

## CHAPTER 13

### TEXTILE CERTIFICATION RULES



## INTRODUCTION AND SCOPE

This Textile Certification Rules (TCR) contains regulation regarding the policy of Control Union (CU) on inspection and certification for textile programs. It mentions what your rights and obligations are, as well as those of CU. This document is complementary to the Certification General Rules (CGR) chapter 1 applicable to any certification program of CU Services.

### 1. APPLICABILITY

The rules as stated in this TCR are applicable for the following programs:

- Global Organic Textile Standard (GOTS),
- TE Standards (CCS, GRS, RCS, OCS, RDS, RAF, RWS)
- All interpretations as made by CU and by both Global Standard gGmbH of the Global Organic Textile Standard (GOTS) on the Global Organic Textile Standard and Textile Exchange, on their Standards (CCS, GRS, RCS, OCS, RDS, RAF, RWS) shall be used and followed by the client in all situations in which the article that interpretation regards, is applicable. The latest edition of the official interpretation provided are available at:

Standard	Web Page
GOTS	<a href="https://global-standard.org/">https://global-standard.org/</a>
Textile Exchange	<a href="https://textileexchange.org/standards/">https://textileexchange.org/standards/</a>

### 2. DEFINITIONS

No additional elements

### 3. CONTRACTING

- CU will ensure that during the GOTS/TE standard contracting process your company does not appear on the banned company list.
- GOTS:
  - A **risk assessment (RA)**, for all the units that will be part of the project, will be developed as part of the GOTS certification contracting process by CU. All production units (main, facilities and non-certified subcontracted units) and processes will be considered as **high risk, due to strict GOTS requirements**, and must undergo an annual on-site audit with the exception of traders without storage and engagement in re-packing or re-labelling, those can be audited remotely on an annual basis. **No exemptions for “small-scale” units will be considered**. CU will consider any additional relevant criteria it is aware of when conducting the risk assessment, for example as result of the due diligence perform during the application review.
  - The assigned **risk** is communicated to your company by means of the Offer letter. This risk assessment is not applicable for Independently certified subcontractors.
  - If your company holds an OCS scope certificate with another CB, **CU cannot prepare an offer letter** unless the standard scope certificate mentioned is in the process of being transferred to CU.
  - All gins shall be independently certified to the Standard. As an exception a gin may be subcontracted only if they have an exclusive operational contract with a single certified entity. **Contract** shall mention that certified entity will take complete responsibility of all the GOTS related activities in subcontracted gin.

c) TE:

- If your company has the below standards scope certificates currently with another CB, **CU cannot prepare an offer letter (OL)** unless the standard scope certificate mentioned is in the process of being transferred to CU.

Standard to be certified by CU	Action
OCS	<b>No OL</b> can be issued to an organization which holds a GOTS scope certificate with another CB, unless GOTS scope certificate is in the process of being transferred to CU.
GRS	<b>No OL</b> can be issued to an organization which holds a RCS scope certificate with another CB, unless RCS scope certificate is in the process of being transferred to CU.
RCS	<b>No OL</b> can be issued to an organization which holds a GRS scope certificate with another CB, unless GRS scope certificate is in the process of being transferred to CU.

- A risk assessment shall be made as part of the contracting process for all Textile Exchange Standards. A risk designation is assigned, according to the requirements of the last version of ACP ASR-101 from TE, and is communicated to your company by means of the Offer letter.
- In case of disagreement about the assigned risk level, your company have the right to file a complaint with Textile Exchange as per ASR-110 Complaints and Feedback Policy.

d) Provide to the Certification Body and the Accreditation Body the right of access to all units of the inspected facilities, access to formulations and manufacturing premises including to units where no GOTS products are processed, stored, or administered, if applicable, and to all relevant documentation and records, including financial records.

#### 4. PLANNING

- If you do not have certified raw materials, a comparable audit can be carried out, which will be with conventional raw materials, but the requirements of the standard will be evaluated.
- For GOTS, a full physical audit of the production/processing units shall be made once a year, based on a risk assessment.
- For TE standards, according to the risk level, the audit could be on-site, remote or hybrid and will be performed on an annual basis.
- No additional elements, for other requirements follow P12.CONTR.A02 Certification General Rules: 8.

#### 5. AUDIT EXECUTION

##### 5.1 Audit conditions

Follow P12.CONTR.A02 Certification General Rules: 9.3.

All units to be audited shall be under processing activities, so processes and interviews can be performed accordingly.

## 5.2 Subcontractors

A legal entity hired by the organization to perform services (e.g., storage, processing) on a claimed material. Subcontractors take physical possession but not legal ownership of claimed materials and are independent of the organization which outsources the material. Also is who's not certified independently from the contracting organization and is instead audited as part of the contracting organization's audit.

**Subcontractor agreement:** The client shall conclude subcontractor agreements with all individual subcontractors within the project. The subcontractor agreement shall contain at least the information as mentioned in Annex I of this document. The subcontractor agreement shall be written in the local language or in any case in a language understandable by the processor.

## 5.3 Audit - Additional requirements

### 5.3.1. Administration

- Records relevant to the audit shall be kept for at least five years.
- On request of the auditor, the client shall prove the gene technology free origin of all products and raw materials for which gene technology is prohibited by means of an accredited laboratory analysis as per applicable regulations. That is, GOTS and OCS forbid the presence of GMO on the fibers, so the presence of GMO must be tested by ISO IWA 32:2019, in an accredited laboratory (ISO 17025) for this purpose.
- For each lot of products, for which a Transaction Certificate is issued, the client shall have a representative and sealed sample kept present for one year or until next annual audit.
- For **wet processes**, clients shall have invoices, updated material safety data sheets and delivery notes of all chemicals/preparations. For GOTS, clients shall have copies of valid Letters of Approval at hand listing all preparations they are using in processing and manufacturing GOTS Goods as verification proof that all colorants and textile auxiliaries used for GOTS Goods are approved. For GRS, as well, chemicals must comply with the standard requirements.
- **Wet processing** units shall keep full records of chemical, energy, and water consumption as well as wastewater treatment data, including the disposal of sludge. Certified Entities shall continuously measure and monitor wastewater temperature, wastewater pH, sediment quantities, and waste toxicity. There shall be provisions to recycle and/or dispose of solid waste. On-site waste burning or uncontrolled waste landfilling shall not be undertaken.
- Clients shall keep records of test analysis reports, in accordance with risk assessments, to attend compliance with GOTS requirements as well as a Quality Management System implemented. This system shall have a complaint management system for product quality, an internal audit system, documentation of corrective actions, monitoring and management of incidences, risk assessment for contamination, periodic review of QMS by the management.
- The client shall keep records of the following information on certified incoming goods:
  - Copies of transport documents and/or other delivery documents; Invoices.
  - A copy of valid transaction certificates stating that the products have been produced according to the applicable organic regulation.
  - For not CU certified incoming products: A copy of the valid accreditation certificate that is issued to the certification body, which certified the product in question.
- The client shall keep records of the following information on outgoing certified products:
  - Copies from transport documents and/or other delivery documents.
  - Copies of the CU transaction certificates, and invoices.
  - The invoices and transport documents must contain a reference to the organic production method, clearly related to the certified products, and CU followed by

the client number.

- 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 or farmer group.
- The client shall have all operational procedures and practices supported by effective documented control systems and records that enable to trace:
  - a. The origin, nature and quantities of organic and additional (raw) materials, Accessories as well as Inputs which have been received by the unit
  - b. The flow of goods within the unit (processing/manufacturing steps performed, recipes used and stock quantities)
  - c. Nature, quantities and consignees of GOTS Goods which have left the unit
  - d. Fibre composition of manufactured products
  - e. Any other information that may be required for proper inspection of the operation.
- CU shall accept certificates and letters of approval issued in accordance with the GOTS by other GOTS approved Certification Bodies in order to conclude final certification. Further CU shall accept certificates as well as residue analysis reports issued by other certification bodies and laboratories in accordance with the provisions of the GOTS.

### 5.3.2 For GOTS - ENVIRONMENTAL, SOCIAL AND GOVERNANCE CRITERIA

- a) The Certified Entity shall engage into a responsible business conduct. GOTS Chemical Input Criteria, GOTS Environmental Criteria, GOTS Human Rights and Social Criteria, and GOTS Governance Criteria shall be implemented through the due diligence process. This process shall be commensurate with the risk and appropriate to a specific Certified Entity's circumstances and context. In order to implement those requirements, Certified Entity may follow the last version of GOTS Due Diligence Handbook for Certified Entities.
- b) The Certified Entity shall:
  - 1. Assign oversight and responsibility for due diligence to relevant senior management and assign board-level responsibilities for implementing the Policy on Responsible Business Conduct.
  - 2. Regularly provide the responsible person(s) with training on all relevant topics including those related to human and labor rights.
  - 3. Allocate adequate support and resources to conduct due diligence process and implement the Policy on Responsible Business Conduct.
  - 4. Continuously implement due diligence so that it can show progressive improvement over time.
  - 5. Strengthen its management systems to conduct due diligence in Certified Entity's own operation and in its supply chain.
  - 6. Assure compliance with the applicable national and local legal environmental requirements applicable to their processing/manufacturing stages (including those referring to emissions to air, wastewater discharge, as well as disposal of waste and sludge).
  - 7. Have a written environmental and chemical management policy that is appropriate to the nature of their business. In addition, necessary procedures shall be in place to allow monitoring and improving relevant environmental management performances in their Facilities.

### 5.3.3 Chemical inputs for GOTS and GRS

- a) 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. Also, companies must have letters of approval updated to auditor verify them.
- b) For GRS: providing proof of compliance to GRS chemical requirements.
- c) Also, complete traceability of use of respective processing aids.

### 5.3.4 Incoming materials for GOTS and OCS products

- a) For GOTS, all incoming goods used to include natural fiber processing by the client in the certified production process, must be certified according to GOTS, by a GOTS recognized certification company.
  - b) For OCS, all incoming goods used by the client in the certified production process must comply with the last version of ASR-106 – Accepted Equivalent Standards.
  - c) For GOTS and OCS, organic raw material fiber shall be certified as organic according to one of the following certification schemes:
    - 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)
  - d) 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).
  - e) No fibers shall be used which originate from production projects with regard to which there is evidence of a persistent pattern of gross violations of the ILO core labor norms (as far as these are relevant for agriculture) and/or of animal welfare principles (i.e. Mulesing) or irrefutable evidence of a persistent pattern of land grabbing methods.
  - f) The use of fibers, which originate from production projects located in high human rights risks areas, may require additional mitigation measures (for example, on-site social audits) to ensure that these production projects comply with GOTS Human Rights and Social Criteria.
- Note: Products will only be accepted if further processing under CU certification takes place.

### 5.3.5 Incoming materials for RCS, GRS and CCS products

- a) For RCS, GRS and CCS: The incoming materials to be used for standard production and suppliers shall be declared by declaration form and obtained approval by Control Union.

### 5.3.6 Wastewater Test for wet process units (GOTS / GRS)

- a) The company shall perform wastewater analysis on a quarterly basis, according with the requirement of each standard.



### 5.3.7 Sampling

a) 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, shall take a representative sample of each transport of organic (raw or ginned) cotton as per section 4 of ISO 1130:1975 Textile fibres.
- The samples shall be sent to a laboratory, which is accredited for GM cotton analyses as per the ISO IWA 32:2019.

Standard	Process	
	Ginning	Other than Ginning
<b>GOTS</b>	Auditor shall collect three equal samples from the same lot, seal and identify each sample with a stamp with lot number, quantity (in kg), composition, TC number. One sample stays with the ginner and the other two stays with CU.	The auditor can choose to draw samples of any other product based on risk of contamination.
<b>OCS - TE</b>	<p>- Samples of seed cotton shall be collected for GMO testing as follows:</p> <ol style="list-style-type: none"> <li>Protocols A4 and A5, of the Policy for GMO Screening of Organic Cotton OCS-103 from TE, shall be followed.</li> <li>One sample shall be collected per incoming transaction certificate or one sample per outgoing transaction certificate.</li> <li>CU shall collect at least one sample per year at each gin for GMO testing. This sample shall be collected on-site during the applicable cotton harvest and processing season (e.g. November through May in India), and may be collected during the audit.</li> <li>Remaining samples should be collected by the certification body or another third-party, but may be collected by the gin or by the certified organization for subcontracted gins.</li> </ol>	<p>CU may collect a sample and arrange for a GMO test on cotton at any site which handles cotton which has not been chemically processed or mixed with non-OCS cotton. This should be done if CU believes that there is a substantial risk of volume substitution of non-chemically processed organic cotton at a site following the gin.</p> <p>Protocols A4 and A5, of the Policy for GMO Screening of Organic Cotton OCS-103 from TE, shall be followed.</p>

PROFICIENCY TEST INITIATIVE	
GOTS	<a href="https://global-standard.org/the-standard/gots-key-features/organic-fibres/global-iso-iwa-32-2019-proficiency-test-initiative">https://global-standard.org/the-standard/gots-key-features/organic-fibres/global-iso-iwa-32-2019-proficiency-test-initiative</a>
Textile Exchange	<a href="https://textileexchange.org/knowledge-center/documents/global-iso-iwa-322019-proficiency-test-initiative/">https://textileexchange.org/knowledge-center/documents/global-iso-iwa-322019-proficiency-test-initiative/</a>

- b) The company will perform quality and residual analyses on its products according to the risk analysis (2.1, 4.2 - GOTS standard), these analyses must be performed in accredited laboratories according to ISO 17025. The analysis reports shall be requested and reviewed by the auditor.
- c) Clients are expected to undertake testing, in accordance with a risk assessment, in order to assure compliance with GOTS Standard, as well as GOTS Implementation Manual, and in specific with the criteria of Section 5.2.6 (Technical Quality Parameters) as well as 5.2.7 and 5.2.8 (Limit Values for Residues in GOTS Goods, additional materials and accessories). All GOTS Goods, the components of these products and the inputs used are to be included in this risk assessment and therefore potentially subject to testing. The testing frequency, the type and number of samples are to be established according to this risk assessment.
  - The results of these analyses shall be kept available for the CU auditor.
  - Not taking samples or not keeping them available to Control Union Services will affect our certification decision.
  - 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, labelled, and be kept for 02 years.
  - This sample may subject to analysis as required by Control Union.
  - Alternatively, representative sample from input materials can be kept when the production process does not have chemical use or does not change material composition.
- d) Samples for residue testing shall also be taken by the auditor during the required on-site audit, either as back-up to the audit process or in case of suspicion of contamination or non-compliance. Additional samples of goods may be taken from the supply chain at any time without advance notice.

### **5.3.8 Recording of Complaints and Remediation Actions by the Client**

See Certification General Rules P12.CONTR.A02, item 7.

### **5.3.9 Non-Conformities (NC) and correction and corrective actions**

- a) If during the audit the auditor detects non-compliance with the audited standard or legal compliance, those will be identified as critical, major, or minor NCs, depending on the textile program. See NC classification in the table below. Each one will have a different deadline for closure.
- b) During the closing meeting, auditor will present the audit results. In case there are NCs, client will receive the NC report, via e-mail, that has to be signed by both parties (client and auditor) **during the closing meeting**. Auditor will explain each NC and the deadline given to take proper actions for an effective NC closure. NC report will also be available at CU information system (ICU).
- c) Client can follow Certification General Rules: 9.11 for developing corrections and corrective actions.
- d) NCs must be closed through the CU information system (ICU). It is necessary to complete the boxes of root cause, correction, and corrective action, and upload the evidence(s).



### Classification of Non-conformities:

NC type	Description	Deadline for closure	Consequences when if NC is not closed
<b>GOTS</b>			
<b>Major</b>	NC related to topics that endanger the status of the certified products coming from the concerned unit.	30 calendar days	<b>Initial audit:</b> certification denied.  <b>Recertification audit:</b> Suspension
<b>Minor</b>	NC related to the working procedures of the concerned unit.	45 calendar days	Failure to close within suspension period = withdrawal
<b>TEXTILE EXCHANGE</b>			
<b>Critical</b>	Represent serious failures to meet fundamental principles of the standard, or for intentional fraud. Auditor will notify the certifier when a critical NC is identified. When the scope certificate includes multiple sites (including groups) and a site receives the critical NC – suspension applies only to the specific site; this do not apply to critical NC issued to ICS CU will immediately notify TE regarding the critical NC including the details of it.	Immediate	<b>Initial audit:</b> certification denied.  <b>Recertification audit:</b> Scope certificate shall be suspended within a maximum of 5 working days from the day critical NC was identified, even if the entire audit has not yet been complete.
<b>Major</b>	Occur if, either alone or in combination with further NCs related to other requirements, they result I, or are likely to result in, a fundamental or systematic failure to achieve the objectives of the standard. <b>Major NCs are issued in the following circumstances:</b> a) Requirements indicated as major in the standard. b) NC continues over a long period of time. c) Are repeated or systematic. d) Affects a wide area. e) Affects integrity of the product or the standard, f) Are not corrected or adequately addressed once they are identified	30 calendar days	<b>Initial audit:</b> certification denied.  <b>Recertification audit:</b> Scope certificate shall be suspended. If the company does NOT close the NC within suspension period, the scope certificate shall be withdrawn.  <b>Only for Recertification Audits:</b> Scope certificates shall be <b>suspended</b> immediately if there are <b>five or more</b> open major non-conformities.
<b>Minor</b>	Occur when a single observed lapse has been identified in a procedure required as part of the client's management system. <b>Minor NCs shall be issued when:</b> a) Requirements indicate it as a minor, unless CU determines that the NC is a major based on the requirement above. b) Where the NC is a temporary lapse, non-systemic, limited scale, or does not represent a fundamental failure to achieve the objectives of the standard.	45 calendar days	Non-conformity is upgraded to become a major non-conformity with a timeline of 30 days from the original deadline.

### 5.3.10 Audit report

Audit report can be downloaded from ICU once it has been approved and certification decision taken, upon request from the client.

## 6. CERTIFICATION

### 6.1 Certification decision

- a) All projects must be audited prior to certification.
- b) Certification documentation take the form of a scope certificate. Scope certificates are issued using the most recent version of GOTS and TE Template for Scope Certificates and GOTS and TE Policy for Scope Certificates.
- c) Scope certificates shall be valid for a maximum of one year from the date of issue. The date (month and day) one day after the expiry of the first scope certificate shall be identified as the anniversary date, and future scope certificates shall expire one day before the anniversary date.
- d) The certification decision shall be completed within 60 days of the audit. If there are NCs raised during the audit, all NCs shall be closed within the deadline.
- e) Once the certifier finalizes the certification process on the ICU platform, for a **positive** certification decision, Control Union will issue the Scope Certificate to the certified entity in accordance with the "Policy for Issuance of Scope Certificates" and using the latest version of the Scope Certificate template. The client will automatically receive an email notification confirming the issuance of their certificate, including the Scope Certificate.
- f) In case of **negative** decision, the certification process may be denied, suspended or withdrawn. The reasons for suspending, withdrawing or denying certification shall be in accordance with item 4.2 of P15.CERT. When preparing the suspension/withdrawal/denial letter, the certifier will reference the standard criteria which is not in compliance with.
- g) Scope certificate validity only be extended with approval from GOTS and/or Textile Exchange for reasons which are outside of the certification body's and the organization's control (e.g. force majeure).

Type of Audit	NCs closed on time	Certification Decision in 60 days	Certification decision	Action	Consequence
Initial	Yes	Yes	Grant	Issue a Certificate	Grant Certificate
	No	No	Denied	Issue a denial letter stating the reasons (P15.CERT.F03)	To proceed with the certification process, a new audit shall be performed
Recertification	Yes	Yes	Grant	Issue a Certificate	Grant Certificate
	No	No	Suspend	Issue a suspension letter stating the reasons (P15.CERT.F04)	To proceed with the certification process, and lift the suspension, a new audit shall be performed
	No	No	Withdrawn	Issue of letter of withdrawal stating the reasons (P15.CERT.F05)	In case of fraud, the client will be banned from CU Services. For the other cases, it will be analyzed on how to lift the withdrawal.

## 6.2 Suspension or withdrawal

See Certification General Rules P12.CONTR.A02, item 10.1 and 10.2.

### a) Regarding to **GOTS** certification:

1 - A certificate shall be withheld or suspended, in case major non-conformities raised to the company, until the implementation of corrective actions can be demonstrated. In serious cases, certification shall be denied or withdrawn.

2 - Also the non-payment or other issues with CU's procedures or contracts which do not relate to standards conformity, will lead to the **suspension** of your certification

3 - In case reasons for **denial or withdrawal** of certification include fraudulent activities, CU will promptly notify Global Standard gGmbH who will circulate among all approved Certification Bodies details of such operators. CU will not offer certification to those operators within a period specified by Global Standard gGmbH.

4 - Control Union will only grant exceptions to certifications requirements, if the basis for granting those exceptions are explicitly provided for in the latest version of GOTS Standard.

5 - In case of doubt, Control Union, through scheme manager, will contact GOTS, via e-mail, to get clarification.

In case you wish to certify with another certification body, CU will immediately withdraw your current scope certificate. The withdrawal will have a date prior to the issuance of the scope certificate with the new certification body.

### b) Regarding to **Textile Exchange Standards** certification:

1- The reasons for **withdrawal** are in the following table:

REASON
Critical non-conformity – following identification of a critical nonconformity, including intentional fraud.
Non-conformity – following identification of a major or minor nonconformity which was not resolved within the allowable timelines.
If a scope certificate is suspended for 180 days or until its expiry date – whichever is sooner – the scope certificate shall be withdrawn.
CU will respond to all tips and complaints about fraudulent products or services following its complaints process (P08). If fraud or other misrepresentation is found to exist, CU will take appropriate action by suspending or withdrawn your certificate.
Recertification completed – including early recertification with the same certification body, adding the site(s) to another scope certificate, and transfer of certification bodies prior to scope certificate expiry.
Withdrawal of the certification body's accreditation for the applicable scope (voluntary or involuntary).
Non-payment or other issues with certification body procedures or contracts which do not relate to standards conformity.
Voluntary – upon request from the certified organization.
Other – for any reason not on this list.

2 - The reasons for **suspension** in the following table:

REASON
Critical non-conformity – following identification of a critical nonconformity, including intentional fraud.
Non-conformity – following identification of a major or minor nonconformity which was not resolved within the allowable timelines

CU will respond to all tips and complaints about fraudulent products or services following its complaints process (P08). If fraud or other misrepresentation is found to exist, CU will take appropriate action by suspending or withdrawn your certificate.
Non-payment or other issues with certification body procedures or contracts which do not relate to standards conformity.
Other – for any reason not on this list.

## 6.3 Transfer of certificate over projects from other certification bodies

### 6.3.1 For a GOTS certification:

- a) When an organization chooses to change from another certification body to CU, the following steps apply:
  - The Certifier shall send a written notification by email of the change to the preceding certification body.
  - If the preceding certification body's scope certificate is still valid, the certifier shall first receive a confirmation that the preceding certification body has received the notification prior to issuing a scope certificate.
- b) If it is a case of certification transference, once the contract has been signed with the client, CU's certifier will request the preceding CB to provide relevant documentation about the certified organization: e.g., **last audit reports, records of non-conformities, corrective actions, last scope certificate and volume reconciliation** (including incoming and outgoing material quantities and transaction certificates). After receiving the information, the same will be uploaded in ICU and will be available for consultation. This information should be provided by the other CB within 14 working days. If the proceeding CB doesn't send the information within this period, CU's certifier will inform the SM, which in turn will inform GOTS about the situation, in order to solve it. CU will develop its own audit process before certifying the organization.
- c) When receiving an applicant certificate which is in transfer process, CU will request confirmation of the validity of the certificate to the other CB by email; in case it is identified to be fraudulent, SM/certifier will forward the document to GOTS for review, and the document will not be accepted. Certifier will decide if the applicant will be accepted as client by means of the Risk Assessment.
- d) If accepted, CU will conduct an audit which also considers past conformity with the Standard before certifying the organization.
- e) In the event of a certified gin voluntarily choosing to move to another CB after their scope certificate validity date expires, CU and the chosen CB shall cooperate and proactively verify details about closing stock before recertification takes place. Gins shall be permitted to migrate to another CB only after three years of continuous certification.

### 6.3.2 For a TE standard certification:

- a) When an organization chooses to change certification bodies, the preceding and succeeding certification bodies shall meet the criteria included in the last version of the last version of ASR-101 – Accreditation and Certification Procedures for Textile Exchange Standards and ASR-112 Procedure for the Withdrawal of Certification Body Licensing.
- b) Upon request from the organization or from the succeeding certification body, once an agreement has been signed with the organization, the preceding certification body shall provide, to the succeeding certification body, relevant documentation about the certified organization, including audit reports and records of non-conformities.
- c) The succeeding certification body shall conduct an audit which also considers past conformity with the Standard before certifying the organization.
- d) If the preceding certification body's scope certificate is still valid, the certifier shall first receive a confirmation that the preceding certification body has received the notification of transference prior to issuing a scope certificate.

## 7. TRANSACTION CERTIFICATE (TC) FOR GOTS AND TEXTILE EXCHANGE STANDARDS

- a) Transaction Certificates (TC) is obligatory for business-to-business sales of GOTS and/or TE certified products to maintain traceability.
- b) TCs can be requested only for a specific lot of GOTS and/or TE certified product.
- c) Client can follow requirements of each program accessing to the web pages to request TCs:

Standard	Web Link
GOTS	<a href="https://global-standard.org/downloads#policiesandtemplates">https://global-standard.org/downloads#policiesandtemplates</a>
Textile Exchange	<a href="https://textileexchange.org/documents">https://textileexchange.org/documents</a>

- d) Client shall request the application for TCs by using client portal, and complete correctly all the fields required to apply for TC approval.
- e) 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.
- f) Documents: The following documents are required to be uploaded in Control Union portal (CU Information System), to process an application of any of above listed types of TC's:
- A copy of invoice(s)
  - A copy of BL or AWB or FCR or any other transport document(s). (The certifier can decide which document is required)
  - The supplier's transaction certificate for inward materials (shall be addressed to one of licensee's units)
  - Any other documents as requested by the certifier (GMO laboratory analysis, quantity control sheet/ mass balance sheet, composition test report, etc.)
  - Photographical evidence of on product label along with the product, and bulk packing label.

## 8. GOTS AND TEXTILE EXCHANGE LOGOS

- a) Certified clients can use on-and-off product statements for GOTS and/or TE on certified products.
- b) The requirements for product labelling of GOTS and TE products is available in:

Standard	Web Link
GOTS	<a href="https://global-standard.org/downloads#licenseandlabelling">https://global-standard.org/downloads#licenseandlabelling</a>
Textile Exchange	<a href="https://textileexchange.org/documents/standards-claims-policy/">https://textileexchange.org/documents/standards-claims-policy/</a> and <a href="https://textileexchange.org/documents/standards-logo-use-specifications/">https://textileexchange.org/documents/standards-logo-use-specifications/</a>

- c) Client is responsible for all on- and off-product statements for certified products that are transported between units within the same project, contain at least the following information:
- The name of the product.
  - The name "CU", followed by the client number.
  - A reference to the applicable standard.
- d) The use of logos standard, on- and off-product, is subject to approval by CU, prior to its use. Clients must apply for logo approval through CU Information System. Labelling of GOTS Goods sold in retail is mandatory.
- e) The client is obliged to inform CU Services S.A.C 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.

- f) In case of misuse CU will request the client to discontinue the use of certificates and logos that it authorizes certified entities to use.
- g) In case the client ignores the above-mentioned indications, the following CONTR.A02 GENERAL CERTIFICATION RULES Annex 1: Conditions for the use of the CU certification logo, item d) Sanctions shall apply.

### 8.1 Termination and duration of the program logos

- a) CU Services S.A.C retains the possibility to withdraw the use/approval of GOTS Signs and TE Standard's Logos with immediate effect (suspension) if there are reasons to believe that any of the terms of these Registrations and standard requirements (GOTS and TE Standards), are not being adhered to.
- b) The Certificate Holder makes known to CU Services S.A.C without delay any unauthorized use of the GOTS Signs/ TE Standard's Logos that it gains knowledge about, including but not limited to any unauthorized use of the GOTS Signs/ TE Standard's Logos by its direct and/or indirect customers and buyers. Failing to do this may have consequences for the certification status of the Certificate Holder.
- c) Either party may terminate the GOTS Logo/ TE Standard's Logos use Registration with three months prior notice in writing.
- d) The Global Standard gGmbH and/or CU Services S.A.C can pursue all legal remedies for any unauthorized or misleading use of the GOTS Signs on product declarations, in advertisements, catalogues or other contexts, including actions such as corrective and/or legal action and/or publication of the transgression so as to safeguard credibility of the GOTS identification.
- e) Should a Certificate Holder initiate or threaten to initiate cancellation action or otherwise attack the validity of the GOTS signs, Global Standard gGmbH may terminate the rights of the Certified Entity to use GOTS Signs without notice.
- f) If Textile Exchange becomes aware of an improper or unlicensed use of its intellectual property, Textile Exchange will attempt to engage with the claim maker and will offer a 30-day window from the date of first notice to correct or remove the claim.
- g) If the misuse is not remedied within 30 days and/or upon a second instance of misuse, Textile Exchange may take applicable actions as per any in-force licensing agreement and may pursue further applicable action up to and including legal proceedings and/or action with the certification body, which may result in withdrawal of certification.
- h) 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 GOTS Signs fees based on an invoice issued by CU Services S.A.C.

## 9. PUBLICATIONS

- a) Once a certification decision is made, CU will update the information in the GOTS portal. For clients certified to TE standards, the information will be sent to TE and then TE will update their website.  
**In addition, certified operators can be found in CU Services web page: [peru.controlunion.com](https://peru.controlunion.com)**



**10. CHANGE CONTROL**

Version and date	Description
Version 1.0; 01/12/2023	First version of the document.
Version 1.1; 29/01/2025	Changes highlighted in grey.

Annex I. CU SUBCONTRACTOR AGREEMENT			
Client Name			
Client Address			
Client Number		Country	
Processor Name			
Processor Address			
Unit Number			
<p>1. I as.....declare that I understand the standards for organic processing of which the most important aspects are:</p> <ul style="list-style-type: none"> <li>• Separate storage of raw organic products, half-finished products and ready organic products avoiding mixing with non-organic products.</li> <li>• Separate processing of organic products avoiding mixing with non-organic products.</li> <li>• During processing and storage no disallowed substances, ingredients or technical aids are used and appropriate measures are taken to avoid contamination of organic products with these substances.</li> <li>• Production will take place conform the process specification and approved product specifications.</li> <li>• Enable the identification of organic products during the whole process and in the storage.</li> <li>• Appropriate bookkeeping of all incoming, processed, stored and outgoing products is maintained.</li> </ul> <p>2. I will allow CU Inspectors access to all premises and information required for inspection purposes and I will fully cooperate with them.</p> <p>3. In case of non-compliance with the above-mentioned standards I will inform the CU client and I will not sell the products as organic or under conversion to organic. Also, I will inform in writing the buyers of the products in order to ensure that the indications referring to the organic production method are removed from the product in question.</p>			
Date and signature of processor			
Date and signature of client			