



## Content

<b>I. CREDIBILITY .....</b>	<b>2</b>
A - Scheme Management.....	2
B - Standard Setting .....	6
C - Assurance .....	10
D - Claims & Traceability .....	32
<b>II. ENVIRONMENTAL FRIENDLINESS.....</b>	<b>39</b>
Chemicals .....	39
Water .....	43
Inputs .....	44
Energy & Climate Change .....	45
Environmental Management.....	46
Waste & Air Pollution .....	47
Quality.....	48
<b>III. SOCIAL RESPONSIBILITY .....</b>	<b>49</b>
Labour Rights and Working Conditions .....	49
Business Practice and Ethical Issues.....	51
Company Responsibility .....	52



## I. CREDIBILITY

ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
<b>A - Scheme Management</b> Governance structures and management of the scheme						<b>21</b>
<b>Governance</b>						<b>13</b>
700110 A.01	Availability of scheme structure	Does the scheme owner make its organisational structure available?	- An overview of the different governance bodies that manage and govern the scheme (i.e. board, advisory board, board of trustees, etc.). This can be in the form of an organizational chart or narrative document.	Adapted from ISO 9001:2008	Yes, publicly Yes (on request) No	2 1 0
700111 A.02	Scheme 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 17067, 6.3.3	Yes No	1 0
700126 A.03	Governance body accountability	Is there a mechanism by which the top decision-making body members are accountable to all stakeholders?	- 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 17067, 6.4.4	Yes No	1 0



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700125 A.04	Balanced decision-making in governance	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 No	1 0
700123 A.05	Sources of 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 7.4.3, 2014/24/EU Art. 43 (1)	All Stakeholders Yes, publicly No	2 1 0
700119 A.06	Quality management	Does the scheme owner have an internal quality management system available?	- At least three of the following elements: a quality policy, quality objectives, a quality manual, clear organizational structure and responsibilities, data management, monitoring of essential processes, product quality, continuous improvement including corrective and preventive action, the existence of quality instruments.	Adapted from ISO 9001	Yes, publicly Yes (on request) No	2 1 0
740208 A.07	Independence of scheme owner from certificate 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.	ISO 14024 3.7 2014/24/EU Art. 43 (1)	Yes No	1 0



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700108 A.08	Sustainability goals and objectives of the scheme	Does the scheme owner have sustainability-oriented goals and objectives?	<ul style="list-style-type: none"> <li>- The scheme owner explicitly defines its overall goals and objectives, e.g. the mission and vision, either in its statutes or in a separate statement (e.g. a mission statement)</li> <li>- The goals and objectives are sustainability-oriented, i.e. oriented towards improving environmental and/or socio-economic impacts</li> </ul>	Supported by ISO/IEC 17067, 6.3.4	Yes No	1 0
700282 A.09	Strategy to achieve scheme sustainability goals	Does the scheme owner have a strategy for meeting its sustainability-oriented goals and objectives?	- A documented strategy that the scheme has defined and uses to ensure that it meets its goals and objectives. This should entail: clear goals, actions to achieve the goals, and a description of available/needed resources to execute the actions.	ISEAL Impacts Code 7.1, 7.2	Yes, publicly Yes (on request) No	2 1 0
<b>Impact</b>						<b>5</b>
700287 A.11	Impact measurement	Does the scheme owner have a system in place for measuring its impacts and progress towards its sustainability goals?	<p>Either of the following:</p> <ul style="list-style-type: none"> <li>- The proven existence of a monitoring and evaluation system, which contains indicators the scheme owner uses to measure its outputs, outcomes and impacts</li> <li>- For ISO type I labels, the most relevant impact is usually introduced prior to the development of criteria by conducting a life cycle based impact study. The resulting criteria are developed to reduce these impacts. The design of this approach therefore also includes the measurement of impact and is eligible for a 'Yes'. In order to receive a 'Yes', the reasoning behind the conclusions for choosing the actual requirements need to be available publicly or on request.</li> </ul>	ISEAL Impacts Code 8.1	Yes, publicly Yes (on request) No	2 1 0



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10800 A.12	Adaptive management	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, e.g. records of inclusion on the agenda of meetings, policy for when results are considered	ISEAL Impacts Code 9.1	Yes No	1 0
700285 A.13	Reporting monitoring results	Does the scheme owner make sustainability results from M&E available?	→ Not applicable for schemes that develop different product standards based on a life-cycle and multi-criteria approach (ISO type I labels)  - A report on the results of the monitoring and evaluation, which contains indicators the scheme owner uses to measure its outputs, outcomes and impacts	ISEAL Impacts Code 10.2	Yes, publicly Yes (on request) No Not applicable	2 1 0 -
<b>Supporting Strategies</b>						<b>3</b>
2145 A.14	Compliance technical assistance	Does the scheme provide access to technical assistance for compliance with the standard?	- This question is mostly relevant for schemes which have a capacity building approach. Technical assistance could be given in the form of workshops, trainings, provision of equipment, etc.		Yes No	1 0
3838 A.15	Beyond compliance technical assistance	Does the scheme provide access to technical assistance beyond compliance with the standard?	- This question is mostly relevant for schemes which have a capacity building approach. Technical assistance beyond compliance includes actions like providing resources, coordinating conferences or other peer learning opportunities, etc.		Yes No	1 0
2146 A.16	Access to finance	Does the scheme provide access to finance for enterprises seeking certification?	- A finance mechanism for increasing access possibilities for enterprises seeking certification  Examples include advance payments to facilitate the purchase of produce from the farmers, the existence of a support fund, or the payment of		Yes No	1 0



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			verification/ certification fees via purchasing companies.			
<b>B - Standard Setting</b> Standard development and revision						<b>16</b>
700138 B.01	Availability of standard	Is the standard made available free of charge?	<p>Either of the following:</p> <ul style="list-style-type: none"> <li>- The standard document 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.</li> <li>- An online statement that the standard is made available to any interested stakeholder on request free of charge</li> <li>- Choose 'No' also if available only for members or for a fee</li> </ul>	ISEAL Std-Setting Code 5.7.1 ISO 14024 7.4.3 2014/24/EU Art. 43 (1)	Yes, publicly Yes (on request) No	2 1 0



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700131 B.02	Key issues	Has a set of key sustainability issues in the sector or product lifecycle been defined in the standard-setting process?	<p>Either of the following:</p> <ul style="list-style-type: none"> <li>- A list or summary of research studies and reports (e.g. governmental reports, university studies and publications, NGO reports) that legitimize the identified key issues</li> <li>- Existence of a standards committee with technical experts who identify the key issues, with the experts addressed by ISO or DIN</li> <li>- 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</li> </ul> <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>	ISEAL Std-Setting Code 5.1.1 2014/24/EU Art. 43 (1)	Yes No	1 0
700133 B.03	Standard-setting process	Are the standard-setting procedures or a public summary of how stakeholders can engage made available?	<ul style="list-style-type: none"> <li>- The standard-setting procedures are documented, outlining how stakeholders can engage in the process</li> <li>- The documentation includes the bodies involved in the standard-setting process and their respective roles and decision-making functions</li> <li>- The scheme owner also ensures that interested stakeholders can access the documents relating to the standard-setting process</li> <li>- In order for this criterion to be answered with a 'Yes, publicly', there shall be evidence that the</li> </ul>	ISO 14024 5.11., ISEAL Std-Setting Code 5.3, 2014/24/EU Art. 43 (1)	Yes, publicly Yes (on request) No	2 1 0



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			scheme owner publicly announces each consultation period on its website			
300809 B.04	Public consultation of standard	Which stakeholders can participate in the standard-setting process?	<ul style="list-style-type: none"> <li>- Members only: If it is a member organization and only members can consult</li> <li>- Invitation only: If the scheme selects stakeholders to be invited for consultation</li> <li>- All stakeholders: Open to any interested stakeholder</li> </ul>	For ISO Type I: ISO 14024 6.2., ISEAL Std-Setting Code 5.4.2, 2014/24/EU Art. 43 (1)	All stakeholders Members only / Invitation only No	2 1 0
700134 B.05	Consultation with directly affected stakeholders	Are stakeholders who are directly affected by the standard provided opportunities to participate in standard setting?	<ul style="list-style-type: none"> <li>- Identification and documentation of which stakeholders are directly affected</li> <li>- Records of activities to proactively reach out to these stakeholders and encourage their participation in standard setting</li> </ul>	ISEAL Standard-Setting Code 5.4.4 For ISO Type I: ISO 14024 5.9. and 6.2., 2014/24/EU Art. 43 (1)	Yes No	1 0
700132 B.06	Pilot testing	Are draft standards field tested / piloted for relevance and auditability during the development process?	<p>→ Not applicable for schemes that develop different product standards based on a life-cycle and multi-criteria approach (ISO type I labels)</p> <ul style="list-style-type: none"> <li>- Documented evidence (i.e. field test reports) that this is being done</li> </ul>		Yes No Not applicable	1 0 -
700135 B.07	Stakeholder feedback	Does the scheme owner provide information on how the input received from consultations has been included in the final version of the standard?	<ul style="list-style-type: none"> <li>- Documentation of collected feedback from previous public consultations</li> <li>- Statement on how the collected feedback was used for the setting or revision of the Standard</li> </ul>	ISEAL Std-Setting Code 5.4.5, 2014/24/EU Art. 43 (1)	Yes, publicly No	1 0





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700137 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	ISEAL Std-Setting Code 5.6.3 2014/24/EU Art. 43 (1)	Yes No	1 0
700142 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 and revision of the applicable standards, with a frequency of no more than five years. This information is most likely included in the standard-setting procedure.	For ISO Type I: ISO 14024 5.8.2. ISO Guide 59, 4.6 ISEAL Std-Setting Code 5.8.1 2014/24/EU Art. 43 (1)	Yes No	1 0
300811 B.10	Consistent interpretation of the standard	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 be formulated in a comprehensive and binding way, so that each individual criterion can be assessed consistently and thoroughly by third parties. ISO 14024, clause 6.4 provides rules for developing ISO Type 1 environmental product criteria. - The standard and/or guidance documents shall specify necessary evidence for each criterion.	ISEAL Std-Setting Code 6.3.1, 6.3.2, 2014/24/EU Art. 43 (1), ISO 14024 6.4	Yes No	1 0
700140 B.11	Interpretation to regional context	Are there procedures and guidance for application or interpretation of the standard to regional contexts?	→ Not applicable for schemes that develop different product standards based on a life-cycle and multi-criteria approach (ISO type I labels)  Either of the following: - Information in the standard about how each of the requirements can be interpreted for application at a local level - Procedure for development of a local adaptation of the standard including stakeholder consultation	ISEAL Std-Setting Code 6.4 ISO Guide 59	Yes No Not applicable	1 0 -



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			measures. - The standard organization has country-specific standards  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.			
700139 B.12	Complaints mechanism	Does the scheme owner have a complaints mechanism for the standard-setting process?	- A written statement which shall contain the following information: - Clear steps and responsibilities to resolve the complaint - In what form and to whom a complaint needs to be submitted to		Yes, publicly Yes (on request) No	2 1 0
<b>C - Assurance</b> Mechanisms for assessment of compliance with the standard						<b>76</b>
<b>C.1 - Assurance System</b>						<b>21</b>
700162 C.1.01	Assessment methodology	Is there a documented assessment methodology for CABs to assess compliance with the standard?	- A documented methodology describing requirements for CABs and the assessment procedures (e.g. audit procedures or testing and verification methods)	ISO/IEC 17067 ISEAL Assurance Code 6.1.1 GENICES Schedule A2 4.3 (5)	Yes, publicly Yes (on request) No	2 1 0
7000168 C.1.02	Scheme openness	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.).	ISO 14024 5.13. 2014/24/EU Art. 43 (1) GENICES Schedule A2, 6	Yes No	1 0



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7000165 C.1.03	Assessment fees	Does the scheme owner require CABs to have an assessment fee schedule?	<ul style="list-style-type: none"> <li>- CABs are required to maintain a written fee structure that includes costs for initial assessment of compliance as well as continuing assessments to maintain certification or licences.</li> <li>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual.</li> </ul>	ISO/IEC 17021-1, 8.5.1 c) ISEAL Assurance Code 6.1 (optional good practice) GENICES Schedule A2, 4.3 (6) & 9	Yes, publicly Yes (on request) No	2 1 0
7000166 C.1.04	Fee levels	Are levels of all costs and fees incurred by applicants and certificate holders/licencees based on programme costs and kept as low as possible?	<ul style="list-style-type: none"> <li>- All initial und recurring fees are listed and made available (on request or on the website) and these are not excessive.</li> <li>- The scheme owner can justify that the level of all fees is calculated so as to cover necessary operational costs only.</li> </ul> <p>Costs and fees include assessment and testing fees and any recurring costs required to obtain and maintain a certificate or licence, such as application fees, certificate fees, administrative fees etc.</p>	ISO 14024 5.16 GENICES Schedule A2, 9 2014/24/EU Art. 43 (1)	Yes No	1 0
700173 C.1.05	CAB complaints mechanism	Does the scheme owner require CABs to have a documented complaints mechanism in place for compliance decisions?	<p>The complaints resolution procedure defines:</p> <ul style="list-style-type: none"> <li>- clear steps, timelines and responsibilities to resolve the complaint</li> <li>- in what form and to whom a complaint needs to be submitted</li> </ul>	ISO/IEC 17021-1 9.8 ISO/IEC 17065 7.13 ISEAL Assurance Code 6.7.3 GENICES Schedule A2, 4.3 (4)	Yes, publicly Yes (on request) No	2 1 0



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700172 C.1.06	Assessment reports availability	Does the scheme owner make, or require CABs to make, summary certification/verification reports (with personal and commercially sensitive information removed) available?	<ul style="list-style-type: none"> <li>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual. The report should be made available in a UN and local language.</li> <li>- For schemes where assessment reports are not publicly available online, request summary reports from CAB to verify availability</li> <li>- If assessment reports cannot be shared by the scheme or by CABs due to confidentiality, chose "confidential"</li> <li>- If no assessment reports are written at all, choose "no, no reports"</li> </ul> <p>Note: For ISO Type I labelling programmes, the equivalent requirement is transparency on (non-confidential) "evidence on which the awarding of the label is based" (see ISO 14024 clause 5.11).</p>	ISEAL Assurance Code 6.1.1 (optional good practice) ISO 14024 5.11 2014/24/EU Art. 43 (1)	Yes, publicly Yes (on request) / Confidential No, no reports	2 1 0
700174 C.1.07	Defined duration of certificate / license	Does the certificate or license define the duration for which it is valid?	<ul style="list-style-type: none"> <li>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</li> <li>- If not defined in the certification requirements/methodologies, the scheme owner should have a guidance specifying the information to be included in certificates or licences.</li> <li>- For membership-based initiatives, membership duration counts as equivalent, as long as the contract implies that standard rules must apply at all times.</li> </ul>	ISO/IEC 17021-1 8.2.2 ISO/IEC 17065 7.7.1 ISEAL Assurance Code 6.4.11	Yes No	1 0



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700174 C.1.08	Scope of certificate / license	Does the certificate or license define the scope of assurance?	- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual - If not defined in the certification requirements/methodologies, the scheme owner should have a guidance specifying the information to be included in certificates or licences.	ISO/IEC 17021-1 8.2.2 ISO/IEC 17065 7.7.1 ISEAL Assurance Code 6.4.11	Yes No	1 0
700176 C.1.09	Certified or verified enterprise / labelled product list	Does the scheme owner maintain or require CABs 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 system to show the certified/ verified enterprises OR the enterprises producing certified/ verified products is publicly available (for example in a database or by uploaded lists). - This system shall be up-to-date and complete (managed by the scheme owner or outsourced to the ABs or CABs). If this is outsourced to the ABs or CABs, this is required and described in the contract/agreement between the scheme owner and the AB/CAB, in a separate accreditation manual or for example in certification requirements/methodologies.	ISO/IEC 17021-1 8.3 and ISEAL Assurance Code 6.1.1 GENICES Schedule A2, 4.5	Yes, incl. scope of certificate or license Yes No	2  1 0
740209 C.1.10	Accredited/ approved CABs	Does the scheme owner maintain a list of all accredited/approved CABs?	- A system to list all CABs accepted by the scheme or accredited by respective ABs is available, up-to-date and complete. This list could also be available on accepted AB websites.	ISEAL Assurance Code 6.1.1	Yes, publicly Yes (on request) No	2 1 0
700163 C.1.11	Frequency of assurance system review	Does the scheme owner review their assurance system on a periodic basis?	- The scheme shall prove that it regularly reviews its assurance system, i.e. how it seeks to guarantee that its standard requirements are actually being implemented.	ISO 17067 6.6 ISEAL Assurance Code 5.2.4	Yes No	1 0



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7000164 C.1.12	Notification of assurance system changes	Does the scheme owner require that clients and other affected stakeholders are notified of changes to the assurance requirements?	- There shall be evidence that affected stakeholders are notified by changes to the scheme's assurance system, for example by checking notifications after previous assurance system changes.	ISO 17067 6.6.2 ISEAL Assurance Code 5.2.5	Yes No	1 0
700277 C.1.13	Continuous improvement requirements	Does the scheme owner allow partial certification by an enterprise, with requirements to increase the percentage of certified produce over time?	- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual.		Yes No	1 0
700006 C.1.14	Chain of Custody: CoC assessment methodology	Does the scheme owner have a documented assessment methodology for CABs that are assessing chain of custody?	→ Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required)  - A documented methodology describing requirements for CABs and the assessment procedures of enterprises that handle or trade product along the supply chain (e.g. Chain of custody certification requirements/methodologies)	ISO/IEC 17067 ISEAL Assurance Code 6.1.1	Yes, publicly available Yes (on request) No Not applicable	2 1 0 -
<b>C.2 Conformity Assessment</b>						<b>32</b>
<b>Conformity Assessment Process</b>						<b>3</b>
700236 C.2.02	Level of conformity assessment	What is the most independent type of conformity assessment required by the scheme?	- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual.  1st party is a self-assessment; 2nd party is by an	ISO/IEC 17065, ISO/IEC 17021-1	3 <sup>rd</sup> party 2 <sup>nd</sup> party or 1 <sup>st</sup> party	1 0



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			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.			
700247 C.2.04	Consistent decision-making on compliance	Does the scheme owner define guidelines for decision-making to ensure that CABs use consistent procedures for determining compliance of clients with the standard?	<ul style="list-style-type: none"> <li>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual- 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-compliances and allowing for appeals of non-compliances, in order to support consistency between CABs.</li> </ul>	ISEAL Assurance Code 6.4.9ISO 14024 5.10 & 7.2.2GENICES Schedule A2 4.3 (2) & (3)	Yes No	1 0
700175 C.2.05	Procedure on remediation	Does the scheme owner require CABs 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?	<ul style="list-style-type: none"> <li>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</li> <li>- The procedure specifies how different degrees of non-conformity (if applicable) are to be addressed and remediated, in order to support consistency between CABs.</li> <li>- The procedure also specifies the conditions under which certification / the licence may be suspended or withdrawn, partially or in total, for all or part of the scope of certification / the licence.</li> </ul>	ISEAL Assurance Code 6.4.10 ISO/IEC 17065 7.11 ISO/IEC 17021-1 9.6 GENICES Schedule A2, 4.3 (2) & (3)	Yes No	1 0



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<b>Sustainability Audits</b>						<b>12</b>
3986 C.2.01	ISO compliance for certification / verification	Does the scheme owner require CABs to be compliant with ISO/IEC 17065, ISO/IEC 17021, ISO/IEC 17020 or equivalent?	<p>→ Only applicable if the scheme requires audits. This question does not apply to CoC audits.</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p>	ISEAL Assurance Code 5.1.2	Yes No Not applicable	1 0 -
700240 C.2.03	Audit frequency	At least how often do clients undergo a full audit process?	<p>→ Only applicable if the scheme requires audits. This question does not apply to CoC audits.</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p> <p>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 response, 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)</p>	ISO 17067 5.3.8 ISO 17065 7.9.3/4 ISEAL Assurance Code 6.4.1	At least every 2 years 3 years or more No Not applicable	2 1 0 -





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700241 C.2.06	Risk-based audit frequency	Is the frequency of an audit based in part on a risk assessment of the client?	<p>→ Only applicable if the scheme requires audits. This question does not apply to CoC audits.</p> <p>- Risk-based audits make the whole certification process more efficient and less costly. There shall be evidence of how the scheme assesses risk and how it accordingly allocates identified audit needs.</p>		Yes No Not applicable	1 0 -
700243 C.2.07	Audit activities	What type of activities are CABs required to undertake during a full audit?	<p>→ Only applicable if the scheme requires audits. This question does not apply to CoC audits.</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p>	ISEAL Assurance Code 6.4.1	Field visit (incl. office visit & doc. review) Document review (off-site or on-site) only No Not applicable	2  1  0 -
700249 C.2.08	Un-scheduled audits	Does the scheme owner allow or require CABs to do unscheduled audits?	<p>→ Only applicable if the scheme requires audits. This question does not apply to CoC audits.</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p>	ISO/IEC 17021-1 9.5.2 ISEAL Assurance Code 6.7.1	Required Allowed Not allowed Not applicable	2 1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700837 C.2.09	Stakeholder participation in audit	Are auditors required to solicit external stakeholder input during the audit process?	<p>→ Only applicable if the scheme requires audits. This question does not apply to CoC audits.</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual. 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.</p>	ISEAL Assurance Code 6.1.4	Yes No Not applicable	1 0 -
700246 C.2.10	Audit / evaluation report format	Does the scheme owner require CABs to follow a consistent report format?	<p>→ Only applicable if the scheme requires audits. This question does not apply to CoC audits.</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p> <p>- The scheme owner should have a guidance specifying formats for audit reports and reporting, in order to support consistency between CABs. 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 6.4.2. ISO/IEC 17021-1 9.4.8 ISO/IEC 17065 7.7	Yes No Not applicable	1 0 -
700248 C.2.11	Decision-making independence	Are the people making the compliance decision different from those engaged in the audit process?	<p>→ Only applicable if the scheme requires audits. This question does not apply to CoC audits.</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p>	ISO/IEC 17065 4.2 and 5.2 and ISO/IEC 17021-1, ISEAL Assurance Code 5.2.3	Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
10350 C.2.12	Group certification / verification	Does the scheme allow for group certification or verification?	<p>→ Only applicable if scheme requires audits. This question does not apply to CoC audits.</p> <p>- The scheme explicitly states that group certification or verification is allowed.</p>	ISEAL Assurance Code 6.5	Yes No Not applicable	1 0 -
<b>Group certification</b>						<b>5</b>
10356 C.2.13	Group internal management system	Is the group required to have an internal management system?	<p>→ Only applicable if the scheme requires audits and allows group certification. This question does not apply to CoC audits.</p> <p>- 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 AB or in a separate accreditation manual.</p>	ISEAL Assurance Code 6.5.1	Yes No Not applicable	1 0 -
700258 C.2.14	Group internal verification	Is there a requirement that at least all group sites are visited during the period of validity of the certificate?	<p>→ Only applicable if the scheme requires audits and allows group certification. This question does not apply to CoC audits.</p> <p>- 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 AB or in a separate accreditation manual.</p>	ISEAL Assurance Code 6.5.1	Yes No Not applicable	1 0 -
700257 C.2.15	Group external sample size	Is there a sample size formula to determine the	→ Only applicable if the scheme requires audits and allows group certification. This question does not apply to CoC audits.	ISEAL Assurance Code 6.5.2	Yes, based on risk assessment Yes	2 1



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
		number of group members that is externally verified?	- 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 AB or in a separate accreditation manual.		No Not applicable	0 -
700260 C.2.16	Non-compliant 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?	→ Only applicable if the scheme requires audits and allows group certification. This question does not apply to CoC audits.  - 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 AB or in a separate accreditation manual.	ISEAL Assurance Code 6.5.3	Yes No Not applicable	1 0 -
<b>Chain of Custody</b>						<b>6</b>
700007 C.2.17	Chain of Custody: ISO Compliance for CoC certification	Does the scheme owner require CoC CABs to be compliant with ISO/IEC 17020, ISO/IEC 17021, or ISO/IEC 17065 or equivalent?	→ Only applicable if claims are made regarding the origin of or certain ingredients or products (CoC is required)  - The scheme owner defines this requirement in Chain of custody certification or traceability requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual	ISEAL Assurance Code 5.1.2	Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700013 C.2.18	Chain of Custody: Level of CoC conformity assessment	What is the most independent type of CoC conformity assessment required by the scheme?	<p>→ Only applicable if claims are made regarding the origin of or certain ingredients or products (CoC is required)</p> <p>- The scheme owner defines this requirement in Chain of custody certification or traceability requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual 1st party is a self-assessment; 2nd party is by an interested stakeholder, e.g. an industry association; 3rd party is independent of 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 determining.</p>		<p>3rd party</p> <p>1st party / 2nd party</p> <p>No</p> <p>Not applicable</p>	<p>2</p> <p>1</p> <p>0</p> <p>-</p>
700017 C.2.19	Chain of Custody: CoC audit activities	What type of activities are CoC CABs required to undertake during a full CoC assessment?	<p>→ Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required)</p> <p>- The scheme owner defines this requirement in Chain of custody certification or traceability requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p> <p>In a full CoC assessment or audit, all requirements of the CoC standard and the whole system of the client that is to be assessed are audited. This would usually include re-certification audits but not</p>	ISEAL Assurance Code 6.4.1	<p>Field visit (incl. office visit &amp; doc. review)</p> <p>Document review (off-site or on-site) only</p> <p>No</p> <p>Not applicable</p>	<p>2</p> <p>1</p> <p>0</p> <p>-</p>



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
			necessarily surveillance audits/assessments in case these are less intense.			
800034 C.2.20	Chain of Custody: Physical 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?	<p>→ Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required)</p> <p>- This shall be in the form of a written requirement as part of the certification requirements.</p> <p>Possibly review scope of certificates, if available online.</p>		Yes No Not applicable	1 0 -
<b>Laboratory Testing</b>						<b>6</b>
700213 C.2.21	Laboratory testing: Information on test methods	In the documented assessment methodology, are test methods either referred to or included?	<p>→ Only applicable if scheme requires laboratory testing</p> <p>- The required test methods need to be referred to or provided in the Standard document or in other corresponding documents.</p>	GENICES Schedule A2, 4.13 (2)	Yes, publicly Yes (on request) No Not applicable	2 1 0 -
700216 C.2.22	Laboratory testing: Laboratory accreditation	Does the scheme owner require laboratories to be accredited according to recognized laboratory accreditation standards?	<p>→ Only applicable if scheme requires laboratory testing</p> <p>- Besides ISO/IEC 17025 (General requirements for the competence of testing and calibration</p>	ISO 17065: 6.2.2.1	Yes, to ISO 17025 Yes, to other recognized standards	2 1



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
			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.		No Not applicable	0 -
3901 C.2.23	Laboratory testing: Surveillance lab testing of products	Are there rules on random sampling and testing for the compliance monitoring?	→ Only applicable if scheme requires laboratory testing  - Written evidence is required by the scheme owner that includes rules on random sampling and testing of the (final) products. OR - 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.	GENICES Schedule A2, 4.11	Yes No Not applicable	1 0 -
700220 C.2.24	Laboratory testing: Non-compliant products	Is there a procedure to deal with non-compliant products manufactured by a client / licensee?	→ Only applicable if scheme requires laboratory testing  - Written evidence is required by the scheme owner that includes a defined procedure to deal with non-compliance	GENICES Schedule A2, 4.11	Yes No Not applicable	1 0 -
<b>C. 3 - Auditor Competencies</b>						<b>7</b>
700221 C.3.01	Personnel competencies	Does the scheme owner define specific qualifications and competencies for CAB auditors?	→ Only applicable if the scheme requires audits  - The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual -The scheme owner has guidance specifying	ISO /IEC 17021-1 7.1. & 7.2 ISO/IEC 17065 6.1 ISEAL Assurance Code 6.3.1	Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
			qualifications and competence criteria for CABs or requires that CABs have this. (check that CABs have this in place)			
700230 C.3.02	Auditor standards training	Does the scheme owner require that CAB auditors successfully complete training on the standard and its interpretation?	<p>→ Only applicable if scheme requires audits</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p> <p>- The scheme owner has a guidance specifying the training system and content in order to support consistency between CABs.</p>	ISEAL Assurance Code 6.3.2	Yes No Not applicable	1 0 -
700231 C.3.03	Auditing skills training	Does the scheme owner require that CAB auditors successfully complete auditor training based on ISO 19011, or equivalent?	<p>→ Only applicable if scheme requires audits</p> <p>- The scheme owner defines this requirement in the contract/agreement between the scheme owner and the CAB, in a separate accreditation manual or for example in certification requirements/methodologies.</p>	ISO 19011	Yes No Not applicable	1 0 -





ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700233 C.3.04	Auditor supervision	Does the scheme owner require that new auditors have a probationary period where their competence in an audit is assessed or supervised?	<p>→ Only applicable if the scheme requires audits</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual. The question refers to whether the auditor is new to a CAB and whether he/she receives some form of supervision, e.g. the four-eye principle during first audits.</p>	ISEAL Assurance Code 6.3.2, ISO 19011	Yes No Not applicable	1 0 -
700224 C.3.05	Regular auditor evaluation	Does the scheme owner require that CAB auditors are evaluated at least every 3 years?	<p>→ Only applicable if the scheme requires audits</p> <p>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</p> <p>- The CAB has an evaluation schedule for auditors</p>	ISO/IEC 17065 7.1.3 ISO/IEC 17021-1 7.1.3 ISEAL Assurance Code 6.3.4	Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700226 C.3.06	Continuing auditor training	Does the scheme owner have or require that CABs have a continuing professional development program in place?	<p>→ Only applicable if the scheme requires audits</p> <ul style="list-style-type: none"> <li>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</li> <li>- The scheme owner has a guidance specifying suitable continuing professional development programs, in order to support consistency between CABs.</li> <li>- If the scheme owner provides this program, it should not discriminate or limit CABs and a regularly updated assessment should be in place to assure the scheme owner has sufficient knowledge and capacity to run this program.</li> </ul>	ISO/IEC 17021-1 7.2.7 ISO/IEC 17065 6.1.2.1 b) ISEAL Assurance Code 6.3.3	Yes No Not applicable	1 0 -
700225 C.3.07	Personnel suspension	Does the scheme owner require that there are repercussions such as probation or suspension for the misconduct or poor performance of CAB personnel?	<p>→ Only applicable if scheme requires audits</p> <ul style="list-style-type: none"> <li>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</li> </ul>		Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
<b>C.4 - Accreditation/Oversight</b>						<b>16</b>
699994 C.4.01	Accreditation/oversight mechanism	Does the scheme require a documented accreditation or oversight mechanism?	<p>Either of the following:</p> <ul style="list-style-type: none"> <li>- The scheme owner documents this requirement in a contract/agreement between the scheme owner and an AB or oversight body, in a separate accreditation manual or for example in certification requirements/methodologies.</li> <li>- The scheme is owned by the government and developed according to a multi stakeholder approach. It is assumed that this structure presumes a kind of oversight mechanism</li> </ul>	ISO/IEC 17011 ISEAL Assurance Code 6.6.3	Yes, publicly Yes (on request) No	2 1 0
10540 C.4.02	ISO 17011 compliance	Does the scheme owner require ISO 17011 compliance for ABs?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <ul style="list-style-type: none"> <li>- The scheme owner documents this requirement in a contract/ agreement between the scheme owner and an AB, in a separate accreditation manual or for example in certification requirements/methodologies.</li> </ul>	ISO/IEC 17011 ISEAL Assurance Code 6.6.1	Yes No Not applicable	1 0 -
700183 C.4.03	Independence of accreditation from scheme owner	Is the accreditation or oversight body independent from the scheme owner?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism</p> <ul style="list-style-type: none"> <li>- The AB and scheme owner are separate legal entities.</li> </ul>		Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700193 C.4.04	Frequency of accreditation assessments	How often do assurance providers undergo a full accreditation or oversight assessment?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <p>- The scheme owner defines this requirement in the contract/agreement between the scheme owner and the AB, in a separate accreditation manual or for example in certification requirements/methodologies.</p>		<p>At least every 3 years</p> <p>Every 4 years or more</p> <p>No</p> <p>Not applicable</p>	<p>2</p> <p>1</p> <p>0</p> <p>-</p>
700835 C.4.05	Risk-based accreditation assessments	Is the frequency of an accreditation or oversight assessment based in part on a risk assessment of the client?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <p>- Risk-based accreditation or oversight assessment make the whole accreditation/oversight process more efficient and less costly. There shall be evidence of how the scheme requires risk to be assessed and how it accordingly allocates identified assessment needs.</p>		<p>Yes</p> <p>No</p> <p>Not applicable</p>	<p>1</p> <p>0</p> <p>-</p>



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700184 C.4.06	CAB application restrictions	Does the scheme owner ensure that all CABs 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?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <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 CABs is only by reference to the scope (or issues relating to open financial payments or incomplete application submissions).</p> <p>- The application process/forms of the AB should be online and can be verified.</p>	ISO/IEC 17011 7.2	Yes No Not applicable	1 0 -
700182 C.4.07	Proxy accreditation / oversight	Does the scheme owner accept CABs that are accredited/accepted by ABs to similar or generic scopes (proxy accreditation)?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <p>- The scheme owner specifies this requirement in a contract/agreement between the scheme owner and an AB, in a separate accreditation manual or for example in certification requirements/methodologies.</p> <p>The response option "Yes, assess scheme-specific competence" means that schemes only accept CABs 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 6.6.2	Yes, assess scheme-specific competence Yes No Not applicable	2 1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700186 C.4.08	AB complaints mechanism	Does the scheme owner require ABs or oversight bodies to have a documented complaints mechanism in place for compliance decisions?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <p>The complaints resolution mechanism procedures define:</p> <ul style="list-style-type: none"> <li>- clear steps, timelines and responsibilities to resolve the complaint</li> <li>- in what form and to whom a complaint needs to be submitted to</li> </ul>	ISO/IEC 17011 5.9	Yes No Not applicable	1 0 -
700187 C.4.09	Procedure on accreditation/oversight remediation	Does the scheme owner require ABs or oversight bodies to have a procedure in place for how CABs are required to address non-conformities using a corrective action process?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <ul style="list-style-type: none"> <li>- The scheme owner specifies this requirement in a contract/agreement between the scheme owner and an AB, in a separate accreditation manual or for example in certification requirements/methodologies.</li> <li>- The AB 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.</li> </ul>	ISO/IEC 17011 7.1.2 & 7.8 & 7.13	Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
709038 C.4.10	Accreditation / oversight reports availability	Does the scheme owner require ABs or oversight bodies to make summary accreditation/oversight reports (with personal and commercially sensitive information removed) available?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <p>- The scheme owner specifies this requirement in a contract/agreement between the scheme owner and an AB, in a separate accreditation manual or for example in certification requirements/methodologies. The reports should be available in the applicable local as well as a UN language</p> <p>- For schemes where assessment reports are not publicly available online, request summary reports from AB to verify availability.</p>		Yes, publicly Yes (on request) No Not applicable	2 1 0 -
700189 C.4.11	On-site accreditation/oversight assessment	Does the scheme owner ensure that the accreditation or oversight assessment includes an on-site assessment of the CAB?	<p>→ Only applicable if scheme has an accreditation/oversight mechanism, and if the scheme is not owned by the government, and if the scheme is not based on a life cycle and/or multicriteria approach.</p> <p>- The scheme owner defines this requirement in the contract/agreement between the scheme owner and the AB, in a separate accreditation manual or for example in certification requirements/methodologies.</p>	ISO/IEC 17011	Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700191 C.4.12	Accreditation/ oversight witness audit	Does the scheme owner ensure that the accreditation or oversight process includes a review of the performance of CABs and auditors in the field?	→ Only applicable if scheme has an accreditation/oversight mechanism and if the scheme requires audits  - The scheme owner specifies this requirement in a contract/agreement between the scheme owner and an AB, in a separate accreditation manual or for example in certification requirements/methodologies.		Yes No Not applicable	1 0 -
<b>D - Claims &amp; Traceability</b> Claims and labelling policy and chain of custody						<b>21</b>
<b>D.1 - Traceability</b>						<b>8</b>
700030 D.1.01	Chain of Custody standard / traceability requirements	Does the scheme owner have a documented Chain of Custody standard or other traceability requirements?	Either of the following: - A CoC standard document which provides a description of its chain of custody approach - 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 Yes, on request No Not applicable	2 1 0 -
700036 D.1.03	Mixing of inputs	Are there any CoC requirements for non-certified material, in case mixing of	'Yes' if: - A description of how it traces back the origin of uncertified material		Yes No Not applicable	1 0 -





ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
		certified with uncertified inputs is allowed?	<p>'Not applicable' if:</p> <ul style="list-style-type: none"> <li>- Statement telling that it does not allow the mixing of its certified with uncertified ingredients.</li> <li>- It is a product label (ISO type I label, e.g. Blue Angel)</li> </ul> <p>If there is no evidence of a written statement, this shall be a 'No'.</p>			
700037 D.1.04	Records for traceability	Does the scheme owner require CABs 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?	<p>→ Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required)</p> <ul style="list-style-type: none"> <li>- A statement in which it requires CABs 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)</li> </ul> <p>This information can normally be found in the chain of custody standards. If available, mandatory template checklists could be used to verify the requirements.</p>		Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700044 D.1.05	Record keeping	Are companies required to keep CoC records for at least the term of certificate validity?	<p>→ Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required)</p> <p>In order to be available for possible checks and assurance activities, the required documentation should be available for at least the duration of certification. In order to receive a 'Yes', the scheme owner shall provide written evidence of the following:</p> <ul style="list-style-type: none"> <li>- A statement, in which it requires 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</li> </ul>		Yes No Not applicable	1 0 -
700045 D.1.06	Traceability system	Does the scheme have a traceability system that enables checking of product flow between links of the supply chain?	<p>→ Only applicable if claims are made regarding the origin of certain ingredients or products (CoC is required)</p> <ul style="list-style-type: none"> <li>- A description of the system it uses to collect and analyze data from suppliers in order to trace back different certified inputs across different supply chain entities</li> </ul>		Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
<b>D.2 - Claims &amp; Labelling</b>						<b>13</b>
700077 D.2.01	Claims policy	Does the scheme owner make documented requirements governing the use of symbols, logos and claims available?	- A policy document on how to use symbols, logos and claims	ISO/IEC 17021-1, 8.4.1 ISEAL Claims Guide 2.5.1, 2.1.3	Yes, publicly Yes (on request) No	2 1 0
700080 D.2.02	Clarity of claims	Do claims and labelling requirements ensure that claims or logos clearly indicate to what they apply?	- A clear indication to what the claim/label applies, e.g. the complete product, a product component, packaging, service, for promotional use, etc.	ISO/IEC 17021-1, 8.4.1	Yes No	1 0
700064 D.2.03	Relevant 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?	- An overview of differences in claims, depending on the types of CoC used. These claims shall accurately reflect the type of CoC. For example: - Claims on origin can only be made under Identity preserved - Claims on 100% certified material require Segregation - When Mass Balance or Controlled Blending is used, claims need to show that mixing is allowed - When Certificate Trading (Book & Claim) is allowed, "supports sustainable production" (or similar) is an adequate claim  'Not applicable' if: - Product label - Only use of one CoC model	ISEAL Claims Guide 1.1.6	Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700065 D.2.04	Tracking mechanism	Are claims and label users required to use unique license numbers or other tracking mechanisms?	→ Not applicable if no claims are made regarding the origin of certain ingredients or products (CoC is required). - 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.	ISEAL Claims Guide 3.3, 3.4	Yes No Not applicable	1 0 -
700066 D.2.05	Accurate use of 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:  - Clearly defined activities pursued to make sure labels and claims are used accurately - A complaints mechanism that allows stakeholders to report the false use of labels and claims	ISEAL Claims Guide 3.3, 3.4	Yes No	1 0
700074 D.2.06	Stepwise claims	Does the scheme require different claims depending on the percentage of certified / verified content in a product?	- A statement in its claims policy that different percentage requirements of certified inputs require accurate labelling, reflecting these differences Not applicable if: - Claim does not refer to product inputs/single ingredients but to the whole/ final product	ISEAL Claims Guide 2.5.1, 2.1.3	Yes No Not applicable	1 0 -



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700075 D.2.07	Minimum % input claims	What is the minimum percentage of a certified / verified input in a single ingredient product for a claim to be allowed for that product?	<ul style="list-style-type: none"> <li>- A written statement on the minimum percentage requirements in a single-ingredient product</li> <li>'No' if:                             <ul style="list-style-type: none"> <li>- No evidence of minimum percentages even though missing is allowed</li> </ul> </li> <li>Not applicable if:                             <ul style="list-style-type: none"> <li>- Claim does not refer to product inputs/single ingredients but to the whole/ final product or if % claims are not included in system</li> </ul> </li> </ul>	ISEAL Claims Guide 2.5.1, 2.1.3	<ul style="list-style-type: none"> <li>More or equal 75%</li> <li>Less than 75%</li> <li>No</li> </ul>	<ul style="list-style-type: none"> <li>2</li> <li>1</li> <li>0</li> </ul>
700076 D.2.08	Minimum % composite product claims	What is the minimum percentage of certified / verified material in a composite product for a claim to be allowed for that product?	<ul style="list-style-type: none"> <li>- A written statement on the minimum percentage requirements in a composite product</li> <li>'No' if:                             <ul style="list-style-type: none"> <li>- No evidence of minimum percentages even though missing is allowed</li> </ul> </li> <li>Not applicable if:                             <ul style="list-style-type: none"> <li>- Claim does not refer to product inputs/single ingredients but to the whole/ final product or if % claims are not included in system</li> </ul> </li> </ul>	ISEAL Claims Guide 2.5.1, 2.1.3	<ul style="list-style-type: none"> <li>More or equal 50%</li> <li>Less than 50%</li> <li>No</li> <li>Not applicable</li> </ul>	<ul style="list-style-type: none"> <li>2</li> <li>1</li> <li>0</li> <li>-</li> </ul>
700063 D.2.09	Graphic label explanatory statement	Is the label accompanied by an explanatory text claim or a link to further information?	<ul style="list-style-type: none"> <li>Either of the following:                             <ul style="list-style-type: none"> <li>- A short text next to the logo explaining some detail about the label</li> <li>- A QR code, link or any other form of additional information which helps to understand the label</li> </ul> </li> <li>Not applicable if:                             <ul style="list-style-type: none"> <li>- No graphic labels are used</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>Yes</li> <li>No</li> <li>Not applicable</li> </ul>	<ul style="list-style-type: none"> <li>1</li> <li>0</li> <li>-</li> </ul>



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
700068 D.2.10	Consequences of misuse of claims	Does the scheme have a procedure that defines specific consequences of misuse of claims?	- Statement/policy that defines what happens if misuse is discovered  This question also relates to fraudulent claim use.	ISEAL Claims Guide 3.3, 3.4	Yes No	1 0



## II. ENVIRONMENTAL FRIENDLINESS

ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>25</b>
<b>Chemicals</b>						<b>12</b>
<b>Chemical use</b>						<b>12</b>
700402 E114	Hazardous chemicals - substances of very high concern under REACH	Does the standard include criteria on chemicals listed on the REACH Candidate List as substances of very high concern?	<p>Refers to requirements that restrict or prohibit the use of substances of very high concern according to REACH. Refers to the authentic version of the Candidate List published by ECHA.</p> <p>In the case of standards for cleaning agents, risk based approaches such as HERA (Human and Environmental Risk Assessment) are recognized as restricted use.</p>	Immediate Transition period	Basic: Restrict use	1
					Advanced: Prohibit use except for defined derogations.	2



ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>25</b>
700354 E34	Biodegradability of substances	Does the standard include criteria on biodegradability of substances?	<p>According to the EU detergents regulation, surfactants have to be ultimately biodegradable in the case of cleaning agents. In the case of cosmetic, the requirements should also refer to the ultimate biodegradability of surfactants (as stipulated for detergents in the EU detergents regulation).</p> <p>In addition, in the case of cleaning agents and cosmetics, this criterion refers to requirements for other poorly biodegradable organic substances or not readily biodegradable and/or anaerobically non-biodegradable organic substances. These requirements refer to the substance properties, which are measured according to e.g. OECD test 301. Requirements based on e.g. considerations on removal rates that take into account processes like e.g. adsorption are not recognized here.</p> <p>To achieve compliance with this criterion the standard must monitor and restrict the use of these substances (basic) or prohibit the use (advanced).</p>	Immediate	<p><b>Basic:</b> Monitor and restrict use</p> <p><b>Advanced:</b> Prohibit use</p>	<p>1</p> <p>2</p>





ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score 25
740203 E115	Chemicals harmful to human health	Does the standard include criteria on H statements?	<p>Refers to chemicals classified as health hazard statements according to GHS (Globally Harmonized System of Classification and Labelling of Chemicals) or are identified as substances of very high concern (SVHC) under REACH.</p> <p>Risk based approaches such as HERA (Human and Environmental Risk Assessment) are recognized as restricted use. To achieve compliance with this criterion the standards needs to restrict the use e.g. by a risk approach (basic) or prohibit the use with exemptions for some ingredients (advanced).</p>	Immediate	<p><b>Basic:</b> Restrict use by e.g. a risk-based approach</p> <p><b>Advanced:</b> Prohibit use with exemptions for some ingredients</p>	1 2
1000048 E124	Use of plasticizer	Does the scheme include criteria on other substances which have impact on human health and the environment?	Refers to restricting the use of plasticizers, polymers containing halogens, allergenic substances, colouring agents or other substances which can have a negative environmental and human health impact. To achieve compliance with this criterion, the standard needs to restrict the use of problematic substances.	Immediate Transition period	<p><b>Basic:</b> Restrict use</p> <p><b>Advanced:</b> Prohibit use</p>	1 2



ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score 25
800005 E143	Aquatic Toxicity	Does the standard include criteria on limitations of aquatic toxicity of the product?	Refers to the indication of a critical dilution volume of certain product groups or to more general requirements to limit aquatic toxicity. In the case of standards for cleaning agents, risk based approaches such as an PEC/PNEC approach with safety margin are recognized as "limitation of aquatic toxicity" (see DoI basic). To achieve compliance with this criterion the standard needs to require the limitation of aquatic toxicity (basic) or the definition of a product specific critical dilution volume must be required (advanced).	Immediate	<b>Basic:</b> Limitation of aquatic toxicity  <b>Advanced:</b> Definition of a product specific critical dilution volume	1  2
800719 E147	Microplastic	Does the standard include criteria on the prohibition of microplastic?	Microplastic is used in cosmetic products e.g. in peelings or toothpaste. In the case of cleaning agents, microplastic is potentially used in a very limited range of products e.g. in ceramic hob cleaners. Microplastic is not biodegradable and it contributes to marine littering. If the standard only allows natural ingredients, the criterion is positively assessed.	Immediate Transition period		1
800720 E148	Propellants		Refers to requirements for the use of propellants / propulsive gases, e.g. by providing a positive list of gases, e.g. oxygen (non-greenhouse gas), air, nitrogen (non-greenhouse gas), CO <sub>2</sub> , argon (non-greenhouse gas). Normally the following propulsive gases are used: Propane (GWP=3,3), Butane (GWP=4), Dimethyl ether (GWP=1). This does not apply to standards where products are specified which are not available in spray cans. In this case the criterion is positively assessed.	Immediate Transition period		1



ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>25</b>
<b>Water</b>						<b>2</b>
<b>Water use</b>						<b>2</b>
2037 E01	Reduction of water consumption (production 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). 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.	Immediate Transition period	<b>Basic:</b> Monitor volumes of water consumption over time  <b>Advanced:</b> Monitor water volumes & increase efficiency	1  2



ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score 25
<b>Inputs</b>						<b>4</b>
2650 E151	Quantity of packaging	Does the standard include criteria on the quantity of packaging?	Refers to the requirements to minimize primary packaging that varies from general requirements to defined calculations, e.g. weight/utility ratio or packaging impact ratio. The use of packaging varies between product groups. To achieve compliance with the criterion the standard needs to require to generally minimize the amount of material used (basic) or define calculations to measure the quantity of packaging (advanced).	Immediate	Basic: General requirement to minimize the amount of material used	1
					Advanced: Defined calculations to measure the quantity of packaging	2
800063 E152	Recyclability of packaging material	Does the standard include criteria on the packaging material in order to facilitate recycling?	<p>Refers to requirements on use of recycled materials or materials compatible for recycling in packaging.</p> <p>To achieve this criterion, the standard must require either the recyclability of packaging material OR the use of recycled material in the packaging. For the former, the standard includes criteria on the packing material's compatibility for recycling (e.g. usage of one type of material (e.g. paper-board or one type of plastic) and/ or to the easy separation of different packaging materials (e.g. easy removability of adhesive stickers).</p> <p>For the latter, the standard includes requirements on the primary packaging or concerning recycled or sustainably sourced materials in the packaging.</p>	Immediate	Basic: either recyclability of packaging material OR the use of recycled material in packaging	1
					Advanced: recyclability of packaging material AND the use of recycled material in packaging	2



ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>25</b>
<b>Energy &amp; Climate Change</b>						<b>2</b>
<b>Climate Change Mitigation</b>						<b>2</b>
2091 E18	Reducing Energy Consumption (Production Phase)	Does the standard include criteria on energy consumption in the production phase?	Refers to all energy being consumed during the production processes. If the standard reverts to an environmental management instrument, its content has to be checked and the corresponding DoI has to be selected. The standard needs to require a monitoring of the energy consumption over time in production phase (basic), also in order to fulfill the advanced DoI "Increase efficiency OR increase use of renewables".	Immediate Transition period	Basic: Monitor energy consumption over time	1
					Advanced: Increase efficiency OR increase use of renewables	2



ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>25</b>
<b>Environmental Management</b>						<b>2</b>
800066 E183	Environ-mental po-licy and ma-nagement	Does the standard include criteria on environmental policy or management instruments (like EMAS or ISO 14001)?	<p>Refers to environmental management systems confirmed either through self-declaration or certification (third-party). Certifications of suppliers have to address tier 1 suppliers as a minimum level. Equivalent schemes that require the companies to reduce energy, water and waste are recognized as well. In the case of standards for cleaning agents, the A.I.S.E. Charter is an equivalent environmental management instrument.</p> <p>To achieve compliance with this criterion, the standard must require verification (self-declaration) of final manufacturing plant (basic), or certification (third party) of the final manufacturing plant (advanced).</p>	Immediate Transition period	<p><b>Basic:</b> Verifica-tion (self-decla-ration) of final manufacturing plant</p> <p><b>Advanced:</b> Certi-fication (third party) of final manufacturing plant</p>	<p style="text-align: center;">1</p> <p style="text-align: center;">2</p>



ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>25</b>
<b>Waste &amp; Air Pollution</b>						<b>2</b>
<b>Waste Management</b>						<b>2</b>
700382 E50	Restricting waste volume	Does the standard include criteria on volumes of waste?	Refers to total amounts of waste being produced. If the standard refers to an environmental management instrument, it has to include the reduction of volumes of waste. This refers to waste for disposal or recycling (and not to material which is reused). To achieve compliance with this criterion, the standard must require reduction of volumes of waste.	Immediate Transition period		1
700391 E56	Consumer information regarding sustainable use and disposal of product	Does the scheme include criteria on consumer information on the sustainable use and disposal of the product?	Refers to requirements on consumer information on the packaging regarding the sustainable use and disposal of the product. In the case of information technology (IT) hardware, it refers to information on where and how the user shall dispose of the product. In the case of other product sectors such as cleaning agents, it refers to guidelines for washing, dosage of product, etc.	Immediate		1



ITC ID /SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>25</b>
<b>Quality</b>						<b>1</b>
<b>Quality and Suitability</b>						<b>1</b>
700424 E184	Fitness for use	Does the standard include criteria on the fitness for use of the product for the intended purpose?	Refers to the suitability/ serviceability of the products in order to maintain the intended purpose. In the case of standards for cleaning agents, the criterion refers to requirements to conduct cleaning performance tests that are specific for different product groups e.g. laundry detergents, dishwasher detergents.	Immediate Transition period		1





### III. SOCIAL RESPONSIBILITY

SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score 13
<b>Labour Rights and Working Conditions</b>						<b>4</b>
<b>ILO Core Conventions</b>						<b>2</b>
800728 LR41	Core labour standards along the supply 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>	Immediate Transition period	Basic: main tier 1 suppliers	1
					Advanced: all tier 1 suppliers	2



SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>13</b>
<b>Health and Safety</b>						<b>2</b>
<b>Occupational Health and Safety</b>						<b>2</b>
740206 LR39	ILO 155	Does the standard include criteria on occupational health and safety, as defined in ILO 155?	<p>To achieve compliance with this criterion, the following must be addressed by the standard and respective verification measures must be defined:</p> <ul style="list-style-type: none"> <li>- Workplaces, machinery, equipment are safe and without risk to health.</li> <li>- Chemical, physical &amp; biological substances and agents are without risk to health when appropriate measures are taken.</li> <li>- Employers shall provide adequate protective clothing and personal protective equipment (PPE).</li> <li>- Provide measures to deal with emergencies and accidents, including adequate first-aid arrangements.</li> <li>- Workers and their representatives are given appropriate training in occupational health and safety.</li> </ul> <p>If the standard requires the aspects mentioned above specifically or refers to ILO 155 in general, this criterion is fulfilled.</p> <p>To achieve compliance, the standard must require partial compliance with ILO 155 (basic) or full compliance with ILO 155 (advanced).</p>	Immediate Transition period	Basic: partial compliance with ILO 155	1
					Advanced: full compliance with ILO 155	2



SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>13</b>
<b>Business Practice and Ethical Issues</b>						<b>2</b>
<b>Economic Development and Fair Business Practice</b>						<b>1</b>
<b>Legality</b>						<b>1</b>
4071 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.	Immediate Transition period		1
<b>Corruption and Bribery</b>						<b>1</b>
1954 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.	Immediate Transition period		1



SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score 13
<b>Company Responsibility</b>						<b>7</b>
<b>Company Responsibility in Europe</b>						<b>5</b>
30092 CR01	Equal Opportunities	Does the standard require the implementation of measures that aim at generating equal economic opportunities for women and men?	Such measures could contain: Quota for women in leadership positions; policies aiming at closing the gender pay gap, or activities to reconcile family and work life.	Immediate Transition period		1
2647 CR02	CSR Strategy	Does the standard require the definition of a company-wide CSR strategy?	A CSR strategy is a document that defines strategies, policies and procedures necessary to implement corporate responsibility goals.	Immediate Transition period	Basic: a CSR strategy is defined	1
					Advanced: CSR strategy is publicly available.	2
800732 CR03	Community Engagement	Does the standard include criteria on community engagement?	This could include activities such as sponsoring, volunteer programs for employees, or other philanthropic contributions to local development.	Immediate Transition period		1
800733 CR04	Demographic Change	Does the standard include requirements on measures that aim at managing demographic change?	Such measures could include programmes promoting professional and vocational training, life-long learning, and assuring the availability of skilled employees.	Immediate Transition period		1



SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>13</b>
<b>Impact Assessment</b>						<b>2</b>
30048 GQ05	Human Rights and Social Impact Assessment	Does the standard include criteria on assessing the impacts of operations on human rights?	<p>This refers to requirements to conduct human rights and/or social impact assessments.</p> <p>Human Rights Impact Assessment: 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>Social Impact Assessment: 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>	Immediate Transition period	<p><b>Basic:</b> Human Rights Impact Assessment OR Social Impact Assessment</p>	1
			<p><b>Advanced:</b> Human Rights Impact Assessment AND Social Impact Assessment</p>		2	