



Biomass Suppliers List

Applications and Audit Guidance

Issue 1.9

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1. Overview

This document sets out the approach that will be taken by the BSL Administrator in assessing applications to the BSL, and subsequently to auditing authorised Suppliers as assurance of continued compliance.

2. Glossary

Administrator	The organisation contracted by Department of Energy and Climate Change to run the Biomass Suppliers List on a day-to-day basis. Gemserv Ltd is the current Administrator of the scheme. May also be referenced as "BSL Administrator".
Applicant	An individual or entity who has applied for authorisation of one or more of their fuels on the BSL but may not yet have been authorised. Note that an application is required per fuel and per location.
Arboricultural Arisings	Material that is removed as part of tree surgery, management of municipal parks and verges of roads and railways See: http://www.biomassenergycentre.org.uk/portal/page?_pageid=75,17300&_dad=portal&_schema=portal
Authorised	The status of a BSL fuel that has been approved by the BSL Administrator as meeting the RHI sustainability criteria.
Belt Dryer	A belt dryer is a belt that moves through a hot air process to dry the timber
BSL	Biomass Suppliers List
Drum Dryer	A drum dryer is a drum that contains the product and tumbles the product whilst hot air is driven through it
Firewood	Large sized pieces of wood (compared to chip) used for kindling or for sustaining combustion in domestic solid wood fire appliances
Force Dried	Drying of the timber artificially by hot air. This can be done by a variety of methods: kiln, belt dryer, tray dryer and drum dryer

Kiln	A kiln is a force-drying apparatus that acts in a similar way to an oven.
Moisture Content	See Annex B
Naturally Seasoned	Timber dried by ambient air. Usually done outside in a windy location
Percentage on a wet basis	<p>This refers to how the moisture content is calculated. The wet basis measurement expresses the percentage of water over the total mass of fuel</p> <p>Formula:</p> $M_{ar} = \frac{U_d}{100 + U_d} * 100$ <p>M_{ar}: wet basis</p> <p>U_d: dry basis</p>
Permitted Location	A Permitted Location is one in respect of which the applicant has a right to harvest the solid biomass, whether by virtue of ownership, tenancy or otherwise, and which is no more than 50 miles from the accredited domestic plant in which that solid biomass is used.
Person	An entity able to apply to the BSL. The term includes individuals, sole traders, firms, labour organisations, partnerships, associations, corporations, legal representatives, trustees, trustees in Bankruptcy or receivers

Primary Processing Chip or Slabwood	<p>These are produced at a sawmill in the conversion of roundwood into timber products</p> <p>The slabwood is the curved bark edges that are cut off a piece of roundwood when it is sawn into squared timber</p> <p>Processing chip is the same part of the roundwood as slabwood but it is removed from the roundwood by a chipping process rather than a sawing process. Also known as cutter chips</p>
Primary Processing Co-Products	These are produced at a sawmill in the conversion of the roundwood from the forest into timber products, for example, sawdust, woodchips, bark chips and slabwood
Primary Processing Sawdust	This is produced at a sawmill in the conversion of roundwood into timber products. The sawdust is fine particles produced when sawing wood
Producer	A person that produces biomass fuel from a raw material. This may happen at one or more sites. The individual production sites may be owned or operated by different legal entities so long as they are controlled by the Producer (e.g. subsidiary companies, majority interest, etc.). Producers may apply to be included on the BSL via The BSL Administrator. A Producer is not authorised to sell biomass fuel directly to Participants.
Producer-Trader	A person that combines the roles of Producer and Trader, and is authorised as such by the BSL Administrator
RHI	Renewable Heat Incentive
RHI Participant	Owner or operator of an accredited installation in receipt of RHI payments
Roundwood	Timber which is left as small logs, not sawn into planks or chopped for fuel, typically taken from near the tops of trees and used for furniture
Roundwood (soft)	Roundwood from soft wood trees such as conifers
Roundwood (hard)	Roundwood from hardwood trees such as oak and ash

Self-Supplier	RHI participants will be able to register on the Biomass Suppliers List (BSL) as a 'self-supplier' if their installation is less than 1MWth capacity, and if they source woody biomass (which they have the legal right to source, through ownership, rental or other relevant arrangement) from a Permitted Location. Self-suppliers will also be able to source waste woodfuel directly from the place where it first becomes waste, for use in their installation.																
Short Rotation Coppice	Fast growing tree species cut down to a low stump (or stool) when they are dormant in winter to produce many new stems in the following growing season. See: http://www.biomassenergycentre.org.uk/portal/page?_pageid=75,18092&_dad=portal&_schema=PORTAL																
Small and Micro Enterprise	As defined in EU Law EU Recommendation 2003/361: <ol style="list-style-type: none"> 1. The number of employees and 2. Either turnover or balance sheet total <table border="1" data-bbox="591 1031 1352 1360"> <thead> <tr> <th>Company</th> <th>No of employees</th> <th>Turnover</th> <th>Balance sheet total</th> </tr> </thead> <tbody> <tr> <td>Medium</td> <td><250</td> <td>≤ € 50 m</td> <td>≤ € 43 m</td> </tr> <tr> <td>Small</td> <td><50</td> <td>≤ € 10 m</td> <td>≤ € 10 m</td> </tr> <tr> <td>Micro</td> <td><10</td> <td>≤ € 2 m</td> <td>≤ € 2 m</td> </tr> </tbody> </table>	Company	No of employees	Turnover	Balance sheet total	Medium	<250	≤ € 50 m	≤ € 43 m	Small	<50	≤ € 10 m	≤ € 10 m	Micro	<10	≤ € 2 m	≤ € 2 m
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Medium	<250	≤ € 50 m	≤ € 43 m														
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Micro	<10	≤ € 2 m	≤ € 2 m														
Supplier	Generic term that refers to Producer, Trader, Producer-Trader and / or Self-Supplier																
Trader	A Trader is a person that buys biomass fuel and sells it to end consumers and/or other Traders. The individual selling points may be owned or operated by different legal entities (e.g. subsidiary companies, majority interest, etc.) so long as the characteristics of the fuel are controlled by the Trader. The individual selling points do not have to have their own storage facilities or delivery trucks. A Trader may apply to be included on the BSL if they sell and deliver bulk fuel to Traders and /or end consumers (with his/her own equipment or via a service provider) or if they bag and sell the biomass fuel direct to end																

	users
Tray Dryer	A tray dryer is a dryer that forces hot air through a fixed amount of product for drying
Virgin Wood	Virgin wood consists of wood and other products such as bark and sawdust which have had no chemical treatments or finishes applied. See: http://www.biomassenergycentre.org.uk/portal/page?_pageid=75,17300&_dad=portal&_schema=portal
Waste Virgin Blend	Intentional mixing of waste wood and virgin wood
Waste Wood	This includes used wood and industry by-products but not primary processing co products Used wood includes post-consumer/post society wood waste; natural or merely mechanically processed wood, contaminated to an insignificant extent during use by substances that are not normally found in wood in its natural state. By products include joinery workshop off cuts.
Wood Briquettes	A briquette is wood that has been pulverised and compressed into various shapes that is used as fuel to start and maintain a fire.
Wood Chip	Chipped woody biomass in the form of pieces, with a defined particle size produced by mechanical treatment with sharp tools such as knives. In this definition, we also include hog fuel or shred which is produced using hammers rather than blades and generally applies to chip that is produced from waste wood. <i>NOTE: this is</i>

	<i>a difference to the EN14961-1 standard.¹</i>
Wood Pellets	Wood that has been pulverised and pelletised under heat and high pressure to product a cylindrical wood derived fuel of consistent size.
Thermally modified fuel	Wood fuel that undergoes partial pyrolysis treatment which is converted into an energy source that is a coal-like material. This fuel has a typical moisture content between 0-5%.
Woody Biomass	This is a collective term which, when used in the context of BSL, refers to virgin or waste-virgin blend briquettes, pellets, firewood or chip. It excludes Waste Wood.

¹ Please note that Hog and Chip are treated the same throughout the calculator and application process and so this does not affect the Life Cycle Analysis of the fuel.

3. Fees

3.1 Fees

From 1 January 2017, the following fees will apply to BSL suppliers.

3.1.1 Application fees

The following fees will be charged per new application made from 1 January 2017.

Application fee description	Fee per application
Self-Supplier application	£20 + VAT
Producer, Trader, Producer-Trader application (not including bespoke Risk Based Regional Assessment)	£120 + VAT
Producer, Trader, Producer-Trader application with a bespoke Risk Based Regional Assessment (RBRA)	£450 + VAT

At the end of the application process, the fee due will be calculated automatically at the end of the application process, based on the information provided. The applicant will need to pay this fee before submitting the application.

Application fees are non-refundable including if the application is not approved.

3.1.2 Membership fees

From 1 January 2017, all authorised BSL suppliers, including Self-Suppliers, will need to pay a membership fee. The membership fee is a flat fee per account, not per fuel, and is calculated based on company size information provided during registration.



For individuals, a membership fee of £25 + VAT will be charged.

The following fees apply:

Membership fee by company size	Annual fee
Membership fee for individuals	£25 + VAT
Membership fee for small / micro companies ²	£120 + VAT
Membership fee for medium / large companies ³	£295 + VAT

Self-Suppliers will be charged an annual membership fee each January.

Producers, Producer-Traders and Traders will be charged on a quarterly basis in January, April, July and October. This will be charged at the same time as quarterly reporting data is submitted, and tonnage fees are paid (if these fees are applicable, refer to section 3.1.3 below for details).

3.1.3 Tonnage fees

From 1 January 2017, all Producers, Producer-Traders and Traders will be charged a tonnage fee of 9 pence per tonne on the woodfuel they sell into the RHI market. Self-Suppliers are exempt from paying tonnage fees.

The first tonnage fees will be payable in April 2017 on woodfuel **sold** in the period 1 January to 31 March 2017.

Producers, Producer-Traders and Traders will need to quarterly report on the volume of woodfuel sold for each BSL authorised fuel. This can be reported in tonnes or cubic metres and a tonnage fee will be calculated based on the

² The EU definition of a micro company is less than 10 staff AND a turnover or balance sheet of less than or equal to €2M. A small company is defined as less than 50 staff AND a turnover or balance sheet of less than or equal to €10M (http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en)

³ The EU definition of a medium company is less than 250 staff AND a turnover of less than or equal to €50M OR a balance sheet of less than or equal to €43M. A large company is defined as greater than or equal to 250 staff AND a turnover of greater than €50M OR a balance sheet of more than €43M (http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en)



volume reported. This will be charged, and payable, at the same time as the membership fee.

Evidence to support sales to the RHI market should be retained for audit purposes, including receipts/invoices that contain the BSL reference number(s).

Tonnage fee description	Fee per tonne
Self-Suppliers	nil
Producers, Producer-Traders and Traders	9 pence + VAT

3.2 Payment

Fees are payable using PayPal, or alternatively by debit or credit card. No fees will be charged for using PayPal, debit card or credit card.

Membership fees will be automatically calculated by the BSL portal based on your registration and fuel information, and will be visible when suppliers login into their account. Once paid, a receipt will be automatically sent to the supplier. This receipt meets the requirements of a valid VAT invoice as specified by HMRC.

4.Applications

4.1 Pre-application

4.1.1 Categorisation and supply chains

Applicants must decide which supplier type they should be from: Producer, Trader, Producer-Trader or Self-Supplier. Definitions for those terms are given in the glossary of this document. Recognising that there may be additional parties in the supply chain, the following guidance should be used by persons seeking to categorise themselves:

Producer: Must be able to enter, verify and show at audit all requested information in the Applications Portal that covers the lifecycle of the fuel up to it leaving their control to be taken on by the Trader.

Trader: Must be able to enter, verify and show at audit all information about the product lifecycle from the point of receiving the product from the Producer, to the point of relinquishing control to their end consumer.

Producer-Trader: Must be able to fulfil requirements of both Producer and Trader.

Self-Supplier: As per the definition given. Occasionally a Self-Supplier may be forced, by factors they could not have anticipated, to source raw material and produce their own fuel. In such circumstance, to remain BSL compliant and RHI-eligible, the Self-Supplier must contact the BSL Administrator as soon as they are aware of the potential issue, to request guidance.

For complex supply chains, parties must determine between themselves who is best placed to fulfil the required roles of Producer and Trader, and apply

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accordingly. Note also that it is essential that any applicant for Trader status, entering sustainability information about fuel sourced from a non-BSL authorised Producer, can grant the BSL Administrator audit access to the full supply chain, including that Producer.

4.1.2 Applications portal

The first stage for all applicants is to enter data via the online applications portal. The portal has been designed so that an application cannot be submitted unless it claims to meet all the greenhouse gas requirements and all required data fields have been populated.

UK and Non-UK suppliers can use the simple carbon calculator (except suppliers of thermally modified fuel), which is built in to the online application process. Suppliers processing thermally modified fuel and Traders registering fuels that are not listed on the BSL should use the UK Solid and Gaseous Biomass and Biogas Calculator (the 'B2C2'), which is available on the Ofgem website⁴. Small and micro enterprises can also use the B2C2 if they wish to do so.

Other evidence types, such as membership of a recognised sustainability scheme that is independently verified, and in which the greenhouse gas calculations comply with the methodology outlined in the EU's 2010 report on biomass sustainability (http://ec.europa.eu/energy/renewables/bioenergy/sustainability_criteria_en.htm) may be accepted. Please contact the BSL Helpdesk if you wish to use

⁴ <https://www.ofgem.gov.uk/publications-and-updates/uk-solid-and-gaseous-biomass-carbon-calculator>.

another evidence type, as the BSL Administrator will need to assess whether this is acceptable.

For waste-only fuels, a greenhouse gas calculation is not required. Instead, evidence that the fuel is made from waste⁵ should be provided.

The final actions before submitting an application are to agree to the Terms and Conditions and to pay the application fee. No application can be submitted without these boxes being checked or without paying.

If cases arise where the BSL Administrator is required to enter this data on behalf of an applicant, for example where the applicant does not have access to the internet, the checks will still apply. However, a means will be devised for the applicant to confirm that the information to be entered on their behalf is accurate, for example written confirmation by post.

4.2 Review of application

Once the applicant has submitted their online application, a basic manual check will be conducted by the BSL Administrator to assess the information provided is complete and contains no obvious errors or discrepancies.

The checks at this stage are as follows:

- Identify where possible any previous applications by applicant and cross reference information where required;
- Company registered name and address are valid and match records on Companies House website.

⁵ Waste has the same definition as in section 75(2) of the Environmental Protection Act 1990. Broadly speaking, waste is a material which the holder discards, intends to discard, or is required to discard.

A proportion of applications will also undergo a technical review. The technical review includes analysis of the information provided by the Applicant in relation to the fuel, to determine the likely accuracy and compliance of what has been provided.

If any of the checks identify any matters that require clarification, the Applicant will be given the chance to amend or explain discrepancies, within a limited timeframe.

Applications considered high-risk by the BSL Administrator, and a random sample of other applications, may be chosen for site audit prior to authorisation. Most applications will, however, not be subject to a pre-authorisation site audit.

5. Outcome

Once these checks have been completed, the applicant will be authorised or rejected as appropriate.

Authorisation will be communicated in writing to the applicant. It will entitle the applicant to the following:

Type	BSL Authorisation Number	Permission to use the BSL Authorised Mark	Listing of fuel on public-facing BSL website	Listing of fuel on applications portal for Traders to select
Producer	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Trader	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Optional	<input checked="" type="checkbox"/>
Producer-Trader	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Optional	Optional
Self-Supplier	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Applicants rejected at this stage will be entitled to follow a two-stage appeals procedure:

- **Stage 1:** If requested by applicant, the application and reason(s) for rejection will be reviewed again by a different member of staff at the BSL Administrator.
- **Stage 2:** If the application is still a Fail following Stage 1, the applicant can request that the application and reason(s) for rejection be reviewed by BEIS, whose decision is final.

6. Application timescales

The following indicative timetable for an individual application is given as a guide, but actual processing times may be different depending on the individual circumstances, and the volume of applications being processed by the BSL Administrator:

- Pre-application: Determined by the applicant, but should take no more than an hour once the required information has been gathered together prior to commencement
- Review of application:
 - Desk based assessment (all applications): 10 Working Days
 - Audit (where required): 20 Working Days, depending on demand, and on location, may take longer depending on applicant's availability
 - Appeal stage 1: 10 Working Days from receipt of appeal
 - Appeal stage 2: 20 Working Days from receipt of appeal

7.Continued authorisation

7.1 Changes to information about the fuel, post-authorisation

7.1.1 Material changes

A material change is any change which may affect the validity of the fuel's authorisation – i.e. a change that might mean that the fuel no longer meets the RHI sustainability requirements. It may require you to submit a new application. A material change must be informed to the BSL Administrator within one month of the change or at the quarterly report, whichever is soonest. Failure to do so may result in removal from the list. The BSL Administrator will advise whether a new application is required.

Examples of material change

- Fuel changes, including:
 - Removal or withdrawal from a quality assurance scheme;
 - If the balance of the blend of raw materials changes by more than 5% for any one material;
 - Any changes in producers or traders fuel is purchased from;
 - The average distance raw materials or final product are purchased from increases by more than 10 miles;
 - The average distance fuel is transported to increases by more than 10 miles.
- Process changes:
 - The drying method changes with respect to fuel used to dry the product;
 - The average moisture content at which you start your forced drying process increases by more than 5%.

- The company
 - Changes to the company's name, registered address, primary contact details or company number.

7.2 Quarterly reports

All BSL-authorized persons, except Self-Suppliers, are required to submit quarterly reporting data via the online portal, confirming woodfuel sales for each authorized fuel into the RHI market in the previous quarter. At a minimum, this will include:

- **Producers:** volume of fuel sold to the RHI market
- **Traders:** volume of fuel sold to the RHI market
- **Producer-Traders:** volume of fuel sold to the RHI market
- **Self-Suppliers:** no quarterly reports required

Self-Suppliers who are authorized for Waste or Waste Blend fuel are asked to retain a Waste Record, which may be inspected by the BSL Administrator on request. A Waste Record is a simple diary of volumes and sources of waste in the relevant period.

Producers, Producer-Traders and Traders are required to provide the volume of woodfuel sold for their BSL authorized fuel(s) each January, April, July and October, covering the previous 3-month reporting period, e.g.:

- In January, suppliers will need to report on woodfuel sold in the period 1 October to 31 December.
- In April, suppliers will need to report on woodfuel sold in the period 1 January to 31 March
- In July, suppliers will need to report on woodfuel sold in the period 1 April to 30 June

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- In October, suppliers will need to report on woodfuel sold in the period 1 July to 30 September.

Quarterly reporting data will be accepted from the first day of the month following the end of the reporting period (“QR Date”) up to 45 days after QR Date. If, after this date, quarterly reports have not been submitted, the fuel(s) may be audited and/or suspended or removed from the BSL.

Email reminders will be sent on QR Date, QR Date +15, QR Date +30 and QR Date+45. If after QR Date +50 payment has still not been received, the BSL Administrator may audit and/or suspend the account and the associated BSL authorised fuels, and the Administrator reserves the right to remove the fuels if payment is not made immediately.

The BSL Administrator’s assessment of how risky the authorised fuel is will be updated based on:

- The volumes in the quarterly returns
- Timeliness of the submission

Late submissions of quarterly figures may be accepted in exceptional cases where prior permission is applied for from, and granted by, the BSL Administrator. Any person wishing to apply for such an exemption should contact the helpdesk as far in advance of the Quarterly Report date as possible, and never later than QR Date +50. The BSL helpdesk will take details of the length of extension being requested, the reason, and any supporting evidence. The helpdesk will confirm to the applicant in writing the outcome of their request, usually in a maximum of five working days. Dispensations will be on a strictly case-by-case basis. Since the veracity of evidence will likely be difficult to validate, all such requests will have an impact on the Supplier's risk profile.

8. Desktop audits

Desktop audits will be conducted quarterly and any change to the fuel's risk profile will be noted. Review will take account of:

- Material complaints received in the period⁶;
- Information received in the quarterly returns (see above);
- Changes to the characteristics of the fuel or to any other details previously submitted, whether notified by the applicant, or otherwise brought to light.

The above assessment will be the principal method for selecting persons for onsite audit.

9. On-site audits

Onsite audits are carried out to monitor Suppliers' compliance, detect fraud and deter non-compliance.

9.1 Scope

Audits will be carried out on selected applicants to, and selected Suppliers authorised by, the BSL Administrator. The organisations to be audited will fall into the following categories:

- Producers
- Traders

⁶ A material complaint is a complaint received by the BSL Administrator, concerning the fuel or the supplier, which is considered pertinent to the likelihood that the fuel remains compliant. All such complaints will be taken account of when assessing risk ratings, but a higher weighting will be given to complaints that are upheld.

- Producer-Traders
- Self-Suppliers

9.2 Purpose

Continued authorisation will be based on performance and the receipt of information. The objective of the audit is to validate Suppliers' ongoing eligibility to gain or retain their status as BSL Authorised. This could include, but is not limited to, the following:

- To check whether the information given during the application process and quarterly submissions is correct.
- To verify the assumptions of the simple calculator are correct and adjust to provide improvement to the calculator efficiency.
- Verification that Suppliers have obeyed the scheme Terms and Conditions.
- Check compliance with Ofgem and BEIS' reporting requirements.

The selection of candidates for audit will be based on a combination of:

- Risk assessment at application and quarterly submission stages
- Targeting in response to serious and/or persistent complaints, or intelligence otherwise received, regarding a particular authorised party
- Requests by BEIS to target particular parts of the supply chain

9.2.1 Audit Methodology

Once the candidate for audit has been selected, the audit itself will be based on a sampling and risk-based approach. In determining a sampling strategy the auditor identifies where they will focus their attention during the audit engagement. It may be expected that, as the verification process progresses, should the auditor identify areas of concern, they may determine to enlarge

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the sample of information under the scope of review in order to achieve the desired limited assurance level.

The Supplier will be advised, usually with two weeks' notice that an audit is to take place. Rescheduling may occasionally happen due to extenuating circumstances, but this will be considered on a case by case basis. Repeated rescheduling may result in an on-the-spot inspection and failure may result in the Supplier being removed from the BSL until the audit is carried out and compliance requirements are satisfied.

Detail of audit procedures and requirements is provided in the annexes to this document. In summary, during a physical audit, producers and/or traders will be required to:

- Be willing to receive an audit and openly answer questions;
- Give the auditor access to purchase records to verify their supply, showing location of timber and quantity;
- Demonstrate their processing and drying system (producers and producer-traders only);
- Advise the delivery options offered;
- Demonstrate their compliance with the BSL Brand Guidelines;
- Give the auditor open access to their sales documentation, showing location of clients, location of raw materials or fuel purchase;
- Demonstrate their system for separation of RHI compliant fuel, if applicable; and
- Show their method for calculating average distances, tonnages or m3 and moisture content and quantity of final product.

During a physical audit a Self-Supplier will be required to:

- Be willing to receive an audit and openly answer questions;

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- Give the auditor access to their woodland management plan and records (if applicable) and demonstrate the extractions that have happened and future plans and how those will meet their needs;
- Visit the most recent woodland management area with the auditor;
- Give the auditor access to their in-house waste supply log (including projections if applicable);
- Give the auditor access to their external waste supply log and demonstrate its use (if applicable);
- Demonstrate their processing system and drying system (if applicable).

Some supply chain parties may not be listed on the BSL. In that case, manual input of details will be required from an Applicant and the Applicant must ensure that an audit can be performed on that new party.

Where the audit identifies issues, including during any of the depot or onsite visits, the auditor may determine that additional depots need visiting whether in the supply chain or other sites operated by the same company.

The Supplier must allow the auditor access to all documentation, explain all processes and answer all questions to the best of their ability. Any recommendations for improvement will be listed as either major or minor and (depending on the severity) given a timescale for implementation.

An example of a minor non-compliance would be an accidental administrative error that rendered the Greenhouse Gas calculation inaccurate but still compliant. An example of a major non-compliance would be if that administrative error were wilfully committed and/or significantly affected the GHG emissions figures.

The consequences of non-compliances being raised are set out below.

	Major non-compliance	Minor non-compliance
Suspension	May be immediate	Extremely unlikely
Time to resolve	Usually 10 Working Days maximum	Up to 40 Working Days
Status if non-compliance appealed	Authorisation may be suspended during appeal. Determined case-by-case	Remains BSL Authorised while appeal outcome is determined
Requirement for additional audit	Highly likely	Unlikely
Consequences of failure to resolve	Revocation of BSL Authorisation	Revocation of BSL Authorisation
Possible implications for authorisation status of other fuels registered by applicant, now or in future	Major effect	Minor effect

10. Complaints

The BSL Administrator will investigate any complaints it receives, which it considers could materially affect the authorisation of the Supplier's fuel. All complaints received will affect the Supplier's risk rating. Upheld complaints will be categorised as Minor or Major Non-Compliances, and notified to the applicant and dealt with in accordance with the procedures for handling Non-Compliances raised at audit.

The steps taken by the BSL Administrator in the above procedure are as follows:

1. BSL Administrator receives complaint
2. Decide if complaint has potential to be material. If no, raise supplier risk rating, notify complaint to supplier, no further action. If yes, move to step 3.
3. Decide whether to uphold complaint. If no, raise supplier risk rating, notify complaint to supplier, no further action. If yes, move to step 4.
4. Decide whether non-compliance associated with complaint is minor or major, notify to supplier, and deal with according to process for handling Non-compliances raised at audit.

11. BSL Marks

In addition, to protect the integrity of and the intellectual property rights of the BSL Marks, the BSL Administrator may choose to take action against:

- Non-authorised entities using the BSL Marks;
- Authorised entities using the BSL Marks otherwise than in accordance with the BSL Brand Guidelines, which are available to view on the BSL website.

Appropriate action, up to and including legal action, may be taken against any party utilising the BSL Marks otherwise than in accordance with the BSL Brand Guidelines.

12. Output

The findings of the audit will be summarised in a report to the Supplier.

Statistics and trends in findings from Compliance Reports will be summarised quarterly and reported to BEIS.

13. Corrective actions and redress

In case of non-compliance, unless breaches are deemed extremely serious, the auditor will work with an organisation to address non-compliances within a set procedure, allowing participants an opportunity to rectify issues. Auditors can also set a reasonable deadline (a maximum of 40 working days), in which the registered organisation must prove that corrective measures have been taken. However, if non-compliance is not rectified the auditor's responsibility is to inform the BSL Administrator of breaches and recommend sanctions.

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In case of major non-compliances auditors are entitled to order a new site inspection/audit after the corrective measures have been taken. Major non-compliances are defined as those that can influence compliance with RHI Biomass sustainability requirements and therefore eligibility of a fuel to be BSL authorised. If non-compliances are serious the auditor's responsibility is to inform the BSL Administrator of breaches and recommend applicable sanctions. A report to BEIS will be produced by the BSL Administrator, and applicable sanctions may follow.

13.1 Corrective actions

Apart from specific actions that the auditor may require of a Supplier to rectify a Non-Compliance, other actions that the BSL Administrator may choose to take include:

- Conducting more frequent audit of a Supplier and/or more in-depth audit of the supply chain;
- Requiring the Supplier to submit additional information and/or at a greater frequency than mandated in the standard Quarterly Returns process.

13.2 Sanctions

Sanctions available to the BSL Administrator include:

- Suspension of BSL Authorisation
 - Suspension means that the fuel is no longer BSL-authorized for the period of the suspension, which removes all rights that come with authorisation (including, as applicable, listing on BSL Administrator website(s), right to use the Mark, right to sell fuel as BSL-authorized) Self-suppliers are no longer categorised as such and must use a different method (e.g. buying BSL authorised fuel from a trader) to comply with their RHI Biomass Sustainability requirements.

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- Revocation of BSL Authorisation
 - Revocation means that the Supplier's fuel is no longer BSL-authorized. Their right to use the BSL Mark is terminated. Their fuel is removed from the publicly available BSL. They can no longer promote or sell their fuel as BSL authorized. Self-suppliers are no longer categorised as such and must use a different method (e.g. buying BSL authorized fuel from a trader) to comply with their RHI Biomass Sustainability requirements.

14. Reporting obligations

All parties in the supply chain must have a verifiable system for the evidence related to the claims they make and information they submit during the application process, any declarations and audits, that evidence must be kept for a minimum of six years and they must accept responsibility for preparing any information related to the verification of such evidence.

Annex A: Terms and Conditions (re-produced from the BSL applications portal)

- I hereby declare that the information and record(s) submitted in relation to this application is true and correct to the best of my knowledge and belief, and I accept that my application may be rejected and / or appropriate sanctions taken where the information/record(s) supplied above are found at any time, now or in the future, to be incorrect or false;
- I acknowledge and accept my continuing obligation to notify the Biomass Suppliers List Administrator helpdesk within one month of the occurrence of any issue that may affect my fuel's eligibility for registration or compliance with the scheme or any material changes to the information submitted during the application process.
- I acknowledge and accept my continuing obligation to submit relevant data to the BSL Administrator quarterly, and upon request;
- I am willing to receive an audit and openly answer questions, and shall disclose all records associated with the scope of application to the BSL Administrator and/or its appointed agent, and shall grant them access to the organisational units concerned. Where I have entered details relating to or on behalf of any other party in the supply chain I am able to compel that supply chain party to receive an audit under the same conditions;
- (Does not apply to Self-Suppliers): I am willing and able to provide my customers with one of the following proofs of purchase, containing the information set out in the BSL Administrator's Applications and Audit Guidance document;

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- A receipt or invoice issued by the Supplier at the time of purchase; and
 - A statement of account issued by the Supplier upon the customer's request.
- ☑ A record of such proofs of purchase shall be retained for twenty years, for the twin purposes of inspection by the BSL Administrator and provision to customers on request of duplicate copies.
- ☑ **(Does not apply to Self-Suppliers):** My organisation will comply with the BSL Brand Guidelines for use of the BSL Marks as issued and updated by the BSL Administrator from time to time.
- ☑ (Does not apply to Self-Suppliers): My organisation will not make any use of the BSL Marks which is not authorised by the BSL Administrator.
- ☑ **(Does not apply to Self-Suppliers):** The granting of the Sustainability Mark is on an annual basis subject to continued compliance with these Terms and Conditions and a successful audit visit if such a visit is requested by the BSL Administrator.
- ☑ The BSL Administrator reserves the right to change these rules for registration herewith without prior notification as required by the Secretary of State for Energy and Climate Change. No such changes shall affect the right of any registered organisation to use the Sustainability Mark until it has been served with notice in writing (which may be electronically) of such changes by the BSL Administrator.

- The BSL Administrator reserves the right to suspend or withdraw Authorisation, including use of the Biomass Sustainability Mark, at any time.

- Any fuel for which I am claiming compliance with BSL requirements is separated, both physically and administratively, from fuel for which I am not claiming compliance with BSL requirements.

- I consent to the processing of the information I submit, including to the transfer of my information/record(s) to any relevant government departments and / or regulatory bodies.

Annex B: Calculating moisture content: wet basis and dry basis

Definitions:

The wet basis measurement expresses the percentage of water over the total mass of fuel

The dry basis measurement expresses the percentage of water over the dry weight of the mass of fuel

Comparison of moisture content as received (M) and dry basis (U) (EVS-EN 14961-5:2011)

Moisture Content dry basis (U), w-%	Moisture Content wet basis (M), w-%
12	10,71
13	11,50
14	12,28
15	13,04
16	13,79
17	14,53
18	15,25
19	15,97
20	16,67
21	17,36
22	18,03
23	18,70
24	19,35
25	20,00

26	20,63
27	21,26
28	21,88
29	22,48
30	23,08
31	23,66
32	24,24
33	24,81
34	25,37
35	25,93
36	26,47
37	27,01
38	27,54
39	28,06
40	28,57
41	29,08
42	29,58
43	30,07
44	30,56
45	31,03
46	31,51
47	31,97
48	32,43
49	32,89
50	33,33
51	33,77
52	34,21
53	34,64
54	35,06

Formula:

$$M_{ar} = \frac{U_d}{100 + U_d} * 100$$

M_{ar} : wet basis

U_d : dry basis

Annex C: Receipt and Invoice Requirements to demonstrate that the Supplier is providing BSL fuel

All receipts / invoices issued by Traders and Producer-Traders in relation to a BSL-authorized fuel must at the minimum include the following information:

- Trader / Producer-Trader name
- BSL authorisation number for the fuel in question
- Quantity or volume purchased in tonnes/kg/m³/net heat/gross heat
- Moisture content (% on a wet basis)⁷
- Fuel type
- Date purchased⁸
- Date delivered / collected⁹
- Delivery address
- Customer name

⁷ This must be on either the invoice or contract

⁸ Invoice or receipt date

⁹ A delivery note is sufficient

Version Control

Document no.	Amendment Details	Date
1.0	Final Version Published	30.04.2014
1.1	Update to amend definition of "Administrator"	12.05.2014
1.2	Grammatical and formatting corrections	13.08.2014
1.3	Updated procedure for issuing BSL Mark and to note that Self-Suppliers do not complete quarterly volumetric returns	24.09.2014
1.4	<p>3.2 (Review) of Applications: Updated to include information on technical review</p> <p>5 (Application Timescales): Revised guidance on desk based assessment timescale</p> <p>7 (On-site Audits): Removed reference to specific audit volumes and proportions, to reflect the dynamic nature of those metrics</p> <p>10 (BSL Mark): Clarified the role of the BSL Administrator in Mark enforcement</p> <p>Throughout: Harmonisation of terminology</p> <p>13 (Reporting Obligations): Existing 'Receipt/Invoice Requirements' moved to new Annex C. Removed requirement for these documents to display 'the sustainability stamp'. Removed reference to 'supplier's authorisation number', though</p>	15.12.2014

	retained requirement to include the fuel's BSL authorisation number	
1.5	<p>2 Glossary: Amendments to explanation of 'Self Supplier' and replacement of 'Estate' with 'Permitted Location' to reflect the draft regulations</p> <p>6.2 Periodic Returns: Self-Suppliers of waste must retain a waste record for inspection but are not required to routinely submit it</p> <p>Corrections to section numbering anomalies</p>	29.01.2015
1.6	Added a definition of 'Woody Biomass'	04.02.2015
1.7	Updated to include changes to quarterly reporting, BSL fee information and clarification on use of BSL mark	29.12.2016
1.8	Updated to include changes to the embedded Carbon Emission calculator.	17.01.2018
1.9	Thermally modified fuel is referenced in Glossary and section 4.1.2	30.04.2019