



# AIC Sustainable Commodities Scheme

## Module 1: alignment with EU Deforestation Regulation

28 November 2024

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# AIC Sustainable Commodity Scheme Rules

## 1. AIC Sustainable Commodities Scheme

1.1 The AIC Sustainable Commodities Scheme is a voluntary scheme developed, owned and implemented by the Agricultural Industries Confederation (AIC). The Scheme certifies that the sourcing of raw materials and products meets the requirements of the module(s) included within a Participant's scope of certification.

1.2 The AIC Sustainable Commodities Scheme is a Product Certification Scheme delivered by a Certification Body approved by AIC. A list of Participants is publicly available via the AIC website [www.agindustries.org.uk/sectors/trade-assurance-schemes.html](http://www.agindustries.org.uk/sectors/trade-assurance-schemes.html)

### 1.3 Food/ Feed Safety

It is a prerequisite of this Scheme that ALL raw materials/ feeds are ALSO certified under a feed safety Scheme recognised by AIC. For Participants in the Feed Sector, this Standard must be applied in addition to any feed safety Scheme recognised by AIC. Participants must contact the Certification Body to confirm that any feed safety certification that they are considering using to partner this Standard is recognised by AIC.

### 1.4 Certification

1.4.1 Certification against this Scheme is available to any Participant, who complies with the requirements of the modules included within their scope of certification.

1.4.2 To achieve certification against this Scheme, Participants must be assessed by the Certification Body and demonstrate compliance with the current version of the module(s) included within their scope of certification.

1.4.3 The Certification Body administers the Scheme and, in most cases, performs the on-site audits. However, a Participant may select, if they wish, an alternative organization to carry out the on-site audit activity from a list of approved Inspection Bodies appointed by the Certification Body for this purpose. The list of approved Inspection Bodies is available from the Certification Body.

1.4.4 All costs of certification are included in the annual fees charged by the Certification Body, with the exception of auditor travel and subsistence expenses and costs relating to extra/ immediate audits. A schedule of Scheme fees is available on the AIC website.

<https://www.agindustries.org.uk/sectors/trade-assurance-schemes.html>

## 1.5 Scheme Terminology and Format

The following terms are used throughout this Scheme:

**Requirement** – Mandatory standards with which Applicants and Participants must comply to achieve and maintain certification.

**Interpretation** – Specific means for Applicants and Participants to achieve the desired outcome of the associated Requirement. Applicants and Participants are expected to consider Interpretations and apply them as relevant to their business. Failure to follow interpretations, resulting in the desired outcome of the Requirement not being achieved, will lead to a non-conformance being raised against the requirement.

**Guidance** – Non-mandatory suggestions of useful tools and techniques for achieving and maintaining compliance or continuous improvement.

**Further information** – External sources of useful information, typically including references/ web links to documents or other sources of information.

## 2. AIC Sustainable Commodities Scheme Scope

The AIC Sustainable Commodities Scheme encompasses all the operations and activities of a Participant that may have a bearing on their compliance with the requirements of the module(s) specified within their scope of certification: from raw material procurement and supplier approval, through to the point at which any products are transferred to a third party. All products placed on the market by a Participant as compliant must be included in the certification scope or, with the agreement of the Certification Body, be clearly excluded

The presence of products outside of the certification scope (or other materials) on site must not adversely affect the certified products.

Audits will (as appropriate) include:

- The original selection and sourcing of raw materials and/or products by Participants
- All transport to and from the Participants premises or designated stores
- The process by which products are produced
- The storage of both raw materials and products
- Any offsite activities that may affect the compliance of products

## 3. Communication

The Participant must provide the Certification Body with an up-to-date electronic means of communication. This is preferably an email address. Where this is not possible a mobile telephone number must be provided.

## 4. Claims Associated with AIC Sustainable Commodities Certification

Participants who achieve successful certification against this AIC Sustainable Commodities Scheme are reminded that this is a product certification scheme. Claims of certification may only be made in relation to those products included within the scope of the AIC Sustainable Commodities Scheme Certificate of Conformity.

## 5. Confidentiality

All information concerning Applicants and Certified Participants will be treated in confidence. Specific information (such as details of individual audit reports) will not be divulged to any third party without the written agreement of the Applicant/ Participant. The exceptions are:

**5.1** The Certification Body and/ or AIC will confirm the Scheme ID number, name and address and confirm if the company is a certified Participant, along with the expiry date and scope of certification. These details are also available on the AIC website at [www.agindustries.org.uk/sectors/trade-assurance-schemes.html](http://www.agindustries.org.uk/sectors/trade-assurance-schemes.html)

**5.2** The provision of information to AIC in relation to audit findings and non-conformances as required to maintain the standards and credibility of the Scheme.

**5.3** In the event of a Participant being involved or implicated in a sustainability incident, (see section H of the module(s)) details may be discussed in confidence between representatives of AIC and The Competent Authority.

### **5.4** Auditor Confidentiality

Auditors are required to sign and comply with the confidentiality agreement provided by the Certification Body. During any contact with a Participant, Auditors must not share any confidential information regarding other participating businesses.

## 6. Becoming Certified to the AIC Sustainable Commodities Scheme

The AIC Sustainable Commodities Scheme is open to any company involved in the production and placing on the market of relevant products, subject to compliance with these Scheme Rules.

### **6.1** Application for Certification

In order to become a certified Participant, Applicants must:

**6.1.1** Apply for certification by completing an application form and returning it to the Certification Body.

**6.1.2** Identify their activities on the scheme application form. Any subsequent amendments to the activities of the Participant's business must be communicated to the Scheme Certification Body.

**6.1.3** Confirm that they agree to comply with the Scheme Rules, the current AIC Sustainable Commodities Scheme module(s) included in their scope of certification,

and Certification Body Terms and Conditions, by signing the Certification Agreement contained in the quotation and returning it to the Certification Body. The quotation will indicate the fees payable.

The duration of the audit is dictated by the time required to audit the activities as specified in the application form. Examples of audit durations and associated fees can be found on the AIC website:

<https://www.agindustries.org.uk/sectors/trade-assurance-schemes.html>

**6.1.4** Pay all relevant fees as per the quotation.

**6.1.5** Initial audits must be conducted within 6 months of the application date. Re-application will only be permitted at the discretion of the Certification Body.

**6.1.6** When the Applicant has been audited, has rectified any non-conformances that may have been identified and the corrective actions have been reviewed and approved by the Certification Body, the Certification Body will undertake a certification decision and issue a Certificate. The Participant's details will be supplied to AIC for publication in the AIC Assurance Checker <https://www.agindustries.org.uk/sectors/trade-assurance-schemes/trade-assurance-checker.html>

**6.1.7** The initial Certificate of Conformity will be valid for three years from the date on which the Applicant demonstrated conformance with the Scheme module(s) included in their scope of certification.

**6.1.8** By applying for certification, the Applicant agrees that, if accepted, they will maintain compliance with the requirements of the AIC Sustainable Commodities Scheme module(s) included in their scope of certification and any relevant associated documents.

**6.1.9** The Applicant or Participant will have no claim against any officers, members or employees of AIC in the event of Expulsion, Suspension or a lesser sanction and/ or the publication thereof as appropriate, nor have any claim against any of the above for any damages and/ or compensation or costs for any financial loss occasioned thereby.

## 7. Maintaining Certified Status

**7.1** Certificates will be valid for three years.

**7.2** Certification is maintained subject to:

- payment of all relevant fees to the Certification Body
- ongoing compliance with Scheme requirements, including demonstration of compliance at surveillance audits

**7.3** Participants will be contacted by a representative of the Certification Body prior to the anniversary of their Initial Audit to request that a renewal form is completed. The renewal form requests updated information on the Participant, scope of operation and management team and confirmation of the continued agreement to comply with the

AIC Sustainable Commodities Scheme Rules and Certification Body Terms and Conditions.

**7.4** Participants will be contacted prior to their audit due date to arrange a Surveillance Audit, which must take place within +/- 6 weeks of this date.

**7.5** Participants shall comply with the Scheme Requirements at all times as defined in the Scheme module(s) included in the Participant's scope of certification.

**7.6** Participants and Applicants must inform and obtain approval from the Certification Body in writing for any changes to the operation that may materially affect compliance with this Scheme and/ or the scope of certification.

**7.7** Participants shall advise the Certification Body of any significant changes to the business, typically but not limited to:

- Company ownership
- Key management, including contact details

**7.8** Participants and Applicants shall advise the Certification Body in the event of:

- any sustainability investigation by a Competent Authority resulting in Formal Action
- significant incidents on site (not limited to sustainability) that may:
  - adversely affect the ability to supply products compliant with the AIC Sustainable Commodities Scheme
  - restrict the ability of the Certification Body to carry out an audit (including unannounced or short notice audits)
  - damage the reputation of the AIC Sustainable Commodities Scheme

## 8. Verifying Compliance with the Scheme module(s)

**8.1** The Certification Body will assess a Participant's conformance with the Scheme module(s) included in scope of their certification. The Certification Body shall be given access to all relevant information needed to confirm conformance with those Scheme module(s) and the right to inspect third parties subcontracted to perform work covered by the Scheme module(s) at the Participant's cost. AIC Sustainable Commodities Scheme audits are not of fixed duration but are determined on a case-by-case basis.

There are a number of types of audit within the AIC Sustainable Commodities Scheme:

**8.1.1 Pre-Assessment** – (voluntary for new Participants). Pre-Assessments will evaluate a new Applicant's ability to meet the requirements of the AIC Sustainable Commodities Scheme module(s) included in their application. At the Certification Body's discretion, pre-audits will involve either an on-site or desk-top audit to confirm that appropriate controls are in place.

**8.1.2 Initial Audit** – A formal, in-depth, on-site audit to confirm that Applicants comply



with the requirements of the relevant AIC Sustainable Commodities Scheme module(s). The duration of Initial Audits is dictated by the time required to fully assess the systems and procedures of the Applicant. The number of days required will be indicated prior to audit but may be extended if circumstances require this. Certificates are only issued on satisfactory correction of all non-conformances identified at Initial Audit. The details and scope of certification for certified sites will be added to the AIC Assurance Checker. Businesses may be required to submit additional documentation after certification.

**8.1.3 Surveillance Audit** – annual audit for certified Participants to assess compliance with the requirements of the Scheme

**8.1.4 Short Notice Audit** – an audit carried out at least once during the three-year certificate period. The Participant will be informed the working day before the audit is to take place.

**8.1.5 Unannounced Audit** – A random selection of unannounced audits will be conducted to demonstrate the integrity of the Scheme

**8.1.6 Extra/ Immediate Audit** – The Certification Body will carry out extra/ immediate audits at their discretion; these audits may incur a cost and may be unannounced. Circumstances where they may be required include, but are not limited to:

8.1.6.1 In response to reports or intelligence suggesting a significant sustainability issue or breach of Scheme Rules and requirements

8.1.6.2 Current or emerging risks in the supply sector

8.1.6.3 Signing off action points following an audit, particularly if the action points relate to Major or Critical non-conformances.

**8.1.7 Supplier Audit** – an audit of a non-certified supplier of services, raw materials or products to the Participant carried out at the discretion of the Certification Body.

**8.2** Account is taken by the auditor during Unannounced and Short Notice Audits of the fact that key personnel may not be available, however, the continued operation in compliance with the AIC Sustainable Commodities Scheme is required.

### **8.3 Cancellation of Audits**

Where a Participant finds it necessary to cancel an audit, they must contact the Certification Body as soon as possible. A cancellation fee will be charged to cover irrecoverable costs as per the Certification Body terms and conditions.

### **8.4 Refusal of Audits**

Refusal to book an audit will result in suspension/ withdrawal of certification.

Refusal to allow a booked audit to be conducted will incur charges.

Refusal to accept a Short Notice or Unannounced Audit will result in the client being charged for the rescheduling of the Short Notice/ Unannounced Audit. Refusal to allow access for the rescheduled audit may result in suspension/ withdrawal of certification.

## 8.5 Classification of non-conformances

Classification	Cause
<b>Critical</b>	<p>A gross or deliberate regulatory violation, or;</p> <p>A failure in compliance resulting in the sustainability status of products being compromised, or;</p> <p>A loss of <b>traceability</b> such that <b>recall</b> of non-compliant goods would be impossible, or;</p> <p>A recurrence of a Major Non-conformance raised at the preceding audit, or;</p> <p>A complete unwillingness to cooperate during an audit.</p>
<b>Major</b>	<p>A complete failure to implement a requirement of the Scheme or a failure that may result in the loss of sustainability status, or;</p> <p>A recurrence of a Minor Non-conformance raised at the preceding audit.</p>
<b>Minor</b>	<p>A partial failure to implement a requirement of the Scheme or poor evidence to demonstrate implementation.</p>

## 8.6 Response to Non-conformances

Classification	At Initial Audit	At Surveillance, Short Notice, Unannounced or Extra/ Immediate Audit
<b>Critical</b>	<p>Certification refused. Full re-application and audit required.</p>	<p>Certification suspended with immediate effect. Extra audit required prior to reinstatement of certification.</p>
<b>Major</b>	<p>Certificate not granted until non-conformances rectified. Plan of corrective actions to be submitted within 15 calendar days of audit, and timescales for completion and submission of evidence to be agreed with the Certification Body. Verification of effectiveness of corrective action to be undertaken by Certification Body before certification is granted.</p>	<p>Certification continues subject to plan of corrective actions being submitted within 15 calendar days of audit, and timescales for completion and submission of evidence to be agreed with the Certification Body, typically no more than 60 calendar days from audit. Verification of effectiveness of corrective action to be undertaken by Certification Body before certification is maintained/ renewed. Failure to implement corrective actions and provide evidence to the Certification Body within agreed</p>

		timescales will lead to suspension.
<b>Minor</b>	Certificate not granted until non-conformances rectified. Plan/evidence of corrective actions to be submitted within 30 calendar days of audit, and timescales for completion and submission of evidence to be agreed with the Certification Body. Verification of effectiveness of corrective action to be undertaken by Certification Body before certification is granted.	Certification continues subject to plan/ evidence of corrective actions being submitted within 30 calendar days of audit, and timescales for completion and submission of evidence to be agreed with the Certification Body, typically no more than 60 calendar days from audit. Verification of effectiveness of corrective action to be undertaken by Certification Body before certification is maintained/ renewed. Failure to implement corrective actions and provide evidence to the Certification Body within agreed timescales will lead to suspension.

## 8.7 Observations

Observations may be raised during audits. These are points noted by an auditor that:

- Are not technical breaches of the Standard but could assist the Certification Body, Scheme Owner or Participant
- May constitute a non-conformance, but the auditor is unable to confirm this during the audit

Observations do not require a formal response to the Certification Body unless upgraded to a non-conformance during the report review.

## 8.8 Reporting

The Certification Body will produce a findings report at the end of the audit, identifying any non-conformances to the Participant. Any non-conformances will be classified as shown in para. 8.5 above and acted upon as stated in para. 8.6. When the Certification Body has accepted the report and reviewed and approved any corrective actions, the Certification Body will notify the client of their continuing certification or issue a Certificate, whichever is appropriate.

## 8.9 Report Review

Upon completion of an audit report, it will be submitted to the Certification Body for review. As part of this review process the Certification Body may, based on the evidence collected for the report:

- Seek additional information
- Remove non-conformance(s)
- Add additional non-conformance(s)
- Change the classification of non-conformance(s)
- Change the clause allocation of non-conformance(s)
- Change observation(s) to non-conformance(s) or vice versa

### **8.10 Central Office Activities**

When undertaking audits of Participants where some activities are managed centrally, it is important that information to allow these activities to be audited is available. At the discretion of the Certification Body this may be possible during the site audit (through video conferencing links) to allow staff responsible for these activities to be interviewed, or an additional audit may be required.

## **9. Suspension, Withdrawal and Reinstatement**

**9.1** The Certification Body, following discussions with AIC, may suspend/ withdraw a Participant's Certificate when the Participant has:

- Critical non-conformance(s).
- Non-conformances against the AIC Sustainable Commodities Scheme that are not resolved within the required time limits.
- Failed to supply the signed renewal agreement to the Certification Body by the audit date.
- Refused to undertake an audit as required by the Scheme.
- Refused or failed to supply information requested by the Certification Body as part of a sustainability investigation.
- Failed to pay relevant fees.
- Failed to comply with Scheme Rules or Certification Body Terms & Conditions.
- Been found to have brought the Scheme into disrepute.

### **9.2 Reinstatement of Certification following suspension**

**9.2.1** Participants suspended for non-conformance reasons must correct any non-conformances and have an extra audit by the Certification Body to confirm that all non-conformances have been fully resolved within 30 calendar days of suspension, in order to have their certification re-instated.

**9.2.2** Participants suspended for non-payment of fees or non-sustainability issues will be reinstated provided all matters are resolved within 30 calendar days of the suspension date.

### **9.3 Withdrawal of Certification**

**9.3.1** Participants that do not meet the requirements of the Certification Body to have their suspension lifted within 30 calendar days of suspension will have their

certificate(s) withdrawn.

**9.3.2** Companies that have their certificate withdrawn will be required to undergo the complete audit process and will be considered as new Applicants, subject to satisfactory evidence that any issue(s) which led to the certificate being withdrawn have been rectified.

**9.3.3** Participants that no longer require certification must inform the Certification Body in writing.

## **9.4 Communication Regarding Certification Status**

**9.4.1** Suspended and Withdrawn Participants may not claim to be certified. No new contracts may be agreed with purchasers that require certification until the suspension has been lifted or recertification has been successfully completed.

**9.4.2** Suspended and withdrawn Participants must notify any purchasers with whom they have existing contracts for both goods and services immediately on their change of status. The Certification Body will write to the Participant confirming the reason for suspension or withdrawal from the scheme and a copy of this letter must be provided to purchasers when notifying them of the change in status. Evidence of the notifications will be examined during the re-audit following suspension and compliance with this requirement will be a condition of reinstatement.

## **9.5 The AIC Assurance Checker**

Those companies that achieve AIC Sustainable Commodities Scheme certification are listed on the AIC Assurance Checker. The Checker includes details of the scope (including relevant modules) against which certificates have been granted. The Assurance Checker is publicly available via the AIC website at:

<https://www.agindustries.org.uk/sectors/trade-assurance-schemes.html>

The Certification Body will pass all necessary information to AIC to allow the AIC Assurance Checker to be updated with details of a Participant's changing certification status. The names of suspended and withdrawn Participants will also be published in the form of AIC Assurance Alerts.

## **10. Complaints**

Complaints about either an AIC Sustainable Commodities Scheme Participant or the Certification Body should be directed to the Certification Body where they will be acknowledged, reviewed and actions taken to resolve the cause of any problems.

The Certification Body is approved by AIC and works to strict codes of conduct. If Participants are not satisfied with the way in which the Certification Body handles the complaint, they should refer the matter to AIC.

## 11. Appeals

**11.1** A Participant has the right of appeal against decisions made by the Certification Body.

**11.2** Appeals shall be made in writing to the Certification Body within 14 days of being advised of the decision that is the subject of the appeal.

**11.3** The Certification Body will acknowledge the appeal and nominate a manager independent of the decision to carry out an investigation to check the merits of the appeal and feedback to the Participant(s).

## 12. Comments and Updates to this Standard

Updates to this Standard may be made from time to time. Any amendments will be notified to Participants and the latest version of the Standard will be available on the AIC website.

Comments regarding this Standard should be sent to AIC:

The Sustainability Scheme Manager  
First Floor, Unit 4  
The Forum  
Minerva Business Park  
Lynch Wood, Peterborough  
PE2 6FT  
United Kingdom

Confidential Draft for Consultation

## Definitions

For the purposes of this Scheme, the following definitions apply:

**Applicant:** A producer or processor seeking certification against this Scheme

**Chain of Custody:** Process by which inputs and outputs and associated information are transferred, monitored and controlled as they move through each step in the relevant supply chain.

**Check:** Monitoring and measuring of processes and products against policies, objectives and requirements for the product, with the reporting of results.

**Contamination:** The undesired introduction of impurities of a chemical or microbiological nature or of foreign matter during production, sampling, packaging or repackaging, storage or transport.

**Controlled Blending:** A system of blending raw materials/ products which maintains their traceability and certification status.(see AIC Sustainable Commodities Chain of Custody and Legality of Production Guidance)

**Conversion:** Change of a natural ecosystem to another land use or profound change in a natural ecosystem's species composition, structure, or function. Conversion includes severe degradation or the introduction of management practices that result in substantial and sustained change in the ecosystem's former species composition, structure, or function (Source: FEFAC Soy Sourcing Guidelines 2023 and The Accountability Framework).

<https://accountability-framework.org/operational-guidance/applying-the-definitions-related-to-deforestation-conversion-and-protection-of-ecosystems/>

**Corrective Action:** Any action to eliminate both a non-conformity and the cause of the non-conformity.

**Cross-Contamination:** Contamination of a material or product with another material or product that may adversely affect certification status

**Deforestation:** The conversion of forest to another land use or the long-term reduction of tree canopy cover below the 10% threshold.(FAO)

Further Information EUDR	<i>'The conversion of forest to agricultural use, whether human-induced or not.'</i>
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**Deforestation-free:** The relevant products contain, have been fed with or have been made using, relevant commodities that were produced on land that has not been subject to deforestation after 31 December 2020. (Regulation (EU) 2023/1115)

**Degradation:** Changes within a natural ecosystem that significantly and negatively affect its species composition, structure, and/or function and reduce the ecosystem’s capacity to supply products, support biodiversity, and/or deliver ecosystem services.

Degradation may be considered conversion if it:

- a) is large-scale and progressive or enduring;
- b) alters ecosystem composition, structure, and function to the extent that regeneration to a previous state is unlikely; or
- c) leads to a change in land use (e.g., to agriculture or other use that is not a natural forest or other natural ecosystem)

**Due Diligence:** In relation to a forest risk commodity, means a system for—

- a) identifying, and obtaining information about, that commodity,
- b) assessing the risk that relevant local laws were not complied with in relation to that commodity, and
- c) mitigating that risk.

**Feed (or Animal Feed):** Any Substance or product, including additives, whether processed, partially processed or unprocessed, intended to be used for oral feeding to animals. (Regulation (EC) No 178/2002)

**Forest:** Lands of more than 0.5 hectares, with a tree canopy cover of more than 10 percent, which are not primarily under agricultural or urban land use. (FAO)

<p><i>Further Information EUDR</i></p>	<p><i>REGULATION (EU) 2023/1115</i></p> <p><i>‘Land spanning more than 0.5 hectares with trees higher than 5 metres and a canopy cover of more than 10%, or trees able to reach those thresholds in situ, excluding land that is predominantly under agricultural or urban land use.’</i></p> <p><i>Draft Guidance Document for the EU Regulation (EU) 2023/1115 on Deforestation-free Products:</i></p> <p><i>‘According to Article 2 (4) of the EUDR an area is considered ‘forest’ if all the following characteristics apply:</i></p> <ul style="list-style-type: none"> <li>• <b>Land spanning more than 0.5 hectares</b> – This means that the area of trees described by the perimeter of canopy cover reaches 0.5 hectare or beyond.</li> <li>• <b>Trees higher than 5 metres</b> – this means that the top of the trees reaches the average height of 5 metres or more.</li> <li>• <b>Canopy cover of more than 10%</b> - This means that the ratio of the canopy cover of the trees forming the tree stand to the area occupied by the tree stand is more than 10%.</li> <li>• <b>Trees able to reach those thresholds in situ</b> – This means areas with young trees that have not yet reached</li> </ul>
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	<p><i>but expected to reach canopy cover 10% and tree height of 5 metres. It refers in particular to areas that are temporarily unstocked due to clear-cutting as part of a forest management practice or natural disasters, and which are expected to be regenerated.</i></p> <ul style="list-style-type: none"> <li>• <b>Excluding land that is predominantly under agricultural or urban land use</b> – <i>This means that the forest is determined both by the presence of trees and the absence of other predominant land use.</i></li> </ul> <p><i>The land spanning, the average height, and the canopy cover characteristics must be present simultaneously.’</i></p>
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**Geolocation:** The geographical location of a plot of land described by means of latitude and longitude coordinates corresponding to at least one latitude and one longitude point and using at least six decimal digits; for plots of land of more than four hectares used for the production of the relevant commodities other than cattle, this shall be provided using polygons with sufficient latitude and longitude points to describe the perimeter of each plot of land. (REGULATION (EU) 2023/1115)

**Local Law:** ‘relevant legislation of the country of production’ means the laws applicable in the country of production concerning the legal status of the area of production.

<p><i>Further Information EUDR</i></p>	<p><b>(REGULATION (EU) 2023/1115)</b> <i>‘relevant legislation of the country of production’ means the laws applicable in the country of production concerning the legal status of the area of production in terms of:</i></p> <ul style="list-style-type: none"> <li><i>(a) land use rights;</i></li> <li><i>(b) environmental protection;</i></li> <li><i>(c) forest-related rules, including forest management and biodiversity conservation, where directly related to wood harvesting;</i></li> <li><i>(d) third parties’ rights;</i></li> <li><i>(e) labour rights;</i></li> <li><i>(f) human rights protected under international law;</i></li> <li><i>(g) the principle of free, prior and informed consent (FPIC), including as set out in the UN Declaration on the Rights of Indigenous Peoples;</i></li> <li><b>(h) tax, anti-corruption, trade and customs regulations.</b></li> </ul>
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**Participant:** A producer or processor certified against this Scheme.

**Product:** Material produced by a Participant by manufacturing, processing or blending of raw materials.

**Purchaser:** The party supplied with the product by the Participant.

**Quality System:** An organised system of documented procedures, controls and practices with the specific purpose of ensuring that the standards intended by the company are met during the course of its activities.

**Raw Materials:** All materials used by Participants for manufacturing, processing or blending into finished products.

**Record:** A document providing evidence of a necessary action having been carried out.

**Risk:** A function of the probability of an adverse effect and the severity of that effect.

**Risk Analysis:** The process of collecting and evaluating information on risks to decide which are significant and therefore must be effectively managed.

**Safe for Consumption:** Products shall be deemed to be safe for consumption if they do not have an adverse effect on human or animal health when consumed and, in the case of feed, do not make the food derived from food-producing animals injurious to health or unfit for human consumption when used as intended and in accordance with normal practice.

**Segregation:** A chain of custody model in which specified characteristics of a material or product are maintained from the initial input to the final output. Addition of material with different characteristics and/or grade to the input is not allowed. Commonly, material from more than one source contributes to a chain of custody under the segregated model (Source ISO-22095).

**Site:** Factories / buildings sharing the same premises, under the same senior management control and involved in various stages of the same continuous process.

**Specification:** A list of tests, references to analytical procedures, and other criteria showing the numerical limits or ranges that must be met by a product for it to be deemed acceptable for its intended use.

**Supplier:** The external organisation or person that provides the raw materials or processed products from which the Participant will produce his own products or which the Participant will trade onwards without further processing.

**Traceability:** The ability to trace and follow a substance through all stages of production, processing and distribution.

**Validation:** Obtaining evidence of effectiveness.

**Verification:** The application of methods, procedures, tests and other evaluations to determine compliance.

# AIC Sustainable Commodities Scheme - Module 1 for alignment with EUDR

## Introduction to this module:

1. This module of the AIC Sustainable Commodities Scheme aims to avoid deforestation and land conversion in certificated supply chains by ensuring that:
  - No legal or illegal deforestation has taken place since 31st December 2020
2. The aim of this module of the AIC Sustainable Commodities Scheme is to align its requirements as much as possible with EUDR requirements and to provide guidance and support to Participants with regards to the implementation of EUDR.
3. Compliance with AIC certification requirements does not automatically guarantee compliance with EUDR. The relevant competent authorities retain the final decision on conformity with EUDR

<b>Section A General Requirements</b>	
<i>Interpretation</i>	Reference within this module to 'sustainable' relates specifically to the products and scope for which Applicants/ Participants are seeking certification/ are certified.
<b>A 1 Scheme and Legislative Requirements</b>	
A 1.1 Requirement	The Participant must have access to current copies of all relevant AIC Sustainable Commodities Scheme documents and implement all applicable requirements included in their scope of certification (including any changes or updates) by the effective date(s).
<i>Further Information EUDR</i>	<p><i>Commodities relevant to EUDR include the following and products derived from them:</i></p> <ul style="list-style-type: none"> <li>• <i>Cattle (including cattle fed on relevant commodities)</i></li> <li>• <i>Cocoa</i></li> <li>• <i>Coffee</i></li> <li>• <i>Oil Palm</i></li> <li>• <i>Soya</i></li> <li>• <i>Wood</i></li> </ul> <p><i>Regulation (EU) 2023/1115 Annex 1 lists the commodities in scope of the regulation</i></p>
A 1.2 Requirement	The Participant must meet contractual and relevant legal obligations and requirements in the supply chain in which they operate, in relation to the commodities included in their scope of certification against the AIC Sustainable Commodities Scheme.

Further Information EUDR	<p><b>Regulation (EU) 2023/1115, Article 2 Definitions:</b></p> <p>‘Relevant legislation of the country of production’ means the laws applicable in the country of production concerning the legal status of the area of production in terms of;</p> <ul style="list-style-type: none"> <li>(a) land use rights;</li> <li>(b) environmental protection;</li> <li>(c) forest-related rules, including forest management and biodiversity conservation, where directly related to wood harvesting;</li> <li>(d) third parties’ rights;</li> <li>(e) labour rights;</li> <li>(f) human rights protected under international law;</li> <li>(g) the principle of free, prior and informed consent (FPIC), including as set out in the UN Declaration on the Rights of Indigenous Peoples;</li> <li>(h) tax, anti-corruption, trade and customs regulations.’</li> </ul>
A 1.3 Requirement	All products placed on the market by the Participant as certified against this Scheme module must comply with relevant legislation in the country where it is placed on the market and any related purchaser policies/ requirements/ terms and conditions and/ or contractual agreements.
Further Information EUDR	<p><b>Regulation (EU) 2023/1115, Article 3 Prohibition :</b></p> <p>‘Relevant commodities and relevant products shall not be placed or made available on the market or exported, unless all the following conditions are fulfilled:</p> <ul style="list-style-type: none"> <li>(a) they are deforestation-free;</li> <li>(b) they have been produced in accordance with the relevant legislation of the country of production; and</li> <li>(c) they are covered by a due diligence statement.’</li> </ul>
A 1.4 Requirement	Participants in the Feed Sector must hold current certification against the relevant AIC Feed Safety Standard(s) or another feed safety scheme recognised by AIC.
A 1.5 Requirement	Participants must demonstrate that they have systems and procedures in place that ensure they remain up to date with legislation relevant to the products they supply.
A 1.6 Requirement	There must be a documented review of all legislation relevant to this Scheme module at least every 12 months.
Interpretation	<i>This may be included as part of the Management Review.</i>
<h2>A 2 Management Commitment</h2>	
A 2.1 Requirement	There must be a Policy Statement, endorsed by Senior Management, committing the Participant to compliance with the AIC Sustainable Commodities Scheme, and the provision of all resources necessary to do so.
A 2.2 Requirement	The Policy Statement must be reviewed at least every 12 months.
A 2.3 Requirement	The policy statement must be made publicly available.
Interpretation	<i>For example, via the Company website.</i>

A 2.4 Requirement	Controls must ensure compliance with this Scheme at all times.
A 2.5 Requirement	The Participant must establish, implement and maintain an effective documented management system in accordance with the requirements of this Scheme.
A 2.6 Requirement	The documented management system must be updated to comply with changes to legislation and other developments related to this Scheme, as they occur.
A 2.7 Requirement	There must be a designated and competent person(s) responsible for the implementation of the requirements of this Scheme.
A 2.8 Requirement	Management must provide adequate resources for the implementation and control of the systems and processes necessary to ensure compliance with the requirements of this Scheme.
A 2.9 Requirement	The Management Team must review at least every 12 months, evidence from internal and external sources to demonstrate the performance of the business against the requirements of the documented management system and its continuing suitability and effectiveness in meeting the requirements of this Scheme.
<i>Interpretation</i>	<p><i>Evidence may include, but is not limited to:</i></p> <ul style="list-style-type: none"> <li>• <i>Internal and external audits</i></li> <li>• <i>Complaints</i></li> <li>• <i>Incident corrective action</i></li> <li>• <i>Training and competence</i></li> <li>• <i>Internal procedures</i></li> <li>• <i>Changes to the business</i></li> <li>• <i>Changes to legislation</i></li> <li>• <i>Supplier performance</i></li> <li>• <i>Recall/ Withdrawal Exercise</i></li> <li>• <i>Traceability exercise</i></li> </ul>
A 2.10 Requirement	The management review of the management system must include opportunities for improvement in implementing a comprehensive approach to sustainable commodities.
<b>A 3 Organisational Chart</b>	
A 3.1 Requirement	There must be an organisational chart setting out job titles of those responsible within the Participant's business for compliance with this Scheme.
A 3.2 Requirement	The organisational chart must be kept up to date with any changes within the Participant's business.

## A 4 Communication with the Certification Body

A 4.1 Requirement	Participants and Applicants must inform and obtain approval from the Certification Body in writing for any changes to the operation that may materially affect compliance with this Scheme and/ or the scope of certification.
A 4.2 Requirement	Participants and Applicants must advise the Certification Body in writing of changes to business ownership or management contacts.
A 4.3 Requirement	Participants and Applicants must notify the Certification Body within 3 working days where a Competent Authority takes Formal Action in relation to the activities within their scope of certification.

## Section B Documents and Records

### B 1 Documents

B 1.1 Requirement	The Participant must establish and maintain documentation to implement the requirements of this Scheme.
B 1.2 Requirement	Changes to documents must only be made by designated and competent personnel.
B 1.3 Requirement	Changes to documents must be communicated to all relevant personnel.
B 1.4 Requirement	The title and purpose of the documents must be clear.
B 1.5 Requirement	Documents must be dated and only the current versions must be in use.

### B 2 Records

B 2.1 Requirement	All records must be legible and indelible.
B 2.2 Requirement	All records must demonstrate the actions taken, and when/ where they were completed.
<i>Interpretation</i>	<i>This should be sufficient to provide traceability and may include date, time and/ or location the record was created.</i>
B 2.3 Requirement	The name of the person making any entry, alteration or deletion must be identifiable.
B 2.4 Requirement	The nature of any change to a record must be clear, so that the original entry is still legible.
B 2.5	All relevant records must be retained for a period not less than five years.

Requirement	
Further Information	<i>Retention periods required by legislation or purchaser requirements may be significantly longer than this.</i>
B 2.6 Requirement	Records must be kept in suitable conditions to prevent deterioration and be easily retrievable.
Interpretation	<i>Participants should consider defining a retrieval time for records.</i>  <i>Participants should consider protecting electronic records from failures of IT systems.</i>
B 2.7 Requirement	The Participant need not hold all records relating to the requirements of this Scheme, but they must be capable of accessing such records, if required to do so.
<b>B 3 Internal Audit</b>	
B 3.1 Requirement	Participants must have a current plan for internal auditing, to ensure the documented management system is effective, implemented and up to date.
Interpretation	<i>This may include, but is not limited to:</i> <ul style="list-style-type: none"> <li>• <i>The requirements of this Scheme</i></li> <li>• <i>The Participant's documentation and records</i></li> <li>• <i>Forest Commodity legislation</i></li> <li>• <i>Activities and operations under the Participant's scope of certification</i></li> </ul>
B 3.2 Requirement	The internal audit(s) must be documented and effective, ensuring that all relevant activities are audited at least once every twelve months.
Interpretation	<i>An effective internal audit should as a minimum:</i> <ul style="list-style-type: none"> <li>• <i>collect evidence of compliance, as well as non-compliance</i></li> <li>• <i>record documents and records reviewed as part of the audit</i></li> <li>• <i>include evidence of follow-up actions.</i></li> </ul>
Guidance	<i>The internal audit may be more valuable if carried out at a different time of year to the annual external Scheme audit.</i>
B 3.3 Requirement	Findings from internal audits and any corrective actions must be recorded and completed in a timely manner to preserve compliance with this Scheme. The follow up must be effective and prevent recurrence.

## Section C Raw Materials/ Products and Raw Material/ Products Suppliers

### C1 Supply Chain Mapping and Due Diligence Risk Assessment

C1.1 Requirement	The Participant must have mapped/ documented their supply chain for each commodity within the scope of their certification.
Interpretation	<i>The movement of products from production at source, any transport, storage and processing through to despatch to purchaser should be identified and documented. This can be completed individually for each commodity within the scope of certification or as one supply chain mapping document.</i>
C1.2.1 Requirement	The Participant must have conducted a due diligence risk assessment on each of their supply chains to demonstrate all products within the scope of certification have been produced in alignment with EUDR requirements.
Interpretation	<p><i>The Due Diligence Risk Assessment should include, but not necessarily be limited to the following:</i></p> <ul style="list-style-type: none"> <li>• <i>Origin of raw materials/ products</i></li> <li>• <i>Product-specific risks</i></li> <li>• <i>Relevant certifications</i></li> <li>• <i>Evidence of legal compliance where raw materials/ products were produced</i></li> <li>• <i>Complexity of supply chain</i></li> <li>• <i>Risk of contamination with non-compliant products during Transport, Storage, Processing and Handling</i></li> </ul>
Further Information EUDR	<p><b>Regulation (EU) 2023/1115, Article 4 Obligation of operators :</b></p> <p><i>‘1. Operators shall exercise due diligence in accordance with Article 8 prior to placing relevant products on the market or exporting them in order to prove that the relevant products comply with Article 3.’(see A 1.3 above)</i></p> <p><i>‘2. Operators shall not place relevant products on the market or export them without prior submission of a due diligence statement. Operators who, on the basis of the due diligence exercised in accordance with Article 8, conclude that the relevant products comply with Article 3 shall, before placing the relevant products on the market or exporting them, make available a due diligence statement to the competent authorities through the information system referred to in Article 33. Such electronically available and transmittable due diligence statement shall contain the information set out in Annex II for the relevant products and a declaration by the operator that the operator exercised due diligence and that no or only a negligible risk was found.’</i></p> <p><b>Regulation (EU) 2023/1115, Article 8 Due diligence :</b></p> <p><i>‘1. Prior to placing relevant products on the market or exporting them, operators shall exercise due diligence with regard to all relevant products supplied by each particular supplier.</i></p> <p><i>2. The due diligence shall include:</i></p>



- (a) the collection of information, data and documents needed to fulfil the requirements set out in Article 9;
- (b) risk assessment measures as referred to in Article 10;
- (c) risk mitigation measures as referred to in Article 11.’

**Regulation (EU) 2023/1115, Article 9 Information requirements :**

‘1. Operators shall collect information, documents and data which demonstrate that the relevant products comply with Article 3. For this purpose, the operator shall collect, organise and keep for five years from the date of the placing on the market or of the export of the relevant products the following information, accompanied by evidence, relating to each relevant product:

(a) a description, including the trade name and type of the relevant products as well as, in the case of relevant products that contain or have been made using wood, the common name of the species and their full scientific name; the product description shall include the list of relevant commodities or relevant products contained therein or used to make those products;

(b) the quantity of the relevant products; for relevant products entering or leaving the market, the quantity is to be expressed in kilograms of net mass and, where applicable, in the supplementary unit set out in Annex I to Council Regulation (EEC) No 2658/87 ( 20 ) against the indicated Harmonised System code, or, in all other cases, the quantity is to be expressed in net mass or, where applicable, volume or number of items; a supplementary unit is applicable where it is defined consistently for all possible subheadings under the Harmonised System code referred to in the due diligence statement;

(c) the country of production and, where relevant, parts thereof;

(d) the geolocation of all plots of land where the relevant commodities that the relevant product contains, or has been made using, were produced, as well as the date or time range of production; where a relevant product contains or has been made with relevant commodities produced on different plots of land, the geolocation of all different plots of land shall be included; any deforestation or forest degradation on the given plots of land shall automatically disqualify all relevant commodities and relevant products from those plots of land from being placed or made available on the market or exported; for relevant products that contain or have been made using cattle, and for such relevant products that have been fed with relevant products, the geolocation shall refer to all the establishments where the cattle were kept; for all other relevant products of Annex I, the geolocation shall refer to the plots of land;

(e) the name, postal address and email address of any business or person from whom they have been supplied with the relevant products;

(f) the name, postal address and email address of any business, operator or trader to whom the relevant products have been supplied;

(g) adequately conclusive and verifiable information that the relevant products are deforestation-free;

(h) adequately conclusive and verifiable information that the relevant commodities have been produced in accordance with the relevant legislation of the country of production, including any arrangement conferring the right to use the respective area for the purposes of the production of the relevant commodity.

2. The operator shall make available to the competent authorities upon request the information, documents and data collected under this Article.’

**Regulation (EU) No 995/2010, Article 10 Risk assessment :**

*‘1. Operators shall verify and analyse the information collected in accordance with Article 9 and any other relevant documentation. On the basis of that information and documentation, the operators shall carry out a risk assessment to establish whether there is a risk that the relevant products intended to be placed on the market or exported are non-compliant. Operators shall not place the relevant products on the market or export them, except where the risk assessment reveals no or only a negligible risk that the relevant products are non-compliant.*

*2. The risk assessment shall take into account, in particular, the following criteria:*

- (a) the assignment of risk to the relevant country of production or parts thereof in accordance with Article 29;*
- (b) the presence of forests in the country of production or parts thereof;*
- (c) the presence of indigenous peoples in the country of production or parts thereof;*
- (d) the consultation and cooperation in good faith with indigenous peoples in the country of production or parts thereof;*
- (e) the existence of duly reasoned claims by indigenous peoples based on objective and verifiable information regarding the use or ownership of the area used for the purpose of producing the relevant commodity;*
- (f) prevalence of deforestation or forest degradation in the country of production or parts thereof;*
- (g) the source, reliability, validity, and links to other available documentation of the information referred to in Article 9(1);*
- (h) concerns in relation to the country of production and origin or parts thereof, such as level of corruption, prevalence of document and data falsification, lack of law enforcement, violations of international human rights, armed conflict or presence of sanctions imposed by the UN Security Council or the Council of the European Union;*
- (i) the complexity of the relevant supply chain and the stage of processing of the relevant products, in particular difficulties in connecting relevant products to the plot of land where the relevant commodities were produced;*
- (j) the risk of circumvention of this Regulation or of mixing with relevant products of unknown origin or produced in areas where deforestation or forest degradation has occurred or is occurring;*
- (k) conclusions of the meetings of the Commission expert groups supporting the implementation of this Regulation, as published in the Commission’s expert group register;*
- (l) substantiated concerns submitted under Article 31, and information on the history of non-compliance of operators or traders along the relevant supply chain with this Regulation;*
- (m) any information that would point to a risk that the relevant products are non-compliant;*
- (n) complementary information on compliance with this Regulation, which may include information supplied by certification or other third-party verified schemes, including voluntary schemes recognised by the Commission under Article 30(5) of Directive(EU) 2018/2001 of the European Parliament and of the Council ( 21 ), provided that the information meets the requirements set out in Article 9 of this Regulation.*

*3. Wood products which fall within the scope of Regulation (EC) No 2173/2005 that are covered by a valid FLEGT license from an operational licensing scheme shall be deemed to comply with Article 3, point (b), of this Regulation.*

	<p>4. The operators shall document and review the risk assessments at least on an annual basis and make them available to the competent authorities upon request. Operators shall be able to demonstrate how the information gathered was checked against the risk assessment criteria set out in paragraph 2 and how they determined the degree of risk.’</p> <p><b>Regulation (EU) 2023/1115, Article 11 Risk mitigation:</b></p> <p>‘1. Except where a risk assessment carried out in accordance with Article 10 reveals that there is no or only a negligible risk that the relevant products are non-compliant, the operator shall, prior to placing the relevant products on the market or exporting them, adopt risk mitigation procedures and measures that are adequate to achieve no or only a negligible risk. Such procedures and measures may include any of the following:</p> <p>(a) requiring additional information, data or documents;</p> <p>(b) carrying out independent surveys or audits;</p> <p>(c) taking other measures pertaining to information requirements set out in Article 9. Such procedures and measures may also include supporting compliance with this Regulation by that operator’s suppliers, in particular smallholders, through capacity building and investments.</p> <p>2. Operators shall have in place adequate and proportionate policies, controls and procedures to mitigate and manage effectively the risks of non-compliance of relevant products identified. Those policies, controls and procedures shall include:</p> <p>(a) model risk management practices, reporting, record-keeping, internal control and compliance management, including the appointment of a compliance officer at management level for non-SME operators;</p> <p>(b) an independent audit function to check the internal policies, controls and procedures referred to in point (a) for all non-SME operators.</p> <p>3. The decisions on risk mitigation procedures and measures shall be documented, reviewed at least on an annual basis and made available by the operators to the competent authorities upon request. Operators shall be able to demonstrate how decisions on risk mitigation procedures and measures were taken.’</p> <p><b>Regulation (EU) 2023/1115, Article 13 Simplified due diligence :</b></p> <p>‘1. When placing relevant products on the market or exporting them, operators shall not be required to fulfil the obligations under Articles 10 and 11 where, after having assessed the complexity of the relevant supply chain and the risk of circumvention of this Regulation or the risk of mixing with products of unknown origin or origin in high-risk or standard-risk countries or parts thereof, they have ascertained that all relevant commodities and relevant products have been produced in countries or parts thereof that were classified as low risk in accordance with Article 29. In such cases, the operator shall make available to the competent authority upon request relevant documentation demonstrating that there is a negligible risk of circumvention of this Regulation or of mixing with products of unknown origin or origin in high-risk or standard-risk countries or parts thereof.’</p>
C1.2.2 Requirement	These due diligence risk assessment(s) must be reviewed on an annual basis and in the event of any circumstances relevant to the requirements of this Scheme.

<b>C 2 Raw Materials/ Products and Raw Material/ Product Suppliers</b>	
C 2.1 Requirement	There must be a designated and competent person(s) responsible for the selection and approval of raw materials/ products and raw material/ product suppliers.
Interpretation	<i>Feed materials should additionally be certificated in their own right against a Feed Safety Scheme recognised by AIC or be managed by the Participant in accordance with the requirements of the relevant AIC Feed Safety Standard.</i>
C 2.2 Requirement	The Participant must have an effective system to approve all raw materials/ products and raw material/ product suppliers to ensure sustainability is not compromised.
C 2.3 Requirement	There must be a documented risk assessment in relation to deforestation risk for each raw material/ product and raw material/ product supplier, carried out prior to use.
Interpretation	<p>Assessment may include, but is not necessarily limited to:</p> <ul style="list-style-type: none"> <li>• Certification status</li> <li>• Origin</li> <li>• Transport</li> <li>• Storage</li> <li>• Processing</li> <li>• Handling systems</li> <li>• Risk from contamination with non-compliant products</li> </ul>
Interpretation	<i>Where raw material/ product approval includes reliance upon the raw material/ product being ‘assured against a scheme(s) recognised by AIC’, the approval system should ensure that all stages in the supply chain outside of the supplier’s scope are also considered.</i>
Further Information	See the AIC website for the current list of sustainability schemes recognised by AIC: <a href="https://www.agindustries.org.uk/sectors/trade-assurance-schemes.html">https://www.agindustries.org.uk/sectors/trade-assurance-schemes.html</a>
<b>C 3 Respect for Land Rights and Traditional Land Use</b>	
C 3.1 Requirement	Raw materials/ products must originate only from farms/ locations that have evidence confirming their right to use the land from which they operate.
Interpretation	<i>Evidence of the rights to use land include but are not limited to: ownership documents endorsed by local/ national government, rental agreements confirming the rights of the renting body, court orders.</i>
C 3.2 Requirement	Raw materials/ products must originate only from farms/ locations where, prior to any new acquisition or development of land that may affect Indigenous Peoples or Local Communities (IPLC), the free, prior and informed consent of the affected IPLC is secured.
Further Information EUDR	<i>Regulation (EU) 2023/1115 Article 9: h) adequately conclusive and verifiable information that the relevant commodities have been produced in accordance with the relevant legislation of the country of production,</i>

	<i>including any arrangement conferring the right to use the respective area for the purposes of the production of the relevant commodity</i>
<b>C 4 Land Use and Environmental Protection</b>	
C 4.1 Requirement	Raw materials/ products must not be sourced from farms/ locations/plots of land where land has been legally or illegally deforested since 31 <sup>st</sup> December 2020 or the date mentioned in national legislation, whichever is earlier.
C 4.2 Requirement	All raw materials/ products must originate only from farms/ locations/ plots of land where areas assigned as legal reserves, conservation areas or subject to other legal protection, have been preserved unharmed since 31 <sup>st</sup> December 2020.
C 4.3 Requirement	Where any legal requirements for preserved areas on supplying farms/ locations/ plots of land were contravened prior to 31 <sup>st</sup> December 2020, any affected area must be subject to a programme of restoration to its former state.
C 4.4 Requirement	Raw materials must be sourced only from farms/ locations/ plots of land where any areas of natural vegetation around bodies of water (riparian vegetation and flood plains) are being maintained or restored.
C 4.5 Requirement	Raw materials must be sourced only from farms/ locations/ plots of land where any areas of natural vegetation in locations sensitive to erosion (steep slopes and hills) are being maintained or restored.
C 4.6 Requirement	Raw materials must be sourced only from farms/ locations/ plots of land where any wetlands are protected.
C 4.7 Requirement	Raw materials must be sourced only from farms/ locations/ plots of land where any rare, threatened, or endangered wildlife species on the farm/ location is being protected.
C 4.8 Requirement	Raw materials must be sourced only from farms/ locations/ plots of land where native vegetation is maintained and safeguarded to provide habitat for wildlife species.
C 4.9 Requirement	There must be maps available showing the relevant areas where native vegetation is either being preserved or allowed to recover.
<b>C 5 Raw Material Supplier Approval</b>	
C 5.1 Requirement	The specification and technical requirements of all raw materials must be documented and agreed with the supplier(s).
C 5.2 Requirement	A list/ database of current approved raw materials and raw material suppliers must be maintained by the Participant and made available to all relevant personnel and sites. The list/ database must include, where appropriate, details of each supplier's relevant certification.

C 5.3 Requirement	Where the risk assessment relies upon suppliers of raw materials being certified, there must be a system in place to verify the current certification status of the suppliers when entering and executing a contract or agreement.
<i>Interpretation</i>	<i>The Participant should be able to demonstrate how appropriate personnel are made aware of any suspensions or withdrawals from all relevant certification schemes.</i>
C 5.4 Requirement	If a supplier of raw materials who is assured against a scheme recognised by AIC has their certification suspended or withdrawn during the execution of a contract or agreement, the Participant must: <ul style="list-style-type: none"> <li>• Establish the reason for suspension or withdrawal with the supplier</li> <li>• Take immediate steps to ensure that sustainability and feed safety compliance have not been compromised</li> <li>• Review the risk assessment that approved the supplier</li> </ul>

## Section D Merchanting of Products

### D 1 Approval of Products

D.1.1 Requirement	There must be a designated and competent person(s) responsible for the selection and approval of products within the scope of certification.
D1.2 Requirement	Approved suppliers of feeds within the scope of certification must additionally be certificated in their own right against a Feed Safety Scheme recognised by AIC.
D1.3 Requirement	The Participant must have an effective system to approve suppliers of products within the scope of certification.
D 1.4 Requirement	The approval system must ensure that suppliers of products within the scope of certification meet the requirements of EUDR.
D1.5 Requirement	Where the Participant relies upon suppliers of products being certified, the approval system must ensure that the products supplied are covered by the scope of the suppliers' certification.
D1.6 Requirement	There must be a system in place to verify the current sustainability status of the suppliers when entering and executing a contract or agreement.
<i>Interpretation</i>	<i>The Participant should be able to demonstrate how appropriate personnel are made aware of any suspensions or withdrawals from all relevant assurance schemes.</i>
D1.7 Requirement	If a supplier of products within the scope of certification who is certified to a scheme recognised by AIC has their certification suspended or withdrawn during the execution of a contract or agreement, the Participant must: <ul style="list-style-type: none"> <li>• Cease merchanting of the products</li> <li>• Establish the reason for suspension or withdrawal with the supplier</li> </ul>



	<ul style="list-style-type: none"> <li>• Take immediate steps to ensure that neither sustainability nor feed safety compliance (where applicable) have been compromised</li> <li>• Inform the Certification Body of the suspension/ withdrawal and the outcome of the investigation</li> <li>• Not restart merchandising of the products until permission is received from the Certification Body and certification is reinstated</li> </ul>
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<b>Section E Suppliers of Contracted Services</b>	
<b>E 1 Selection and Approval of Suppliers of Contracted Services</b>	
E 1.1 Requirement	There must be a designated and competent person(s) responsible for the selection and approval of suppliers of contracted services that may affect sustainability status.
<i>Interpretation</i>	<p><i>Contractors which may affect sustainability status include but are not limited to providers of:</i></p> <ul style="list-style-type: none"> <li>• <i>Transport</i></li> <li>• <i>Storage</i></li> <li>• <i>Processing</i></li> <li>• <i>Packing</i></li> </ul> <p><i>For the purposes of this Scheme, contracted processors include third parties who provide: grinding, pelleting, cleaning, screening, packing, de-packaging and any other activity requiring the use of mechanical equipment.</i></p>
E 1.2 Requirement	Where services are provided by third parties, a documented risk assessment must be carried out, unless the third party is certified in their own right to a sustainability scheme recognised by AIC.
<i>Interpretation</i>	<p><i>The risk assessment should include, but is not necessarily limited to:</i></p> <ul style="list-style-type: none"> <li>• <i>Compliance with relevant sustainability regulations</i></li> <li>• <i>Origin (including regulatory regime and environmental impacts)</i></li> <li>• <i>Transport</i></li> <li>• <i>Storage</i></li> <li>• <i>Processing</i></li> <li>• <i>Handling systems (including potential contact with other commodities)</i></li> <li>• <i>Risk of contamination</i></li> </ul>
<i>Further Information</i>	See the AIC website for the current list of sustainability schemes recognised by AIC: <a href="https://www.agindustries.org.uk/sectors/trade-assurance-schemes.html">https://www.agindustries.org.uk/sectors/trade-assurance-schemes.html</a>
E 1.3 Requirement	The Participant must have an effective system to approve suppliers of contracted services to ensure compliance with this Scheme is not compromised.

E 1.4 Requirement	The approval system must ensure that non-certified contracted processors provide evidence of any necessary environmental approval from the relevant competent authority(ies).
E 1.5 Requirement	All bulk stores contracted by the Participant for storage of bulk raw materials and/ or products must be certificated to a storage scheme listed on the 'Service Supplier schemes (including haulage and storage schemes) recognised by AIC', other than as identified in clause E 1.6 below.
E 1.6 Requirement	Where the Participant wishes to use a bulk store that is not currently certified to a storage scheme listed on the 'Service Supplier schemes recognised by AIC', the Participant must apply to the Certification Body and have the store added to their scope of certification.
E 1.7 Requirement	The Participant must have a written agreement with all third-party providers of haulage, storage, processing and packing, identifying each party's responsibilities in maintaining compliance with this Scheme.
E 1.8 Requirement	The Participant must provide sufficient information to providers of transport and storage to ensure that compliance with this Scheme and traceability are maintained.
<b>E 2 Management of Bulk Rail or Water Transport</b>	
E 2.1 Requirement	The Participant must have a written agreement(s) for all cargoes transported by water or rail, identifying each party's responsibilities in maintaining compliance with this Scheme.
<i>Interpretation</i>	<i>This should include parties responsible for loading/ unloading facilities, supervision of loading/ unloading, chartering of vessels/ rail cars, traceability controls.</i>  <i>Requirements for bulk rail or water transport include the use of international containers or ISO tanks for transport of bulk commodities.</i>
E 2.2 Requirement	Where the Participant is responsible for chartering the vessel/ rail cars, there must be an effective system to ensure compliance with this Scheme is maintained.
E 2.3 Requirement	Where the Participant loads and/ or discharges raw materials/ products into/ from vessels/ rail cars, or contracts a third party to do so, there must be an effective system to ensure compliance with this Scheme is maintained.
<i>Interpretation</i>	<i>This system should include, but is not limited to, appointing a Cargo Superintendent(s) from an inspection company(ies) listed on the 'Service Supplier schemes recognised by AIC', or other designated and competent person(s).</i>



## Section F Sales and Transmission of Relevant Information

### F 1 Sales Contracts/ Agreements/ Products Specifications

F 1.1 Requirement	<p>Each product must have a documented specification that is made available to purchasers and potential purchasers on request. The specification must include:</p> <ul style="list-style-type: none"> <li>• precise identification of the products supplied including any definition in relevant legislation</li> <li>• country of origin (for processed products the country of origin of the raw materials from which the product is derived)</li> <li>• country where the product was produced</li> <li>• sustainability status</li> </ul>
Interpretation	<i>Sustainability status should indicate the relevant sustainability schemes, recognised by AIC, under which raw materials and products are certified.</i>
Further Information EUDR	<p><b>EU Regulation (EU) 2023/1115, Article 4 Obligation of operators:</b></p> <p><i>‘7. Operators shall communicate to operators and to traders further down the supply chain of the relevant products they placed on the market or exported, all information necessary to demonstrate that due diligence was exercised and that no or only a negligible risk was found, including the reference numbers of the due diligence statements associated to those products.’</i></p>
F 1.2 Requirement	Specifications must be reviewed when any relevant changes take place.
F 1.3 Requirement	There must be an agreement between the Participant and the purchaser. This may be provided as a documented contract or confirmation email.
F 1.4 Requirement	Products must be sold in accordance with agreed specifications.
F 1.5 Requirement	Where required, geolocation information for production site(s) and/or due diligence statement (s) must be recorded.
<b>F 2 Labelling and Identification</b>	
F 2.1 Requirement	Delivery documents must be clear and unambiguous.
F 2.2 Requirement	All labelling information required by regulations must be included on documents accompanying bulk products or on labels attached to product packaging.
F 2.3 Requirement	All products supplied as certified under the AIC Sustainable Commodities Scheme must show confirmation of the scheme ID number and module(s) to which they are certified, either on the package label or on accompanying delivery documents.

<i>Interpretation</i>	e.g. 'AIC Sustainable Commodities Scheme Assured – XXXXX' (where 'XXXXX' is the Participant's AIC Sustainable Commodities Scheme ID) against the EUDR module', as per scope of certification.
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## Section G Operations – Intake, Storage, Processing and Despatch

### G 1 Intake

G 1.1 Requirement	Operations must be planned, scheduled and controlled by a designated and competent person(s), to ensure sustainability status is maintained.
G 1.2 Requirement	The quantity of each sustainable raw material and product must be recorded.
G 1.3 Requirement	A designated and competent person(s) must be available to inspect, approve/ reject and supervise the unloading and intake of bulk and packaged raw materials/ products.
G 1.4 Requirement	Documentation accompanying any products at intake must be checked by a designated and competent person to ensure it is correct and matches the booked raw material/ product intake.

### G 2 Storage & Processing

G 2.1 Requirement	Raw materials, intermediate products and products within the scope of the AIC Sustainable Commodities Scheme must be clearly separated, identifiable and traceable.
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G 2.2 Requirement	Stock control measures must be documented and adequate to ensure that raw materials, intermediate products and products can be fully accounted for at all times.
<i>Interpretation</i>	<i>Participants should be able to provide credible reconciliations at all times, which will validate any quantities of materials claimed as sustainable under the AIC Sustainable Commodities Scheme.</i>
G 2.3 Requirement	Wherever raw materials/ products are mixed with products that cannot be demonstrated as being compliant with this module, or with products whose status is unknown, the resulting mixture must be considered non-compliant and must not be sold as certified under the AIC Sustainable Commodities Scheme.

G 2.4 Requirement	Systems must be in place to protect raw materials from contamination and to ensure that bins/ bays/ silos/ stores/ tanks are suitable for receiving the raw materials/ products, to ensure certification status and traceability are maintained.
G 2.5 Requirement	For bulk stores holding more than one raw material, intermediate product or product, bays, tanks and bins must be identified and there must be a storage plan.
G 2.6 Requirement	When there is a change in the type of raw material or product to be stored in a bulk bin or container, there must be a system to ensure it is empty and cleaned as necessary prior to refilling, to avoid cross-contamination.
G 2.7 Requirement	Where a raw material is fractioned to produce different derived products, the quantity of each derived product must be weighed or otherwise validated to ensure that the correct quantities of each derived product are claimed as certified.
<i>Interpretation</i>	<i>Where separate derived products are not weighed, Participants may present a credible and validated formula to establish the quantities of each derivative.</i>
G 2.8 Requirement	Where handling or process losses occur, these must be reflected accurately in the quantity of raw materials and/ or products claimed as certified.
<b>G 3 Despatch of Bulk &amp; Packaged Products</b>	
G 3.1 Requirement	There must be systems in place to minimise the possibility of incorrect loading.
G 3.2 Requirement	For outloading of products to road vehicles, the individual identification and, where available, assurance of the vehicle/ trailer must be checked on the vehicle and recorded to maintain traceability.
G 3.3 Requirement	Any documentation required by legislation or this Scheme to accompany the load, must be provided.
G 3.4 Requirement	Controls must be in place to ensure that accurate and appropriate information is provided with each load.

## Section H Sustainability Incidents

### H 1 Sustainability Incidents

H 1.1 Requirement	There must be a designated and competent person(s), with deputies, responsible for the management of incidents relating to sustainability.
<i>Interpretation</i>	<i>Incidents include any adverse information received or concerns raised with regard to sources used by the Participant, and in relation to the areas covered by this Scheme.</i>
H 1.2 Requirement	There must be a sustainability incident management procedure (including withdrawal and recall) which is capable of being put into operation at any time.
H 1.3 Requirement	The sustainability incident management procedure must include immediate notification to the Competent Authorities where required by legislation and/ or affected purchaser(s), to ensure product integrity is not compromised.
<i>Further Information EUDR</i>	<b>EU Regulation (EU) 2023/1115, Article 4 Obligation of operators:</b> <i>‘5. Operators that obtain or are made aware of relevant new information, including substantiated concerns, indicating that a relevant product that they have placed on the market is at risk of not complying with this Regulation shall immediately inform the competent authorities of the Member States in which they placed the relevant product on the market, as well as traders to whom they supplied the relevant product. In the case of exports, the operators shall inform the competent authority of the Member State which is the country of production.’</i>
H 1.4 Requirement	Where an incident requires the Participant to inform the Competent Authorities and/ or purchaser(s), the Certification Body must be notified within 3 working days.
H 1.5 Requirement	The sustainability incident management procedure must include up-to-date contact details for the Competent Authorities, Certification Body and out of hours contact details for relevant personnel.
H 1.6 Requirement	The Participant must notify the Certification Body within 3 working days where a sustainability investigation by a Competent Authority results in Formal Action.

## Section I Traceability & Chain of Custody

### I1 Traceability

I 1.1 Requirement	The Participant must have effective traceability for all activities within the scope of certification.
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### I 2 Traceability Records

I 2.1 Requirement	Purchase records must include details relevant to this Scheme and traceability.
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Interpretation	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Supplier name and address</li> <li>• Name of the raw material/ product (linked to an agreed specification)</li> <li>• Country of origin</li> <li>• Sustainability status of raw material/ product</li> <li>• Quantity of raw material/ product</li> <li>• Whether in bags or bulk</li> <li>• Contract period</li> </ul>
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Further Information EUDR	<p><b>EU Regulation (EU) 2023/1115, Article 9 Information requirements :</b></p> <p><i>‘(d) the geolocation of all plots of land where the relevant commodities that the relevant product contains, or has been made using, were produced, as well as the date or time range of production; where a relevant product contains or has been made with relevant commodities produced on different plots of land, the geolocation of all different plots of land shall be included; any deforestation or forest degradation on the given plots of land shall automatically disqualify all relevant commodities and relevant products from those plots of land from being placed or made available on the market or exported; for relevant products that contain or have been made using cattle, and for such relevant products that have been fed with relevant products, the geolocation shall refer to all the establishments where the cattle were kept; for all other relevant products of Annex I, the geolocation shall refer to the plots of land.’</i></p>
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I2.2 Requirement	Records maintained by suppliers of contracted services must include details relevant to sustainability and traceability.
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Interpretation	<p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Supplier name and address</li> <li>• Origin of any raw materials/ products involved</li> <li>• Name of the raw material/ products involved (linked to an agreed specification)</li> <li>• Batch/ lot numbers where available</li> <li>• Transport details</li> <li>• Quantity involved</li> <li>• Sustainability status of raw material/ product</li> <li>• Date and time of activity</li> </ul>
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	<ul style="list-style-type: none"> <li>• <i>Records of any intake/ despatch checks carried out</i></li> </ul>
I 2.3 Requirement	Intake records must include details relevant to sustainability and traceability.
Interpretation	<p><i>Examples include, but are not limited to:</i></p> <ul style="list-style-type: none"> <li>• <i>Supplier name and address</i></li> <li>• <i>Source of the delivery</i></li> <li>• <i>Name of the raw material or product delivered (linked to an agreed specification)</i></li> <li>• <i>Batch/ lot numbers where available</i></li> <li>• <i>Transport details</i></li> <li>• <i>Quantity delivered</i></li> <li>• <i>Sustainability status of raw material/ product</i></li> <li>• <i>Date and time of intake</i></li> <li>• <i>Delivery order or fixing reference</i></li> <li>• <i>Records of any intake checks carried out</i></li> </ul>
I 2.4 Requirement	Records of internal movements, processing and storage must include details relevant to sustainability and traceability.
Interpretation	<p><i>Examples include, but are not limited to:</i></p> <ul style="list-style-type: none"> <li>• <i>Sustainability status of raw material/ product</i></li> <li>• <i>Information to be able to trace a product through processing, including any intermediate tanks, bins or other storage back to raw materials used and vice versa</i></li> <li>• <i>Any processing gains or losses</i></li> <li>• <i>Where batch manufacturing is carried out, the quantities of raw materials used into each batch and any deviation from required additions</i></li> <li>• <i>Date and time of production</i></li> <li>• <i>Production sequencing, if processing products outside of the scope of this Standard or different sustainable products on the same production line</i></li> <li>• <i>Any reprocessing or reworking of raw material(s) or products and point(s) of addition</i></li> </ul>
I 2.5 Requirement	Despatch records must include details relevant to sustainability and traceability.
Interpretation	<p><i>Examples include, but are not limited to:</i></p> <ul style="list-style-type: none"> <li>• <i>Purchaser/ recipient name and address</i></li> <li>• <i>Name of the product supplied (linked to an agreed specification)</i></li> <li>• <i>Sustainability status of products supplied</i></li> <li>• <i>Any relevant labelling</i></li> <li>• <i>Transport (name/ transport identification/ load compartment reference)</i></li> <li>• <i>Quantity delivered</i></li> <li>• <i>Production batch numbers</i></li> <li>• <i>Date and time of despatch</i></li> <li>• <i>Transport inspection records</i></li> <li>• <i>Delivery order or fixing reference</i></li> </ul>
I 2.6 Requirement	Sales records must include details relevant to sustainability and traceability.

<i>Interpretation</i>	<p><i>Examples include, but are not limited to:</i></p> <ul style="list-style-type: none"> <li>• <i>Name of the product sold (linked to an agreed specification)</i></li> <li>• <i>Sustainability status of products supplied</i></li> <li>• <i>Purchaser name</i></li> <li>• <i>Quantity sold</i></li> <li>• <i>Whether in bags or bulk</i></li> <li>• <i>Date(s) of delivery</i></li> </ul>
I 2.7 Requirement	Transport records must include details relevant to sustainability and traceability.
<i>Interpretation</i>	<p><i>This includes transport by any method including road, rail, water and/ or air.</i></p> <p><i>Examples include, but are not limited to:</i></p> <ul style="list-style-type: none"> <li>• <i>Purchaser name and address</i></li> <li>• <i>Name of the product delivered (linked to an agreed specification)</i></li> <li>• <i>Sustainability status of raw materials/ products carried</i></li> <li>• <i>Batch/ lot numbers where available</i></li> <li>• <i>Transport details</i></li> <li>• <i>Quantity</i></li> <li>• <i>Date and time of delivery/ despatch</i></li> <li>• <i>Delivery order or fixing reference</i></li> </ul>
<b>I 3 Traceability Exercise</b>	
I 3.1 Requirement	A traceability exercise must be carried out at a frequency determined by risk assessment and at least every 12 months.
<i>Interpretation</i>	<p><i>This should include traceability of raw material(s) and/ or products, including any traded products.</i></p> <p><i>Any traceability exercise should be reviewed and be used as part of the Management Review.</i></p>
<b>I 4 Chain of Custody Models</b>	
I 4.1. Requirement	<p>The acceptable Chain of Custody models for raw materials and/or products certified under the AIC Sustainable Commodities Scheme are:</p> <ul style="list-style-type: none"> <li>• Controlled Blending</li> <li>• Segregation</li> <li>• Identity Preserved</li> </ul>
<i>Further Information</i>	See the <b><i>AIC Sustainable Commodities Scheme (SCS) Chain of Custody and Legality of Production Guidance Document</i></b>
I 4.2 Requirement	For feed, raw materials and products must additionally meet the requirements of the relevant AIC Standard or another feed safety scheme recognised by AIC and be compatible with the raw materials or feed that is certified against this Standard.

I 4.3 Requirement	Where raw materials/ products are associated with a claim/ special status, all consignments being commingled must be compatible in terms of their claim/ special status.
Interpretation	<p><i>Examples of 'claims/ 'special status(es)' include:</i></p> <ul style="list-style-type: none"> <li>• <i>Specific sustainability criteria</i></li> <li>• <i>Feed Safety Assurance</i></li> <li>• <i>Non-GM</i></li> <li>• <i>Organic</i></li> <li>• <i>Country of origin</i></li> <li>• <i>Any other claim of special status</i></li> </ul>
I 4.4 Requirement	If at any point raw materials/ products with a claim/ special status become accidentally or intentionally commingled with other products, the claim/ special status will no longer be applicable.
I 4.5 Requirement	If at any point raw materials or products identified for inclusion in the AIC Sustainable Commodities Scheme become accidentally or intentionally commingled with other products, the resultant product must be identified as having lost its AIC Sustainable Commodities Certification status.

Confidential Draft for Consultation



# Appendix 1

## Regulation (EU) 2023/1115 on deforestation-free products

### ANNEX I

#### Relevant commodities and relevant products as referred to in Article 1

The following table lists relevant agri food supply chain goods as classified in the Combined Nomenclature set out in Annex I to Regulation (EEC) No 2658/87 that are referred to in Article 1 of Regulation (EU) 2023/1115 on deforestation-free products.

Except for by-products of a manufacturing process, where that process involved material that was not waste as defined in Article 3, point (1), of Directive 2008/98/EC, this Regulation does not apply to goods if they are produced entirely from material that has completed its lifecycle and would otherwise have been discarded as waste as defined in Article 3, point (1), of that Directive.

Relevant commodity	Relevant products
Cattle	0102 21 , 0102 29 Live cattle ex 0201 Meat of cattle, fresh or chilled ex 0202 Meat of cattle, frozen ex 0206 10 Edible offal of cattle, fresh or chilled ex 0206 22 Edible cattle livers, frozen ex 0206 29 Edible cattle offal (excluding tongues and livers), frozen ex 1602 50 Other prepared or preserved meat, meat offal, blood, of cattle ex 4101 Raw hides and skins of cattle (fresh, or salted, dried, limed, pickled or otherwise preserved, but not tanned, parchment-dressed or further prepared), whether or not dehaired or split ex 4104 Tanned or crust hides and skins of cattle, without hair on, whether or not split, but not further prepared ex 4107 Leather of cattle, further prepared after tanning or crusting, including parchment-dressed leather, without hair on, whether or not split, other than leather of heading 4114
Cocoa	1801 Cocoa beans, whole or broken, raw or roasted 1802 Cocoa shells, husks, skins and other cocoa waste 1803 Cocoa paste, whether or not defatted 1804 Cocoa butter, fat and oil 1805 Cocoa powder, not containing added sugar or other sweetening matter

	1806 Chocolate and other food preparations containing cocoa
Coffee	0901 Coffee, whether or not roasted or decaffeinated; coffee husks and skins; coffee substitutes containing coffee in any proportion
Oil palm	<p>1207 10 Palm nuts and kernels</p> <p>1511 Palm oil and its fractions, whether or not refined, but not chemically modified</p> <p>1513 21 Crude palm kernel and babassu oil and fractions thereof, whether or not refined, but not chemically modified</p> <p>1513 29 Palm kernel and babassu oil and their fractions, whether or not refined, but not chemically modified (excluding crude oil)</p> <p>2306 60 Oilcake and other solid residues of palm nuts or kernels, whether or not ground or in the form of pellets, resulting from the extraction of palm nut or kernel fats or oils</p> <p>ex 2905 45 Glycerol, with a purity of 95 % or more (calculated on the weight of the dry product)</p> <p>2915 70 Palmitic acid, stearic acid, their salts and esters</p> <p>2915 90 Saturated acyclic monocarboxylic acids, their anhydrides, halides, peroxides and peroxyacids; their halogenated, sulphonated, nitrated or nitrosated derivatives (excluding formic acid, acetic acid, mono-, di- or trichloroacetic acids, propionic acid, butanoic acids, pentanoic acids, palmitic acid, stearic acid, their salts and esters, and acetic anhydride)</p> <p>3823 11 Stearic acid, industrial</p> <p>3823 12 Oleic acid, industrial</p> <p>3823 19 Industrial monocarboxylic fatty acids; acid oils from refining (excluding stearic acid, oleic acid and tall oil fatty acids)</p> <p>3823 70 Industrial fatty alcohols</p>
Soya	<p>1201 Soya beans, whether or not broken</p> <p>1208 10 Soya bean flour and meal</p> <p>1507 Soya-bean oil and its fractions, whether or not refined, but not chemically modified</p> <p>2304 Oilcake and other solid residues, whether or not ground or in the form of pellets, resulting from the extraction of soya-bean oil</p>