

| Participant no. | Certification body | Internal unique report no. of the Certification body |
|-----------------|--------------------|--|
| | | |

Please enter all information legibly !!!

Operation/operating site (hereinafter referred to as operation):
(Stamp if applicable)

Company name: _____

Address: _____

Person responsible: _____

Country:

Audit information

Audit date: from a.m./p.m. to a.m./p.m.
 from a.m./p.m. to a.m./p.m.
 from a.m./p.m. to a.m./p.m.

Audit type: Initial audit Surveillance audit
 Re-certification audit Follow-up audit
 Audit of a group member (only for REDcert²)

Audit method: On-site audit Desk audit Remote audit

Name of the auditor: _____

Audit scope EU REDcert² EU + REDcert²

Result of the audit

| Audit result | Classification | Measures |
|--------------------|--|---|
| 100% | <input type="checkbox"/> <u>COMPLAINT</u> REDcert requirements are completely satisfied | No corrective measures required |
| 75 - 99% | <input type="checkbox"/> <u>PARTIALLY COMPLAINT</u> REDcert requirements are largely satisfied | Routine documentation, agree on corrective measures, check implementation |
| < 75 % or KO | <input type="checkbox"/> <u>NON-COMPLAINT</u> REDcert requirements are NOT satisfied | Send audit report to REDcert and BLE (within 24h after the inspection) Follow-up audit required |

Follow-up audit required? No Yes Proposed date:

Copy received

Signature of the auditor

Signature of the system participant
(person responsible)

For accuracy: _____

Date Signature of the person responsible at the certification body

Checklist for the audit of interfaces, storage facilities and suppliers - REDcert-EU + REDcert²

| 1. Information about the operation | | |
|--|--------------------------|--------------------------|
| Company name | | |
| Group certification of points of origin (please also fill out 5!) | <input type="checkbox"/> | |
| 101 - Group certification of farms (please also fill out 5!) | <input type="checkbox"/> | |
| 2. Scope of application | | |
| | EU | REDcert ² |
| 102 - Farm | <input type="checkbox"/> | <input type="checkbox"/> |
| 103 - Point of origin | <input type="checkbox"/> | |
| 201 - First gathering point | <input type="checkbox"/> | <input type="checkbox"/> |
| 202 - Collector of waste/residues | <input type="checkbox"/> | |
| 301 - Oil mill | <input type="checkbox"/> | |
| 302 - Sugar mill | <input type="checkbox"/> | |
| 303 - Biogas plant | <input type="checkbox"/> | |
| 304 - Waste oil / fat treatment plant / fat melting plant | <input type="checkbox"/> | |
| 305 - Bioethanol plant - no fuel quality | <input type="checkbox"/> | |
| 306 - Waste recycling plant | <input type="checkbox"/> | |
| 308 - Pulp factory - thin liquor | <input type="checkbox"/> | |
| 401 - Oil mill / fat refinery (pure fuel / bioliquid) | <input type="checkbox"/> | |
| 403 - Esterification plant | <input type="checkbox"/> | |
| 404 - Hydrogenation unit | <input type="checkbox"/> | |
| 405 - Bioethanol plant | <input type="checkbox"/> | |
| 406 - Biogas plant (REA) | <input type="checkbox"/> | |
| 407 - Biogas upgrading plant | <input type="checkbox"/> | |
| 408 - Pulp factory | <input type="checkbox"/> | |
| 409 - Biomethanol unit | <input type="checkbox"/> | |
| 410 - Co-process hydrogenation plant | <input type="checkbox"/> | |
| 411 - Biomethane liquefaction plant | <input type="checkbox"/> | |
| 601 - Conversion unit | | <input type="checkbox"/> |
| 501 - Supplier before the last interface | <input type="checkbox"/> | <input type="checkbox"/> |
| 502 - Supplier after the last interface | <input type="checkbox"/> | <input type="checkbox"/> |
| 503 - ETBE plant | <input type="checkbox"/> | |
| 504 - MTBE plant | <input type="checkbox"/> | |
| 505 - TAEE plant | <input type="checkbox"/> | |

| | | | | |
|--|----|---|------------------------|-------------|
| 3. Date of initial operating: | | | | |
| | | | | |
| 4. Number of affiliated warehouses / silos/ sites : | | | | |
| | | | | |
| Inspected as part of the random inspection (square root of sites): | | | | |
| Sites visited (operating site and audit date) Expand list if necessary or attach as an enclosure! | | Name, Street, Post code, City | Audit date | |
| | 1 | | | |
| | 2 | | | |
| | 3 | | | |
| | 4 | | | |
| | 5 | | | |
| | 6 | | | |
| | 7 | | | |
| | 8 | | | |
| 5. Number of farms supplying biomass / waste producers: | | | | |
| | | | | |
| Inspected as part of the random inspection (square root of farms / waste producers): | | | | |
| Farms / waste producers visited (farm / waste producers and inspection date) Expand list if necessary or attach as an enclosure! | | Farm Name, Street, Post code, City | Inspection date | |
| | 1 | | | |
| | 2 | | | |
| | 3 | | | |
| | 4 | | | |
| | 5 | | | |
| | 6 | | | |
| | 7 | | | |
| | 8 | | | |
| | 9 | | | |
| | 10 | | | |
| | 11 | | | |
| | 12 | | | |
| | 13 | | | |
| 6. Amount of the mass of solid, liquid or gaseous biomass or biofuel delivered as sustainable of the previous two calendar half-years | | | | |
| Biomass REDcert-EU + REDcert² Expand list if necessary or attach as an enclosure! | | Type | Amount | Unit |
| | 1 | | | |
| | 2 | | | |
| | 3 | | | |
| | 4 | | | |
| Note: All fields are mandatory! | | | | |

| Key: | | | | | | | |
|--|---|--------------------------|--------------------------|----------------------------------|-------------------------------------|--------------------------|--|
| Complaint = Complete compliance | | <input type="checkbox"/> | | = Input field | | | |
| Minor = Almost complete compliance | | <input type="checkbox"/> | | = Input field with KO evaluation | | | |
| Major = Scheme requirements only partially fulfilled | | <input type="checkbox"/> | | = Input field with KO evaluation | | | |
| Critical / KO = Scheme requirement not fulfilled | | <input type="checkbox"/> | | = Input field with KO evaluation | | | |
| N/A = Scheme requirements are not applicable | | <input type="checkbox"/> | | = Input not possible | | | |
| Company name: | | Audit date: | | | | | |
| Consec. no. | Criterion/requirement | Evaluation | | | | | Comments / description of the inspected documents / records / certificates |
| | | COMPLIANT | MINOR | MAJOR | CRITICAL / KO | NOT APPLICABLE (N/A) | |
| 1 | System principles | | | | | | |
| 1.1 | General system requirements | | | | | | |
| 1.1.1 | Is there a written commitment to comply with the scheme requirements within the scope of application? (e.g. in the form of a certificate or contract with REDcert) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| 1.1.2 | Is the scope specified consistent with the scope entered in the REDcert database? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| 1.1.3 | Are there contracts with third parties (sub-contractors, external service providers, intermediaries) that ensure that all of the information necessary to meet the requirements has been passed on? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| 1.1.4 | If transshipment points are used, was their status as transshipment points verified on site at least once by the certification body responsible? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| 1.1.5 | Are only activities performed at the designated transshipment points (waste and residues) which would classify it as an operational unit (warehouse / silo)? (N/A in case the transfer site was verifiably checked already in an earlier audit) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | |
| 1.2 | Organisational structure | | | | | | |
| 1.2.1 | Are the responsibilities and duties of the employees clearly stipulated and documented in writing? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 1.2.2 | Are the people affected aware of their duties? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 1.2.3 | Has the operation appointed someone responsible for implementing and maintaining the QM system according to the REDcert requirements? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 1.3 | Staff qualification and training | | | | | | |
| 1.3.1 | Are the employees responsible in the company aware of the requirements of Directive (EU) 2018/2001 and the REDcert/REDcert ² requirements and do they have the necessary knowledge (qualification) to meet them? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 1.3.2 | Are the employees verifiably trained to fulfil their duties or can their qualifications be plausibly proven otherwise? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

| 1.4 | | Mass balance system | | | | | |
|-------|--|-------------------------------|--|--|--|--|--|
| 1.4.1 | Has the operation introduced a suitable mass balance system that guarantees that the requirements of Directive (EU) 2018/2001 and / or REDcert ² are satisfied? | | | | | | |
| 1.4.2 | Does balancing of sustainable biomass occur at permissible intervals defined by the operation? | | | | | | |
| 1.4.3 | Is balancing of sustainable biomass documented and does it include the necessary records of the biomass received, changed in the operating process and delivered? | | | | | | |
| 1.4.4 | Is it ensured that in the mass balance system REDcert ² and REDcert-EU biomass is considered separately? | | | | | | |
| 1.4.5 | Does the operation have appropriate technical equipment or procedures to carry out the mass balance accurately and properly? | | | | | | |
| 1.4.6 | Was the accounting process complete and correct? | | | | | | |
| 1.5 | | GHG calculation | | | | | |
| 1.5.1 | Are all required documents up-to-date and complete? The information about the actual GHG emissions is listed consistently for all elements of the formula in accordance with Directive (EU) 2018/2001 | | | | | | |
| 1.5.2 | Is the GHG calculation method consistent with the method specified in the scheme principles for GHG calculation? | | | | | | |
| 1.5.3 | Are the GHG calculations complete, transparent and plausible? (for individual GHG calculation: reference result of the greenhouse gas balance evaluated prior to this) | | | | | | |
| 1.6 | | Documentation | | | | | |
| 1.6.1 | Are the necessary documents and records checked to ensure that they are up-to-date and complete and kept in a safe place? | | | | | | |
| 1.6.2 | Are the documents and records legible and is there a transparent link between the biomass and the records? | | | | | | |
| 1.6.3 | Are the documents and records kept in line with the valid audit intervals and can they be provided? | | | | | | |
| 1.6.4 | The self-declaration(s) submitted to the Groupmanager is/are legible, complete and correct. | | | | | | |
| 1.6.5 | Are all consignments to or services for other economic operators contractually defined and is the respective flow of goods documented? | | | | | | |
| 1.7 | | Dealing with non-conformities | | | | | |
| 1.7.1 | Is there a documented procedure for dealing with non-conformities and is it followed? Are corrective measures undertaken as quickly as possible? | | | | | | |
| 1.7.2 | Are preventative measures formulated and implemented to prevent future non-conformities from occurring? | | | | | | |

| | | | | | | | |
|------------|---|------------------------------|--|--|--|--|--|
| 1.8 | Reporting and passing on information | | | | | | |
| 1.8.1 | Are the purchasers of sustainable biomass provided with all required data and information? | | | | | | |
| 1.8.2 | Is it guaranteed that this data is handled confidentially when passing on sensitive company-related information to downstream operations? | | | | | | |
| 1.9 | Group organisation and group administration (Only if the prerequisites for group certification are fulfilled!) | <input type="checkbox"/> N/A | | | | | |
| 1.9.1 | Is there a central group administrative office responsible for the organisation and internal monitoring of the group members? | | | | | | |
| 1.9.2 | Is there an up-to-date and complete site registry? | | | | | | |
| 1.9.3 | Is the group homogeneous? Do the group members have -comparable production systems and products? -near adjacent areas? -similar characteristics? -similar waste characteristics? | | | | | | |
| 1.9.4 | Are there valid contracts/invoices between the individual operations and the group management regulating their relationship? | | | | | | |
| 1.9.5 | Is an internal audit carried out to determine whether new members satisfy the scheme requirements before they can join the group? | | | | | | |
| 2 | Process step-specific requirements | | | | | | |
| 2.1 | General requirements | | | | | | |
| 2.1.1 | Has the operation identified / defined and documented the sequence of processes in its own scope of application? | | | | | | |
| 2.2 | Incoming biomass | | | | | | |
| 2.2.1 | Is it clear from the records who conducted the audit and verified the data and quantities upon receipt of sustainable biomass in the operation? | | | | | | |
| 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 scheme - the type of sustainable biomass received - the quantity of sustainable biomass - the date the sustainable biomass was received - the GHG emissions in grams of carbon dioxide equivalents per kilogram of dry matter of the sustainable biomass received (in the case of individual calculation or if requested by the recipient of the biomass) OR the information about which disaggregated or default values are to be applied to the sustainable biomass received - country of cultivation or origin of the biomass | | | | | | |
| 2.2.3 | Are there purchasing contracts or other industry-relevant documents or documents similar to purchasing contracts? | | | | | | |

| 2.3 | | Internal processes (processing and mixing) | | | | |
|-------|---|--|--|--|--|--|
| 2.3.1 | Is every newly produced quantity of biomass from internal processes recorded in a mass balance system? | | | | | |
| 2.3.2 | Is the following data recorded: - type of internal process (e.g. pressing, refining, mixing of the sustainable biomass in tank storage, etc.) - quantity of sustainable biomass that went into the process - quantity of sustainable biomass that went out of the process - process and facility-specific conversion rates/conversion factors(kg/kg)/losses for intermediate products - process and facility-specific conversion rates/conversion factors (MJ/MJ)/ losses for end products - upstream emissions - allocation of the GHG emissions - GHG emissions after allocation? | | | | | |
| 2.3.3 | Are pre-emissions and resulting GHG emissions recorded in internal processes and are GHG emissions allocated? | | | | | |
| 2.3.4 | Do the records show who has carried out the control and verification of the information on the internal process in the establishment? | | | | | |
| 2.4 | | Outgoing biomass | | | | |
| 2.4.1 | Is the following data recorded at a minimum and passed on to the downstream operation: - the certificate number and name of the relevant certification scheme - the type of sustainable biomass supplied - the date the sustainable biomass was supplied - quantity of sustainable biomass - the GHG emissions in grams of carbon dioxide equivalents per kilogram of dry matter of the sustainable biomass (in the case of individual calculation or if requested by the recipient of the biomass) OR the information about which disaggregated or default values are to be applied to the sustainable biomass - country of cultivation or | | | | | |
| 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? | | | | | |
| 3 | | Step-specific requirements | | | | |
| 3.1 | | First gathering point / collection point waste and residues <input type="checkbox"/> N/A | | | | |
| 3.1.1 | Were the declarations of the farms / waste producers checked for plausibility and completeness by the first gathering point (e.g. the declaration of NUTS 2 values in kg of dry matter for outgoing biomass)? | | | | | |
| 3.1.2 | Is the biomass transparently assigned to the respective farm / waste producer? | | | | | |
| 3.1.3 | When the biomass is delivered from a farm, is the respective location of cultivation of the biomass documented? | | | | | |
| 3.1.4 | Are there records for the quantities of biomass designated of collected private households and are they plausible? | | | | | |
| 3.1.5 | Are the amounts collected from private households documented and are they plausible? | | | | | |
| 3.1.6 | For collectors: Is it ensured that the waste declaration (e.g. waste code) in the incoming and outgoing biomass is identical? | | | | | |

| 3.2 Other interfaces (oil mills, esterification facility, hydrogenation or co-hydrogenation facility, bioethanol/biogas plants) <input type="checkbox"/> N/A | | | | | | |
|--|---|-----------|-------|-------|---------------|----------------------|
| 3.2.1 | Are the scheme requirements satisfied when proofs of sustainability are issued? | | | | | |
| 3.2.2 | Are the issued proofs of sustainability complete, correct and consistent with the applied template (e.g. Nabisy, REDcert, etc.)? | | | | | |
| 3.2.3 | Are the proofs of sustainabilities and the documents required for their issuance kept for at least 5 years? | | | | | |
| 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? The last interface supplying biofuel, bioliquids or biomass fuels provides information on the date the installation became operational. | | | | | |
| 3.3 Suppliers after the last interface <input type="checkbox"/> N/A | | | | | | |
| 3.3.1 | Is a (partial) proof of sustainability 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 (partial) proof of sustainability received is correctly transferred when issuing (partial) proof of sustainability (both when biomass is divided up into smaller quantities as well as mixed)? | | | | | |
| Evaluation of the audit results | | COMPLIANT | MINOR | MAJOR | CRITICAL / KO | NOT APPLICABLE (N/A) |
| Number of evaluations | | 0 | 0 | 0 | 0 | 0 |
| Total of all evaluations (not including N/A evaluations) | | 0 | | | | |
| Audit results as a % | | | | | | |
| Number of points (COMPLIANT=20 pts, MINOR=15 pts, MAJOR=5 pts, CRITICAL / KO=0 pts, NOT APPLICABLE (N/A)=0 pts, KO = no certificate) | | 0 | 0 | 0 | 0 | 0 |
| Total of all points | | 0 | | | | |
| Max. number of points | | 0 | | | | |
| Audit result as a % (total of all points divided by the max. number of points * 100) | | | | | | |

