



## Content

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## I. CREDIBILITY

| ITC ID<br>SSCT ID  | Criteria name                    | Criteria question   | Requirements  | Reference                  | Response options                        | Total Score<br><b>134</b> |
|--|----------------------------------|---|---|----------------------------|---|---------------------------|
| <b>A - Scheme Management</b><br>Governance structures and management of the scheme |                                  |   |   |                            |   | <b>21</b>                 |
| <b>Governance</b>  |                                  |   |   |                            |   | <b>13</b>                 |
| 700110<br>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<br>Yes (on request)<br>No | 2<br>1<br>0               |
| 700111<br>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<br>No                               | 1<br>0                    |
| 700126<br>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)<br><br>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<br>No                               | 1<br>0                    |



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|-------------------|--|--|--|---|---|---------------------------|
| 700125<br>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<br>No                               | 1<br>0                    |
| 700123<br>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<br>Yes, publicly<br>No | 2<br>1<br>0               |
| 700119<br>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<br>Yes (on request)<br>No | 2<br>1<br>0               |



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|-------------------|--|---|--|---|---|---------------------------|
| 740208<br>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<br>2014/24/EU Art. 43 (1) | Yes<br>No                               | 1<br>0                    |
| 700108<br>A.08    | Sustainability goals and objectives of the scheme    | Does the scheme owner have sustainability-oriented goals and objectives?                            | - 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)<br>- The goals and objectives are sustainability-oriented, i.e. oriented towards improving environmental and/or socio-economic impacts | Supported by ISO/IEC 17067, 6.3.4       | Yes<br>No                               | 1<br>0                    |
| 700282<br>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<br>Yes (on request)<br>No | 2<br>1<br>0               |
| <b>Impact</b>     |  |   |  |   |   | <b>5</b>                  |
| 700287<br>A.11    | Impact measurement                                   | Does the scheme owner have a system in place for measuring its impacts and                          | Either of the following:<br>- The proven existence of a monitoring and evaluation system, which contains indicators the scheme owner uses to measure its outputs,  | ISEAL Impacts Code 8.1                  | Yes, publicly<br>Yes (on request)<br>No | 2<br>1<br>0               |



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|------------------------------|---------------------------------|--|--|-------------------------|---|---------------------------|
|                              |                                 | progress towards its sustainability goals?   | outcomes and impacts<br>- 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. |                         |   |                           |
| 10800<br>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<br>No   | 1<br>0                    |
| 700285<br>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)<br><br>- 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<br>Yes (on request)<br>No<br>Not applicable | 2<br>1<br>0<br>-          |
| <b>Supporting Strategies</b> |                                 |  |  |                         |   | <b>3</b>                  |
| 2145<br>A.14                 | Compliance technical assistance | Does the scheme provide access to technical  | - This question is mostly relevant for schemes which have a capacity building approach.  |                         | Yes<br>No   | 1<br>0                    |



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|--|--|---|---|---|---|---------------------------|
|  |  | assistance for compliance with the standard?  | Technical assistance could be given in the form of workshops, trainings, provision of equipment, etc.   |   |   |                           |
| 3838<br>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<br>No                               | 1<br>0                    |
| 2146<br>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<br><br>Examples include advance payments to facilitate the purchase of produce from the farmers, the existence of a support fund, or the payment of verification/ certification fees via purchasing companies.                          |   | Yes<br>No                               | 1<br>0                    |
| <b>B - Standard Setting</b><br>Standard development and revision |  |   |   |   |   | <b>16</b>                 |
| 700138<br>B.01   | Availability of standard               | Is the standard made available free of charge?  | Either of the following:<br><br>- 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.<br>- An online statement that the standard is made | ISEAL Std-Setting Code 5.7.1<br>ISO 14024 7.4.3<br>2014/24/EU Art. 43 (1) | Yes, publicly<br>Yes (on request)<br>No | 2<br>1<br>0               |



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|-------------------|--------------------------|---|---|--|---|---------------------------|
|                   |                          |   | <p>available to any interested stakeholder on request free of charge</p> <p>- Choose 'No' also if available only for members or for a fee</p>   |  |   |                           |
| 700131<br>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<br>2014/24/EU Art. 43 (1) | Yes<br>No                               | 1<br>0                    |
| 700133<br>B.03    | Standard-setting process | Are the standard-setting procedures or a public summary of how stakeholders   | - The standard-setting procedures are documented, outlining how stakeholders can engage in the process  | ISO 14024 5.11.,<br>ISEAL Std-Setting Code 5.3,        | Yes, publicly<br>Yes (on request)<br>No | 2<br>1<br>0               |



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|-------------------|--|---|--|--|---|---------------------------|
|                   |  | can engage made available?  | <ul style="list-style-type: none"> <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 scheme owner publicly announces each consultation period on its website</li> </ul> | 2014/24/EU Art. 43 (1)   |   |                           |
| 300809<br>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<br>Members only /<br>Invitation only<br>No | 2<br>1<br>0               |
| 700134<br>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<br>For ISO Type I: ISO 14024 5.9. and 6.2., 2014/24/EU Art. 43 (1) | Yes<br>No   | 1<br>0                    |
| 700132<br>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<br>No<br>Not applicable                                 | 1<br>0<br>-               |





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|-------------------|---|--|--|--|---------------------|---------------------------|
| 700135<br>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<br>No | 1<br>0                    |
| 700137<br>B.08    | Stakeholder representation in standards decisions | Do the voting procedures of the decision-making body responsible for standard setting ensure that there is a balanced representation of stakeholder interests? | - Documented information on the voting procedure of the highest decision-making body responsible for the standard setting process specifies that all categories of stakeholders are represented. The procedure shall also ensure that a stakeholder category is not able to dominate decision-making   | ISEAL Std-Setting Code 5.6.3 2014/24/EU Art. 43 (1)  | Yes<br>No           | 1<br>0                    |
| 700142<br>B.09    | Standard review                                   | Is the standard reviewed and, if necessary, revised at least every 5 years?  | - A statement that details the frequency of review 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<br>No           | 1<br>0                    |
| 300811<br>B.10    | Consistent interpretation of the standard         | Does the scheme ensure that guidance is in place to support consistent interpretation of the standard?   | <ul style="list-style-type: none"> <li>- 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.</li> <li>- The standard and/or guidance documents shall specify necessary evidence for each criterion.</li> </ul> | ISEAL Std-Setting Code 6.3.1, 6.3.2, 2014/24/EU Art. 43 (1), ISO 14024 6.4                             | Yes<br>No           | 1<br>0                    |



| ITC ID<br>SSCT ID   | Criteria name                      | Criteria question   | Requirements   | Reference                                  | Response options                        | Total Score<br><b>134</b> |
|---|------------------------------------|---|--|--|---|---------------------------|
| 700140<br>B.11  | Interpretation to regional context | Are there procedures and guidance for application or interpretation of the standard to regional contexts? | <p>→ Not applicable for schemes that develop different product standards based on a life-cycle and multi-criteria approach (ISO type I labels)</p> <p>Either of the following:</p> <ul style="list-style-type: none"> <li>- Information in the standard about how each of the requirements can be interpreted for application at a local level</li> <li>- Procedure for development of a local adaptation of the standard including stakeholder consultation measures.</li> <li>- The standard organization has country-specific standards</li> </ul> <p>In case of ISO Type I labels or other process-based standards this is 'not applicable', as its approach does not allow for the recognition of local contexts.</p> | ISEAL Std-Setting Code 6.4<br>ISO Guide 59 | Yes<br>No<br>Not applicable             | 1<br>0<br>-               |
| 700139<br>B.12  | Complaints mechanism               | Does the scheme owner have a complaints mechanism for the standard-setting process?                       | <ul style="list-style-type: none"> <li>- A written statement which shall contain the following information:</li> <li>- Clear steps and responsibilities to resolve the complaint</li> <li>- In what form and to whom a complaint needs to be submitted to</li> </ul>   |  | Yes, publicly<br>Yes (on request)<br>No | 2<br>1<br>0               |
| <b>C - Assurance</b><br>Mechanisms for assessment of compliance with the standard |                                    |   |  |  |   | <b>76</b>                 |
| <b>C.1 - Assurance System</b>   |                                    |   |  |  |   | <b>21</b>                 |



| ITC ID<br>SSCT ID | Criteria name          | Criteria question   | Requirements  | Reference  | Response options                        | Total Score<br><b>134</b> |
|-------------------|------------------------|---|---|--|---|---------------------------|
| 700162<br>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<br>ISEAL Assurance Code 6.1.1<br>GENICES Schedule A2 4.3 (5)   | Yes, publicly<br>Yes (on request)<br>No | 2<br>1<br>0               |
| 7000168<br>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.<br>2014/24/EU Art. 43 (1)<br>GENICES Schedule A2, 6  | Yes<br>No                               | 1<br>0                    |
| 7000165<br>C.1.03 | Assessment fees        | Does the scheme owner require CABs to have an assessment fee schedule?  | - 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.<br>- 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.  | ISO/IEC 17021-1, 8.5.1 c)<br>ISEAL Assurance Code 6.1 (optional good practice)<br>GENICES Schedule A2, 4.3 (6) & 9 | Yes, publicly<br>Yes (on request)<br>No | 2<br>1<br>0               |
| 7000166<br>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? | - All initial und recurring fees are listed and made available (on request or on the website) and these are not excessive.<br>- The scheme owner can justify that the level of all fees is calculated so as to cover necessary operational costs only.<br><br>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. | ISO 14024 5.16<br>GENICES Schedule A2, 9<br>2014/24/EU Art. 43 (1)   | Yes<br>No                               | 1<br>0                    |



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|-------------------|---|---|---|---|--|---------------------------|
| 700173<br>C.1.05  | CAB complaints mechanism                  | Does the scheme owner require CABs to have a documented complaints mechanism in place for compliance decisions?   | The complaints resolution procedure defines:<br>- clear steps, timelines and responsibilities to resolve the complaint<br>- in what form and to whom a complaint needs to be submitted  | ISO/IEC 17021-1 9.8<br>ISO/IEC 17065 7.13<br>ISEAL Assurance Code 6.7.3<br>GENICES Schedule A2, 4.3 (4) | Yes, publicly<br>Yes (on request)<br>No                            | 2<br>1<br>0               |
| 700172<br>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? | - 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.<br>- For schemes where assessment reports are not publicly available online, request summary reports from CAB to verify availability<br>- If assessment reports cannot be shared by the scheme or by CABs due to confidentiality, chose "confidential"<br>- If no assessment reports are written at all, choose "no, no reports"<br><br>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). | ISEAL Assurance Code 6.1.1 (optional good practice)<br>ISO 14024 5.11<br>2014/24/EU Art. 43 (1)         | Yes, publicly<br>Yes (on request) / Confidential<br>No, no reports | 2<br>1<br>0               |
| 700174<br>C.1.07  | Defined duration of certificate / license | Does the certificate or license define the duration for which it is valid?  | - 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  | ISO/IEC 17021-1 8.2.2<br>ISO/IEC 17065 7.7.1  | Yes<br>No  | 1<br>0                    |



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|-------------------|--|--|---|--|---|---------------------------|
|                   |  |  | <ul style="list-style-type: none"> <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>  | ISEAL Assurance Code 6.4.11  |   |                           |
| 700174<br>C.1.08  | Scope of certificate / license                           | Does the certificate or license define the scope of assurance?   | <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> </ul>  | ISO/IEC 17021-1 8.2.2<br>ISO/IEC 17065 7.7.1<br>ISEAL Assurance Code 6.4.11    | Yes<br>No   | 1<br>0                    |
| 700176<br>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)? | <ul style="list-style-type: none"> <li>- 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).</li> <li>- 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.</li> </ul> | ISO/IEC 17021-1 8.3 and ISEAL Assurance Code 6.1.1<br>GENICES Schedule A2, 4.5 | Yes, incl. scope of certificate or license<br>Yes<br>No | 2<br>1<br>0               |



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|-------------------|--|--|---|---|---|---------------------------|
| 740209<br>C.1.10  | Accredited/<br>approved<br>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<br>Yes (on request)<br>No                             | 2<br>1<br>0               |
| 700163<br>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<br>ISEAL Assurance Code 5.2.4   | Yes<br>No   | 1<br>0                    |
| 7000164<br>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<br>ISEAL Assurance Code 5.2.5 | Yes<br>No   | 1<br>0                    |
| 700277<br>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<br>No   | 1<br>0                    |
| 700006<br>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)<br><br>- 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<br>ISEAL Assurance Code 6.1.1   | Yes, publicly available<br>Yes (on request)<br>No<br>Not applicable | 2<br>1<br>0<br>-          |



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|--------------------------------------|--|--|--|---|---|---------------------------|
| <b>C.2 Conformity Assessment</b>     |  |  |  |   |   | <b>32</b>                 |
| <b>Conformity Assessment Process</b> |  |  |  |   |   | <b>3</b>                  |
| 700236<br>C.2.02                     | Level of conformity assessment           | What is the most independent type of conformity assessment required by the scheme?   | <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>1st party is a self-assessment; 2nd party is by an interested stakeholder, e.g. an industry association; 3rd party is independent from the client. Some schemes may provide for different levels of conformity assessments (e.g. a self-assessment followed by a third-party audit), therefore the most independent level is the determining factor, regardless of when the audit takes place.</p> | ISO/IEC 17065, ISO/IEC 17021-1  | 3 <sup>rd</sup> party<br>2 <sup>nd</sup> party or 1 <sup>st</sup> party | 1<br>0                    |
| 700247<br>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? | <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 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.</p>   | ISEAL Assurance Code 6.4.9ISO 14024 5.10 & 7.2.2GENICES Schedule A2 4.3 (2) & (3) | Yes<br>No   | 1<br>0                    |



| ITC ID<br>SSCT ID            | Criteria name                                   | Criteria question  | Requirements  | Reference  | Response options            | Total Score<br><b>134</b> |
|------------------------------|---|--|---|--|-----------------------------|---------------------------|
| 700175<br>C.2.05             | Procedure on remediation                        | Does the scheme owner require CABs to have a procedure in place for how clients are required to address non-conformities, including when a certificate or license is suspended or revoked? | <ul style="list-style-type: none"> <li>- The scheme owner defines this requirement in certification requirements/methodologies, or in the contract/agreement between the scheme owner and the AB, or in a separate accreditation manual</li> <li>- The procedure specifies how different degrees of non-conformity (if applicable) are to be addressed and remediated, in order to support consistency between CABs.</li> <li>- The procedure also specifies the conditions under which certification / the licence may be suspended or withdrawn, partially or in total, for all or part of the scope of certification / the licence.</li> </ul> | ISEAL Assurance Code 6.4.10<br>ISO/IEC 17065 7.11<br>ISO/IEC 17021-1 9.6<br>GENICES Schedule A2, 4.3 (2) & (3) | Yes<br>No                   | 1<br>0                    |
| <b>Sustainability Audits</b> |   |  |   |  |                             | <b>12</b>                 |
| 3986<br>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> <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>  | ISEAL Assurance Code 5.1.2   | Yes<br>No<br>Not applicable | 1<br>0<br>-               |





| ITC ID<br>SSCT ID | Criteria name              | Criteria question  | Requirements  | Reference  | Response options  | Total Score<br><b>134</b> |
|-------------------|----------------------------|--|---|--|---|---------------------------|
| 700240<br>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<br>ISO 17065 7.9.3/4<br>ISEAL Assurance Code 6.4.1 | At least every 2 years<br>3 years or more<br>No<br>Not applicable | 2<br>1<br>0<br>-          |
| 700241<br>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<br>No<br>Not applicable                                       | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name                      | Criteria question   | Requirements  | Reference   | Response options   | Total Score<br><b>134</b> |
|-------------------|------------------------------------|---|---|---|--|---------------------------|
| 700243<br>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)<br>Document review (off-site or on-site) only<br>No<br>Not applicable | 2<br>1<br>0<br>-          |
| 700249<br>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<br>ISEAL Assurance Code 6.7.1 | Required<br>Allowed<br>Not allowed<br>Not applicable   | 2<br>1<br>0<br>-          |
| 700837<br>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<br>No<br>Not applicable  | 1<br>0<br>-               |



| ITC ID<br>SSCT ID          | Criteria name                      | Criteria question  | Requirements   | Reference   | Response options            | Total Score<br><b>134</b> |
|----------------------------|------------------------------------|--|--|---|-----------------------------|---------------------------|
| 700246<br>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.<br>ISO/IEC 17021-1 9.4.8<br>ISO/IEC 17065 7.7 | Yes<br>No<br>Not applicable | 1<br>0<br>-               |
| 700248<br>C.2.11           | Decision-making independence       | 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<br>No<br>Not applicable | 1<br>0<br>-               |
| 10350<br>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<br>No<br>Not applicable | 1<br>0<br>-               |
| <b>Group certification</b> |                                    |  |  |   |                             | <b>5</b>                  |



| ITC ID<br>SSCT ID | Criteria name                    | Criteria question  | Requirements  | Reference                  | Response options   | Total Score<br><b>134</b> |
|-------------------|----------------------------------|--|---|----------------------------|--|---------------------------|
| 10356<br>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<br>No<br>Not applicable                                  | 1<br>0<br>-               |
| 700258<br>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<br>No<br>Not applicable                                  | 1<br>0<br>-               |
| 700257<br>C.2.15  | Group external sample size       | Is there a sample size formula to determine the number of group members that is externally verified?               | <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 6.5.2 | Yes, based on risk assessment<br>Yes<br>No<br>Not applicable | 2<br>1<br>0<br>-          |



| ITC ID<br>SSCT ID       | Criteria name  | Criteria question  | Requirements   | Reference                  | Response options            | Total Score<br><b>134</b> |
|-------------------------|--|--|--|----------------------------|-----------------------------|---------------------------|
| 700260<br>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? | <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 6.5.3 | Yes<br>No<br>Not applicable | 1<br>0<br>-               |
| <b>Chain of Custody</b> |  |  |  |                            |                             | <b>6</b>                  |
| 700007<br>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?                            | <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</p>    | ISEAL Assurance Code 5.1.2 | Yes<br>No<br>Not applicable | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name  | Criteria question  | Requirements  | Reference                  | Response options   | Total Score<br><b>134</b> |
|-------------------|--|--|---|----------------------------|--|---------------------------|
| 700013<br>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<br/>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<br>1st party / 2nd party<br>No<br>Not applicable   | 2<br>1<br>0<br>-          |
| 700017<br>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</p>   | ISEAL Assurance Code 6.4.1 | Field visit (incl. office visit & doc. review)<br>Document review (off-site or on-site) only<br>No<br>Not applicable | 2<br>1<br>0<br>-          |



| ITC ID<br>SSCT ID         | Criteria name                                      | Criteria question  | Requirements  | Reference                           | Response options  | Total Score<br><b>134</b> |
|---------------------------|--|--|---|-------------------------------------|---|---------------------------|
|                           |  |  | would usually include re-certification audits but not necessarily surveillance audits/assessments in case these are less intense.   |                                     |   |                           |
| 800034<br>C.2.20          | Chain of Custody:<br>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<br>No<br>Not applicable                               | 1<br>0<br>-               |
| <b>Laboratory Testing</b> |  |  |   |                                     |   | <b>6</b>                  |
| 700213<br>C.2.21          | Laboratory testing:<br>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<br>Schedule A2, 4.13<br>(2) | Yes, publicly<br>Yes (on request)<br>No<br>Not applicable | 2<br>1<br>0<br>-          |
| 700216<br>C.2.22          | Laboratory testing:                                | Does the scheme owner require laboratories to be accredited according to   | <p>→ Only applicable if scheme requires laboratory testing</p> <p>- Besides ISO/IEC 17025 (General requirements</p>   | ISO 17065:<br>6.2.2.1               | Yes, to ISO 17025   | 2<br>1                    |



| ITC ID<br>SSCT ID                  | Criteria name   | Criteria question   | Requirements   | Reference  | Response options   | Total Score<br><b>134</b> |
|------------------------------------|---|---|--|--|--|---------------------------|
|                                    | Laboratory accreditation                                    | recognized laboratory accreditation standards?  | for the competence of testing and calibration laboratories), recognized standards are ISO 15189 (Medical laboratories - Particular requirements for quality and competence), OECD Principle of GLP (Good Laboratory Practice) or equivalent national standards.  |  | Yes, to other recognized standards<br>No<br>Not applicable | 0<br>-                    |
| 3901<br>C.2.23                     | Laboratory testing:<br>Surveillance lab testing of products | Are there rules on random sampling and testing for the compliance monitoring?                 | → Only applicable if scheme requires laboratory testing<br><br>- Written evidence is required by the scheme owner that includes rules on random sampling and testing of the (final) products.<br>OR<br>- Written evidence is required by the scheme owner that includes rules on random sampling and testing of samples collected in the field e.g. soil or waste water samples. | GENICES<br>Schedule A2, 4.11                           | Yes<br>No<br>Not applicable                                | 1<br>0<br>-               |
| 700220<br>C.2.24                   | Laboratory testing:<br>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<br><br>- Written evidence is required by the scheme owner that includes a defined procedure to deal with non-compliance  | GENICES<br>Schedule A2, 4.11                           | Yes<br>No<br>Not applicable                                | 1<br>0<br>-               |
| <b>C. 3 - Auditor Competencies</b> |   |   |  |  |  | <b>7</b>                  |
| 700221<br>C.3.01                   | Personnel competencies                                      | Does the scheme owner define specific qualifications and competencies for CAB auditors?       | → Only applicable if the scheme requires audits<br><br>- The scheme owner defines this requirement in certification requirements/methodologies, or in the  | ISO /IEC 17021-1<br>7.1. & 7.2<br>ISO/IEC 17065<br>6.1 | Yes<br>No<br>Not applicable                                | 1<br>0<br>-               |





| ITC ID<br>SSCT ID | Criteria name              | Criteria question   | Requirements  | Reference                  | Response options            | Total Score<br><b>134</b> |
|-------------------|----------------------------|---|---|----------------------------|-----------------------------|---------------------------|
|                   |                            |   | contract/agreement between the scheme owner and the AB, or in a separate accreditation manual<br>-The scheme owner has guidance specifying qualifications and competence criteria for CABs or requires that CABs have this. (check that CABs have this in place)  | ISEAL Assurance Code 6.3.1 |                             |                           |
| 700230<br>C.3.02  | Auditor standards training | Does the scheme owner require that CAB auditors successfully complete training on the standard and its interpretation?    | → Only applicable if scheme requires audits<br><br>- 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<br>- The scheme owner has a guidance specifying the training system and content in order to support consistency between CABs. | ISEAL Assurance Code 6.3.2 | Yes<br>No<br>Not applicable | 1<br>0<br>-               |
| 700231<br>C.3.03  | Auditing skills training   | Does the scheme owner require that CAB auditors successfully complete auditor training based on ISO 19011, or equivalent? | → Only applicable if scheme requires audits<br><br>- 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.   | ISO 19011                  | Yes<br>No<br>Not applicable | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name              | Criteria question  | Requirements   | Reference  | Response options            | Total Score<br><b>134</b> |
|-------------------|----------------------------|--|--|--|-----------------------------|---------------------------|
| 700233<br>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> <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 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.</li> </ul> | ISEAL Assurance Code 6.3.2, ISO 19011                                      | Yes<br>No<br>Not applicable | 1<br>0<br>-               |
| 700224<br>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> <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 CAB has an evaluation schedule for auditors</li> </ul>   | ISO/IEC 17065 7.1.3<br>ISO/IEC 17021-1 7.1.3<br>ISEAL Assurance Code 6.3.4 | Yes<br>No<br>Not applicable | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name               | Criteria question   | Requirements  | Reference   | Response options            | Total Score<br><b>134</b> |
|-------------------|-----------------------------|---|---|---|-----------------------------|---------------------------|
| 700226<br>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<br>ISO/IEC 17065 6.1.2.1 b)<br>ISEAL Assurance Code 6.3.3 | Yes<br>No<br>Not applicable | 1<br>0<br>-               |
| 700225<br>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<br>No<br>Not applicable | 1<br>0<br>-               |



| ITC ID<br>SSCT ID                    | Criteria name                                   | Criteria question  | Requirements  | Reference                                   | Response options                        | Total Score<br><b>134</b> |
|--------------------------------------|---|--|---|---|---|---------------------------|
| <b>C.4 - Accreditation/Oversight</b> |   |  |   |   |   | <b>16</b>                 |
| 699994<br>C.4.01                     | Accreditation/<br>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<br>ISEAL Assurance Code 6.6.3 | Yes, publicly<br>Yes (on request)<br>No | 2<br>1<br>0               |
| 10540<br>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<br>ISEAL Assurance Code 6.6.1 | Yes<br>No<br>Not applicable             | 1<br>0<br>-               |
| 700183<br>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<br>No<br>Not applicable             | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name                          | Criteria question  | Requirements   | Reference | Response options  | Total Score<br><b>134</b> |
|-------------------|--|--|--|-----------|---|---------------------------|
| 700193<br>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<br>Every 4 years or more<br>No<br>Not applicable | 2<br>1<br>0<br>-          |
| 700835<br>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<br>No<br>Not applicable   | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name                   | Criteria question  | Requirements  | Reference                  | Response options  | Total Score<br><b>134</b> |
|-------------------|---------------------------------|--|---|----------------------------|---|---------------------------|
| 700184<br>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? | → 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.<br>- 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).<br>- The application process/forms of the AB should be online and can be verified.                        | ISO/IEC 17011<br>7.2       | Yes<br>No<br>Not applicable   | 1<br>0<br>-               |
| 700182<br>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)?  | → 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.<br>- 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.<br><br>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 | ISEAL Assurance Code 6.6.2 | Yes, assess scheme-specific competence<br>Yes<br>No<br>Not applicable | 2<br><br>1<br>0<br>-      |



| ITC ID<br>SSCT ID | Criteria name           | Criteria question  | Requirements   | Reference            | Response options            | Total Score<br><b>134</b> |
|-------------------|-------------------------|--|--|----------------------|-----------------------------|---------------------------|
|                   |                         |  | have the competence required to do conformity assessment related to the scheme's standard(s).  |                      |                             |                           |
| 700186<br>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<br>5.9 | Yes<br>No<br>Not applicable | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name                                    | Criteria question   | Requirements   | Reference                           | Response options  | Total Score<br><b>134</b> |
|-------------------|--|---|--|-------------------------------------|---|---------------------------|
| 700187<br>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> <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 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.</p> | ISO/IEC 17011<br>7.1.2 & 7.8 & 7.13 | Yes<br>No<br>Not applicable                               | 1<br>0<br>-               |
| 709038<br>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</p>  |                                     | Yes, publicly<br>Yes (on request)<br>No<br>Not applicable | 2<br>1<br>0<br>-          |





| ITC ID<br>SSCT ID | Criteria name                              | Criteria question  | Requirements  | Reference     | Response options            | Total Score<br><b>134</b> |
|-------------------|--|--|---|---------------|-----------------------------|---------------------------|
|                   |  |  | publicly available online, request summary reports from AB to verify availability.  |               |                             |                           |
| 700189<br>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<br>No<br>Not applicable | 1<br>0<br>-               |
| 700191<br>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? | <p>→ Only applicable if scheme has an accreditation/oversight mechanism and if the scheme requires audits</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>   |               | Yes<br>No<br>Not applicable | 1<br>0<br>-               |



| ITC ID<br>SSCT ID  | Criteria name   | Criteria question  | Requirements  | Reference   | Response options   | Total Score<br><b>134</b> |
|--|---|--|---|---|--|---------------------------|
| <b>D - Claims &amp; Traceability</b><br>Claims and labelling policy and chain of custody |   |  |   |   |  | <b>21</b>                 |
| <b>D.1 - Traceability</b>  |   |  |   |   |  | <b>8</b>                  |
| 700030<br>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:<br>- A CoC standard document which provides a description of its chain of custody approach<br>- A description of other measures for ensuring that certain information on ingredients/products are passed through the supply chain e.g. data sheets of chemicals or certificates from used inputs   | UN Global Compact, BSR (2014).<br>A Guide to Traceability | Yes, publicly<br>Yes, on request<br>No<br>Not applicable | 2<br>1<br>0<br>-          |
| 700036<br>D.1.03   | Mixing of inputs                                      | Are there any CoC requirements for non-certified material, in case mixing of certified with uncertified inputs is allowed? | 'Yes' if:<br>- A description of how it traces back the origin of uncertified material<br><br>'Not applicable' if:<br>- Statement telling that it does not allow the mixing of its certified with uncertified ingredients.<br>- It is a product label (ISO type I label, e.g. Blue Angel)<br><br>If there is no evidence of a written statement, this shall be a 'No'. |   | Yes<br>No<br>Not applicable                              | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name            | Criteria question  | Requirements   | Reference | Response options            | Total Score<br><b>134</b> |
|-------------------|--------------------------|--|--|-----------|-----------------------------|---------------------------|
| 700037<br>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> <p>- 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)</p> <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<br>No<br>Not applicable | 1<br>0<br>-               |



| ITC ID<br>SSCT ID | Criteria name       | Criteria question   | Requirements  | Reference | Response options            | Total Score<br><b>134</b> |
|-------------------|---------------------|---|---|-----------|-----------------------------|---------------------------|
| 700044<br>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<br>No<br>Not applicable | 1<br>0<br>-               |
| 700045<br>D.1.06  | Traceability system | Does the scheme have a traceability system that enables checking of product flow between links of the supply chain? | <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<br>No<br>Not applicable | 1<br>0<br>-               |



| ITC ID<br>SSCT ID                   | Criteria name     | Criteria question   | Requirements   | Reference   | Response options                        | Total Score<br><b>134</b> |
|-------------------------------------|-------------------|---|--|---|---|---------------------------|
| <b>D.2 - Claims &amp; Labelling</b> |                   |   |  |   |   | <b>13</b>                 |
| 700077<br>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<br>ISEAL Claims Guide 2.5.1, 2.1.3 | Yes, publicly<br>Yes (on request)<br>No | 2<br>1<br>0               |
| 700080<br>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<br>No                               | 1<br>0                    |
| 700064<br>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.<br>For example:<br>- Claims on origin can only be made under Identity preserved<br>- Claims on 100% certified material require Segregation<br>- When Mass Balance or Controlled Blending is used, claims need to show that mixing is allowed<br>- When Certificate Trading (Book & Claim) is allowed, "supports sustainable production" (or similar) is an adequate claim<br><br>'Not applicable' if:<br>- Product label<br>- Only use of one CoC model | ISEAL Claims Guide 1.1.6                                  | Yes<br>No<br>Not applicable             | 1<br>0<br>-               |



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



| ITC ID<br>SSCT ID | Criteria name                       | Criteria question   | Requirements  | Reference                       | Response options   | Total Score<br><b>134</b>  |
|-------------------|-------------------------------------|---|---|---------------------------------|--|--|
| 700075<br>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<br>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<br>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<br>SSCT ID | Criteria name                    | Criteria question  | Requirements  | Reference                   | Response options | Total Score<br><b>134</b> |
|-------------------|----------------------------------|--|---|-----------------------------|------------------|---------------------------|
| 700068<br>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<br><br>This question also relates to fraudulent claim use. | ISEAL Claims Guide 3.3, 3.4 | Yes<br>No        | 1<br>0                    |





## II. ENVIRONMENTAL FRIENDLINESS

| ITC ID<br>SSCT<br>ID         | Criteria<br>name             | Criteria question  | Guidance   | Degree of<br>Obligation        | Degree of<br>Intensity (DoI)                      | Total<br>Score<br>25 |
|------------------------------|------------------------------|--|--|--------------------------------|---|----------------------|
| <b>Chemicals</b>             |                              |  |  |                                |   | <b>3</b>             |
| <b>Chemical use</b>          |                              |  |  |                                |   | <b>2</b>             |
| 2098<br>E24                  | Chemical use                 | Does the standard include criteria on chemical use?  | <p>General criteria on chemical use can refer to requirements to inventory chemicals and maintain records of utilization of chemicals (response option 'Document use') or to requirements to establish concrete reduction targets (e.g. prohibition or need-based application of pesticides) (response option 'Increase efficiency/reduce chemical use').</p> <p>To achieve compliance with this criterion the standard must require the documented use of all chemicals (basic) or an efficiency increase/reduction of chemical use (advanced).</p> | Immediate<br>Transition period | Basic: Document use of all chemicals              | 1                    |
|                              |                              |  |  |                                | Advanced: Increase efficiency/reduce chemical use | 2                    |
| <b>Handling of Chemicals</b> |                              |  |  |                                |   | <b>1</b>             |
| 2009<br>E161                 | Proper handling of chemicals | Does the standard include criteria on proper handling of chemicals by qualified personnel? | Proper handling includes storage (e.g. locked store-rooms) and labelling of chemicals as well as treatment of hazardous chemicals and explosives. Proper handling must be ensured by qualified personnel.  | Immediate                      |   | 1                    |



| ITC ID<br>SSCT<br>ID                    | Criteria<br>name                | Criteria question   | Guidance   | Degree of<br>Obligation        | Degree of<br>Intensity (DoI) | Total<br>Score<br><b>25</b> |
|---|---------------------------------|---|--|--------------------------------|------------------------------|-----------------------------|
| <b>Biodiversity &amp; Ecosystems</b>    |                                 |   |  |                                |                              | <b>5</b>                    |
| <b>Ecosystem Values &amp; Functions</b> |                                 |   |  |                                |                              | <b>5</b>                    |
| 30022<br>E64                            | Protected<br>areas              | Does the standard have re-quirements to respect le-gally protected and interna-tionally recognized areas? | A protected area is a clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associ-ated ecosystem services and cultural values.  | Immediate<br>Transition period |                              | 1                           |
| 4090<br>E65                             | High Conser-vation Values (HCV) | Does the scheme include criteria for the monitoring and protection of High Con-servation Value Areas?     | Refers to procedures in place to address land-use planning and identification of conservation priori-ties: areas that are designated on the basis of High Conservation Values (HCVs) which are bio-logical, ecological, social or cultural values consid-ered outstandingly significant at the national, re-gional or global level.<br>Provide evidence (criterion number and URL) that the scheme includes criteria for the monitoring and protection of High Conservation Value Areas. | Immediate<br>Transition period |                              | 1                           |



| ITC ID<br>SSCT<br>ID | Criteria<br>name                   | Criteria question  | Guidance   | Degree of<br>Obligation        | Degree of<br>Intensity (DoI)  | Total<br>Score<br><b>25</b> |
|----------------------|------------------------------------|--|--|--------------------------------|---|-----------------------------|
| 2124<br>E165         | Land rehabili-<br>tation           | Does the standard include<br>criteria on rehabilitation of<br>expended areas to reactiv-<br>ate them as an ecosys-<br>tem?           | <p>Areas must be rehabilitated in a manner, that they do not represent a danger for the environment and can proceed their function as an ecosystem.</p> <p>To achieve compliance with this criterion the standard needs to require for a rehabilitation plan (basic) or plan for and have an obliged reserve fund for rehabilitation (advanced).</p>   | Immediate                      | <p><b>Basic:</b> Require-<br/>ment for rehabili-<br/>tation plan</p> <p><b>Advanced:</b> Plan<br/>and obliged re-<br/>serve fund for re-<br/>habilitation</p> | 1<br><br>2                  |
| 300457<br>E166       | Biodiversity<br>Management<br>Plan | Does the standard require a<br>biodiversity management<br>plan to continuously man-<br>age impacts during the ex-<br>traction phase? | The biodiversity management plan shall refer to the mitigation hierarchy (begin with avoiding unacceptable impacts, minimizing the impacts that do occur, restoring areas that are impacted, and offsetting the residual net loss of biodiversity (and implementing additional voluntary projects in some cases). The written plan must include the aspect of land restoration/ rehabilitation (see criterion "land rehabilitation"), but it clearly needs to go beyond this aspect. | Immediate<br>Transition period |   | 1                           |



| ITC ID<br>SSCT<br>ID | Criteria<br>name  | Criteria question   | Guidance   | Degree of<br>Obligation        | Degree of<br>Intensity (DoI)                                       | Total<br>Score<br>25 |
|----------------------|---|---|--|--------------------------------|--|----------------------|
| <b>Water</b>         |   |   |  |                                |  | <b>5</b>             |
| <b>Water Use</b>     |   |   |  |                                |  | <b>3</b>             |
| 2037<br>E01          | Reduction of<br>water con-<br>sumption<br>(production<br>phase) | Does the standard include<br>criteria on water consump-<br>tion in the production<br>phase? | Refers to all water being used for production, e.g.<br>water being abstracted from any source. To<br>achieve compliance with this criterion the standard<br>needs to require monitoring volumes of water con-<br>sumption over time (basic) or monitoring water vol-<br>umes and increase efficiency (advanced).<br>If the standard reverts to an environmental man-<br>agement instrument, its content has to be checked<br>and the corresponding DoI has to be selected. If<br>the standard requires a water management plan to<br>increase water efficiency, the advanced DoI is se-<br>lected.<br><br>In the natural stone sector, the standard needs to<br>address this criterion at least for the stone pro-<br>cessing. | Immediate                      | Basic: Monitor<br>volumes of water<br>consumption<br>over time     | 1                    |
|                      |   |   |  |                                | Advanced: Moni-<br>tor water vol-<br>umes & increase<br>efficiency | 2                    |
| 2032<br>E02          | Reuse/recy-<br>cling or har-<br>vesting of wa-<br>ter           | Does the standard include<br>criteria on reusing/recycling<br>or harvesting water?          | Refers to water that is used multiple times (either<br>treated or non-treated, by the same user or by dif-<br>ferent users) or water that is stored through prac-<br>tices such as rainwater harvesting and later used,<br>e.g. for irrigation agriculture.<br><br>In the natural stone sector, the standard needs to<br>address this criterion at least for the stone pro-<br>cessing.  | Immediate<br>Transition period |  | 1                    |



| ITC ID<br>SSCT<br>ID              | Criteria<br>name            | Criteria question  | Guidance   | Degree of<br>Obligation        | Degree of<br>Intensity (DoI) | Total<br>Score<br><b>25</b> |
|-----------------------------------|-----------------------------|--|--|--------------------------------|------------------------------|-----------------------------|
| <b>Impacts on Water Resources</b> |                             |  |  |                                |                              | <b>2</b>                    |
| 700414<br>E04                     | Impacts on<br>water levels  | Does the standard include<br>criteria on impacts on the<br>water levels of surface<br>and/or ground water? | <p>Refers to impacts on water levels of water re-<br/>sources (e.g. from the source water is abstracted<br/>from) affected by e.g. pumping of ground water<br/>and whether this is explicitly addressed in the<br/>standard.</p> <p>In the natural stone sector, the standard needs to<br/>address this criterion at least for the stone pro-<br/>cessing. To achieve this criterion the standard<br/>needs to require the monitoring of water levels of<br/>surface and/or ground water over time.</p>  | Immediate<br>Transition period |                              | 1                           |
| 700415<br>E05                     | Impacts on<br>water quality | Does the standard include<br>criteria on the quality of sur-<br>face and/or ground water?                  | <p>Refers to impacts on the water quality of water re-<br/>sources affected by different activities and whether<br/>this is explicitly addressed in a standard. E.g. us-<br/>age of fertilizer and pesticides in agriculture and<br/>forestry, or rinsing water and chemicals used for<br/>surface treatment in the natural stone sector.</p> <p>In the natural stone sector, the standard needs to<br/>address this criterion at least for the stone pro-<br/>cessing. To achieve this criterion the standard<br/>needs to require the monitoring of water levels of<br/>surface and/or ground water over time.</p> | Immediate<br>Transition period |                              | 1                           |



| ITC ID<br>SSCT<br>ID            | Criteria<br>name                                   | Criteria question  | Guidance   | Degree of<br>Obligation | Degree of<br>Intensity (DoI) | Total<br>Score<br><b>25</b> |
|---------------------------------|--|--|--|-------------------------|------------------------------|-----------------------------|
| <b>Environmental Management</b> |  |  |  |                         |                              | <b>3</b>                    |
| 34020<br>E97                    | Compliance with environmental laws and regulations | Does the standard include a general criterion on compliance with all relevant local, regional and national environmental laws and regulations? | <p>Refers to a standard's requirement of a process by which an organisation ensures that it observes and complies with the external statutory laws and regulations on environmental protection. In forestry management, it refers to timber harvesting, including environmental and forest legislation including forest management and biodiversity conservation, where directly related to timber harvesting.</p> <p>To achieve compliance with this criterion, the standard must require the organisation to ensure compliance with all relevant laws and regulations.</p> | Immediate               |                              | 1                           |
| 700416<br>AND<br>4078<br>E98    | Permits  | Does the standard include criteria to ensure that relevant and up-to-date permits are held (such as water use rights or land use titles)?      | This may be covered by a general requirement on legal compliance, or may be covered in detail through a requirement on permits and licenses.   | Immediate               |                              | 1                           |



| ITC ID<br>SSCT<br>ID             | Criteria<br>name                               | Criteria question   | Guidance   | Degree of<br>Obligation        | Degree of<br>Intensity (DoI)  | Total<br>Score<br><b>25</b> |
|----------------------------------|--|---|--|--------------------------------|---|-----------------------------|
| 30106<br>E99                     | Environmental impact assessment                | Does the standard include criteria on assessing the environmental risks and impacts of production/operations prior to any significant intensification or expansion of business operations/cultivation and infrastructure? | This may include but is not limited to environmental impact assessments (EIAs), risk assessments, requirements for community consultation or requirements for High Conservation Value (HCV) identification, with the aim to identify all potential environmental impacts. A standard may prescribe detailed steps for an environmental impact assessment according to national law.  | Immediate<br>Transition period |   | 1                           |
| <b>Energy &amp; Climate</b>      |  |   |  |                                |   | <b>2</b>                    |
| <b>Climate Change Mitigation</b> |  |   |  |                                |   | <b>2</b>                    |
| 2091<br>E18                      | Reducing Energy Consumption (Production Phase) | Does the standard include criteria on energy consumption in the production phase?   | <p>Refers to all energy being consumed during the production processes. If the standard reverts to an environmental management instrument, its content has to be checked and the corresponding DoI has to be selected.</p> <p>The standard needs to require a monitoring of the energy consumption over time in production phase (basic), also in order to fulfill the advanced DoI "Increase efficiency OR increase use of renewables".</p> <p>In the natural stone sector, the standard needs to address this criterion for the stone processing as well as for the process of quarrying of stones, as both activities need a high amount of energy.</p> | Immediate                      | <p><b>Basic:</b> Monitor energy consumption over time</p> <p><b>Advanced:</b> Increase efficiency OR increase use of renewables</p> | <p>1</p> <p>2</p>           |



| ITC ID<br>SSCT<br>ID             | Criteria<br>name                    | Criteria question   | Guidance   | Degree of<br>Obligation        | Degree of<br>Intensity (DoI) | Total<br>Score<br><b>25</b> |
|----------------------------------|-------------------------------------|---|--|--------------------------------|------------------------------|-----------------------------|
| <b>Waste &amp; Air pollution</b> |                                     |   |  |                                |                              | <b>7</b>                    |
| <b>Waste management</b>          |                                     |   |  |                                |                              | <b>3</b>                    |
| 700383<br>E162                   | Waste reduction                     | Does the standard include criteria on measures to reduce waste?                 | Refers to measures to reduce the amounts of all types of waste that are produced.  | Immediate<br>Transition period |                              | 1                           |
| 2042<br>E51                      | Waste reuse or recycling            | Does the standard include criteria on re-using or recycling waste on-site?      | Refers to requirements to re-use or recycle waste on-site (excl. wastewater), e.g. use of organic material as fertilizer or renewable energy.  | Immediate<br>Transition period |                              | 1                           |
| 2052<br>E53                      | Waste management (production phase) | Does the standard include criteria on waste management in the production phase? | <p>Refers to recording waste streams and to waste management procedures including collection and suitable disposal of waste streams (excl. wastewater).</p> <p>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.</p> <p>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).</p> | Immediate                      |                              | 1                           |





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



### III. SOCIAL RESPONSIBILITY

| ITC ID<br>SSCT<br>ID   | Criteria<br>name        | Criteria question   | Guidance  | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI)   | Total<br>Score<br><b>55</b> |
|--|-------------------------|---|---|--------------------------------|---|-----------------------------|
| <b>Social &amp; Cultural Rights and Community Engagement</b> |                         |   |   |                                |   | <b>3</b>                    |
| <b>Community Rights</b>                                      |                         |   |   |                                |   | <b>3</b>                    |
| 30049<br>HR12  | Community<br>grievance  | Does the standard include<br>criteria on dispute resolution<br>mechanisms for affected<br>communities?  | Non-judicial system for reporting, assessing and<br>addressing complaints and claims by affected par-<br>ties in the region where the economic activity is<br>taking place. The criterion explicitly asks for mech-<br>anisms that can be used by the local communities,<br>not by workers (see separate criterion on workers<br>grievance mechanisms).<br>For IT products: The criterion is particularly rele-<br>vant in the phase of resource extraction.<br>To achieve compliance, the standard has to re-<br>quire a grievance mechanism for affected commu-<br>nities (basic) and provide fair compensation for<br>negative imoacts of operations on local communi-<br>ties and individuals (advanced). | Immediate<br>Transition period | <b>Basic:</b> The<br>standard has to<br>require a griev-<br>ance mechanism<br>for affected com-<br>munities.<br><br><b>Advanced:</b> The<br>standard pro-<br>vides fair com-<br>pensation for<br>negative impacts<br>of operations on<br>local communi-<br>ties and individu-<br>als. | 1                           |
|  |                         |   |   |                                |   | 2                           |
| 10092<br>HR13  | Socio-cultural<br>sites | Does the standard include<br>criteria on the protection of<br>local historical, archaeologi-<br>cal, cultural, and spiritual<br>properties and sites? | "sites" in this context mean sites that are publicly<br>(legally) protected as well as sites of customary<br>use/ belief on private property.<br>To achieve compliance with this criterion, the<br>standard has to require the protection of socio-cul-<br>tural sites.   | Immediate<br>Transition period |   | 1                           |



| ITC ID<br>SSCT<br>ID                        | Criteria<br>name         | Criteria question  | Guidance  | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI) | Total<br>Score<br><b>55</b> |
|---|--------------------------|--|---|--------------------------------|---------------------------------|-----------------------------|
| <b>Labour Rights and Working Conditions</b> |                          |  |   |                                |                                 | <b>45</b>                   |
| <b>ILO Core Conventions</b>                 |                          |  |   |                                |                                 | <b>9</b>                    |
| 1989<br>LR04                                | Minimum Age<br>/ ILO 138 | Does the standard include<br>criteria on the prohibition of<br>child labour as defined un-<br>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).</p> <p>Articles four to eight of the ILO-Convention govern exceptions.<br/>In cases where ILO norm and national law differ, the stricter rule shall apply.</p> | Immediate<br>Transition period |                                 | 1                           |



| ITC ID<br>SSCT<br>ID | Criteria<br>name   | Criteria question  | Guidance  | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI) | Total<br>Score<br><b>55</b> |
|----------------------|--|--|---|--------------------------------|---------------------------------|-----------------------------|
| 1979<br>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? | <p>Worst forms of child labour comprises:</p> <p>(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;</p> <p>(b) the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances;</p> <p>(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;</p> <p>(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.</p> | Immediate<br>Transition period |                                 | 1                           |
| 1993<br>LR16         | Freedom of Association                                   | Does the standard include criteria on freedom of association and the right to organize as described in ILO 87?       | <p>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).</p> <p>To achieve compliance with this criterion, standards must include criteria on freedom of association and the right to organize as described in ILO 87.</p>   | Immediate<br>Transition period |                                 | 1                           |



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



| ITC ID<br>SSCT<br>ID | Criteria<br>name                             | Criteria question  | Guidance  | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI)   | Total<br>Score<br><b>55</b> |
|----------------------|--|--|---|--------------------------------|---|-----------------------------|
| 800728<br>LR41       | Core Labour Standards along the Supply Chain | Does the standard require compliance with (at least) all ILO core labour standards for different suppliers along the supply chain? | <p>The criterion refers to the main suppliers along the supply chain.</p> <p>The ILO core conventions are: ILO 87 on Freedom of Association; ILO 98 on Collective Bargaining; ILO 29 on Forced labour; ILO 105 on Forced Labour Abolition; ILO 138 on Minimum Age; ILO 182 on Worst forms child labour; ILO 100 on Equal Remuneration; ILO 111 on Non-Discrimination. All of these Rights must be granted in order to receive a "yes". There must either be explicit reference to the conventions or requirements must be equivalent to the requirements contained therein. If the standard goes beyond the ILO conventions, the answer will of course still be "yes".</p> <p>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<br>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<br>SSCT<br>ID    | Criteria<br>name                                 | Criteria question  | Guidance  | Degree of<br>Obligation           | Degree<br>of Intensity<br>(DoI) | Total<br>Score<br><b>55</b> |
|-------------------------|--|--|---|-----------------------------------|---------------------------------|-----------------------------|
| 1987<br>HR19            | Non-Discrimi-<br>nation                          | Does the standard include<br>criteria on the non-discrimi-<br>nation in the workplace, as<br>defined in ILO 111? | To achieve compliance with this criterion, the<br>standard must include criteria on the prohibition of<br>discrimination.<br>As described in ILO 111 and ILO 100, this refers to<br>any discrimination on the basis of race, colour,<br>sex, religion, political opinion, national extraction<br>or social origin, which has the effect of nullifying or<br>impairing equality of opportunity or treatment in<br>employment or occupation (incl. access to voca-<br>tional training, access to employment and to par-<br>ticular occupations, equal opportunities in recruit-<br>ment process, equal access to promotions within<br>the company, equal remuneration). | Immediate<br>Transition period    |                                 | 1                           |
| 1994<br>HR21            | Equal Remu-<br>neration / ILO<br>100             | Does the standard address<br>the payment of equal wages<br>as defined in ILO 100?                                | Equal remuneration for men and women workers<br>for work of equal value refers to rates of remunera-<br>tion established without discrimination based on<br>sex (ILO 100 Art 1)   | Immediate<br>Transition period    |                                 | 1                           |
| <b>Labour Rights</b>    |  |  |   |                                   |                                 | <b>20</b>                   |
| <b>Voluntary Labour</b> |  |  |   |                                   |                                 | <b>2</b>                    |
| 10140<br>LR15           | Prohibition of<br>the withhold-<br>ing of papers | Does the standard prohibit<br>the withholding of workers'<br>documents?  | Refers to the non-existence of measures for puni-<br>tive purposes or forced labour such as withholding<br>of worker documents (ID, passports, etc.).   | immediate, transi-<br>tion period |                                 | 1                           |



| ITC ID<br>SSCT<br>ID | Criteria<br>name       | Criteria question   | Guidance  | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI) | Total<br>Score<br><b>55</b> |
|----------------------|------------------------|---|---|--------------------------------|---------------------------------|-----------------------------|
| 740204<br>LR37       | Freedom of<br>Movement | Does the standard include<br>criteria on the freedom of<br>movement of employees?         | <p>Employees must have the right to leave the premises of their employer after the end of their regular workday.</p> <p>To achieve compliance with this criterion, the standard must prohibit restrictions on freedom of movement.</p>  | immediate, transition period   |                                 | 1                           |
| <b>Child Labour</b>  |                        |   |   |                                |                                 | <b>1</b>                    |
| 700407<br>LR07       | Age Verification       | Does the standard require<br>verification and documentation<br>of age of (young) workers? | Refers to any system of identification to verify the age of employees prior to them starting work, and to keep records of said verifications. The extent of documented information may differ from one organisation to another due to the size, activities, process, complexity of processes etc. | Immediate<br>Transition period |                                 | 1                           |
| <b>Gender</b>        |                        |   |   |                                |                                 | <b>2</b>                    |





| ITC ID<br>SSCT<br>ID | Criteria<br>name   | Criteria question  | Guidance  | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI)   | Total<br>Score<br><b>55</b> |
|----------------------|--------------------|--|---|--------------------------------|---|-----------------------------|
| 10146<br>HR23        | Maternity<br>Leave | Does the standard include<br>criteria on the right to mater-<br>nity leave (as defined in ILO<br>183)? | <p>The criterion refers to compliance with the respec-<br/>tive national law or relevant sections of ILO 183 (in<br/>cases where national law goes beyond ILO 183,<br/>national law shall apply / in cases of non-existence<br/>of national law, relevant sections of ILO 183 shall<br/>apply)</p> <p>To achieve compliance with this criterion, the<br/>standard must adhere to national law in regards to<br/>maternity leave, health protection, employment<br/>protection, non-discrimination and benefits and<br/>must define respective verification methods. Par-<br/>ticularly the following must be covered:<br/>-Maternity leave of at least minimum as stated by<br/>national law.<br/>-women are not obliged to perform work of signifi-<br/>cant risk to the health of the mother or the child.</p> <p>If the standard requires the aspects mentioned<br/>above specifically or refers to ILO 183 in general<br/>(whereas it goes beyond national legislation), this<br/>criterion is fulfilled.</p> | Immediate<br>Transition period | <p><b>Basic:</b> partial<br/>compliance</p> <p><b>Advanced:</b> full<br/>compliance</p> | 1<br><br>2                  |



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



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



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



| ITC ID<br>SSCT<br>ID          | Criteria<br>name                      | Criteria question   | Guidance  | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI) | Total<br>Score<br><b>55</b> |
|-------------------------------|---------------------------------------|---|---|--------------------------------|---------------------------------|-----------------------------|
| <b>Other Labour Rights</b>    |                                       |   |   |                                |                                 | <b>2</b>                    |
| 800077<br>LR44                | Information<br>about Labour<br>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<br>Transition period |                                 | 1                           |
| 800078<br>LR38                | Labour rights<br>management           | Does the standard include requirements on setting up policies or procedures to manage basic labour rights in the workplace? | This refers to having a system in place to identify risks and assess compliance with relevant regulations and requirements regarding basic labour rights, and implement corrective actions where needed.  | Immediate<br>Transition period |                                 | 1                           |
| <b>Scope of Labour Rights</b> |                                       |   |   |                                |                                 | <b>3</b>                    |
| 1982<br>LR01                  | Scope of<br>Workers<br>Rights         | Do worker's rights and benefits set out by the standard apply to all forms of work?   | <p>Do all the benefits apply to all kind of workers including atypical forms of work like part-time, seasonal, migrant, temporary, piece-rate, home work, etc. or only to some of these? (please note that not all forms of atypical employment mentioned above are relevant for all sectors).</p> <p>The question aims to assess whether a standard makes sure that production facilities do not make use of methods such as labour-only contracting, home working, false apprenticeship schemes where there is no real intent to impart skills or repeated fixed term contracts in order to avoid their obligations to workers.<br/>Not applicable for family members of a family-run business.</p> | Immediate<br>Transition period |                                 | 1                           |



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



| ITC ID<br>SSCT<br>ID                  | Criteria<br>name                    | Criteria question   | Guidance   | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI) | Total<br>Score<br><b>55</b> |
|---------------------------------------|-------------------------------------|---|--|--------------------------------|---------------------------------|-----------------------------|
| <b>Health and Safety</b>              |                                     |   |  |                                |                                 | <b>16</b>                   |
| <b>Occupational Health and Safety</b> |                                     |   |  |                                |                                 | <b>14</b>                   |
| 1985<br>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<br>Transition period |                                 | 1                           |
| 2002<br>LR23                          | Health & Safety Training            | Does the standard require training of workers on health and safety issues?                      | To achieve compliance with this criterion, the standard must require systematic training of workers on health and safety issues.   | Immediate<br>Transition period |                                 | 1                           |
| 10116<br>LR25                         | Workplace Conditions                | Does the standard include requirements on workplace conditions?                                 | To achieve compliance with this criterion, the standard must include requirements on proper lighting and space, maximum temperature, adequate ventilation and air circulation, noise levels, and ergonomics.<br><br>To achieve compliance with this criterion, the standard must address some of the mentioned requirements. | Immediate<br>Transition period |                                 | 1                           |
| 2004<br>LR26                          | OHS Management System               | Does the standard require policies and procedures to manage health and safety in the workplace? | This includes requirements on having a policy, regulation or mechanism in place to detect and eliminate unsafe conditions and respond to cases of emergencies.   | Immediate<br>Transition period |                                 | 1                           |



| ITC ID<br>SSCT<br>ID | Criteria<br>name                   | Criteria question  | Guidance  | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI)   | Total<br>Score<br><b>55</b> |
|----------------------|------------------------------------|--|---|--------------------------------|---|-----------------------------|
| 2003<br>LR50         | Protective<br>Equipment            | Does the standard include requirements on protective equipment for the employees?                    | This includes requirements on provision of personal protective equipment by the company (e.g. safety helmets, hearing protection, dust masks, protective gloves).   | Immediate<br>Transition period |   | 1                           |
| 800731<br>LR51       | Minimization<br>of mineral<br>dust | Does the standard include requirements on minimization of exposure to silica and other mineral dust? | To minimize the exposure of employees with dust, several strategies can be applied. E.g. wet processing (drilling or sawing), dust extraction by suction, separation of dusty and non-dusty workplaces.   | Immediate<br>Transition period |   | 1                           |
| 30060<br>LR52        | Averting of<br>Danger              | Does the standard include requirements on averting of danger?  | Machinery must be in a safe technical condition and provide safety systems (e.g. emergency cut-out switch, protection against incorrect use).   | Immediate<br>Transition period |   | 1                           |
| 10124<br>LR27        | Basic Medical<br>Services          | Does the standard include criteria on the access to basic medical services for workers?              | This includes both access to on site medical services for workers as well as transport to offsite medical services for work related issues. To achieve compliance with this criterion, the standard has to require treatment of acute work-related accidents/ illness (basic) or work-related accidents plus preventative care (advanced) | Immediate<br>Transition period | <b>Basic:</b> only treatment of acute work-related accidents/ illness<br><br><b>Advanced:</b> work-related accidents plus preventative care | 1<br><br>2                  |





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



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



| ITC ID<br>SSCT<br>ID                                   | Criteria<br>name                                    | Criteria question   | Guidance   | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI)   | Total<br>Score<br><b>55</b> |
|--|---|---|--|--------------------------------|---|-----------------------------|
| <b>Business Practice and Ethical Issues</b>            |   |   |  |                                |   | <b>5</b>                    |
| <b>Economic Development and Fair Business Practice</b> |   |   |  |                                |   | <b>2</b>                    |
| <b>Legality</b>  |   |   |  |                                |   | <b>2</b>                    |
| 10851<br>EC06  | Business Le-<br>gality                              | Does the standard include<br>criteria on business legality?   | The producer is a legally defined and registered<br>entity. This includes owning a license to operate in<br>the given area (esp. Forestry and agriculture).<br>To achieve compliance with this criterion, the<br>standard must assess business legality for certifi-<br>cate holders, e.g. checking all permits that are re-<br>quired by law (national, regional, local) within a<br>due diligence process. | Immediate<br>Transition period | The scheme as-<br>sesses business<br>legality for certifi-<br>cate holders,<br>e.g. checking all<br>permits that are<br>required by law<br>(national, re-<br>gional, local)<br>within a due dili-<br>gence process. | 1                           |
| 4071<br>GQ01   | Legal compli-<br>ance /<br>country legis-<br>lation | Does the standard include a<br>requirement for compliance<br>with relevant local, regional<br>and national laws and regu-<br>lations? | Standard requires a process by which an organi-<br>sation ensures that it observes and complies with<br>the external statutory laws and regulations.   | Immediate<br>Transition period |   | 1                           |
| <b>Corruption and Bribery</b>                          |   |   |  |                                |   | <b>3</b>                    |



| ITC ID<br>SSCT<br>ID          | Criteria<br>name                                  | Criteria question  | Guidance   | Degree of<br>Obligation        | Degree<br>of Intensity<br>(DoI) | Total<br>Score<br><b>55</b> |
|-------------------------------|---|--|--|--------------------------------|---------------------------------|-----------------------------|
| 1954<br>EC11                  | General Prin-<br>ciple: Corrup-<br>tion & Bribery | Does the standard include<br>criteria on the prevention of<br>corruption and bribery?  | Any principle, policy or measure that explicitly<br>aims at preventing or diminishing corruption and/<br>or bribery.<br><br>To achieve compliance with this criterion, the<br>standard must prohibit corruption and bribery. | Immediate<br>Transition period |                                 | 1                           |
| 34010<br>EC12                 | Corruption<br>Due Diligence                       | Does the standard include<br>criteria on conducting a due<br>diligence assessment of<br>business partners, including<br>subsidiaries and contrac-<br>tors? | Due diligence assessment includes the policies<br>and procedures to undertake an evaluation of<br>business partners with respect to risks of corrup-<br>tion and/or violations   | Immediate<br>Transition period |                                 | 1                           |
| 34012<br>EC13                 | Anti-Corrup-<br>tion Training                     | Does the standard include<br>criteria on training workers<br>in positions of responsibility<br>workers on issues of corrup-<br>tion and bribery?           | Positions of responsibility are those in which the<br>individual can direct the work of others, make em-<br>ployment decisions, make decisions on purchase<br>or sale of product, or handles money.                          | Immediate<br>Transition period |                                 | 1                           |
| <b>Company Responsibility</b> |   |  |  |                                |                                 | <b>2</b>                    |
| <b>Impact Assessment</b>      |   |  |  |                                |                                 | <b>2</b>                    |



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

*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).*