

Chapter 5 - Additional rules for the certification programs: Global Organic Textile Standard (GOTS) and TE Standards (CCS, OCS, GRS and RCS)

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Article 5.1 Samples for GOTS & TE standards	
1	For certification programs Organic Content Standard (OCS), Content Claim Standard (CCS) and Global Organic Textile Standard (GOTS) the following additional rule applies: Companies that receive certified organic lint cotton or raw cotton, which was not certified by CU, and originates from India, shall take a representative sample of each transport of organic (raw or ginned) cotton. The samples shall be sent to a laboratory, which is accredited for GM cotton analyses as per the ISO 17025 standard. The results of these analyses shall be kept available for the CU auditor. Not taking samples or not keeping them available to Control Union Certifications will affect our certification decision.
2	<p>For GOTS and TE standards;</p> <p>Certified client shall keep representative sample from products of each transaction certificate that has been sold under any of GOTS and TE standard. The sample shall be properly packed, sealed, labeled and be kept for 02 years. This sample may subject to analysis as required by Control Union.</p> <p>Alternatively, representative sample from input materials can be kept when the production process does not have chemical use or does not change material composition.</p>

Article 5.2 Transaction certificates for GOTS & TE standards	
1	<p>CU clients that are certified for certification programs; "GOTS" or/and "TE standards" (CCS, OCS, RCS & GRS), shall apply for a transaction certificate (TC) for specific lot or lots of certified products when the ownership transfers from one certified client to another except consumers. These products shall be produced and sold within the certification validity period only.</p> <p>Types of Transaction certificates</p> <p>1) <i>Standard Transaction certificate (Per shipment)</i></p> <p>2) <i>Multiple shipments on a Transaction Certificate</i></p> <p style="margin-left: 40px;">a. <i>Multiple shipments on a TC- 1-45 Days shipments can be consolidated in to one TC</i></p> <p style="margin-left: 40px;">b. <i>Multiple shipments on a TC- exceeds 45 days but less than 90 Days shipments can be consolidated in to one TC (under below condition)</i></p> <p>Issuance of Transaction certificates</p> <p style="margin-left: 40px;"><i>b. Multiple shipments on a TC- exceeds 45 days but less than 90 Days shipments, can only be issued with following conditions;</i></p> <ol style="list-style-type: none"> 1. The client has to request "<u>Multiple shipments on one TC</u>" from the respective Control Union certifier prior to the production of the goods (For traders: prior to sales of the goods) 2. This "<u>Multiple shipments on one TC</u>" can only be issued on the basis of one order, purchase order or invoice (to be chosen by the client) but only 100 shipments are allowed. 3. The certifier may decide, on the basis of a risk assessment, to carry out an on-site verification at the client's facility (which to be billed to the client) 4. If all above steps are fulfilled the client shall obtain a written approval from the respective Control Union certifier in order to start with the TC application for "<u>Multiple shipments on one TC</u>"

2	<p>The client should select from the categories below, one category for one buyer as the basis for a TC:</p> <ol style="list-style-type: none"> 1. One Bill of Lading (B/L) 2. One Air Way Bill (AWB) 3. One Forwarder’s Cargo Receipt (FCR) 4. One Invoice (only up to transport document(s) address) 5. One Purchase Order (P/O) or one customer order (This is applicable when the goods transfer one local destination only) <p>Control Union certifier may decide any other category in case of above categories are not feasible for small scale processors.</p> <p>The following documents are required to process an application of any of above listed types of TC’s. The certifier may request hard copies, scanned copies, certified copies or originals if necessary.</p> <ol style="list-style-type: none"> 1. Completely filled and signed application form or drafted TC through CIS. 2. A copy of invoice(s) 3. A copy of BL or AWB or FCR or any other transport document(s). (The certifier can decide which document is required) 4. The supplier’s transaction certificate for inward materials (shall be addressed to one of licensee’s units) 5. Any other documents as requested by the certifier (GMO declaration, quantity control sheet/ mass balance sheet, etc.) 6. Photographical evidences of on product label along with the product, and bulk packing label.
3	<p>“Transaction certificate” is obligatory for B2B sales of GOTS and TE standards certified products, in order to maintain traceability requirements of both CU’s and the applicable standards.</p>
4	<p>CU’s clients that are certified for certification programs GOTS and TE Standards have the right to apply for transaction certificates for a specific lot of certified product.</p>
5	<p>The client shall request the application for transaction certificate by using client portal or by filling out the standardized application form and sending it with all above (2) required documents to the responsible CU office.</p>
6	<p>The complete TC application shall be made to CU within validity period of scope certificate and within maximum 06 months from date of last shipment or delivery in particular TC application.</p>
7	<p>The application is assessed and, if the decision is positive, the transaction certificate is issued within two working days after receipt of the complete application.</p>

<p>Article 5.3 Classification of non-conformities (NC) for GOTS and TE standards</p>	
1	<p>Non-conformities are classified as Minors and Majors:</p> <ol style="list-style-type: none"> a. A <u>minor</u> (also called as ‘condition’) is a non-conformity, related to working procedures of the concerned unit. The maximum deadline to rectify a condition is 2 months. If the client does not correct and does not show to the satisfaction of CU, that the condition is rectified before the deadline, CU shall grant a major with a maximum deadline of 1 month. b. A <u>major</u> (also called as ‘pre-condition’) is a non-conformity, related to topics that endanger the status of the certified products coming from the concerned unit. The maximum deadline to rectify a major is 1 month. If the operator does not correct and does not show to the

	<p>satisfaction of CU, that the major is rectified before the deadline, the certificate is suspended for a given period determined by CU on a case by case basis. In case the NC is not corrected during the suspension period, the certificate shall be withdrawn.</p> <p>In case of any non-conformity follow-up is needed. It is the responsibility of the client to take appropriate remedial actions. Whenever there is an outstanding NC, a positive certification decision cannot be made and the certificate cannot be issued for the project including concerned units/products.</p> <p>Re-assessment can be done during an additional inspection or by administrative review (assessing documents, photos etc.).</p> <p>During suspension, the product concerned cannot be sold with reference to the Certified standard and CU cannot issue any transaction certificate for the given products/units. (CU cannot issue transaction certificates during the suspension period for a product sold before the suspension).</p> <p>In case the certification is withdrawn, the project needs to be re-inspected. All aspects of the standard need to be assessed during a new physical inspection.</p> <p>If it is found that the client is knowingly or repeatedly operating with non-conformities or purposely violates the requirements of the standard, or is found to be indulging in misrepresentation or fraud then CU will withdraw the client's certification status and inform respective standard owner, (GOTS or TE). The client will be allowed to re-apply for certification two years after the date of the withdrawal.</p>
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Article 5.4 Product specification form and system plans

1	In case of adding or changing a process or a unit, application form shall be filled and sent to the certifier, In case of an application for adding a product to existing scope certificate, the client shall send CU a completed standardized product specification form (request from respective CU office). The system plan shall be updated by the client.
2	CU shall evaluate the application forms and system plan within ten working days after receipt
3	CU shall add products to scope certificates only after a positive evaluation of the product specification. In the event of initial certification, the first inspection has to be carried out before the products can be mentioned on the Certificate.
5	CU shall add units to scope certificates only after a positive site evaluation of the production/processing.
6	Please note, that CU clients are obliged to inform CU in case the products and/or units under the CU scope are also certified by another certification organization against the same standard (or applied for certification to another certification organization). Furthermore, please note, that where an operator and his subcontractors are inspected by different control bodies the operator and his subcontractors have to agree, that the different control bodies can exchange information on the operations under their control.

Article 5.5 Administration

1	<p>The client shall keep records of the following information on certified <u>incoming</u> goods:</p> <ul style="list-style-type: none"> - Copies of packing lists and/or other transport documents; - Invoices; - A copy of valid certificates stating that the products have been produced
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	<p>according to the applicable organic regulation;</p> <p>For not CU certified products:</p> <ul style="list-style-type: none"> - A copy of the valid Accreditation Certificate that is issued to the certification body, which certified the product in question:
2a	<p>The client shall keep records of the following information on <u>outgoing</u> certified products:</p> <ul style="list-style-type: none"> - Copies from packing lists and/or other transport documents; - Copies of the CU Transaction or Import Certificates if applicable, and Invoices. <p>The invoices and transport documents shall contain a reference to the standard production method, clearly related to the certified products, and CU followed by the client number.</p>
2b	<p>The client shall have on all labels, invoices, packing-lists and transport-documents a traceable identification code which enables to identify production date/year and lot number to trace down the product at least to the last producer and preferably to the individual farmer, farmer group, waste collectors, waste concentrators or any other sources.</p>

Article 5.6 Chemical inputs for GOTS and GRS

1	<p>During inspection, clients shall provide proof of using dyes and processing aids permitted by GOTS and GRS, This may be done by for GOTS processing aids; Providing valid GOTS approved chemical input lists by approved suppliers. For GRS; providing proof of compliance to GRS chemical requirements.</p> <p>Also complete traceability of use of respective processing aids.</p>
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Article 5.7 Incoming materials for GOTS and TE standards

1	<p>For GOTS, all incoming goods used including natural fiber processing by the client in the certified production process, have to be certified according to GOTS, by a GOTS recognized certification company.</p> <p>For OCS, all incoming goods used by the client in the certified production process have to be certified according to GOTS or OCS.</p>
2	<p>For GOTS and OCS Organic raw material fiber shall be certified as organic according to one of the following certification schemes:</p> <ul style="list-style-type: none"> • Regulation (EEC) No. 834/2007 and 889/2008 • National Organic Program of the United States Department of Agriculture • National or private standards accepted by IFOAM (NPOP, India) <p>The raw material fiber shall be certified by a certification agency that is accredited according to ISO 17065 (for Regulation (EEC) No. 834/2007 and 889/2008), IFOAM (for IFOAM certified raw material) or recognized by the USDA (for NOP).</p> <p>c) Products will only be accepted if further processing under CU certification takes place</p>
3	<p>For RCS, GRS and CCS;</p> <p>The incoming materials to be used for standard production and suppliers shall be declared by declaration form and obtained approval by the certifier.</p>

Article 5.8 Comparable process assessment

1	<p>When the standard production process is unavailable at the time of audit, comparable process assessment through comparable product(s) is done.</p> <p>There is no certified production taking place until the audit, the CU Auditor verifies production with a comparable process, meaning that the processed product shall be determined to have the same production process, the same risks. Thereby declaring that the inspected process is the same as the process, which will lead to the respective standard equivalence of the product.</p> <p>The client should provide; <u>unit identification, product name, lot identification and date commenced of certified production process</u> to respective CU Certifier By this, certifier enable to plan an additional visit to certified unit when required.</p>
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Article 5.9 On-and-off product statements

1	<p>The client is responsible that all on- and off product statements for certified products that are transported between units within the same project, contain at least the following information:</p> <ul style="list-style-type: none">- The name of the product;- The name "CU", followed by the client number;- A reference to applicable standard;- A traceable identification code referring to the specific lot of products (e.g. lot number, date of production).
2	<p>The client is responsible that all on- and off product statements for certified products that are transported to units outside the project, contain at least the following information:</p> <ul style="list-style-type: none">- The name of the product- The clients name and address (city and country);- The name "CU", followed by the client number;- A reference to the organic production methods;- A traceable identification code referring to the specific lot of products (e.g. lot number, date of production).
3	<p>The client is responsible that all logo use is according the provisions described in:</p> <ul style="list-style-type: none">- for GOTS: Article 14 of this Regulation and Annex 5.A
4	<p>The client is responsible that all logo use is according the provisions described in:</p> <ul style="list-style-type: none">- for TE Standard Article 14 of this Regulation and- for OCS- Annex 5.B.1- for RCS- Annex 5.B.2- for GRS- Annex 5.B.3-
7	<p>The client is responsible that all on- and off product statements for certified <u>half-finished products</u> that are transported to units outside the project, contain at least the following information:</p> <ul style="list-style-type: none">- The name of the product;- The name "CU", followed by the client number;- The clients name and address (city and country);- An indication that refers to the name of the applicable standard;- A traceable identification code referring to the specific lot of products (e.g. lot number, date of production).

8	<p>The client is responsible that all on- and off product statements for <u>consumer products</u> contain at least the following information:</p> <ul style="list-style-type: none">- The name "CU" followed by the client number;- The clients name and address (city and country);- An indication that refers to the applicable standard.
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ANNEX 5.A Global Organic Textile Standard (GOTS) Logo



In addition to articles 14 as well as GOTS-Licensing and Labeling Guide provided by the GOTS International Working Group, the following rules apply with regards to GOTS labeling:

- Use of the GOTS logo is optional. Prior approval is required from the CU certifier before use. An additional charge for approval is applied. The GOTS logo is also valid for all products that are certified by CU according to the Global Organic Textile Standard (GOTS), provided that it mentions on the indications that the product has been certified by Control Union according to the Global Organic Textile Standard.
- Label grades, "organic textile product" and "textile product made with (x%) organic raw material" must be presented in the label. (x%) is optional.

Ownership

- The International Working Group on Global Organic Textile Standard (IWG) has developed and is continuously revising the Global Organic Textile Standard (GOTS) and is its sole owner.
- The GOTS picture-mark, also represented as "GOTS logo" or "GOTS label", is copyright material and is a registered trademark owned by the IWG.
- The use of the GOTS picture-mark is regulated and governed by the IWG; unauthorized use of this copyright material is prohibited and may lead to legal action.
- Processors, manufacturers and traders of GOTS goods that hold a valid GOTS scope certificate by Control Union Certifications (CU) are considered a Certificate Holder.
- The IWG has approved CU as certification body (Approved Certifier) thereby granting the CU the right to sub-license the use of the GOTS picture mark to Certificate Holders.

Obligations of the Certificate Holder

- The Certificate Holder is entitled and obliged to use the GOTS picture mark in accordance with the Labeling Guide of the IWG (in particular but not limited to point 4.1 and 10) and together with the following points so as to ensure that the logo user is identifiable on its basis:
 - the applicable label grade is depending upon the product and Market
 - the reference to the approved certifier ("CU[client number]")
- The Certificate Holder is obliged to inform CU immediately and truthfully on any changes concerning the identification data of the Certificate Holder and certification status of suppliers, subcontractors, production sites and certified customers.
- The Certificate Holder shall indemnify and hold harmless CU, the IWG and its representatives and members from and against all claims including product liability, losses, damages and expenses arising out of this Registration and the use of the GOTS and or the GOTS picture-mark.

Information transmitted

- The Certificate Holder entitles CU to transmit to the IWG the following information on facilities and/or operators inspected and/or certified on behalf of the certificate holder:
 - Company name
 - Address
 - Certification body and reference number

- Product-category
- Product- specifications
- Field of operation
- Specification of operation
- The Certificate Holder entitles the IWG to enter the afore-mentioned information into a public data-base accessible to third parties.

Termination and duration

- CU retains the possibility to withdraw this sub-licensee with immediate effect (suspension) if there are reasons to believe that any of the terms of this Registration, the GOTS Labeling Guide of the IWG or the GOTS-requirements are not being adhered to.
- The Certificate Holder makes known to CU without delay any unauthorized use of the GOTS picture-mark that it gains knowledge about, including but not limited to any unauthorized use of the GOTS picture-mark by its direct and/or indirect customers and buyers. Failing to do this may have consequences for the certification status of the Certificate Holder.
- Either party may terminate this GOTS Logo use Registration with three months prior notice in writing.
- Should the IWG withdraw or otherwise discontinue the approval of CU and should a withdrawal of the approval of CU not be revoked, Control Union Certifications will inform the Certificate Holder without delay. In this case, CU is entitled to transfer its rights and obligations under this Registration to another approved certifier.
- This Registration enters into force when it has been signed by the legal representative of the Certificate Holder and the logo user has paid the sub-license fees based on an invoice issued by CU.
- On Product label format;



'Organic'
(or 'organic in-conversion')

Made with (x%) organic (or
In-conversion organic)
materials

ANNEX 5.B.1

OCS logos (OCS 100 and OCS blended) use



Figure a



Figure b

In addition to articles 26, 30 as well as the Organic Exchange logo use requirements document provided by Textile Exchange, the following rules apply with regards to OCS labeling:

- The OCS has implemented two certification logos, one (figure a) for products certified to the OCS blended, and another (figure b) for products certified to the OCS blended.
- Use of the OCS logos is optional, and only permitted for use by certified projects / companies. Use is permitted, provided that it mentions on the indications that the product has been certified by Control Union Certifications according to the Organic Content Standard.
- "Made with/Contains 100% Organically Grown Material" only for products that contain 100% Organic Material. The OCS 100 logo may be used.
- "Made with/Contains Organically Grown Material" for products that contain 95% or more Organic Material, as long as the remaining content is not of the same type as the Organic Material. The OCS 100 logo may be used.
- "Made with/Contains X% Organically Grown Material" for products that contain 5-95% Organic Material. There are no restrictions on the remaining content. The OCS Blended logo may be used
- Component must be specified when the claim only for a specific component.

 Contains Organically Grown Jute CU XXXXXX	 Made with 100% Organically Grown cotton Certified by Control Union (or CU) XXXXXX	 Made with 50% Organically Grown Cotton Certified by Control Union (or CU) XXXXXX
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(when organic % is $\geq 95\%$)

(when organic % is 100%)

(when organic % is $5 \leq X < 95$)

ANNEX 5.B.2

RCS logos (RCS 100 and RCS blended) use

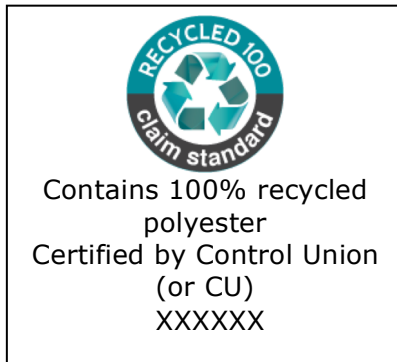


In addition to articles 14 of this regulation as well as RCS Labeling requirements provided by Textile Exchange, the following rules apply with regards to RCS labeling:

- Use of the RCS logo use is optional. Prior approval is required from the CU certifier before use. An additional charge for approval is applied. The RCS logo is also valid for all products that are certified by CU according to the Recycled Claim Standard (RCS).

All logos must follow the design specifications set out in section B.

Examples;



ANNEX 5.B.3 GRS logo use



In addition to articles 14 of this regulation as well as GRS logo use and labeling guide provided by Textile Exchange, the following rules apply with regards to GRS labeling:

- Use of the GRS logo use is optional. Prior approval is required from the CU certifier before use. An additional charge for approval is applied. The RCS logo is valid for products that contain over 50% Recycled content and are certified by CU according to the Global Recycled Standard (GRS).

Examples:

