



TÜVRheinland®

DIN CERTCO

Precisely Right.

Certification Scheme

Sustainable Biomass

according to

ISCC certification system

(Edition: June 2021)

Foreword

DIN CERTCO was founded in 1972 by DIN the German Institute of Standardization e.g. for the awarding of DIN marks and offers the certification of products and persons, services and enterprises on the basis of the DIN Standards and similar specifications.

In order to prove our impartiality, independency and competence, we are voluntary accredited according to DIN EN ISO/IEC 17065. For the satisfaction and trust of our clients and their data, we maintain furthermore a certified

- Quality Management System according to DIN EN ISO 9001
- Environmental Management System according to DIN ISO 14001
- Occupational Health and Safety Management System according to OHSAS 18001

Our certification work is made possible by recognition by the Bundesanstalt für Landwirtschaft und Ernährung (BLE) and certification agreements with certification system owner ISCC.

In conjunction with the General Terms and Conditions of DIN CERTCO, this certification scheme provides the basis for the certification of products which come under EU Directive (EU) 2018/2001.

All certificate holders can be viewed on the daily up-dated homepage of DIN CERTCO (<https://www.dincertco.tuv.com>).

Amendments

Compared to the certification scheme “Sustainable Biomass ISCC” (2021-03), the following modifications were done:

- a) Adjustment to RED II according with the revised system documents published by ISCC on June 18th 2021
- b) Adjustment of references
- c) Adjustment of sample sizes according to the new ISCC requirements
- d) Specification of the time of the surveillance audits in high-risk supply chains

Previous Editions

Certification Scheme “Sustainable Biomass ISCC” (2021-03)
Certification Scheme “Sustainable Biomass ISCC” (2020-10)
Certification Scheme “Sustainable Biomass ISCC” (2020-06)
Certification Scheme “Sustainable Biomass ISCC” (2020-01)
Certification Scheme “Sustainable Biomass ISCC” (2019-04)
Certification Scheme “Sustainable Biomass ISCC” (2019-02)
Certification scheme “Sustainable Biomass ISCC” (2017-01)
Certification scheme “Sustainable Biomass ISCC” (2015-01)

Remark

The German version of this certification scheme shall be taken as authoritative. No guarantee can be given to the English translation.

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1 Scope

This certification scheme applies to companies, which would like to receive certification under the specifications of Renewable Energy Directive (EU) 2018/2001 and the ISCC certification system and, in addition to the documents set out below, contains all the requirements for completing certification procedures.

This certification scheme sets out requirements for the raw materials used and for the quality assurance systems of the processing, collecting or trading companies and for their inspection, monitoring and certification.

2 Test and Certification Specifications

The following referenced documents form the basis for auditing and certification. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document including any amendments applies.

- This certification scheme
- The General Terms and Conditions of TÜV Rheinland DIN CERTCO
- The Testing, Registration and Certification Regulation of DIN CERTCO
- The respective schedule of fees of DIN CERTCO

2.1 General:

RED II	Renewable Energy Directive (EU) 2018/2001 (recast)
EEG	German Renewable Energy Sources Act from 21 st July 2014 (BGBl. I S. 1066), that was changed most recently by on 21 st December 2020 (BGBl. I S. 3138)
Biokraft-NachV	Ordinance on requirements for sustainable production of biofuels (Biokraftstoff-Nachhaltigkeitsverordnung)
BioSt-NachV	Ordinance on requirements for sustainable production of liquid biomass for electricity generation (Biomassestrom-Nachhaltigkeitsverordnung)
BioSt-NachVwV	Administrative regulation of electricity from biomass sustainability regulation for the acceptance of certification systems and certification bodies according to the sustainability ordinance from 10 th December 2009 of the Federal Ministry for Environment, Nature Conservation and Nuclear Safety
KrWG	Circular Economy Act from 24 th February 2012 (BGBl. I S. 212, changed by § 44 section 4 of the act from 22 th May 2013 (BGBl. I S. 1324) Status: changed by article 3 G v. 8.4.2013 I 734

2.2 ISCC DE

ISCC DE 102 - National and Regional Initiatives
 ISCC DE 103 - Quality Management
 ISCC DE 201 - System Basics
 ISCC DE 201 - Additional System Basics for biogas plants

ISCC DE 201/36th BlmSchV – System Basics
ISCC DE 202 - Sustainability Requirements
ISCC DE 203 - Requirements for Traceability
ISCC DE 204 - Mass Balance Calculation
ISCC DE 205 - GHG Emission Calculation and Audit
ISCC DE 206 - Regulations for issuing Proofs Sustainability
ISCC DE 207 - Risk Management
ISCC DE 251 - Requirements on Certification Bodies
ISCC DE 252 - Regulations to carry out Audits
ISCC DE 253 - Complaints, Appeals and Arbitration
ISCC DE 254 - Cooperation with other Certification Systems

2.3 ISCC EU

ISCC EU 102 - Governance
ISCC EU 103 - Requirements for Certification Bodies and Auditors
ISCC EU 201 - System Basics
ISCC EU 202 - Sustainability Requirements
ISCC EU 202-1 - Agricultural Biomass: ISCC Principle 1
ISCC 202-2 - Agricultural Biomass: ISCC Principle 2-6
ISCC EU 202-5 - Waste and Residues
ISCC EU 202-6 - Renewable Fuels of Non-Biological Origin
ISCC EU 202-7 - Recycled Carbon Fuels
ISCC EU 202-8 Low iLUC Risk Feedstocks
ISCC EU 203 - Traceability and Chain of Custody
ISCC EU 203-1 – Co-Processing
ISCC EU 204 - Risk Management
ISCC EU 205 - Greenhouse Gas Emissions
ISCC EU 208 - Logos and Claims
List of material eligible for ISCC EU certification

2.4 ISCC PLUS

ISCC PLUS System Document
Add- on ISCC PLUS 202-03 - SAI Gold
Add- on ISCC PLUS 205-01 - GHG Emissions
Add- on ISCC PLUS 205-02 - Consumables
Add- on ISCC PLUS 205-03 - Non GMO food feed
Add- on ISCC PLUS 205-04 - Non GMO technical markets
Add- on ISCC PLUS 205-06 - Electricity and Heat from Biogas Plants
List of material eligible for ISCC PLUS certification

2.5 Futher Documents

ISCC Guidance Documents

- ISCC Guidance Document 201-1 - Deliveries of Biofuels to Japan
- ISCC Guidance Document 201-3 - Biogas and Biomethane
- ISCC Guidance Document 201-4 -: Wood Based Biofuels
- ISCC Guidance Document 201-5 - Independent Smallholders
- ISCC Guidance Document 201-6 - Certification Process for wild collection of Shea
- ISCC Guidance Document 203-01 - Co-Processing Requirements
- ISCC Guidance Document 260-01 - Short Rotation Coppice (SRC)
- ISCC for Non GMO food and feed
- ISCC for Non GMO food and feed

Additionally for ISCC DE, ISCC EU und ISCC PLUS:

- ISCC Terms of use
- ISCC fees
- ISCC System Updates (<https://www.iscc-system.org/process/iscc-documents-at-a-glance/iscc-system-updates/>)

3 Requirements

The requirements for companies apply along the entire biomass chain. They include all companies involved in processing, collection and trade of sustainable biomass from the producer (agricultural business) or the place of creation (initial distributor).

Sustainable biomass in this sense is liquid biomass which is used to generate electricity under the Renewable Energies Law in keeping with the requirements of the Biomass Electricity Sustainability Regulation, and liquid or gaseous fuels for transport which are made from biomass in keeping with the requirements of the Bio Fuels Sustainability Regulation or bio fuels and liquid bio fuels made of various types of biomass in keeping with the definition in Annex V of the Renewable Energy Directive. Sustainable biomass is also biomass that is produced from agricultural commodities or waste and residues, if article 29 RED II is fulfilled..

Under ISCC PLUS further sustainable biomass types can be certified.

Verification of compliance with these requirements is provided by on-site audits.

3.1 Requirements for Agricultural Businesses

Agricultural businesses which aim to distribute sustainable biomass must verify that it is produced using sustainable processes and in compliance with the statutory requirements.

3.1.1 Cross Compliance

In EU Member States which have implemented Cross Compliance, farmers that fulfil the Cross Compliance criteria through implementation and official recognition of Cross Compliance are only audited with respect to the requirements set out in ISCC Principle 1 and criteria that are not covered by EU legislation. (see ISCC 203 Traceability and Chain of Custody)

3.1.2 ISCC DE

The requirements ISCC DE 202 Sustainability Requirements for the Production of Biomass, ISCC DE 203, ISCC DE 203 Requirements for Traceability especially section 4.2.2.1 apply.

3.1.3 ISCC EU

For ISCC principle 1 the requirements of ISCC EU 202-1 - Agricultural Biomass: ISCC Principle 1 apply. For ISCC principle 2-6 the requirements of ISCC EU 202 Sustainability Requirements apply until December 31st 2021, from January 1st 2021 the requirements from ISCC 202-2 - Agricultural Biomass: ISCC Principle 2-6 apply. Further, the requirements of ISCC EU 203 Traceability and Chain of Custody with specific requirements in section 3.4.1 apply.

3.1.4 ISCC PLUS

The requirements of the ISCC PLUS system document section 8 are applicable.

3.2 Requirements for First Gathering Points

First gathering points are responsible for determining the origin, quality and volume of biomass, which they have received from agricultural businesses and wish to distribute as sustainable biomass.

3.2.1 ISCC DE

The requirements of ISCC DE 203 Requirements for Traceability with the specific requirements in section 4.2.2.2 apply.

3.2.2 ISCC EU

The requirements of ISCC EU 203 Traceability and Chain of Custody with the specific requirements in section 3.4.3 apply.

The classification as First Gathering Point is also valid for collectors of agricultural residues like e.g. harvesting residues (e.g. straw, bagasse, nutshells).

3.2.3 ISCC PLUS

The requirements of ISCC PLUS apply.

3.3 Points of Origin for waste and residues

3.3.1 ISCC DE

The requirements of ISCC / 36th BImSchV System basics with the specific requirements in section 4.2.1 (1) Points of origin apply.

3.3.2 ISCC EU

The requirements of ISCC EU 203 Traceability and Chain of Custody with the specific requirements in section 3.4.4 and the requirements of ISCC 201-5 Waste and Residues apply.

3.3.3 ISCC PLUS

The requirements of ISCC PLUS especially section 6 apply.

3.4 Collection Points for Waste and Residues

3.4.1 ISCC DE

The requirements of ISCC 201 / 36. BImSchV System Basics with the specific requirements in section 4.2.1 (2) collecting points apply.

3.4.2 ISCC EU

The requirements of ISCC EU 203 Traceability and Chain of Custody with the specific requirements in section 3.4.6. and the requirements of ISCC 201-5 apply.

3.4.3 ISCC PLUS

The requirements of ISCC PLUS apply.

3.5 Trader and Storage Facilities

3.5.1 ISCC DE

The requirements of ISCC 203 Requirements for Traceability with the specific requirements in section 4.2.2.3 and 4.2.2.4 are applicable.

For traders dealing with waste and residues additionally ISCC 201 / 36. BImSchV System Basics and the specific requirements in section 4.2.1 (3) Warehouses and Suppliers (5) apply.

3.5.2 ISCC EU

The requirements of ISCC 203 Traceability and Chain of Custody with the specific requirements in section 3.4.7 apply.

For certification possibilities of storage facilities please also refer to ISCC System Update form July 13th 2020 2. Clarification on the Certification of Storage Facilities.

3.5.3 ISCC PLUS

The requirements of ISCC PLUS apply.

3.6 Processing Units

3.6.1 ISCC DE

The requirements of ISCC 203 Requirements for Traceability with the specific requirements in section 4.2.2.4 are applicable.

For conversion units that handle waste and residues additionally ISCC 201 / 36. BImSchV System Basics with the specific requirements in section 4.2.1 (4) Conversion Units apply.

3.6.2 ISCC EU

The requirements of ISCC EU 203 Traceability and Chain of Custody with the specific requirements in section 3.4.8 apply.

3.6.3 ISCC PLUS

The requirements of ISCC PLUS apply.

3.7 Requirements for Biogas plants (only ISCC-DE)

For all biogas plants and system participants in connection with production of bio methane the requirements of ISCC DE 201 Additional System Basics for biogas plants apply.

3.8 Issuing of Proofs of Compliance, Proofs of Sustainability (PoS), Sustainability Declarations

Proofs of sustainability are documents which prove compliance with the sustainability requirements for a volume of biomass or bio fuel at the time of their issue by a party involved in the system after which there are no further processing stages (apart from transport and storage).

The proofs of sustainability issued by the system user must be send to the BLE within 48 hours.

A copy of all sustainability verifications has to be send to DIN CERTCO (nnw-biomasse@dincertco.de).

The following requirements for proofs of sustainability apply:

3.8.1 ISCC DE

ISCC 206 – Regulations for Issuing Proofs of Sustainability.

3.8.2 ISCC EU

ISCC 203 Traceability and Chain of Custody section 3.3.2 and 3.3.3.

3.8.3 ISCC PLUS

ISCC PLUS System Document section 9.2

3.9 Issuing of Partial Proofs of Compliance with Sustainability requirements

At the owner's request, Partial Proofs of Compliance with Sustainability Requirements can be issued for partial consignments of bio liquids or biofuels for which a Proof of Compliance with Sustainability Requirements has already been issued.

The proofs of sustainability issued by the system user must be send to the BLE within 48 hours.

A copy of all sustainability verifications has to be send to DIN CERTCO. (nnw-biomasse@dincertco.de)

The following requirements for proofs of sustainability apply:

3.9.1 ISCC DE

ISCC 206 – Regulations for Issuing Proofs of Sustainability.

3.9.2 ISCC EU

ISCC 203 Traceability and Chain of Custody section 3.3.2 and 3.3.3.

3.9.3 ISCC PLUS

ISCC PLUS System Document section 9.2

3.10 Mass Balancing

For mass balancing the following requirements apply:

3.10.1 ISCC DE

ISCC DE 204 Mass Balance Calculation Methodology

3.10.2 ISCC EU

ISCC 203 Traceability and Chain of Custody section 4.4

3.10.3 ISCC PLUS

ISCC Plus System Dokument section 9.4

3.11 Greenhouse Gas (GHG) Calculation

For the performance of GHG calculations, the following requirements apply:

3.11.1 ISCC DE

ISCC DE 205 – GHG Emission Calculation and Audit

3.11.2 ISCC EU

ISCC EU 205 – GHG Emissions for System Users handling waste and residues additionally
ISCC 202-5 Waste and Residues section 4.2.

3.11.3 ISCC PLUS

GHG calculation is voluntary under ISCC PLUS certification.
ISCC Plus System Document section 11 and Add-on 205-01: GHG Emissions

4 Auditing

4.1 General

For the performance of the audits required as the basis for the assessment and certification of the products, DIN CERTCO avails itself of the auditors to which it has awarded recognition.

The requirements of ISCC DE 252 Regulations to carry out Audits for ISCC-DE certification and ISCC EU 201-System Basics, ISCC 203 Traceability and Chain of Custody, ISCC EU 204 Risk Management for ISCC-EU certification apply.

4.2 Sample picking

The sample size of the verification of businesses in the biomass supply chain depends in the ISCC system on the type of business, the registration and the risk factors. These are described in ISCC DE 252 for ISCC DE certifications and ISCC EU 204 for ISCC EU and PLUS certifications.

“Supply Chain” elements: “First gathering point”, “Central Office”, “Collection Point”, “Trader” and “Processing unit”

- Have to be categorically audited individually
- The option of a verification as part of a sample does not exist

“Supply Chain” elements: “Farm/plantation, Point of Origin, Warehouse/collecting point belonging to a first gathering point, Trader/warehouse belonging to logistic network”

- can be either audited individually
- can be audited as single businesses
- can be audited as part of a sample , if they are registered as a group

4.2.1 ISCC DE

The sample size is determined depending on the type of interface as follows:

Farm/Plantation

ISCC DE: ISCC 252 - Regulations to carry out Audits section 4.2.2.2 et seq., 4.2.2.3

Waste and Residues

ISCC DE: ISCC 201 / 36. BImSchV System Basics section 4.2.3

Storage facilities

ISCC DE: ISCC 252 - Regulations to carry out Audits section 4.2.2.2.5 ff.

4.2.2 ISCC EU

For group certification of „third party locations“ (like e.g. agricultural businesses, points of origin and storage facilities) the requirements of ISCC EU 203 Traceability and Chain of Custody 3.4 ff apply. Fundamentally, the sample size is calculated as follows:

$$s = r * \sqrt{n}$$

s: sample size

r: risk factor

n: total number of group members

The sample size is multiplied by the risk factor (Regular: 1, Medium: 1,5 or High: 2).

Starting from 1.05 the number has to be rounded up to the next full number.

(for this refer to: ISCC EU 203 Traceability and Chain of Custody Kapitel 3.5.5 changed by: Systemupdate from 01st July 2021, 3. Minimum Sample Size of Group Members).

4.3 Types of Audits

IISCC audits are retrospective and focus on the verification of operations and claims made during the previous certification period. An exception to this rule is the first (initial) audit of a System User during which a retrospective audit of claims is not possible and therefore the focus of the audit is on the procedures required to appropriately implement and apply the ISCC requirements.

4.3.1 ISCC DE

4.3.1.1 Certification Audit

The certification audit takes part to establish whether the company is compliant with the requirements of section 3 of this certification scheme.

For certification audits (for the first certification or re-certification) in the ISCC DE system the requirements according ISCC 252 - Regulations to carry out Audits section 4.1.1.1 apply.

4.3.1.2 Surveillance Audit

Planned surveillances

The surveillance takes place 6 months after the issuing of the certificate at the latest. This is also applicable for small and very small businesses.

This has to be accordingly considered for the planning of the audit.

(Details see ISCC 252 - Regulations to carry out Audits section 4.1.1.2.1)

Duration and extend of the audit correspond with a first /re-certification.

Case by case surveillance

In special cases the surveillance can be conducted in shorter intervals.
(Details see: ISCC 252 - Regulations to carry out Audits section 4.1.1.2.2)

4.3.1.3 Inspection

Inspections are carried out on agricultural businesses which are not themselves obliged to participate in the certification system, but which must be available for supplier spot checks as part of the audit to ensure compliance with the sustainability standards of the first gathering point.

In the case of timber cultivation businesses which are within the European Union and meet the criteria of § 51 of the Bio Fuels Sustainability Regulation, section 4.4 of the ISCC 252 Regulations for carrying out Audits must also be given due consideration.

4.3.1.4 Sampling

The sampling procedure for inspections/audits is performed according to section 4.2.2.2 of the ISCC DE 252 Regulations for carrying out Audits for ISCC DE certifications (please compare section 4.2 of this certification scheme).

4.3.2 ISCC EU

4.3.2.1 Certification Audits

The certification audit is conducted to establish whether the company is compliant with the requirements of section 3 of this certification scheme.

For the ISCC EU system the requirements of ISCC EU 201 System Basics, ISCC EU 204 Risk Management apply.

4.3.2.2 Surveillance Audits

Certification Bodies are entitled to conduct surveillance audits (i.e. further audits in addition to the annual audits) if there is reasonable doubt of compliance with ISCC requirements or in order to verify substantiated allegations of fraudulent behaviour. Certification Bodies are entitled to conduct announced or unannounced surveillance audits at any time during the certificate's validity period.

4.3.2.3 Surveillance Audits at High-Risk Supply Chains

According to ISCC EU 203 Traceability and Chain of Custody Chapter 3.4.10 high risk applies to economic operators that are collecting, processing, storing or trading materials, which may be eligible for extra incentives in individual EU Member States (e.g. double-counting), such as waste and residues or waste and residue-based products.

In the first year of certification, the following surveillances apply:

Surveillance audit 6 months (it should be aimed for the 7th month) after the first certification,

An additional surveillance audit after 3 months (it should be aimed for the 4th month after initial certification) is required for „collecting points“ and „traders“, if they collect/trade waste and residues and virgin vegetable oils.

Basis for the decision is the information reported to ISCC within of the registration. The correctness of this information is verified in the course of the first audit.

4.3.2.4 Group Auditing and Sampling

Sample audits follow the requirements of ISCC EU 203 Traceability and Chain of Custody and ISCC EU 204 Risk Management for ISCC EU certifications (please see section 4.2 of this certification scheme).

4.3.2.5 Annual Audit

The annual audit is conducted before the expiry of a certificate and serves to determine if the certified business still complies with the requirements of ISCC and if applicable detected non-conformities were corrected on time.

It follows the requirements of ISCC EU 201 System Basics.

4.3.3 ISCC PLUS

4.3.3.1 Certification Audit

For certification audits in the ISCC PLUS system the requirements of the ISCC PLUS system document section 10 apply.

4.3.3.2 Surveillance audits

In justified cases, the certification body can appoint surveillance audits within the validity-period of a certificate to verify the compliance with the ISCC requirements. These audits may prioritise certain aspects of the ISCC requirements see ISCC PLUS document section 10.

4.3.3.3 Sample Audits

Sample audits follow ISCC PLUS system document section 12.

4.3.3.4 Recertification Audit

The recertification audit is conducted before the expiry of a certificate and serves to determine if the certified business still complies with the requirements of ISCC and if applicable detected non-conformities were corrected on time.

It follows the requirements of ISCC PLUS section 10.

4.3.4 Special Audit

A special Audit is conducted:

- In case of justified instigation of DIN CERTCO
- when requested in writing by a third party if a particular interest in the maintenance of proper conduct of market procedures in relation to competition or quality is involved.-

The type and scope of the special audit shall be laid down in accordance with the specific, respective purpose on a case by case basis by DIN CERTCO in conjunction with the auditor.

Should defects be detected in the course of the special audit or because of the suspended production, the certificate holder shall bear the costs of the examination procedure.

Should the special audit at the request of a third party reveal no defects, the costs shall be borne by said third party.

4.4 Audit Procedure

The audit must be conducted in accordance with the specifications of the ISCC certification system using the ISCC Procedures relating to duration and audit contents.

The following requirements apply:

4.4.1 ISCC DE:

ISCC DE 252 - Regulations to carry out Audits

4.4.2 ISCC EU

ISCC EU 201 – System Basics Chapter 4.2.

4.4.3 ISCC PLUS

SCC PLUS System documents section 10.

4.5 Audit Report

The auditor informs the certification body about the result of the audit in an audit report.

For the report the templates provided by ISCC are used.

From April 2021 onwards this is an online application (APS – Audit Procedure System).

Until APS is adjusted to REDII requirements by ISCC, additional GAP Audit Procedures created by ISCC are used.

5 Certification

5.1 Application for certification

The applicants are the various companies within the biomass chain.

The following documents must be submitted by the applicant to DIN CERTCO:

- Application for certification with a legally binding signature
- Proof of a valid ISCC registration (is send out by ISCC after successful registration)

The contract is concluded for the validity of the certification. It is automatically extended by a further certification period if and to the extent that the customer fulfils the certification requirements without having to submit a re-certification application.

5.2 Conformity Assessment

On the basis of the documents submitted, DIN CERTCO conducts the conformity assessment. The assessment is carried out by a person who was not involved in the evaluation process. The assessment is carried out using the submitted documents and information to determine whether the requirements of the certification scheme and the relevant ISCC documents are satisfied.

5.3 The Certificate and the Right to Use the Logo

Once the inspection and the conformity evaluation of the application documents have been completed successfully, DIN CERTCO issues the applicant with a certificate, with the

associated registration number. System users of the ISCC DE certification will receive a conformity certificate.

ISCC document ISCC 208 Logos and Claims describes how the Logo may be applied.

5.4 Publications

All certificate holders can be viewed on the daily up-dated homepage of DIN CERTCO www.dincertco.tuv.com under Certificate Holders and under www.iscc-system.org. Manufacturers, users and consumers use this research possibility for obtaining information on certified products.

Besides the contact details of the certificate holders (telephone, telefax, e-mail, homepage), this page also contains further information about the specific scope.

The interface directory is forwarded to BLE in the course of the yearly report.

5.5 Validity of the Certificate and Statements of Conformity

The certificate is valid for 1 year. The period of validity is shown on the certificate.

The validity of statements of conformity in the ISCC DE system is also 1 year.

The period of validity for small and very small businesses is 3 or 5 years.

5.6 Renewal of the Certification

If the certification shall continue to apply beyond the date shown on the certificate, an up-to-date, positive audit report must be submitted in good time to DIN CERTCO. On the basis of the documents submitted, DIN CERTCO conducts the conformity examination.

5.7 Expiry of the Certificate/Statement of Conformity

At the end of the validity period, the certificate with the corresponding registration number and the right to use the ISCC logo expires without the necessity for explicit notification from DIN CERTCO.

Furthermore, the certificate can also expire if:

- the certificate is misused by the certificate holder,
- requirements laid down in the certification scheme or its accompanying documents are not fulfilled,
- certification fees are not paid on the due date
- prerequisites for the issuing of the certificate are no longer fulfilled

If an extension of the certification is not desired, the registration at ISCC has also to be cancel by the certificate holder.

5.8 Alterations/Amendments

5.8.1 Alterations to the testing standard

If the testing standard of the certification change, an application for modification of the certification must be submitted within 6 months of notification by DIN CERTCO, unless a deviating transitional regulation has been specified. As a rule, a positive audit report must be submitted after 12 months to demonstrate conformity with the changed testing standard.

5.8.2 Alteration in the Scope of the Certificate

If during the one year validity period of a certificate in case of ISCC PLUS new sustainable products shall be added, an application for amendment of the certification has to be handed in to DIN CERTCO.

DIN CERTCO verifies the possibility of an amendment of the scope of the certificate.

5.9 Defects

Defects mean non-conformities from the requirements by the participating companies.

It is distinguished between different types of defects:

ISCC DE

In case of severe violations of the ISCC requirements the certificate can be withdrawn (please see ISCC 201 System Basics).

ISCC EU

According to **ISCC EU 201 System Basics Abschnitt 4.3.2** it is distinguished between minor, mayor and critical non-conformities.

All non-conformities have to be closed before a certificate is issued, at the latest 40 days after the audit.

For agricultural businesses non-conformities against ISCC Principle 1 are categorized as critical non-conformities. A correction is not possible, the agricultural business is excluded form the ISCC certification.

ISCC PLUS

The requirements of ISCC PLUS apply.

5.10 Reporting to ISCC and the Bundesanstalt für Landwirtschaft und Ernährung (BLE) in ISCC DE and ISCC EU System

The certification body is obligated to inform ISCC and the authority BLE about first or renewed certifications including scope, mayor non-conformities and withdrawal if certificates.

Further, the certification body is obliged to inform the authority BLE about planned audit dates.

6 Surveillance by the Manufacturer

The manufacturer must ensure, by suitable quality management measures, that the product characteristics confirmed by the certification are maintained. This can be accomplished by means of an in-house factory production control (FPC) focussed on the product itself or on the production and, in addition, can be guaranteed within the framework of a quality management

system (QM-System) in accordance with the standard series DIN EN ISO 9000 ff. This must be reasonably documented.

This also relates to the documentation and structure of the complaints system. This must, among other things, regulate how complaints, non-conformities from the requirements of the certification scheme and the standards set out above are handled.

The requirements of ISCC DE 253 Complaints, Appeals and Arbitration for ISCC-DE certification and ISCC EU 102 Governance for ISCC-EU certification apply.

The relevant records must be submitted to DIN CERTCO or its representatives on request.

7 ISCC Integrity Assessments

In order to evaluate the work of certification bodies ISCC regularly conducts follow-up audits at certified companies. System users are obligated to allow these assessments. More information can be found in the document ISCC 103 Requirements for Certification Bodies and Auditors section 4.10 and in ISCC 102 Governance section 11.