

Checklist for the inspection of interfaces and suppliers pursuant to the Biomass Sustainability Ordinances

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

**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: \_\_\_\_\_ from \_\_\_\_\_ 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-conformity/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 system participant (person responsible)

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

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**1. Information about the operation**

Company:	
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Very small operation	<input type="checkbox"/>
Small operation	<input type="checkbox"/>

**2. Scope of application**

Collection point = first gathering point (please also fill out 3!)	<input type="checkbox"/>
Treatment/biofuel operations/refineries	<input type="checkbox"/>
Supplier/dealer for input products	<input type="checkbox"/>
Supplier/dealer for end products	<input type="checkbox"/>

**3. Number of affiliated, non-autonomous operating sites:**

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**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!		Company Name, street, post code, city	Inspection date
		1	
	2		
	3		
	4		
	5		
	6		
	7		

**4. Number of operations supplying biomass (waste producers):**

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**The following waste producers were inspected as part of the 5% random inspection:**

**Risk level:**

Waste producers visited (enter operation and inspection date) Expand list if necessary!		Company Name, street, post code, city	Inspection date
		1	
	2		
	3		
	4		
	5		
	6		
	7		
	8		
	9		
	10		
	11		

**5. Quantity (t) of biomass (solid/liquid) handled last calendar year:**

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

Checkliste für die Kontrolle von Schnittstellen und Lieferanten  
gemäß der Biomasse-Nachhaltigkeitsverordnungen

<b>Key:</b> A=Complete compliance; B=Almost complete compliance, C=System requirements only partially satisfied, D=System requirements not satisfied, N/A=System requirements not applicable  "Waste"/"residuals" = "Biomass"							
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) that ensure that all of the information necessary to meet the requirements has been passed on?						
1.1.3	If transshipment points are used, was their status as transshipment points verified on-site at least once by the certification body responsible?						
1.1.4	Are there any activities performed at the designated transshipment point that result in its classification as an operating site (warehouse/silo)? (N/A if the transshipment point was already inspected in a prior audit)						
<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?						

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No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
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)?						
<b>1.4</b>	<b>Dealing with non-conformities</b>						
1.4.1	Is there a documented procedure for dealing with non-conformities and is it followed? Are corrective measures undertaken as quickly as possible?						
1.4.2	Are preventative measures formulated and implemented to prevent future non-conformities from occurring?						
<b>1.5</b>	<b>Reporting and passing on information</b>						
1.5.1	Are the purchasers of sustainable biomass provided with all required data and information?						
1.5.2	Is it guaranteed that this data is handled confidentially when passing on sensitive company-related information to downstream operations?						

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No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
<b>2</b>	<b>Traceability in accordance with the principles of mass balancing and documentation</b>						
2.1.	Has the operation introduced a suitable traceability system in accordance with the principles of mass balancing that guarantees that the REDcert system requirements and the requirements of the Biomass Sustainability Ordinances are satisfied?						
2.2	Is traceability ensured at all process stages in the company?						
2.3	Is the traceability system internally tested on a regular basis, at least once a year? Are the test results documented?						
2.4	Was traceability tested as part of the on-site inspection and can it be verified by means of at least 1 example?						
2.5	Are the records legible and is there a transparent link between the biomass (raw materials, intermediate and end products) and the records?						
2.6	Are the necessary records checked to ensure that they are up-to-date and complete and kept in a safe place?						
2.7	Are the records kept for at least 10 years and can they be provided?						
2.8	Can the possibility be ruled out that biomass is not intentionally mixed either completely or in part with animal oils or fats in accordance with the Biomass Sustainability Ordinances?						

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No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
<b>3</b>	<b>Process step-specific requirements</b>						
<b>3.1</b>	<b>General requirements</b>						
3.1.1	Has the operation identified/defined and documented the sequence of processes in its own scope of application?						
<b>3.2</b>	<b>Incoming biomass</b>						
3.2.1	Is it clear from the records who conducted the inspection and verified the data and quantities upon receipt of sustainable biomass in the operation?						
3.2.2	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 of the incoming sustainable biomass as an absolute values OR - the partial or standard values to be applied to the incoming sustainable biomass						
3.2.3	Are there purchasing contracts or other industry-relevant documents or documents similar to purchasing contracts?						
<b>3.3</b>	<b>Internal processes (processing and mixing)</b>						

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No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
3.3.1	Is every newly produced quantity of biomass from internal processes recorded in a traceability system?						
3.3.2	Is the following data recorded: - the type of internal processes - the quantity of sustainable biomass that entered the process - the quantity of sustainable biomass that left the process - process and facility-specific conversion rates/conversion factors/losses - GHG emissions, - allocation of the GHG emissions - balancing of the GHG values (if permitted)						
<b>3.4</b>	<b>Outgoing biomass</b>						
3.4.1	Is the following data recorded at a minimum and passed on to the downstream operation: - certificate number and name of the certification system - type of sustainable biomass supplied - date the sustainable biomass left the premises - the quantity of sustainable biomass - the GHG emissions of outgoing sustainable biomass as an absolute value OR - the partial or standard values to be applied to the incoming sustainable biomass.						



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No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
3.4.2	Do these records make it possible to establish a link to the documented incoming goods?						
3.4.3	Are the incoming and outgoing quantities of biomass plausible?						
<b>4</b>	<b>Step-specific requirements</b>						
<b>4.1</b>	<b>Collection point (first gathering point)</b>						<input type="checkbox"/> N/A
4.1.1	Were the self-declarations of the waste producers of the collection point (first gathering point) checked for plausibility and that they are complete?						
4.1.2	Is the assignment from the biomass to the respective waste producer transparent?						
4.1.3	Is the waste from private households only accepted under the supervision of trained personnel?						
4.1.4	Are the collection containers for accepting private household waste clearly labelled to indicate that animal waste/fat/oil is not permitted?						
4.1.5	Are there records for the quantities of biomass collected by private households and are they plausible?						
4.1.6	If waste/residual materials are only processed by purely mechanical means, is it ensured that the waste classification code (in Germany, the AVV no.) is the same for the incoming and						
<b>4.2</b>	<b>Conversion operations (final interfaces)</b>						<input type="checkbox"/> N/A

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No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
4.2.1	Are the requirements of the sustainability ordinances satisfied when sustainability certificates are issued?						
4.2.2	Are the certificates issued complete and correct? Do they correspond to the predefined template?						
4.2.3	Does the final interface calculate the greenhouse gas emission savings? Are the calculations complete and transparent? Are all required records available upon request?						
4.2.6	Are the sustainability certificates and the documents required for their issuance kept for at least 10 years?						
<b>4.3</b>	<b>Suppliers after the final interface</b>						<input type="checkbox"/> N/A
4.3.1	Is a partial sustainability certificate issued for every delivery of biomass after the last interface?						
4.3.2	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>5</b>	<b>GHG calculation</b>						<input type="checkbox"/> N/A
5.1	Are all required documents and records are up-to-date and complete?						

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No.	Criterion/requirement	Evaluation					Comments/description of the inspected
		A	B	C	D/KO	N/A	
5.2	Is the GHG calculation carried out in line with the methodology defined in the sustainability ordinances?						
5.3	Are the GHG calculations complete and transparent?						
<b>Evaluation of the audit results</b>							
		A	B	C	D	N/A	KO (no certificate)
Number of evaluations		0	0	0	0	0	
Total of all evaluations (not including N/A evaluations)		0					
<b>Inspection results as a %</b>							
No. of points ( 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!					

Maßnahmeplan

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