

# Principles & Criteria Monitoring and Certification requirements

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# 1. Introduction

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## 1.1 Better Cotton Producer Certification

The Producer Monitoring and Certification Requirements are a critical component of the Better Cotton Standard System, which aims to improve livelihoods and economic development in cotton-producing areas and reduce the environmental impact of cotton production. The Producer Monitoring and Certification Requirements provides a roadmap for participating Producers (see [Better Cotton Key Terms and Definitions](#)) to progress from baseline performance to meeting the [Indicators of the Better Cotton Principles and Criteria](#), and eventually achieving long-term improvement goals.

The main objectives of the assurance model are to:

1. Verify that cotton Producers have met the Indicators of the Better Cotton Principles and Criteria before they achieve Better Cotton certification;
2. Provide a framework to ensure that Better Cotton Producers, once certified, continue to make progress against their continuous improvement priorities and receive adequate capacity strengthening support;
3. Create channels for ongoing learning, through sharing information back to Producers (and Programme Partners, if applicable) to identify improvement opportunities or compliance gaps;
4. Measure the sustainability performance of Better Cotton Producers and overall programme impacts through regular collection of field-level ([Results Indicator](#)) data.

Better Cotton's approach to Producer monitoring and certification is unique from many other standard systems in two regards. First, it aims to balance credibility with scalability and cost-effectiveness, through combining third party certification with first and second party monitoring, including monitoring visits from Better Cotton Country Teams, support visits by Programme Partners and regular self-assessments by Producers themselves.

Second, the model puts a strong emphasis on capacity strengthening and continuous improvement. Producers are required to track ongoing sustainability improvements in order to maintain their certification. Assurance activities focus not only on compliance but also on identifying areas where further support or capacity strengthening is needed.

### **Categorizing Farms and Producers**

A Producer Unit is a group of Smallholders or Medium Farms who are organised together under a common management structure to participate in the Better Cotton Programme. Each Producer Unit is overseen by a dedicated Producer Unit Manager who is responsible for implementing an internal management system to support, train and monitor farmers across the Producer Unit..

The term '**Producer**' in the context of the Better Cotton Standard System refers to either an individual Large Farm or a Producer Unit of Smallholders or Medium Farms.

At the Smallholder and Medium Farm level, Better Cotton works in collaboration with a network of trusted Programme Partners to organise farmers into Producer Units and implement the Principles & Criteria at field level. This includes hiring and training Producer Unit Managers and Field

Facilitators and carrying out capacity strengthening and monitoring with farmers at the field level (for further information, see 'Producer Requirements').

Under the Better Cotton Standard System, farms are differentiated into three categories based on the production methods, land holding size, and workforces they use:

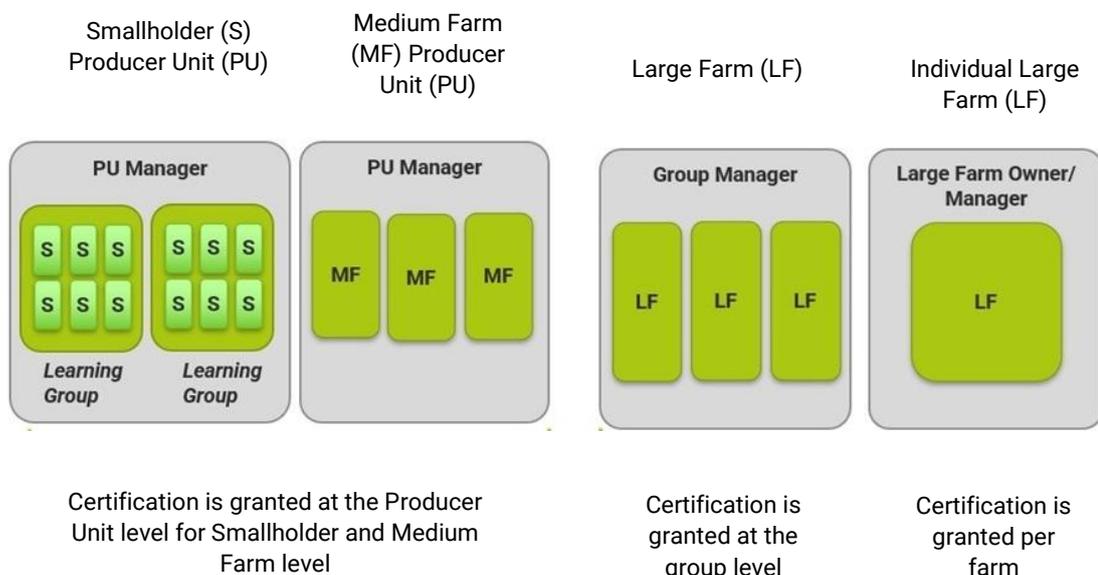
- **Smallholders:** Farmers who are not structurally dependent on permanent hired labour, and whose farm size does not exceed 20 ha of cotton. Maximum size of 7000 farmers can be grouped under one Smallholder Producer Units; the recommended size is approximately 3500 farmers.
- **Medium Farms:** Farmers who are structurally dependent on permanent hired labour, and whose farm size is between 20 and 200 ha of cotton. Medium Farm Medium Farm PUs are typically around 100 farmers.
- **Large Farms:** Farmers who have a farm size above 200 ha of cotton and either have mechanised production or are structurally dependent on permanent hired labour.

Smallholders and Medium Farm Medium Farms are grouped into Producer Units and are certified to sell Better Cotton at the Producer Unit level.

Smallholder Producer Units are further divided into Learning Groups of approximately 35 farmers (with a Lead Farmer in each one) managed by a Field Facilitator to help facilitate learning. Typically, each Field Facilitator in a Smallholder Producer Unit will work with about 10 LGs, or 350 farmers, at most to ensure they can have regular contact with each farmer.

Some Large Farms participate with Better Cotton on an individual basis, while others are engaged through a Large Farm Group Certification Model. In this approach, a number of farms are overseen by a dedicated Group Manager and certification includes all farms in the group. Only farms with under 30 workers and a mechanised harvest are eligible for Large Farm Group Certification (see 'Large Farm Group Model' in the 'Producer Requirements').

**Figure 1: Showing the breakdown of the 3 types of Producer categorizations, as well as the Large Farm Group model.**



## 1.2 Purpose of This Document

This document outlines the requirements for:

- Certification Bodies to carry out audits and provide certification to the Better Cotton Principles and Criteria;
- Producers applying for and maintaining certification and eligibility to trade Better Cotton.

Therefore, not all sections of this document are applicable to everyone. See Table 1 below for the breakdown of sections and who they are relevant to.

**Table 1: Document Sections and Who They are Relevant to.**

Document section	Relevant Groups	References
1 Intro	N/A	Explanation for all stakeholders
2 Producer Requirements	All Producers (including Large Farm Groups)	Certification Bodies of Producers
3 Large Farm Group Requirements	Large Farm Group Managers and farms within Large Farm Groups (as per relevant sub-sections) Certification Bodies as cross referenced in Section 5.	Large Farm Groups and their Certification Body only
4 Better Cotton oversight	Better Cotton	Producers and Certification Bodies
5 Certification process	Certification Bodies; Producers; Better Cotton only if/as cross referenced in Sections 2, 3 and 4.	Producers and Certification Bodies

## 1.3 Normative Documents

The following documents are relevant to stakeholders of the Principles & Criteria monitoring and certification requirements:

- [Better Cotton Principles and Criteria](#)
- [General requirements for CBs](#)
- [Assurance Manual for Licensees](#)
- [Better Cotton Key Terms and Definitions](#)
- [Better Cotton Derogation policy](#)
- [Active derogations list](#)
- [Exceptional use process](#)
- [Exceptional use decisions](#)
- [Better Cotton Highly Hazardous Pesticides List](#)
- [Better Cotton Farm Data Requirements](#)
- [Working with Results Indicators](#)
- [CoC monitoring and certification requirements](#)

## 1.4 Effective Date

These requirements are effective for all certification audits and related certifications from **1<sup>st</sup> March 2025**.

### Transition Timelines

All Producers going through their first audit to the Better Cotton Principles & Criteria from 2025 onwards will be certified under these requirements. For Producers who currently have an Active license, transition to certification will occur, at the latest, when their license expires. During the years of 2025, 2026 and 2027 a Producer having either a valid Better Cotton license or valid certification to the Better Cotton Principles & Criteria can trade Better Cotton and be issued volumes in the Better Cotton Platform.

In a Producer's season of transition from licensing to certification, Better Cotton may extend licenses in order to allow the certification process to progress without need for permission to trade to be awarded ahead of the date that Better Cotton volumes are released in the region.

For Producers that have a valid license and are yet to undergo certification should follow the [Better Cotton Assurance Manual for licensees](#) instead of this document until such a time as they transition to certification.

## 1.5 Document Control

This document is issued, effective and managed as below.

<b>Issue date</b>	3 <sup>rd</sup> February 2025
<b>Effective date</b>	3 <sup>rd</sup> March 2025
<b>Previous version</b>	No previous version
<b>Contact</b>	Ownership of this document is with the Better Cotton Standards and Systems Integrity Team: <a href="mailto:compliance@bettercotton.org">compliance@bettercotton.org</a> Better Cotton Initiative Ch. De Balxert 7-9 1219 Châtelaine Switzerland

## 1.6 Summary of Key Steps for Relevant Stakeholders

Table 2: Summary of the Key Steps in Principles and Criteria Monitoring and Certification per Producer.

Step	Timing	Relevant Section	Who is Responsible		
			Producer and/or PP	Better Cotton	Certification Body
<b>1. Register to programme</b>	PU: Start of previous season; LFs: In advance of the season	Producer Requirements	X	X	
<b>2. Set-up year (Producer Units only)</b>	Previous season	Producer Requirements	X	X	
<b>3. Application and contracting</b>	Before start of sowing	Certification Body Process	X	X (if paying for certification)	X
<b>4. Initial audit</b>	Between start of sowing and end of harvest	Producer Requirements; Certification Body Process	X		X
<b>5. Seasonal data submissions</b>	Within the season, at specified times	Producer Requirements	X		
<b>6. Decision</b>	14 days after closing meeting	Certification Body Process			X
<b>7. Volumes issued</b>	Better Cotton volume release date for the region	Better Cotton Oversight		X	
<b>8. Corrective action process</b>	Plan within 2 weeks of receipt of non-conformities, implement within 6-12 months	Certification Body Process	X		X
<b>9. Audit report</b>	Within 14 days of receipt of the corrective action plan	Certification Body Process			X
<b>10. Certificate issue</b>	If and when corrections implemented, or at initial decision if no non-conformities present	Certification Body Process			X
<b>11. Ongoing monitoring</b>	Throughout certification	Producer Requirements; Better Cotton Oversight; Certification Body Process	X	X	X

*Note: For Large Farm Groups also reference Large Farm Group Requirements section for each step.*

## 2. Producer Requirements

*Producer Requirements are relevant to Producer Units, Large Farms and Large Farm Groups*

### 2.1 Producer’s Trade of Better Cotton

2.1.1 Producers shall only trade Better Cotton if the following conditions are met:

- The hold a Better Cotton certification or license as follows: Valid certification to the Better Cotton Principles & Criteria and, where relevant, related group requirements, the scope of which covers the cotton to be traded or/and permission to trade; Or a valid license for Better Cotton, which covers the cotton to be traded (only valid until 2028).
- The volumes they can trade have been released by Better Cotton into the Better Cotton Platform;
- If the Producer, partner, of farm within the Producer Unit retains ownership of the cotton whilst it is being ginned they are also required to adhere to the Protocol for Producers with subcontracted gins within the CoC Monitoring and Certification Requirements.

### 2.2 Producer Roles and Responsibilities

2.2.1 Partners and Producers shall comply with the following:

- The Better Cotton Principles and Criteria
- The relevant requirements of this document

2.2.2 Partners and Producers shall take on the roles and responsibilities listed in Table 3.

2.2.3 Where a Partner, Producer or farm within a Producer Unit owns the cotton through the ginning they shall also follow the Protocol for Producers with Subcontracted Gins within the [CoC Monitoring and Certification Requirements](#).

**Table 3: The Roles and Responsibilities for Producers.**

Stakeholder	Role in Certification Model
Farmer from Smallholder and Medium Farms	Farmers from Smallholders and Medium Farms participate in capacity strengthening activities organised by the Producer Unit Management. Farmers are expected to apply learnings in order to adopt more sustainable farming practices. Farmers are also responsible for maintaining farm-level data on inputs and outputs to enable the Producer Unit tracking of progress and to build an understanding of the impacts.

	Farmers categorised as Large Farms are responsible for ensuring they meet the Principles & Criteria Indicators and work to adopt and improve their sustainable farming practices.
<b>Large Farm Management</b>	The person/people responsible for managing the cotton growing and harvest on the farm are responsible for ensuring that the Principles & Criteria indicators are met.
<b>Field Facilitator (Producer Units only)</b>	Field Facilitators are part of the management structure for Better Cotton PUs. They are trained field-based staff who help organise farmers, collect farm-level data and carry out capacity strengthening activities in farming communities. Field Facilitators are typically employed by either Programme Partners or their affiliated Local Partners.
<b>Producer Unit Manager (Producer Units only)</b>	<p>The main individual responsible for implementation of the Better Cotton Principles &amp; Criteria at the Producer Unit level and assuring compliance. The Producer Unit Manager, together with the Field Facilitators, identifies areas where farmers require improvement to meet the Better Cotton Principles &amp; Criteria and, together with Field Facilitators, works to achieve this. This responsibility includes:</p> <ul style="list-style-type: none"> <li>• Developing and ensuring the implementation of activity and monitoring plans (Indicators 1.1.1, 1.1.2);</li> <li>• Conducting and acting on stakeholder consultation (Indicator 1.1.3);</li> <li>• Developing and effective implementation of labour monitoring and remediation (Indicator 5.1.1);</li> <li>• Conducting internal assessments and completing self-assessments;</li> <li>• Planning and implementing corrective actions (as outputs of the Certification Body audit or internal assessment).</li> </ul> <p>The Producer Unit Manager is additionally responsible for strengthening capacities of the Field Facilitators.</p>
<b>Programme Partner (Producer Units only)</b>	<p>Better Cotton’s Programme Partners are organisations with local expertise who oversee the set-up and management of PUs under the assurance model. Programme Partners assume full responsibility for project delivery at the field level, including establishing the management structure of Producer Units, recruiting and training Producer Unit Managers and Field Facilitators, and providing Producer Units with ongoing oversight and support, including regular field-level engagement.</p> <p>Programme Partner representatives are also responsible for supporting and strengthening the capacity of Producer Unit Managers and together with the Producer Unit Manager the related Field Facilitators. Supporting Producer Units in the identification of continuous improvement priorities and monitoring Producer Unit performance through Readiness Checks and Support Visits.</p>
<b>Large Farm Group Manager</b>	The main individual responsible for ensuring compliance with the Large Farm Group requirements and compliance of the farms within their group to the Better Cotton Principles and Criteria.

**Local Partner  
(Producer Units only)**

Some Programme Partners may delegate specific field-level implementation activities to Local Partners. Local Partners are entities with a strong field presence and technical expertise relevant to the geographical area. Local Partners are overseen by the Programme Partner, and the Programme Partner is accountable for ensuring the efficacy of the Local Partner through ongoing monitoring and engagement.

## 2.3 Producer Unit Set-Up Requirements

*Section 2.3 is NOT relevant to Large Farms nor Large Farm Groups*

Producer Units joining, and in some cases rejoining, the Better Cotton Programme will be required to complete a set-up season prior to the season in which they undergo certification. The idea of this requirement is to allow the Producer Unit to familiarise themselves with the requirements of the programme and put in place the infrastructure and practices required to be successful in their certification. A breakdown of the requirements is given below.

2.3.1 The Partner shall complete the following activities in order to be eligible for a certification audit:

- Hire, recruit and train a Producer Unit Manager and Field Facilitators;
- Establish an effective Producer Unit management and monitoring system in line with the requirements of the Principles & Criteria;
- Complete an internal assessment and establish a baseline to understand current farming practices and challenges within the Producer Unit, including consultations with farmers and relevant communities (refer to Principle 1 of the Principles & Criteria for specific requirements); If gaps are identified, the Producer must develop and implement corrective actions;
- Develop capacity strengthening materials and carry out cascade training to Field Facilitators, farmers and workers;
- Complete and submit to Better Cotton the self-assessment (see [section 2.9](#)), using the form or template provided by Better Cotton;
- Collect, verify and submit to Better Cotton the field-level Results Indicator reporting (RIR) data for a sample of farmers, as defined in the [Farm Data Requirements document](#).

2.3.2 The Producer Unit shall establish its management system (see Principles & Criteria management indicators in [Tables 14 and 15](#)), including the related capacity strengthening activities and monitoring systems.

2.3.3 Once the above activities are completed, the Programme Partner shall complete a Readiness Check of the Producer Unit using the template provided by Better Cotton. The Readiness Check must include, but is not limited to:

- Meetings with Producer Unit management to agree on the process for confirming Producer Unit readiness and applying for certification;

- Interviews with the Producer Unit manager and Field Facilitators to confirm their understanding of and implementation of the Principles & Criteria requirements;
- Interviews with farmers and workers to cross check that the Principles & Criteria requirements are being implemented;
- Farm visits to see implementation in the field;
- Document review of the plans and processes that are in place;
- Records check, where relevant, to see that activities are being carried out and recorded as required.

2.3.4 The Producer Unit shall keep records of the above activities that are readily available.

2.3.5 The Producer Unit shall implement any corrective actions identified during the Readiness Check to assure readiness as per figure 2 before applying for certification.

2.3.6 The Partner shall determine readiness for certification based on the decision tree in figure 2

2.3.7 The Partner shall confirm to Better Cotton the Producer Units to go into certification by the end of sowing and provide to Better Cotton a copy of:

- The readiness check report
- Corrective action plans
- Evidence of implementation of corrections, as relevant

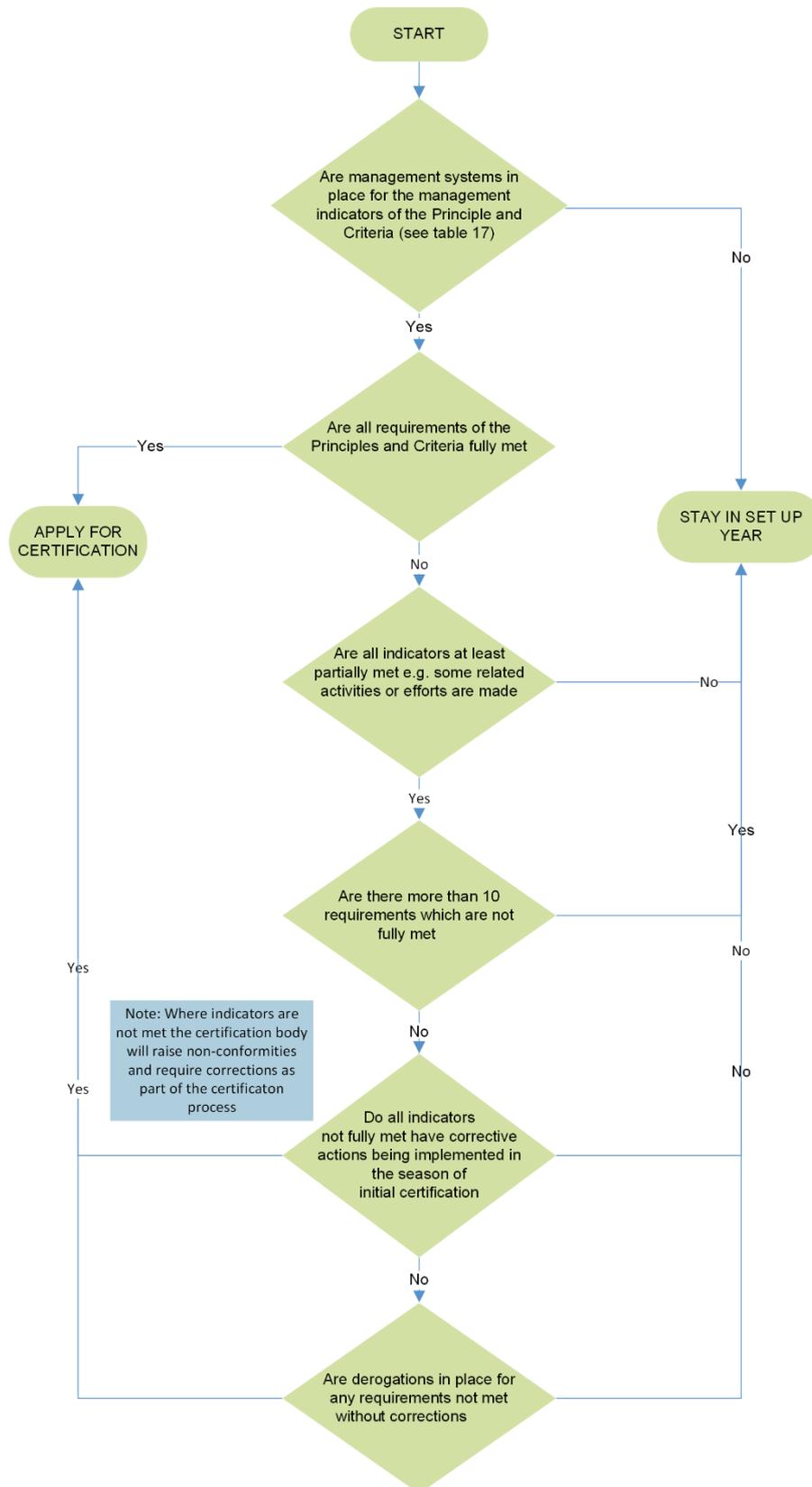
2.3.8 The Partner shall respond to queries from Better Cotton relating to the Readiness Check:

- In the regions where Better Cotton pays for certification costs, Better Cotton reserves the right to not put a Producer forward for certification as per the decision tree in figure 2.

2.3.9 The partner may apply to Better Cotton for a variation ([see section 5.15](#)) to have a certification audit in the first season of a Producer Unit if all the following are met:

- The Producer Unit has been established well in advance of the current crop season;
- The Producer Unit Manager and all Field Facilitators have been hired and trained by the start of sowing;
- An internal/baseline audit on the Producer Unit has been completed by the Producer Unit Manager within 2 weeks of the start of sowing
- Readiness is demonstrated as per figure 2

Figure 2: Determining Producer Unit Readiness to progress to certification



## 2.4 Large Farm Requirements

*Section 2.4 is NOT relevant to Producer Units*

- 2.4.6 Large Farms or Large Farm Groups who wish to participate in the Better Cotton Programme shall register their participation with their local Better Cotton Country Team by the end of sowing, as well as submit the early season section of the self-assessment (part 1).
- 2.4.7 Large Farms or Large Farm Groups are responsible shall adhere to the requirements set out in the Better Cotton Principles and Criteria.
- 2.4.8 Large Farm Groups are responsible shall adhere to both:
- The requirements set out in the Better Cotton Principles and Criteria
  - The requirements in [Section 3: Large Farm Group requirements](#) in this document.
- 2.4.9 Large Farms and Large Farm Group management shall check they are compliant with the relevant requirements as above before applying for certification.
- Large Farms and Large Farm groups may use the self-assessment (see [section 2.10](#)) process as part of this.

## 2.5 Training and Guidance

- 2.5.6 All Programme Partners, individual farms without partners and Large Farm Group Managers shall participate in the relevant capacity strengthening and training provided by Better Cotton.

## 2.6 Producer Assurance Activities

- 2.6.1 Programme Partners, Producer Unit Management, Large Farm management and/or Large Farm Group management shall conduct the activities in Table 4 at the seasonal timings defined and submit to Better Cotton as required.
- 2.6.2 Programme Partners and Producers shall be responsible to assure the accuracy of the information they collect and submit.

**Table 4: Timeline of Activities and Their Deadline for Submission to Better Cotton.**

Activity	Producer type	Start timing	End timing (deadline)
Confirm Producer data (as per Farm Data Requirements)	All	4 weeks before start of sowing	End of sowing
Submit farmer lists	Producer Units only	4 weeks before start of sowing	End of sowing (final confirmed farmer lists)

<b>Internal assessment to inform self-assessment</b>	Producer Unit only	Start of sowing (recommended timing)	End of harvest
<b>Submit early season reporting</b>	All	Start of sowing	End of sowing
<b>Readiness Checks</b>	New Producer Units only	Start of sowing	End of harvest
<b>Submit 'Recommended for Certification' list of new Producer Units</b>	New Producer Units only	N/A	End of sowing
<b>Producer Unit Support visits</b>	Certified Producer Units only	Start of sowing	End of harvest
<b>Self-assessments</b>	All	When survey sent or template provided by Better Cotton	As defined by Better Cotton when sending the survey
<b>Submit results indicator reporting</b>	All	Start of sowing	12 weeks after end of harvest (final confirmed results indicator reporting submitted)

## 2.7 Producer Monitoring Activities

- 2.7.1 Programme Partners, Producer Unit Management, Large Farm management and/or Large Farm Group management shall conduct ongoing first and second party monitoring activities, as detailed in Tables 5 and 6.
- 2.7.2 All data submissions shall be done in adherence of the [Better Cotton Farm Data Requirements](#) and the documents referenced within, including [Working with Results Indicators](#).

**Table 5: Second Party Assurance by Programme Partners (with Support of Local Partners).**

Activity	Description	Applicability	Frequency Triggers	Impact on Certification
<b>Readiness Checks</b>	Assess compliance with the Principles and Criteria, identify gaps and support to close these gaps.	Producer Units only	Before Certification Body allocation in the initial certification year.	Findings available to Certification Body as supporting evidence of management system and/or reference. Not checked directly for compliance.
<b>Support Visits</b>	Monitor Producers compliance with the Principles and Criteria, identify gaps and support to close these gaps. Onsite unless a case of force majeure.	Producer Units only	During the cotton season and at least once during certification.	Findings available to Certification Body as supporting evidence of management system and/or reference. Not checked directly for compliance.

**Table 6: First Party Assurance by Producers.**

Activity	Description	Applicability	Frequency Triggers	Impact on Certification
<b>Self-assessment</b>	Producers assess themselves against the Principles & Criteria and answer questions on their management system and improvement	Large Farms and Producer Units	Annually, as per <a href="#">Section 2.9</a> and <a href="#">2.10</a>	Significant failure to identify issues later found by the Certification Body will result in non-compliance. Related to compliance with Indicator 1.1.2 of the Principles and Criteria for Producer Units and 1.1.4 for Large Farms
<b>Internal-assessment</b>	Producer Unit management gathers information on compliance with the Principles and Criteria from at least 10% of Learning Groups or Medium Farms	Producer Units Only	Annually, as per <a href="#">Section 2.8</a>	As for self-assessment
<b>Data submissions</b>	As per the Farm Data Requirements	Large Farms and Producer Units	Seasonally	Referred to Certification Body when relevant
<b>Internal monitoring</b>	As defined in Indicator 1.1.2 of the Principles & Criteria and including the data on risk of non-compliance from 10% of Learning Groups or Medium Farms as needed to complete the self-assessment.	Producer Units only	Seasonally	Considered in compliance with Indicator 1.1.2 of the Principles and Criteria
<b>Internal audits</b>	Management visit a sample of farms to audit against the Principles and Criteria	Large Farm Groups only	Annually	Significant failure to identify issues later found by the Certification Body result in non-compliance against the group management requirements

## 2.8 Producer Units Internal Assessment

*Section 2.8 is NOT relevant to Large Farms nor Large Farm Groups*

2.8.1 Before completing the self-assessment at Producer Unit level, the Producer Unit Manager and Field Facilitators shall carry out an annual internal assessment which shall include:

- Gathering information from at least 10% of Medium Farms or Smallholder Learning Groups which helps identify any risks to non-compliance with Better Cotton Principles and Criteria
- Identifying current practices used by farmers: During the set-up phase, the internal assessment includes baseline (existing) farmer practices, which helps identify improvement priorities. After a Producer Unit is certified, the internal assessment includes assessing levels of farmer understanding and adoption of the practices promoted through training.

2.8.2 The Producer Unit Manager shall maintain a record of the internal assessment:

- This does not need to be submitted to Better Cotton
- Certification Body auditors may consider this record when auditing 1.1.2 of the Better Cotton Principles and Criteria.

2.8.3 The Producer Unit Management may:

- Conduct the internal assessment as part of their ongoing monitoring activities as per 1.1.2 of the Better Cotton Principles and Criteria
- Use the template provided by Better cotton for internal assessments.

## 2.9 Producer Unit Self-Assessments

*Section 2.9 is NOT relevant to Large Farms nor Large Farm Groups*

2.9.1 Producer Units shall complete an annual self-assessment using the excel template provided by Better Cotton in order to receive or maintain eligibility to trade Better Cotton (see [section 2.1](#)). One Self-assessment is completed per Producer Unit.

2.9.2 The objectives of the self-assessment is to:

- Ensure that Producer Unit self-monitoring is happening in between external audits;
- Support Producer Units in meeting Principle 1 requirements to conduct monitoring, consultation and annually review the activity plan (Indicators 1.1.1, 1.1.2, 1.1.3).

2.9.3 The self-assessment includes, but is not limited to:

- Self-assessment against the Principles and Criteria requirements and identification of compliance gaps, and monitoring of how these are improved upon or resolved.

2.9.4 The Producer Unit should consider the following in completing their self-assessment:

- Internal assessment;
- Certification Body audit;
- Better Cotton monitoring visits;
- Producer Unit Support Visits;
- Previous self-assessments and progress on actions;
- Labour monitoring and remediation system;
- Practice adoption;

- Results indicator reporting data.

2.9.5 The results of the self-assessment are not directly linked to certification outcome but may be used by Certification Bodies to assess the quality of Producer management and monitoring systems as per the Better Cotton Principles and Criteria indicator 1.1.2.

- For example if no gaps are identified in the self-assessments and several gaps are identified by Certification Body, the Certification Body is likely to raise a non-conformity against 1.1.2.

2.9.6 If the Producer Unit does not submit a completed self-assessment in admissible quality by the deadline, the Producer may lose their right to trade Better Cotton (see [Section 5.13](#) on suspensions).

- In extenuating circumstances an extension request for more time to complete the self-assessment can be requested, please refer to [section on variations 5.15](#).

## 2.10 Large Farm Self-Assessments

*Section 2.10 is NOT relevant to Producer Units*

2.10.1 All Large Farms shall complete an annual self-assessment using the survey provided by Better Cotton in order to receive or maintain eligibility to trade Better Cotton (see [section 2.1](#)).

2.10.2 The objectives of the self-assessment are to:

- Ensure that Producer self-monitoring is happening in between external audits;
- Support Large Farms applying for a certificate in assessing their level of preparedness for certification.

2.10.3 The self-assessment includes, but is not limited to:

- Self-assessment against the Principles and Criteria requirements and identification of compliance gaps, and monitoring of how these are improved upon or resolved.

2.10.4 The results of the self-assessment are not directly linked to certification outcome but may be used by Certification Bodies to assess the quality of Producer management and monitoring systems.

- For example if no gaps are identified in the self-assessments and several gaps are identified by Certification Body, the Certification Body is likely to raise a non-conformity against Principles and Criteria Indicator 1.1.4.

2.10.5 The self-assessment timelines and process is communicated by the country teams to the Producer Units.

- 2.10.6 If the Large Farm does not submit a completed self-assessment in admissible quality by the deadline, the Producer may lose their right to trade Better Cotton (see [Section 5.13](#) on suspensions).
- In extenuating circumstances an extension request for more time to complete the self-assessment can be requested, please refer to see [section on variations 5.15](#).

## 2.11 Producer certification

- 2.11.1 Producers, or their related partners, shall apply to and contract with Certification Bodies as outlined in [section 5.3](#) of this document.
- Producers or Strategic Partners that pay for certification may request quotations from all Certification Body approved by Better Cotton for Producer certification.
  - In cases where Better Cotton pays for certification, the allocation of Certification Body is done by Better Cotton.
- 2.11.2 Producers shall provide Certification Body with access to the following areas, when relevant: list of farms, people to interview and documents in order that the audits can be conducted as defined in [Section 5.5](#) of this document.
- 2.11.3 Producer Management or Group Management shall not be involved in the selection of the farms or Learning Groups to visit, and should not be present during the interviews of farmers or workers. See [Section 5.5](#). for more details.
- 2.11.4 Producers shall conduct a root-cause analysis on any non-conformities found, confirming the corrective action plans and where these relate to a change in adoption or awareness across farmers or workers, monitoring their implementation as outlined in [Section 5.9](#) of this document.
- 2.11.5 Producers shall inform Certification Bodies of any changes affecting their certification or its scope.
- 2.11.6 Producers may appeal certification decisions as per [Section 5.9](#) of this document, but may incur costs if appeals are unsuccessful.
- 2.11.7 Producers that pay for their certification may transfer between one Certification Body and another from the list of approved Certification Body (see [Section 5.14](#)).
- 2.11.8 Producers who wish to leave the programme may cancel their certification, and from this point will no longer be able to trade Better Cotton until they re-join the programme as a new applicant and close out of any outstanding non-conformities.
- 2.11.9 Producers that are no longer participating in the Better Cotton programme will have their certification cancelled.

## 2.12 Producer Unit Support Visits

*Section 2.12 is NOT relevant to Large Farms nor Large Farm Groups*

2.12.1 Programme Partners shall conduct a field-based Producer Unit Support Visit on each Producer Unit in either the second or third year of their active certification period:

- These visits are designed to complement – not replace – regular monitoring and field visits by the Programme Partner to all the Producer Units under their management.

2.12.2 The aim of the Producer Unit Support Visit is to:

- Evaluate the Producer Unit's continuous improvement progress, identify challenges and develop solutions (together with the Producer Unit Manager and Field Facilitators);
- Review the effectiveness of the PU's internal management system and training/awareness raising efforts, and determine if any changes are needed;
- Verify whether the Producer Unit is still fully compliant with the Principles & Criteria Indicators, identify any gaps and agree on corrective actions to address them;
- Understand where the Producer Unit needs additional capacity strengthening support and training (including skills development or training of Producer Unit staff and farmers).

2.12.3 Producer Unit Support Visits should be conducted by any experienced member of the Programme Partner organisation who has undergone training in the Better Cotton Programme from Better Cotton or the Programme Partner.

2.12.4 Producer Unit Support Visits shall not be conducted by the Producer Unit Manager (or another staff member) of the same Producer Unit that is being assessed.

### Format and Timing

2.12.5 Producer Support Visits are field-based checks that should typically last at least 2 full days for a Smallholder Producer Unit and 1.5 days for a Medium Farm Medium Farm Producer Unit.

2.12.6 The Producer Unit Support Visit should include, at a minimum, the following elements (others may be included based on the judgement of the Programme Partner representative):

- A meeting with the Producer Unit Manager and Field Facilitators to understand progress and identify key challenges and action plans;
- Individual interviews with at least 5 farmers from 3 different Learning Groups for Smallholder (15 farmers minimum), or 3 farmers for Medium Farm Medium Farm;
- Field observations at a minimum of five individual farms (more farm visits are recommended);
- Worker interviews (whenever possible);
- A detailed review of Producer Unit documents, including the continuous improvement priorities, training records, adoption records, etc.;
- Cross-checking Producer Unit level documents (e.g., training and adoption records) with farmer interviews on a sample basis;

- Observing the Producer Unit Manager and Field Facilitators in their daily work, for example, observing training sessions or farmer focus groups, or shadowing Field Facilitators on individual farmer visits;
- Individual interviews with the Producer Unit Manager and Field Facilitators to understand knowledge strengths and areas for improvement;
- An audit of year-on-year progress in achieving continuous improvement targets and identification of any areas of challenge that require support;
- A closing meeting with the Producer Unit Manager and Field Facilitators to discuss findings, corrective actions and any next steps.

### Outcomes of Producer Unit Support Visits

2.12.7 After the visit, findings are reported using the Producer Unit Support Visit template provided by Better Cotton

2.12.8 The Programme Partner representative carrying out the Producer Unit Support Visit should complete the report and the detailed action plan and share back with the Producer Unit Manager within 3 weeks of the visit.

2.12.9 Copies of the Producer Unit Support Visit reports are to be shared with the Better Cotton Country Team within 2 months of completion, or when requested.

2.12.10 If a Programme Partner determines at any time (including through a Producer Unit Support Visit) that a Producer Unit has significant gaps in meeting any of the Principles & Criteria Indicators, the Programme Partners shall notify the Better Cotton Country Team and the Certification Body in writing of the issue.

2.12.11 This information will not lead to an automatic certification suspension but may result in an additional Surveillance audit being carried out.

## 2.13 Continuous Improvement for Large Farms

2.13.1 Large Farms shall set targets for continuous improvement to maintain certification as per the requirement of 1.3.2 of the Better Cotton Principles and Criteria.

2.13.2 Large farms continual improvement shall go beyond basic compliance with the requirements of the Principles and Criteria.

2.13.3 Large farms shall:

- Identify key area where they can improve their sustainability impacts;
- Set sustainability targets;
- Monitor progress against these targets.

2.13.4 Large farms should in setting continuous improvement focus areas and targets consider:

- Local sustainability hotspots or priorities;
- Input from workers and/or community stakeholders;
- Gender and climate change issues.

## 2.14 Continuous Improvement in Producer Units

- 2.14.1 Producer Units shall identify focus areas for continuous improvement to maintain certification as per the requirements of 1.3.1 of the Better Cotton Principles and Criteria
- 2.14.2 Producer Units should consider sustainability areas that go beyond the Principles and Criteria.
- 2.14.3 Producer Units should in setting continuous improvement focus areas and targets consider:
- Local sustainability hotspots or priorities;
  - Field-level consultation;
  - Gender and climate change issues.
- 2.14.4 Producer Units shall integrate continuous improvement into their planning and monitoring systems as per 1.1.1 and 1.1.2 of the Better Cotton Principles and Criteria.
- 2.14.5 Partners shall review continuous improvement as part of the Producer Unit Support Visits.

## 2.15 Applying for Variations, Exceptional Use and Derogations

- 2.15.1 Producers (or the Programme Partners overseeing Producer Units) wishing to deviate from any of the requirements in the Better Cotton normative documents shall take action as follows:
- For deviations to the Principles and Criteria, a formal derogation request shall be submitted as defined in the [Better Cotton Derogation Policy](#). Cases in which the deviation relates to use of an highly hazardous pesticide (HHP), the Producer shall follow the [Exceptional use Process](#) instead;
  - When the deviation relates to processes in this document or those related to it the Producer shall submit a variation request to Better Cotton;
  - The Producer shall consult with, and gain approval, from their Certification Body prior to submitting the variation request if it relates to the certification processes in [Section 5](#) of this document.
- 2.15.2 The variation request shall be made using the [Online Variation Request Form](#). The request shall include:
- The requirement/Indicator from which the Producer is seeking to deviate from;

- The justification for the deviation;
- Where it relates to a certification process the Certification Body approval shall also be uploaded as part of the variation request.

2.15.3 Better Cotton shall review the variation and confirm the decision, as outlined in [Section 5.15](#).

## 3. Large Farm Group Requirements

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### 3.1 Introduction

- 3.1.1 This section outlines the procedure and requirements for the grouping of Large Farms under one Better Cotton Certificate.
- 3.1.2 All aspects of this section are considered to be normative and shall be complied with by the group management and/or members, as applicable. These group certification requirements apply to the farmer/decision maker on the land that grow cotton applying for group certification to the Better Cotton Principles and Criteria.
- 3.1.3 This group certification may be combined with group chain of custody certification. For chain of custody, the scope of certification is the storage and ginning of the cotton whilst under the ownership of the Large Farm farmer/decision maker.
- 3.1.4 The Large Farm Group certification is model which allows for sample based auditing (i.e. only a sample of farms to be audited) in the case where Group Management is in place and there is a small workforce so there is less risk in not having worker interviews per large farms.
- 3.1.5 Sections 3 and 5 of this document are also applicable. Please note that requirements for Producers include Large Farm Groups.

### 3.2 Scope

- 3.2.1 The scope of certification is as defined in [Section 5.2](#).

### 3.3 Eligibility

- 3.3.1 The eligibility requirements are defined in [Section 5.1](#).

## 3.4 Group Manager Requirements

#### Application and Certification Contact

- 3.4.1 The Group Manager shall apply for certification from a Certification Body approved by Better Cotton for certification to the Better Cotton Principles and Criteria and for certification to the CoC Standard, if applicable.
  - The Group Manager shall agree and confirm the list of participating farms to the Certification Body (see also [Sections 5.3](#)).
- 3.4.2 An authorised representative of the Group Manager shall sign the certification contract with the Certification Body.

3.4.3 The Group Manager shall confirm a main contact for the Certification Body and update the Certification Body if this changes.

### Management System

3.4.4 The Group Manager shall demonstrate it has the management system and resources to assure compliance of the individual farms.

- The management system needs to include the following, as defined in this document: written agreement with individual farms, engagement and outreach activities, data collection and submission to Better Cotton, internal audit, management review, individual farm's details list, correction of non-conformities and processes to add and remove farms to the group.

3.4.5 The Group Manager shall ensure the individual farms comply with these requirements and the Better Cotton Principles and Criteria and, where applicable, chain of custody Standard.

### Engagement and Outreach

3.4.6 The Group Manager shall engage all participating farms in the group to ensure:

- Information from Better Cotton, such as updates on the programme and its requirements or information on Better Cotton events, is shared with individual farmers, as required;
- The participating farms understand the Better Cotton Principles & Criteria Indicators and develop/implement continuous improvement targets and, where relevant, the chain of custody Standard.

### Individual Farm Agreements

3.4.7 The Group Manager and individual farms shall be linked through a written agreement that includes:

- The individual farm's commitment to comply with the Better Cotton Principles and Criteria and, when relevant, the Large Farm Group certification requirements.
- The Group Manager's right to exclude any individual farm in the case of serious non-conformity or failure to plan and/or implement corrective actions.

### Data Collection and Submissions

3.4.8 The Group Manager shall assure timely submission to Better Cotton of the following information:

- Data, as defined in the [Better Cotton Farm Data Requirements](#);
- Better Cotton self-assessment submissions;
- Large Farm registration documents.

### Internal Audit

- 3.4.9 The Group Manager shall organise an annual internal audit of a sample of farms.
- 3.4.10 The sample size shall be at a minimum the square root of the number of individual farms, rounded up to the nearest whole number.
- 3.4.11 The internal audits shall be done onsite at the farm.
- 3.4.12 The Group Manager shall have a method to determine how sampling can be representative of the individual farms, considering the risk factors in [Section 3.7](#).
- 3.4.13 The Group Manager shall avoid assessing the same individual farms for consecutive internal audits, unless there is clear justification to do so.
- 3.4.14 The Group Manager may consider risk factors in how they select the farms to internally audit and/or if the sample size needs to be increased (see [Table 3](#)).
- 3.4.15 The Group Manager may randomize a portion of the sample due for internal audit.
- 3.4.16 A competent individual or team shall conduct the internal audit of each selected individual farm.
- 3.4.17 The internal auditor shall assess each Large Farm against the following criteria:
- The Better Cotton Principles and Criteria;
  - Individual Large Farms requirements (see [Section 3.5](#));
  - Own internal management system, including self-assessments completed and correction of any findings;
  - [Protocol for Producers with subcontracted gins](#) within the Better Cotton chain of custody monitoring and certification requirements for chain of custody, if relevant.
- 3.4.18 The Group Manager shall share the result of their internal audit with their Certification Body.

### Management Review

- 3.4.19 The Group Manager shall carry out an annual management review that includes, as a minimum, the following information:
- Outcomes of the internal audit, including non-conformity correction status;
  - Any changes affecting the group, such as:
    - Better Cotton Principles and Criteria or related derogations;
    - Individual Farms leaving/joining the group;
    - Exceptional circumstances, such as climatic conditions or pest pressures.
- 3.4.20 A record of the management review shall be retained and provided to the Certification Body.

### Correction of Non-Conformities

- 3.4.21 The Group Manager shall take actions to control, correct and address consequences of any non-conformities, including:
- Determining the cause;
  - Planning and implementing corrective actions and preventative measures, and assessing their effectiveness.
- 3.4.22 Where these are raised by the Certification Body, the above actions shall be completed within the required timeframe.

### List of Individual Farms and Changes

- 3.4.23 The Group Manager shall maintain a list of associated farms, including, as a minimum, the following information for each farm:
- Name of farmer;
  - Phone number;
  - Email (if available);
  - Farm name;
  - Cotton acreage;
  - Date farm joined the certificate.
- 3.4.24 The Group Manager shall have a process for adding farms to the group that includes, as a minimum, the following actions:
- The Group Manager provides the individual farm management with the Better Cotton farmer introduction;
  - The individual farm management completes and submits the Better Cotton self-assessment to Better Cotton;
  - The individual farm management confirms they are not listed on any other Better Cotton group certificate.
- 3.4.25 Where the farm has outstanding non-conformities, the Group Manager shall ensure these are corrected before adding the farm to the certificate.
- 3.4.26 The Group Manager shall have a process for removing individual farms from the group that shall include, as a minimum, meet any of the below criteria:
- Individual farms with non-conformities found during an internal audit that show a fundamental failing of farm management and/or failure to correct non-conformities following a previous internal audit;
  - Individual farms that choose to leave the group certificate.
- 3.4.27 The Group Manager shall notify the Certification Body and Better Cotton within 10 days of any individual farms joining or leaving the group certificate.
- 3.4.28 The Group Manager shall inform Better Cotton and the Certification Body in case of any changes to the Group Manager contact.

### Achieving and Maintaining Certification

- 3.4.29 The Group Manager shall ensure that, in the case of systemic non-conformities, no cotton is sold as Better Cotton from the affected farms after the date of withdrawal.
- 3.4.30 The Group Manager shall ensure that all non-conformities are corrected.
- 3.4.31 The Group Manager shall cooperate with all surveillance activities.

## 3.5 Individual Farm Requirements

- 3.5.1 Individual farms shall comply with requirements, submit information to Better Cotton and take on responsibilities as defined in [Section 2](#) of this document. This includes that they have responsibility for:

- Reviewing all compliance gaps identified by the self-assessment and ensuring these are addressed in a timely manner;
- Implementing corrective and preventative measures found during internal or certification audits;

3.5.2 Individual farms within a Group Certification shall also:

- Sign an agreement with the Group Manager as per [Section 3.4](#);
- Fully co-operate in responding to requests from the Group Manager for documentation and farm access, as relevant to these requirements;
- Inform the Group Manager at time of joining the group if they have been part of any previous Better Cotton certification and of any outstanding non-conformities;
- Inform the Group Manager of any changes that affect their certification, including, as a minimum, the following scenarios:
  - Years/seasons they are not growing cotton;
  - Decision to leave the group certificate;
  - If they are leaving the group certificate before joining and being listed on a different group certificate;
  - If the number of workers on the individual farm exceeds 30 personnel.

## 3.6 Certification Body Requirements

3.6.1 Certification in the Large Farm Group model is an assessment and confirmation of compliance to Large Farm Group Management requirements, the Better Cotton Principles and Criteria and where relevant to the Protocol for Producers with Subcontracted Gins.

### Audit

3.6.2 The Certification Body shall assess the Group Manager and a sample of farm sites as a minimum once every 3 years.

3.6.3 All assessments are conducted on site.

3.6.4 The Certification Body shall evaluate the ability of the Group Manager to manage the individual farms of the certificate.

3.6.5 The audit shall include all applicable activities outlined in [Sections 5.4–5.8](#), including reporting.

### Non-Conformities and Corrections

3.6.6 The Certification Body shall raise and action non-conformities found during the assessment, as stated in [Section 5.7](#) and in the [Chain of Custody Monitoring and Certification Requirements](#), and verify their close out as per [Section 5.7](#).

### Assessment Reporting and Decisions

3.6.7 The Certification Body shall produce an assessment report using the Better Cotton Principles and Criteria assessment report template within the timelines laid out in [Section 5.7](#).

### **Certification Decisions**

- 3.6.8 The Certification Body shall take the decision on certification as per [Sections 5.7](#) and [5.8](#), for Principles and Criteria scope, and as defined in the [Chain of Custody Monitoring and Certification Requirements](#), for chain of custody scope.
- 3.6.9 When certification is issued, the Certification Body shall issue a certificate to the Group Manager.
- 3.6.10 The certificate shall include a list of associated individual farms, as per the example in [Annex 2](#).
- 3.6.11 The certificate shall be valid for 3 years from issue, but with an extra year in the first certificate cycle for permission to trade or certification as per [Section 5.7](#) of this document.
- 3.6.12 After the 3 years a full onsite renewal audit is required to maintain certification.

### **Changes to the Certificate**

- 3.6.13 The Certification Body shall update their certificate and notify Better Cotton within 10 days of any individual farm leaving or joining the group.

### **Annual management checks**

- 3.6.14 The Certification Body shall check the group management annually.
- 3.6.15 This may be done remotely.
- 3.6.16 During annual management check of the Group Manager, the following shall be assessed as a minimum:
- The list of associated farms;
  - The rate of change of associated farms (new farms, farms that have left the certificate);
  - The capacity of the Group Manager's management system to manage any change in size of the group, including any increase in size, number or complexity of farms within the scope of the certificate;
  - Records of the Group Manager's internal audits;
  - Records of any corrective action requests issued by the Group Manager, including follow-up and close-out evidence;
  - Records of the annual management review.
- 3.6.17 A report of the annual management check can be produced in the Certification Body own format.
- 3.6.18 If non-conformities are identified in the annual management check the processes outlined in [Sections 5.7](#) and [5.8](#) shall be followed, for Principles and Criteria scope, and in relevant sections of [Chain of Custody Monitoring and Certification Requirements](#), for chain of custody scope.

### **Surveillance audit**

- 3.6.19 In the following cases, the Certification bodies may conduct an onsite Surveillance audit, including both Group Manager and a sample of individual farms:
- An increase of over 33% in the number of individual farms in the group;
    - As a minimum, the farm sample used in the audit will equal the square root of the new farms added;
  - Investigation of a complaint or incident raised by Better Cotton or other relevant stakeholder;
    - As a minimum, the farm sample will include the farms relating to the investigation.
- 3.6.20 For onsite Surveillance audits, the Certification Body shall include the activities outlined in [Sections 5.6](#) and [5.11](#), for Principles and Criteria scope, and relevant sections of [Chain of Custody Monitoring and Certification Requirements](#), for chain of custody scope, including reporting.

#### Renewal audit

- 3.6.21 After 3 years following the closing meeting of the initial audit the renewal audit is due as per the requirements in [Section 5.12](#) of this document.

## 3.7 Risk Factors to Consider in Sampling

- 3.7.1 The following areas should be considered as increasing the risks associated with certification:
- Previous non-conformities or suspensions;
  - Presence of temporary and/or migrant workers;
  - Use of any highly hazardous pesticides approved for exceptional use.
- 3.7.2 The following areas should be considered as reducing the risks associated with certification:
- Participating in Natural Resources Conservation Service programmes;
  - Organic certification;
  - US Cotton Trust Protocol assessed;
  - RegenAgri certification;
  - Other certifications;
  - Regional/state controls that align with the Better Cotton Principles and Criteria(e.g., controls in the state of California, USA, that reduce risk).

## 4. Better Cotton Oversight

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### 4.1 Producer Monitoring and Certification Model Updates

- 4.1.1 Better Cotton periodically reviews the Producer monitoring and certification model to ensure it continues to deliver on its objectives (as outlined in [Section 1](#)), driving opportunities for continuous improvement and maintaining credibility.
- When significant updates are proposed, there will be proactive communication and dedicated consultation opportunities with key stakeholders, including Producers, Programme Partners and Certification Bodies, as well as others;
  - A schedule of the proposed major changes and opportunities for stakeholder consultation will be made public on the Better Cotton Assurance website;
  - Minor changes to the model (that do not fundamentally change the assurance mechanisms and do not have notable implications on cost, credibility, certification or accessibility) can be made by the Better Cotton Assurance team, after consultation with affected stakeholders; these changes require the approval of the Director of Standards and Systems Integrity;
  - Final approval for major changes to the model rests with the Better Cotton Council, which is a multi-stakeholder body elected from the Better Cotton Membership.
- 4.1.2 Feedback or suggestions relating to the Better Cotton Producer monitoring and certification model can be submitted at any time to [compliance@bettercotton.org](mailto:compliance@bettercotton.org) – any emails sent to this inbox will receive written responses and will help inform the schedule of future updates.
- 4.1.3 When a new version of the Producer Monitoring and Certification Requirements is published the following steps will be taken:
- The requirements will be made available on the Better Cotton website;
  - Regional teams and Programme Partners will be informed about the update;
  - For minor changes, the date of publication on the website will be the date for which the changes come into effect;
  - For major changes, i.e., those that fundamentally change the assurance mechanisms and/or have notable implications on cost, credibility, certification or accessibility:
    - a. An effective date for the changes will be agreed and included in the manual based on communication and transition needs. This will be at least 30 days after the publication of the manual;
    - b. Programme Partners will be requested to inform the Large Farms or Producer Units they work with about any changes that impact them sufficiently in advance of the effective date.

### 4.2 Producer Model Oversight

- 4.2.1 External oversight activities are conducted as part of periodic system reviews at least once every 3 years:

- A delay to this may be considered if other oversight activities are conducted in the same year (e.g., ISEAL assessment or accreditation body approval).

4.2.2 External oversight activities are conducted by independent consultants. Better Cotton will request any conflict of interests be disclosed before proceeding with the selected independent consultant/body.

4.2.3 Further details of Better Cotton's oversight mechanism are outlined in the *Assurance Model System Review* documents available on the [Assurance page](#) of the Better Cotton website.

## 4.3 Interactions with Certification Bodies

The following requirements are in addition to the requirements listed in Sections 3 and 13 of the [General Certification Requirements](#).

4.3.1 Better Cotton shall provide training to Certification Body on how to audit to the Principles and Criteria and Large farm Group requirements, and respond to related queries sent to [compliance@bettercotton.org](mailto:compliance@bettercotton.org).

4.3.2 Better Cotton shall provide relevant background information to Certification Body for the Producers they are responsible for auditing and certifying. This will occur at least once per season and take place ahead of the relevant assessment. The information sent shall include but is not limited to:

- Derogations within the active derogations list;
- Exceptional use cases for Highly Hazardous Pesticides within the [exceptional use decisions list](#);
- List of highly hazardous pesticides from the [Better Cotton HHP List](#) that are present in the region and, when relevant, their common product names.
- Self-assessment of the Producer
  - for Large Farm Groups this will be for each individual farm within the group;
- Any variations that have been approved for the Producer;
- if it is the Producer's first audit, completed Readiness Check,
- If it is not the Producer's first audit, previous audit reports, including corrective action plans;
- Any records of corrective action implementation;
- Summary of results indicator reporting data.

## 4.4 Second Party Monitoring

The following requirements are in addition to the requirements listed in sections 3, 13 and 15 of the [General Certification Requirements](#).

4.4.1 Better Cotton shall, on a sample basis and in consideration of the risks and representativeness, monitor Producers' compliance with the Principles and Criteria and Certification Bodies' compliance with the requirements listed in this document (see Table 7 for a breakdown of some the activities).

Table 7: Better Cotton Monitoring Activities.

Activity	Description	Applicability	Frequency Triggers	Impact on Certification
<b>Better Cotton Readiness Check</b>	Audit against the Principles and Criteria or a selection of indicators. Normally completed onsite.	Large Farms in countries with recent history (within past 20 years) of state-enforced labour. Better Cotton also reserves the right in other high risk cases, and where Better Cotton pays.	Only ahead of their initial certification audit	Finding will be shared with Certification Bodies. If there is a risk of systemic or high level of incidentals the Certification Body may either choose not to proceed with certification and/or raise equivalent findings at the certification audit. Better Cotton reserves the right not proceed with certification payment agreement if it is unlikely the producer will achieve certification or permission to trade.
<b>Second-party audits/ monitoring</b>	Audit against the Principles and Criteria or a selection of indicators. Normally completed onsite.	All Producers and Certification Bodies	During the certificate cycle Better Cotton will select a sample to visit for targeted monitoring. This selection will consider risk and range.	Finding will be shared with Certification Bodies. If there is a risk of systemic or high level of incidentals the Certification Body may either raise a corrective action plan or arrange a surveillance visit.
<b>Additional field visits</b>	Range of monitoring activities outside of compliance checks.	Producer Units only	As relevant to the related project	Information can be escalated in case of allegation/ compliance concern
<b>Certification Body shadowing</b>	To observe Certification Bodies audits	All Producers and Certification Bodies	First audit of all new lead auditors and for an ongoing risk-based sample.	Poor performance by the auditor could mean a need for renewal-audit
<b>Draft audit report reviews</b>	Document review and feedback on Certification Body draft audit report	All Producers and Certification Body	Performed ahead of the issue of non-conformities, a sample selected based	Decisions on certification still sit with the Certification Body. Better Cotton reviews can help identify points of

			on risk, such as major programme changes, new Certification Bodies	clarity and consistency to the Certification Body
<b>Final audit report reviews</b>	Document review of Certification Body audit report	All Producers and Certification Body	On a sample basis for each Certification Body each season	No impact on certification. Outcomes may identify Certification Body training needs or performance reviews.

## 4.5 Better Cotton Volume Release

- 4.5.1 Better Cotton shall determine regional Better Cotton volume release dates, which are the dates upon which Better Cotton volume codes are provided to eligible Producers to allow them and their associated gins to trade their cotton with a Better Cotton claim.
- 4.5.2 Better Cotton shall assign the volume amount based on the seasonal data provided to Better Cotton by the Producers, as detailed in the [Farm Data Requirements document](#).
- 4.5.3 Better Cotton shall provide the volume codes to each Producer upon the completion of the following actions:
- Valid certification or permission to trade is in place;
  - Eligibility as per [Section 5.1](#) and, if relevant, [Section 3.3](#).
- 4.5.4 Better Cotton maintains the right to withhold volumes in the following circumstances:
- Related issues that bring Better Cotton into disrepute;
  - Unethical behaviour or deliberate fraud.

## 4.6 Review of and Decision on Variations

- 4.6.1 The Better Cotton team shall review the variation request and provide a response to the Producer as well as their respective Certification Body.
- The response shall include any conditions and timeframe for the deviation;
  - For variations relating to certification process, Better Cotton shall confirm that Certification Body approval has first been obtained.
- 4.6.2 If approved, the variation request shall not necessarily create a precedent; so, if a similar situation arises for the Producer in the future, they shall be required to submit another variation request.
- 4.6.3 Better Cotton shall determine if the scenario could apply to multiple Producers and in such circumstances Better Cotton shall consider if the process document itself should be updated to reflect this.

## 4.7 Oversight of Benchmarked Countries

- 4.7.1 Better Cotton determines equivalence of other Producer standards and assurance schemes based on the [Better Cotton Benchmarking Policy](#). Products certified or approved under these schemes can then be eligible to be traded as Better Cotton and ultimately bear the Better Cotton claim.
- 4.7.2 For schemes that are benchmarked as equivalent, Better Cotton conducts some oversight of the Producer-assurance activities, which can include but is not limited to:
- Review of audit reports;
  - Shadowing audits.

## 4.8 Better Cotton Rights

- 4.8.1 Better Cotton reserves the right to issue and amend the content and requirements stated in this document or any other normative documents that relate to the Better Cotton Producer certification programme. All Producers shall be informed of any changes and shall be given a timeframe to implement those changes as per [Section 4.1](#).
- 4.8.2 The Better Cotton Principles and Criteria are a voluntary standard that Producers may opt in to. Better Cotton is not liable towards Producers for any direct or indirect damages arising out of or in connection with the issuing or not issuing of Better Cotton volumes for any reason, unless the damage arises out of or in connection with Better Cotton's intentional or gross negligent conduct.

## 4.9 Publicly Available Information

- 4.9.1 Better Cotton shall make available information relating to Producers that are within the programme, and their current certification and past licensing statuses. This will include licensees withdrawn in the past 5 years including the date of withdrawal.

## 5. Certification Body Process

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### 5.1 Eligibility

#### Eligibility for Certification and Trade of Better Cotton

- 5.1.1 Producers shall only be eligible to apply for certification and, if successful, have an ongoing right to trade Better Cotton if they meet the below requirements:
- Located in one of Better Cotton's Producer countries: China, Cote D'Ivoire, Egypt, India, Mali, Mozambique, Pakistan, Tajikistan, Türkiye, United States, Uzbekistan;
  - Participating in the Better Cotton programme;
  - Covered by Better Cotton due diligence requirements if relevant (through a direct agreement or other mechanism);
  - Allow access for Better Cotton for Readiness Checks if relevant, and respond to any requests for information;
  - Meet the eligibility requirements by Producer type, as detailed in Table 8.
- 5.1.2 Certification Bodies may only accept for certification Producers that meet the requirements in Section 5.1.1 above.
- 5.1.3 Certification Bodies shall confirm if the gins are service providers to the producers.
- In situations where the Producer, associated partners or farms within the Producer unit, own the cotton through the ginning process Certification Bodies shall also follow the requirements in protocol for Producers with Subcontracted gins within Better Cotton's Chain of Custody Monitoring and Certification Requirements (on the Better Cotton [Certification webpage](#)).

**Table 8: Eligibility for Certification by Producer Type.**

Producer Type	Requirements for Initial Audit	Ongoing Requirements for Right to Trade Better Cotton
<b>Producer Units</b>	<ul style="list-style-type: none"> <li>• Programme Partner has an agreement with Better Cotton and any due diligence requirements are met;</li> <li>• Producer Unit completes all Producer Unit set-up requirements</li> <li>• Programme Partner completes an onsite Readiness Check and determines the Producer Units ready for certification (see relevant section);</li> <li>• Allow Better Cotton readiness check if relevant based on risk (e.g. previous failed audit).</li> </ul>	<ul style="list-style-type: none"> <li>• Complete annual self-assessment;</li> <li>• Submit annual results indicator reporting data;</li> <li>• Programme Partner completes Producer Unit Support Visit;</li> <li>• Programme Partner maintains partnership agreement with Better Cotton and any related due diligence met;</li> <li>• Allow access for Better Cotton monitoring visits and respond to Better Cotton's requests for information.</li> </ul>
<b>Large Farms</b>	<ul style="list-style-type: none"> <li>• Complete self-assessment;</li> <li>• Has received a Better Cotton Readiness Check, if relevant (as defined in <a href="#">table 7</a>).</li> </ul>	<ul style="list-style-type: none"> <li>• Complete annual self-assessment;</li> <li>• Submit annual results indicator reporting;</li> <li>• Agreement with Better Cotton, or is overseen by a Better Cotton partner, and related due diligence met;</li> <li>• Allow access for Better Cotton monitoring visits and respond to Better Cotton's requests for information.</li> </ul>
<b>Large Farm Groups</b>	<ul style="list-style-type: none"> <li>• Complete self-assessment;</li> <li>• Group Manager has implemented management and internal audits across all farms, as per <a href="#">Section 3.4</a>;</li> <li>• Individual farms in the group all have under 30 workers;</li> <li>• Individual farms all have a fully mechanised harvest, i.e., no people manually pick cotton.</li> </ul>	<ul style="list-style-type: none"> <li>• Complete annual self-assessment;</li> <li>• Submit annual results indicator reporting data;</li> <li>• Individual farms in the group all have under 30 workers and a fully mechanised harvest;</li> <li>• Group Manager that has an agreement with Better Cotton and related due diligence met;</li> <li>• Allow access for Better Cotton monitoring visits and respond to Better Cotton's requests for information.</li> </ul>

## 5.2 Scope

Growing, harvesting and storage of cotton on the land owned or leased by the farmers within the producer to the Better Cotton Principles and Criteria, and where relevant the Large Farm Group requirements and/or Protocol for Producers with Subcontracted gins (within the CoC Monitoring and Certification Requirements)

## 5.3 Allocation, Application and Agreement

### Producer Application and Certification Body Allocation

- 5.3.1 Only Certification Bodies approved by Better Cotton may issue certification to the Better Cotton Principles and Criteria.
- 5.3.2 Certification Bodies may be selected by the Producer or allocated by Better Cotton as outlined in Table 9 below.
- 5.3.3 Once the Certification Body has been allocated the application process can begin.
- 5.3.4 Certification Bodies shall inform Better Cotton within 10 days of receipt of an application.
- 5.3.5 The Certification Body shall follow Section 14 of the [General Certification Requirements](#). when handling an application and Section 20 of the [General Certification Requirements](#). when handling a transfer or previously certified Producer.
- 5.3.6 All Certification Bodies are required to provide quotations to interested parties upon request.
- 5.3.7 The Certification Body shall additionally request the necessary information to assure eligibility of the Producer as per [Section 5.1](#), for Large Farm Groups.
  - The Certification Body shall not accept an application if eligibility is not assured;
  - The Certification Body shall additionally request in the case of Producer application the information as listed in Table 10 below.

**Table 9: Certification Body Allocation and Contracting.**

<b>Better Cotton Country of Operation</b>	<b>Producer Type</b>	<b>Allocation</b>	<b>Payment for Certification</b>
<b>Egypt</b>	Any producer	Strategic Partner selects the Certification Body from the Better Cotton list of Certification Body approved in that country and commissions the certification audit directly.	Strategic Partner pays the certification costs through a direct agreement with the Certification Body
<b>Cote D'Ivoire</b>	Any producer	Programme Partner selects the Certification Body from the Better Cotton list of Certification Body approved in that country and commissions the certification audit directly.	Programme Partner pays the certification costs through a direct agreement with the Certification Body
<b>Turkiye</b>	Producer Units	Better Cotton allocates the Certification Body to the Producers in consultation with the Strategic Partner. Strategic Partner commissions the certification audit directly.	Strategic Partner pays the certification costs through a direct agreement with the Certification Body. Better Cotton provides the relevant funding to the Strategic Partner.
<b>Pakistan, Turkiye, Uzbekistan</b>	Large Farms	Large Farm and Large Farm Groups select their Certification Body from those approved by Better Cotton in the region, and commissions the certification audit directly.	Individual large farms or large farm group managers pay the certification cost through a direct agreement with the Certification Body.
<b>China, India, Mali, Mozambique, Pakistan</b>	Producer Units	Better Cotton allocates the Certification Body to the Producers and commissions the certification audit directly.	Better Cotton pays the certification costs for Producer Unit through a direct agreement with the Certification Body.
<b>United States</b>	Large Farms	Large Farm or Large Farm Groups select their Certification Body from those approved by Better Cotton and commission the certification audit directly.	Individual large farms or large farm group managers pay the certification cost through a direct agreement with the Certification Body.

**Table 10: Information to be Requested Upon Producer Application (additional to Section 14 of General Certification Requirements).**

Producer Type	Additional Information
All	<ul style="list-style-type: none"> <li>• Languages spoken locally as relevant to the labour profile of the Producer</li> </ul>
Producer Units	<ul style="list-style-type: none"> <li>• Programme Partner name and contact information;</li> <li>• Name of project and Producer Unit code;</li> <li>• List of farmers</li> <li>• Producer Unit Manager name and contact information;</li> <li>• Copy of the completed self-assessment;</li> <li>• Copy of the completed Readiness Check, including confirmation of completed corrective actions or, when relevant, planned in the upcoming season;</li> <li>• Information on regional risks and/or relevant external sources to consult;</li> <li>• Labour profile information.</li> </ul>
Large Farm Groups	<ul style="list-style-type: none"> <li>• Large Farm Group Manager name and contact details;</li> <li>• List of individual farms included in the group, including the following information: farm manager name and contact details, farm address and farm acreage.</li> </ul>

## Certification Agreement

- 5.3.8 The Certification Body shall use a certification agreement, which follows the requirements list in Section 14 of the [General Certification Requirements](#).
- 5.3.9 For agreements relating to Producer certification the contract shall also define that the Producer shall adhere to the relevant requirements in the Better Cotton Principles and Criteria, Principles and Criteria Monitoring and Certification Requirements and where relevant Better Cotton Protocol for Producers with Subcontracted Gins.

## 5.4 Preparing for Audits

- 5.4.1 The Certification Body shall notify Better Cotton that the audit is to be scheduled at least 3 weeks prior to it taking place, and normally at the start of the season.
- Better Cotton shall confirm which, if any, reports are to be sampled at the draft report stage.
- 5.4.2 The Certification Body shall follow Section 15 of the [General Certification Requirements](#) when preparing for the audit.
- 5.4.3 The Certification Body shall assign an auditor/audit team to the Producer that fulfils the following requirements:
- Have relevant competence/experience for the audit;
  - Have signed the code of conduct;
  - Have no conflicts of interest or have any declared with relevant mitigations in place;
  - Lead auditor shall meet the Better Cotton lead auditor competency, be registered with Better Cotton, have completed Better Cotton training and, when relevant, have passed the exam (Producer and/or Supply Chain, as relevant).

- 5.4.4 If leading a Better Cotton audit for the first time, the auditor shall be shadowed by Better Cotton.
- 5.4.5 The Certification Body shall ensure it has sufficient resources to conduct the technical review and certification decision;
- This person shall be different to the assigned assessor;
  - This person/s shall be appropriately competent and have no conflicts of interest, or any conflicts mitigated.
- 5.4.6 The Certification Bodies auditor/team shall consider the following information when planning the onsite audit:
- The Producer's history, including self-assessment, previous audit reports, corrective action plans and correction evidence, when relevant;
  - Other background information provided by Better Cotton as relevant (see [Section 4.3](#));
  - Remotely reach out to local external sources as feasible (see [Section 5.6](#)).
- 5.4.7 The Certification Bodies auditor/team may reach out to local sources as feasible.

### **Producer Unit Initial Audit Preparation Only**

This does not include those transferring from licensing.

- 5.4.8 For initial audits the auditor should do a document review ahead of the onsite audit. This shall consider the robustness and strength of the management and monitoring system in place and shall include a review of the following documents:
- Readiness Check and related corrections;
  - Activity plan;
  - Monitoring plan;
  - Consultation records;
  - Labour monitoring and remediation system documentation;
  - Records of capacity-strengthening activities.
- 5.4.9 If the auditor identifies that it is likely the Producer Unit will not meet the compliance thresholds to achieve certification (see [Tables 19, 20 and 21](#)), they shall communicate to the Certification Body decision maker who, if in agreement, shall contact the Producer and party paying for certification (if different) to recommend not to proceed with an onsite audit. In this case, Better Cotton reserves the right to not proceed with an audit where Better Cotton is the payer.
- 5.4.10 If documents are not submitted in time the audit may need to be postponed or withdrawn. This may affect the feasibility to take a decision on certification ahead of the Better Cotton volume release date.

## **5.5 Audit Planning**

- 5.5.1 The Certification Body shall ensure that sufficient time and resources are allocated to the audit process for personnel to carry out the assigned tasks. This covers time for the auditor to effectively perform the audit activities, including but not limited to:
- Audit preparation;
  - Execution and/or reporting activities to collate all the evidence required to deliver an accurate audit report. If interpretation is required, this shall be arranged in advance.
- 5.5.2 The Certification Body shall consider the geographical region, size and complexity of the Producer to determine the number of days required for an audit.
- 5.5.3 The auditor shall ensure that they complete the audit in its entirety, even if this means taking longer than the estimated time.
- 5.5.4 The Certification Body shall plan the timing of the audit around the following factors:
- When cotton is being grown or harvested;
  - For initial audit, make sure there is sufficient time to take the decision on certification ahead of the date when Better Cotton will release the volumes of Better Cotton to Producers in that region;
  - For Producers transitioning from a license to certification, licenses may be extended when this is not feasible;
  - When the report has been selected for review, Certification Body shall allow 7 days for the Better Cotton draft report review to be completed;
  - For surveillance and renewal audits, the best time to access the priority and risk areas, e.g., worker interviews;
  - For renewal audits, ensuring between 12 and 18 months left on current certificate.
- 5.5.5 The Certification Body shall communicate with the Producer to arrange an audit.
- 5.5.6 The auditor shall communicate the date of the audit between 7 and 14 days in advance of the scheduled visit.
- 5.5.7 The auditor shall send the Producer an audit plan including, as a minimum:
- Date of the audit;
  - Scope of the audit;
  - Audit team;
  - Audit activities.

## 5.6 Producer Audit

- 5.6.1 The Certification Body carries out the audit to evaluate objective evidence to determine the extent to which the Producer is following the Better Cotton Principles and Criteria and, where relevant, Large Farm Group requirements.
- 5.6.2 The auditor shall follow the requirements in the [General Certification Requirements](#) section 15 in addition to the information here.
- 5.6.3 The auditor shall follow [General Certification Requirements](#) Section 15 in relation to all interviews, and consider the interview guidance in [Annex 1](#).
- 5.6.4 The Certification Body carries out all initial audits onsite except in the case of force majeure. For other audits see Table 11.

**Table 11: Certification Body Audit Types.**

<b>Audit Type</b>	<b>Description</b>
<b>Initial audit</b>	A Producer Unit, Large Farm or Large Farm Group’s first audit. Also used when a Producer re-joins after withdrawing from the programme. This is a full audit and is always completed onsite except for cases of force majeure. For new Producer Units it is normally preceded by a document review.
<b>Surveillance audit</b>	An audit performed between full audits, which is focused on management and areas of risk or non-compliance. This is a partial audit that may be completed remotely or onsite and is only done on a risk basis.
<b>Renewal audit</b>	Audit to renew certification performed 4 years after initial audit for Producer Units and 3 years for Large Farms and Large Farm Groups, ensuring at least 1-year until certificate expiry. This is a full audit and is always completed onsite except for cases of force majeure.
<b>Management checks</b>	For Large Farm Groups, a remote check annually of group management internal systems. See <a href="#">Section 3</a> for details.

### Sample Size and Selection

- 5.6.5 The auditor shall plan and conduct initial audits and renewal audits in alignment with the minimum sample sizes, as stated in [Table 13](#).
- 5.6.6 The auditor shall select samples for audit in consideration with the factors in selecting samples and sample size, as stated in [Table 13](#).
- 5.6.7 The auditor shall select samples for audit in consideration with the factors in selecting samples and sample size, as stated in [Table 13](#).
- 5.6.8 For all Producers, the auditor shall not sample the same farms, Learning Groups and individuals at consecutive audits unless there is good reason.
- 5.6.9 The auditor shall assure that when selecting workers for interview or selecting farms or learning groups to visit the relevant farmers or management pay not role.
  - As relevant to Producer type this includes: Smallholder and Medium farmers, Producer Unit staff, Large Farm management, Large Farm Group management or Programme Partner.

### Gathering Information from External Sources

- 5.6.10 The Certification Body shall gather information from external sources for all Producer audits, as per [Table 12](#).
- 5.6.11 The Certification Body may gather this information ahead of the onsite audit or during the onsite audit.
- 5.6.12 Examples of external sources include school teachers, community leaders, health centres, agricultural labour inspectors, civil society organisations and agrochemical dealers. External sources may additionally include government databases and news articles as well as Better Cotton.

### Opening Meeting

5.6.13 The auditor shall conduct the opening meeting with the relevant management responsible for the Producer or Large Farm Group.

5.6.14 The auditor shall cover the relevant information as per [Table 12](#).

### Document Review

5.6.15 For all Producers, the auditor shall review documents as per [Table 12](#).

5.6.16 The auditor shall consider the self-assessment record (and internal assessment record for Producer Units) when considering the Producers ability to identify risks of non-conformity and compliance with the related Principles and Criteria Indicator (1.1.2 for Large Farms and 1.1.4 for Producer Units).

5.6.17 To maximize time for on-site interviews with workers, farmers and Producer management, documentation should be requested at least 1 week in advance (ideally 2 weeks). The review of this documentation should be completed before the onsite verification.

### Interviews

5.6.18 For all producer the auditor shall conduct interviews, see the types of interviews per producer type and what to include as per [Table 12](#).

5.6.19 The auditor shall consider the best way to conduct interviews to get the best representative group and assure a good level of participation.

5.6.20 The auditor should consider where it is relevant to use focus group discussions (no more than 6-7 people) alongside one to one interviews;

5.6.21 The auditor should be avoid groups where hierarchies, cultural or language differences create barriers to participation.

5.6.22 The auditor shall ensure the following aspects for worker interviews:

5.6.23 Participants in the interview feel safe, secure and comfortable and their privacy is protected;

5.6.24 Information about the interviews and the information obtained shall be recorded, but worker names can be withheld owing to confidentiality. In these cases, a short description of the role is sufficient;

5.6.25 Interview questions shall not be leading.

5.6.26 If it is not possible to interview hired workers onsite due to reasons beyond the auditor's control, the reasons provided by Producer management or the auditor's observations should be clearly documented in the audit report. If onsite interviews cannot be conducted for a justifiable reason, remote interviews with workers and/or labour brokers should be arranged. Worker interviews are crucial for verifying the Principle 5 Indicators.

5.6.27 The audit teams and accompanying translators should allow for interviews of small holder/ medium farm farmers or Large Farm management and workers without the presence of Large Farm Group management, Field Facilitators, Producer Unit management or Programme Partners. Exceptions to this may be considered where the range of languages spoken makes this impossible and assistance is needed in translation. This should be noted within the audit report and should not be the case of the majority of interviews.

### Farm Visual Inspection

5.6.28 The auditor shall assess compliance with the Better Cotton Principles & Criteria through visual inspection. This includes but is not limited to the areas identified as relevant in [Table 12](#).

### **Assessing Compliance of the Producer Unit Management System**

5.6.29 For all clauses in the Better Cotton Principles and Criteria, the auditor will consider the overall management system in the following areas:

- Policies and plans, including if they are realistic and locally relevant, and well understood;
- Competency of the Producer Unit management and Field Facilitators;
- Implementation and interventions;
- Monitoring, including how do they track progress and are issues detected.

5.6.30 The auditor shall also consider how the Producer Units internal management system assures compliance to the Principles and Criteria across the Producer Unit. As part of this, the auditor should consider the following:

- Producer Unit Learning Group formation and participation;
- Data collection from farms and use in monitoring compliance;
- Internal assessment sample planning and reporting, and related self-completion;
- Corrective action implementation across farms in the Producer Unit through training or other interventions;
- How the self-assessment supports and demonstrates the internal management, identifying risks to compliance and mitigating them.

5.6.31 Where gaps are found in a management area, the non-conformity can be raised against the relevant management Indicators as per the Decision Trees in [Section 5.7](#).

### **Closing Meeting**

5.6.32 The auditor shall, at the end of the audit, conduct a closing meeting with the Producer management. The meeting shall cover the following topics in [Table 12](#).

### **After the audit**

5.10.2 The auditor shall report to Better Cotton within 24 hours if they detect any kind of unethical conduct from the staff representing the Producer, including the offering of bribes in any kind or cash. This will result into a negative audit decision.

Table 12: Audit components

Section of the Audit	Producer Type	Relevant Information
Gathering information from external sources	All	Information on both environmental and social aspects of the Better Cotton Principles and Criteria as relevant within the region. For example labour profiles and hiring practices, farming practices adopted by farmers in the region, pesticide use, health impacts of heat or pesticides.
Opening meeting	All	Introductions, purpose of the audit, summary of audit activities, check documentation is available, confirm no retaliation steps taken against workers (or farmers where relevant), method of reporting and non-conformity grading, confidentiality and conflicts of interest, language of the audit.
	Producer Units, Large Farm Groups	List of farmers or learning groups to select for sample
Farm visual inspection	All	Management and storage of pesticides and fertilizers; type of labour used on the farm; water sources used for irrigation; practices affecting health and safety, such as use of personal protective equipment; availability of potable water
Document review	All	IPM Strategy, self-assessment records
	Producer Units	Activities and monitoring plans, internal assessments, farmer field books, records of monitoring
	Large farm groups	Internal audit and management review records, Site list and status
	All where minimum wage is being verified	<p>List of all workers, including seasonal and temporary workers, with full names, gender, year of birth, type of work (permanent/seasonal/temporary), worker category and start/end dates of work;</p> <p>Payroll documentation for all worker types/categories, including overtime payment records (if applicable), worker timesheets and output records (if applicable, such as in the case of output-based/piece work);</p> <p>A sample of written contracts (at least one for each type/category of worker, if applicable);</p> <p>Collective bargaining agreements (if applicable);</p> <p>Agreements and payment records related to labour brokers or other intermediaries involved in recruitment, management or payment of labour, including their licenses/certificates and contact details (names, emails and phone numbers of main contact points, if applicable).</p>

<b>Producer Unit management interview</b>	Producer Units	<p>Roles, responsibilities and structure of the Producer Unit;</p> <p>Activity plan development, review, implementation including participation in activities by farmers, workers and communities;</p> <p>Monitoring plan design, implementation and improvement tracking. Including internal assessment and self-assessment;</p> <p>Data management systems in place;</p> <p>Labour monitoring and remediation system development, findings, activity adjustments, community consultation;</p> <p>How consultation and capacity strengthening is planned to be inclusive;</p> <p>Gender lead appointment and consultation;</p> <p>Understanding climate change adaptation and mitigation priorities;</p> <p>Areas of livelihood focus and how they were selected;</p> <p>For renewal audits areas of continuous improvement and progress against them;</p> <p>Understanding of the Better Cotton Principles and Criteria.</p>
<b>Large Farm management interviews</b>	Large Farms & Large farm Groups	The farm management systems, labour profile and management, if a renewal audit the continuous improvement focus areas and progress. As relevant labour monitoring and remediation system, gender lead appointment and consultation.
<b>Large Farm Group management interview</b>	Large Farm Groups	Resources to oversee the farms in the group, internal audit outcomes and corrections, compliance with large farm group requirements
<b>Smallholder and Medium Farm Farmer interviews</b>	Producer Units	<p>Participation in Producer Unit activities;</p> <p>Their understanding of the practices promoted by Producer Unit management to meet the Better Cotton Principles and Criteria, and their level of implementation.</p>
<b>Worker interviews</b>	All	<p>Understanding/access to information on labour rights;</p> <p>Participation in and understanding of capacity strengthening/training activities;</p> <p>Recruitment processes;</p> <p>Payment modality;</p> <p>Understanding of health and safety in their roles;</p> <p>Understanding on age appropriate work;</p> <p>Any risk areas relevant to the regional context.</p>
<b>Gender lead or committee interview</b>	All where Gender lead required	How they have been consulted in ensuring inclusivity (including consultation, monitoring and capacity strengthening activities, and/or training as relevant)

<b>Closing meeting</b>	All	<p>Thank Producer management for facilitating the audit;</p> <p>Re-iterate the purpose of the audit;</p> <p>Confirm the positive findings where the Producer is performing well;</p> <p>Confirm and leave a record of potential non-conformities;</p> <p>Confirm the next steps, including timelines for the corrective action plan template (if relevant), the report, decision on certification or permission to trade, and corrective action plan and implementation.</p>
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**Table 13: Sample sizes**

Sample	Producer Type	Minimum Sample Size	Selecting the Sample
<b>External sources</b>	All	3	<p>Independent from the Producer and Producer influence;</p> <p>Local and relevant to the Producer being audited;</p> <p>Consider any risks and recommendations from Better Cotton;</p> <p>Consider both environmental and social aspects.</p>
<b>Farmer fields visited</b>	Large Farm Group	Square root of the total number of farms in the group rounded to the nearest whole number	Consider different regions and risks and any issues identified in the internal audit. Sample size may be increased in cases of risk, such as previous suspension, presence of temporary workers, use of highly hazardous pesticides approved for exceptional use.
	Medium Farm Producer Unit	3	Consider different regions and risks, new farms joining the group
	Smallholder Producer Unit	1	Consider outcomes of farmer interviews, including access to workers, practice adoption and possible risks
<b>Worker interviews</b>	All	Between 5 and 30 workers. For producers with fewer than 5 workers, attempts should be made to interview all workers	<p>Sample to be representative and incorporate any vulnerable groups (e.g., migrants and particular genders and castes). Include any worker categories not included in previous audits. Include worker representative where relevant. Consider different categories or hired labour.</p> <p><i>Note: Include labour brokers interviews when relevant and possible</i></p>

<b>Farmer field books</b>	Producer Units	Not defined	Consider sampling those that can be cross checked with people interviewed and a sample from farms not visited during the audit
<b>Learning Groups visited</b>	Smallholder Producer Unit	3	Consider Learning Groups under new Field Facilitators or Field Facilitators with the most Learning Groups to manage
<b>Farming households interviewed</b>	Medium Farm Producer Unit	3	Dependent on farmer fields visited
	Smallholder Producer Unit	15, with 5 from each Learning Group	Dependent on learning groups visited; Consider inclusion of any vulnerable groups.
<b>Producer Unit management</b>	Producer Units	All Producer Unit Managers and where feasible all Field Facilitators	Where this is not possible to interview a representative sample should be interviewed, considering Field Facilitators overseeing different regions and risks. If it not possible to interview all Field Facilitators a note shall be made in the audit report to consider in the next audit.

## 5.7 Non-Conformities, Report and Corrective Action Plans

### Identifying and Grading of Non-Conformities

- 5.7.1 The auditor shall identify findings throughout the audit as per [General Certification Requirements](#), Section 15.
- 5.7.2 The auditor shall grade non-conformities based on the category of indicator and the relevant Decision Tree, as defined in Tables 14 and 15 and related Decision Trees.
- Where Decision Trees refer to more than one source, this does not mean an individual person but refers to different source types for example interviews with farmers and workers identify a common issue, or interviews with a farmers and a review of farm data identify a common issue.

### Decision Trees on Non-Conformity Grading

Table 14: Indicator Types and Related Decision Tree.

Type	What	Decision Tree
<b>PU management Indicators</b>	Indicators that require a management system, process, plan or strategy. This will have associated documents and/or records. It is expected that this is: implemented, understood by those responsible, relevant to the regional context, covers all relevant field indicators.	1
<b>Producer Unit field Indicators</b>	Indicators where adoption and/or awareness is expected in the farm, field, by farmers and/ or workers. The Producer Unit management will monitor this adoption. The Producer Unit will have targets for adoption/ awareness to track to assure compliance. Capacity strengthening activities covers this where improvement is needed. In the case of decent work indicators will also monitor the risk and provide relevant remediation	2 (Sections A and B)
<b>Producer Unit other Indicators</b>	Indicators which do not fit the above categories where compliance needs to be assessed in isolation	4
<b>Large Farm management Indicators</b>	Indicators that require a management system, process, plan or strategy. This will normally have associated documents and/or records but may be a system which can be demonstrated. It is expected that this is: implemented, understood by those responsible, relevant to the regional context, covers all relevant field indicators.	1
<b>Large Farm field Indicators</b>	Indicators where adoption at the farm is required either in farming practices or good labour practices. The Large Farm is able to demonstrate that farming practices are implemented and on target. For decent work indicators, the Large Farm should be able to demonstrate good labour practices	3
<b>Large Farm other Indicators</b>	Indicators which do not fit the above categories where compliance needs to be assessed in isolation.	4
<b>Large Farm Group management Indicators</b>	The Large Farm Group management requirements requiring management plans, records and implemented activities across the farm. Responsibility for assuring the Large Farms compliance with the Principles and Criteria.	6

Decision tree 5 shall also be considered in all grading of non-conformities at surveillance or renewal audits.

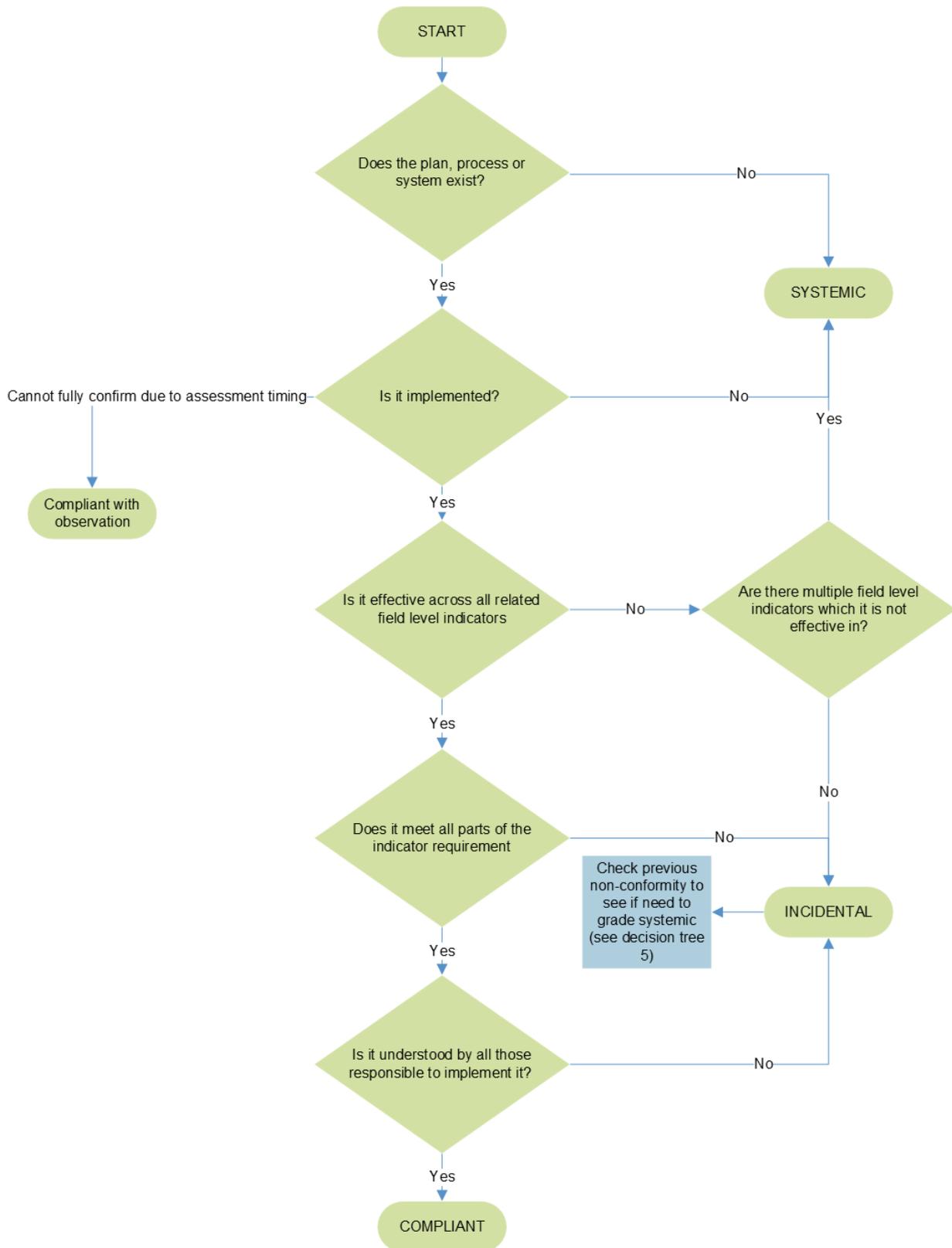
Table 15: Indicators and Applicable Type to Determine Decision Tree

Principles and Criteria Indicator	Producer Unit management	Producer Unit field	Producer Unit other	Large Farm management	Large Farm field	Large Farm other
1.1.1	X					
1.1.2	X					
1.1.3	X					
1.1.4				X		
1.1.5			X	X		
1.1.6		X				X
1.2.1	X			X		
1.2.2	X			X		
1.3.1	X					
1.3.2				X		
1.4.1	X			X		
1.4.2			X			X
1.4.3			X			X
1.4.4				X		
1.5.1						
1.5.1	X			X		
1.5.2			X			X
1.6.1	X			X		
1.7.1		X				X
1.7.2			X			X
2.1.1		X			X	
2.1.2		X			X	
2.1.3		X			X	
2.1.4		X			X	
2.1.5		X			X	
2.2.1		X			X	
2.2.2		X			X	
2.3.1		X			X	
2.3.2		X			X	
2.3.3		X			X	
2.4.1			X			X
2.4.2			X			X
3.1.1	X					
3.1.2		X				
3.1.3		X				
3.1.4		X				
3.1.5		X				
3.1.6		X				
3.1.7				X		
3.2.1		X			X	
3.3.1		X			X	
3.3.2	X			X		
3.4.1		X			X	
3.5.1		X			X	

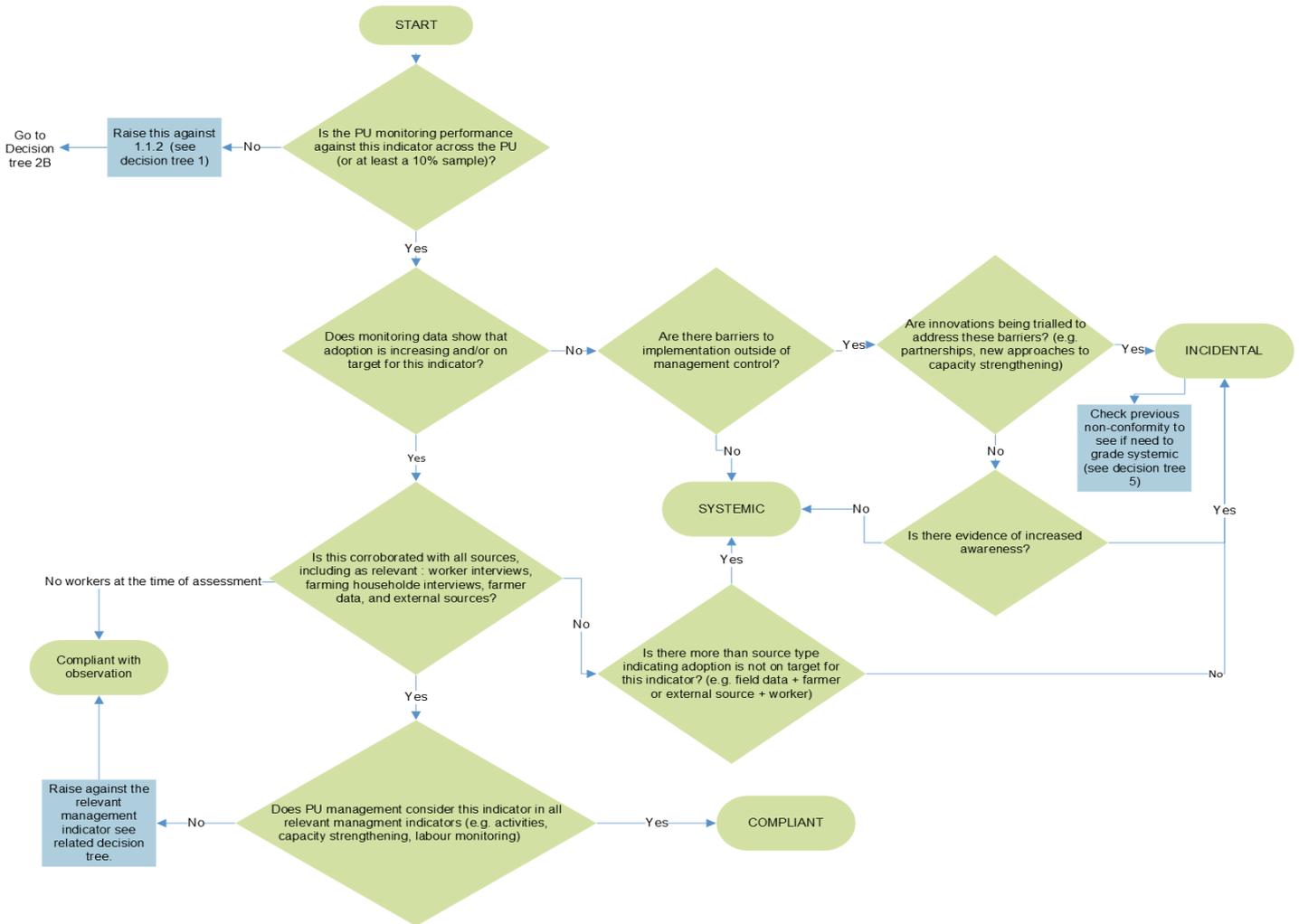
3.5.2		X		X
3.5.3		X		X
3.5.4		X		X
3.5.5		X		X
3.5.6		X		X
3.5.7		X		X
3.5.8		X		X
4.1.1		X		X
4.1.2		X		X
5.1.1	X		X	
5.1.2		X		X
5.1.3		X		X
5.1.4				X
5.2.1		X		X
5.3.1		X		X
5.4.1		X		X
5.4.2		X		X
5.4.3		X		X
5.4.4		X		X
5.5.1		X		X
5.6.1		X		X
5.7.1		X		X
5.7.2		X		X
5.8.1		X		X
5.8.2		X		X
5.8.3		X		X
5.9.1		X		X
5.9.2		X		X
5.10.1		X		X
5.10.2		X		X
6.1.1			X	X
6.1.2		X		X

Note: Indicators 5.3.1-5.9.2 are all decent work related.

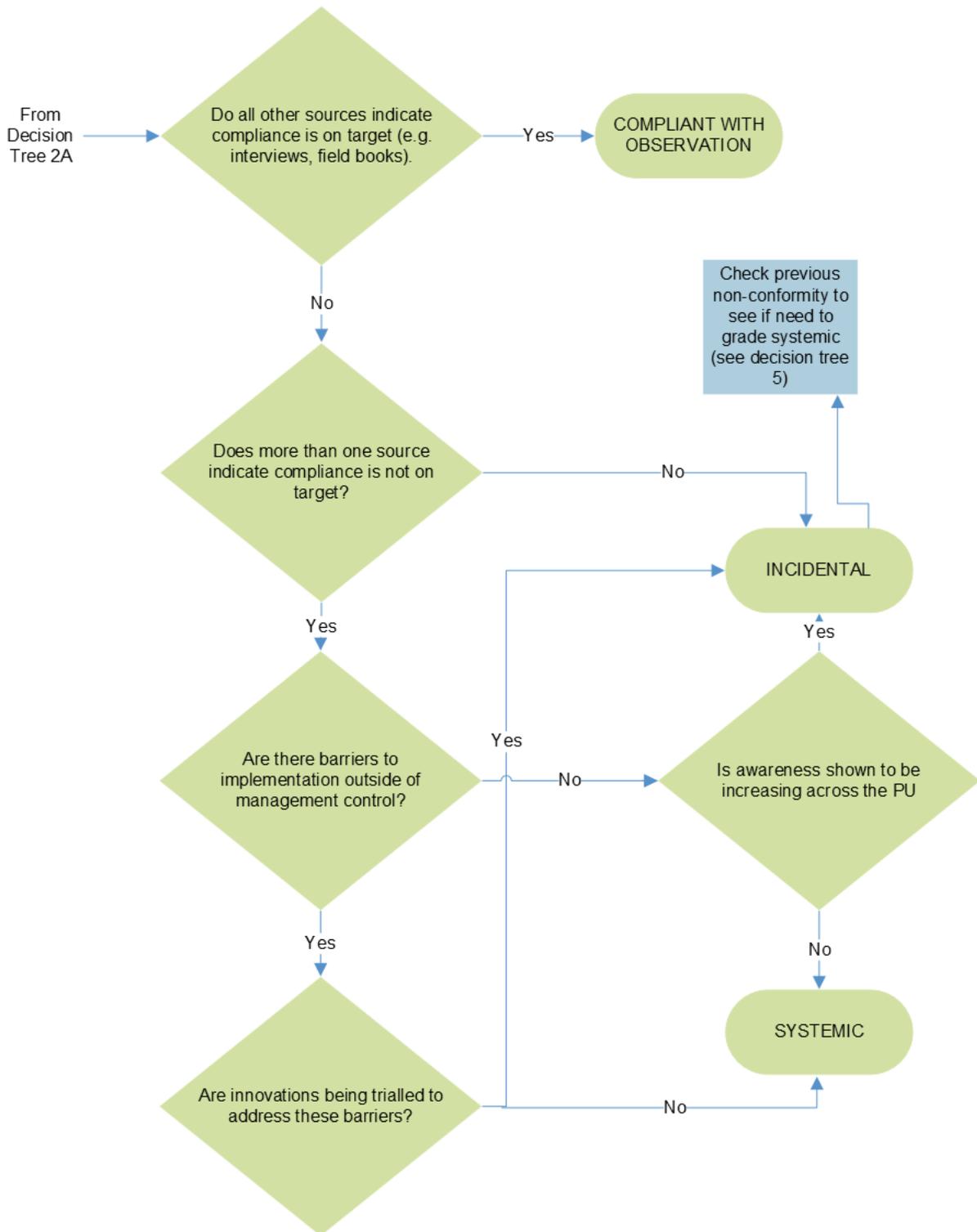
### Decision Tree 1: Assessing compliance of Producer Unit or Large Farm Management indicators



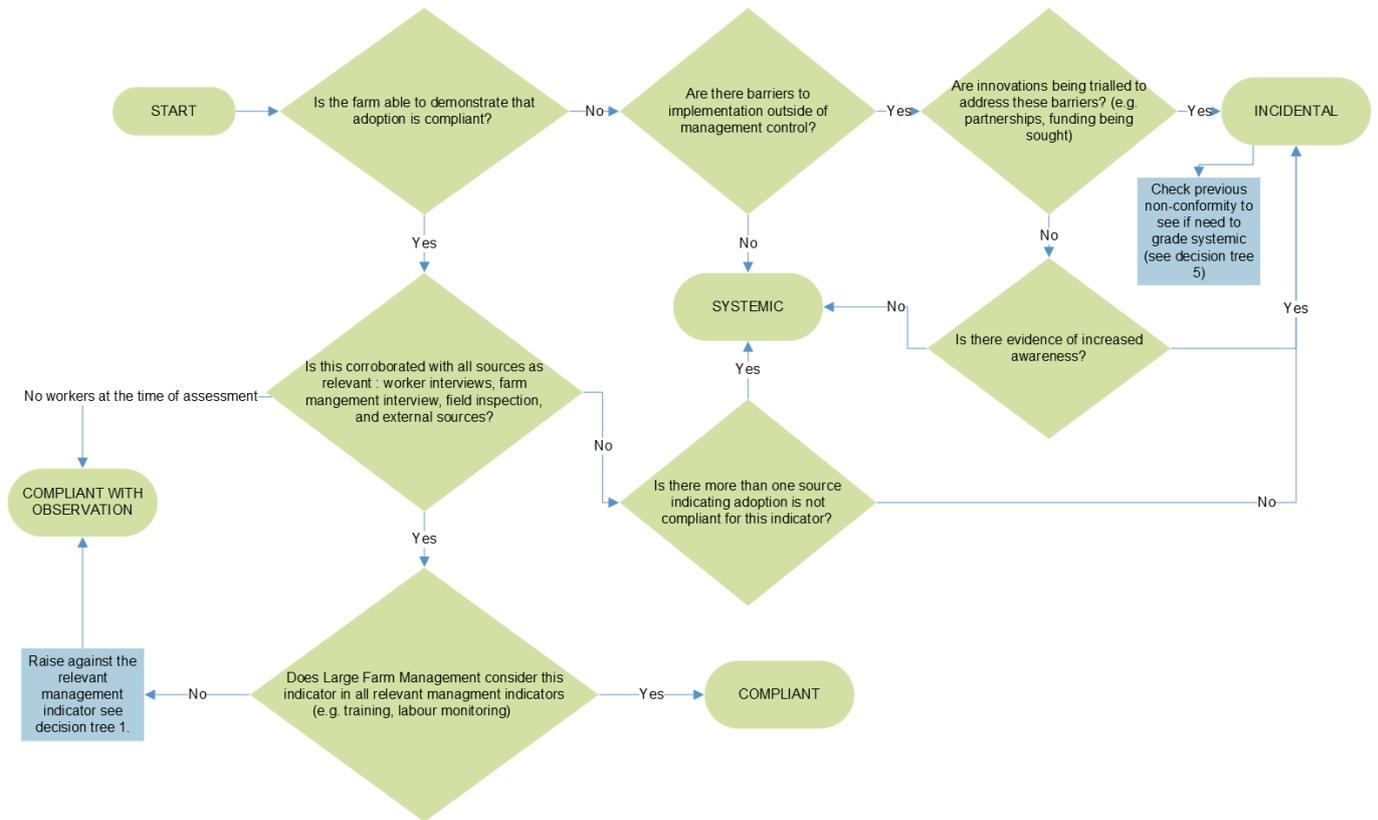
Decision Tree 2A: Assessing compliance of Producer Unit field indicators  
- part 1



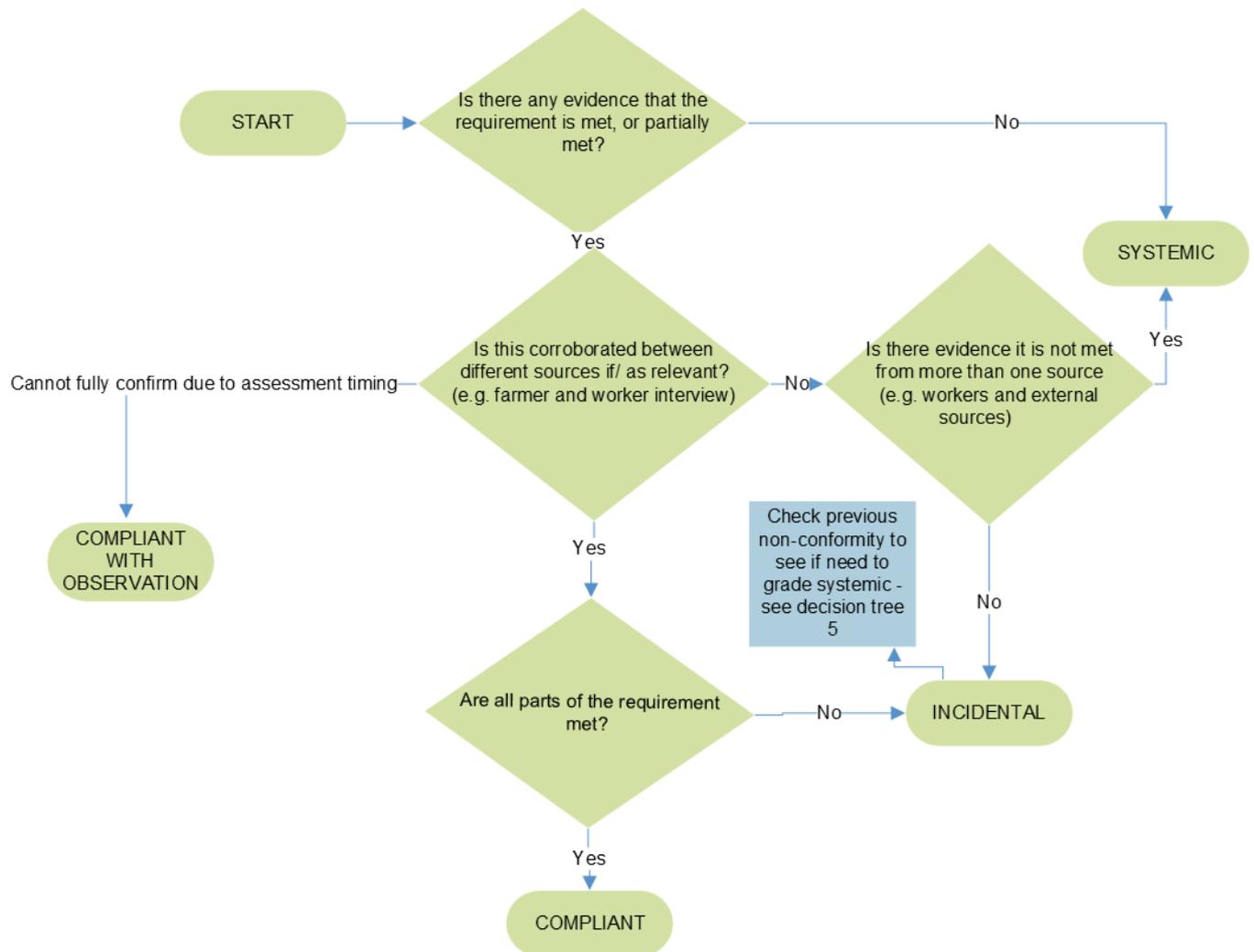
Decision Tree 2B: Assessing compliance of Producer Unit field indicators  
part 2



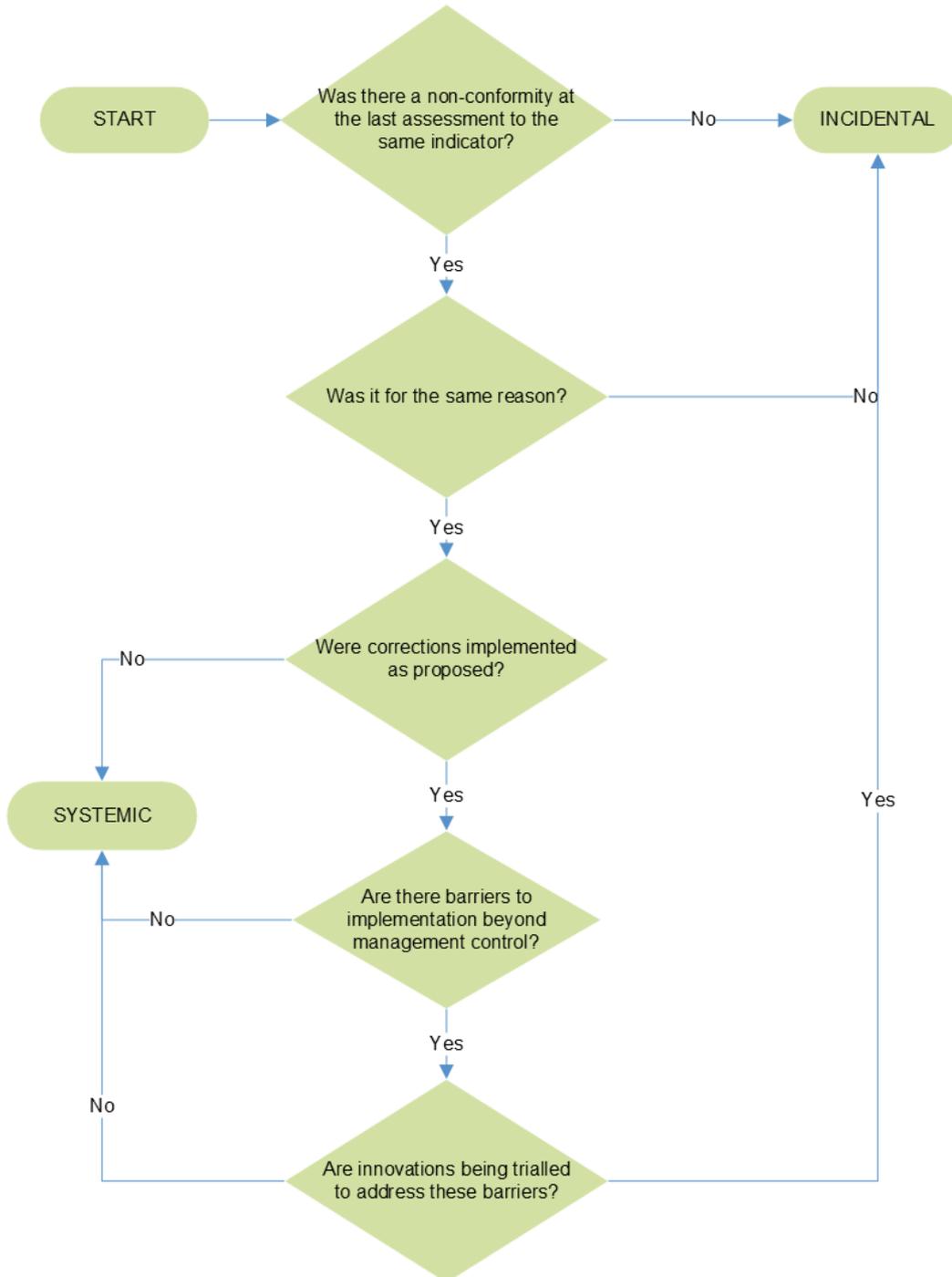
Decision Tree 3: Assessing compliance of Large Farm field indicators



### Decision Tree 4: Assessing compliance of individual requirements - Producer Unit and Large farm

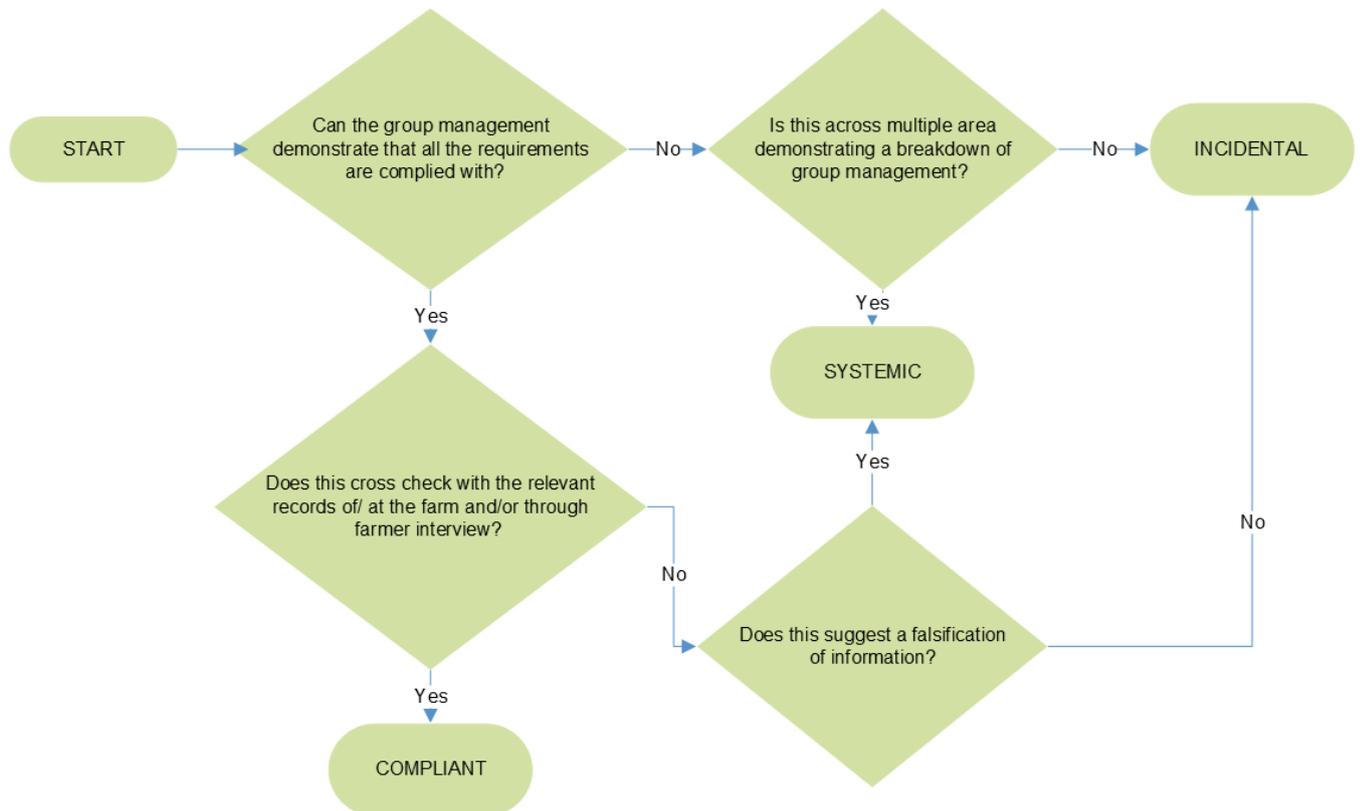


### Decision Tree 5: Previous non-conformity compliance



Note: An example of the situation of corrections being implemented but barriers are in place is a training conducted but monitoring shows no change in adoption or awareness. In such a case the Producer is expected to try new innovative approaches. If there are barriers outside the Producers control preventing them from implementing a planned correction, then they should apply for a variation to extend the timelines based on a new plan.

### Decision Tree 6: Assessing compliance of Large Farm Group Management requirements



## Reporting Timelines and Technical Review

- 5.7.3 After each audit, the auditor shall complete a report using the template provided by Better Cotton.
- 5.7.4 Information collected within each audit is treated as confidential except as defined in [General Certification Requirements](#) section 9.
- 5.7.5 All reports shall go through a technical review process by a competent individual familiar with the Better Cotton Principles and Criteria or team that were not involved in the audit prior to being finalised.
- 5.7.6 The auditor shall share a draft report to Better Cotton within 14 calendar days of the audit closing meeting, only if selected for sample by Better Cotton.
- Better Cotton shall then have a 7 calendar day window to provide comments on the audit report;
  - Auditors are required to consider the comments from Better Cotton before they finalise the non-conformities or the report.
- 5.7.7 The auditor shall send the non-conformities and corrective action plan template to the Producer within 30 calendar days of the audit closing meeting and following the technical review, and where relevant Better Cotton review.
- For initial audit the Certification Body shall take a decision on permission to trade ([see Section 5.8](#)) within 30 calendar days of the audit closing meeting.
- 5.7.8 The auditor shall send the final report to the Producer within 14 calendar days of receipt of the corrective action plan.
- 5.7.9 Where there are no non-conformities, the Certification Body shall send this report to the Producer within 30 calendar days of the audit closing meeting.
- 5.7.10 The auditor or Certification Body shall submit a copy of the finalised audit report to the Better Cotton within 14 calendar days of receipt of the correction action plan and evidence of correction.

## Corrective Action Plan

- 5.7.11 The Certification Body shall confirm to the Producer the corrective action processes (as per this section) and provide a template for completion of corrective action plans including:
- The root cause of the non-conformity;
  - The corrective actions intended to correct the non-conformity;
  - The responsibilities, resources and timelines;
  - How they will monitor ongoing effectiveness in the case of corrections requiring changes in farmer or worker awareness or adoption of practices (as relevant).
- 5.7.12 The Certification Body shall confirm to the Producer the consequences of not submitting the corrective action plan or implementing the corrections within the agreed timelines (as per this Section).

5.7.13 The Producer shall determine the root cause of each non-conformity, propose a corrective action plan, and submit to the Certification Body in their template within 30 days of receiving the non-conformities.

- The maximum timeline for corrective action implementation is normally 6 months, but up to 12 months may be proposed if the corrective actions can only be implemented during the next cotton season.

5.7.14 The auditor shall verify the corrective action plans to determine if they are of sufficient quality to address the non-conformity:

- Additional information may be requested to confirm the plan is of sufficient quality;
- If the plan is not of sufficient quality and an extension it not agreed this can result in suspension of certification (see [Sections 5.8](#) and [5.13](#)).

### Corrective Action Close Out

5.7.15 The Producer shall, within the timeline agreed in the corrective action plan, submit to the Certification Body the details (and evidence of) corrective action implementation.

5.7.16 The auditor shall verify that the corrective action are implemented and the objective achieved:

- In the case of the non-conformity relates to low awareness or adoption of a practice across workers or a group of farms both evidence that the activity has been conducted and that monitoring shows a related increase in awareness and/or adoption and/or as a minimum this monitoring is planned in the season is needed.

5.7.17 If the corrective action evidence demonstrates compliance with the indicator the Certification Body can award certification as per [Section 5.7](#).

5.7.18 If sufficient evidence cannot be provided within the timeline to confirm that the corrective action is closed the Certification Body shall suspend, not award or not renew certification (as per [Tables 19, 20, 21](#)).

## 5.8 Decisions on Certification and Permission to Trade

### Overview

5.8.1 The Certification Body shall only issue certificates if there is evidence of full compliance with the Principles and Criteria.

5.8.2 The Certification Body may maintain certification if non-conformities are within the thresholds, and being addressed within the timelines, defined in this document.

5.8.3 The Certification Body shall take a decision on the outcome of an audit based on the following [Tables 19, 20 and 21](#).

- 5.8.4 Better Cotton shall release volumes of Better Cotton to the Producer as per [Tables 19, 20 and 21](#) , provisional upon ongoing eligibility also being in place and there being no reason to withhold volumes as defined in [Section 4.5](#).
- 5.8.5 If any of the following issues are identified at either the Producer Unit, Large Farms or Group Manager, the Certification Body certification may not be issued, or if already issued, withdrawn:
- Failure to close out non-conformities from monitoring activities;
  - Failure to cooperate with Better Cotton or approved 3rd party assessors in monitoring activities;
  - Issues that may bring Better Cotton into disrepute;
  - Unethical behaviour (bribery, corruption, etc.).

### Awarding Permission to Trade

- 5.8.6 Where non-conformities are found at the initial audit, but the threshold allows for permission to trade the Certification Body shall confirm this to both Better Cotton and the Producer, see [Annex 3](#) for an example.
- 5.8.7 The decision on permission to trade is made by a person with suitable competence to confirm appropriate raising and grading of non-conformities and different from the auditor. Normally this can be done by the technical reviewer of the report see [General Certification Requirements](#) section 11.
- 5.8.8 The Certification Body shall take a decision on permission to trade decision within 30 days of the audit, and should plan this to be ahead of the date for Better Cotton volume release.
- 5.8.9 For group certification, individual farms can have permission to trade Better Cotton if both:
- Group management does not have any systemic non-conformities;
  - Individual farms are under the thresholds in [Table 21](#).
- 5.8.10 Permission to trade shall not be granted to any Producer re-joining after a certificate is withdrawn unless all non-compliances identified at the point of withdrawal have been addressed.
- 5.8.11 The Certification Body may award permission to trade for a maximum of 12 months.
- 5.8.12 The Certification Body shall issue a formal statement of permission to trade to the Producer with the following information:
- Confirmation that permission to trade Better Cotton has been granted;
  - The scope of the permission to trade (Farms and/or Producer Units it covers);
    - For Producer Units: the Producer Unit code, Producer Unit name and programme partner;
    - For Large Farm: the code, the address, acreage, named farm and/or farm management (to include legal entity signing certification agreement and management responsibility to meeting Principles and Criteria and requirements of these document);
    - For Large Farm groups: the group manager and a list of farms (address, acreage, farmer).
  - The date and outcome of the initial audit;
  - The issue and expiration date of the permission to trade;

- The conditions upon which certification can be achieved before permission to trade expires;
- The person at the Certification Body that authorised the permission to trade.
- The name and address of the Certification Body.

5.8.13 Permission to trade may be confirmed in a written letter or statement (see [Annex 3](#) for example).

### Issuing Certification

5.8.14 The Certification Body shall only award certification to the Producer when full conformity to the Better Cotton Principles and Criteria is demonstrated and the audit outcome is Compliant as per the [Tables 19, 20, 21](#).

5.8.15 The Certificate shall replace the permission to trade where this was in place.

5.8.16 When certification is awarded, or renewed the Certification Body shall issue a certificate to the Producer. The certificate shall include the information required by ISO 17065 and the following information:

- The scope of certification (what is being certified and the standard it is being certified to). See [Section 5.2](#);
- The entities covered by the certificate:
  - For Producer Units: the Producer Unit code, Producer Unit name and Programme Partner;
  - For Large Farms: the code, address, acreage, named farm and/or farm management (to include legal entity signing certification agreement and management responsibility to meeting Principles and Criteria and requirements of these document);
  - For Large Farm Groups: the Group Manager and a list of farms (address, acreage, farmer);
  - In all cases: the legal entity is to be included in the certificate as above (normally Programme Partner, Large Farm name, Group management entity).
- The date of the audit;
- The date the certificate is issued by the Certification Body to the Producer;
- The start date of the certificate;
  - For initial audit the date the decision to grant;
  - For renewal audits the date of certificate expiry.
- The expiry date of the certificate;
  - At initial audit, this is the date the decision on permission to trade (or if no non-conformities certification) was taken plus 4 or 5 years depending on Producer category;
  - At renewal audit the date of certificate expiry and new certificate start date plus 3 or 4 years depending on the Producer category.
- The name and address of the Certification Body;
- The signature of the decision maker or other defined authorization of the person at the Certification Body assigned such responsibility;
- Unique certificate number.

5.8.17 The duration of the certificate shall be:

- 3 years for Large Farm and Large Farm Groups;
  - But for initial certification 1 year additional shall be added for either certification (if no non-conformities found) or permission to trade (if incidental non-conformities found below threshold) or a combination of these (e.g. if incidental non-conformities are closed in 6 months) (see Table 17 for an example)
- 4 years for Producer Units;
  - But for initial certification up to 1 year additional shall be added for either certification (if no non-conformities found) or permission to trade (if incidental non-conformities found below threshold) or a combination of these (e.g. if incidental non-conformities are closed in 6 months) (see Table 16 for an example)

5.8.18 If a certificate is updated by the Certification Body following a Surveillance Audit, or for other reasons, the Certification Body shall keep the certificate validity dates the same but update the issue date to reflect the fact a new version of the certificate has been issued.

5.8.19 If a permission to trade is granted, once certification is achieved by the Producer, the Certification Body shall issue a certificate to the Producer:

- The certificate issue date shall be the date the certificate is issued by the Certification Body to the Producer;
- The certificate validity start date shall be the date the decision to grant certification was taken (not the date the permission to trade was granted);
- The certificate validity expiry date shall be the date the decision to grant the permission to trade was taken plus 4 or 5 years depending on the Producer category;
- For example: a permission to trade granted to a Producer Unit valid from 1<sup>st</sup> June 2025 to 1<sup>st</sup> December 2025. Certification granted to the Producer Unit on 1<sup>st</sup> October 2025. Certificate issued on 10<sup>th</sup> October 2025 will indicate a certificate validity start date of 1<sup>st</sup> October 2025 and a certificate validity expiry date of 1<sup>st</sup> June 2030.

5.8.20 When issuing a new certificate following a Renewal audit, the Certification Body shall set the start date of the new certificate to coincide with the certificate validity expiry date of the previous certificate regardless of when the new certificate is issued.

- This is to guarantee that, unless a decision is made to terminate a Producer certification (based on non-conformity or breach of terms and conditions) a Producer always benefits from the full validity duration of the certificate their category dictates (four or five years) and do not incur additional costs of certification services over a period of 10 to 15 years due to the shortening of said validity.
- For example: a certification granted to a Producer Unit valid from 1st June 2025 to 1st June 2030. Certification renewed following a re-audit on 1st February 2030. Certificate issued on 10th February 2030 will indicate a certificate validity start date of 1st June 2030 and a certificate validity expiry date of 1st June 2035.

5.8.21 If a Producer transfers certification from one Certification Body to another. The new Certification Body and previous Certification Body shall manage the certificate as follows:

- If transfer happens in time for a re-audit to take place with the new Certification Body: the new Certification Body is to issue a new certificate in line with this section;
- The previous Certification Body can only cancel the current certificate once it has expired;
- If transfer occurs in the middle of a certificate validity period: the new Certification Body and the previous Certification Body must agree an official transfer date and inform the Producer and Better Cotton to update their records accordingly. The process agreed in writing between the two Certification Body must guarantee a continuity of the Producer certification status and its certificate document validity. The certificate validity dates must be in line with this section.

### Example of Certificate and Audit Cycles

**Table 16: A Producer Unit with non-conformities in initial audit that are closed After 6 Months**

Actions	Year											
	0	1	2	3	4	5	6	7	8	9	10	11
<b>Audits</b>	Initial (Sept)	Risk-based surveillance			Renewal	Risk-based surveillance			Renewal	Risk-based surveillance		
<b>Permission to trade</b>	Issued (Oct)	Expires (Oct)										
<b>Certificate 1</b>		Issued (Apr)				Expires (Oct)						
<b>Certificate 2</b>						Issued (Oct)				Expires (Oct)		

*Note: The first certificate lasts 4 years 6 months, the following certificates only 4 years.*

**Table 17: A Large Farm Group with no non-conformities in the initial audit.**

Actions	Year									
	0	1	2	3	4	5	6	7	8	
<b>Audits</b>	Initial (Sept)	Annual management check for groups, risk-based surveillance for all			Renewal	Annual management check for groups, risk-based surveillance for all			Renewal	Annual management check for groups, risk-based surveillance for all
<b>Permission to trade</b>	n/a									
<b>Certificate 1</b>	Issued (Nov)					Expires (Nov)				
<b>Certificate 2</b>						Issued (Nov)			Expires (Nov)	

*Note: The first certificate lasts 4 years, the following certificates only 3 years.*

5.8.22 The expiry date of the certificate shall be based on the start date as per the example in Table 18.

Table 18: Large Farm Example.

Certificate Issue Date	Certificate Expiry Date
1 <sup>st</sup> June 2025	1 <sup>st</sup> June 2028

5.8.23 The Certification Body shall update the certificate in case of changes to the details on it.

Table 19: Producer Units Audit Outcomes, Certification and Better Cotton Volume Release.

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental</i>	<i>Systemic</i>		<i>Status of Certification, Permission to Trade, Better Cotton Volume Release and Additional Surveillance Activities</i>		
0	0	Compliant	Certificate issued;  Better Cotton volume may be released.	Certificate maintained;  Better Cotton volume may be released.	Certificate maintained and new certificate issued (start date aligned to expiry of existing certificate);  Better Cotton volume may be released.
≤18	0	Compliant with incidental non-conformity	Permission to trade issued (12 months);  Better Cotton volumes may be released;  Certificate issued once correction in place within agreed timeline.	Certificate maintained provisional on corrective action implementation;  Better Cotton volumes may be released.	Certificate maintained provisional on corrective action implementation;  Better Cotton volumes may be released;  New certificate issued once correction in place within agreed timeline (start date aligned to expiry of existing certificate).
>18	0	Compliant with Incidental non-	No permission to trade nor certification;	Certificate suspended for 12 months with suspension starting 6 months after volume	Certificate suspended for 12 months with suspension starting 6 months after volume

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental</i>	<i>Systemic</i>	<i>Status of Certification, Permission to Trade, Better Cotton Volume Release and Additional Surveillance Activities</i>			
		conformities above acceptable threshold	<p>No volumes released;</p> <p>New certification audit needed the following season and closure of non-conformities.</p>	<p>release for the season. For those 6 months seasonal volumes can be sold;</p> <p>No volume release during suspension;</p> <p>Remote surveillance next season or renewal audit to confirm closure non-conformities;</p> <p>Suspension lifted after 12 months if remote surveillance or renewal audit confirms closure of non-conformities.</p>	<p>release for the season. For those 6 months seasonal volumes can be sold;</p> <p>No volume release during suspension;</p> <p>Remote surveillance to confirm closure non-conformities. Certificate may be extended up to 6 months (in suspended state) to allow for this, with this time taken off the next certificate;</p> <p>New certificate issued after 12 months if remote surveillance confirms closure of non-conformities.</p>
Any amount	1 or 2	Systemic non-conformity	<p>No permission to trade nor certification;</p> <p>No volumes released;</p> <p>Initial audit needed the following season</p>	<p>Certificate suspended for 12 months with suspension starting 6 months after volume release for the season. For those 6 months seasonal volumes can be sold;</p>	<p>Certificate suspended for 12 months with suspension starting 6 months after volume release for the season. For those 6 months seasonal volumes can be sold;</p> <p>No volume release during suspension;</p>

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental</i>	<i>Systemic</i>	<i>Status of Certification, Permission to Trade, Better Cotton Volume Release and Additional Surveillance Activities</i>			
			and closure of non-conformities.	<p>No volume release during suspension;</p> <p>Onsite surveillance next season or renewal audit to confirm closure non-conformities;</p> <p>Suspension lifted after 12 months if onsite surveillance or renewal audit confirms closure of non-conformities.</p>	<p>Onsite surveillance to confirm closure non-conformities. Certificate may be extended up to 6 months (in suspended state) to allow for this, with this time taken off the next certificate;</p> <p>New certificate issued after 12 months if onsite surveillance confirms closure of non-conformities.</p>
Any amount	>2	Systemic non-conformity	<p>No permission to trade nor certification;</p> <p>No volumes released;</p> <p>Initial audit needed the following season and closure of non-conformities.</p>	<p>Certificate withdrawn immediately upon decision;</p> <p>Cotton sales blocked and no volume release the following season;</p> <p>New certification not permitted for 24 months</p>	<p>Certificate withdrawn immediately upon decision;</p> <p>Cotton sales blocked and no volume release for the following season;</p> <p>New certification not permitted for 24 months and includes closure of non-conformities;</p> <p>Initial audit may happen after 24 months.</p>

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental</i>	<i>Systemic</i>	<i>Status of Certification, Permission to Trade, Better Cotton Volume Release and Additional Surveillance Activities</i>			
				and includes closure of non-conformities;  Initial audit may happen after 24 months.	
Non-conformities not corrected within agreed timeline, and no reason/ request for extension agreed		No permission to trade nor certification;  No volumes released;  Initial audit needed the following season and closure of non-conformities.	Certificate withdrawn for 24 months after volume release for that season;  No volume release for 1 season;  New certification not permitted for 24 months and includes closure of non-conformities;  Initial audit may happen after 24 months.	Certificate withdrawn for 24 months;  No volume release for 1 season;  New certification not permitted for 24 months and includes closure of non-conformities;  Initial audit may happen after 24 months.	

Table 20: Large Farm Audit Outcomes, Certification and Better Cotton Volume Release (Includes Individual Farms in a Group).

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental</i>	<i>Systemic</i>	<i>Status of Certification, Permission to Trade, Better Cotton Volume Release, and Additional Surveillance Activities</i>			
0	0	Compliant	Certificate issued;  Better Cotton volume may be released.	Certificate maintained;  Better Cotton volume may be released.	Certificate maintained and new certificate issued (start date aligned to expiry of existing certificate);  Better Cotton volume may be released.
≤9	0	Compliant with incidental non-conformity	Permission to trade issued (12 months);  Better Cotton volumes may be released;  Certificate issued once correction in place within agreed timeline (start date aligned to expiry of existing certificate).	Certificate maintained provisional on corrective action implementation;  Better Cotton volumes may be released.	Certificate maintained provisional on corrective action implementation;  Better Cotton volumes may be released;  New certificate issued once correction in place within agreed timeline (start date aligned to expiry of existing certificate).
>9	0	Compliant with Incidental non-	No permission to trade nor certification;	Certificate suspended for 12 months with suspension starting 6 months after volume	Certificate suspended for 12 months with suspension starting 6 months after volume

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental    Systemic</i>		<i>Status of Certification, Permission to Trade, Better Cotton Volume Release, and Additional Surveillance Activities</i>			
		conformities above acceptable threshold	<p>No volumes released;</p> <p>New certification audit needed the following season and closure of non-conformities.</p>	<p>release for the season. For those 6 months seasonal volumes can be sold;</p> <p>No volume release during suspension;</p> <p>Remote surveillance next season or renewal audit to confirm closure non-conformities;</p> <p>Suspension lifted after 12 months if remote surveillance or renewal audit confirms closure of non-conformities.</p>	<p>release for the season. For those 6 months seasonal volumes can be sold;</p> <p>No volume release during suspension;</p> <p>Remote surveillance to confirm closure NCs. Certificate may be extended up to 6 months (in suspended state) to allow for this, with this time taken off the next certificate;</p> <p>New certificate issued after 12 months if remote surveillance confirms closure of non-conformities.</p>
Any amount	1	Systemic non-conformity	<p>No permission to trade nor certification;</p> <p>No volumes released;</p> <p>New certification audit needed the</p>	<p>Certificate suspended for 12 months with suspension starting 6 months after volume release for the season. For those 6 months seasonal volumes can be sold;</p>	<p>Certificate suspended for 12 months with suspension starting 6 months after volume release for the season. For those 6 months seasonal volumes can be sold;</p> <p>No volume release during suspension;</p> <p>Onsite surveillance to confirm closure NCs. Certificate may be extended up to 6 months</p>

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental    Systemic</i>		<i>Status of Certification, Permission to Trade, Better Cotton Volume Release, and Additional Surveillance Activities</i>			
			following season and closure of non-conformities.	<p>No volume release during suspension;</p> <p>Onsite surveillance next season or renewal audit to confirm closure non-conformities;</p> <p>Suspension lifted after 12 months if onsite surveillance or renewal audit confirms closure of non-conformities.</p>	<p>(in suspended state) to allow for this, with this time taken off the next certificate;</p> <p>New certificate issued after 12 months if onsite surveillance confirms closure of non-conformities.</p>
Any amount	>1	Systemic non-conformity	<p>No permission to trade nor certification;</p> <p>No volumes released;</p> <p>New certification audit needed the following season and</p>	<p>Certificate withdrawn immediately upon decision;</p> <p>Cotton sales blocked and no volume release for the following season;</p> <p>New certification not permitted for 24 months</p>	<p>Certificate withdrawn immediately upon decision;</p> <p>Cotton sales blocked and no volume release for the following season;</p> <p>New certification not permitted for 24 months and includes closure of non-conformities;</p> <p>Initial audit may happen after 24 months.</p>

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental    Systemic</i>		<i>Status of Certification, Permission to Trade, Better Cotton Volume Release, and Additional Surveillance Activities</i>			
			closure of non-conformities.	and includes closure of non-conformities;  Initial audit may happen after 24 months.	
Not corrected within agreed timeline, and no reason/ request for extension agreed			No permission to trade nor certification;  No volumes released;  New certification audit needed the following season and closure of non-conformities.	Certificate withdrawn for 24 months after volume release for that season;  No volume release for 1 season;  New certification not permitted for 24 months and includes closure of non-conformities;  Initial audit may happen after 24 months.	Certificate withdrawn for 24 months;  No volume release for 1 season;  New certification not permitted for 24 months and includes closure of non-conformities;  Initial audit may happen after 24 months.

Table 21: Large Farm Group Audit Outcomes, Certification and Better Cotton Volume Release.

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental</i>	<i>Systemic</i>		<i>Status of Certification, Permission to Trade, Better Cotton Volume Release, and Additional Surveillance Activities</i>		
0	0	Compliant	Certificate issued;  Better Cotton volume may be released.	Certificate maintained;  Better Cotton volume may be released.	Certificate maintained and new certificate issued (start date aligned to expiry of existing certificate) Better Cotton volume may be released
Any amount	0	Compliant with incidental	Permission to trade issued (12 months) if all farms visited are under the threshold in the table above;  Better Cotton volumes may be released;  Certificate issued once correction in place within agreed	Certificate maintained provisional on corrective action implementation;  Better Cotton volumes may be released.	Certificate maintained provisional on corrective action implementation;  Better Cotton volumes may be released;  New certificate issued once correction in place within agreed timeline (start date aligned to expiry of existing certificate).

Total Non-Conformities		Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental    Systemic</i>		<i>Status of Certification, Permission to Trade, Better Cotton Volume Release, and Additional Surveillance Activities</i>			
			timeline (start date aligned to expiry of existing certificate).		
Any amount	1 or more	Systemic non-conformity	<p>No permission to trade nor certification;</p> <p>No volumes released;</p> <p>New certification audit needed the following season and closure of non-conformities;</p> <p>Individual farms may join other group certificates to continue selling.</p>	<p>Certificate withdrawn immediately upon decision;</p> <p>Cotton sales blocked and no volume release the following season;</p> <p>New certification not permitted for 24 months and includes closure of non-conformities;</p> <p>Initial audit may happen after 24 months.</p>	<p>Certificate withdrawn immediately upon decision;</p> <p>Cotton sales blocked and no volume release the following season;</p> <p>New certification not permitted for 24 months and includes closure of non-conformities;</p> <p>Initial audit may happen after 24 months.</p>
Not corrected within agreed timeline, and no reason/ request for extension agreed			<p>No permission to trade nor certification;</p> <p>No volumes released;</p>	<p>Certificate withdrawn for 24 months after volume release for that season;</p>	<p>Certificate withdrawn for 24 months;</p> <p>No volume release for 1 season;</p>

Total Non-Conformities	Audit Outcomes	Scenario 1: Initial Audit (No Active Certificate)	Scenario 2: Surveillance Audit (Active Certificate)	Scenario 3: Renewal Audit (Active Certificate)
<i>Incidental   Systemic</i>	<i>Status of Certification, Permission to Trade, Better Cotton Volume Release, and Additional Surveillance Activities</i>			
	New certification audit needed the following season and closure of non-conformities.	<p>No volume release for 1 season;</p> <p>New certification not permitted for 24 months and includes closure of non-conformities;</p> <p>Initial audit may happen after 24 months.</p>	New certification not permitted for 24 months and includes closure of non-conformities; <p>Initial audit may happen after 24 months</p>	

## 5.9 Appeals and Complaints

- 5.9.1 The Certification Body shall be responsible for managing any appeals or complaints raised by the Producer as outlined in the [General Certification Requirements](#).
- 5.9.2 The Certification Body shall not charge for appeals which are successful but may charge the Producer the costs of any appeals which are overturned.
- 5.9.3 The Certification Body is responsible for considering how impartial evidence is, including whether evidence may have been delivered under pressure and therefore should be dismissed.
- Examples could be farmers or workers on video refuting evidence they gave during interviews in the original audit.

## 5.10 Remote Audits

- 5.10.1 Initial and renewal audits are conducted onsite. However, there may be cases of force majeure which prevent an audit being conducted on-site and these would be handled as per this section. Surveillance Audits may also be remote depending on risk and feasibility. Where Remote Audits are allowed the requirements listed in this Section shall be met.
- 5.10.2 The Certification Body shall ensure that the use of information and communication technology for audit purposes is mutually agreed with the Producer that is being assessed; Where agreement is not reached the audit shall not be conducted remotely.
- The Certification Body shall include a check within their application review stage that the Producer has the necessary infrastructure to support the use of the information and communication technology proposed;
  - The Certification Body shall ensure that confidentiality is upheld while using information and communication technology and remote audit methodologies;
  - The Certification Body/auditor may arrange a test call with the Producer to ensure that there is a stable connection to conduct the full audit remotely;
  - The Certification Body shall identify and document the risks that may impact the audit effectiveness.
  - This shall include reviewing the selection of the technologies and how they are managed.
  - The auditor shall include in the audit plan how information and communication technology will be utilised;
  - When using information and communication technology, auditors shall have the competency and ability to understand and utilise the information and communication technologies employed to achieve the desired results of audit(s);
  - The use of information and communication technology shall contribute to the total audit time as additional planning may be necessary which may impact audit duration;

- All stages of the audit process as referenced in [Section 5.6](#) of this document shall be covered within a Remote audit;
  - An exception to this may be a field inspection where signal or technology prevents this.

## 5.11 Surveillance Audit

5.11.1 The auditor shall conduct Surveillance Audits in the following circumstances:

- As defined in [Tables 19, 20 and 21](#);
- For Producer Units or Large Farm Groups with over 33% net growth in the number of farmers;
- There is an escalation from Better Cotton where 2nd party monitoring has identified a risk of non-conformities being above the threshold for ongoing certification;
- For Producer Units where there is an escalation from a Programme Partner following a Producer Support visit.

5.11.2 The auditor shall conduct the Surveillance audit targeted on:

- Management requirements (see management indicators in [Tables 14 and 15](#));
- Areas of risk;
- Previous non-conformities.

5.11.3 The auditor shall check effective implementation of non-conformity corrections.

- Where they relate to changes in practice adoption or awareness across a Producer Unit, the effectiveness of correction monitoring must be checked.

5.11.4 Surveillance audits may be remote where all of the following apply:

- Areas of non-compliance or identified risk do not relate to worker rights;
- It was possible to access workers for interview during the initial audit;
- Feasibility to conduct remote audit has been pre-determined based on access to information and communication technology and access to relevant people.

5.11.5 The Surveillance audit shall always include the following elements of the full audit from [Section 5.6](#):

- Opening meeting;
- Closing meeting;
- Management interview;
- Document review;
- Management systems of Producer Units.

5.11.6 The Surveillance audit shall include the following elements as relevant to the areas of risk and non-compliance:

- Farmer interview;
- Worker interview;
- Gender lead interview;

- Farm visual inspection;
- Gathering information from external sources.

5.11.7 The Certification Body shall take decisions following a Surveillance audit using the processes of [Section 5.8](#) and based on the findings as outlined in [Tables 19, 20 and 21](#).

## 5.12 Renewal Audits

5.12.1 The Certification Body shall conduct Renewal audits at the following frequencies:

- For Large Farm Groups; 3 years after last full audit;
- For Individual Large Farms; 3 years after last full audit;
- For Producer Units; 4 years after last full audit.

5.12.2 The Certification Body shall follow all the same processes of the initial audit.

- With the exception of the detailed offsite document review required for initial Producer Units;
- With the additional requirement to verify that progress has been made against the continuous improvement targets.

5.12.3 The Certification Body shall take decisions on Renewal audit as outlined in [Tables 19, 20 and 21](#).

## 5.13 Suspension and Withdrawal

5.13.1 Certificate suspension means certificate is put on hold for a period which can be reactivated under certain conditions (typically a Surveillance audit) after a set number of months (see [Tables 19, 20 and 21](#)).

5.13.2 Certificate withdrawal means that the certificate is made invalid and a new initial audit is required to issue a new certificate after a set number of months.

5.13.3 Certificates are suspended in the cases listed in [Tables 19, 20 and 21](#).

5.13.4 The Certification Body shall contact the Producer in writing (email is acceptable) to inform the Producer of the suspension, including duration of suspension and corrective actions required.

- The Certification Body shall inform the Producer and Better Cotton within 48 hours of the suspension.

5.13.5 Certificates are withdrawn as per the following table:

**Table 22: Withdrawal of Certification.**

Issue	Timeline of Certificate Withdrawal (Minimum)
<b>Issues that may bring Better Cotton into disrepute</b>	Withdrawal and minimum 2 years before re-entry
<b>Unethical behaviour or deliberate fraud</b>	Withdrawal and minimum 3 years before re-entry
<b>Failure to provide correction for a suspension</b>	Withdrawal and minimum 2 years before re-entry
<b>Scheduled audits are not carried out (Producer refuses access)</b>	Withdrawal and a minimum 2 year before re-entry
<b>Certain number of systemic non-conformities as per <a href="#">Tables 19, 20 and 21</a></b>	Withdrawal and minimum 2 years before re-entry
<b>Failure to correct non-conformities within the agreed timeline as per <a href="#">Tables 19, 20 and 21</a></b>	Withdrawal and minimum 2 years before re-entry
<b>A Producer stops participating in the programme</b>	Withdrawal and minimum 1 year before re-entry
<b>Non-payment for Certification Body audit costs</b>	Withdrawal and minimum 1 year before re-entry
<b>Producer going into administration/bankruptcy</b>	Withdrawal and a minimum 1 year before re-entry

5.13.6 The Certification Body shall contact the Producer in writing (email is acceptable) to inform the Producer of the withdrawal.

5.13.7 The Producer may after the period of withdrawal re-apply for the certification process as per the application processes in [Section 5.3](#) of this document, and the Certification Body may take on their application accordingly.

5.13.8 In addition, Better Cotton retains the right to suspend access to Better Cotton volumes at any time if Better Cotton or a designated third-party auditor has detected any kind of unethical conduct which may include bribery or fraud or where eligibility is no longer met at per [Section 5.1.1](#).

## 5.14 Certificate Transfers

5.14.1 The existing Certification Body shall cooperate with all transfer requests and share a copy of the most recent audit report with the new Certification Body.

## 5.15 Derogations, Exceptional Use and Variation

5.15.1 The Certification Body shall follow the Better Cotton published derogations, and approved exceptional use, when assessing compliance with the Better Cotton Principles and Criteria.

- If an indicator is not met but the terms of the derogation or approved exceptional use are, this would be considered compliant.



- The list of active derogations and exceptional use decision can be found on the Better Cotton website.

5.15.2 The Certification Body shall incorporate any variation requests approved by Better Cotton for deviations from the Better Cotton Principle and Criteria Monitoring and Certification Requirements.

5.15.3 For variations to Better Cotton certification processes the Certification Body shall have a process for the Producer to seek and confirm approval before submitting to Better Cotton.

# Annex 1: General Guidance on Conducting Interviews and Focus Group Discussions

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## Conducting Interviews

### ***Skills***

Interviewers must have sufficient language skills to conduct effective interviews and be sufficiently knowledgeable about local cultural characteristics and farm conditions to analyse information gathered through the interview. If local language is not spoken, the audit team must arrange appropriate and impartial translation services (see Section 15 of the [General Certification Requirements](#)).

### ***Preparation***

Interviewers should determine, in advance of the visit, which issues should receive particular attention in the location where the visit will take place. For example, if in the interviewer's experience the issue of child labour has arisen in a particular region, these issues should receive closer attention. This will vary from location to location. Sources of information for this focus will include knowledgeable local organisations, interviewer's experience, and information received from media reports and other public sources, etc.

### ***Location***

Interviews should be conducted in a location that makes the interviewee comfortable. This is especially important for workers; the location should be chosen to not raise the possibility that the farmer will subject the worker to retaliation. Interviews with workers should be conducted at an independent place (it is better off the farm's premises), trusted by workers, where workers feel they have the freedom of speech. Common sense should be used to determine specific sites that afford the greatest opportunity for productive, confidential discussions. On-site locations include informal conversations in the green house, net house, plot of the farm; the area just outside the farm, common villagers' gathering place. In all circumstances, care should be taken to ensure that the location of interviews, whether on or off site, does not skew the information provided.

### ***Safeguard Worker Confidentiality and Security***

All reasonable steps should be taken to ensure that the interview process does not compromise the safety or job security of the worker. At a minimum, interviewers must ensure that the interview process is conducted in a confidential manner. They need to conduct interviews in a manner that ensures that workers will suffer no adverse consequences as a result of the interviews by communicating the confidential nature of the interview; communicating that retaliation as a result of the interview is not permitted; and using interviewers who are most likely to gain the trust of workers (for e.g. female workers will most likely feel more comfortable with a female interviewer).

- Interviewers should inform workers that the interviews are confidential, and that the information will neither be attributed to them, nor provided to farmers or the management without their permission.
- In addition, interviewers should provide no information that could lead to the identification of specific workers as the source of information that could cause retaliation against the workers interviewed.

## 2. Interview Techniques

People in different parts of the world may respond to different approaches to the interview. Based on past experience and input from knowledgeable organisations, the interviewers should ensure that questions are asked in a culturally appropriate manner.

Several techniques, such as asking open-ended questions, are generally considered to contribute to effective interviews. These should be applied to the maximum degree possible. The interviewer should not provide any clues to the interviewees as to how they “should” respond. Interviewer should allow interviewees to respond to neutral questions that do not lead to one answer or another.

- Interviewees, especially farm workers, may be illiterate and have limited knowledge about their welfare or rights and may not understand abstract terms such as freedom of association, collective bargaining, etc. Therefore, interviewers should take care to use language that is easily understandable to interviewees, rather than words that may confuse. For example, asking workers if they are “harassed” may confuse, while asking if workers are treated fairly may elicit more and better information.
- Ask interviewees to describe situations that they have encountered, as well as issues related to the Better Cotton Principles & Criteria that they may have observed elsewhere. In some circumstances, workers (and farmers) may be more willing to describe difficulties affecting others than they will be to address issues they themselves face.
- Interviewers shall ensure that they conduct interviews in a manner sensitive to the cultural characteristics present. Sensitive issues, such as sexual harassment, bonded labour, caste system, forced labour, etc., need to be addressed in a careful and thoughtful manner. A determination of what these techniques are will necessarily vary from location to location. In making this determination, interviewer should rely on their own experience, information gathered through consultation with knowledgeable organisations, and other sources to determine, in advance of the visit, the best ways to conduct interviews.

## 3. Conducting Focus Group Discussions

A Focus Group Discussion (FGD) is a group discussion of (preferably) 6 - 12 people, guided by a facilitator, during which group members talk freely and spontaneously about a specific topic. Its purpose is to obtain in-depth information from the members of the group. An FGD aims to be more than a question-answer interaction, the idea being that group members discuss the topic among themselves in more depth (with guidance from the facilitator) than they would in a one-on-one interview. Discussing issues in a group format is also more efficient than a series of one-on-one interviews.

## Preparing for an FGD

- Ensure that the issues/list of topics to be focussed on during the discussions are clear in your mind beforehand
- Ideally, there will be two people running the FGD; a facilitator to run the FGD, and a recorder to take notes. This might not always be possible
- Ensure confidentiality of opinions, and request participants to do likewise
- Ensure that the area for the FGD is in a space that is quiet/free from distractions, is accessible, private and in a neutral location where participants will feel welcomed and comfortable
- Arrange participants in a circle. Recommendation is for the facilitator (and recorder) to sit at the same level as the participants to encourage discussion by minimising formalities and unintended power dynamics
- Consider having refreshments available for participants (away from the circle to avoid distractions during discussions)

## Conducting an FGD

- The facilitator should introduce themselves, and the purpose of the FGD
- The facilitator should encourage discussion, and encourage as many participants as possible to express their views
- There are no right or wrong answers, and the facilitator should always react neutrally to any responses (verbal and non-verbal). It is important to remember that a FGD is not designed to reach a consensus position on an issue
- Avoid running a 'Question-and-answer' session; rather encourage discussion by asking participants to explain more about a topic, and by using one participant's response to ask another participant to follow up on a topic. Useful introductory phrases to use are, for example 'Farmer A said this, but what do you think Farmer B?', 'Tell me more about that ...', 'Can you explain what you mean ...'
- Only ask one question at a time
- Be comfortable with silence; some participants may be more likely to speak if they have time to consider the question, and their reply, before they speak
- If participants are not providing enough information, try probing questions, such as 'Please provide an example ...', 'Is there anything else ... I don't understand, please explain...', 'Does anyone have a different opinion/see things differently...'
- If discussions go off in the wrong direction, you can use phrase like 'How does this relate to ...' 'Interesting point, but what about ...'
- Consider using anonymous written responses if sensitive issues stall the discussions
- Be on the look-out for non-verbal clues, such as body position, tone or strength of voice, facial expressions and body movement

- Avoid being the expert, and providing an opinion; rather direct the question back to the group: 'What do you think/what would you do' [However, consider setting aside time afterwards to in case there is a need to address issues/provide information that has been requested]
- Ensure participants clearly understand that their opinions are valued, and that they are the experts – the FGD is to help the facilitator(s) learn from them

## Role of the Recorder

When available (e.g. team of 2 assessors working together), a designated recorder should keep a record of the content of the discussion as well as emotional reactions and important aspects of group interaction. Assessment of the emotional tone of the meeting and the group process will enable you to judge the validity of the information collected during the FGD.

Items to be recorded include:

- Date, time, place
- Names and characteristics of participants
- General description of the group dynamics (level of participation, presence of a dominant participant, level of interest)
- Opinions of participants, recorded as much as possible in their own words, especially for key statements
- Emotional aspects (e.g., reluctance, strong feelings attached to certain opinions)
- Spontaneous relevant discussions during breaks or after the meeting has been closed

A supplementary role for the recorder could be to assist the facilitator (if necessary) by drawing their attention to:

- Missed comments from participants
- Missed topics (the recorder should have a copy of the discussion guide during the FGD)

If necessary, the recorder could also help resolve conflict situations within the group that the facilitator finds difficult to handle on their own.

# Annex 2: Example certificates

Figure 3: Large Farm Group example

**Expera  
Certification**



## Cotton Growers Group

has been audited and certified as meeting the requirements of

### Better Cotton Principles and Criteria

&

### P&C Monitoring and Certification Requirements: Large Farm Group Requirements

For the

***Growing, harvesting and storage of cotton on the land owned or leased by the farmers listed in Appendix 1***

Audit date:	20 <sup>th</sup> August 2028	Certificate number:	00576
Certificate issue date:	29 <sup>th</sup> September 2029	Authorising signature	
Certificate start date:	8 <sup>th</sup> October 2029	Authoriser name and title:	Sarah Pazos Director of Certification
Certificate expiry date:	8 <sup>th</sup> October 2032	Certification Body name & address:	Expera Certification 30 Main St. Garford Leeds LS25 1DS UK

**Appendix 1: List of Farmers in the scope of certification**

Large Farm code	Farmer name	Address	Acreage

**Appendix 2: CoC addition to scope of Certification**

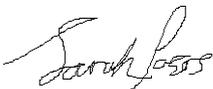
<b>Date of Audit:</b>	20 <sup>th</sup> August 2028
<b>Scope of Certification:</b>	Protocol for Producers with subcontracted gins
<b>Authorising signature:</b>	
<b>Authoriser name and title:</b>	Sarah Pazos Director of Certification

Figure 4: Producer Unit Example

**Expera  
Certification**



## Producer Unit PKSF58 of ABI

has been audited and certified as meeting the requirements of

### Better Cotton Principles and Criteria

For the

*Growing, harvesting and storage of cotton on the land  
owned or leased within the Producer Unit*

Audit date:	20 <sup>th</sup> August 2028	Certificate number:	00579
Certificate issue date:	29 <sup>th</sup> September 2029	Authorising signature	
Certificate start date:	8 <sup>th</sup> October 2029	Authoriser name and title:	Sarah Pazos Director of Certification
Certificate expiry date:	8 <sup>th</sup> October 2033	Certification Body name & address:	Expera Certification 30 Main St. Garford Leeds LS25 1DS UK

# Annex 3: Example permission to trade

Figure 5: Large Farm Group Example

Expera Certification  
30 Main St.  
Garford  
Leeds LS25 1DS  
UK

Cotton Growers Group  
1275 Nicholas Street, Topeka  
66608 Kansas

## Statement of Permission to Trade for Cotton Growers Group

Following the audit of the Cotton Growers Group on 16<sup>th</sup> September 2025 to the Better Cotton Principles and Criteria and Large Farm Group requirements this statement confirms a Permission to Trade Better Cotton. This permission to trade Better Cotton includes the farmers in the following list.

Large Farm code	Farmer name	Address	Acreage

Permission to trade Better Cotton is granted from 28<sup>th</sup> October 2025 until 28<sup>th</sup> October 2026. Trade of Better Cotton volumes is also subject to eligibility and volumes being issued by Better Cotton.

Permission to trade is a one off status following initial audit only. All non-conformities need to be corrected, and Expera review evidence of their implementation, prior to 28<sup>th</sup> October 2026 for certification to be issued. If certification cannot be issued by 28<sup>th</sup> October 2026 the permission to trade and right to trade Better Cotton volume expires on this date and Cotton Growers Group will need to reapply for certification.

This Permission to trade is authorised by:



Sarah Pazos

Director of Certification: Expera Certification

Figure 6: Large Farm Group Example

Expera Certification  
30 Main St.  
Garford  
Leeds LS25 1DS  
UK

Producer Unit PKSF58 of ABI  
4758 Elk Rd Little  
Tucson  
85701 Arizona

**Statement of Permission to PKSF58 of ABI**

Following the audit of the PKSF58 on 16<sup>th</sup> September 2025 to the Better Cotton Principles and Criteria this statement confirms a Permission to Trade Better Cotton to this Producer Unit.

Permission to trade Better Cotton is granted from 28<sup>th</sup> October 2025 until 28<sup>th</sup> October 2026. Trade of Better Cotton volumes is also subject to eligibility and volumes being issued by Better Cotton.

Permission to trade is a one off status following initial audit only. All non-conformities need to be corrected, and Expera review evidence of their implementation, prior to 28<sup>th</sup> October 2026 for certification to be issued. If certification cannot be issued by 28<sup>th</sup> October 2026 the permission to trade and right to trade Better Cotton volume expires on this date and PKSF58 will need to reapply for certification.

This Permission to trade is authorised by:

A handwritten signature in black ink, appearing to read 'Sarah Pazos'.

Sarah Pazos

Director of Certification: Expera Certification