

# **CERTIFICATE SCHEME**

**For**

## **THE MATERIAL HEALTH CERTIFICATE PROGRAM**

**Version 1.1**

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## **1 Purpose**

The intention of the Certificate Scheme is to create a functional framework designed to implement the Material Health Certificate Program, which is administered by the Cradle to Cradle Products Innovation Institute (C2CPPI).

## **2 Normative References**

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

*Cradle to Cradle Certified Product Standard (the ‘standard’)*

*Cradle to Cradle Certified Material Health Assessment Methodology (material health methodology)*

*Supplemental Guidance for the Cradle to Cradle Certified Product Standard (‘standard guidance’)*

*Supplemental Guidance for Cradle to Cradle Certified Health Methodology (‘health methodology guidance.’)*

## **3 Definitions**

3.1 Assessment Body (AB): An entity accredited by the C2CPPI to conduct assessments sufficient in scope and rigor to support a certificate issuance decision based on the standard.

3.2 Accredited Assessor (AA): An individual trained by the C2CPPI 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 C2CPPI 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.

3.4 Certification Scheme Owner (Scheme Owner): The Cradle to Cradle Products Innovation Institute (C2CPPI).

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.

3.6 Cradle to Cradle Certified Material Health Methodology: The detailed methodology for assessing conformance to the Material Health requirements of the standard.

3.7 Supplemental Guidance for the Cradle to Cradle Certified Product Standard: Additional guidance provided to clarify the requirements for conformance to the standard.

3.8 Supplemental Guidance for the Cradle to Cradle Certified Material Health Assessment Methodology: Additional guidance provided to clarify the requirements for conformance to the requirements of the material health section of the standard.

## **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 intellectual property.

4.1.3 Develop and implement requirements for CB accreditation.

4.1.4 Train CB personnel.

4.1.5 Accredite 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 Accredite 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 the material health section of the 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 Material Health Certificate principles and practice to stakeholders and the public.

- 4.1.16 Establish and maintain financial independence of the C2CPH.
- 4.1.17 Implement marketing and communications efforts to ensure diverse industry sector and international adoption of the Material Health Certificate.
- 4.1.18 Maintain database registry of Material Health Certificate products.

## **4.2 Certification Bodies (CB)**

- 4.2.1 Achieve and maintain accreditation from the Certificate 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 C2CPH.
- 4.2.3 Render Material Health Certificate issuance decisions.
- 4.2.4 Maintain surveillance of certificates, including adherence to governing intellectual property rules and changes to the scope of certificates.
- 4.2.5 Develop and maintain organizational structure and systems in accordance with ISO guides and standards per the direction of the C2CPH.
- 4.2.6 Establish and maintain Independent Third Party status in accordance with ISO guides and standards as developed and implemented by the C2CPH.

## **4.3 Assessment Bodies (AB)**

- 4.3.1 Achieve and maintain accreditation from the Certificate Scheme Owner.
- 4.3.2 Ensure staff and contractors meet education and training requirements established by the C2CPH.
- 4.3.3 Provide clients with guidance to attain certificates based on extensive knowledge of the standard.
- 4.3.4 Act in the best interest of the client to engage in the Material Health assessment process as a means of attaining certificates.

## **5 ROLES DEFINED BY RESPONSIBILITIES**

### **5.1 Certification Scheme Owner (Scheme Owner): Cradle to Cradle Products Innovation Institute (C2CPH)**

#### **5.1.1 Material Health Certificate Standard (the 'standard')**

- (a) The Certification Standards Board shall govern the maintenance, interpretation, and revision of the standard in accordance with the by-laws, policies, and procedures of the C2CPH.

(b) 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 C2CPH.

(c) The By-laws shall establish the roles and responsibilities of Certification Standards Board members.

(d) The By-laws shall define conditions for recusal, disqualification, and resignation or termination of board membership.

#### 5.1.2 Oversight of Certification Bodies (CB) and Assessment Bodies (AB)

(a) 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 C2CPH.

(b) Training: The Certificate 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 C2CPH. Ultimately, CBs and ABs shall be expected to undertake and manage Cradle to Cradle training for personnel internally, with C2CPH oversight. The C2CPH shall retain sole authority for granting accreditation of CBs and ABs.

(c) Operational Oversight: The Certificate 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 by the C2CPH to be essential for maintaining the operational integrity of the Material Health Certificate 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 matters related to certificate issuance, posting of standard interpretations, and general or specific meetings called to review the state of the Certificate Scheme.

(d) Certificate Issuance Decision: The Certificate Scheme Owner shall hold sole responsibility for the final certificate issuance decision until such time that the C2CPH delegates that function to CBs operating fully in accordance with the requirements of the C2CPH Certificate Scheme and meeting all additional required criteria established by the C2CPH. CB-generated certificates decisions shall be subject to review under the oversight provisions of the C2CPH quality system. Certificate issuance decisions rendered by CBs that are deemed questionable or invalid by the C2CPH shall result in a Non Compliance Report

(NCR) that must be addressed by the CB in order to avoid suspension or revocation of accreditation.

5.1.3 Accreditation of Certification Bodies (CB) and Assessment Bodies (AB) (The *C2CPII Policy for Accrediting Certification Bodies and the C2CPII Policy for Accrediting Assessment Bodies* contain full details of the accreditation process.)

(a) The Certificate Scheme Owner shall establish uniform requirements for CBs and ABs to achieve and maintain accreditation to conduct Cradle to Cradle conformity audits.

(b) AB Provisional Accreditation: The Certificate Scheme Owner shall 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 shall 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 shall be considered equivalent to those conducted by a fully accredited AB, with the resulting certificate issuance 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.

(c) CB Provisional Accreditation: The Certificate Scheme Owner shall develop general and individuated plans for CBs to become accredited to conduct certificate issuance audits. A CB seeking accreditation to conduct certificate issuance audits cannot attain full accreditation until it has conducted standard-based audits under the guidance of the C2CPII. Hence, CBs shall initially operate under provisional accreditation status. Certificates issued by a CB during the provisional period shall be full, not provisional, certificates as granted by the C2CPII. Provisionally accredited CBs may not undertake certificate issuance audits without first submitting a plan to the C2CPII, and then conducting the audit under C2CPII guidance. Audits conducted under provisional status shall be considered equivalent to those conducted by a fully accredited CB, with the resulting certificate being equivalent to that conducted by an accredited CB. Since the audits conducted during the provisional period are required to be of the same

quality as those conducted by an accredited CB, there is no need for the public or client to be informed of a CB'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.

#### 5.1.4 Material Health Certificate Products Registry

(a) The Certificate Scheme Owner houses and maintains the definitive registry of Material Health Certificate Products in accordance with the C2CPH Policies and Procedures for operation and maintenance of the C2CPH Certified Products Registry.

(b) The Material Health Certificate Products Registry shall be kept current at all times, based on information received from ABs. To ensure data accuracy by operating in accordance with the surveillance requirements of this certificate scheme, all changes to certificates must come from the AB. Entities holding certificates for products may not submit data changes directly to C2CPH.

## 5.2 Certification Bodies

### 5.2.1 Qualifications

(a) Quality System: The CB must develop and maintain a quality system based on ISO 9001, further designed to implement certificate issuance audits based on ISO 17065. The C2CPH retains sole discretion in making it a requirement for a CB to have ISO 17065 accreditation.

(b) Personnel: Maintain staff or contractors with adequate education and credentials, as determined by C2CPH Policy for Accrediting Certification Bodies, to perform rigorous audits of assessment reports against the standard.

5.2.2 Accreditation (The *C2CPH Policy for Accrediting Certification Bodies* contains full details of the accreditation process.) A CB performing conformity audits to the standard must be accredited by the C2CPH based on the *C2CPH Policy for Accrediting Certification Bodies*.

### 5.2.3 Accreditation Process:

a) To be considered for Accreditation, a CB must apply to the C2CPH.

b) The application is reviewed by the C2CPH.

c) 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.

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

e) Provisional accreditation: A CB that meets the criteria for accreditation, but has not performed standard certificate issuance audits shall do so under the oversight of the C2CPII. These audits shall be conducted in full accordance with the standard, and shall result in reports and recommendations that shall lead to a certificate issuance decision by the C2CPII. Certificates granted under this process are no different than certificates granted on reports and recommendations produced by Accredited CBs.

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

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

5.2.6 Certificate Issuance Process (The *C2CPII Assessment Manual for Certification Bodies* contains full details of the assessment process.)

(a) Application: A CB shall evaluate a prospective client's application.

(b) 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.

(c) Audit: Upon a client's approval of the proposal, the certificate issuance process begins.

(d) Reporting: A report containing sufficient detail to support a certificate issuance decision shall be created.

(e) 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.

5.2.7 Certificate Issuance Decision: Using the report and any additional required supporting documentation and data, the CB renders a decision and issues a certificate.

5.2.8 Renewal: At the conclusion of the certificate's period of validity, as defined in the standard, the client may elect to renew the certificate. Renewal entails conducting a new complete certificate issuance process based on the most current version of the standard, guidance documents, and interpretations.

5.2.9 Extension: If a CB receives from an AB a request for certificate extension, the CB shall determine if the request fulfills the requirements set forth in the C2CPII Policy for Certificate Extension within the Material Health Certificate Scheme. 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.

#### 5.2.10 Surveillance

(a) The CB shall provide surveillance during the time between certificate issuance and renewal. The CB is entitled to charge fees for this required service.

(b) Surveillance is based on the original certificate. 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 certificate issuance. However, it does cover addressing certificate requirements for continual improvement during the certificate's validity period and the monitoring of resolutions of Non-Conformance Reports (NCR) and Opportunities for Improvement (OFI) contained in the certificate issuance report.

(c) Product changes: The CB is responsible for oversight of a client's changes in materials and processes that have an effect on the certificate. 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 a certificate. The CB is required to communicate to the C2CPII such changes in order to ensure the accuracy of certificates and the Material Health Certificate Product Registry.

(d) Database: In accordance with its own policies, the CB may maintain a public database of the products holding a Material Health Certificate issued by the CB. This database should be operated in a way that captures and reflects all changes to certificates under the CB's purview. It should mirror exactly the listings on the C2CPII definitive Material Health Certificate Product Registry.

5.2.11 Scope change: During the course of a certificate's validity the scope may change based on information provided by the client under the terms of the certification scheme.

5.2.12 Suspension: A certificate may be suspended.

(a) Client's failure to make payments required to maintain, extend, or renew a certificate.

(b) Client's failure to sufficiently engage in the process to maintain, extend, or renew a certificate

5.2.13 Withdrawal: A certificate may be withdrawn.

(a) Client's products no longer meet the requirements for holding a certificate

- (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 a certificate
- (d) Client's failure to engage in the process to maintain, extend, or renew a certificate

5.2.14 Refusal: A certificate may not be granted.

- a) Client's products fail to meet the requirements for granting a certificate
- 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 holding a certificate
- d) Client disengages in the certificate process for a duration that makes it impossible to issue a certificate under the terms of the original proposal and certificate issuance plan

### **5.3 Assessment Bodies (AB)**

#### 5.3.1 Qualifications

- (a) Documentation: The accredited AB must submit all documentation required by the C2CPII Policy for Accrediting Assessment Bodies.
- (b) Personnel: The accredited AB must maintain staff or contractors with adequate education and credentials, as determined by C2CPII Policies and Procedures, to perform rigorous assessments based on the standard.

5.3.2 Accreditation (The *C2CPII Policy for Accrediting Assessment Bodies* contains full details of the accreditation process.) ABs operating within the Certification Scheme must achieve and maintain accreditation in accordance with the requirements of the C2CPII Policy for Accrediting Assessment Bodies.

5.3.3 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.

#### 5.3.4 Accreditation Process

- a) To be considered for accreditation, a potential AB must 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 C2CPH.
- d) The C2CPH shall create a plan, including appropriate fees, for the approved AB applicant to efficiently achieve accreditation.
- e) Provisional accreditation: An AB that meets the criteria for accreditation, and is being accredited to conduct materials assessments, but has not previously performed Cradle to Cradle product assessments shall conduct their first three assessments under the oversight of the C2CPH. These assessments shall be conducted in full accordance with the standard, and shall result in reports and recommendations that shall lead to a certificate issuance decision by the CB. Certificates granted under this process are no different than certificates based on reports and recommendations produced by non-provisional ABs. Assessors performing standard assessments prior to the adoption of the Certification Scheme may be granted provisional accreditation at the discretion of the Scheme Owner until full compliance is achieved in accordance with the requirements set forth in the C2CPH Policy for Accrediting Assessment Bodies.

5.3.5 Maintenance of Accreditation: To maintain accreditation, an AB must follow the protocols delineated in the C2CPH Policy for Accrediting Assessment Bodies.

5.3.6 Term of Accreditation: AB accreditation is for a term of two years, subject to annual audits and oversight determined by the C2CPH.

5.3.7 Purview and Conduct

- (a) Individual AB staff or contractors must 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 certificate issuance decision, or crosses the boundary delineated in ISO 17065 between CB and AB (consultant, as defined by ISO) roles in the certificate issuance process.
- (b) If qualified to do so under the requirements established by the C2CPH, individual AB staff and contractors may conduct CB work on projects where they are not performing any AB functions.
- (c) Entities accredited to conduct both CB and AB functions must establish clear “firewalls” between the two that meet the requirements of the C2CPH, in accordance with ISO 17065.

5.3.8 Assessment Process (The C2CPH *Assessment Manual for Assessment Bodies* contains full details of the assessment process.)

- (a) Application: An AB shall evaluate a prospective client's application.
- (b) 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.
- (c) Assessment: Upon a client's approval of the proposal, the assessment begins.
- (d) Reporting: A report of the assessment containing sufficient detail to support a certificate issuance decision shall be created.
- (e) 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.
- (f) Recommendation: Supported by the final draft of the report, the AB makes a certificate issuance recommendation to the CB. Only AB staff trained by the C2CPII may make a certificate issuance recommendation and submit it to the CB.
- (g) Certificate Issuance Decision: Using the report and any additional required supporting documentation and data, the CB renders a decision and issues a certificate.
- (h) Re-issuance: At the conclusion of the certificate period, as defined in the standard, the client may elect to renew a certificate. Renewal entails conducting a new complete assessment based on the most current version of the standard, guidance documents, and interpretations.
- (i) Extension: If a client is making progress toward renewal, 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.