Stakeholder QA Program Version 1.0

Release Date: 2021-11-01

1. **Objective**
   1.1. The objective of the Stakeholder QA Program is to allow SLCP and its Verification Oversight Organization (VOO) to use Quality Assurance (QA) data that may be gathered during normal course of business by various stakeholders such as brands and standard holders.
      1.1.1. Entities (e.g., brands) that are approved Verifier Bodies (VBs) for SLCP are not eligible to participate in the Stakeholder QA Program due to conflict of interest.
   1.2. Many stakeholders are performing their own review of verification reports for QA purposes and using these results will allow SLCP to expand QA scope beyond what can be provided through the VOO.
   1.3. Results of stakeholder QA offers another potentially useful Key Performance Indicator (KPI) to drive quality among Verifier Bodies.

2. **Initiation**
   2.1. A stakeholder can express an interest in providing QA data to the VOO by informing SLCP or the VOO directly.
   2.2. The VOO will arrange a conference call/meeting to initially discuss how a stakeholder would like to participate in the program. There are three primary avenues to provide data.
      2.2.1. Ad Hoc Feedback
      2.2.2. Conduct Shadow Verifications
      2.2.3. Standardized Data Review
   2.3. Currently, the VOO only checks the technical attributes of the data and beyond that does not evaluate or monitor the management and execution of QA done by stakeholders participating in the Program. Section 5 describes the current scope of technical checks the VOO conducts.

3. **Ad Hoc Feedback**
   3.1. If a stakeholder does not wish to or cannot provide 'standardized' data, they may choose to provide ad hoc feedback.
   3.2. In coordination with the VOO, the stakeholder will agree upon a cadence (e.g., monthly, quarterly) to provide a summary of findings of QA performed by stakeholder.
      3.2.1. Generally, this means a narrative summary of specific or general quality issues identified through the stakeholder's QA process.
      3.2.2. The feedback content and template can be standardized depending on the scope of stakeholder QA. VOO and stakeholder will jointly agree on format.
   3.3. Generally, this narrative will be provided via email, form, or conference call as determined best suited for both parties.
   3.4. The VOO will review the provided information and identify any actionable issues.
   3.5. Actionable issues may result in a Corrective Action Request (CAR) to the Verifier Body.

4. **Shadow Verifications**
   4.1. The VOO will provide access to a brief training module on the process of SLCP Shadow Verification including completion and submittal of the shadow verification tool to the VOO.
   4.2. The stakeholder will follow the *SLCP Verification Observation Requirements* for requesting and performing an observation.

    4.3. All completed reports will be sent to the VOO at slcp@sumerra.com.

    4.4. Actionable issues may result in a Corrective Action Request (CAR) to the Verifier Body.

5. Standardized Review Data

    5.1. The stakeholder will provide an example of data output from QA processes.

        5.1.1. Data must be linked to the unique Gateway assessment id (e.g., PRJXXXXX)

        5.1.2. Data generally will be in the form of a spreadsheet/csv file but may also be transmitted in another standard digital format (e.g., json).

    5.2. The VOO will provide a technical review of the data output and make recommendations on data formats, as needed, to properly upload to the VOO database.

    5.3. The VOO will review the general process for generating QA data to check if this generally aligns with quality objectives and methods of the VOO.

        5.3.1. Examples of source data reports may be requested.

        5.3.2. As noted in 2.3., the VOO does not 'approve' or monitor QA processes for the stakeholder participant. Therefore, the Stakeholder Score is separate from the VOO VB Score (see 6.2).

            5.3.2.1. Future program protocols may include a more formal approval/ acceptance/ monitoring process that can allow some stakeholder data to be integrated into the VB Score.

    5.4. The stakeholder and VOO will jointly agree on the final data format.

    5.5. VOO will develop and deploy a submittal / upload method for the stakeholder QA data.

    5.6. The stakeholder will submit data to the VOO through the developed method.

    5.7. Actionable issues may result in a Corrective Action Request (CAR) to the Verifier Body.

6. External Stakeholder Score

    6.1. The VOO will aggregate QA data scores from standardized data and Shadow Verifications into a 'Stakeholder Score' that is associated to the verification in the VOO database.

    6.2. A Verifier Body (VB) will be provided an aggregated "External Stakeholder QA Score" if data is available. This score will be displayed on the VB dashboard.

    6.3. Ad hoc feedback will not feed into the External Stakeholder QA Score. Rather, depending on the outcome of the investigation, and if a Corrective Action Request (CAR) is issued, the results will feed into the VB Score. The VB Score is a cumulative score generated by the VOO on a continual basis depending on the outcomes of VOO QA activity, including CARs and desktop and onsite based QA activity.

7. Process Flowchart

Stakeholder Expresses Interest to Provide QA Data to VOO

Initial Phone Call to Discuss the Type of QA Data to be Shared

Data Type

— Shadow Verifications → Stakeholder Will Be Provided Basic Training and Tools for Conducting Shadow Verifications → Shadow Verification Reports Provided to VOO

Standardized Review Data → Stakeholder Will Provide Example Data Form (excel) → VOO Will Provide Technical Review and Recommended Changes to Data Form → Data Form Finalized → VOO Will Develop and Deploy Method for Submittal/Upload of Data Form → Stakeholder Will Submit Data on Regular Cadence → Data Will Be Aggregated with Other Stakeholder Scores and Visualized to VB as Separate KPI

— Ad Hoc Feedback → Determine Cadence and Method of Communication → Feedback Provided as Determined → Investigation Required

Investigation Required — No → Feedback Logged and Integrated with Other Feedback for Program Improvement

Investigation Required — Yes → VOO Investigation → CAR Submitted to VB

CAR Submitted to VB — No → Feedback Logged and Integrated with Other Feedback for Program Improvement

CAR Submitted to VB — Yes → Integrated Into VB Score