



## 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
Inputs .....	41
Energy & Climate.....	42
Waste & Air Pollution.....	44
Environmental Management.....	46
Quality.....	47
Lifetime .....	48
<b>III. SOCIAL RESPONSIBILITY .....</b>	<b>51</b>
Social & Cultural Rights and Community Engagement.....	51
Conflict Minerals .....	53
Labour Rights and Working Conditions .....	54



## I. CREDIBILITY

ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score 134
<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?	Either of the following:  - 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. - An online statement that the standard is made available to any interested stakeholder on request free of charge  - Choose 'No' also if available only for members or for a fee	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



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
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



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
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



ITC ID SSCT ID	Criteria name	Criteria question	Requirements	Reference	Response options	Total Score <b>134</b>
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?	- 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.	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?	- 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 procedure specifies how different degrees of non-conformity (if applicable) are to be addressed and remediated, in order to support consistency between CABs. - 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.	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 -



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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>		3rd party 1st party / 2nd party No Not applicable	2 1 0 -
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	Field visit (incl. office visit & doc. review) Document review (off-site or on-site) only No Not applicable	2 1 0 -



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>		At least every 3 years Every 4 years or more No Not applicable	2 1 0 -
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>		Yes No Not applicable	1 0 -



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?	<p>→ Not applicable if no claims are made regarding the origin of certain ingredients or products (CoC is required).</p> <ul style="list-style-type: none"> <li>- 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.</li> </ul>	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?	<p>Either of the following:</p> <ul style="list-style-type: none"> <li>- Clearly defined activities pursued to make sure labels and claims are used accurately</li> <li>- A complaints mechanism that allows stakeholders to report the false use of labels and claims</li> </ul>	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?	<ul style="list-style-type: none"> <li>- A statement in its claims policy that different percentage requirements of certified inputs require accurate labelling, reflecting these differences</li> </ul> <p>Not applicable if:</p> <ul style="list-style-type: none"> <li>- Claim does not refer to product inputs/single ingredients but to the whole/ final product</li> </ul>	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 (Dol)	Total Score <b>33</b>
<b>Chemicals</b>						<b>10</b>
<b>Chemical Use</b>						<b>10</b>
700402 E114	Criteria on 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>To achieve compliance with this criterion the standard needs to restrict the use (basic) or prohibit the use, except for the defined derogations (advanced).</p>	Immediate	Basic: Restrict use	1
					Advanced: Prohibit use except for defined derogations.	2
700358 E38	Criteria on chemicals harmful to the environment	Does the standard include criteria on H statements H400, H410, H411?	<p>Refers to chemicals classified as environmental hazards statements according to GHS (Globally Harmonized System of Classification and Labelling of Chemicals).</p> <p>To achieve compliance with this criterion, the standard must include requirements for an ecological risk assessment of the substances in use (e.g. assessing a correlation between biodegradation and aquatic toxicity) or the selection of substances for MRSL considers H statements (e.g. H statements and exposure situation depending on the sector of use and application field of the chemicals are considered).</p>	Immediate Transition period	Basic: Prohibit use for some applications	1
					Advanced: Prohibit use for all applications	2



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
700353 E33	Criteria on use of flame retardants	Does the standard include criteria on the use of flame retardants?	Refers to the ban of halogenated flame retardants and other problematic flame retardants like Sb203. Justifiable and clearly defined exemptions e.g. plastic parts weighing equal to or less than 25 g are accepted.  To achieve compliance with this criterion the standard needs to prohibit the use of halogenated flame retardants.	Immediate Transition period		1
740203 E115	Criteria on chemicals harmful to human health	Does the standard include criteria on H statements?	Refers to chemicals classified as health hazard statements according to GHS (Globally Harmo- nized System of Classification and Labelling of Chemicals) or are identified as substances of very high concern (SVHC) under REACH.  To achieve compliance with this criterion the standards needs to prohibit the use for some appli- cations (basic) or prohibit the use of additional H statements for all applications (advanced).	immediate	<b>Basic:</b> Prohibit use for some applica- tions  <b>Advanced:</b> Pro- hibit use for H statements as well as additional H statements for all applications	1  2
700345 E26	List of chemicals of low con- cern	Does the standard include a list of substances which are of low concern for the in- tended use?	Refers to a list of chemicals of low concern for the intended use for substitution of substances with high concern.	Immediate Transition period		1
800054 E122	Criteria on the use of heavy met- als	Does the standard include criteria on the use of mer- cury, cadmium, lead, chro- miumVI?	Refers to restricted use or ban of those heavy met- als that are partly prohibited due to the Directive 2011/65/EU: Restriction of the use of certain haz- ardous substances (RoHS). To achieve compli- ance with this criterion the standard needs to re- quire compliance with the RoHS directive.	Immediate Transition period		1





ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
1000048 E124	Criteria on the use of plasticizer	Does the scheme include criteria on other substances which have impact on hu- man health and the environ- ment?	Refers to restricting the use of plasticizers, poly- mers 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 problem- atic substances.	Immediate Transition period		1
<b>Inputs</b>						<b>3</b>
800062 E130	Metal	Does the standard include criteria on environmental re- sponsible mining practices?	Refers to any criteria on minimizing the environ- mental impact of mining, e.g. regarding the use of chemicals like cyanides, mine closure, mining ac- tivities in protected areas and the management of acid mine drainages (e.g. by introducing water treatment).  The standard can refer to "credible" mining certifi- cation schemes. It has to be evaluated if the min- ing certification scheme is credible. If the standard requires that all minerals come from recycled sources, the criterion should be an- swered with "yes". To achieve compliance with this criterion the standard needs require implemented risk assessments.	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
800064 E132	Postcon- sumer recy- cled content in the prod- uct or pack- aging	Does the scheme include criteria on the use of post- consumer recycled content in the product or packaging?	Refers to the usage of recycled card boxes in the packaging or to the usage of postconsumer recy- cled content (e.g. plastics or metal) in the product. To achieve compliance with this criterion the standard needs to require information on postcon- sumer content in the packaging (basic) or require that postconsumer content in the product is ≥ 10%.	Immediate Transition period	Basic: Information on postconsumer recycled content in product or packag- ing	1
					Advanced: Post- consumer recy- cled content in product ≥ 10%	2
<b>Energy &amp; Climate</b>						<b>4</b>
<b>Climate Change Mitigation</b>						<b>4</b>
2091 E18	Reducing Energy Consump- tion (Pro- duction Phase)	Does the standard include criteria on energy consump- tion in the production phase?	IT, PH: General criteria on environmental man- agement systems are not sufficient. The standard might refer to existing norms like ISO 50001 (Energy management systems) or re- porting tools like GRI (Global Reporting Initiative). The nine main suppliers are the manufacturer's top three suppliers (by spend) of each of the fol- lowing three types of components: in the case of laptops: principle storage device(s), principle semi- conductor device(s), primary printed circuit board(s); in the case of mobile phones: display, in- tegrated circuits, printed circuit board. To achieve compliance with this criterion the standard needs to require the measurement of the energy consumption of the main nine suppliers.	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
800049 E117	Use of Re- newable Energy (production phase)	Does the standard include criteria on the usage of re- newable energy in the pro- duction phase of the hard- ware?	Refers to the use of renewable energy sources leading to additional environmental benefits and hence to an increase in the share of renewable en- ergies in the total electricity mix of the country/ re- gion.  To achieve compliance with this criterion the standard need to require a balance sheet of elec- tricity usage or comparable evidence for selected major suppliers of hardware components that pur- chased electricity leads to additional environmen- tal benefits.	Immediate Transition period		1
2117 E118	Fluorinated GHG emis- sions	Does the scheme include requirements for the reduc- tion of GHG emissions?	Refers to any production activity aimed at minimiz- ing greenhouse gas emissions (e.g. changing to use of renewable sources of energy, optimizing use of energy-intensive inputs, efficient use of equipment, avoiding forest degradation and con- version, advanced formulation fertilizers, soil se- questration). This also refers to fluorinated GHG emissions, e.g. during display or chip production.  Provide evidence (criterion number and URL) that the scheme includes requirements to reduce GHG emissions.		<b>Basic:</b> standard requires infor- mation on F-GHG emission from suppliers.  <b>Advanced:</b> reduce GHG emissions	1  2



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
<b>Waste &amp; Air Pollution</b>						<b>7</b>
<b>Waste Management</b>						<b>7</b>
2052 E53	Waste management (production phase)	Does the standard include criteria on waste management in the production phase?	Refers to recording waste streams and to waste management procedures including collection and suitable disposal of waste streams (excl. wastewater). At least one of the production phases has to be covered by the standard. The standard has to include specific criteria on this aspect. General criteria on environmental management systems are not sufficient. The standard might refer to existing reporting tools like GRI (Global Reporting Initiative; e.g. indicator EN23: Total weight of waste by type and disposal method).	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 Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
800740 E168 (OR E128)	Common external power supply	Does the standard include criteria on a common exter- nal power supply?	Refers to the design of harmonised chargers in or- der to reduce electronic waste. The standard re- fers e.g. to the EN / IEC 62684 standard “Interop- erability specifications of common external power supply (EPS) for use with data-enabled mobile tel- ephones”.	Immediate		1
800059 E127	Recyclabi- lity of plas- tics	Does the standard include criteria on the recyclability of plastics used?	Refers to (1) allowed number of plastic types, (2) recyclability of polymers and (3) the prohibition of surface coating / metal inlays. Criteria regarding the packaging are excluded for the assessment of this criterion. To achieve compliance with this criterion, the standard must include requirements that cover one of the listed aspects (basic), or requirements that cover at least two of the listed aspects (advanced).	Immediate Transition period	<b>Basic:</b> One of the listed aspects are covered  <b>Advanced:</b> At least two of the listed aspects are cov- ered	1  2
800060 E128 (OR E168)	Design for disassembly	Does the standard include criteria on disassembly of the product for recycling?	Refers to a disassembly for recycling purposes, especially of metal and plastic parts and to a de- sign that allows the easy removal of incompatible and hazardous material as well as precious re- sources. In the case of mobile phones, this refers to easy removal of batteries. A testing report (internal or from a dismantler) veri- fies that the dismantling is practicable for recycling purposes.	Immediate		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
800061 E129	Take back system	Does the standard include criteria on a take back sys- tem for the product?	Refers to a company take back system to ensure proper recycling if there is no legal take back sys- tem in place. The criterion can be answered with "yes", if the standard ensures that the certified products are only sold in countries with WEEE (Directive 2002/96/EC on waste electrical and electronic equipment) or similar legislations OR if the stand- ard defines criteria on a take back system.	Immediate Transition period		1
<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 in- struments (like EMAS or ISO 14001)?	Refers to environmental management systems confirmed either through self-declaration or certifi- cation (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.  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 (ad- vanced).	Immediate Transition period	<b>Basic:</b> Verification (self-declaration) of final manufac- turing plant  <b>Advanced:</b> Certifi- cation (third party) of final manufac- turing plant	1  2



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
<b>Quality</b>						<b>2</b>
<b>Quality and Environmental Management Standards</b>						<b>2</b>
800742 E169	Electro- magnetic radiation	Does the standard include criteria on electromagnetic radiation?	Refers to the specific absorption rate (SAR) in- duced by radio-frequency electromagnetic radi- ation below the basic restriction of 2 W/kg recom- mended by the Council of the European Union.	Immediate Transition period		1
800743 E170	Material use on toucha- ble surfaces	Does the standard include criteria on the use of materi- als on touchable surfaces?	Refers to any materials that might be irritating to consumers' skin, e.g. nickel (contact allergen) or biocidal silver (for antimicrobial purposes).	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
<b>Lifetime</b>						<b>8</b>
800069 E137	Modular De- sign	Does the standard include criteria on a modular design of the product?	Refers to a modular design that allows exchanging major components of the product for the purpose of upgrades and/or repairs (including memory, disk drives) without the use of special tools.	Immediate	<b>Basic:</b> Modular de- sign with major components not being specified	1
			To achieve compliance with this criterion, the standard must require modular design with major components not being specified (basic), or modu- lar design specified for battery AND display (ad- vanced).		<b>Advanced:</b> Modu- lar design speci- fied for battery AND display	2
800070 E138	Spare Parts	Does the standard include criteria on the availability of spare parts for the product?	Refers to the period, spare parts are available af- ter production stopped. The spare parts can be ei- ther original or backwardly compatible.	Immediate Transition period	<b>Basic:</b> Availability for 3 years after end of production	1
			To achieve compliance with this criterion, the standard must require the availability of spare parts for 3 years after end of production (basic), or for 5 years after end of production OR explicit availability of spare parts for public / independent repairers (advanced).		<b>Advanced:</b> Availa- bility for 5 years after end of pro- duction OR explicit availability of spare parts for public / independ- ent repairers	2





ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
800071 E139	Criteria on battery properties / quality	Does the standard include criteria on properties / qual- ity of the battery?	Refers to properties / quality of the battery. In the case of laptops, this refers to rechargeable, battery capacity and replaceable without tools. In the case of mobile phones, this refers to the battery capac- ity after certain charge and discharge cycles.	Immediate		1
800073 E141	Information on Repara- bility, Up- gradeability and Usage of Battery	Does the standard include criteria on providing infor- mation concerning repara- bility, upgradeability and us- age of the battery to the user?	Refers to consumer information. Information on these three aspects has to be intro- duced to the user: reparability, expansion options, proper usage of batteries. To achieve compliance with this criterion, the standard must require information in a user man- ual.	Immediate Transition period		1
800746 E174	Data dele- tion	Does the standard include criteria on data deletion for facilitating second use?	Refers to a software provided by the manufacturer free of charge and/or the possibility of an easy re- moval of the internal memory (on PCB, i.e. not to be confused with external memory / SD card) to al- low the user to completely and safely delete all personal data on his own.	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (Dol)	Total Score <b>33</b>
800067 E135	Lifetime Guarantee	Does the standard include criteria on an additional life- time guarantee for the prod- uct beyond the legal obliga- tions?	Refers to a lifetime guarantee by the producer that assures the functionality of the device for a certain period (inappropriate use excluded; in the case of mobile phones: without battery). This guarantee has to be free of charge. For software products, this includes maintenance and upgradability (e.g. provision of regular soft- ware updates or upgrades) of the product. To achieve compliance with this criterion, the standard must require a period of guarantee of be- tween 1-2 years.	Immediate Transition period		1



### III. SOCIAL RESPONSIBILITY

ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
<b>Social &amp; Cultural Rights and Community Engagement</b>						<b>5</b>
<b>Local Economic Development</b>						<b>2</b>
2025 HR09	Community investment	Does the standard include criteria on investment in community development beyond the business' operations?	Standard includes criteria related to the active (philanthropic) support of community development including, among others, education, health, and sanitation. For agricultural standards, the term "business" includes "farms"/ "plantations". For IT products: The criterion is particularly relevant in the phase of resource extraction.	Immediate Transition period		1
300461 HR10	Community Access to Livelihoods	Does the standard include criteria on not adversely affecting local communities and neighboring small producers access to livelihoods (especially land and water)?	Community access to livelihood means access to land, housing, aquatic resources and transport. This includes respecting third parties' legal or customary rights on land and other resources. The main difference to the FPIC criterion is that no proactive involvement of local communities in the decision-making process is required. For IT products: The criterion is particularly relevant in the phase of resource extraction.	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
<b>Community Rights</b>						<b>3</b>
30049 HR12	Community grievance	Does the standard include criteria on dispute resolution mechanisms for affected communities?	<p>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).</p> <p>For IT products: The criterion is particularly relevant in the phase of resource extraction.</p> <p>To achieve compliance, the standard has to require a grievance mechanism for affected communities (basic) and provide fair compensation for negative impacts of operations on local communities and individuals (advanced).</p>	Immediate Transition period	<p><b>Basic:</b> The standard has to require a grievance mechanism for affected communities.</p>	1
					<p><b>Advanced:</b> The standard provides fair compensation for negative impacts of operations on local communities and individuals.</p>	2



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
1952 HR16	Free, Prior and Informed Consent (FPIC)	Does the standard include criteria to seek Free, Prior and Informed Consent (FPIC) of local communi- ties?	FPIC refers to the principle that a community has the right to give or withhold its consent to pro- posed projects that may affect the lands they cus- tomarily own, occupy or otherwise use. This is par- ticularly relevant in cases of land use change or changes in land ownership. The main difference to the criterion on access to livelihoods is that FPIC requires an active involvement and participation of affected communities in the decision-making pro- cess (codetermination). In order to pass this crite- rion, the FPIC concept needs to be explicitly men- tioned. No double-counting of criteria that only look at land use aspects or community grievance mechanisms. For IT products: The criterion is particularly rele- vant in the phase of resource extraction.	Immediate Transition period		1
<b>Conflict Minerals</b>						<b>1</b>
800074 HR24	Conflict mine- rals	Does the standard include criteria on conflict minerals (based on the OECD Due Diligence Guidance)?	The criterion refers to policies and processes that explicitly aim at identifying, preventing or mitigating any risks of adverse impacts associated with min- eral production and trade from conflict-affected or high- risk areas. The criterion refers to the require- ments for a supply chain due diligence assess- ment in accordance with the OECD Due Diligence Guidance for Responsible Supply Chains of Miner- als from Conflict-Affected and High-Risk Areas.	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
<b>Labour Rights and Working Conditions</b>						<b>25</b>
<b>ILO Core Conventions</b>						<b>9</b>
1989 LR04	Minimum Age / ILO 138	Does the standard include criteria on the prohibition of child labour as defined un- der 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). Articles four to eight of the ILO-Convention govern exceptions.</p> <p>In cases where ILO norm and national law differ, the stricter rule shall apply. For agriculture standards: if children work on their family's farm, Article 32(1) of the Convention on the Rights of the Child (1989) needs to be respected, making sure that children are "protected from economic exploitation and from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral or social development."</p>	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
1979 LR05	Prohibition of the worst forms of child labour / ILO 182	Does the standard cover requirements on the prohibition of the worst forms of child labour as defined under ILO 182?	Worst forms of child labour comprises: (a) all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced or compulsory labour, including forced or compulsory recruitment of children for use in armed conflict; (b) the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances; (c) the use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs as defined in the relevant international treaties; (d) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children.	Immediate transition period		1
1986 LR13	Prohibition of forced labour	Does the standard prohibit forced and compulsory labour as defined in ILO 29 and ILO 105?	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: - Threat of penalty, and - Work or service undertaken involuntarily 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.	Immediate transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
1993 LR16	Freedom of Association	Does the standard include criteria on freedom of association and the right to organize as described in ILO 87?	According to ILO Convention 87, workers and employers, without distinction whatsoever, shall have the right to establish and, subject only to the rules of the organisation concerned, to join organisations of their own choosing without previous authorisation (art 2). To achieve compliance with this criterion, standards must include criteria on freedom of association and the right to organize as described in ILO 87.	Immediate transition period		1
1996 LR17	Collective Bargaining	Does the standard include criteria on the right to collective bargaining, as laid down by ILO 98?	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.  Especially where restricted by law standards must promote or facilitate parallel other means of collective negotiations.	Immediate Transition period		1





ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</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. 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>	Immediate Transition period	<p><b>Basic:</b> main tier 1 suppliers</p> <p><b>Advanced:</b> all tier 1 suppliers</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 <b>31</b>
1987 HR19	Non-Discrimi- nation	Does the standard include criteria on the non-discrimi- nation in the workplace, as defined in ILO 111?	To achieve compliance with this criterion, the standard must include criteria on the prohibition of discrimination. 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 voca- tional training, access to employment and to par- ticular occupations, equal opportunities in recruit- ment process, equal access to promotions within the company, equal remuneration).	Immediate transition period		1
1994 HR21	Equal Remu- neration / ILO 100	Does the standard address the payment of equal wages as defined in ILO 100?	Equal remuneration for men and women workers for work of equal value refers to rates of remunera- tion established without discrimination based on sex (ILO 100 Art 1)	Immediate transition period		1
<b>Labour Rights</b>						<b>10</b>
<b>Gender</b>						<b>1</b>
2531 LR43	Women's Rights	Does the standard include any requirements to pro- mote women's (economic) rights?	The criteria go beyond a non-discrimination clause, legal compliance or any other aspect that is already addressed elsewhere. It refers to any process or policy that specifically aims at promot- ing women's (economic) rights. Examples could be special quotas for women workers.	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
<b>Wages and Benefits</b>						<b>3</b>
1991 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>	Immediate Transition period		1
1988 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>	Immediate Transition period		1



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1983 LR22	Provision of Social Be- nefits	Does the standard require the provision of social bene- fits?	Refers to workers being entitled to social benefits including insurance payments to employees cover- ing for instance: unemployment, pension, medical and job related accident insurance. References to ILO Convention 102 and 121 can also be counted for this criterion.	Immediate Transition period		1
<b>Working Hours</b>						<b>1</b>
1990 LR19	Regulated working Hours / ILO 1	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.  The ILO specifications on working hours differ from sector to sector. For industrial work, the spec- ifications 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.	Immediate Transition period		1
<b>Other Labour Rights</b>						<b>3</b>
30086 LR03	Worker Grievances	Does the standard include criteria on worker grievance mechanisms?	Policy and processes under which all workers can voice grievances (also anonymously).	Immediate Transition period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
700411 LR18	Workers Rep- resentation Where Re- stricted by Law	Does the standard include criteria on the formation of workers representations where freedom of associa- tion is restricted by law?	Standards that have requirements to facilitate par- allel means to the right to freedom of association in countries which have not ratified ILO 87 or 98 and/or national laws prohibit or impair organizing for the furthering and defending the interests of workers or employees, will be captured by this cri- terion. To achieve compliance with this criterion, the standard must require allowing parallel means to the right to freedom of association, such as the for- mation of workers representations.	Immediate transition period		1
800077 LR44	Information about Labour Rights	Does the standard include requirements to inform workers about their labour rights?	Any mechanism that raises awareness and builds capacity among workers to claim their labour rights.	Immediate Transition period		1
<b>Scope of Labour Rights</b>						<b>2</b>
30072 LR02	Rights for sub-contractors	Do the standard's rights and benefits for workers also ap- ply to sub-contracted la- bour?	Subcontracting refers to outsourced or sub-con- tracted labour from employment agencies as op- posed to a formal employee relationship with for- mal rights and protections. These sub-contracted workers need to be granted the same rights as for- mal 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. To achieve compliance with this criterion, the standard must include criteria on sub-contracting (e.g. through due diligence process).	Immediate Transi- tion period		1



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score <b>31</b>
1978 AND 900017 LR20	Labour Contracts	Does the standard include criteria on the establishment of labour contracts compliant with national legal requirements?	Every worker (also temporary, seasonal / part-time, home workers) should have a contract. Employment contracts shall be - documented - in a language that the worker can understand - be made available to both parties. 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.	Immediate Transition period		1
<b>Health and Safety</b>						<b>6</b>
<b>Occupational Health and Safety</b>						<b>6</b>
1985 LR14	Prohibition of harassment 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.	Immediate Transition period		1
740206 LR39	Criteria on occupational health and safety / ILO 155	Does the standard include criteria on occupational health and safety, as defined in ILO 155?	To achieve compliance with this criterion, the following must be addressed by the standard:  - Workplaces, machinery, equipment are safe and without risk to health. - Chemical, physical & biological substances and agents are without risk to health when appropriate measures are taken. - Employers shall provide adequate protective clothing and personal protective equipment (PPE). - Provide measures to deal with emergencies and accidents, including adequate first-aid arrangements.	Immediate Transition period	<b>Basic:</b> partial compliance with ILO 155  <b>Advanced:</b> full compliance with ILO 155	1  2



ITC ID SSCT ID	Criteria name	Criteria question	Guidance	Degree of Obligation	Degree of Intensity (DoI)	Total Score 31
			<p>- Workers and their representatives are given appropriate training in occupational health and safety.</p> <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>			
700405 LR29	Coverage of Medical Costs	Does the standard require compensation payments/ covering of costs in case of work related accidents and injuries?	<p>Reference to applicable schemes run by bodies other than the farm or the company should be accepted (e.g. national insurance schemes).</p> <p>To achieve compliance with this criterion, the standard must require partial coverage of costs (basic) or full coverage of costs (advanced).</p>	Immediate Transition period	<p><b>Basic:</b> partial coverage of costs</p> <p><b>Advanced:</b> full coverage of costs</p>	1  2
10120 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.	Immediate Transition period		1

*Siegelklarheit is being implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ). As an initiative of the German Federal Government Siegelklarheit is being coordinated by a Steering Committee that also includes the Federal Ministries for Labour and Social Affairs (BMAS), of Food and Agriculture (BMEL), of Justice and Consumer Protection (BMJV), for the Environment, Nature Conservation and Nuclear Safety (BMU), as well as for Economic Affairs and Energy (BMWi).*