

**1. Bonsucro Code of Conduct Self-Assessment**

- 1.1 As part of your membership application and each year on payment of your annual membership fee, you are required to make a self-assessment of your compliance with Bonsucro’s Code of Conduct and confirm the results of that assessment by completing the following checklist. Please complete one checklist for each entity applying for membership. Where details are the same for multiple entities or the application is for a Member Cohort, they may be included in the same form.

| Member contact details   |   |        |
|--|---|--------|
| Name   |   |        |
| Position   |   |        |
| Organisation   |   |        |
| Address  |   |        |
| Contact email address  |   |        |
| Contact phone number   |   |        |
| Scope  |   |        |
| Please specify the entity or entities that are applying for Bonsucro Membership. If you are including details for more than one entity, as part of a Member Cohort, you may include the relevant details in an annex to this form. | Organisation:<br>Registered address:<br>Company number: |        |
| Membership category – please complete for each entity applying for membership  | Farmer  | Yes/No |
|  | Farmer Associations and Cooperatives                    | Yes/No |

|   |   |        |
|---|---|--------|
|   | Mill  | Yes/No |
|   | Intermediaries  | Yes/No |
|   | End Users   | Yes/No |
|   | Civil Society   | Yes/No |
| <b>Legal compliance</b>   |   |        |
| <p>In relation to the areas specified, has there been in the past 6 years (or is there ongoing now):</p> <ol style="list-style-type: none"> <li>findings or allegations of non-compliance with applicable laws;</li> <li>adverse findings by a court or other judicial body; or</li> <li>complaints to a non-judicial grievance process, including state based mechanisms, international accountability mechanisms and private grievance mechanisms.</li> </ol> | Environmental compliance  | Yes/No |
|   | Health & Safety   | Yes/No |
|   | Labour rights   | Yes/No |
|   | Discrimination  | Yes/No |
|   | Planning & licensing, including land tenure and community/indigenous engagement | Yes/No |
|   | Marketing and Labelling   | Yes/No |
|   | Privacy and data protection   | Yes/No |
| Have you undertaken an assessment of the gap between domestic law and relevant international human rights standards in  | Yes / No (please explain why)   |        |

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| relation to your sugarcane production, processing and sourcing activities?   |   |  |  |
| How are any gaps being addressed?  | Describe the steps taken  |  |  |
| <b>Continuous improvement</b>  |   |  |  |
| How will you demonstrate continuous improvement of the environmental and social impacts of sugarcane production, processes and sourcing. | Farmers   | Making a time-limited commitment to achieve and maintain certification, over an increasing percentage of a Member's production area                    | Yes/No<br><br>Please specify what the commitment is / % production area that is certified  |
|  |   | Other (please describe)  |  |
|  | Farmer Associations and Cooperatives and Mills and Mill Association | Promoting sustainable sugarcane and supply chain policies and processes as set out in the Code   | Yes/No   |
|  |   | Making a time-limited commitment to producing and/or sourcing an increasing percentage of Bonsucro certified sugarcane and sugarcane-derived materials | Yes/No<br><br>Please specify what the commitment is / % of production and/or sourcing of sugarcane and sugarcane-derived materials is Bonsucro certified |
|  |   | Investing in improvement projects to demonstrate tangible economic social and environmental benefits   | Yes/No   |
|  |   | Other (please describe)  |  |

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|  | Intermediaries and End Users  | Promoting sustainable sugarcane and supply chain policies and processes as set out in the Code  | Yes/No  |
|  |   | Making a time-limited commitment to source an increasing percentage of Bonsucro certified sugarcane-derived material using Mass Balance certification or Bonsucro Credits | Yes/No<br><br>Please specify what the commitment is / % Bonsucro certified sugarcane and/or sugarcane-derived materials that is sourced |
|  |   | Investing in improvement projects to demonstrate tangible economic social and environmental benefits  |   |
|  |   | Other (please describe)   |   |
| <b>Respect for human rights</b>  |   |   |   |
| <p>In relation to your sugarcane production, processing and sourcing activities, do you have a policy commitment in relation to the following areas.</p> <p>(please insert a link to the relevant policy or indicate if policies are not publicly available)</p> | Environmental protection and sustainable use of natural resources, including in relation to GHG emissions and water quality | Yes/No  | [Link] / If no, please explain why  |
|  | Health & Safety   | Yes/No  | [Link] / If no, please explain why  |
|  | Labour rights   | Yes/No  | [Link] / If no, please explain why  |

|   |  |                       |  |
|---|--|-----------------------|--|
|   | Gender equality and discrimination   | Yes/No                | [Link] / If no, please explain why                                 |
|   | Human Rights   | Yes/No                | [Link] / If no, please explain why                                 |
|   | Governance   | Yes/No                | [Link] / If no, please explain why                                 |
|   | Food security and nutrition  | Yes/No                | [Link] / If no, please explain why                                 |
|   | Tenure rights and access to natural resources  | Yes/No                | [Link] / If no, please explain why                                 |
|   | Technology and innovation  | Yes/No                | [Link] / If no, please explain why                                 |
| Have you made commitments to international/sector-specific standards, for example, the UN Guiding Principles on Business and Human Rights, UN Global Compact, OECD Guidelines to Multinational Enterprises? | Specify each standard and where the commitment has been made, including links, where applicable. Commitments are often made in policies and/or public statements such as Annual Reports or sustainability reports. |                       |  |
| What steps are taken to identify, assess and prioritise risks in relation to sugarcane production, processing and sourcing?   | Supply chain mapping   | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Desk-based research  | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Materiality assessment   | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |

|   |  |                       |  |
|---|--|-----------------------|--|
|   | Third-party audit                                      | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Other on-site investigation                            | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Certification mechanisms                               | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Supplier/business partner pre-qualification assessment | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Impact assessment                                      | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | [Other]  | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
| How do you prioritise risks that have been identified?  | Insert description                                     |                       |  |
| Do you have a strategy in place to respond to identified risks identified in sugarcane production, processing and sourcing? | Risk management/mitigation plans                       | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Internal reporting                                     | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Disengagement policies                                 | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|   | Contractual mechanisms                                 | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |

|  |                                 |                       |  |
|--|---------------------------------|-----------------------|--|
|  | Capacity building               | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | Monitoring and KPIs             | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | Audit                           | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | Certification                   | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | [Other]                         | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
| Do you verify the processes described above in relation to in sugarcane production, processing and sourcing? | Internal audit                  | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | Third-party audit               | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | Other investigation on-site     | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | Third-party review              | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | Certification mechanisms        | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |
|  | Consultation with third parties | Yes/No/Not applicable | Please list and describe any process or explain why not applicable |

|   |   |                                  |  |
|---|---|----------------------------------|--|
|   | [Other]                                     | Yes/No/Not applicable            | Please list and describe any process or explain why not applicable |
| Do you report publicly on the processes referenced above? | Management processes                        | Yes [link] / No / Not applicable |  |
|   | Risk assessment findings                    | Yes [link] / No / Not applicable |  |
|   | Risk management measures / mitigation plans | [link] / No / Not applicable     |  |
|   | Verification processes                      | [link] / No / Not applicable     |  |
|   | Other                                       | Please describe                  |  |

Signature:

I confirm that all of the details included in this form are correct and I have the authority to sign on behalf of the organisation(s) included in this form.

.....

Name

.....

Signature

.....

Date

DRAFT