Addendum to the Cradle to Cradle Certified Product Standard, Version 4.0 User Guidance

Date: 21 October 2022

Type of Change: Additions to Further Explanation and Required Documentation

Applicable User Guidance Section(s): General Requirements, Section 3.1 Certification Compliance Assurance

Applicable Achievement Level(s): Bronze

Applicable Requirement(s): The certification applicant/holder company must have a documented certification compliance assurance system in place that includes:

4. Management system best practices including:
   a. A document control process,
   b. Internal self-audits conducted at regular planned intervals (at least once each certification cycle), and
   c. A corrective action process.

Applicable User Guidance:

Required Documentation

- Evidence of management system best practices including document control, self-audit, and corrective action procedures.

Additions

Further Explanation

Management System Best Practices (#4 a, b, and c)
ISO 9001 (Quality Management System – Requirements) contains a high level overview of management system best practices, including those for document control, internal self-audits, and corrective action processes. However, ISO 9001 alone is not sufficient to demonstrate conformance with this set of requirements.

Document Control Process
Data and documentation applicable to the certification must be protected and controlled to ensure that the most recent and accurate information can be found and identified and that improper or accidental changes are not made. This typically includes a standard method of organizing file

folders, file naming conventions that include dates, and control on who has access to and/or is able to edit and delete documents.

Data and documentation applicable to the certification includes all source/raw data and documentation used to demonstrate conformance with the standard, including all data reported in the C2CPII application forms and templates (e.g., the Version 4.0 Applicant Checklist, Bill of Materials forms, Supplier Bill of Materials Forms, RSL declarations, Circularity Data Report, Clean Air & Climate Protection Form (including energy bills or similar source data), Water & Soil Stewardship Form (including meter readings or similar source data), documentation for any C2CPII-recognized standards applicable to the certification).

Internal Self-Audits
Applicants must schedule an internal audit at least once every two years to review all data, documentation, and processes applicable to the certification application. It is recommended that this review be scheduled for one year after initial certificate issuance and each recertification.

The primary purpose of the audit is to (1) identify any changes that may have occurred since the certificate was issued that would impact achievement of the Cradle to Cradle Certified requirements and/or scope, and (2) identify if there are any opportunities for improvement in how the applicable documentation is maintained and updated to ensure it remains accurate.

The results of each audit are expected to be documented and reported to applicable internal management. If changes pertinent to the certification were or may have occurred, the appropriate assessment body and/or Cradle to Cradle Products Innovation Institute is required to be notified.

It is recommended to develop a checklist that covers applicable certification requirements and guides the internal audit. The checklist can also serve as documentation of what was included in the internal audit, the results (nonconformance, conformance, opportunities for improvement, etc.) and the audit conclusions. Audit conclusions could, for example, be that the internal audit has shown that the management system is capable of maintaining conformance to the Cradle to Cradle certification standard.

Corrective Action Process
When a nonconformance with the certification is identified (either during the self-audit or otherwise), corrective actions must be taken. The corrective action process or procedure is required to include development of corrective action plan(s) with an associated timeline for completion. The plan must include:

1. Action(s) to immediately correct the nonconformance to ensure compliance with the standard requirement(s), and
2. A root cause analysis and related corrective action to avoid a similar occurrence of the nonconformance in the future.

Staff responsible for carrying out the corrective action plan(s) must be assigned. Corrective action plans and actions taken must be documented. See the Version 4.0 User Guidance for Social Fairness

Section 8.3 Monitoring and Verification for elements of a credible corrective action plan. Again, the applicable assessment body and/or Cradle to Cradle Products Innovation Institute must be notified of any nonconformances that affect or may affect achievement of Cradle to Cradle certification requirements.

Required Documentation

Evidence of management system best practices including document control, self-audit, and corrective action procedures as follows:

- Evidence that all source/raw data and documentation used to demonstrate conformance with the standard, including data reported in all C2CPII application forms and templates, are included in a managed document control process.
- Evidence that internal self-audits are planned or have occurred (for recertifications) at least once every two years, preferably mid-way through the two-year certification cycle, to monitor and identify any potential nonconformances with the standard.
- Evidence of a process in place for developing and implementing corrective actions to any nonconformances identified.
- For recertification: Description of any applicable opportunities for improvement or nonconformances that were identified during the self-audit(s) and how they were resolved.