


**System Certyfikacji**



**KZR INiG**


**KZR INiG System/9**

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
	<b>Requirements for Certification Bodies</b>	Date: Page 2 of 15

## **Requirements for Certification Bodies**


By The Oil and Gas Institute- National Research Institute

The KZR INiG System/9

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
	<b>Requirements for Certification Bodies</b>	Date: Page 3 of 15

## List of contents

1. Introduction .....	4
2. Scope .....	4
3. Normative references .....	4
4. Definitions .....	5
5. Description and requirements .....	5
5.1. General requirements for the certification body .....	5
5.2. Authorisation of the certification body .....	5
5.3 Supervision of certification bodies within the KZR INiG System internal monitoring audits .....	6
5.4. Tasks of an authorized certification body .....	7
5.5. Independence of certification bodies.....	8
5.6. Additional requirements .....	8
5.7. Determination of audit duration .....	10
5.8. Certification process of an economic operator performed by certification bodies .....	10
5.9. Data retention period.....	11
5.10. Changes .....	11
5.11. Reporting by a certification body to the KZR INiG System.....	12
5.12. The KZR Certificate.....	12
5.13. Withdrawal or suspension of a certificate .....	12
5.13.1. Suspension, or withdrawal of recognition of the certification body .....	12
6. Annex list: .....	13

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 4 of 15

## 1. Introduction

Control of activities related to the certification system of sustainable biofuels and bioliquids production are carried out solely by independent certification bodies authorised by the KZR INiG System's Administrator. The task of the certification bodies is to assess the operation of System participants with regard to conformity with the sustainability criteria specified by the System's "**Certification system of sustainable biofuels and bioliquids production**". All certification bodies participating in the certification system must meet the requirements defined in this document.

## 2. Scope

This document presents the general requirements for certification bodies participating in the KZR INiG System certification procedure. Compliance with defined criteria aims to ensure that the certification bodies operate as an independent third party in the auditing and certification system.

## 3. Normative references

The normative references, covering all aspects of the KZR INiG System, are the following linked documents, which should be read in conjunction.

*KZR INiG System /1/ Description of INiG System of Sustainability Criteria – general rules*

*KZR INiG System /2/ Definitions*

*KZR INiG System /3/ Reference with national legislation*

*KZR INiG System /4/ Land use for biomass production – lands with high carbon stock*

*KZR INiG System /5/ Land use for biomass production - biodiversity*

*KZR INiG System /6/ Land use for biomass production – agricultural and environmental requirements and standards*

*KZR INiG System /7/ Guidance for proper functioning of mass balance system*


*KZR INiG System /8/ Guidelines for determination of life cycle per unit values of GHG emissions for biofuels, bioliquids, biocomponents*

*KZR INiG System /10/ Guidelines for auditor and conduct of audit*

The scope of the abovementioned KZR INiG System documents is based on the following articles:

*Directive 2009/28/EC of the European Parliament and of the Council of 23 April 2009 on the promotion of the use of energy from renewable sources and amending and subsequently repealing Directives 2001/77/EC and 2003/30/EC*

*PN-EN ISO/IEC 17021:2011 Conformity assessment – Requirements for bodies providing audit and certification of management systems.*

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 5 of 15

*Act of 15 April 2011 on change of the act on system of conformity assessment and some other acts (J. of Laws 2011 No. 102 item 586).*

*PN-EN ISO 19011:2012 Guidelines for auditing management systems.*

#### **4. Definitions**

*KZR INiG System/2/ Definitions*

#### **5. Description and requirements**

##### **5.1. General requirements for the certification body**

A certification body must:


- be legally recognised;
- have accreditation of conformity with the ISO/IEC 17021 standard (issued by the national accreditation body, which needs to be affiliated with the IAF);
- carry out audits according to the requirements of the EN 19011 standard;
- establish at least a ‘limited assurance level’ on the audited data, in line with the requirements of ISAE3000;
- have access to auditors with competencies as specified by the document KZR INiG/10;
- prove independence and impartiality towards the certified system participants;
- prove compliance with the KZR INiG System requirements.

Verification of compliance with the above mentioned requirements is carried out by the System’s Administrator before authorisation of a certification body; and also after authorisation, in periodical audit controls (see *KZR INiG System /1/ Description of INiG System of Sustainability Criteria – general rules*).

##### **5.2. Authorisation of the certification body**

The scope of authority granted to the certification body includes approval, by the System’s Administrator, to certify economic operators for conformity with the KZR INiG System requirements. Description of the certification system for sustainable biofuels and bioliquids production and biocomponent manufacturing is included in the following documents:

<i>KZR INiG System/</i>	<b>1</b>	<i>/Description of INiG System of Sustainability Criteria – general rules</i>
<i>KZR INiG System/</i>	<b>2</b>	<i>/Definitions</i>
<i>KZR INiG System/</i>	<b>3</b>	<i>/Reference to national legislation</i>
<i>KZR INiG System/</i>	<b>4</b>	<i>/Land use for raw material production – lands with high</i>

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 6 of 15


		<i>carbon stock</i>
<i>KZR INiG System/</i>	<i>5</i>	<i>/Land use for raw material production – biodiversity</i>
<i>KZR INiG System/</i>	<i>6</i>	<i>/Land use for raw material production – agricultural land environmental requirements and standards</i>
<i>KZR INiG System/</i>	<i>7</i>	<i>/ Guidance for proper functioning of mass balance system</i>
<i>KZR INiG System/</i>	<i>8</i>	<i>/ Guidelines for the determination of the life cycle per unit values of GHG emissions for biofuels and bioliquids</i>
<i>KZR INiG System/</i>	<i>9</i>	<i>/Requirements for certification bodies</i>
<i>KZR INiG System/</i>	<i>10</i>	<i>/Requirements for auditor and conduct of audit</i>

The process for authorisation of a certification body in the KZR INiG System proceeds as follows:

- submission of an application for authorisation (Annex 1). The body applying for authorization must review the documentation from the point of view of conformity with the KZR INiG System requirements, and must provide at least:
  - completed application form;
  - document confirming legal status
  - a quality manual and/or management system manual;
  - full set of procedures;
  - qualification criteria for auditors employed by the body to carry out audits (*KZR INiG System /10/ Guidelines for auditor and conduct of audit*);
  - details of the procedure for handling complaints and appeals related to KZR INiG audits, as well as certification activities conducted by the certification body and its auditors. The procedure must ensure examination of complaints and appeals in an effective, timely and professional manner;
- submission of a list of auditors and technical experts qualified to carry out the assessments;
- evaluation of the submitted documents by the Board of the KZR INiG System. If there are deficiencies, the applicant is allowed a period of 30 days to complete the application;
- on-site audit of the certification body (evaluation of the body's management system; verification of implementation of KZR INiG System procedures);
- issuance of a decision on the authorisation for the certification body, based on defined criteria and positive evaluation. In the case of a negative decision, the applicant is entitled to appeal to the KZR INiG System Council. The Council has 30 days to investigate the appeal;
- monitoring of first audit carried out by the body at the client's.

### **5.3 Internal monitoring - Supervision of certification bodies within the KZR INiG System**

**Certification bodies (CB), during the term of authorisation, are subject to supervision. This supervision is a part of KZR INiG internal monitoring (see KZR INiG system/1 point 8).**

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 7 of 15

**Internal monitoring – supervision of certification bodies involves:**

- periodic witness audits carried out by the KZR INiG. The purpose of the witness audit is to observe and assess audits undertaken by the certification body at the system participant;
- periodic on-site audit. The audit is carried out by the KZR INiG auditors at the certification body's headquarters. The purpose of the audit is evaluation of the management system of the certification body and also of documents generated by the CB during KZR INiG certification processes. Particular attention is paid to reports and checklists, with a view for essential correctness. 4% of finished auditing process rounded up to the nearest integer, but no less than three (or all if a CB did not carry out more than 3 audits) performed by the CB within the last year are a subject of verification.

Non-compliance identified during the above mentioned audits are always assessed in view of the risk of introducing non sustainable biomass as sustainable biomass. If the risk is high every case is investigated immediately and appropriate actions are undertaken.

KZR INiG auditors prepare a report from both witness and on-site audit. The report contains among others: identified non-compliance, deadline for next audit and remarks, as well as recommendations concerning preservation or suspension of the authorisation.


Basic frequency of both periodic witness audit and on-site audit is every year. The frequency can be increased or period between subsequent audits can be shortened if indentified non-compliance may cause high risk of introducing non sustainable biomass as sustainable. Findings from compliant procedures (see KZR INiG system/1 point 8), as well as compliance received from third parties (e.g. other EU and outside EU countries, voluntary scheme, governmental and non- governmental organization, etc.) about a serious violation of KZR INiG rules, may be a reason to carry out an extra on-site audit. The decision about an extra audit or increasing frequency is taken by the manager of the Biomass Certification Systems Office, after evaluation of a given case and in consultation with the KZR INiG auditors carrying out the audit at the CB.

For as long as the authorisation of the certification body remains in force, at least one audit (both witness and on-site) has to be performed by the KZR INiG.

**5.4. Tasks of an authorised certification body**

**These include:**

- verifying conformity with the KZR INiG System in accordance with the System's documents;
- issuing certificates related to certification of biomass, biocomponents, biofuels and bioliquids;
- maintaining details of operators registered in the KZR INiG System in the database;
- collection and dissemination of data between competent bodies, certification bodies and other databases acknowledged by the competent body, in accordance with the provisions of the Act on personal and commercial data protection.

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 8 of 15

### **5.5. Independence of certification bodies**

A certification body must prove that when performing the certification process it realizes a policy and has procedures distinctly separating them from all other operations. Thus, certification bodies must prove that they are free from any financial, commercial or other pressures that might influence the results of the certification process.

### **5.6. Additional requirements**

Every System participant needs to be audited in order to receive a certificate.

Next audit (re-certification) must be carried out before the expiry of the certificate.

Audits must take place at least once yearly.

Procedures of a control (surveillance) audit are analogous to those of the certification audit.

The first audit is a readiness audit, to assess the auditee's procedures and awareness of new obligations. In the case of a recertification, not only procedures but also data for the previous period are verified.

#### **Farmers**


Farmers can be audited individually or as part of a group. Group auditing is only possible for homogenous groups of farmers. Group audits for compliance with land criteria are permitted if the farms are near each other and have similar characteristics. Group auditing for the purpose of calculating GHG emissions indicators is only acceptable when the agricultural producers have similar production systems and products. Farmers supplying seeds to a first gathering point, or farmers who are members of farming organisations and cooperatives, can be considered as a group. A farmers' organization shall designate a management representative responsible for group management and implementation of the System's requirements. A certificate is issued to the first gathering point or to the central office of the organisation. In such a case, the first gathering point or central office is obliged to:

- keep a list of the farms,
- keep contracts/invoices,
- liaise between the certification body auditor and the farmers,
- keep self declaration,
- be responsible for managing the certification process.

Before issuing a certificate, an auditor must ensure that verification of the individual farms was carried out and completed. In the case of detecting a violation of land-use criteria (see documents System KZR INiG/4, 5 and 6) by a farm, the farm can no longer supply sustainability criteria to the First Gathering Point (FGP). This shall be reflected in a FGP's mass balance and necessary corrections made. Risk factor increases.

In the case when a first gathering point collects raw material from numerous agricultural producers, the minimum number of farms to be subjected to a random inspection is the square



	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 9 of 15

root of farms (x , where x is the number of farms) rounded up to the nearest whole number. Audit of the First Gathering Point is mandatory.

It is generally expected that group auditing is undertaken on-site, i.e. that auditors visit the individual farms where the feedstock is produced. However, desk audits are allowed under some circumstances (when a desk audit provides the same level of assurance as an on-site audit). Desk audit shall be conducted at the same level of the risk (see risk analysis). Moreover, the auditor, before deciding on desk audit, must consider the availability of:

- high quality satellite images of the cultivation area, and databases regarding, for example, protected areas, areas with high biodiversity, peatland, etc. (both current and as of 1st January 2008);
- reliable documents confirming land status (both current and as of 1st January 2008). Documents issued by governmental institutions (e.g. land register or documents, including satellite images, confirming participation in the EU support system (cross-compliance)) can be considered reliable.

A combined desk audit and on-site audit is possible. If documents provided by a farmer do not completely confirm land status or if satellite images are of poor quality, on-site audit and site surveys are needed. In such cases, on-site assessments such as interviews with local experts or communities could provide the necessary additional information. More guidelines about verification of land status can be found on the EC website [http://ec.europa.eu/energy/sites/ener/files/2011\\_bsc\\_inventory\\_of\\_data\\_sources\\_and\\_methodologies.pdf](http://ec.europa.eu/energy/sites/ener/files/2011_bsc_inventory_of_data_sources_and_methodologies.pdf). Interviews with local experts or communities should take into account, for example:


- selection of a sufficient number and variety of local people;
- confidentiality, where desired;
- proper documentation: names and contact details, notes of oral interviews, copies of correspondence and/or written documents;
- notes or other information showing how information received was tested or corroborated.

### **Multi-site economic operator**

If an economic operator of storage/tanks in a warehouse where biomass is not processed runs its business on more than one site (multi-site economic operator) sharing a common management system, the following rules can be applied. The minimum number of sites to be audited is the square root of the number of operator sites, rounded up to the nearest whole number. The size of this control sample may be increased, based on an evaluation by the auditor. The headquarters is audited once a year. The audit of all sites must be carried out and completed before a certificate can be issued for the audited economic operator.

The selection criteria for the sites to be audited are as follows:

- random selection;
- results of internal audit;
- site sizes (it is recommended that they be differentiated).

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 10 of 15

Major non-compliance identified at any site causes revocation of the certificate for the whole company.

#### NOTE

The above rules do not apply to processing sites where biomass is processed. In such cases, each plant shall be audited individually on-site.

#### **Verification of actual GHG emission calculations**

In line with the general requirements for conducting audits, auditors verifying the calculation of actual GHG emissions need to have the appropriate specific skills, including relevant experience in this field. Due to the complexity of the task, conducting such a verification solely by on-site audit is challenging. To improve the robustness of the verification procedure, it is therefore required that economic operators make available to the auditors, in advance of the planned audit, all relevant information concerning the calculation of actual GHG emissions. The auditor in turn should record, in the auditing report, the emissions occurring at the audited site (for all relevant elements) and if relevant, the achieved savings, in order to document that the calculation was thoroughly verified and understood. If those emissions deviate significantly from typical values, the report should also include information explaining the deviation.

#### **5.7. Determination of audit duration**

Audit duration depends on the scope of certification and size of the participating economic operator being audited. The certification body determines the audit duration, taking those factors into account.


#### **5.8. Certification process of an economic operator performed by certification bodies**

Every economic operator must be audited before he/she is allowed to participate in the KZR INiG System.

To begin the certification procedure, an economic operator submits an application for registration into the KZR INiG System. After formal and merit evaluation of the application, the economic operator signs an agreement with the KZR INiG System, defining the obligation of the parties. Next the economic operator receives a unique identification number and a list of certification bodies operating under the KZR INiG System. The operator selects a certification body and follows its internal procedures. After successfully passing the audit, the economic operator is registered in the KZR INiG System participant list, giving him/her the right to sell biomass/processed biomass/ biofuel/bioliquid under the KZR INiG System framework.

The certification body must define its certification procedures, taking into account the following elements:

1. Registration of the application from the certified participant.
2. Evaluation of the economic operator's application.

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 11 of 15

3. Identifying the requirements for a positive certification and other required documents (e.g. guidelines)
4. Actions following acceptance of the application:  
a date and place of the audit are determined, and an audit plan is prepared and delivered to the economic operator before the audit.  
Next, the audit is carried out according to the plan.
5. Preparation and conducting of the audit  
During the audit, the auditor uses the checklist of the KZR INiG System. Detailed requirements for approving an audit plan, determining the audit date and appointing a lead auditor and audit team are given in document *KZR INiG System/10/ Guidelines for auditor and conduct of audit*.
6. Preparation of the report on the certification process  
In order to ensure reliable information, an audit report must be prepared after each certification process. The report must contain at least:
  - results of assessments;
  - identification of all non-compliances to be eliminated;
  - determination of the scope of additional assessment;
  - conclusions concerning conformity with all requirements of the KZR INiG System, presented to the certification body during its authorisation;
  - quantities of biomass sold, with certificates proving compliance with KZR INiG System requirements, on a quarterly basis. This information must originate from the mass balance system of the certified participating operator.
7. Evaluation of the audit report and issuance of the certificate  
The certification body evaluates the audit report. The report must present comprehensive, exact, concise, and explicit results of the audit.  
  
In the case of a positive result of the conformity assessment, the certification body **issues a certificate to the applicant**, valid for one year. The certification body delivers the information to the Biomass Certification Systems Office, where the applicant is entered into the certified participating operators registry of the KZR INiG System.


### 5.9. Data retention period

Certification bodies are obliged to keep the audit results (reports and other records) and copies of all certificates for at least five years.

### 5.10. Changes

The System Administrator shall be notified of any changes important for the authorisation of the certification body, without delay.

The System Administrator evaluates these changes to determine whether they affect the certification process and whether the scope of authorisation must be kept or changed.

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 12 of 15

### **5.11. Reporting by a certification body to the KZR INiG System**

Certification bodies are obliged to submit reports every half-year. The deadline for the report of the first half-year is 15th August of a given year, and for the second half-year is 15th February of the next year.

### **5.12. The KZR Certificate**

The culmination of the procedure is the issuance of a certificate containing at least the following information:

- (1) name of the KZR INiG System Administrator;
- (2) address and registration data of the certification body; registration number of the KZR INiG System;
- (3) address and registration data of the participant being subject to certification;
- (4) number of certified participants in the KZR INiG System register;
- (5) date of issue of the certificate(day/month/year)
- (6) scope of certification (character of activity connected with the sustainability criteria);
- (7) validity date (day/month/year);
- (8) stamp and signature of a person authorized to issue the certificate.

**The certificate is valid for one year**

### **5.13. Withdrawal or suspension of a certificate**


Information on the withdrawal or suspension of certificates is published in the KZR INiG website promptly.

#### **5.13.1. Suspension, or withdrawal of recognition of the certification body**

Suspension of the approval of a certification body may occur if:

- conditions of the contract have been violated;
- the certification body has not carried out any audit for one year from first obtaining authorization;
- the body no longer has properly qualified audit personnel;
- an audit carried out according to the internal monitoring rules (see point 5.3) found serious violation of the KZR INiG principles, and/or the CB no longer meets the requirements of the KZR INiG system;
- the suspension may reflect the outcome of the internal monitoring (according to KZR INiG System/1 point 8).

Suspension of authorization is for a specified time. During the suspension period, the certification body cannot carry out activities connected with certification under the KZR INiG System. Restoration of the authorization may occur if the conditions specified in the decision on suspension are met before the defined deadline, and verified by the System Administrator.

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 2 <sup>nd</sup>
		Date:
	<b>Requirements for Certification Bodies</b>	Page 13 of 15

Withdrawal of authorisation may occur in the case when:

- the authorisation to grant certificates of the KZR INiG System has been blatantly abused;
- the conditions laid down in the decision on suspension of authorisation have not been met before the defined deadline.


The certification body has the right to appeal the decision to revoke its accreditation to the KZR INiG System Council. The Council has 30 days to consider the appeal.

The final decision on the withdrawal of accreditation is openly published.

Validity of authorization of the certification body to operate under the KZR INiG System expires on the expiration date given in the authorisation contract.

## **6. Annex list:**

*1. Annex 1 – Application for recertification of authorisation, or update of the authorisation scope.*

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 1 <sup>st</sup>
	<b>Requirements for Certification Bodies</b>	Date:
	<i>Annex 1- Application for recertification of authorisation, or update of the authorisation scope</i>	Page 1 of 2

.....  
(place, date)

**I. Applicant information:**

**Name of applicant:** .....

Postal code: .....

City: .....

Country: .....

Address (street No.; province): .....

E-mail: .....

**II. This application concerns:\***

- granting authorisation of a certification body under the KZR INiG System
- recertification of a certification body's authorisation
- updating a certification body's authorisation scope

regarding the certification of biofuels, bioliquids, and biocomponents produced in accordance with the required sustainability criteria.

**III. Information on participating operator:**

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**Name of the certification body:** .....

Postal code: .....

City: .....

Country: .....

Address (street No.; province): .....

Phone No(s): .....


Fax: .....

E-mail: .....

Website: <http://> .....

VAT identification No./Statistical No. ....

.....  
\* delete as appropriate

	<b>Certification system of sustainable biofuels and bioliquids production</b>	Issue: 1 <sup>st</sup>
	<b>Requirements for Certification Bodies</b>	Date: 11.07.2012
	<i>Annex 1- Application on granting, recertification of authorisation or update of the authorisation scope</i>	Page 2 of 4

**Names and position of responsible persons:**

Name and surname: .....

Position: .....

Phone No(s): .....

Fax: .....

E-mail: .....

**Address for correspondence:**

Name and surname: .....

Position: .....

Postal Code: .....

City: .....

Country: .....

Address (street No.; province): .....

**IV. I confirm the correctness of information included in the application and I declare that:**

- I know and accept the rules of functioning of the KZR INiG System, defined in the documents *KZR INiG System/1/ S Description of INiG System of Sustainability Criteria – general rules* and *KZR INiG System/9/ Requirements for certification bodies*, and in documents referred to therein, and I am obliged to observe them;
- I know and accept the obligations of the participating operator after authorisation is granted;
- I will provide the System Administrator (i.e. appointed auditor team, including observers designated by the Board of the KZR INiG System) with access to all relevant information, documents and places, enabling them to conduct an audit with the planned scope, and I will organise monitoring of actions under real conditions, according to KZR INiG System rules, and ensure proper conditions.

.....  
(signature and stamp of a person authorised to represent XXXX)