Certification Body Requirements

SCS Certification Standard for Zero Waste (SCS-110)

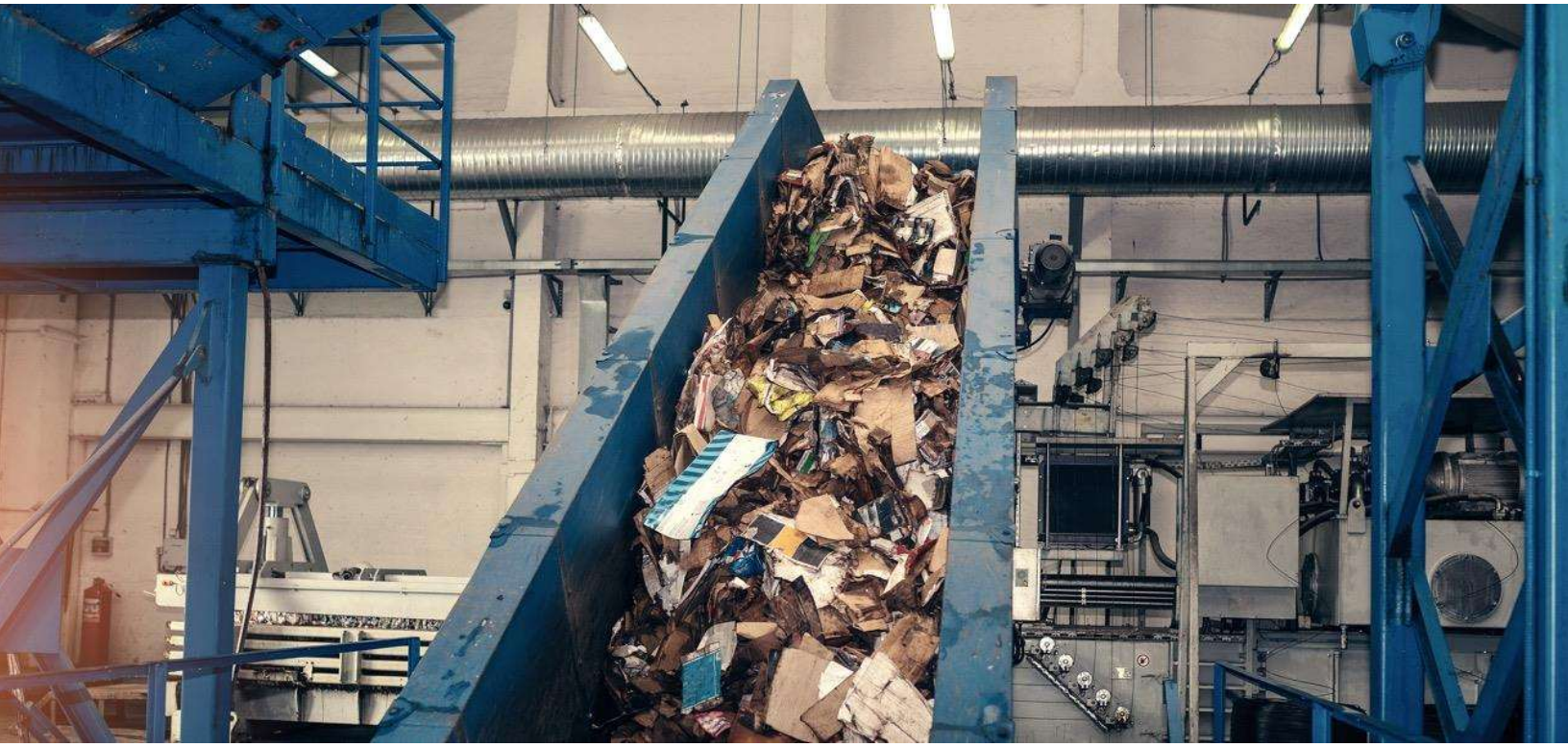

Table of Contents

Introduction

This normative document specifies the requirements that certification bodies shall meet to perform third-party certification against the SCS Certification Standard for Zero Waste (hereinafter "SCS-110" or "Standard").

This document, in respect to SCS-110:

- contains standard-specific requirements to supplement ISO 17065:2012,
- describes the requirements that shall be met by SCS Standards' approved certification bodies for the application of SCS-110, and
- enables the consistent application of SCS-110 by certification bodies.

1. Scope

1.1 Certification bodies shall maintain a Quality Management System (QMS) and conform with all applicable requirements outlined in ISO 17065:2012.

1.2 The certification body shall incorporate all the supplemental standard-specific requirements in Section 4-7 and implement it within its QMS per ISO 17065:2012.

1.3 Certification bodies shall conform to the SCS Standards requirements in the case of a conflict with ISO 17065:2012.

2. Normative References

- SCS Certification Standard for Zero Waste (SCS-110)
- SCS Standards Certification Body Approval Requirements (SCS CBAR)
- ISO 17000:2020 Conformity assessment — Vocabulary and general principles
- ISO 17065:2012 Conformity assessment — Requirements for bodies certifying products, processes and services
- ISO 19011:2018 Guidelines for auditing management systems

3. Terms and Definitions

Per ISO 17065:2012, the following terms are used in this document:

- "shall" indicates a requirement
- "should" indicates a recommendation
- "may" indicates a permission
- "can" indicates a possibility or a capability

The definitions outlined in the SCS-110 Standard, ISO 17065:2012, and ISO 17000 shall apply, in addition to the following:

Audit: Third-party evaluation conducted by an approved certification body against this Standard. An audit can include the review of documents and records, interviews, and observations.

Auditor: An individual who is qualified and authorized by the certification body to conduct and lead audit activities and audit team members. An auditor may be an employee or subcontractor of the certification body.

Desk Audit: An audit that is conducted remotely. A desk audit includes a review of documents, test data, and/or other evidence ensuring that the client is in conformance with all applicable requirements in the Standard.

Expiration: The end of the validity period of an issued certificate.

Non-Conformity: A failure to comply with a certain section of the Standard, which may be categorized as major or minor, defined as follows:

- **Major Non-Conformity**: A failure to adhere to one or more requirements of the Standard that is either persistent, recurrent, unaddressed, or has the potential to result in a critical failure to achieve the objectives of the requirement(s).
- **Minor Non-Conformity**: A failure to adhere to one or more requirements of the Standard that is temporary, isolated, and that does not result in a critical failure to achieve the objectives of the requirement(s).

Quality Management System (QMS): A set of policies, processes and procedures required for planning and execution (production/development/service) in the core business area of an organization (i.e., areas that can impact the organization's ability to meet customer requirements (sourced from ISO 9001).

On-site Audit: An audit conducted in-person at the client's (or their vendor's) site.

Recertification Audit: An assessment of a client against the applicable Standard requirements in order to determine qualification for re-certification.

Surveillance Audit: An assessment of a client against the applicable Standard requirements to verify continued conformance, required at periodic intervals to maintain certification.

Suspension: Temporary invalidation of the certificate.

Termination: Revocation or cancellation of the certification, which can be voluntary or involuntary. Can also be referred to as withdrawal.

Validation: Confirmation through objective evidence that a requirement for a specific intended use or application is met. Example: a procedure is effective.

Virtual Audit: An audit conducted through video walk-through of the client's site (e.g., via Microsoft Teams, Zoom, Whatsapp).

4. General Requirements

4.1 Legal and Contractual Matters

4.1.1 Legal Responsibility

No additions to the existing ISO 17065:2012 requirement(s).

4.1.2 Certification Agreement

No additions to the existing ISO 17065:2012 requirement(s).

4.1.3 Use of License, Certificates and Marks of Conformity

4.1.3.1 The certification body shall exercise the control, as specified by the certification scheme, over ownership, use, and display of licenses, certificates, marks of conformity, and any other mechanisms for indicating a product is certified.

a) Additional mechanisms the certification body uses for indicating a product is certified shall include developing, maintaining, and implementing a procedure to manage certificate holder and private label claims and logo use. The procedure shall include the following provisions:

i) Private label customers are only permitted to use the certification label (i.e., logo) as a pass-through claim; and

ii) Private label customers are not permitted to make any changes to the certified product, process, or service before it is sold, or change or embellish any approved claims.

4.1.3.2 No additions to the existing ISO 17065:2012 requirement(s).

4.2 Management Impartiality

No additions to the existing ISO 17065:2012 requirement(s).

4.3 Liability and Financing

No additions to the existing ISO 17065:2012 requirement(s).

4.4 Non-Discriminatory Conditions

No additions to the existing ISO 17065:2012 requirement(s).

4.5 Confidentiality

No additions to the existing ISO 17065:2012 requirement(s).

4.6 Publicly Available Information

No additions to the existing ISO 17065:2012 requirement(s).

5. Structural Requirements

5.1 Organizational Structure and Top Management

No additions to the existing ISO 17065:2012 requirement(s).

5.2 Mechanism for Safeguarding Impartiality

No additions to the existing ISO 17065:2012 requirement(s).

6. Resource requirements

6.1 Certification Body Personnel

6.1.1 General

No additions to the existing ISO 17065:2012 requirement(s).

6.1.2 Management of competence for personnel involved in the certification process

6.1.2.1 The certification body shall establish, implement, and maintain a procedure for management of competencies of personnel involved in the certification process (see Clause 7). The procedure shall require the certification body to:

a) No additions to the existing ISO 17065:2012 requirement(s);

b) identify training needs and provide, as necessary, training programs on certification processes, requirements, methodologies, activities, and other relevant certification scheme requirements, including ensuring its auditor candidates meet the following minimum requirements:

i) observe or participate in at least one SCS-110 audit and lead at least one SCS-110 audit while being witnessed by a qualified auditor;

(1) This requirement may be waived for an auditor with auditing experience in similar certification scheme(s) covering traceability, account reconciliation, chain of custody, etc.

ii) have a graduate degree in Accounting, Mathematics or similar subject, or have a minimum of two years of professional experience in a relevant field and/or Quality Environmental Management Systems (e.g., ISO 9001 or ISO 14001);

(1) Where this is not the case, the auditor shall be supported by a technical expert.

iii) have successfully completed an ISO 19011 course on auditing techniques.

c) No additions to the existing ISO 17065:2012 requirement(s);

d) No additions to the existing ISO 17065:2012 requirement(s);

e) monitor the performance of the personnel, including ensuring its auditors:

i) conduct at least three audits every year against an SCS-110 or similar certification scheme(s).

ii) successfully undergo a witness audit every three years.

iii) attend Zero Waste auditor training and calibration workshops.

6.1.2.2 No additions to the existing ISO 17065:2012 requirement(s).

6.1.3 **Contract with the Personnel**

No additions to the existing ISO 17065:2012 requirement(s).

6.2 Resources for Evaluation

No additions to the existing ISO 17065:2012 requirement(s).

7. Process requirements

7.1 General

No additions to the existing ISO 17065:2012 requirement(s).

7.2 Application

No additions to the existing ISO 17065:2012 requirement(s).

7.3 Application Review

No additions to the existing ISO 17065:2012 requirement(s).

7.4 Evaluation

7.4.1 The certification body shall have a plan for the evaluation activities to allow for the necessary arrangements to be managed, including:

7.4.1.1 **Documentation Review**

a) The certification body shall request and review the following documentation prior to conducting the site audit:

   i) All applicable written documentation to demonstrate conformity with SCS-110.[1]

   ii) Waste diversion data for the duration of the project or event, or for a period of 12 months in the case of facility certification.

      (1) The certification body shall provide the tool for calculating Waste Diversion to the client.[2]

b) The certification body shall conduct an on-site visit if the document review reveals any of the following scenarios in the client's data:

   i) More than 25% of total waste is achieved through diverting method, such as internal reuse, reclamation, prevented waste from resign or is otherwise unaccounted for.

   ii) More than 25% of total waste cannot be substantiated with third-party documentation.

   iii) More than 25% of total waste is comingled with waste from other businesses.

   iv) More than 25% of all waste (total + stored) is stored on site for longer than 12 months at a time.

   v) More than 25% of total waste is a combination of the risks mentioned above.

7.4.1.2 **Site Audit**

a) Site audits shall be conducted remotely unless an on-site visit is deemed necessary by the certification body pursuant to 7.4.1.1.b and 7.4.1.2.d.viii.

   i) If an on-site visit is deemed necessary for a facility, the certification body shall conduct an on-site visit at least once during the five-year certification period.

b) Remote/virtual audits shall be conducted using appropriate ICT (Information and Communication Technology).

[1] The certification body may request licenses or other evidence as proof of legal diversion for external vendors if independent research cannot substantiate external vendor existence and activity.

[2] The certification body may approve a client's proprietary calculation tool upon review.

c) The certification body may, at its discretion, conduct additional announced or unannounced audits based on risk or random sampling, and to verify implementation of any corrective actions.

d) The following activities shall take place during the site audit:

i) Review of activities at critical control points.

ii) Interviews with staff.

iii) Assessment of on-site infrastructure that supports diversion activities (e.g., receptacles).

iv) Review of on-site signage to confirm the correct storage of waste materials.

v) Confirmation of estimations.

vi) Review of any documents the client would rather not send the certification body (e.g., invoices).

vii) Verification of weight of waste:

(1) The certification body shall request a sample of supporting documentation and verify that weight has been correctly input into calculator. The sample shall be, at minimum, the square root of all entries.

(2) If the certification body uncovers unaccounted for waste during the audit, the certification body shall request information to estimate the amount of unaccounted for waste produced by the client for the subject under assessment. The certification body shall add this amount to the SCS Waste Calculator in the columns 'Amount' and 'Unaccounted for Waste' to calculate the percentage of total waste that is unaccounted for.

(3) The certification body shall review the re-design process for all prevented waste.

viii) Verification of residuals:

(1) If a residual cannot be provided for an external vendor, then it shall be counted as a submission of "0%" residual. If more than 25% of all weight entered into the calculator has an unsubstantiated 0% residual applied, it shall trigger an on-site audit following 7.4.1.3 below.

(2) Claims of 0% residual shall be substantiated by a documented explanation of the diversion process; the certification body shall evaluate the plausibility of the 0% residual claimed, taking into consideration material type and uniformity of waste stream. During walk-throughs, the certification body shall confirm source separation of source-separated materials; if contamination exists, then 0% residual shall not be accepted.

7.4.1.3 **Audits of External Vendors**

a) On-site audits shall be conducted for the square root of external vendors when more than 25% of total waste is sent to external vendors that claim 0% residual from their processes, and when this residual cannot be reasonably supported through research on comparable methods of diversion.

i) If residual is found, the certification body shall take photographic evidence and present it to the client. In those cases, the client is responsible for obtaining an accurate residual rate for its external vendors.

b) **For facility certification only**: If an on-site audit is necessary pursuant to 7.4.1.3.a above, the certification body may conduct a site visit of the facility instead of site visits of a sample of external vendors in the following cases:

i) When waste streams leaving the facility are pre-sorted and consist of one material, or
ii) When the Tier 1 vendor is an intermediate vendor that does not process the material

7.4.1.4 **Multi-site Certification (facilities only)**

a) A client is eligible for multi-site certification if all of the following criteria are met:

i) All facilities have a common business ownership;
ii) All facilities share common policies and procedures relevant to the Standard;
iii) All facilities are located within the same country;
iv) All facilities have a similar processes and activities, products, and/or services;
v) A quarter of all facilities undergo annual on-site audits based on the certification body sampling procedure (random, risk based, etc.); and
vi) All facilities undergo annual surveillance audits.

7.4.2 No additions to the existing ISO 17065:2012 requirement(s).

7.4.3 No additions to the existing ISO 17065:2012 requirement(s).

7.4.4 No additions to the existing ISO 17065:2012 requirement(s).

7.4.5 No additions to the existing ISO 17065:2012 requirement(s).

7.4.6 Non-conformities shall be raised when a client is found to be out of conformity with the requirements of the Standard. Non-conformities shall be graded and managed as follows:

7.4.6.1 **Major Non-Conformity**

a) Major non-conformities shall be issued when there is a failure to meet any requirement in the Standard that could pose a substantial risk to achieving the outcomes of the certification.

b) Evidence of implementation of corrective action taken shall be required to close a major non-conformity.

c) A corrective action plan (CAP) shall be developed and implemented by the client when major non-conformities issued during the initial audit are not closed within three months of the date of the closing meeting.

d) The certification body may conduct a follow-up audit to verify implementation of any corrective measures.

e) Major non-conformities shall be resolved (i.e., closed):

i) For initial audits, no later than 1 year from the date of issuance, i.e., the closing meeting, or a full re-audit will be required, and

ii) For subsequent audits, at the latest three months from the date of the closing meeting.

(1) The certification body may grant a client a 3-month extension. Justification shall be documented.

f) A major non-conformity cannot be downgraded to a minor non-conformity if the major non-conformity was the result of a minor non-conformity being upgraded to a major non-conformity.

7.4.6.2 **Minor Non-Conformity (facilities only)**

a) Minor non-conformities shall be issued to a facility when there is a failure to meet any requirement in the Standard that is temporary and does not pose a substantial risk to achieving the outcomes of the certification.

i) A minor non-conformity shall be issued if the weight of waste materials entered into the Waste Diversion Calculator is less than or equal to a 5% difference than the corresponding weight shown in supporting documentation.

b) Evidence of implementation of corrective action taken shall be required to close a minor non-conformity.

c) A corrective action plan (CAP) shall be developed and implemented by the client when minor non-conformities are not closed within three months of the date of the closing meeting.

d) The certification body may conduct a follow-up audit to verify implementation of any corrective measures.

e) Minor non-conformities shall be resolved (i.e., closed) within one year of issuance or by the time of the next annual audit, whichever comes first.

f) Minor non-conformities that are not resolved within the agreed-upon timeframe shall become major non-conformities.

7.4.6.3 **Opportunities for Improvement (OFI)**

a) Opportunities for Improvement shall be issued for areas of conformity that are at risk of becoming minor or major non-conformities. OFIs do not need to be resolved and no evidence is required for the client to achieve or maintain certification.

7.4.7 No additions to the existing ISO 17065:2012 requirement(s).

7.4.8 No additions to the existing ISO 17065:2012 requirement(s).

7.4.9 No additions to the existing ISO 17065:2012 requirement(s).

7.5 Review

No additions to the existing ISO 17065:2012 requirement(s).

7.6 Certification Decision

No additions to the existing ISO 17065:2012 requirement(s).

7.7 Certification Documentation

7.7.1 The certification body shall provide the client with formal certification documentation that clearly conveys, or permits identification of the following:

a) No additions to the existing ISO 17065:2012 requirement(s).

b) No additions to the existing ISO 17065:2012 requirement(s).

c) No additions to the existing ISO 17065:2012 requirement(s).

d) No additions to the existing ISO 17065:2012 requirement(s).

e) the term or expiry date of certification, which is a maximum of five years for facilities, subject to an annual surveillance audit, and one year for events and projects[3].

f) any other information required by the certification scheme, including a transparent overview of the achievement, including the following required information:

i) Name and address of the subject of certification (i.e., facility, event, or project);

ii) The percent of waste diversion the company has achieved;

iii) Each method of diversion used (e.g., recycling, composting, recovered as energy) as well as the percentage diverted using each method;

iv) The progress the company has made in waste diversion expressed as points (Only available for re-certifications for facilities, can be approved for projects and events on a case-by-case basis). For example, if a facility achieved 55% diversion in the previous year and 60% diversion in the currently audited year, then the certificate would show '+5;'

v) Percentage of total waste that was considered not diverted;

[3] Projects with a duration of 12 months or more may be eligible for a 5-year certificate upon request to SCS Standards at standards@scsstandards.org.

vi) Percentage of waste that was unaccounted for, if any;

vii) Percentage of waste sent to a waste to energy facility;

viii) Period of assessment (12-month period for facilities);

ix) Expiration of the claim (12-months from the issuance of the certificate);

x) Definition of each diversion method in line with SCS-110; and

xi) Inclusion of the following note: "Waste required to be landfilled or incinerated without energy recovery by law is not included in the calculation."

xii) For facilities, whether any waste is stored on-site (not the percentage or the total weight of stored material).

7.7.2 No additions to the existing ISO 17065:2012 requirement(s).

7.7.3 Formal certification documentation (see 7.7) shall only be issued after, or concurrent with, the following:

a) No additions to the existing ISO 17065:2012 requirement(s).

b) certification requirements have been fulfilled;

i) all major non-conformities shall be closed before a certificate is issued, i.e., they have been corrected and those corrective actions have been verified by the certification body (by site visit or other appropriate means).

c) No additions to the existing ISO 17065:2012 requirement(s).

7.8 Directory of Certified Products

No additions to the existing ISO 17065:2012 requirement(s).

7.9 Surveillance

7.9.1 If surveillance is required by the certification scheme, or as specified in 7.9.3 or 7.9.4, the certification body shall initiate surveillance of the product(s) covered by the certification decision in accordance with the certification scheme, as follows:

7.9.1.1 **Surveillance Audits (facilities only)**

a) The certification body shall conduct a surveillance audit annually (every 12 months from the date of initial certification). The surveillance audit's timing may be advanced or delayed by up to 90 days before or after the due date as necessary to coordinate a suitable date.

b) Surveillance audits shall be conducted remotely, unless:

i) The review of the waste diversion data triggers an on-site audit pursuant to 7.4.1.1.d.

ii) An on-site audit is deemed necessary by the certification body to verify the closure of non-conformities issued the previous year.

c) At a minimum, the surveillance audit shall include an assessment of:

i) Documentation, processes, and records to confirm continued conformity with the Standard requirements pertaining to:

(1) Waste Diversion calculations;

(2) Internal Audits; and

(3) Claims made in relation to SCS-110.

ii) Any new materials or processes and their respective documentation and on-site applications.

iii) Previous audit findings and corrective measures implemented.

d) If previous year calculations did not account for all waste, the certification body shall ensure the calculator is corrected and records amended accordingly (i.e., reissue the certificate).

7.9.1.2 **Recertification Audits**

a) The certification body shall conduct a full system recertification audit annually for reoccurring events and projects or every five years for facilities. The recertification audit's timing shall allow enough time for potential non-conformities raised at the previous audit to be corrected, and for the reissuing of the certificate prior to the certificate expiry date to avoid a lapse in certification.

b) Recertification audits shall follow the same process (planning, evaluation, reporting, closure of non-conformities, review, and decision) as initial audits.

7.9.2 No additions to the existing ISO 17065:2012 requirement(s).

7.9.3 No additions to the existing ISO 17065:2012 requirement(s).

7.9.4 No additions to the existing ISO 17065:2012 requirement(s).

7.10 Changes Affecting Certification

No additions to the existing ISO 17065:2012 requirement(s).

7.11 Termination, Reduction, Suspension or Withdrawal of Certification

7.11.1 When a nonconformity with certification requirements is substantiated, either as a result of surveillance or otherwise, the certification body shall consider and decide upon the appropriate action.

a) The certification body shall not extend the duration of validity of a certificate.

b) The certification body may choose to temporarily suspend the certification, pending corrective actions, for up to 6 months.

c) The certification body shall terminate a client's certificate:

i) in case of serious violations with applicable Standard requirements;
ii) if corrective measures are not implemented within the timeframe; or
iii) any other valid reason identified by the certification body.

7.11.2 No additions to the existing ISO 17065:2012 requirement(s).

7.11.3 No additions to the existing ISO 17065:2012 requirement(s).

7.11.4 No additions to the existing ISO 17065:2012 requirement(s).

7.11.5 No additions to the existing ISO 17065:2012 requirement(s).

7.11.6 No additions to the existing ISO 17065:2012 requirement(s).

7.12 Records

No additions to the existing ISO 17065:2012 requirement(s).

7.13 Complaints and Appeals

No additions to the existing ISO 17065:2012 requirement(s).

8. Management System Requirements

No additions to the existing ISO 17065:2012 requirement(s).