CERTIFICATION SCHEME

Version 1.1

For

THE CRADLE TO CRADLE CERTIFIED™ PRODUCTS PROGRAM

March 2015

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1 PURPOSE

The purpose of the Certification Scheme is to create a functional and scalable framework designed to implement the Cradle to Cradle Certified™ Products Program, which is administered by the Cradle to Cradle Products Innovation Institute (C2CPII). Functional implementation of the Certification Scheme is intended to generate the global spread of Cradle to Cradle® principles into practice.

The proposed structures are designed to encourage innovation, continual improvement, and independence of all involved parties, while advancing the goals of Cradle to Cradle thinking and development as enacted by the C2CPII through the certification process.

2 NORMATIVE REFERENCES

ISO 9001:2011, Quality Management Systems

ISO 17065:2012, Conformity Assessment – Requirements for bodies certifying products, processes, and services.

ISO 14025, Environmental labels and declarations -- Type III environmental declarations -- Principles and procedures

Cradle to Cradle Certified™ Product Standard

Cradle to Cradle Certified™ Material Health Assessment Methodology

3 DEFINITIONS

3.1 Assessment Body (AB): An entity accredited by the C2CPII to conduct assessments sufficient in scope and rigor to support a certification decision based on the Cradle to Cradle Certified Product Standard.

3.2 Accredited Assessor (AA): An individual trained by the C2CPII to conduct Cradle to Cradle product certification assessments under the auspices of an accredited AB. The individual may be accredited to conduct full assessments or assessments limited to specific categories of the standard.

3.3 Certification Body (CB): An entity accredited by the C2CPII to perform conformity audits, render certification decisions, and issue certificates based on the Cradle to Cradle Certified Product Standard in accordance with the principles of ISO 17065.

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1 Cradle to Cradle Certified™ is a trademark licensed by the Cradle to Cradle Products Innovation Institute.
3.4 Certification Scheme Owner (Scheme Owner): The Cradle to Cradle Products Innovation Institute (C2CPII).

3.5 Cradle to Cradle Certified Product Standard (the ‘standard’): The governing standard that serves as the basis for all Cradle to Cradle product certifications.

4 ROLES DEFINED BY FUNCTION

4.1 CERTIFICATION SCHEME OWNER (Scheme Owner): CRADLE TO CRADLE PRODUCTS INNOVATION INSTITUTE (C2CPII)

4.1.1 Maintain and revise the standard.
4.1.2 Provide oversight and enforcement of the rules governing the use of C2CPII marks and intellectual property: (a) Require all certificate holders to execute and abide by the C2CPII Trademark License Agreement (b) Monitor proper use of C2CPII marks and intellectual property.
4.1.3 Develop and implement requirements for CB accreditation.
4.1.4 Train CB personnel.
4.1.5 Accredit CBs.
4.1.6 Perform initial and annual audits of CBs seeking or maintaining accreditation.
4.1.7 Provide oversight of CB activities.
4.1.8 Accredit Cradle to Cradle ABs.
4.1.9 Develop training programs.
4.1.10 Train AB personnel.
4.1.11 Ensure accredited AB personnel practice quality consistency through audits, continuing education, technical updates, and training.
4.1.12 Ensure uniform application of the standard.
4.1.13 Manage the C2CPII Quality System to ensure alignment of the Cradle to Cradle certification process with ISO guides and standards.
4.1.14 Interpret standard as necessary for clarification in the course of certification assessments, and maintain a library of interpretation and guidance relating to the implementation of the standard.
4.1.15 Represent Cradle to Cradle certification principles and practice to stakeholders and the public.
4.1.16 Establish and maintain financial independence of the C2CPII.
4.1.17 Implement marketing and communications efforts to ensure diverse industry sector and international adoption of Cradle to Cradle product certification.
4.1.18 Maintain database registry of certified products.

4.2 CERTIFICATION BODIES (CB)

4.2.1 Achieve and maintain accreditation from the Certification Scheme Owner to conduct conformity audits based on the standard.
4.2.2 Conduct conformity audits to the standard in accordance with policies and procedures established by the C2CPII.
4.2.3 Render Cradle to Cradle certification decisions.
4.2.4 Maintain surveillance of certifications, including adherence to governing intellectual property rules and changes to the scope of certifications.
4.2.5 Develop and maintain organizational structure and systems in accordance with ISO guides and standards per the direction of the C2CPII.
4.2.6 Establish and maintain Independent Third Party status in accordance with ISO guides and standards as developed and implemented by the C2CPII.

4.3 ASSESSMENT BODIES (AB)

4.3.1 Achieve and maintain accreditation from the Certification Scheme Owner.
4.3.2 Ensure staff and contractors meet education and training requirements established by the C2CPII.
4.3.3 Provide clients with guidance to achieve certification based on extensive knowledge of the standard and Cradle to Cradle principles.
4.3.4 Act in the best interest of the client to engage in the Cradle to Cradle product assessment process as a means of achieving certification.
4.3.5 Develop and oversee continual improvement systems for achievement of Cradle to Cradle principles in operation.
4.3.6 Advise clients on innovative tactics, strategies, and product development in accordance with Cradle to Cradle principles.
4.3.7 Maintain current knowledge of Cradle to Cradle principles, thinking, and the standard.

5 RESPONSIBILITIES of the CRADLE TO CRADLE PRODUCTS INNOVATION INSTITUTE – CERTIFICATION SCHEME OWNER

5.1. Certification Standards Board

5.1.1 Govern the maintenance, interpretation, and revision of the standard in accordance with the By-laws, polices and procedures of the C2CPII.
5.1.2 The By-laws of the Certification Standards Board shall define the size, membership, and governance of the Certification Standards Board. Additional policies and procedures shall be developed in accordance with these By-Laws to execute the continual improvement requirements of the standard and the quality system of the C2CPII.
5.1.3 The By-laws shall establish the roles and responsibilities of Certification Standards Board members.
5.1.4 The By-laws shall define conditions for recusal, disqualification, and resignation or termination of board membership.

5.2 Oversight of Certification Bodies (CB) and Assessment Bodies (AB)

5.2.1 The Certification Scheme Owner shall establish uniform requirements for CBs and ABs to achieve and maintain accreditation to conduct Cradle to Cradle
conformance audits. The C2CPII Policy for Accrediting Certification Bodies and the C2CPII Policy for Accrediting Assessment Bodies contain full details of the accreditation process.

5.2.2 Qualifications: The Certification Scheme Owner shall establish qualifications for ABs and CBs. These qualifications shall be revisited and modified to reflect the continual improvement of the standard and the quality systems of the C2CPII. Additionally, these qualifications shall be kept current, allowing for the continual improvement and adaptation of the standard.

5.2.3 Training: The Certification Scheme Owner shall develop materials and conduct sufficient training for CB and AB personnel to attain Accredited CB or AB status. This training shall be conducted at locations, times, and for fees determined by the C2CPII. Ultimately, CBs and ABs shall be expected to undertake and manage Cradle to Cradle training for personnel internally, with C2CPII oversight. The C2CPII shall retain sole authority for granting accreditation of CBs and ABs.

5.2.4 Operational Oversight: The Certification Scheme Owner shall provide ongoing oversight of CB and AB activities. Guidance, performance audits, and review of assessment practices to ensure uniform application of the standard shall be part of this oversight. Additional forms of oversight shall be developed when deemed appropriate by the C2CPII to be essential for maintaining the operational integrity of the Cradle to Cradle product Certification Scheme. Such additional oversight may be one-time, ongoing, or conducted as needed. Examples of such additional oversight might be required meetings of CBs and ABs to discuss certification issues, posting of standard interpretations, and general or specific meetings called to review the state of the Certification Scheme.

5.2.5 Certification Decision: The Certification Scheme Owner shall hold sole responsibility for the final certification decision until such time that the C2CPII delegates that function to other CBs operating fully in accordance with the requirements of the C2CPII Certification Scheme and meeting all additional required criteria established by the C2CPII. CB-generated certification decisions shall be subject to review under the oversight provisions of the C2CPII quality system. Certification decisions rendered by CBs that are deemed questionable or invalid by the C2CPII shall result in a Non Compliance Report (NCR) that shall be addressed by the CB in order to avoid suspension or revocation of accreditation.

5.3 Certified Products Registry

5.3.1 The Certification Scheme Owner houses and maintains the definitive registry of Cradle to Cradle Certified Products in accordance with the C2CPII Policies and Procedures for operation and maintenance of the C2CPII Certified Products Registry. The registry shall be kept current at all times, based on information received from CBs. To ensure data accuracy by operating in accordance with the surveillance requirements of this certification scheme, all changes to certificates shall come from the CB that performed the certification audit on which that certificate is based. Entities holding certificates for products may not submit data changes directly to C2CPII.

6 RESPONSIBILITIES of CERTIFICATION BODIES

6.1 Qualifications
6.1.1 Quality System: The CB shall develop and maintain a quality system based on ISO 9001, further designed to implement certification audits based on ISO 17065. The C2CPII retains sole discretion in making it a requirement for a CB to have ISO 17065 accreditation.

6.1.2 Personnel: Maintain staff or contractors with adequate education and credentials, as determined by C2CPII Policy for Accrediting Certification Bodies, to perform rigorous audits of assessment reports against the standard.

6.2 Accreditation

6.2.1 A CB performing conformity audits to the standard shall be accredited by the C2CPII based on the C2CPII Policy for Accrediting Certification Bodies.

6.2.2 To be considered for Accreditation, a CB shall apply to the C2CPII.

6.2.3 The application is reviewed by the C2CPII.

6.2.4 If the application indicates the CB meets the minimum requirements for quality system and personnel, or can demonstrate a viable path forward to meet the requirements, the application may be approved at the sole discretion of the C2CPII.

6.2.5 The C2CPII shall create a plan, including appropriate fees, for the CB to efficiently achieve accreditation.

6.2.6 Maintenance of Accreditation: To maintain accreditation, a CB shall follow the requirements delineated in the C2CPII Policy for Accrediting Certification Bodies.

6.2.7 Term of accreditation: CB Accreditation is ongoing, subject to annual audits and oversight determined by the C2CPII.

6.3 Certification Process

6.3.1 Application: A CB shall evaluate a prospective client’s application.

6.3.2 Proposal: Review of a prospective client’s application shall lead the CB to provide a proposal, sufficient in detail to give the client guidance regarding the procedure, duration, and cost of the audit.

6.3.3 Audit: Upon a client’s approval of the proposal, the certification process begins.

6.3.4 Reporting: A report containing sufficient detail to support a certification decision shall be created.

6.3.5 Review: The report is internally peer reviewed by CB staff, who may make corrections, additions, and clarifications to bolster the quality of the document and its conclusions. A final version of the report is drafted.

6.3.6 Certification Decision: Using the report and any additional required supporting documentation and data, the CB renders a certification decision and issues a certificate.

6.3.7 Recertification: At the conclusion of the certification period, as defined in the standard, the client may elect to recertify the product. Recertification entails conducting a new complete certification process based on the most current version of the standard, guidance documents, and interpretations.

6.3.8 Extension: If a CB receives from an AB a request for certification extension, the CB shall determine if the request fulfills the requirements set forth in the C2CPII Policy for Certification Extension. If the requirements are met, the CB shall grant the extension
for a specific timeframe and establish any additional conditions for the extension. The CB and C2CPII shall charge the client appropriate pro-rated fees based on the duration of the extension.

6.4 Surveillance

6.4.1 The CB shall provide surveillance during the time between certification and recertification. The CB is entitled to charge fees for this required service.

6.4.2 Surveillance is based on the original certification. It does not require updated adherence to new versions of the standard or subsequent refinements of interpretation and guidance related to the version of the standard applied during the initial certification. However, it does cover addressing certification requirements for continual improvement during the certification period and the monitoring of resolutions of Non-Conformance Reports (NCR) and Opportunities for Improvement (OFI) contained in the certification report.

6.4.3 Product changes: The CB is responsible for oversight of a client’s changes in materials and processes that have an effect on the certification. The client is required to inform the CB of all such changes in material composition or processes believed to have an impact on the level or validity of certification. The CB is required to communicate to the C2CPII such changes in order to ensure the accuracy of certificates and the Certified Product Registry.

6.4.4 Database: In accordance with its own policies, the CB may maintain a public database of the products certified by the CB. This database should be operated in a way that captures and reflects all changes to certifications under the CB’s purview. It should mirror exactly the listings on the C2CPII definitive Certified Product Registry.

6.5 Scope Change, Suspension, Withdrawal, and Refusal of Certification

6.5.1 Scope change: During the course of a certification the scope may change based on information provided by the client under the terms of the certification scheme.

6.5.2 Suspension: A certification may be suspended.
   a) Client’s failure to make payments required to maintain, extend, or renew certification
   b) Client’s failure to sufficiently engage in the process to maintain, extend, or renew certification

6.5.3 Withdrawal: A certificate may be withdrawn.
   a) Client’s products no longer meet the requirements for certification
   b) Client has been found to be engaged in illegal activity, practices antithetical to the underlying principles of the C2CPII, or any activity that negatively impacts the integrity or public image of the C2CPII or standard
   c) Client’s failure to make payments required to maintain, extend, or renew certification
   d) Client’s failure to engage in the process to maintain, extend, or renew certification.

6.5.4 Refusal: A certificate may not be granted.
   a) Client’s products fail to meet the requirements for certification
b) Client has been found to be engaged in illegal activity, practices antithetical to the underlying principles of the C2CPII, or any activity that negatively impacts the integrity or public image of the C2CPII or standard

c) Client’s failure to make payments required for certification
d) Client disengages in the certification process for a duration that makes it impossible to certify under the terms of the original proposal and certification plan

7 RESPONSIBILITIES of ASSESSMENT BODIES

7.1 Qualifications

7.1.1 Documentation: The accredited AB shall submit all documentation required by the C2CPII Policy for Accrediting Assessment Bodies.

7.1.2 Personnel: The accredited AB shall maintain staff or contractors with adequate education and credentials, as determined by C2CPII Policies and Procedures, to perform rigorous assessments based on the standard.

7.2 Accreditation

7.2.1 ABs operating within the Certification Scheme shall achieve and maintain accreditation in accordance with the requirements of the C2CPII Policy for Accrediting Assessment Bodies.

7.2.2 The C2CPII shall make available guidance for ABs in the form of training, continuing education, interpretive materials, and individuated direction. The C2CPII may charge fees for some of these services and materials.

7.2.3 Accreditation Process

a) To be considered for accreditation, a potential AB shall apply to the C2CPII.
b) The application is reviewed by the C2CPII.
c) If the application indicates the potential AB meets the minimum requirements for documentation and personnel, or can demonstrate a viable path forward to meet the requirements, the application may be approved at the sole discretion of the C2CPII.
d) The C2CPII shall create a plan, including appropriate fees, for the approved AB applicant to efficiently achieve accreditation.

7.2.4 Maintenance of Accreditation: To maintain accreditation, an AB shall follow the protocols delineated in the C2CPII Policy for Accrediting Assessment Bodies.

7.2.5 Term of Accreditation: AB accreditation is for a term of two years, subject to annual audits and oversight determined by the C2CPII.

7.2.6 AB Provisional Accreditation: The Certification Scheme Owner will develop general and individuated plans for ABs to become accredited to conduct materials assessments. An AB seeking accreditation to conduct materials assessments cannot attain full accreditation until it has conducted standard assessments under the guidance of the
C2CPII. This condition will require the AB seeking accreditation to conduct materials assessments to initially operate under provisional accreditation status. Provisionally accredited ABs may not undertake material assessments without first submitting a plan to the C2CPII, and then conducting the assessment under C2CPII guidance. Assessments conducted under provisional status will be considered equivalent to those conducted by a fully accredited AB, with the resulting certification recommendation being of equal value to that conducted by an accredited AB. Since the assessments conducted during provisional period are required to be of the same quality as those conducted by an accredited AB, there is no need for the public or client to be informed of an AB’s provisional status. Such informing may create a false impression the assessment is somehow different and thus make it subject to unfounded and unnecessary complaints and appeals. This accreditation process will not affect any Cradle to Cradle product certifications issued prior to adoption of this Certification Scheme. At the sole discretion of the C2CPII, ABs conducting assessments prior to the adoption of this Certification Scheme may be granted full accreditation if the AB meets all accreditation requirements of the Certification Scheme.

7.3 Restrictions

7.3.1 Individual AB staff or contractors shall not perform any of the CB functions on any project that they also engage in assessment activity. AB staff and contractors may not perform work that entails direct involvement with the certification decision, or crosses the boundary delineated in ISO 17065 between CB and AB (consultant, as defined by ISO) roles in the certification process.

7.3.2 If qualified to do so under the requirements established by the C2CPII, individual AB staff and contractors may conduct CB work on projects where they are not performing any AB functions.

7.3.3 Entities accredited to conduct both CB and AB functions shall establish clear “firewalls” between the two that meet the requirements of the C2CPII, in accordance with ISO 17065.

7.4 Assessment Process (The C2CPII Assessment Manual for Assessment Bodies contains full details of the assessment process.)

7.4.1 Application: An AB shall evaluate a prospective client’s application.

7.4.2 Proposal: Review of a prospective client’s application shall lead the AB to provide a proposal, sufficient in detail to give the client guidance regarding the procedure, duration, and cost of the assessment.

7.4.3 Assessment: Upon a client’s approval of the proposal, the assessment begins.

7.4.4 Reporting: A report of the assessment containing sufficient detail to support a certification decision shall be created.

7.4.5 Review: The report is internally peer reviewed by AB staff, who may make corrections, additions, and clarifications to bolster the quality of the document and its conclusions. A final version of the report is drafted.
7.4.6 Recommendation: Supported by the final draft of the report, the AB makes a certification recommendation to the CB. Only AB staff trained by the C2CPII may make a certification recommendation and submit it to the CB.

7.4.7 Certification Decision: Using the report and any additional required supporting documentation and data, the CB renders a certification decision and issues a certificate.

7.4.8 Recertification: At the conclusion of the certification period, as defined in the standard, the client may elect to recertify the product. Recertification entails conducting a new complete assessment based on the most current version of the standard, guidance documents, and interpretations.

7.4.9 Extension: If a client is making progress toward recertification, yet for legitimate reasons is unable to fully complete the assessment process, an extension for a specific period of time may be granted. An AB files a request with the CB for an extension. This request should contain sufficient justification for the request. If granted, the AB continues the assessment and ensures all conditions of the extension are met during the process.