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## **RSB Procedure for Certification Bodies and Auditors**

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Contact details: RSB - Roundtable on Sustainable Biomaterials  
International Environment House 2  
7 Chemin de Balexert  
CH – 1219 Chatelaine (Geneva)  
Switzerland  
web: <http://www.rsb.org>  
email: [info@rsb.org](mailto:info@rsb.org)

## Introduction

The implementation of the RSB standard and certification system relies on a robust assurance system. This system ensures that RSB Participating Operators (POs) are assessed through a stringent, consistent, transparent and independent evaluation and certification process. The RSB assurance system is comprised of:

- The RSB Accreditation Body (AB)
- Certification Bodies (CBs)
- Auditors, who are either employed or subcontracted by CBs.

The RSB Accreditation Body (AB) is selected based on its conformity with RSB-STD-75-001 (General requirements for accreditation bodies).

This procedure describes the requirements to be applied by CBs in order to be accredited to perform audits of RSB Participating Operators, issue RSB certificates and ensure the continuous monitoring of RSB Participating Operators. The three sections of this procedure specify the requirements for CBs (Section F - organization), auditors (Section G - individuals) and conducting audits of the POs (Section H).

The RSB AB is responsible for verifying the competence and impartiality of applicant CBs, and ensuring accredited CBs' continued compliance with this procedure.

As of February 1, 2014, the System Operating Entity (SOE) is the RSB Secretariat and the RSB AB is Accreditation Services International<sup>1</sup>.

## Main changes from the previous version (Version 2.0)

This procedure is the result of the merging of four former RSB standards (RSB-STD-70-001, RSB-STD-70-002, RSB-STD-70-003, RSB-STD-70-004). It was considerably restructured and rewritten to be fully in line with ISEAL Assurance Code (v.1.0) and additional references. Duplications were removed and the text made clearer where possible.

The following table provides details of the modifications made to Version 3.0.

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<sup>1</sup> <http://www.accreditation-services.com>

### Summary of material changes between Version 2.0 and Version 3.0

Former Document	Former Reference	Topic	New Reference	Modifications and Rationale
<b>RSB-STD-70-001</b>	1.	Accreditation	F. 1; F.2	Clarification of the accreditation process; limited accreditation; requirement for additional accreditations (ISO/IEC Guide 62/65/66, ISO 14065, ISO 14064-3) removed
	2.1	CB/PO relationship	F 4	Clarification of the content of the contractual agreement; duplications removed.
	2.7	RSB Secretariat agreement	F.3	Reduce length (reference to the CB Agreement, which is a fixed document)
	3.1	Independence and conflicts of interest		Removed because of duplication with requirements in ISO/IEC 17065
	3.5	Public information	F 8.4	Clearer – improved language
	4.1	Documented systems	F.8	More detailed
	4.2	Records	F.8	More detailed
	Section 5	Sub-contracting		Removed because of duplication with requirements in ISO/IEC 17065 (“outsourcing”)
	Section 6	Certification body quality system		Removed because of duplication with requirements in ISO/IEC 17065
	7.1	Validity of RSB certificates	H 1.4	Audit schedule and certificate validity changed
	7.2.	Issuing and maintaining RSB certificates (including agreement with RSB Secretariat)	H 3.2	Clarifications, Improved language, Duplications removed
	7.2.2	Certificate scope	H 1.1	Clarifications, Improved language, Duplications removed
	7.2.3	Closing major non-compliances	H.2.3	Clarifications of the process, Improved language, Duplications removed
	7.2.5	Certificate details	H 3.2	More details, clearer
	7.2.6	CB informing AB and RSB Secretariat	H 3.2.4 and H.3.4.3 and H.3.7	Now for issuing, extending, suspending and withdrawing certification
	7.3	Evaluating POs	H 2	Clarifications, Improved language, Duplications removed
	7.3.7	Review	H.3.1	Simplification and clarification
Section 8	Transferring POs	F.7	Clearer and more detailed	
<b>RSB-STD-70-002</b>	1.1 – 1.5	Provision for auditor training and qualification	G.1	Simplified, Clarifications, Language improved
	1.6	Scope of competence	G.1, G.2	Industrial facilities included
	1.7 – 1.10	Lead auditor qualification	G.2	Simplified (based on temporary amendments in RSB-STD-80-001); Special provisions for Start-up phase added; Requirements for monitoring audits added
	2.	Audit teams	G.3	Simplification and Clarification on local expertise, GHG competence and social/environmental experts
	1.11	Knowledge Management and Calibration	G.4	Clarification on training, conformity with ISEAL Assurance code; requirement for periodic exchanges of experience for auditors added

	1.12	Qualification report		Removed because of duplication with requirements in ISO/IEC 17065
<b>RSB-STD-70-003</b>	2.1	Evaluation planning	H 1	Improved flow, clarification, duplications removed
	2.2	Audit type	H.1.	Audit type is determined by risk. Detailed description of relevant standards in annex
	2.3	Audit team	H.1.3	Clarification; possibility for PO to object to the team composition
	2.4.6	Representative sample of units	H.1.5.1.4	Simplified (based on revised RSB-STD-60-001 and ISEAL Code)
	--	Representative sample of farms	H.1.5.1.5., H 1.5.1.6.	Included as separate sample and clarification on the composition of the sample
		Representative sample of input data for GHG calculation	H.1.5.1.7	Clause added
	2.4.7	Representative sample of claims	H.1.5.1.8	Simplified (based on revised RSB-STD-60-001 and ISEAL Code)
	3.4.1.	Stakeholder Consultation	H.1.6	Clarification that consultation is are only obligatory for P&C evaluations; Change in time period for notification
		Progress requirements	H.2.3.4.1	Clarification
	4	Correction of non-conformities	H.2.5	Clarification of roles, process and requirements
		H.3.7	Section on withdrawal and suspension added	
<b>RSB-STD-70-004</b>	Entire document	Certification bodies' risk management	F.5	Simplified and less prescriptive approach

### Summary of material changes between Version 3.0 and Version 3.1

Former Document	Former Reference	Topic	New Reference	Modifications and Rationale
RSB-PRO-70-001	F.4.2.3.	Mass balance data	F.4.2.3.	Further improving system integrity
RSB-PRO-70-001	H1.5.	Sampling	H1.5.	Inclusion of sampling approach for waste/residues supply chains
RSB-PRO-70-001	--	GHG verification	H2.2.6.	More detailed requirements
RSB-PRO-70-001	--	Major NC	H2.3.3.2. and H3.7.2.3.	Define non-compliance with EU RED as (severe) major
RSB-PRO-70-001	--	Audit reports	H2.4	More detailed requirements for audit reports
RSB-PRO-70-001	--	Audit Type	H3.4.2	Requirements for defining audit type
RSB-PRO-70-001	--	Surveillance Audits	H.3.4	Conditions for desk based audits were added
RSB-PRO-70-001	Annex	Applicable documents	Annex	Alignment with valid RSB documents

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## **A. The aim of this procedure**

The aim of this procedure is to make sure that RSB CBs carry out evaluations and certification of Participating Operators against the RSB standard in a consistent, comprehensive, and transparent way. This procedure is based on the requirements of the international standards ISO/IEC 17065:2012, ISO/IEC 17021:2011, ISO 19011:2011, ISAE 3000 as well as the ISEAL Assurance Code (v.1.0).

## **B. What this procedure covers (Scope)**

This procedure is applicable to Certification Body applicants and accredited CBs who perform RSB certification audits. The procedure is structured as follows:

**Section F** covers the general requirements that apply to CBs as an organization.

**Section G** covers the specific requirements for RSB auditors, including their competence, knowledge, skills, and experience required to perform RSB audits.

**Section H** covers the requirements for conducting audits and delivering RSB certificates.

## **C. Effective date**

The version 3.1 of the RSB Procedure for Certification Bodies and Auditors (RSB-PRO-70-001) shall be effective on 1 September 2016.

## **D. Note on use of this procedure**

All parts of this procedure are considered to be normative for Certification Body applicants and accredited CBs, including its aim, scope, effective date, notes on its use, references, terms and definitions, requirements and annexes.

## **E. Terms and definitions**

For the purposes of this procedure, the terms and definitions given in RSB-STD-01-002 RSB Glossary of Terms shall apply. The following definitions are particularly important:

*Main Audit* refers to a complete evaluation, which includes both a desk and a field audit where a Participating Operator is evaluated against all the relevant standards and procedures included in its scope of certification (See Annex I and II).

*Surveillance Audit* refers to a limited evaluation, where a Participating Operator is evaluated against a limited number of standards and procedures (See Annex I and II).

*Suspension* refers to the temporary invalidation of a RSB certificate by the Certification Body. No on-product/off-product claim of compliance with the RSB standard or use of the RSB logo and trademarks (See RSB-PRO-50-001) is allowed during the suspension.

## **F. Requirements for Certification Bodies (CBs)**

### **F1. General requirements**

1. 1. The CB shall comply with all requirements of the international standard ISO/IEC 17065:2012.
1. 2. The CB shall conduct audits in line with the international standard ISO 19011:2011.
1. 3. The CB shall conduct the assessment of Greenhouse Gas calculations in line with the international standard ISO/IEC 14064-3.
1. 4. In the event of any conflict between requirements specified in ISO/IEC 17065:2012, ISO 19011:2011, ISO/IEC 14064-3 and the RSB standards, the RSB standards shall prevail.
1. 5. The CB shall ensure that at least a 'limited assurance level' regarding compliance or non-compliance of a Participating Operator is established, as specified in the international standard ISAE 3000: INTERNATIONAL STANDARD ON ASSURANCE ENGAGEMENTS 3000.

### **F2. Accreditation Process**

2. 1. The CB shall undergo and successfully complete the RSB accreditation process and enter into an accreditation agreement with the RSB AB before offering any RSB certification services.  
*Note: Whenever the CB is already accredited by the RSB AB to issue certificates for another certification standard with full ISEAL membership, the RSB AB may conduct a limited accreditation process. In this case, the RSB AB will determine the extent of the limited accreditation process following a risk assessment.*
2. 2. The CB shall comply with any requirement and procedure put in place by the AB (including the performance of witness audits) and submit to evaluation and any related activity as determined by the AB.
2. 3. The CB shall acknowledge the right of the AB to suspend or withdraw their accreditation with immediate effect if, in the sole opinion of the AB, the CB is not in compliance with the RSB standards and any condition set by the AB.
2. 4. The CB shall address and correct all non-compliances or major non-compliances identified during the RSB accreditation process without delay.
  2. 4. 1. The CBs shall identify the root cause of any non-compliance and inform the RSB AB about all actions taken to address the non-compliances or major non-compliance over the long term.
2. 5. The CB shall inform the RSB AB without delay about any and all aspects of their operation which may compromise the implementation of or compliance with the RSB standards.

2. 6. The CB shall inform the RSB AB and the RSB Secretariat without delay about any and all misuse of the RSB trademarks, the RSB standard, or the RSB certification systems that they gain knowledge of.  
*Note: Misuse of the RSB trademarks, the RSB standards, and the RSB certification systems, includes any non-compliance with the RSB standards, provisions or systems, whether already incurred or likely to occur. This requirement refers to any and all operations whether or not they are engaged with the CB, the RSB Secretariat or any other constituent of the RSB or the RSB certification systems.*
2. 7. In case of suspension or withdrawal of its RSB accreditation, the CB shall:
  2. 7. 1. Immediately stop using any and all of the RSB trademarks;
  2. 7. 2. Identify all POs and external third parties affected, and notify them of the suspension or withdrawal of its RSB accreditation.

### **F3. Agreement with the RSB Secretariat**

3. 1. The CB shall enter into a “CB Agreement” with the RSB Secretariat before delivering any auditing or certification activity against RSB standards.  
*Note: the “CB Agreement” will be provided by the RSB Secretariat and includes, among other items, a declaration of commitment and licensing agreement for the use of RSB trademarks.*
3. 2. The CB may use the RSB logo and other trademarks in accordance with RSB Procedure on Communication and Claims (RSB-PRO-50-001). Additional guidance on the use of certificates and marks can be obtained from ISO Guide 23 and ISO/IEC 17030.

### **F4. Agreement with Participating Operators (PO)**

4. 1. The CB shall establish a legally enforceable contract with a PO prior to the beginning of any RSB evaluation and certification.
4. 2. The contract shall include:
  4. 2. 1. A description of all the activities and operations to be performed over the course of a RSB evaluation and certification, in particular those requiring disclosure of any confidential information.  
*Note: CBs may sign a Non-Disclosure Agreement with the PO prior to the beginning of any RSB evaluation and certification.*
  4. 2. 2. A clause whereby the PO shall comply with RSB standards and procedures, as well as any conditions set by the CB for issuing, maintaining, suspending, canceling or withdrawing of RSB certificates.
  4. 2. 3. Relevant provisions ensuring the right of the CB access all operation sites, subsidiaries, branch offices included in the scope of certification and to all documentation and information deemed necessary by the CB including mass balance data for and auditing reports of other voluntary schemes the operator participates in.

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4. 2. 4. A clause whereby the PO shall inform the CB of changes in management circumstances or resource conditions that could materially impact the continued validity of the certification.
  4. 2. 5. A clause whereby the PO shall put a mechanism in place for the participation of observers, where applicable.
  4. 2. 6. A clause whereby the PO shall address and record grievances in line with Section F.2.6 of the RSB standard for Participating Operators (RSB-STD-30-001).
  4. 2. 7. The information to be included in the Public Audit Summary to be published upon completion of the certification process (See Section H.3.3).
  4. 2. 8. The right of the CB to suspend or withdraw the PO's certificate with immediate effect if, in the sole opinion of the CB, the PO is not in compliance with the RSB standard or uses its RSB certification in a manner that may damage the good name of the RSB, the AB or the CB.
  4. 2. 9. A clause whereby, in case of suspension or withdrawal of RSB certification, the PO shall:
    - immediately cease the use of any RSB trademarks, including on or in relation to any products;
    - identify all customers and suppliers affected, and notify them of the suspension or withdrawal of the RSB certificate in writing within three (3) business days of the suspension or withdrawal, and maintain records of that notification;
    - take any other required measure.
  4. 2. 10. A clause whereby the RSB AB is entitled to participate in audits and evaluations of the PO for the purpose of monitoring the CB's conformity with RSB accreditation requirements, including the AB's right to conduct compliance assessments.

*Note: CBs may recommend to the PO to sign a Non-Disclosure Agreement with the RSB AB prior to its participation in any audit and evaluation.*
  4. 2. 11. A clause whereby the RSB and the AB are entitled to access all audit products, which includes audit findings, evidence and reports.
  4. 2. 12. A clause whereby the PO, when providing copies of certification documents, shall ensure the documents are copied in their entirety, unless specified otherwise by the RSB standard;
  4. 2. 13. Relevant provisions ensuring the right to use information brought to the attention of the certification body to follow up on infringements of the RSB trademarks and intellectual property rights held by RSB;
  4. 2. 14. All elements as detailed in H.1.1. and any other aspect the CB deems necessary for the proper conduction of evaluation and certification against the RSB standard.
  4. 3. The CB shall provide information to the PO about the audit process, including fees for application, initial certification and continuing certification.

## **F5. Risk Management**

5. 1. The CB shall develop, document and implement a risk management approach to minimize risks which could compromise comprehensive, consistent and transparent implementation of the *RSB standards*. The approach includes four (4) main stages; risk identification, risk evaluation, risk management, and risk monitoring, as described below:
  5. 1. 1. The CB shall identify relevant risk factors associated with the particular operation. This shall include the identification of potential sources of risk to their operation as a whole and to any part thereof, and to the comprehensive, consistent and transparent implementation of the RSB standards.
  5. 1. 2. For each risk factor identified, the CB shall evaluate the potential extent of damage which could result from deficient implementation of the RSB standards.
  5. 1. 3. The CB shall develop and keep updated a risk management plan which describes the strategic and operational management activities for each risk factor identified and evaluated.
  5. 1. 4. The CB shall monitor implementation of the risk management plan for its effectiveness in minimizing the risks to comprehensive, consistent and transparent implementation of the RSB standards and certification systems. The CB shall update and optimize the risk management plan according to the results of the risk monitoring.

## **F6. Grievance Mechanism**

6. 1. The CB shall put in place a grievance mechanism in line with the RSB Grievance Procedure (RSB-PRO-65-001) to address cases of grievance (i.e. complaint, dispute, challenge, conflict) filed by POs or by any third party about any element of RSB evaluations and certifications.

## **F7. Transferring Participating Operators**

7. 1. The CB shall facilitate the transfer of a PO to another CB accredited by the RSB AB.
7. 2. The transfer of a PO shall be approved by the RSB Secretariat.
7. 3. Upon agreement of the transfer by the PO and its new CB, the CB shall transfer copies of the certification documentation, and all other relevant information (incl. pending non-compliances) to:
  - The CB that receives the PO;
  - The RSB AB;
  - The RSB Secretariat.

7. 4. The transfer shall not affect the validity period of existing certificates, evaluation reports, existing non-compliances, and the initial audit schedules unless otherwise agreed between the PO, its new CB and the RSB AB.
7. 5. The CB shall remain responsible and liable for any non-compliance, misuse or misrepresentation by the PO, which occurs or is identified before the contractual agreement between the PO and its new CB is signed.

## **F8. Documentation and Records**

### **F8. 1. General**

8. 1. 1. The CB shall keep records for at least 7 years, to demonstrate that all the requirements in this procedure have been effectively fulfilled.
8. 1. 2. The CB shall base their operations related to RSB on documented systems, including but not limited to all operational procedures and associated instructions needed in order to evaluate a Participating Operator's conformity with the RSB standard within its scope of RSB accreditation.
8. 1. 3. The CB shall make sure all personnel, management and any external third party involved in RSB-related operations and activities are aware of all operational procedures and associated instructions.
8. 1. 4. The CB shall provide and keep updated a documented profile of all activities and operations under its control in relation to the implementation of the RSB standard and the RSB certification systems.
8. 1. 5. The CB's documented profile shall include at minimum the following information:
  8. 1. 5. 1. Description of legal status;
  8. 1. 5. 2. Description of governing bodies, including its certification decision entity and other relevant committees;
  8. 1. 5. 3. Names, details, descriptions, organizational charts and any other relevant information documenting subsidiaries, branch offices, affiliated entities, external third parties contracted or otherwise engaged, operational structures, authorities, functions, roles & responsibilities, an management systems including policies, procedures, as well as controlling systems and risk management systems;
  8. 1. 5. 4. Description of experience with implementation of social, environmental, economic, and management standards and certification systems, including a list of:
    - standards and certification systems currently implemented and the status thereof;
    - the accreditation bodies engaged with the CB;
  8. 1. 5. 5. Consultants, sub-contractors and other third parties engaged to advise on implementation of RSB standards and RSB certification systems; accreditations withdrawn, suspended or terminated.

8. 1. 6. The CB shall keep all records and documentation accurate, complete and up-to-date. Records and documentation related to POs and personnel shall be kept for at least 7 years following the end of any contractual relation.

**F8. 2. Confidentiality**

8. 2. 1. All personnel who have access to confidential information shall sign a written confidentiality agreement. Personnel includes, but is not limited to administrative personnel, auditors, technical experts, audit observers, translators, consultants, subcontractors, members of the certification decision entity, peer reviewers, other committee members and management representatives.

**F8. 3. Records of Participating Operators**

The CB shall keep accurate, up-to-date, legible and complete records of every RSB PO to whom they provide certification in relation to the RSB standard, including but not limited to:

8. 3. 1. PO Participant Code;
8. 3. 2. Certification scope;
8. 3. 3. Evaluation reports, including the identification, management and tracking of nonconformities and actions taken to address them over the long term;
8. 3. 4. Records of stakeholder consultation conducted during the audit process;
8. 3. 5. Decision by the Certification Decision Entity;
8. 3. 6. Certificate type (RSB, RSB EU RED, EU RED);
8. 3. 7. Certificate status (validity and expiry date, or whether expired/suspended);
8. 3. 8. Grievance reports;
8. 3. 9. Review of the use of RSB compliance claims and trademarks;
8. 3. 10. Audit team.

**F8. 4. Public information**

8. 4. 1. The CB shall make publicly available the fact that they are accredited to offer RSB certification services.
8. 4. 2. In cases where the CB operates as part of or are controlled by another legal entity (e.g. government body or private organization) they shall make publicly available this fact with sufficient information to clearly explain the relationship between the CB and the other legal entity.
8. 4. 3. The CB shall make the following information available to stakeholders upon request, including:

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- |    |    |    |    |  |
|----|----|----|----|--|
| 8. | 4. | 3. | 1. | Process for evaluating compliance with the RSB standard;   |
| 8. | 4. | 3. | 2. | Procedure for granting, maintaining, refusing and withdrawing RSB certification;   |
| 8. | 4. | 3. | 3. | Process for resolution of grievances;  |
| 8. | 4. | 3. | 4. | Rights and duties of POs, in particular the use of the RSB trademarks and the CB's name, licenses and marks;   |
| 8. | 4. | 3. | 5. | Personnel and committee members responsible for overall performance of its activities, policy matters, certification decisions and resolution of grievances; |
| 8. | 4. | 3. | 6. | Information about the financial resources and costs related to RSB certification services.   |

## **G. Auditor Qualification**

### **G1. Training and qualification requirements for Auditors**

The CB shall make sure that all auditors taking part in evaluation and certification of PO have the following qualifications in the scope of evaluation and certification, whereas the certification body shall at least differentiate between the scopes a) primary biomass production (agriculture, forestry); b) biomass processing, biofuel or biomaterial production (industrial facilities), intermediaries (trade):

1. 1. At least two (2) years higher education diploma or equivalent in a discipline relevant to the scope of evaluation and certification;
1. 2. English language skills to read, comprehend, interpret, implement, report-writing, and otherwise handle the original documents published by the RSB;
1. 3. A valid certificate issued after the successful completion of an auditor training program on RSB standards and RSB certification system;
1. 4. Participated successfully in continuous training measures and exchange of experiences for auditors (at least one (1) per year), and continuously meet all qualifications required in this procedure;
1. 5. A sense of observation, fairness, truthfulness, objectivity, integrity, cultural openness, respect and persistence.
1. 6. Gained and demonstrated experience evaluating Participating Operators against the RSB standards in the scope of evaluation and certification.

*Note: Auditors in training (i.e. who do not meet the requirements listed in this section) may participate in evaluations as an observer, upon approval by the PO.*

### **G2. Additional training and qualification requirements for Lead Auditors**

In addition to requirements for auditors, the CB shall make sure that any lead auditor taking part in evaluation and certification of POs have the following qualifications relevant to the scope of evaluation , whereas the certification body shall at least

differentiate between the scopes a) primary biomass production (agriculture, forestry); b) biomass processing, biofuel or biomaterial production (industrial facilities), intermediaries (trade):

2. 1. A formal ISO 9001<sup>2</sup>, ISO 14001<sup>3</sup> or OHSAS 18001<sup>4</sup> lead auditor certificate achieved through a recognized accredited training course;
2. 2. A three-day ISO 19011<sup>5</sup> training course certificate, including the successful examination provided by a qualified quality management system (QMS), environmental management system (EMS) or occupational health and safety management systems (OHSAS) lead auditor;
2. 3. University level education (or equivalent) in a discipline relevant to the scope of evaluation;
2. 4. Two (2) years professional experience in a field relevant to the scope of evaluation, either as an auditor or in the relevant industry;
2. 5. Successfully led at least three (3) evaluations of POs of substantially different size and complexity against the RSB standards in the scope of evaluation and certification, supervised by a qualified lead auditor, one of which should be a main evaluation or re-evaluation.

Certification Bodies that are in the startup phase with regards to certification against RSB standards may deviate from clause 2.5. During the startup phase the following requirement for lead auditors applies: Successfully led at least three (3) evaluations of companies of substantially different size and complexity against product certification systems similar to RSB (e.g. RSPO, FSC, MSC, RA), in the scope of evaluation and certification;

2. 6. Conduct at least one audit every three (3) years that is monitored by the RSB AB. Based on a risk evaluation, the RSB AB shall decide on the type of the monitoring (desk based or onsite) and whether the sample size per CB may be reduced.

### **G3. Additional audit team competence requirements**

The CB shall ensure that audit teams have the following additional competences to perform evaluation, in line with the scope of certification of the PO:

3. 1. Knowledge of local context, customs and language, legislations and regulations in the countries of operation;
3. 2. Wherever the evaluation includes the verification of a GHG calculation, appropriate knowledge, skills and experience in LCA and Greenhouse Gas (GHG) auditing:
  3. 2. 1. For the verification of input data: Two (2) years of professional experience in auditing involving GHG calculations (e.g. based on ISO/IEC 14064-3);
  3. 2. 2. For the evaluation whether the methodology used by the PO is in line with the RSB GHG Calculation Methodology (in the case that the calculation is not based on a recognized tool): Academic background in Life Cycle Assessment

<sup>2</sup> ISO 9001:2008 - Quality management systems -- Requirements

<sup>3</sup> ISO 14001:2004 Environmental management

<sup>4</sup> Occupational Health and Safety. July. 2007.

<sup>5</sup> ISO 19011: 2011 Guidelines for auditing management systems

or specific training in LCA or GHG accounting, following the ISO 14040 Framework.

3. 3. The CB shall include social and/or environmental experts in the team whenever the screening exercise triggers an impact assessment or the risk assessment shows an environmental or social risk (see Section H.1.3).
3. 3. 1. The CB shall define the required knowledge and competence of the experts based on the scope of the Participating Operator and the specific environmental or social issue or risk that had been detected during the risk assessment or screening exercise.

Examples:

Environmental or Social Issue	Required Expertise
Company operates in a region of poverty	Work experience in rural and social development projects in a region of poverty, e.g. employment creation, implementation of business models, improvement of social services or infrastructure.
Soil Impact Assessment needs to be evaluated	Work experience in determining soil types and in the measurement of soil quality, implementation of measures to maintain and improve soil quality.
Highly biodiverse grassland needs to be identified	Expertise in assessing whether grasslands is species rich and assessing whether a grassland maintains the natural species composition and ecological characteristics and processes

*Note: The additional audit team competencies may be covered by experts who do not fulfil the requirements for auditors.*

#### **G4. Requirements for Knowledge Management and Calibration**

4. 1. The CB shall ensure that the personnel working for the RSB audit program receive adequate training to maintain a level of knowledge that ensures the correct implementation of RSB standards.
4. 2. In order to ensure an adequate level of continuous training, the CB may work with the RSB Secretariat or external training providers that are recognized by the RSB Secretariat or the CB may implement an internal training program that is overseen by the RSB AB. In the latter case, the CB shall appoint personnel with adequate knowledge about the RSB standard to be responsible for the internal training program, i.e. personnel that fulfill the requirements for RSB Lead Auditors.
4. 3. It is the responsibility of the CB to ensure that guidance or information on updated RSB standards, procedures or guidance provided by the RSB Secretariat, is disseminated to the CB's personnel.

4. 4. The CB shall organize an annual exchange of experience for their RSB auditors and lead auditors.

## H. Evaluation and Certification of Participating Operators

### H1. Planning the Audit

This section describes the different aspects of the evaluation/certification the CB shall verify or put in place before the beginning of every audit.

#### H1. 1. Determining the audit scope, certificate type and lead auditor

1. 1. 1. The CB shall determine the certificate type based on the certification scope submitted by the PO as follows:
  1. 1. 1. 1. Global RSB certification includes RSB Principles & Criteria (RSB-STD-01-001) and other standards and procedures (see Annex I). It is valid for biofuels and other bio-products worldwide, but cannot be used for biofuels counted towards the targets established in the EU Renewable Energy Directive (2009/28/EC) and the EU Fuel Quality Directive (2009/30/EC, which revises 98/70/EC);
  1. 1. 1. 2. RSB EU RED certification includes consolidated RSB EU RED Principles & Criteria (RSB-STD-11-001-01-001) and other standards and procedures (see Annex II). It is valid for biofuels and bioliquids counted towards the targets established in the EU Renewable Energy Directive (2009/28/EC) and the EU Fuel Quality Directive (2009/30/EC, which revises 98/70/EC);
  1. 1. 1. 3. Audits shall only include verification of compliance with Chain of Custody (CoC) standards (RSB-STD-20-001 or RSB-STD-11-001-20-001) for POs aiming to make “on-product” claims.  
*(For more information about on-product claims, see the RSB Procedure for Communication and Claims RSB-PRO-50-001 and RSB-PRO-11-001-01-001)*
1. 1. 2. The CB shall determine the audit scope (sites, facilities, activities and processes to be audited) based on the certification scope submitted by the PO.
1. 1. 3. The CB shall determine the relevant RSB standards and procedures against which the PO is evaluated based on the PO’s submitted certification scope. The CB shall make sure the PO has a copy of the most recent version of all relevant RSB standards and procedures (See Annex I and Annex II).
1. 1. 4. The CB shall designate a lead auditor who fulfills the requirements described in sections G.1 and G.2, and compose an audit team that fulfills the requirements described in section G.3.

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## **H1. 2. Verification of Participating Operator's application**

The CB shall make sure the application submitted by the PO requesting evaluation includes the following:

1. 2. 1. A valid "Participating Operator Agreement" with the RSB Secretariat and a valid RSB Participant Code;
1. 2. 2. A valid contractual agreement with the CB;  
*Note: CBs are responsible for making sure the PO fulfils the requirements included in the agreement.*
1. 2. 3. Documented profile; See Section 1.2 of the RSB standard for Participating Operators (RSB-STD-30-001)
1. 2. 4. Certification scope; See Section 1.3 of the RSB standard for Participating Operators (RSB-STD-30-001)
1. 2. 5. Complete and up-to-date self-risk assessment (i.e. no older than 3 months);  
*Note: for the first audit, POs are automatically attributed a "medium" risk class. The actual risk class can only be determined upon verification by the audit team during the first evaluation.*
1. 2. 6. Complete and up-to-date self-evaluation (i.e. no older than 3 months);
1. 2. 7. Where relevant, complete and up-to-date pre-audit tools (includes a greenhouse gas calculation, screening tool and environmental and social management plan (ESMP)).

## **H1. 3. Audit team**

1. 3. 1. The CB shall ensure that every member of the audit team for the evaluation of PO fulfills the requirements described in section G.1 of this document.
1. 3. 2. The audit team shall include:
  1. 3. 2. 1. One (1) lead auditor;
  1. 3. 2. 2. Knowledge as described in G.3;
  1. 3. 2. 3. Translator, if neither the lead auditor nor the auditor speaks the local language fluently;
  1. 3. 2. 4. Social expert, if required (see H.1.3.3);
  1. 3. 2. 5. Environmental expert, if required (see H.1.3.4);*Note: Requirements H.1.3.2.1 to H.1.3.2.5 above can be combined – i.e. the lead auditor can also have knowledge of the local context and speak the local language fluently.*
1. 3. 3. The CB shall include a social expert in the audit team in any of the following situations:
  1. 3. 3. 1. If the PO answered "Yes" to socio-economic questions (Sections A, B and D) in the self-risk questionnaire (See RSB-STD-60-001 Annex I); and/or

1. 3. 3. 2. If any impact assessment related to social aspects was triggered by the PO through the screening exercise (RSB-GUI-01-002-01 – available online at [www.rsb.org](http://www.rsb.org)); and/or
1. 3. 3. 3. At its discretion, based on due diligence.
1. 3. 4. The CB shall include an environmental expert in the audit team in any of the following situations:
  1. 3. 4. 1. If the PO answered “Yes” to environmental questions (Section C) in the risk questionnaire (See RSB-STD-60-001 Annex I); and/or
  1. 3. 4. 2. If any impact assessment related to environmental aspects was triggered by the PO through the screening exercise (RSB-GUI-01-002-01 – available online at [www.rsb.org](http://www.rsb.org)) (Steps 4.1, 4.2, 5.1 and 5.2); and/or
  1. 3. 4. 3. At its discretion, based on due diligence.
1. 3. 5. The composition of the audit team shall be communicated to the PO ahead of the beginning of the audit process.
1. 3. 6. The PO shall be given the possibility to object to the composition of the audit team. In case the audit team composition cannot be modified, the lead auditor shall provide the PO with all required information to understand the audit team composition. Any sustained objection from the PO shall be dealt with through the RSB Grievance Procedure (RSB-PRO-65-001).

**H1. 4. Audit schedule**

1. 4. 1. The CB shall determine the frequency and schedule of audits based on the risk class of the PO, following the table below:

	<b>Low Risk Class</b>	<b>Medium Risk Class</b>	<b>High Risk Class</b>
<b>Certificate Validity</b> (pending successful surveillance audit)	5 years	3 years	2 years
<b>Main Audit</b>	Every 5 years	Every 3 years	Every 2 years
<b>Surveillance Audit</b>	Annual	Annual	Annual

1. 4. 2. The CB shall review and update the audit schedule with every update of the PO's self-risk assessment.
1. 4. 3. In addition to the agreed schedule, the lead auditor may organize extraordinary audits as part of the surveillance process, for example if a grievance process is initiated.
1. 4. 4. The dates of the audit shall be agreed upon in advance with the PO. The audit schedule shall be communicated in advance of the audit (at least 30 days) to the RSB AB (via email to asi-info@accreditation-services.com) and the RSB Secretariat.

**H1. 5. Extent of the audit**

1. 5. 1. The lead auditor shall plan to evaluate the following, allowing adequate time for evaluation of all requirements:
  1. 5. 1. 1. **Central management:** The office and management systems of the PO shall be audited individually on-site;
  1. 5. 1. 2. **Processing facilities:** All operation sites where RSB-compliant products are produced or processed as identified in the certification scope of the participating operator shall be audited individually on-site;
  1. 5. 1. 3. **Level of biomass production (farm level):** A representative sample of farms where RSB-compliant biomass is produced as identified in the certification scope of the PO (See Section 1.3 in RSB-STD-30-001), which is sufficient in extent to allow the CB to determine compliance with the RSB standards shall be audited on-site:

Risk Class	Formula
Low and Medium	Square root (nb of farms)
High	Square root (nb of farms)/0.5

The CB shall base the farm sample partly on random selection, partly on a risk-based selection (e.g. farms in the vicinity of a protected area, farms in areas with water scarcity issues, farmers using soils with a high risk of soil erosion) and partly based on a size-related selection;

1. 5. 1. 4. **Audits including waste or residues:**
  - a) A representative sample of first collectors and aggregators in the scope of certification delivering more than 10 metric tons per month (on average) with own trading activities shall be audited.
    - For (re-) certification audits and surveillance audits against RSB EU RED: Audits shall be onsite

- For (re-) certification audits and surveillance audits against RSB Global: Audits may be conducted desk-based if the following documents are available:
  - o Documentation (e.g. procedures) of the individual mass balance systems;
  - o List of suppliers;
  - o Quarterly balance of incoming and outgoing material including records;
  - o Supporting evidence back to the origin of the material, e.g. evidence of collection from specific restaurants including the name of the specific feedstock (first collectors only);

Risk Class	Formula
Low and Medium	Square root (nb of collectors)
High	Square root (nb of collectors)/0.5

- b) A representative sample of points of origin (e.g. restaurants) delivering more than 10 metric tons per month (on average) shall be audited in order to check the plausibility of the mass balance records and the conformity with the requirements of RSB-STD-11-001-01-010 for audits against RSB EU RED and RSB-STD-01-010 for audits against RSB Global.
- For (re-) certification audits and surveillance audits against RSB EU RED: Audits shall be onsite
  - For (re-) certification audits and surveillance audits against RSB Global: Audits may be conducted desk-based if the following documents are available:
    - o description and operating figures (e.g. throughput, output of main product(s), by-product(s) and waste/residues) of the process/operation where the waste or residue is derived from;
    - o Quarterly balance of incoming and outgoing material including records;
    - o In the case of agricultural, aquaculture, fisheries and forestry residues:
      - Documents identifying the land the raw material was obtained from;
      - Records of the status of this land from the year of the cultivation until 01.01.2008;
      - Farmers in an EU member state: Records that show compliance with direct support schemes;

Risk Class	Formula
Low and Medium	Square root (nb of points of origin)
High	Square root (nb of points of origin)/0.5

- c) Collectors, aggregators and points of origin supplying less than 10 metric tons per month may be audited by the certification body if there is any indication of non-conformities.

1. 5. 1. 5. A representative sample of other sites listed in the scope of certification (e.g. offices, storage sites, operators collecting on behalf of the first collector etc.) which is sufficient in extent to allow the CB to determine compliance with the RSB standards shall be audited;

The representative sample shall be at minimum equivalent to the square root of the total number of all units identified in the certification scope of the PO:

Risk Class	Formula
Low and Medium	Square root (nb of points of origin)
High	Square root (nb of points of origin)/0.5

If the following documents are available, the audit may take place desk-based:

- Documentation (e.g. procedures) of the sites' mass balance systems;
- List of deliveries;
- Quarterly balance of incoming and outgoing material including records (e.g. weighbridge documents);

1. 5. 1. 6. A representative sample of input data for the **greenhouse gas calculation**;
1. 5. 1. 7. A representative sample of **RSB compliance claims** made by the PO.
1. 5. 2. The lead auditor may increase the number of units, farms and/or compliance claims included in the evaluation and select the sample based on the results of the self-risk assessment, the screening exercise or any due diligence.

*Note: The RSB Secretariat may define specific provisions for the certification of smallholders. Please see the RSB Principles & Criteria for Smallholder Groups (RSB-STD-03-002) for further information.*

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## H1. 6. Stakeholder Consultation

Whenever the audit includes an evaluation against the RSB Principles & Criteria (see Annex I and Annex II), the CB shall ensure that the audit team conducts a stakeholder consultation for all certification and re-certification audits.

1. 6. 1. The lead auditor shall conduct a stakeholder consultation appropriate to the certification scope, risk class and screening results.
1. 6. 2. The lead auditor shall identify key stakeholders who can provide relevant information in regards to the Participating Operator's compliance with the environmental, legal, social, and economic requirements of the RSB standard.  
This shall include stakeholders who are internal (e.g. personnel, contractors, etc.) as well as external (e.g. communities, etc.) to the operation of the PO.
1. 6. 3. The lead auditor shall make sure that:
  1. 6. 3. 1. A range of representative stakeholders is consulted appropriate to the scale, intensity, complexity and impacts of the operation evaluated;
  1. 6. 3. 2. Stakeholders have the opportunity to present their comments to the auditor(s) in local language;
  1. 6. 3. 3. Stakeholders have the opportunity to present their comments to the auditor(s) under terms of confidentiality;
  1. 6. 3. 4. Identities of stakeholders requesting confidentiality are documented in formal records of the CB, but shall not be included in any documentation which is disclosed publicly to the PO and/or to any other external third-party involved in evaluation. The CB shall ensure that the identity, privacy and personal integrity of stakeholders requesting confidentiality is protected. The members of the audit team shall not be required to investigate or consider comments by stakeholders who refuse to identify themselves;
  1. 6. 3. 5. Stakeholder consultation shall be designed to solicit direct, factual observations with regard to compliance of the PO with the RSB standards;
  1. 6. 3. 6. Information and opinions given by consulted stakeholders are investigated, evaluated and verified objectively and meaningfully, and affect the certification decision only in so far as they provide evidence of compliance or non-compliance with the applicable requirements of the RSB standards.
1. 6. 4. Any stakeholders identified by the lead auditor shall be notified four (4) weeks prior to the scheduled audit, with details about the schedule and the upcoming evaluation. The notification period may be reduced to two (2) weeks if the PO (including all entities within the scope of certification) is located in an OECD (Organisation for Economic Co-operation and Development) member country.<sup>6</sup>
1. 6. 5. This notification shall include information on the applicable RSB standards, the RSB certification systems, the evaluation process, and the fact that the audit team

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<sup>6</sup> <http://www.oecd.org/about/membersandpartners/>

is seeking comment on the social, environmental and economic impacts of the operation of the PO to determine their compliance with the RSB standard.

## **H2. Conducting the Audit**

### **H2. 1. General requirements**

2. 1. 1. The lead auditor shall ensure that the evaluation is conducted according to the conditions described in Section H.1 of this procedure (scope, certificate type, schedule, extent, etc.).
2. 1. 2. The lead auditor shall use any and all effort necessary to evaluate compliance or non-compliance of the operation identified in the certification scope of the PO with the RSB standard.
2. 1. 3. The evaluation by the audit team shall include (but is not limited to) visual inspections, reviews of available documents, and interviews with personnel, other professionals and stakeholders involved in or affected by the operation.
2. 1. 4. The audit team shall pay particular attention to “critical control points,” or aspects of the operation where or in which product is processed, converted or otherwise transformed into new product. For example, the audit team shall verify conversion ratios and other aspects that could influence the relationship between product entering and new product leaving the particular internal processing step.
2. 1. 5. The lead auditor appointed shall ensure that each auditor and expert collect their respective evidence and report their respective observations independently. The lead auditor appointed shall integrate and consolidate the observations and evidence from the auditors and experts involved in the audit team.
2. 1. 6. In case of disagreement between the lead auditor appointed and other members of the audit team, the opinion of the lead auditor shall prevail, and the lead auditor shall include the observations, evidence and opinions of the other members of the audit team in the documentation submitted for review.
2. 1. 7. The lead auditor may submit requests for clarification or interpretation of any part of the RSB standard to the RSB Secretariat. *(See the RSB Procedure for Development and Modification of Guidance (RSB-PRO-35-001))*

### **H2. 2. Evaluation of the Participating Operator**

For the evaluation of the operation identified in the certification scope of the PO, the lead auditor shall include at minimum the following steps:

2. 2. 1. Conduct a risk assessment of the PO according to the RSB Standard for Risk Management (RSB-STD-60-001).
2. 2. 2. Identify and document any and all deviations of the risk assessment from the self-risk assessment submitted by the PO.
2. 2. 3. If the risk class calculated by the lead auditor is different from the risk class submitted by the PO, the result of the risk assessment carried out by the lead auditor shall prevail.

2. 2. 4. The lead auditor shall include a detailed assessment of all the questions in the questionnaire for Self-Risk Assessment (Annex I, RSB-STD-60-001) where the answer deviated from the self-risk assessment submitted by the PO.
2. 2. 5. Conduct the evaluation of the units (operation sites, subsidiaries, branch offices supply chain structures) where RSB-compliant products are produced, processed, acquired, handled or forwarded as defined in the certification scope, against all applicable requirements of the RSB standard.
2. 2. 6. The lead auditor shall verify the Greenhouse Gas Calculation submitted by the PO, including the verification if
  2. 2. 6. 1. the GHG calculation methodology has been applied correctly, and
  2. 2. 6. 2. all relevant emission sources have been taken into account, and
  2. 2. 6. 3. adequate emission factors were used. For RSB EU RED assessments, the emission factors as publicized on the website of the EU commission or from the ecoinvent database shall be used<sup>7</sup>, and
  2. 2. 6. 4. meters and other measurement instruments, data gathering and processing tools are adequate.
2. 2. 7. For RSB EU RED assessments, the lead auditor shall compare the results of the GHG calculation with the typical greenhouse gas emissions as stated in Annex V of the Renewable Energy Directive (Directive 2009/28/EC). Whenever the results deviate significantly from the typical values, the lead auditor shall investigate reasons for the deviation.

## **H2. 3 Major and minor non-compliances**

2. 3. 1. Areas where the PO does not meet the requirements of the RSB standard shall be defined by the lead auditor as either a minor non-compliance or a major non-compliance.
2. 3. 2. The lead auditor appointed shall identify and document all deviations between the evaluation performed and the self-evaluation submitted by the PO.
2. 3. 3. The lead auditor shall consider the following situations as major non-compliances:
  2. 3. 3. 1. A non-compliance with a minimum requirement in the RSB Principles & Criteria (RSB-STD-01-001).
  2. 3. 3. 2. A non-compliance with a mandatory requirement of the EU Renewable Energy Directive (2009/28/EC).
  2. 3. 3. 3. Management systems implemented by the PO which are not applied comprehensively and consistently to all units in the certification scope of the PO.
  2. 3. 3. 4. Non-compliances with the potential to compromise the RSB, RSB standard, RSB certification systems, RSB trademarks or the good name of the RSB or its AB.

<sup>7</sup> <https://ec.europa.eu/energy/sites/ener/files/documents/Standard%20values%20v.1.0.xlsx>

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- 2. 3. 3. 5. Non-compliances issued in the preceding evaluation which have not been corrected, rectified or otherwise brought into compliance with the RSB standards prior to the evaluation.
  - 2. 3. 3. 6. Non-compliances which are systematic in nature (i.e. non-compliances which will continue to result in further non-compliances until they have been corrected, rectified or otherwise brought into compliance with the RSB standards).  

Example: Incorrect documentation is found in more than 10% of the units or claims included in the representative sample.
  - 2. 3. 3. 7. Non-compliances which cannot possibly be corrected, rectified or otherwise brought into compliance with the RSB standard.
  - 2. 3. 4. The lead auditor shall evaluate if the PO meets the progress requirements.
  - 2. 3. 4. 1. Within the first 3 years of certification against RSB standards, the lead auditor shall issue an observation whenever the PO does not comply with a progress requirement. If the PO does not fulfil the progress requirement in the 4<sup>th</sup> year of certification against RSB standards, the lead auditor shall issue a major non-compliance.

## 2. 4. Evaluation (audit) report

The lead auditor shall compile all audit results in an evaluation (audit) report, including

- 2. 4. 1. all identified non-compliances, and
- 2. 4. 2. beginning and end of the audit, and
- 2. 4. 3. address where the audit was conducted, and
- 2. 4. 4. audit participants, and
- 2. 4. 5. list of audited documents, and
- 2. 4. 6. GHG emissions occurring at the operator's sites in g CO<sub>2eq</sub>/ dry-ton for raw materials and intermediary products and g CO<sub>2eq</sub>/MJ for final biofuels (annualized, after allocation) and if applicable, achieved emission savings, and
- 2. 4. 7. If applicable, explanation for deviation from typical GHG values as stated in 2.2.7.

## H2. 5. Correction of non-compliances

- 2. 5. 1. The PO shall define the root causes for major non-conformities.
- 2. 5. 2. The PO shall define corrective action measures to address the non-conformities and their root causes.
- 2. 5. 3. The PO shall define a timeline for implementing the corrective action measures.

2. 5. 4. The lead auditor shall evaluate the corrective action plan and communicate to the PO whether the corrective action plan is accepted.
2. 5. 5. The lead auditor shall monitor and evaluate all actions taken by the PO to address non-compliances and major non-compliances identified during evaluation.
2. 5. 6. Major non-compliances found during the audit shall be corrected within 90 days from when the evaluation (audit) report is finalized.
  - If the PO submits the documentation of corrective actions on time, the audit team shall evaluate whether the aspects that led to the non-compliance were corrected, rectified or otherwise brought into compliance with the RSB standard;
  - If the necessary corrective actions are not submitted on time, the lead auditor shall schedule a full evaluation.
2. 5. 7. The CB shall ensure that minor non-compliances are addressed according to the corrective action plan within 12 months.

### **H3. After the Audit**

#### **3. 1. Review**

3. 1. 1. The lead auditor shall submit all evaluation reports as well as the corrective action plan and the evaluation of corrective actions to a review prior to certification decision-making.
3. 1. 2. The review shall be carried out by an individual who has not been involved in the audit process.
3. 1. 3. Reviewer(s) (at minimum one (1) reviewer) shall be in possession of a RSB lead auditor qualification, and demonstrate sufficient knowledge and experience in auditing and certification processes.

The reviewer(s) shall be competent about the topics being addressed in the audit reports, in particular sustainability issues like biodiversity, human rights, etc. If the audit included a CoC component, the reviewer(s) shall have knowledge and experience in this field.
3. 1. 4. Submitted evaluation reports shall be reviewed for (at least) the adequacy of the following:
  3. 1. 4. 1. Evaluation work and collection of objective evidence, to verify compliance with the RSB standard;
  3. 1. 4. 2. Clarity of presentation of observations and evidence as basis for certification decision-making;
  3. 1. 4. 3. Identified non-compliances and, where relevant, correction of non-compliances (See also H.2.5);
  3. 1. 4. 4. Whether the proposed certification decision is justified by the observations and evidence presented.

3. 1. 5. The outcomes (e.g. comments, inputs, issues raised, etc.) of the review shall be compiled in a review report and be part of the CB's records.
3. 1. 6. The lead auditor shall respond in writing to the review, and finalize the certification report considering the results of the review.
3. 1. 7. The lead auditor shall submit the evaluation report, together with the review report and his/her response to the review to the certification decision entity.

### **H3. 2. Issuing RSB Certificates**

3. 2. 1. When all major non-compliances (if any) are closed, the Certification Decision Entity may issue a certificate of RSB compliance to the PO in line with the scope of certification.

*Note: the validity of the certificate is based on the PO's risk class.*

3. 2. 2. The issued certificate shall have the following details:
  3. 2. 2. 1. CB's name, address, registration number
  3. 2. 2. 2. PO's Legal name registered address, and RSB Participant Code
  3. 2. 2. 3. A unique certificate code, and in case of sub-certificates, a three letter code to uniquely identify legal entities and operational sites;
  3. 2. 2. 4. The scope of the certificate, as specified in the PO agreement with the RSB Secretariat;
  3. 2. 2. 5. Date of issue of the RSB certificate;
  3. 2. 2. 6. Date of expiry of the RSB certificate;
  3. 2. 2. 7. Reference to the RSB database of registered certificates;
  3. 2. 2. 8. Reference to the RSB website;
  3. 2. 2. 9. Disclaimers:
    - the RSB certificate itself does not serve as evidence that a particular product supplied by the certificate holder is certified to the RSB standards. Products offered, shipped or sold by the certificate holder can only be considered covered by the scope of this certificate when it has the required on-product claim;
    - the RSB certificate is only valid if registered in the RSB database of registered certificates, and that the validity of this RSB certificate shall be verified in the RSB database of registered certificates
  3. 2. 2. 10. Signature of the designated CB representative.
3. 2. 3. The Certification Decision Entity shall issue a separate sub-certificate for each legal entity and operational site included in the certification scope of the Participating Operator. The sub-certificates shall have the same certificate code as the certificate issued to the Participating Operator, followed by combination of three letters which uniquely identify each sub-certificate.

3. 2. 4. The CB shall inform the RSB AB and the RSB Secretariat of any issued certificate.

### **H3. 3. Public Audit Summary**

3. 3. 1. The CB shall document the audit process, the audit findings and conclusions in a Public Audit Summary in English, which includes the following information:
- 3. 3. 1. 1. The name, address and registration number of the CB;
  - 3. 3. 1. 2. The legal name, registered address and RSB Participant Code of the PO evaluated for compliance with the RSB standard;
  - 3. 3. 1. 3. The certification scope of the PO;
  - 3. 3. 1. 4. The audit scope and extent;
  - 3. 3. 1. 5. The name of the audit team leader, audit team members and any accompanying persons;
  - 3. 3. 1. 6. The risk assessment conducted by the lead auditor, and all deviations of this risk assessment from the risk assessment submitted by the PO.
  - 3. 3. 1. 7. The observations and substantiating evidence collected during evaluation of the central management office and management systems of the PO;
  - 3. 3. 1. 8. The consultation of social, environmental and economic stakeholders that are directly affected by the operation(s) identified in the certification scope of the PO;
  - 3. 3. 1. 9. Non-compliances, and whether (and why) these non-compliances were classified as major non-compliances;
  - 3. 3. 1. 10. Actions taken to address non-compliances, the evaluation of those actions and decision to accept them for compliance with RSB standards;
  - 3. 3. 1. 11. The final risk class assigned to the PO based on the risk assessment;
  - 3. 3. 1. 12. The validity period of the issued certificate and schedule for surveillance and main audits;
  - 3. 3. 1. 13. The details of any issue which was difficult or impossible to evaluate.
3. 3. 2. The Public Audit Summary shall not include any element of confidential nature, as agreed with the PO upon signature of the contract.

### **H3. 4. Surveillance**

3. 4. 1. The CB shall conduct surveillance audits of a certified PO, appropriate to the PO's risk class and the results of their last audit, and in particular the use of RSB claims and trademarks in the marketplace. Guidance on suitable actions for incorrect references to the RSB standard, or misleading use of licenses, certificates and marks can be found in ISO Guide 27.
3. 4. 2. Based on a risk assessment the CB shall decide whether the surveillance audit is conducted as an on-site audit or desk-based. Desk-based surveillance audits may only be allowed if

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3. 4. 2. 1. the risk class of the operator is “low risk” (following the RSB Standard for Risk Management), and
  3. 4. 2. 2. the operator’s data gathering and processing systems for traceability systems and greenhouse gas calculations are reliable, and
  3. 4. 2. 3. the Certification Body does not deem it necessary to verify on-site if corrective actions to close non-conformities were properly implemented, and
  3. 4. 2. 4. all documents as listed in 3.4.3 are available.
  3. 4. 3. CBs may carry out a surveillance audit desk-based if at least the following documents are available
  3. 4. 3. 1. For participating operators, at least the following documents shall be available:
    - Updated self-risk assessment and self-evaluation;
    - Updated scope of certification (e.g. sites, products, processes, feedstocks);
    - Evidence of corrective actions implemented (if applicable);
    - Any changes in the operator’s system to implement the RSB Standard (if applicable);
    - Records of the operator’s training system;
    - Records of the operator’s complaint management system;
    - Contracts with all operators within the scope of certification;
    - Records of the applied chain of custody system:
      - o Quarterly balance of incoming and outgoing material;
      - o Contractual agreements, delivery notes, sustainability information and invoices for all purchases and sales of certified material;
    - GHG calculation, including a list of input data and a description how they are collected, emission factors.
  3. 4. 3. 2. For biomass production, the following documents shall be available to allow auditors to verify compliance with the specific land use requirements for primary production:
    - o Documents identifying the land the raw material was obtained from (field list including size, use, yields, maps and geo coordinates for each field);
    - o Records of the status of this land from the year of the cultivation until 01.01.2008 (e.g. satellite images);
    - o Farmers in an EU member state: Records that show compliance with direct support schemes
    - o Contracts for all sales of certified material
    - o Records of outgoing material
    - o GHG calculation, including list of input data and a description how they are collected, emission factors,
  3. 4. 3. 3. For waste and residue related supply chains, the requirements as defined in H.1.5.1.4 shall apply.

3. 4. 4. In case of grievance by a third party about any aspect of the evaluation and certification process, the lead auditor shall inform the RSB AB and the RSB Secretariat.
3. 4. 5. If deemed necessary, the lead auditor may organize an extraordinary surveillance audit or an extraordinary main audit of certified operators at short notice to investigate grievances, any new element brought to his/her attention, or as a follow up on suspended POs.
3. 4. 6. When RSB introduces new or revised standards or procedures that affect the PO, the CB shall ensure these changes are communicated to all POs within 30 days.  
*Note: a phase-in period is allowed for POs implementing new or revised standards and procedures (See RSB-PRO-01-001).*
3. 4. 7. The CB shall consider other changes affecting certification, including changes initiated by the PO, and shall decide upon the appropriate action. The action shall include the process of evaluation, review and decision.

### **H3. 5. Extension of the certificate validity**

3. 5. 1. The Certification Decision Entity may extend the specified period of validity of a certificate once for up to six (6) months to enable evaluation under the following conditions:
  3. 5. 1. 1. The risk class of the Participating Operator is “low”;
  3. 5. 1. 2. The conditions which led to the need for the extension of the validity of the certificate are beyond the control of the PO and the CB;  
*Note: Problems in planning or scheduling an evaluation shall not be considered conditions beyond the control of the PO or the CB.*
  3. 5. 1. 3. The PO provided up-to-date documentation about its operations and the documentation gave no indication that compliance with the RSB standard could be compromised during the extension of the validity of the certificate;
  3. 5. 1. 4. The extension of the validity of the certificate will not result in increased risk associated with the PO’s operations.
3. 5. 2. The Certification Decision Entity may extend the specified period of validity of a certificate once for up to three (3) months to enable evaluation under the following conditions:
  3. 5. 2. 1. The risk class of the Participating Operator is “medium”;
  3. 5. 2. 2. The conditions which led to the need for the extension of the validity of the certificate are beyond the control of the PO and the CB;  
*Note: Problems in planning or scheduling a evaluation shall not be considered conditions beyond the control of the PO or the CB.*
  3. 5. 2. 3. The PO provided up-to-date documentation about its operations and the documentation gave no indication that compliance with the RSB standard could be compromised during the extension of the validity of the certificate;

3. 5. 2. 4. The extension of the validity of the certificate of the PO will not result in increased risk associated with the PO's operations.
3. 5. 3. The CB shall document the conditions which led to the need for the extension of the validity of the certificate, and inform the RSB AB and RSB Secretariat about the extended expiry date of the certificate within five (5) business days of the extension being granted, and before the expiry date of the certificate. The CB shall update the relevant data in the database of registered RSB certificates and in any other information.

### **H3. 6. Re-certification**

3. 6. 1. A re-certification audit (main audit) shall be planned and conducted within the validity period of the certificate to evaluate the continued fulfillment of all of the requirements of the relevant management system standard or other normative documents.
3. 6. 2. Whenever an operator was previously found to be non-compliant with the RSB Standard or another voluntary scheme<sup>8</sup>, the CB shall inform the RSB Secretariat prior to re-certification. This includes the non-conformity of a participating operator with mandatory requirements as laid down in the Renewable Energy Directive and/or the failure of a participating operator to declare names of all schemes the operator is participating in and making available to the auditors all relevant information, including the mass balance data and the auditing report.

### **H3. 7. Suspension or withdrawal of the certificate**

3. 7. 1. The CB may suspend or withdraw the RSB certificate if, in its sole opinion, the PO is not in compliance with any particular aspect of the RSB standard.
3. 7. 2. The RSB certificate shall be suspended or withdrawn in the following situations:
  3. 7. 2. 1. Non-conformities are not addressed according to corrective action plan ( i.e. major non-conformities: within 3 months; minor non-conformities: within 12 months);
  3. 7. 2. 2. Upon finding evidence of misuse, misrepresentation or fraudulent claims;
  3. 7. 2. 3. Occurrence of a severe major non-conformity (e.g. non-compliance with a mandatory requirement of the EU Renewable Energy Directive 2009/28/EC). In the case of a severe major non-conformity, the certification body may annul the suspension if the Participating Operator demonstrates that
    - that the entity where the severe non-conformity occurred was taken out of the scope of certification, or
    - the severe major non-conformity was rectified.

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<sup>8</sup> Voluntary Schemes are recognized by the EU Commission to verify compliance with the EU's biofuels sustainability criteria. Please see the full list here: <http://ec.europa.eu/energy/en/topics/renewable-energy/biofuels/voluntary-schemes>

3. 7. 3. The CB shall share with the PO the exact reasons and evidence found to justify the decision to suspend or withdraw the RSB certificate.
3. 7. 4. The PO shall be given the possibility to appeal the suspension or withdrawal of the RSB certificate within 10 days following the suspension or withdrawal notification by the CB.
3. 7. 5. Upon evaluation of the appeal, the Certification Decision Entity shall communicate any change in the suspension or withdrawal decision to the PO, including justification for the decision.
3. 7. 6. Without any appeal by the PO, or if, upon consideration of the appeal submitted by the PO, the Certification Decision Entity decides to maintain the suspension or withdrawal, the decision to suspend or withdraw the RSB certification shall be considered final.
3. 7. 7. The CB shall inform the RSB AB and the RSB Secretariat of any final decision to suspend or withdraw RSB certification within two (2) days of the decision.
3. 7. 8. In case of final suspension or withdrawal, the CB shall ensure that the PO:
  - Immediately ceases the use of any RSB trademarks, including on and in relation to any products;
  - Identifies all customers and suppliers affected, and notifies them of the suspension or withdrawal of the RSB certificate in writing within three (3) business days of the suspension or withdrawal, and maintain records of that notification;
  - Takes any other required measure.

## Annex I – Scope of RSB Documents applicable at the audit (RSB Global Certification)

### Biofuels (non-waste/residue-based)

	RSB Principles & Criteria (RSB-STD-01-001)	GHG Calculation (RSB-STD-01-003-01)	Standard for Participating Operators (RSB-STD-30-001)	Chain of Custody Standard (RSB-STD-20-001)	Procedure for Communication & Claims (RSB-PRO-50-001)	Standard for Risk Management (RSB-STD-60-001)
Feedstock Producer	√	√√	√√	√√	√√	√√
Feedstock Processor	√	√√	√√	√√	√√	√√
Biofuel Producer	√	√√	√√	√√	√√	√√
Biofuel Blender	√ (Principle 3 only)	√√	√√	√√	√√	√√
Trader/Intermediary			√√	√√	√√	√√

√ : Main audit

√: Surveillance audit

**Waste/Residue-based biofuels**

	RSB Principles & Criteria (RSB-STD-01-001)	GHG Calculation (RSB-STD-01-003-01)	Standard for Participating Operators (RSB-STD-30-001)	Chain of Custody Standard (RSB-STD-20-001)	Standard for certification of biofuels based on end-of-life products, residues and by-products (RSB-STD-01-010)	Procedure for Communication & Claims (RSB-PRO-50-001)	Standard for Risk Management (RSB-STD-60-001)
Points of origin <sup>9</sup>					√√		
First Collector <sup>10</sup>		√√	√√	√√	√√	√√	√√
Biofuel Producer	√	√√	√√	√√	√√	√√	√√
Biofuel Blender	√ Principle 3 only	√√	√√	√√	√√	√√	√√
Trader/Intermediary			√√	√√	√√	√√	√√

√ : Main audit

√: Surveillance audit

<sup>9</sup> Companies or private households where waste and residues occur

<sup>10</sup> Operators that receives waste or residual materials from points of origin

**Other Bio-products**

	RSB Principles & Criteria (RSB-STD-01-001)	GHG Calculation (RSB-STD-01-003-01)	Standard for Participating Operators (RSB-STD-30-001)	Chain of Custody Standard (RSB-STD-20-001)	Procedure for Communication & Claims (RSB-PRO-50-001)	Standard for Risk Management (RSB-STD-60-001)	Standard for certification of bio-products (RSB-STD-02-001)	For waste or residues based bio-products: RSB-STD-01-010 or RSB-STD-11-001-01-010
Biomass Producers	√	Optional	√√	√√	√√	√√	√√	√√
Biomass Processors	√	Optional	√√	√√	√√	√√	√√	√√
Bio-chemical Producers	√	Optional	√√	√√	√√	√√	√√	√√
Bio-product Manufacturer		Optional	√√	√√	√√	√√	√√	√√
Trader/Intermediary			√√	√√	√√	√√	√√	√√

√ : Main audit

√: Surveillance audit

## Annex II – Scope of RSB Documents applicable at the audit (RSB EU RED Certification)

### Biofuels and Bioliquids (non-waste/residue-based)

	RSB EU RED Principles & Criteria (RSB-STD-11-001-01-001)	RSB EU Market Access Standard (RSB-STD-11-001)	RSB EU RED Standard for Participating Operators (RSB-STD-11-001-30-001)	RSB EU RED Chain of Custody Standard (RSB-STD-11-001-20-001)	RSB-EU-RED Procedure for Communication & Claims (RSB-PRO-11-001-50-001)	RSB EU RED Standard for Risk Management (RSB-STD-11-001-60-001)
Feedstock Producer	√	√ √	√ √	√ √	√ √	√ √
Feedstock Processor	√	√ √	√ √	√ √	√ √	√ √
Biofuel Producer	√	√ √	√ √	√ √	√ √	√ √
Biofuel Blender	√ Principle 3 only	√ √	√ √	√ √	√ √	√ √
Trader/Intermediary		√ √	√ √	√ √	√ √	√ √

√ : Main audit

√: Surveillance audit

### Waste/Residue-based biofuels and bioliquids

	RSB Principles & Criteria (RSB-STD-11-001-01-001)	RSB EU Market Access Standard (RSB-STD-11-001)	Standard for Participating Operators (RSB-STD-11-001-30-001)	Chain of Custody Standard (RSB-STD-11-001-20-001)	Consolidated RSB EU RED Standard for certification of biofuels based on waste and residues (RSB-STD-11-001-01-010)	Procedure for Communication & Claims (RSB-PRO-11-001-50-001)	Standard for Risk Management (RSB-STD-11-001-60-001))
Point of Origin <sup>11</sup>		√√			√√		
First Collector <sup>12</sup>		√√	√√	√√	√√	√√	√√
Biofuel Producer	√	√√	√√	√√	√√	√√	√√
Biofuel Blender	Principle 3 only	√√	√√	√√	√√	√√	√√
Trader/Intermediary		√√	√√	√√	√√	√√	√√

√ : Main audit

√: Surveillance audit

<sup>11</sup> Companies or private households where waste and residues occur

<sup>12</sup> Operators that receives waste or residual materials from points of origin