

Standard Convergence Initiative (SCI)

An initiative of IAF & ITMF to accelerate reduction of audit and standard fatigue
Stakeholder Technical Workshop– November 26th, 2021




In collaboration with





Agenda

- ▶ Main objectives of the SCI
 - ▶ Overview: SCI Principles
 - ▶ Leveraging ITC: Provide a general overview of the ITC Standards Map
 - ▶ Purpose of this workshop: desired outcomes
 - ▶ Deeper dive into SCI Principles and selected criteria
- 



SCI main objectives

Convergence of social compliance standards:

- Reduce audit and standard fatigue
- Reduce compliance costs to industry
- Redirect freed-up resources toward improving working conditions
- Maintain quality and integrity of compliance mechanisms



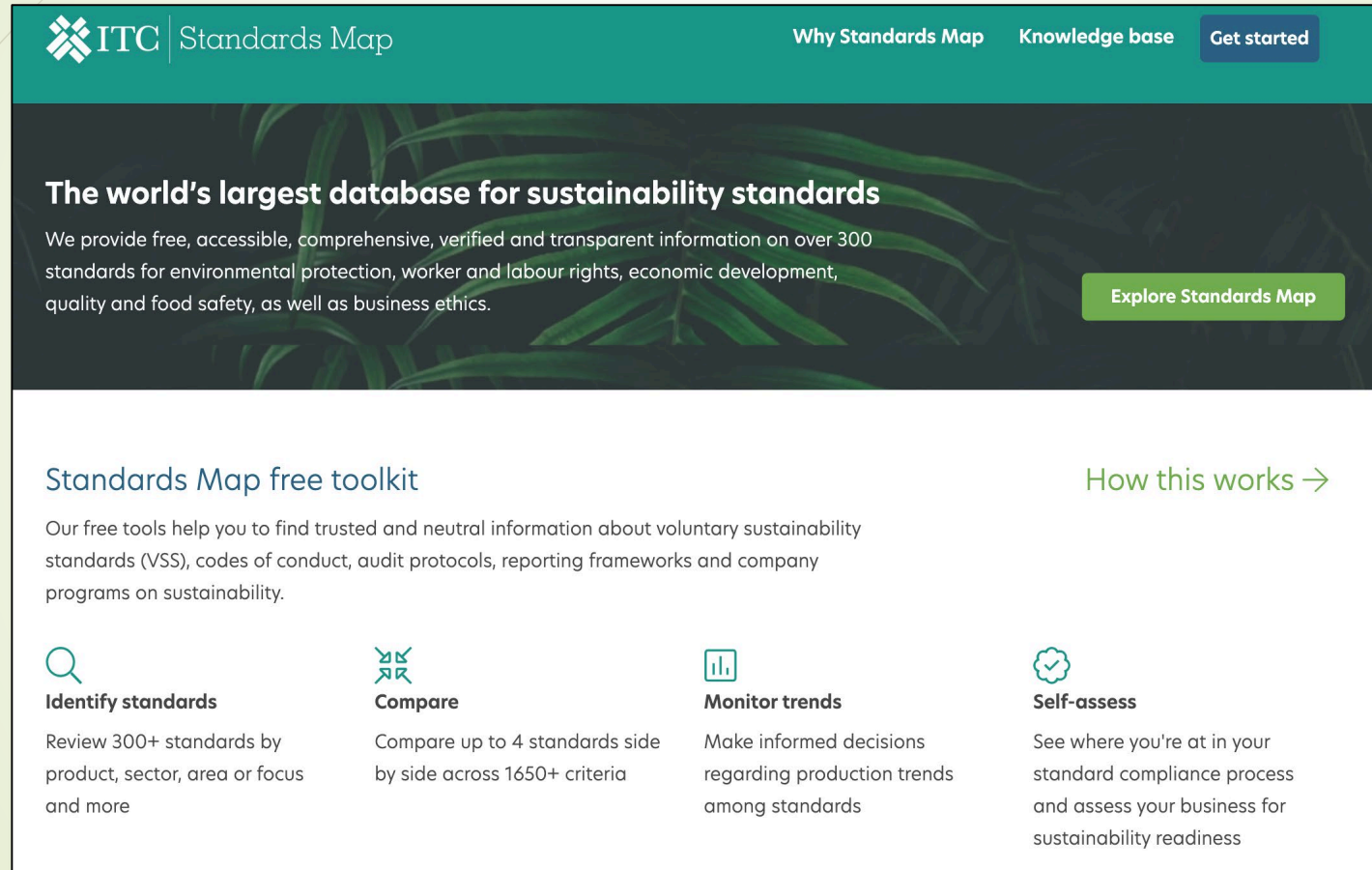
The SCI Principles

- ▶ Four big principles for assessing standard body's **Preparedness** for reducing audit/ standard fatigue
 - ▶ Emphasis on multi-stakeholder collaboration (Industry wide/ global initiatives)/ mutual recognitions
- ▶ Aim: Promote standard bodies with greatest alignment with the four SCI Principles
- ▶ Principles and associated criteria to be housed within the ITC Sustainability Map database/ posted on IAF's/ ITMF project website

<https://www.sustainabilitymap.org/home>

www.standard-convergence-initiative.org

Background: ITC Standards Map



The screenshot shows the homepage of the ITC Standards Map. The header is teal with the ITC logo and 'Standards Map' text on the left, and navigation links 'Why Standards Map', 'Knowledge base', and a 'Get started' button on the right. The main content area has a dark background with a green leaf pattern. It features a headline 'The world's largest database for sustainability standards' and a sub-headline describing the database's scope. A green 'Explore Standards Map' button is positioned to the right. Below this, there's a section titled 'Standards Map free toolkit' with a description of the tools. To the right of this section is a link 'How this works →'. The toolkit section contains four icons and their corresponding descriptions: 'Identify standards' (magnifying glass), 'Compare' (scales), 'Monitor trends' (bar chart), and 'Self-assess' (checkmark in a circle).

ITC Standards Map Why Standards Map Knowledge base [Get started](#)

The world's largest database for sustainability standards

We provide free, accessible, comprehensive, verified and transparent information on over 300 standards for environmental protection, worker and labour rights, economic development, quality and food safety, as well as business ethics.

[Explore Standards Map](#)

Standards Map free toolkit

Our free tools help you to find trusted and neutral information about voluntary sustainability standards (VSS), codes of conduct, audit protocols, reporting frameworks and company programs on sustainability.

How this works →

- Identify standards**
Review 300+ standards by product, sector, area or focus and more
- Compare**
Compare up to 4 standards side by side across 1650+ criteria
- Monitor trends**
Make informed decisions regarding production trends among standards
- Self-assess**
See where you're at in your standard compliance process and assess your business for sustainability readiness

<https://www.standardsmap.org/en/home>



ITC Standards Map - Criteria

- ▶ Standards in Standards Map are assessed against more than 1 650 Standard Map criteria
 - ▶ Is the criteria covered or not? is the criteria addressed in standard documents/ policies/ quality assurance methodologies/ oversight processes and procedures
 - ▶ If the criteria is covered, indicates the degree of criticality (how critical is the requirement)?
 - ▶ If the criteria is covered, indicates the timeline provided to the entity for compliance (how soon must it be met (immediately or in time))
 - ▶ Standards Map criteria are broken down into:
 - ▶ Standard content requirements: Environment, social, management and ethics, quality
 - ▶ A standard body's operational requirements: management processes, standard setting procedures, quality assurance, traceability and claims, and support offered by the scheme to an organization seeking certification/ verification.

Standards Map features

ITC Standards Map

Why Standards Map Knowledge base [Get started](#)

The world's largest database for sustainability standards





We provide free, accessible, comprehensive, verified and transparent information on over 300 standards for environmental protection, worker and labour rights, economic development, quality and food safety, as well as business ethics.

[Explore Standards Map](#)

Standards Map free toolkit

Our free tools help you to find trusted and neutral information about voluntary sustainability standards (VSS), codes of conduct, audit protocols, reporting frameworks and company programs on sustainability.

How this works →

- **Identify standards**
Review 300+ standards by product, sector, area or focus and more
- **Compare**
Compare up to 4 standards side by side across 1650+ criteria
- **Monitor trends**
Make informed decisions regarding production trends among standards
- **Self-assess**
See where you're at in your standard compliance process and assess your business for sustainability readiness



Leveraging the ITC Standards Map for the SCI

- ▶ SCI has selected the **ITC Standards Map database criteria** that best speak to a standard's level of preparedness to meet the four SCI Principles:
 1. Harmonization with other standards
 2. Alignment with existing conventions and guidelines
 3. Sharing audit outcomes
 4. Integration of oversight processes



Purpose of this workshop

- ▶ Present the first draft of the SCI principles and criteria
- ▶ To receive feedback from you on SCI principles and criteria.
For example:
 - ▶ Is the process of selecting the SCI criteria clear to you?
 - ▶ Are the principles easy to understand?
 - ▶ Are these topics important to you?
 - ▶ Other comments?
- ▶ Q&A provided after each presentation/ explanation of the four SCI Principles and proposed set of criteria
- ▶ Stakeholders are given two (2) weeks to review document and provide feedback (10 December 2021)



The SCI Principles & Criteria



Principle 1: Level of preparedness to harmonise standards

1. How well prepared are standards for harmonizing with others?
 - ▶ Criteria categories to consider:
 - ▶ E&S management/ strategy/ objectives
 - ▶ Stakeholder mapping/ engagement/ consultation
 - ▶ Recognitions and accreditations
 - ▶ Compliance with international norms/ best practices
 - ▶ Equality/ inclusiveness
 - ▶ Accessibility

Principle 1: Level of preparedness to harmonise standards (selected ITC criteria)

1. Level of preparedness to harmonise standards			Level of relevance
1	24072	Criteria on Environment and Social (E&S) Management Systems: general principles (Principle 1 & 2)	High
2	10300	Stakeholders mapping, engagement and consultation (Principle 1 & 2)	High
3	10002	Recognitions & accreditations (Principle 1, 3 & 4)	High
4	700124	Stakeholder participation in governance (Principle 1, 3 & 4)	High
5	2348	Compliance to international conventions, norms, standards, best practices (Principle 1, 2 & 3)	High
6	709013	Existence of clear and public policies or procedures to ensure that no interest group can dominate decision-making	Low
7	2801	ISO 59 (Code of good practice for standardization)	High
8	300809	Inclusiveness of standards development	High
9	700137	Stakeholder representation in standards decisions	High
10	2260	Frequency of standards revisions	Medium
11	900031	Standards setting and update is subject to public consultation	Medium
12	7000168	Scheme is open to all applicants	Low
13	1000040	Ownership of assurance system data	Medium
14	10700	Is the scheme system accessible to any interested producer/supplier? (Principle 1 & 2)	High

Note: some selected criteria align with 2 or more SCI principles.



Principle 1: Level of preparedness to harmonise standards

Questions/ comments?

- ▶ Review: Types of criteria selected to inform SCl Principle 1:
 - ▶ E&S management/ strategy/ objectives
 - ▶ Stakeholder mapping/ engagement/ consultation
 - ▶ Recognitions and accreditations
 - ▶ Compliance with international norms/ best practices
 - ▶ Equality/ inclusiveness
 - ▶ Accessibility



Principle 2: Alignment with OECD due diligence guidance and ILO fundamental conventions

2. How well aligned are standards with OECD guidelines for MNEs and ILO fundamental conventions?
 - Inclusiveness/ engagement/ consultation
 - Supply chain due diligence
 - Human and workers' rights (child labor, discrimination, forced labor, CB & FOA)
 - Legality of business operations (permits, land, wages)
 - Grievance mechanisms
 - Continuous improvement
 - Ethics
 - Impact assessments

Principle 2: Alignment with OECD due diligence guidance and ILO fundamental conventions (selected ITC criteria)


2. Alignment with OECD due diligence guidance and ILO fundamental conventions			Level of relevance
1	24072	Criteria on Environment and Social (E&S) Management Systems: general principles (Principle 1 & 2)	High
2	10300	Stakeholders mapping, engagement and consultation (Principle 1 & 2)	High
3	2348	Compliance to international conventions, norms, standards, best practices (Principle 1, 2 & 3)	High
4	10700	Is the scheme system accessible to any interested producer/supplier? (Principle 1 & 2)	High
5	700416	Criteria on verification of mandatory certificates and permits related to water use	High
6	900023	Criteria on policies and procedures addressing human rights	High
7	1000015	Criteria on ongoing processes for human rights due diligence	High
8	30086	Criteria on human rights violations grievance mechanism	High
9	1986	Criteria on voluntary employment - No forced labour (ILO 29 & 105)	High
10	1989	Criteria related to child labour and minimum age (ILO 138)	High
11	1979	Criteria related to worst forms of child labour (ILO 182)	High
12	30080	Criteria on child labour legal compliance policy	High
13	1987	Criteria on non-discrimination at work (ILO 111)	High
14	1993	Criteria on freedom of association (ILO 87)	High
15	1996	Criteria on collective Bargaining (ILO 98)	High
16	1988	Criteria on principles and practices to secure a Minimum Wage based on sector or region specificities	High
17	30048	Criteria on assessment of impacts of local activities on local human rights such as health, safety and security	High
18	30050	Criteria on impact assessment for local communities' access to basic services such as electricity, water, sanitation, etc.	High
19	4078	Criteria on land title and legal use rights	Medium
20	30049	Criteria on grievance mechanisms for affected communities	High
21	10160	Criteria on long term sustainability management plan / continuous improvement	High
22	300454	Criteria on stakeholder analysis and engagement planning in E&S management systems	High
23	30110	Criteria on organizational capacity for continuous improvement of environmental and social (E&S) management (e.g. through Monitoring and Evaluation)	High
24	30112	Criteria on procedures to monitor and measure effectiveness of E&S management systems (e.g. social impact assessment)	High
25	701325	Criteria on reporting on and making publicly available E&S management systems (e.g. annual social and environmental reports)	High
26	2647	Criteria on establishing and making publicly available the management unit CSR policy	Medium
27	4074	Criteria on supply chain stakeholders mapping	High
28	700419	Criteria for inclusion of suppliers and workers' voice in sustainability and human rights strategy	High
29	700420	Criteria for supply chain responsibility (beyond primary production)	High
30	300477	Criteria on policies encouraging clients, staff and suppliers to consider sustainability issues (reduce GHG emissions, waste, water use...)	High
31	91950	Ethics: compliance to national, regional and international legislation	High
32	1953	Criteria on compliance to International Conventions	High
33	34020	Criteria on compliance to national and regional environmental laws and regulations	High

Note: some selected criteria align with 2 or more SCl principles.

Principle 2: Alignment with OECD due diligence guidance and ILO fundamental conventions (selected ITC criteria (cont'd))

2. Alignment with OECD due diligence guidance and ILO fundamental conventions			Level of relevance
34	4071	Criteria on obligation to comply with relevant local, regional and national laws and regulations (including legal land tenure, title, having legal rights to use the production or management unit)	High
35	12252	Criteria on compliance with local zoning and protected or heritage area regulations and laws	High
36	1950	Ethics: anti-corruption and bribery principles and criteria	High
37	1955	Ethics: general policy or set of principles	High
38	1954	Criteria on corruption / bribery prevention	High
39	34000	Criteria on anti-bribery - Procedures and risk-assessment	High
40	34002	Criteria on anti-bribery - Political contributions	High
41	34004	Criteria on anti-bribery - Charitable contributions and sponsorships	High
42	34006	Criteria on anti-bribery - Facilitation payments	High
43	34008	Criteria on anti-bribery - Gifts, hospitality and expenses	High
44	34010	Criteria on anti-bribery - Due-diligence assessment of business partners, incl. subsidiaries and contractors	High
45	34012	Criteria on anti-bribery - Staff/workers awareness, training and support	High
46	34014	Criteria on anti-bribery - Internal controls, records keeping, M&E	High
47	34018	Criteria on anti-bribery - Mitigation and corrective actions	High
48	10851	Criteria relating to verification of business license and legality of activities / settlement	High
49	701176	Criteria on review and assessment of all suppliers, contracts and services	High
50	701183	Criteria on suppliers' evaluation	Medium
51	2790	Core - 87 - Freedom of association and protection of the right to organize (1948)	High
52	2789	Core - 98 - Right to organize and collective bargaining (1949)	High
53	2788	Core - 29 - Forced Labour (1930)	High
54	2787	Core - 105 - Abolition of forced labour (1959)	High
55	2786	Core - 138 - Minimum age (1973)	High
56	2785	Core - 182 - Worst forms of child labour (1999)	High
57	2783	Core - 111 - Discrimination (1958)	High
58	2781	155 - Accidents and injury to health arising out of, linked with or occurring in the course of work.	High
59	10502	OECD Guidelines for MNEs	High
60	10506	U.N. Guiding principles on business and human rights	High
61	700274	Mutual recognition agreements	High
62	10024	The scheme unilaterally recognizes other standards as partially or fully equivalent	High

Note: some selected criteria align with 2 or more SCl principles.



Principle 2: Alignment with OECD due diligence guidance and ILO fundamental conventions

Questions/ comments?

- ▶ Review: Types of criteria selected to inform SCl Principle 2:
 - ▶ Inclusiveness/ engagement/ consultation
 - ▶ Supply chain due diligence
 - ▶ Human and workers' rights (child labor, discrimination, forced labor, CB & FOA)
 - ▶ Legality of business operations (permits, land, wages)
 - ▶ Grievance mechanisms
 - ▶ Continuous improvement
 - ▶ Ethics
 - ▶ Impact assessment




Principle 3: Level of preparedness for sharing audits

3. How prepared are standards to accept other audit results?
 - ▶ Recognition and acceptance
 - ▶ Audit transparency
 - ▶ Audit access
 - ▶ Auditor requirements
 - ▶ Quality requirements/ accreditation
 - ▶ Auditor assessment
- ▶ Alignment in criteria is not enough/ there needs to be convergence across conformity assessment processes

Principle 3: Level of preparedness for sharing audits (selected ITC criteria)

3. Level of preparedness for sharing audits			Level of relevance
1	2794	ISO/IEC 68:2002 (Arrangements for the recognition and acceptance of conformity assessment results)	High
2	800024	Criteria on transparency across types of information obtained during audit (discrepancies between the interviews and types of records)	Medium
3	800025	Criteria on audit access: general policy (auditor's freedom of access to facility grounds, workers, production areas)	Medium
4	800026	Criteria related to denial of audit access (auditor prevented from fulfilling full scope audit requirements)	Medium
5	2798	ISO/IEC 17021: 2006 Conformity assessment -- Requirements for bodies providing audit and certification of management systems	High
6	2187	Calibration of auditing practices	Low
8	3885	Requirements for auditors	High
9	700226	Continuing personnel training [CB auditors]	High
10	700230	Personnel standards training [CB auditors]	High
11	4001	Oversight body meets quality requirements - IAF / ISO 17021 (Principle 3 & 4)	High
12	3807	Accreditation Body Member (Principle 3 & 4)	Medium
13	3805	Section: International Accreditation Forum (Principle 3 & 4)	Medium
14	700231	Auditing skills training (Principle 3 & 4)	High
15	700233	Auditor supervision (Principle 3 & 4)	Medium
16	10410	Specific educational background is requested (Principle 3 & 4)	Low
17	10414	Experience and technical skills are assessed (Principle 3 & 4)	Medium

Note: some selected criteria align with 2 or more SCI principles.



Principle 3: Level of preparedness for sharing audits

Questions/ comments?

- ▶ Review: Types of criteria selected to inform SCI Principle 3
 - ▶ Recognition and acceptance
 - ▶ Audit transparency
 - ▶ Audit access
 - ▶ Auditor requirements
 - ▶ Quality requirements/ accreditation
 - ▶ Auditor assessment



Principle 4: Level of preparedness to integrate quality assurance oversight

4. How well are standards prepared to integrate oversight methodologies?
 - ▶ Accreditation body membership
 - ▶ International accreditation
 - ▶ Regional accreditation groups
 - ▶ Independence of oversight from assurance provider
 - ▶ Oversight audits
 - ▶ Oversight complaints and appeals
 - ▶ Oversight competency/ skills
- ▶ Alignment in criteria is not enough/ there needs to be convergence across oversight methodologies

Principle 4: Level of preparedness to integrate quality assurance oversight (selected ITC criteria)

4. Level of preparedness to integrate quality assurance oversight			Level of relevance
1	4001	Oversight body meets quality requirements - IAF / ISO 17021 (Principle 3 & 4)	High
2	3807	Accreditation Body Member (Principle 3 & 4)	Medium
3	3805	Section: International Accreditation Forum (Principle 3 & 4)	Medium
4	700231	Auditing skills training (Principle 3 & 4)	High
5	700233	Auditor supervision (Principle 3 & 4)	Medium
6	10410	Specific educational background is requested (Principle 3 & 4)	Low
7	10414	Experience and technical skills are assessed (Principle 3 & 4)	Medium
8	3822	Regional Accreditation Groups	Medium
9	2792	SO/IEC 17011 (Conformity assessment) -- General requirements for accreditation bodies accrediting conformity assessment bodies	Medium
10	3806	IAF Multilateral Recognition Arrangement (MLA) Member	High
11	3986	Conformity Assessment body must meet specific quality requirements which are documented (e.g. ISO 65/17065)	Medium
12	700221	Personnel competencies [auditors of conformity assessment bodies]	High
13	700224	Personnel evaluation frequency [auditors of conformity assessment bodies]	High
14	700225	Personnel suspension [of CB auditors by oversight]	Medium
15	10540	Oversight body meets quality requirements - IAF / ISO 17011	High
16	700182	Proxy Oversight	High
17	700183	Independence of Oversight from assurance provider	Medium
18	700184	Assurance providers application restrictions	High
19	700186	Oversight complaints and appeals	Medium
20	700189	On-site Oversight audit	Medium
21	700191	Oversight witness audit	High
22	700193	Frequency of Oversight audits	High
23	700835	The Oversight organization conducts risk based auditing and surveillance of accredited certification bodies	High
24	700198	Oversight auditing skills	High
25	700199	Oversight auditor evaluation	Medium
26	709032	The Oversight organization verifies that certification bodies engage effectively with stakeholders during auditing and surveillance	Medium

Note: some selected criteria align with 2 or more SCI principles.



Principle 4: Level of preparedness to integrate quality assurance oversight

Questions/ comments?

- ▶ Review: Types of criteria selected to inform SCI Principle 4?
 - ▶ Accreditation body membership
 - ▶ International accreditation
 - ▶ Regional accreditation groups
 - ▶ Independence of oversight from assurance provider
 - ▶ Oversight audits
 - ▶ Oversight complaints and appeals
 - ▶ Oversight competency/ skills



Conclusion



- ▶ Mapping exercise to select most closely aligned ITC criteria to help inform a standard's preparedness for:
 1. Harmonization of standard content
 2. Alignment with existing conventions and guidelines
 3. Sharing audit outcomes
 4. Integration of oversight processes
- ▶ If a standard body addresses most or all the selected criteria, then the standard illustrates a propensity for convergence
- ▶ Promotion of standards illustrating propensity for convergence
 - ▶ Hopefully leads to greater alignment/ harmonization of standards and audit/ oversight processes



Next steps

1. Stakeholder feedback based on November 26th workshop – **DUE DEC 10**
2. IAF/ ITMF to amend SCI Principles/ Criteria selection based on stakeholder feedback (if required)
3. Final set of SCI Principles and Criteria disseminated for stakeholder approval
4. ITC to house SCI Principles and Criteria in ITC Sustainability Map database
5. ITC to facilitate assessment of standards against the 4 SCI principles
6. Users can access ITC Sustainability Map to identify level of propensity for convergence across standards assessed
7. IAF/ ITMF to promote standards illustrating high level of preparedness for convergence



Thank you

Contacts:

- ▶ Mathieu Lamolle, Senior Advisor in Sustainability Standards & Value Chains at the International Trade Centre: lamolle@intracen.org
- ▶ Matthijs Crietee, deputy secretary general of the IAF: crietee@iafnet.com
- ▶ Christian Schindler, Director-General International Textile Manufacturers Federation (ITMF): christian.schindler@itmf.org