

TÜV NORD CERA 4in1 Performance Standard (CPS)

Get certified and prove your ESG-compliance in mining,
processing, smelting, and refining

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TÜV NORD CERA 4in1 Performance Standard (CPS) – Certification of Raw Materials

Performance Standard - upstream
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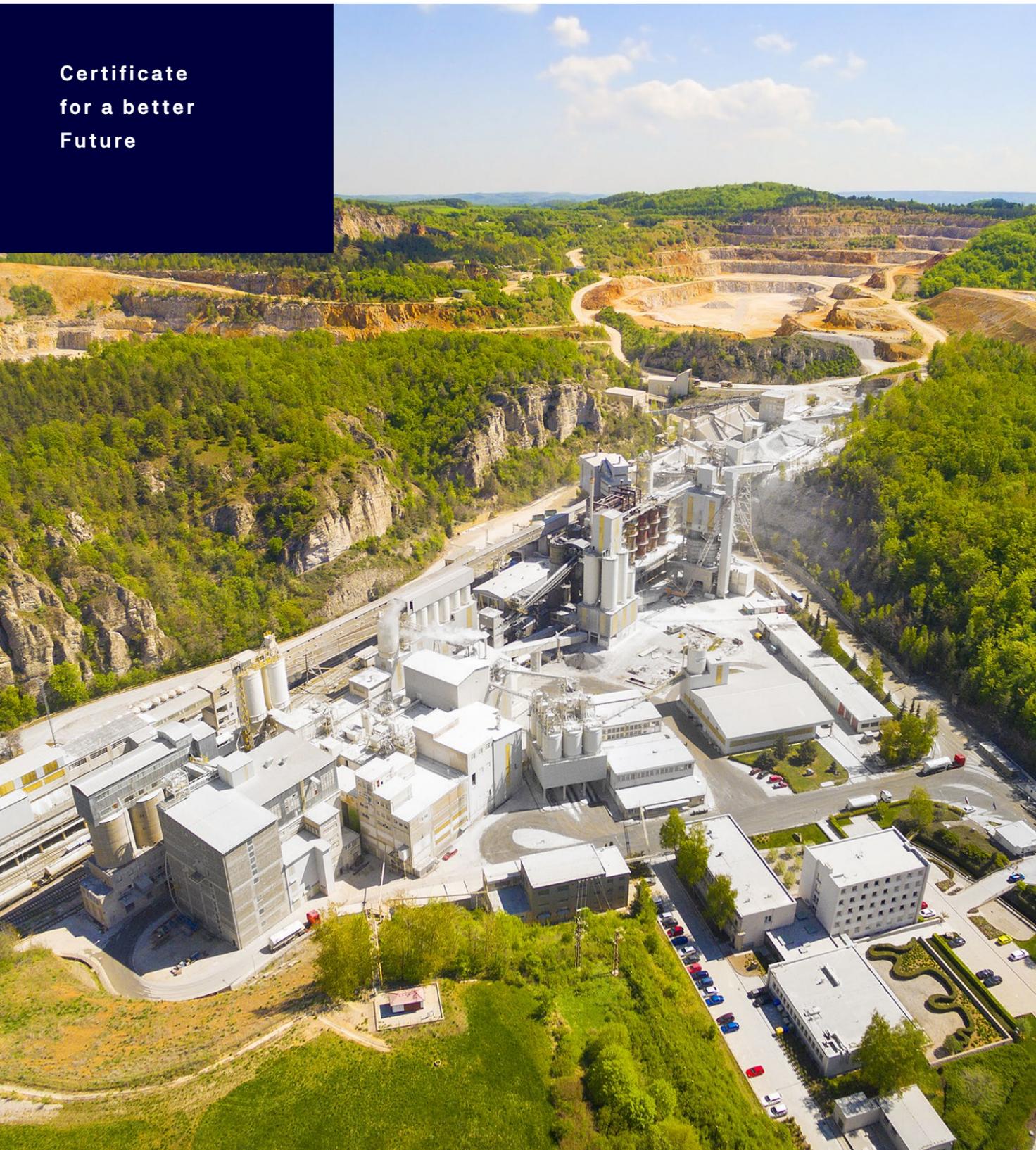
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Introduction

Sustainable development and achievement of the Sustainable Development Goals (SDGs), as introduced by the United Nations in 2015, are strategic objectives recognized by the signatory countries through their legislative bodies and industry representatives.

The initiation of SDGs required industries to put in more effort towards sustainable development, and considering the negative impacts of mining on the environment and society, it has become imperative to address these issues. The ever-increasing industrial demand for mineral raw materials further slows the establishment of responsible supply chains and their contribution to sustainable development.

In order to achieve the SDGs, the CERA 4in1 certification system (CERA 4in1) was introduced as a scheme for the development of responsible mineral raw materials supply chains. It aims to provide requirements for the implementation of responsible production practices as well as for the traceability of responsibly sourced materials.

CERA 4in1 was introduced in 2017 and financially supported by EIT RawMaterials. Its development is based on the following principles:

- **COMPLETENESS:** applicability of CERA 4in1 on a global scale along the entire value chain, covering all commodities and all organizations all over the world
- **TRANSPARENCY & TRUSTWORTHINESS:** independence, impartiality, and integrity of the organizations responsible for developing the standard and a pursued not-for-profit structure of the CERA 4in1 governing body with a multi-stakeholder approach

- **COMPREHENSIVENESS & RECOGNITION:** alignment with regulations and relevant guidelines, benchmarking, and cross-referencing with existing standards
- **TRACEABILITY:** tracking of CERA 4in1 certified mineral raw materials along the entire value chain
- **PARTICIPATION & CONTRIBUTION:** consideration of stakeholder recommendations
- **FLEXIBILITY:** matching options for different interfaces along the value chain
- **COMPETENCE:** development of CERA 4in1 by an interdisciplinary team of leading experts in mineral raw material value chains, sustainability, and certification

TÜV NORD CERA 4in1 – Overview of the entire certification system

Value chain

Exploration & mine development	Extraction & processing	Supply chain	End products
 <p>Readiness Standard CRS</p>	 <p>Performance Standard CPS</p>	 <p>Chain of Custody Standard CCS</p>	 <p>Final Product Standard CFS</p>
Time-to-market ~Q2.2024	Launched in January 2024	Time-to-market ~Q4.2025	Time-to-market ~Q4.2025

Current maturity level and schedule of planned market launches of TÜV NORD CERA 4in1



CERA 4in1 features a set of four standards, as shown in the figure above. Each of these standards focuses on specific areas of the value chain, providing different certification solutions which promote both responsible mineral raw materials production and well-informed decision-making by customers.

CERA 4in1 Readiness Standard (CRS) covers the (pre-)investment and exploration phase until the operating stage of a project. It defines criteria for the standardized evaluation of exploration projects considering social, environmental, and economic aspects.

CERA 4in1 Performance Standard – upstream (CPS) defines the environmental and social responsibility as well as corporate governance (ESG) requirements for a production facility or a group of production facilities that cover the operations of mining, processing, smelting and refining.

CERA 4in1 Performance Standard – downstream (CPS-II) defines the ESG requirements for a manufacturer and covers the manufacturing of semi-final products.

CERA 4in1 Chain of Custody Standard (CCS) applies to traded commodities and defines criteria for ensuring appropriate management systems for the traceability of responsibly sourced minerals, commodity-specific accounting methods, and chain of custody (CoC) material eligibility. This standard will observe that the players in the supply chain meet the basic legal requirements concerning responsible sourcing and procurement.

CERA 4in1 Final Product Standard (CFS) establishes the criteria necessary to label consumer goods, empowering consumers to make well-informed decisions. It defines the essential certification requirements for the supply chain of the final product, enabling consumers to differentiate between certified and uncertified products.

It is the purpose of this CPS document to state the requirements of the ‘CERA 4in1 Performance Standard’ (upstream), which is an integral part of the overall ‘CERA 4in1 Certification System’. This is Version 2.0 of the CERA 4in1 Performance Standard, first published in August 2020. The current valid version and further information can be found on the TÜV NORD CERA 4in1 Performance Standard website (www.tuev-nord.de/en/company/certification/services/tuev-nord-cera-4in1-performance-standard-cps/).

Review, revision, and period of transition

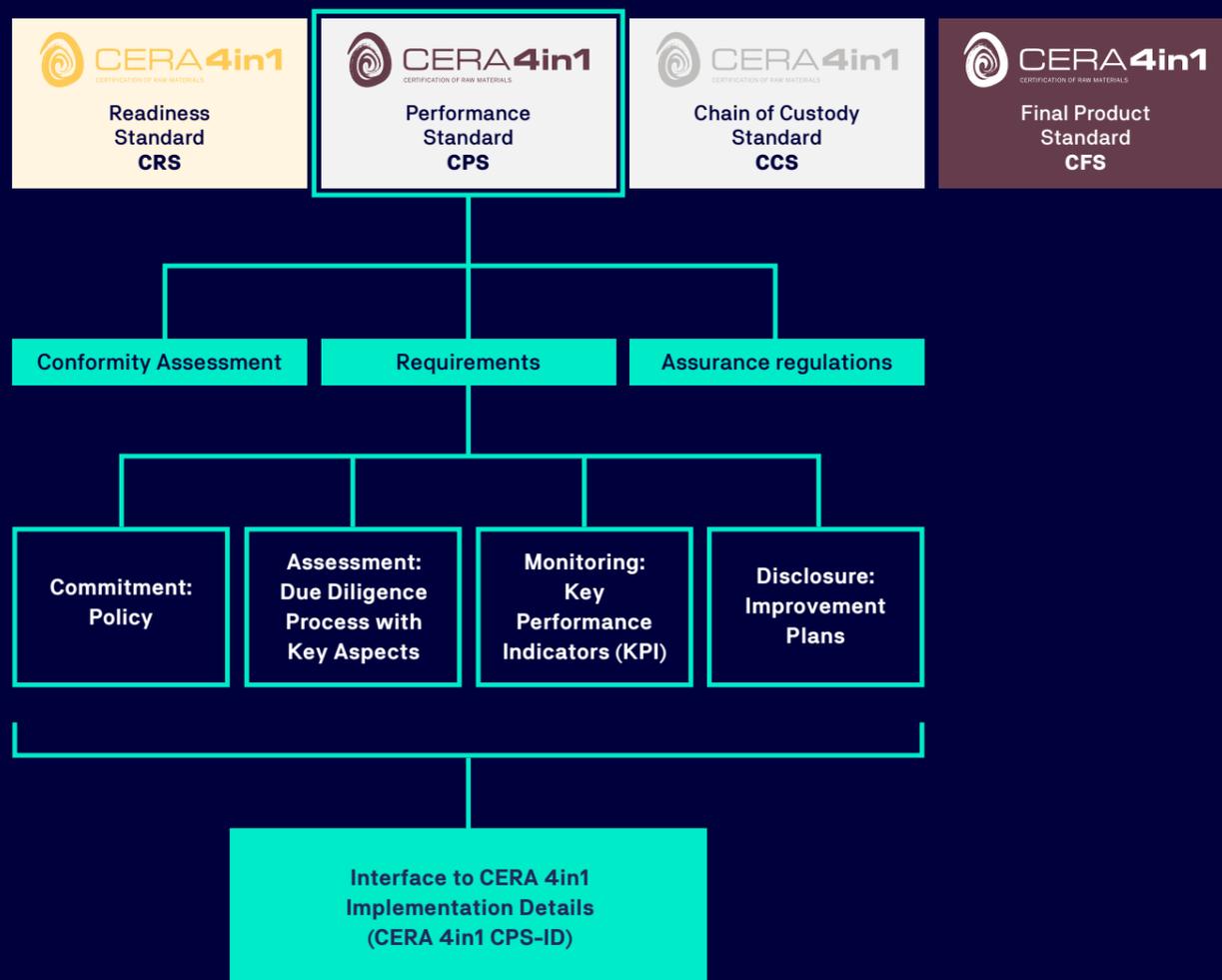
The CERA 4in1 standards will be reviewed at least three years for continued relevance and effectiveness in meeting the stated objectives. The standards review considers feedback from clients, certification bodies and consulting bodies, as well as new knowledge or practices that might require the standards to be updated. If the review concludes that changes to the standards are required, then a standard revision phase is initiated. Feedback received via the CERA 4in1 website will be collected and evaluated for future revision work.

Information about the activities regarding review and revision work and the following transition period will be published on the CERA 4in1 website.

If CERA 4in1 needs urgent substantive revisions to the standards (in-between regular revisions), it will follow the same procedures as during the regular revision process. Still, it will address whether these revisions are necessary and what steps are required in the process of the urgent revision.

Overview

The following figure provides an overview of the CERA 4in1 structure with a particular focus on the CPS structure, including all related documents.



Scope

The CERA 4in1 Performance Standard provides core criteria for responsible sourcing of mineral raw materials. It applies to all organizations that are part of the run-of-mine to mineral raw materials value chain and wish to measure and improve their ESG performance.

All organizations aiming for certification under the CERA 4in1 Performance Standard must comply with all respective requirements set out in this document.

In addition to the requirements, the **CERA 4in1 Implementation Details (CERA 4in1 CPS-ID)** specify the implementation of the general requirements – as stated in the CPS – based on the organization’s conditions (e.g. value chain position, sourced mineral, region) that is looking for certification. Certification to the CPS can only be achieved if all the relevant requirements clearly defined in the CERA 4in1 CPS-ID are fulfilled. Therefore the CERA 4in1 CPS-ID can also be defined as **Audit Check List**. The general structure of the CERA 4in1 CPS-ID document is directly aligned with the structure of the CPS, which ensures a logical and traceable connection between both documents.

The **CPS Assurance regulations** define the binding rules for conducting certification activities based on the CERA 4in1 Performance Standard. This chapter defines roles and responsibilities, the application and approval process as well as audit performance and regulations. It sets out the minimum requirements for the recognition of certification bodies, such as impartiality, integrity and independence, professional judgment and skepticism, and the qualification of auditors and technical experts.

Document structure

The CERA 4in1 Performance Standard is an integral part of the CERA 4in1 certification system. It defines criteria for responsible sourcing and production practices.

The CPS comprises three topics. Each topic is subdivided into themes, thirteen in total. These, in turn, cover 40 key aspects altogether.



CERA 4in1 Performance Standard (CPS)

Topic 1	Topic 2	Topic 3
Themes (5) 1.1-1.5	Themes (4) 2.1-2.4	Themes (4) 3.1-3.4
Key Aspects (14) 1-14 (1.1.1-1.5.3)	Key Aspects (16) 15-30 (2.1.1-2.4.3)	Key Aspects (10) 31-40 (3.1.1-3.4.2)

Additionally, four requirements are allocated to each theme. They act as mandatory criteria in relation to the theme. The requirements follow a specific sequence which also takes key aspects into account.

Topics

Topics define the overall fields of sustainable development within CERA 4in1. The three topics within the CPS are as follows:

1. Corporate Governance (G)
2. Social Responsibility (S)
3. Environmental Responsibility (E)

Themes

A theme defines a task or organizational section within a particular topic with reference to responsible operations. All the themes together cover a total of 40 key aspects that need to be considered when evaluating an organization's performance. The themes are assigned to the individual topics as follows:

Topics and themes

1 Corporate Governance	1.1 Legal compliance
	1.2 Best available practice
	1.3 Business integrity
	1.4 Stakeholder involvement
	1.5 Supply chain due diligence
2 Social Responsibility	2.1 Human and community rights
	2.2 Labour conditions
	2.3 Occupational health and safety
	2.4 Safety and security
3 Environmental Responsibility	3.1 Emissions and waste
	3.2 Resource use and efficiency
	3.3 Energy input
	3.4 Biodiversity and closure



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Key aspects

Key aspects show interested organizations what they must address and cover in their assessment, monitoring, disclosure, and improvement processes.

The table below shows the assignment of the key aspects to the different themes, along with the relevant numbering.

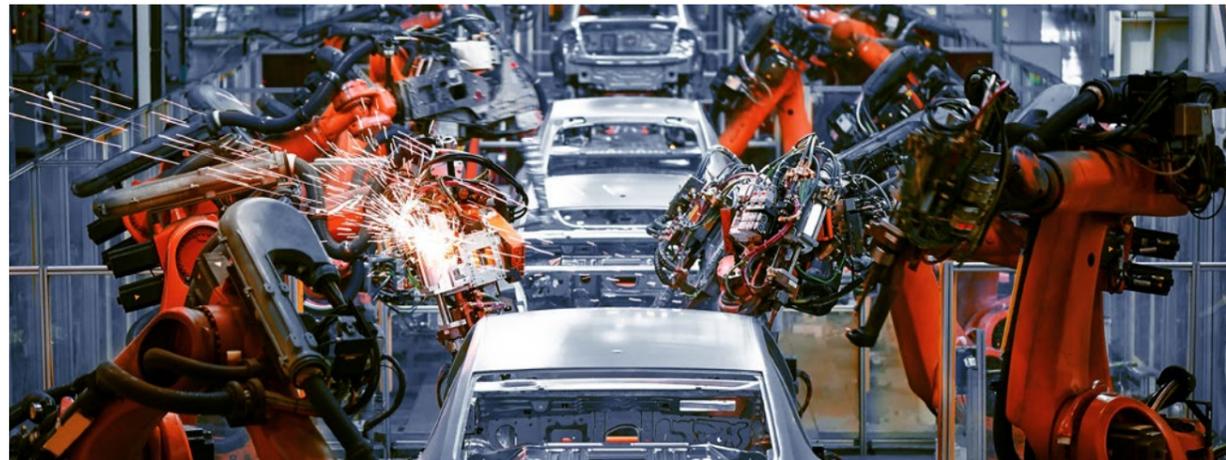
Topic 1 – Corporate Governance		
Theme	Key aspect	Clause
1.1 Legal compliance	National & international legislation, international treaties and conventions	1.1.1 (1)
1.2 Best available practice	International guidelines	1.2.1 (2)
	Best practice guidelines	1.2.2 (3)
1.3 Business integrity	Corruption and bribery	1.3.1 (4)
	Contact with criminal organizations, illegal armed groups or illegal political organizations	1.3.2 (5)
	Business Ethics	1.3.3 (6)
	Illegal (mining) activities at the operating site	1.3.4 (7)
1.4 Stakeholder involvement	Analysis and prioritization of stakeholder groups	1.4.1 (8)
	Means of stakeholder engagement	1.4.2 (9)
	Platform for management of grievances	1.4.3 (10)
	Public disclosure and ongoing reporting	1.4.4 (11)
1.5 Supply chain due diligence	Social impact	1.5.1 (12)
	Environmental impact	1.5.2 (13)
	Conflict-affected and high-risk areas	1.5.3 (14)

Topic 2 – Social Responsibility		
Theme	Key aspect	Clause
2.1 Human and community rights	Workplace diversity/discrimination/equality of opportunity	2.1.1 (15)
	Rights of the indigenous population or tribes	2.1.2 (16)
	Particularly vulnerable groups/persons	2.1.3 (17)
	Local community protection and development	2.1.4 (18)
	Land rights and land rights disputes	2.1.5 (19)
	Cultural heritage protection	2.1.6 (20)
	Child labour & education	2.1.7 (21)
	Forced labour	2.1.8 (22)
2.2 Labour conditions	Freedom of association and rights to collective bargaining	2.2.1 (23)
	Remuneration and career training	2.2.2 (24)
	Working hours and conditions	2.2.3 (25)
2.3 Occupational health and safety	Measures to ensure workplace safety	2.3.1 (26)
	Accidents at work, related impacts and actions	2.3.2 (27)
2.4 Safety and security	Access to operations	2.4.1 (28)
	Use, mixing and handling of hazardous substances	2.4.2 (29)
	Maintenance of structures	2.4.3 (30)

Key aspects

Topic 3 – Environmental Responsibility

Theme	Key aspect	Clause
3.1 Emissions and waste	Air quality assessment and management	3.1.1 (31)
	Waste and material assessment and management	3.1.2 (32)
	Noise and vibration assessment and management	3.1.3 (33)
	Greenhouse gas emissions	3.1.4 (34)
3.2 Resource use and efficiency	Responsible exploitation of the deposit	3.2.1 (35)
	Withdrawal and management of water resources	3.2.2 (36)
3.3 Energy input	Energy consumption	3.3.1 (37)
	Additionality & correlation	3.3.2 (38)
3.4 Biodiversity and closure	Biodiversity	3.4.1 (39)
	Closure	3.4.2 (40)





Requirement structure

The CPS uses the same approach for each theme, with four corresponding requirements that provide guidance on how the CPS should be implemented.

One objective of CERA 4in1 is to contribute to harmonization within the certification landscape. To facilitate this, the requirements in CERA 4in1 structure adopts the 5-step management approach of the OECD guideline and the PDCA approach as used in ISO management standards.

OECD			
Step 1 “Establish strong company management systems”	Step 2 “Identify and assess risks in the supply chain” & Step 3 “Design and implement a strategy to respond to identified risks”	Step 4 “Carry out independent third-party audit of supply chain “due diligence practices” at identified points in the supply chain”	Step 5 “Report annually on supply chain due diligence”
ISO			
Plan “Establish the objectives of the system and its processes”	Do “Implement what was planned”	Check “Monitor and (where applicable) measure processes”	Check “Report the results” Act “Take actions to improve performance, as necessary”

In the CERA 4in1 Performance Standard, the requirements are subdivided into four stages Commitment (C) – Assessment (A) – Monitoring (M) – Disclosure (D) (CAMD system) that follow the OECD and ISO approach:

Sequence for each theme			
Commitment (C) Policy	Assessment (A) Due diligence process	Monitoring (M) Key performance evaluation	Disclosure (D) Disclosure and continuous improvement
Requirement (C)	Requirement (A)	Requirement (M)	Requirement (D)

This CAMD system is modular, whereby the four steps build on each other. This guarantees a structural implementation of responsible performance within the operation from management level into practice including the aspect of continual improvement. The practical implementation of the requirements follows the specific CERA 4in1 CPS-ID, as shown below. This demonstrates the link between the CERA 4in1 CPS-ID and the CERA 4in1 Performance Standard itself.

CERA 4in1 Performance Standard			
Requirement (C)	Requirement (A)	Requirement (M)	Requirement (D)
CERA 4in1 CPS-ID			
Commitment (C) “Formulating the commitment and defining a policy”	Assessment (A) Key Aspect “Avoid harmful events by assessing risks and implementing prevention plans”	Monitoring (M) KPI materiality analysis “Verifying and making (A) measurable”	Disclosure (D) Improvement plan “Disclosing the findings of (M) and defining action plans for continuous improvement”



Implementation Details

The CERA 4in1 CPS-ID is used to implement the generally applicable requirements of the CPS in practice by considering the specific situation of the organization, e.g. mineral raw materials with its mining and processing steps and geographic region. This information is integrated into the CAMD structure (see table above) and results in an individual CERA 4in1 CPS-ID document specific for the organization to be certified.

Key aspects are included in the scope of the CERA 4in1 Performance Standard. Within the **Commitment (C)** and **Assessment (A)** process of the organization (as shown in the table above), key aspects shall be included in the organization's policy and therefore used as a basis to identify and assess individual risks.

For every key aspect, a set of corresponding events is pre-set in the master file of CERA 4in1 CPS-ID. These events are defined in such a way that, if they occur, they can have a negative impact on the community, environment and or the organization itself. The events specific to the organization are identified within the audit process for the **Assessment** step (A).

It means that for all events, which are selected based on their applicability for the individual operation, the organization has to identify risks that could lead to the occurrence of these events. Then the risks need to be assessed by the organization and they represent the minimum threshold to be met (for further explanation, see chapter Events and Risks).

The assessment process has to be done by developing and implementing individual correction and prevention plans that mitigate the likelihood and severity of risks and thus prevent the event's occurrence. Based on the selection of corresponding events and the elimination of non-applicable events (with sufficient explanation) the CERA 4in1 CPS-ID is specifically designed for the organization to be certified. Extended by evaluation templates for auditors, the CERA 4in1 CPS-ID can also be defined as **Audit Check List**.

The individual CERA 4in1 CPS-ID are specified jointly by the auditor and a technical expert during the "internal setup" phase of the CERA 4in1 certification process (for further explanation, see chapter on Conformity assessment process). Here applicable events will be selected jointly and newly-identified ones will be added. When the selection process of events is complete, it will be verified independently by the CERA 4in1 standard owner to control that all applicable events are covered. All events are allocated to optional prevention plans, which cover potential mitigation and prevention measures. These prevention plans are not mandatory to implement. They can be used as support by the organization to develop their own individual prevention plans related to their operation and according to the identified risks. Moreover, the optional prevention plans support the auditor as definition of the respective event and a guide on which potential aspects must be considered during the **Assessment (A)** conducted by the organization.

To measure and improve the performance against the prevention of event's occurrence, key performance indicators (KPIs) within the **Monitoring (M)** process are also pre-set in the CERA 4in1 CPS-ID and linked to the events. The organization must quantify at least one KPI per event, describe its corresponding approach, and provide evidence.

The organization can choose from the pre-set KPIs or can determine their own KPIs, as long as they are related to the event. The selection and appropriateness are controlled and acknowledged by the auditor. In the last step, these KPIs are disclosed, and their improvement progress reported within the **Disclosure (D)** process. For events newly identified during the **Assessment (A)** process, the CERA 4in1 standard owner develops the respective content so that the organization can follow the same **Monitoring (M)** and **Disclosure (D)** process. The individual filled-in CERA 4in1 CPS-ID document is used as basis for certification assessment and decision.

Events and Risks

The events are assigned to different categories within the **Assessment (A)** process. These different categories are intended to facilitate and structure the assessment process and the selection of applicable events depending on the conditions of the certification site. The categories of the events differ depending on its scope, the commodity, mining, and processing method used as well as the geographic region.

1. Corporate Management - General
2. Corporate Management - Local / Regional Conditions
3. Social & Environmental Management - General
4. Social & Environmental Management - Regional / local conditions
5. Method Health & Safety specific
6. Commodity specific

The following graph summarizes the hierarchy of policies, events, prevention plans, KPIs, and improvement plans.



The final CERA 4in1 CPS-ID document, together with the present document, constitute the CERA 4in1 Performance Standard in its entirety.

Risk Assessment

The CPS requires organizations to conduct a risk assessment of their own operation. The identified risks and subsequent prevention plans shall be verified by the appropriate certification body during the **Assessment (A)** step. The organization is solely responsible for the risk identification, mitigation, prevention, and monitoring. If the organization or the auditor does not identify individual risks but these risks lead to the event's occurrence and negative impacts, the auditor and its respective certification body are not responsible.

The objective is to identify, evaluate, mitigate, prevent, and monitor operational risk(s) that could lead to the event's occurrence. Therefore, the organization is responsible for developing, implementing, and documenting a risk assessment strategy that includes the following steps:

- Risk identification
- Risk mitigation and prevention
- Risk monitoring

ISO 31000:2018 can be used as a supporting standard for an appropriate risk assessment. The organization's risk assessment shall be revised on a regular basis, in particular:

- Before every initial surveillance or re-certification audit;
- Every time the operation gets adjusted to the extent that it influences the likelihood of event's occurrence;
- When the certification scope is altered;
- By the organization's own initiative.

Risk Identification

In the context of the CPS, the organization's risk assessment identifies all risks that could lead to the event's occurrence.

Risk mitigation and prevention

For the identified risks, the organization has to develop correction plans, including priorities and timetables, to mitigate risk's severity and likelihood, as well as prevention plans to prevent risk's occurrence in the future. Organizations will do their own risk assessment that the certification body will then verify during the certification process. The risk mitigation and prevention strategy could comprise measures based on the following hierarchy, but not limited to it:

- 1. Avoidance:**
Discontinue the risk-generating activity; than
- 2. Substitution:**
Substituting activities that generate risk for those that produce equivalent outputs with a lower risk; than
- 3. Reduction:**
Taking action to reduce the probability or effect of the risk; than
- 4. Compensation:**
Balancing the risk through activities that offset negative impacts; than
- 5. Prevention:**
Preventing the risk. Participating operators choose actions that do not impose risks or lower risks.

Risk Monitoring

The organization will continuously review the effectiveness of risk assessment associated with their activities within the scope of certification. They will update and optimize their risk assessment in response to the results of risk monitoring.

Auditors

- Auditors performing an audit will verify the identified risks and any other risks that are not identified by the organization, but that could lead to event's occurrence.
- Auditors performing an audit will verify the monitoring of any risk within the certification scope



Conformity assessment process

CERA 4in1 standards address the observance of environmental, social, and economic responsibility within the complete value chain of mineral raw materials and its products globally. The CPS certifies a facility or sequence of operations that are responsible for mineral raw material production (e.g. mine site, processing plant, smelter, refinery). It defines a set of minimum criteria which every operation in the upstream supply chain has to fulfill. The individual aspects of the respective minerals or processes are considered in specific CERA 4in1 CPS-ID (audit checklist).

The certification process for CPS is dynamic. It combines a classification in entry criteria and supplementary criteria (incremental approach) and a scoring system that defines the initial certification and re-certification requirements.

All events are classified based on the indicators listed in the table below. These indicators not only consider the specific conditions of the organization e.g. mineral raw materials, mining methods, and geographical location, but also the potential impact on the society and environment as well as the reputational damage for CERA 4in1 if the event's occurrence is not prevented.

Assessment (A), and **Monitoring (M)** for the entry and supplementary criteria. Again, 25 % for the step **Commitment (C)**, 25 % for the step **Assessment (A)**, and 25 % for the step **Monitoring (M)**, so in total achieving 75 % is mandatory for the re-certification. The 75 % is required to maintain certification, every rating beyond 75 % reached by the **improvement** of performance, and its obligatory **disclosure (D)** of performance can be used for market advantages. Surveillance audits are carried out annually.

The three-year certification cycle begins after the initial certification and then after the re-certification decisions. The certification procedure is repeated for each re-certification with the exception of audit stage 1 ("pre-audit").

Re-certification audit activities may need to have an audit stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g., changes in legislation).

The CPS audit process for the initial and re-certification process consists of seven different steps which are described in the following certification procedure. The audit programme covers a two-stage initial audit ("pre-audit", "audit"), surveillance audits in the first and second year, and the re-certification audit in the third year prior to the expiration of certification.

Entry Criteria		Supplementary Criteria
Core Criteria	Priority Criteria	
Impact of event's occurrence on CERA 4in1 reputation and integrity		Impact of event's occurrence is not harmful to the environment, society, or the reputation and integrity of CERA 4in1
Relevant damage to society and the environment		Prerequisite of necessary education and training, which must first be carried out
Mining and mineral raw material unspecific	Mining and mineral raw material specific	Mining and mineral raw material unspecific and specific

The events are marked by the audit team during the audit step "Internal setup" considering the conditions of the certification site. The entry criteria are mandatory for the initial certification. The initial certification covers the **Commitment (C)** and **Assessment (A)** of the CAMD system. Here the organization has one year to develop a policy that addresses all selected events classified as entry criteria as well as identify risks that could lead to the event's occurrence and develops correction and prevention plans for identified risks. After one year (candidate status), the performance will be audited and scored.

To be certified, the organization has to reach full compliance with both CPS requirements **(C)** and **(A)**. The organization is then a certified organization, and not a candidate anymore. The scoring system shows in detail where improvements have to be made. 25 % for the step **Commitment (C)** and 25 % for the step **Assessment (A)**, so in total achieving 50 % is mandatory for the initial certification. After the initial certification, the organization has three years to conduct the steps **Commitment (C)**,





1. Programme and scope preparation (“initial meeting”)

During the “initial meeting”, the certification body introduces the CERA 4in1 Performance Standard and the audit programme and defines the certification scope.

NOTE: If there are any changes to the certification scope, which becomes apparent as auditing activities progress, the audit team leader reports this to the certification body. Where necessary, the audit programme will be adapted for audit stage 2.

The audit process begins following the conclusion of the certification agreement and is divided into:

- audit preparation and planning;
- audit performance;
- documentation of the audit results.

2. Audit Preparation (“internal setup”)

An audit team, including technical expert(s) is appointed, and the organization is informed of the team members once the contract is signed. The audit team leader will ensure that technical competence is always present during the audit. The audit programme and defines the certification scope.

The audit team gathers organization’s information (remote/on-site) to develop the individual CERA 4in1 CPS-ID document (following the audit checklist) in cooperation with the technical expert(s). Here the respective applicable events are selected and categorized in entry and supplementary criteria that are basis for the assessment, monitoring as well as improvement and disclosure steps (CAMD system).

3. Audit Stage 1 (“pre-audit”)

Remote assessment of the readiness for CERA 4in1 certification and planning of audit stage 2 (“audit”).

Purpose of the stage 1 audit:

- a. to assess the organizations understanding of the standard requirements, particularly concerning the assessment of events;
- b. to remotely audit the organization’s policies (Commitment step) and collect necessary information with regard to the scope of the CPS and the processes / location(s) of the organization;
- c. to identify non-conformities (defined under “audit”) against the requirements of the CPS;
- d. to assess the location-specific conditions and to evaluate the resources, which have to be allocated to the stage 2 audit to determine the readiness as well as to discuss and agree on the details of the stage 2 audit with the organization;
- e. to create a main focus for planning the stage 2 audit by gathering a sufficient understanding of the organization and its activities carried out on-site and any significant aspects relating to these.

The stage 1 audit is performed remotely and aims to reduce the work and duration of audit stage 2 e.g., management systems of the organization based on other standards can be analyzed and recognized as evidence for the requirements of the CERA 4in1 Performance Standard. The results are compiled in an audit report 1 with reference to the individual audit checklist.

At the end of the stage 1 audit, the exact formulation of the scope of the certification will be established in agreement with the organization before the stage 2 audit.

4. Corrective action phase (“1. Corrective action phase”)

During this Corrective action phase, the organization implements initial corrective actions/prevention plans. This will be done based on the identified non-conformities during audit stage 1.

If it cannot be positively determined that the client is ready for the audit of stage 2, the certification procedure is terminated after the audit of stage 1. The client must be informed in writing by the certification body.

a. Audit Stage 2 – Certification Audit (“audit”)

This step includes the on-site assessment of the implementation and effectiveness of CPS requirements on the management and operational level. This is carried out by means of one on one interviews with the staff, viewing of documents, records, and guidelines etc., as well as by an on-site visit to the relevant areas. Whereby, a mandatory technical expert supports the audit team. The individual audit checklist serves as a guide during this process.

During the audit, the audit team assesses the audit progress and exchanges information. The audit team leader communicates the progress of the audit and any concerns to the organization (e.g., daily closing meetings).

The organization will be given the opportunity to inquire or ask question. Any diverging opinions regarding the audit findings or conclusions between the audit team and the organization will be discussed and resolved where possible. Any diverging opinions that are not resolved will be recorded and referred to the certification body.

Audit stage 2 concludes with an audit report 2 containing all findings against the CERA 4in1 Performance Standard requirements.

The findings are assigned to the requirements of the standard and evaluated as regards the following:

- conformity;
- non-conformity (NC A, NC B, or NC C) with required correction and prevention plans.

Non-conformity:

A non-conformity is the non-fulfillment of one requirement of the standard. If this deadline is not met, the audit is considered failed. No certificate can be issued or the certificate will be withdrawn. There are three types of non-conformities:

a) Critical non-conformity (NC C)

Non-conformity that may result in harm to the organization and / or the environment / society and / or to the reputation of the CERA 4in1 standard owner. These NC C must be corrected within two weeks after identification.

b) Major non-conformity (NC A)

A non-conformity that limits the ability of the management system to achieve its intended results. These NC A must be corrected within eight weeks after identification. Non-conformities can be categorized as major:

- If there is considerable doubt that efficient process control is in place or that operations fulfill the specified requirements,
- If several minor non-conformities relate to the same requirement or the same problem could represent a system- or operational-related failure and therefore result in a major non-conformity.

c) Minor non-conformity (NC B)

Non-conformity that does not limit the capability of the management system or operation to achieve the intended results. These NC B must be corrected within twelve weeks after identification.



5. Corrective action phase (“2. Corrective action phase”)

Within this second Corrective action phase, the organization implements corrective actions/ prevention plans based on the identified non-conformities (critical, major, minor) against the requirements of CERA 4in1 Performance Standard in audit stage 2 and if not already done audit stage 1.

6. Award of Certificate (“certificate”)

In this step, the review and verification of the corrective actions/prevention plans is performed on the basis of the non-conformities (critical, major, minor) from stage 1 and stage 2. Only when all respective non-conformities have been successfully resolved, assessed and accepted by the audit team and the result of the audit assessment is positive, the corresponding certificate is issued. The certificate is valid for 3 years.

Deadlines for the release of the certification procedure:

- Procedures without NC A/B/C: 8 weeks;
- NC C: 6 weeks (2 weeks + 4 weeks for verification of correction measures / veto / release procedure)
- NC A: 12 weeks (8 weeks + 4 weeks for verification of correction measures / veto / release procedure)
- NC B: 16 weeks (12 weeks + 4 weeks for verification of correction measures / veto / release procedure)

7. Surveillance audits (“surveillance”)

The monitoring includes mandatory periodical, post-certification on-site surveillance audit of CPS implementation, and effectiveness in representative areas and functions that are covered by the scope of the CPS. The objective is to maintain the certificate.

Within the period of validity of the certificate (3 years) surveillance audits shall be conducted at least once per calendar year, with the exception of the years in which a recertification audit is performed.

The planning of all surveillance audits is carried out on the basis of planning-relevant dates (PRD) that are set by the certification body.

First surveillance audit following the initial certification audit

- The date of the first surveillance audit following the initial certification audit is based on the PRD and may not be later than 12 months after the certification decision date. In case of exceeding the deadline the certificate is withdrawn.

Second surveillance audit

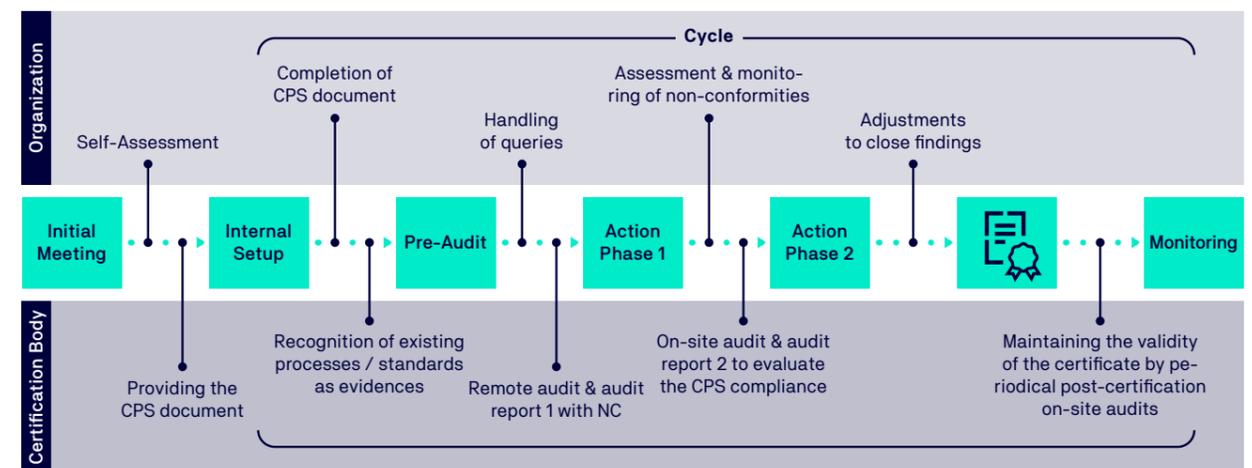
- The second surveillance audit is planned on the basis of PRD and has to be conducted at least once a year. If the surveillance audit does not take place once a year, whether at the fault of the client or the certification body, the certificate will be withdrawn. Based on justification, the certificate can be regained within three months after the certificate has been withdrawn.

During preparation of the audit, the audit team leader initiates an inquiry to the client regarding changes in the structural and procedural organization, the size of the operation and the operational activities. This includes in particular a review of the current system documentation. In addition, materials used for public relations (e.g. Internet, advertising material) can be used for preparation purposes. This inquiry is documented in the audit programme.

In case of non-conformities (critical, major, minor), the assessment proceed in the same way as during the certification audit.

It may be necessary to conduct audits of certified organizations at short notice or unannounced to investigate complaints, or in response to changes, or as follow-up on suspended organizations. The certification body is responsible for the process on how to conduct these kinds of audits. If the client refuses to allow the audit team access, the certificate will be withdrawn.

Standardized audit process with audit cycle



Extension of scope audit

Extension of the audit scope means evaluation of CPS requirements at newly implemented operations that are located within the certification or licence area. The extension of the audit scope is not applicable for other operational sites / licence areas (please refer to multi-site certification).

An extension audit can be performed to extend the scope of an existing certificate. The extension audit may be carried out within the scope of a surveillance audit, recertification audit or on an independently selected date.

The validity period of the certificate remains unaffected.

The audit team leader / audit team will audit the CPS requirement implementation regarding the extended areas. A technical expert shall be consulted to ensure adequate competence. The further procedure with regard to the documentation and release of the audit procedure corresponds to a certification audit.

End of the right to use the certificate

The right of the client to claim ownership of the certificate ends automatically with immediate effect without the need for an express statement of termination, if among others

- the certified management system – including the requirement concerning the efficiency of the management system – does not meet the CERA 4in1 Performance Standard requirements permanently or significantly, e.g. change of scope,
 - If some aspects within the scope of the certification do not fulfil the requirements of the CERA 4in1 Performance Standard on a permanent basis, the scope must be limited by removing these aspects.
- the certified clients not allowing the performance of the surveillance or recertification audits in the defined frequency,

- insolvency, company liquidation or deletion of the certificate holder or non-payment of liabilities
- voluntary request by the client for a suspension,
- deadlines are not met (e.g.: non-conformity management, surveillance audits)
- surveillance audit has not been performed each calendar year,
- the deadline for certificate release is exceeded.

The certification body is entitled to suspend or terminate a certificate, and thereby the entitlement to use the test mark, if the certification body subsequently becomes aware of new information pertaining to the assessment of the certification procedure or its result.

The certification body reserves the right to make final decisions in relation to the certification, issue, refusal or maintenance of the certification, extension or restriction/limitation of the scope of the certification, renewal, suspension or reinstatement following suspension, or withdrawal of the certification.

The certification body has the right to instigate a decertification procedure in the presence of the reasons given above following proper and expert analysis, and to suspend, withdraw or declare the certificate to be invalid.

A certificate may be suspended for a maximum of 6 months. If the problems that led to the suspension have not been solved within the given 6 months (NC A/B 6 months, NC C 3 months), the certificate will be withdrawn and not reinstated.

After the withdrawal, the certificate can only be restored by new certification. Any costs associated with this shall be the responsibility of the client.

Exceptions, which may also exist due to specific CERA 4in1 Performance Standard requirements, may override this general rule. A case-by-case decision by the certification body remains possible.

Upon termination of the right of use, the client is obliged to immediately collect and destroy all certificates (originals, copies, pdf documents) and to cease advertising with the certificates.





Requirements for certification

TOPIC 1 – Corporate Governance

Corporate governance means the legal and factual framework for the management and supervision of an organization. Corporate governance refers to a set of rules or principles that define rights, responsibilities, and expectations for different stakeholders within the management of organizations.

A well-defined corporate governance system is used to balance or align interests between stakeholders and can serve as a tool to support an organization's long-term strategy.

1.1 Legal compliance

A sustainable organization ensures that all relevant requirements (legal, social, or in any other form) are met so that business activities may reliably continue. This section establishes the minimum requirements for legal compliance in order to ensure that an organization may operate within its context without threat of legal issues.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure legal compliance to ensure the continuity of business activities.
- A:** The organization shall implement a legal compliance due diligence process to identify and assess related risks which could impact its compliance with legal obligations belonging to:
 - 1.1.1 *National & international legislation, international treaties, and conventions (1)*
- M:** The organization shall identify material key performance indicators and measure its performance against these to monitor ongoing compliance.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

1.2 Best available practice

Ensuring continual improvement within the organization can be achieved through strategic analysis and implementation of relevant best practice guidelines. This section sets out criteria to assess relevance and derive actions for sustainable development.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure the implementation of applicable international best practices related to sustainable development and responsible production.
- A:** The organization shall implement a due diligence process to thoroughly analyze applicable best practice guidelines and identify means of implementation, considering all possible related risks belonging to:
 - 1.2.1 *International guidelines (2)*
 - 1.2.2 *Best practice guidelines (3)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

1.3 Business integrity

Becoming a sustainable organization requires accountability for all effects and consequences of business activities, whether direct or indirect. This section sets out various requirements for promoting business integrity in day-to-day business.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure a high level of business integrity.
- A:** The organization shall implement a due diligence process to identify and assess related risks regarding integrity in the performance of its business operations belonging to:
 - 1.3.1 *Corruption and bribery (4)*
 - 1.3.2 *Contact with criminal organizations, illegal armed groups or illegal political organizations (5)*
 - 1.3.3 *Business ethics (6)*
 - 1.3.4 *Illegal (mining) activities at the operating site (7)*

- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

1.4 Stakeholder involvement

Stakeholder involvement is an integral part of sustainable business conduct. The stakeholder communication process should be proactive, accountable, inclusive, and transparent, so the organization can perform to the best of its ability whilst promoting development opportunities for its stakeholders, including its employees.

This section sets out requirements to initiate a comprehensive stakeholder involvement process. An accessible and effective grievance mechanism significantly contributes to the success of strong stakeholder involvement. It provides a platform for stakeholders to raise concerns and a means for the organization to react to these in a timely fashion.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure and maintain comprehensive stakeholder communication and involvement.
- A:** The organization shall perform a due diligence process to identify and assess related risks regarding stakeholder expectations belonging to:
 - 1.4.1 *Analysis and prioritization of stakeholder groups (8)*
 - 1.4.2 *Means of stakeholder engagement (9)*
 - 1.4.3 *Platform for management of grievances (10)*
 - 1.4.4 *Public disclosure and ongoing reporting (11)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.



1.5 Supply chain due diligence

An organization's responsibility performance should be based on the impacts caused by its direct activities (e.g., production process) and indirect activities (e.g., business relationships with suppliers). Therefore it is important for the organization to analyse and understand its supply chain, in order to mitigate negative impacts and identify and strengthen relationships with responsible suppliers. This section sets out requirements on how to perform due diligence processes with regard to the organization's direct suppliers.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure a high level of business integrity within its first-tier supply chain.
- A:** The organization shall implement a due diligence process to identify and assess related risks regarding the integrity of its business conduct within the first-tier supply chain belonging to:
 - 1.5.1 *Social impact (12)*
 - 1.5.2 *Environmental impact (13)*
 - 1.5.3 *Conflict-affected and high-risk areas (14)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.



TOPIC 2 – Social Responsibility

Social Responsibility involves criteria for how an organization should manage its relationships with employees, suppliers, customers, and the communities in which it operates. Social Responsibility includes requirements regarding human rights, labour standards, any exposure to illegal child labour, and more routine issues such as adherence to workplace health and safety standards. Furthermore, an organization should be well integrated into the local community.

2.1 Human and community rights

A sustainable organization takes into account both the direct and indirect effects of its business activities.

A broad assessment of the potential negative and/or positive effects is required concerning human and community rights. This section sets out requirements as to how the organization shall aim to reduce its negative human rights impact, promoting positive effects and obtaining local community support.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure respect for human rights and commitment to community development.
- A:** The organization shall implement a due diligence process to identify and assess related risks regarding the impact on human rights and community development belonging to:
 - 2.1.1 *Workplace diversity/discrimination/equality of opportunity (15)*
 - 2.1.2 *Rights of the indigenous population or tribes (16)*
 - 2.1.3 *Particularly vulnerable groups/persons (17)*
 - 2.1.4 *Local community protection and development (18)*
 - 2.1.5 *Land rights and land rights disputes (19)*
 - 2.1.6 *Cultural heritage protection (20)*
 - 2.1.7 *Child labour & education (21)*
 - 2.1.8 *Forced labour (22)*

M: The organization shall identify material key performance indicators and measure its performance against these.

D: The organization shall disclose key performance indicators and its improvement progress against these.

2.2 Labour conditions

Organizations shall commit to and provide fair/reasonable labour conditions for their workers. This section addresses various requirements which provide a basis for an organization to implement fair labour conditions and empower its workforce.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure the implementation of national labour regulations and applicable ILO conventions.
- A:** The organization shall implement a due diligence process to identify and assess related risks regarding working conditions belonging to:
 - 2.2.1 *Freedom of association and rights to collective bargaining (23)*
 - 2.2.2 *Remuneration and career training (24)*
 - 2.2.3 *Working hours and conditions (25)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

2.3 Occupational health and safety

Impacts on occupational health and safety (OHS) present a significant risk to the well-being of employees and to the economic success and reputation of an organization. This section sets out the requirements for OHS to address all significant risks, thus maintaining a functional working environment and promoting workplace safety.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure appropriate health and safety conditions at the workplace.
- A:** The organization shall implement a due diligence process to identify and assess related risks regarding OHS belonging to:
 - 2.3.1 *Measures to ensure workplace safety (26)*
 - 2.3.2 *Accidents at work, related impacts and actions (27)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

2.4 Safety and security

Besides occupational health and safety, organizations shall seek to implement safety and security measures in and outside their direct boundaries to prevent negative impacts on the community and individual safety as a result of the operation's activities. This section sets out the safety and security requirements to address all significant risks, thus promoting the acceptance of the operations and long-term safety within the community.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure appropriate safety and security conditions in and around the organization's boundaries.
- A:** The organization shall implement, together with its stakeholders, a due diligence process to identify and assess related risks regarding safety and security belonging to:
 - 2.4.1 *Access to operations (28)*
 - 2.4.2 *Use, mixing and handling of hazardous substances (29)*
 - 2.4.3 *Maintenance of structures (30)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

TOPIC 3 – Environmental Responsibility

Environmental Responsibility includes criteria that an organization should take into account when ensuring compliance with environmental performance, for instance, greenhouse gas emissions, waste management, and resource use and efficiency, as well as biodiversity and post-use of operational areas.

3.1 Emissions and waste

Most business activities lead to the production of waste, wastewater and/or emissions in order to provide goods or services. One of the main objectives of responsible production and processing is the prevention of emissions and waste. In addition, responsible production includes an organization's awareness and monitoring of its environmental impact, such as waste and airborne emissions. This section sets out the requirements for emissions & waste management in order to create a cost-efficient production process with reduced emissions.

Corresponding Requirements

- C:** The organization shall develop an environmental policy to ensure effective monitoring of emissions and waste streams.
- A:** The organization shall implement an environmental due diligence process to identify and assess related risks belonging to:
 - 3.1.1 *Air quality assessment and management (31)*
 - 3.1.2 *Waste and material assessment and management (32)*
 - 3.1.3 *Noise and vibration assessment and management (33)*
 - 3.1.4 *Greenhouse gas emissions (34)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

3.2 Resource use and efficiency

Sustainable resource management enables the reduction of significant negative socio-economic and environmental impacts. Sustainable resource management should thus be a top priority for every organization. This section outlines the requirements for responsible resource use and efficiency, enabling cost savings whilst reducing environmental impacts.

Corresponding Requirements

- C:** The organization shall develop a policy designed to ensure the responsible use of resources.
- A:** The organization shall implement a due diligence process to identify and assess related risks regarding resource use and efficiency belonging to:
 - 3.2.1 *Responsible exploitation of deposit (35)*
 - 3.2.2 *Withdrawal and management of water resources (36)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

3.3 Energy Input

Climate change is one of the biggest challenges worldwide. In order to mitigate climate change adequate energy management that optimises energy efficiency, reduces energy consumption and relies on renewable energy sources is a prerequisite.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure the efficient use of (renewable) energy sources.
- A:** The organization shall implement a due diligence process to identify and assess related risks regarding energy management belonging to:
 - 3.3.1 *Energy consumption (37)*
 - 3.3.2 *Additionality & correlation (38)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.

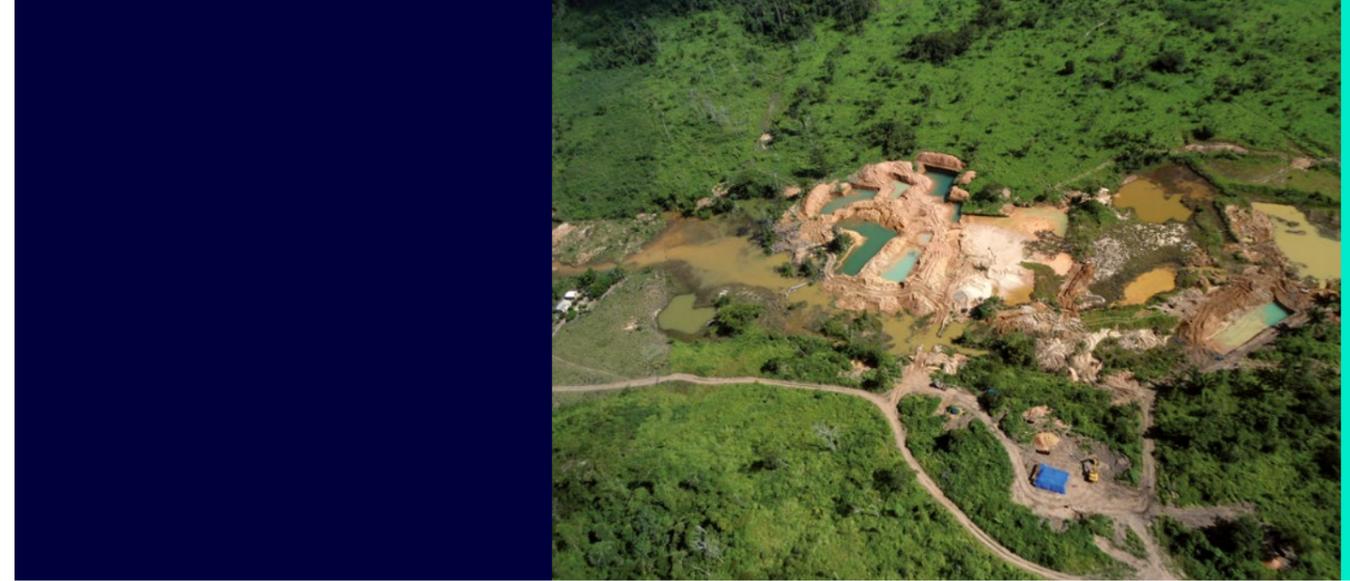
3.4 Biodiversity and closure

An organization's business activities may negatively affect an ecosystem's ability to function properly. The organization shall assess these effects on biodiversity and shall minimise them in order to prevent further biodiversity loss.

This section sets out the requirements for biodiversity management, reducing impacts on biodiversity and its ecosystems. In addition, a responsible operation means that long-term negative consequences for the environment are minimised after the end of the activities.

Corresponding Requirements

- C:** The organization shall develop a policy to ensure the preservation of biodiversity and sustainable closure for potential post-usage.
- A:** The organization shall implement a due diligence process to identify and assess related risks belonging to:
 - 3.4.1 *Biodiversity (39)*
 - 3.4.2 *Closure (40)*
- M:** The organization shall identify material key performance indicators and measure its performance against these.
- D:** The organization shall disclose key performance indicators and its improvement progress against these.



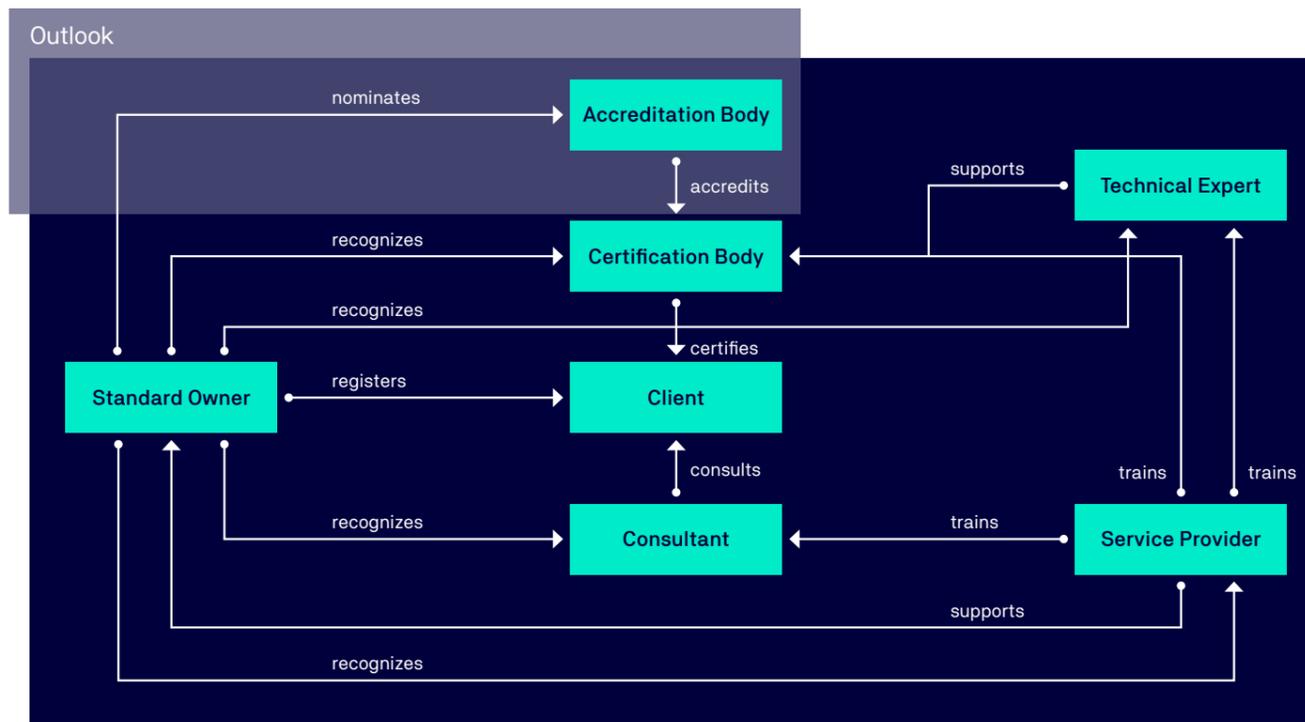


Assurance regulations

This chapter sets out criteria for the performance of CPS certification activities. Roles and responsibilities, the application and approval processes, and audit team competencies are defined.

Roles and Responsibilities

The following diagram shows the entities involved in the CPS certification process and their dependencies.



Standard Owner

The CERA 4in1 standard owner is TÜV NORD CERT GmbH (Germany). Once the CPS is successfully positioned in the market, it is planned to establish an accredited certification system, with the owner of the standard being a non-profit organization that recognizes official consultants and nominates accreditation bodies, which in turn accredit certification bodies.

Candidates / Client

Every organization looking for certification ("client") has one year to pass the initial certification. Within this year, the client evaluates the necessary resources for getting certified. If the client passes the initial certification it will be declared as certified CERA 4in1 organization and no longer as a candidate. If the client does not pass the initial certification, the client needs to restart the certification process until all non-conformities are solved. If the client does not start the certification process after one year, it loses candidate status.

Service Provider

CERA 4in1 service provider provides general training for certification bodies and its auditors, technical experts, consultants, and clients to ensure sufficient understanding of CERA 4in1's scope, structure, requirements, and certification. Moreover, the service provider supports the standard owner in e.g., standard maintenance and revision. In its function, the service provider does not offer any consultancy work that supports the client in getting certified or any audit work as auditor or technical expert.

Third parties

Every certification body, technical expert, and consultant can participate in CERA 4in1 if the necessary requirements are met.

Certification Bodies

The certification body verifies if all requirements of the CPS are met and issues the certificate.

Technical Experts

At least one technical expert must be part of the audit team. The technical expert supports the auditor with technical expertise to ensure the credibility and competence of CERA 4in1 audits. The technical expert and the auditor could be one person if both qualifications are met. This means that technical experts are not automatically auditors because further requirements are necessary.

Consultants

Consultants support the client in identifying gaps against CPS requirements, developing corrective and prevention measures to close these gaps, in capability training, developing improvement measures, and all in all helping the client to get certified.

Application and approval process

This chapter describes the application requirements and the criteria for approval of the entities involved in the CPS certification process.

Candidates / clients

A CERA 4in1 candidate/client sends a letter of intent to the CERA 4in1 standard owner stating its intention for CERA 4in1 certification. The CERA 4in1 standard owner registers the client and awards the candidate status.

Service Provider

The CERA 4in1 standard owner recognizes an official CERA 4in1 service provider if it has sufficient experience in CERA 4in1 certification and competence training methods. Service providers can sub-contract CERA 4in1 auditors, technical experts, or consultants for conducting training, if there is no conflict of interest and impartiality is observed, respectively the work as a service provider does not affect ongoing certification activities. For example, consultants train auditors while working for the same client and vice versa. The service provider is responsible for observing conflict of interest and impartiality. The CERA 4in1 standard can revoke the recognition of the service provider if the service provider does not observe both points.

Third parties

Third parties can be consultants, technical experts, including legal experts, auditors, translators, and interpreters. This list is not definitive and includes all non-administrative persons who participate in the certification process, regardless of their employment relationship/contract of employment. Third parties are trained by an official CERA 4in1 service provider and then recognized by the CERA 4in1 standard owner.

General obligations

Confidentiality:

All information entrusted by CERA 4in1 standard owner or the client to the third party in connection with a certification process remains in the property of the CERA 4in1 standard owner or the client. This information may be used only for the purpose of conducting an intended certification and must be under no circumstances made available to unauthorized third parties or reproduced or copied in any way. The information provided must be handled so that the necessary confidentiality is ensured.

Immediately after completion of the certification, any information provided (paper, data carriers etc.) must be returned to CERA 4in1 standard owner or the client or, if so required, must be destroyed in an appropriate manner. Internal organization information issued or made accessible during performance of a certification shall be subjected to the same rules unless explicitly written agreement to the contrary exists. Only the certification body that carried out the certification retains all the information necessary to maintain the certificate and carry out future audits.

Conflicts of interest:

Conflict of interest includes anything that, in fact, or in appearance, may create an incentive to report anything other than the true and accurate facts gathered during an audit.

To avoid conflict of interests, third parties conducting the certification process shall declare that they have not performed any kind of consultancy in the last 3 years before the audit in relation to the CPS requirement implementation at the legal entity to be audited or at another legal entity affiliated to the legal entity to be audited. They also declare that they have not conducted any internal audits or organization-specific in-house training regarding the implementation of CPS requirements in the aforementioned legal entities and that they shall not undertake any of the aforementioned activities within 3 years following the audit in the aforementioned legal entities. In addition to that:

- They are not subject to any conflict of interest arising from earlier or current relationships with the legal entity to be audited or its consultant.
- They will treat all information from the audit in a suitable manner, to avoid placing their confidentiality at unnecessary and inappropriate risk.

To avoid conflict of interests, third parties supporting the legal entity within the certification process by implementing the CPS requirements (e.g., consulting companies) shall declare that they have not performed any kind of audit related to a CERA 4in1 certification at the same legal entity to be consulted within the last 3 years. They also declare that they will not conduct an audit related to a CERA 4in1 certification within 3 years after the end of the consultation activity at the same legal entity. In addition to that, they treat all information from the audit in a suitable manner in order not to place their confidentiality at unnecessary and inappropriate risk.

Impartiality:

The third party conducting the certification process has to act impartially. Threats to impartiality may include but are not limited to the following.

- a. Self-interest: threats that arise from a person or body acting in their own interest. A concern related to certification, as a threat to impartiality, is financial self-interest. Direct financial participation in the legal entity to be audited usually constitutes a threat to impartiality (this does not apply to indirect participation in the form of funds etc.).
- b. Self-review: threats that arise from a person or body reviewing the work done by themselves. Auditing the CPS requirements of a client to whom the certification body provided consultancy would be a self-review threat.
- c. Familiarity (or trust): threats that arise from a person or body being too familiar with or trusting another person instead of seeking audit evidence.
- c. Intimidation: threats that arise from a person or body having a perception of being coerced openly or secretly, such as a threat to be replaced or reported to a supervisor.

With the acceptance of a certification order, the third party conducting the certification process confirms that it performs the process with the necessary independence and impartiality.

The third party conducting the certification process has an obligation to inform the CERA 4in1 standard owner if it sees a conflict of interest or any threats to impartiality. Appropriate measures shall be taken. This may include withdrawal from the certification order.

Special requirements for translators:

Translators shall have technical aptitude regarding the relevant technical vocabulary and a basic understanding of CERA 4in1 and the activities of the client.



Certification Bodies

Certification bodies are legal organizations that ensure compliance with CERA 4in1 criteria. Organizations looking for certification are allowed to select the certification body with whom they wish to work. All certification bodies participating in CERA 4in1 must meet the conditions listed below.

General Requirements

The certification bodies shall adhere to the following:

- All applicable requirements of ISO/IEC 17065, 17021, or a suitable national regulation.
- ISO 19011 is a standard that establishes rules for auditing the quality of management systems.

When requirements defined in ISO/IEC 17065, ISO/IEC 17021, ISO 19011, or other relevant standards are in conflict with CERA 4in1 requirements, the CERA 4in1 standards will prevail.

Recognition by a national authority or accreditors

All certification bodies must be recognized by the competent authorities in their country and/or accredited in line with DIN EN ISO/IEC 17065, ISO/IEC 17011, ISO/IEC 17021, or a relevant regulation. The latter two types of accreditation shall be conducted by members of the International Accreditation Forum (IAF), by bodies identified in Article 4 of Regulation (EC) 765/2008 or by bodies that can demonstrate bilateral agreements with the European Cooperation for Accreditation.

Responsibilities

The CERA 4in1 standard owner is responsible for the monitoring of standard compliance of Certification Bodies.

- Certification bodies adhere to all requirements and procedures established by CERA 4in1 standard owner for recognition and are subject to review of all related activities specified by the CERA 4in1 standard owner.
- Certification bodies acknowledge the CERA 4in1 standard owner's right to suspend or remove their recognition immediately if the certification body does not comply with the CERA 4in1 requirements or any condition imposed by CERA 4in1 standard owner.
- Certification bodies immediately notify CERA 4in1 standard owners of any feature of their operation that could jeopardize the implementation or compliance with CERA 4in1.
- Certification bodies will immediately notify the CERA 4in1 standard owner of any suspected misuse or exploitation of CERA 4in1 (e.g., trademarks, standards).

Independence, Neutrality and Confidentiality

Certification bodies conduct audits in compliance with the ISO 19011 standards.

Personal relationships, financial motivations, or other forms of influences shall have no bearing on assessments and conclusions. Certification bodies and their auditors are completely independent of their clients and can demonstrate this.

Certification bodies shall create written procedures for identifying and managing potential conflicts of interest that may arise during CERA 4in1 certification activities.

Certification bodies must guarantee that their operations do not jeopardize the confidentiality, neutrality, and impartiality of their regulatory body. Certification bodies shall not provide consultancy services defined in ISO 17021 for the organizations they certify.

Certification bodies must unambiguously define and make public their certification activities related to CERA 4in1.

Unless CERA 4in1 standard owner or the applicable law or national public authorities require differently, user-related documentation will be treated as confidential. Exceptions to confidentiality are significant audit results, which will be publicly available.

Application, Recognition and Publication

Certification bodies apply to collaborate with CERA 4in1. CERA 4in1 standard owner reviews the general requirements, the recognition by a national authority or accreditors as well as the independence, neutrality and confidentiality. The certification body must include evidence of its recognition or accreditation and any accompanying certificates with the application. Based on the review, the CERA 4in1 standard owner decides on whether to approve or deny the application.

CERA 4in1 standard owner approves the collaboration by entering into a written, legally binding contract developed by the CERA 4in1 standard owner. Certification bodies are recognized and authorized to conduct audits and issue certificates under CERA 4in1 only once CERA 4in1 standard owner receives the signed contract. An exemption to this regulation may be made only with prior written authorisation from CERA 4in1 standard owner. The certification body is responsible for maintaining the registration data. CERA 4in1 standard owner is notified if any of the above information changes.

Along with the recognition statement, CERA 4in1 standard owner submits all documents and information necessary for CERA 4in1 certification to the certification body. Moreover, the CERA 4in1 standard owner will publish the name, address, and emblem of any recognized certification body.



It is a prerequisite that the appointed auditors working for the certification body to conduct CERA 4in1 audits are trained by an official CERA 4in1 service provider regarding the CERA 4in1 system. The respective certification body is responsible for observing and monitoring the auditor training and making any information (e.g. training protocols) available upon request by the CERA 4in1 standard owner.

Technical Experts

Technical experts are recognized by the CERA 4in1 standard owner after training through an official CERA 4in1 service provider. The certification body selects technical experts for the audit team. As part of the audit team, the technical expert adheres to the same requirements as the auditors. The technical expert is responsible for ensuring the mining sector competence or any other relevant competence needed for the certification process.

Consultants

Consultants are recognized by the CERA 4in1 standard owner after training through an official CERA 4in1 service provider. The consultants are commissioned independently by the client, as they are not mandatory for CERA 4in1 certification. Therefore, apart from the general requirements for Third parties (p. 42), consultants have no further requirements or responsibilities.

Audit Performance and Regulations

General

Communication

Contact by a client is possible either online through the CERA 4in1 website, through the CERA 4in1 standard owner, or through CERA 4in1 recognized certification bodies. After the client's request, the client is informed about the content and basic procedure of the certification process, and all necessary contractual framework conditions are clarified.

Multi-site certification

The scope of a certificate is defined before the audit begins. However, the certificate is only valid for one operating site, consisting of several adjacent operations (e.g., open-pit mine and processing plant). For the certification of operating sites, overarching management documents, e.g. policies of the mother company, can be taken into account, but every operating site must fulfill the standard requirements for itself.

Publication of the audit report

At least the significant results must be published, which contain the status quo against the CPS requirements as well as the improvement measures of the client.

Determining Audit Time/Effort

Audit time and effort is calculated by applying the principle of the audit day calculation methodology provided by International Accreditation Forum (IAF). The specific CPS requirement may lead to an increase in audit time.

Audit team qualification

Within this chapter, the necessary qualifications of the audit team are described.

Composition of the audit team

The criteria for composing the audit team are:

- the audit must be performed under the leadership of a nominated lead auditor;
- the auditor must be accompanied by at least one technical expert with the respective technical sector competence for the scope of the certification. This technical expert could be an auditor if both competencies are given. This is also required for stage 1 audits;
- All involved persons employed for the audit team are impartial and free from conflict of interest.

The audit team leader is responsible for ensuring that competence is always present during the audit.

Competency of Auditors

The recognized certification body shall comply with all applicable CPS requirements to ensure that all individuals, subcontractors, and other entities (e.g., permanently employed or self-employed auditors, technical experts) engaged on its behalf in CPS auditing are knowledgeable about the applicable processes and documents.

The auditors must be registered at CERA 4in1 standard owner by name and provide evidence that they meet the qualifications outlined below.

When accompanied by references, confirmations, and/or other pertinent papers, CVs can serve as evidence of sufficient proficiency, professional expertise, and experience as an auditor. These must be documented and maintained by the respective certification body, updated on a regular basis, and made available to CERA 4in1 standard owner upon request. CERA 4in1 standard owner is authorized to refuse an application for registration or to revoke an existing authorization, particularly in the case of missing papers, insufficient auditor qualification, or concerns regarding conflict of interest.

The certification body shall establish a method to ensure that each auditor undertakes at least one audit against the CPS within two years to maintain system expertise. The certification body must ensure that auditors conducting CPS audits receive and comprehend system upgrades, corrections or changes to CERA 4in1 requirements as well as any critical communication from CERA 4in1 standard owner.

Further, the competence criteria include method-related, organizational, and technical knowledge and skills as described in Annex A.1 and A.2 of ISO/IEC 17021-1 are recommended. The auditors must have knowledge and skills in the following areas:

- specific management system standards / normative documents,
- processes of the certification body,
- client's business sector,
- client's products and processes
- language skills appropriate to all levels within the client's organization,
- audit principles, practices and techniques,
- audit management skills,
- presentation skills,
- interviewing skills,
- skills in recording notes and creating reports.

Professional and practical experience for Auditors

- Secondary education / professional competence and 3 years work experience or tertiary education and 2 years work experience both in a relevant discipline (Note 1)
- Auditing methodology, communication skills, and in-depth understanding of CPS
- Knowledge of standards, guidelines and sustainability aspects in the mining sector (Note 2)

Further competencies for CERA 4in1 audits by auditors or technical experts:

Along with the general requirements and credentials, at least one member of the audit team conducting evaluations on certification sites must at least possess the competencies listed below. This member may be a technical expert appointed to the audit team.

- University degree in a relevant discipline (Note 1)
- 2 years of professional experience in the related area (Note 3) required for audit scope
- Mining / processing / smelting / refining processes and methods depending on organization's operation
- National legislation relevant to the project area
- Knowledge about CPS and other standards and guidelines in the mining sector (Note 2)
- The supply chain of the respective output material that is produced by the organization to be certified due to potential supply chain risks
- ESG impacts of output material that is produced by the organization to be certified



NOTE 1

Potential disciplines:
Geology & mineral exploration / Resource & reserve estimation / Mine design & planning / Feasibility studies / Operational advice / Mining engineering & instrumentation / Mine closure & site remediation / Geotechnical & mechanical engineering / Extraction and processing / Rock mechanics / Ventilation & gas management / Water management / Waste disposal / Fire & explosion protection / Environmental protection / Climate protection / OHS safety & emergency preparedness / Community development services / International finance regulations / Local law

NOTE 2

Selection of standards or guidelines:
ILO conventions / UN Guiding Principles on Business and Human Rights / EITI / Dodd-Franc Act / Voluntary Principles on Security and Human Rights / OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas / Kimberly Process / EU Taxonomy / EU Battery Directive / EU principles for sustainable raw materials / EU Product Passport / IFC Performance Standards / ICGLR / ISO 9001/14001/45001 / SA8000 / OHSAS 18001 / iTSCi / IRMA / ICMM / TSM / RMI / RJC / Fairmined / GRI / ASI / CopperMark / ResponsibleSteel / LBMA / (inter-)national laws or guidelines related to the certification scope (e.g. OHS, biodiversity, GHG, land, water, tailings)

NOTE 3

Experience can be gained through the following areas:
Mine layout and extraction planning / Mining, processing, smelting, refining methods / Strata control / Rock mechanics: detailed planning of all mine workings / Mine ventilation, gas management, gas drainage & mine gas utilization / Support design and bulk materials engineering / Planning of infrastructure and logistics / Mine water management, mine drainage / Design of sedimentation basins and heaps / TSF design & monitoring / Cyanide and mercury management / Mine closure, abandoned mining & remediation / Resettlement & revenue payments / Environmental and social impact assessment / Preliminary economic assessment (PEA) / Scoping study / Pre-Feasibility Study / Bankable Feasibility Study / Mining methods analysis / Detailed engineering / Cost estimation, market survey & economics / Owner's Engineer / Project Management & Optimisation studies / Strategic studies & advice / Operational Health & Safety / Risk assessment strategies / Sustainability Management / Staff training / Deep shaft engineering / Strata control & rockburst prevention / Mineral transport & logistics engineering / Environmental and social impact assessment / Biodiversity and ecosystem management / Cultural heritage Assessment / Stakeholder screening and engagement / Disputes and conflict management / Indigenous people or tribal people engagement / Human rights due diligence / Community development programs / Responsible and green procurement strategy planning and reporting / Supplier mapping, due diligence assessment & training / Anti-bribery and corruption / ESG Performance improvement strategy planning / ESG advisory



**Certificate
for a better
Future**



Artisanal and small-scale mining

The CPS focuses on industrial organizations with at least the basic features of a management system that can be used for the implementation of CPS requirements. Within artisanal and small-scale mining (ASM), adequate management systems do not exist. Mining itself is sometimes done illegally, informally, and without operational safety, resulting in a serious risk to life. However, ASM is important for the livelihood of many families. Therefore CERA 4in1 aims to integrate ASM operations and support a formalisation of the sector by serving as a platform for other organizations, artisanal and small-scale mines, governmental authorities as well as the financial sector.

The integration of ASM into the CPS follows one criterion. If the organization to be certified has ASM activities within its supply chain, it is requested to fulfill Theme 1.5 Supply chain due diligence as well as to observe that the following additional CPS key aspects are controlled and monitored on the respective ASM site:

- 1.3.4 Illegal (mining) activities at the operating site
 - Licencing
- 2.1.4 Local community protection and development
 - Socio-cultural tensions
- 2.3.1 Measures to ensure workplace safety
 - Drugs and alcohol
- 2.4.3 Maintenance of structures
 - Rock failure

To facilitate this CPS compliance ASM standards are available to be used at ASM sites.



Glossary

Accreditation	Proof that an organization or person has sufficient competence in a specified field or area of expertise as well as operates with integrity, awarded by a duly recognized and respected accreditation body.
Accreditation body	The accreditation body is the signatory of an international Multilateral Recognition Arrangement (MLA) within the framework of EA (European Cooperation for Accreditation), PAC (Pacific Accreditation Cooperation), or IAF (International Accreditation Forum) and is recognised there.
Audit	Periodic on-site verification conducted to ascertain whether the requirements of the respective CERA 4in1 standard are being implemented.
Certification	The Formal procedure by which an accredited or authorized person or organization assesses, verifies and attests that another organization is in compliance with the specified requirements of the CERA 4in1 standard.
Certification body	An organization responsible for certifying another organization's compliance with the requirements of the respective CERA 4in1 standard. It authorizes auditors within the scope of the standard and is responsible for upholding the quality of the certification process.
Certification system	A certification system is a system that credibly demonstrates to third parties the conformity of a product or process with defined evaluation criteria.
Chain of Custody (CoC)	Chain of custody (CoC) refers to the chronological documentation or paper trail, showing the custody, control, transfer, analysis, and distribution of physical or electronic evidence associated with the movement of material as it is transferred from one organization to another in the supply chain.
Commodity	Recognised commercial name of a traded mineral output material within the value chain used to create products.
Downstream	The latter stages of the value chain that includes manufacturing and the conversion of the mineral raw material to the final product.
Event	An event is defined by a deviation from the desired state or activity, and it happens before the major damage has occurred. It can be managed by identifying risks that lead to the event's occurrence and undertaking preventive measures.

Implementation Details	The Implementation Details (ID) are customized documents used to implement the generally applicable requirements of the CPS in practice by considering the conditions of a specific mineral raw materials, its mining and processing steps, and the geographic region.
Key Aspects	Key aspects represent the essential components that the organizations must address in their assessment, monitoring, disclosure and improvement processes.
Mineral raw materials	Natural material that is extracted and processed from a deposit for industrial purposes, which could include a chemical element or a mineral.
Requirement	Each requirement provides information on how the CPS shall be implemented in practice.
Risk	A combination of the occurrence probability of the harm and its severity.
Stakeholder	Entity or individual who has the ability to influence or be affected by the organization's activities, products, and services.
Sustainability standard	A sustainability standard defines social, ecological and economic requirements for organizations to achieve a sustainable development of the business.
Themes	A theme defines a task or organizational section within a particular topic with reference to responsible operations.
Topic	Topics define the scope of sustainable development within CERA 4in1.
Traceability	Traceability is the ability to follow and verify the path (history/location) of a specified product throughout the supply chain using documented, recorded identification (based on ISO 8402).
Upstream	The upstream part of the value chain comprises the initial stages of mineral raw materials sourcing and processing (exploration & mine planning, mining, mineral processing, smelting, and refining).





TÜV NORD CERA 4in1 Performance Standard (CPS) – Certification of Raw Materials

[tuev-nord.de/en/company/
certification/services/
tuev-nord-cera-4in1-
performance-standard-cps/](https://tuev-nord.de/en/company/certification/services/tuev-nord-cera-4in1-performance-standard-cps/)

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