i>		

<p>6.3.1 6.3.1.1 6.3.1.2</p>	<p><i>Special inspections</i></p> <p><i>Witness audits</i></p> <p><i>Office audits</i></p> <p>Renumbered, changed to, deleted :</p> <p>8 REDcert integrity and quality assurance measures</p> <p>Figure 2: REDcert integrity management system</p> <p>Scheme principles Integrity Management, Version: EU 01</p>						
<p>7</p>	<p>[...]</p> <table border="1" data-bbox="411 748 930 911"> <tr> <td data-bbox="411 748 459 831">5</td> <td data-bbox="459 748 930 831"><i>Scheme principles for neutral inspections</i></td> </tr> <tr> <td data-bbox="411 831 459 911">6</td> <td data-bbox="459 831 930 911"><i>Sanction system</i></td> </tr> </table> <p>[...]</p> <p>Renumbered, deleted:</p> <p>9 Relevant documents</p> <p>[...]</p> <table border="1" data-bbox="411 1151 1045 1234"> <tr> <td data-bbox="411 1151 459 1234">6</td> <td data-bbox="459 1151 1045 1234">Scheme principles integrity management</td> </tr> </table> <p>[...]</p>	5	<i>Scheme principles for neutral inspections</i>	6	<i>Sanction system</i>	6	Scheme principles integrity management
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