


System Certyfikacji

**ZRÓWNOWAŻONY ROZWÓJ
W PRODUKCJI BIOPALIW I BIOPŁYNÓW**




INSTYTUT NAFTY I GAZU
Państwowy Instytut Badawczy

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Requirements for Certification Bodies


By The Oil and Gas Institute

The KZR INiG-PIB System/9

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1. Introduction

The control of activities related to the Certification system of sustainable biofuels and bioliquids production are carried out solely by independent certification bodies authorized by the System's Administrator. The task of the certification bodies is to assess the operation of the KZR INiG System participants with regard to conformity with the sustainability criteria, according to the **Certification system of sustainable biofuels and bioliquids production** (KZR INiG System).

All certification bodies participating in the certification system must meet the requirements defined in this document.

2. Scope

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

3. Normative references

All relevant KZR INiG System documents are valid for the scope of application. The normative references display the documents which contents are linked and have to be considered as common points.

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

KZR INiG System /2/ Definitions

KZR INiG System /3/ Reference with national legislation

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

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

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

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

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


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

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

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

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

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

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

4. Definitions

KZR INiG System/2/ Definitions

5. Description and requirements

5.1. General requirements for the certification body

Certification body must:


- have legal personality and operate within the territory of the Republic of Poland;
- have accreditation of conformity with PN-ISO/IEC 17021 standard (issued by national accreditation body. The national accreditation body needs to be affiliated with the IAF);
- carry out audits according to the requirements of PN-EN 19011 standard;
- established at least a 'limited assurance level' on the audited information in line with the requirements of ISAE3000;
- have access to auditors with competencies as described in the KZR INiG/10 document;
- prove independence and impartiality towards the certified system participants;
- prove compliance with the KZR INiG System requirements.

Verification of compliance with the above mentioned requirements is carried out by the System's Administrator before authorizing a certification body and after authorization - in periodical audit controls (*KZR INiG System /1/ Description of INiG System of Sustainability Criteria – general rules*).

5.2. Authorization of the certification body

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

<i>KZR INiG System/</i>	1	<i>/ Description of INiG System of Sustainability Criteria of – general rules</i>
<i>KZR INiG System/</i>	2	<i>/Definitions</i>
<i>KZR INiG System/</i>	3	<i>/Reference to national legislation</i>
<i>KZR INiG System/</i>	4	<i>/Land use for raw material production – lands with high carbon stock</i>
<i>KZR INiG System/</i>	5	<i>/Land use for raw material production – biodiversity</i>
<i>KZR INiG System/</i>	6	<i>/Land use for raw material production – agricultural and environmental requirements and standards</i>
<i>KZR INiG System/</i>	7	<i>/ Guidance for proper functioning of mass balance system</i>
<i>KZR INiG System/</i>	8	<i>/ Guidelines for the determination of the lifecycle per unit values of GHG emissions for biofuels and bioliquids</i>
<i>KZR INiG System/</i>	9	<i>/Requirements for certification bodies</i>

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<i>KZR INiG System/</i>	<i>10</i>	<i>/Requirements for auditor and conduct of audit</i>
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The authorization procedure for the certification body in the KZR INiG System proceeds according to the steps below:

- submission of an application for authorization (annex 1). The body applying for authorization must review the documentation of the implemented system from the point of view of conformity with the KZR INiG System requirements, and it must provide at least:
 - identification details;
 - completed application form;
 - document confirming legal status
- and
 - a quality manual/management system manual;
 - full set of procedures;
 - qualification criteria for auditors, employed by the body to carry out the assessments (*KZR INiG System /10/ Guidelines for auditor and conduct of audit*);
- list of auditors and technical experts, qualified to carry out the assessments;
- evaluation of the submitted documents on their formal and merits aspects by the Board of the KZR INiG System. If there are loopholes of the informal and merits aspect, the applicant is allowed a period of 30 days to complete the application;
- on-site audit of certification body (evaluation of the body's management system, implementation of the KZR INiG System procedures);
- monitoring of at least one audit carried out by the body at the client's;
- issuing a decision on the authorization for the certification body based on defined criteria and positive evaluation. In the case of a negative decision, the applicant is entitled to appeal to the KZR INiG System Council. The Council has 30 days to investigate the appeal.

5.3. Assessment of certification body within the framework of the KZR INiG System

Planned surveillance activities/audits of certification bodies consist of:


- periodic monitoring by the System Administrator of an audit carried out by the certification body at the participant being certified subject to certification;
- periodic evaluation of the management system of the certification body and reports from audits, carried out on the premises of the certification body.

The frequency of the audit surveillance depends on the number of audits carried out and it is defined by the Management of the KZR INiG System. For as long as the agreement on the authorization of the certification body remains in force, at least one audit carried out by the certification body must be subjected to monitoring. In justified cases, the System's Administrator may increase the number of audit observations.

5.4. Tasks of an authorized certification body

The tasks of an authorized certification body include:

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- carrying out the assessment of conformity with the KZR INiG System, based on the KZR INiG Systems' documents;
- issuing certificates within the process of certification of biomass, biocomponents, biofuels, and bioliquids;
- maintenance of the database with participating operators registered in the KZR INiG System;
- collection and dissemination of data between competent bodies, certification bodies and other databases, acknowledged by the competent body, according to the provisions of the Act on personal and commercial data protection.

5.5. Independence of certification bodies

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

5.6. Additional requirements

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

Next audit (re-certification) must be carried out twelve months from the date of the last audit.

Audits have to be organised at least once yearly.


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

Farmers

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

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

Before issuing a certificate, an auditor must be sure that the verification of the individual farms was carried out and completed.

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In the case when a first gathering point collects raw material from many agricultural producers, the minimum scope for a random inspection is the square root of farms (\sqrt{x} , where x is the number of farms) rounded up to the nearest whole number. Audit of the first gathering point is mandatory.

Multi site economic operator

If an economic operator runs his business on more than one site (multi site economic operator) and they share a common management system, the following rules can be applied. The minimum number of sites to be audited is the square root of the number of operator sites, rounded up to the nearest whole number. The headquarters is audited once a year. The audit of the individual sites must be carried out and completed before a certificate can be issued for the audited economic operator.

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

- random selection;
- results of internal audit
- the size of the sites (it is recommended to differentiate it)

Major non-conformity identified at any site causes revoking of the certificate for the whole company.

5.7. Determination of audit duration

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


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

Every economic operator has to be audited before he is allowed to participate in this System and it applies to all economic operators in the KZR INiG System.

In order to begin the certification procedure, an economic operator submits an application for registration into the KZR INiG System. After formal and merit evaluation of the application, the economic operator signs an agreement with the KZR INiG System defining the obligation of the parties. After that the economic operator receives a unique identification number and a list of certification bodies operating within the framework of the KZR INiG System. The operator selects a certification body and further procedure follows the internal procedures of this certification body. After positive result of audit, the economic operator is registered in the KZR INiG system participant list; he/she has the right to sell biomass/processed biomass/ biofuel/bioliquid under the KZR INiG system framework.

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

1. Registration of the application from the certified participant.
2. Evaluation of the economic operator's application.
3. Identifying requirements which are the prerequisite for a positive certification and other required documents (e.g. guidelines)

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4. Actions following acceptance of the application

After positive acceptance of the application, a date and place of the audit are determined, an audit plan is prepared and delivered to the economic operator before the audit.

Next, the audit is carried out according to the plan.

5. Preparation and conducting of the audit

During the audit, the auditor uses the checklist of the KZR INiG System. The approval of an audit plan, determination of the audit date and appointment of a lead auditor and auditor team detailed requirements are published in document *KZR INiG System/10/ Guidelines for auditor and conduct of audit*.

6. Preparation of the report from the certification process

In order to ensure reliable information, after each certification process, an audit report must be prepared. It must contain at least:

- results of assessments;
- identification of all nonconformities to be eliminated;
- determination of the scope of additional assessment;
- conclusions concerning conformity with all requirements of the KZR INiG System, presented to the certification body during its authorization;
- quantities of biomass sold with certificates proving meeting of the KZR INiG System requirements, on a quarterly basis. This data must originate from the mass balance system of the certified participating operator.

7. Evaluation of the audit report and issuance of the certificate

The certification body evaluates the audit report. The report must present comprehensive, exact, concise, and explicit results of the audit.

In the case of a positive result of the conformity assessment, the certification body **issues a certificate to the applicant**, valid for one year. The certification body delivers the information to the KZR INiG System Office, where the applicant is entered into the certified participating operators registry within the KZR INiG System.

5.9. Retention period of data

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


5.10. Changes

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

The System's Administrator evaluates these changes examining whether the scope of authorization must be kept or changed.

5.11. Reporting of a certification body to the KZR INiG System

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

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5.12. The KZR Certificate

A certificate containing at least the following information becomes the final element of the system:

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

The certificate is valid for one year

5.13. Expiration, suspension, withdrawal of authorization of certification body

5.13.1. Expiration

Validity of authorization of the certification body to use the KZR INiG System expires after the expiration date of authorization included in the authorization contract.

5.13.2. Withdrawal, suspension of a certificate


Suspension of approval of a certification body may occur when:

- conditions of the contract have been violated;
- the certification body has not carried out any audit process during a year from obtaining first authorization;
- the body no longer has properly qualified audit personnel;
- the body no longer meets the requirements of the certification system which was acknowledged as a result of an audit in the certification body, carried out by System's Administrator.

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

Withdrawal of authorization may occur in the case when:

- the authorization resulting from the right to grant certificates of the KZR INiG System have been blatantly abused;


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- the conditions laid down in the decision on suspension of authorization have not been met before the defined deadline.

Withdrawal of authorization is final and it is openly published.

6. Annex list:

1. Annex 1 – Application on granting, recertification of authorization or update of the authorization scope.

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.....
(place, date)

I. Applicant information:

Name of applicant:

Postal code:

City:

Country:

Address (street No.; province):

E-mail:

II. The application concerns:*

- granting authorization of a certification body within the framework of the KZR INiG System/
- recertification of granted certification body authorization /
- updating the authorization scope of a certification body.

in the scope of certification of biofuels, bioliquids, and biocomponents, produced according to the sustainability criteria.

III. Information on participating operator:

Name of participating operator:

Postal code:

City:

Country:

Address (street No.; province):

Phone No(s):

Fax:

E-mail:

VAT identification No./Statistical No /NCR:

Name of the certification body:

Postal code:

City:

Country:

Address (street No.; province):

Phone No(s):


Fax:

E-mail:

Website <http://>

VAT identification No./Statistical No.

.....
* delete as appropriate

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Names and position of responsible persons:

Name and surname: _____
 Position: _____
 Phone No(s): _____
 Fax: _____
 E-mail: _____

Address for correspondence:

Name and surname: _____
 Position: _____
 Postal Code: _____
 City: _____
 Country: _____
 Address (street No.; province): _____

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

- I know and accept the rules of functioning of the KZR INiG System, defined in valid document *KZR INiG System/1/ S Description of INiG System of Sustainability Criteria – general rules; KZR INiG System/9/ Requirements for certification bodies*, and documents referred to therein, and I am obliged to observe them;
- I know and accept obligations assumed by the participating operator after the authorization is granted;
- I will provide the System’s Administrator, i.e. appointed auditor team, including observers designated by the Board of the KZR INiG System , with access to all information, documents and places enabling them to proceed an audit within the planned scope, and I will organize monitoring of actions under real conditions, according to the KZR INiG System rules, as well as ensuring proper conditions;

.....
 (signature and stamp of a person authorized to represent)