# 

# Audit Report Template

Applicants shall complete the column “Evidence Submitted” in this document. The Auditor is responsible for completing the remainder of the template.

## RE-AUDIT ONLY

*Requirements: The program shall conduct a self-assessment against the GENICES Requirements at least in year 3 of the Full Membership period.*

*Guidance: The program may conduct a self-assessment more frequently; however, the 3-year report shall be provided at re-audit. The self-assessment is used to ensure any changes in compliance are identified by the program and, therefore, GEN able to be notified.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Self-Assessment Report |  | Did the program complete and pass a self-assessment in Year 3 of the Full Membership period? | Y |  |  |  |
| Was GEN notified of any changes in compliance, if applicable? | Y |  |  |  |

## ACCESSIBILITY

## The ecolabel program shall be voluntary in nature.

*Requirements: The program, regardless of whether it is developed or operated by government sponsored agencies, is voluntary.*

*Guidance: The program may be listed in relevant procurement policies but engagement in the program is not enforced by any agency.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for eligibility. |  | Is the ecolabel program voluntary? | Y |  |  |  |

## All products that apply and meet the product environmental criteria shall be eligible to use the label.

*Requirements: Products that apply and meet the criteria of the product category are not otherwise excluded from use of the label.*

*Guidance: Where overarching rules apply to all categories, these should be outlined in the program rules and be transparent to all Applicants.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Policy or procedure that indicates that all products that meet the criteria are eligible for the label. |  | Are any products that meet the criteria of the product category excluded from use of the label? | N |  |  |  |
| Products and associated verification documentation of products that have not achieved the label, if available and applicable. |  |  |  |  |

## Fees should be kept as low as possible to maximise accessibility and be applied equitably to all applicants and licensees.

*Guidance: Fees may include application, testing, licence fees, or administration fees. The conditions for joining the ecolabelling program are proportionate to the size and turnover of the companies in order not to exclude small and medium businesses.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Fee schedule. |  | Are the fees equitable for all applicants and licensees regardless of size? | Y |  |  |  |
| Are the fees kept as low as possible? | Y |  |  |  |

## Information on existing mutual recognition agreements shall be made available.

*Guidance: Mutual recognition should be encouraged and may include recognition of tests, inspections, conformity assessment, administrative procedures, and product environmental criteria.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Review of communications regarding mutual recognition. |  | Are existing mutual recognition agreements referenced made available, at a minimum when requested? | Y |  |  |  |
| Review of processes for sharing information about mutual recognition. |  |  |  |  |
| Review of mutual recognition agreements. |  |  |  |  |

## PRODUCT CATEGORIES

## The program shall have a process for the selection of product categories.

*Guidance: A feasibility study should be conducted and should include:*

* *Initial selection of possible product categories*
* *Consultation with interested parties*
* *Market survey*
* *Suppliers*
* *Environmental impacts*
* *Potential and need for environmental improvement.*
* *Definition of scope including product function characteristics*
* *Availability of data*
* *Current national and international legislation and agreements*

*A proposal should be developed for interested parties summarizing the findings.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for product category selection. |  | Is there a documented process for the selection of product categories? | Y |  |  |  |
| Documentation for the most recent product category selection. |  | Does the most recent documentation for selection of product categories align with the process? | Y |  |  |  |

## PRODUCT ENVIRONMENTAL CRITERIA

## The impacts across the full life cycle of the product shall be considered.

*Requirements: The program considers the full life cycle of the product when developing criteria. The study of life cycle stages shall show that the selection of product environmental criteria will not lead to the transfer of impacts from one stage of the life cycle to another, or from one medium to another, without a net gain of environmental benefit. Any deviation from this approach shall be justified.*

*Guidance: Life cycle stages to be considered in criteria development should include extraction of resources, manufacturing, distribution, use and end of life.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for criteria development. |  | Does the program have a documented requirement for considering the full life cycle of the product when developing criteria? | Y |  |  |  |
| Product environmental criteria. |  | Do the product environmental criteria reflect the full life cycle impacts? | Y |  |  |  |
| Are deviations from the life cycle approach, if any, justified? | Y |  |  |  |

## The product environmental criteria shall differentiate environmental products from others in the product category as environmentally preferable.

*Requirements: The program shall identify the product life cycle stages where there is differentiation of environmental impacts. The ranges and variability of the data shall be analysed to ensure selected product environmental criteria are adequate and reflect the differences among products.*

*Guidance: The criteria should only differentiate between product when the differences are significant. The precision and accuracy of testing and verification methodologies should be considered when determining the significance of this difference. Where multiple methods to demonstrate compliance are available, a justification of equity should be available on request. Declarations of conformity should not be considered equal to testing or other verified data sources.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for criteria development. |  | Is there a documented process for determining the thresholds that adequately differentiate environmentally preferable products? | Y |  |  |  |
| Product environmental criteria. |  | If there are multiple ways to comply, can the label justify equivalence? | Y |  |  |  |
| Documentation outlining the research behind product environmental criteria. |  | Does the research conducted align with the documented process? | Y |  |  |  |
| Does the research support the thresholds set in the product environmental criteria? | Y |  |  |  |

## The criteria shall be attainable.

*Guidance: The criteria should consider the relative environmental impacts, measurement capability and accuracy. The criteria should consider relevant local, regional, and global environmental issues, available technology, and economic aspects.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for criteria development. |  | Is there a documented process to ensure the criteria consider the relative environmental impacts, measurement capability, and accuracy? | Y |  |  |  |
| Product environmental criteria. |  | Does the research support the thresholds set in the product environmental criteria? | Y |  |  |  |
| Documentation outlining the research behind product environmental criteria and results of public comment. |  | Does the research conducted align with the documented process? | Y |  |  |  |
| Where applicable, certificates and verification documentation (redacted) of products certified under criteria. |  | Are products able to demonstrate conformance with the criteria? | Y |  |  |  |

## Fitness for purpose and levels of performance shall be accounted for.

*Requirements: Certified products shall be fit for purpose. Due consideration shall be given to product function.*

*Guidance: International, regional, or national standards for the product should be considered for use in the program. Product function should be addressed in terms of product performance and consider:*

* *Identification and selection of product performance elements that characterize function.*
* *Applicability to whole product category.*
* *Necessary levels of performance.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Product environmental criteria. |  | Are product function characteristics required? | Y |  |  |  |

## All product environmental criteria and product function characteristics shall be verifiable by the auditor in accordance with the requirements of the program.

*Requirements: Sufficient evidence shall be available to demonstrate compliance with the determined criteria. The program shall assign numerical values to the criteria.*

*Guidance: Compliance should be assessed using the following in order of preference:*

* *ISO and IEC standards*
* *Other internationally recognized standards*
* *Regional and national standards*
* *Other repeatable and reproducible methods*
* *Manufacturer’s evidence*

*Numerical values applied to criteria may be minimum values, thresholds, scales, or any other relevant approach.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Product environmental criteria and evidence requirements. |  | Are numerical values assigned to all product environmental criteria and product function characteristics? | Y |  |  |  |
| Program rules for demonstrating compliance. |  | Is evidence possible to collate for each criterion? | Y |  |  |  |

## The product environmental criteria shall specify the source of data where possible, and the program shall require the best quality data available.

*Requirements: The best quality data available shall be required to demonstrate conformance.*

*Guidance: The program should examine the availability of competent laboratories capable of performing included tests and should provide reference to the test methods that are required for any given criterion or characteristic.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Product environmental criteria. |  | Do the criteria specify the data source? | Y |  |  |  |
| Where applicable, evidence of assessment of availability of competent laboratories. |  | If applicable, has the program reviewed the availability of competent laboratories capable of conducting included test? | Y |  |  |  |
| Program documentation regarding data quality for evidence requirements. |  | Does the Program preference the best quality data available? | Y |  |  |  |

## The development and selection of criteria shall be based on sound scientific and engineering principles.

*Requirements: The criteria development and selection shall be evidence based.*

*Guidance: The criteria should be derived from data that supports the claim of environmental preferability, considering the full life cycle.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for the development of product environmental criteria. |  | Is the process for developing criteria evidence and science based? | Y |  |  |  |

## Criteria that directly or indirectly require or exclude the use of particular processes or production methods without justification shall be avoided.

*Requirements: Criteria shall not skew the market for towards particular processes or technologies without justification.*

*Guidance:* *Any exclusions of, for example, substances should meet criterion 3.7 and may be supported by a risk assessment.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Product environmental criteria. |  | Do criteria specifically exclude processes or production methods? | N |  |  |  |
| Documentation outlining the research behind product environmental criteria. |  | Does the research supporting the criteria justify any exclusions? | Y |  |  |  |

## Product environmental criteria and product function requirements shall be set for a predefined period and reviewed within a predefined period.

*Requirements: Review and validity periods for criteria shall be clearly communicated and review processes aligned with this timeline.*

*Guidance: New technologies, products, environmental information, and market changes should be considered.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for reviewing product environmental criteria. |  | | Is there a regular review period for criteria and characteristics? | Y |  |  |  |
| Public and/or online communications regarding review and validity periods for criteria. |  | | Are interested parties easily able to determine the review period? | Y |  |  |  |

## Timelines for implementing revisions to criteria shall consider already labelled product.

*Requirements: The implementation of labelling updates shall mitigate the risk of perverse outcomes.*

*Guidance: Timelines for implementing revisions should include:*

* *Urgency of compliance.*
* *Extent of change, time and complexity involved in retooling.*
* *Avoidance of unintended commercial advantage.*
* *Need to involve material suppliers.*
* *Action for existing labelled product.*
* *Time for appropriate consultation.*
* *Complexity of administering the changes for the program.*
* *Legislative requirements.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for the update of criteria and implementation of revisions, including any relevant exception processes. |  | | Do timelines for updated labelling minimise the risks of perverse outcomes for already labelled product? | Y |  |  |  |
| Sample of communication relating to last update, where applicable. |  | |

## Consultation

## Formal open consultation of interested parties shall be established.

*Requirements: Interested parties shall be consulted on selecting and reviewing product categories, product environmental criteria and product function characteristics.*

*Guidance: Programs may determine the extent of consultation and engagement with interested parties. The mechanism may include the use of selected groups of interested parties’ representatives e.g., advisory committee or public hearing.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for selecting and reviewing product categories, product environmental criteria and product function characteristics. |  | Is there a documented process for consultation of interested parties in the selection and review of product categories, environmental criteria, and function characteristics? | Y |  |  |  |
| Documented consultation for most recently updated or developed criteria. |  | Does the consultation conducted align with the documented process? | Y |  |  |  |
| Sample of comments from interested parties and responses to comments on draft documents. |  |

## Information shall be available to interested parties for inspection and comment where appropriate and adequate time allowed for comments to be submitted.

*Requirements: Relevant, non-confidential information shall be available to interested parties with sufficient comment periods.*

*Guidance: The program should be able to demonstrate transparency through all stages of its development and implementation, including:*

* *Selection of product categories*
* *Selection and development of product environmental criteria*
* *Product function characteristics*
* *Testing and verification methods*
* *Certification and award procedures*
* *Review periods*
* *Validity periods*
* *Non-confidential evidence on which award of the label is based.*
* *Funding sources for program development*
* *Compliance verification*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules regarding availability of information, public comment periods and transparency processes. |  | Is there a documented process for making information available, public comment periods and transparency processes? | Y |  |  |  |
| Can the Program demonstrate transparency through all stages of the program processes? | Y |  |  |  |

## The program shall implement a formal consultation mechanism that facilitates full participation of interested parties.

*Requirements: Interested parties shall be given adequate time and access to details and information used to provide input. Interested parties that provide comment shall receive proper consideration, and response to, their comments.*

*Guidance: The mechanism may include the use of selected groups of interested parties’ representatives e.g., advisory committee or public hearing. Reasonable efforts should be made to achieve consensus throughout the process.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for consultation. |  | | Is a formal consultation mechanism in place? | Y |  |  |  |
| Documentation on consultation for most recent relevant program development or update. |  | | Is there evidence to demonstrate this mechanism is in use? | Y |  |  |  |
| Were interested parties given adequate time and access to information to provide input? |  |  |  |
| Were comments given proper consideration and response? |  |  |  |

## Integrity and Transparency

## The program shall ensure they are free from undue influence.

*Requirements: The program shall demonstrate that sources of funding do not create a conflict of interest.*

*Guidance: The program should have processes and procedures in place to identify and mitigate the risks of conflict of interest.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for conflicts of interest. |  | | Does the Program actively manage their conflicts of interests? | Y |  |  |  |
| Conflict of interest register(s) or similar. |  | | Is there evidence to suggest the Program is under undue influence? | N |  |  |  |
| Funding Sources. |  | |
| Conflict of Interest Process for Verifiers. |  | |  |  |

## Confidentiality of all information identified as confidential shall be maintained.

*Requirements: Confidentiality shall be maintained.*

*Guidance: The program should have processes and procedures in place to ensure the adequate management of confidential information. A non-disclosure agreement may be signed with the GENICES auditor to ensure confidential information does not limit GENICES audits.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Templates of contracts and/or terms and conditions signed with verifiers and responsible parties. |  | | Is confidentiality enforced with external parties? | Y |  |  |  |
| Program rules regarding confidentiality. |  | | Is confidentiality managed through appropriate processes? | Y |  |  |  |

## The product environmental criteria and product function characteristics shall be published.

*Requirements: The criteria and characteristics shall be accompanied by information demonstrating:*

* *The establishment of the category, criteria and characteristics are in accordance with ISO14024 and ISO14020.*
* *The criteria are objective and justifiable.*
* *Methods are available to verify the criteria.*
* *Interested parties were given an opportunity to participate and their views were considered.*

*Guidance:* *The program should provide information on request that explains the meaning of the label to purchasers and the public.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Publicly available standards directory. |  | | Are the product environmental criteria and product function characteristics publicly available? | Y |  |  |  |
| Website. |  | | Is information supporting the criteria and characteristics publicly available? | Y |  |  |  |
| Communications regarding most recent criteria and product function characteristics. |  | |

## The program shall prepare and make available on request at a minimum:

## Product categories.

## Period of validity of criteria, testing and verification methods.

## Certification and award procedures.

## Periodic review criteria.

## Non-confidential evidence on which the award of the label is based.

## Funding sources for the program development.

## Compliance verification.

*Requirements: Evidence shall be made available that allows an interested party to determine conformance with ISO14024.*

*Guidance: The program may list all documentation on the program website or demonstrate that the documentation is easily accessible should it be requested.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Sample certificates awarded. |  | | Does the program have available the information necessary for an interested party to determine conformance with ISO14024? | Y |  |  |  |
| Sample of non-confidential evidence. |  | |
| Where applicable, evidence that this information has been provided to interested parties making a request. |  | |
| Website. |  | |
| Program rules. |  | | Do any Program or organisational rules prohibit this information from being shared? | N |  |  |  |

## The program shall maintain a publicly available list of products to which the label has been awarded.

*Requirements:* *The intended audience shall be able to confirm the validity of a label through a publicly available list.*

*Guidance: The program should consider the needs of the intended audience to be able to understand the validity of the label applied to product. Allowances may be made to keep a certification confidential for a specified period, for example where certification is achieved prior to product launch, provided that the product is eventually listed publicly.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Website and/or certified product directory. |  | | Is there a public list available for all products that have obtained the ecolabel? | Y |  |  |  |
| Program rules regarding updating the public list. |  | | Is the list up to date? | Y |  |  |  |

## Any change that might affect continued compliance shall be escalated to the program and appropriately addressed.

*Requirements: The program shall ensure any change in the product, or its manufacturing process is considered and shall require the licensee to initiate verified corrective action if required. The licensee is responsible for ensuring ongoing compliance with the program.*

*The program shall include contractual obligations with the licensee to notify the program of changes when they may impact continued compliance.*

*Guidance: The program should have process in place to be confident in the continual compliance of certified product.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Templates for contracts with the licensee. |  | | Is the licensee required to escalate relevant changes to the Program? | Y |  |  |  |
| Program rules regarding ongoing compliance. |  | | Is the licensee responsible for maintaining compliance? | Y |  |  |  |
| Non-conformance process. |  | | Is action taken to address non-conformances arising in the market? | Y |  |  |  |

## The program shall ensure its label is legally protected to prevent unauthorized use and have a clear and explicit policy regarding the proper use of the label.

*Requirements: Any deviation from the program policy shall result in appropriate corrective action and possible withdrawal of the licence.*

*Guidance: The program may include an escalation to an appropriate regulator for improper use of the label.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for escalation. |  | | Is the label appropriately trademarked? | Y |  |  |  |
| Trademark documentation held by the program’s legal entity. |  | | Is the Program empowered to take actions for improper use by a licensee or otherwise? | Y |  |  |  |

## Integrity and Transparency

## The program rules shall control the conditions for awarding of a licence and the use of the label.

*Requirements: All prerequisites for awarding the licence and the use of the label shall be included in the program rules, produce environmental criteria and product function characteristics.*

*Guidance:* *The program rules should address:*

* *Publicity by licensees.*
* *Conditions of suspension, cancellation, and withdrawal of a licence.*
* *Non-conformance and corrective action procedures.*
* *Dispute resolution procedure, testing and verification procedures, fee structure.*
* *Guidance for the use of logotype.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for the award of the licence. |  | | Do the program rules specify the conditions for awarding and using the label? | Y |  |  |  |

## The methodology for assessing compliance and verifying on-going compliance shall be documented and have sufficient rigour to maintain confidence in the program.

*Guidance: The program may consider recertification timelines that align with the volatility of the relevant market. For example, where there are known regular changes in supply chains for a market, recertification may be required more frequently.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for ongoing compliance. |  | | Is the process for determining and monitoring compliance documented? | Y |  |  |  |

## The program shall maintain a plan for supervision and control aligned with the program requirements.

*Guidance: The program should have a documented complaints process with agreed timelines for resolution. The program may consider unannounced audits and market surveillance.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for supervision and control. |  | | Is the Program empowered to act where compliance is not maintained? | Y |  |  |  |
|  | | Does the Program have a plan for supervision and control? | Y |  |  |  |

## The program shall obtain documentary evidence of applicant’s conformity.

*Requirements: All data shall be of known and verifiable quality.*

*Guidance: The program should consider how this documentation is stored safely and reliably to meet criterion 5.2.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Sample of redacted documentary evidence demonstrating conformity. |  | | Is data securely stored relating to an applicant's conformity? | Y |  |  |  |
| Does the documentary evidence support the conformance status of the licence(s)? | Y |  |  |  |

## The program shall establish processes to assess and develop the competence of verifiers.

*Requirements: The program shall have a transparent and documented process to manage and trace verification activity.*

*Guidance: Programs may regularly train verifiers or require certain competencies, certifications, or memberships. Programs may engage in a project management approach or system with verifiers to ensure traceability.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for verifiers. |  | | Are verifiers confirmed by the Program as competent? | Y |  |  |  |
| Documented system of traceability for verification. |  | | Is the verification activity traceable before, during and after the activity occurs? | Y |  |  |  |

## The program shall establish the competence of verifiers.

*Requirements: Verifiers shall have knowledge of:*

* *The relevant sector and products within the sector.*
* *Product-related environmental criteria, including the methodology used to develop the criteria.*
* *The regulatory framework.*
* *The program rules.*
* *ISO14020, ISO 14024 and ISO 14021.*

*Guidance: Programs may regularly train verifiers or require certain competencies, certifications, or memberships.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for verifiers. |  | | Do verifiers have the appropriate knowledge and skills to deliver the verification activity? | Y |  |  |  |
| Register of verifiers and evidence of competence, stored in accordance with relevant privacy legislation. |  | |

## The program shall award a licence to use the label when it is satisfied that:

## The applicant complies with the program rules.

## The product has been verified and documented to comply with the relevant product environmental criteria and product function characteristics.

*Requirements: The issuing of a licence does not oblige the licensee to use the label. Compliance with all product environmental criteria and product function characteristics must be verified, with the conformity assurance system covering every labelled product.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Program rules for awarding a licence and use of label. |  | | Are labels licenced following assessment of conformance with the program rules, criteria, and characteristics? | Y |  |  |  |
| Are licensees obliged to use the label? | N |  |  |  |
| Non-conformance procedure. |  | | Are non-conformances addressed at the time of audit and when identified in-market? | Y |  |  |  |

## Any declarations of conformity permitted in the program shall follow the guidelines outlined in ISO17050.

*Requirements: At a minimum, the declaration shall contain:*

* *Unique identification of the declaration.*
* *Name and contact address of the issuer.*
* *Identification of the object of the declaration.*
* *Statement of conformity.*
* *Complete and clear list of standards or other specified requirements.*
* *Date and place of issue of the declaration.*
* *Signature, name, and function of the authorized person(s)*
* *Any limitation on the validity of the declaration.*

*Guidance: Additional supporting information may be provided such as a reference to any management systems involved.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Sample of most recent declarations of conformity (redacted) used to demonstrate conformity in the program. |  | | If declarations of conformity are permitted as evidence, do they meet ISO17050? | Y |  |  |  |
| Sample of verification documentation. |  | | Is it clear in the verification documentation whether compliance is based on declared information? | Y |  |  |  |

## The verification shall be fully documented for all certified products as facilitated by the conformity assurance system, and all documentation shall be retained by the program or an approved verifier for the period the licence is valid and for a reasonable period, thereafter, accounting for the lifetime of the product. Where an approved verifier retains documentation, the program shall have access to this as required.

*Requirements: Minimum verification documentation shall include:*

* *Identification of the standard or method used.*
* *Documentary evidence if verification cannot be made by testing the finished product.*
* *Test results where necessary for verification.*
* *Name and address of independent verifier if outside the program.*

*Guidance: The verification documentation should also include:*

* *Statement of overall compliance or failure to comply.*
* *Date of verification and accreditation state of the verifier.*
* *Signature or e-signature of responsible person.*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Requested Evidence** | | **Evidence Submitted** | **Audit Questions** | **Compliant Answer** | **Y/N** | **Comments** | **C/O/**  **Major/Minor** |
| Sample of documentary evidence demonstrating conformity. |  | | Is the verification documented, with documentation available for a reasonable period?  Are the minimum verification documentation requirements met? | Y |  |  |  |
| Program rules for the retention of documentation. |  | |
| Governance structure demonstrating relationships with verifiers. |  | | Are verifiers independent from the standard setting process and from the company/product being audited? | Y |  |  |  |