

**Public Compliance Criteria ASMO - 2.4**

Date of Approval: 28/01/2020

Compliance Criteria are established by FLOCERT to translate requirements of the Fairtrade Standards and FLOCERT certification requirements into verifiable control points that are evaluated during the certification process to determine compliance with the Fairtrade Standards.

Non-conformity with a Compliance Criterion is considered a non-conformity with the respective standards requirement. Each Compliance Criterion is linked to a specific timeline indicating when it needs to be fulfilled.

A Compliance Criterion classified as **major** is linked to a major Fairtrade Principle. Non-conformity with a major compliance Criterion may lead to suspension.

The distinction between **Core** requirements and **Development** requirements is made in the Fairtrade Standard for Artisanal and Small-scale Mining Organizations (ASMO). Core requirements need to be complied with at any time. Development requirements refer to the continuous improvement that certified organizations must demonstrate. Compliance with development criteria is verified against an average score.

The text of a number of Compliance Criteria starts with a date. This date indicates the transition period. Only from that date onwards becomes the Compliance Criterion applicable to any ASMO.

The FLOCERT Public Compliance Criteria List - ASMO - is based on the Fairtrade Standard for Artisanal and Small-scale Mining Organizations (dated 08.11.2013).

This version of the Compliance Criteria supersedes all previous versions. The Compliance Criteria are published in several languages. In the case of an interpretation dispute in any of the published languages, the English version of the Compliance Criteria prevails.

Reference	CC No.	FLO-CERT Compliance Criteria	Rank 1	Rank 2	Rank 3	Rank 4	Rank 5	Time	Criteria Type
<b>1 General Requirements</b>									
<b>1.1 Certification</b>									
1.1.1	1.1.0.01	You have an accreditation for the "artisanal and small-scale" nature of your organization in form of a recommendation letter from a government agency and/or a local or international NGO.	No		Yes			0	C
1.1.2	1.1.0.02	You provide documentary evidence that your vision and constitution are in line with Fairtrade objectives.	No vision statement or constitution not in line with Fairtrade objectives		The vision statement and/or constitution are in line with Fairtrade objectives.	RANK 3 AND specific mention of Fairtrade is included	RANK 4 AND the organization shows evidence of the implementation of the vision.	0	C
1.1.3.	1.1.0.03	You accept announced and unannounced audits at your premises including subcontracted premises and provide all requested information needed to demonstrate compliance with the Fairtrade standards.	No, the organization denied access to sites or documents OR to confidential interviews with miners or workers OR otherwise undermined audit.	No, certain key persons were not reachable for unjustified reasons OR the organization was not active on bridging the information gaps.	Yes BUT information was poorly prepared but the organization was active on bridging the gaps OR certain key persons were not reachable due to understandable reasons.	Yes	Yes AND the information for the audit was carefully prepared.	0	M
1.1.4	1.1.0.04	You have designated in writing one official contact person for certification and Fairtrade commercial matters that keeps FLOCERT updated with contact details and important information.	The organization does not have a contact person.	A contact person has been assigned BUT important changes are not communicated to FLOCERT OR the contact person is unaware of changes/functions.	A contact person has been assigned AND informs FLOCERT proactively in case of important changes			0	C
1.1.5	1.1.0.06	You allow Fairtrade International staff and consultants working on behalf of Fairtrade to support the members of your organization.	The organization hinders support of Fairtrade International staff and consultants to its members.	The organization is not responsive to the support of Fairtrade International to its members.	The organization allows the support from Fairtrade International staff and consultants to its members.	The organization allows and facilitates the support of Fairtrade International to its members.		0	C
FLO-CERT requirement	1.1.0.07	The average score for development criteria is equal or above 3.	No		Yes			3	C
FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
FLO-CERT requirement	1.1.0.09	The conditions of granted exceptions are met.	No		Yes			1	C
FLO-CERT requirement	1.1.0.10	(Only applicable if you receive a complaint related to compliance with requirements of the applicable Fairtrade Standards or a Fairtrade product) You handle and document all complaints and follow-up actions relating to compliance with requirements of the applicable Fairtrade Standards. These records are made available to the auditor.	Complaints were received, which have not been followed up and/or not documented.	There is a written procedure for complaint management, but the complaint has not been followed up and documented.	There is a proper documentation of the actions taken on the complaints and its follow up and documents.		There is a written procedure for complaint management and complaints are handled in line with the procedure AND complaints and follow up are documented.	1	C
FLO-CERT requirement	1.1.0.11	You only sell products as Fairtrade if you have a valid certificate or Permission to Trade.	No		Yes			1	M
FLO-CERT requirement	1.1.0.12	(Applicable if the customer has been suspended since the last audit) Upon suspension of Fairtrade certification, the customer has discontinued its use of all advertising matter that contains any reference to its certified status.	The customer is continuing with usage of advertising matter which contains clear reference to its certified status.	The customer has done little to discontinue the use of advertising matter containing references to its certified status, the advertising matter used during suspension refers to the certified status of the customer.	The customer has discontinued its use of all advertising matter that contains any reference to its certified status during suspension.			1	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
FLO-CERT requirement	1.1.0.13	(Applicable as of Q4 2018) You fulfill the following responsibilities in the assurance tool Fairtrace:  1) You verify your Fairtrade sales transactions reported by your customers (deadline: 30 calendar days after transaction has been reported).  2) You ensure that all transactions are correct.	Verification is not done.	Not all transactions are verified OR transactions are incorrectly verified.	All transactions are correctly verified OR no Fairtrade sales during the audited period.			0	C
<b>1.2 Membership and boundaries</b>									
1.2.1	1.2.0.01	More than 50% of the members of your organization are community-based artisanal or small-scale miners. Mining is done by themselves and their families.	Only 40% of miners or less are community-base artisanal or small scale miners OR the available information makes impossible to determine this.	Less than 50% but at least 41% of miners are community-base artisanal or small scale miners.	It is possible to determine through observation and local knowledge that 50% of members are community-base artisanal or small scale miners.	Accurate member lists show that more than 50% are members are community-base artisanal or small scale miners.	RANK 4 AND the organization is aware of this rule and checks continuous compliance when accepting new members.	0	M
1.2.1	1.2.0.02	The owners/members/holders of the ASMO • participate in mining activities or are dedicated to economic activities of the ASMO; • are part of the mining community; • are not shareholders of industrial mining capital.	None of the listed points apply to owners/members/holders of the ASMO	Not all of the listed points apply to owners/members/holders of the ASMO	All of the listed points apply to owners/members/holders of the ASMO		RANK 3 AND the organization is aware of this rule and checks continuous compliance when accepting new members/holders or in case of changes in ownership .	0	C
1.2.2	1.2.0.03	You have clearly defined the geographical boundaries of your organization.	No		Yes			0	C
<b>1.3 ASMO Responsibilities</b>									
1.3.1	1.3.0.01	You demonstrate that taxes, fees, royalties or other tributes are paid to the relevant authority as required by applicable legislation.	No		Yes			0	C
1.3.2	1.3.0.02	You have an anti-corruption policy in place which strictly forbids bribery, money laundering, illegal taxation and extortion and includes remediation measures in case corruption arises.	There is no anti-corruption policy in place.	An anti-corruption policy is in place BUT it does not cover all required aspects.	There is an anti-corruption policy in place that covers all required aspects.		RANK 4 and measures are taken to ensure that the policy is implemented.	0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
1.3.3	1.3.0.03	(For already certified customers applicable as of October 15, 2015) You have a transparent legitimate, accessible, equitable and effective grievance procedure in place for issues related to conflict, human rights and the environment. The procedure includes a due diligence process.	There is no grievance procedure in place.	A grievance procedure is in place but it is not followed in practice OR does not address all required aspects.	There is a grievance procedure in place that covers all required aspects.	RANK 3 AND it is followed by the organization.	RANK 4 AND members are aware of it.	0	C
1.3.3	1.3.0.04	You ensure that grievances, concerns and corrective measures are documented and that continuous learning from harms occurred takes place in order for the grievance not to be repeated.	No documentation is kept by the organization.	Documentation is incomplete AND/OR no process to avoid repetition.	Complete documentation of grievances, concerns and corrective measures AND there is a procedure to avoid repetition.		RANK 3 and there is proof the procedure to avoid repetition is applied.	0	C
1.3.4	1.3.0.05	(Applicable in case the grievance could not be resolved) You have involved a competent environment or human rights body recognized by the national federation of the affected miners to investigate the concerns.	No		Yes			0	C
1.3.4	1.3.0.06	(Applicable in case the grievance could not be resolved) The terms of reference for the investigation for the third party have been approved by the certification body.	TORs were not provided to the certification body	TOR were provided but not approved	TOR were approved by the certification body			0	C
1.3.4	1.3.0.07	You have taken measures in accordance with the decision taken by the competent environment or human rights body.	No		Yes			0	C
1.3.4	1.3.0.08	(Not applicable in case of repetitive grievances previously resolved in favor of your organization) Your organization covers the costs of investigation of the grievance.	Costs of investigation are not covered.	Costs of investigation are not covered only partly.	Complete costs of investigation is covered.		Funds are put aside as provision for risk and to cover any potential expenses related to grievance.	0	C
1.3.5	1.3.0.09	You prove that you play an active role in planning and promoting local sustainable development by actively engaging with entities and people of the surrounding mining community (including areas that are NOT part of the System of Production).	Organization has not taken any action.	Actions taken by the organization do not take into consideration people that are not part of the System of Production.	The organization takes actions and engages with actors of the surrounding mining community.		RANK 3 AND takes steps to implement the activities that support identified needs for local sustainable development	3	D
1.3.6	1.3.0.10	You have taken all reasonable efforts to integrate vulnerable groups (women mineral selectors, young people, migrants, people with disabilities, etc.) into your System of Production.	No efforts are taken.	The organization has taken insufficient or unsatisfactory measures.	The organization has taken measures to ensure integration of vulnerable groups.	RANK 3 AND the auditor could observe that vulnerable groups are integrated.	RANK 4 AND The organization has a program to support and promote women mineral selectors.	3	D
1.3.7	1.3.0.11	(For already certified customers applicable as of October 15, 2015) You do not provide direct or indirect support to armed groups or their affiliates.	There are indications of direct or indirect support to armed groups or their affiliates AND no actions are taken to change the situation.	There are indications of direct or indirect support to armed groups or their affiliates BUT first steps are taken to change the situation.	There are no indications of direct or indirect support to armed groups or their affiliates.	RANK 3 AND actions are taken to avoid such activities.	RANK 4 AND members are aware of actions taken	0	M
1.3.7	1.3.0.12	(For already certified customers applicable as of October 15, 2015) You do not directly or indirectly cause, tolerate or benefit from any acts of armed violence or of serious human right abuses such as human trafficking and slavery.	There are indications of this happening AND no actions are taken to change the situation.	There are indications of this happening BUT no actions are taken to change the situation.	There are indications of this happening.	RANK 3 AND actions are taken to avoid such activities.	RANK 4 AND members are aware of actions taken	0	M

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
1.3.8	1.3.0.13	(For already certified customers applicable as of October 15, 2015) You have a conflict mineral and human rights policy in place that includes a) information on the risk mitigation and due diligence measures to be conducted to ensure its application b) reference to the grievance mechanism defined in Standard requirement 1.3.3 (see CC 1.3.0.03-04) c) a mechanism for miners and workers of the ASMO to report on violations or abuses d) as a minimum the following principles (applying to the ASMO's own operations and those of third parties with which you do business): • No abuses, torture, cruel or inhumane treatment • No forced or compulsory labor, • No worst forms of child labor • No human rights abuses and violations such as sexual violence • No war crimes, crimes against humanity, genocide, or other serious violations of international humanitarian law • No direct or indirect or indirect support of armed groups • No direct or indirect support of private or public security forces illegally controlling the mines sites • No bribery, or money laundering • No fraudulent misrepresentation of origin of minerals	There is no conflict mineral and human rights policy in place.	There is a conflict mineral and human rights policy in place BUT it does not cover all required aspects.	There is a conflict mineral and human rights policy in place that covers all required aspects.	RANK 3 AND measures are taken to implement the policy.	RANK 4 AND there is a system in place to monitor implementation of the policy also on member and third party level.	0	C
1.3.9	1.3.0.14	(For already certified customers applicable as of October 15, 2015) You have identified and assessed - whether your ASMO is operating in a conflict-affected or high risk area or areas where human rights violations occur - whether there are risks regarding the violations of the principles in your conflict minerals and human rights policy.	No assessment has been carried out.	The assessment only covers one of the requested points.	A complete assessment has been carried out.	RANK 3 AND sources used for the assessment are documented.	RANK 4 AND there is a procedure defined in case risks are identified.	0	C
1.3.10	1.3.0.15	(For already certified customers applicable as of October 15, 2015) (Applicable in case risks were identified in the assessment) You have put in place a risk management system including: • Assignment of a senior staff member responsible for managing the due diligence on direct or indirect support of armed groups and of human rights abuses • Conducting regular risk assessments on the above topics • Conducting unannounced spot-checks of all areas and facilities in the System of Production (as part of the Internal Control System)(ICS) • Conducting regular awareness-raising sessions with staff on how to report on eventual conflict- related issues or human rights abuses	No actions are taken.	Risk management system is in place BUT does not cover all required aspects OR only first steps to set up a system were taken.	A risk management system that covers all required aspects is in place.	RANK 3 AND actions taken are well documented.	RANK 4 AND there is a system to follow up on results of the spot-checks	0	C
1.3.11	1.3.0.16	(For already certified customers applicable as of October 15, 2015) (Applicable in case risks were identified in the assessment) You have reported to interested stakeholders and commercial partners on the due diligence and risk management measures you have taken. The information responds to the data needs of downstream users in order to allow third parties to evaluate the due diligence and risk measures taken, according to the OECD Due Diligence Guidance.	Although there were requests from partners no report was provided		Reports are provided to interested partners on request		Reports that respect necessary confidentiality are provided to trade partners proactively	0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
1.3.12	1.3.0.17	(For already certified customers applicable as of October 15, 2015) (Applicable in case risks were identified in the assessment) You have set up preventive measures proportionate to the risk that was manifested or an appropriate remediation project.	No actions are taken.	Preventive measures and remediation projects were only drafted OR are not appropriate for the identified risk.	Appropriate preventive measures and remediation projects were set up.		RANK 3 AND the measures and projects are already carried out / have started.	3	D
<b>1.4 Relationship to the local communities</b>									
1.4.1	1.4.0.01	(For already certified customers applicable as of October 15, 2015) You have identified local communities and indigenous groups that are affected by the activities of the ASMO.	No		Yes			0	C
1.4.2	1.4.0.02	(For already certified customers applicable as of October 15, 2015) (Applicable in case local communities are identified to be affected.) You engaged with the affected groups in order to identify, recognize and protect their customary and legal rights of land tenure, access to land resources and territories.	No engagement has taken place.	The ASMO has only engaged with some of the identified groups	The ASMO has engaged with the identified groups.		RANK 3 AND measures have been taken to protect these groups' rights.	0	C
1.4.2	1.4.0.03	(For already certified customers applicable as of October 15, 2015) (Applicable in case indigenous groups are identified to be affected.) You are in full alignment with ILO Convention C169 (Indigenous and Tribal Peoples Convention), Part II and the "Voluntary Guidelines on the Responsible Governance of Tenure" as defined by the Committee of World Food Security - Food and Agricultural Organization (CFS-FAO) in May 2012	The ASMO is not aware of the ILO convention.	The ASMO is aware of the ILO convention but has not taken any action act accordingly nor assessed its actions in light of the convention.	Steps are taken act according to the convention.	RANK 3 AND there is a plan how to implement the convention.	RANK 4 AND the implementation is monitored.	0	C
1.4.3	1.4.0.04	(Applicable in case local communities are identified to be affected.) You have set up a binding agreement through Free, Prior and Informed consent. The agreement defines duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions. The agreement makes provisions for monitoring by indigenous peoples or local communities of ASMO's compliance with its terms and conditions.	There is no such agreement.	There is an agreement BUT it does not cover all required aspects OR it was not reached through free, prior and informed consent.	There is an agreement that covers all required aspects and was reached through free, prior and informed consent.		Rank 3 AND provisions for monitoring by indigenous peoples/local communities are effective and used.	0	C
1.4.4	1.4.0.05	(For already certified customers applicable as of October 15, 2015) (For already certified customers applicable as of October 15, 2015) Through engagement with local communities, you identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these communities hold legal or customary rights. You and your management recognize and/or protect these sites through engagement with these local communities.	No identification has taken place.	Sites of special significance have been identified BUT without engagement of local communities OR they are not recognizes nor protected	Sites of special significance have been identified with engagement of local communities and are recognized and/or protected		RANK 3 AND measures have been taken to ensure recognition and protection also at member level.	0	C
1.4.5	1.4.0.06	(For already certified customers applicable as of October 15, 2015) (Applicable in case traditional knowledge and their intellectual property of local communities is utilized) There is a binding agreement between the ASMO and the local community for utilization of traditional knowledge and intellectual property that was reached through free, prior and informed consent. The agreement also regulates compensation for the use of traditional knowledge and intellectual property.	No agreement has been concluded.	There is an agreement BUT it does not cover all required aspects OR it was not reached through free, prior and informed consent.	There is an agreement that covers all required aspects and was reached through free, prior and informed consent.		RANK 3 AND there is proof that compensation takes place.	6	D
<b>2 Trade</b>									
<b>2.1 Traceability</b>									
<b>2.1.1 Physical Traceability</b>									

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
2.1.1	2.1.1.01	Your organization only sells minerals as Fairtrade which were produced by the ASMO and its members.	The product is not differentiated and more than 10 % of sales are mixed up (product from registered miners and non registered miners) OR product from non registered miners knowingly sold as Fairtrade.	2% -10% of sales are mixed up (product from registered miners and non registered miners).	No mix up of product except possible mistakes up to 2% sales OR the structure of the organization makes mixture of products very unlikely (negligible risk).	No mix up of product and no mistakes OR organization does not source from non registered miners.	No mix up of product and no mistakes AND compliant with traceability system by not sourcing from non registered miners and having measures in place to avoid non registered miners business.	0	M
2.1.1	2.1.1.02	You keep metal, metal ore, minerals and tailings from non-registered miners or areas separate from Fairtrade metal and do not sell it these as Fairtrade metal.	No system to separate and mixing up indeed happens.	Mixture of products from non registered miners (at organization or miner level) is very likely to happen and the organization took deficient actions.	There is a system in place to separate product even if there are small mistakes.	There is a system in place to separate product with no mistakes.	There is a physical traceability system in place to trace back product to each individual miner with no mistakes.	0	C
2.1.1, 2.1.2	2.1.1.03	You ensure physical traceability for all products produced by the ASMO's System of Production during transport, processing, trade and storage through an on-product reference to Fairtrade.	On-product marks do not mention any term that can be identified as Fairtrade.	On-product marks are frequently lost.	On-product mark with the term "Fairtrade" or similar.	Non-detachable on-product mark have the term "Fairtrade" or similar.	RANK 4 AND the name and ID of seller and buyer.	0	M
2.1.4	2.1.1.04	(Applicable if the ASMO or its miners lease or hire third party owned equipment for mineral processing) You ensure complete physical traceability of the gold.	No system to separate and mixing up indeed happens.	Mixture during processing is very likely to happen and the organization took deficient actions.	There is a system in place to separate product even if there are small mistakes.	There is a system in place to separate product with no mistakes.	There is a physical traceability system in place to trace back product to each individual miner with no mistakes.	0	C
2.1.5	2.1.1.05	(Applicable if the ASMO or its miners contract third party operators to process their mineral or to perform further enrichment of intermediary products) Efforts towards full compliance to physical traceability requirements are made.	No system to separate and mixing up indeed happens.	Mixture during processing is very likely to happen and the organization took deficient actions.	There is a system in place to separate product even if there are small mistakes.	There is a system in place to separate product with no mistakes.	There is a physical traceability system in place to trace back product to each individual miner with no mistakes.	0	C
2.1.5	2.1.1.06	(Applicable if the ASMO or its miners contract third party operators to process their mineral or to perform further enrichment of intermediary products and the ASMO does not apply physical traceability for this process step) You have applied for exemption for being exempt from applying physical traceability and received approval by the certification body	No		Yes			0	C
2.1.5	2.1.1.07	(Applicable in case of exemption from physical traceability) You have informed the Gold Project Manager of Fairtrade International via email to gold-pm@fairtrade.net and your buyer about the exception granted.	Neither Fairtrade International nor the buyer has been informed.	Only one of the two parties has been informed.	Both parties have been informed.			0	C
2.1.5	2.1.1.08	(Applicable in case of exemption from physical traceability) You physically possess the product before and after the exempted processing step and ensure exact mass balance (input equals output less process losses).	The product is not physically possessed before and after processing and mass balance is not ensured.	The product is physically possessed before and after processing BUT mass balance is not ensured.	The product is physically possessed before and after processing AND mass balance is ensured.			0	C
2.1.6	2.1.1.09	(Applicable for Ecological Precious Metals) You separate the ecological precious metal from any other metal (including conventional Fairtrade precious metal) and indicate that it is Fairtrade Ecological on the product.	No separation and on-product marks do not mention any term that can be identified as Fairtrade Ecological.	No clear identification with on-product marks OR no separation.	Products are kept separate and are identifiable 'Fairtrade Ecological'		Non-detachable on-product mark have the term "Fairtrade Ecological" or similar and the name and ID of seller and buyer.	0	M

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
2.1.6	2.1.1.10	(Applicable to ASMOs certified for Ecological Precious Metals) You ensure document traceability for the entire volume of Fairtrade Precious Metal produced by the ASMO by using an identification mark on all related documents (such as contracts, delivery notes, invoices).	Term "Fairtrade" or similar are missing in all documents.	Term "Fairtrade" or similar is mentioned in invoices BUT it is not possible to find a reference in other documents OR term "Fairtrade" missing in some invoices.	Term "Fairtrade" or similar is mentioned in all invoices AND it is possible to find a reference in other documents.	Term "Fairtrade" or similar is mentioned in all contracts, invoices and delivery notes AND it is possible to find a reference in other documents.	Term "Fairtrade" AND the FLO-ID are mentioned in all contracts, invoices, B/L, delivery notes, packing lists, etc.	0	C
<b>2.1.2 Documentary Traceability</b>									
2.1.3	2.1.2.01	You ensure document traceability for the entire volume of Fairtrade Precious Metal produced by the ASMO by using an identification mark on all related documents (such as contracts, delivery notes, invoices).	Term "Fairtrade" or similar are missing in all documents.	Term "Fairtrade" or similar is mentioned in invoices BUT it is not possible to find a reference in other documents OR term "Fairtrade" missing in some invoices.	Term "Fairtrade" or similar is mentioned in all invoices AND it is possible to find a reference in other documents.	Term "Fairtrade" or similar is mentioned in all contracts, invoices and delivery notes AND it is possible to find a reference in other documents.	Term "Fairtrade" AND the FLO-ID are mentioned in all contracts, invoices, B/L, delivery notes, packing lists, etc.	0	C
2.1.3, 2.3.9	2.1.2.02	You have records in place of all your Fairtrade sales that indicate - the name and the FLO ID of the seller - the physical form of the product when transacted (purchase and sale) - the alterations performed and relevant yields - disposals - quantities sold - the date of the transaction	Records are missing.	Records exists but are incomplete.	Complete Fairtrade sales records with a reference to sales documents.	Complete records as part of a database of stock, purchases and sales but it is not up to date. Premium correctly invoiced.	Complete records as part of a database of stock, purchases and sales and fully up to date. Premium correctly invoiced.	0	C
<b>2.3 Responsible sourcing and market information</b>									
2.3.8	2.2.0.01	You provide your Fairtrade business partners with an indicative Annual Production Plan of Fairtrade Precious Metal.	No		Yes			0	C
2.3.3	2.2.0.02	You hold copies of contracts for all Fairtrade transactions.	No		Yes			0	C
FLO-CERT requirement	2.2.0.03	The ASMO and the buyer have contracts in place that include at least the following elements: · volumes, · quality specifications, · price and payment conditions, · delivery conditions · price fixing based on the A.M. or P.M. LBMA fixing time and date.	No contract available.	Basic contract available but none of the details required, no agreement of the other party.	Basic contract and agreement available which roughly mention the required details.	Good contract and agreement in place which mentions the required details in a clear manner.		0	C
2.3.11	2.2.0.04	Contracts between the ASMO (or its miners) and the buyer define the precious metals content determination and arbitration procedures that are in line with existing practice in the sector.	No		Yes			0	C
2.3.5	2.2.0.05	(Applicable in case a trial period has been agreed for a new trading relationship) The trial period does not exceed two consignments.	No		Yes			0	C
2.3.13	2.2.0.06	(Applicable if the ASMO or its miners have no trade function or export permit and decided to contract a third party for this.) You have a written contract with a third party operator to implement and administrate all corresponding trade, export and traceability related requirements on your behalf and under your responsibility.	No contract available.	Basic contract available but none of the details required, no agreement of the other party.	Contract available which covers the required details.	RANK 3 AND all activities carried out by the subcontracted party are clearly documented.		0	C
4.5.8	2.2.0.07	(Applicable if the you or your miners have no trade function or export permit and decided to contract a third party for this) The contract between the ASMO and contracted third party specifies if it adopts the function as pro-bono intermediary for Fairtrade price and premium payments.	No		Yes			0	C





FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
GTS 1.1.7	2.2.0.08	(Only applicable if you have been suspended since the last audit and/or any of your supplier/buyer was suspended) You do not sign new Fairtrade contracts if you are suspended OR sign new contracts with suspended trade partners, in case your trade partner was suspended. In case, of an existing trade partner with whom you have had at least one business transaction in the previous 12 months and with whom you have no written contracts, you have only traded (in the suspension period) up to 50% of the total volume (of each product) traded in the previous 12 months (from date of suspension).	You have signed new Fairtrade contract after you/or you supplier/buyer was suspended  In case, of an existing trade partner with whom you have had at least one business transaction in the previous 12 months and with whom you have no written contracts, you have only traded (in the suspension period) up to 50% of the total volume (of each product) traded in the previous 12 months (from date of suspension).	You have traded more than 50% of the total volume (of each product) traded in the previous 12 months (from date of suspension), with an trade partner, with whom you have no existing trade contract, but with whom you have had at least one business transaction in the previous 12 months.	Yes			0	C
GTS 1.1.7	2.2.0.09	(Only applicable you have been suspended since the last audit and/or any of your supplier/buyer was suspended) You have fulfilled existing Fairtrade contracts during the suspension period.	You have not fulfilled the contract, without the consent of your trade partner		You have fulfilled the contract			0	C
FLO-CERT requirement	2.2.0.10	(Applicable if the customer has been suspended since the last audit) Upon suspension of Fairtrade certification, the customer has discontinued its use of all advertising matter that contains any reference to its certified status.	No		Yes			0	C
GTS 1.1.8	2.2.0.11	(Only applicable if you were decertified in the past or any of your trading partner were/are decertified) You stopped trading all Fairtrade products from the date of decertification even if there is a signed Fairtrade contract. Only products traded (shipped) before the date of decertification are traded as Fairtrade certified.	no		yes			0	M
FLO-CERT requirement	2.2.0.12	(Only applicable if you have received a complaint related to compliance with requirements of the applicable Fairtrade Standards or a Fairtrade product) You handle and document all complaints and follow-up actions relating to compliance with requirements of the applicable Fairtrade Standards. These records are made available to the auditor.	There are complaints received, which have not been followed up and documented as per this CC OR these have not been made available to the auditor	Though there is a written procedure for complaint management, but the complaint has not been followed up and documented OR these have not been made available to the auditor	There is a proper documentation of the actions taken on the complaints and its follow up and is made available to the auditor		There is a written procedure for complaint management and the complaints are handled as per the procedure and these are documented including the follow ups and is made available to the auditor.	1	C
<b>2.4 Use of the Fairtrade Mark</b>									
2.4.1	2.4.0.01	All artwork with a FAIRTRADE Mark on product packaging and in any other communications complies with the applicable "Fairtrade Gold mark Use Guidelines" and has been approved in writing prior to use by Fairtrade International or by a National Fairtrade Organization.	The organization uses the Fairtrade mark on external promotional material or product packaging without approval.	The organization has approval for certain uses but uses the Fairtrade mark in more ways than approved.	The organization has the necessary permissions OR does not use the Fairtrade mark.			0	C
GTS 1.2.1	2.4.0.02	(Only applicable if you have used any FAIRTRADE Mark or any other reference to Fairtrade as defined in the Fairtrade Standard on a finished or unfinished product, on any packaging or in any other communications.) You have a valid written contract with a national Fairtrade organization or with Fairtrade International with details on the use of the Mark.	No		Yes			0	C
<b>3 Production</b>									
<b>3.1 Management of Production Practices</b>									
3.1.1	3.1.0.01	You have defined your System of Production including - a complete register of all participating miners, areas, processing units (domestic and industrial), external service providers, and - a mining plan which indicates clearly where mining and processing activities take place.	The organization has not defined their System of Production AND has not set a Mining Plan.	The organization has defined the System of Production but has not set a Mining Plan OR vice versa OR the data is very incomplete.	The organization has defined the System of Production and set a Mining Plan but some details are missing.	The organization has defined the System of Production and set a Mining Plan that includes all required information but some of the data is not up to date.	The organization has defined the System of Production and set a Mining Plan AND all required information is clear and up to date.	0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.1.1	3.1.0.02	The register of your System of Production contains declaration numbers, concession numbers and other relevant official data.	The register does not contain required data.	The register contains only part of the required data.	All required information such as declaration numbers, concession numbers and official data are included.			0	C
3.1.2	3.1.0.03	You establish an Internal Control System (ICS) to monitor all volume and sales into the Fairtrade supply chain. The ICS ensures exclusion of all precious mineral or tailings from non-registered miners, areas and processing units.	The organization has taken no action to implement an Internal Control System.	First steps are taken to implement an Internal Control System exists but it is not functional yet.	The Internal Control System is in place and allows the organizations' control but lacks some clarity OR slightly differs from its description.	The Internal Control System is in place and followed and contains all necessary details and follows the defined procedure.	= RANK 4 AND detailed records exist.	3	C
3.1.3	3.1.0.04	Your ICS includes regular monitoring of the assigned areas where miners operate; monitoring includes random visits to check who is working in designated areas and to monitor daily delivery to processing facilities.	Monitoring does not take place.	Monitoring takes place but no random visits are conducted.	Monitoring with random visits takes place.	RANK 3 AND random visits take place regularly.	RANK 4 AND results are well documented.	3	C
3.1.3	3.1.0.05	Monitoring visits are done by authorized persons of the ASMO (supervisor / shift leader) and documented in terms of frequency, date and irregularities (if applicable).	The person conducting the visits is not authorized.	Monitoring visits take place by authorized persons but records are incomplete.	Monitoring visits take place by authorized persons AND records are complete.		RANK 3 AND irregularities are followed up.	3	C
3.1.4	3.1.0.06	You ensure that all processing facilities have a documented Internal Control System onsite covering the below listed data and that all data is documented in the ASMO's central ICS. <ul style="list-style-type: none"> <li>• a list of all miners and processing units that deliver gold minerals and tailings to them, signed by the responsible person with ID card number;</li> <li>• delivery date;</li> <li>• delivered amount;</li> <li>• area of origin, assigned by the ASMO to the miners' groups (name, description);</li> <li>• gold content;</li> <li>• laboratory results (if applicable);</li> <li>• the payment of Fairtrade price and premium (if applicable onsite).</li> </ul>	There are no ICS at processing facilities.	Only some processing facilities have an ICS OR there is no link to the central ICS OR it does not include all relevant data.	All processing facilities have an ICS covering all requested data AND there is a link to the central ICS.		= RANK 4 AND detailed records exist.	3	C
3.1.5	3.1.0.07	You and all organizations of your System of Production have a formal and transparent structure in place.	No		Yes			0	C
3.1.6	3.1.0.08	You and all organizations of your System of Production have legal financial control over all operations.	No		Yes			1	C
<b>3.2 Environmental Protection</b>									
<b>3.2.1 Management of toxic substances</b>									
3.2.1	3.2.1.01	You do not use mercury if gold recovery without mercury is commercially and technically possible.	Mercury is used and no actions taken to check feasibility of not using it.	Mercury is used and first steps to check feasibility of not using it were taken.	Mercury is used and a cost calculation is available that not using it is commercially and technically not possible.	RANK 3 AND there is a plan to the situation.	RANK 4 AND measures are taken to change the situation.	3	C
3.2.2	3.2.1.02	(For already certified customers applicable as of October 15, 2015) (Applicable if mercury is used in mineral processing) The use of mercury is limited to designated areas, and does not happen near river beds.	Mercury is used in not designated areas AND/OR near river beds.	Mercury is used in not designated areas BUT not near river beds.	Mercury is only used in designated areas and not near river beds.		RANK 3 AND there is a system in place to control this.	0	C
3.2.3	3.2.1.03	(For already certified customers applicable as of October 15, 2015) (Applicable if mercury/cyanide is used in mineral processing) Miners and workers handling mercury and/or cyanide use adequate protective equipment (gloves etc.)	Workers/miners handling mercury/cyanide do not use protective equipment.	Workers/miners handling mercury/cyanide have protective equipment but do not use it regularly.	Workers/miners handling mercury/cyanide always use protective equipment.	RANK 3 AND protective equipment is checked regularly if still functional.	RANK 4 AND protective equipment is functional at all times.	0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.2.4	3.2.1.04	Toxic and dangerous substances such as mercury, cyanide and acids are not used or handled by children under 18 years, pregnant or breastfeeding women, or persons diagnosed with mental deficiencies, or diseases of the gastrointestinal, urinary, nervous or respiratory systems.	People/children of the listed groups are regularly using or handling mercury, cyanide or other acids.	There are indications that these persons are using or handling mercury, cyanide or other acids on rare occasions but the organization took no actions.	The organization has no system in place but is aware of this rule and auditor found no indications of this happening.		RANK 3 AND the organization has an internal system to identify these persons AND an awareness raising program for miners.	0	C
3.2.5	3.2.1.05	You do not use whole ore amalgamation of gold with mercury.	No		Yes			0	C
3.2.5	3.2.1.06	A mercury-free concentration process (mechanically or manually) precedes amalgamation.	No		Yes			0	C
3.2.6	3.2.1.07	Amalgam burning only takes place in designated areas providing privacy and security and never in homes or kitchens or other indoor places where people without protection might be affected. It is carried out under the using recovery techniques such as retorts or alternatives and by trained people with proper equipment.	No areas designated for amalgam burning. The organization did neither provide training nor proper equipment OR amalgam burning takes place in homes or kitchens or other indoor places.	There are designated areas that do not provide proper privacy or security OR the people carrying the tasks have not been properly trained nor have the proper equipment.	The organization designated areas that provide privacy and security. The people carrying the tasks had basic training AND equipment is available.	RANK 3 AND Amalgam burning area is only accessible to trained personnel.	There is an Internal Control System in place that works as well.	0	C
3.2.7	3.2.1.08	(For already certified customers applicable as of October 15, 2015) You raise awareness within your members about the health risks related to amalgam burning.	No actions are taken to raise awareness.	Some actions are taken to raise awareness BUT not all members are addressed.	Awareness has been raised within members.		RANK 3 AND it is controlled that necessary safety precautions are taken.	1	C
3.2.8	3.2.1.09	(For already certified customers applicable as of October 15, 2015) You have a plan on how to ensure that the miners from outside the System of Production have access to the amalgam recovery installation.	There is no such plan.	Work is carried out on a plan BUT it is not yet finalized.	There is plan in place.	RANK 3 AND actions are taken to implement the plan.	RANK 3 and it is implemented.	6	D
3.2.9	3.2.1.10	You do not use nitric acid for dissolving amalgam.	No		Yes			0	C
3.2.10	3.2.1.11	You ensure that cyanide leaching of unprocessed amalgamated tailings does not take place.	No		Yes			0	C
3.2.10	3.2.1.12	(Applicable if you leach amalgamated tailings) You ensure that mercury recovering gravimetric pre-processing precedes cyanidation.	No		Yes			0	C
3.2.11	3.2.1.13	Any cyanide leaching plant is constructed in such a way that environmental contamination does not occur.	No		Yes			1	C
3.2.12	3.2.1.14	You ensure that only personnel trained in the safe and proper use of cyanide operate in cyanide leaching plants.	Organization did not carry out any training.	Less than 50% of persons handling cyanide have been trained OR content/quality of training was insufficient.	At least 50% of persons handling cyanide have been trained AND content of training was sufficient AND trainings are planned/scheduled for the remaining persons.	At least 80% of persons handling cyanide have been trained AND content of training was sufficient AND training materials are clear and correct.	= RANK 4 AND measures are indeed implemented.	0	C
3.2.13	3.2.1.15	(Applicable if mercury is used in mineral processing) You ensure that retorts or alternative recovery methods are used.	No retorts or other alternatives are used.	Retorts or other alternatives are used in some cases.	Retorts or other alternatives are used.		RANK 3 AND there is a system in place to control this.	0	C
3.2.14	3.2.1.16	(Applicable if mercury is used in mineral processing) You have started trials with alternative processing methods to minimize and eliminate the use of mercury in the recovery of gold.	no		Yes			3	C
3.2.15	3.2.1.17	(Applicable if mercury is used in mineral processing) A significant volume of gold is processed with alternative processing methods.	less than 10 % of the gold is processes with alternative methods	Between 10 and 50 % of the gold is processes with alternative methods	At least 50 % of the gold is processes with alternative methods	At least 75% of the gold is processes with alternative methods	At least 90% of the gold is processes with alternative methods	6	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.2.16	3.2.1.18	Toxic and dangerous substances are only kept in a safe site with adequate conditions for storage, inventory keeping, use and disposal of toxic and dangerous substances.	Store rooms controlled by organization do not minimize the risks according to standard and due to its location represent a high risk of accidents.	Store rooms controlled by organization do not fulfil all requirements as described in the standard in order to minimize risks.	Store rooms controlled by organization are at least locked and accessible only to trained and authorized personnel, ventilated, with labelled materials and do not contain food.	Store rooms controlled by organization minimize risks according to all specifications in the requirement AND stocks are as minimal as possible.	= RANK 4 AND there are additional measures to minimize risks such as contact details for emergencies, fire extinguishers, waterproof floor, concrete curbing, sloped floor, etc.	0	C
3.2.17	3.2.1.19	Instruments and tools used for any operations with mercury are not used in any domestic activity.	No precautions are taken to avoid use of such tools in domestic activity and they are actually used in domestic activity.	Actions are taken to avoid their use in domestic activity but occasionally they are used in domestic activity.	Effective precautions are taken and there are no indications that such instruments are used in domestic activity.		RANK 3 AND there are regular checks to ensure effectivity of precaution actions.	0	C
3.2.18	3.2.1.20	(Applicable if you use cyanide to recover gold) You detoxify cyanide solutions and tailings in a lined pond or tank before discharge.	No detoxification takes place	Detoxification only takes places in some occasions.	Detoxification always takes place.		RANK 3 AND there is a system in place to ensure detoxification is done properly.	0	C
3.2.19	3.2.1.21	Amalgamation and cyanation tailings and solutions are not discharged into water, in places susceptible to flooding, or where they can reach water bodies.	Amalgamation and cyanation tailings and solutions are discharged into water OR in places susceptible to flooding OR where they can reach water bodies.	There are rules for discharging tailings and solutions but they are not always followed OR they do not provide sufficient safety.	Discharging of tailings and solutions is done in line with the requirement.		RANK 3 AND it is regularly controlled that discharging is carried out properly.	0	C
<b>3.2.2 Protection of ecosystems</b>									
3.2.20	3.2.2.01	You prove that all mining operations and processing plants comply with national environmental laws and have valid environmental licenses, permits or management plans according to national legal requirements.	No proof of compliance.	The organization has no proof of compliance OR does not have a valid license, permit or management plan.	The organization complies with the national law AND has a valid license, permit or management plan.			0	C
3.2.21	3.2.2.02	Your mining area is not located in any area protected under national legislation where mining is not allowed.	No		Yes			0	C
3.2.21	3.2.2.03	(Applicable if the mining area is located in any area protected under national legislation where mining is not allowed and you have applied for exception with the responsible authorities) You can prove that you hold <ul style="list-style-type: none"> <li>• an authorization from the relevant authority, stating that the mining activities are legal and compatible with the conservation and management objectives of the protected area;</li> <li>• evidence of an environmental impact assessment having been conducted in the past three years, as well as regular and on-going environmental monitoring activities;</li> <li>• an environmental mitigation plan;</li> <li>• a positive track record, having operated with a legal permit and under the monitoring of local authorities for at least five years.</li> </ul>	None of the required evidence is available.	The organizations has an authorization from the relevant authority but is not able to prove the other mentioned requirements OR has prove of some of the mentioned requirements but does not have an authorization from the relevant authority.	The organizations has an authorization from the relevant authority AND can show evidence of all mentioned requirements even if some are incomplete or not done within the mentioned timeframe.	The organization holds proof of all mentioned requirements.	There is an Internal Control System in place that works as well.	0	C
3.2.22	3.2.2.04	(Applicable in case of open-pit mines) The inclination of slopes and height of benches does not exceed limits generally considered safe for that type of soil or rock.	No		Yes			0	C
3.2.23	3.2.2.05	You ensure that fuel residues and their containers are not dumped in water bodies or where they can reach water bodies, or in places susceptible to flooding. You have assigned places for proper disposal approved by the environmental protection agency or another equivalent body in the locality.	There are no assigned places and residues reach water bodies.	There are no assigned places BUT the organization has ensured that residues do not reach water bodies.	Assigned places for disposal are approved by the respective authority and respected.	RANK 3 AND the organization carried out awareness activities.	There is an Internal Control System in place that works as well.	0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.2.24	3.2.2.06	(Applicable in case of any technological change) You have evaluated the environmental impact for any technological change and established an environmental mitigation plan, if appropriate.	No		Yes			1	C
3.2.25	3.2.2.07	You ensure that open pits and underground mine apertures created by the ASMO are refilled or blocked sufficiently after termination of extractive activities to enable ecological regeneration and to ensure hazard prevention.	No such actions are taken although extractive activities have terminated.	Actions taken do not ensure the required result.	Refilling / blocking effectively ensures required result.		RANK 3 AND actions are taken to facilitate ecological regeneration	3	D
3.2.26	3.2.2.08	Where mining could lead to acid mine drainage (AMD), you employ effective methods to isolate acid forming materials from water.	No actions are taken and AMD takes place.	Actions are taken to isolate acid forming materials from water BUT they are not effective	Actions are taken to isolate acid forming materials from water		RANK 3 and actions are taken that AMD does not take place	3	D
3.2.27	3.2.2.09	You ensure that tailings and contaminated water are not discharged into water bodies or where they can reach water bodies or in places susceptible to flooding or landslides.	Disposal in water bodies OR in areas where they can reach water bodies is generally not avoided.	Water bodies and other sensitive areas are identified in maps. However the organization took no action.	Water bodies and other sensitive areas are identified in maps AND disposal is dumped in places where they cannot reach water bodies.	RANK 3 AND the organization carried out awareness activities OR has designated areas for disposal.	There is an Internal Control System in place that works as well.	3	D
3.2.28	3.2.2.10	You ensure that disposal of tailings and waste water is properly planned and carried out by experienced persons.	No plan of disposal.		The organizations has a plan of disposal carried out by designated persons.	The organization monitors that disposal is only carried out by experienced persons.	The organization provides continuous training to the persons designated to carry out disposal.	6	D
3.2.28	3.2.2.11	You have documented waste management practices in place that are based on identified risks and planned within concrete timelines, measures and action points.	There is no documentation available.	Documentation does not contain all essential details as defined in criteria.	Documentation with all details.	Documentation with all details AND developed in participatory way (consultation) with miners.	Rank 4 AND documentation based on previous assessment of community needs.	6	D
3.2.29	3.2.2.12	You ensure that disposal of Chemicals and chemically contaminated material are properly planned; the planned includes protective equipment such as masks and filters.	No such plan exists.	There is a plan BUT it is not applied OR does not include protective equipment.	Disposal is properly planned and carried out.		RANK 3 AND it is controlled that proper disposal takes place.	3	D
3.2.30	3.2.2.13	You have set up a planning process for the rehabilitation and restoration of intervened areas in perspective of closing mining operations. The planning involves consultation with the local community, intended beneficiaries and other impacted persons or organizations and defines that - intervened areas will be rehabilitated and re-vegetated in ways that enhance local biodiversity as appropriate for the native ecosystem and/or - converted to an alternative use in accordance with land planning priorities of the local community authorities and - rehabilitation must occur within two years of the conclusion of mining activities.	No plan has been set up.	The organization has ideas how to deal with restoration but has not yet defined a plan OR the plan does not cover the required aspects.	The organization has set up an appropriate plan for restoration of intervened areas	The plan includes measures to control implementation	RANK 4 AND implementation is/will be monitored with an Internal Control System.	3	D
3.2.30	3.2.2.14	(Applicable after two years of conclusion of mining activities) Actions for rehabilitation of the intervened areas as defined in the planning are carried out.	No actions have been taken.	Actions are taken but not as detailed in the plan.	Actions according to the plan have been implemented.			3	D
3.2.31	3.2.2.15	(Applicable in case of alluvial mining) You and your members • only use small-scale extraction techniques (pumps, excavators) with limited size and numbers • do not destroy rivers boards • do not destroy rivers bed • do not damage ecosystems (including land, river, forests) or affect water quality	None of the listed points are complied with.	Only some of the listed points are complied with.	There is evidence that the ASMO and its members conduct alluvial mining in line with the listed requirements.	RANK 3 and regular control takes place.	RANK 4 AND is control is included in an Internal Control System.	0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.2.32	3.2.2.16	(For already certified customers applicable as of October 15, 2015) (Applicable in the case of alluvial mining) Amalgamation places and/or cyanide use is located in 100m distance from water bodies.	The prescribed distance is not kept.	The prescribed distance is kept only in some occasions.	The prescribed distance is kept.	RANK 3 and regular control takes place.	RANK 4 AND is control is included in an Internal Control System.	0	C
<b>3.2.3 Ecological Gold, Silver and Platinum</b>									
3.2.33	3.2.3.01	You do not use mercury or cyanide for mineral processing.	No		Yes			0	C
3.2.34	3.2.3.02	You have a environmental management plan in place that covers measures to minimize ecological disruption due to mining.	There is no plan.	A plan and records exist but it lacks details on how to minimize ecological disruption OR the plan is not operational.	Records and plans are operational but still lack some details on how to minimize ecological disruption.	Records and plans for substitution of materials are fully operational and followed by the organization.	There is an Internal Control System in place that works as well.	0	C
<b>3.3 Labor Conditions</b>									
3.3.1	3.3.0.01	You demonstrate that you have assessed the existing employment conditions of all workers in your System of Production and identified the priority needs of all workers.	Organization did not consider any measure.	organization has idea of the employment conditions but has not performed an assessment.	organization has performed an assessment and identified priority needs of all workers.		RANK 3 AND keeps clear records.	0	C
3.3.2	3.3.0.02	You have a procedure in place to annually monitor changes in employment conditions of all workers in the System of Production.	No	The procedure is only documented but no proof exists that it was implemented.	There is a documented proof on the implementation of the procedure	There is a documented procedure and documentation of the implementation of the procedure	Rank 4 and has procedures for forecasting the changes and programs to deal with this.	1	C
3.3.3	3.3.0.03	You have an employment policy in place that is based on the assessment of the existing employment conditions and addresses how to improve the working conditions of all workers employed directly or indirectly by you and your registered miners.	No policy is in place.	There is a policy but it is not followed in practice.	There is a policy in place lacks some clarity OR process slightly differs from its description.	There is a policy in place and followed but not all registered miners are aware of it.	All registered miners are aware of the policy and records are kept.	3	D
3.3.3	3.3.0.04	The employment policy is part of your development plan.	No		Yes			3	D
<b>3.3.1 Freedom of Discrimination</b>									
3.3.4	3.3.1.01	You and your members do not discriminate on the basis of race, color, gender, sexual orientation, disability, marital status, age, religion, political opinion, membership of unions or other workers' representative bodies, national extraction or social origin in terms of recruitment, promotion, access to training, remuneration, allocation of work, termination of employment, retirement or other activities.	There are substantial indications of discrimination on recruitment and remuneration.	There are substantial indications of discrimination on promotion and access to training.	There are no records or rules but no indications of discriminatory practices.	There is a written equal opportunities policy approved by the General Assembly and made known to all members and workers.	There is an equal opportunities policy for recruitment, remuneration, promotion and training and applied in practice with records that show reasons for acceptance, dismissals and promotion of workers.	0	M
3.3.5	3.3.1.02	You and your members do not engage in, support or tolerate the use of corporal punishment, mental or physical coercion or verbal abuse.	There are indications of this being common amongst members as employers or at organization as employer.	There are indications of this happening on rare occasions but the organization took no actions.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organization can demonstrate it took action.	There is a written policy approved by the General Assembly and made known to members and workers.	RANK 4 AND ICS that controls this at member level.	0	M

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.3.6	3.3.1.03	You and your members do not engage in, support or tolerate behavior – including gestures, language, and physical contact – that is sexually intimidating, abusive or exploitative.	There are indications of this being common amongst members as employers or at organization as employer.	There are indications of this happening on rare occasions but the organization took no actions.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organization can demonstrate it took action.	There is a written policy approved by the General Assembly and made known to members and workers.	RANK 4 AND ICS that controls this at member level.	0	M
3.3.7	3.3.1.04	You have implemented a policy and process to deal with gender based violence that includes educating your members about sexual harassment at work.	No policy is in place.	There is a policy but it is not followed in practice.	The policy in place lacks some clarity OR process slightly differs from its description.	There is a policy in place and followed but not all members are aware of it.	All members are aware of the policy and records are kept.	1	C
3.3.8	3.3.1.05	You and your members provide the same opportunities to men, women and disadvantaged individuals - regardless of their provenance or origin - in all areas of mining activity, as a worker, member or entrepreneur, through the recognition of their specific capabilities and needs.	Benefits and conditions are not equivalent AND the organization did not plan how to bring them to equivalent levels.	Benefits and conditions are not equivalent AND the organization has planned how to bring them to equivalent levels BUT has not implemented the plan yet.	Salaries, paid rest days, sickness/disability coverage are the same or equivalent.	= RANK 3 AND maternity leave, pension scheme and non-mandatory benefits are the same or equivalent.	= RANK 4 AND workers have been consulted on how to choose equivalent benefits when needed.	3	D
3.3.9	3.3.1.06	You have implemented support activities for pregnant and breastfeeding women miners in your System of Production (self-employed women, women mineral selectors, or contracted women miners) to ensure that they can - pass to lighter, non-dangerous work - access health services - have access to childcare facilities where they can breastfeed their infants - receive benefits of social security where applicable.	The organization hires these persons for unsafe work.	There are indications of miners hiring these persons for unsafe work on rare occasions but the organization took no actions.	The organization has no system but is aware of this rule and auditor found no indications of this happening OR happening in rare occasions but the organization took actions.	The organization has an internal system to identify hazardous work and identify these persons AND an awareness raising program for members.	Offences and incidences at member level are recorded and sanctioned as part of an Internal Control System.	3	D
<b>3.3.2 Freedom from unacceptable labor</b>									
3.3.10	3.3.2.01	You and your registered miners do not use forced labor, bonded or involuntary prison labor.	There are indications of this being common amongst miners as employers or at organization as employer.	There are indications of this happening on rare occasions but the organization took no actions.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organization can demonstrate it took action.	There is a written policy approved by the GA and made known to miners and workers.	RANK 4 AND ICS that controls this at miner level.	0	M
3.3.11	3.3.2.02	You and your registered miners have not made employment of a worker conditional on the employment of their spouse. Spouses have the right to work elsewhere.	Organization obliges family members to work (directly or via benefits such as housing).	Organization prioritizes housing for families with more than one member employed for the organization.	Organization does not inform but there are no indications of this taken place.		Organization makes all workers aware (especially those living in farm) about their right to work elsewhere.	0	C
3.3.12	3.3.2.03	Workers are free to terminate employment at any time without penalty and without notice period if they find themselves in a forced labor situation.	No		Yes			0	C
3.3.13	3.3.2.04	Workers enter into employment voluntarily and freely without thread of penalty, violence, harassment or intimidation.	There are indications of this being common at the organization as employer.	There are indications of this happening on rare occasions but the organization took no actions.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organization can demonstrate it took action.	There is a written policy made known to workers.	RANK 4 AND there is an ICS to control that the policy is followed.	0	C
<b>3.3.3 Child labor and child protection</b>									

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.3.14	3.3.3.01	You and your members do not directly or indirectly employ children below the age of 15 or under the age defined by national law or national mining sector legislation, whichever is higher.	There are indications of this being common amongst members as employers or at organization as employer.	There are indications of this happening on rare occasions but the organization took no actions OR members hire laborers that come along with their children and work under parent's supervision.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organization can demonstrate it took action.	There is a written policy approved by the General Assembly and made known to members that includes ensuring of safe schooling for all children.	RANK 4 AND ICS that controls this at miner level.	0	M
3.3.15	3.3.3.02	Your members' children below 15 years only help in their families operations after school or during holidays, the work they do is appropriate for their age and physical condition, they are supervised and guided by their parents and/or guardian and they do not work for long hours and/or under dangerous or exploitative conditions.	There are indications of children working in ways not permitted by the standard being a common occurrence.	There are indications that, on rare occasions, miners' children perform non-suitable work during non-suitable times and the organization took no actions.	The auditor found no indication (through miner's interviews, observation, and local knowledge) that non-suitable work/non-suitable time is present OR present on rare occasions but organization took action.	The organization has an awareness raising program for miners that identifies suitable work.	RANK 4 AND ICS that controls this at miner level.	0	C
3.3.16	3.3.3.03	You and your members do not directly or indirectly submit workers of less than 18 years of age to any type of work which puts their health, safety, morals or their school attendance at risk.	There are indications of non-suitable work being common amongst members.	There are indications that, on rare occasions, members' children perform non-suitable work during non-suitable times and the organization took no actions.	The auditor found no indication (through members' interviews, observation, and local knowledge) that non-suitable work/non-suitable time is present OR present on rare occasions but organization took action.	The organization has an awareness raising program for members that identifies suitable work.	RANK 4 AND ICS that controls this at member level.	0	C
3.3.17	3.3.3.04	(Applicable if in the past you or your members employed children under 15 for any type of work, or children under 18 for dangerous and exploitative work) You have ensured that those children do not enter or are at risk of entering into even worse forms of labor including hazardous work, slave-like practices, recruitment into armed conflict, sex work, trafficking for labor purposes, and/or illicit activities.	Organization is unaware of current situation of children employed in the past by the organization itself.	Organization took no remedial actions and is unaware of current situation of children employed in the past by members.	Organization can provide details of all children working in the past and their current safe situation.	Organization had a general program to support families AND can provide details of all children working in the past and their current safe situation.	Organization developed a child rights based remediation policy and program in partnership with a governmental or international organization AND its members are trained on child rights methodologies	1	C
3.3.18	3.3.3.05	You have established and implemented a Child Labor Policy including - a signed Child Protection Policy and Procedures document, - a clear statement against child labor, - a clear statement that demonstrates a commitment to adopting a child rights' approach to protecting and remediating impacted children.	No policy is in place.	There is a policy but it is not followed in practice.	There is a policy in place lacks some clarity OR process slightly differs from its description.	There is a policy in place and followed but not all registered miners are aware of it.	All registered miners are aware of the policy and records are kept.	0	C
3.3.19	3.3.3.06	(Applicable if child labor is a known risk in your organization or the surrounding community) You have implemented relevant procedures to prevent children under the age of 15 from being employed for any work and children below the age of 18 from being employed in dangerous and exploitative work.	Organization did not consider any measure.	Organization has ideas of how to improve but these have not been implemented.	Organization has implemented some control measures such as keeping records at miner level.	Organization has implemented some control AND preventive measures (such as investments to eradicate root causes).	Organization is a best practice example of Internal Control System and child labor is effectively non-existent.	0	C
3.3.20	3.3.3.07	(Applicable if child labor is a known risk in your organization or the surrounding community) You have developed preventive projects with expert partner organizations to ensure that no further children become involved and to ensure continued protection of children.	Organization did not consider any measure.	Organization has ideas of how to improve but these have not been implemented.	Organization has implemented some control measures such as keeping records at miner level.	Organization has implemented some control AND preventive measures (such as investments to eradicate root causes).	Organization is a best practice example of Internal Control System and child labor is effectively non-existent.	1	C
3.3.20	3.3.3.08	(Applicable if child labor is a known risk in your organization or the surrounding community) You and your members and workers are trained on child protection.	The organization did not provide training OR this was totally unsatisfactory.	The organization only trained a limited number of miners and has not planned to train the rest.	The organization provided training to some miners and has a training plan to cover all miners	The organization provided training to all miners.	The organization provided training to all miners AND has a trained Surveillance Committee in place.	1	C



FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.3.21	3.3.3.09	You and your members contribute to increased well-being of children and youth in your communities through continuous monitoring and remediation on child labor, enable decent youth employment within your scope, and have access to technical training and awareness of socially responsible and environmentally friendly ways of mining.	No actions are taken.	Only one of the listed actions are carried out.	Actions as listed in the requirement are carried out.	RANK 3 AND there is a system in place to check on effectiveness of actions taken.	RANK 4 AND check of effectiveness leads to necessary changes of the actions taken.	3	D
<b>3.3.4 Freedom of association and collective bargaining</b>									
3.3.22	3.3.4.01	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You and your members recognize in writing and in practice that all workers are free to establish and to join a trade union or workers' organization of their own choice and that they are free to participate in group negotiation of their working conditions.	This is not ensured in any way.	There is a written statement but it is not known to the workers and not implemented.	There is a written statement made public to workers, even if some workers do not know it, OR, there is no written statement but it is implemented and most workers are aware.	Rank 3 AND all workers are aware.	Rank 4 AND the organization actively encourages workers.	0	M
3.3.23	3.3.4.02	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You and your members allow access to trade union representatives in order to communicate about unionization and/or to carry out their representative functions at an agreed time and place.	Organization/members do not allow these meetings.	Organization/members allow these meetings but interfere by being present / sending observers/ noting down attendants/ or any other coercive measure.	Organization/members allow such meetings outside working hours and provide space for this.	Organization/members allow such meetings and provide reasonable resources, including paid working time, for this.	Organization/members actively encourage workers to meet and provide reasonable resources, including paid working time, for this.	0	C
3.3.23	3.3.4.03	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You and the members of your organization do not interfere in workers' meetings.	Do interfere actively.	Are present during meetings, but do not actively interfere.	Are present during meetings at request of TU/Workers and do not interfere OR are not present.		Are not present and provide a conducive environment for the meetings.	0	C
3.3.24	3.3.4.04	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You and your members do not punish, threaten, intimidate harass or bribe union members or representatives nor discriminate workers for their past or present union membership or activities.	There is discrimination and organization/employers within the System of Production do not comply with Standard requirement 3.3.1.	There is discrimination by mid managers and the organization/employers within the System of Production are not effectively controlling this.	There have been cases of discrimination by mid managers but the organization/employers within the System of Production took successful actions.	There are no cases of any kind of discrimination.	Organization/employers within the System of Production have a training/awareness program for mid managers to prevent discrimination AND there are no cases of any kind of discrimination.	0	M
3.3.24	3.3.4.05	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You and your members do not base hiring, promoting or benefit granting on not joining or giving up union membership.	No		Yes			0	C
3.3.26	3.3.4.06	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You and your members ensure that workers' representatives can effectively carry out their functions by providing, on request, - time during working hours - facilities and resources for representatives' meetings with workers.	No		Yes			0	C
3.3.25	3.3.4.07	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Applicable if there is no union that is recognized and active in your area, if unions are forbidden by law, or if unions are managed by government and not by members) You and your members encouraged workers to democratically elect a form of independent workers' organization to represent workers in negotiations to defend their interests.	Organization opposed creation of a workers' organization, incurring in non conformity with Standard requirement 3.3.12.	Organization did not take any measure to encourage workers.	Organization took basic measures to encourage workers (provided information, facilitated contacts, raised awareness, etc.).	Organization arranged/provided independent training OR a workers' organization is elected.	Organization arranged/provided independent training AND a workers' organization is elected.	3	D

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.3.27	3.3.4.08	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You and your members provided training to your workers to improve their awareness about workers' rights and duties. Training takes place during paid working time.	Training was not provided.	Training was provided but not during paid working time.	At least one training was provided within paid working time and the content is correct.	= RANK 3 AND there is an ongoing training plan.	= RANK 4 AND workers are consulted on the topics to be covered.	3	D
<b>3.3.5 Conditions of employment</b>									
3.3.27	3.3.5.01	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You have set working conditions and salaries for workers according to the sector Collective Bargaining Agreement (CBA) regulations where they exist or at regional average wages or at official minimum wages for similar occupations, whichever is the highest.	Salaries < legal minimum or CBA regulations OR it is impossible to calculate reference salaries.	Salaries ≥ legal minimum or CBA regulations but < regional average wages (evidence of regional average MUST exist).	Salaries ≥ legal minimum, CBA or regional average.		= RANK 3 AND all legal provisions and agreed benefits are respected for all workers.	0	M
3.3.27	3.3.5.02	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) have specified wages for all employee functions.	Salaries are discretionary and there are indications of discrimination.	Interviewed workers do not know roughly how much they will earn.	Organization informs verbally OR refers to external sources of information (CBA, legal regulations) AND all interviewed workers know roughly how much they will earn.	Salary categories (including all additional benefits) are specified in writing AND all interviewed workers know roughly how much they will earn.	Salary categories (including all additional benefits) are specified in writing and made known to all workers in a way that is easy to understand.	0	C
3.3.27	3.3.5.03	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) Average income under profit-sharing agreements is not disadvantageous in comparison to fixed salaries.	No		Yes			0	C
3.3.28	3.3.5.04	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You make payments to workers at regularly scheduled intervals and document the payments with a pay slip containing all necessary information.	Wages are not paid regularly and no pay slips are provided	Wages are not paid regularly OR organization's payroll is poorly documented.	Workers receive a physical pay slip with full information together with each payment AND payment takes place regularly.	RANK 3 AND workers are well aware of payment schedule.	RANK 4 AND Workers receive consolidated pay slip every year.	0	C
3.3.28	3.3.5.05	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) Payment is made in legal tender and not in form of vouchers, coupons or promissory notes unless the worker has explicitly agreed to in-kind payment.	Payment is made in kind and the employee has not agreed to this.	Payment is partly made in kind and the employee has not agreed to this.	Payment is made in the way chosen by the organization, but in legal tender (bank transfer, check, cash, etc.) OR otherwise explicitly agreed by workers.	Payment is made in the way chosen by the organization choosing the one with less costs/risks for workers AND when the payment is made in kind it has been explicitly agreed by the worker.	RANK 4 AND measures have been taken to ensure safe receipt of the payment by workers (e.g. when there is a risk of assault then suitable preventive measures have been taken)	0	M
3.3.28	3.3.5.06	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Applicable if payments are made in-kind) Payments in-kind in the form of goods or services are regulated, documented and conform to national law and regulations. You ensure the worker is not deprived of cash remuneration.	In-kind payment is not regulated nor documented nor in conformity with laws and regulations.		In-kind payment is regulated, documented and in conformity with laws and regulations and does not lead to workers being deprived of cash remuneration.	RANK 3 AND there are clear rules to avoid workers from being deprived from cash remuneration	RANK 3 AND workers are aware of the rules	0	C
3.3.29	3.3.5.07	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) Workers receive at least 24 consecutive hours of rest every 6 consecutive days worked unless exceptional circumstances apply.	No		Yes			0	C
3.3.29	3.3.5.08	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Applicable if workers receive less than 24 hours rest) You demonstrate that exceptions are in line with the legislation for mining industry and ensure that they are not claimed on a regular basis.	Exceptions are not documented and the practice not inline with legislation	Exceptions are in line with legislation but claimed on a regular basis.	Exceptions are only claimed in rare, exceptional situations and are documented and in line with legislation		RANK 3 AND workers are informed of the reasons for the exception	0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.3.30	3.3.5.09	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You have assigned all regular work to permanent workers of your organization or of your members and do not use production, quotas or piecework employment as means to avoid time-bound contracts.	Workers that should perform tasks all year are dismissed in order not to issue permanent contracts OR tasks are artificially divided to issue limited contracts to different persons.	Workers performing tasks all year are subcontracted OR have limited contracts for longer than permitted in national law.	All workers performing tasks all year have consecutive limited contracts as permitted in national law and later issued permanent/unlimited contracts.	All workers performing tasks all year have permanent/unlimited contracts.	All workers performing tasks all year have permanent/unlimited contracts and workers performing seasonal work have discontinued unlimited contracts (if they exist) or similar commitments by the organization.	0	C
3.3.31	3.3.5.10	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Applicable if you contract a third party for hiring workers) You ensure that the third party contracted for hiring workers complies with all Fairtrade requirements.	There is no contract with the third party who hires workers.	The contract with the third party does not address Fairtrade requirements.	The contract with the third party clearly demands compliance with related Fairtrade requirements.	RANK 3 AND there are no indications that the third party does not comply with Fairtrade requirements.	RANK 4 AND the ASMO has a system in place to control the third party.	0	C
3.3.31	3.3.5.11	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Applicable if you contract a third party for hiring workers) You ensure that third party labor providers do not engage in fraudulent practices, workers recruited by them receive adequate protection, and no recruitment fees have been charged.	No actions are taken to avoid fraudulent practices, inadequate protection and recruitment fees.		The contract with the third party clearly bans fraudulent practices, inadequate protection and recruitment fees.	RANK 3 AND there are no indications that the third party engages in fraudulent practices, provides inadequate protection and/or charges recruitment fees.	RANK 4 AND the ASMO has a system in place to control the third party.	0	C
3.3.32	3.3.5.12	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You have issued all permanent workers with legally binding written contracts of employment.	Permanent workers are not legally hired.	Permanent workers do not have signed contracts OR these do not comply with labor law OR notice period is longer for the worker.	All permanent workers have signed contracts that include at least job title, wages, working hours and identical notice periods and which comply with labor law.	All permanent workers have signed contracts that include job description, wages and other benefits, working hours, rest and lunch hours, overtime compensation, holidays and identical notice period, and comply with labor law.	= RANK 4 AND contracts are verbally explained and in a language understood by the worker.	0	C
3.3.33	3.3.5.13	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) Deductions from salaries are only made if permitted by national laws, if fixed by a Collective Bargaining Agreement or if the employee has given his/her written consent.	No		Yes			1	C
3.3.33	3.3.5.14	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Applicable if you make deductions from salaries for services you provide.) The amounts deducted are in line with the actual costs incurred and are not used for disciplinary purposes.	Deductions are higher than actual costs OR are used for disciplinary purposes	In some cases, deductions are higher than actual costs OR actual costs are not documented	Deductions and costs are well documented and in line.			1	C
3.3.34	3.3.5.15	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You have set sick leave, annual leave, maternity leave, social security provisions and non-monetary benefits according to national laws, according to the sector CBA regulations where they exist, or according to the agreement signed between the workers' organization and the employer, whichever is higher.	The organization is not paying legal social security provisions therefore leaving workers uncovered in case of sick leave, disability and accident OR it is impossible to calculate/ identify these benefits.	The organization is late in paying legal social security provisions OR is not declaring full wages, therefore leaving workers partly uncovered in case of sick leave, disability and accident.	The organization fulfils all legal/agreed provisions.	The organization fulfils all legal/agreed provisions AND has a plan for increasing them gradually.	The organization complements benefits beyond legal/agreed provisions.	1	C
3.3.35	3.3.5.16	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) Working hours and overtime comply with applicable law and industry standards and workers are not required to work in excess of 48 hours per week on a regular basis.	No		Yes			1	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.3.36	3.3.5.17	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You do not require workers to work overtime unless it is voluntary and not used on a regular basis and does not extend over a period of more than three consecutive months. Overtime does not exceed 12 hours per week, unless exceptional circumstances apply.	No		Yes			1	C
3.3.37	3.3.5.18	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You compensate overtime at a premium rate, applicable for payment and allocation of time off work. - at a factor of 1.5 for work performed on the regional day of rest - at a factor of 2 for work performed on public holidays; unless otherwise defined by national legislation, by CBA or by agreements with unions.	No overtime compensation is provided.	The compensation is neither inline with the mentioned factors nor with national legislation, CBA or agreement with unions.	The organization compensates overtime less than the mentioned factors but inline with national legislation or CBA or agreement with unions.	The organization compensates overtime inline with the mentioned factors.	The compensation is higher than the mentioned factors.	1	C
3.3.38	3.3.5.19	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) Temporary workers who are employed for a period of 3 months or more of uninterrupted service have a legally binding written contract with job description, signed by employee and employer.	Temporary workers are not legally hired.	Temporary workers do not have signed contracts OR these do not comply with labor law OR notice period is longer for the worker.	After 3 months of consecutive work, temporary workers have signed contracts that include at least job title, wages, working hours and identical notice periods and which comply with labor law.	All temporary workers have signed contracts that include job description, wages and other benefits, working hours, rest and lunch hours, overtime compensation, holidays and identical notice period, and comply with labor law.	= RANK 4 AND contracts are verbally explained and in a language understood by the worker.	1	C
3.3.39	3.3.5.20	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You grant workers with at least 2 calendar weeks of paid leave per year not including sick leave and casual leave. Periods of annual leave are in line with national legislation and/or with agreements detailed in a specific or sectorial CBA, if either of these exceeds 2 weeks.	No		Yes			3	M
3.3.40	3.3.5.21	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You regularly increase wage levels.	Organization pays below legal minimum OR pays substantially below regional average and did not foresee any increases.	Organization pays below regional average for most positions and does not have a plan for increases.	Organization pays below regional average for most positions but has a detailed plan for increases.	Organization pays at regional average levels for most positions but has a detailed plan for increases.	Organization already pays substantially above regional average in all positions.	3	D
3.3.41	3.3.5.22	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You give local, migrant, seasonal and permanent workers equivalent benefits and employment conditions for equal work performed.	Benefits and conditions are not equivalent AND the organization did not plan how to bring them to equivalent levels.	Benefits and conditions are not equivalent AND the organization has planned how to bring them to equivalent levels BUT has not implemented the plan yet.	Salaries, paid rest days, sickness/disability coverage are the same or equivalent.	= RANK 3 AND maternity leave, pension scheme and non-mandatory benefits are the same or equivalent.	= RANK 4 AND workers have been consulted on how to choose equivalent benefits when needed.	3	D
3.3.41	3.3.5.23	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Applicable if equivalent benefits cannot be provided to a group of workers, e.g. migrant, seasonal/temporary.) The affected workers receive the equivalent or an alternative through other means.						3	D

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.3.42	3.3.5.24	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Only applicable if housing for workers is provided) The housing you provide for permanent, temporary or former workers is in such condition to ensure structural safety and reasonable levels of decency, privacy and security and hygiene and includes regular upkeep, improvement and modernization of housing and related communal facilities. National or state regulations are complied with and regional norms are considered.	Housing provided to workers does not ensure any of the conditions required.	Housing provided ensures structural safety but presents poor conditions.	Housing provided to workers ensures reasonable levels of decency.	Housing provided to workers are in good hygiene and safety conditions.	The organization continuously maintains and modernizes housing provided and related communal facilities.	3	D
3.3.43	3.3.5.25	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You take efforts to ensure that all registered miners benefit from a social security scheme covering health and pension.	No efforts are taken.		Steps are taken to ensure that workers benefit from a social security scheme	There is a system in place to ensure workers benefit from a social security scheme.	RANK 4 AND all worker benefit from this system.	3	D
3.3.44	3.3.5.26	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) (Applicable in absence of a social security protection system) Workers or miners affected by accidents, occupational disease, or disaster receive solidarity help from your ASMO through economic support collected among the miners and the community as defined by the ASMO. To this aim, a fund and collection system has been set up.	No system of solidary help is in place.	Some workers have received solidary help but there is no system to ensure help is provided to all affected workers.	There is a fund and collection system in place to ensure help is provided to all affected workers.	RANK 3 AND all affected workers have received solidary help.	RANK 4 AND all workers are aware of this system	1	C
3.3.45	3.3.5.27	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) You have developed a policy to ensure that widows or widowers of a deceased miner do not lose rights and obligations in the mine and in the organization held by the deceased, in accordance with the deceased's capabilities and experience.	No policy is in place.	There is a policy but it is not followed in practice.	There is a policy in place lacks some clarity OR process slightly differs from its description.	There is a policy in place and followed but not all registered miners are aware of it.	All registered miners are aware of the policy and records are kept.	1	C
3.3.46	3.3.5.28	(Only applicable if you or your members employ more than 20 permanent or seasonal/temporary workers) In the event of death of a worker, you provide reparation to the widow/ widower and heirs, if there were any.	No		Yes			3	D
<b>3.3.6 Occupational health and safety</b>									
3.3.47	3.3.6.01	You ensure that all workers in your system of production use proper equipment for personal protection in accordance with the nature of the mine, the work to be done and the place. The equipment is paid by the employer.	Workers work unprotected as common practice.	Basic measures have been implemented BUT interviewed workers recognized it is not used at all times OR workers are charged for PPE OR penalized for normal wear-out.	Workers are provided with free essential PPE (organization may penalize for lost/damage due to improper use) AND interviewed workers declare it is used at all times.	RANK 3 AND PPE is adapted to local weather conditions as much as possible in order to increase usability.	RANK 4 AND ICS that controls the use of PPE.	0	M
3.3.48	3.3.6.02	You and all employers in your System of Production ensure that work processes, workplaces, machinery and equipment on the production site are as safe as reasonably practicable.	Workplaces, machinery or equipment represent patent important hazards for workers OR there have been fatal or grave accidents without the organization taking any measure.	Indoor workplaces are not equipped against fire hazards OR fire exits are not maintained clear of obstructions OR machinery is dangerous to operate OR the auditor could find other important hazards.	All machinery has appropriate safety devices and there are at least fire exits and fire fighting equipment in indoor workplaces AND the auditor could not find any important hazards.	RANK 3 AND the organization is aware of national regulations on health and safety and proves compliance.	The organization is aware of the national regulation on health and safety and proves compliance AND the organization already complies with all CC on health and safety below.	0	M
3.3.48	3.3.6.03	A report about safety of a competent authority or independent inspection agency is available.	No		Yes			0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
3.3.49	3.3.6.04	You ensure that all miners in your System of Production have access to information and basic training on health and safety in mining, its main risks and hazards, and how to prevent, prepare for and respond to emergencies.	There is no active information on health and safety to workers.	There has been training but not available for all workers.	There has been training of workers focusing on preventive measures.	RANK 3 AND there is regular full training plan for workers.	As the result of training, all interviewed workers are aware of the risks and know how to prevent them.	0	C
3.3.50	3.3.6.05	There is a committee in place in charge of taking decisions and implementing actions in health and safety in the workplace	There is no committee in place.	The committee is not aware of its duties and responsibilities.	The committee is aware of its duties but does not take appropriate action.	RANK 3 AND performs its functions fully.	There is a description of the role of the committee AND regular training is provided to the committee.	0	C
3.3.51	3.3.6.06	You have a mining map, which maps out all mining and processing operations in your scope.	No		Yes			0	C
3.3.52	3.3.6.07	You have a mining rescue plan and a first aid program depending on the kind of mining activity you develop.	The organization does neither have a rescue plan nor a first aid program in place.	The organization has a rescue plan BUT does not have a first aid program OR has a first aid program but does not have a rescue plan.	The organization has an adequate mining rescue plan and first aid program in place.		RANK 3 AND miners are aware of it.	1	C
3.3.53	3.3.6.08	(For already certified customers applicable as of October 15, 2015) You have identified risks in the workplace and put a monitoring system in place that particularly evaluates, amongst other things, the risk of falling and mine collapse.	Risks have not been identified AND no monitoring system is in place.	Monitoring system is not functioning.	Monitoring system is functioning but does not tackle all risks.	Monitoring system is in place and tackles the risks.	There is a continuous risk assessment AND revision of the monitoring system.	1	C
3.3.54	3.3.6.09	You train members on health and safety risks.	The organization did not provide training OR this was totally unsatisfactory.	The organization only trained a limited number of miners and has not planned to train the rest.	The organization provided training to some miners and has a training plan to cover all miners.	The organization provided training to all miners.	RANK 4 AND interviewed miners are aware of the risks.	1	C
3.3.55	3.3.6.10	You offer regular medical checks to all persons working in the mining operations. Records of the medical checks are available.	The organization does not offer any medical check.	No regular medical checks offered OR regular medical checks are offered but not to all persons working in the mining operations.	The organization could demonstrate that all workers have been offered medical checks.	RANK 3 AND records of the medical checks are available.	The organization offers extra medical support to all persons working in the mining operations.	1	C
3.3.55	3.3.6.11	Medical records are held confidential by the medical practitioner. Records or other personal medical information are not disclosed to the employer without consent from the employee.	Records and medical information are not held confidential.	In some cases records or medical information has been provided to the employer without consent of the employee	Records and medical information are held confidential.		RANK 3 AND any consent given for disclosure is well documented.	1	C
3.3.56	3.3.6.12	You work with local authorities or other relevant parties towards making a gender based diagnosis of the main risks and vulnerabilities to accidents and to disasters in the community due to mining activity.	No action has been taken.		The organization demonstrates that a gender based diagnosis have been made but has not consulted other relevant parties.	The organization has developed a gender based diagnosis together with the local authorities or other relevant parties.	RANK 4 AND has a system to monitor and prevent the risks and vulnerabilities identified.	3	D
3.3.57	3.3.6.13	You raise awareness in the surrounding mining community about health and safety risks.	No measures have been taken.		The organization demonstrates measures to raise awareness.	The organization has developed a program to raise awareness in the surrounding mining community.	RANK 4 AND interviewed persons from the mining community are aware of the risks.	3	D
<b>4 Business Development</b>									
<b>4.1 Development Potential</b>									
4.1.1	4.1.0.01	(For already certified customers applicable as of October 15, 2015) A Fairtrade Premium committee (FPC) with elected representatives of all different types of artisanal and small-scale miners and workers registered in the system of production has been created. The representatives in the FPC reflect in number and gender the social composition of the System of Production.	There is no Premium Committee in place.	No equal representation of all social groups and mining organizations.	All social groups and mining organizations are represented in the initial composition of the Premium Committee.	The organization guarantees equal representation in Internal Rules and Premium Committee composition of all social groups and mining organizations.	RANK 4 AND the Premium Committee is regularly and democratically voted by the general assembly.	0	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
4.1.2	4.1.0.02	(For already certified customers applicable as of October 15, 2015) Internal rules of the Fairtrade Premium Committee have been developed; they are not discriminatory and defined based on a democratic process and include: - the aim of the FPC - its composition - the election process of FPC members - frequency of meetings - criteria for selecting Fairtrade Premium projects - documentation and reports - responsible person for finances	No internal rules have been defined.	Internal rules have been defined but are lacking some required elements	Internal rules covering all required elements.	RANK 3 AND the elements are clearly explained and understandable.		0	C
4.1.3	4.1.0.03	All decisions made on the Fairtrade Premium as well as the internal rules of the FPC are approved by the General Assembly.	There is no General Assembly.	The auditor found indication (through miner's interviews) that decisions were approved by the general assembly but most minutes are missing OR most minutes can be found but decisions are not recorded or recorded in a incomprehensive way.	Decisions were approved by the general assembly and minutes can be found even in loose sheets AND decision are recorded even if not fully clear.	All minutes are found in book(s) and decisions are recorded with total clarity and annexes are included in the book.	RANK 4 AND the general assembly is given plenty of time to discuss all matters.	1	C
4.1.4	4.1.0.04	In cooperation with the ASMO, the Fairtrade Premium Committee carries out a needs assessment identifying the environmentally, socially and economically sustainable development of the organization and the community and how the Fairtrade Premium can help promote this development.	Needs assessment has not been carried out.	Identification of possible needs has important shortcomings, failing to identify required details OR identification of needs is not documented.	Needs assessment carried out that includes all required details.	Needs assessment carried out based on consultation with miners, workers and community.	RANK 4 AND needs assessment is later approved by the general assembly.	1	C
4.1.5	4.1.0.05	The Premium Committee has developed a Fairtrade Development Plan with the description, objectives, timeline, responsibilities and budget of all planned activities. At least one activity is planned with the intension to promote the progress of your business, organization, members, workers, community and/or environment.	There is no written plan.	Plan does not contain all essential details as defined in criteria.	Written plan with all details.	Written plan with all details AND developed in participatory way (consultation) with miners.	RANK 4 AND plan based on previous assessment of community needs.	1	C
4.1.6	4.1.0.06	(For already certified customers applicable as of October 15, 2015) The Fairtrade Premium Committee decides on priorities of the Fairtrade Development Plan based on the evaluation of the needs assessment and proposes the it to the General Assembly for adoption.	There is no written plan.	Plan does not contain all essential details as defined in criteria.	Written plan with all details.	Written plan with all details AND developed in participatory way (consultation) with miners.	= Rank 4 AND plan based on previous assessment of community needs.	1	M
4.1.7	4.1.0.07	The FPC carries out the following functions: • analyzed whether the Fairtrade Development Plan is aligned with the needs assessment; • (if applicable) make justified adjustments in documented consensus; • adopt the Fairtrade Development Plan; • recommend approval of the Fairtrade Development Plan to the General Assembly • and assume responsibility for its implementation.	The organization could not demonstrate any of the mentioned points.	The organization could only demonstrate one of the mentioned points.	The organization could demonstrate two of the mentioned points.	The organization could demonstrate three of the mentioned points.	The organization could demonstrate all applicable points.	1	C
4.1.9	4.1.0.08	You report and document the results of the Fairtrade Development Plan to the General Assembly every year. The following questions are addressed: - Where the activities carried out? If not, why. - When and at what cost were activities carried out? - Was the objective achieved or are further actions needed?	No information is presented.	Information is presented but report or approval is not documented in writing.	Written report presented to the General Assembly and approval is documented BUT report answers all the questions listed BUT there are small mistakes.	Written report presented to the General Assembly and approval is documented AND report complete as below.		1	C

FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
4.1.9	4.1.0.09	You have an accounting system for the Fairtrade Premium income and expenditure in place, in order to manage the Fairtrade Premium transparently.	There are no records OR these are not understandable OR records are incorrect with the purpose of misguiding miners.	There are records of income and expenditures but it is not possible to identify/separate those that are related to Premium OR unintentional mistakes >1%.	Any system that allows tracking income and expenditure and identify Premium but unintentional mistakes <1% found.	There are at least records of income and expenditures, identifying those related to Premium AND no mistakes.	Up to date accounting system, possible to track Premium AND no mistakes.	1	M
4.1.10	4.1.0.10	(For already certified customers applicable as of October 15, 2015) You have a separate bank account with two signatories (one from the FPC, one from the ASMO) for managing the Fairtrade Premium.	There is no separate bank account.	There is a separate bank account BUT with only one signatory	There is a separate bank account with two signatories			1	C
4.1.11	4.1.0.11	All relevant books of the Fairtrade Premium account are available to all FPC members and the certification body.	No		Yes			1	C
4.1.11	4.1.0.12	The Fairtrade Premium is used in line with applicable rules.	No		Yes			1	C
4.1.12	4.1.0.13	You proactively inform the local community and impacted stakeholders about the Fairtrade Development Plan.	Organization has not taken any action.	Organization did not inform the local community OR impacted stakeholders.	Organization informed the local community AND impacted stakeholders.	RANK 3 AND the organization keeps local community and impacted stakeholders updated.	RANK 4 AND Development Plan has been done in consultation with the local community.	1	C
<b>4,2 Democracy, Participation and Transparency</b>									
4.2.1	4.2.0.01	You have a legal, transparent and democratic organizational structure in place, which enables effective control by the members. This includes: - a General Assembly as the highest decision-making body where all major decisions are discussed and taken; - equal voting rights for all members; and - if you have more than ten registered miners, an elected Board, chosen in free, fair and transparent elections.	No legal, transparent and democratic structure in place.	There is a legal, transparent and democratic structure in place but a GA and/or Board are not foreseen.	There is a legal, transparent and democratic structure specifying the GA, voting rights and Board (if applicable)			0	M
4.2.2	4.2.0.02	You register and keep a record of all miners working in your System of Production, which includes the mining area (mining rights, land rights and respective concession numbers) and all mining works (e.g. pits, processing units) that are part of it and deliver into the Fairtrade supply chain. For each registered miner, you record at least: • name; • date of birth; • legal document/identity card number; • distinguishing name of the organization, workgroup, micro-enterprise or Small Enterprise to which he/she belongs; • start date working in the area/with the organization; • matrimonial status; • number of dependents; • reason why they are working in ASM; • reason why they have registered with the ASMO; • type of working contract, working hours/week, and salary (in cash or in kind)/week (for workers only).	No list of miners.	List of miners with more than 10% errors OR without containing basic information.	List of miners with basic information (name, location, land, production, number of workers, membership status) and maximum 10% errors.	List of miners with basic information and maximum 2% errors.	List of miners with basic information and maximum 2% errors AND regularly updated.	0	C
4.2.3	4.2.0.03	You have clear and documented admission and exclusion rules for registration and your System of Production in place. You make all efforts to minimize the need for exclusions, and you do not exclude persons, areas and in particular production units or processes in a discriminatory way or in order to minimize the efforts to reach standard compliance of its production process.	There are no written criteria.	Criteria are not sufficiently clear, there are ambiguous clauses OR they are not followed in practice.	Clear criteria in statutes or other documents about who and how to become a registered miner but no additional procedures.	Clear criteria in statutes or other documents about who and how to become a registered miner with additional application procedures.	= Rank 4 AND clear specification of the length of time between application and response that is respected.	0	C



FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
4.2.4	4.2.0.04	You hold a General Assembly at least once a year.	No annual General Assembly was held in the year.	The annual General Assembly was postponed into the following year for reasons that are more than technically reasonable OR there was a General Assembly with insufficient quorum (invalid General Assembly).	The annual General Assembly took place (even if not recorded/poorly called or recorded) OR postponed for understandable reasons.	The annual General Assemblies took place fully in line with statutes.	The annual General Assemblies took place fully in line with statutes AND the General Assembly is given plenty of time to discuss all matters.	0	C
4.2.5	4.2.0.05	You follow your own rules and regulations such as constitution, by-laws and internal policies, including election and membership processes.	Organization does not have statutes or equivalent regulations.	Organization does not follow statutes regarding acceptance of miners, mandate of General Assembly, Board, or Surveillance (Control) committee (if exists).	Organization follows statutes in at least: acceptance of miners, mandate of General Assembly, Board, and Surveillance (Control) committee (if exists).	Organization follows statutes in items in Rank 3 AND mandate of additional committees and all formalities of General Assembly.	Organization follows statutes in all details.	0	C
4.2.6	4.2.0.06	You present the annual report, budgets and accounts to the General Assembly for approval.	No information is presented OR the organization presented a false image with the purpose of misleading miners.	Only limited information is presented OR there is no documented approval.	All reports were formally presented to the General Assembly and approval is documented but minor mistakes are found in reporting.	All reports were formally presented to the General Assembly and approval is documented.	All reports were formally presented to the General Assembly and approval is documented AND the organization took some measures to make reporting more understandable.	0	C
4.2.7	4.2.0.07	You inform your registered miners in good time when the General Assembly will take place.	No annual General Assembly was held in the year.	The call for assembly did not follow regulations in terms of timing and method of communication OR if call for General Assembly is not regulated miners were informed less than 2 weeks in advance.	General Assembly was properly called in line with statutes even if lacked certain minor formalities OR if call for General Assembly is not regulated miners were informed at least 2 weeks in advance.	General Assembly was properly called fully in line with statutes OR if call for General Assembly is not regulated but attendance was very high (>90%).	RANK 4 AND the organization took additional measures to increase attendance of registered miners to the General Assembly OR attendance is very high (>90%).	0	C
4.2.8	4.2.0.08	You have an administration in place with at least one person or committee who is responsible for managing the administration and book keeping.	None is responsible.	External accountant/administrator that cannot be present during General Assemblies and audits.	External accountant/administrator without full availability BUT available during audits and General Assemblies.	One person hired without sufficient knowledge but with external support OR external accountant/administrator that is fully available.	One person inside the organization hired for accounting and administration with sufficient knowledge for the task.	0	C
4.2.9	4.2.0.09	You communicate to the community to ensure it is informed on Fairtrade and its principles, on the activities of the ASMO, and on how the benefits of Fairtrade are distributed and used.	There is no active communication to inform the community.	Insufficient measures have been taken.	Communication is implemented.	The community is well informed.	Regular communication and briefing on ASMO activities and Fairtrade benefits distribution.	0	C
4.2.10	4.2.0.10	You provide training to your members to facilitate their control over your administration.	The organization did not provide training OR this was totally unsatisfactory.	The organization only trained a limited number of miners and has not planned to train the rest.	The organization provided training to some members and has a training plan to cover all miners.	The organization provided training to all miners.	The organization provided training to all miners AND has a trained Surveillance Committee in place.	3	D
4.2.11	4.2.0.11	You keep records and books that are accessible to all members.	There are no/ insufficient records.	The organization does not grant miners or surveillance (control) committee access to records when requested in sufficient advance OR records are retained by accountant or other persons.	The organization has reasonable updated records and books. Mistakes may happen but are corrected at year-end AND miners have potential access.	The organization has fully updated records and books (if computer-based there is a working back-up system) AND miners have potential access.	RANK 4 AND organization proactively makes documents available (for example when calling for the General Assembly).	0	C



FLO-CERT requirement	1.1.0.08	All non-conformities of the previous audit have been corrected.	No		Yes			1	M
4.2.12	4.2.0.12	You have a bank account with more than one signatory (unless this is not possible).	There is no bank account.	There is at least one bank account BUT not registered to organization's name OR the organization did not change signatory rights from previous directors.	There is a bank account registered to organization's name with more than one signatory, at least one of them a Board member AND signatories can each sign alone.	There is a bank account registered to organization's name with more than one signatory, at least one of them a Board member AND the account has joint signatory rights to prevent embezzlement.	RANK 4 AND bank account provides interests and low costs for savings and transactions.	0	C
4.2.13	4.2.0.13	Minutes of the General Assembly are documented and signed by the president of the Board and at least one other member and include a list of participants of the General Assembly.	No minutes in any form in any General Assembly OR minutes are not signed AND do not contain participants list	Minutes are not signed OR do not contain participants list	Minutes are not signed AND do contain participants list	All minutes are found in book(s) and signed, decisions are recorded with total clarity and annexes are included in the book.	Rank 4 AND minutes are registered before local authorities and/or notary public OR other situation considered best practice.	0	C
4.2.14	4.2.0.14	You enhance the members' participation in the organization.	The organization has not taken any action.		The organization provides information sessions or training to its members.	RANK 3 AND participation of members and content is documented.	RANK 4 AND you quantitatively and qualitatively monitor the members' commitment.	3	D
<b>4,3 Non Discrimination</b>									
4.3.1	4.3.0.01	Your rules for registration do not discriminate on the basis of race, color, gender, sexual orientation, disability, marital status, age, religion, political opinion, language, property, nationality, ethnicity or social origin, unless considered "positive discrimination".	There are substantial indications of discrimination regarding membership and voting rights and the right to be elected.	There are substantial indications of discrimination on technical support, access to markets and other benefits.	There is no discrimination in practice even if there could be non-applied discriminatory rules.	There are no records or rules but no indications of discriminatory practices.	The organization has clear and non discriminatory rules and records that show reasons for non-acceptance or suspension of registered miners AND no indications of discriminatory practices.	0	M
4.3.1	4.3.0.02	There is no discrimination regarding participation, voting rights, the right to be elected, access to markets, access to training, technical support or any other benefit or obligation.	There are substantial indications of discrimination regarding participation, voting rights and the right to be elected.	There substantial indications of discrimination on technical support, access to markets or any other benefits.	There is no discrimination in practice even if there could be non-applied discriminatory rules.	There are no records or rules but no indications of discriminatory practices.	The organization has clear non discriminatory rules and records that show no indications of discriminatory practices.	0	C
4.3.2	4.3.0.03	You have identified disadvantaged/ minority groups within your organization and System of Production.	Organization opposes strengthening the position of minority groups of any/some kind.	During interviews organizations' board is not able to identify these OR there are obvious groups missing.	During interviews organizations' board is able to identify minority/disadvantaged groups.	The organization has identified minority/disadvantaged groups before the audit.	The organization has developed criteria for this in writing and has identified all possible groups.	3	D
4.3.3	4.3.0.04	You have put in place programs that improve the social and economic position of minority/disadvantaged groups in your organization.	There is no program/plan.	There is a program/plan but it has not been put into practice.	There is a program/plan for one disadvantaged group.	There is a program/plan for all identified disadvantaged groups including the group of female miners.	There is a program/plan for all identified disadvantaged groups including the group of female miners AND this was developed in consultation with the disadvantaged groups.	3	D
4.3.4	4.3.0.05	You have taken appropriate measures to ensure equal representation of women in your organization.	No measures have been taken.	Insufficient measures have been taken.	Women are equally represented in your organization.		The organization has a program to support and promote women.	3	D
4.3.5	4.3.0.06	You ensure that women miners and minority groups have equal access to mineral resources and technological innovation within the organization.	There are substantial indicators that access has been denied to women miners and minority groups.	The organization does not ensure access to women and minority groups.	Women and minority groups have equal access.		The organization takes actions to train women miners and minority groups.	3	D
<b>4,4 Pre-Finance</b>									



FLO-CERT requirement		All non-conformities of the previous audit have been corrected.	No		Yes			1	M
4.4.1	4.4.0.01	You have a transparent mechanism for the management of pre-financing funds provided by traders.	There is no transparent administration and no records OR these are not understandable OR records are incorrect.	There are records of income and expenditures but it is not possible to identify/separate those that are related to pre-financing funds OR unintentional mistakes >1%.	Any system that allows tracking income and expenditure and identify pre-financing funds but unintentional mistakes <1% found.	There are at least records of income and expenditures, identifying those related to pre-financing funds AND no mistakes.	Up to date accounting system, possible to track pre-financing funds expenditure AND no mistakes.	0	C