



## VIVE 3.0 Facilities Module Guidance Issue 1.0

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## Introduction

VIVE is a voluntary Continuous Improvement Sustainability Programme for ingredient supply chains that enables sustainability performance to be measured and improvement objectives to be set and tracked.

VIVE has been developed based on a broad experience of programmes operating within global industries reliant on agricultural products and considers the internationally recognised sustainability and human rights principles established by the various agencies of the United Nations. Driving continuous improvement in sustainability performance is fundamental to the VIVE programme. To create initial impetus, VIVE's data capture includes an assessment of current performance and projections for performance over the next two years. This facilitates the production of action plans required to deliver projected improvements and, in subsequent years, enables analysis of actual delivery versus aspirations.

The VIVE programme is designed to be able to operate along the whole supply chain from producer to industrial end-user and comprehensively covers the key sustainability areas: Environmental, Social, Economic.

VIVE acts as an 'umbrella' programme, benchmarked against other sustainability initiatives. This provides the potential for one VIVE assessment to meet the requirements of several programmes at once, thus reducing 'audit fatigue'.

VIVE recognises that participants will be at different stages in their sustainability improvement journey when they join the programme and similarly they, or their customers, will have different immediate sustainability priorities. The VIVE Programme is therefore designed to enable participants join the at different entry level in function of the stage of advancement of their sustainability journey, while expanding their sustainability agenda over time remaining in the VIVE programme. Participants in the programme self-assess their sustainability status by completing an online self-assessment within the VIVE Online System. Whilst participants retain the obligation to ensure all information provided is accurate and complete (see below), participants' responses and supporting evidence will be reviewed, including through on-site third-party Independent assessments, to see whether the evidence submitted and seen reasonably supports the responses given.

The underlying operating principle of the programme's assessments is first to assess whether a governance structure for sustainability is in place, and secondly to assess whether Sustainability is being effectively implemented. For example, a positive response (within a participant's self-assessment) to a given question (e.g. the prevention of the use of forced labour) would be assessed firstly by confirming that an appropriate policy is in place, and secondly by confirming that the participant is able to produce records and practices that demonstrate that that policy is being effectively enforced.

The programme operates on a three-year improvement cycle. Reports are produced after each on-site assessment. For a summary of the rules governing the operation of the VIVE programme, participants are referred to the VIVE Programme Manual. Participants are reminded that, in taking part in the VIVE programme, they warrant that the answers and supporting evidence that they provide are an accurate reflection of the current situation. Although an independent on-site assessment is an integral part of the VIVE programme, it remains the responsibility of the participating companies to ensure, that all responses and evidence entered into the online system and otherwise provided are true, accurate, not misleading and have no material omissions.

## The VIVE Modules

The full VIVE programme consists of four modules that, in combination, cover all the operations and activities that may have a bearing on the sustainability of the products supplied. These modules are:

- VIVE Chain of Custody
- VIVE Farm module
- VIVE Facility module

- VIVE Shipping module

It is VIVE's goal to include entire supply chains within the programme, as the programme is based on the belief that the sustainability of products cannot be adequately assessed and controlled unless the whole supply is considered.

### **This VIVE Guide**

This Guide is designed to assist participants in the VIVE programme FACILITY MODULE by including the questions and guidance from the VIVE Online System in a portable reference document.

It includes the following:

- 1) All the Criteria related to FACILITY MODULE. Thus, some Criteria related to other VIVE Modules will not be present in this Guide.
- 2) A description of the Criteria encompassed by the VIVE programme
- 3) Guidance on how to respond to questions in the VIVE Online System
- 4) Indicators which will be used by participants to score themselves against through Self-Assessment and subsequently verified through onsite assessment

### **Legal Compliance of Participating Companies**

Although the VIVE programme represents 'good practice', compliance with the VIVE Criteria does not in itself absolve a participating company from, or diminish, obligations that may be incumbent upon the participating company as a result of any client, statutory, or regulatory requirements. In addition to the requirements of the VIVE programme, participants must ensure that all products they supply meet the current legislative requirements of both the country in which the participating company is operating and the countries to which they supply products.

Where a participant is subject to legal action by a Competent Authority or other Enforcement Agency in relation to matters that directly affect compliance with the requirements of VIVE and the integrity of the programme, the participating company must advise VIVE of this at the earliest possible opportunity.

### **Glossary of Terms**

**Chain of Custody** – Those steps of the supply chain for which a company participating in VIVE is directly responsible

**Company** – Any reference to 'the Company' should be taken to include the participating company's designated contractors wherever activities encompassed by the VIVE programme have been delegated to a third party. Under VIVE rules, a participating company may delegate an activity encompassed by the VIVE programme wherever this offers an effective solution, but a participating company remains responsible for any Criteria encompassed by the VIVE programme.

**Criteria** – The component areas that a participant should consider under each Pillar of the VIVE Programme and against which they will be scored under the Indicator(s).

**Indicator(s)** – The question(s) that a participant should answer against each Criteria of the VIVE programme in order to establish their position on the journey of continuous improvement and against which they will achieve a defined score. Participant performance against VIVE indicators will be verified through onsite assessment and will form the basis of claim against the VIVE programme.

**Module** – The collection of VIVE Pillars applicable to a participant in the VIVE programme and related to the activity they undertake in the ingredient supply chain. The Modules of VIVE include: Farm, Facility, Forwarder, Shipper and Chain of Custody.

**Objective** – A succinct summary of the overall goal of a Pillar or Section within the VIVE Programme.

**Pillar** – A collection of Criteria relating to a specific area of the VIVE programme. Pillars are designated by a letter

**Supply Chain Step** – Any facility, store, means of transport or process within a supply chain where VIVE product is subjected to an activity that may affect its physical form, expose it to contamination by another product or substance, result in loss of material during handling or result in it being comingled with another product. Typically, each activity involving processing, storage and transport should be treated as a separate supply chain step. Due to the nature of certain crop processing, the production process for a semi manufactured or manufactured product will typically be considered as one Supply Chain Step.

## **VIVE Assessments**

### **Self-Assessment:**

As part of the VIVE Participants commitment to continuous improvement, they afforded an opportunity to Self-Assessment of their performance against the VIVE programme on an annual basis, including the opportunity for the participant to plot a two-year forecast of improvements against the VIVE programme. VIVE participants should use the opportunity for Self-Assessment to measure their perceived performance against the VIVE programme and to maintain a catalogue of evidence to support any onsite assessment.

### **Onsite Assessments:**

For VIVE Participants to be awarded with a VIVE Claim Level certificate, an onsite verification of VIVE Participants performance against the VIVE programme needs to be conducted annually. Following an onsite assessment, the VIVE Participant will be issued with a report showing their performance against all assessed VIVE indicators, performance against VIVE claim level indicators and an indication of performance against VIVE Benchmarked Programmes.

### **Scope of Assessments:**

#### **Year 1 of the 3-year assessment cycle:**

The first onsite assessment of the 3-year assessment cycle will include the full scope assessment of the participants performance against the VIVE Programme, including all relevant indicators from the VIVE Participants elected modules. The assessment sets the foundations for continuous improvement within the framework of the programme over the 3-year cycle.

#### **Year 2 and 3 of the 3-year assessment cycle:**

The second- and third-year onsite assessments only include Claim Level Indicators under the scope of assessment. These assessments are to ensure that VIVE Participant are afforded an opportunity to reach VIVE Claim level within the three-year cycle and that where a Claim Level certificate has been awarded, the participant can demonstrate continual maintenance of performance against the Claim Level Indicators.

## **VIVE Reward Levels**

### **VIVE Facility Module Claim Level:**

For VIVE Participants to be awarded a VIVE Claims Level Certificate, the VIVE Participant must satisfactorily demonstrate through onsite assessment that they meet all Core (C) VIVE Claim Level Indicators which are marked where applicable within the programme. Additionally, some indicators will be flagged with “Penalty Points”, VIVE Participant must not accrue more than 27 penalty points. If the onsite assessment results in the VIVE Participant not meeting either or all Mandatory indicators or exceeding 27 penalty points, they will be afforded the opportunity to remediate these issues.

### **VIVE Facility Module Remediation:**

VIVE Participants who have not achieved initial VIVE Claim Level Certification following an onsite will be afforded an opportunity to remediate issues over a 60 days period following the issue of the



Onsite Assessment Report. If VIVE Participants have successfully demonstrated that all necessary remedial actions have been completed within the 60-day period, they will be issued with a VIVE Claim Level Certificate.

**VIVE Facility Module Excellence Level:**

For VIVE Participants to be awarded a VIVE Excellence Level Certificate, the VIVE Participant must satisfactorily demonstrate through onsite assessment that they meet all Core (C) and have no penalty points.

**VIVE Facility Module Participation Level:**

VIVE Participants that have undertaken an onsite assessment who have not met with Claim or Excellence level, will be acknowledged for their participation with a participation award.

**VIVE Complaints and Appeals**

Please contact [VIVESupport@absustain.com](mailto:VIVESupport@absustain.com) to access the full VIVE Complaints and Appeals procedure.

**VIVE Ownership**

VIVE is jointly owned and operated by Czarnikow Group Ltd and AB Sustain (a division of AB Agri Ltd)

**VIVE Contact**

If you wish to contact VIVE please send an e-mail to: [VIVESupport@absustain.com](mailto:VIVESupport@absustain.com)

## FAC|1| Governance

**OBJECTIVE:** The Company should embed in its business practices the processes necessary for the successful implementation of VIVE and the maintenance of the Programme’s integrity and credibility.

The Pillars of VIVE will only deliver continuous improvements towards sustainable production effectively if they are built on the sound foundations of robust Governance. The Criteria included within Governance apply to all of the Criteria within all the Pillars of VIVE.

### FAC|1|1| VIVE Onsite Assessment

**CRITERIA:** The Company should ensure that it does not obstruct assessors in their performance of their assessment

The Company must make reasonable efforts to cooperate with assessors before, during and after assessment have been completed. Where requested, the Company must not deny assessors access to:

The site

- Requested documentation
- Requested worker interviews
- Partial or full denial of access to sections of the facility
- 

Assessors may identify issues during an onsite assessment which cannot be immediately classified within the programme. These finding will be will captured within this Criteria according to the perceived severity.

**Immediate Issue:** Observation of practices conducted by the Company which represents a significant risk to persons working within the facility, the environment or integrity of the VIVE Programme.

**Major Issue:** Observation of practices conducted by the Company which represents a moderate risk to persons working within the facility, the environment or integrity of the VIVE Programme.

**Minor Issue:** Observation of practices conducted by the Company which represents a minor risk to persons working within the facility, the environment or integrity of the VIVE Programme.

Observations should be further classified by the assessor if they related to:

- Integrity of the VIVE product
- Risk to persons within the facility
- Risk to the Environment

Indicator Reference	Indicator Description	Possible Responses
FAC 1 1 1	Full access to assessment is granted	Y, N
FAC 1 1 2	Full access requested documentation is granted	Y, N
FAC 1 1 3	Full access to requested worker interviews is granted	Y, N
FAC 1 1 4	Full access to the sections of the facility is granted	Y, N
FAC 1 1 5	No unclassified Immediate Issues encountered during onsite assessment in relation to VIVE product integrity	Y, N
FAC 1 1 6	No unclassified Major Issues encountered during onsite assessment in relation to VIVE product integrity	Y, N
FAC 1 1 7	No unclassified Minor Issues encountered during onsite assessment in relation to VIVE product integrity	Y, N
FAC 1 1 8	No unclassified Immediate Issues encountered during onsite assessment in relation to persons within the facility	Y, N

FAC 1 1 9	No unclassified Major Issues encountered during onsite assessment in relation to persons within the facility	Y, N
FAC 1 1 10	No unclassified Minor Issues encountered during onsite assessment in relation to persons within the facility	Y, N
FAC 1 1 11	No unclassified Immediate Issues encountered during onsite assessment in relation to the Environment	Y, N
FAC 1 1 12	No unclassified Major Issues encountered during onsite assessment in relation to the Environment	Y, N
FAC 1 1 13	No unclassified Minor Issues encountered during onsite assessment in relation to the Environment	Y, N

## FAC|1|2| Company Policies

CRITERIA: The Company should have Policies that are aligned to the relevant Criteria of VIVE.

The Company should assess whether its existing policies sufficiently encompass the Criteria of VIVE or whether additional policy statements are required.

Where the Company is part of a group, any Group policy should be suitable for local use and adapted as necessary.

The Company Policies that commit to the effective implementation of the VIVE Criteria should:

- Be Company and country specific
- Commit to compliance with all relevant national and local regulations
- Commit to providing sufficient resources to ensure the effective implementation of the VIVE Criteria
- Commit to ensuring all affected staff are aware of those VIVE Criteria relevant to their roles
- Commit to:

a. Measures to promote good labour practices

b. Measures to prevent child labour

c. Measures to promote the Health and Safety of employees, contractors and visitors

d. Measures to protect the environment and biodiversity

e. Measures to reduce Greenhouse Gas emissions per tonne of product

- Be signed by a member of the Company senior management
- Be subject to regular review (at least annually)

Indicator Reference	Indicator Description	Possible Responses
FAC 1 2 1	Are Company Policies, company and country specific?	Y, N
FAC 1 2 2	Do Company Policies commit to compliance with all relevant national and local regulations?	Y, N
FAC 1 2 3	Do Company Policies commit to providing sufficient resources to ensure the effective implementation of the VIVE Criteria?	Y, N
FAC 1 2 4	Do Company Policies commit to measures to promote good Labour Practices?	Y, N
FAC 1 2 5	Do Company Policies commit to measures to prevent Child Labour?	Y, N
FAC 1 2 6	Do Company Policies commit to measures to promote the Health and Safety of employees, contractors and visitors?	Y, N
FAC 1 2 7	Do Company Policies commit to measures to protect the Environment and Biodiversity?	Y, N

FAC 1 2 8	Do Company Policies commit to measures to reduce Greenhouse Gas emissions per tonne of crop?	Y, N
FAC 1 2 9	Do Company Policies commit to ensuring that only authorised firearms and knives are allowed on Company premises and that only drugs for medicinal purposes are permitted on site?	Y, N
FAC 1 2 10	Do Company Policies commit to strict controls regarding alcohol?	Y, N
FAC 1 2 11	Are Company Policies signed off by a member of the Company Senior Management?	Y, N
FAC 1 2 12	Are Company Policies reviewed at least once per year?	Y, N

### FAC|1|3| Documented Procedures & Records

CRITERIA: The Company produces and implements its own set of Documented Procedures that encompass the requirements of the VIVE Programme and ensures that all Records required by the VIVE Programme are maintained correctly.

The Company should assess whether its existing documented procedures sufficiently encompass the Criteria of VIVE or whether additional documented procedures are required.

Where VIVE requires procedures, they should be documented.

Documented Procedures may be held electronically or on paper and may form part of a structured and certificated quality management system (e.g. ISO 9001), or be part of a national, industry or Company scheme that delivers equivalent controls.

Independently certified quality systems are not a pre-requisite under VIVE but where documented procedures are in place they should:

- Be approved, dated and signed by an authorised person
- Be readily available and understood by those required to operate to the requirements of the procedure
- Be reviewed at least annually and revised to reflect any significant changes that influence the operations of the Company
- Be subjected to internal verification on at least an annual basis to confirm that Company practices align with documented procedures. Findings should be reported to quality management and any necessary corrective actions should be recorded and implemented

Records may be kept in either hard or soft (electronic) format but should meet the following:

- All Records required by the VIVE Programme are kept for a minimum of two years, or longer if required by legislation
- Where applicable, all data protection regulations relevant to Company and third party's records should be adhered to
- Storage prevents any deterioration or damage to Records under all likely local conditions
- Records are sorted and filed in such a way that information is complete and easily retrievable
- Records are legible
- Records are subject to internal/external verification, with findings reported to quality management and any necessary corrective actions recorded and implemented

Records that may be checked during an assessment may include but are not limited to:

- Training records
- Operating and Environmental Permits

- Near Miss and Accident Analysis
- Worker Contracts
- Payment records of workers
- Vehicle Maintenance Records

Indicator Reference	Indicator Description	Possible Responses
FAC 1 3 1	Are all records required by the VIVE Programme kept for a minimum of two years (or longer if required by legislation)?	Y, N
FAC 1 3 2	Are records sorted and filed in such a way that information is complete and easily retrievable?	Y, N
FAC 1 3 3	Do storage facilities for Records prevent any deterioration or damage to records under all likely local conditions?	Y, N
FAC 1 3 4	Are the Company's Documented Procedures approved, dated and signed by an authorised person?	Y, N
FAC 1 3 5	Are the Company's Documented Procedures readily available and understood by those required to operate to the requirements of the procedure?	Y, N
FAC 1 3 6	Are the Company's Documented Procedures reviewed at least annually and revised to reflect any significant changes that influence the operations of the Company?	Y, N
FAC 1 3 7	Are the Company's Documented Procedures subject to Internal Verification on at least an annual basis to confirm alignment between practices and procedures, with findings being reported to quality management and any necessary corrective actions being recorded and implemented?	Y, N

#### **FAC|1|4| Business Integrity**

CRITERIA: The Company should conduct its business with integrity, respecting relevant laws and prohibiting bribes and fraudulent practices.

The Company's controls should encompass all the areas listed below:

- Compliance with all applicable laws, rules, regulations and requirements related to business integrity
- Prohibition of bribes or other types of 'facilitation' payments
- Entertainment and gifts
- Human rights
- Respect in the workplace
- Competition and anti-trust
- Conflicts of interest
- Money laundering
- The accuracy and veracity of any records of practices, procedures and legal compliance

The Company should have a mechanism available to allow employees to report suspected misconduct related to Business Integrity. This mechanism should be secure, anonymous and protect employees from any repercussions.

Relevant Company controls should be audited by competent and qualified assessors, independent of the business unit being audited. The findings should be reported to senior management and any shortcomings should be identified and addressed.

Indicator Reference	Indicator Description	Possible Responses
FAC 1 4 1	Does the Company have effective controls in place to ensure compliance with all applicable laws, rules, regulations and requirements related to Business Integrity?	Y, N
FAC 1 4 2	Does the Company have effective controls in place to prohibit bribes or other types of 'facilitation' payments?	Y, N
FAC 1 4 3	Does the Company have effective controls in place regarding entertainment and gifts?	Y, N
FAC 1 4 4	Does the Company have effective controls in place regarding human rights?	Y, N
FAC 1 4 5	Does the Company have effective controls in place regarding respect in the workplace?	Y, N
FAC 1 4 6	Does the Company have effective controls in place regarding competition and anti-trust?	Y, N
FAC 1 4 7	Does the Company have effective controls in place to manage conflicts of interest?	Y, N
FAC 1 4 8	Does the Company have specific controls in place regarding money laundering?	Y, N
FAC 1 4 9	Does the Company have effective controls in place to ensure the accuracy and veracity of any records of practices, procedures and legal compliance	Y, N
FAC 1 4 10	Does the Company have a secure, anonymous mechanism available to allow employees to report suspected misconduct related to Business Integrity without any repercussions?	Y, N
FAC 1 4 11	Are Company controls relating to Business Integrity subject to audit by competent and qualified assessors, independent of the business unit being audited?	Y, N

### FAC|1|5| Management Structures

CRITERIA: The Company should be able to demonstrate management structures that will ensure VIVE is implemented effectively.

The Company should be able to demonstrate a management structure and sufficient, suitably trained personnel to ensure that the Criteria of VIVE are implemented.

There is no requirement to use the VIVE brand but where other systems or existing structures are utilised it is a requirement that the Criteria of VIVE are encompassed.

Depending on the Company structure, individuals may hold more than one role and have other duties besides their involvement in the implementation of VIVE. In all cases, however, adequate resources should be made available to ensure the implementation is effective.

Where the Company outsources activities to independent third parties (e.g. storage, transport, etc.) it should ensure that such independent third parties comply with all Criteria within this module relevant to those activities.

Any organisational structure used to implement VIVE should be documented

A typical structure may include the following roles and responsibilities:

- A ‘Steering Committee’ that includes representation from the senior management team of the Company. The Committee should meet before, during and after the crop season and circulate meeting minutes. The Steering Committee responsibilities should include:
  - Providing guidance on the VIVE Criteria
  - Allocating human and financial resources to ensure effective implementation of the VIVE Criteria
  - Verifying the priorities for implementation

Engaging with external stakeholders

A ‘Coordinator’ with direct responsibility to the Steering Committee for:

- Coordinating the ‘VIVE’ Team
- Driving the implementation of the VIVE Criteria and continuous improvement

A ‘Team’ made up of cross-functional representatives (such as: Growing Operations, Production, Procurement, Corporate Affairs, Legal Compliance, Health & Safety), to support the implementation of the VIVE Criteria and continuous improvement. This Team should communicate regularly to plan, coordinate and manage all activities relating to VIVE, including:

- Review and approval of the VIVE online self-assessments
- Ensuring that any issues are correctly recorded and addressed
- Monitoring the implementation of action plans
- Escalating to the Steering Committee any issues that they cannot resolve

Indicator Reference	Indicator Description	Possible Responses
FAC 1 5 1	Can the Company demonstrate a management structure and sufficient, suitably trained personnel to ensure that VIVE is implemented effectively?	Y, N

### **FAC|1|6| Food Safety and Quality**

**CRITERIA:** The Company should ensure that Food Safety and Quality are maintained at all Company facilities and that they are the responsibility of a qualified person or team of people with access to the authority and resources to promptly address any significant issues identified.

The Company should ensure:

- Any regulatory requirements are met with regard to Food Safety and Quality at Company-owned and managed facilities
- The individual or individuals charged with Food Safety and Quality have the authority and resources to address any identified issues promptly
- Those responsible for Food Safety and Quality at Company-owned and managed facilities are suitably qualified in Hazard Analysis and Critical Control Points (HACCP) or equivalent methodology or, wherever this is not the case, they have prompt access to a suitably qualified person
- Management responsible for Food Safety and Quality review all incident reports on a regular basis and ensure any changes in processes or procedures identified as necessary are implemented as a consequence of this process
- Management responsible for Food Safety and Quality ensure Food Safety and Quality inspections are routinely and regularly undertaken to proactively identify any potential

issues at Company-owned and managed facilities prior to problems arising, and ensure any changes in processes or procedures identified as necessary are implemented as a consequence of this process

Indicator Reference	Indicator Description	Possible Responses
FAC 1 6 1	Do the individuals charged with Food Safety and Quality matters have the authority and resources to address any identified issues promptly?	Y, N
FAC 1 6 2	Are those responsible for Food Safety and Quality at Company-owned and managed facilities suitably qualified in HACCP or equivalent? When this is not the case, do they have prompt access to a suitably qualified person?	Y, N
FAC 1 6 3	Does the management responsible for Food Safety and Quality review all incident reports on a regular basis and ensure any changes in processes or procedures identified as necessary are implemented as a consequence of this process?	Y, N
FAC 1 6 4	Does the management responsible for Food Safety and Quality ensure Food Safety and Quality inspections are routinely and regularly undertaken to proactively identify any potential issues at Company-owned and managed facilities prior to problems arising, and ensure any changes in processes or procedures identified as necessary are implemented as a consequence of this process?	Y, N

### **FAC|1|7| Stakeholder Engagement**

**CRITERIA:** The Company should engage with external stakeholders who can assist with any knowledge and expertise that may be required to resolve issues pertinent to VIVE.

Stakeholders may be used to support risk assessments and help develop mitigation plans for risks and issues.

The Company should identify relevant stakeholders based on the task to be achieved and the availability of credible and relevant stakeholders with which to engage.

Developing long term relationships with stakeholders can increase the Company's ability to leverage (ability to effect change) and facilitate cooperation and coordination of supply chain development plans by governments, NGOs, civil society and affected parties. Stakeholders will have a role to play in your due diligence process, and ultimately may assume responsibility for addressing or owning remediation programmes where issues have been identified (e.g. states building infrastructure such as roads, schools or hospitals for affected communities). Stakeholders may be necessary to engage with to aid in the identification of risk and adverse impacts through various means such as monitoring, compliance assurance and grievance mechanisms, which in turn may require specialized help to establish an appropriate response.

Stakeholder consultations are relevant to all Pillars of the VIVE programme including Governance of the programme, people, environment and product issues and opportunities.

Potential stakeholders include but are not restricted to:

- Communities
- Trade Unions
- Civil Society organizations
- Business support groups
- Manufacturers of machinery



- Legal expertise
- Health, Safety and Environment expertise
- Government departments
- Parties to which activities are delegated
- Rights holders
- Indigenous and tribal people

Indicator Reference	Indicator Description	Possible Responses
FAC 1 7 1	Has the Company identified Stakeholders with which it should engage in relation to specific aspects of VIVE?	Y, N
FAC 1 7 2	Following Stakeholder engagement, has the Company identified areas for action and developed plans for action?	Y, N
FAC 1 7 3	Has the Company implemented plans developed as a result of stakeholder engagement?	Y, N
FAC 1 7 4	Is the Company monitoring the implementation of plans developed as a result of stakeholder engagement?	Y, N
FAC 1 7 5	Has the Company reviewed, and adjusted plans developed as a result of stakeholder engagement where necessary to ensure effectiveness?	Y, N
FAC 1 7 6	Has the Company engaged stakeholders to assist with Environmental and Social risk assessment and monitoring?	Y, N

### FAC|1|8| Training on the VIVE Criteria

CRITERIA: The Company should identify and train key personnel upon which it will rely for the effective implementation of VIVE.

The Company should undertake regular training of key personnel throughout the year.

The Company should have:

Identified key personnel to be trained in VIVE. The number, type and status of identified personnel should be adequate to ensure effective implementation of the VIVE Criteria

A documented process for training key personnel which includes:

- Knowledge about how to apply the VIVE Criteria within the Facility
- Processes for monitoring the VIVE Criteria within the Facility
- Reporting issues relating to the VIVE Criteria
- Methodology for implementation of action plans to address any issues relating to the VIVE Criteria

A regular evaluation process in place to check the understanding of the VIVE Criteria relevant to the roles of key personnel, through either regular internal or external testing or evaluation

Procedures in place that ensure the understanding of key personnel, and application of the VIVE Criteria, are kept up to date as the Programme evolves and develops

Every Criteria of VIVE should be covered by a relevantly qualified and authorised member of the Company. These assigned people should have an appropriate understanding of what is required and possess the authority and resources to deliver against this.

Indicator Reference	Indicator Description	Possible Responses
FAC 1 8 1	Has the Company identified the key personnel to be trained in the relevant areas of VIVE?	Y, N

FAC 1 8 2	Do the number, type and status of personnel identified for training, ensure the effective implementation of controls and procedures relevant to VIVE?	Y, N
FAC 1 8 3	Does the Company have a documented process for training key personnel in the aspects of VIVE in line with the guidance?	Y, N
FAC 1 8 4	Are tests/evaluations of key personnel carried out at least annually to ensure the ongoing effective implementation of controls and procedures relevant to VIVE?	Y, N
FAC 1 8 5	Does the Company have procedures in place that ensure the understanding of key personnel is kept up to date as the Programme evolves and develops?	Y, N

### FAC|1|9| Regulations

CRITERIA: The Company has a procedure to monitor local regulations and ensure that all relevant regulations are complied with or exceeded.

The Company should have a process to ensure that they are kept up to date with regulations and that they monitor their performance against these regulations.

KEY Regulations that may be applicable may include but are not limited to:

- Light in the workplace
- Thermal Comfort in the workplace
- Ergonomics in the workplace
- Toilets, Washrooms and Showers
- Facility Changing Rooms
- Control of Biohazards in the Facility
- Warning Signage
- Interlocks
- Issue and Use of PPE
- PPE Signage
- Accident, Near Miss and Prompt Action Analysis and Reporting
- Evacuation Drills
- Assembly Points
- Fire Hydrants
- First Aid / Medical Rooms
- Medicines and Medical Supplies
- Facility Access
- Safety Briefings
- Vehicle Condition
- Vehicle Safety Equipment
- Safe Driver Training
- In-Facility Vehicle Management
- Wastewater and Effluent Management

Indicator Reference	Indicator Description	Possible Responses
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FAC 1 9 1	Does the Company have a procedure to stay up to date with all relevant regulations in relation to the processing of the crop?	Y, N
FAC 1 9 2	Does the Company have a procedure to monitor their performance against all relevant regulations in relation to the processing of the crop?	Y, N
FAC 1 9 3	Does the Company comply with or exceed all applicable regulations in relation to processing of the crop excluding those listed in guidance of this Criteria?	Y, N

## FAC|2| Facility

**OBJECTIVE:** The Company should manage its facilities in a manner which ensures that the safety and well-being of permanent and temporary employees, contractors and visitors are protected at all times.

The Criteria in the Facilities Pillar apply to all facilities over which the Company has direct management control. Although specific activities may be sub-contracted to third parties, responsibility for the effective implementation of this Pillar remains with the Company.

### FAC|2|1| Risk Assessment

**CRITERIA:** The Company should use Risk Assessment methodology to identify and mitigate any significant risks affecting the Criteria within the Company Facilities Pillar.

In addition to ensuring the Company meets its legal obligations, an effective Risk Assessment helps the Company to focus on the most significant issues. This in turn may result in cost savings, protection of people and the environment from harm, and enhance the Company's reputation. The Company should review the Risk Assessment on at least an annual basis, or if operational changes occur, to ensure that it continues to address all current and new issues.

The Company should use a systematic approach for carrying out a Risk Assessment that includes the following steps:

- Identify the risks for each applicable Criteria within the Company Facilities Pillar: what could go wrong and what might be the consequences?
- Estimate the risk (Probability x Severity)
- Evaluate the risk and agree how it might be mitigated
- Implement mitigating actions to manage the risks identified
- Review the effectiveness of any mitigating actions implemented

Indicator Reference	Indicator Description	Possible Responses
FAC 2 1 1	Has the Company conducted a Risk Assessment relevant to the Facility Pillar?	Y, N
FAC 2 1 2	Does the Risk Assessment include potential risks relevant to all applicable Criteria within the Facility Pillar?	Y, N
FAC 2 1 3	Has the Company estimated all identified risks?	Y, N
FAC 2 1 4	Has the Company identified mitigating actions for all risks classified as unacceptable affecting Criteria within the Facility Pillar?	Y, N
FAC 2 1 5	Has the Company identified mitigating actions for all risks classified as tolerable affecting Criteria within the Facility Pillar?	Y, N
FAC 2 1 6	Has the Company implemented mitigating actions against all risks classified as unacceptable?	Y, N
FAC 2 1 7	Has the Company implemented mitigating actions against all risks classified as tolerable?	Y, N
FAC 2 1 8	Has the Company reviewed the Risk Assessment at least annually, or when operational changes occur, to ensure it remains up-to-date and effective?	Y, N

### **FAC|2|2| Noise in the Workplace**

**CRITERIA:** The Company should establish a documented system to ensure that Noise in the Workplace is evaluated, and mitigation is put in place wherever necessary to protect the well-being of permanent and temporary employees, contractors and visitors.

The Company should ensure that:

- Any regulatory requirements are met with regard to Noise in the Workplace
- Wherever possible it selects plant and equipment that generate low levels of noise
- Where noisy plant/equipment is unavoidable, it is located as far as possible away from working areas and buildings or other acoustic barriers are used to shield noise
- Noisy equipment is switched off when not in use
- Silencers/mufflers are installed on equipment, where necessary
- Acoustic enclosures are installed for noisy equipment/machinery, where necessary
- Sound insulation is applied to buildings, where necessary and practical
- Where alternative solutions are impractical, all affected employees, contractors and visitors are issued with ear defenders of a design that will protect their hearing. The use of PPE should only be considered as a last resort where elimination of the issue through engineering remedial action or acceptable mitigation of the risk cannot be achieved
- Monitoring is done to ensure noise controls are effective
- Monitoring is conducted in representative working areas
- Monitoring is conducted at least annually or as required under local regulations

The Company should monitor complaints and undertake its own surveys to ensure its procedures are effective in avoiding any significant adverse effects from Noise in the Workplace.

Unless applicable regulations specify more stringent controls, Noise in the Workplace should not exceed 85dBA for an 8-hour, Time-Weighted Average without mitigation being applied to protect health and welfare.

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 2 2 1	Has the Company evaluated the Noise in the Workplace to ensure any regulatory requirements are met?	Y, N
FAC 2 2 2	Has the Company confirmed that noise levels meet with VIVE Guidance levels?	Y, N
FAC 2 2 3	Wherever possible, has the Company selected plant and equipment that generate low levels of noise?	Y, N
FAC 2 2 4	Where necessary, have engineering remedial actions been identified to reduce noise levels to acceptable levels?	Y, N
FAC 2 2 5	Where alternative solutions are impractical, are all affected employees, contractors and visitors issued with ear defenders of a design that will protect their hearing?	Y, N

### **FAC|2|3| Dust in the Workplace**

**CRITERIA:** The Company should establish a documented system to ensure that Dust in the Workplace is evaluated, and mitigation is put in place wherever necessary to protect the well-being of permanent and temporary employees, contractors and visitors.

The Company should ensure that:

- Any regulatory requirements are met with regard to Dust in the Workplace
- Dust emissions are avoided wherever possible

- Dust is captured near the source of its generation wherever possible
- Dust suppression techniques are used where dust generating activities occur (e.g. covers, water suppression and abatement systems such as extractors, filters or cyclones)
- Where alternative solutions are impractical, all affected employees, contractors and visitors are issued with dust masks, or other respiratory protection as appropriate, of a design that will protect their health. The use of PPE should only be considered as a last resort where elimination of the issue through engineering remedial action or acceptable mitigation of the risk cannot be achieved
- Monitoring is conducted in representative working areas
- Monitoring is conducted at least annually or as required under local regulations

The Company should monitor complaints and undertake its own surveys to ensure its procedures are effective in avoiding any significant adverse effects from Dust in the Workplace.

Dust can contain particles of a wide range of sizes. The effects of these particles when ingested into the body, depends on their size, shape and chemical nature. The following limits for Dust in the Workplace should apply unless more stringent levels are required by applicable regulations:

- Total Inhalable Dust should not exceed 10mg/m<sup>3</sup>. This is the fraction of airborne particles which enters the nose and mouth during normal breathing. It is made up of particles of 100 microns in diameter or less. This dust fraction is required to be measured in many European jurisdictions.
- Respirable Dust should not exceed 4mg/m<sup>3</sup>. This fraction is composed of particles approximately 5 microns or less. It penetrates the gas exchange region of the lungs and is therefore the most hazardous particulate size. This fraction is required to be measured in many European jurisdictions.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 3 1	Has the Company evaluated the Dust in the Workplace to ensure any regulatory requirements are met?	Y, N
FAC 2 3 2	Has the Company confirmed that dust levels meet with VIVE Guidance levels?	Y, N
FAC 2 3 3	Where necessary, have engineering remedial actions been identified to reduce dust levels to acceptable levels?	Y, N
FAC 2 3 4	Where alternative solutions are impractical, are all affected employees, contractors and visitors issued with dust masks, or other respiratory protection as appropriate, of a design that will protect their health?	Y, N

#### **FAC|2|4| Light and Lighting in the Workplace**

CRITERIA: The Company should establish a documented system to ensure that Light and Lighting in the Workplace are evaluated and mitigation is put in place wherever necessary to protect the well-being of permanent and temporary employees, contractors and visitors.

The Company should ensure that:

Any regulatory requirements are met with regard to Light and Lighting in the Workplace

Employees in the facility have adequate available light to undertake their duties effectively and without any adverse effect on their eyesight

Measurements of light levels are taken in all locations where, and at all times when, people may be

working

Fixed and mobile equipment are adequately illuminated to ensure any potential hazards can be clearly seen

Forklift trucks and other vehicles operating at the facility are fitted with operational headlights wherever required to ensure drivers can clearly see potential obstructions or people present in working areas

Where alternative solutions are impractical, all affected employees, contractors and visitors are issued with effective high visibility clothing

Any artificial lighting or windows provided within the facility are adequately sited or protected to ensure glass and other brittle materials are not a hazard to people or potential contaminant.

The Company should monitor accidents and near misses and undertake its own surveys to ensure its procedures are effective in avoiding any significant adverse effects on employees, contractors and visitors from poor Light in the Workplace.

The following levels for Light in the Workplace are recommended by the Health and Safety Executive of the United Kingdom and should apply unless greater levels are required by applicable regulations:

- 50 Lux for rough work
- 100 Lux for medium work
- 200 Lux for fine work
- 500 Lux for very fine work

Indicator Reference	Indicator Description	Possible Responses
FAC 2 4 1	Has the Company confirmed that light levels meet with VIVE Guidance levels?	Y, N
FAC 2 4 2	Where necessary, have engineering remedial actions been identified to improve lighting to acceptable levels?	Y, N
FAC 2 4 3	Does the Company ensure that where alternative solutions are impractical, all affected employees, contractors and visitors are issued with effective high visibility clothing?	Y, N

### **FAC|2|5| Thermal Comfort in the Workplace**

CRITERIA: The Company should establish a documented system to ensure that Thermal Comfort in the Workplace is evaluated, and mitigation is put in place wherever necessary to protect the well-being of permanent and temporary employees, contractors and visitors.

The Company should ensure that:

- Any regulatory requirements are met with regard to Thermal Comfort in the Workplace
- Temperatures in the workplace are appropriate for the type of work being undertaken and do not lead to short or long-term adverse effects on the health of employees, contractors or visitors
- Measurements of temperatures are taken in all locations where, and at all times when, people may be working
- Any assessment of thermal comfort takes into account local conditions and acclimatisation
- There is sufficient fresh air in enclosed workplaces, having regard to the working methods used and the physical demands placed on the employees
- Where a forced ventilation system is used, it is maintained in good working order. Any breakdown is identified and quickly repaired wherever employees' comfort is a potential

issue. Potential health hazards associated with mechanical ventilation systems (such as Legionella) are monitored and controlled

- Where air-conditioning or mechanical ventilation installations are used, they are operated in such a way that employees are not exposed to draughts that cause discomfort
- Windows, skylights and glass partitions are designed to prevent excessive effects of sunlight in workplaces, having regard to the nature of the work and of the workplace
- Where necessary, all affected employees, contractors and visitors are issued with appropriate clothing and personal protective equipment to allow them to remain comfortable

The Company should monitor complaints and undertake its own surveys to ensure its procedures are effective in achieving Thermal Comfort in the Workplace.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 5 1	Has the Company evaluated the Thermal Comfort in the Workplace?	Y, N
FAC 2 5 2	Does the Company ensure temperatures in the workplace are appropriate for the type of work being undertaken and do not lead to short or long-term adverse effects on the health of employees, contractors or visitors?	Y, N

#### **FAC|2|6| Ergonomics in the Workplace**

CRITERIA: The Company should establish a documented system to ensure that Ergonomics in the Workplace are evaluated and mitigation is put in place wherever necessary to protect the well-being of permanent and temporary employees, contractors and visitors.

The Company should ensure any regulatory requirements are met with regard to Ergonomics in the Workplace.

Wherever practical, the Company should design jobs to fit its employees rather than requiring workers to undertake physically uncomfortable or repetitive tasks to fit the job.

The Company should provide appropriate lifting equipment wherever this can be practically substituted for manual lifting.

The Company should carry out an assessment of work positions and practices and document actions taken to improve Ergonomics in the Workplace.

The Company should monitor complaints and undertake its own surveys to ensure its procedures are effective in achieving ergonomic comfort in the workplace.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 6 1	Has the Company evaluated the Ergonomics in the Workplace?	Y, N
FAC 2 6 2	Does the Company ensure Ergonomics in the Workplace are appropriate for the type of work being undertaken and do not lead to short or long-term adverse effects on the health of employees, contractors or visitors?	Y, N



## FAC|2|7| Housekeeping

CRITERIA: All Company-owned and managed facilities should be kept clean to the extent that the nature of the work allows.

The Company should ensure that:

- The floor of every work area is maintained, so far as practicable, in a dry condition
  - Work areas and passageways are kept as free as possible from ledges and shelving where dust may accumulate. Where this is not practical, cleaning regimes remove any accumulated dust in a timely manner
  - Any receptacle used for waste or refuse does not leak, may be thoroughly cleaned and is maintained in a sanitary condition
  - All sweepings, refuse and garbage are removed as often as necessary to maintain working areas in a sanitary condition
  - Every enclosed workplace is constructed, equipped, and maintained, as far as reasonably practicable, to prevent the entrance or harbouring of pests
  - A continuing and effective exclusion, and if necessary extermination, programme is instituted where the presence of rodents, insects or other pests is detected
- The Company should monitor complaints and undertake its own surveys to ensure its procedures are effective in achieving effective Housekeeping.

The Company should ensure that housekeeping procedures are effective in combating all potential biohazards. This includes any risks from bacterial, viral or fungal sources, including, but not restricted to those transmitted from:

- Showers and air conditioning units (e.g. Legionnaires' disease (Legionella))
- Mould (e.g. Aspergillosis)
- Rodents (e.g. Weil's disease (Leptospirosis))
- Biting insects (e.g. Bilharzia (Schistosomiasis))
- Birds (e.g. Parrot Fever (Psittacosis), Newcastle Disease, Avian Influenza and other diseases transmitted by birds and their droppings)

Indicator Reference	Indicator Description	Possible Responses
FAC 2 7 1	Wherever practical, does the Company ensure floors of work areas are maintained in a dry condition?	Y, N
FAC 2 7 2	Does the Company ensure work areas and passageways are kept as free as possible from ledges and shelving where dust may accumulate and that, where this is not practical, cleaning regimes remove any accumulated dust in a timely manner?	Y, N
FAC 2 7 3	Does the Company ensure any receptacle used for waste or refuse does not leak, may be thoroughly cleaned and is maintained in a sanitary condition	Y, N
FAC 2 7 4	Does the Company ensure every enclosed workplace is constructed, equipped, and maintained, as far as reasonably practicable, to prevent the entrance or harbouring of pests?	Y, N

FAC 2 7 5	Does the Company ensure a continuing and effective exclusion, and if necessary extermination, programme is instituted where the presence of rodents, insects or other pests is detected?	Y, N
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### FAC|2|8| Food and Water

CRITERIA: Food and water should be accessible to people in Company-owned and managed facilities in the quantities and of the quality necessary to maintain the well-being of permanent and temporary employees, contractors and visitors.

The Company should ensure that:

- Any regulatory requirements are met with regard to Food and Water in Company-owned and managed facilities
- All food services provided in Company-owned and managed facilities are operated and maintained in accordance with sound hygienic principles
- Where food is provided, it is wholesome, free from spoilage and processed, prepared, handled, and stored in such a manner as to be protected from contamination
- Where refrigeration or cooking equipment is provided by the Company for use by employees, contractors or visitors, this is maintained in effective and safe working order
- Potable drinking water is freely available in all facilities
- Portable drinking water dispensers are designed, constructed and serviced so that sanitary conditions are maintained

The Company should monitor complaints and undertake its own surveys to ensure all food, water and related equipment and practices in Company-owned and managed facilities maintain the well-being of permanent and temporary employees, contractors and visitors.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 8 1	Has the Company evaluated Food and Water to ensure any regulatory requirements are met?	Y, N
FAC 2 8 2	Are all food services provided in Company owned and managed facilities operated and maintained in accordance with sound hygienic principles?	Y, N
FAC 2 8 3	Where refrigeration or cooking equipment is provided by the Company for use by employees, contractors or visitors, is this maintained in effective and safe working order?	Y, N
FAC 2 8 4	Is potable drinking water freely available in all facilities?	Y, N

### FAC|2|9| Toilets, Washrooms and Showers

CRITERIA: Toilets, Washrooms and Showers in Company-owned and managed facilities should be provided as necessary and maintained to ensure the well-being of permanent and temporary employees, contractors and visitors.

The Company should ensure that:

- Any regulatory requirements are met with regard to Toilets, Washrooms and Showers in Company-owned and managed facilities
- Toilets are made available in all work areas within the Company facility
- The number of Toilets provided for each gender is based on the number of employees of that gender present in the facility

- Where Toilet rooms are designed to be occupied by no more than one person at a time, they can be locked from the inside
- One Shower is provided for each 10 employees of each gender (or numerical fraction thereof) who are required to shower during the same shift
- Soap or other appropriate cleansing agents are provided convenient to Toilets and Showers
- Showers and hand-washing facilities are provided with hot and cold running water. For Showers the hot and cold water feed a common discharge line
- Employees who use Showers and hand-washing facilities are provided with a hygienic and effective way of drying themselves
- Facilities provided are segregated in accordance with cultural norms and to ensure the expected privacy and necessary security of each gender
- All washing facilities are maintained in a sanitary condition
- The Company should monitor complaints and undertake its own surveys to ensure all Toilets, Washrooms and Showers in Company-owned and managed facilities maintain the well-being of permanent and temporary employees, contractors and visitors.

Number of employees Minimum number of toilets (See note below)

1 to 15 - 1

16 to 35 - 2

36 to 55 - 3

56 to 80 - 4

81 to 110 - 5

111 to 150 - 6

Over 150 - 1 additional fixture for each additional 40 employees

NOTE: Where toilet facilities should not be used by women, urinals may be provided instead of some toilets but the number of toilets in such cases should not be reduced to less than 2/3 of the minimum specified.

Each toilet should occupy a separate compartment with a door and walls or partitions between fixtures that are sufficiently high to assure privacy.

Urinals should be provided on the basis of one unit or 2 linear feet of urinal trough for each 25 men. The floor from the wall and for a distance not less than 15 inches measured from the outward edge of the urinals should be constructed of materials impervious to moisture.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 9 1	Is the number of Toilets provided for each gender based on the number of employees of that gender present in the facility?	Y, N
FAC 2 9 2	Where Toilets are designed to be occupied by no more than one person at a time, can they be locked from the inside?	Y, N
FAC 2 9 3	Is one shower provided for every 10 employees of each gender (or numerical fraction thereof) who are required to Shower during the same shift?	Y, N
FAC 2 9 4	Is soap or another appropriate cleansing agent provided convenient to Toilets and Showers?	Y, N

FAC 2 9 5	Are Showers and hand-washing facilities provided running water and for Showers does hot and cold water feed a common discharge line?	Y, N
FAC 2 9 6	Are employees who use Showers and hand-washing facilities provided with a hygienic and effective way of drying themselves?	Y, N
FAC 2 9 7	Are facilities segregated in accordance with cultural norms, to ensure the privacy and security of each gender?	Y, N
FAC 2 9 8	Are all washing facilities maintained in a sanitary condition?	Y, N

### FAC|2|10| Changing Rooms

CRITERIA: Changing Rooms in Company-owned and managed facilities should be provided as necessary and maintained to ensure the well-being of permanent and temporary employees, contractors and visitors.

The Company should ensure that:

- Any regulatory requirements are met with regard to Changing Rooms
- Whenever employees are required to wear protective clothing, Changing Rooms equipped with storage facilities for street clothes and separate storage facilities for the protective clothing should be provided
- Facilities provided are segregated in accordance with cultural norms and to ensure the expected privacy and necessary security of each gender
- A secure means is provided to employees, contractors and visitors for the storage of personal valuables during working hours
- The Company should monitor complaints and undertake its own surveys to ensure all Changing Rooms in Company-owned and managed facilities maintain the well-being of permanent and temporary employees, contractors and visitors.

Indicators in this Criteria should be considered Not Applicable (N/A) if:

- Regulations do not require changing rooms at the facility
- Employees, Visitors and Contractors are not expected to change out of the clothing they arrived in at the Facility into alternative clothing and or into PPE

\* Provide a positive score response to relevant indicators and comment indicators are Not Applicable and justification for Non-Applicable status

Indicator Reference	Indicator Description	Possible Responses
FAC 2 10 1	Has the Company provided changing rooms where employees, visitors and contractors may be expected to change clothing at work?	Y, N
FAC 2 10 2	Whenever employees are required to wear protective clothing, are changing rooms equipped with storage facilities for street clothes and separate storage facilities for the protective clothing?	Y, N
FAC 2 10 3	Are facilities provided segregated in accordance with cultural norms and to ensure the expected privacy and necessary security of each gender?	Y, N

FAC 2 10 4	Is a secure means provided to employees, contractors and visitors for the storage of personal valuables during working hours?	Y, N
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### FAC|2|11| Control of Hazardous Materials

CRITERIA: The Company should ensure there is a clear, documented procedure for the control of Hazardous Materials stored or used at the facility.

A 'hazardous substance' means a substance fulfilling the criteria laid down in parts 2 to 5 of Annex I of Regulation (EC) No. 1272/2008 of The European Parliament and The Council of the European Union. These include the following:

The Company should ensure that:

- Any regulatory requirements are met with regard to Hazardous Materials held at Company-owned and managed facilities
- All Hazardous Materials present at the Company owned and managed facilities are identified. This includes any agrochemicals, fumigation agents, etc. stored but not used in the facility
- No Hazardous Materials used, stored or created in Company-owned and managed facilities represent a potential for illness or injury due to exposure to toxic, corrosive, sensitizing or oxidative substances
- Hazardous Materials do not represent a risk of fire or explosion
- Safety Data Sheets (SDS) are available to relevant employees and the emergency services for all Hazardous Materials
- The Company should ensure any laboratory chemicals are included under this Criteria.

Risks to the health and safety of employees, contractors and visitors involving hazardous materials should be eliminated or reduced to a minimum by:

- The design and organisation of systems of work at the workplace
- The provision of suitable equipment (including PPE) for work with chemical agents and maintenance procedures which ensure the health and safety of employees, contractors and visitors
- Reducing to a minimum the number of employees, contractors and visitors exposed or likely to be exposed
- Reducing to a minimum the duration and intensity of exposure
- Appropriate hygiene measures
- Reducing the quantity of chemical agents present at the facility to the minimum required for the type of work concerned
- Suitable working procedures, including arrangements for the safe handling, storage and transport within the workplace of hazardous chemical agents and waste containing such chemical agents
- Making available emergency eyewash or full immersion showers where the risk assessment identifies these as necessary
- Good air quality in working areas should be maintained through the following:
  - Maintaining concentrations of hazardous materials below occupational exposure limit values
  - Developing good work practices aimed at minimising the release of contaminants into the air in the workplace
- Using enclosed operations for hazardous materials whenever possible

- Using local exhaust ventilation at emission points
- Storing flammable materials away from ignition sources and oxidising materials
- Segregating incompatible materials

Indicator Reference	Indicator Description	Possible Responses
FAC 2 11 1	Has the Company evaluated Hazardous Materials held at Company owned and managed facilities, to ensure any regulatory requirements are met?	Y, N
FAC 2 11 2	Does the Company take all reasonable measures to ensure that no Hazardous Materials used, stored or created in Company owned and managed facilities represent a potential for illness or injury due to exposure to toxic, corrosive, sensitizing or oxidative substances?	Y, N
FAC 2 11 3	Does the Company ensure Safety Data Sheets (SDS) are available to relevant employees and the emergency services for all Hazardous Materials?	Y, N
FAC 2 11 4	Does the Company ensure any risks to the well-being of permanent and temporary employees, contractors and visitors from Hazardous Materials are mitigated as far as possible by compliance with the Guidance given with this Criteria?	Y, N

### FAC|2|12| Impact of New Processes and Equipment

CRITERIA: The Company should ensure that there is a documented procedure to check the possible Impact of New Processes and Equipment on permanent and temporary employees, contractors and visitors.

Where there is a change in the way the process is undertaken or in the type of product being processed, the Company should take this into consideration as well as where there is a change in the equipment used.

Any remedial action required to mitigate an adverse Impact of New Processes and Equipment on employees, contractors and visitors should be taken prior to installation or a change in practices.

The Company should monitor complaints and undertake its own surveys to ensure its procedures are effective in avoiding any significant adverse effects on employees, contractors and visitors from New Processes and Equipment.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 12 1	Has the Company established a documented system to check the possible Impact of New Processes and Equipment on employees, contractors and visitors?	Y, N

### FAC|2|13| Safety Management & Inspections

CRITERIA: The Company ensures that safety at all Company facilities is the responsibility of a qualified person or team of people with access to resources and the authority to promptly address any significant safety issues identified.

The Company should ensure that:

- The individual or individuals charged with safety matters should have the authority and resources to address any identified safety issues promptly
- Ideally those responsible for safety at Company facilities will be qualified in health & safety but wherever this is not the case, they should have prompt access to a suitably qualified person

The Company should ensure follow-up is undertaken and documented for all issues that require Prompt Action. The Company may wish to incorporate their Prompt Action process with near miss reporting if near misses are categorised in accordance to severity

Management responsible for safety should review all accident and near miss reports on a regular basis, and ensure that any changes in processes or procedures identified as necessary as a consequence of this process are implemented

Management responsible for safety should ensure that safety inspections are routinely and regularly undertaken to proactively identify any potential safety issues at Company facilities prior to accidents and near misses, and ensure that any changes in processes or procedures identified as necessary as a consequence of this process are implemented

The individual or individuals charged with conducting Safety Inspections are suitably qualified in safety matters

The frequency of Safety Inspections will be dictated by history and risk assessment but should be undertaken at least annually

Written reports should be produced following each safety inspection and highlight all issues requiring both prompt and longer-term actions

Management responsible for safety should review all safety inspection reports and ensure that any changes in processes or procedures identified as necessary as a consequence of this process are implemented in a timely fashion

People less familiar with the site will see more than those who work there every day, and for this reason Safety Inspections should be undertaken by a suitably qualified person not overly familiar with the area being inspected (this may be a Company employee from another site).

Indicator Reference	Indicator Description	Possible Responses
FAC 2 13 1	Does the Company ensure any regulatory requirements are met with regard to Safety Management at Company owned and managed facilities?	Y, N
FAC 2 13 2	Does the Company ensure any regulatory requirements are met with regard to Safety Inspections at Company-owned and managed facilities?	Y, N
FAC 2 13 3	Do the individual or individuals charged with safety matters have the authority and resources to address any identified safety issues promptly?	Y, N
FAC 2 13 4	Are those responsible for safety at Company facilities qualified in health & safety or, wherever this is not the case, do they have prompt access to a suitably qualified person?	Y, N
FAC 2 13 5	Does the management responsible for safety review all accident and near miss reports on a regular basis and ensure that any changes in processes or procedures identified as necessary as a consequence of this process are implemented?	Y, N
FAC 2 13 6	Are Safety Inspections carried out at a frequency dictated by history and risk assessment and are they undertaken at least annually?	Y, N

FAC 2 13 7	Are written reports produced following each safety inspection and do they highlight all issues requiring both prompt and longer-term actions?	Y, N
FAC 2 13 8	Does the management responsible for safety review all safety inspection reports and ensure that any changes in processes or procedures identified as necessary as a consequence of this process are implemented in a timely fashion?	Y, N

### FAC|2|14| Safety Awareness

CRITERIA: The Company should provide all permanent and temporary workers, contractors and visitors with suitable training that provides initial and, where necessary, on-going awareness of safety issues relevant to their circumstances.

The Company should ensure that:

- Any regulatory requirements are met with regard to Safety Awareness at Company-owned and managed facilities
- Both full-time and part-time workers are provided with the training necessary to establish and maintain Safety Awareness related to their roles
- Contractors and visitors are provided with suitable Safety Awareness training relevant to their circumstances
- The frequency of Safety Awareness training is dictated by risk assessment but undertaken at least annually for all employees
- Written records are maintained of all Safety Awareness training undertaken
- Management responsible for safety review all Safety Awareness training on a routine basis and in the light of events, and ensure any necessary changes to Safety Awareness programmes are implemented in a timely fashion

Indicator Reference	Indicator Description	Possible Responses
FAC 2 14 1	Does the Company ensure any regulatory requirements are met with regard to Safety Awareness at Company owned and managed facilities?	Y, N
FAC 2 14 2	Does the Company ensure both full-time and part-time workers are provided with the training necessary to establish and maintain Safety Awareness related to their roles?	Y, N
FAC 2 14 3	Is the frequency of Safety Awareness training dictated by risk assessment and undertaken at least annually?	Y, N
FAC 2 14 4	Does the Company ensure written records are maintained of all Safety Awareness training undertaken?	Y, N
FAC 2 14 5	Does the Management responsible for safety, review all Safety Awareness training on a routine basis and in the light of events, and ensure any necessary changes to Safety Awareness programmes are implemented in a timely fashion?	Y, N

### FAC|2|15| Machinery and Mechanical Equipment Guards and Interlocks

CRITERIA: The Company should ensure that all machinery and mechanical equipment at Company-owned and managed facilities is guarded such that no parts of the human body can be accidentally or intentionally brought into contact with hazardous moving parts that are likely to cause harm if



this occurs.

The Company should ensure that:

- Any regulatory requirements are met with regard to Machinery and Mechanical Equipment Guards at Company-owned and managed facilities
- The hazards presented by different machines and equipment are established using risk assessment methodology
- Where guards are fitted, they are designed to prevent both unintentional and deliberate access
- All fast-moving machinery and mechanical equipment is guarded where there is a realistic risk of body parts or clothing being snagged or pinched (e.g. quickly rotating machine parts)
- All slower moving machinery and mechanical equipment is guarded where there is a realistic risk of body parts or clothing being snagged or pinched (e.g. low-speed conveyor belts)
- All lower risk moving parts are guarded in areas where people regularly work or adjacent to frequently used routes
- Wherever alternative controls are not in place that achieve the same outcome, access to the hazardous moving parts of machines is prevented by interlocks until machines are completely stopped
- Interlocks are fitted wherever access to fast-moving hazardous machinery parts would be possible without Interlocks being fitted. Although 'cut-outs' may shut off the power to equipment if access doors are opened or emergency buttons pressed, the machine may continue to turn for some time after this. Interlocks provide the highest level of safety and deny access to hazardous moving parts until they have completely stopped.

The need for Interlocks should be determined by the Company through use of a Risk Assessment Methodology.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 15 1	Does the Company ensure any regulatory requirements are met with regard to Machinery and Mechanical Equipment Guards at Company owned and managed facilities?	Y, N
FAC 2 15 2	Has the Company established the hazards presented by different machines and mechanical equipment, using risk assessment methodology?	Y, N
FAC 2 15 3	Where guards are fitted, are they designed to prevent both unintentional and deliberate access?	Y, N
FAC 2 15 4	Is all fast-moving machinery and mechanical equipment guarded where there is a realistic risk of body parts or clothing being snagged or pinched?	Y, N
FAC 2 15 5	Is all slower moving machinery and mechanical equipment guarded where there is a realistic risk of body parts or clothing being snagged or pinched?	Y, N

FAC 2 15 6	Are all lower risk moving parts guarded in areas where people regularly work or adjacent to frequently used routes?	Y, N
FAC 2 15 7	Has the Company evaluated machinery for the need of interlocks?	Y, N
FAC 2 15 8	Where interlocks have been identified as necessary, have they been fitted?	Y, N

### FAC|2|16| Warning Signage

CRITERIA: The Company should ensure that all machinery and equipment determined by the risk assessment as having hazardous moving parts or other potentially dangerous features is clearly identified and fitted with Warning Signs on or near the areas of potential danger.

The Company should ensure that:

- Any regulatory requirements are met with regard to Warning Signs on potentially dangerous machines and equipment
- The need for Warning Signs is determined using risk assessment methodology
- Where Warning Signs are fitted, their meaning is clearly understood
- Warning Signs meet international criteria
- Warning Signs are fitted on or near all machinery and equipment where hazardous moving parts or other potentially dangerous features have been identified by the risk assessment

Indicator Reference	Indicator Description	Possible Responses
FAC 2 16 1	Has the Company determined the need for Warning Signs using Risk Assessment methodology or Risk based approach?	Y, N
FAC 2 16 2	Does the Company ensure that where Warning Signs are fitted, their meaning is clearly understood?	Y, N
FAC 2 16 3	Does the Company ensure Warning Signs are fitted on or near all machinery and equipment identified as high risk through use of a Risk Assessment or Risk based approach?	Y, N

### FAC|2|17| Issue and Use of PPE & PPE Signage

CRITERIA: The Company ensures that all employees, contractors and visitors are provided with PPE that reduces the risk of harm wherever the use of PPE has been identified as necessary in the risk assessment.

The Company should ensure that:

- The necessity for use of PPE is established using risk assessment methodology
- Appropriate PPE is issued by the Company to all full and part-time employees where the risk assessment has identified that the absence of PPE is likely to result in harm
- Appropriate PPE is issued by the Company to all contractors and visitors where the risk assessment has identified that the absence of PPE is likely to result in harm, and where contractors and visitors are not equipped with their own suitable PPE
- PPE is replaced by the Company with new equipment when it is either lost or worn to such an extent that its functionality is impaired

- The wearing of appropriate PPE is mandatory and enforced wherever the risk assessment identifies that harm is likely to occur in the absence of PPE being used
- The need for Mandatory Signs for PPE Use is determined using risk assessment methodology
- Where Mandatory Signs for PPE Use are displayed, their meaning is clearly understood
- Mandatory Signs for PPE Use are displayed wherever the risk assessment identifies that harm is likely to occur in the absence of PPE being used

Indicator Reference	Indicator Description	Possible Responses
FAC 2 17 1	Has the necessity for use of PPE been established using Risk Assessment methodology or Risk based approach?	Y, N
FAC 2 17 2	Is the need to display Mandatory Signs for PPE Use determined using risk assessment methodology or risk based approach?	Y, N
FAC 2 17 3	Is appropriate PPE issued to all full and part-time employees where the Risk Assessment has identified that the absence of PPE is likely to result in harm?	Y, N
FAC 2 17 4	Is appropriate PPE issued by the Company to all contractors and visitors where the risk assessment has identified that the absence of PPE is likely to result in harm, and where contractors and visitors are not equipped with their own suitable PPE?	Y, N
FAC 2 17 5	Does the Company replace PPE with new equipment when it is either lost or worn to such an extent that its functionality is impaired?	Y, N
FAC 2 17 6	Is the wearing of appropriate PPE mandatory and enforced wherever harm is likely to occur in the absence of PPE being used for all full and part-time employees, contractors and visitors?	Y, N
FAC 2 17 7	Where Mandatory Signs for PPE Use are displayed, is their meaning clearly understood?	Y, N
FAC 2 17 8	Are Mandatory Signs for PPE Use displayed wherever harm is likely to occur in the absence of PPE being used?	Y, N

### **FAC|2|18| Accident, Near Miss and Prompt Action Analysis and Reporting**

CRITERIA: The Company should ensure that a procedure is in place to record and analyse all accidents and near misses.

The Company should ensure that:

- Any regulatory requirements are met with regard to Accident Analysis
- All accidents are recorded, detailing the date, time, personnel involved, injuries sustained and circumstances that led to the accident
- All near misses are recorded, detailing the date, time, personnel involved and circumstances that led to the near miss
- All accidents and near misses are analysed to identify any trends and learn lessons
- Any remedial action required as a result of analysing accidents and near misses to prevent future accidents is implemented and recorded
- The Company may wish to incorporate their Prompt Action process with near miss reporting if near misses are categorised in accordance to severity. Prompt Actions should be

determined by the Company and should be considered as high-risk activities that require immediate termination if found. The Company should be able to demonstrate that the documented processes for addressing Prompt Action Issues are in place and are clear, transparent and effective. The Company should ensure follow-up is undertaken and documented for all issues that require Prompt Action.

For analysis purposes, the following definitions should apply:

**ACCIDENT** – An unplanned event that led to personal injury.

**NEAR MISS** – An incident where the potential for serious harm being caused to a person existed but no harm was actually caused. Examples might include driving without seat belts, guards being removed from hazardous machinery and not replaced etc.

**PROMPT ACTION ISSUES** – An intervention involving a person carrying out an activity which poses an unmitigated hazard to themselves, others around them or the Environment.

The Company should ensure that all accidents are reported to management. Accurate accident statistics should be reported publicly so that they remain a focus for attention and improvement

The Company should ensure that:

- Any regulatory requirements are met with regard to Accident Reporting and Publication of Statistics
- All accidents and near misses are reported to management
- All accidents and near misses are reported to employees
- Accurate and up-to-date accident statistics are reported publicly (e.g. on the Company website, in shareholder reports or at the facility gate)

Indicator Reference	Indicator Description	Possible Responses
FAC 2 18 1	Are all accidents recorded, detailing the date, time, personnel involved, injuries sustained and circumstances that led to the accident?	Y, N
FAC 2 18 2	Are all near misses recorded, detailing the date, time, personnel involved and circumstances that led to the near miss?	Y, N
FAC 2 18 3	Are procedures in place to identify, stop and follow up on activities classified as a Prompt Action Issue?	Y, N
FAC 2 18 4	Is follow-up undertaken and documented for all issues that require Prompt Action?	Y, N
FAC 2 18 5	Are all accidents and near misses analysed to identify any trends and learn lessons?	Y, N
FAC 2 18 6	Are accurate and up-to-date accident statistics kept?	Y, N
FAC 2 18 7	Are all accidents and near misses reported to management	Y, N
FAC 2 18 8	Are all accidents and near misses reported to employees?	Y, N

### **FAC|2|19| Permit to Work System**

**CRITERIA:** The Company should operate a documented Permit to Work System.

The Company should ensure that:

- Any regulatory requirements are met with regard to Permits to Work
- The person issuing the Permit to Work is in a position of authority and has the expertise to do so
- Employees or contractors undertaking hazardous work are suitably qualified and authorised by management to do so

- All reasonable precautions are implemented before and during any hazardous work
- Those working in affected areas are made aware of the hazardous work being undertaken
- The affected work area is returned to normal working conditions prior to work recommencing
- A procedure is in place to confirm when the hazardous work is completed and all those potentially affected by it are made aware of this
- Permits to work should typically apply, but not necessarily be restricted, to:
  - Working at height
  - Working in enclosed spaces
  - Hot work (e.g. welding, grinding or other operations generating high temperatures)
  - Working on in-line equipment
  - Working on electrical equipment
  - Fumigation
  - Working with chemicals
  - Excavation and ground penetration
  - Product stream intervention (e.g. where a normally sealed production line is opened to provide access)
  - Working with radioactive sealed sources and site radiography
  - Breaking into pipelines or vessels
  - Any other work where risk is significantly increased by such activity

Indicator Reference	Indicator Description	Possible Responses
FAC 2 19 1	Does the Company ensure any regulatory requirements are met with regard to Permits to Work?	Y, N
FAC 2 19 2	Does the Company ensure that the person issuing the Permit to Work is in a position of authority and has the expertise to do so?	Y, N
FAC 2 19 3	Are all employees or contractors undertaking hazardous work suitably qualified and authorised by management to do so?	Y, N
FAC 2 19 4	Are all reasonable precautions implemented before and during any hazardous work?	Y, N
FAC 2 19 5	Are those working in affected areas made aware of the hazardous work being undertaken?	Y, N
FAC 2 19 6	Are Permits to Work issued (as a minimum) in any relevant circumstances mentioned under this Criteria?	Y, N

### **FAC|2|20| Prevention of Fire and Explosion**

CRITERIA: The Company should ensure that all areas of the facility at risk from fire or explosion are evaluated and effective mitigation is implemented.

The Company should ensure that:

- Any regulatory requirements are met with regard to Prevention of Fire and Explosion
- Employees, contractors and visitors to Company facilities are made aware of any specific risks regarding fire and explosion
- Areas where smoking is permitted are clearly identified and located away from areas of fire or explosion risk
- Dust for the processing of certain crops (e.g. Sugar) is considered and managed as a potentially explosive material

- Areas where spontaneous combustion may occur (e.g. where organic matter is stored) are managed and monitored to avoid this
- Potential ignition sources (e.g. use of naked flames or high temperature tools), material selection (e.g. materials likely to create a static discharge) and machinery (e.g. equipment likely to cause sparks) are managed and monitored to avoid this
- All employees and contractors receive training relevant to their roles with regard to Prevention of Fire and Explosion
- Any training with regard to Prevention of Fire and Explosion is monitored to ensure its effectiveness and any necessary remedial action is taken

Indicator Reference	Indicator Description	Possible Responses
FAC 2 20 1	Does the Company ensure any regulatory requirements are met with regard to Prevention of Fire and Explosion?	Y, N
FAC 2 20 2	Are all employees, contractors and visitors to Company facilities made aware of any specific risks regarding fire and explosion relevant to their roles?	Y, N
FAC 2 20 3	Are all areas where smoking is permitted clearly identified and located away from areas of fire or explosion risk?	Y, N
FAC 2 20 4	Where relevant, is dust considered and managed as a potentially explosive material?	Y, N
FAC 2 20 5	Are areas where spontaneous combustion may occur (e.g. where organic matter is stored) managed and monitored to avoid this?	Y, N
FAC 2 20 6	Do all employees and contractors receive training relevant to their roles with regard to Prevention of Fire and Explosion?	Y, N

### FAC|2|21| Alarm Systems

CRITERIA: The Company should ensure that Alarm Systems are in use to promptly make all employees, contractors and visitors aware of an emergency that requires them to move to a safe place.

The Company should ensure that:

- Any regulatory requirements are met with regard to Alarm Systems
- Alarm Systems can be manually activated from all working areas around the facilities
- Alarm Systems are linked to automatic detectors in areas employees do not frequent
- Alarm Systems are positioned at frequent intervals around the facilities
- Alarm Systems and their activators are regularly maintained
- In addition to audible alarms, visual alarms are fitted to assist people working in noisy areas or with impaired hearing
- Different emergencies may require different responses and these should be considered when designing Alarm Systems (e.g. for tsunami, move to higher ground; for fire, exit the building; for a severe storm, seek solid shelter).
- The Alarm Systems should provide an effective means of alerting all personnel that they need to move to a safe place. In small premises the use of security personnel to alert people may be adequate but this is unlikely to be effective in larger premises.

Indicator Reference	Indicator Description	Possible Responses
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FAC 2 21 1	Does the Company ensure any regulatory requirements are met with regard to Alarm Systems?	Y, N
FAC 2 21 2	Can Alarm Systems be manually activated from all working areas around the facilities?	Y, N
FAC 2 21 3	Are Alarm Systems linked to automatic detectors in areas employees do not frequent?	Y, N
FAC 2 21 4	Are Alarm Systems positioned at frequent intervals around the facilities?	Y, N
FAC 2 21 5	Are Alarm Systems and their activators regularly maintained?	Y, N
FAC 2 21 6	In addition to audible alarms, are visual alarms fitted to assist people working in noisy areas or with impaired hearing?	Y, N

### FAC|2|22| Evacuation Drills

CRITERIA: The Company should ensure all employees are trained in evacuation procedures and practice Evacuation Drills should be held routinely to ensure these operate effectively.

The Company should ensure that:

- Any regulatory requirements are met with regard to Evacuation Drills
- Evacuation Drills are held at least annually for all areas of the business
- Procedures ensure all full-time employees (including shift and day workers) experience each necessary Evacuation Drill at least annually
- Procedures ensure all part-time workers experience each necessary Evacuation Drill during each calendar year that they work
- All Evacuation Drills are analysed, and any lessons learnt, and procedures modified, as necessary
- Different emergencies may require different responses, and these should be considered when planning Evacuation Drills (e.g. for tsunami, move to higher ground; for fire, exit the building; for a severe storm, seek solid shelter).

Indicator Reference	Indicator Description	Possible Responses
FAC 2 22 1	Are Evacuation Drills held at least annually for all areas of the business?	Y, N
FAC 2 22 2	Do procedures ensure all full-time employees (including shift and day workers) experience each necessary Evacuation Drill at least annually?	Y, N
FAC 2 22 3	Do procedures ensure all part-time workers experience each necessary Evacuation Drill during each calendar year that they work?	Y, N
FAC 2 22 4	Are all Drills analysed and any lessons learnt and procedures modified, as necessary?	Y, N

### FAC|2|23| Evacuation Signs and Evacuation Routes

CRITERIA: The Company should ensure that clear Evacuation Signs are displayed throughout Company facilities and that these guide people via a safe Evacuation Route to an appropriate assembly area.

The Company should ensure that:

- Any regulatory requirements are met with regard to Evacuation Signs and Evacuation Routes

- The use of Evacuation Signs and the best Evacuation Routes are determined using risk assessment methodology
- Complete Evacuation Routes are clearly marked with Evacuation Signs that remain visible in all types of emergency (e.g. in a smoky atmosphere or if power fails)  
Evacuation Signs meet international criteria

All Evacuation Routes avoid hazardous areas, including but not restricted to:

- Areas of high vehicle activity (including emergency vehicles)
- Stores containing explosive or corrosive materials
- Raised walkways without adequate barriers
- Areas with constricted access

Different emergencies may require different responses, and these should be considered when planning Evacuation Routes (e.g. for tsunami, move to higher ground; for fire, exit the building; for a severe storm, seek solid shelter).

Indicator Reference	Indicator Description	Possible Responses
FAC 2 23 1	Does the Company ensure any regulatory requirements are met with regard to Evacuation Signs and Evacuation Routes?	Y, N
FAC 2 23 2	Are the use of Evacuation Signs and the best Evacuation Routes determined using risk assessment methodology or a risk based approach?	Y, N
FAC 2 23 3	Are complete Evacuation Routes clearly marked?	Y, N
FAC 2 23 4	Do Evacuation Signs remain visible in all types of emergency?	Y, N
FAC 2 23 5	Are Evacuation Signs clear and understandable?	Y, N
FAC 2 23 6	Do all Evacuation Routes avoid and lead away from hazardous areas?	Y, N

### FAC|2|24| Emergency Exits

CRITERIA: The Company should provide Emergency Exits that allow all people within a room/building to quickly and effectively escape from potential danger and reach a place of safety in the event of an emergency.

The Company should ensure that:

- Any regulatory requirements are met with regard to Emergency Exits
- Emergency Exits lead directly outside or to a street, walkway, refuge area, public way or open space with access to the outside
- Emergency Exit doors are unlocked from the inside and unhindered by devices or alarms that could restrict use of the Exit if the device or alarm fails
- Emergency Exit doors are side-hinged and swing out in the direction of exit if the room/building is to be occupied by more than 50 people or if the room/building is a high-hazard area
- Emergency Exits are at least 70 cm wide at all points
- Emergency Exits are unobstructed at all times
- Emergency Exits remain well-lit and clearly indicated in all types of emergency (e.g. in a smoky atmosphere or if power fails)
- 'EXIT' signs are installed in plainly legible letters



- Emergency Exits are protected to ensure they remain functional in an emergency. Any protection should have a one-hour resistance rating if the exit connects three or fewer stories and two-hour resistance rating if the exit connects more than three floors
- Emergency Exits are protected by a self-closing, approved fire door that remains closed or automatically closes in an emergency

Indicator Reference	Indicator Description	Possible Responses
FAC 2 24 1	Does the Company ensure any regulatory requirements are met with regard to Emergency Exits?	Y, N
FAC 2 24 2	Do Emergency Exits lead directly outside or to a street, walkway, refuge area, public way, or open space with access to the outside?	Y, N
FAC 2 24 3	Are Emergency Exit doors unlocked from the inside and unhindered by devices or alarms that could restrict use of the Exit if the device or alarm fails?	Y, N
FAC 2 24 4	Are Emergency Exit doors side-hinged and swing out in the direction of Exit if the room/building is to be occupied by more than 50 people or if the room/building is a high-hazard area?	Y, N
FAC 2 24 5	Are Emergency Exits at least 70 cm wide at all points?	Y, N
FAC 2 24 6	Are Emergency Exits unobstructed at all times?	Y, N
FAC 2 24 7	Do Emergency Exits remain well lit and clearly indicated in all types of emergency?	Y, N
FAC 2 24 8	Are "EXIT" signs installed in plainly legible letters?	Y, N
FAC 2 24 9	Are Emergency Exits protected inline with the guidance of this Criteria to ensure they remain functional in an emergency?	Y, N
FAC 2 24 10	Are Emergency Exits protected by a self-closing, approved fire door that remains closed or automatically closes in an emergency?	Y, N

### FAC|2|25| Assembly Points

CRITERIA: The Company should ensure that safe Assembly Points are provided for all employees, contractors and visitors in the event of an emergency.

The Company should ensure that:

- Any regulatory requirements are met with regard to Assembly Points
- Assembly Points are capable of accommodating the total number of persons necessary and are easy to access
- The locations of appropriate Assembly Points are known to all employees, contractors and visitors
- Assembly Points do not block access for emergency vehicles or place people at risk from the movements of emergency vehicles
- Assembly points are positioned at a distance from potentially affected buildings so that no harm can come to assembled people from the effects of a potential emergency (e.g. from falling structures, exploding materials, etc.)
- Different emergencies may require different responses, and these should be considered when planning Assembly Points (e.g. for tsunami, move to higher ground; for fire, exit the building; for a severe storm, seek solid shelter).

Indicator Reference	Indicator Description	Possible Responses
FAC 2 25 1	Are Assembly Points capable of accommodating the total number of persons necessary and are they easy to access?	Y, N
FAC 2 25 2	Are the locations of appropriate emergency Assembly Points known to all employees, contractors and visitors?	Y, N
FAC 2 25 3	Does the Company ensure Assembly Points do not block access for emergency vehicles or place people at risk from the movements of emergency vehicles?	Y, N
FAC 2 25 4	Are Assembly Points positioned at a distance from potentially affected buildings so that no harm can come to assembled people from the effects of a potential emergency (e.g. from falling structures, exploding materials, etc.)	Y, N

### FAC|2|26| Fire Extinguishers

CRITERIA: The Company should ensure that adequate numbers of Fire Extinguishers of suitable types are available throughout the facility.

The Company should ensure that:

- Any regulatory requirements are met with regard to Fire Extinguishers
- One appropriate Fire Extinguisher is available for every 200m<sup>2</sup> of floor area in factories and warehouses, with a minimum of two per floor
- Fire Extinguishers for specific uses are considered in the risk assessments and made available wherever they may be needed
- All Fire Extinguishers of a particular type in a particular area are operated by the same method
- All appropriate employees are trained in the use of Fire Extinguishers of the types likely to be used
- All Fire Extinguishers are well-maintained
- Training of employees in the use of Fire Extinguishers is kept up-to-date

Indicator Reference	Indicator Description	Possible Responses
FAC 2 26 1	Does the Company ensure any regulatory requirements are met with regard to Fire Extinguishers?	Y, N
FAC 2 26 2	Is one fire extinguisher of an appropriate type (based on likely fire hazard) available for every 200m <sup>2</sup> of floor area in factories and warehouses, with a minimum of two per floor?	Y, N
FAC 2 26 3	Are Fire Extinguishers for specific uses considered in the risk assessments and made available wherever they may be needed?	Y, N
FAC 2 26 4	Are all appropriate employees trained in the use of Fire Extinguishers of the types likely to be used?	Y, N
FAC 2 26 5	Are all Fire Extinguishers well-maintained?	Y, N

### FAC|2|27| Fire Hydrants

CRITERIA: The Company should ensure that adequate numbers of Fire Hydrants are located at the facility and that they are well-maintained and accessible.

The Company should ensure that:

- Any regulatory requirements are met with regard to Fire Hydrants
- Adequate numbers of hydrants are available to ensure coverage of all areas of the facility
- Fire Hydrants are well-maintained and accessible
- The minimum water supply for standpipe and hose systems is sufficient to provide 100 gallons per minute (6.3 l/second) for a period of at least thirty minutes
- Water supply tanks are kept filled to the proper level
- Adequate water pressure will be available at all times when the fire water system needs to be used
- Valves in the main piping connections to the automatic sources of any fire water supply system are kept fully open at all times

Indicator Reference	Indicator Description	Possible Responses
FAC 2 27 1	Are adequate numbers of hydrants available to ensure coverage of all areas of the facility?	Y, N
FAC 2 27 2	Are Fire Hydrants well-maintained and accessible?	Y, N
FAC 2 27 3	Is the minimum water supply for standpipe and hose systems sufficient to provide 100 gallons per minute (6.3 l/second) for a period of at least thirty minutes?	Y, N
FAC 2 27 4	Are water supply tanks kept filled to the proper level?	Y, N
FAC 2 27 5	Will adequate water pressure be available at all times that the fire water system needs to be used?	Y, N
FAC 2 27 6	Are valves in the main piping connections to the automatic sources of any fire water supply system kept fully open at all times?	Y, N

### FAC|2|28| Emergency Response Plan

CRITERIA: The Company should ensure there is an effective Emergency Response Plan, showing exactly what actions will be taken by whom in any emergency identified through risk assessments.

The Company should ensure that:

- Any regulatory requirements are met with regard to Emergency Response Plans
- The Emergency Response Plan includes all relevant contacts that may be required in the event of an emergency
- The Emergency Response Plan includes all relevant procedures to be followed in the event of an emergency
- The Emergency Response Plan encompasses all relevant eventualities that may significantly disrupt the normal working activity of the facility and identified in the risk assessments (e.g. severe weather events, earthquake, fire, terrorist attack, extended power cut, unexpected loss of key personnel, etc.)
- The Emergency Response Plan should take into consideration persons effected including those from communities

- Where the risk assessment indicates, potentially affected communities and local government agencies should be engaged as a key stakeholders to assist in the preparation and response mechanisms to emergencies
- The Emergency Response Plan is accessible at all times and under all circumstances
- The Emergency Response Plan is tested periodically to ensure it is effective

Indicator Reference	Indicator Description	Possible Responses
FAC 2 28 1	Does the Company ensure any regulatory requirements are met with regard to Emergency Response Plans?	Y, N
FAC 2 28 2	Does the Emergency Response Plan include all relevant contacts that may be required in the event of an emergency?	Y, N
FAC 2 28 3	Does the Emergency Response Plan include all relevant procedures to be followed in the event of an emergency?	Y, N
FAC 2 28 4	Does the Emergency Response Plan encompass all relevant eventualities that may significantly disrupt the normal working activity of the facility and identified in the risk assessments?	Y, N
FAC 2 28 5	Is the Emergency Response Plan reviewed and tested periodically to ensure it is effective?	Y, N
FAC 2 28 6	Where the risk assessment indicates, has the Company engaged with communities and local government agencies as key stakeholders to assist in the preparation and response mechanisms to emergencies?	Y, N

### **FAC|2|29| First Aid**

CRITERIA: The Company should ensure that there are sufficient First Aid personnel at appropriate locations around the facility to enable First Aid to be administered without delay should it be necessary.

The Company should ensure that:

Any regulatory requirements are met with regard to First Aid

Risk assessment is used to determine the level of First Aid cover provided and what personnel are appropriate, taking into account:

- a. The nature of the work and workplace hazards and risks
- b. The number of people at the facility
- c. The nature of the workforce
- d. The Company's history of accidents
- e. The needs of travelling, remote and lone employees
- f. Work patterns
- g. The distribution of the workforce
- h. The remoteness of facilities from emergency medical services
- i. Employees working at shared or multi-occupancy facilities
- j. Annual leave and other absences of first-aiders and appointed persons

Sufficient numbers of suitably qualified First Aid personnel are available to deliver immediate assistance to casualties in the event of injury or illness at work, as follows:

- a. For facilities with fewer than 25 people, 1 First Aider
- b. For facilities with between 25 and 50 people, at least 1 First Aider trained in Emergency First Aid at Work

- c. For facilities with over 50 people, at least 1 First Aider trained in Emergency First Aid at Work for every 50 people (or part thereof)
- d. Where the work involves hazards such as chemicals or dangerous machinery or special hazards, first-aid requirements will be greater

Training of First Aider personnel is appropriate for the potential risks at the facility and kept up-to-date. As a minimum training should include:

- a. The importance of preventing cross-infection
- b. The recording of incidents and actions
- c. Use of available equipment
- d. Assessing the situation and circumstances in order to act safely, promptly and effectively in an emergency
- e. Administration of First Aid to a casualty who is unconscious (including seizure)
- f. Administration of cardiopulmonary resuscitation
- g. Administration of First Aid to a casualty who is choking
- h. Administration of First Aid to a casualty who is wounded and bleeding
- i. Administration of First Aid to a casualty who is suffering from shock
- j. Provision of appropriate First Aid for minor injuries

The names, locations and, if appropriate, telephone extensions of First Aiders and how to contact them should be available at known and accessible locations around the facility

Indicator Reference	Indicator Description	Possible Responses
FAC 2 29 1	Does the Company ensure any regulatory requirements are met with regard to First Aid?	Y, N
FAC 2 29 2	Are sufficient numbers of suitably qualified First Aid personnel available to deliver immediate assistance to casualties in the event of injury or illness at work, taking into account the guidance under this criteria?	Y, N
FAC 2 29 3	Is training of First Aider personnel appropriate for the potential risks at the facility and kept up-to-date, taking into account the guidance under this criteria?	Y, N
FAC 2 29 4	Are the names, locations, and if appropriate, telephone extensions of First Aiders and how to contact them available at known and accessible locations around the facility?	Y, N

### FAC|2|30| First Aid Boxes

CRITERIA: The Company should ensure that properly equipped First Aid Boxes are located as guided by the risk assessments.

The Company should ensure any regulatory requirements are met with regard to First Aid Boxes. First Aid Boxes should be located where there are large numbers of people working and/or where the risk assessment indicates accidents are most likely to occur.

The contents of First Aid Boxes should be guided by risk assessments and maintained to ensure the required items are present and within shelf-life.

To avoid theft of the contents, it may be necessary to lock First Aid Boxes. Where this is the case, responsible key holders should be clearly identified and always readily available or other means of access should be provided (e.g. seals that can be broken in an emergency).

Maintenance of First Aid Boxes should be assigned to designated and suitably qualified individuals.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 30 1	Does the Company ensure any regulatory requirements are met with regard to First Aid Boxes?	Y, N
FAC 2 30 2	Are First Aid Boxes located where there are large numbers of people working and/or where the risk assessment indicates accidents are most likely to occur?	Y, N
FAC 2 30 3	Are the contents of First Aid Boxes dictated by the risk assessments and maintained to ensure the required items are present and within shelf-life?	Y, N
FAC 2 30 4	Is the maintenance of First Aid Boxes assigned to designated and suitably qualified individuals?	Y, N

### **FAC|2|31| First Aid/Medical Room**

CRITERIA: Where the risk assessment indicates there is a need, the Company should make available a suitable room, provided with adequate and appropriate equipment and facilities, to ensure that employees, contractors and visitors can receive immediate attention if they are injured or taken ill at work.

The Company should ensure that:

Any regulatory requirements are met with regard to a First Aid/Medical Room

Risk assessment is used to determine the level of equipment and medical facilities provided, taking into account:

- a. The nature of the work and workplace hazards and risks
- b. The number of people at the facility
- c. The nature of the workforce
- d. The Company's history of accidents
- e. The needs of travelling, remote and lone employees
- f. Work patterns
- g. The distribution of the workforce
- h. The remoteness of the facility from emergency medical services
- i. Employees working at shared or multi-occupancy facilities

The First Aid/Medical Room contains essential First Aid facilities and equipment and is easily accessible to stretchers. The equipment and facilities available in the First Aid/Medical Room should include, but are not restricted to:

- a. A sink with hot and cold running water
- b. Drinking water with disposable cups
- c. Soap and paper towels
- d. A store for first-aid materials
- e. Foot-operated refuse containers, lined with sealable bags for the disposal of clinical waste
- f. An examination/medical couch with waterproof protection and clean pillows and blankets (a paper couch roll that is changed between casualties may be used)
- g. A chair
- h. A telephone or other communication equipment
- i. A record book for recording incidents attended by a first-aider or appointed person

The First Aid/Medical Room is clearly signposted and identified and reserved exclusively for giving First Aid

The First Aid/Medical Room is large enough to hold an examination/medical couch, with enough space at each side for people to work

The First Aid/Medical Room has washable surfaces and adequate heating, ventilation, and lighting

The First Aid/Medical Room is kept clean, tidy, accessible and available for use at all times when employees are at work

The First Aid/Medical Room is positioned as near as possible to a point of access for transport to hospital

Indicators in this Criteria should be considered Not Applicable (N/A) if:

\* There is no legal obligation to operate a First Aid room or Medical Room and a Risk Assessment has been used to determine that a First Aid/Medical Room is unnecessary

\* Provide a positive score response to relevant indicators and comment indicators are Not Applicable and justification for Non-Applicable status

Indicator Reference	Indicator Description	Possible Responses
FAC 2 31 1	Has the Company used risk assessment or a risk based approach to determine the level of equipment and medical facilities provided, taking into account the criteria under this Criteria?	Y, N
FAC 2 31 2	Does the First Aid/Medical Room contain essential First Aid facilities and equipment that can be easily accessible to stretchers and do the equipment and facilities available in the First Aid/Medical Room take into account the guidance under this Criteria?	Y, N
FAC 2 31 3	Is the First Aid/Medical Room clearly signposted and identified and reserved exclusively for giving First Aid?	Y, N
FAC 2 31 4	Is the First Aid/Medical Room large enough to hold an examination/medical couch, with enough space at each side for people to work?	Y, N
FAC 2 31 5	Does the First Aid/Medical Room have washable surfaces and adequate heating/cooling, ventilation, and lighting?	Y, N
FAC 2 31 6	Is the First Aid/Medical Room kept clean, tidy, accessible and available for use at all times when employees are at work?	Y, N

### **FAC|2|32| Medicines and Medical Supplies**

CRITERIA: The Company should ensure all Medicines and Medical Supplies dispensed are within shelf-life and their use is appropriate.

The Company should ensure that:

- Any regulatory requirements are met with regard to the holding and dispensing of Medicines and Medical Supplies
- Accurate records are maintained of the purchase and shelf-life of Medicines and date-limited Medical Supplies
- The dispensing of all Medicines and Medical Supplies is recorded, detailing date, time, person dispensing, person receiving and circumstances that led to the medicine being required

- The consumption of Medicines and Medical Supplies is analysed to identify any trends and learn lessons
- Any out-of-date Medicines and date-limited Medical Supplies are disposed of responsibly and any necessary stock replaced

Indicator Reference	Indicator Description	Possible Responses
FAC 2 32 1	Are accurate records maintained of the purchase and shelf-life of Medicines and date-limited Medical Supplies?	Y, N
FAC 2 32 2	Is the dispensing of all Medicines and Medical Supplies recorded, detailing: date, time, person dispensing, person receiving and circumstances that led to the medicine being required?	Y, N
FAC 2 32 3	Is the consumption of Medicines and Medical Supplies analysed to identify any trends and learn lessons?	Y, N
FAC 2 32 4	Are any out-of-date Medicines and date-limited Medical Supplies disposed of responsibly and any necessary stock replaced?	Y, N

### FAC|2|33| Employee Health Checks

CRITERIA: The Company should undertake pre-employment and on-going Health Checks, to ensure that the health of employees is not adversely affected by their work.

The Company should ensure that:

- Any regulatory requirements are met with regard to Employee Health Checks
- Awareness training is provided to employees with regard to potential health issues and disease prevention
- Employee Health Checks are established on the basis of, but not necessarily restricted to, the following factors:
  - a. Working environment risk assessment
  - b. Occupational history
  - c. Current job and work environment
  - d. Social conditions and lifestyle factors, if relevant
  - e. Off the job exposure
  - f. Medical history
  - g. Following any incident where employees report symptoms of poisoning
  - h. Upon resumption of work after a prolonged absence for health reasons
- Any Employee Health Checks in relation to HIV/AIDS are only undertaken with the express permission and at the request of the affected employee
- Any Employee Health Checks in relation to pregnancy are only undertaken with the express permission and at the request of the affected employee
- The Company maintains documented records of Employee Health Checks in order to identify any potential workplace health issues
- Any Employee Health Check records are maintained in line with applicable regulatory requirements in relation to data protection and employee access
- Where Health Checks indicate this is necessary, the Company allocates more appropriate roles to those employees that require them



Indicator Reference	Indicator Description	Possible Responses
FAC 2 33 1	Does the Company ensure any regulatory requirements are met with regard to Employee Health Checks?	Y, N
FAC 2 33 2	Does the Company provide awareness training to employees with regard to potential health issues and disease prevention?	Y, N
FAC 2 33 3	Has a Risk Assessment or Risk based approach been taken to identify employees which may be at increased risk and require Health Checks?	Y, N
FAC 2 33 4	In addition to use of a Risk Assessment or Risk based approach, has the company considered the guidance of the Criteria in establishing Health Checks?	Y, N
FAC 2 33 5	Are procedures in place to ensure that any Employee Health Checks in relation to HIV/AIDS are only undertaken with the express permission and at the request of the affected employee?	Y, N
FAC 2 33 6	Are procedures in place to ensure that any Employee Health Checks in relation to pregnancy are only undertaken with the express permission and at the request of the affected employee?	Y, N
FAC 2 33 7	Does the Company maintain documented records of Employee Health Checks securely with authorised access or in relation to data protection and employee access?	Y, N
FAC 2 33 8	Are procedures in place to ensure where Health Checks indicate this is necessary, the Company allocate more appropriate roles to those employees that require them?	Y, N

### **FAC|2|34| Facility Access**

CRITERIA: The Company should ensure that all entry to the facility is controlled through designated entry points and access by other means is deterred.

The Company should ensure that the facility has a secure perimeter fence or other barrier against unauthorised entry.

Access to the facility should be controlled through clearly identifiable entrance ways, where visitors can be met by Company personnel and appropriate authorisation or induction received.

All people arriving at the facility should be checked to ensure they are equipped or provided with any necessary PPE.

All people arriving at the facility should be checked to ensure that their presence is either expected or otherwise legitimate.

Where visitors or contractors are expected to sign or otherwise confirm their agreement to facility protocols, this should be done as close to the facility entry point as practically possible.

Visitors to the facility should either be escorted from the entry point or given clear instructions on where to go to meet the relevant Company representative.

Where visitors are required to walk or drive from the entry point to a meeting point, the route should be clearly marked and provide safe access.

The Company should ensure that records of all visitors and contractors entering and exiting the facility are maintained to ensure that all visitors and contractors can be accounted for in the event of an emergency.

The Company should require visitors and contractors to wear a form of identification that indicates their authorised status and also highlights those less familiar with the facility, who may need assistance in the event of an emergency.

Any personnel at the facility who are neither employees nor authorised visitors/contractors should be challenged and either asked to check in properly (if appropriate) or leave the premises.

Any security personnel employed to safeguard people and property, whether directly employed or contracted should be adequately trained, equipped and monitored to ensure they are compliant with a relevant legislation.

Any security personnel employed should be suitable and proportional to the potential risks onsite. The Company should not sanction the use of force, other than in the case of preventative and defensive incidences which are proportional to any threats.

The Company should have adequate grievance mechanisms to handle any concerns of effected stakeholders included employees and local communities related to security personnel and security arrangements.

The Company should have procedures which will consider and investigate allegations of abuse by security personnel which involve escalation to unlawful acts to public authorities.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 34 1	Does the Company ensure that the facility has a secure perimeter fence or other barrier against unauthorised entry?	Y, N
FAC 2 34 2	Is access to the facility controlled through clearly identifiable entrance ways, where visitors are met by Company personnel and appropriate authorisation or induction received?	Y, N
FAC 2 34 3	Are visitors to the facility either escorted from the entry point or given clear instructions on where to go to meet the relevant Company representative?	Y, N
FAC 2 34 4	Where visitors are required to walk or drive from the entry point to a meeting point, is the route clearly marked and does it provide safe access?	Y, N
FAC 2 34 5	Does the Company ensure that records of employees entering and exiting the facility are maintained to ensure all employees can be accounted for in the event of an emergency?	Y, N
FAC 2 34 6	Does the Company ensure that records of all visitors and contractors entering and exiting the facility are maintained to ensure all visitors and contractors can be accounted for in the event of an emergency?	Y, N
FAC 2 34 7	Does the Company require visitors and contractors to wear a form of identification that indicates their authorised status and also highlights those less familiar with the facility who may need assistance in the event of an emergency?	Y, N
FAC 2 34 8	Has the Company assessed security risks related to the site?	
FAC 2 34 9	Are security personnel adequately trained, equipped and monitored inline with relevant regulation?	Y, N
FAC 2 34 10	Are security personnel suitable and proportional to potential site risks?	Y, N

FAC 2 34 11	Does the Company only sanction force in the case of preventative and defensive incidences which are proportional to any threats?	Y, N
FAC 2 34 12	Does the Company have grievance mechanisms to handle any concerns of effected stakeholders included employees and local communities related to security personnel and security arrangements?	Y, N
FAC 2 34 13	Does the Company have procedures which will consider and investigate allegations of abuse by security personnel which involve escalation to unlawful acts to public authorities?	Y, N

### FAC|2|35| Safety Briefing for Visitors and Contractors

CRITERIA: The Company should ensure that a Safety Briefing is given to all visitors and contractors visiting the facility.

The Company should ensure that any regulatory requirements are met with regard to Safety Briefings for Visitors and Contractors entering Company-owned and managed facilities.

All visitors and contractors should receive a Safety Briefing prior to entering factory facilities. The Safety Briefing should be given verbally and confirmed with written instructions available in both the local language and English (where English is not the local language).

The content and detail of the Safety Briefing should be determined by risk assessment but will necessarily be more rigorous for those who will visit the facility unescorted by Company personnel. Contractors required to work at the facility without direct supervision by Company personnel should receive full safety induction training, encompassing all significant safety matters and specifically:

- Use of PPE
- Obeying Mandatory Signs
- Hygiene
- Hazardous Materials and any relevant Biohazards
- Prevention of Fire and Explosions
- Accident Prevention and Reporting
- Permit for Work
- Emergency Alarms
- Evacuation
- First Aid
- Facility Security
- Safe Driving (where relevant)
- Product Contamination

Indicator Reference	Indicator Description	Possible Responses
FAC 2 35 1	Are Safety Briefings given verbally and confirmed with written instructions in both the local language and English (where English is not the local language)?	Y, N
FAC 2 35 2	Do any contractors required to work at the facility without direct supervision by Company personnel, receive full safety induction training, encompassing all significant safety matters detailed under this Criteria?	Y, N

## **FAC|2|36| Vehicles and Drivers**

CRITERIA: The Company should ensure that all vehicles operating at Company-owned and managed facilities and any road vehicles operated for or on behalf of the Company are maintained in safe working condition.

### Driver Reports on Vehicle Condition

At a frequency guided by risk assessment, drivers of vehicles should complete a written vehicle condition report on each vehicle operated. The risk assessment will help determine the contents of the driver report but the following should be checked and condition noted, wherever applicable:

- Seat belts and anchorages
- Brakes, including trailer brake connections
- Parking brake
- Steering mechanism
- Lighting devices and reflectors
- Tyres
- Horn
- Windscreen wipers
- Rear-view mirrors
- Coupling devices
- Wheels and rims

Driver reports should record all defects or deficiencies with vehicles and where none exist this should also be recorded. All such reports should be signed by the driver.

Prior to requiring or permitting a driver to operate a vehicle, any defect or deficiency listed on the driver report that would be likely to affect the safety of operation of the vehicle should be rectified. It should be confirmed on the original driver report by an authorised and suitably qualified person that any identified defect or deficiency has been repaired, or that repair is unnecessary, before the vehicle is operated again.

Driver reports should be retained for not fewer than two years.

### Vehicle Inspections

All Company vehicles should be inspected at a minimum of every 12 months. The individuals performing these inspections should be qualified to do so.

The scope of the inspection will be informed by risk assessment but should encompass the following, wherever fitted:

- Lamps and reflectors
- Hazard warning signals
- Power supply for lamps
- Wiring systems
- Battery installation
- Required brake systems
- Parking brake system
- Brake tubing and hoses
- Hose assemblies and end fittings
- Brake actuators, slack adjusters, linings/pads and drums/rotors
- Antilock brake systems
- Antilock brake systems' malfunction circuits and signals for air braked vehicles
- Windscreen condition

- Emergency exits
- All fuel systems
- Liquid fuel tanks
- Coupling devices and towing methods
- Tyres
- Heaters
- Windscreen wiping and washing systems
- Windscreen defrosting and defogging systems
- Rear-view mirrors
- Horn
- Speedometer
- Exhaust systems
- Seats, seat belt assemblies, and seat belt assembly anchorages
- Wheels
- Suspension systems
- Steering wheel system

Inspection reports should be retained for not fewer than two years.

#### Vehicle Safety Equipment

The Company should ensure that any regulatory requirements are met with regard to safety equipment for vehicles (including forklift trucks) operating at Company-owned and managed facilities and any road vehicles operated for or on behalf of the Company.

The Company should ensure that the Vehicle Safety Equipment provided is guided by the risk assessment and the following are considered:

- Seat belts and anchorages should be installed and used in all vehicles
- All vehicles should have a service brake system and a parking brake system. Where appropriate, an emergency brake system should also be fitted
- Whenever visibility conditions warrant additional light, all vehicles should be equipped with at least two headlights and two taillights in operable condition
- All vehicles should have brake lights in operable condition regardless of light conditions
- All vehicles should be equipped with an adequate audible warning device (horn) at the operator's station and in an operable condition
- All vehicles with cabs should be equipped with windshields and powered wipers. Cracked and broken glass should be replaced.
- Vehicles operating in areas or under conditions that cause fogging or frosting of windshields should be equipped with operable defogging or defrosting devices
- Tyres should be changed when the tread is worn below that permitted by regulations and should be chosen to suit the local conditions
- Any tools and materials carried by vehicles should be secured to prevent movement when the vehicle is in motion or during braking
- Vehicles used to transport employees should have seats firmly secured inside the vehicle and no more than the permitted number of occupants should be carried
- Any applicable vehicle speed limits should be complied with

Forklift trucks, mobile elevating work platforms, stackers, etc. should have their rated capacity clearly posted on the vehicle. When auxiliary removable counterweights are provided by the

manufacturer, corresponding alternate rated capacities should be clearly shown on the vehicle. The Company should ensure that design and legal load ratings for vehicles (including forklift trucks) are not exceeded.

All road vehicles should be equipped with a First Aid kit.

All vehicles should be equipped with a Fire Extinguisher.

Where mobile phones will be used, vehicles should be equipped with a hands free kit.

Personal stereos should not be permitted whilst operating vehicles.

Forklift trucks should in addition be fitted with flashing lights that operate when the truck is in motion.

Forklift trucks and other vehicles with limited rearward visibility should be fitted with an audible reversing alarm.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 36 1	Do drivers produce a documented check or report on all vehicles operating at or out of the Facility, at a frequency guided by a Risk Assessment or through use of a Risk based approach?	Y, N
FAC 2 36 2	Do driver documented checks or reports take into account parameters included in the guidance of this Criteria?	Y, N
FAC 2 36 3	Prior to requiring or permitting a driver to operate a vehicle, are any defects or deficiencies listed on the driver report that would be likely to affect the safety of operation of the vehicle rectified?	Y, N
FAC 2 36 4	Are all Company vehicles inspected at a minimum every 12 months by individuals qualified to do so?	Y, N
FAC 2 36 5	Do forklift trucks, stackers, etc. have their rated capacity clearly posted on the vehicle and, when auxiliary removable counterweights are provided by the manufacturer, are corresponding alternate rated capacities clearly shown on the vehicle?	Y, N
FAC 2 36 6	Does the Company ensure design and legal load ratings for vehicles (including forklift trucks) are not exceeded?	Y, N
FAC 2 36 7	Are all road vehicles equipped with a First Aid kit?	Y, N
FAC 2 36 8	Are all vehicles equipped with a Fire Extinguisher?	Y, N
FAC 2 36 9	Are forklift trucks additionally fitted with flashing lights that operate when the truck is in motion?	Y, N

### **FAC|2|37| Safe Driver Training**

CRITERIA: The Company should ensure that all drivers of Company vehicles are qualified for the class of vehicle they drive and that any required licences are held and current.

The Company should ensure that any regulatory requirements are met with regard to Safe Driver Training for drivers of Company vehicles.

The Company should ensure that all drivers of Company vehicles have been adequately trained and hold a valid licence appropriate for the class of vehicle(s) driven.

Safe driver training or defensive driver training should be provided to drivers of Company road vehicles. This may be conducted online or in the real world but must be credible and result in a record of the candidates' performance and any follow-up action taken.

The performance of forklift truck drivers should be reviewed at least every three years. The Company should maintain up-to-date records of all licences and qualifications held by those driving Company vehicles.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 37 1	Does the Company ensure that all drivers of Company vehicles have been adequately trained and hold a valid licence appropriate for the class of vehicle(s) driven?	Y, N
FAC 2 37 2	Is the performance of forklift truck drivers reviewed at least every three years?	Y, N
FAC 2 37 3	Does the Company maintain up-to-date records of all licences and qualifications held by those driving Company vehicles?	Y, N

### **FAC|2|38| In-Facility Vehicle Management**

CRITERIA: The Company should ensure that, while at its facilities, all vehicles are operated in a safe manner and with due consideration for the environment.

The Company should ensure that any regulatory requirements are met with regard to In-Facility Vehicle Management.

The Company should ensure that all vehicles can be and are parked safely at Company facilities. Parking for vehicles at Company facilities should take into account the potential for oil and fuel leaks and ensure there is protection in place against potential environmental pollution.

The Company should ensure that all necessary controls are in place at loading and unloading points to protect both drivers and workers who may attend vehicles at discharge.

The risk assessment should consider potential driver or pedestrian blind spots at Company facilities and use re-routing, signs or barriers to mitigate any such issues.

The Company should ensure that any in-facility speed limits reflect the potential safety issues present and that any speed limits set are applied.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 38 1	Does the Company ensure that all vehicles can be and are parked safely at Company facilities?	Y, N
FAC 2 38 2	Does the Company ensure that all necessary controls are in place at discharge points to protect both drivers and workers who may attend vehicles at loading and unloading?	Y, N
FAC 2 38 3	Does the Company ensure that any in-facility speed limits reflect the potential safety issues present and that any speed limits set are applied?	Y, N

### **FAC|2|39| In-Factory Contaminant Training**

CRITERIA: The Company should train those involved in processing or handling of the crop at Company facilities, in methods that ensure the exclusion of In-Factory Contaminants.

The Company should ensure that any training provided is designed to meet the requirements set by VIVE clients with regard to contamination.

Risk assessments will inform the Company of the types of contaminants that may occur in Company

facilities but the following should be considered when designing training:

- Physical contaminants: e.g. flaking paint, pieces from worn processing machinery, fibres, electrical wires and insulation, nuts and bolts, hand tools, PPE (ear plugs, masks, gloves, etc.), pens and pencils
- Chemical contaminants: e.g. lubricants
- Biological contaminants: e.g. insects, rodents

In-Factory Contaminant Training should be provided to all full-time and part-time workers. Relevant In-Factory Contaminant Training should be provided to all contractors and visitors who will enter operational areas.

Indicator Reference	Indicator Description	Possible Responses
FAC 2 39 1	Has a Risk Assessment or risk based approach been used to inform the Company of the types of contaminants that may occur in Company facilities?	Y, N
FAC 2 39 2	Have the types of contaminants included in this Criteria been considered when designing training for in-Factory Contaminants?	Y, N
FAC 2 39 3	Has In-Factory Contaminant Training been provided to all relevant full-time workers?	Y, N
FAC 2 39 4	Has In-Factory Contaminant Training been provided to all relevant part-time workers?	Y, N
FAC 2 39 5	Has relevant In-Factory Contaminant Training been provided to all contractors and visitors who will enter operational areas?	Y, N

#### **FAC|2|40| Contaminant Monitoring and Control**

CRITERIA: The Company should monitor contaminants to establish what types, quantities and sources of materials exist, with a view to controlling and excluding their presence.

The Company should ensure that any Contaminant Monitoring and Control is designed to meet the requirements set by VIVE clients with regard to contaminants.

The Company should ensure that systems and procedures are developed to minimise contaminants through both the removal of any contaminants from the product being processed and reducing any potential sources of contaminants. The Company should set up a comprehensive sampling and testing system to monitor for the presence of all contaminants in the crop it processes, handles or stores.

Any contaminants found should be identified and recorded to establish the frequency of occurrence and any apparent trends or patterns in their appearance. All reasonable attempts should be made to determine the sources of any contaminants, so these can be addressed.

The Company should ensure that the goal is to prevent contaminants occurring in the first place. Where this fails, equipment should be installed to remove any contaminants present as far as practical.

Indicator Reference	Indicator Description	Possible Responses
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FAC 2 40 1	Does the Company ensure that systems and procedures are developed to minimise contaminants through both the removal of any contaminants from the product being processed and reducing any potential sources of contaminants?	Y, N
FAC 2 40 2	Has the Company set up a comprehensive sampling and testing system to monitor for the presence of all contaminants in the crop it processes, handles or stores?	Y, N
FAC 2 40 3	Are any found contaminants identified and recorded to establish the frequency of occurrence and any apparent trends or patterns in their appearance?	Y, N
FAC 2 40 4	Are procedures in place to establish and address the root cause of any contaminants identified?	Y, N

### FAC|3| People

**OBJECTIVE:** The Company should ensure that the safety and labour rights of its full-time and part-time employees and contractors are protected. In addition, by working with its supplying farmers, the Company should ensure that the safety and labour rights of permanent and temporary employees working on farms are also protected. The Company should comply with all applicable labour regulations and the principles of the International Labour Organisation (ILO) Declaration on Fundamental Principles and Rights at Work and other relevant ILO conventions. The Company should recognise that it has a reputational obligation, and in some countries also a legal obligation, towards not only its direct employees but also any workers undertaking on its behalf activities that have been contracted out to third parties.

#### FAC|3|1| Risk Assessment

**CRITERIA:** The Company should use Risk Assessment methodology to identify and mitigate any significant risks affecting the Criteria within the Company People Pillar.

In addition to ensuring the Company meets its legal obligations, an effective Risk Assessment helps the Company to focus on the most significant issues. This in turn may result in cost savings, protection of people and the environment from harm, and enhance the Company’s reputation. The Company should review the Risk Assessment on at least an annual basis, or if operational changes occur, to ensure that it continues to address all current and new issues.

The Company should use a systematic approach for carrying out a Risk Assessment that includes the following steps:

- 1) Identify the risks for each applicable Criteria within the Company Facilities Pillar: what could go wrong and what might be the consequences?
- 2) Estimate the risk (Probability x Severity)
- 3) Evaluate the risk and agree how it might be mitigated
- 4) Implement mitigating actions to manage the risks identified
- 5) Review the effectiveness of any mitigating actions implemented

Indicator Reference	Indicator Description	Possible Responses
FAC 3 1 1	Has the Company conducted a Risk Assessment relevant to the People Pillar?	Y, N
FAC 3 1 2	Does the Risk Assessment include potential risks relevant to all applicable Criteria within the People Pillar?	Y, N
FAC 3 1 3	Has the Company estimated all identified risks?	Y, N
FAC 3 1 4	Has the Company identified mitigating actions for all risks classified as unacceptable affecting Criteria within the People Pillar?	Y, N
FAC 3 1 5	Has the Company identified mitigating actions for all risks classified as tolerable affecting Criteria within the People Pillar?	Y, N
FAC 3 1 6	Has the Company implemented mitigating actions against all risks classified as unacceptable?	Y, N
FAC 3 1 7	Has the Company implemented mitigating actions against all risks classified as tolerable?	Y, N
FAC 3 1 8	Has the Company reviewed the Risk Assessment at least annually, or when operational changes occur, to ensure it remains up-to-date and effective?	Y, N

### **FAC|3|2| Contracts of Employment**

CRITERIA: The Company should ensure that all those working at its facilities have written Contracts of Employment.

The Company should ensure that all those working at its facilities have written Contracts of Employment and that these are clear, fair and equitable.

The Company should ensure that both it and any contractors who provide labour meet all applicable regulatory requirements with regard to Contracts of Employment.

As a minimum, Contracts of Employment should include and clearly explain the following elements:

- Hours of work
- Overtime payment arrangements
- Notice periods to be given and received
- Holiday entitlement
- Any additional benefits and any deductions to be made
- Payment due
- Frequency of payment (at least monthly)
- Method of payment

All Contracts of Employment should be dated and signed by the employee concerned and an authorised Company representative.

The Company should identify any migrant workers and ensure they are working on equivalent terms and conditions to non-migrant workers carrying out similar work.

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 3 2 1	Are there effective procedures to ensure that all those working at its facilities have written Contracts of Employment and that these are clear, fair and equitable?	Y, N
FAC 3 2 2	Does the Company and any contractors who provide labour commit to meet all applicable regulatory requirements with regard to Terms of Employment?	Y, N
FAC 3 2 3	Do Contracts of Employment include and clearly explain hours of work?	Y, N
FAC 3 2 4	Do Contracts of Employment include and clearly explain overtime payment arrangements?	Y, N
FAC 3 2 5	Do Contracts of Employment include and clearly explain notice periods to be given and received?	Y, N
FAC 3 2 6	Do Contracts of Employment include and clearly explain holiday entitlement?	Y, N
FAC 3 2 7	Do Contracts of Employment include and clearly explain any additional benefits and all deductions?	Y, N
FAC 3 2 8	Do Contracts of Employment include and clearly explain payments due?	Y, N
FAC 3 2 9	Do Contracts of Employment include and clearly explain frequency of payment, which should be at least monthly?	Y, N

FAC 3 2 10	Do Contracts of Employment include and clearly explain method of payment?	Y, N
FAC 3 2 11	Are all Contracts of Employment dated and signed by the employee and an authorised Company representative?	Y, N
FAC 3 2 12	Do all workers carrying out similar work have the same terms and conditions of employment?	Y, N

### FAC|3|3| Training

CRITERIA: The Company should ensure that all those working at its facilities are provided with the necessary training to allow them to work efficiently, effectively and safely.

The Company should ensure that both it and any contractors who provide labour, meet all applicable regulatory requirements with regard to the Training of workers.

The Company should ensure that:

- All necessary training is given to full-time and part-time employees and contracted labour
- All training provided to employees and contracted labour is delivered by suitably qualified trainers
- A record is kept of all training provided to employees
- Key training/qualifications of contracted labour are confirmed
- All training provided to employees and contracted labour is kept up-to-date and any additional training or refresher training is given as circumstances and risk assessments dictate
- The Company deploys procedures to verify that any training given to both employees and contracted labour has been effective

Indicator Reference	Indicator Description	Possible Responses
FAC 3 3 1	Does the Company and any contractors who provide labour commit to meet all applicable regulatory requirements with regard to Training of workers?	Y, N
FAC 3 3 2	Is all training provided to employees and contracted labour delivered by suitably qualified trainers?	Y, N
FAC 3 3 3	Is a record kept of all training provided to employees?	Y, N
FAC 3 3 4	Are key training/qualifications of contracted labour confirmed?	Y, N
FAC 3 3 5	Is all training provided to employees and contracted labour kept up-to-date and any additional training or refresher training given as circumstances and/or the risk assessment dictate?	Y, N
FAC 3 3 6	Does the Company deploy procedures to verify that any training given to both employees and contracted labour has been effective?	Y, N

### FAC|3|4| Appraisal

CRITERIA: The Company should utilise a documented system of annual Appraisal which seeks to identify training needs and potential development for full-time employees.

The Company Appraisal system should be formally structured and documented.

The goals of the Appraisal should be to identify any support required for the employee in the form of training needs and any potential opportunities for progression.

In order to achieve a balanced Appraisal, the process should capture the comments of the employee, their direct line-manager and the manager above that.

The Appraisal should acknowledge any areas of good performance as well as highlighting any areas requiring improved performance.

In addition to evaluating current performance, the Appraisal should assist in mapping career development for those who desire it and are suitable for potential promotion or role expansion.

The full Appraisal should be made available to the employee concerned and the opportunity should be given for them to discuss any aspect of the Appraisal with their line manager.

In the event of any dispute over the Appraisal, the employee should have the right and opportunity to appeal to a senior manager.

Indicator Reference	Indicator Description	Possible Responses
FAC 3 4 1	Is the Company Appraisal system formally structured and documented?	Y, N
FAC 3 4 2	Are the goals of the Appraisal to identify any support required for the employee in the form of training needs and any potential opportunities for progression?	Y, N
FAC 3 4 3	Does the Appraisal process capture the comments of the employee, their direct line-manager and the manager above that?	Y, N
FAC 3 4 4	Does the Appraisal acknowledge any areas of good performance as well as highlighting any areas requiring improved performance?	Y, N
FAC 3 4 5	Does the Appraisal assist in mapping career development for those who desire it and are suitable for potential promotion or role expansion?	Y, N
FAC 3 4 6	Is the full Appraisal made available to the employee concerned and the opportunity given for them to discuss any aspect of the Appraisal with their line manager?	Y, N
FAC 3 4 7	In the event of any dispute over the Appraisal, does the employee have the right and opportunity to appeal to a senior manager?	Y, N

### FAC|3|5| Child Labour

CRITERIA: The Company should ensure there is no Child Labour at any of its facilities.

The Company should ensure that both it and any contractors who provide labour meet all applicable regulatory requirements with regard to Child Labour.

The Company should ensure that:

- The minimum age for admission to work is not less than 15 years, or the minimum age provided by the country's laws, whichever affords greater protection
- No person below 18 years of age is involved in any type of hazardous work
- No work undertaken by children is either excessively heavy or requires them to work long hours
- No work undertaken by children interferes with their education and social development
- All contractors and sub-contractors are required to comply with all applicable labour regulations and ILO conventions with regard to Child Labour

*Relevant ILO Conventions and Recommendations*

C138 - Minimum Age Convention, 1973 (No. 138)

C182 - Worst Forms of Child Labour Convention, 1999 (No. 182)

R146 - Minimum Age Recommendation, 1973 (No. 146)

R190 - Worst Forms of Child Labour Recommendation, 1999 (No. 190)

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 3 5 1	Does the Company and any contractors who provide labour commit to meeting all applicable regulatory requirements with regard to Child Labour?	Y, N
FAC 3 5 2	Are there effective procedures to avoid admission to work for children younger than 15 years or the minimum age provided by the country's laws, whichever affords greater protection?	Y, N
FAC 3 5 3	Are there effective procedures to avoid involvement of persons below 18 years of age in any type of hazardous work?	Y, N
FAC 3 5 4	Are there effective procedures to avoid work undertaken by children that is either excessively heavy or requires them to work long hours?	Y, N
FAC 3 5 5	Are there effective procedures to avoid work undertaken by children that interferes with their education and social development?	Y, N
FAC 3 5 6	Are there effective procedures to confirm all contractors and sub-contractors are required to comply with all applicable ILO conventions with regard to Child Labour?	Y, N

**FAC|3|6| Forced Labour**

CRITERIA: The Company should ensure there is no Forced Labour at any of its facilities.

The Company should ensure that both it and any contractors who provide labour meet all applicable regulatory requirements with regard to Forced Labour.

The Company should ensure that:

- Workers do not work under bond, debt or threat
- Workers receive wages directly from the Company or its contractors who provide labour
- Workers are free to leave their employment at any time with reasonable notice
- Workers and contractors are not required to make financial deposits with the Company
- Wages or income from work done are not withheld beyond the legal and agreed payment conditions
- The Company and its contractors who provide labour do not retain the original identity documents of any workers
- The Company and its contractors who provide labour do not employ prison or compulsory labour
- All contractors and sub-contractors are required to comply with all applicable labour regulations and ILO conventions with regard to Forced Labour

*Relevant ILO Conventions*

C029 - Forced Labour Convention, 1930 (No. 29)

Indicator Reference	Indicator Description	Possible Responses
FAC 3 6 1	Does the Company and any contractors who provide labour commit to meeting all applicable regulatory requirements with regard to Forced Labour?	Y, N
FAC 3 6 2	Are there effective procedures to avoid working under bond, debt or threat?	Y, N
FAC 3 6 3	Are there effective procedures to confirm workers receive wages directly from the Company or its contractors who provide labour?	Y, N
FAC 3 6 4	Are there effective procedures to confirm workers are free to leave their employment at any time with reasonable notice?	Y, N
FAC 3 6 5	Are there effective procedures to confirm workers are not required to make financial deposits with the Company?	Y, N
FAC 3 6 6	Are there effective procedures to confirm wages or income from work done is not withheld beyond the legal and agreed payment conditions?	Y, N
FAC 3 6 7	Are there effective procedures to confirm workers original identity documents are not retained by the Company or contractors who provide labour?	Y, N
FAC 3 6 8	Are there effective procedures that prevent the use of Compulsory or Prison Labour by the Company or contractors who provide labour?	Y, N
FAC 3 6 9	Are there effective procedures that confirm all contractors and sub-contractors are required to comply with all applicable ILO conventions with regard to Forced Labour?	Y, N

### **FAC|3|7| Freedom of Association and Collective Bargaining**

CRITERIA: The Company should uphold all rights of its workers to Freedom of Association and Collective Bargaining.

The Company should ensure that both it and any contractors who provide labour meet all applicable regulatory requirements with regard to Freedom of Association and Collective Bargaining.

The Company should ensure that:

- Where workers are represented by a legally recognised Union, the Company establishes a constructive dialogue with their freely chosen representatives and bargains in good faith with such representatives
- Workers are allowed to engage in Union activities without restriction and free from reprisal, intimidation or harassment
- Management engages in good faith with worker/Union representatives in collective bargaining discussions and complies with collective bargaining agreements
- All contractors and sub-contractors are required to comply with all applicable labour regulations and ILO conventions with regard to Freedom of Association
- Where the law is silent, the Company should not interfere with workers choosing of representatives, forming or joining collective associations and or engaging in collective bargaining.

#### Relevant ILO Conventions

C087 - Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)

C098 - Right to Organise and Collective Bargaining Convention, 1949 (No. 98)

Indicator Reference	Indicator Description	Possible Responses
FAC 3 7 1	Does the Company and any contractors who provide labour commit to meeting all applicable regulatory requirements with regard to Freedom of Association and Collective Bargaining?	Y, N
FAC 3 7 2	Where workers are represented by a legally recognised Union, does the Company establish a constructive dialogue with their freely chosen representatives and bargain in good faith with such representatives?	Y, N
FAC 3 7 3	Are there effective procedures to confirm workers are allowed to engage in Union activities without restriction and free from reprisal, intimidation or harassment?	Y, N
FAC 3 7 4	Are there effective procedures to confirm management complies with collective bargaining agreements?	Y, N
FAC 3 7 5	Does the Company and any contractors who provide labour commit to meeting all applicable regulatory and ILO conventions with regard to Freedom of Association?	Y, N

**FAC|3|8| Working Hours, Pay and Benefits**

CRITERIA: The Company should ensure that Working Hours of workers are not excessive and that Pay is of a sufficient level to enable the generation of discretionary income without working excessive or illegal hours.

The Company should ensure that both it and any contractors who provide labour, meet all applicable regulatory requirements with regard to Working Hours, Pay and Benefits.

The Company should offer employees opportunities to develop their skills and capabilities and provide advancement opportunities where possible.

The Company should ensure that:

- Income earned during a pay period is enough to meet workers' basic needs and of a sufficient level to enable the generation of discretionary income
- The pay of all workers (including temporary, piece-rate, seasonal and migrant workers) meets, as a minimum, national legal standards or industry benchmark standards
- Work hours, excluding overtime, do not exceed 48 hours per week on a regular basis
- Workers are provided with at least one day off in each seven-day period
- Overtime work hours are voluntary
- Overtime wages are paid at a premium as required by local law or by any applicable collective agreement
- All workers are provided with the benefits, holidays and leave to which they are entitled by local law or by any applicable collective agreement
- Workers are not charged illegal or excessive deductions or fees, including fees for personal protective equipment, deposits for accommodation, tools, etc.
- Wherever practical and viable, permanent workers are hired in preference to long-term contract labour
- All contractors and sub-contractors are required to comply with all applicable labour regulations and ILO conventions with regard to Working Hours, Pay and Benefits

*Relevant ILO Conventions*



- C95 - Protection of Wages Convention, 1949
- C131 - Minimum Wage Fixing Convention, 1970
- C1 - Hours of Work (Industry) Convention, 1919
- C14 - Weekly Rest (Industry) Convention, 1921
- C30 - Hours of Work (Commerce and Offices) Convention, 1930
- C106 - Weekly Rest (Commerce and Offices) Convention, 1957

Indicator Reference	Indicator Description	Possible Responses
FAC 3 8 1	Does the Company and any contractors who provide labour commit to meeting all applicable regulatory requirements with regard to Working Hours, Pay and Benefits?	Y, N
FAC 3 8 2	Are there effective procedures to confirm income earned during a pay period is enough to meet workers' basic needs and of a sufficient level to enable the generation of discretionary income?	Y, N
FAC 3 8 3	Are there effective procedures to confirm the pay of all workers (including temporary, piece-rate, seasonal and migrant workers) meets, as a minimum, any applicable industry benchmark standards?	Y, N
FAC 3 8 4	Are there effective procedures to confirm work hours, excluding overtime, do not exceed 48 hours per week on a regular basis?	Y, N
FAC 3 8 5	Are there effective procedures to confirm workers are provided with at least one day off in each seven day period?	Y, N
FAC 3 8 6	Are there effective procedures to confirm overtime work hours are voluntary?	Y, N
FAC 3 8 7	Are there effective procedures to confirm overtime wages are paid at a premium as required by local law or by any applicable collective agreement?	Y, N
FAC 3 8 8	Are there effective procedures to confirm all workers are provided with the benefits, holidays and leave to which they are entitled by local law or by any applicable collective agreement?	Y, N
FAC 3 8 9	Are there effective procedures to confirm workers are not charged illegal or excessive deductions or fees, including fees for personal protective equipment, deposits for accommodation, tools, etc.?	Y, N
FAC 3 8 10	Wherever practical and viable, does the Company ensure permanent workers are hired in preference to long-term contract labour?	Y, N
FAC 3 8 11	Does the Company and any contractors who provide labour commit to meeting all applicable regulatory and ILO conventions with regard to Working Hours, Pay and Benefits?	Y, N

### FAC|3|9| Fair Treatment

CRITERIA: The Company should ensure the Fair Treatment of all workers.

The Company should ensure that both it and any contractors who provide labour meet all applicable

regulatory requirements with regard to Fair Treatment.

The Company should ensure that:

- No worker is subject to physical abuse, threat of physical abuse or physical contact with the intent to injure or intimidate
- No worker is subject to sexual abuse or harassment
- No worker is subject to verbal abuse or harassment
- No worker is subject to discrimination on the basis of:
  - a. Race, colour, caste or social origin
  - b. Gender
  - c. Religion
  - d. Political affiliation
  - e. Union membership or status as a worker representative
  - f. Ethnicity, citizenship or nationality
  - g. Pregnancy
  - h. Disability
  - i. Sexual orientation

*Relevant ILO Conventions and Recommendations*

R90 - Equal Remuneration Recommendation, 1951

C100 - Equal Remuneration Convention, 1951

C111 - Discrimination (Employment and Occupation) Convention, 1958

R111 - Discrimination (Employment and Occupation) Recommendation, 1958

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 3 9 1	Does the Company and any contractors who provide labour commit to meeting all applicable regulatory requirements with regard to Fair Treatment?	Y, N
FAC 3 9 2	Are there effective procedures to confirm that no worker is subject to physical abuse, threat of physical abuse or physical contact with the intent to injure or intimidate?	Y, N
FAC 3 9 3	Are there effective procedures to confirm that no worker is subject to sexual abuse or harassment?	Y, N
FAC 3 9 4	Are there effective procedures to confirm that no worker is subject to verbal abuse or harassment?	Y, N
FAC 3 9 5	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of race, colour, caste or social origin?	Y, N
FAC 3 9 6	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of gender?	Y, N
FAC 3 9 7	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of religion?	Y, N
FAC 3 9 8	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of political affiliation?	Y, N
FAC 3 9 9	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of Union membership or status as a worker representative?	Y, N

FAC 3 9 10	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of ethnicity, citizenship or nationality?	Y, N
FAC 3 9 11	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of pregnancy?	Y, N
FAC 3 9 12	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of disability?	Y, N
FAC 3 9 13	Are there effective procedures to confirm that no worker is subject to discrimination on the basis of sexual orientation?	Y, N
FAC 3 9 14	Are there effective procedures to confirm all its suppliers comply with all applicable labour regulations and ILO conventions with regard to Fair Treatment?	Y, N

### **FAC|3|10| Grievance Mechanism for Workers**

CRITERIA: The Company should ensure that its workers have access to a fair and effective grievance mechanism.

The best solution is for workers to bring their grievances directly to their line managers with an expectation that appropriate action will be taken and without fear of reprisal. The Company should train its managers on how to effectively address workers' grievances by using techniques such as:

- Weekly or monthly meetings with workers or their representatives
- Complaint boxes for workers to use anonymously if they wish

Where direct contact with some or all line managers is not effective, the Company should implement a grievance mechanism (or make use of an existing one set up by other organizations, e.g. NGOs, Unions). The Company should ensure that any Grievance Mechanism is appropriate for the culture in which it operates and the types of issues encountered. Depending upon the circumstances one or more of the following may be appropriate:

- A telephone helpline
- Drop-in centre(s) in the vicinity of the Company's facilities
- Independent workshops provided by suitably qualified third parties

The Company should employ effective methodology to ensure that its processes are adequately addressing all types of worker grievances.

The Company should promote workers awareness of the of the Grievance Mechanism using the most effective methods. These may include but are not limited to training or communication campaigns.

From a human rights perspective, Grievance mechanisms are formal complaint processes that can be used by farmers, workers or other individuals, communities and/or civil society.

You're encouraged to ensure that there are effective grievance mechanisms available for farmers and workers. These can be used to help you track the efficiency of preventive and mitigation activities, and to help you ensure that mitigation activities in themselves do not expose individuals to new vulnerabilities.

According to the UNGPs effective grievance mechanisms are:

Legitimate: enabling trust from the stakeholder groups for whose use they are intended, and being accountable for the fair conduct of grievance processes;

- Accessible: being known to all stakeholder groups for whose use they are intended, and providing adequate assistance for those who may face particular barriers to access;

- Predictable: providing a clear and known procedure with an indicative time frame for each stage, and clarity on the types of process and outcome available and means of monitoring implementation;
- Equitable: seeking to ensure that aggrieved parties have reasonable access to sources of information, advice and expertise necessary to engage in a grievance process on fair, informed and respectful terms;
- Transparent: keeping parties to a grievance informed about its progress, and providing sufficient information about the mechanism's performance to build confidence in its effectiveness and meet any public interest at stake;
- Rights-compatible: ensuring that outcomes and remedies accord with internationally recognized human rights standards;
- A source of continuous learning: drawing on relevant measures to identify lessons for improving the mechanism and preventing future grievances and harms.
- In addition to the above, operational-level mechanisms are best:
- Based on engagement and dialogue: consulting the stakeholder groups for whose use they are intended on their design and performance.

You may monitor farmers' and workers' access to established grievance mechanisms. Where access has been limited, it is recommended that adequate provisions are put in place to rectify this.

Any grievance mechanisms should operate in a non-discriminatory manner which reflects protected characteristics as defined by the UK Equality and Human Rights Commission:

- Age
- Disability
- Gender reassignment
- Marriage or civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex

Actions should be taken to identify and support legitimate grievances within the Company's supply chain of vulnerable categories such as children, migrant workers and workers engaged by third parties

For other sustainability aspects, you may consider other effective feedback mechanisms to identify where sustainability aspects have been negatively impacted. This may include, but should not be limited to:

- Environmental monitoring and complaints
- Customer and other interested stakeholder feedback (e.g. product integrity concerns)
- Risk and impact assessments
- Farm by farm compliance monitoring
- Desk based research using publicly available or where necessary purchasable data

Relevant ILO Recommendations

R130 - Examination of Grievances Recommendation, 1967 (No. 130)

Relevant Guidance from the UN Guiding Principles on Business and Human Rights

Pages 27-35 (Access to Remedy)

UK Equality and Human Rights Commission, Protected Characteristics

Indicator Reference	Indicator Description	Possible Responses
FAC 3 10 1	Has an effective Grievance Mechanism been established within the facility?	Y, N
FAC 3 10 2	Are persons handling Grievances suitably trained?	Y, N
FAC 3 10 3	Are there effective procedures to confirm that any Grievance Mechanism is appropriate for the culture in which it operates and the types of issues encountered?	Y, N
FAC 3 10 4	Does the Company employ effective methodology to ensure that its processes are adequately addressing all types of worker grievances?	Y, N
FAC 3 10 5	Does the Company promote worker awareness of the Grievance Mechanism?	Y, N
FAC 3 10 6	Is the Grievance Mechanism available to all workers within the Facility?	Y, N

### **FAC|3|11| Wellbeing Programmes**

CRITERIA: The Company should support its employees and the local community with respect to wellbeing services.

In countries where essential wellbeing services provided by the State are inadequate, the Company should provide supporting services to its employees and the community in which it operates.

In countries where state-operated essential wellbeing systems are effective, the Company should engage with the community in which it operates to support projects that will benefit the community and which it assesses as appropriate.

The Company should identify the areas where the need is greatest and prioritise these.

Areas for the Company to support may include, but are not restricted to:

- Schools
- School transport
- Medical facilities
- Health education
- Literacy classes
- Adult education
- Churches/mosques/temples
- Libraries
- Internet cafes
- Mobile telephones
- Mobile telephone 'apps'

The Company should measure the benefits of any Wellbeing Programme in which it engages and quantify the outcomes.

The Company should review at least annually any Wellbeing Programme in which it engages and confirm that the Programme remains effective and the outcomes are as intended. Where necessary, Programmes should be adjusted following review.

Indicator Reference	Indicator Description	Possible Responses
FAC 3 11 1	Does the Company provide welfare services to its employees, supplying farmers or support wellbeing projects in the community?	Y, N
FAC 3 11 2	Does the Company measure the benefits of any Wellbeing Programme in which it engages and quantify the outcomes?	Y, N
FAC 3 11 3	Does the Company review at least annually any Wellbeing Programme in which it engages and confirm that the Programme remains effective and the outcomes are as intended and, where necessary, adjust Programmes following review?	Y, N

### **FAC|3|12| Community and Land Rights**

**CRITERIA:** The Company should recognise and safeguard the rights of communities and traditional peoples to maintain access to land and natural resources (e.g. water, wood, soil) in the vicinity of its facilities. Physical and economic displacement of persons related to Company activities should be compensated.

The Company should respect and prohibit the violation of the land rights of individuals and communities in the vicinity of its facilities.

The Company should ensure that:

- The right of the Company to use the land on which it operates can be demonstrated and is not legitimately contested by local communities with demonstrable rights
- The rights of communities and traditional peoples to access land, critical cultural heritage and natural resources (e.g. water, wood, soil) in the vicinity of Company-owned and managed facilities are recognised and safeguarded
- All land acquisitions are made respecting the rights of impacted individuals and communities
- Wherever possible, positive relations are maintained with the community in which the Company operates
- Wherever possible, the Company provides support for economic development of the community in which it operates
- The Company should obtain Free, Prior and Informed Consent (FPIC) of indigenous Peoples to ensure operations take into consideration impacts of indigenous communities. FPIC will include good faith negotiation which will be documented between the Company and affected communities, with clear evidence of agreement between the parties.
- The Company must not impede, hinder or discriminate against indigenous and tribal people's Human rights and fundamental freedoms inline with ILO convention 169
- Where Company operations are determined to impact communities, indigenous or tribal people, the Company should include affected people as part of stakeholder consultations. This includes access to ecosystem services by the Company which will affect local communities.

- Where persons are physically displaced, the Company should establish a documented resettlement plan which covers adequate compensation of land and assets, resettlement and schedule
- Where persons are required to move to new area, the Company should provide adequate options for replacement housing or cash compensation and relocation assistance. Persons required to move should not be subject to reduced living standards as a result
- Forced evictions should not be carried out except under any circumstances permitted under the law
- Economically displaced persons who have lost assets, access to assets or means of livelihood, irrespective if they have been physically displaced, should be compensated appropriately in line with legal requirements
- Where the Government has taken responsibility for any resettlement, the Company should ensure that any resettlement arrangements meet as a minimum guidance in this Criteria.

#### Relevant ILO Conventions

C169 - Indigenous and Tribal Peoples Convention, 1989 (No. 169)

The UN has not formally adopted a definition of indigenous peoples, however a working definition can be applied as per below:

Indigenous communities, peoples and nations are those which, having a historical continuity with pre-invasion and pre-colonial societies that developed on their territories, consider themselves distinct from other sectors of the societies now prevailing on those territories, or parts of them. They form at present non-dominant sectors of society and are determined to preserve, develop and transmit to future generations their ancestral territories, and their ethnic identity, as the basis of their continued existence as peoples, in accordance with their own cultural patterns, social institutions and legal systems.

This definition was developed by a UN Working Group. Martinez Cobo J. Study of the problem of discrimination against indigenous populations. New York: United Nations; 1986-87. Contract No.: UN Doc. E/CN.4/Sub.2/1986/7.

Indicator Reference	Indicator Description	Possible Responses
FAC 3 12 1	Can the Company demonstrate its right to use the land on which it operates and that this land is not legitimately contested by local communities with demonstrable rights?	Y, N
FAC 3 12 2	Does the Company recognise and safeguard the rights of communities and traditional peoples to access land, cultural heritage and natural resources (e.g. water, wood, soil) in the vicinity of Company-owned and managed facilities?	Y, N
FAC 3 12 3	Are all land acquisitions by the Company made respecting the rights of impacted individuals and communities?	Y, N
FAC 3 12 4	Where relevant, does the Company negotiate with affected Indigenous Peoples using principles of Free, Prior and Informed Consent (FPIC)?	Y, N

FAC 3 12 5	Where persons have been physically displaced, does the Company meet with as a minimum the guidance in this Criteria?	Y, N
FAC 3 12 6	Where persons have been economically displaced, does the Company meet with as a minimum the guidance in this Criteria?	Y, N

### FAC|3|13| Onsite Accommodation

CRITERIA: Where accommodation services are provided to workers, the Company will have procedures in place which enable safe and quality habitats.

Where accommodation services are provided to workers either directly through the Company or by third parties on behalf of the Company, the Company should ensure that:

- Accommodation provided meets with applicable local regulations, or basic service requirements, whichever is more stringent.
- Accommodation provided does not limit the workers freedom of movement or association

Basic services requirements include sufficient space, access to water, adequate sewage, garbage disposal, protection against heat, cold, noise, fire, protection against animals, sanitary and washing facilities, ventilation, cooking and storage facilities with natural and artificial lighting.

Indicator Reference	Indicator Description	Possible Responses
FAC 3 13 1	Where accommodation is provided, is it suitable inline with the guidance of this Criteria?	Y, N
FAC 3 13 2	Where accommodation is provided, are workers freedom of movement limited by any such arrangement?	Y, N

### FAC|3|14| Retrenchment

CRITERIA: The Company should explore all viable alternatives to retrenchment before collective dismissals are made.

Dismissals of employees and workers may be required due to economic, technical or organisational changes not linked to personal performance of impacted employees and workers. The Company should ensure:

- Analysis of viable alternatives should be conducted before retrenchment is enacted by the Company
- Where there are no viable alternatives to retrenchment, the Company will have a retrenchment plan taking into consideration the rights of the impacted individuals, applicable local or national regulations
- Where a retrenchment plan has been created, the Company should draft it in consultation with workers, taking into consideration any collective bargaining agreements and compliance will all relevant legal requirements

Indicator Reference	Indicator Description	Possible Responses
FAC 3 14 1	Does the Company have procedures to analyse alternatives to retrenchment of employees and workers?	Y, N



FAC 3 14 2	Where relevant, has the Company created a retrenchment plan inline with the guidance of this Criteria?	Y, N
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### FAC|3|15| Cultural Heritage

CRITERIA: The Company should identify, assess and where relevant protect and allow access to cultural heritage impacted through company operations

This Criteria adopts the definition of cultural heritage from the United Nations Educational, Scientific and Cultural Organization (UNESCO). It defines cultural heritage as including artefacts, monuments, a group of buildings and sites, museums that have a diversity of values including symbolic, historic, artistic, aesthetic, ethnological or anthropological, scientific and social significance. It includes tangible heritage (movable, immobile and underwater), intangible cultural heritage (ICH) embedded into cultural, and natural heritage artefacts, sites or monuments. The definition excludes ICH related to other cultural domains such as festivals, celebration etc. It covers industrial heritage and cave paintings.

The Company should ensure that it meets with all regulatory requirements with regard to cultural heritage.

The Company should ensure that risks are assessed of impacts to cultural heritage and that identification processes are documented

Where the risk assessment or other relevant identification process determines operations may impact cultural heritage the Company should:

- Engage with competent professionals to validate findings and assist in protection
- Include key stakeholders in decision making processes including affected communities who use, or have used impacted cultural heritage within living memory

Where the risk assessment or other relevant identification process determines operations have a high likelihood of uncovering cultural heritage because of company construction or general operations, procedures should be developed which include not disturbing the findings and further assessments by competent professionals.

Where cultural heritage has been identified to be impacted through the Company's operations, the Company should:

- Allow for community access where affected communities use or have used the cultural heritage within living memory

Any removal of replicable cultural heritage should be subject to the mitigation hierarchy which involves:

- Minimising adverse impacts and implement restoration measures
- Where restoration is not feasible, restore cultural heritage function in a different location
- Permanent removal where restoration of function is not feasible, inline with any relevant government regulations and community consultation
- Compensation for loss where all other measures are not feasible

Any removal of non-replicable cultural heritage or critical cultural heritage should best be left in place. The Company should only remove cultural heritage under the following conditions:

- There are no technical or financially feasible alternative to the removal
- The benefits from company operations outweighs the anticipated cultural heritage loss from removal

- Removal is used using best available techniques

UNESCO definition reference:

UNESCO Institute for Statistics, 2009 UNESCO Framework for Cultural Statistics

Additional guidance has been informed based on IFC performance standard 8 Cultural Heritage (2012).

[https://www.ifc.org/wps/wcm/connect/topics\\_ext\\_content/ifc\\_external\\_corporate\\_site/sustainability-at-ifc/policies-standards/performance-standards/ps8](https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards/ps8)

Indicator Reference	Indicator Description	Possible Responses
FAC 3 15 1	Has the Company evaluated and documented risks to cultural heritage through a risk assessment or other relevant identification process?	Y, N
FAC 3 15 2	Where the risk assessments indicates, has the Company established stakeholder consultations inline with guidance of this Criteria?	Y, N
FAC 3 15 3	Where the risk assessments indicates, has the Company established procedures to follow related to uncovering of cultural heritage?	Y, N
FAC 3 15 4	Where relevant, has the Company established community access to impacted cultural heritage?	Y, N
FAC 3 15 5	Where relevant, has the Company utilised the mitigation hierarchy for replicable cultural heritage inline with guidance of this Criteria?	Y, N
FAC 3 15 6	Where relevant, has the Company followed conditions detailed in this Criteria relevant to non-replicable or critical cultural heritage?	Y, N

#### **FAC|4| Environment**

OBJECTIVE: The Company should ensure its supplying farmers produce the crop with the minimum possible adverse impact on the environment.

The Company should consider the impact of crop production in the context of both the local environment (e.g. soil and waste management) and potential global effects (e.g. water consumption and Greenhouse Gas emissions).

#### **FAC|4|1| Risk Assessment**

CRITERIA: The Company should use Risk Assessment methodology to identify and mitigate any significant risks affecting the Criteria within the Environment Pillar.

In addition to ensuring the Company meets its legal obligations, an effective Risk Assessment helps the Company to focus on the most significant issues. This in turn may result in cost savings, protection of people and the environment from harm, and enhance the Company's reputation. The Company should review the Risk Assessment on at least an annual basis, or if operational changes occur, to ensure that it continues to address all current and new issues.

The Company should use a systematic approach to carrying out a risk assessment that includes the following steps:

- 1) Identify the risks for each Criteria within the Environment Pillar: what could go wrong and what might be the consequences?
- 2) Estimate the risk (Probability x Severity)

- 3) Evaluate the risk and agree how it might be mitigated
- 4) Implement mitigating actions to manage the risks identified
- 5) Review the effectiveness of any mitigating actions implemented

Indicator Reference	Indicator Description	Possible Responses
FAC 4 1 1	Has the Company conducted a Risk Assessment relevant to the Environment Pillar?	Y, N
FAC 4 1 2	Does the Risk Assessment include potential risks relevant to all applicable Criteria within the Environment Pillar?	Y, N
FAC 4 1 3	Has the Company estimated all identified risks?	Y, N
FAC 4 1 4	Has the Company identified mitigating actions for all risks classified as unacceptable affecting Criteria within the Environment Pillar?	Y, N
FAC 4 1 5	Has the Company identified mitigating actions for all risks classified as tolerable affecting Criteria within the Environment Pillar?	Y, N
FAC 4 1 6	Has the Company implemented mitigating actions against all risks classified as unacceptable?	Y, N
FAC 4 1 7	Has the Company implemented mitigating actions against all risks classified as tolerable?	Y, N
FAC 4 1 8	Has the Company reviewed the Risk Assessment at least annually, or when operational changes occur, to ensure it remains up-to-date and effective?	Y, N

### **FAC|4|2| Monitoring of Environmental Complaints**

**CRITERIA:** The Company has a method to capture complaints externally raised to ensure that company procedures and practices remain effective.

The Company should have a mechanism for monitoring any complaints or grievance raised by community members and have effective procedures to investigate and remediate issues if necessary. Investigations into environmental concerns including Biodiversity conservation should be conducted or supported by competent professionals, either retained by the Company or through third party engagement. The Company should ensure biodiversity conservation and protection includes the principles of the mitigation hierarchy which considers avoidance, minimisation, restoration and offset.

The Company should employ effective methodology to ensure that its processes are adequate in addressing the following potential types of community complaints:

- Noise
- Dust
- Odour
- Impact of New Processes, Procedures and Equipment
- Waste Management
- Biodiversity impacts

Where relevant, the Company should monitor emissions at the perimeter of facility to demonstrate regulatory compliance.

Indicator Reference	Indicator Description	Possible Responses
FAC 4 2 1	Does the Company have a mechanism for monitoring of Environmental Complaints?	Y, N
FAC 4 2 2	Does the Company employ effective methodology to ensure that its processes are adequate in addressing Noise complaints?	Y, N
FAC 4 2 3	Does the Company employ effective methodology to ensure that its processes are adequate in addressing Dust complaints?	Y, N
FAC 4 2 4	Does the Company employ effective methodology to ensure that its processes are adequate in addressing Odour complaints?	Y, N
FAC 4 2 5	Does the Company employ effective methodology to ensure that its processes are adequate in addressing complaints in relation to the Impact of New Processes, Procedures and Equipment?	Y, N
FAC 4 2 6	Does the Company employ effective methodology to ensure that its processes are adequate in addressing Waste Management complaints?	Y, N
FAC 4 2 7	Does the Company employ effective methodology to ensure that its processes are adequate in addressing Waste Water complaints?	Y, N
FAC 4 2 8	Does the Company employ effective methodology to ensure that its processes are adequate in addressing Biodiversity concerns?	Y, N
FAC 4 2 9	Where required, does the Company utilise competent professionals to conduct risk and impact assessments?	Y, N
FAC 4 2 10	Where required, does the Company utilise the principles of the mitigation hierarchy?	Y, N

### FAC|4|3| Boiler and Dryer Emissions

CRITERIA: The Company should monitor the boiler and dryer emissions from its facilities to ensure compliance with any applicable laws and regulations.

The height of stacks from which emissions are released should meet any local regulations.

Annual maintenance checks on boilers and dryers should include combustion efficiency checks and combustion gas measurements.

Annual monitoring of the emissions should be undertaken to ensure compliance with any regulatory limits.

The Company should monitor complaints and ensure its procedures are effective in avoiding any significant adverse effects on the environment or community from Boiler Emissions.

Where there is no Boiler and/or Dryer at the facility, indicators for this Criteria should be considered as Not Applicable (N/A).

\* Provide a positive score response to relevant indicators and comment indicators are Not Applicable and justification for Non-Applicable status

Indicator Reference	Indicator Description	Possible Responses
FAC 4 3 1	Is the height of stacks from which emissions are released in compliance with local regulations?	Y, N
FAC 4 3 2	Do annual maintenance checks on boilers and dryers include combustion efficiency checks and combustion gas measurements?	Y, N
FAC 4 3 3	Does annual monitoring of the emissions confirm compliance with any regulatory limits?	Y, N

#### **FAC|4|4| Disposal of Non-Hazardous Waste**

CRITERIA: The Company should establish a documented system to ensure the Non-Hazardous Waste it generates, whether liquid or solid, is evaluated and any adverse impact on the environment or community is minimised.

The Company should ensure that:

- The generation of waste is minimised
- Disposal of Non-Hazardous Waste is in accordance with regulatory requirements
- Waste is segregated, and hazardous and Non-Hazardous Waste are kept separate and clearly identified
- Any movement of Non-Hazardous Waste from the facility or disposal on or off the facility is documented
- Hazardous waste is not disposed of in the Non-Hazardous Waste stream
- Any contracted collectors of Non-Hazardous Waste hold the necessary permits or licences from the Regulatory Authority and that these are current and valid

Examples of Non-Hazardous Solid Waste include, but are not restricted to: extraneous vegetable matter, dust, paper, metal, hessian and wood.

The Company should monitor complaints and ensure its procedures are effective in avoiding any significant adverse effects on the environment, wildlife or community from Disposal of Non-Hazardous Waste.

Indicator Reference	Indicator Description	Possible Responses
FAC 4 4 1	Does the Company measure and record the volume of Non Hazardous waste generated by type?	Y, N
FAC 4 4 2	Does the Company ensure all Non-Hazardous Waste disposal is in accordance with regulatory requirements?	Y, N
FAC 4 4 3	Does the Company ensure waste is segregated and that Hazardous and Non-Hazardous Waste are kept separate and clearly identified?	Y, N
FAC 4 4 4	Does the Company ensure Non-Hazardous Waste is stored in an environmentally protective manner so it cannot leak, spill or otherwise cause damage to the environment or harm people or wildlife?	Y, N

FAC 4 4 5	Does the Company ensure any movement of Non-Hazardous Waste from the facility or disposal on or off the facility is documented?	Y, N
FAC 4 4 6	Does the Company ensure any contracted collectors of Non-Hazardous Waste hold the necessary permits or licences from the Regulatory Authority and that these are current and valid?	Y, N

### **FAC|4|5| Disposal of Hazardous Waste**

CRITERIA: The Company should establish a documented system to ensure the Hazardous Waste it generates, whether liquid or solid, is evaluated and any adverse impact on the environment, wildlife or community is minimised. The Company should aim to avoid, minimise and where unavoidable control the disposal of generated hazardous waste. The Company should avoid entirely the use of chemicals and hazardous materials which have been subject to international bans and phase out as defined through such agreements such as the Montreal Protocol on Substances that Deplete the Ozone Layer and Stockholm Convention on Persistent Organic Pollutants (POPs).

A 'hazardous substance' means a substance fulfilling the criteria laid down in parts 2 to 5 of Annex I of Regulation (EC) No. 1272/2008 of The European Parliament and The Council of the European Union. These include the following:

- Explosive substances
- Flammable substances
- Oxidising substances
- Gases under pressure
- Self-reactive substances
- Pyrophoric substances (ignite in contact with air)
- Self-heating substances
- Substances which in contact with water emit flammable gases
- Organic peroxides
- Substances corrosive to metal
- Acutely toxic substances
- Substances corrosive/irritant to skin
- Substances causing serious damage or irritation to eyes
- Substances causing respiratory/skin sensitisation
- Substances causing germ cell mutagenicity
- Carcinogens (causing cancer)
- Substances toxic to reproduction
- Substances toxic to specific organs
- Substances causing aspiration hazards
- Substances toxic to the aquatic environment
- Substances hazardous to the ozone layer

The Company should ensure that:

- Hazardous Waste disposal is in accordance with regulatory requirements.
- Hazardous Waste is safely stored in designated Hazardous Waste storage areas
- All containers of Hazardous Waste are labelled with the following:

- Facility Name
- Date(s) of accumulation/filling
- Waste type
- Hazardous characteristics, including any warning signs required by regulations

Any identification codes required by regulations

- Any movement of Hazardous Waste from the facility or disposal on or off the facility is documented
- Copies of all consignment notes are retained when Hazardous Waste is despatched from the facility
- Contracted collectors of Hazardous Waste hold the necessary permits or licences from the Regulatory Authority and that these are current and valid.
- Records are kept of all Hazardous Waste disposed on or off the facility and that records include:
  - Quantity of waste disposed
  - Description and nature of the waste disposed
  - Contractor name and address
  - Methods of disposal (including recovery or recycling)
  - Date of dispatch
  - Waste consignment note references

The Company should monitor complaints and ensure its procedures are effective in avoiding any significant adverse effects on the environment, people or wildlife from the Disposal of Hazardous Waste.

Typically the medical waste produced at a Company facility from dressing small cuts, attending to nose bleeds, etc. should NOT be regarded as hazardous and can be discarded in general waste along with tissues used for blowing noses. Disposal of used sanitary items, bandages and tissues heavily contaminated with blood should be managed in a manner appropriate to the risks involved, for example where HIV/AIDS is prevalent in the population. Syringes used for medical purposes or by insulin users, etc. should be disposed of as Hazardous Waste.

Indicator Reference	Indicator Description	Possible Responses
FAC 4 5 1	Does the Company measure and record the volume of Hazardous waste generated by type?	Y, N
FAC 4 5 2	Does the Company ensure all Hazardous Waste disposal is in accordance with regulatory requirements?	Y, N
FAC 4 5 3	Does the Company ensure all Hazardous Waste is safely stored in designated Hazardous Waste storage areas?	Y, N
FAC 4 5 4	Does the Company ensure all containers of Hazardous Waste are labelled in accordance with VIVE requirements?	Y, N
FAC 4 5 5	Does the Company ensure any movement of Hazardous Waste from the facility is documented?	Y, N
FAC 4 5 6	Does the Company ensure records are kept of all Hazardous Waste disposed on or off the facility in accordance with VIVE requirements?	Y, N

FAC 4 5 7	Does the Company ensure any contracted collectors of Hazardous Waste hold the necessary permits or licences from the Regulatory Authority and that these are current and valid?	Y, N
FAC 4 5 8	Does the Company comply with the avoidance of all hazardous chemicals and materials inline with the guidance of this Criteria?	Y, N

### **FAC|4|6| Wastewater and Effluent Management**

CRITERIA: The Company should establish a documented system to ensure the Wastewater generated at its facilities is evaluated and any adverse impact on the environment, wildlife or community is minimised.

The Company should ensure that:

The requirements of the Regulatory Authorities are identified and complied with in respect of management and discharge of Wastewater

Company-owned and managed facilities do not discharge Wastewater to a sewer or watercourse in a manner that:

- a. causes, or is likely to cause a risk to people, wildlife or the environment
- b. creates a nuisance through odours

- Foul water drainage and clean water drainage systems are kept separate
- Oil traps are used to treat Wastewater from bunds, mechanical workshops, canteens & kitchens and other areas where oil may be spilt or disposed of
- Untreated Wastewater is not discharged directly into streams, drains, rivers or other watercourses
- Monitoring of Wastewater is undertaken on a weekly basis whenever facilities are operating, and as a minimum at quarterly intervals, for factors identified as relevant by risk assessment, such as Biochemical Oxygen Demand (B.O.D.), Chemical Oxygen Demand (C.O.D.), pH and temperature
- The Company should monitor complaints and ensure its procedures are effective in avoiding any significant adverse effects on the environment, people or wildlife from Wastewater or Effluent generated at its facilities.

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 4 6 1	Has the Company measured the Wastewater generated on its premises?	Y, N
FAC 4 6 2	Does the Company ensure foul water and clean water drainage systems are kept separate?	Y, N
FAC 4 6 3	Does the Company ensure oil traps are used to treat Wastewater from bunds, mechanical workshops, canteens, kitchens and other areas where oil may be spilt or disposed of?	Y, N
FAC 4 6 4	Does the Company ensure untreated Wastewater is not discharged directly into streams, drains, rivers or other watercourses?	Y, N



FAC 4 6 5	Does the Company ensure monitoring of Wastewater is undertaken on a weekly basis whenever facilities are operating, and as a minimum at quarterly intervals, for factors identified as relevant by risk assessment, such as Biochemical Oxygen Demand (B.O.D.), Chemical Oxygen Demand (C.O.D.), pH and temperature?	Y, N
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### FAC|4|7| Fuel and Chemical Storage Impact Mitigation

CRITERIA: The Company should establish a documented system to ensure any Fuel or Chemicals stored at its facilities are evaluated and any potential adverse impacts on the environment, people or wildlife are mitigated.

The Company should ensure that:

- All regulatory requirements are met with regard to fuel and chemical storage
- Any risks specific to the fuel or chemical being stored are taken into account
- All tank and multiple drum storage areas are rendered impervious to the fuel or chemicals stored there
- All tank and multiple drum storage areas are bunded (either locally or remotely) to a volume not less than the greater of the following or equipped with double-walled construction and leak detection:
  - a. 110% of the capacity of the largest tank or drum within the bunded area
  - b. 25% of the total volume of substance which could be stored within the bunded area
- All drainage from bunded areas is treated as hazardous waste unless it can be demonstrated to be otherwise
- All inlets, outlets, vent pipes, valves and gauges associated with storage vessels for fuel and chemicals are within the bunded area
- All tanks, containers and drums are labelled so as to clearly indicate their contents
- An adequate supply of containment booms and/or suitable absorbent material is available to contain and absorb any spillage at facilities
- All storm water discharges from the fuel and chemical storage are visually inspected for contamination prior to discharge and passed through a silt trap and oil separator if needed
- Overfill protection mechanisms are installed on all bulk fuel tanks
- Refuelling operations only take place in suitably protected hard stands near the fuel tanks and any accidental spillages can be contained using absorbent booms
- Bund integrity inspections are carried out by a suitably qualified person at least annually and full integrity tests undertaken at a frequency dictated by the risk assessment
- Records of inspections and tests are retained

For guidance on tank storage and bunding, the Irish Environmental Protection Agency has produced the 'IPC Guidance Note on Storage and Transfer of Materials for Scheduled Activities', which references expertise and regulations from the USA and EU.

Indicator Reference	Indicator Description	Possible Responses
FAC 4 7 1	Has the Company evaluated the Fuel and Chemical Storage at its facilities to ensure any regulatory requirements are met?	Y, N
FAC 4 7 2	Has the Company taken into account risks that are specific to the fuel and chemical being stored?	Y, N

FAC 4 7 3	Are all tank and multiple drum storage areas rendered impervious to the materials stored there?	Y, N
FAC 4 7 4	Are all tank and multiple drum storage areas bunded (if tanks are not already equipped with double walled construction and leak detection)?	Y, N
FAC 4 7 5	Is all drainage from bunded areas treated as Hazardous Waste unless it can be demonstrated to be otherwise?	Y, N
FAC 4 7 6	Are all inlets, outlets, vent pipes, valves and gauges associated with storage vessels for fuel and chemicals within the bunded area?	Y, N
FAC 4 7 7	Are all tanks, containers and drums labelled so as to clearly indicate their contents?	Y, N
FAC 4 7 8	Is an adequate supply of containment booms and/or suitable absorbent material available to contain and absorb any spillage at facilities?	Y, N
FAC 4 7 9	Are all storm water discharges from the fuel and chemical storage installation visually inspected for contamination prior to discharge and passed through a silt trap and oil separator if needed prior to discharge?	Y, N
FAC 4 7 10	Are overfill protection mechanisms installed on all bulk fuel and chemical tanks?	Y, N
FAC 4 7 11	Do refuelling operations only take place in suitably protected hard stands near the fuel tanks and can any accidental spillages be contained using absorbent booms?	Y, N

#### **FAC|4|8| Operating and Environmental Permits**

CRITERIA: The Company should ensure it meets any regulatory requirements with regard to Operating and Environmental Permits.

The Company should hold relevant and current Operating and Environmental Permits for all the facilities under its control.

Where the Company delegates or contracts operations to a third party it should ensure that the third party holds all necessary relevant and current Operating and Environmental Permits.

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 4 8 1	Does the Company hold all necessary, relevant and current Operating and Environmental Permits for the facility?	Y, N
FAC 4 8 2	Do all third parties to which the Company delegates activities hold all necessary, relevant and current Operating and Environmental Permits?	Y, N

#### **FAC|4|9| Waste Reduction**

CRITERIA: The waste produced by the Company should be recorded with the aim of reducing waste production. Wherever practical, the Company should re-use or recycle any waste that cannot be avoided.

The volumes and destinations of all waste should be recorded, and a plan developed with the aim of reducing waste per tonne of crop produced.

Targets for the reduction of all types of waste should be set and plans to achieve this should be implemented.

Where reduction is not possible, re-use should be encouraged. Recycling should only occur at the end of the product's useful life.

Indicator Reference	Indicator Description	Possible Responses
FAC 4 9 1	Does the Company accurately record the waste it produces?	Y, N
FAC 4 9 2	Has the Company developed a documented plan with targets for the reduction of waste per tonne produced?	Y, N
FAC 4 9 3	Does the Company re-use products wherever this is practical and legal?	Y, N
FAC 4 9 4	Does the Company recycle products wherever their re-use is not possible and where recycling is practical and legal?	Y, N
FAC 4 9 5	Has the Company implemented its plan to reduce waste produced?	Y, N
FAC 4 9 6	Can the Company demonstrate a trend in reduction of waste produced?	Y, N
FAC 4 9 7	What percentage of waste is re-used or recycled?	%

#### **FAC|4|10| Reduction of Energy Consumed by Company Facilities**

CRITERIA: The energy used by Company facilities should be recorded with the aim of reducing energy consumption per tonne of crop produced.

All energy used in Company-owned and managed facilities should be considered (e.g. electricity, gas, fuel oil, wood, etc.). Targets should be set, and plans implemented for the reduction of energy used.

Where energy consumption per tonne of crop produced cannot be reduced, renewable energy should be used as a priority.

Indicator Reference	Indicator Description	Possible Responses
FAC 4 10 1	Has the Company accurately calculated how much energy is used to process 1 tonne of production?	Y, N
FAC 4 10 2	Has the Company developed a documented plan with targets for the reduction of energy consumed per tonne produced?	Y, N
FAC 4 10 3	Has the Company implemented its plan to reduce energy consumed per tonne produced?	Y, N
FAC 4 10 4	Can the Company demonstrate a trend in the reduction of energy consumed per tonne produced?	Y, N
FAC 4 10 5	What percentage of the total energy consumed has either been saved or sourced from renewable sources since participating with the VIVE programme?	%

#### **FAC|4|11| Water Reduction and Climate Change**

CRITERIA: Water used in Company facilities should be recorded with the aim of reducing water consumption per tonne of crop produced.

All water used at the facility should be considered (e.g. borehole, river extraction, mains water, harvested rainwater, etc.). Targets should be set, and plans implemented for the reduction of water

used.

The Company should evaluate the potential impacts of climate change on water availability and plan to adapt accordingly if water availability is likely to be reduced.

Indicator Reference	Indicator Description	Possible Responses
FAC 4 11 1	Has the Company accurately calculated how much water is used to process 1 tonne of product?	Y, N
FAC 4 11 2	Has the Company developed a documented plan with targets for the reduction of water consumed per tonne produced?	Y, N
FAC 4 11 3	Has the Company implemented its plan to reduce water consumed per tonne produced?	Y, N
FAC 4 11 4	Can the Company demonstrate a trend in the reduction of water consumed per tonne produced?	Y, N
FAC 4 11 5	What percentage of the total water used per tonne produced has been saved since participating with the VIVE programme?	%

#### **FAC|4|12| Reduction of Greenhouse Gas (GHG) Emissions from Processing**

CRITERIA: The Company should record GHG emissions associated with their facilities to identify the activities that are responsible for the majority of GHG emissions and implement plans to reduce them.

The Company should record Scope 1 and Scope 2 GHG emissions associated with their facilities to identify the significant sources of GHG emissions from crop processing. It should then implement practices that will reduce GHG emissions associated with Company facilities.

The Company should establish targets for the reduction of:

‘Scope 1’ Emissions: Direct emissions from GHG sources owned or controlled by the Company (e.g. boilers, incinerators, generators, vehicles, etc.).

‘Scope 2’ Emissions: GHG emissions that the Company has indirectly caused through its consumption of purchased electricity, heat, coolant or steam.

Indicator Reference	Indicator Description	Possible Responses
FAC 4 12 1	Does the Company accurately record Scope 1 and Scope 2 GHG emissions associated with its facilities?	Y, N
FAC 4 12 2	Has the Company implemented plans with targets to reduce the Scope 1 and 2 GHG emissions associated with its facilities?	Y, N
FAC 4 12 3	Can the Company demonstrate a trend in reducing Scope 1 and 2 GHG emissions associated with its facilities?	Y, N
FAC 4 12 4	What is the percentage reduction in Scope 1 and 2 GHG emissions achieved at the Company’s facilities since participating with the VIVE programme?	%

#### **FAC|4|13| Scope 3 Reductions in GHG Emissions**

CRITERIA: The Company should engage with its contractors and suppliers and work with them to reduce their GHG Emissions (‘Scope 3’ Emissions).

The Company should identify the significant sources of Scope 3 GHG emissions relating to its contractors and suppliers. The Company should then establish metrics for the GHG emissions

associated with its contractors and suppliers and the services they provide, based on internationally recognised standards, and set targets for their reduction.

The Company should work with its contractors and suppliers to implement practices that will reduce their GHG emissions.

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 4 13 1	Has the Company engaged with its contractors and suppliers on the reduction of their GHG (Scope 3) emissions?	Y, N
FAC 4 13 2	Has the Company implemented plans with its contractors and suppliers to reduce the GHG (Scope 3) emissions associated with the services/products they provide?	Y, N
FAC 4 13 3	What is the percentage reduction in Scope 3 GHG emissions achieved by the Company's contractors and suppliers, and associated with the Company's facilities, since participating with the VIVE programme?	%

### FAC|5| Traceability

OBJECTIVE: The Company should ensure that it can trace all its raw materials back to individual farms, all products through its facilities and all finished products forward to its individual customers. Wherever mass balances are used the VIVE Mass Balance rules must be applied.

#### FAC|5|1| Mass Balance Methodology

CRITERIA: The Company must accurately measure all quantities of product entering a mass balance and all quantities leaving a mass balance. Wherever process losses occur within a defined mass balance these must be taken into account.

The Mass Balance methodology used within VIVE allows VIVE product to be physically comingled with non-VIVE products meeting the same specification but requires continued administrative separation of the VIVE Tonnage to ensure there is no over-claiming of the tonnage assigned to VIVE. This is illustrated below:

Indicator Reference	Indicator Description	Possible Responses
FAC 5 1 1	Does the Company utilise the VIVE Mass Balance Methodology?	Y, N

#### FAC|5|2| Assignment of Mass Balance Data

CRITERIA: The Company must comply with the VIVE Mass Balance rules in relation to assignment of data.

The VIVE Mass Balance rules on assignment of data require that:

- VIVE data for a raw material must be assigned only to the quantity of products which are derived from it. For example, a defined quantity of VIVE cane or beet will produce a defined quantity of sugar, molasses, fibre, etc.
- Products leaving a Supply Chain Step may only be assigned data from products that physically entered the same Supply Chain Step. For example, if 100 tonnes of VIVE sugar leave a processing facility the necessary amount of raw material to produce 100 tonnes of VIVE sugar must have entered the same facility
- It is acceptable to retain administrative balances of VIVE products after the physical goods have been despatched, while awaiting a sale (i.e. a long administrative position may be held)
- It is not acceptable to despatch products from a facility under the VIVE brand until adequate physical stocks of VIVE product have been received at the same facility to cover this quantity (i.e. a short administrative position is not acceptable)
- Any actual process losses experienced by the physical goods must be reflected in all administrative balances (e.g. if a processor processes a tonnage of VIVE compliant sugar cane or sugar beet, only the quantity of VIVE sugar that could be produced from the actual quantity of sugar cane or beet received from named farms, where the sugar yield from the crop is known, may be sold)
- Physical and administrative Mass Balance stocks of VIVE compliant products must be balanced, reconciled and audited within six months of the end of each crop season

Indicator Reference	Indicator Description	Possible Responses
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FAC 5 2 1	Does the Company ensure VIVE data for a raw material is assigned only to the quantity of products which are derived from it?	Y, N
FAC 5 2 2	Does the Company ensure that products leaving a Supply Chain Step are only assigned data from products that physically entered the same Supply Chain Step?	Y, N
FAC 5 2 3	Does the Company ensure it only maintains a long administrative position and does not run a short administrative position?	Y, N
FAC 5 2 4	Does the Company ensure any actual process losses experienced by the physical goods are reflected in all administrative balances?	Y, N
FAC 5 2 5	Does the Company ensure that physical and administrative Mass Balance stocks of VIVE products are balanced, reconciled and audited within six months of the end of each crop season?	Y, N

### **FAC|5|3| Mass Balance Physical Boundaries**

CRITERIA: The Company must limit each VIVE Mass Balance to an individual Company facility. Each Mass Balance must operate within a defined Company facility. It is not acceptable for one facility to utilise the data for product delivered to another facility.

Where more than one VIVE Mass Balance commodity is in the system of a given facility it is not acceptable to transfer the VIVE data from one type of commodity to another. For example: VIVE data for molasses cannot be transferred to sugar.

No VIVE trade can be backdated, a VIVE physical trade or a VIVE Mass Balance transfer trade. For a VIVE physical trade, the VIVE volume should be agreed at time of shipment and the relevant documents should be issued.

#### **VIVE Mass Balance Transfer**

A volume of VIVE Mass Balance can be transferred / traded between two separate VIVE participants without an accompanying physical transaction in the following circumstances:

1. If a Company owns two VIVE product supplying facilities in the same geographical market, where both have achieved VIVE Claim Level for the same verified commodity, the participant can apply to directly transfer their VIVE Mass Balance between the two facilities. Each Mass Balance Transfer request will need to be approved by the VIVE team in writing. For sugar products, this point 1) is applicable for the movement of both VIVE raw sugar and white sugar Mass Balance.
2. If it can be demonstrated that a physical flow of VIVE raw sugar between a VIVE participants facility and any of its intermediaries or secondary processors is not commercially or logistically viable, the Company may apply to the VIVE programme to trade a volume of VIVE Mass Balance, without a physical flow attached. Any receiver of such a VIVE Mass Balance Transfer must be a participant of the VIVE programme and achieved VIVE Claim Level through assessment against the relevant VIVE Module. For a VIVE Claim to be accepted, each requested VIVE Mass Balance Transfer under this point 2) must be approved by the VIVE team in writing. In the event of a Company facility completing a VIVE Mass Balance Transfer the balance held by the participant must be reduced to reflect this in the participants available mass balance. For sugar products, this point 2) can only be used to transfer a Mass Balance of VIVE raw sugar and cannot be used to transfer a Mass Balance of VIVE white sugar. This VIVE Mass Balance Transfer applies from a primary producer to a secondary processor, for example, the transfer of VIVE raw sugar from a mill to a refinery,

however, cannot be used to transfer a Mass Balance of VIVE white or refined sugar to an industrial consumer.

All Mass Balance Transfers will be confirmed by the issuing of a Mass Balance Transfer Certificate, issued exclusively by the VIVE team.

A VIVE raw sugar trade is confirmed by the either of the following documents:

1. A VIVE Purchase Confirmation Certificate for a physical VIVE raw sugar trade, including the VIVE reference number and total volume of VIVE sugar traded.

OR

2. A VIVE Mass Balance Transfer Certificate when a physical flow of VIVE raw sugar has not been undertaken. The Mass Balance Transfer Certificate will confirm the new VIVE reference number for the volume of VIVE product exchanged.

A VIVE white sugar trade is confirmed with the following document:

1. A VIVE Purchase Confirmation Certificate for a physical VIVE white sugar trade, including the VIVE reference number and total volume of VIVE sugar traded. For each sale, the document will clearly state the volume of physical VIVE sugar that the supplying participant received through a physical transaction (Physical VIVE Mass Balance) and the volume of VIVE sugar received by a Mass Balance Transfer (VIVE Mass Balance Transfer).

All participants are expected to keep an administrative record for the following:

- Physical VIVE Mass Balance – volume of VIVE Claim Level product awarded during a VIVE assessment or received via a physical VIVE cargo.
- Mass Balance Transfer – the volume of VIVE Claim Level product sold or received via a Mass Balance Transfer to or from another participant.

Participants can only complete a VIVE Mass Balance transfer trade if they have available VIVE Mass Balance at the time of request.

Further details of the Mass Balance Application Process can be found in the VIVE MASS BALANCE TRANSFER APPLICATION PROCESS document

The rules stated in the following VIVE Criteria still apply:

- FAC|5|1| Mass Balance Methodology
- FAC|5|2| Assignment of Mass Balance Data
- FAC|5|4| Mass Balance Time Boundaries

Indicator Reference	Indicator Description	Possible Responses
FAC 5 3 1	Does the Company apply VIVE Mass Balance Physical Boundaries inline with the guidance of this Criteria?	Y, N
FAC 5 3 2	Does the Company ensure each VIVE Mass Balance is operated only for a defined commodity and that no data is transferred from one commodity to another?	Y, N

#### **FAC|5|4| Mass Balance Time Boundaries**

**CRITERIA:** The Company must limit the administrative life of any VIVE Mass Balance product to three years after the physical and administrative stocks have been balanced, reconciled and audited at the end of each crop year.

The Company may only maintain an administrative Mass Balance for VIVE products for a maximum of three years after the physical and administrative stocks have been balanced, reconciled and audited at the end of each crop year.

Any administrative Mass Balances left after this period must be deleted.



Indicator Reference	Indicator Description	Possible Responses
FAC 5 4 1	Does the Company ensure the administrative life of any Mass Balance product is limited to three years after the physical and administrative stocks have been balanced, reconciled and audited at the end of each crop year?	Y, N
FAC 5 4 2	Does the Company ensure any remaining administrative Mass Balance is deleted three years after the physical and administrative stocks have been balanced, reconciled and audited at the end of each crop year?	Y, N

### FAC|5|5| Traceability of Incoming Products

CRITERIA: The Company must be able to demonstrate traceability for the raw materials it receives. The Company must be able to demonstrate traceability for all crops in an unprocessed, semi processed or processed state received at its facilities, whether or not they are destined for the VIVE programme. This will require the ability to produce a traceability trail for each delivery back to the point in the supply chain where a previous Mass Balance occurred and/or the VIVE status of the product can be verified.

Upon request, the Company must be able to provide a traceability trail back to the farm for each lot of VIVE product. To facilitate this, the Company must:

- Record the names and addresses of suppliers of incoming products
- Record the types and quantities of incoming products
- Record the numbers of the batches or lots received
- Identify the transport means and unique identification reference of the transport for all incoming products
- Where applicable, container, trailer and ship hold references must be known
- Where intermediate storage is used, the relevant stores, silos or bays must be known
- The Company need not hold all records necessary to trace its raw materials back to farms but it must be able to access such records if required to do so.
- In all cases the Company must be able to demonstrate that no product of unknown or uncertain sustainability status has entered into a product stream intended to be assigned as VIVE product.

The Traceability of all crop products is required so that their VIVE status can be confirmed. In addition, the Traceability of all products back to farm and individual field is required so that any issues that may arise at farm level can be addressed (e.g. inappropriate use of agrochemicals, poor quality, etc.). The Traceability of packed product is required so that, in the event of any problem arising, all affected product can be quickly identified and all necessary actions taken (including, where necessary, recall of products).

The Company should be able to demonstrate Traceability for the raw materials it receives (whether unprocessed or semi processed) and the finished products it despatches.

Upon request, the Company should be able to provide a Traceability trail back to named farms and forwards to individual customers for each lot of product.

Indicator Reference	Indicator Description	Possible Responses
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FAC 5 5 1	Does the Company have records for all lots of incoming raw materials, traceable back to farm and individual field?	Y, N
FAC 5 5 2	Can the Company demonstrate traceability for all crops and in all forms received at its facilities, whether or not they are destined for the VIVE programme?	Y, N
FAC 5 5 3	Can the Company access all necessary traceability records for its raw materials if required to do so?	Y, N

### FAC|5|6| Traceability of Outgoing Products

CRITERIA: The Company must be able to demonstrate traceability for the products it despatches. The Company must be able to demonstrate traceability for all the crop products it supplies, and that all VIVE products have either been segregated, or the VIVE Mass Balance rules have been adhered to, at each step of the supply chain(s) for which the Company is responsible.

Upon request, the Company must be able to provide a traceability trail to its customers for each lot of VIVE product sent to them. To facilitate this, the Company must:

- Record the names and addresses of all customers
- Record the types and quantities of outgoing products
- Record the numbers of the batches or lots despatched
- Identify the transport means and unique identification references of the transport for all outgoing products
- Where applicable, container, trailer and ship hold references must be known
- Where intermediate storage is used, the relevant stores, silos or bays must be known

The Company need not hold all records necessary to trace its finished products to its customers but it must be able to access such records if required to do so.

Traceability must continue from the point at which the Company purchases its raw materials to the point at which responsibility for its crop products is passed by the Company to the purchaser. This must include:

- Any storage location (by bay, silo or tank)
- Ships (by hold or tank)
- Vehicles (by trailer reference)
- Port(s)
- Bulk handling equipment

In all cases the Company must be able to demonstrate that no finished product of unknown or uncertain sustainability status has entered into a product stream intended to be assigned as VIVE product.

Indicator Reference	Indicator Description	Possible Responses
FAC 5 6 1	Does the Company have records for all lots of products despatched?	Y, N
FAC 5 6 2	Can the Company demonstrate traceability for all the crop products it supplies, and that all VIVE products have either been segregated, or the VIVE Mass Balance rules have been adhered to, at each step of the supply chain(s) for which the Company is responsible?	Y, N

FAC 5 6 3	Can the Company provide a traceability trail to its customers for each lot of VIVE product sent to them, in accordance with the VIVE Criteria and Mass Balance rules?	Y, N
FAC 5 6 4	Can the Company achieve traceability from the point at which the Company purchases its raw materials to the point at which responsibility for the crop products it produces is passed by the Company to the purchaser?	Y, N

### FAC|5|7| Traceability through Company Facilities

CRITERIA: The VIVE Mass Balance rules must be adhered to by all Company facilities participating in VIVE.

The Company must be able to produce a verifiable traceability trail for each consignment of crop products, regardless of whether they are included in VIVE or not, showing the period in which they were produced and the consignment(s) of raw materials from which they were produced.

The Company must ensure that for VIVE products traceability continues on either an identity preserved or Mass Balance basis through any storage locations, ships, vehicles or port(s) to the point at which responsibility for the product is passed to the purchaser.

Although an individual Company facility need not hold all relevant traceability records, it must be able to access such records if required to do so.

In all cases the Company must be able to demonstrate that no product of unknown or uncertain sustainability status has entered into a product stream intended to be assigned as VIVE product at its facilities.

Due to the nature of some crop processing, the production process for a semi manufactured or manufactured state will typically be considered as one Supply Chain Step but storage of a semi manufactured product prior to manufacturing or of a manufactured product should be considered separate Supply Chain Steps.

Indicator Reference	Indicator Description	Possible Responses
FAC 5 7 1	Can the Company produce a verifiable traceability trail for each consignment of crop products, regardless of whether they are included in VIVE or not, showing the period in which they were produced and the consignment(s) of raw materials from which they were produced?	Y, N
FAC 5 7 2	Can the Company demonstrate for VIVE products, traceability on either an identity preserved or Mass Balance basis through any storage location, ships, vehicles or port(s) to the point at which responsibility for the product is passed to the purchaser?	Y, N
FAC 5 7 3	Can individual Company facilities access traceability records for all products passing through the facility, if required to do so?	Y, N

### FAC|5|8| Process Conversion Factors

CRITERIA: The Company must accurately measure extraction and process losses of the VIVE crop and other products during processing and handling.

The Company must ensure that all records for calculating the conversion factors for VIVE crops

processed into product fractions (e.g. sugar, molasses, fibre, etc.) are supported by actual processing data or a standard factor supported by actual processing data.

The Company must ensure that any losses incurred during handling are calculated and taken into account when establishing administrative stocks under the VIVE Mass Balance rules.

The Company must ensure that any facility involved in VIVE either weighs each fraction derived from the process (and keeps records of this) or is able to otherwise demonstrate the percentage of each fraction produced from the process.

Where a calculation is used to establish the yield of each fraction produced, the Company must ensure these figures are validated at least once every crop year.

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 5 8 1	Does the Company ensure that all records for calculating the conversion factors for VIVE crop processed into product fractions (e.g. sugar, molasses, fibre, etc.) are supported by actual processing data or a standard factor supported by actual processing data?	Y, N
FAC 5 8 2	Does the Company ensure that any losses incurred during handling are calculated and taken into account when establishing administrative stocks under the VIVE Mass Balance rules?	Y, N
FAC 5 8 3	Does the Company ensure that any facility involved in VIVE either weighs each fraction derived from the process (and keeps records of this) or is able to otherwise demonstrate the percentage of each fraction produced from the process?	Y, N
FAC 5 8 4	Where a calculation is used to establish the yield of each fraction produced, does the Company ensure these figures are validated at least once every crop year?	Y, N

## **FAC|6| Transportation, Handling and Storage**

**OBJECTIVE:** Whether the Company directly manages a step in its supply chain or relies on the services of third parties, it should ensure that all the relevant Guiding Principles of this VIVE Pillar are understood and implemented at each step of the supply chain for which the Company is responsible.

### **FAC|6|1| Performance of Service Providers**

**CRITERIA:** The Company should develop and document procedures for ensuring that any providers of services to the Company (including transport, storage, handling and packaging) that may have direct influence over the status and integrity of VIVE products are approved and controlled.

The Company should provide its Service Providers of Storage, Transportation and Packaging with written details that address the Criteria of VIVE relevant to the services they supply.

Prior to placing VIVE business with them, the Company should evaluate all its Service Providers for their ability to meet the Criteria of VIVE relevant to the services they provide.

The Company should record the performance of its Service Providers against the relevant Criteria of VIVE.

The Company should review the performance of each of its Service Providers against the relevant Criteria of VIVE at least annually. The Company's scores in the VIVE On-line System should then be adjusted where necessary.

The Company should maintain a record of those Service Providers it has approved to participate in the parts of the supply chain for which it is responsible and ensure only these providers are used for handling VIVE products.

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 6 1 1	Does the Company provide its Service Providers with written details that address the Criteria of VIVE relevant to the services they supply?	Y, N
FAC 6 1 2	Prior to placing VIVE business with them, does the Company evaluate all its Service Providers for their ability to meet the Criteria of VIVE relevant to the services they provide?	Y, N
FAC 6 1 3	Does the Company record the performance of its Service Providers against the relevant Criteria of VIVE?	Y, N

### **FAC|6|2| Storage Facilities**

**CRITERIA:** The Company should ensure that all Storage Facilities used for VIVE products are designed and operated so that the specification of VIVE products is maintained.

The Company should ensure that all intake and loading facilities at stores are designed, constructed and operated in a manner that maintains the specification of any VIVE products.

The Company should ensure that neither intake nor loading at stores is carried out in conditions such that inclement weather or risks of contamination will adversely affect VIVE products.

The Company should ensure that all VIVE products are stored in such a way that they can be identified easily and that confusion with other products is prevented.

The Company should confirm that storage facilities do not allow contamination or the deterioration in quality of VIVE products.

The Company should confirm that stock control measures at stores are documented and adequate to ensure that VIVE products do not deteriorate during storage. Wherever specifications are suitable, VIVE products should be despatched on a first in, first out basis.

Indicator Reference	Indicator Description	Possible Responses
FAC 6 2 1	Does the Company ensure that all intake and loading facilities at stores are designed, constructed and operated in a manner that maintains the integrity of any VIVE products?	Y, N
FAC 6 2 2	Does the Company ensure that neither intake nor loading at stores is carried out in conditions such that inclement weather or risks of contamination will adversely affect VIVE products?	Y, N
FAC 6 2 3	Does the Company confirm that storage facilities do not allow mud, water, pests and other potential contaminants to adversely affect stored VIVE products?	Y, N
FAC 6 2 4	Does the Company confirm that stock control measures at stores are documented and adequate to ensure that VIVE products do not deteriorate during storage and that, wherever specifications are suitable, VIVE products are despatched on a first in, first out basis?	Y, N

### FAC|6|3| General Requirements for Transport

CRITERIA: The Company should ensure that all means of transport (whether by ship, barge, road vehicle, rail, container or other transport system), whether owned or contracted by the Company, are appropriate and adequately controlled to protect the integrity of VIVE products.

The Company should use risk assessment methodology to consider any potential risks to the integrity of VIVE products from all the forms of transport it uses.

When the Company contracts transport to a third party it should ensure that the Criteria of VIVE continue to be implemented. The subcontracting of transport should not be permitted except where the subcontractor also applies the VIVE Criteria.

The Company should ensure that any cargoes being carried concurrently with VIVE products do not adversely affect the integrity of the VIVE products.

The Company should ensure that to facilitate traceability the individual load compartments used are recorded. For road/rail vehicles this may be the trailer/car number or, where load compartments are split into sections, the individual section should be recorded. For water transport, where load compartments are split into holds, the individual hold numbers should be recorded. Where containers are used, this is the unique container number.

Indicator Reference	Indicator Description	Possible Responses
FAC 6 3 1	Does the Company use risk assessment methodology to consider any potential risks to the integrity of VIVE products from all the forms of transport it uses?	Y, N
FAC 6 3 2	Does the Company prohibit the subcontracting of transport except where the subcontractor also applies the VIVE Criteria?	Y, N
FAC 6 3 3	Does the Company ensure that any cargoes being carried concurrently with VIVE products do not adversely affect the integrity of the VIVE products?	Y, N
FAC 6 3 4	Does the Company ensure that to facilitate traceability the individual load compartments of any transport used are recorded?	Y, N

#### **FAC|6|4| Owned and Contracted Land Transport**

CRITERIA: The Company should ensure that all means of land transport are adequately controlled to protect the integrity of VIVE products.

The Company should use risk assessment methodology to consider the different risks to the integrity of VIVE products associated with the carriage of raw and refined, packaged and bulk goods and the different types of land transport (e.g. flatbed vehicles, bulk vehicles, tankers, containers, railcars, etc.).

The Company should preclude the use of land transport whose construction or previous use may adversely affect the integrity of VIVE products.

The Company should ensure that any terms for hiring transport clearly specify the controls required to maintain the integrity of bulk or packaged VIVE products and include a similar obligation for any subcontractors used.

The Company should ensure that for all means of land transport (whether contracted by the participant or a third party) physical checks are undertaken by an authorised person to confirm cleanliness and suitability prior to loading. Checks on load compartments should confirm that load compartments are free of contaminants and that any covers are clean and in good condition.

Records of inspections should be maintained.

The Company should ensure that during transit all VIVE products are either carried inside the body of the land transport or protected by a suitable, clean cover such that the integrity of the VIVE products is maintained.

<b>Indicator Reference</b>	<b>Indicator Description</b>	<b>Possible Responses</b>
FAC 6 4 1	Does the Company use risk assessment methodology to consider the different risks to the integrity of VIVE products associated with the carriage of raw and refined, packaged and bulk goods and the different types of land transport?	Y, N
FAC 6 4 2	Does the Company preclude the use of land transport whose construction or previous use may adversely affect the integrity of VIVE products?	Y, N
FAC 6 4 3	Does the Company ensure that any terms for hiring transport clearly specify the controls required to maintain the integrity of bulk or packaged VIVE products and include a similar obligation for any subcontractors used?	Y, N
FAC 6 4 4	Does the Company ensure that checks on load compartments confirm they are free of contaminants and that any covers are suitable, clean and in good condition?	Y, N
FAC 6 4 5	Does the Company ensure that during transit all VIVE products are either carried inside the body of the land transport or protected by a suitable cover such that the integrity of the VIVE products is maintained?	Y, N

#### **FAC|6|5| Water-borne Transport**

CRITERIA: The Company should ensure that all means of water-borne transport are adequately controlled to protect the integrity of VIVE products.

The Company should use risk assessment methodology to consider the different risks to the integrity of VIVE products associated with the carriage of packaged and bulk goods and the different types of

water-borne transport (e.g. containers, bulk holds, barges, coastal vessels, deep water vessels, etc.). The Company should preclude the use of water-borne transport whose construction or previous use may adversely affect the integrity of VIVE products.

Where the Company is responsible for loading VIVE products into vessels and/or discharging VIVE products from vessels, it should designate an inspector (typically a Cargo Superintendent) to ensure that the integrity of any VIVE products is maintained. Such controls should apply whether the Company or a third party contracted the vessel involved.

The Company should ensure that any designated inspector charged with supervising loading or discharging of vessels is either:

- i) A member of a recognised inspection firm, performing under internationally recognised standards, or
- ii) An inspector, assigned by the participant, who is recognised as a qualified loading/discharge inspector

The Company should ensure that the designated inspector’s duties during loading of vessels include:

- i) Confirmation that, before loading commences, the cargo-hold is suitable, clean, dry, free of any odours and in every way ready for loading VIVE products. The Loading Compartment Inspection (LCI) should be recorded and, where the Company has chartered the vessel, the LCI Report should form part of the shipping documents provided with the cargo
- ii) Checking that the vessel’s records confirm the previous three cargoes carried in each hold used (and any cleaning subsequently undertaken) and their compatibility with VIVE products as the subsequent cargo.

This should also be recorded in the inspector’s LCI Report

- iii) Checking that no hold is already partially loaded and being ‘topped up’, unless this is intended, planned, approved and any VIVE Mass Balance rules are met
- iv) Confirmation that any handling equipment (grabs, conveyors, hoppers, dock transport, etc.) is clean and suitable prior to loading. This should be recorded in the inspector’s LCI Report.

The Company should ensure that the designated inspector’s duties during the discharge of vessels include:

- i) Confirmation that the integrity of VIVE products has not been adversely affected during transit
- ii) Recorded inspections of handling equipment (grabs, conveyors, hoppers, dock transport, etc.) to confirm their cleanliness and suitability, prior to discharge

Where the Company does not use water-borne transport, indicators in the Criteria should be considered as Not Applicable (N/A)

\* Provide a positive score response to relevant indicators and comment indicators are Not Applicable and justification for Non-Applicable status

Indicator Reference	Indicator Description	Possible Responses
FAC 6 5 1	Does the Company use risk assessment methodology to consider the different risks to the integrity of VIVE products associated with the carriage of packaged and bulk goods and the different types of water-borne transport?	Y, N
FAC 6 5 2	Does the Company preclude the use of water-borne transport whose construction or previous use may adversely affect the integrity of VIVE products?	Y, N



FAC 6 5 3	Where the Company is responsible for loading VIVE products into vessels and/or discharging VIVE products from vessels, does it designate an inspector to ensure that the integrity of any VIVE products is maintained?	Y, N
FAC 6 5 4	Does the Company ensure that designated inspectors charged with supervising loading or discharging of vessels are qualified in accordance with the VIVE criteria?	Y, N
FAC 6 5 5	Does the Company ensure that the designated inspector's duties during loading of vessels include those specified in VIVE?	Y, N

### FAC|6|6| Retail and Industrial Packaging

CRITERIA: The Company should confirm that all types of Retail and Industrial Packaging ensure that the integrity of the VIVE products they contain is maintained.

The Company should ensure that all Retail and Industrial Packaging materials used to contain VIVE products are of a specification and type that ensure the continued integrity of the VIVE products under all reasonable handling conditions.

The Company should ensure that, wherever possible and practical, Retail and Industrial Packaging materials used to contain VIVE products are produced from sustainable materials and can be recycled and/or are biodegradable.

The Company should ensure that any paper or cardboard associated with VIVE products is produced from sustainable sources.

The Company should ensure that any pallets supplied with VIVE products are made from sustainable materials.

The Company should ensure that any shrink-wrap or other wrapping used with VIVE products is produced from sustainable materials and can be recycled and/or is biodegradable.

Where the Company does not package VIVE products, indicators in the Criteria should be considered as Not Applicable (N/A)

\* Provide a positive score response to relevant indicators and comment indicators are Not Applicable and justification for Non-Applicable status

Indicator Reference	Indicator Description	Possible Responses
FAC 6 6 1	Does the Company ensure that all Retail Packaging materials used to contain VIVE products are of a specification and type that ensure the continued integrity of the VIVE products under all reasonable handling conditions?	Y, N
FAC 6 6 2	Does the Company ensure that all Industrial Packaging materials used to contain VIVE products are of a specification and type that ensures the continued integrity of the VIVE products under all reasonable handling conditions?	Y, N
FAC 6 6 3	Does the Company ensure that, wherever possible and practical, Retail Packaging materials used to contain VIVE products are produced from sustainable materials and can be recycled and/or are biodegradable?	Y, N

FAC 6 6 4	Does the Company ensure that, wherever possible and practical, Industrial Packaging materials used to contain VIVE products are produced from sustainable materials and can be recycled and/or are biodegradable?	Y, N
FAC 6 6 5	Does the Company ensure that any paper or cardboard associated with VIVE products is produced from sustainable sources?	Y, N
FAC 6 6 6	Does the Company ensure that any pallets supplied with VIVE products are made from sustainable materials?	Y, N
FAC 6 6 7	Does the Company ensure that any shrink-wrap or other wrapping used with VIVE products is produced from sustainable materials and can be recycled and/or is biodegradable?	Y, N

### FAC|6|7| Shipping Containers

CRITERIA: The Company should confirm that the Shipping Containers used to hold VIVE products ensure that the integrity of VIVE products is maintained.

The Company should ensure that all Shipping Containers used to hold VIVE products are of a specification and type that ensure the continued integrity of the VIVE products under all reasonable handling conditions.

The Company should ensure that, where inspection shows this to be necessary, Shipping Containers are lined with suitable, sustainable material prior to filling.

The Company should ensure that, once filling is completed, Shipping Containers holding VIVE product are sealed with a unique seal that will indicate if the Shipping Container has been opened during transit.

The Company should ensure that Shipping Container seal references are forwarded as part of the shipping documentation and that the seals are checked by a suitably qualified and authorised person upon arrival. Any evidence of interference with seals should be reported and investigated.

Where the Company does not use Shipping Containers to transport VIVE products, indicators in the Criteria should be considered as Not Applicable (N/A)

\* Provide a positive score response to relevant indicators and comment indicators are Not Applicable and justification for Non-Applicable status

Indicator Reference	Indicator Description	Possible Responses
FAC 6 7 1	Does the Company ensure that all Shipping Containers used to hold VIVE products are of a specification and type that ensure the continued integrity of the VIVE products under all reasonable handling conditions?	Y, N
FAC 6 7 2	Does the Company ensure that, where inspection shows this to be necessary, Shipping Containers are lined with suitable, sustainable material prior to filling?	Y, N
FAC 6 7 3	Does the Company ensure that, once filling is completed, Shipping Containers holding VIVE product are sealed with a unique seal that will indicate if the Shipping Container has been opened during transit?	Y, N

FAC 6 7 4	Does the Company ensure that Shipping Container seal references are forwarded as part of the shipping documentation, that the seals are checked by a suitably qualified and authorised person upon arrival and that any evidence of interference with seals is reported and investigated?	Y, N
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## FAC|7| Continuous Improvement

OBJECTIVE: Provision of data which supports the scope of VIVE Assessments and VIVE Key Performance Indicators

### FAC|7|1| Scope of Assessment

#### Scope

Reporting year is the year which is subject to assessment. This is normally the year in which the onsite assessment will be conducted.

Reporting period is the start and end month of the reporting period under scope of the assessment

#### Mass Balance

- **Unmanufactured product** is the raw product received from the field. E.g. Sugar Cane, Sugar Beet or Fruit before processed.
- **Semi Manufacture product** is an intermediate process which is required before the product is completely transformed (e.g. Raw Sugar, Fruit Pulp)
- **Manufactured product** would be the output of the final transformative step. ( E.g. Refined Sugar, Fruit Juice, Fruit Concentrates etc.) Further steps such as canning, bagging or repackaging are out of scope.
- **Biproducts** are derivatives from the primary product. This may include bi-products from sugar such as molasses, bagasse. Top soil etc.

#### Energy

Where applicable and under the scope of the assessment, excess energy is energy which has been produced from VIVE products or their derivative which has not been consumed within the reporting year and period.

#### Workers

Within the context of VIVE, casual, irregular or contracted workers are non-salaried workers which are hired on a 0 hours basis or within a fixed period generally defined by completion of task or production period

Indicator Reference	Indicator Description	Possible Responses
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FAC 7 1 1	Reporting Year	Selection (YEAR)
FAC 7 1 2	Reporting Period	Selection (MONTH)
FAC 7 1 3	Total Volume Unmanufactured Product (MT)	Value
FAC 7 1 4	Total Volume Semi-manufactured Product (MT)	Value
FAC 7 1 5	Semi Manufactured Product Conversion Factor	Value
FAC 7 1 6	Total Volume manufactured Product (MT)	Value
FAC 7 1 7	Manufactured Product Conversion Factor	Value
FAC 7 1 8	Total Volume Biproduct 1 (MT)	Value
FAC 7 1 9	Total Volume Biproduct 2 (MT)	Value
FAC 7 1 10	Total Volume Biproduct 3 (MT)	Value
FAC 7 1 11	Total Volume Biproduct 4 (MT)	Value
FAC 7 1 12	Total Volume Biproduct 5 (MT)	Value
FAC 7 1 13	Total Volume Biproduct 6 (MT)	Value
FAC 7 1 14	Excess Energy Produced (MWh)	Value
FAC 7 1 15	Avg. number of casual, irregular, seasonal or contracted workers hired by the Company onsite within reporting period	Value
FAC 7 1 16	Avg. number of casual, irregular, seasonal or contracted workers provided by Agencies onsite within reporting period	Value
FAC 7 1 17	Avg. number of full time or part time employees onsite within the period of assessment	Value

### FAC|7|2| Performance Data

Performance data will be collected against relevant aspects of the VIVE participants implementation of the VIVE programme. This data will be collated and aggregated across all VIVE participants to feed into VIVE Key Performance Indicators.

Indicator Reference	Indicator Description	Possible Responses
FAC 7 2 1	Water Use (m3)	Number Value
FAC 7 2 2	Water Reuse (m3)	Number Value
FAC 7 2 3	Non-Hazardous Waste generation (MT)	Number Value
FAC 7 2 4	Non-Hazardous Waste reused or recycled (MT)	Number Value
FAC 7 2 5	Non-Hazardous Waste landfilled (MT)	Number Value
FAC 7 2 6	Hazardous Waste generation (MT)	Number Value
FAC 7 2 7	Scope 1 (Co2e)	Number Value
FAC 7 2 8	Scope 2 (Co2e)	Number Value
FAC 7 2 9	Scope 3 (Co2e)	Number Value
FAC 7 2 10	Usage of sustainable and non-sustainable energy (MWH)	Number Value
FAC 7 2 11	Production of energy onsite (MWH)	Number Value
FAC 7 2 12	Number of workers who have received health and safety induction training	Number Value
FAC 7 2 13	Number of personnel qualified in First Aid	Number Value
FAC 7 2 14	Number of personnel onsite who have experienced an evacuation drill within reporting period	Number Value