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If you should require any further information then please do not hesitate to contact us. We will be please to help you.

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The verification procedure for the Code of Conduct based on amfori BSCI consists of the offer and contract phase, the audit preparation, performance of the audit and entry into the amfori Sustainability platform. No certificate or comparable official document is issued. Based on the result of the audit either a follow up audit shall be conducted within 1 year or a full audit after two years.

The auditors are selected by the TÜV NORD CERT GmbH depending on authorisation and qualification

## **1. VERIFICATION PROCEDURE**

### **1.1. Audit Preparation**

The monitoring/audit is requested by the RSP holder on the amfori Sustainability platform. The scheduler shall either confirm or reject RSP's request within five days.

Following signature of the contract and request of RSP holder accepted on amfori sustainable platform, the audit is prepared using the customer questionnaire and the audit effort calculation. The scheduler is assigning a date for the audit, appoints a lead monitoring person and optionally, appoints other monitoring team members; also requesting availability dates within a defined period from the main auditee (for a semi-announced audit) or informs the main auditee of the audit date (for an announced audit).

### **1.2. Onsite audit**

Before the audit, the customer receives an audit plan, in case the audit is announced. If the audit is semi announced, the audit plan only mentions about the window time without specific audit date. If the audit is unannounced, the customer will only receive the audit plan at the date of the first audit day.

The audit begins with an opening meeting. In case of semi or un-announced audit, a quick site tour may be conducted upon arrival. During the opening meeting, the auditor introduces the audit team and the purpose and scope of the audit. The audit procedure is explained. At least the management representative and worker representative shall attend.

During onsite audit, the auditor collects evidence on the customer's social performance through documentation, site observation and interviews. These three types of evidence collected will be reported accordingly in the audit report. amfori BSCI monitoring are designed to assess a business partner against the values and principles of the amfori BSCI Code of Conduct, which are translated into thirteen Performance Areas (PAs). Based on professional judgement, the auditor will complete the relevant social performance questionnaires basing on the status of satisfactory evidence and sufficient evidence. The findings report will be generated on the amfori Sustainability platform.

The closing meeting will occur at the end of the onsite audit. At least management representative and worker representative shall attend the meeting. The lead auditor reports on the individual elements and explains positive and negative findings. A findings report is created on the amfori platform and signed by the customer and the lead auditor. The management and workers' representative sign the findings report. A signature does not represent acceptance of the content, but just acknowledges that the audit has been conducted without irregularities.

**1.3. Report submission on amfori Sustainability platform**

The completed amfori BSCI audit report which addresses all areas for improvement and relevant supporting documents (e.g. the signed findings report, photos) shall be uploaded to the amfori platform database within 15 calendar days of the last audit day.

The auditee may access to the amfori platform to get the report and the overall rating as final result of the monitoring activity. Rating is automatically calculated by an online, computerised system of amfori and is out of the monitoring person's control.

If the full monitoring of the business partner was rated C, D or E then the audit validity is 12 months after the full monitoring, and a follow-up can be conducted between two and 12 months later. The conduct of the follow-up monitoring will extend the audit validity until the end of the audit cycle. In case a follow up audit is not conducted within 12 month a new full audit is needed.

**1.4. Continuous Improvement**

After an amfori BSCI audit, business partners should define a 'sustainability impact' (previously named as remediation plan) in response to the findings report issued by the auditor. This will be visible to all linked members in the amfori Sustainability Platform.

For Multi-Tier audits, the response to findings reported at next-tier sites is the responsibility of the main auditee in cooperation with the farms.

In case the overall rating is A or B, the auditee to maintain its continuous improvement process without a professional follow-up monitoring. If the overall rating is C, D, E, that requires auditee to develop a related continuous improvement plan with impacts and measures accordingly within 60 days of the monitoring date. A professional follow-up monitoring is envisaged to assess continuous improvement.

Only the business partners who owns the site can input this information and set the status to Complete. All linked members can view the information but cannot edit it.

A graph shows how many audit findings have been linked with a sustainability impact, how many of these have been set to 'complete'. The member can, when appropriate, initiate a follow-up audit from this part of the Platform.

**2. FOLLOW UP MONITORING**

amfori BSCI follow up monitoring usually occurs within 12-month from previous amfori BSCI monitoring. At the same time, there may be circumstance where amfori BSCI members may see the need to schedule a follow up monitoring in an early stage. This can take the form of an amfori BSCI follow up monitoring or a different agreed mean.

Within the framework of the preparation for the follow-up monitoring, the customer shall inform about the previous findings report and significant changes to verify the eligibility of a follow up and also the audit effort. Customers are obliged to inform the certification body of major changes such as legal entity, management, ownership or physical address in order to decide that follow-up audit may or may not apply.

The follow-up monitoring only covers performance areas if there was a finding in the previous monitoring. Contrary to the full monitoring, where all Performance Areas are looked at, the monitoring person will only investigate performance areas with findings in the follow-up monitoring.

### **3. NOTES ON MULTI-TIER FOOD AUDITS**

Multi-tier audits are appropriate for manufacturers and processors who have identified their upstream supply chain in the amfori Sustainability Platform. They assess the social sustainability of a significant business partner and a sample of its next-tier business partners, such as of next-tier producers, subcontractors, suppliers, or farms.

The audit requirements are adapted to the business of the main auditee or farms.

- This audit is designed for business partners in food and agriculture sectors which produce and trade fresh and processed products.
- A multi-tier food audit should be planned with consideration of the seasonality of production activities at farm level such as the harvesting or the sowing seasons.
- Business partners (BP's) are responsible for maintaining their own data on the amfori Sustainability Platform. Neither linked members, nor the RSP holder can change company information on behalf of the BP.
- Tier 1 BPs are requested to map and classify their next tier business partners (farms)
- Next Tier farms are visible to members in the profile of the Tier 1 main auditee. They will be assigned an amfori ID which is linked to the ID of the Tier 1 business partner.

For multi-tier audits, the number of farms selected by the RSP holder to be included in the audit, as well the number of workers per farm, will impact the duration of the audit. The number of farms can be agreed upon by the RSP holder and the main auditee.

The validity of a multi-tier monitoring cycle is based on the rating of the main auditee.