

SLOVENSKI STANDARD
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Trajna proizvodnja biomase za energijsko uporabo - Načela, merila, kazalniki in preskuševalniki biogoriv in biotekočin - 2. del: Ugotavljanje skladnosti, vključno s postopki nadzora in masne bilance

Sustainably produced biomass for energy applications - Principles, criteria, indicators and verifiers for biofuels and bioliquids - Part 2: Conformity assessment including chain of custody and mass balance

Nachhaltig produzierte Biomasse für Energieanwendungen - Grundsätze, Kriterien, Indikatoren und Prüfer für Biokraftstoffe und flüssige Biobrennstoffe - Teil 2: Konformitätsbewertung einschließlich Überwachungskette und Massenbilanz

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Biomasse produite de façon durable pour des applications énergétiques - Principes, critères, indicateurs et vérificateurs pour biocarburants et bioliquides - Partie 2: Évaluation de la conformité, incluant chaîne de surveillance et bilan massique

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alternativni viri energije

Biological sources and
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**Sustainably produced biomass for energy applications -
Principles, criteria, indicators and verifiers for biofuels and
bioliquids - Part 2: Conformity assessment including chain of
custody and mass balance**

Biomasse produite de façon durable pour des applications
énergétiques - Principes, critères, indicateurs et
vérificateurs pour biocarburants et bioliquides - Partie 2:
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- Grundsätze, Kriterien, Indikatoren und Prüfer für
Biokraftstoffe und flüssige Biobrennstoffe - Teil 2:
Konformitätsbewertung einschließlich Überwachungskette
und Massenbilanz

This draft European Standard is submitted to CEN members for enquiry. It has been drawn up by the Technical Committee CEN/TC 383.

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Foreword

This document (prEN 16214-2:2010) has been prepared by Technical Committee CEN/TC 383 “Sustainably produced biomass for energy applications”, the secretariat of which is held by NEN.

This document is currently submitted to the CEN Enquiry.

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Introduction

Directive 2009/28/EC of the European Commission on the promotion of the use of energy from renewable sources, referred to as the Renewable Energy Directive (RED, [1]), incorporates an advanced binding sustainability scheme for biofuels and bioliquids for the European market. The RED contains binding sustainability criteria to greenhouse gas savings, land with high biodiversity value, land with high carbon stock and agro-environmental practices. Several articles in the RED present requirements to European Member States and to economic operators in Europe.

The sustainability criteria are also mandated in Directive 98/70/EC relating to the quality of petrol and diesel fuels [2], via the amending Directive 2009/30/EC (as regards the specification of petrol, diesel and gas-oil and introducing a mechanism to monitor and reduce greenhouse gas emissions, [3]). Directive 98/70/EC is referred to as the Fuels Quality Directive (FQD).

In May 2009, the European Commission requested CEN to initiate work on Standards. Both the EC and CEN agreed that these may play a role in the implementation of the EU biofuel and bioliquid sustainability scheme. In the Communication from the Commission on the practical implementation of the EU biofuels and bioliquids sustainability scheme and on counting rules for biofuels (2010/C 160/02, [4]), awareness of the CEN work is indicated.

It is widely accepted that sustainability at large encompasses environmental, social and economic aspects. The European Directives makes mandatory the compliance of several sustainability criteria for biofuels and bioliquids. This European Standard has been developed with the aim to assist EU Member States and economic operators with the implementation of EU biofuel and bioliquids sustainability requirements mandated by the European Directives.

This part of the European Standard defines requirements for the verification of compliance with the sustainability criteria for biofuels and bioliquids, in accordance with legal requirements, such as in Article 18 of the RED [1]. In particular, this Standard defines requirements for an adequate standard of independent auditing of the information submitted by economic operators (clause 5), and the implementation by economic operators, of the mass balance method of chain of custody control (clause 6).

In the cases of national or voluntary schemes approved by the EC that demonstrate compliance with the sustainability criteria according to the RED, Article 18(4) the verification of compliance (i) is either part of the scheme itself (ii) or is carried out according to this Standard.

This part of the European Standard is intended for reference on the practical implementation of the sustainability criteria. In addition to this Standard, it is expected that the EC will approve voluntary schemes for demonstrating compliance with the RED sustainability criteria, such as certificates of origin where there are appropriate bilateral agreements and other approved government or voluntary schemes. CEN may in the future draft a document in addition to this Standard that details this assessment, but the assessment of the voluntary schemes will itself be carried out by the European Commission.

This part of the standard defines requirements for a mass balance system which:

- a) allows consignments of raw material or biofuel or bioliquids with differing sustainability characteristics to be mixed;
- b) requires information about the sustainability characteristics and sizes of the consignments referred to in point 1) to remain assigned to the mixture; and
- c) provides for the sum of all consignments withdrawn from the mixture to be described as having the same sustainability characteristics, in the same quantities, as the sum of all consignments added to the mixture.

Each economic operator, in the chain of custody is responsible for the data supplied in the product declarations submitted to the next economic operator as detailed in 4.1. The validity of these declarations is assessed through a conformity assessment carried out by an accredited conformity assessment body.

Where applicable, the parts of this Standard contain an Annex ZA that informs the user of the link between the requirements in the European Directive and the requirements in the CEN Standard. This will give the user when complying with a requirement in this European Standard the presumption of conformity to the mandatory requirement in the European Directive. In the same Annex ZA guidance is given of what mandatory requirements in the European Directive are not covered.

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1 Scope

This European Standard defines requirements for provision by economic operators of the required evidence that biofuels and bioliquids fulfil the sustainability criteria. This standard is applicable to the initial biomass production, and to each stage within the chain of custody. It also defines requirements on conformity assessment bodies to check compliance with the present standard.

An example of supply chain of biofuels and bioliquids is presented in Figure 1. This supply chain is a simple representation, actual supply chains are typically more complex.

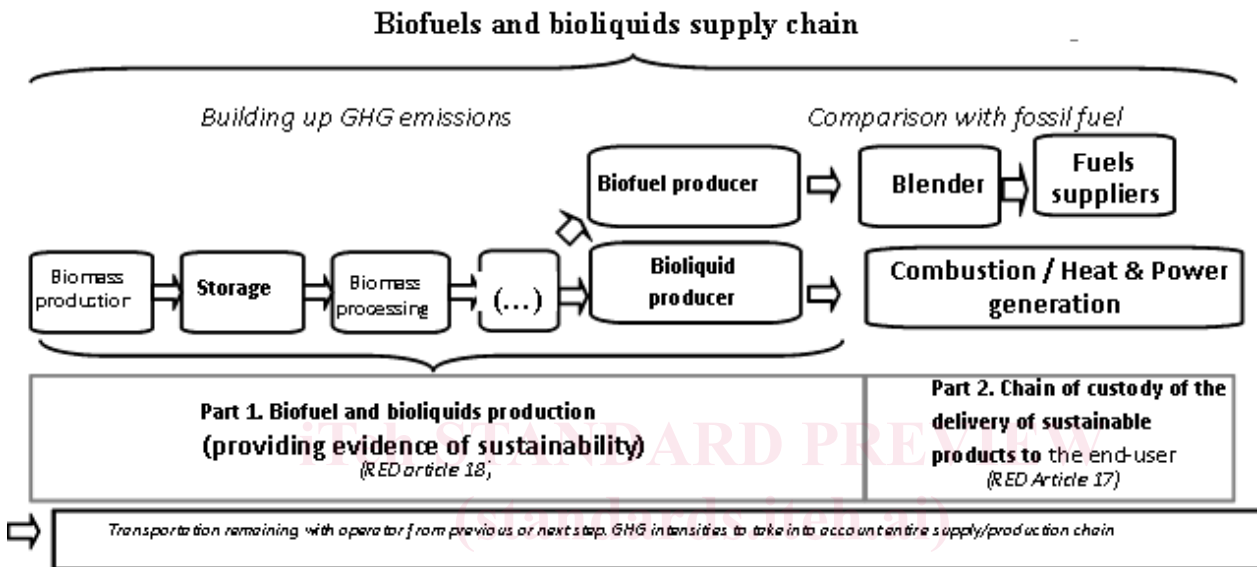


Figure 1 — Example of a chain of custody for biofuel production

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

prEN 16214-1:2010, *Sustainably produced biomass for energy applications — Principles, criteria, indicators and verifiers for biofuels and bioliquids — Part 1: Terminology*

prEN 16214-3:2010, *Sustainably produced biomass for energy applications — Principles, criteria, indicators and verifiers for biofuels and bioliquids — Part 3: Biodiversity and environmental aspects*

EN 45011, *General requirements for bodies operating product certification systems (ISO/IEC 17065:1998)*

EN ISO/IEC 17000:2004, *Conformity assessment — Vocabulary and general principles (ISO/IEC 17000:2004)*

EN ISO/IEC 17011, *Conformity assessment — General requirements for accreditation bodies accrediting conformity assessment bodies (ISO/IEC 17011:2004)*

EN ISO 19011, *Guidelines for quality and/or environmental management systems auditing (ISO 19011:2002)*

ISO 14064 (all parts), *Greenhouse gases*

ISO 14065, *Greenhouse gases — Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition*

ISAE3000, International Standard on Assurance Engagements 3000, *Assurance engagements other than audits or reviews of historical financial information*, International Auditing and Assurance Standards Board (IAASB) of the International Federation of Accountants (IFAC), 1 January 2005, http://www.accountability21.net/uploadedFiles/Issues/ISAE_3000.pdf

3 Terms and definitions

For the purposes of this document, the terms and definitions given in EN ISO/IEC 17000:2004 and in prEN 16214-1:2010 apply.

4 Requirements for conformity assessment

4.1 Basic elements

4.1.1 Conformity assessment in accordance with the requirements of this standard shall be applicable as follows:

4.1.2 Each economic operator in the chain of custody, and conformity for each economic operator is communicated by a conformity assessment statement (see Figure A.1), except when contractual responsibility for conformity assessment is covered by the next economic operator(s) in the supply chain (see Figure A.2);

or

4.1.3 When an economic operator takes delivery from an economic operator which has not been assessed for conformity, he shall take responsibility for the sustainability data of the delivering non-assessed operator within his own assessment scope. This may be extended to cover previous economic operators and up to the full chain of custody.

4.2 Requirements for economic operators

Requirements for economic operators consists of:

- a) for biomass production, compliance with the RED land-related criteria, including the related requirements of this Standard;
- b) compliance with the mass balance requirements detailed in section 5, below;
- c) compliance with the rules for the calculation of GHG emission savings according to the requirements in the RED [1], Article 19(1) and or the FQD [3], Article 7d(1);
- d) each economic operator shall provide the next economic operator in the chain with the product declaration

In particular for independent small biomass production units, as defined at the national or EU level by appropriate competent bodies, compliance with the RED or FQD sustainability requirements may be demonstrated by conformity assessment processes other than those defined in this section. In this case, economic operators may use the following options to demonstrate compliance¹⁾ with RED criteria 17(2) to (5) and/or FQD criteria 7b(2) to (5):

1) All biomass producers who intend to comply need to be in line with the cross compliance requirements (article 17(6) RED or article 7b(6) FQD) irrespective of whether they receive CAP payments.

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- EU approved voluntary schemes;
- EU approved national schemes for smallholders;
- EU Bilateral agreements;
- conformity assessments as described in 4.1.3; or
- group auditing - in particular for smallholders farmers, producer organisations and cooperatives. Conformity assessment is done on a sample of units. Group auditing for compliance with the scheme's land related criteria is only acceptable when the areas concerned are near each other and have similar characteristics. Group auditing for the purpose of calculating greenhouse gas savings is only acceptable when the units have similar production systems and products.

In any case economic operators shall produce a product declaration conform to 5.2.

4.3 Competence of conformity assessment bodies

All conformity assessment bodies doing any conformity assessment work under this standard shall first have demonstrated, and shall then continue to demonstrate, that they are competent to do that work.

One of the ways for conformity assessment bodies to demonstrate competence is to obtain accreditation from their national accreditation body or approval from the responsible government authority in accordance with such arrangements as are made by that government for implementation of the directive in that country.

If a conformity assessment body has already become accredited or approved as complying with any or all of the following European standards, the accreditation or approval body should take this into account when deciding whether the conformity assessment body is competent to work under this standard:

- a) EN 45011;
- b) EN ISO/IEC 17020;
- c) EN ISO/IEC 17021.

For the purposes of verifying compliance with the requirements for the calculation of GHG emission savings in the conformity assessment body shall operate in accordance with the relevant requirements of the ISO 14064 series of standards and the relevant requirements of ISO 14065 ²⁾.

Conformity assessment bodies maintain for public authorities a list of all valid statements issued against the requirements of this standard.

4.4 Requirements for the conformity assessment process**4.4.1 General requirements**

Conformity assessment shall be undertaken by a third party conformity assessment body. It will be designed and paid by the economic operator that takes responsibility of the conformity assessment. The level of conformity assessment required is a limited assurance level according to ISAE3000.

Conformity assessments based on this standard is open for all organizations, which are interested in a conformity assessment of their products.

2) or requirements of future EN xxxxx-4 (as defined by CEN/TC 383/WG 2).

Conformity assessments based on this standard are open for all conformity assessment bodies fulfilling the requirements as stated in 4.3.

The competence of the conformity assessment team shall be assured by selection of team members according to documented procedures consistent with EN ISO 19011.

Conformity assessment of on-site activities for each economic operator shall be planned and undertaken in accordance with documented procedures consistent with EN ISO 19011 or requirements from respective national authorities.

The duration of the validity of the statement of conformity shall be limited to five years.

The frequency of surveillance visits to the economic operator during the validity of a statement of conformity shall be appropriate as determined by the accreditation body. Good practice suggests a minimum of every 12 months and within 6 months in case of negative assessment result.

The conformity assessment body shall take adequate actions in the case of non-conformities.

4.4.2 Conformity assessment process

4.4.2.1 The conformity assessment process will distinguish between the following cases:

4.4.2.2 **Initial audit.** The economic operator has not been assessed previously or has no valid conformity assessment according to this norm (initial assessment, before delivery of first consignment). The conformity assessment process will specifically check the conformity of the management system as described in 5.3 and allowing the operator to fulfil all the requirements set out in this norm, as described in 4.2. The conformity assessment will check conformity of the biomass production with **articles 17.3 to 17.5 of the RED, except for materials exempted under article 17.1.**

4.4.2.3 **Verification audit.** The economic operator has been assessed previously and has a valid conformity assessment running according to this norm (yearly assessment). The conformity assessment process will specifically check the conformity of data supplied in product declarations according to this norm, the conformity of the operator according to 4.2. as well as all the data requirements as set out in 5.2. and the conformity of the mass balances with 5.1.

4.5 Additional requirements about conformity assessment contracts

The conformity assessment contracts between the economic operator and the conformity assessment body shall be in written form, as a legally enforceable contract.

The conformity assessment agreement shall require the economic operator to provide the conformity assessment body with all relevant information, necessary to undertake the conformity assessment process.

The conformity assessment agreement shall require the economic operator to inform the conformity assessment body about all relevant changes that need to be addressed, as defined by the conformity assessment body.

5 Requirements for chain of custody control - mass balance method

5.1 Basic elements for application of the mass balance method

The mass balance method shall balance the GHG emission data of all compliant consignments at the end of the inventory period and exclude from this GHG balance all non-compliant consignments. Only compliant consignments shall be accounted for in the GHG balance. The GHG data from the proportion of compliant consignments that are not destined for use as biofuels and bioliquids shall also be excluded from the mass balance calculation, to avoid allocation of GHG emission savings to only the bioenergy consignments portion.