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|------|---|--|---|-----------|----------|----|-------------|-----------------------------|
|      |   |  |   |           | Yes      | No | N/A         |                             |
| AU   |   | Control points in this module are applicable to all registered units.  |   |           |          |    |             |                             |
| AU.1 |   |  Legality   | Registered organizations and associated units must operate within the EU and in accordance with the applicable legislation. Registered organizations are legal entities within the post farm-gate cotton supply chain, from processing and trading to manufacturing and retailing.  |           |          |    |             |                             |
| AU.1 | 1 | Is there documentation available that clearly demonstrates the legal operation within the EU and the scope of activities?  | The unit's administration manager must upload an operating license in force issued by a member state in accordance with EU and national legislation, or a valid site and scope specific ISO series certificate.   | Knock-out |          |    | <del></del> | Upload Document             |
| AU.1 | 2 | Is there documentation available that clearly demonstrates the implementation of the required fire safety standards?   | The unit's administration manager must upload a fire safety inspection certificate in force issued by a member state in accordance with EU and national legislation, or a valid site specific ISO 45001:2018 certificate, or a valid site specific Global Organic Textile Standard (GOTS) certificate, or a valid Sedex Members Ethical Trade Audit (SMETA) report, or another site and scope specific valid certificate.                       | Knock-out |          |    | <del></del> | Upload Document             |
| AU.1 | 3 | Is there documentation available that clearly demonstrates the implementation of the required environmental standards?   | The unit's administration manager must upload a valid environmental impact assessment approval issued by a member state in accordance with EU and national legislation, or a valid site specific ISO 14001:2015 certificate, or a valid site specific Global Organic Textile Standard (GOTS) certificate, or a valid Sedex Members Ethical Trade Audit (SMETA) report, or another site and scope specific valid certificate.                    | Knock-out |          |    | <del></del> | Upload Document             |
| AU.1 | 4 | Is there documentation available that clearly demonstrates the identification and assessment of potential risks related to the health and safety of employees and the implementation of the appropriate preventive measures? | The unit's administration manager must upload an updated employee's health and safety risk assessment signed by a competent member of the staff or an external certified service provider, or a valid site specific ISO 45001:2018 certificate, or a valid site specific Global Organic Textile Standard (GOTS) certificate, or a valid Sedex Members Ethical Trade Audit (SMETA) report, or another site and scope specific valid certificate. | Knock-out |          |    | <del></del> | Upload Document             |


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| AU.2 |   |  Management & Structure  | Management is the process of planning and organising resources and activities, whereas structure determines roles and responsibilities.  |           |  |  |   |                 |
| AU.2 | 1 | Has the required contact information of the unit's administration, production and sales manager been recorded in the appropriate section of the platform? | The unit's administration manager must record the full name, email and work phone of individuals responsible for administration, production and sales management, in the contacts section of the unit's profile.   | Knock-out |  |  |    | Link            |
| AU.2 | 2 | Is there documentation available that clearly demonstrates the appropriate structure for the implementation of the management system?                     | The administration manager has to upload the unit's organisational chart, in which key roles and reporting lines are demonstrated, signed by the organization's legal representative.  | Major     |  |  |    | Upload Document |
| AU.2 | 3 | Is there documentation available that clearly demonstrates the sufficient human resources for the implementation of the management system?                | The administration manager should upload the unit's list of personnel, in which duties and responsibilities are demonstrated, signed by the organization's legal representative.   | Minor     |  |  |    | Upload Document |
| AU.2 | 4 | Is there documentation available that clearly demonstrates the appointment or the contractual agreement of the unit's certified safety technician?        | If required by the applicable legal framework, the unit's administration manager must upload the appointment decision of an internal safety technician signed by the organization's legal representative, or a contract with an external safety technician signed by the contractor and the organization's legal representative. | Knock-out |  |  |   | Upload Document |
| AU.2 | 5 | Is there documentation available that clearly demonstrates the contractual agreement of the organization's occupational physician?                        | If required by the applicable legal framework, the unit's administration manager must upload a contract with an occupational physician signed by the contractor and the organization's legal representative.   | Knock-out |  |  |   | Upload Document |
| AU.2 | 6 | Is there documentation available that clearly demonstrates the appointment of the unit's fire safety and first aid teams?                                 | The administration manager has to upload the unit's fire safety and first aid team appointment decisions, signed by the organization's legal representative.   | Major     |  |  |  | Upload Document |
| AU.3 |   |  Competency & Training   | Competence is the ability to demonstrate use of education and expertise, whereas training is the process of increasing knowledge and skills.   |           |  |  |   |                 |





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| AU.7  | 1 |   | Is there documentation available which clearly demonstrates the validity of transaction data recorded in the platform?                       | The unit's administration manager must upload at least three (3) transaction documents -purchase receipts or delivery notes or invoices- with reference to raw materials, suppliers, processing or manufacturing units and associated certifications.                    | Knock-out |  |  |  | Upload Document |
| AU.8  |   |    | Traceability   | The ability to track finished products back to trading, processing or manufacturing units and forward to immediate customers, with the aid of specific records.  |           |  |  |   |                 |
| AU.8  | 1 |   | Is there documentation available which clearly demonstrates the received, stored and sold volume of both EUCotton and non-EUCotton products? | The unit's administration manager must upload an annual mass balance exercise to demonstrate that outputs do not exceed inputs -according to rates of return in processing and manufacturing units- carried out per product and signed by the unit's production manager. | Knock-out |  |  |  | Upload Document |
| AU.9  |   |    | Segregation  | Segregation refers to the process of physically separating conforming from non-conforming products throughout the supply chain.  |           |  |  |   |                 |
| AU.9  | 1 |   | Is there documentation available which clearly demonstrates the segregation of EUCotton products from non-EUCotton products?                 | The unit's administration manager must upload images or videos of storage areas -raw materials and finished products- that demonstrate the segregation of EUCotton from non-EUCotton products in the media section of the unit's profile.                                | Knock-out |  |  |  | Link            |
| AU.10 |   |  | Subcontractors   | Subcontractors are approved organizations for purposes of processing or manufacturing that have to register in the platform according to scope and conduct the required assessments and audits.  |           |  |  |   |                 |
| AU.10 | 1 |   | Has the required information of processing or manufacturing subcontractors been recorded in the appropriate section of the platform?         | The unit's administration manager must record the company title, VAT number, email, work phone and scope in the subcontractors section of the unit's profile.  | Knock-out |  |  |   | Link            |

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| AU.10 | 2 |   | Is there documentation available that clearly demonstrates the contractual agreement between the subcontractor and the organization?  | The unit's administration manager should upload a site specific contract between the subcontractor and the organization, signed by both parties.  | Minor     |  |  |   |  | Upload Document |
| AU.11 |   |  | Assessments & Audits  | Assessment refers to the organization's ability to implement the management system, while audit refers to the organization's conformance with specific rules.   |           |  |  |   |  |                 |
| AU.11 | 1 |   | Has at least one internal (or self) assessment of the unit been conducted annually by the administration manager?   | The unit's administration manager must conduct and submit the annual internal assessment to a designated independent assessor, via the assessments section of the unit's profile.   | Knock-out |  |  |  |  | Link            |
| AU.11 | 2 |   | Has at least one external remote assessment of the unit been conducted annually by an independent assessor, included in the certified assessors list of the platform?   | The independent assessor must revise and approve or reject the unit's submitted internal assessment and, as a result, the unit's assessment status in the organization's business card is updated accordingly.  | Knock-out |  |  |  |  |                 |
| AU.11 | 3 |   | Has at least one on-site audit of the unit been conducted within a three (3) year cycle by a certification body's lead auditor, included in the certified auditors list of the platform?  | Based on the lead auditor's report, the certification body must make a certification decision after closure of any outstanding non-conformances and, as a result, the unit's certification status in the organization's business card is updated accordingly. | Knock-out |  |  |   |  |                 |
| AU.11 | 4 |   | Is there documentation available which clearly demonstrates that in case non-conformances are detected during on-site audit, the required corrective actions must be performed within the specified time period of twenty (20) calendar days? | The unit's administration manager must upload the corrective actions documentation in the media section of the unit's profile no later than 20 days after the end of the on-site audit.   | Knock-out |  |  |   |  | Link            |

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| AU.12 |   |  Trademark Use   | <p>Only assessed registered organizations may use the EUCOTTON® trademark on their products. In order to use the trademark organizations must validate that: (a) the EUCotton content percentage in products made purely from cotton is 100% and (b) the EUCotton content percentage in products made from cotton and other materials is at least 50%. Purchase of EUCotton products (e.g. lint or yarn) does not automatically qualify the purchaser to use the EUCOTTON® trademark.</p> |           |  |  |   |      |
| AU.12 | 1 | <p>Is there documentation available which clearly demonstrates the proper use of the EUCOTTON® trademark according to general requirements?</p> | <p>The administration manager must upload in the media section of the unit's profile, images or videos of finished products on which the EUCOTTON® trademark, the lot number and relevant data are clearly demonstrated.</p>  | Knock-out |  |  | X | Link |