



REDcert

Scheme principles for neutral inspections

Version 05

1	Inspection system	4
1.1	Types of inspections.....	5
1.1.1	Scheme inspections	5
1.1.2	Special inspections	6
1.2	Inspection process and duration.....	6
1.3	Inspection intervals	6
1.4	Evaluation of the inspection results	6
1.5	Reporting	8
1.6	Issuing and revoking certificates.....	9
1.7	Scope of the inspections	9
	Group certification	9
1.8	Risk management	11
2	Defining the scope of the sample for upstream operations	13
2.1	Group inspections and certification for farms.....	13
2.1.1	Scope and process of sample inspections for groups.....	14
2.1.2	Threshold for a failed inspection.....	15
2.2	Inspections and certification of waste producers	15
2.2.1	Scope and process of sample inspections.....	16
2.2.2	Threshold for a failed inspection.....	16
2.3	Inspections and certification of storage facilities	16
2.3.1	Scope and process of sample inspections for storage facilities	17
2.3.2	Threshold for a failed inspection.....	17
2.3.3	Exception for transshipment points	18
3	Requirements and responsibilities of certification bodies.....	19
3.1	Requirements for certification bodies	19
3.1.1	Recognition by a national authority or accreditation body.....	19
3.1.2	Registration by REDcert and contract conclusion.....	19
3.1.3	Independence and impartiality.....	20
3.1.4	Technical and staffing requirements.....	20
3.1.5	Principle of peer review	20
3.1.6	Handling complaints and claims	20
3.2	Revoking approval	20
3.3	Responsibilities of certification bodies	21
3.3.1	Risk management	21

3.3.2	Performing inspections and issuing certificates and inspection certificates.....	21
3.3.3	Lists of interfaces	22
3.3.4	Storing and handling information	22
3.3.5	External and internal training for inspectors.....	23
4	Requirements of REDcert inspectors	24
4.1	Training and qualification	24
4.2	Required knowledge, professional and practical experience as an inspector	26
4.2.1	Further education and training.....	27
5	Registration process.....	28
5.1	Relevant documents.....	29
5.1.1	Registering a scheme partner.....	29
5.1.2	Registering a certification body	29
5.1.3	Registering an inspector	30
6	REDcert integrity and quality assurance measures	31
6.1	Internal monitoring	32
6.2	Complaint management system	33
6.3	Quality assurance measures to monitor the entire REDcert scheme	33
6.3.1	Special inspections	34
7	Relevant documents	35

1 Inspection system

To ensure the sustainable production of biofuels and bioliquids as well as biomass for energy purposes, the participants involved in the value chain are subject to neutral inspections. Certification bodies registered and accredited with REDcert check compliance with the scheme requirements along the entire production, processing and supply chain.

Economic operators along the entire biomass 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 document “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, the certification body selected saves the legally binding declaration about performing inspections in the REDcert scheme and carries out the inspection.

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

The inspection and certification process comprises the following steps:

1. The commissioned certification body conducts the initial inspection of the operation (on-site inspection and evaluation of the scheme requirements).
2. The certification body writes the inspection report and saves it in the REDcert database.
3. REDcert registers the inspection report.
4. The certification body issues the certificate (certificate/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 biofuels/bioliquids once these steps have been completed.

5. Follow-up inspections (recertification inspection) within 12 months, etc.

1.1 Types of inspections

There are two kinds of neutral inspections: scheme inspections und special inspections.

1.1.1 Scheme inspections

During a scheme inspection, compliance with scheme requirements is checked using the REDcert checklists specific to each process step. A scheme inspection consists of the initial inspection, the follow-up inspection and the recertification inspection.

Initial inspection: An initial inspection (prior to approval for participation in the REDcert scheme) is a fixed component of the scheme is and mandatory.

The initial inspection is the first check and assessment of compliance with the REDcert requirements prior to certification of an economic operator. During the inspection, the processes are checked for coherence, and the documentation checked for accuracy, completeness, thoroughness and plausibility.

Recertification inspection: The recertification inspection is a complete follow-up inspection to check whether the operation still satisfies the scheme requirements and that agreed corrective measures have been implemented. 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. Every operation bears sole responsibility for ensuring that the relevant deadlines are met.

Prior to recertification of an economic operator that was previously found to be in major non-conformity with the requirement of declaring the names of all schemes they participate in and making all relevant information, including the mass balance data and the auditing reports, available to the inspector, or was found to be in violation with any other aspect of the mandatory sustainability criteria, the certification body must inform REDcert.

Follow-up inspection: A follow-up inspection is required if major non-conformities related to the fulfilment of the REDcert requirements are found during the initial/recertification inspection that would prevent participation in the scheme or would result in the loss of the existing certification. The main priority of a follow-up inspection which must take place within 3 months after the previous inspection 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 inspection and the follow-up inspection.

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

1.1.2 Special inspections

Special inspections 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 objective facts are determined on-site in these inspections. 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).

All inspections (scheme and special inspections) may only be conducted by inspectors/auditors approved by REDcert.

1.2 Inspection process and duration

Inspections are to be carried out in accordance with the requirements of ISO 19011.

The duration of the inspection is determined by the respective certification body and contractually agreed with the respective operation prior to beginning the inspection.

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

1.3 Inspection intervals

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

The follow-up inspection is conducted before the existing certificate or inspection certificate expires to ensure that certification is continuous.

1.4 Evaluation of the inspection 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

Number of points	Explanation	Number of points
A	Complete compliance	20 points
B	Almost complete compliance	15 points
C	Scheme requirements only partially fulfilled	5 points
D	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 inspection 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 inspection must be performed. The new date is to be agreed with the respective certification body depending on the type and severity of the violation.

The preliminary results of the inspection are determined by the inspector at the end of the inspection and explained to the operation being inspected. Depending on the number of points achieved or whether a criterion is evaluated as KO, the inspections are categorised in the following groups:

No non-conformities (100%)

No problems were found, the REDcert requirements are fully satisfied.

⇒ Certificate/inspection certificate can be issued

Minor non-conformities (75–99%)

The scheme requirements are not fully satisfied but the non-conformities found do not put the scheme integrity at risk.

The corrective measures agreed with the inspection body must be implemented by the dates specified.

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

Major non-conformities (< 75% and/or KO evaluation/s)

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

⇒ No certificate/inspection certificate.

The problems found are tracked and sanctions introduced in accordance with the REDcert sanction system.

If major non-conformities are found, the neutral certification body is required:

- to inform REDcert within 24 hours (i.e. send the inspection report to REDcert in electronic form)
- to agree to corrective measures with the scheme participant and
- to define an appropriate timeframe or a deadline by which the operation has to verify implementation of the corrective measures – usually through another on-site inspection (follow-up inspection)

Prior to recertification of an economic operator that was previously found to be in major non-conformity with the requirement of declaring the names of all schemes they participate in and making all relevant information, including the mass balance data and the auditing reports, available to the inspector, or was found to be in violation with any other aspect of the mandatory sustainability criteria, the certification body must inform REDcert.

1.5 Reporting

After the inspection, the inspector creates an inspection report using the report forms provided by REDcert that are part of the checklists specific to each process step. This report must be countersigned by the person responsible in the operation undergoing the inspection.

The inspection report/checklist contains information about e.g. the start and end of the inspection (duration of the inspection), the address where the inspection was conducted, the inspection participants, the inspection result, the evaluation of each individual requirement and a list of the documents checked. The inspection report also includes information on how the operations are classified to determine the scope of the inspection, 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 inspection report also gives a comprehensive overview of the inspection and certification process.

Copies of the inspection report are provided to REDcert in the REDcert database no later than 6 weeks after the on-site inspection. If there are questions about the results, REDcert

contacts the respective certification body.

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

1.6 Issuing and revoking certificates

It is up to the discretion of the respective certification body to decide whether to issue or revoke a certificate.

A maximum of 6 weeks may lie between the day of inspection and the issuance of the certificate. If this is the first 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.

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

1.7 Scope of the inspections

Individual inspection and certification of a single operating site:

The inspections only apply for the operating site in which they were performed (site-specific). The operating site inspected is issued a certificate or an inspection certificate when it passes the inspection (see 1.4). All economic operators along the supply chain can be individually certified. In the case of a first gathering point, all operating sites must be included in the inspection.

Group certification:

Certification of a group of farms with similar production systems where certification applies to the group as a whole. In these cases, a selection of various operations in the group can be spot checked as a representative sample as proof that all units 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 inspection is conducted once a year. The sample inspections are defined by the certification body. The inspection certificate is valid for all group members.

Group certification is only possible for farms, 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 2).

It is generally expected that group inspections are conducted on site (e.g. that inspectors 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 inspection 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). Examples of what needs to be inspected in and for the respective time frames: 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 defined criteria 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 document inspection shows 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).

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

Document inspection:

When inspecting 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 inspectors 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 inspector knows which schemes they participate in and that

all relevant information is made available to the inspector. This also includes the complete mass balancing documents for a site and access to reports from previous inspections¹.

To further improve the robustness of the verification procedure (inspections), 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 inspector. Such verification can be performed during the inspection 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 inspectors in advance of the planned inspection. The inspector should in turn record the emissions incurred from processing at the inspected operating site (emissions after allocation) and, if relevant, the actual savings in the inspection 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 deviation². For more information, see the REDcert scheme principles for GHG calculation.

1.8 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 inspections and at sufficient intervals so that the legal requirements set forth in Directive 2009/28/EC and scheme-specific requirements for biomass production 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 value 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 first inspection) or in the immediate loss of the certificate (under the scope of follow-up inspections). 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.

¹ 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).

² European Commission DG ENER: Note on conducting and verifying actual calculations of GHG emission savings (2015) at: <https://ec.europa.eu/energy/sites/ener/files/documents/Note%20on%20GHG%20final.pdf> (accessed on 10.10.2016).

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.

2 Defining the scope of the sample for upstream operations

A certificate for the first gathering point can only be issued if the inspections of the farms and the upstream storage facilities 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.

A farm can belong to a group which is described below (see 2.1). If not, every operation must be inspected and certified separately.

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.

2.1 Group inspections and certification for farms

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, but all of the farms in the group must be legally or contractually affiliated with the main office of the group and be subject to a shared management system that is defined and set up as well as monitored and internally inspected by the main office. This means that the main office has the right to mandate that the farms introduce necessary corrective measures. This must be documented if necessary in the official contract between the main office and the farms.

Group inspections are possible for farms that supply input material directly to the first gathering points.

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 inspection).

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

Groups can be formed by farms that are members of producer organisations and cooperatives 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 main 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 main office and appoint a representative of the group management who is responsible for managing the group and implementing the scheme requirements.
- The main 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.

2.1.1 Scope and process of sample inspections for groups

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. **Cross-compliance farms** are subject to sample inspections. The number of signed self-declarations before the initial inspection is used to define the scope of the samples.

If a valid certification for the REDcert scheme exists, the list of suppliers for the last REDcert inspection 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 recertification inspection, the two points above – the list of suppliers for the previous inspection 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 inspection, the larger number is to be used. An inspection is mandatory for **farms not subject to cross-compliance requirements**.

The main office and/or the first gathering point are inspected once a year.

When selecting operations 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

2.1.2 Threshold for a failed inspection

If at least 1/3 of the operations inspected do not meet the scheme requirements, the scope of the inspections must be doubled ($2 \cdot \sqrt{x}$, where x is the number of operations). If at least 1/3 of the additional 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 main office of the group will be informed of all major non-conformities. Only operations that satisfy the scheme requirements may supply biomass certified as “sustainable”. Operations that do not comply may not be part of the group.

2.2 Inspections and certification of waste producers

Collection points, interfaces and suppliers that operate in the production and supply chain and are registered in the REDcert scheme are required to undergo inspections and be certified. During the inspections, the following are checked: the requirements for traceability and mass balancing, 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 residual materials - 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 2009/28/EC.

2.2.1 Scope and process of sample inspections

As part of every on-site inspection of collection points, operations that supply waste and residual materials (known as waste producers) are subject to sample inspections. Waste producers that supply more than 10 tonnes of waste or residual materials a month (annual average) must be inspected on site by way of random sampling (\sqrt{x} **where x is the number of operations**). Waste producers that supply less than 10 tonnes of waste or residual materials do not generally need to be inspected on site. However, risk-based inspection of these waste producers is still possible. 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.

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 type of sample and the underlying risks as well as their assessment must be documented.

2.2.2 Threshold for a failed inspection

The conditions are described under 2.1.2. The terms “sustainable biomass” and “waste and residual materials” are used interchangeably here.

2.3 Inspections and certification of storage facilities

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 inspection of the first gathering point.

The first gathering point is inspected once a year. After a successful inspection, the first gathering point is issued a certificate that includes an annex containing a list of all storage facilities.

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).

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

2.3.1 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 inspections
- 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 operations
- changes since the last certification inspection
- 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 is inspected. 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 including the individual storage facilities.

2.3.2 Threshold for a failed inspection

If a major non-conformity is found at one of the operations inspected, a certificate will not be issued or the certificate will be revoked for the entire group (the certificate will be deleted from the REDcert database). Because only operations with valid certificates may supply sustainable biomass, neither the first gathering point nor the individual operations 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).

2.3.3 Exception for transshipment points

Transshipment points (and the use of them) are not considered operating sites subject to sample inspections as long as none of the following activities take place at these sites:

- documentation of incoming and outgoing goods
- weighing of incoming biomass
- long-term storage (more than 24 hours)
- mixture/transfer of biomass from one container to another
- processing/treatment of the biomass supplied

Transshipment points are defined accordingly as sites where goods 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 exception.

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.

The certification body must be notified of the use of transshipment points for the transshipment of sustainable biomass in accordance with the Directive 2009/28/EC. 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 inspection (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.

3 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 independent persons or legal entities that check compliance with the requirements of Directive 2009/28/EC along the production and supply chain. Operations can freely choose which certification body they want to work with. All certification bodies that participate in certification in the REDcert scheme have to fulfil the requirements below.

3.1 Requirements for certification bodies

3.1.1 Recognition by a national authority or accreditation body

All certification bodies require approval from the competent authority in the respective country or an accreditation in accordance with DIN EN ISO/IEC 17065 or ISO 17021 or a relevant regulation. This type of accreditation is conducted by the members of the International Accreditation Forum, by the bodies identified in Article 4 of Regulation (EC) 765/2008 or by bodies that have a bilateral agreement with the European Co-operation for Accreditation.

The certification bodies conduct their inspections 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.

3.1.2 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 5.1). 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 certification 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.

3.1.3 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 inspectors are independent of the interfaces, operations and suppliers and free of all conflicts of interest and can furnish proof of this.

3.1.4 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 2009/28/EC for all participants in the value chain. The certification bodies have sufficient qualified staff who fulfil the requirements listed under item 4. 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.

3.1.5 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 inspection. The certification body also appoints a person who has in-depth scheme knowledge and is responsible for communication with REDcert.

3.1.6 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.

3.2 Revoking approval

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

3.3 Responsibilities of certification bodies

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

3.3.1 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 2009/28/EC and the requirements of the REDcert certification scheme.

3.3.2 Performing 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 inspection process are specified by the standard ISO 19011. Inspections shall be properly planned, conducted and reported on. This generally means that the inspector:

- 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”² in the nature and complexity of the economic operator's activities
- analyses the risks that could lead to a material misstatement based on the inspector's professional knowledge and the information submitted by the economic operator

² 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)

- draws up an inspection 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 conclusion³

The certificate issued to the interface is a conformity certificate. Interfaces are issued a certificate when they fulfil the scheme's requirements. Economic operators that fulfil the requirements of Directive 2009/28/EC but are not themselves interfaces are issued an inspection certificate. Certificates and inspection certificates can only be issued after a positive on-site inspection.

3.3.3 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.

3.3.4 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 10 years. The inspection 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.

³ Communication from the Commission on voluntary schemes and default values in the EU biofuels and bioliquids sustainability scheme (2010/C 160/01)

3.3.5 External and internal training for inspectors

The certification bodies are responsible for implementing external and internal training for inspectors. REDcert supports the qualification and further training of the inspectors 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.

4 Requirements of REDcert inspectors

The inspectors are to be identified to REDcert by name and they must furnish 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 inspector 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 inspectors, to reject the application for registration or to revoke an existing approval.

4.1 Training and qualification

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

1. Knowledge of GHG balancing

All inspectors involved in GHG verification must demonstrate appropriate experience in GHG accounting (especially specific knowledge of the RED GHG calculation methodology). 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 GHG calculation methodology).

2. Inspections of farms

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

a) Knowledge of handling data sources

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.

b) Soil knowledge

The required soil knowledge for peatland identification and assessment of the degraded areas can be documented by, e.g. completed training and education in the areas of agricultural sciences, soil science, geological sciences, geocology, **landscape ecology**, environmental sciences.

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.

Verifying compliance with the “highly biodiverse grasslands” criterion requires technical knowledge that goes beyond the knowledge that is generally expected from the inspectors 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 inspector 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

account⁴.

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

Inspection of interfaces, warehouses and suppliers

Inspectors 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 orientated process engineering and renewable energies.

4.2 Required knowledge, professional and practical experience as an inspector

Special skills	Inspection methodology, communication skills, extensive knowledge of the legal requirements in the relevant area and of the REDcert scheme requirements
Required qualification as an inspector	Training (e.g. in accordance with EN 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 inspector	At least 5 inspections in the last 2 years in the inspected area (e.g. ISO 9001, ISO 14001, GMP, QS)

⁴ 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).

4.2.1 Further education and training

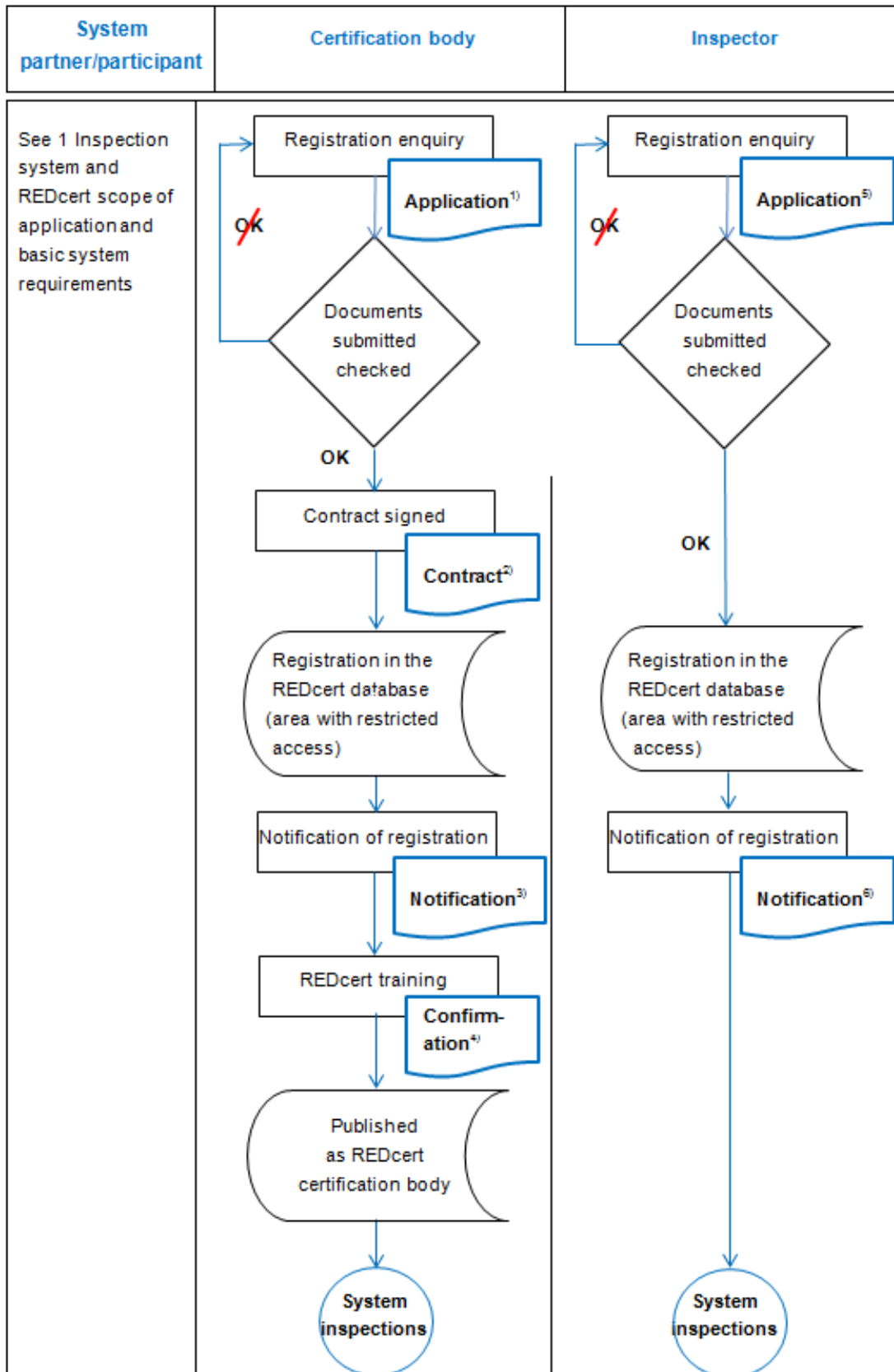
The inspectors must be trained in the REDcert scheme before they can begin their activities in the scheme. After the inspectors are approved, regular participation - at least once a year - in training for the REDcert scheme is mandatory. The training sessions are either offered and conducted by REDcert or, after consultation on content and scope, by the certification body responsible. This requires, however, that “information disseminators” at the certification body take part in the training offered by REDcert. All training sessions must be documented.

The topics covered in training include the following areas:

- content of the relevant legislation
- REDcert checklists for neutral inspections
- reporting
- practical questions about inspections and the REDcert scheme
- workshops to categorise non-conformities and guarantee consensus

5 Registration process

Figure 1: REDcert registration processes (1) to (6) see sections 5.1 and 5.2)



5.1 Relevant documents

5.1.1 Registering a scheme partner

See REDcert scheme principles “Scope and basic scheme requirements”

5.1.2 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 3 “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 “disseminators” in a certification body 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 participation certificate from REDcert that REDcert keeps on file.

5.1.3 Registering an inspector

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

The application includes questions in compressed form about information on what is expected from REDcert certification bodies formulated under section 4 “Requirements and responsibilities of REDcert inspectors”. 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 inspector in the REDcert scheme.

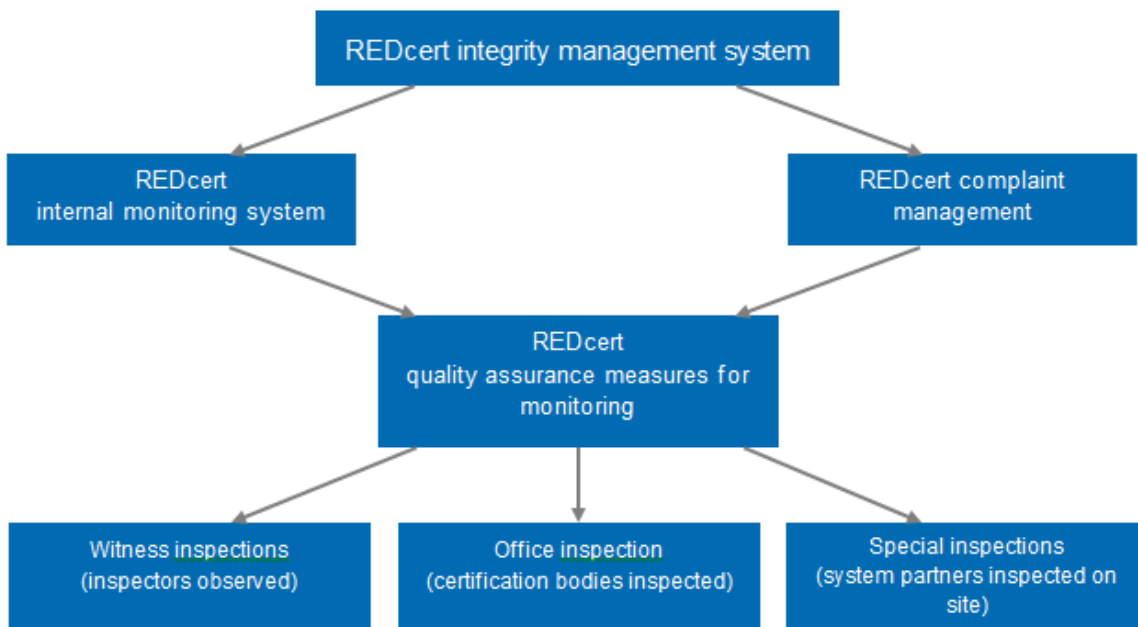
6) **Notification of registration of an inspector in the REDcert scheme**

When this registration notification is sent, the inspector 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 inspector in question.

6 REDcert integrity and quality assurance measures

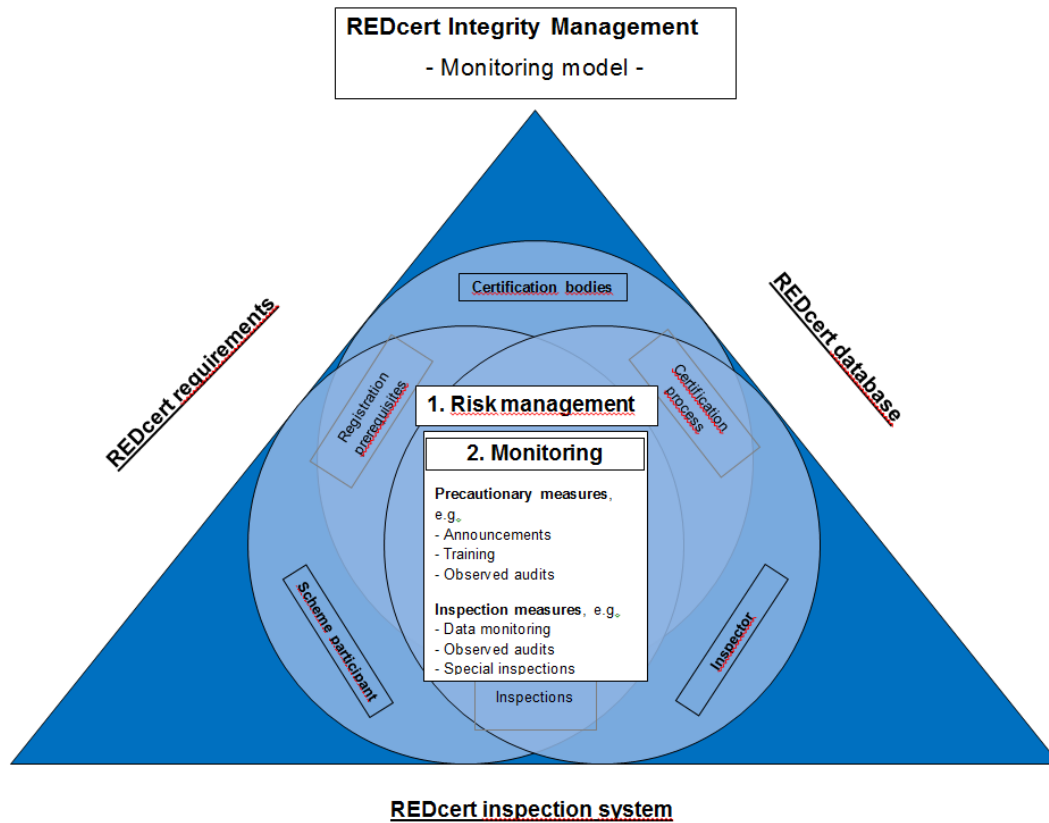
REDcert undertakes a number of measures to monitor scheme integrity and guarantee the quality of inspections as well as compliance with the scheme requirements. These include both preventative measures to assure the defined quality requirements as well as inspection measures that reflect the degree of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

Figure 2: REDcert integrity management system



6.1 Internal monitoring

Figure 3: Monitoring model



Internal monitoring, in addition to preventative measures, e.g. determining whether previous or current certifications exist upon registration of a new scheme participant to prevent “scheme hopping” and well as an extensive check of all certifications and inspectors prior to approval, also includes reviewing the inspection reports in the REDcert scheme. All inspection reports for the REDcert certification procedures are stored in the REDcert database and are reviewed by REDcert to ensure that they meet deadlines and are complete and current. In addition to the formal review by the certification body responsible, REDcert also performs spot checks to determine plausibility. Every certification body is subject to annual and, beyond this, more frequent inspection processes dealing with different topics, such as inspection reports. The goal is to identify weaknesses, to prevent incorrect or insufficiently substantiated information and harmonise the inspection quality of the certification bodies active in the REDcert scheme. The certification bodies are required to give an opinion on ambiguities and complete or correct the inspection reports in question (see also assuring scheme integrity and prevention of misuse and fraud in the REDcert scheme principles “Scope and basic scheme requirements”).

6.2 Complaint management system

All negative feedback about REDcert inspections, reports, certificates or other situations which calls into question the integrity and scheme quality of REDcert is accepted and analysed in the REDcert complaint management system. Scheme participants, certification bodies or any other natural or legal entity can contact REDcert using the contact form on the website at www.redcert.org by sending an e-mail to info@redcert.de.

In the case of a complaint, all of the required information about the cause of the complaint is collected and reviewed to determine any violations of the REDcert scheme requirements by the REDcert scheme participant, the approved certification bodies or inspectors. When a complaint is processed, the certification body responsible can be asked to review the facts internally and inform REDcert of the result in a timely fashion. If these measures do not ultimately lead to clarification, a special inspection can be conducted of the REDcert scheme participant generally with 24-hour advance notice or in special cases with no advance warning.

It is also possible to observe REDcert inspectors during a regular scheme inspection.

The individual steps in the complaint process are described in detail in the REDcert document "Complaint management system".

6.3 Quality assurance measures to monitor the entire REDcert scheme

Quality assurance measures for monitoring the entire REDcert scheme include monitoring audits of scheme partners (special inspections, e.g. in the sense of shadow audits) as well as monitoring audits of the certification bodies and inspectors working in the REDcert scheme (special inspections, e.g. in the form of office audits in the certification bodies or witness audits of the inspectors). The certification bodies and scheme partners to be inspected are selected using objective criteria. Both quality criteria (e.g. review of the inspection reports and analysis of the certification process under the scope of REDcert monitoring or based on complaints or if relevant information about potential non-conformities has been brought to the attention of the scheme by external parties) as well as economic indicators (e.g. number of certificates and inspection certificates issued) are taken into account. In addition, monitoring audits can also be initiated on the basis of a random selection of mainly inspectors and certification bodies. The monitoring audits of scheme participants and inspectors can be

attended both by REDcert auditors as well as carried out by REDcert auditors independently (e.g. in the sense of a “shadow audit”).

6.3.1 Special inspections

In the event that a violation is suspected based on inspection reports or complaints that have been received, REDcert can order and/or conduct special inspections.

The inspection can be carried out without advance notice. They do not affect the validity of the company's certificate unless a KO evaluation is given. If a KO evaluation is given for a special inspection, a complete scheme inspection must be carried out after the agreed corrective measures are implemented.

6.3.1.1 Witness audits

Audits conducted in the REDcert scheme can be observed by REDcert or by a person commissioned by REDcert (witness audits of the inspectors).

6.3.1.2 Office audits

As part of an office audit, the quality of selected certification processes is checked by inspecting documents. REDcert carries out office audits of certification bodies with its own staff and/or with externally contracted inspectors.

7 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 and bioliquids	
3	Scheme principles for GHG calculation	
4	Scheme principles for mass balancing	
5	Scheme principles for neutral inspections	
6	Sanction system	
7	Complaint management system	
8	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 and bioliquids 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.