

Checklist for the inspection of interfaces, warehouses and suppliers

Participant no.	Name of the inspection organisation	Internal inspection report no. of the inspection organisation

**Please enter all information legibly!!!**

**Operation/operating site (hereinafter referred to as operation):**

**(Stamp if applicable)**

Company name: \_\_\_\_\_

Address: \_\_\_\_\_

Person responsible: \_\_\_\_\_

**Inspection information**

Inspection date: \_\_\_\_\_ of \_\_\_\_\_ a.m./p.m. to \_\_\_\_\_ a.m./p.m.

Inspection type:  Scheduled system inspection  Follow-up inspection

Name of the inspector: \_\_\_\_\_

**Result of the inspection**

Inspection result	Classification	Measures
100%	<input type="checkbox"/> <b>No</b> non-conformities REDcert requirements are completely satisfied	No corrective measures required
75 - 99%	<input type="checkbox"/> <b>Minor</b> non-conformities REDcert requirements are largely satisfied	Routine documentation, agree on corrective measures, check implementation
< 75 % or KO	<input type="checkbox"/> <b>Major</b> non-conformities REDcert requirements are not fulfilled	Send inspection report to REDcert and BLE (within 24h after the inspection) <b>Follow-up inspection required</b>

Follow-up inspection required? No  Yes  Proposed date: \_\_\_\_\_

Copy received

\_\_\_\_\_  
Signature of the inspector

\_\_\_\_\_  
Signature of the system participant  
(person responsible)

For accuracy:	
_____	_____
Date	Signature of the person responsible at the certification body

**Checklist for the inspection of interfaces, warehouses and suppliers under the Biomass Sustainability Ordinances**

1. Information about the operation			
Company:			
<input type="checkbox"/>			
Very small operation	<input type="checkbox"/>		
Small operation	<input type="checkbox"/>		
2. Scope of application			
First gathering point (please also fill out 3-7)	<input type="checkbox"/>		
Oil mills	<input type="checkbox"/>		
Treatment/biofuel operations/refineries	<input type="checkbox"/>		
Supplier/dealer for solid products (input products)			
Supplier/dealer for liquid products (end products)			
3. Number of affiliated warehouses/silos (operating sites):			
The following operating sites were inspected as part of the 5% random inspection:			
Operating sites visited (enter operating site and inspection date) Expand list if necessary!		Operating site Name, street, post code, city	Inspection date
	1		
	2		
	3		
	4		
	5		
	6		
	7		
4. Number of farming operations supplying biomass:			
The following farming operations were inspected as part of the 3% random inspection:			
Farming operations visited (enter farming operation and inspection date) Expand list if necessary!		Farming operation Name, street, post code, city	Inspection date
	1		
	2		
	3		
	4		
	5		
	6		
	7		
	8		
	9		
	10		
	11		
	12		
13			
5. Quantity (t/m <sup>3</sup> ) of biomass (solid/liquid/gaseous) handled last calendar year:			

**Important: All fields are mandatory!!**

Key:							
A=Complete compliance; B=Almost complete compliance, C=System requirements only partially satisfied, D=System requirements not satisfied, N/A=System requirements not applicable							
Name of the operation:			Inspection date:				
No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
<b>1</b>	<b>System principles</b>						
<b>1.1</b>	<b>General system requirements</b>						
1.1.1	Is there a written pledge to comply with the system requirements in the scope of application? (e.g. in the form of a certificate or contract with REDcert)						
1.1.2	Are there contracts with third parties (sub-contractors, external service providers, brokers) that ensure that all of the information necessary to meet the requirements has been passed on?						
<b>1.2</b>	<b>Organisational structure</b>						
1.2.1	Are the responsibilities and powers clearly regulated and documented in writing?						
1.2.2	Are the people affected aware of their responsibilities?						
1.2.3	Has the operation appointed someone responsible for implementing and maintaining the QM system in relation to REDcert?						
<b>1.3</b>	<b>Staff qualification and training</b>						
1.3.1	Is it ensured that the people affected are aware of the legal requirements and the REDcert requirements and have the knowledge (qualification) necessary to fulfil these requirements?						
1.3.2	Have the employees received the appropriate training (verification)?						

No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
<b>1.4</b>	<b>Mass balance system</b>						
1.4.1	Has the operation introduced a suitable mass balance system that guarantees that the requirements of Sustainability Ordinances and the REDcert system requirements are satisfied?						
1.4.2	Does balancing of sustainable biomass occur at permissible intervals defined by the operation?						
<b>1.5</b>	<b>Documentation</b>						
1.5.1	Is balancing of sustainable biomass documented and does it include the records necessary for the supplied biomass which has been changed in the internal process and forwarded?						
1.5.2	Are the necessary records checked to ensure that they are up-to-date and complete and kept in a safe place?						
1.5.3	Are the records legible and is there a transparent link between the biomass and the records?						
1.5.4	Are the records kept in line with the valid inspection intervals and can they be provided?						
<b>1.6</b>	<b>Dealing with non-conformities</b>						
1.6.1	Is there a documented procedure for dealing with non-conformities and is it followed? Are corrective measures undertaken as quickly as possible?						

No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
1.6.2	Are preventative measures formulated and implemented to prevent future non-conformities from occurring?						
<b>1.7</b>	<b>Reporting and passing on information</b>						
1.7.1	Are the purchasers of sustainable biomass provided with all required data and information?						
1.7.2	Is it guaranteed that this data is handled confidentially when passing on sensitive company-related information to downstream operations?						
<b>2</b>	<b>Process step-specific requirements</b>						
<b>2.1</b>	<b>General requirements</b>						
2.1.1	Has the operation identified/defined and documented the sequence of processes in its own scope of application?						
<b>2.2</b>	<b>Incoming biomass</b>						
2.2.1	Is it clear from the records who conducted the inspection and verified the data and quantities upon receipt of sustainable biomass in the operation?						

No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
2.2.2	Do the delivery documents contain the following for every quantity of sustainable biomass: - the name and address of the supplier/upstream operation - the certificate number and the name of the certification system - the type of incoming sustainable biomass - the quantity of sustainable biomass - the date of receipt of the sustainable biomass - the GHG emissions in grams of carbon dioxide equivalents per kilogram of the incoming sustainable biomass (for individual calculation or if requested by the recipient of the biomass) OR it is indicated which (partial) default values, NUTS II values or estimates are to be used for the incoming sustainable biomass - country where it was farmed or country of origin						
2.2.3	Are there purchasing contracts or other industry-relevant documents or documents similar to purchasing						
<b>2.3</b>	<b>Internal processes (processing and mixing)</b>						
2.3.1	Is every newly produced quantity of biomass from internal processes recorded in a mass balance system?						

No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
2.3.2	<p>Is the following data recorded:</p> <ul style="list-style-type: none"> <li>- type of internal process (e.g. pressing, refining, mixing in tank storage, etc),</li> <li>- quantity of sustainable biomass that went into the process</li> <li>- quantity of sustainable biomass that went out of the process</li> <li>- process and facility-specific conversion rates/conversion factors/losses</li> <li>- GHG emissions</li> <li>- allocation of the GHG emissions</li> <li>- balancing of the GHG values</li> </ul>						
<b>2.4</b>	<b>Outgoing biomass</b>						
2.4.1	<p>Is the following data recorded at a minimum and passed on to the downstream operation:</p> <ul style="list-style-type: none"> <li>- certificate number and name of the certification system</li> <li>- type of sustainable biomass supplied</li> <li>- date sustainable biomass left the premises</li> <li>- quantity of sustainable biomass</li> <li>- the GHG emissions in grams of carbon dioxide equivalents per kilogram of the incoming sustainable biomass (for individual calculation or if requested by the recipient of the biomass) OR it is indicated which (partial) default values, NUTS II values or estimates are to be used for the incoming sustainable biomass</li> <li>- country where it was farmed or country of origin</li> </ul>						

No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
2.4.2	Do these records make it possible to establish a connection to the documented incoming biomass?						
2.4.3	Are the incoming and outgoing quantities of biomass plausible?						
<b>3</b>	<b>Step-specific requirements</b>						
<b>3.1</b>	<b>First gathering points</b>						<input type="checkbox"/> N/A
3.1.1	Were the declarations of the farms checked by the primary distributor for plausibility and completeness?						
3.1.2	Is the assignment from the biomass to the respective farm transparent? Is the respective location of cultivation of the biomass documented?						
<b>3.2</b>	<b>Other interfaces (oil mills, esterification facility, hydrogenation or co-hydrogenation facility, bioethanol/biogas plants)</b>						<input type="checkbox"/> N/A
3.2.1	Are the requirements of the sustainability ordinances satisfied when sustainability certificates are issued?						
3.2.2	Are the certificates issued complete and correct? Do they correspond to the predefined template?						
3.2.3	Are the sustainability certificates and the documents required for their issuance kept for at least 10 years?						

No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
3.2.4	Does the last interface calculate the greenhouse gas emission savings? Are the calculations complete and transparent? Are all required records available upon request?						
<b>3.3</b>	<b>Suppliers after the last interface (optional certification)</b>	<input type="checkbox"/> N/A					
3.3.1	Is a partial sustainability certificate issued for every delivery of biomass after the last interface?						
3.3.2	Does the mass balance system of the supplier ensure that the information from the sustainability certificates received is correctly transferred when issuing partial sustainability certificates (both when biomass is divided up into smaller quantities as well as mixed)?						
<b>Evaluation of the audit results</b>		<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>N/A</b>	<b>KO (no certificate)</b>
Number of evaluations		0	0	0	0	0	1
Total of all evaluations (not including N/A evaluations)		0					
<b>Inspection results as a %</b>							
Score ( A=20 pts, B=15 pts, C=5 pts, D=0 pts, N/A=0 pts, KO = no certificate)		0	0	0	0	0	0
Total of all points		0					
Max. number of points		0					
Inspection result as a % (total of all points divided by the max. number of points * 100)		#DIV/0!					

Action plan

No.	Criterion/requirement	Evaluation			Comments	Agreed corrective measures	Deadline for implementation	Inspection of implementation of the corrective measures by the auditor	
		B	C	D/K O				Date	Result (fulfilled / not fulfilled)