

Checklist: Interfaces that uses biomass fuels

Certification body & risk assessment		
Name of Certification Body		<i>Logo of Certification Body</i>
Registration number SURE		
Name of accrediting body		
Accredited scope(s)		
Date of accreditation		

Contact details of the certification body

Address: _____

Country: _____

Person responsible: _____

Phone number: _____

Email address: _____ Website: _____

Risk assessment

The audit was conducted based on the following risk assessment:

Name of risk assessment (file)	
Date of the assessment	
Result (e.g. low, standard, high)	
Comment	

Other voluntary schemes ■ N/A

The economic operator has or had a certificate of (an) other voluntary scheme(s) recognized under Revised Directive (EU) 2018/2001 art. 30 (4) or (6) <i>(expand list if necessary)</i>	
Name of the voluntary scheme	
ID-Number of certificate	
Scope of the certificate	
Current status of certificate (e.g. valid, suspended, withdrawn, terminated)	
Valid until	

Important: All fields are mandatory!

1. Information about the operation	
Company (name of the operation)	
Final user (producer of electricity, heat and/or cooling) <i>Please fill in 3!</i>	<input type="checkbox"/>
First gathering point or collector with operating sites (e.g. affiliated warehouses/silos) <i>Please fill in 5!</i>	<input type="checkbox"/>
First gathering point or collector with transshipment points (used transshipment points) <i>Please fill in 6!</i>	<input type="checkbox"/>
Group certification of biomass producer / waste producer <i>Please fill in 7!</i>	<input type="checkbox"/>
2. Scope of application	
Phase: Management of Groups	
1101 - Groupmanager of agricultural biomass producers	<input type="checkbox"/>
1201 - Groupmanager of forest biomass producers	<input type="checkbox"/>
1301 - Groupmanager of waste and residue producers	<input type="checkbox"/>
Phase: First gathering point / collection points	
2101 - First gathering point agricultural biomass	<input type="checkbox"/>
2201 - First gathering point forest biomass	<input type="checkbox"/>
2301 - Collector of waste and residues	<input type="checkbox"/>
Phase: Treatment / processing operation	
3101 - Treatment plant agricultural biomass	<input type="checkbox"/>
3102 - Pellet plant agricultural biomass	<input type="checkbox"/>
3103 - Briquette plant agricultural biomass	<input type="checkbox"/>
3201 - Treatment plant forest biomass	<input type="checkbox"/>
3202 - Pellet plant forest biomass	<input type="checkbox"/>
3203 - Briquette plant forest biomass	<input type="checkbox"/>
3301 - Treatment plant waste and residues	<input type="checkbox"/>
3302 - Pellet plant waste and residues	<input type="checkbox"/>
3303 - Briquette plant waste and residues	<input type="checkbox"/>
3401 - Biogas plant (raw biogas, fermentation)	<input type="checkbox"/>
3402 - Biogas (raw biogas, gasification)	<input type="checkbox"/>
3403 - Biomethane treatment plant	<input type="checkbox"/>

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Phase: Distribution / trade and logistics	
4001 - Supplier before the last interface	<input type="checkbox"/>
Phase: Conversion electricity / heat (cooling)	
5101 - Electricity from biomass (solid biomass)	<input type="checkbox"/>
5102 - Heat from biomass (solid biomass)	<input type="checkbox"/>
5201 - Electricity from biogas (raw biogas)	<input type="checkbox"/>
5202 - Heat from biogas (raw biogas)	<input type="checkbox"/>
5301 - Electricity from biomethane	<input type="checkbox"/>
5302 - Heat from biomethane	<input type="checkbox"/>
Phase: Service electricity / heat (cooling)	
6001 - Electricity trader / distributor	<input type="checkbox"/>
6002 - Heat trader / distributor	<input type="checkbox"/>
Phase: Greenhouse gas (GHG) calculation and carbon accumulation	
7001 - GHG calculation (default values)	<input type="checkbox"/>
7002 - GHG calculation (actual values)	<input type="checkbox"/>
7003 - Soil carbon accumulation (Farm with e_{sca} practises)	<input type="checkbox"/>
7101 - Grandfathering rules "RED II sustainability criteria"	<input type="checkbox"/>
7102 - Grandfathering rules "RED II GHG criteria"	<input type="checkbox"/>
3. Final user (electricity, heat/cooling) ■ N/A	
Date of operation:	
total rated thermal input capacity	
electric capacity	<input type="checkbox"/> N/A
thermal capacity	<input type="checkbox"/> N/A
Registration number in official registries (e.g. "Marktstammdatenregister")	
4. Information on GHG data ■ N/A	
Type of greenhouse gas data (multiple options possible)	<input type="checkbox"/> default values <input type="checkbox"/> disaggregated default values <input type="checkbox"/> NUTS 2 <input type="checkbox"/> actual values

5. Certification of a first gathering point / collector with operating sites ■ N/A

Number of affiliated warehouses / silos (operating sites)			
Operating sites inspected as part of the random sample <i>min. square root of the total number of sites, Enter name of the operating site and inspection date.</i> <i>Expand list if necessary!</i>		Operating site Name, street, post code, city	Inspection date
	1		
	2		
	3		
	4		
	5		
	6		
	7		
	8		

6. Certification of a first gathering point / collector with transshipment points ■ N/A

Number of used transshipment points			
As part of the initial audit inspected respectively during re-certification audit verified transshipment point <i>Expand list if necessary!</i>		Transshipment point Name, street, post code, city	Inspection date
	1		
	2		
	3		
	4		
	5		
	6		
	7		

7. Group certification of a biomass producer / waste producer ■ N/A

Number of farms supplying biomass (agricultural biomass)			
Farms inspected as part of the random sample		Farm (agricultural biomass) Name, street, post code, city	Inspection date
<i>min. square root of the total number of sites. Enter name of the operating site and inspection date.</i> <i>Expand list if necessary!</i>	1		
	2		
	3		
	4		
	5		
	6		
Number of forestry operations supplying biomass			
Forestry operations inspected as part of the random sample		Forestry operation Name, street, post code, city	Inspection date
<i>min. square root of the total number of sites. Enter name of the operating site and inspection date.</i> <i>Expand list if necessary!</i>	1		
	2		
	3		
	4		
	5		
	6		
Number of waste producers supplying biomass:			
Waste producers/production points inspected as part of the random sample		Waste producer Name, street, post code, city	Inspection date
<i>min. square root of the total number of sites. Enter name of the operating site and inspection date.</i> <i>Expand list if necessary!</i>	1		
	2		
	3		
	4		
	5		
	6		

Important: All fields are mandatory!

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8. Information on type and amount of sustainable biomass and / or biomass fuel expected and used in the supply chain (<u>before the last interface</u>)					■ N/A
Estimated and actual quantity of outgoing sustainable biomass and/or biomass fuel <i>Expand list if necessary!</i>		Type of sustainable biomass	Estimated annual amount of sustainable biomass and/or biomass fuel that could be <u>harvested/collected/used/delivered</u> annually	<u>Actual</u> amount of sustainable biomass and/or biomass fuel that was <u>harvested/collected/used/delivered</u> in the previous calendar year	Unit tons [t], only for biogas or biomethane in tons [t] or cubic meter [m³]
	1				
	2				
	3				
	4				
	5				
9. Information on type and amount of sustainable biomass and / or biomass fuel expected and used <u>in biomass plants or biogas plants for the production of electricity, heat and/or cooling (final user)</u>					■ N/A
Estimated and actual quantity of sustainable biomass and/or biomass fuel used to produce electricity or heat <i>Expand list if necessary!</i>		Type of sustainable biomass and/or biomass fuel	Estimated annual amount of sustainable biomass and/or biomass fuel that could be <u>used</u> annually	<u>Actual</u> amount of sustainable biomass and/or biomass fuel that was <u>used</u> in the previous calendar year	Unit tons [t], only for biogas or biomethane in tons [t] or cubic meter [m³]
	1				
	2				
	3				
	4				
	5				
	6				
	7				
	8				
10. Information on quantity of electricity or heat (cold) produced					■ N/A
Estimated and actual amount of electricity/heat (cooling) produced from sustainable biomass fuels		Type of final product (electricity = E, Heat = H or Cooling = C)	Estimated energy production [MJ] that could be produced annually	<u>Actual</u> amount of energy that was produced in the previous calendar year [MJ]	
	1				
	2				
	3				

Important: All fields are mandatory!

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Key	
Conform = full compliance	<input style="background-color: #ffffcc;" type="text"/> = Input field
Minor NC = limited, isolated, temporary, not systematic	<input style="background-color: #ffcc99;" type="text"/> = Input field with KO evaluation
Major NC = potentially reversible, repeated and systematic	<input style="background-color: #ff9966;" type="text"/> = Input field with KO evaluation
Critical NC / KO = intentional, irreversible, jeopardising integrity	<input style="background-color: #cccccc;" type="text"/> = Input not possible
N/A = scheme requirement is not applicable	

Company name:	Audit date:						
No.	Criterion / requirement	Conform	Minor	Major	Critical / KO	Not applicable (N/A)	Comments / description of the inspected documents / records / certificates
1	General principles and requirements of the SURE-EU Scheme						
1.1	Organisation and administration of a group						<input type="checkbox"/> N/A
1.1.1	Are the general conditions for the organisation, management and composition of groups in accordance with the SURE-EU system fulfilled?	<input type="text"/>					
1.1.2	Is there a central group administrative office responsible for the organisation and internal monitoring of the group members?	<input type="text"/>					
1.1.3	Is there a current and complete site directory?	<input type="text"/>					
1.1.4	Is the group homogeneous? Do the group members have - comparable production systems and products? - near adjacent areas? - similar characteristics? - similar waste characteristics?	<input type="text"/>					
1.1.5	Are there valid contracts/invoices between the individual operations and the group management regulating their relationship?	<input type="text"/>					
1.1.6	Is an internal check carried out to determine whether new members satisfy the scheme requirements before they can join the group?	<input type="text"/>					
1.2	General requirements						
1.2.1	Is there a written commitment to comply with the scheme requirements within the scope for each operation/operating site of the company? (e.g. in the form of a certificate or contract with SURE)	<input type="text"/>					
1.2.2	Does the company comply with the requirements specified in the SURE document "Regulation for the use of the registered trademark 'SUSTAINABLE RESOURCES Verification Scheme' "?	<input type="text"/>					
1.2.3	Are the requirements for using the Union Database (UDB) met?	<input type="text"/>					
1.2.4	Is the information in the Union database (UDB) correct (e.g. VAT-ID, legal form, contact details)?	<input type="text"/>					
1.2.5	Do the data recorded in the UDB match the data in the SURE data base?	<input type="text"/>					
1.2.6	Is the scope specified consistent with the scope entered in the SURE database?	<input type="text"/>					
1.2.7	Is the information in the SURE database up-to-date (e.g. contact persons, e-mail addresses, operating sites, etc.)?	<input type="text"/>					
1.2.8	Have the quantities of sustainable biomass according to SURE-EU been correctly entered in the database for the last calendar year?	<input type="text"/>					
1.2.9	Are the requirements to make use of Article 29 (15) of Directive (EU) 2023/2413 (RED III) the so called grandfathering clause fulfilled?	<input type="text"/>					

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No.	Criterion / requirement	Conform	Minor	Major	Critical / KO	Not applicable (N/A)	Comments / description of the inspected documents / records / certificates
1.2.10	The affiliated (dependent) operating and storage sites: - are correctly and completely registered in the SURE database? - are integrated into the internal monitoring system? - comply with the mass balance requirements? - document the processes and the document flow plausibly and comprehensibly?						
1.3	Management system and operational structure						
1.3.1	Is there a clear description of the organisational structure of the company and can relevant procedures and processes be documented transparently?						
1.3.2	If transshipment points are used, was their status as transshipment points verified on site at least once by the certification body responsible?						
1.3.3	Are only activities performed at the designated transshipment points that classify it as a transshipment point within the meaning of the SURE definition? (N/A if the transshipment point was already verifiable checked in a previous inspection)						
1.3.4	Do business relationships exist with third parties (subcontractors, external service providers, intermediaries) and are there contracts with them that ensure that all information necessary to meet the scheme requirements is transmitted?						
1.3.5	Is there a documented procedure for dealing with non-conformities and is it followed? Are corrective measures undertaken as quickly as possible?						
1.3.6	Are preventative measures e.g. in form of a risk management scheme formulated and implemented to prevent or mitigate future non-conformities from occurring?						
1.3.7	Are the responsibilities and duties of the employees clearly stipulated and documented in writing?						
1.3.8	Are the people affected aware of their duties?						
1.3.9	Has the operation appointed someone responsible for properly implementing and maintaining the QM system for SURE?						
1.4	Traceability and documentation						
1.4.1	Is there transparent documentation available that makes it possible to check compliance with the SURE requirements?						
1.4.2	Are the necessary documents and records checked to ensure that they are up-to-date and complete and kept in a safe place?						
1.4.3	Are the documents and records clearly legible and is there a transparent link between the biomass and the records?						
1.4.4	Are the documents and records kept in line with the valid audit intervals and can they be provided?						
1.4.5	The self-declaration(s) submitted to the Groupmanager is/are legible, complete and correct.						
1.4.6	Are all consignments to or services for other economic operators contractually defined and is the respective flow of goods documented?						
1.4.7	Are all necessary data and information provided to the buyer of sustainable biomass?						
1.4.8	Is the confidential handling of sensitive company-related data passed on to the downstream operations guaranteed?						
1.4.9	Are the scheme requirements satisfied when proofs of sustainability are issued?						
1.4.10	Are the issued proofs of sustainability complete, correct and consistent (e.g. SURE template, national databases like Nabisy, Union Database (UDB))?						
1.4.11	Are the proofs of sustainability and the documents required for their issuance kept for at least 5 years?						

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No.	Criterion / requirement	Conform	Minor	Major	Critical / KO	Not applicable (N/A)	Comments / description of the inspected documents / records / certificates
1.5	Qualifications of economic operators						
1.5.1	Are the employees responsible in the company aware of the requirements of Revised Directive (EU) 2018/2001 and the SURE system and do they have the necessary knowledge (qualification) to meet them?						
1.5.2	Can the responsible employees of the company demonstrate sufficient qualification and do they know the valid legal basis for handling biomass and its operational implementation and application?						
1.5.3	Are the employees verifiably trained to fulfil their duties (certificates) or can their qualifications be plausibly proven otherwise?						
1.5.4	Can the company demonstrate that the employees are aware of how possible non-conformities are dealt with and how the risk of potential non-conformities can be reduced?						
1.6	Mass balance system for the material flow of biomass						
1.6.1	Has the operation introduced a suitable mass balance system that guarantees that the requirements of Revised Directive (EU) 2018/2001 and/or SURE are satisfied?						
1.6.2	Does the operation have appropriate technical equipment or procedures to carry out the mass balance accurately and properly?						
1.6.3	Is balancing of sustainable biomass documented and does it include the necessary records of the biomass received, changed in the operating process and delivered?						
1.6.4	Does balancing of sustainable biomass occur at permissible intervals defined by the operation?						
1.6.5	Was the accounting process complete and correct?						
1.6.6	Are the registered quantities, transaction and mass balance periods in the UDB correct and plausible (including all sites)?						
1.7	Social responsibility						
1.7.1	Have ILO core labour standards 29, 87, 98, 100, 105, 111, 138, 182 been ratified in the country?						

2	GHG calculation ▪ N/A						
2.1	General GHG calculation						
2.1.1	Are the requirements for the use of (disaggregated) default values - if applicable - met in accordance with the Revised Directive (EU) 2018/2001 and are they applied correctly?						
2.1.2	Is the methodology for reporting or calculating GHG emissions based on actual values - if applicable - understood and correctly applied in accordance with the Revised Directive (EU) 2018/2001?						
2.1.3	Are the required calculations carried out complete and plausible?						
2.1.4	Are all required information and data used documented, up-to-date and complete? (see scheme principles for interfaces, section 4.3 and scheme principles for GHG calculation)						

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No.	Criterion / requirement	Conform	Minor	Major	Critical / KO	Not applicable (N/A)	Comments / description of the inspected documents / records / certificates
3	Phase-specific requirements for conversion plants for the generation of electricity or heat/cooling from biomass fuels						▪ N/A
3.1	Requirements for electricity production from biomass fuels						▪ N/A
3.1.1	Does the electricity generation take place in a cogeneration plant, or can exceptions be duly justified in accordance with the SURE scheme principles (total rated thermal input < 50 MW, proof of inefficiency, risk to security of electricity supply) or other legal provisions in the country where the plant is located?						
3.1.2	Will the requirements on minimum energy efficiency values or net efficiencies for the production of electricity from biomass fuels be met in plants that begin operation on or after 25 December 2021, or can proof of the capture and storage of CO2 resulting from the production of electricity be furnished?						
3.1.3	Can it be shown that biomass is the main fuel of the plant in plants that produce electricity only (share of biomass fuels in final energy production > 50% in relation to the lower calorific value [H _u])?						
3.2	Requirements for GHG emission saving for installations that became operational from 2021						▪ N/A
3.2.1	Can the company provide transparent proof of compliance with the GHG emission saving requirements?						
3.3	Requirements for emissions of air pollutants						
3.3.1	Is it possible to document compliance with the respective national emission regulations for NO _x , CO, SO ₂ and particulate matter, but at least with the emission limits of EU Directive 2015/2193 or 2010/75 as well as the corresponding inspection and reporting obligations?						
3.4	Requirements for proper operation of installations						
3.4.1	Does the conversion plant have a current and valid official permit for the production of electricity or heat (cooling) from biomass fuels?						
3.4.2	Is it possible to document that only biomass fuels that comply with the currently valid permit status of the plant (e.g. according to BImSchG) were used in the conversion plant?						

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No.	Criterion / requirement	Conform	Minor	Major	Critical / KO	Not applicable (N/A)	Comments / description of the inspected documents / records / certificates
4	General documentation requirements						
4.1	General requirements for incoming biomass						
4.1.1	Do the delivery documents contain the following for every quantity of sustainable biomass: - the name and address of the supplier/upstream operation - the certificate number and name of the certification scheme - a complete and signed self-declaration in the case of non self-certified producers - the type of sustainable biomass - the quantity of sustainable biomass - the date of receipt <u>- country of cultivation or origin of the biomass</u>						
4.1.2	Do the delivery documents contain the following for every quantity of sustainable biomass: - the GHG emissions in gCO ₂ /kg of dry matter (for individual calculation or when requested by the biomass recipient) <u>OR</u> - the information about which disaggregated/default values are to be applied to the incoming sustainable biomass.						
4.1.3	If disaggregated default values are used, is there, in addition to the corresponding information in the self-declaration, information on the distance actually covered by the biomass transport in km, if necessary for the determination of the distance-dependent default value classes in Annex VI to Revised Directive (EU) 2018/2001?						
4.1.4	Is it clear from the records who conducted the inspection and verified the data and quantities upon receipt of sustainable biomass in the operation?						
4.1.5	Are there purchasing contracts or other standard industry documents or documents similar to purchasing contracts available?						
4.2	General requirements for internal processes (processing, mixing)						
4.2.1	Is every newly produced quantity of biomass from internal processes recorded in a mass balance system?						
4.2.2	Is the following data recorded: - type of internal process (e.g. drying, pelleting, mixing, etc.) - quantity of sustainable biomass that went into the process - quantity of sustainable biomass that went out of the process - process and facility-specific conversion rates/conversion factors (kg/kg) / losses for intermediate products - process and facility-specific conversion rates/conversion factors (MJ/MJ) / losses for end products						
4.2.3	Are pre-emissions and resulting GHG emissions recorded in internal processes and are GHG emissions allocated?						
4.2.4	Do the records show who has carried out the control and verification of the information on the internal process in the establishment?						

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No.	Criterion / requirement	Conform	Minor	Major	Critical / KO	Not applicable (N/A)	Comments / description of the inspected documents / records / certificates
4.3	General requirements for outgoing biomass						■ N/A
4.3.1	Is the following data recorded at a minimum and, if relevant, transmitted to the downstream operation: - the certificate number and name of the certification scheme - the type of sustainable biomass - the quantity of sustainable biomass - the date of receipt - country of cultivation or origin of the biomass						
4.3.2	In the records of incoming biomass, are the - GHG emissions provided in gCO ₂ /kg dry matter (for individual calculation or when requested by the biomass recipient) <u>OR</u> - is it indicated which disaggregated / default values are to be applied to the incoming sustainable biomass and, if relevant, transmitted to the downstream company?						
4.3.3	When using disaggregated standard values, have all transport emissions of the biomass been added up and passed on?						
4.3.4	Do these records make it possible to establish a connection to the documented incoming biomass?						
4.3.5	Is the comparison of quantities between incoming and outgoing biomass plausible?						

5	Phase-specific documentation requirements						
5.1	Documentation requirements for first gathering points / collectors						■ N/A
5.1.1	Were the declarations of the farms/waste producers checked for plausibility and completeness by the first gathering point (e.g. the declaration of NUTS 2 values in kg of dry matter for outgoing biomass)?						
5.1.2	Is the biomass transparently assigned to the respective farm/waste producer?						
5.1.3	Is the respective location of forestry biomass cultivation documented?						
5.1.4	Are there records for the quantities of biomass designated of collected private households and are they plausible?						
5.1.5	For collectors: Is it ensured that the waste declaration code in the incoming and outgoing biomass is identical?						
5.2	Documentation requirements for plants processing forest biomass for biomass fuels (Scopes 3201, 3202, 3203 and 3403 for cases of wood gasification)						■ N/A
5.2.1	Did the economic operator issue a statement of assurance that the forest biomass does not stem from land where no forest biomass may be harvested (as defined in the document Scheme principles for the production of forest biomass, section 5) (e.g. in the form of a supply contract that establishes restrictions as to the origin of the forest biomass)?						

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No.	Criterion / requirement	Conform	Minor	Major	Critical / KO	Not applicable (N/A)	Comments / description of the inspected documents / records / certificates
5.3	Documentation requirements for conversion plants (last interfaces)	■ N/A					
5.3.1	Is the following data recorded at a minimum and, if relevant, transmitted to the downstream operation: - the certificate number and the name of the certification scheme - the type of final energy produced (electricity, heat, etc.) - the amount of sustainably generated final energy - the date of energy production - the GHG emissions from energy production if required [in gCO ₂ eq/MJ] - type of biomass used - country of origin of the biomass used - the country where the conversion plant is located - name of the financial support used for the production of energy, if applicable						
5.3.2	Do these records for electricity production make it possible to establish a connection to the documented incoming biomass?						
5.3.3	Is the comparison of quantities between incoming biomass and generated final energy plausible?						
5.3.4	Have the conversion plants (last interfaces) fulfilled their obligation to issue sustainability certificates for the amount of electricity and/or heat generated?						
5.3.5	Does the last interface that produces electricity or heat (cooling) from biomass fuels provide information on the date the installation became operational?						
5.3.6	Are the requirements for greenhouse gas emission savings met?						
5.3.7	Are all required records available upon request?						
5.4	Documentation requirements for suppliers after the last interface	■ N/A					
5.4.1	Is a (partial) proof of sustainability issued for all electricity or heat/cooling supplied after the last interface?						
5.4.2	Does the mass balance system of the service provider ensure that the information from the (partial) proof of sustainability received is correctly transferred when issuing (partial) proof of sustainability (both when biomass is divided up into smaller quantities as well as mixed)?						

Evaluation of the audit results	Conform	Minor	Major	Critical / KO	N/A	KO (no confirmation of conformity)
Number of evaluations	0	0	0	0	0	0
Total of all evaluations (not including N/A evaluations)	0					
No. of points (Conform = 20 pts, Major = 15 pts, Minor = 5 pts, Critical = 0 pts, N/A = 0 pts, KO = no confirmation of conformity)	0	0	0	0	0	
Total of all points	0					
Max. number of points	0					
Audit result as a % (total of all points divided by the max. number of points * 100)						