



Process Document

ANAB sampling procedure for SBP scheme assessments

Sustainable Biomass Program
sbp-cert.org



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In the case of inconsistency between translations, the official English language version shall always take precedence.

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1 Objective and scope of the document

The objective of the document is to establish guidance for ANAB when determining the number of assessments to be conducted in a surveillance year for each Certification Body (CB) as well as for sampling of Certificate Holders and CB auditors for witness assessments. It also specifies sampling rates and selection of certification files during ANAB office assessments for the SBP scheme based on risk.

SBP Standards¹ covered by the ANAB accreditation program:

SBP Standard 1: Feedstock Compliance

SBP Standard 2: Feedstock verification

SBP Standard 3: Requirements for Certification Bodies

SBP Standard 4: Chain of Custody

SBP Standard 5: Collection and Communication of Data

SBP Standard 6: Energy and Carbon Balance Calculation

Additional scopes:

Instruction Document REDII: Bridging Requirements for Meeting REDII

Instruction Document 6D: Methodology for the Calculation and Certification of GHG Emissions Savings for REDII

Instruction Document 2D: SBP Requirements for Group Schemes

Instruction Document 2E: SBP Requirements for Risk Based Approach for Biomass Category 2

Instruction Document 6B: Biomass Compliance for Flanders

Instruction Document Japan: Bridging Requirements for Meeting Japanese Sustainability, Legality and GHG Saving Requirements

Certification Bodies:

All CBs accredited for SBP certification

Geographic regions include:

Global

¹ Complemented with related Instruction Documents (e.g., ID1A, ID5E)

2 Terms and definitions

Witness Assessment:

ISO/IEC 17011:2017 Clause 3.25 witnessing observation by the accreditation body (3.2) of a conformity assessment body (3.4) carrying out conformity assessment activities within its scope of accreditation (3.6).

ISO/IEC 17011:2017 Clause 3.25 assessment technique:

method used by an accreditation body (3.2) to perform an assessment (3.22)

Note 1 to entry: Assessment techniques, can include, but are not limited to:

- on-site assessment;
- remote assessment (3.26);
- witnessing (3.25);
- document review;
- file review;
- measurement audits;
- review of performance in proficiency testing and other interlaboratory comparisons;
- validation audits;
- unannounced visits; and
- interviewing.

File:

In context of this procedure a file means a collection of relevant records related to an issued certificate.

3 Procedure

3.1 File sampling criteria during office assessment

During the office assessment the technical assessor, with guidance from the lead assessor, shall document the sampling logic used for the selection of the files reviewed during the office assessment.

3.1.1 A minimum of 7% of the total issued SBP certificates at the time of the office assessment or five (5) files per CB, whichever is greater, shall be sampled during office assessments

3.1.2 Selection of files shall cover the scope of accreditation and different types of issued certificates:

- Company type according to certified scope (Biomass Producer with Supply Base Evaluation, Biomass Producer without Supply Base Evaluation, Trader, End-user)
- Geographical areas covered by the CB program
- Number of auditors, reviewers, and decision makers
- Stakeholder comments and complaints
- Input from SBP Secretariat

3.1.3 The technical assessor with assistance from the lead assessor shall assess the following for each selected certification file (per ISO/IEC 17065 clause 7):

- Certification agreement
- Application
- Evaluation Plan (including auditor competence, level of effort (hours per audit), COI, sampling (how the files were chosen))
- Evaluation report (full confidential report)
- SBP Public Summary Report
- Biomass Producer Supply Base Report (n/a for traders)
- Biomass Producer Audit Report (SAR) (n/a for traders)
- Corrective Action Review
- Technical Review
- Peer review (if required)
- Decision

- Certificate
- Certificate entry on SBP website and Audit Portal

3.1.4 The technical assessor will interview a representative number of auditors during the office assessment and sample the records of authorisation and monitoring for the auditor pool. The sampling process used by the technical assessor will be presented in the technical report.

3.2 Sampling criteria for witness assessments

3.2.1 Baseline sampling rules for the SBP program

Each CB must have a minimum of one (1) witness assessment per calendar year.

For the SBP program, ANAB shall carry out one (1) witness assessment for each type of certificate issued. For each witness assessment a different Certificate Holder shall be selected. SBP Standards define three certificate types:

- **Biomass Producer (BP)**
 - Selection of the Certificate Holder shall concentrate on BPs with Supply Base Evaluation (SBE). BPs without SBE shall only be selected when the CB has not issued certificates with an SBE.
- **Trader**
- **End-user**
 - Certificates with Standard 6 are a priority

Two additional rules apply:

- Witness assessments of Traders and End-users may be conducted remotely
- Witness audit of BPs shall always be onsite

3.2.2 Witness assessments increase with number of auditors, if a CB has more than 10 SBP-qualified auditors, then an additional one (1) witness assessment for the scheme shall be conducted for each additional 10 auditors. For the additional assessments the selection should focus on BPs.

3.2.3 Circumstances may exist where, due to limited clients and/or limited auditors, there will be instances where arrangements may need to be made to prevent multiple observations of the same Certificate Holder or same auditor. In these circumstances, it is the technical assessor's responsibility to work with ANAB staff members to determine the best course of action. The actions are documented in the technical report(s). The SBP Secretariat shall also be consulted.

3.2.4 Circumstances may exist where assessment concerns raised by the assessor(s) or SBP may result in an increase of the number of witness assessment in the next calendar year. These situations shall be directed by the SBP Incident Procedure. Justification needs to be provided to a CB in written and in a timely manner.

3.3 Quarterly schedule

3.3.1 The SBP Secretariat shall be notified by ANAB in advance of all assessments scheduled each quarter or as soon as the date is known.

3.4 Input from the SBP Secretariat

3.4.1 SBP will supply a list of focus topics and incidents to ANAB at least two weeks prior to an office assessment of the CB.

3.4.2 SBP will inform ANAB of any regional concerns or information received regarding the respective CB as soon as possible allowing the assessment schedule to be modified to address such concerns.

3.4.3 ANAB will obtain certificate data for each CB from the SBP Secretariat for planning witness assessments and file reviews in January of each year. ANAB should prepare assessment plan in January, assign assessors for the coming year assessments in early February and share the plan with SBP by end of February.