BCI External Assessment Reporting Template

For use with v2.0 of the Better Cotton P&C

Smallholder Farms

# Introduction

This reporting template is required for each second party credibility check (2PCC) or third party verification (3PV) visit carried out on Smallholder Producer Units. BCI has developed an optional External Assessment Field Checklist which may also be used to help guide the 2PCC/ 3PV process and record notes in the field.

Types of Indicators

This reporting template covers all **Core Indicators** from the Better Cotton P&C v2.0; organized under the 7 Principles. Please note that some indicators are designated as ‘***Core – Transition’*** – these are new Core Indicators that have a delayed implementation time and are not mandatory until 1 March 2019. This means that during External Assessment for 2018-19, assessors will note whether the PU is already meeting these indicators. However, no non-conformities can be given for non-compliance on ‘Core – Transition’ indicators this season. In a few cases (e.g. Indicator 2.1.1 on Water Stewardship) there is an equivalent indicator from v1.0 of the P&C which will continue to be relevant for the 2018/19 season (during the transition period). These are marked as ***‘Current relevant v1.0 indicators.’***

Advice on navigating this document

Please turn on the ‘Navigation Pane’ (under ‘View’ menu) to allow easy referencing of Indicators under each Principle.

Summary Information

**NOTE: Once you have completed the entire form, please save as a PDF using the Reference Number as the file name.**

## 1. General Information about the External Assessment (2PCC or 3PV)

3PV or 2PCC Reference Number

*(Format: PU code\_Organisation conducting visit\_Month-Year, e.g.* ***TU085\_Cotton-Audit-Inc\_09-2018****)*

Implementing Partner:

Local Partner (if applicable):

PU Code:

2PCC/ 3PV Conducted by: Name 1:       Name 2:

Agency/Institution:       Telephone/ email:

2PCC/3PV Date:       Country:       State:

3 LGs Visited:

Names of the 15 Farmers visited:

Please explain briefly how these LGs and Farmers were selected for visits:

If any advice or consultancy support was provided to the Producer during the assessment, please note it here:

## 2. Summary Outcome of the Visit

Is the Producer Unit **compliant with** **all Core Indicators** ? [ ]  Yes [ ]  No

(Answer **‘No’** if systemic non-conformity was observed)

Indicators with systemic non-conformity, and comments (if any):

Have any **incidental non-conformities** been observed? [ ]  Yes [ ]  No

(Answer **‘Yes’** if incidental non-conformity was observed)

Indicators with incidental non-conformity, and comments (if any):

Has the PU submitted BCI Results Indicators for the previous season? [ ]  Yes [ ]  No [ ]  N/A (new PU)

Comments:

## 3. Information collected from external sources *(Required only for third-party verification)*

Please detail contact information for individuals/organizations consulted, and information gathered that relates to the Better Cotton Production Principles and Criteria and/or farmers that have poor or good practices.

Source 1 Name:       Contact Info:       Info gathered:

Source 2 Name:       Contact Info:       Info gathered:

Source 3 Name:       Contact Info:       Info gathered:

# P1: Crop Protection

| **Indicator No.** | **Grading** | **Specific Evidence/ Comments** |
| --- | --- | --- |
| **Core****1.1.1** A locally adapted and time-bound plan, based on agro-ecosystem analysis and which identifies appropriate specific practices to implement the five components of Integrated Pest Management, is established.*[Reference to Criterion 1.1 The Producer must adopt an Integrated Pest Management Programme that includes all of the following principles:* *(i) growing a healthy crop;* *(ii) preventing the build-up of pest populations and of the spread of disease;**(iii) preserving and enhancing populations of beneficial organisms;**(iv) regular field observations of the crop health and key pest and beneficial insects;**(v) managing resistance.]* | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****1.1.3** A timeline for implementing the 5 components of the Integrated Pest Management plan is established. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****1.1.4** There is no calendar or random spraying.   | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****1.2.1** All pesticides used are registered nationally for the use on cotton.  | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****1.2.2** All pesticides used are correctly labelled in at least one *de facto* or *de jure* official national or applicable official regional language. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Current relevant v1.0 indicator****1.3.1-C** Pesticides list in Annex A and B of the Stockholm Convention are not used. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| ***Core - TRANSITION*****1.3.1** Pesticides listed in:(i) Annex A and B of the Stockholm Convention; or(ii) Annexes of the Montreal Protocol; or(iii) Annex III of the Rotterdam Convention;are not used. | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core*** **1.4.1** The Producer has a plan to phase out by 2021 pesticides listed in category 1 of the Globally Harmonized System of Classification and Labelling of Chemicals (GHS); 1a of the World Health Organization classification (WHO). | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****1.4.2** The Producer has a plan to phase out by 2024 pesticides listed in category 2 of the Globally Harmonized System of Classification and Labelling of Chemicals (GHS); 1b of the World Health Organization classification (WHO). | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****1.5.1** The Producer has a plan to phase out Pesticides defined as carcinogenic, mutagenic or reprotoxic (CMR) substances according to Categories 1a and 1b of the Globally Harmonized System of Classification and Labelling of Chemicals (GHS). | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****1.6.1** The Producer must ensure that any person who prepares and applies pesticides is:(i) Healthy;(ii) Skilled and trained in the application of pesticides;(iii) 18 or older;(iv) not pregnant or nursing. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| ***Core - TRANSITION*****1.7.2** Minimum Personal Protective Equipment is worn while preparing and applying pesticides, which includes protection of the following body parts from dermal absorption, ingestions and inhalation:(i) Face and airways: eyes, ear canal, nose, scalp(ii) Limbs: arms, foot, palm, forearms (iii) Abdomen and genital area. | [ ]  Compliant[ ]  Non-compliant  |       |

# P2: Water Stewardship

| **Indicator** | **Grading** | **Specific Evidence/ Comments** |
| --- | --- | --- |
| ***Current v1.0 indicator*****2.1.1-C** Water management practices are adopted that optimise water use (applicable to both rain fed and irrigated cotton). | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| ***Core - TRANSITION*****2.1.1** A time-bound Water Stewardship Plan is defined that addresses each of the following components:(i) Mapping and understanding of water resources;(ii) Managing soil moisture;(iii) Applying efficient irrigation practices to optimise water productivity (applicable to irrigation farms only);(iv) Managing water quality;(v) Engaging in collaboration and collective action to promote sustainable water use. | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core - TRANSITION*****2.1.2** A timeline for implementing the five components of the Water Stewardship Plan is established. | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core - TRANSITION*****2.1.9** Opportunities for collaboration and collective actions (beyond the Producer’s unit of production) to achieve sustainable water use are identified.  | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core - TRANSITION*****2.1.10** By March 2022, collaboration and collective actions (beyond the Producer’s unit of production) towards local sustainable use of water are implemented as per opportunities identified in the Water Management Plan. | [ ]  Compliant[ ]  Non-compliant |       |

# P3: Soil Management

| **Indicator** | **Grading** | **Specific Evidence/ Comments** |
| --- | --- | --- |
| ***Core - TRANSITION* 3.1.1** A time-bound soil management plan is defined that addresses each of the following components: (i) Identifying and analysing soil type; (ii) Maintaining and enhancing soil structure;(iii) Maintaining and enhancing soil fertility; (iv) Continuously improving nutrient cycling. | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core – TRANSITION*3.1.2** A timeline for implementing the four components of the soil management plan is established  | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core –TRANSITION*3.1.3** Soil testing is conducted that includes NPK and pH analysis. A minimum of 1 soil test per Learning Group on a minimum of 20% of the Learning Groups within a Producer Unit must be conducted each year, and with different Learning Groups each year, so that all Learning Groups are covered over a period of 5 years. | [ ]  Compliant[ ]  Non-compliant |       |

# P4: Biodiversity and land use

| **Indicator** | **Grading** | **Specific Evidence/ Comments** |
| --- | --- | --- |
| ***Core - TRANSITION*** **4.1.1** A time-bound Biodiversity Management Plan that addresses each of the five following components, is defined:(i) Identifying and mapping biodiversity resources;(i) Identifying and restoring degraded areas;(iii) Enhancing populations of beneficial insects, as per the Integrated Pest Management plan (Principle 1);(iv) Ensuring crop rotation;(v) Protecting riparian areas. | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core - TRANSITION*** **4.1.2** A timeline for implementing the five components of the Biodiversity Management Plan is established. | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core - TRANSITION*** **4.1.3** Biodiversity resources are identified and mapped. | [ ]  Compliant[ ]  Non-compliant |       |
| ***Core - TRANSITION*** **4.1.4** Degraded areas on the farm are identified. | [ ]  Compliant[ ]  Non-compliant |       |
| ***Current v1.0 Indicator*****4.2.1 -C** The use and conversion of land to grow cotton conforms with national legislation related to agricultural land use. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| ***Core -TRANSITION*** **4.2.1** In case of any proposed conversion from non-agricultural land to agricultural land, the BCI High Conservation Value (HCV) risk-based simplified approach must be implemented | [ ]  Compliant[ ]  Non-compliant |       |

# P5: Fibre Quality

| **Indicator** | **Grading** | **Specific Evidence/ Comments** |
| --- | --- | --- |
| **Core****5.1.1** Good management practices for the harvest and storage of seed cotton are adopted. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |

# P6: Decent Work

| **Indicator** | **Grading** | **Specific Evidence/ Comments** |
| --- | --- | --- |
| **Core****6.1.2** The Producer has a time-bound plan for the prevention of child labour in accordance with ILO Convention 138. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****6.1.3** There are no workers below the age of 15 (14 in certain specified countries), or below the minimum age for employment defined by local law (whichever is higher) unless they meet all of the following conditions: (i) the child is helping on his/her own family’s farm; (ii) the child's work is structured so as to enable him/her to attend school;  (iii) the child's work should not be so demanding as to undermine his/her education; (iv) the child should not perform tasks that are hazardous for him/her because of his/her age;  (v) the child must be guided – both in terms of learning skills and supervision of tasks – by a family member;  (vi) the child has received appropriate training. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| ***Core - TRANSITION*****6.1.4** A written child labour policy, specifying under which circumstances and for which tasks children can or cannot work or be employed and why, has been communicated to farmers/workers/employees. | [ ]  Compliant[ ]  Non-compliant |       |
| **Core** **6.2.1** Hazardous work is not conducted by workers under 18. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****6.3.1** All forms of forced or compulsory, including bonded or trafficked labour, are prohibited. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****6.4.3** The Producer Unit has a time-bound plan to improve the position of disadvantaged groups. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****6.5.2** There is no evidence of any policy, practice or customary rule that results in the payment of unequal wages on the basis of gender to workers who perform the same job. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****6.13.1** Farmers in the PU are aware of the legally applicable minimum wage/s (statutory national or regional minimum wage applicable to agriculture, collectively agreed wage, industry minimum). | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****6.19.1** Use of corporal punishment, mental or physical coercion, sexual harassment or physical or verbal abuse or harassment of any kind, is prohibited. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |

# P7: Management System

| **Indicator** | **Grading** | **Specific Evidence / Comments** |
| --- | --- | --- |
| **Core****7.1.1** A Continuous Improvement Plan is available, implemented and monitored according to the applicable BCI Continuous Improvement planning process, and reviewed annually. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****7.2.1** A training plan identifying the key sustainability issues to be addressed for the Producer, the name of training provider(s), scheduling and expected participants is available and implemented. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****7.2.2** Training materials for Better Cotton Initiative farmers and workers are available to cover Better Cotton Initiative Principles and Criteria Core Indicators, with a focus on key sustainability issues in the local context. Best practices (validated locally) related to production are shared with Better Cotton Initiative farmers through appropriate dissemination material in local language. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****7.2.3** The Producer reports annual data on number of Better Cotton Initiative farmers and workers trained by gender/topic/methodology to demonstrate the implementation of the training plan. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****7.2.4** The Producer operates a system to: (i) Assess and document the level of adoption of practices promoted through training;  (ii) Identify and address the risks associated with adopting the practices promoted through training; (iii) Evaluate the training materials continuously to improve their content and delivery. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****7.3.1** The Producer collects and maintains accurate and complete Producer Unit data in the format required by the Better Cotton Initiative. This will include (but not be limited to) name and contact information of Producer Unit Manager; list of farmers organised into Learning Groups (for smallholder Production Units); age, gender, education, level of farmers; expected seed cotton production per farmer and area under cultivation; geo-location of Producer Units; names of gins. The Producer Unit data is updated annually, at the latest by the end of sowing. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****7.3.2** The Producer maintains a farm-level record keeping mechanism (e.g. Famer Field Book) for essential production data on inputs and outputs in an accurate manner. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****7.3.3** The Producer operates a system to collect, compile and report complete and accurate Results Indicator data in accordance with the Results Indicator Reporting template. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| **Core****7.3.4** The Producer creates and maintains a profile of the farm labour force, including estimates of numbers of workers, as per the Better Cotton Initiative defined worker categories and disaggregated by gender. The labour profile is updated annually, at the latest at the end of sowing.*[Note: for 2018/19 season this labour profile does not need to include specific BCI worker categories]* | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |
| ***Core - TRANSITION*****7.3.5** The Producer ensures that all farmers within the PU maintain receipts of sales of Better Cotton, including the buyer name, date, and volume, for at least one year and is able to collect and submit these sale records to BCI upon request. | [ ]  Compliant[ ]  Non-compliant |       |
| **Core****7.4.1** The Producer operates a system to: (i) Identify and address the risks of non-conformity with core indicators; (ii) Plan and enforce the implementation of Corrective Actions resulting from monitoring activities. | [ ]  Compliant[ ]  Compliant with observation[ ]  Incidental NC[ ]  Systemic NC |       |

# List of workers interviewed

Please provide details of workers interviewed – if no worker interviews were carried out, please explain why. Note that worker names can be excluded if necessary due to confidentiality; in this case please provide a description of the worker’s role instead.

Worker name or role       Location of interview       Topics covered/ Comments

Worker name or role       Location of interview       Topics covered/ Comments

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