

**CONTENT**

<b>1.</b>	<b>CERTIFICATION PROCEDURE .....</b>	<b>2</b>
<b>1.1.</b>	<b>Audit Preparation.....</b>	<b>2</b>
<b>1.2.</b>	<b>Audit process.....</b>	<b>2</b>
<b>1.3.</b>	<b>Audit follow-up.....</b>	<b>2</b>
<b>1.4.</b>	<b>Award of Certificate.....</b>	<b>2</b>
<b>2.</b>	<b>SURVEILLANCE AUDIT .....</b>	<b>2</b>
<b>3.</b>	<b>RECERTIFICATION AUDIT .....</b>	<b>3</b>
<b>4.</b>	<b>EXTENSION OF SCOPE AUDIT .....</b>	<b>3</b>
<b>4.1.</b>	<b>Short Notice Audits .....</b>	<b>3</b>
<b>5.</b>	<b>TRANSFER OF CERTIFICATION FROM OTHER CERTIFICATION BODIES.....</b>	<b>3</b>
<b>6.</b>	<b>CERTIFICATION OF COMPANIES WITH MULTIPLE LOCATIONS (MULTI-SITE) .....</b>	<b>4</b>
<b>7.</b>	<b>MANAGEMENT OF NON-CONFORMITIES .....</b>	<b>4</b>

If you should require any further information then please do not hesitate to contact us. We will be please to help you.

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Preliminary remarks: The applicable certification system is the certification system named on Page 1 of the offer/proposal.

## **1. CERTIFICATION PROCEDURE**

### **1.1. Audit Preparation**

Audit preparation consists of preliminary review and assessment of the documentation and other information submitted by the economic operator for certifiability in relation to the requirements of the applicable certification system. A risk assessment of the economic operator is carried out by the certification body based on the applicable certification system. If any non-conformities are identified, if the risk assessment reveals higher risks or if the review of the documentation is negative, the client is informed in order to agree upon the corrective actions to be carried out by the client and also the procedural aspects.

The detailed planning of the audit is carried out based on the results of the audit preparation

### **1.2. Audit process**

The inspection of the economic operator is carried out by the certification body in accordance with the requirements of the applicable certification system. (certification conditions and conditions of use).

The checklists approved by the certification body are used for the inspection. Following the end of the audit these are signed as an acknowledgement of correctness by the auditor and the person named as responsible on the client's side.

### **1.3. Audit follow-up**

The risk assessment carried out during the audit preparation is updated after the audit. The auditor writes an Audit Report for the certification system in accordance with the requirements of the applicable certification system.

### **1.4. Award of Certificate**

Following the review of the audit documentation and the release by the certification body of TÜV NORD CERT GmbH:

- a certificate is issued in accordance with the applicable certification system,
- registration in the interface register of the certification body is undertaken and
- the certificate is sent to the client and the applicable certification system.

## **2. SURVEILLANCE AUDIT**

Surveillance audits are applicable for the (first) certification audits.

ISCC requires mandatory surveillance audits after the first (initial) certification of any system user in a high-risk supply chain<sup>1</sup>.

For new system user that belong to a high-risk supply chain, the certification body shall conduct a surveillance audit **six months** after the first certification of the respective system user.

For collecting points and traders that are dealing with both, waste and residues (e.g. used cooking oil or animal fat) and with virgin vegetable oils (e.g. palm oil, rapeseed oil), the surveillance audit shall be conducted **three months** after the first certification (covering the first mass balance period).

The system user is obliged to inform the certification body which materials will be handled as sustainable under ISCC. Should a new system user, contrary to expectations, collect, process, store or trade waste or residual materials (or products made from them), the system user has to inform the certification body immediately and the surveillance audit has to be carried out accordingly. If such cases become apparent in the daily business of certification bodies, the certification body should additionally consult ISCC. The same procedure applies in cases where new collecting points or traders with storage, contrary to expectations, deal with both, waste and residues (e.g. used cooking oil or animal fat) and with virgin vegetable oils (e.g. palm oil, rapeseed oil).

The validity period of an issued certificate is limited to 12 months. After this time period the validity of the certificate will be expired and the economic operator is free to decide on the conducting the subsequent (re-) certification.

ISCC clarified that an earlier recertification of system users, for whom a surveillance audit is required after three and six months, is not an option to avoid the additional surveillance audit after six months. According to the ISCC System the responsible certification body must conduct a surveillance audit six months after the initial certification. An earlier recertification of the system user (e.g. three months after the initial certification) does not release the certification body from conducting the second surveillance audit.

### **3. RECERTIFICATION AUDIT**

The validity period of an issued certificate is limited to 12 months. After this time period the validity of the certificate will be expired and the economic operator is free to decide on the conducting the subsequent (re-) certification.

### **4. EXTENSION OF SCOPE AUDIT**

In case the economic operator wants to extend the scope of the audit he should forward his request to his contact person.

#### **4.1. Short Notice Audits**

It may be necessary to conduct audits that have been announced or unannounced at short notice, e.g. Investigate complaints as a consequence of changes or as a consequence of suspended certifications. In such cases- if the certification body determines the conditions under which these short-term inspections are conducted, there is no possibility of raising objections to members of the audit team. The certification body will invoice the client for the costs arising from the additional audit.

### **5. TRANSFER OF CERTIFICATION FROM OTHER CERTIFICATION BODIES**

Transfer of certification from other certification bodies is not applicable.

**6. CERTIFICATION OF COMPANIES WITH MULTIPLE LOCATIONS (MULTI-SITE)**

The certification is always site specific. Therefore, the certification audit is conducted separately for every site of the company with multiple locations.

**7. MANAGEMENT OF NON-CONFORMITIES**

A certificate can only be issued if an audit has been conducted, all applicable certification system requirements are fulfilled and if corrective measures have been implemented within 40 days, in case nonconformities were detected during the audit.