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## I. CREDIBILITY

| ITC ID<br>SSCT<br>ID   | Criteria<br>Name                       | Criteria Question   | Requirements   | Guidance   | Reference                        | Response<br>Options                    | Total<br>Score<br>106 |
|--|--|---|--|--|----------------------------------|--|-----------------------|
| <b>A - Scheme Management</b><br>Governance structures and management of the scheme |  |   |  |  |                                  |  | <b>19</b>             |
| Governance   |  |   |  |  |                                  |  | <b>12</b>             |
| 700110<br>A.01   | Availability<br>of Scheme<br>Structure | Does the scheme owner make its organisational structure publicly available, including composition of governance bodies?                       | An overview of the different governance bodies that manage and govern the scheme (i.e. board, advisory board, board of trustees, etc.) and participants of each body is publicly accessible. | This can be in the form of an organisational chart or a narrative document that details the governance structure and its composition.  | Adapted from<br>ISO<br>9001:2008 | Yes<br>No                              | 1<br>0                |
| 700111<br>A.02   | Scheme<br>Legal Status                 | Is the scheme owner a legal entity, or an organization that is a partnership of legal entities, or a government or inter-governmental agency? | Information showing the legal status of the organization, often also listed in publicly available commercial registers (commonly also for non-commercial organisations).                     |  | ISO/IEC<br>17067, 6.3.3          | Yes<br>No                              | 1<br>0                |
| 700126<br>A.03   | Governance<br>Body Accountability      | Is there a mechanism for stakeholders to participate in scheme development and decision-making?   | A clear accountability mechanism (e.g. elections with voting members, accountability through deeds of trust, appointment by boards that are in turn elected, stakeholder advisory body).     | Stakeholders in this case mean any parties who are directly or indirectly affected by the decisions of the top-decision making body (e.g. producers, consumer organizations, members, etc.). | ISO/IEC<br>17067, 6.4.5          | Yes, publicly<br>Yes, on request<br>No | 2<br>1<br>0           |



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|----------------------|--|--|--|---|---|--|------------------------------|
| 700125<br>A.04       | Balanced<br>Decision-<br>Making in<br>Govern-<br>ance                      | Do the voting procedures of the top decision-making body ensure that there is a balanced representation of stakeholder interests, where no single interest predominates? | Enough information on the voting procedure to be sure that there is a balanced representation of stakeholder interests. The procedure shall also assure that no single interest predominates.  |   |   | Yes<br>No                              | 1<br>0                       |
| 700123<br>A.05       | Sources of<br>Finance  | Does the scheme owner make quantitative information on the income sources or financing structure of the scheme available?  | An overview of quantitative information on the income sources or financing structure of the scheme (e.g. potentially including type of funding (i.e. financial, assets, manpower etc.), name of funders, amount or %-distribution of income sources).  | This could be provided in the form of an annex to annual reports.   | ISO 14024<br>7.4.3,<br><b>2014/24/EU<br/>Art. 43 (1)</b>                    | Yes, publicly<br>Yes, on request<br>No | 2<br>1<br>0                  |
| 700119<br>A.06       | Quality<br>Manage-<br>ment   | Does the scheme owner have an internal quality management system available?  | An internal management system would generally be considered equivalent to a quality management system.   | QMS should cover management of scheme operations including all aspects for which scheme owner is responsible, e.g. standards development, assurance oversight, technical support. | Adapted from<br>ISO 9001<br>ISEAL Assur-<br>ance Code<br>5.1.1              | Yes<br>No                              | 1<br>0                       |
| 740208<br>A.07       | Independ-<br>ence of<br>Scheme<br>Owner<br>from Cer-<br>tificate<br>Holder | Is the scheme owner economically independent from the certificate holder?  | - A policy which governs the independence of the scheme owner or proof that the scheme owner is not economically dependent on one single certificate holder.<br>OR<br>- Certification/licenses granted by independent third-party assurance providers. |   | ISO 14024<br>3.7<br><b>2014/24/EU<br/>Art. 43 (1),</b><br>ISO 14024<br>5.15 | Yes<br>No                              | 1<br>0                       |



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|----------------------|---|--|---|---|--|--|------------------------------|
| 700108<br>A.08       | Sustaina-<br>bility Goals<br>and Objec-<br>tives of the<br>Scheme | Does the scheme owner<br>have sustainability-ori-<br>ented goals and objec-<br>tives?  | The scheme owner explicitly defines its<br>overall goals and objectives, e.g. the<br>mission and vision, either in its statutes<br>or in a separate statement (e.g. a mis-<br>sion statement)<br>The goals and objectives are sustaina-<br>bility-oriented, i.e. oriented towards im-<br>proving environmental and/or socio-<br>economic impacts. |   | Supported by<br>ISO/IEC<br>17067, 6.3.4;<br>ISEAL Im-<br>pacts Code<br>7.1 | Yes<br>No                              | 1<br>0                       |
| 700282<br>A.09       | Strategy to<br>Achieve<br>Scheme<br>Sustaina-<br>bility Goals     | Does the scheme owner<br>have a strategy for meet-<br>ing its sustainability-ori-<br>ented goals and objec-<br>tives?              | A documented strategy that includes<br>clear goals, actions to achieve the<br>goals, and a description of availa-<br>ble/needed resources to execute the<br>actions.  | This can be in the form of a docu-<br>mented strategy, theory of change<br>or equivalent.   | ISEAL Im-<br>pacts Code<br>7.2   | Yes, publicly<br>Yes, on request<br>No | 2<br>1<br>0                  |
|                      |   | <b>Impact</b>  |   |   |  |  | <b>5</b>                     |
| 700287<br>A.11       | Impact<br>Measure-<br>ment  | Does the scheme owner<br>have a system in place for<br>measuring its outcomes<br>and progress towards its<br>sustainability goals? | The proven existence of a monitoring<br>and evaluation system, which contains<br>indicators the scheme owner uses to<br>measure its outputs, outcomes and im-<br>pacts.   | For ISO type I labels, the most rel-<br>evant impact is usually introduced<br>prior to the development of criteria<br>by conducting a life cycle based<br>impact study. The resulting criteria<br>are developed to reduce these im-<br>pacts. The design of this approach<br>therefore also includes the meas-<br>urement of impact and is eligible<br>for a 'Yes'. In order to receive a<br>'Yes', the reasoning behind the<br>conclusions for choosing the actual<br>requirements need to be available<br>publicly or on request. | ISEAL Im-<br>pacts Code<br>8.1, 8.2  | Yes, publicly<br>Yes, on request<br>No | 2<br>1<br>0                  |



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|-----------------------|------------------------------------|--|---|---|---|--|-----------------------|
| 10800<br>A.12         | Adaptive<br>Manage-<br>ment        | Does the scheme owner use the results of monitoring and evaluation for learning and improvements to its programme? | The scheme regularly feeds in the results of monitoring & evaluation in its internal processes and learnings from these activities are distributed and discussed at least to the organisation's senior management team, e.g. records of inclusion on the agenda of meetings, policy for when results are considered.  | Learnings can be applied to a scheme's assurance system, standards and stakeholder engagements'.  | ISEAL Im-<br>pacts Code<br>9.1  | Yes<br>No                              | 1<br>0                |
| 700285<br>A.13        | Reporting<br>Monitoring<br>Results | Does the scheme owner make sustainability results from M&E available?  | A report on the results of the monitoring and evaluation which contains indicators the scheme owner uses to measure its outputs, outcomes and impacts.  | For ISO type I labels, the life cycle impact study that is conducted prior to the development of criteria would serve as equivalent to the sustainability results from M&E.   | ISEAL Im-<br>pacts Code<br>10.2   | Yes, publicly<br>Yes, on request<br>No | 2<br>1<br>0           |
| Complaints Mechanism  |                                    |  |   |   |   |  | 1                     |
| 2234<br>A.15          | Com-<br>plaints Me-<br>chanism     | Does the scheme owner have a publicly available and easily accessible complaints mechanism?                        | The mechanism shall require the scheme owner to:<br>- Provide easily accessible information on how to submit complaints or appeals. The information shall be available in relevant languages but at least in dominant regional language.<br>- Investigate and take appropriate action regarding relevant complaints and appeals, within defined timescales.<br>- Review and take necessary corrective action; and<br>- Keep a record of complaints and appeals and resulting actions. | A mechanism through which stakeholders are enabled to submit complaints and appeals (e.g. about the standard-setting process). The complaints mechanism should follow the criteria set out by the OECD, e.g. in their Due Diligence Guidance for Responsible Supply Chains in the Garment and Footwear Sector. Complaints mechanisms should be legitimate, accessible, predictable, equitable, transparent, dialogue-based. | ISEAL Stand-<br>ard Code<br>5.11.1<br>OECD Guide-<br>line for Multi-<br>national En-<br>terprises<br>OECD Due<br>Diligence<br>Guidance for<br>Responsible<br>Supply<br>Chains in the<br>Garment &<br>Footwear<br>Sector | Yes<br>No                              | 1<br>0                |
| Supporting Strategies |                                    |  |   |   |   |  | 1                     |



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|--|--|---|--|---|---|---------------------|------------------------------|
| 2145_T9<br>6<br>OR<br>3838<br>OR<br>2146<br>A.14                 | Technical Assistance and Access to Finance | Does the scheme implement strategies or activities to support improved performance of participating enterprises, e.g. capacity building, access to finance? | <p>Either of the following:</p> <ul style="list-style-type: none"> <li>- Technical assistance in the form of e.g. workshops, trainings, provision of equipment, etc.</li> <li>- A finance mechanism for increasing access possibilities for enterprises seeking certification</li> <li>- Technical assistance beyond compliance such as actions like providing resources, coordinating conferences or other peer learning opportunities, etc.</li> </ul> | Examples for finance mechanism include advance payments to facilitate the purchase of produce from the farmers, the existence of a support fund, or the payment of verification/ certification fees via purchasing companies. |   | Yes<br>No           | 1<br>0                       |
| <b>B - Standard-Setting</b><br>Standard development and revision |  |   |  |   |   |                     | <b>13</b>                    |
| 700138<br>B.01   | Availability of Standard                   | Is the standard made publicly available free of charge?   | The standard document / performance measures is freely available for download on the scheme owner's website, incl. all criteria and accompanying documents to support consistent interpretation. All corresponding accompanying documents shall also be freely available.  | Choose 'No' also if available only for members or for a fee.  | ISEAL Standard-Setting Code 5.7.1; ISO 14024 7.4.3; <b>2014/24/EU Art. 43 (1)</b> | Yes<br>No           | 1<br>0                       |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                | Criteria Question   | Requirements   | Guidance  | Reference  | Response<br>Options                                 | Total<br>Score<br><b>106</b> |
|----------------------|---------------------------------|---|--|---|--|---|------------------------------|
| 700131<br>B.02       | Key Issues                      | Has a set of key sustainability issues in the sector where the scheme operates or product lifecycle been defined in the standard-setting process? | <p>A list or summary of evidence that identifies key sustainability issues within the scope of the standard. The standard document includes requirements addressing the identified issues.</p> <p>In order for this question to be answered with a 'Yes', the provided information shall match the areas that the scheme owner addresses in the standard. There shall be evidence that the information is used for the standard-setting process. This can be for example in the form of a research chapter in one of the standard setting documents.</p> | <p>Evidence can include research studies and reports (e.g. governmental reports, university studies and publications, NGO reports) that legitimize the identified key issues.</p> <p>For ISO Type I ecolabels: Key areas of environmental impacts have been identified through research methods (e.g. LCA studies or equivalent) that are robust and accurate enough to support environmental claims and that lead to exact and reproducible results.</p> | ISEAL Standard-Setting Code 5.1.1;<br><b>2014/24/EU Art. 43 (1)</b>                  | Yes<br>No   | 1<br>0                       |
| 700133<br>B.03       | Standard-Setting Process        | Is the standard-setting procedure or a summary of the process for how stakeholders can engage in standard-setting made publicly available?        | <p>Either of the following: standard-setting procedures OR public summary of how stakeholders can engage.</p> <p>In order for this criterion to be answered with a 'Yes', there shall be evidence that the scheme owner publicly announces each consultation period on its website.</p>  | Stakeholders are any individuals or organizations that may affect or be affected by a scheme owner's actions and decisions. Relevant stakeholders could be certified companies, local communities, oversight providers, researchers or other scheme owners.   | ISO 14024 5.11;<br>ISEAL Standard-Setting Code 5.3;<br><b>2014/24/EU Art. 43 (1)</b> | Yes<br>No   | 1<br>0                       |
| 300809<br>B.04       | Public Consultation of Standard | Can stakeholders participate in the standard-setting process?   | Statement in standard-setting procedure that lists who should be consulted.  | All stakeholders: Open to any interested stakeholder.   | ISEAL Standard-Setting Code 5.4.2;<br><b>2014/24/EU Art. 43 (1)</b>                  | All stakeholders<br>Invitation / members only<br>No | 2<br>1<br>0                  |



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|----------------------|---|--|--|--|---|--|------------------------------|
| 700134<br>B.05       | Consulta-<br>tion with<br>Directly Af-<br>fected<br>Stakehold-<br>ers | Are stakeholders who are directly affected by the standard provided opportunities to participate in standard setting?                          | -Identification and documentation of which stakeholders are directly affected.<br>-Records of activities to proactively reach out to these stakeholders and encourage their participation in standard setting. | A documented stakeholder mapping may serve as evidence for how the scheme has identified its stakeholders.<br>Any stakeholder that has the potential to be impacted by implementation of the standard should be considered.                | ISEAL Standard-Setting Code 5.4.4;<br>For ISO Type I: ISO 14024 5.9. and 6.2.;<br><b>2014/24/EU Art. 43 (1)</b> | Yes<br>No                              | 1<br>0                       |
| 700132<br>B.06       | Pilot Tes-<br>ting  | Are draft standards field tested / piloted for relevance and auditability through the development and revision processes?                      | Documented evidence (i.e. field test reports) that this is being done.   | Piloting of new requirements can be done before or during the standards revision period.<br><br>Not applicable for schemes that develop different product standards based on a life-cycle and multi-criteria approach (ISO type I labels). | ISEAL Standard-Setting Code 5.5   | Yes<br>No<br>Not applicable            | 1<br>0<br>-                  |
| 700135<br>B.07       | Stakehol-<br>der Feed-<br>back  | Does the scheme owner provide information on how the input received from consultations has been included in the final version of the standard? | -Documentation of collected feedback from previous public consultations.<br>-Statement on how the collected feedback was used for the setting or revision of the standard.                                     |  | ISEAL Standard-Setting Code 5.4.5;<br><b>2014/24/EU Art. 43 (1)</b>   | Yes, publicly<br>Yes, on request<br>No | 2<br>1<br>0                  |





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|----------------------|---|--|---|---|--|---------------------|------------------------------|
| 700137<br>B.08       | Stakeholder Representation in Standards Decisions | Do the voting procedures of the decision-making body responsible for standard setting ensure that there is a balanced representation of stakeholder interests? | Documented information on the voting procedure of the highest decision-making body responsible for the standard setting process specifies that all categories of stakeholders are represented. The procedure shall also ensure that a stakeholder category is not able to dominate decision-making. | <p>The decision on the content of the standard needs to rest with the body (often Standards Committee) that is balanced and that is responsible for recommending approval of the standard to the top governing body.</p> <p>In cases where the top governance body (Board) is not balanced but is responsible for signing off on a standard, the top governance body's decision should be based on whether the standard-setting process was followed and the extent to which the standard meets its defined objectives, but not the content of the standard itself.</p> | ISEAL Standard-Setting Code 5.6.3  | Yes<br>No           | 1<br>0                       |
| 700142<br>B.09       | Standard Review                                   | Is the standard reviewed and, if necessary, revised at least every 5 years?  | A statement that details the frequency of review of the applicable standards, with a frequency of no more than five years.  | <p>This information is most likely included in the standard-setting procedure.</p> <p>This criterion aims at ensuring that there is a process to review the standard. The review establishes whether a subsequent revision of the standard is necessary.</p>  | For ISO Type I: ISO 14024 5.8.2; ISO Guide 59, 4.6; ISEAL Standard-Setting Code 5.8.1; <b>2014/24/EU Art. 43 (1)</b> | Yes<br>No           | 1<br>0                       |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                                | Criteria Question   | Requirements   | Guidance   | Reference   | Response<br>Options         | Total<br>Score<br><b>106</b> |
|----------------------|---|---|--|--|---|-----------------------------|------------------------------|
| 300811<br>B.10       | Consistent<br>Interpreta-<br>tion               | Does the scheme ensure that guidance is in place to support consistent interpretation of the standard?    | The standard and/or separate guidance documents for interpretation shall include sufficient detail so that individual criteria can be assessed consistently and specify necessary evidence for those criteria.   | <p>In order to provide sufficient detail, the standard and/or separate guidance documents for interpretation should be expressed in terms of process, management and performance criteria, and written in a language that is clear, specific, objective, and verifiable. Moreover, it should include a definition of a scope to which the standard applies.</p> <p>The standard and guidance may also be provided with indicative examples showing how the information relating to specific clauses is sufficient to enable consistent interpretation.</p> <p>ISO 14024, clause 6.4 provides rules for developing ISO Type 1 environmental product criteria.</p> | ISEAL Standard-Setting Code 6.3.1, 6.3.2, <b>2014/24/EU Art. 43 (1)</b> , ISO 14024 6.4 | Yes<br>No                   | 1<br>0                       |
| 700140<br>B.11       | Interpreta-<br>tion to Re-<br>gional<br>Context | Are there procedures and guidance for application or interpretation of the standard to regional contexts? | <p>Any one of the following:</p> <ul style="list-style-type: none"> <li>- Information in the standard or interpretive guidance about the requirements can be interpreted for application at a local level.</li> <li>- Procedure for development of a local adaptation of the standard including stakeholder consultation measures.</li> <li>- The standard organization has country-specific standards.</li> </ul> | <p>Not applicable for schemes that develop different product standards based on a life-cycle and multi-criteria approach (ISO type I labels).</p> <p>In case of ISO Type I labels or other process-based standards this is 'not applicable', as its approach does not allow for the recognition of local contexts.</p>   | ISEAL Standard-Setting Code 6.4; ISO Guide 59   | Yes<br>No<br>Not applicable | 1<br>0<br>-                  |



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|---|----------------------------------|---|--|---|--|---------------------|-----------------------|
| <b>C - Assurance</b><br>Mechanisms for assessment of compliance with the standard |                                  |   |  |   |  |                     | <b>62</b>             |
| <b>C.1 - Assurance System</b>   |                                  |   |  |   |  |                     | <b>20</b>             |
| 700162<br>C.1.01  | Assess-<br>ment me-<br>thodology | Is there a publicly available documented assessment methodology for assurance providers to assess conformity with the standard? | <p>A documented methodology describing requirements for assurance providers and the assessment procedures (e.g., audit procedures or testing and verification methods) taking into account the complexity and risk of a client, defines an assessment and sampling protocol, and which is commensurate with the claims being made by the scheme and by clients.</p> <p>The assessment methodology shall include procedures for at least the following activities:</p> <ul style="list-style-type: none"> <li>- Assessment of conformance with the standard;</li> <li>- Review and decision;</li> <li>- Issuance of a certificate, where this is part of the scheme;</li> <li>- Periodic re-assessment.</li> </ul> <p>For each type of assessment used, the scheme owner shall specify requirements for conducting the assessment that includes at least the following:</p> | <p>Evidence can be demonstrated through scheme owner or assurance provider documentation.</p> <p>The assessment can include sources of evidence to be assessed and their corresponding admissible timeframes. Admissible timeframes can apply to all evidence, for example evidence within the past 12-months of the assessment will only be considered. Or timeframes can be specified by evidence type.</p> | ISO/IEC 17067;<br>ISEAL Assurance Code 5.1.2 | Yes<br>No           | 1<br>0                |



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|----------------------|------------------------------|---|---|---|--|--|------------------------------|
|                      |                              |   | <ul style="list-style-type: none"> <li>- frequency and intensity of assessment;</li> <li>- sampling protocol for assessment;</li> <li>- knowledge and skills required in an auditor or assessment team (if assessment team is used);</li> <li>- minimum set of issues that need to be checked in every assessment;</li> <li>- a means of calculating the time needed for an assessment;</li> <li>- sources of evidence to be assessed;</li> <li>- minimum content of assessment reports;</li> <li>- and timelines for submission of completed reports, following assessments</li> </ul> |   |  |  |                              |
| 7000168<br>C.1.02    | Scheme<br>Accessibi-<br>lity | Is application (to get certified/verified) open to all potential applicants within the scope of the scheme? | A policy which assures that every potential applicant can get certified/verified/ become a member, as long as it is within the scope of the scheme (i.e. in a country where the scheme operates, a product group which the standard covers, etc.).  |   | ISEAL Assurance Code 5.1.2;<br><b>2014/24/EU Art. 43 (1);</b><br>ISO 14024 5.13;<br>GENICES Schedule A2, 6 | Yes<br>No                              | 1<br>0                       |
| 7000165<br>C.1.03    | Assess-<br>ment fees         | Does the scheme owner provide information on assessment fees or require this of assurance providers?        | The scheme owner shall provide information and update clients about the fees for application, initial certification and continuing certification free of charge either upon request or publicly available, or require this information to be made available by their assurance providers upon request or publicly available.  | The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the assurance provider, or in a separate accreditation manual. | ISO/IEC 17021-1, 8.5.1 c)<br>ISEAL Assurance Code 6.2.1<br>GENICES Schedule A2 4.3 (5)                     | Yes, publicly<br>Yes, on request<br>No | 2<br>1<br>0                  |



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|----------------------|---|--|--|--|--|--|------------------------------|
| 700173<br>C.1.05     | Assurance<br>Provider<br>Com-<br>plaints and<br>Appeals<br>Mecha-<br>nism | Does the scheme owner require assurance providers to have an easily accessible complaints and appeals mechanism?   | <p>The mechanism shall require the assurance provider to:</p> <ul style="list-style-type: none"> <li>- Investigate and take appropriate action regarding relevant complaints and appeals, within defined timescales.</li> <li>- Review and take necessary corrective action; and</li> <li>- Keep a record of complaints and appeals and resulting actions.</li> <li>- Provide information on how to submit complaints or appeals shall be easily to find and should be available in relevant languages but at least in English.</li> </ul> | <p>Appeals are about "conformity decisions" (certificate holder appealing the assurance provider), complaints are broader and can include complaints about a certificate holder by external parties, or also complaints about an assurance provider.</p> <p>Complaints should be directed in the first instance to the closest party on the chain to the incident, e.g., first to assurance provider. If not resolved there, to oversight provider, and only then to scheme owner if not resolved elsewhere</p> <p>The complaints mechanism should follow the criteria set out by the OECD, e.g. in their Due Diligence Guidance for Responsible Supply Chains in the Garment and Footwear Sector. Complaint's mechanisms should be legitimate, accessible, predictable, equitable, transparent, dialogue based.</p> | <p>ISO 14024 5.13.<br/>ISO/IEC 17021-1 9.8<br/>ISO/IEC 17065 7.13<br/>ISO 10001<br/>ISEAL Assurance Code 5.1.12;<br/>GENICES Schedule A2, 4.3 (4);<br/>OECD Guideline for Multi-national Enterprises;<br/>OECD Due Diligence Guidance for Responsible Supply Chains in the Garment &amp; Footwear Sector</p> | <p>Yes, publicly<br/>Yes, on request<br/>No</p>                              | <p>2<br/>1<br/>0</p>         |
| 700172<br>C.1.06     | Assess-<br>ment Re-<br>ports<br>Availability                              | Does the scheme owner make, or require assurance providers to make a summary of certification/verification reports (with personal and commercially sensitive information removed) available? | The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the assurance provider, or in a separate accreditation manual. The report should be made available in a UN and local language.  | <p>Note: For ISO Type I labelling programmes, the equivalent requirement is transparency on (nonconfidential) "evidence on which the awarding of the label is based" (see ISO 14024 clause 5.11).</p> <p>For schemes where assessment reports are not publicly available</p>   | <p>ISEAL Assurance Code 6.3.1;<br/><b>2014/24/EU Art. 43 (1)</b></p>   | <p>Yes, publicly available or on request<br/>Confidential<br/>No reports</p> | <p>2<br/>1<br/>0</p>         |



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|----------------------|--|---|---|---|--|---------------------|-----------------------|
|                      |  |   |   | <p>online, request a summary report from assurance provider or scheme owners to verify availability."</p> <p>If assessment reports cannot be shared by the scheme or by assurance providers due to confidentiality, choose "confidential"</p>   |  |                     |                       |
| 700174<br>C.1.07     | Scope and<br>Duration of<br>Certificate<br>/ License | Does the certificate or license define the scope of assurance and duration for which it is valid? | <p>The scheme owner ensures that the following information about enterprises certified to its assurance system is current and available:</p> <ul style="list-style-type: none"> <li>- Name and address of the enterprise and the assurance provider;</li> <li>- Date the certification is granted;</li> <li>- Scope of assurance (to include the identification of the standard, product, process or service for which the certification is granted);</li> <li>- Expiry date of certificate (where used).</li> </ul> <p>The scheme owner defines guidance specifying that scope and duration of validity be included on certificates or licenses.</p> | <p>For membership-based initiatives without certification schemes, membership duration counts as equivalent, as long as the contract implies that standard rules shall apply at all times.</p> <p>The list of enterprises and accompanying information can be made available at the assurance provider or scheme level.</p> | ISO/IEC 17021-1 8.2.2<br>ISO/IEC 17065 7.7.1<br>ISEAL Assurance Code 6.3.1 | Yes<br>No           | 1<br>0                |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name  | Criteria Question   | Requirements   | Guidance  | Reference  | Response<br>Options           | Total<br>Score<br>106 |
|----------------------|---|---|--|---|--|-------------------------------|-----------------------|
| 700176<br>C.1.09     | Certified or<br>Verified<br>Enterprise<br>/ Labelled<br>Product<br>List | Does the scheme owner maintain or require assurance providers to maintain a publicly accessible list of certified or verified enterprises, or a list of verified products/product groups, or a list of members (in case of membership-based initiatives)? | A publicly available list is made available (for example in a database or by uploaded lists), which contains at least the following:<br>- Name of enterprise or product/s<br>- The standard to which it has been certified/verified.<br>- Certification status and expiry date (where used).     | Information can be publicly available or made available on request.<br><br>In case of published lists, information shall be updated without undue delay when changes occur. When possible, the list should also state the scope to which it has been certified.   | SO/IEC<br>17021-1 8.2.2<br>ISO/IEC<br>17065 7.7.1                          | Yes, incl. scope<br>Yes<br>No | 2<br>1<br>0           |
| 740209<br>C.1.10     | Accredited/ Approved Assurance Providers                                | Does the scheme owner maintain a current and publicly available list of all accredited/approved/suspended assurance providers?  | A system to list all assurance providers accepted by the scheme or accredited by respective oversight providers is available, up-to-date and complete.   | This list could also be available on accepted oversight providers' websites.  | ISEAL Assurance Code 6.3.1, ISO 17065 7.8, ISO 17021 8.1.2                 | Yes<br>No                     | 1<br>0                |
| 700163<br>C.1.11     | Frequency of Assurance System Review                                    | Does the scheme owner review the effectiveness of their assurance system on a periodic basis?   | Scheme owner has internal management system procedures that include periodic review of how well the assurance system is being implemented. This includes defining what data the scheme owner collects to inform that review.<br>Evidence can also include reports from assurance system reviews. | To assess performance of its assurance system, update classification of risks, and inform improvements, the scheme owner could, for instance, use following resources to inform its assessment and risk classification: information of internal and external audits undertaken; risk assessments and mitigation measures taken; recommendations from assurance providers; complaints analysis; stakeholder input; M&E data; market analysis and scientific trends.<br><br>The scheme owner can outsource this responsibility to oversight providers that operate its conformity assessment. | ISO 17067 6.6<br>ISEAL Assurance Code 4.1.1, 4.2.1, 4.4.2, 4.5.2 and 5.4.1 | Yes<br>No                     | 1<br>0                |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name  | Criteria Question   | Requirements  | Guidance  | Reference  | Response<br>Options                                      | Total<br>Score<br>106 |
|----------------------|---|---|---|---|--|--|-----------------------|
| 7000164<br>C.1.12    | Notification<br>of Assurance Sys-<br>tem<br>Changes             | Does the scheme owner require that clients and other affected stakeholders are notified of changes to the assurance requirements? | There shall be evidence of a protocol that ensures affected stakeholders are notified of changes to the scheme's assurance system in a timely manner, including timelines for when the changes come into effect for example by checking notifications after previous assurance system change. |   | ISO 17067<br>6.6.2<br>ISEAL As-<br>surance Code<br>6.3.3 | Yes<br>No  | 1<br>0                |
| 700277<br>C.1.13     | Conti-<br>nuous Im-<br>provement<br>Require-<br>ments           | Does the scheme require performance improvements over time to maintain certification?   | The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and assurance provider, or in a separate manual.   | Some schemes may offer "partial certification", some may use the more traditional approach of raising non-conformities that have to be closed within a specified timeframe, others may define different performance levels, etc. his criterion aims to address strategies for incentivising improvement beyond correcting non-compliances | ISO/IEC<br>17021-1 9.8                                   | Yes<br>No  | 1<br>0                |
| 700006<br>C.1.14     | Chain of<br>Custody:<br>CoC As-<br>sessment<br>Methodol-<br>ogy | Does the scheme owner have a documented assessment methodology for assurance providers that are assessing chain of custody?       | A documented methodology describing requirements for assurance providers and the assessment procedures of enterprises that handle or trade product along the supply chain (e.g., Chain of custody certification requirements/methodologies).  | Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required)  |  | Yes, publicly<br>Yes, on request<br>No<br>Not applicable | 2<br>1<br>0<br>-      |





| ITC ID<br>SSCT<br>ID | Criteria<br>Name                  | Criteria Question   | Requirements  | Guidance   | Reference                   | Response<br>Options | Total<br>Score<br><b>106</b> |
|----------------------|-----------------------------------|---|---|--|-----------------------------|---------------------|------------------------------|
| 900093<br>C.1.16     | Report on Com-<br>plaints         | Does the scheme owner require assurance providers to report to them on complaints received and, on the actions, taken to resolve the issue? | A requirement for assurance providers to provide reports is specified in the agreement between assurance providers and scheme owners or in the assurance/certification requirements manual. |  | ISEAL Assurance Code 5.1.12 | Yes<br>No           | 1<br>0                       |
| 1000059<br>C.1.17    | Data Management for Scheme Owners | Does the scheme owner maintain an information management system?  |   | The information management system can be used to inform risk management, assurance system learning, and monitoring and evaluation. | ISEAL Assurance Code 4.4.2  | Yes<br>No           | 1<br>0                       |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                         | Criteria Question   | Requirements  | Guidance   | Reference                  | Response<br>Options         | Total<br>Score<br><b>106</b> |
|----------------------|--|---|---|--|----------------------------|-----------------------------|------------------------------|
| 1000060<br>C.1.18    | Equivalence Requirements and Recognition | Has the scheme specified equivalence requirements for any other scheme assurance results it recognises? | Requirements and/or the process of recognition or partial recognition is specified in a standard operating procedure, assessment methodology or certification requirements. | <p>ISO/IEC Guide 68:2002 provides an introduction to the development, issuance and operation of arrangements for the recognition and acceptance of results produced by bodies undertaking similar conformity assessment and related activities. The activities to which this guidance is intended to apply are those related to the conduct of unregulated marketplace transactions extending across borders from one country to another.</p> <p>Information should be evident in the scheme's certification and accreditation requirements.</p> | ISEAL Assurance Code 5.3.1 | Yes<br>No<br>Not applicable | 1<br>0<br>-                  |



| ITC ID<br>SSCT<br>ID                      | Criteria<br>Name                               | Criteria Question  | Requirements  | Guidance   | Reference                         | Response<br>Options   | Total<br>Score<br>106      |
|---|--|--|---|--|-----------------------------------|---|----------------------------|
| C.2 - Conformity Assessment               |  |  |   |  |                                   |   | 22                         |
| Conformity Assessment Process             |  |  |   |  |                                   |   | 4                          |
| 700236<br>OR<br>700013<br>(CoC)<br>C.2.02 | Independent<br>Con-<br>formity As-<br>sessment | Does the scheme require a second or third-party conformity assessment of all clients for compliance with its standard? | <p>The scheme owner requires in its certification requirements/methodologies that:</p> <ul style="list-style-type: none"> <li>- Second or third parties shall conduct conformity assessments and decision-making.</li> <li>-Third party assurance providers shall be approved by the scheme owner or accredited by an independent oversight provider.</li> </ul> <p>The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider, or in a separate accreditation manual.</p> | <p>1st party is a self-assessment; 2nd party is by an interested stakeholder, e.g., an industry association; 3rd party is independent from the client. Some schemes may provide for different levels of conformity assessments (e.g., a self-assessment followed by a third-party audit), therefore the most independent level is the determining factor, regardless of when the audit takes place.</p> <p>Also, applicable if claims are made regarding the origin of or certain ingredients or products (CoC is required).</p> | ISO/IEC 17065,<br>ISO/IEC 17021-1 | <p>3<sup>rd</sup> party</p> <p>2<sup>nd</sup> party</p> <p>None/ 1<sup>st</sup> party</p> | <p>2</p> <p>1</p> <p>0</p> |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                                   | Criteria Question   | Requirements  | Guidance   | Reference   | Response<br>Options | Total<br>Score<br>106 |
|----------------------|--|---|---|--|---|---------------------|-----------------------|
| 700247<br>C.2.04     | Consistent<br>Decision-<br>Making on<br>Conformity | Does the scheme owner define requirements for decision-making to ensure that assurance providers use consistent procedures for determining the conformity of clients or laboratory testing results with the standard? | <p>Assurance providers shall be required to have documented procedures for determining conformity of clients with the standard.</p> <p>Assurance providers shall record each certification decision.</p> <p>Assurance providers shall have a document process to conduct an effective review prior to taking conformity decisions.</p> <p>The assurance providers shall take account of at least the following information in taking conformity decisions: the audit report / document review where relevant, details on non-conformities and, where applicable, the corrections and corrective actions taken by the client a recommendation whether or not conformity is achieved, together with any conditions or observations.</p> | The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight, or in a separate accreditation manual. | ISEAL Assurance Code 5.1.8; ISO 17065 7.6 and ISO 17021 9.5 | Yes<br>No           | 1<br>0                |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                          | Criteria Question   | Requirements  | Guidance  | Reference   | Response<br>Options | Total<br>Score<br>106 |
|----------------------|---|---|---|---|---|---------------------|-----------------------|
| 700175<br>C.2.05     | Procedure<br>on Non-<br>Conformi-<br>ties | Does the scheme owner require assurance providers to have a procedure in place for how clients are required to address non-conformities, including when a certificate or license is suspended or revoked? | <p>The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider.</p> <p>The procedure specifies how different degrees of non-conformity (if applicable) are to be addressed and remediated, and the applicable timeframes in order to support consistency between assurance providers.</p> <p>The procedure also specifies the conditions under which certification / the license may be suspended or withdrawn, partially or in total, for all or part of the scope of certification / the license and the applicable timeframes.</p> <p>The scheme owner has a guidance specifying different gradations of non-conformities (if applicable) and how to determine them, verifying corrective actions arising from non-conformities and allowing for appeals of non-conformities, in order to support consistency between assurance providers.</p> | The scheme owner stipulates the requirements that assurance providers shall follow. However, procedures developed by assurance providers are also acceptable. | <p>ISEAL Assurance Code 5.1.10</p> <p>ISO/IEC 17065 7.11<br/>ISO/IEC 17021-1 9.6, 9.5.2</p> <p>GENICES Schedule A2, 4.3 (2) &amp; (3)</p> | Yes<br>No           | 1<br>0                |



| ITC ID<br>SSCT<br>ID                           | Criteria<br>Name  | Criteria Question   | Requirements   | Guidance   | Reference | Response<br>Options         | Total<br>Score<br>106 |
|--|---|---|--|--|-----------|-----------------------------|-----------------------|
| Sustainability Audits                          |   |   |  |  |           |                             | 9                     |
| 3986<br>OR<br>700007<br>OR<br>700216<br>C.2.01 | ISO Com-<br>pliance for<br>Certifica-<br>tion/Verifi-<br>cation | Does the scheme owner have a documented oversight approach that requires assurance providers to be accredited or compliant with ISO/IEC 17065, ISO/IEC 17021, ISO/IEC 17020, ISO/IEC 17025 (for laboratories) requirements, or alternatively to be compliant with the relevant ISEAL Assurance Code requirements? | <p>Accreditation: Where the scheme incorporates accreditation as an oversight mechanism, the scheme owner shall ensure that ABs comply with ISO/IEC 17011 and they are a member of the IAF or ILAC (for laboratories).</p> <p>For ISEAL compliance: CABs shall be required to either be a Code-compliant member of ISEAL or to be otherwise in a position to provide evidence of full Code-compliance.</p> <p>Proxy accreditation: Where the scheme owner accepts ISO accreditation of CABs, they shall require that the CABs conduct internal audits against the scheme-specific scope and share the results and any remediation with the scheme owner.</p> <p>Requirement: The scheme owner defines this requirement in a documented assurance, oversight, accreditation or certification procedure or equivalent normative document, or in the contract/agreement between the scheme owner and assurance provider, or in a separate manual.</p> | <p>Only applicable if the scheme requires audits, laboratory testing or if claims are made regarding the origin of or certain ingredients or products (CoC is required).</p> <p>Alternatively, the scheme owner's compliance with the ISEAL Assurance Code is equivalent as it requires that there is oversight of assurance providers' competence, consistency and impartiality.</p> <p>Besides ISO/IEC 17025 (General requirements for the competence of testing and calibration laboratories), recognized standards are ISO 15189 (Medical laboratories - Particular requirements for quality and competence), OECD Principle of GLP (Good Laboratory Practice) or equivalent national standards.</p> |           | Yes<br>No<br>Not applicable | 1<br>0<br>-           |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name           | Criteria Question   | Requirements  | Guidance   | Reference  | Response<br>Options         | Total<br>Score<br>106 |
|----------------------|----------------------------|---|---|--|--|-----------------------------|-----------------------|
| 700240<br>C.2.03     | Audit frequency            | Does the scheme owner require that clients are audited on a regular, recurring basis?                     | The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider, or in a separate accreditation manual.   | Only applicable if the scheme requires audits.<br><br>This question refers to external audits. In a full audit process, all requirements of the standard and the whole system of the client that is to be assessed are verified. This would usually include re-certification audits but not necessarily surveillance audits in case these are less rigorous. In the assessment, state the least possible frequency, i.e., if an interval can be skipped for certain clients, e.g., based on a risk assessment, the frequency shall be reduced (see also criterion on risk-based audit frequency) | ISO 17067<br>5.3.8<br>ISO 17065<br>7.9.3/4<br>ISEAL<br>Assurance<br>Code 5.1.2       | Yes<br>No<br>Not applicable | 1<br>0<br>-           |
| 700241<br>C.2.06     | Risk-based Audit Frequency | Is the frequency or intensity of an audit based on a risk assessment of the client or assurance provider? | Documented risk management protocol in the certification/verification /accreditation requirements detailing how the scheme assesses risk of clients or assurance providers and how it adapts the frequency or intensity of audits or assessments based on that risk assessment. The scheme owner shall require its use by assurance providers and oversight providers respectively. | Only applicable if the scheme requires audits. This question does not apply to CoC audits.<br><br>Risk-based audits make the whole certification process more efficient and potentially less costly.   | ISEAL<br>Assurance<br>Code 6.2.2<br>ISO 17021-1<br>9.1.4.2<br>ISO/IEC<br>17011 7.4.6 | Yes<br>No<br>Not applicable | 1<br>0<br>-           |



| ITC ID<br>SSCT<br>ID                      | Criteria<br>Name                   | Criteria Question  | Requirements   | Guidance   | Reference                  | Response<br>Options                                  | Total<br>Score<br>106 |
|---|------------------------------------|--|--|--|----------------------------|--|-----------------------|
| 700243<br>OR<br>700017<br>(CoC)<br>C.2.07 | Audit activities                   | Does the scheme owner specify the required intensity for each type of audit and the activities that shall be carried out by assurance providers for each of its standards? | Guidance to assurance providers on the types of activities required to be included in a full audit.<br>Activities might be: Document review (off-site) only / Document review on-site / Field visit (incl. office visit & doc. review) / Off-site interviews with clients / Remote sensing / Stakeholder engagement. | Only applicable if the scheme requires audits. Also applicable to Chain of Custody schemes.<br><br>Intensity refers to how long an audit should take, how many interviews should occur, how many sites should be investigated, how many samples should be taken, how many issues shall be checked for each type of audit.<br><br>Field visit can include any activity that assesses the implementation of practices as opposed to the existence of procedures. | ISEAL Assurance Code 5.1.2 | Yes<br>No<br>Not applicable                          | 1<br>0<br>-           |
| 700249<br>C.2.08                          | Unannounced Audits                 | Does the scheme owner allow or require assurance providers to do unannounced audits?   | The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider, or in a separate accreditation manual.  | Only applicable if the scheme requires audits.   | ISEAL Assurance Code 5.1.2 | Required<br>Allowed<br>Not allowed<br>Not applicable | 2<br>1<br>0<br>-      |
| 700837<br>AND<br>700194<br>C.2.09         | Stakeholder participation in audit | Are auditors and assessors required to seek external stakeholder input during the audit and oversight assessment process?  | The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider, or in a separate accreditation manual.  | Only applicable if the scheme requires audits. This question does not apply to CoC audits.<br><br>There should be explicit reference that the scheme requires auditors to proactively solicit external stakeholder input during the audit process and to show how they took comments into account.   | ISEAL Assurance Code 6.3.2 | Yes<br>No<br>Not applicable                          | 1<br>0<br>-           |





| ITC ID<br>SSCT<br>ID | Criteria<br>Name                          | Criteria Question   | Requirements  | Guidance   | Reference  | Response<br>Options         | Total<br>Score<br>106 |
|----------------------|---|---|---|--|--|-----------------------------|-----------------------|
| 700246<br>C.2.10     | Audit /<br>Evaluation<br>Report<br>Format | Does the scheme owner require assurance providers to follow a consistent report format?   | The scheme owner defines this requirement in certification requirements / methodologies, or in the contract / agreement between the scheme owner and the oversight provider, or in a separate accreditation manual.   | <p>Only applicable if the scheme requires audits.</p> <p>The report should include section on explanations of auditors or assessors' decisions for determining conformity with requirements and for their choice of samples taken during the audit.</p> <p>The scheme owner should have a guidance specifying formats for audit reports and reporting, in order to support consistency between assurance providers. Alternatively, to a guidance on audit report formats, mandatory templates may be provided, however, guidance on reporting should still be available.</p> | ISEAL Assurance Code 5.1.2<br>ISO/IEC 17021-1 9.4.8<br>ISO/IEC 17065 7.7 | Yes<br>No<br>Not applicable | 1<br>0<br>-           |
| 700248<br>C.2.11     | Decision-Making Independence              | Does the scheme owner require that assurance providers and oversight bodies use competent and impartial personnel (other than auditor/assessor/team) to make decisions on compliance? | <p>The persons or committees taking conformity decisions shall be different from those who carried out the conformity assessments and shall have appropriate competence.</p> <p>The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider, or in a separate accreditation manual.</p> | Only applicable if the scheme requires audits.   | ISO 17065 7.6.2, ISO 17021 9.5.1.1, ISEAL 5.6.4                          | Yes<br>No<br>Not applicable | 1<br>0<br>-           |



| ITC ID<br>SSCT<br>ID    | Criteria<br>Name                 | Criteria Question   | Requirements  | Guidance   | Reference                  | Response<br>Options   | Total<br>Score<br>106 |
|-------------------------|----------------------------------|---|---|--|----------------------------|---|-----------------------|
| Group certification     |                                  |   |   |  |                            |   | 5                     |
| 10356_T<br>17<br>C.2.13 | Group Internal Management System | Is the group required to have a shared management system with clear responsibilities for implementation of the system?                                  | The scheme owner defines this requirement in the group certification or verification requirements/methodologies, or in the contract/ agreement between the scheme owner and the oversight provider or in a separate accreditation manual. | Only applicable if the scheme requires audits and allows group certification.  | ISEAL Assurance Code 5.1.6 | Yes<br>No<br>Not applicable                                 | 1<br>0<br>-           |
| 700258<br>C.2.14        | Group Internal Verification      | Does the scheme owner have a mechanism that prescribes and justifies how all sites within a group certification will be audited over time?              | The scheme owner defines this requirement in the group certification or verification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider or in a separate accreditation manual.  | Only applicable if the scheme requires audits and allows group certification.<br><br>This should include the requirement of group manager(s), or the auditors (or assessors) to visit all group sites at least once during the period of certificate validity. | ISEAL Assurance Code 5.1.2 | Yes<br>No<br>Not applicable                                 | 1<br>0<br>-           |
| 700257<br>C.2.15        | Group External Sample Size       | Is there a sample size formula and sampling approach to determine the number of group members that is externally verified and how the sample is chosen? | The scheme owner defines this requirement in the group certification or verification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider or in a separate accreditation manual.  | Only applicable if the scheme requires audits and allows group certification.  | ISEAL Assurance Code 5.1.6 | Yes based on risk assessment<br>Yes<br>No<br>Not applicable | 2<br><br>1<br>0<br>-  |
| 700260<br>C.2.16        | Non-Conforming Group Members     | Do the requirements on group certification/verification define the conditions under which a group member shall be suspended or removed from a group?    | The scheme owner defines this requirement in the group certification or verification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider or in a separate accreditation manual.  | Only applicable if the scheme requires audits and allows group certification.  | ISEAL Assurance Code 5.1.7 | Yes<br>No<br>Not applicable                                 | 1<br>0<br>-           |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name  | Criteria Question  | Requirements  | Guidance   | Reference  | Response<br>Options         | Total<br>Score<br>106 |
|----------------------|---|--|---|--|--|-----------------------------|-----------------------|
| Chain of Custody     |   |  |   |  |  |                             | 1                     |
| 800034<br>C.2.20     | Chain of<br>Custody:<br>Physical<br>handling                              | Does the scheme owner require all enterprises that are physically handling the certified product to undergo a CoC audit if the product can be destined for retail sale as a certified, labelled product? | This shall be in the form of a written requirement as part of the certification requirements.<br>Possibly review scope of certificates, if available online.  | Only applicable if CoC is required.                    |  | Yes<br>No<br>Not applicable | 1<br>0<br>-           |
| Laboratory Testing   |   |  |   |  |  |                             | 3                     |
| 700213<br>C.2.21     | Laboratory<br>Testing:<br>Infor-<br>mation on<br>Test Meth-<br>ods        | In the documented assessment methodology, are test methods either referred to or included?   | The required test methods need to be referred to or provided in the standard document or in other corresponding documents.  | Only applicable if scheme requires laboratory testing  | GENICES<br>Schedule A2,<br>4.13 (2)<br>ISO 17025 | Yes<br>No<br>Not applicable | 1<br>0<br>-           |
| 3901<br>C.2.23       | Laboratory<br>testing:<br>Surveil-<br>lance lab<br>testing of<br>products | Are there rules on random sampling and testing for the conformity monitoring?  | -Written evidence is required by the scheme owner that includes rules on random sampling and testing of the (final) products.<br>OR<br>-Written evidence is required by the scheme owner that includes rules on random sampling and testing of samples collected in the field e.g. soil or waste water samples. | Only applicable if scheme requires laboratory testing. | GENICES<br>Schedule A2,<br>4.11<br>ISO 17025     | Yes<br>No<br>Not applicable | 1<br>0<br>-           |
| 700220<br>C.2.24     | Laboratory<br>Testing:<br>Non-Con-<br>forming<br>Products                 | Is there a procedure to deal with non-conforming products manufactured by a client / licensee?   | Written evidence is required by the scheme owner that includes a defined procedure to deal with non-conformity.   | Only applicable if scheme requires laboratory testing. | GENICES<br>Schedule A2,<br>4.11<br>ISO 17025     | Yes<br>No<br>Not applicable | 1<br>0<br>-           |



| ITC ID<br>SSCT<br>ID                         | Criteria<br>Name               | Criteria Question  | Requirements  | Guidance   | Reference  | Response<br>Options | Total<br>Score<br>106 |
|--|--------------------------------|--|---|--|--|---------------------|-----------------------|
| <b>C.3 - Assessor / Auditor Competencies</b> |                                |  |   |  |  |                     | <b>7</b>              |
| 700221<br>AND<br>700230<br>C.3.01            | Personnel<br>Competen-<br>cies | Does the scheme owner define the qualifications, competency, the required minimum industry audit experience and training requirements for assurance assessors? | <p>The scheme owner has specified qualifications and competence criteria for assurance assessors or requires that assurance providers have.</p> <p>Qualifications and competencies criteria set minimum requirements for assurance assessor training and auditing experience in the sector covered by the standard.</p> <p>The scheme owner has a guidance specifying the training system and content in order to support consistency between assurance assessors.</p> <p>The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the oversight provider, or in a separate accreditation manual.</p> | This aims to ensure that the assurance assessor is familiar with the standard through both initial and ongoing training on its interpretation. | ISO /IEC 17021-1 7.1. & 7.2;<br>ISO17065 6.1.2.1 and ISO 17021 7.1.2 and 7.1.4;<br>ISO 17067 6.5.1;<br>ISEAL Assurance Code 5.5.1, 5.5.2 | Yes<br>No           | 1<br>0                |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                  | Criteria Question   | Requirements  | Guidance   | Reference                         | Response<br>Options         | Total<br>Score<br><b>106</b> |
|----------------------|-----------------------------------|---|---|--|-----------------------------------|-----------------------------|------------------------------|
| 700231<br>C.3.03     | Auditing<br>Skills Train-<br>ing  | Does the scheme owner require that assurance provider auditors successfully complete auditor training on a standard that is relevant to the scheme and that is based on ISO 19011, or equivalent? | The scheme owner defines this requirement in the contract/agreement between the scheme owner and the assurance provider, in a separate accreditation manual or for example in certification requirements/methodologies.   | Only applicable if scheme requires audits.<br><br>It should be evaluated whether auditors are being trained on product-specific, industry-specific and country-specific social and ecological risks. It should also be evaluated whether they have been trained in identifying most prominent social risks, such as a lack of the freedom of association or gender-based risk such as gender-based violence. | ISEAL Assurance Code 5.5.1, 5.5.2 | Yes<br>No<br>Not applicable | 1<br>0<br>-                  |
| 700224<br>C.3.05     | Regular<br>Assessor<br>Evaluation | Does the scheme owner require that assurance and oversight providers implement a programme to monitor and ensure the continued competence and good performance of assessors and auditors?         | The assurance and oversight provider have a programme to monitor competence and performance of auditors / assessors.<br><br>The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the assurance and oversight provider, or in a separate accreditation manual. | Assessors and auditors should be evaluated at least every 3 years. Examples for evaluation methods to check competence and performance are: Review of records, feedback, interviews, observations, examinations.   | ISEAL Assurance Code 5.5.4        | Yes<br>No                   | 1<br>0                       |
| 700226<br>C.3.06     | Assessors<br>Calibration          | Does the scheme owner carry out or require assurance providers to carry out calibration activities to ensure that assessors / auditors are aligned?   | A calibration programme should entail:<br><br>- Monitoring and comparison of assessors' / auditors' performance<br>- Schedule of calibration activities<br>- Calibration formats  | Calibration refers to activities that are undertaken to ensure that all assessors / auditors have the same understanding of a programme's requirements.<br><br>Monitoring and comparison of assessors / auditor performance:   | ISEAL Assurance Code 5.5.3        | Annually<br>Ad Hoc<br>No    | 2<br>1<br>0                  |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name | Criteria Question | Requirements | Guidance   | Reference | Response<br>Options | Total<br>Score<br>106 |
|----------------------|------------------|-------------------|--------------|--|-----------|---------------------|-----------------------|
|                      |                  |                   |              | <p>This is to understand where and when calibration is needed and should be based on various types of information sources, such as assessment reports, witness audits, feedback from clients, review of received complaints and appeals.</p> <p>Schedule of calibration activities: This should include calibration activities at pre-defined events, e.g. when scheme requirements change or when assurance provider processes change, when results from auditor monitoring have been processed. It should also include regular check-ins with assessors / auditors and ad hoc calibration events as needed.</p> <p>Calibration formats: This should encompass different types of calibration activities, e.g. classroom lectures / webinars, auditor roundtables, case studies and exercises, tests.</p> |           |                     |                       |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                        | Criteria Question   | Requirements  | Guidance   | Reference  | Response<br>Options | Total<br>Score<br><b>106</b> |
|----------------------|---|---|---|--|--|---------------------|------------------------------|
| 700225<br>C.3.07     | Personnel<br>Suspension                 | Does the scheme owner require that assurance providers have a Code of Conduct, or equivalent, and supporting procedures to guide behaviour and actions of assurance providers' personnel and to address misconduct? | The scheme owner defines this requirement in assurance/certification requirements/methodologies, or in the contract/agreement between the scheme owner and the assurance provider, or in a separate manual.   |  |  | Yes<br>No           | 1<br>0                       |
| 2672<br>C.3.08       | Auditor<br>and Assessor<br>Impartiality | Does the scheme owner assess potential risks to auditor / assessor impartiality and where warranted, do they require assurance providers and oversight bodies to implement practices to mitigate these risks?       | The scheme owner includes auditor / assessor impartiality risks in their risk management plan/register. A requirement for assurance and oversight providers is specified in certification requirements or oversight manuals or other normative documents. | Some of the practices that can mitigate the risks to impartiality include rotation of auditors and other technical experts in assessments; assurance body rotation; occasionally having second set of eyes - have a second auditor join; and witness audit / inspection every x time period. | ISEAL Assurance Code 5.6.2, ISO/IEC 17065 4.2.3, ISO/IEC 17021-1 5.2.3, ISO/IEC 17011 4.4.6, 4.4.7 | Yes<br>No           | 1<br>0                       |



| ITC ID<br>SSCT<br>ID            | Criteria<br>Name                  | Criteria Question  | Requirements   | Guidance  | Reference                               | Response<br>Options | Total<br>Score<br>106 |
|---------------------------------|-----------------------------------|--|--|---|---|---------------------|-----------------------|
| C.4 - Accreditation / Oversight |                                   |  |  |   |   |                     | 13                    |
| 699994<br>OR<br>10540<br>C.4.01 | Oversight<br>Mecha-<br>nism       | Does the scheme require an oversight mechanism and is it documented?                             | <p>The scheme owner documents this requirement in a contract/agreement between the scheme owner and an oversight body oversight provider, in a separate accreditation manual or for example in certification requirements/methodologies.</p> <p>As a minimum the scheme owner shall include a review of the performance of assurance providers and assessors in conducting the assessment.</p> <p>The scheme owner also complies with this requirement if the scheme owner requires independent oversight that meets ISO 17011'.</p> | Reviewing the performance of assurance providers and auditors can be done remotely or in-person and incorporate reviews of audit reports and decision-making. Best practice is to ensure that there is an independent assessment and decision-making. This may mean independent accreditation or that oversight is conducted by a separate organisation from the assurance provider and scheme owner. | SO/IEC 17011 ISEAL Assurance Code 5.4.1 | Yes<br>No           | 1<br>0                |
| 700183<br>C.4.03                | Indepen-<br>dence of<br>Oversight | Is oversight conducted by a third party independent of the scheme owner and assurance providers? | If oversight is carried out by an oversight provider, the oversight provider and the assurance provider shall be separate legal entities.  |   | ISEAL As-<br>surance Code 5.4.2         | Yes<br>No           | 1<br>0                |





| ITC ID<br>SSCT<br>ID | Criteria<br>Name               | Criteria Question  | Requirements  | Guidance   | Reference   | Response<br>Options                              | Total<br>Score<br>106 |
|----------------------|--------------------------------|--|---|--|---|--|-----------------------|
| 700193<br>C.4.04     | Oversight<br>Intensity         | Does the scheme define the nature and intensity of oversight activities on assurance providers?                                      | The scheme owner defines this requirement in the contract/agreement between the scheme owner and the oversight provider, in a separate accreditation manual or for example in certification requirements/methodologies. | Intensity refers to e.g. the kinds of oversight activities to be carried out, how long an oversight assessment should be, how many interviews should occur, how many sites should be investigated, how many samples should be taken, how many issues shall be checked for each type of activity.<br><br>The scheme owners can devolve the responsibility of defining the details of the intensity to the oversight provider. | ISO 17011, 2017, 7.4.4-7.4.7, ISO 17067 6.5.1<br><br>ISEAL Assurance Code 5.4.1 | every 1-3 years;<br>every 4 years or more;<br>No | 2<br>1<br>0           |
| 700835<br>C.4.05     | Risk-based Oversight Intensity | Does the intensity of oversight activities take account of risk factors associated with the assurance providers and their personnel? | There shall be a documented process of how the scheme requires risk to be assessed and how it accordingly allocates identified assessment needs.  | Risk-based accreditation or oversight assessment make the whole accreditation/oversight process more efficient and less costly.<br><br>Taking account of risk can also help focus oversight on issues that need attention.   | ISEAL Assurance Code 6.2.2  | Yes<br>No  | 1<br>0                |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                                      | Criteria Question   | Requirements  | Guidance   | Reference  | Response<br>Options         | Total<br>Score<br>106 |
|----------------------|---|---|---|--|--|-----------------------------|-----------------------|
| 700184<br>C.4.06     | Assurance<br>Providers<br>Application<br>Restrictions | Does the scheme owner clearly define the application and selection process for assurance providers?   | <p>The application and selection process is sufficiently defined by the scheme owner in contracts/agreements, in referenced policies or certification requirements/methodologies to require that selection of assurance providers is only by reference to the scope (or issues relating to open financial payments or incomplete application submissions). The application process/forms of the oversight provider should be online and can be verified.</p> <p>Where the scheme owner limits participation of assurance providers in their scheme, are the reasons for this explained and justified.</p> | The scheme owner ensures that all assurance providers that meet the scheme requirements are free to apply to operate under the scheme, irrespective of their country of residence, size and of the existing number of providers already operating under the scheme.  | ISO 17011, 2017, 4.4.10; ISEAL Assurance Code 6.2.1. | Yes<br>No                   | 1<br>0                |
| 700182<br>C.4.07     | Proxy Accreditation/Over-sight                        | Does the scheme owner assess scheme-specific competence when accepting assurance providers that are accredited to other relevant standards (proxy accreditation)? | The scheme owner specifies this requirement in a contract/agreement between the scheme owner and an oversight provider, in a separate accreditation manual or for example in certification requirements/methodologies.  | <p>Proxy accreditation is a type of oversight employed by a scheme, whereby recognition of another scheme's oversight mechanism is deemed sufficient to demonstrate assurance.</p> <p>The response option "Yes" means that schemes only accept assurance providers that are accredited to similar or generic scopes only if they assess beforehand their scheme-specific competence, i.e. whether they have the competence required to do conformity assessment related to the scheme's standard(s).</p> | ISEAL Assurance Code 5.4.6                           | Yes<br>No<br>Not applicable | 1<br>0<br>-           |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name  | Criteria Question   | Requirements   | Guidance  | Reference   | Response<br>Options                    | Total<br>Score<br><b>106</b> |
|----------------------|---|---|--|---|---|--|------------------------------|
| 700186<br>C.4.08     | Oversight<br>Body<br>Com-<br>plaints and<br>Appeals<br>Mecha-<br>nism | Does the scheme have or require oversight providers to have documented and accessible complaints and appeals mechanisms?                                      | The complaints resolution mechanism procedures define: clear steps, time-lines and responsibilities to resolve the complaint in what form and to whom a complaint needs to be submitted to.  |   | ISEAL As-<br>surance Code<br>5.1.12   | Yes<br>No                              | 1<br>0                       |
| 700187<br>C.4.09     | Procedure<br>on Over-<br>sight<br>Remedia-<br>tion                    | Does the scheme owner define or request that oversight providers define how assurance providers have to address non-conformities raised through oversight?    | <p>The oversight provider has a guidance and timeline specifying how different gradations of non-conformity are to be addressed and remediated. The requirements or guidance also specify the conditions under which accreditation may be suspended or withdrawn, partially or in total, for all or part of the scope of accreditation.</p> <p>The scheme owner specifies this requirement in a contract/agreement between the scheme owner and oversight provider, in a separate accreditation manual or for example in certification requirements/methodologies.</p> |   | ISEAL Assur-<br>ance Code<br>5.4.4;<br>ISO 17011,<br>2017, 7.6.8<br>and 7.6.9 | Yes<br>No                              | 1<br>0                       |
| 709038<br>C.4.10     | Oversight<br>Reports<br>Availability                                  | Does the scheme owner require that summaries of oversight reports (with personal and commercially sensitive information removed) are made publicly available? | The scheme owner specifies this requirement in a contract/agreement between the scheme owner and an oversight provider, in a separate accreditation manual or for example in certification requirements/methodologies.   | For schemes where assessment reports are not publicly available online, request summary reports from oversight body to verify availability. | ISEAL As-<br>surance Code<br>6.3.1  | Yes, publicly<br>Yes, on request<br>No | 2<br>1<br>0                  |



| ITC ID<br>SSCT<br>ID   | Criteria<br>Name  | Criteria Question   | Requirements  | Guidance  | Reference  | Response<br>Options                                      | Total<br>Score<br>106 |
|--|---|---|---|---|--|--|-----------------------|
| 700189<br>C.4.11   | On-Site<br>Oversight<br>Assess-<br>ment                             | Does the scheme owner require that on-site assessments of assurance providers are included in the oversight cycle?                        | The scheme owner defines this requirement in the contract/agreement between the scheme owner and the oversight body, in a separate accreditation manual or for example in certification requirements/methodologies.   | This is referring to the onsite assessment of an assurance providers head and affiliate offices according to their scope. | ISO 17011, 2017, 7.6.2                                 | Yes<br>No  | 1<br>0                |
| 700191<br>C.4.12   | Oversight<br>Witness<br>Audit                                       | Does the scheme owner require that oversight includes reviews of assurance provider performance in the field?                             | The scheme owner specifies this requirement in a contract/agreement between the scheme owner and an oversight provider, in a separate accreditation manual or for example in certification requirements/methodologies.  | Only applicable if scheme requires audits (e.g. ISO Type I Labels).   | ISEAL Assurance Code 5.5.4                             | Yes<br>No<br>Not applicable                              | 1<br>0<br>-           |
| <b>D - Claims &amp; Traceability</b><br>Claims and labelling policy and chain of custody |   |   |   |   |  |  | <b>12</b>             |
| <b>D.1 - Traceability</b>  |   |   |   |   |  |  | <b>6</b>              |
| 700030<br>D.1.01   | Chain of<br>Custody<br>Standard /<br>Traceability Re-<br>quirements | Does the scheme owner have a documented Chain of Custody standard or other traceability requirements that apply to the full supply chain? | Either of the following:<br><br>- A CoC standard document which provides a description of its chain of custody approach and scope.<br>OR<br>- A description of other measures for ensuring that certain information on ingredients/products are passed through the supply chain e.g. data sheets of chemicals or certificates from used inputs. |   | UN Global Compact, BSR (2014). A Guide to Traceability | Yes, publicly<br>Yes, on request<br>No<br>Not applicable | 2<br>1<br>0<br>-      |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name            | Criteria Question   | Requirements   | Guidance   | Reference | Response<br>Options         | Total<br>Score<br><b>106</b> |
|----------------------|-----------------------------|---|--|--|-----------|-----------------------------|------------------------------|
| 700036<br>D.1.03     | Mixing of<br>Inputs         | Are there any CoC requirements for non-certified material, in case mixing of certified with uncertified inputs is allowed?  | A description of how it traces back the origin of uncertified material.  | If there is no evidence of a written statement, this shall be a 'No'.<br><br>'Not applicable' if:<br>- Statement saying that it does not allow the mixing of its certified with uncertified ingredients.<br>- It is a product label (ISO type I label, e.g. Blue Angel)                |           | Yes<br>No<br>Not applicable | 1<br>0<br>-                  |
| 700037<br>D.1.04     | Records<br>for Traceability | Does the scheme owner require assurance providers to verify that all enterprises within the chain maintain accurate and accessible records that allow any certified product or batch of products to be traceable from the point of sale to the buyer? | A statement in which it requires assurance providers to verify that all suppliers maintain documentation of purchases (incl. supplier's name and address, date of purchase, quantity and product type, certificate code), and sales (incl. buyer's name and address, date of sale, quantity and product type, certificate code). This could also be covered by a requirement in the chain of custody standard. | Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required).<br><br>This information can normally be found in the chain of custody standards. If available, mandatory template checklists could be used to verify the requirements.   |           | Yes<br>No<br>Not applicable | 1<br>0<br>-                  |
| 700044<br>D.1.05     | Record<br>Keeping           | Are companies required to keep CoC records for at least the term of certificate validity?   | A statement requiring suppliers to maintain documentation of CoC records (documentation of purchases incl. supplier's name and address, date of purchase, quantity and product type, certificate code), and sales (incl. buyer's name and address, date of sale, quantity and product type, certificate code) for at least the time of certification validity.   | Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required).<br><br>In order to be available for possible checks and assurance activities, the required documentation should be available for at least the duration of certification. |           | Yes<br>No<br>Not applicable | 1<br>0<br>-                  |



| ITC ID<br>SSCT<br>ID                | Criteria<br>Name           | Criteria Question  | Requirements  | Guidance   | Reference  | Response<br>Options         | Total<br>Score<br>106 |
|-------------------------------------|----------------------------|--|---|--|--|-----------------------------|-----------------------|
| 700045<br>D.1.06                    | Traceability System        | Does the scheme have a traceability system that enables checking of product flow between links of the supply chain?  | A description of the system it uses to collect and analyse data from suppliers in order to trace back different certified inputs across different supply chain entities.  | Only applicable if claims are made regarding the origin of certain ingredients or products.  |  | Yes<br>No<br>Not applicable | 1<br>0<br>-           |
| <b>D.2 - Claims &amp; Labelling</b> |                            |  |   |  |  |                             | <b>6</b>              |
| 700077<br>AND<br>700080<br>D.2.01   | Claims and Labeling Policy | Does the scheme owner have documented requirements for the use of its symbols, logos and/or claims related to its scheme and make them publicly available? | A document that describes the rules for applying for and using claims and logos.<br>A clear indication to what the claim/label applies, e.g. the complete product, a product component, packaging, service, for promotional use, etc. | Labelling requirements ensure that any authorised claims or logos are accurate, truthful, can be substantiated and are correctly displayed on the product, packaging, etc. | ISO/IEC 17021-1, 8.4.1<br>ISEAL Claims Guide 2.5.1, 2.1.3<br>ISO/TS 17033 5.1.5<br>ISO/IEC 17030 4.2 | Yes<br>No                   | 1<br>0                |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name      | Criteria Question   | Requirements   | Guidance   | Reference                   | Response<br>Options         | Total<br>Score<br>106 |
|----------------------|-----------------------|---|--|--|-----------------------------|-----------------------------|-----------------------|
| 700064<br>D.2.03     | Relevant<br>Claims    | Do claims requirements specify the types of claims that can be made for different types of CoC models, where the scheme owner allows for more than one model? | <p>An overview of differences in claims, depending on the types of CoC used. These claims shall accurately reflect the type of CoC. For example:</p> <ul style="list-style-type: none"> <li>- Claims on origin can only be made under Identity preserved</li> <li>- Claims on 100% certified material require Segregation.</li> <li>- When Mass Balance or Controlled Blending is used, claims need to show that mixing is allowed.</li> <li>- When Certificate Trading (Book &amp; Claim) is allowed, "supports sustainable production" (or similar) is an adequate claim.</li> </ul> | <p>"Not applicable" if:</p> <ul style="list-style-type: none"> <li>- Product label</li> <li>- Only use of one CoC model</li> </ul> | ISEAL Claims Guide 1.1.6    | Yes<br>No<br>Not applicable | 1<br>0<br>-           |
| 700065<br>D.2.04     | Tracking<br>Mechanism | Are claims and label users required to use unique license numbers or other tracking mechanisms?   | A visible mechanism to be used by label and claims users which provides the ability to trace back the product to its origins. Schemes may distinguish between COC-numbers to be applied on claims and logo license numbers to be applied when labels are used.   | Not applicable if no claims are made regarding the origin of certain ingredients or products (CoC is required).                    | ISEAL Claims Guide 3.3, 3.4 | Yes<br>No<br>Not applicable | 1<br>0<br>-           |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                               | Criteria Question   | Requirements  | Guidance  | Reference  | Response<br>Options         | Total<br>Score<br>106 |
|----------------------|--|---|---|---|--|-----------------------------|-----------------------|
| 700066<br>D.2.05     | Accurate<br>Use of<br>Claims                   | Does the scheme owner require surveillance of the accurate use of claims and labels in the market, including a complaints mechanism to report misuse? | Either of the following:<br><br>- Clearly defined activities pursued to make sure labels and claims are used accurately.<br>OR<br>- A complaints mechanism that allows stakeholders to report the false use of labels and claims. | The surveillance can also be conducted by assurance or oversight providers. | ISO 17065 7.9.3-4, ISO 17021 8.3.5, ISO 17067 6.5.12, ISEAL Assurance Code 5.1.13. | Yes<br>No                   | 1<br>0                |
| 700063<br>D.2.09     | Graphic<br>Label Ex-<br>planatory<br>Statement | Is the label accompanied by an explanatory text claim or a link to further information?   | Either of the following:<br><br>- A short text next to the logo explaining some detail about the label.<br>- A QR code, link or any other form of additional information which helps to understand the label.                     | Not applicable if no graphic labels are used.                               | ISEAL Claims Guidance 2.2.3  | Yes<br>No<br>Not applicable | 1<br>0<br>-           |
| 700068<br>D.2.10     | Conse-<br>quences of<br>Misuse of<br>Claims    | Does the scheme have a procedure that defines specific consequences of misuse of claims and do they also require this of their assurance providers?   | Statement/policy that defines what happens if misuse is discovered. Requirement in assurance manual or in agreements between scheme and assurance providers.  | This question also relates to fraudulent claim use.                         |  | Yes<br>No                   | 1<br>0                |





## II. ENVIRONMENTAL FRIENDLINESS

| ITC ID<br>SSCT<br>ID  | Criteria<br>Name                       | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree of<br>Intensity (DoI)                              | Total<br>Score<br>25 |
|-----------------------|--|---|---|-------------------------|---|----------------------|
| Chemicals             |  |   |   |                         |   | 3                    |
| Chemical Use          |  |   |   |                         |   | 2                    |
| 2098<br>E24           | Chemical Use                           | Does the standard include cri-<br>teria on chemical use?  | General criteria on chemical use can refer to re-<br>quirements to inventory chemicals and maintain rec-<br>ords of utilization of chemicals (response option<br>'Document use') or to requirements to establish con-<br>crete reduction targets (e.g. prohibition or need-<br>based application of pesticides) (response option<br>'Increase efficiency/reduce chemical use'). | Within 5 years          | Basic: Document use of all<br>chemicals                   | 1                    |
|                       |  |   | To achieve compliance with this criterion the stand-<br>ard must require the documented use of all chemi-<br>cals (basic) or an efficiency increase/reduction of<br>chemical use (advanced).  |                         | Advanced: Increase effi-<br>ciency/reduce chemical<br>use | 2                    |
| Handling of Chemicals |  |   |   |                         |   | 1                    |
| 2009<br>E161          | Proper Hand-<br>ling of Chemi-<br>cals | Does the standard include cri-<br>teria on proper handling of<br>chemicals by qualified per-<br>sonnel? | Proper handling includes storage (e.g. locked store-<br>rooms) and labelling of chemicals as well as treat-<br>ment of hazardous chemicals and explosives. Pro-<br>per handling must be ensured by qualified person-<br>nel.  | Immediate               |   | 1                    |



| ITC ID<br>SSCT<br>ID                    | Criteria<br>Name                       | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree of<br>Intensity (Dol)  | Total<br>Score<br>25 |
|---|--|---|--|-------------------------|---|----------------------|
| <b>Biodiversity &amp; Ecosystems</b>    |  |   |  |                         |   | <b>5</b>             |
| <b>Ecosystem Values &amp; Functions</b> |  |   |  |                         |   | <b>5</b>             |
| 30022<br>E64                            | Protected<br>Areas                     | Does the standard have re-<br>quirements to respect legally<br>protected and internationally<br>recognized areas?       | A protected area is a clearly defined geographical<br>space, recognised, dedicated and managed,<br>through legal or other effective means, to achieve<br>the long-term conservation of nature with associated<br>ecosystem services and cultural values.   | Within 5 years          |   | 1                    |
| 4090<br>E65                             | High Conser-<br>vation Values<br>(HCV) | Does the scheme include cri-<br>teria for the monitoring and<br>protection of High Conserva-<br>tion Value Areas?       | Refers to procedures in place to address land-use<br>planning and identification of conservation priorities:<br>areas that are designated on the basis of High Con-<br>servation Values (HCVs) which are biological, eco-<br>logical, social or cultural values considered out-<br>standingly significant at the national, regional or<br>global level.<br>Provide evidence (criterion number and URL) that<br>the scheme includes criteria for the monitoring and<br>protection of High Conservation Value Areas. | Within 5 years          |   | 1                    |
| 2124<br>E165                            | Land Rehabili-<br>tation               | Does the standard include cri-<br>teria on rehabilitation of ex-<br>pended areas to reactivate<br>them as an ecosystem? | Areas must be rehabilitated in a manner, that they<br>do not represent a danger for the environment and<br>can proceed their function as an ecosystem.<br><br>To achieve compliance with this criterion the stand-<br>ard needs to require for a rehabilitation plan (basic)<br>or plan for and have an obliged reserve fund for re-<br>habilitation (advanced).   | Immediate               | <b>Basic:</b> Requirement for re-<br>habilitation plan<br><br><b>Advanced:</b> Plan and<br>obliged reserve fund for<br>rehabilitation | 1<br><br>2           |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name   | Criteria Question  | Guidance   | Degree of<br>Obligation | Degree of<br>Intensity (DoI)   | Total<br>Score<br>25 |
|----------------------|--|--|--|-------------------------|--|----------------------|
| 300457<br>E166       | Biodiversity<br>Management<br>Plan                             | Does the standard require a biodiversity management plan to continuously manage impacts during the extraction phase? | The biodiversity management plan shall refer to the mitigation hierarchy (begin with avoiding unacceptable impacts, minimizing the impacts that do occur, restoring areas that are impacted, and offsetting the residual net loss of biodiversity (and implementing additional voluntary projects in some cases). The written plan must include the aspect of land restoration/ rehabilitation (see criterion "land rehabilitation"), but it clearly needs to go beyond this aspect.   | Within 5 years          |  | 1                    |
| <b>Water</b>         |  |  |  |                         |  | <b>5</b>             |
| <b>Water Use</b>     |  |  |  |                         |  | <b>3</b>             |
| 2037<br>E01          | Reduction of<br>Water Con-<br>sumption (pro-<br>duction phase) | Does the standard include criteria on water consumption in the production phase?                                     | Refers to all water being used for production, e.g. water being abstracted from any source. To achieve compliance with this criterion the standard needs to require monitoring volumes of water consumption over time (basic) or monitoring water volumes and increase efficiency (advanced).<br>If the standard reverts to an environmental management instrument, its content has to be checked and the corresponding DoI has to be selected. If the standard requires a water management plan to increase water efficiency, the advanced DoI is selected.<br><br>In the natural stone sector, the standard needs to address this criterion at least for the stone processing. | Immediate               | <b>Basic:</b> Monitor volumes of water consumption over time<br><br><b>Advanced:</b> Monitor water volumes & increase efficiency | 1<br><br>2           |



| ITC ID<br>SSCT<br>ID              | Criteria<br>Name                                       | Criteria Question  | Guidance  | Degree of<br>Obligation | Degree of<br>Intensity (Dol) | Total<br>Score<br>25 |
|-----------------------------------|--|--|---|-------------------------|------------------------------|----------------------|
| 2032<br>E02                       | Reuse/ Recy-<br>cling or har-<br>vesting of wa-<br>ter | Does the standard include cri-<br>teria on reusing/recycling or<br>harvesting water?                         | Refers to water that is used multiple times (either<br>treated or non-treated, by the same user or by differ-<br>ent users) or water that is stored through practices<br>such as rainwater harvesting and later used, e.g. for<br>irrigation agriculture.<br><br>In the natural stone sector, the standard needs to<br>address this criterion at least for the stone pro-<br>cessing.   | Within 5 years          |                              | 1                    |
| <b>Impacts on Water Resources</b> |  |  |   |                         |                              | <b>2</b>             |
| 700414<br>E04                     | Impacts on<br>Water Levels                             | Does the standard include cri-<br>teria on impacts on the water<br>levels of surface and/or<br>ground water? | Refers to impacts on water levels of water resources<br>(e.g. from the source water is abstracted from) af-<br>fected by e.g. pumping of ground water and whether<br>this is explicitly addressed in the standard.<br><br>In the natural stone sector, the standard needs to<br>address this criterion at least for the stone pro-<br>cessing. To achieve this criterion the standard<br>needs to require the monitoring of water levels of<br>surface and/or ground water over time. | Within 5 years          |                              | 1                    |



| ITC ID<br>SSCT<br>ID            | Criteria<br>Name   | Criteria Question  | Guidance   | Degree of<br>Obligation | Degree of<br>Intensity (DoI) | Total<br>Score<br>25 |
|---------------------------------|--|--|--|-------------------------|------------------------------|----------------------|
| 700415<br>E05                   | Impacts on<br>Water Quality  | Does the standard include criteria on the quality of surface and/or ground water?  | <p>Refers to impacts on the water quality of water resources affected by different activities and whether this is explicitly addressed in a standard. E.g. usage of fertilizer and pesticides in agriculture and forestry, or rinsing water and chemicals used for surface treatment in the natural stone sector.</p> <p>In the natural stone sector, the standard needs to address this criterion at least for the stone processing. To achieve this criterion the standard needs to require the monitoring of water levels of surface and/or ground water over time.</p>   | Within 5 years          |                              | 1                    |
| <b>Environmental Management</b> |  |  |  |                         |                              | <b>3</b>             |
| 34020<br>E97                    | Compliance<br>with Environ-<br>Mental Laws<br>and Regula-<br>tions | Does the standard include a general criterion on compliance with all relevant local, regional and national environmental laws and regulations? | <p>Refers to a standard's requirement of a process by which an organisation ensures that it observes and complies with the external statutory laws and regulations on environmental protection. In forestry management, it refers to timber harvesting, including environmental and forest legislation including forest management and biodiversity conservation, where directly related to timber harvesting.</p> <p>To achieve compliance with this criterion, the standard must require the organisation to ensure compliance with all relevant laws and regulations.</p> | Immediate               |                              | 1                    |



| ITC ID<br>SSCT<br>ID         | Criteria<br>Name                        | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree of<br>Intensity (Dol) | Total<br>Score<br>25 |
|------------------------------|---|---|---|-------------------------|------------------------------|----------------------|
| 700416<br>AND<br>4078<br>E98 | Permits                                 | Does the standard include criteria to ensure that relevant and up-to-date permits are held (such as water use rights or land use titles)?   | This may be covered by a general requirement on legal compliance, or may be covered in detail through a requirement on permits and licenses.  | Immediate               |                              | 1                    |
| 30106<br>E99                 | Environmental<br>Impact Assess-<br>ment | Does the standard include criteria on assessing the environmental risks and impacts of production/operations prior to any significant intensification or expansion of business operations/cultivation and infrastructure? | This may include but is not limited to environmental impact assessments (EIAs), risk assessments, requirements for community consultation or requirements for High Conservation Value (HCV) identification, with the aim to identify all potential environmental impacts. A standard may prescribe detailed steps for an environmental impact assessment according to national law. | Within 5 years          |                              | 1                    |



| ITC ID<br>SSCT<br>ID      | Criteria<br>Name  | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree of<br>Intensity (DoI)  | Total<br>Score<br>25 |
|---------------------------|---|---|--|-------------------------|---|----------------------|
| Energy & Climate          |   |   |  |                         |   | 2                    |
| Climate Change Mitigation |   |   |  |                         |   | 2                    |
| 2091<br>E18               | Reducing En-<br>ergy Consump-<br>tion (Produc-<br>tion Phase) | Does the standard include cri-<br>teria on energy consumption<br>in the production phase? | <p>Refers to all energy being consumed during the pro-<br/>duction processes. If the standard reverts to an en-<br/>vironmental management instrument, its content has<br/>to be checked and the corresponding DoI has to be<br/>selected.</p> <p>The standard needs to require a monitoring of the<br/>energy consumption over time in production phase<br/>(basic), also in order to fulfill the advanced DoI "In-<br/>crease efficiency OR increase use of renewables".</p> <p>In the natural stone sector, the standard needs to<br/>address this criterion for the stone processing as<br/>well as for the process of quarrying of stones, as<br/>both activities need a high amount of energy.</p> | Immediate               | Basic: Monitor energy con-<br>sumption over time                    | 1                    |
|                           |   |   |  |                         | Advanced: Increase effi-<br>ciency OR increase use of<br>renewables | 2                    |



| ITC ID<br>SSCT<br>ID  | Criteria<br>Name                              | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree of<br>Intensity (Dol) | Total<br>Score<br>25 |
|-----------------------|---|---|---|-------------------------|------------------------------|----------------------|
| Waste & Air Pollution |   |   |   |                         |                              | 7                    |
| Waste Management      |   |   |   |                         |                              | 3                    |
| 700383<br>E162        | Waste Reduc-<br>tion                          | Does the standard include cri-<br>teria on measures to reduce<br>waste?                 | Refers to measures to reduce the amounts of all<br>types of waste that are produced.  | Within 5 years          |                              | 1                    |
| 2042<br>E51           | Waste Reuse<br>or Recycling                   | Does the standard include cri-<br>teria on re-using or recycling<br>waste on-site?      | Refers to requirements to re-use or recycle waste<br>on-site (excl. wastewater), e.g. use of organic mate-<br>rial as fertilizer or renewable energy.   | Within 5 years          |                              | 1                    |
| 2052<br>E53           | Waste Ma-<br>nagement (pro-<br>duction phase) | Does the standard include cri-<br>teria on waste management<br>in the production phase? | Refers to recording waste streams and to waste<br>management procedures including collection and<br>suitable disposal of waste streams (excl.<br>wastewater).<br>At least one of the production phases has to be cov-<br>ered by the standard. The standard has to include<br>specific criteria on this aspect. General criteria on<br>environmental management systems are not suffi-<br>cient.<br><br>The standard might refer to existing reporting tools<br>like GRI (Global Reporting Initiative; e.g. indicator<br>EN23: Total weight of waste by type and disposal<br>method). | Immediate               |                              | 1                    |





| ITC ID<br>SSCT<br>ID                  | Criteria<br>Name               | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree of<br>Intensity (Dol)                         | Total<br>Score<br>25 |
|---------------------------------------|--------------------------------|---|---|-------------------------|--|----------------------|
| Air pollution (excl. GHG) & Immission |                                |   |   |                         |  | 4                    |
| E60                                   | Air Pollution                  | Does the standard include criteria on air pollution?                            | <p>Refers to requirements on emissions of air pollutants (excl. greenhouse gases). Key pollutants can include World Health Organization (WHO) Pollutants (Nitrous Oxides (NOX), Particulate Matter (PM, PM10 and PM2.5), Ozone (O3 ), Sulphur Oxides (SOX)) and Globally Regulated Air Pollutants (Volatile Organic Compounds (VOC) + Total Organic Carbon (TOC), Hazardous Air Pollutants + Toxic Air Pollutants (HAP + TAP), Carbon Monoxide (CO), Ammonia (NH3)) (see for reference ZDHC Air Emissions Position Paper).</p> <p>To achieve compliance with this criterion, the standard must include requirements to monitor emissions over time (basic), or requirements to reduce emissions (advanced) for the natural stone sector through filtering systems or processing technology.</p> | Immediate               | Basic: Monitor emissions over time                   | 1                    |
|                                       |                                |   |   |                         | Advanced: Filtering systems or processing technology | 2                    |
| E164                                  | Noise Emission (natural stone) | Does the standard include criteria on noise emissions from the production site? | <p>The impact of noise emissions on the environment can be reduced e.g. by setting limits to rock blasting times, low-noise machinery and processing procedures.</p> <p>To achieve compliance with this criterion, the standard must require monitoring of noise levels over time (basic), or reduction of noise emissions (advanced).</p>  | Immediate               | Basic: Monitor noise levels over time                | 1                    |
|                                       |                                |   |   |                         | Advanced: Reduce noise                               | 2                    |



### III. SOCIAL RESPONSIBILITY

| ITC ID<br>SSCT<br>ID                              | Criteria<br>Name        | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (DoI)  | Total<br>Score<br>55 |
|---|-------------------------|---|---|-------------------------|---|----------------------|
| Social & Cultural Rights and Community Engagement |                         |   |   |                         |   | 3                    |
| Community Rights                                  |                         |   |   |                         |   | 3                    |
| 30049<br>HR12                                     | Community<br>Grievance  | Does the standard include criteria on dispute resolution mechanisms for affected communities?   | Non-judicial system for reporting, assessing and addressing complaints and claims by affected parties in the region where the economic activity is taking place. The criterion explicitly asks for mechanisms that can be used by the local communities, not by workers (see separate criterion on workers grievance mechanisms). | Within 5 years          | Basic: The standard has to require a grievance mechanism for affected communities   | 1                    |
|   |                         |   |   |                         | Advanced: The standard provides fair compensation for negative impacts of operations on local communities and individuals | 2                    |
| 10092H<br>R13                                     | Socio-cultural<br>Sites | Does the standard include criteria on the protection of local historical, archaeological, cultural, and spiritual properties and sites? | "sites" in this context mean sites that are publicly (legally) protected as well as sites of customary use/ belief on private property. To achieve compliance with this criterion, the standard has to require the protection of socio-cultural sites.  | Within 5 years          |   | 1                    |



| ITC ID<br>SSCT<br>ID                 | Criteria<br>Name         | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|--------------------------------------|--------------------------|---|---|-------------------------|------------------------------|----------------------|
| Labour Rights and Working Conditions |                          |   |   |                         |                              | 45                   |
| ILO Core Conventions                 |                          |   |   |                         |                              | 9                    |
| 1989<br>LR04                         | Minimum Age /<br>ILO 138 | Does the standard include criteria on the prohibition of child labour as defined under ILO 138? | <p>Only standards which contain the requirements for minimum age laid down in ILO Convention 138 will be recognised: The general minimum age for admission to employment or work is set at 15 years (13 for light work) and the minimum age for hazardous work at 18 years (16 under certain strict conditions).</p> <p>Articles four to eight of the ILO-Convention govern exceptions.<br/>In cases where ILO norm and national law differ, the stricter rule shall apply.</p> | Within 5 years          |                              | 1                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name  | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|----------------------|---|---|--|-------------------------|------------------------------|----------------------|
| 1979<br>LR05         | Prohibition of<br>the worst forms<br>of child labour /<br>ILO 182 | Does the standard cover re-<br>quirements on the prohibition of<br>the worst forms of child labour<br>as defined under ILO 182? | Worst forms of child labour comprises:<br>(a) all forms of slavery or practices similar to slavery,<br>such as the sale and trafficking of children, debt bond-<br>age and serfdom and forced or compulsory labour, in-<br>cluding forced or compulsory recruitment of children for<br>use in armed conflict;<br>(b) the use, procuring or offering of a child for prostitu-<br>tion, for the production of pornography or for porno-<br>graphic performances;<br>(c) the use, procuring or offering of a child for illicit ac-<br>tivities, in particular for the production and trafficking of<br>drugs as defined in the relevant international treaties;<br>(d) work which, by its nature or the circumstances in<br>which it is carried out, is likely to harm the health,<br>safety or morals of children. | Within 5<br>years       |                              | 1                    |
| 1993<br>LR16         | Freedom of<br>Association   | Does the standard include cri-<br>teria on freedom of association<br>and the right to organize as de-<br>scribed in ILO 87?     | According to ILO Convention 87, workers and employ-<br>ers, without distinction whatsoever, shall have the right<br>to establish and, subject only to the rules of the organi-<br>sation concerned, to join organisations of their own<br>choosing without previous authorisation (art 2).<br><br>To achieve compliance with this criterion, standards<br>must include criteria on freedom of association and the<br>right to organize as described in ILO 87.   | Within 5<br>years       |                              | 1                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|----------------------|---------------------------------|---|--|-------------------------|------------------------------|----------------------|
| 1996<br>LR17         | Collective<br>Bargaining        | Does the standard include criteria on the right to collective bargaining, as laid down by ILO 98? | <p>This criterion refers to the right for the group to take collective action to pursue the interests of the group without fear of discrimination or retaliation. To achieve compliance with this criterion, standards must include criteria on collective bargaining as described in ILO 98.</p> <p>Especially where restricted by law standards must promote or facilitate parallel other means of collective negotiations.</p>  | Within 5<br>years       |                              | 1                    |
| 1986<br>LR13         | Prohibition of<br>Forced Labour | Does the standard prohibit forced and compulsory labour as defined in ILO 29 and ILO 105?         | <p>This includes any types of forced and compulsory labour, as defined in ILO 29 and ILO 105, including bonded labour and slavery. Two elements characterise forced or compulsory labour:</p> <ul style="list-style-type: none"> <li>- Threat of penalty, and</li> <li>- Work or service undertaken involuntarily</li> </ul> <p>Indications can also include the non-appearance of the auditee on relevant national/regional/local indices e.g. the “dirty list” (lista suja) in Brazil.</p> | Within 5<br>years       |                              | 1                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name  | Criteria Question  | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI)   | Total<br>Score<br>55 |
|----------------------|---|--|--|-------------------------|--------------------------------|----------------------|
| 800728<br>LR41       | Core Labour<br>Standards<br>along the Sup-<br>ply Chain | Does the standard require compliance with (at least) all ILO core labour standards for different suppliers along the supply chain? | <p>The criterion refers to the main suppliers along the supply chain.</p> <p>The ILO core conventions are: ILO 87 on Freedom of Association; ILO 98 on Collective Bargaining; ILO 29 on Forced labour; ILO 105 on Forced Labour Abolition; ILO 138 on Minimum Age; ILO 182 on Worst forms child labour; ILO 100 on Equal Remuneration; ILO 111 on Non-Discrimination. All of these Rights must be granted in order to receive a "yes". There must either be explicit reference to the conventions or requirements must be equivalent to the requirements contained therein. If the standard goes beyond the ILO conventions, the answer will of course still be "yes". If the standard ensures that all of the production is taking place within EU, this can be answered with a "yes".</p> <p>To achieve compliance with this criterion, the standard must require the compliance with all ILO core labour standards for main tier 1 suppliers (basic) or all tier 1 suppliers (advanced).</p> <p>In the IT sector, the "tier 1 suppliers" refers to the final assembly plants of the certified products. The main tier 1 suppliers could be defined by level of turn over.</p> | Within 5 years          | Basic: Main tier 1 suppliers   | 1                    |
|                      |   |  |  |                         | Advanced: All tier 1 suppliers | 2                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                     | Criteria Question  | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|----------------------|--------------------------------------|--|--|-------------------------|------------------------------|----------------------|
| 1987<br>HR19         | Non-Discrimi-<br>nation              | Does the standard include cri-<br>teria on the non-discrimination<br>in the workplace, as defined in<br>ILO 111? | <p>To achieve compliance with this criterion, the standard must include criteria on the prohibition of discrimination.</p> <p>As described in ILO 111 and ILO 100, this refers to any discrimination on the basis of race, colour, sex, religion, political opinion, national extraction or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation (incl. access to vocational training, access to employ-ment and to particular occupations, equal opportunities in recruitment process, equal access to promotions within the company, equal remuneration).</p> | Within 5<br>years       |                              | 1                    |
| 1994<br>HR21         | Equal Remu-<br>neration / ILO<br>100 | Does the standard address the<br>payment of equal wages as de-<br>fined in ILO 100?                              | Equal remuneration for men and women workers for work of equal value refers to rates of remuneration es-tablished without discrimination based on sex (ILO 100 Art 1)  | Within 5<br>years       |                              | 1                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                               | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|----------------------|--|---|--|-------------------------|------------------------------|----------------------|
| Labour Rights        |  |   |  |                         |                              | 20                   |
| Voluntary Labour     |  |   |  |                         |                              | 2                    |
| 10140<br>LR15        | Prohibition of<br>the Withholding<br>of Papers | Does the standard prohibit the<br>withholding of workers' docu-<br>ments?                   | Refers to the non-existence of measures for punitive<br>purposes or forced labour such as withholding of<br>worker documents (ID, passports, etc.).  | Within 5<br>years       |                              | 1                    |
| 740204<br>LR37       | Freedom of<br>Movement                         | Does the standard include cri-<br>teria on the freedom of move-<br>ment of employees?       | Employees must have the right to leave the premises of<br>their employer after the end of their regular workday.<br><br>To achieve compliance with this criterion, the standard<br>must prohibit restrictions on freedom of movement.  | Within 5<br>years       |                              | 1                    |
| Child Labour         |  |   |  |                         |                              | 1                    |
| 700407<br>LR07       | Age Verifica-<br>tion                          | Does the standard require veri-<br>fication and documentation of<br>age of (young) workers? | Refers to any system of identification to verify the age<br>of employees prior to them starting work, and to keep<br>records of said verifications. The extent of documented<br>information may differ from one organisation to another<br>due to the size, activities, process, complexity of pro-<br>cesses etc. | Within 5<br>years       |                              | 1                    |





| ITC ID<br>SSCT<br>ID | Criteria<br>Name   | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI)  | Total<br>Score<br>55 |
|----------------------|--------------------|---|--|-------------------------|---|----------------------|
| Gender               |                    |   |  |                         |   | 2                    |
| 10146<br>HR23        | Maternity<br>Leave | Does the standard include criteria on the right to maternity leave (as defined in ILO 183)? | <p>The criterion refers to compliance with the respective national law or relevant sections of ILO 183 (in cases where national law goes beyond ILO 183, national law shall apply / in cases of non-existence of national law, relevant sections of ILO 183 shall apply)</p> <p>To achieve compliance with this criterion, the standard must adhere to national law in regards to maternity leave, health protection, employment protection, non-discrimination and benefits and must define respective verification methods. Particularly the following must be covered:</p> <ul style="list-style-type: none"> <li>-Maternity leave of at least minimum as stated by national law.</li> <li>-women are not obliged to perform work of significant risk to the health of the mother or the child.</li> </ul> <p>If the standard requires the aspects mentioned above specifically or refers to ILO 183 in general (whereas it goes beyond national legislation), this criterion is fulfilled.</p> | Within 5 years          | <p><b>Basic:</b> Partial compliance</p> <p><b>Advanced:</b> Full compliance</p> | 1                    |
|                      |                    |   |  |                         |   | 2                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name   | Criteria Question  | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (Dol) | Total<br>Score<br>55 |
|----------------------|--------------------|--|---|-------------------------|------------------------------|----------------------|
| Wages and Benefits   |                    |  |   |                         |                              | 8                    |
| 1991<br>LR08         | Living Wage        | Does the standard require paying wages sufficient to meet basic needs of the worker and his or her family (living wage)? | <p>Living wage is defined by the wage that can meet the basic needs to maintain a safe, decent standard of living within the community. Basic needs include housing, nutrition, transport, health care and savings. Currently, there is no internationally accepted way of calculating or defining a living wage. This criterion therefore rather looks at a standards intention to pay wages that are enough to pay for a decent standard of living and recognizes those standards that use and thereby actively promote the living wage concept. Explicit reference needed.</p> <p>It needs to be ensured that a living wage is not only granted on paper but that it is effectively paid. This means that i.e. no fees are levied that have the purpose to reduce the actual payment and are used as an indirect way to transfer money back to the employer (German: "Lohnsicherung").</p> | Within 5 years          |                              | 1                    |
| 1988<br>LR09         | Legal Minimum Wage | Does the standard require paying legal minimum wages?  | <p>To achieve compliance with this criterion, the standard must require that wages must meet at least legal or industry standard (if higher) and should be paid in a timely manner. By no means, the employer can deduct salary from workers, e.g.:</p> <ul style="list-style-type: none"> <li>- Fees are levied to reduce the actual payment</li> <li>- Fees are used as an indirect way to transfer money back to the employer (German: "Lohnsicherung")</li> </ul> <p>Controls for payment of minimum wage should include price rate calculation, additional benefits etc.</p>   | Within 5 years          |                              | 1                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI)  | Total<br>Score<br>55 |
|----------------------|---------------------------------|---|--|-------------------------|---|----------------------|
| 1983<br>LR22         | Provision of<br>Social Benefits | Does the standard require the provision of social benefits? | Refers to workers being entitled to social benefits including insurance payments to employees covering for instance: unemployment, pension, medical and job related accident insurance.<br>References to ILO Convention 102 and 121 can also be counted for this criterion.  | Within 5<br>years       |   | 1                    |
| 30068<br>LR10        | Paid Overtime                   | Does the standard require compensating overtime?            | If a standard does have requirements on paid overtime, it also needs to specify how it defines regular working hours. Overtime should be paid at least according to national law or sector agreements (basic) or with a rate of at least 125% of the regular income (advanced).  | Within 5<br>years       | Basic: Yes<br><br>Advanced: Yes and overtime is paid at a rate of at least 125% of the regular income | 1<br><br>2           |
| 1922<br>LR11         | Paid Leave                      | Does the standard require paid leave?                       | This includes casual, sick and annual leave as provided by national law (see Degree of Intensity). The number of days of leave should be at least compliant with national legislation, but no less than three weeks (as specified in ILO 132). Paid annual leave shall not be exchanged for financial compensation.<br><br>To achieve compliance the standard must require two out of three types of leave (casual/sick/annual leave). | Within 5<br>years       |   | 1                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name     | Criteria Question  | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI)   | Total<br>Score<br>55 |
|----------------------|----------------------|--|--|-------------------------|--|----------------------|
| 1981<br>LR12         | Form of Pay-<br>ment | Does the standard require wages being paid in a timely, regular and convenient manner understood by all employees? | Requirements include regularly scheduled payments known and agreed to by the employee and in a form agreed to with the employee. The standard should require documentation.<br><br>To achieve compliance with this criterion, the standard must include requirements on some of the above (basic) or on all of the above (advanced).   | Within 5 years          | <b>Basic:</b> Yes, some measures are in place<br><br><b>Advanced:</b> Yes, all measures are in place   | 1<br><br>2           |
| Working Hours        |                      |  |  |                         |  | 2                    |
| 1990<br>LR19         | Working Hours        | Does the standard include criteria on working hours, rest days or overtime?  | To achieve compliance with this criterion, the standard needs to comply with the specifications in ILO 1.<br><br>The ILO specifications on working hours differ from sector to sector. For industrial work, the specifications of ILO Convention 1 should be used as Guidance. These include: 1) normal maximum working hours excluding overtime < 48h/ week; 2) one day off every 6 days; 3) overtime is voluntary and paid/ compensated with a rate of at least 125% of the regular wage. All of these provisions should be met by the standard. | Within 5 years          | <b>Basic:</b> Requirements on working hours, rest days or overtime / voluntary extra work at least according to national law or industry specific minimum standards<br><br><b>Advanced:</b> Standard requirements comply with ILO 1 requirements | 1<br><br>2           |



| ITC ID<br>SSCT<br>ID   | Criteria<br>Name                      | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|------------------------|---------------------------------------|---|---|-------------------------|------------------------------|----------------------|
| Other Labour Rights    |                                       |   |   |                         |                              | 2                    |
| 800077<br>LR44         | Information<br>about Labour<br>Rights | Does the standard include re-<br>quirements to inform workers<br>about their labour rights?   | Any mechanism that raises awareness and builds ca-<br>pacity among workers to claim their labour rights.  | Within 5<br>years       |                              | 1                    |
| 800078<br>LR38         | Labour Rights<br>Management           | Does the standard include re-<br>quirements on setting up poli-<br>cies or procedures to manage<br>basic labour rights in the work-<br>place? | This refers to having a system in place to identify risks<br>and assess compliance with relevant regulations and<br>requirements regarding basic labour rights, and imple-<br>ment corrective actions where needed.   | Within 5<br>years       |                              | 1                    |
| Scope of Labour Rights |                                       |   |   |                         |                              | 3                    |
| 1982<br>LR01           | Scope of Work-<br>ers Rights          | Do worker's rights and benefits<br>set out by the standard apply to<br>all forms of work?   | Do all the benefits apply to all kind of workers including<br>atypical forms of work like part-time, seasonal, migrant,<br>temporary, piece-rate, home work, etc. or only to some<br>of these? (please note that not all forms of atypical em-<br>ployment mentioned above are relevant for all sectors).<br><br>The question aims to assess whether a standard<br>makes sure that production facilities do not make use<br>of methods such as labour-only contracting, home<br>working, false apprenticeship schemes where there is<br>no real intent to impart skills or repeated fixed term<br>contracts in order to avoid their obligations to workers.<br>Not applicable for family members of a family-run busi-<br>ness. | Within 5<br>years       |                              | 1                    |



| ITC ID<br>SSCT<br>ID          | Criteria<br>Name               | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|-------------------------------|--------------------------------|---|---|-------------------------|------------------------------|----------------------|
| 30072<br>LR02                 | Rights for Sub-<br>contractors | Do the standard's rights and benefits for workers also apply to sub-contracted labour?                                  | <p>Subcontracting refers to outsourced or sub-contracted labour from employment agencies as opposed to a formal employee relationship with formal rights and protections. These sub-contracted workers need to be granted the same rights as formal employees and producers shall not use sub-contracted labour to avoid their obligations. Though placed under the topic Labour Rights, this includes benefits and rights of other sections (e.g. health and safety), too.</p> <p>To achieve compliance with this criterion, the standard must include criteria on sub-contracting (e.g. through due diligence process).</p> | Within 5<br>years       |                              | 1                    |
| 1978<br>AND<br>900017<br>LR20 | Labour<br>Contracts            | Does the standard include criteria on the establishment of labour contracts compliant with national legal requirements? | <p>Every worker (also temporary, seasonal / part-time, home workers) should have a contract. Employment contracts shall be</p> <ul style="list-style-type: none"> <li>- documented</li> <li>- in a language that the worker can understand</li> <li>- be made available to both parties.</li> </ul> <p>To achieve compliance with this criterion, the standard must include criteria on the establishment of labour contracts compliant with national legal requirements and fulfilling above mentioned requirements.</p>   | Within 5<br>years       |                              | 1                    |



| ITC ID<br>SSCT<br>ID           | Criteria<br>Name                          | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|--------------------------------|---|---|--|-------------------------|------------------------------|----------------------|
| Health and Safety              |   |   |  |                         |                              | 16                   |
| Occupational Health and Safety |   |   |  |                         |                              | 14                   |
| 1985<br>LR14                   | Prohibition of<br>harassment<br>and abuse | Does the standard prohibit harassment or abuse of workers?                                      | To achieve compliance with this criterion, the standard prohibits all forms of physical or verbal abuse, intimidation, sexual harassment and abusive punishments or discipline.  | Within 5<br>years       |                              | 1                    |
| 2002<br>LR23                   | Health & Sa-<br>fety Training             | Does the standard require training of workers on health and safety issues?                      | To achieve compliance with this criterion, the standard must require systematic training of workers on health and safety issues.   | Within 5<br>years       |                              | 1                    |
| 10116<br>LR25                  | Workplace<br>Conditions                   | Does the standard include requirements on workplace conditions?                                 | To achieve compliance with this criterion, the standard must include requirements on proper lighting and space, maximum temperature, adequate ventilation and air circulation, noise levels, and ergonomics.<br><br>To achieve compliance with this criterion, the standard must address some of the mentioned requirements. | Within 5<br>years       |                              | 1                    |
| 2004<br>LR26                   | OHS Manage-<br>ment System                | Does the standard require policies and procedures to manage health and safety in the workplace? | This includes requirements on having a policy, regulation or mechanism in place to detect and eliminate unsafe conditions and respond to cases of emergencies.   | Within 5<br>years       |                              | 1                    |



| ITC ID<br>SSCT<br>ID | Criteria<br>Name                | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (DoI)  | Total<br>Score<br>55 |
|----------------------|---------------------------------|---|---|-------------------------|---|----------------------|
| 2003<br>LR50         | Protective<br>Equipment         | Does the standard include re-<br>quirements on protective equip-<br>ment for the employees?                     | This includes requirements on provision of personal<br>protective equipment by the company (e.g. safety hel-<br>mets, hearing protection, dust masks, protective<br>gloves).  | Within 5<br>years       |   | 1                    |
| 800731<br>LR51       | Minimization of<br>Mineral Dust | Does the standard include re-<br>quirements on minimization of<br>exposure to silica and other<br>mineral dust? | To minimize the exposure of employees with dust, sev-<br>eral strategies can be applied. E.g. wet processing<br>(drilling or sawing), dust extraction by suction, separa-<br>tion of dusty and non-dusty workplaces.  | Within 5<br>years       |   | 1                    |
| 30060<br>LR52        | Averting of<br>Danger           | Does the standard include re-<br>quirements on averting of dan-<br>ger?   | Machinery must be in a in a safe technical condition<br>and provide safety systems (e.g. emergency cut-out<br>switch, protection against incorrect use).  | Within 5<br>years       |   | 1                    |
| 10124<br>LR27        | Basic Medical<br>Services       | Does the standard include cri-<br>teria on the access to basic<br>medical services for workers?                 | This includes both access to on site medical services<br>for workers as well as transport to offsite medical ser-<br>vices for work related issues.<br>To achieve compliance with this criterion, the standard<br>has to require treatment of acute work-related acci-<br>dents/ illness (basic) or work-related accidents plus<br>preventative care (advanced) | Within 5<br>years       | Basic: Only treatment of<br>acute work-related acci-<br>dents/ illness<br><br>Advanced: Work-related<br>accidents plus preventa-<br>tive care | 1<br><br>2           |





| ITC ID<br>SSCT<br>ID | Criteria<br>Name               | Criteria Question  | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (DoI)   | Total<br>Score<br>55 |
|----------------------|--------------------------------|--|---|-------------------------|--|----------------------|
| 700405<br>LR29       | Coverage of<br>Medical Costs   | Does the standard require compensation payments/ covering of costs in case of work related accidents and injuries? | Reference to applicable schemes run by bodies other than the farm or the company should be accepted (e.g. national insurance schemes).<br>To achieve compliance with this criterion, the standard must require partial coverage of costs (basic) or full coverage of costs (advanced).  | Within 5<br>years       | <b>Basic:</b> Partial coverage of costs<br><br><b>Advanced:</b> Full coverage of costs | 1<br><br>2           |
| 2005<br>LR30         | Potable<br>Water               | Does the standard require that workers have access to safe drinking water?   | Drinking water is water that is safe for human consumption (and can be used for domestic purposes, drinking, cooking and personal hygiene).<br>To achieve compliance with this criterion, the standard must require that drinking water is available.   | Within 5<br>years       |  | 1                    |
| 10120<br>LR36        | Housing                        | Does the standard require safe and appropriate housing for workers?  | If accommodation is provided, it shall be safe and clean, ensuring structural safety and reasonable levels of decency, hygiene and comfort. ILO Recommendation 115, para II provides guidance on housing standards.   | Within 5<br>years       |  | 1                    |
| 2000<br>LR31         | Improved Sanitation Facilities | Does the standard require access to clean and improved sanitation facilities?                                      | This includes sanitation facilities, such as showers but also improved sanitation facilities, which ensure hygienic separation of human excreta from human contact (This includes: flush or pour-flush toilet/latrine to piped sewer system, septic tank or pit latrine; Ventilated improved pit (VIP) latrine, Pit latrine with slab, Composting toilet)<br><br>To achieve compliance with this criterion, the standard must require that sanitation facilities are available. | Within 5<br>years       |  | 1                    |



| ITC ID<br>SSCT<br>ID     | Criteria<br>Name                       | Criteria Question  | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|--------------------------|--|--|--|-------------------------|------------------------------|----------------------|
| Building and Fire Safety |  |  |  |                         |                              | 2                    |
| 700404<br>LR32           | Building and<br>Construction<br>Safety | Does the standard include criteria on building safety?                                 | <p>To achieve compliance with this criterion, the standard must include criteria on:</p> <ul style="list-style-type: none"> <li>- Electrical installations (e.g. isolation of cables).</li> <li>- Check of permits on fire and building safety (if permits are legally required)</li> <li>- Non-existence of obvious threats to building or construction safety, as collapsed walls or pillars, considerable rips in walls, wholes in ceilings/floors.</li> </ul> <p>In order to achieve compliance with this criterion, the standard has to include requirements to ensure electrical and building safety.</p>  | Within 5<br>years       |                              | 1                    |
| 10110<br>LR40            | Emergency<br>and Evacuation<br>Safety  | Does the standard include criteria on evacuation safety and emergency management plan? | <p>Challenges include injuries associated with working with machinery as well as injuries sustained from insufficient building safety, including fires and building collapse. Workers may also inhale airborne particulates such as fibers that can have adverse effects on their respiratory systems.</p> <p>To achieve compliance with this criterion, the standard must require an emergency management plan.</p> <p>Aspects of this emergency management plan can, for instance, cover requirements on sufficient and clear emergency exit signage, communicating evacuation protocol to workers, accessible and unlocked emergency exits, safe electrical wiring at manufacturing facilities, strict building regulations or late-night transportation.</p> | Within 5<br>years       |                              | 1                    |



| ITC ID<br>SSCT<br>ID                                   | Criteria<br>Name                       | Criteria Question   | Guidance   | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|--|--|---|--|-------------------------|------------------------------|----------------------|
| <b>Business Practice and Ethical Issues</b>            |  |   |  |                         |                              | <b>5</b>             |
| <b>Economic Development and Fair Business Practice</b> |  |   |  |                         |                              | <b>2</b>             |
| <b>Legality</b>  |  |   |  |                         |                              | <b>2</b>             |
| 10851<br>EC06  | Business Legality                      | Does the standard include criteria on business legality?  | The producer is a legally defined and registered entity. This includes owning a license to operate in the given area (esp. Forestry and agriculture).<br>To achieve compliance with this criterion, the standard must assess business legality for certificate holders, e.g. checking all permits that are required by law (national, regional, local) within a due diligence process. | Within 5 years          |                              | 1                    |
| 4071<br>GQ01   | Legal Compliance / country legislation | Does the standard include a requirement for compliance with relevant local, regional and national laws and regulations? | Standard requires a process by which an organisation ensures that it observes and complies with the external statutory laws and regulations.   | Within 5 years          |                              | 1                    |



| ITC ID<br>SSCT<br>ID   | Criteria<br>Name                        | Criteria Question   | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (DoI) | Total<br>Score<br>55 |
|------------------------|---|---|---|-------------------------|------------------------------|----------------------|
| Corruption and Bribery |   |   |   |                         |                              | 3                    |
| 1954<br>EC11           | General Principle: Corruption & Bribery | Does the standard include criteria on the prevention of corruption and bribery?   | Any principle, policy or measure that explicitly aims at preventing or diminishing corruption and/ or bribery.<br><br>To achieve compliance with this criterion, the standard must prohibit corruption and bribery. | Within 5 years          |                              | 1                    |
| 34010<br>EC12          | Corruption Due Diligence                | Does the standard include criteria on conducting a due diligence assessment of business partners, including subsidiaries and contractors? | Due diligence assessment includes the policies and procedures to undertake an evaluation of business partners with respect to risks of corruption and/or violations   | Within 5 years          |                              | 1                    |
| 34012<br>EC13          | Anti-Corruption Training                | Does the standard include criteria on training workers in positions of responsibility workers on issues of corruption and bribery?        | Positions of responsibility are those in which the individual can direct the work of others, make employment decisions, make decisions on purchase or sale of product, or handles money.                            | Within 5 years          |                              | 1                    |



| ITC ID<br>SSCT<br>ID   | Criteria<br>Name                                       | Criteria Question  | Guidance  | Degree of<br>Obligation | Degree<br>of Intensity (DoI)  | Total<br>Score<br>55 |
|------------------------|--|--|---|-------------------------|---|----------------------|
| Company Responsibility |  |  |   |                         |   | 2                    |
| Impact Assessment      |  |  |   |                         |   | 2                    |
| 30048<br>GQ05          | Human Rights<br>and Social Im-<br>pact Assess-<br>ment | Does the standard include cri-<br>teria on assessing the impacts<br>of operations on human rights? | <p>This refers to requirements to conduct human rights and/or social impact assessments.</p> <p><u>Human Rights Impact Assessment:</u> This refers to having an ongoing process in place to identify adverse human rights impacts that the business enterprise may cause or contribute to through its own activities, or which may be directly linked to its operations, products or services by its business relationships, e.g. OECD Due Diligence Guidance or the UN "Guiding Principles on Business and Human Rights: Implementing the United Nations 'Protect, Respect and Remedy' Framework".</p> <p><u>Social Impact Assessment:</u> Social impact assessment includes the processes of analyzing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions and any social change processes invoked by those interventions. SIAs can be done jointly with an environmental impact assessment (ESIA).</p> <p>To achieve compliance with this criterion, the standard must require either a social impact assessment OR human rights impact assessment (basic). To achieve compliance at an advanced level, the standard must cover both.</p> | Within 5<br>years       | Basic: Human Rights Im-<br>pact Assessment OR So-<br>cial Impact Assessment | 1                    |
|                        |  |  |   |                         | Advanced: Human Rights<br>Impact Assessment AND<br>Social Impact Assessment | 2                    |