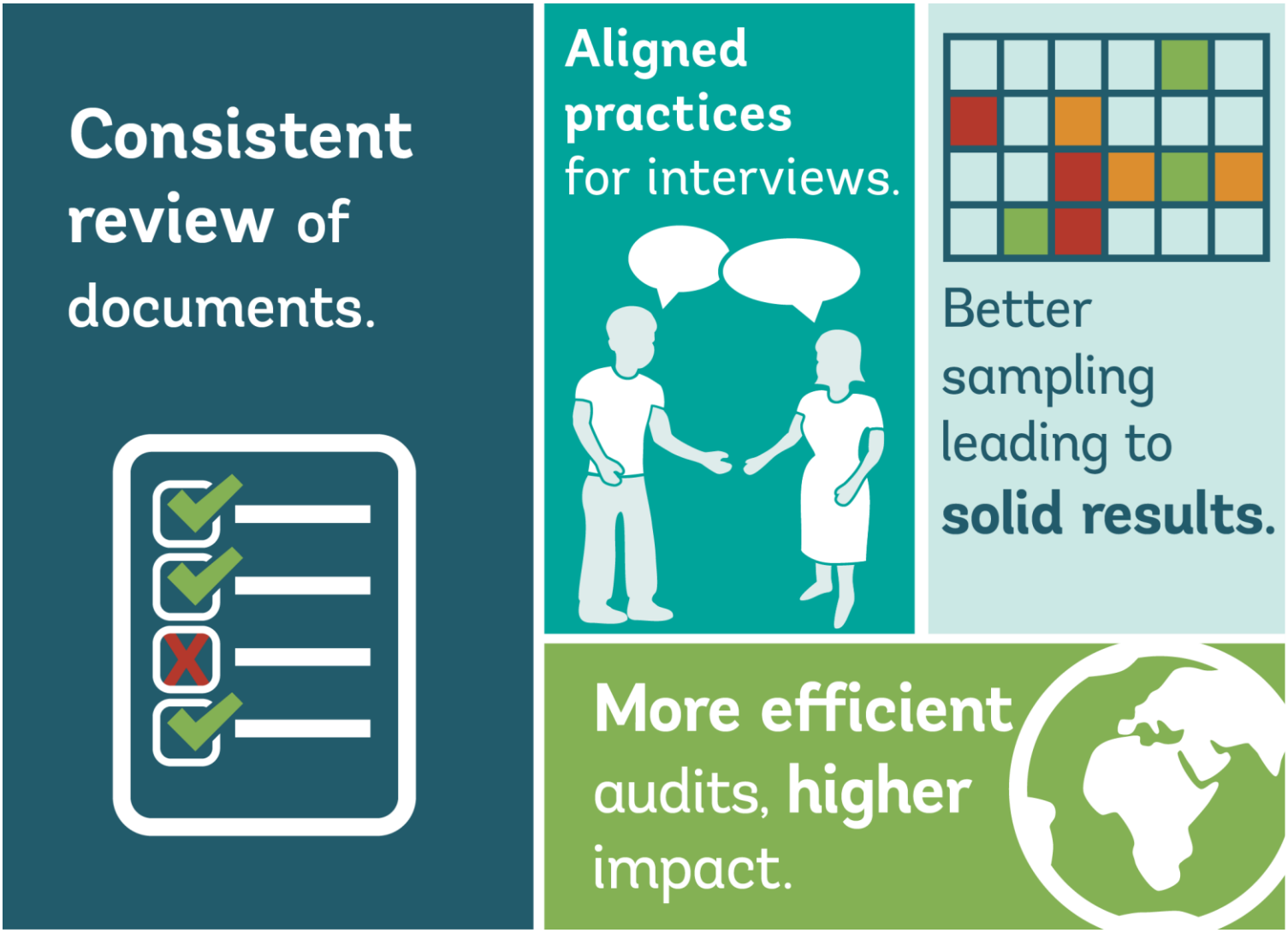
UTZ GUIDANCE DOCUMENT

GOOD AUDITING PRACTICES

Version 1.0, August 2017



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Introduction and important considerations

This guidance document is designed to assist you with the assessment of the UTZ Code of Conduct and to give you specific guidance to audit for the UTZ standards. It is meant to be the auditor's companion during audits and for personnel of Certification Bodies (CBs). The guidance will help you along the whole certification process – from the first contact with the client to the issuing of the certificate.

The goal of the guidance is to create a common methodology for audits conducted against the UTZ standards that can easily be implemented across all commodities and regions, so that the consistency of audit performance and results can be kept at a high level. It includes annexes with audit guidelines for the assessment of the structure of group and multi-group certification (version 1.1), plus modules for every product.

The principles in this guidance document are based on the UTZ Standards (Certification Protocol and Codes of Conduct including the modules per product) and all relevant guidance offered to CBs through the UTZ website. Furthermore, the fact that UTZ is considered a product certification, this guidance document also considers ISO 17065 and other ISO norms regarding auditing:

- ISO 9001, for principles of management systems and basic "quality" vocabulary
- ISO 19011, Guidelines for auditing management systems

Since UTZ is using a proxy accreditation system for the approval of the CBs conducting UTZ audits, it is expected that CBs apply similar procedures and internal instructions for both the accredited scope and UTZ; by embedding the UTZ scope within their ISO 17065 Management System while considering the UTZ Certification Protocol, the CBs are able to perform UTZ activities at high level according the principles of ISO and the requirements of UTZ.

We sincerely hope this guidance document will help you to improve your auditing skills. As an auditor, you know that there not one way of doing things. We tried our best to aggregate all our knowledge and better practices accumulated during years of experience, but everything can be always improved. We will be happy to receive your feedback and ideas for future versions of this document. If you have any suggestions, please write to assurance@utz.org. Thank you in advance for your valuable contribution.

1. Preparation of the audit

1.1 Client's profile

As a part of the CB's management system, a database with all relevant information of the UTZ clients should be available for consultation and smooth process of the certification. A typical database contains basic, up-to-date information about every client, such as:

- **Complete name**: to be used in official communications with the client (e.g. invoices) and in the communication with UTZ (through the online traceability system);
- **Short name**: acronym or similar, used to make a quick reference to the client (e.g. in the audit planning or in physical/digital folders);
- **Certification process ID**: your CB can identify the clients with an alphanumeric code in order to better trace the activities for every client; the UTZ member ID can be also used as reference;
- **Contact details**: exact location of the member, updated telephone/email address, name of the responsible person for UTZ activities; useful for the CB to plan the audit, request relevant information beforehand (see point 1.2.2) and reach the visiting location (ideally, directions on how to reach the location should be attached);
- **Type of client**: individual, multi-site, (multi-)group, with or without Chain of Custody activities. This information will guide the CB to meet the specific requirements for every type of scope according the UTZ Certification Protocol;
- **History**: indicates the last activities conducted for that client (including date of the last audit/assessment, number of farmers/plots involved, year of compliance); a link to the last available reports would help you to better prepare for the next audit; and
- **other relevant information**: financial status (e.g. up to date with payments), client that comes from other CBs, member that is also client for different schemes, and much more.

1.2 Assessment of the preliminary information

1.2.1 Audit schedule

Existing clients: The internal information available to the CB will give an overview of when their clients need to receive an audit in order to renew the current valid certificate in time. The responsible coordinator of your CB should review the existing information and plan the audit according the client's needs. In order to plan the audit in the most efficient way, is important to consider the validity of the previous certificate; remember that the next audit should take place *before* the expiry date of the certificate. The date of the audit is considered

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the day on which the audit is finished, when the final meeting occurs. To check the possibilities for extensions of certificates, auditors can refer to the UTZ Certification Protocol. If the audit cannot be planned on time, it is the responsibility of the CB to request an extension of the current certificate before its expiration, as extensions are not possible outside of a certificate's validity. UTZ encourages all CBs to plan audits on time and to avoid extension requests if possible. When requesting the extension of a valid certificate, a CB should inform UTZ on the new predicted date of the audit within a timeframe of one week.

New and existing clients: When planning the (re-)certification audit, mind the harvest periods (begin and the end dates of the harvest) and consider that no audit can be accepted out of the stipulated timeframe – four months before and four months after the first day of the harvest for the season that is planned to be certified. It is important to inform the clients about this limitation if they insist on carry on the audit out harvest periods.

1.2.2 Documentation

Ideally, all this information is received at least one week prior to the audit. The CB allocates time enough for the auditor (or a qualified officer) to assess the received information; after this review, aspects as the duration of the audit or the size of the sample will be clear to the auditor. When this information is sent to you in advance, the audit results in a more solid evaluation of the group, because external information can be cross-checked with the reality of the member. It also helps to safeguard the credibility and reputation of the CB (especially when legal requirements apply to some control points in the Code).

The review of preliminary information is important for several reasons:

a) The result of the self-assessment gives you an idea of the complexity and level of implementation of the Internal Management System (IMS) as well as the applicable topics for the group. This includes the number of procedures and documents to review during the audit, facilities or areas to visit, number of interviews to conduct and activities to observe. When the assessment is properly done, the group can identify deviations within its system before the certification audit occurs, so that the CB can check during the audit how efficient the corrective actions are implemented by the group. In the self-assessment, the chosen additional points for the given year of compliance shall be indicated by the client to the auditor.

b) When you are aware of the number, location and type of subcontractors used by the client, you can consider to increase the initially planned duration of the audit to include the visit of such facilities; it is also useful to cross-check the information received with the client's profile. Regarding the list of group members, the information requested in the template provided by UTZ will help you to preliminarily decide on the sample (see chapter 1.3 Risk assessment and sampling).

c) The result of previous audits is of key importance for the next audit. When you take enough time to assess the efficiency of implemented corrective measures for the non-conformities (NCs), this helps you to figure out the quality of the IMS and prevent uncomfortable situations during the audit (e.g. when unexpected corrective actions or unknown documents are provided by the client to justify the closure of previous NCs).

Documentation

To optimally prepare an audit, the CB requests the following preliminary information from the client and considers:

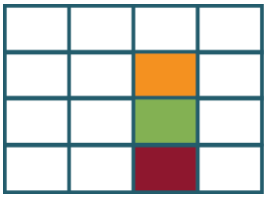
- Self-assessment;
- Self-assessment of the subcontractor(s);
- List of sites belonging to a multi-site, or group members belonging to a group or multi-group (if applicable).
- Documentation of previous UTZ audits, including those that did not result in certification (e.g. surprise audits and audits conducted by different CBs);
- Management plan of the farm or group; and
- Any other relevant details that can influence the audit (e.g. circumstances around the country or region, factors that can influence the harvest, feedback given by UTZ, or GIP transactions).

d) The management plan is one of the main documents within the structure of the IMS. It describes the actions to be developed by the member to guarantee the compliance with the UTZ Code of Conduct in the corresponding year as well as those implemented in order to reach the desired levels of continuous improvement. A careful review of this document can offer an indication of which information to check, sites or areas to visit, or new policies that could have been implemented in the group. The complexity of the system grows with the year of certification, so it is good to consider additional time for members in year 4+ of compliance.

The CB is responsible for including any kind of general available information about the production region/country into the analysis of the management plan. This could include:

- a map of protected areas and their location with reference to the location of group farmers, or consultations with forestry department of the government or local environmental NGOs to get up-to-date information on risks and developments in the region;
- a list of banned pesticides for the given commodity or country;
- the last version of applicable collective bargaining agreements or information about the minimum and living wages, payment of overtime, etc.; and
- the minimum age for workers in agriculture/food processing sector.

Additional information to be considered comes from the UTZ online traceability system: you can identify the size of the company in terms of volume sold as UTZ and estimate the size of the sample to be taken amongst the transactions completed by the auditee (during the last valid certification period) in order to check requirements included in the Block A of the Code of Conduct.



1.3 Risk assessment and sampling

In order to assess the IMS of a group, you should sample the members of the group by selecting a representative number of farmers and facilities. Typically, the number would be the square root of the total number of members, but specific rules can apply as described in the UTZ Certification Protocol:

Type of certification	Sample for certification audit
Individual	The minimum number of plots to be physically audited by the CB is the square root of the total number of plots on the farm, rounded up to the next whole number.
Multi-site	All sites under the central management are physically audited by the CB, following the conditions for Individual Certification above.
Group	The IMS of the group + at least the square root of the total number of group members (rounded up to the next whole number and with a minimum of 5)
Multi-group	The IMS of the multi-group + at least the square root of the total number of group members of all sub-groups combined (rounded up to the next whole number and with a minimum of 5).

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This sample is selected according to a combination of risk-based evaluation and random selection. It is important to consider the definition of risk assessment: "*a systematic process for identifying and evaluating hazards. Hazards can be identified in an external environment (e.g., economic trends, climatic events, competition) and within an internal environment (e.g., people, process, infra-structure). When these hazards interfere with objectives — or can be predicted to do so — they become risks.*"

With the information received prior to the audit, you should be able to pre-select the group farmers that will be audited. Some criteria that you can use are (but not limited to):

- **Non-conformities or negative results of previous audits** in order to assess the implementation of previous corrective actions and the efficiency of the IMS on tackling the problems found during the internal inspections.
- **Farmers with high yields or acreage in comparison to the average**. For example, when the productivity is 500 Kg/Ha on average, producers with 750 Kg/Ha should be included in the sample: there is potential risk of fraud and it is also interesting to know if better practices are used to reach those figures.
- **Year of compliance**. For new farmers, it is interesting to see how they access the program, while for experienced farmers, it is interesting to see how the demanding requirements for year 3 and 4 are implemented according the theory of continuous improvement.
- **Gender**. The percentage of female farmers in the sample should be similar to the total percentage of female farmers in the group.

Once the audit starts, you can adapt or increase the sample. If the member poses a high risk to the credibility of the certification process or if the results of the IMS evaluation show (potential) gaps in the implementation of the CoC, larger samples will be needed. It is a good practice to record the criteria that lead you to select the final sample; according the findings, this can help you to justify any increase in the initial sample size (square root) and will be useful for your colleagues in future audits (to guarantee representativeness of their sample). Additional criteria could be:

- **Location**. After checking the map, you can target farmers according their closeness to protected areas, water courses or areas with similar crops without certification; also, remote farmers are frequently receiving less attention/support.
- **Content of management plan**. Based on this, you can check whether new areas, nurseries, shadow trees distribution are properly developed.
- **Result of farmers audits**. When your insights differ too much from internal inspection results, you can confirm the level of the IMS by choosing more farmers inspected by the same internal inspector.
- **Other information**, such as age of farmers, size of the farms, feedback from stakeholders, comments included in the self-assessment or results of the own group's risk assessment.

1.4 Estimating audit duration

The duration of the audit should always respect the parameters set in the UTZ Certification Protocol. Considering the minimum duration of the IMS audit (0.5 days), the CB should always consider the complexity of the member, so that the time allocated for the assessment of the IMS grows accordingly. For example, if one audit day is normally allocated for the IMS of groups with around 1000 farmers, a half additional day should be added when the size of the group is 5000 farmers. The square root sample also guides you when checking contracts, training records, internal inspections, et cetera.

A maximum of 6 farmers per day can be audited during (multi-) group certification audits. This means the calculation of the square root of the total number of farmers, always rounded up and with a minimum of 5 farmers, will offer a preliminary estimation of the duration of the audit. Note that UTZ standards are always considering the number of farmers and not the number of farms that are part of the group.

Once the sample has been chosen, you can estimate the time needed for the audit and communicate this to the member, together with the proposed dates. Sending an audit plan to the client in advance will help to prevent misunderstandings, coordinate logistics, identify the people that should be available during every step of the audit and serve as evidence that a proper revision of the application and the preliminary information has taken place.

Ideal pre-audit flow

4 weeks before the audit
Communication with client: sending application form, first check of tentative dates and request of preliminary information.

3 weeks before the audit
Review of the application form and received information: preparation of the quotation based on scope, group size and year of compliance. Auditor receives relevant client's info plus previous year results.

2 weeks before the audit
Sending of the audit plan and confirmation of the dates: clarification (if needed after first review) of the preliminary information received. Ideally, the audit plan can include a list of the responsible and the document/records that shall be available for the auditor/s during the day/s of the audit.

1 week before the audit
Confirmation of agreements with client: quotation has been accepted, contracts signed and preliminary information is sufficient to be prepared for the audit (including preselection of farmers in the sample).

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2. During the audit

2.1 Generic good practices

Act with integrity and professionalism. Mind the principles of impartiality, honesty, diligence, and responsibility at all moments. The best auditors are always auditing the same way, without responding to external influence or pressure, delivering consistent and reliable results for every auditing process. One more thing: always respect the farmers, they are the reason for you to be there.

Study the Standards. When you know the requirements by heart you do not need to look continuously to the checklist and can invest that time on collect more evidence by talking to people, looking around or reading documents. Also, you will save time because you will be to automatically identify when a situation is a non-conformity or not

Cross-check your findings. When an issue is identified, always cross-check the findings before raising a non-conformity by using different techniques (review of documents, comparison of records, interviews, direct observation of activities). Be fair and objective when identifying situations that could be against the Code of Conduct and read the related requirements twice to be sure that the evidence indeed leads to a non-conformity. Audit evidence should be verifiable.

Respect sampling rules when reviewing documentation. It can be tempting to review all training records from the past year, but the sample (when well-balanced) will help you to check only the relevant records of the sampled farmers and complete the audit in an efficient and representative way.

Inform the auditee of non-compliances. The goal is not to correct the deviation in situ, but also not to surprise the client during the final meeting. The client will need to conduct a thorough root cause analysis once a nonconformity is identified, with the objective of find a good correction (immediate remediation) and implement the best corrective action possible (in order to avoid reoccurrence of the issue/s).

Add value to the client. Do not obviate or oversee any deviation/issue because it is considered not relevant or because the correction may be difficult. Every time an existing nonconformity is not included in the final report of findings, you are depriving the clients of the right to correct something that is wrong or to improve their systems. Do not see the non-conformities as problems, but as gaps that have been identified on time to prevent a future negative impact for the client.

Be flexible and open-minded. There are situations or documents that may be not exactly matching the requirement of the UTZ Code, but are respecting the spirit and the goal of such requirement. Mind the principles of every block in the UTZ Code of Conduct.

Allocation of auditors

The CB should qualify and train their auditors according to UTZ's requirements (see Certification Protocol) and their own internal procedures. The client's characteristics should guide the CB in the allocation process: experience of the scope and the product, knowledge about IMS (when auditing smallholder groups) or working conditions (when auditing individuals) and leadership (when an auditors' team is appointed) are some of the criteria to keep in mind. The process of review of the preliminary information is also useful to help identify the most suitable auditors for every audit.

If required, due to the size of the group, several auditors can be allocated for one single audit. In these cases, it should be clear to the client who is the lead auditor for the UTZ scope as he or she will collect the findings of all other auditors, decide on the final non-conformities and present them during the final meeting.

You cannot participate in the audits for the same client more than three times in a row. It is the responsibility of the CB to ensure the rotation of the auditors and to have enough personnel to guarantee the respect of this rule.

Also, the auditor should be free of any conflict of interest; it is a responsibility of the CB to actively monitor the potential risks on this matter and prevent situations that may commit the independency of the audits.

Related with keeping your qualification as auditor, the CB should conduct the monitoring of your performance (it is highly recommended to do so annually, although the frequency can be adapted according the performance). To do this, the CBs can develop a training plan and ensure that your knowledge and skills are always up to date and kept at a high level.

Use of checklists

Checklists are a basic tool for audits: they contain the required control points and spaces to write comments and score the requirements. UTZ strongly recommends the use of digital checklists, as it allows the auditor to aggregate information within complex structures, such big groups or multi-group certification (the amount of information that is collected during the whole audit can be considerable). According to the UTZ Certification Protocol, you should comment on all control points, especially in case of non-applicable or non-conform control points.

In complex cases, you have several options:

- use one checklist per inspected farmer;
- use one checklist per day, so the comments can be referred to the audited farmers (maximum 6 per day); or
- use one checklist for the whole audit, so the comments can be referred to all the farmers audited by the same auditor.

When several auditors are working in the same audit, all the comments can be aggregated and a single checklist with all the findings and evidence collected should be used by the Certifier during the final revision. Eventually, this "final checklist" could be requested to show compliance with UTZ and ISO17065 requirements.

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2.2 Auditing the UTZ Code of Conduct

In this section, we will summarize auditing practices for some of the relevant topics from the UTZ Code of Conduct. For specific guidelines on the interpretation of control points or topics within the Code of Conduct, please consult the Annexes. In general, make sure you carefully read all the related control points before deciding on compliance for such control points.

Audit of block A

Most of the requirements included in this block refer to the management of the farms. Meaning it concerns the base for the IMS (in the case of groups or multi-groups).

Internal inspection

As a key part of the assessment of the IMS and especially the internal inspection system, you must assess the performance of the internal inspectors by witnessing a representative sample (typically 10%) of the personnel that normally performs this activity. When conducting this assessment of an internal inspector, witness the inspection of one of the sampled farmers, conducted by one of the inspectors. When observing his or her performance, decide if the performance of the inspector is enough to guarantee that all farmers are properly inspected according the applicable control points of the Code of Conduct. Conduct as many shadow audits as needed to gain an idea on the average performance within the group.

When assessing the performance of one given internal inspector, compare the result of his or her own inspections with the ones done by the internal inspector during the previous period; when the results are notably different, this can be an indicator that the process of assessment of farmers is not reliable and they are not credibly "internally certified" by the IMS.

Training

The main evidence to check are the attendance records (as is required in the Code of Conduct); however, the quality of the training cannot be assessed without checking the training materials and asking the attendees for their understanding of the training's content (interviews during the farmers' visit). Do not forget to confirm the suitability of the materials/methodologies used plus the qualification of the trainers and mind that, sometimes, the lack of evidence does not lead to a nonconformity *per se* (e.g. farmers that are not in the training records can have a deep knowledge of the given topic, meaning the goal of the control point is met).

Traceability and Premium

You should always be able to trace the volume of product sold as certified under one valid certificate back to farmers included in the certificate. This includes a maximum volume and a period during which the product can be sold. With this idea in mind, check the flows, the procedures and the set of records implemented at all levels in order to guarantee that traceability is reliable. Some tips:

Traceability is simple: every amount of product is somehow identified and "travels" along the chain, from farmers to accumulation centers or factories, to bigger warehouses and finally, to clients or first buyers. In every step, books or receipts should be used to record the movements of the product. If every product movement is recorded with accurate data (date, weight, farmer ID and payment) the traceability will be guaranteed automatically.

Problems start to arise when the simplicity of the system is not respected: receipts without names or dates, deliveries to warehouses without accurate weight, records not done immediately but several weeks/months later with the risk of write down wrong information or the temptation to fake the data and then create a mock traceability system.

Beware of double accounting: when a certificate holder estimates a volume and the real productivity is lower, there is a potential of "filling the gap" with conventional product. Then, a countdown starts to redo all records and evidence in order to be prepared for the audit. Triangulation of records with farmers' declarations is key to identified faked evidence. When an issue is discovered here, it is frequently linked to fraud and a quick action should be taken by your CB (including active communication with UTZ).

Keep in mind all the levels (farmers, collection centers, warehouses/processing units) and do not look only at the records: challenge the persons responsible for the records and confirm how the traceability information is collected. Always cross-check the information at one level with the one above and below.

Premium paid should be always cross-checked with farmers and should be corresponding with the real volume delivered to the group. When inconsistencies in the figures are observed, problems in the traceability system are frequently arising. Part of the premium paid by the first buyers does frequently not reach the farmers: challenge the certificate holder to ensure that the money has been properly spent. Acceptable destinations for that money can be:

- group management (training for group staff, internal inspection/liaisons costs, external audits);
- products and services delivered to the group (training for group members, workers and their families; technical advice from service providers; facilities, such as nurseries and storage; community development); and
- provision of cash and inputs for group members (tools, planting material, pesticides, fertilizers and shade tree seedlings; credit or additional payments).

Audit of block B

To guarantee a fair assessment of the auditee, when checking the requirements for this block, it is important to spend time enough in the field, visiting relevant areas (plots that are close to water bodies or protected areas or forests) and areas that can add value to the assessment (e.g. the highest point of the farm would be offering a good view of the distribution of shadow trees).

Integrated Pest Management (IPM)

Integrated Pest Management is the principle of sustainable farming, and therefore is an essential part of the UTZ program. The global objective is to reduce the use of pesticides and eliminate the use of Highly Hazardous Pesticides (HHPs). You must verify that the members have a system in place in which the first line of defense against pests and diseases is based on good agricultural practices that have a preventive effect. Second comes non-chemical control such as mechanical removal or use of natural enemies. Only when these methods have been exhausted should farmers use chemical pesticides, with strict rules on safe, controlled and appropriate use set out in the UTZ standards.

It is essential then that you verify how farmers prevent, monitor and make use of diverse practices before using pesticides. It is essential that the auditors does a proper verification of the use of the pesticides from the Watchlist. This list contains Highly Hazardous Pesticides, and therefore should not be used by the farmers unless they can demonstrate that it was the last resort after other methods have been exhausted. Farmers should prove that there are no alternatives for controlling that particular pest and can really demonstrate that they follow all the precautionary conditions to minimize the risk and exposure of such pesticides. You are obliged to report the pesticides from the Watchlist in the summary report. If farmers do not implement IPM, a nonconformity must be raised.

Audit of block C

All requirements for this control point (and others in this block) are confirmed through interviews. Take into account the requirements in the Protocol: the number of male and female workers selected for interviews must be proportional to the total number of male and female workers. Consider relevant criteria when sampling workers: age, ethnicity, employee status, hierarchy, type of work performed or time working for the organization. Additionally, conduct interviews with the responsible persons for compliance of Block C (see control point G.A.7) in order to cross-check the findings coming from workers' interviews and all reviewed records.

When auditing this block, please pay attention to the different target groups for every control point: group staff, group members and group member workers and/or families. Whenever possible, a female auditor on the team should conduct the interviews on these topics with women.

Prior to audit, be aware of the national law/regulations regarding the topics in Block C: minimum age, existing collective bargains in the area, national/regional limitations on working hours, minimum wages. Use this useful link (http://www.ilo.org/dyn/natlex/natlex4.home?p_lang=en). Be prepared prior to the audit!

Working conditions

This is a very sensitive topic, consider some basic rules when auditing this block:

- Personal information should be kept personal: do not share notes or comments with others.
- Interviews should be conducted in a private way without managers/supervisors that can interfere or put pressure on the workers; only if is strictly needed, translators can be present.
- Do not ask closed and/or direct questions like "are you suffering sexual harassment?" or "are you hiring children?"; it is better to reach conclusions cross-checking information in documents with interviews, and considering several interviewees' replies.
- Do not assume anything with just one source of evidence (a declaration, a record by itself is almost always not enough).

Negative conclusions about working conditions should be explained to the group management, guaranteeing the privacy of the interviewees at all times: is more important to identify situations rather than persons.

Living wage

Especially in the case of individual certification, the implementation of the living wage concept shall be checked during the audit: "*Remuneration received for a standard work week by a worker in a particular place sufficient to afford a decent standard of living for the worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs including provision for unexpected events*."

You should meet a representative sample of workers in order to check their payrolls and work hour records. Pick records from at least three different months (low/peak seasons) for an extensive sample (a minimum of 30 workers would be the ideal sample, according the guidelines of the Global Living Wage Coalition). Consider the following tips when reviewing the information obtained during the audit:

- Include 13th month and other cash bonuses if they are guaranteed to all workers in the sample. They must be prorated over a 12-month period to be included in the monthly wage calculation.
- Include only the remuneration, inclusive of in-kind benefits that is received and used by the majority of the representative sample, and thus, most production workers in the organization.
- Include only the remuneration that is received on a regular basis. If it is an irregular or one-off payment, it should not be included.
- Do not include bonuses earned in overtime hours or payment.

When considering the **in-kind benefits**, mind that "they reduce the cash wage that workers require for living expenses. When workers receive essential goods and services such as free meals, free housing, or free transport to work, their need for cash income to support a basic but decent living standard is reduced. This means that it is appropriate to take into consideration a fair and reasonable monetary value for in kind benefits when determining if an employer pays a living wage."

In kind benefit as partial living wage payment	
Acceptable	**Not Acceptable**
Meals at work	Visas/work permits for migrants
Food sold at concession rates	Clothing, equipment for work
Housing (including power, water, fuel)	Work related supplies
Transport to/from work	Dorms or housing for seasonal workers
Child care	Drinking water provided at work
School	Contributions to insurance requested by law
Medical clinic/care not requested by law	Paid leave: vacation, illness, maternity
Medical insurance not requested by law	Charity not exclusive to workers

You will find additional information and access to a living wage estimate conducted using the Anker Methodology at http://www.isealalliance.org/our-work/improving-effectiveness/global-living-wage-coalition.

Audit of block D

Deforestation

On the Global Forest Watch map[1] you can select "protected areas" under the tap "conservation", which then shows all areas protected under some form of national legislation. It uses the World Database on Protected Areas (WDPA) and is very comprehensive. Since different legislations have different strictness towards protected areas and some legislations define different levels of protected areas, the map shows different categories. Under "Info" you can read what the different categories mean.

Climate change

UTZ requires strategies for adaptation to the effects of climate change. Globally, there are four major climate change effects: sea level rise, overall temperature increase, changing precipitation patterns and increase of extreme events. The last three effects are the ones with higher impact on the certified crops and should be part of the risk assessment of the member. Once the risks have been confirmed, the member should define and document (within the management plan or separately) the implemented measures to adapt to such effects. Some examples of measures are:

- Temperature increase: increase ecosystem heterogeneity, ensure abiotic conditions, fire management.
- Precipitation patterns: increase water retention (adapting the existing drainage system, restoring meanders of rivers and streams or with reforestation), ensure adequate water supply in times of drought (with basins or irrigation systems).
- Extreme events: develop corridors, create new nature areas, review existing boundaries, invasive species control.

[1] http://www.globalforestwatch.org/map/9/6.60/-3.36/ALL/grayscale/loss,forestgain/612?tab=analysis-tab&begin=2001-01-01&end=2015-01-01&threshold=30&dont_analyze=true

Audit of coffee module

Post-harvest

The main goal of the requirements included in the coffee module for this topic is to ensure that the quality of the beans is not jeopardized due to wrong processing practices. Globally, you should pay attention to the whole processing part and evaluate whether the final product is reasonable free of molds and foreign bodies and meets the established requirements for moisture.

Waste water

The idea here is that waste water cannot be directly disposed in the environment; an effective system should be in place to reduce the contaminants in order to make the water safe for the nature. In order to demonstrate the effectiveness of such systems, a water analysis should be conducted by the member before and after the treatment, so a reduction of contaminants can be verified.

Audit of cocoa module

Post-harvest

As happens with coffee, the main goal of the requirements included in the cocoa module is to ensure that the quality of the beans is not jeopardized due to wrong processing practices. Globally, you should pay attention to the fermentation and drying processes and evaluate if the final product is reasonable free of defective beans and foreign bodies as well as meeting the established requirements for moisture. Due to its nature, all post-harvest processes should guarantee an odor-free final product.

Audit of tea/rooibos/herbals module

The production of Rooibos is mostly done in South Africa and there are several references in the module to local laws. Here is a comprehensive summary and the links in which you can find the related regulatory documents:

- National Water Act http://www.dwa.gov.za/Documents/Legislature/nw_act/NWA.pdf
- National Environmental Management Act https://www.environment.gov.za/sites/default/files/legislations/nema_amendment_act107.pdf
- Agricultural Resources Act http://www.gov.za/sites/www.gov.za/files/37286_gon67.pdf
- National Veld and Forest Fire Act http://www.gov.za/sites/www.gov.za/files/a101-98.pdf
- Employment Equity Act. http://www.labour.gov.za/DOL/downloads/legislation/acts/employment-equity/eegazette2015.pdf
- Occupational Injuries and Diseases Act. http://www.labour.gov.za/DOL/downloads/legislation/acts/compensation-for-occupational-injuries-and-diseases/amendments/Amended%20Act%20-%20Compensation%20for%20Occupational%20Injuries%20and%20Diseases.pdf (this act is called 'compensation for occupational injuries…')
- Extension of Security of Tenure Act in South Africa. http://www.justice.gov.za/lcc/docs/1997-062.pdf
- Occupational Health and Safety Act. http://www.labour.gov.za/DOL/legislation/acts/occupational-health-and-safety/occupational-health-and-safety-act-and-amendments/

Audit of hazelnut module

Child labor

Due to the nature of this crop (a high workload during a very short harvest period), social issues are very relevant. Child labor is an important topic you should address during the audits. Child labor (as well as all topics included in Block C) apply to the whole farm and all activities of the group, not just the UTZ certified crop. This includes children that may be working in food crop production, in the household or on tasks such as cattle herding.

The likelihood of finding children working in the farm at the moment of the audit is very low. However, your mission is to identify if the member implemented efficient tools for preventing, monitoring and remediate cases of child labor. Training and awareness, appointment of liaisons, recording of children and monitoring of families activities or involvement of organizations and local associations should be steps taken by the member when the risk is present in the production area.

Particular issues to pay attention to regarding cases of child labor are: lack of awareness (children working is perceived as normal by the parents), false or no information about a child's age (no ID or registration, uncertainty about birth date) or extreme poverty (children are obliged to work because of a difficult familiar situation).

In any case, preventive measures can fail and cases can be found during the audit. If this happens, some steps are needed on top of raising the corresponding non-conformity:

- The child should stop the activity immediately and be safely removed from the area;
- Parents and tutors should be informed; together with the child, they should be informed that such situations are unacceptable. It is good to find the reasons that lead to the situation;
- Liaisons and/or local organizations should be informed, so that they can monitor the case and prevent its reoccurrence; and
- The level of risk (at the management level) should be increased, so that additional preventing and monitoring activities can be developed. Consider that just to remove the farm/member from the certification is not a valid correction, since is not enough to mitigate the situation of child labor.

2.3 Basic audit structure

Initial meeting

The audit should start with an initial meeting in which you and the member's representative:

- confirm the scope of the audit and the applicable version of the UTZ standards;
- discuss the audit plan, ensuring that all planned activities will be covered timely and with the support of the responsible people;
- discuss resources needed, such as transport, accommodation, meals, translators, security, etc.;
- explain the methodology of the audit (sampling principles) and practicalities (impartiality, conflict of interest, confidentiality). Always ask for permission to take pictures;
- confirm the additional control points to be considered obligatory during the audit chosen by the client and confirmed through the self-assessment received as part of the preliminary information; and
- clarify the nature of the evaluation, such as the type of findings and their communication, timeframes for closing the non-conformities and make the information available for the certification decision.

The results of previous audits are very useful to have; the sooner the previous corrective actions are assessed, the better both the client and you can verify the improvements made.

Auditing the Internal Management System (IMS)

The structure of an IMS can vary from one group to another, not only in content but especially in the size and level of detail of the documents and records kept to show compliance. Due to this reason, it is important to consider an overview of the minimum content that is required by the UTZ Code of Conduct. When auditing the IMS, these are the topics to assess at central office level, preferably at the beginning of the audit:

- map with the location/distribution of farmers and sites;
- farmers record (list of producers), with all the required data;
- confirmation of area with the UTZ product and methodology for measuring;
- data about productivity of previous season, yield estimation for the next harvest and the methodology used for these calculations;
- structure of the IMS and responsible personnel per block;
- approval system for farmers: decision committee/person, absent of conflict of interest;
- risk assessment, management plan and activities to optimize yields;
- traceability flow, total volumes of UTZ products and non-UTZ products and GIP records;
- procedure for the use of the premium and policy for the distribution;
- complaints;
- calibration of measurement devices;
- strategies for IPM, fertilizers and pesticides used and instructions given for their use (safety);
- working conditions, working hours and wages for group workers;
- child labor prevention; and
- environmental policies (related with deforestation, endangered species).

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As explained in the previous chapter, a sample of farmers should have been pre-selected. Once the basic information of the IMS has been checked, review other topics that are part of the IMS, preferably concentrating on the chosen sample. This means that only the records related with the sampled farmers are reviewed and (when possible) cross-checked later at field level:

- signed agreements between the group and the members;
- internal inspection for farmers and qualification of internal inspectors for such members;
- training and awareness activities provided by the group;
- traceability of products supplied by farmers and premium paid; and
- applicable documents/records coming from the management plan; e.g. a plan for the distribution of shade tree, so you can check if trees and seeds that have been distributed amongst the farmers to be visited. The planting of those trees can be confirmed during the field audit.

DO NOT FORGET THAT THE INTERNAL INSPECTION SYSTEM IS THE REAL CERTIFICATION SYSTEM!

Once farmers have successfully passed the internal inspection, their product can be considered certified. Be completely sure about the reliability of the implemented system of internal inspections: by collecting the needed evidence, you are be able to guarantee that only farmers complying with all UTZ requirements are considered certified farmers.

It is important to consider that in some cases, the required information can be available only at field level (villages' offices, local managers, delegates, et cetera). Therefore, the information that is expected to be found at field level should be defined already in the central office and the criteria for compliance can be assessed at the best place/time possible.

It is compulsory to keep the key records for at least three years (G.A.4). This is a control point that can be checked at any moment during the audit, but especially during the IMS assessment by requesting relevant records (e.g. traceability, internal inspections and payment of premium) from previous seasons.

REVIEWING IMS DOCUMENTS: BETTER PRACTICES

- **Read the documents**: do not assume that the content is going to be OK because there are no changes since the last audit or the document was previously checked by another auditor (in another audit or in a different location, especially in the case of multi-groups); sometimes the document did not change but the practices, so the document shall be updated to reflect the current situation.
- IMS documents shall be within the IMS management: **do not retain documents** for a later review (without the presence of any client's representative).
- **Collect evidence** (copy or photo) only when strictly needed (e.g. to justify a finding that will be probably considered a nonconformity).
- **Challenge records:** especially those with same style of writing across the pages, similar signatures or rounded figures; the information shall be always cross-checked with additional evidence (other documents, interviews, direct observation of activities) before scoring the related control point.
- **Mind the UTZ Code:** maybe the documents do not match your expectations, but the assessment focuses on complying with the UTZ requirements.
- **Waiting time** when a document/record is requested shall be reasonable; do not allow the client to "create" the missing document/record during the audit: the audit is not done to guarantee that all the evidence are there for a later stage but to test how things were done during the previous period. For example, when requested, the procedure for the correct use of pesticides and PPEs is missing; the auditor shall raise a nonconformity in the applicable control point/s because the missing document implies that during the previous period, the proper use of pesticides and PPEs was not guaranteed. Not to raise the question because the client writes the document immediately is one of the worst auditing practices as gives the client the wrong idea that the issue is the lack of the document and not the risks that potentially could have been affecting the operators working with pesticides.

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Auditing farmers

Once the assessment of the IMS is completed, proceed with the audit of the farmers, according the sample previously chosen. Do not hesitate on expanding the sample whenever it is considered necessary in order to reach better conclusions and all the information needed to support the findings. It is important to spend some time in the beginning of every day to plan the route to follow and conduct the visit to the farms in the most efficient way.

Audit the farmers considering all applicable control points in the Code of Conduct and in the applicable product module. Also consider the control points that are marked in the UTZ standards as "applicable to group (G)". If these control points are cross-checked on field level, the findings can help to reach a solid conclusion. For example, interview farmers regarding data contained in the list of farmers or payment of the premium in order to confirm that the information available at the group level (IMS) is credible.

A farmer audit includes:

- a review of documents available at farm level, especially:
  - contract
  - production / sales records
  - payment receipts (of the volume sold and the premium received)
  - fertilizer and pesticide application records (if applicable)

- a visual inspection of the farm/s and the activities that are taking place at the moment of the visit, especially:
  - age of trees and disposition (plantation frame)
  - estimated productivity (shall match with how trees/plants looks like)
  - respect of buffer zones when water courses and/or protected areas are present in the farm/s
  - pruning
  - shadow trees
  - healthy status of the plots, with attention to weeds level and plants with diseases

OBSERVING ACTIVITIES: BETTER PRACTICES

- Do not disturb regular activities unless it is strictly necessary for the audit
- Ask for permission to stay in the area and/or take pictures
- Use PPEs when required
- Cross-check the evidence obtained
- Be prepared (information preliminary collected)

- an interview with the farmer; the content of this interview should be at least:
    - confirmation of the group enrollment
    - content of the contract (rights and obligations, knowledge about UTZ benefits)
    - trainings received (date, topic, trainer) and understanding and application of learned content
    - volume produced last season and volume predicted for the next season
    - money and additional benefits received for products (premium, inputs)
    - knowledge about the use of the premium by the group management

Internal Inspection

During the visit of farmers, assess the performance of a representative sample of internal inspectors. It is important to see live how the inspections are done and what the technical level of inspectors is. Pay special attention to:

- how data is collected by the internal inspectors (especially the information related with productivity and area);
- the recording of the findings, as the main evidence of compliance with the Code of Conduct; and
- the interpretation given to the control points.

Ideally, let the group's internal inspector conduct and complete the inspection of at least one farmer. In case certain topics were not well assessed by the internal inspector, you can complete the inspection later. At the end, these farmers should have received an assessment with the same level of demand and strictness as the rest of farmers.

As final step of the farmers' visits, cross-check the results of your inspections with the ones obtained by the internal inspectors. When significant differences are found, raise a non-conformity.

CONDUCTING INTERVIEWS: BETTER PRACTICES

- **Introduction:** Introduce yourself, explaining what is the reason of being there and the purpose of the interview. It is recommendable to start with basic/ trivial questions in order to gain the confidence of the interviewee and guarantee total confidentiality.
- **Translators**: identify when translators are needed and look for the most independent ones (when possible).
- **Gender**: Keep a balance in the workers interviewed in terms of gender (proportional number of male and female workers according the total number of workers); when possible, female auditors shall be interviewing female workers (especially in order to identify sensitive topics).
- **Environment:** Before starting any interview, look for a nice space and keep away any person that is not strictly necessary for the interview; the farmer/worker shall feel comfortable to openly answer any kind of question.
- **Questions:** Mind that the goal is to gather reliable information from the farmers; use open questions for general activities (e.g. how the pruning is done? How the PPEs are used?) and closed questions to get concrete data (e.g. how much money received? How many kilograms produced?). Remember that, even when contradictions arise, the information obtained should be cross-checked before raising a nonconformity.
- **Positive attitude**: the type of questions determine the quality of the answers the auditor will receive; when talking about sensitive topics, be positive (e.g. questions like "when was the last time you found an issue that is now better?" will stimulate the interviewee to be open and transparent in his/her answer.
- **Respect**: use your memory and chat looking at the eyes of the interviewee; you can write down the most relevant answers later. When paying full attention to the worker, you will be able to better understand the answers and he/she will see that you are really interested in his or her thoughts and not only looking for material or your checklist.
- **Gratefulness:** show gratitude to the farmers for his/her support during the audit process; do not forget to inform the farmer and the client's representative if any nonconformity is found during the farm visits.

Final meeting

In preparation of the final meeting, collect all findings and decide for each of them if a non-conformity should be issued in the final report. During this review, it is important to carefully read what is requested in the control points.

As a general rule, it is not acceptable to take evidence with you in order to finish the audit in a later stage. Conduct the final meeting only when you have reviewed all the evidence and scored all the control points requested in the applicable scope. The final meeting will present the final results, so conclusions should not change after.

Mind that, sometimes, the member is giving compliance to the control points but maybe not in the way you expected. In this case, do not ask for procedures or records that are not explicitly requested in the UTZ standards. It is always preferable to keep a simple and efficient system rather than a bureaucratic collection of papers that are not adding value to the member.

When a deviation occurs, for example if a farmer lacks the records of applied pesticides, decide whether it is an isolated problem (most of farmers have implemented the requirements in a proper way) or a structural one (the findings can be extrapolated to the whole group). When finding structural deviations, ask yourself if the self-assessment or the system of internal inspections implemented at the IMS level are reliable enough; if not, some additional nonconformities could be needed on such requirements in order to avoid reoccurrence of the issues.

In the final meeting of the audit, at least the following should be included:

- Acknowledgment of the collaboration offered.
- A detailed explanation of the findings:
    - Positive and remarkable elements found in both the IMS and the farmers visited; and
    - Non-conformities found, being clear in the reasons that lead to take the decisions and concrete in the description of the deviation. The more accurate a nonconformity is described, the easier it is for the member to find an efficient corrective action.
- Description of the next steps after the audit: submission of the corrective action plan in the due time and with the appropriate evidence, certification decision process and license request in GIP. At this point, consider the deadlines described in the UTZ Certification Protocol (and in the CB's procedures, if applicable.

At the end of the final meeting, it must be clear to the auditee that:

- For every nonconformity, a correction (to eliminate the issue) as well as a corrective action (to tackle the root cause of the issue and prevent its reoccurrence) are necessary to close it. This vocabulary must be equally understood by both parties
- The deadlines have to be respected, otherwise the certification decision will be negative
- You are not taking the certification decision, but different people, who will consider the results of the audit, the evidence submitted by the client and the non-conformities identified.

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Give a final report with the result of the audit to the auditee at the end of the audit. Mind that the client is paying for that service and the report is the main outcome of the CB's services. The clients are not paying for a certificate, but for the assessment. The report is the evidence that the service (the audit) was conducted.

2.4 Description of nonconformities

Auditing is a systematic process to check the compliance with a required standard. The outcome of an audit is frequently reduced to inform the auditee about the non-conformities found during that process. This creates a tendency to act as if you are only there to identify problems and point out everything that is not done well. Preventing this one-sided approach, make an additional effort when writing down the non-conformities during the preparation of the final meeting in order to also offer useful input the auditee can use for continuous improvement.

When describing a nonconformity, always keep in mind three key aspects:

- the requirement (which is the relevant control point for the noncompliance)
- the issue (why is there a problem)
- the evidence (what was observed during the audit that confirmed the finding)

Spend enough time to write down every non-conformity in a clear and understandable way. This time is an investment: when receiving the evidence from the auditee, you will easily identify if the information provided is enough to consider the nonconformity as closed or not. Depending on the size or impact of the finding, adapt the description of the non-conformity in order to offer the auditees a fair assessment of their performance, so they can better work on the improvements needed. Some examples of description of non-conformities:

G.A.8: The registry of the group members is not including the area of the certified crop but only the total area of the farms; when visiting the farmers of the north region (15 farmers in total), all of them confirmed that the area for the certified crop was much lower (around a 50% in average) that the information in the registry.

G.A.26: The procedure for the use of the Premium has not been communicated to all group members; none of the farmers visited in the Western province were aware of the amount of premium to be received nor the way in which the management of the group spends the rest of the money that is deducted from the total received.

G.C.98: All the sprayers in the group (a total of 20) are given a full set of PPEs right after the harvest season but the cleaning after use and the storage for such equipment is not done properly in order to prevent health problems; 5 out of 5 sprayers interviewed were declaring that no instruction on how to clean and storage the PPEs were given to them; furthermore, the PPEs were stored in their own houses, together with personal clothes and not in very well condition (they do not know that new equipment can be requested before the annual delivery).

It is very important not to aggregate non-conformities, even when the topic is similar and one single evidence leads to the conclusion that several control points are not compliant. Control points are separated for some reason: although several requirements can be related with one topic, each of them request a different action to be done/implemented by the auditee. It is very important for the quality of the final audit report to separate the findings per control point so you can be more specific on the noncompliance and the evidence found for each nonconformity. The better the nonconformity is explained, the better the member can implement the necessary corrective action. One example:

BAD: NC in control points G.A.22/23/24/25 -> The group has not been implementing a proper traceability system.

GOOD: NCs in control points G.A.22 (the product flow is not documented), G.A.23 (the UTZ product is not visually identified so is not clearly separated from non-certified product), G.A.24 (there is no system of records to trace back and forward the product) and G.A.25 (none of the sales of the group has been recorded in GIP).

3. Post-audit

3.1 Review of findings: root causes, corrections and corrective actions

Once the audit has finished (in other words, on the day of the final meeting and after the findings have been communicated to the auditee), the time for solving the non-conformities starts to count for the auditee. According the UTZ Protocol, the corrective actions have to be in place before 60 calendar days after the final meeting. The way in which the non-conformities can be evaluated as closed is through:

- A thorough review of the evidence submitted by the client (including the evidence of correction plus the corrective action plan that will prevent the reoccurrence of the issue in the future); or
- A follow up audit (that can be done physically at client's location) in which a qualified auditor reviews the findings and the information provided by the client and evaluates the efficiency of such improvements.

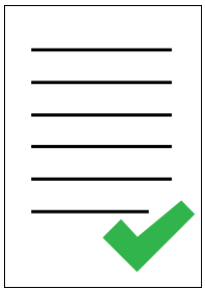
Either way, the final outcome of this review must be a recommendation for the certifiers: is the client ready for certification or not? All relevant information should only be sent to the certifier once the actions planned and implemented are considered sufficient to solve the issue. Incomplete information could cause delays and eventually compromise the approval of the UTZ license for the client.

As a general rule, the auditor that identified the nonconformities should be the one evaluating the suitability of the evidence submitted by the client within the corrective action plan, always including a correction and a corrective action for every nonconformity identified during the audit. To guarantee the success of this process, it is important to consider the differences between correction and corrective action:

- a correction is an action that eliminates an issue detected during the audit.
- a corrective action is the set of activities implemented in order to mitigate the root cause of the issue, preventing that is not going to reoccur.

Note that the information submitted by the client is sometimes insufficient or inaccurate to consider all the non-conformities as closed. The CB shall have mechanisms in place to ensure that, even in those situations, the non-conformities can be considered closed not later than 60 days after the final meeting.

The clarity in the description of the nonconformities during the final meeting is key to an efficient reviewing process of correction and corrective actions. To identify the actual problems, their size (some individuals, sections, groups) and their nature will help the client on submitting the accurate information as part of the corrective action plan.



3.2 Certification decision and next steps (GIP)

Once the process of evaluation and review is considered finished, the assessment of the client shall be proposed for a final decision. UTZ demands certain requirements for the approval of certifiers, which will be taking the final responsibility on the assessment of every certification process.

All required information for the final assessment should be available to the Certifier in the moment of taking the certification decision, ideally:

- The application of the client with all the preliminary information used to estimate the audit duration, in order to check if the demands of the client were met (the audit was conducted according the request).
- The audit plan (that eventually can have an amended version right after the audit) with the information on how the audit was conducted and the time spent to check every relevant aspect of the Code of Conduct.
- The findings of the auditors from the audit: for every applicable control point, you must be able to provide the valid evidence for the evaluation. This is usually done through the use of checklists but can be done in different ways (as far as there is evidence for all applicable control points).
- The corrections and corrective actions for the control points that were identified as nonconformities during the audit. A confirmation of the auditor that the corrective action plan is sufficient to consider the nonconformities as closed would help the Certifier as reassurance in his or her decision.

All the information coming from the audit is reviewed by people that were not part of the audit; this review should be documented, as it will offer recommendations for a certification decision.

If a positive certification decision is taken within the timeframe described in the UTZ Protocol, the CB requests a license for the certified client, including the information related to the audit in the questionnaire available in the UTZ database (GIP), plus all the additional documents requested as per the Protocol. When informing about the outcome of the audit:

- Describe all nonconformities separately (one non-conformity per control point, do not aggregate);
- Give clarity in the explanations of how the NC was closed (copying and pasting the corrective action text proposed by the client is not always sufficient);
  Explain it when non-conformities are closed by a follow up audit. This date should be considered the closure date of the non-conformity, not the original audit date.

A certificate including the scope of the assessment can be issued and sent to the client only after the approval of UTZ is gained.

In case the certification decision is negative, a certificate will not be granted to the audited client. The CB must notify the client and UTZ about the decision and clearly explain the reasoning behind it.

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Annex 1. Guidelines for UTZ Code of Conduct

CP #	Control Point	Clarification for Compliance	Audit guidelines
BLOCK A - MANAGEMENT			
G.A.1	An up-to date overview map of the production area(s) is available.	This map includes: - crop areas with newly planted areas and nurseries, - protected areas, - water bodies, - human settlements, and - a GPS coordinate of the IMS administration location (if this does not represent a location within the production area, a coordinate that represents approximately the center of the production area is included).	Check if the map is available Record the GPS location and cross-check in internet: is really representing the center of the production area? One location per group (for multigroups) The map shall help you during the sample process by giving some priority to farmers close to water bodies or protected areas and considering distances to cover during the farmer's visits; some topics (f.i. planting material and nurseries) could be better audited by visiting related areas (included in the map) Check the validity of the map: shall be updated as soon as relevant changes occurs
G.A.2	The total area of the certified crop is determined.	The area is determined using a credible method(s) based on e.g.: - GPS mapping - Land titles - Tree counting and density	The method for determining the area shall be credible: with GPS mapping or land titles the result must be accurate. When using number of trees, consider this when visiting the farmers by checking the standard patterns used by the farmers Mind that a wrong information for the area can mislead everybody (wrong yield estimations, buying predictions, use of excessive inputs, et cetera)
G.A.3	The crop is farmed on land that is classified as agricultural and/or approved for agricultural use.	There is knowledge of local land classification and development planning for new agricultural sites.	The preliminary knowledge of the production area is essential to correctly assess this control point: - is there any protected area in the region? - has any area been identified as not acceptable for agricultural use (e.g. because of degraded/contaminated soils)

G.A.4	All records and documents that relate to UTZ certification are accessible and archived for a minimum period of three years from when they are collected, unless legally required for a longer period of time.		You can check this control points by asking for general documents from previous certification cycles (e.g.: results of internal inspections, fertilization plans, calibration certificates) Mind that: - information can be available in different formats - the information requested by one control point can be recorded in several different records (that should be interrelated in some way)
G.A.5	An accurate and updated overview of the entire group staff is kept.	For the permanent group staff, the overview contains at least their: - full name, - gender, - date of birth or age, - date of entry and period of contract, and - wages. For the temporary group staff, the overview contains at least their: - full name, - gender, - date of birth or age, - number of days worked, and - wages.	Please, mind the definition of group staff (and consider also the temporary workers) The information required (all bullet points) can be contained in two or more documents; this is acceptable as far as the information is verifiable Differences in wages, gender or age can be cross-checked with interview for workers
G.A.6	The group has a chart indicating all individuals in the IMS and their roles, and includes all the responsible persons appointed in control point G.A.7		When auditing different blocks, consider to conduct interviews with responsible persons for every block The chart must be updated and the group shall preview changes in the organization in order to guarantee that a responsible person is taking care of every topic at all times

G.A.7	Responsible person(s) or a committee are appointed for the following: Block A) Management Block B) Farming Practices Block C) Working Conditions Block D) Environment The responsible person(s) or committee is competent, knowledgeable about the topic(s), and accessible to group members and group staff.	The responsible person(s) or committee is responsible for the following topics. One person or committee can be responsible for several topics. Block A) Management- IMS management- Traceability, product identification and separation during production and processing- Trainings- Handling questions, ideas, complaints, sanctions, and appeals- Equal rights and opportunities for women Block B) Farming- Selection and implementation of Good Agricultural Practices, including harvest and postharvest practices- Food safety and quality of the product Block C) Working Conditions- Labor rights- Child labor- Safe and healthy practices including re-entry times, and use of machinery and pesticides- First aid and emergency procedures Block D) Environment- Waste management and environmental protection Demonstration of competence can be official qualifications, and/or attendance certificates of training courses, and/or proven experience. Management is knowledgeable about the UTZ requirements, certification process, and developments.	Responsible persons shall be part of the group staff; external advice can be obtained but the responsibility shall be always in house. For the person/s appointed as responsible/s, review carefully the competence according the requirements described in the clarification for compliance; when finding problems during the audit, root cause could be linked to the lack of qualification or experience of this persons

G.A.8	A registry of the group members is kept and updated.	For each group member, the registry contains in Year 1: - name, gender, location (e.g. community), and phone number, - name, gender, location (e.g. community), and phone number of the operator of the farm (if different from the group member; e.g. a sharecropper) - unique member identification, - governmental farm ID (if applicable), - production (previous year's harvest and present year's estimation), - UTZ status and first year of UTZ certification, - number of permanent (year-round) workers on the crop - internal inspection date, and - participation in other certification programs, if applicable. From Year 2 onwards, the registry adds the following: - total farm area, - number of plots and total surface area of certified crop, and - total volume delivered to the group in each year since certification.	The register must be updated at all times; the information contained shall be cross-checked when visiting farms, especially data related with production (from year 1) and area (from year 2) The register serves as a base for the sampling; consider (some/all of) the criteria described in the introduction of these guidelines Any extreme value shall be challenged and confirmed

G.A.9	A signed agreement is in place between the group and each group member, specifying the rights and obligations of each party. Each group member understands the agreement. Agreements are centrally archived and a copy is available for each group member. Sharecroppers have an agreement, either written or verbal with witnesses, with the recognized landowner. It includes at least mutual rights and duties, such as payment frequency.	Agreements with group members include at least: - the group member's obligation to comply with the Core Code of Conduct, - the group member's obligation to accept both internal inspections and external audits and sanctions, - a guarantee from the group member that any product sold as certified comes only from their certified farm, - a group member's right to receive a copy of their documents and records upon request, and - each party's right to terminate the agreement. The IMS includes a procedure for dealing with cases of group members failing to meet any of the obligations of the agreement. Such failures are reported to the external auditor.	The contracts can be checked at central office level but the signature of the contract and the understanding of its content shall be cross-checked during farmer's interviews Check that the contracts include (at least) the requirements described in the clarification for compliance The sampling of farmers shall include the assessment of the contracts signed by those farmers
G.A.10	Crop yields of group members are estimated using a credible methodology. They are documented and updated annually.	A credible methodology considers e.g.: - Previous year harvest(s) - Density/tree count - Age - Input use - Pests and diseases - Plant variety - Soil quality - Geographic location - Climate	The methodology shall be documented and tested frequently (at least annually, in order to keep it updated) You shall be able to replicate the methodology in the field and the results shall be the same (a deviation of plus/minus 15% can be acceptable) When the estimations for one year are not met, the methodology shall be amended and (re)tested properly

G.A.11	An internal inspection system is in place that formally inspects group members on all relevant Code of Conduct requirements. Internal inspection results are documented in a report.	Internal inspections are carried out: - on all group members before the group's first external audit, and - on new applicants before they are presented to the approval and sanction manager or committee. An internal inspection round is conducted every year. Internal inspection reports include: - group member identification number, production locations, production (previous year's harvest and present year's estimation), and signature or fingerprint of the group member, - date of inspection, - inspector name, - verification of critical issues relating to the crop, such as child labor, adoption of practices to optimize yield, etc., - non-conformities identified and corrective actions taken, - year of certification, and - certification status. If advice is provided during the internal inspection, the content is recorded in the internal inspection report. There is clear separation between the internal inspection process and the advice provided during the internal inspection, so that the two do not conflict with the objectives of either activity.	The internal inspection system is the core of the IMS since is the real system used to include new farmers in the group once they show compliance with the Code and commitment with the Group principles (contract sign). Considering this, the assessment of the internal inspection system is the most critical part of the audit: -shall be done with a good planning and by a competent team; normally, a ratio of one internal inspector every 100 farmers is acceptable (credible) -the competence of internal inspectors shall be checked first during the office audit, then on field: a representative sample of them shall be witnessed during the farmer's visits. At the end of this process, you shall be able to reply to these questions: * is the result of the witness audits favorable? Depending on the performance of the internal inspectors, the results of the audits can be considered credible or not for the future * is the result of the internal inspections coincident with the result of the external inspections? Excessive different between both inspections can show that internal inspections were not done properly As with the contracts, the sampling of farmers shall include the assessment of the internal inspections conducted over those farmers

G.A.12	A self-assessment is carried out to evaluate the compliance of the group and all subcontractors with the Code of Conduct. The self-assessment is made available to the external auditor.	The self-assessment is carried out annually against the applicable control points of the Core Code of Conduct and the product specific Module, using the UTZ Core Code and Module Checklist. The IMS is responsible for ensuring compliance of all subcontractors.	The self-assessment is an important tool to identify the missing/pending gaps in both the IMS and the implementation of the code at field level Is desirable certain level of independency in the process (i.e. responsible for block A is not conducting the self-assessment on the same block)
G.A.13	A conflict of interest declaration is signed by all IMS staff.	The declaration indicates: - that IMS staff cannot inspect or approve group members with whom there is a potential conflict of interest, and - the obligation to inform the group of any group member with whom they have a conflict of interest.	Cross-check the commitments signed by the IMS staff: are they really auditing/taking decisions on group members that can represent a clear conflict of interest? In other words, just to check the signatures in the documents is not enough
G.A.14	An approval and sanction system is in place that ensures compliance of each group member.	The system includes: - an approval and sanction manager or committee, - a mechanism to follow up on group members' improvement and corrective measures, and - a decision on each group member's certification status that is documented, signed, and included in the final internal inspection report.	Special attention shall be given to the last bullet point of the clarification for compliance: the decision of approval or sanctioning (suspension, request for corrective actions) shall be documented and signed The person/s in charge of the decisions shall be clearly identified
G.A.15	The group member has the right to appeal any decisions made by the approval and sanction manager or committee.		This right can be included in the contract but the most important thing is that farmers are aware of such right

G.A.16	A risk assessment is carried out to identify possible risks in production and processing related to: Block A) Management Block B) Farming Practices Block C) Working Conditions Block D) Environment	The risk assessment is annually reviewed and kept up-to-date. The risk assessment considers the UTZ risk assessment guidance.	Please, check the risk assessment guidance provided by UTZ. For every block, the group shall be identifying: the most relevant risks according an analysis that considers the probability and severity of every risk. Once the risks are identified, will be the base for the development of the group management plan (see next control point) Depending on the completed actions, the risk assessment document shall be updated at least annually (ideally is a live document and should be updated at all times)
G.A.17	A three-year group management plan is prepared, and includes actions to address all relevant issues from the risk assessment. Actions are implemented and documented.	The group management plan is monitored and updated annually.	The actions proposed by the group should be tackling the main risk identified in the analysis (see previous control point); assess how the implementation of the action is going on, if the goals are too ambitious or the deadlines are too tight. To document an action means that you can easily identify the responsible person, the goal and the deadlines, what are the resources used and what the current status of every action is. You must feel the spirit of continuous improvement

G.A.18	Training is provided to the group staff on all topics they are responsible for (listed in G.A.7) in the following areas: Block A) Management Block B) Farming Practices Block C) Working conditions Block D) Environment Group staff trainings are carried out by a competent person(s). Training records are kept for each training and trainings are followed by a verification that trained persons have understood and implemented the material.	Trainings are sufficient to meet the group staff's needs. Training occurs at least once per year. Each training record indicates the: - date, - topics, - summary, - length, and - name of the trainer(s). Attendance lists include participant signatures/fingerprints and gender.	The group staff is properly trained on the topics they are responsible for Identify what is the verification method used by the group to ensure that the content of the training has been understood by the participants Trainers shall be competent person/s; it is recommendable to gain knowledge from outside but inside expert are acceptable (their competence shall be equally checked) Are the content of the trainings aligned with UTZ principles?

G.A.19	Training is provided to group members and to operators of farms on all topics relevant to them in the following areas: Block A) Management Block B) Farming Practices Block C) Working Conditions Block D) Environment Trainings are carried out by a competent person(s) and include tests or checks that the training content has been understood. Training records are kept for each training.	Trainings are sufficient in number and duration to meet the group members' needs. Trainings are clear and understandable to group members. At least two topics are addressed per year in a training(s). By the end of the fourth year, all of the following topics have been covered by internal or external trainers: Block A) Management - Traceability Block B) Farming Practices - Good farm maintenance and productivity - IPM approach and measures - Crop diversification - Safe handling and use of permitted pesticides, including pre-harvest intervals and re-entry times - Harvest and postharvest practices - Product quality and food safety - Record keeping skills Block C) Working Conditions - Occupational health and safety Block D) Environment - Protection of water bodies- Protection of flora and fauna - Climate change - Waste management Competence of the trainer(s) can be demonstrated by official qualifications, and/or attendance certificates of training courses, and/or proven experience. Each training record indicates the date, topics, summary, length, and name of the trainer(s).Attendance lists include participant signatures/fingerprints and gender.	The group members are properly trained on the topics mentioned in the clarification for compliance. Identify the checking method used by the group to ensure that the content of the training has been understood by the participants Trainers shall be competent person/s, check carefully their qualifications Are the contents of the trainings aligned with UTZ principles? Attendance lists shall include all information required (including gender!!! This will help to assess control point #21) If you already pre-selected a sample of farmers, check if those farmers received the planned trainings; farmers not participating in trainings shall be considered in the sampling Note that this requirement only applies to group members and farm operators! If a NC is identified regarding some of the topics mentioned, the group shall introduce such topic amongst the contents of the next year training plan.

G.A.20	Awareness raising activities are held and documented for group members and group member workers, and their families, to inform them about: Block C) Working Conditions	At least two topics are addressed per year. By the end of the fourth year all of the following topics have been addressed by internal or external trainers: Block C) Working Conditions - Worker's rights - Child labor, including hazardous work and trafficking - Importance of education - Equal rights and opportunities for women - Sexual harassment, diversity and discrimination - Health and safety including HIV/AIDS, re-entry times and hygiene - Family nutrition and other issues that improve general health - Other relevant topics	These awareness activities shall be also documented Note that this requirement only applies to group members, group members' workers and their families!! If a NC is identified regarding some of the topics mentioned, the group shall introduce such topic amongst the contents of the next year training plan
G.A.21	Measures are taken to ensure equal opportunities for women to participate in training and awareness raising sessions.	Women are involved in identifying and prioritizing measures. Measures include e.g.: - Clear communication to women about the sessions - Conducting sessions at times when women can attend - Tailor training programs to the needs of women	Note that this requirement is not pretending you to check the women participating in training (control point 19) and awareness sessions (control point 20) BUT the measures taken by the group to ensure equal access to such activities
G.A.22	There is documentation of product flow from certified production units to the collection points (e.g. storage centers), and throughout all processing and handling stages conducted by the group.		Flow includes all steps under the certification scope; can be the same for conventional products but the processes in which both certified/non certified products can be mixed shall be clearly marked

G.A.23	The UTZ certified product, including carry-over stock from previous certification years, is visually identified as such and is at all times strictly separated from non-UTZ certified products.	Carry-over stock is the physical stock remaining of UTZ certified product purchased by the group during the previous certificate year, minus the volume of this product sold by the group during that year.	In order to check the carry-over, check that the physical stock shall match with the real amount of product bought during the previous certificate year (not the estimation included in the certificate) minus the product sold The volume considered as carry-over should be including the volumes already sold that have not yet been included in GIP
G.A.24	Records and invoices are kept to ensure traceability.	These records include: - the purchases of UTZ certified product from each group member, - the sales of UTZ certified product, - the sales of other certified or verified product, - the sales of conventional (non-certified or verified) product, and - any carry-over stock from previous years of UTZ certified product, other certified or verified and conventional (non-certified or verified) product. Purchase invoices and payment slips indicate the group member's UTZ status.	Traceability records shall allow you to complete checks in both directions backwards (from final products to producer/s) and onwards (from producers to final product sent to the next part of the supply chain). Try to trace: - the destination of the harvested product by one famer/group of farmers in one day - the origin of a container sent to one buyer...from which farmer/s the product was coming? Are those farmers included in the current certification scope? Also, complete traceability exercises with producers that are not part of the scope, to check if the product is indeed sold as non (UTZ) certified When the product is certified, related records and invoices shall be clearly including the word "UTZ" and shall belong to the period mentioned in the valid previous certificate (note that time extensions do not entitle the members to sell product from the next harvest)
G.A.25	All sales and delivery announcements of UTZ certified product, including premium, are recorded in the Good Inside Portal. Records are kept on these sales announcements with the GIP transaction ID.	Product can only be sold as UTZ certified once the group has a valid Code of Conduct certificate.	Be prepared prior to the audit with the information available in GIP for the audited member; then, a cross-checking of a representative sample of announcements shall be done with the information in GIP and the one in the commercial documents It is a good practice to check the confirmed transactions due to the fact that, by only checking delivery announcement, differences might exist between this total and the remaining amount in GIP

G.A.26	A "Use of UTZ premium" procedure is in place and is communicated to the group members. The UTZ premium clearly benefits group members in cash and/or in kind.	The "Use of UTZ premium" procedure and records include: -group management spending (e.g. audit cost), -products and services delivered to the group (e.g. training, storage facilities), and -Group Member premium: benefits in form of cash or tangible goods (in kind). Records are kept updated.	Verify the content of the procedure and cross-check with farmers (through interviews) that: - they understand the concept of UTZ Premium - they are aware of the corresponding benefits they shall receive for their production certified as UTZ (as well as other schemes): money, in-kind benefits and/or indirect benefits (money spent on activities/resources that will have a positive impact on farmers)
G.A.27	The Group Member premium is paid in a timely and convenient manner. Prices, premiums, and timing of premium payment are clearly communicated and transparent to group members.	Communication of prices and premium is documented.	For the previous year's production, check that farmers received the benefits described in the "Use of UTZ Premium" procedure by: - reviewing the payment records - interviewing members to confirm the benefits received Like contracts and internal inspections, the sampling of farmers shall include the benefits received by those farmers

G.A.28	A procedure is in place for submitting and addressing complaints. This procedure is accessible for: - group staff, - group members, - group member workers, - buyers and suppliers, and - anyone who wishes to file a complaint related to issues of compliance with the Code of Conduct. The group staff and group members are informed of the complaint procedure at the time of hiring/joining the group.	The procedure: - allows for complaints to be submitted anonymously, - addresses complaints in a clear and timely manner, - ensures no plaintiff will be penalized for submitting a complaint, and - does not interfere with other recognized complaint or grievance mechanisms (e.g. judicial, collective agreements). Complaints and the corrective actions taken are adequately documented. Records of complaints from the government in case of (alleged) violations are made available to the auditor.	The procedure shall be in place and the members shall be aware of its existence (either verbally or by the information contained in the signed contract) Always ask if any complaint was received (at IMS level) and if any complaint was submitted to the group (by the {visited} farmers)
G.A.29	Tools used to define the weight or volume of harvested product are calibrated at least once a year. Measures are taken to prevent unwanted modifications.	Calibration can be carried out by external persons, in line with national practice and regulation. More advanced equipment like electronic weighing scales is calibrated by specialized technicians. The name of the person or entity that carried out the calibration and the date are documented.	The calibration certificates shall be checked for all equipment used When talking about the harvested product, an estimation can be done at farm level (just after harvesting) but is the equipment used to weight the harvested product (and pay the farmers accordingly) the one to consider for this control point When a relevant deviation is found during the calibration process, investigate if members were harmed and (eventually) if they were compensated

G.A.30	Service providers are consulted for technical advice and support on Good Agricultural Practices. These services are made available to the group members.	Requests to receive consultation can be demonstrated, even in the case that services or support could not be provided. Whenever possible and meaningful, a formal relationship with a local extension agency is established. The group can also rely on internal knowledge if it meets the group's needs.	External advice is highly recommendable but not compulsory; when internal knowledge is used, expertise and skills shall be challenged Mind that the goal is to optimize yield so advice should be focused on this direction
G.A.31	The IMS identifies the barriers and feasible measures for group members to optimize their yields.	To identify and prioritize feasible measures, the following are taken into account: - costs, - potential yield increase, and - availability of inputs required (e.g. labor, equipment, knowledge, pesticides, etc.).	The risk assessment (control point #16) can be also used to identify barriers, and the management plan (control point #17) can be useful to describe the measures to be taken in order to optimize yields Results from estimations (control point #10) shall be considered when assessing the efficiency of the measures taken by the group
G.A.32	The IMS supports and coordinates the implementation of prioritized measures to optimize yields of the group members.	Implementation is documented.	The implemented measures shall be assessed regularly; since the implementation needs to be documented, challenge timeframes, responsible person/s and results; when needed, the measures shall be adapted depending on the results and/or development of the yields
G.A.33	The IMS facilitates access (can be against costs) for group members to the agricultural inputs needed in the relevant periods in the production cycle.	The IMS can demonstrate the efforts to make agricultural inputs available, such as planting material (also includes propagation material), tools, fertilizers, and pesticides.	IMS shall facilitate access but members can decide to take inputs from other sources; in any case, main guidelines (recommendations from IMS technical staff) shall be respected (e.g. most efficient pesticides, most suitable varieties,...)

BLOCK B - FARMING PRACTICES			
G.B.34	Suitable varieties are used for new planting (including propagation). The group provides suitable planting material to group members, or identifies a local provider(s) who can do so.	Suitable varieties consider: - Expected yield - Resistance against pests, diseases, and drought - Inputs required - Product quality - Adaptation to local, geographical, ecological, and agronomical conditions The list of local providers is available and updated. In cases where no local provider of suitable planting material is available, measures are taken to set up on-site nurseries.	Investigate in advance the most suitable varieties in the region according the described parameters The list of suppliers of new planting materials shall contain enough information for farmers to choose the most convenient one Planting material shall be traceable (see control point #37); when no external supplier is used, the group promotes nurseries within the production areas
G.B.35	Planting material obtained from a nursery is free of visible signs of pest and disease.	A justification is available when plants have visible signs of damage from pest or disease.	When planning the *in situ* visit to the facilities, ask for nurseries/new plantation areas; direct observation shall be enough to identify signs of pests or diseases
G.B.36	Measures are in place to improve plant health in on-site nurseries. Records are kept and show the origin of the substrate and pesticide treatments (including sterilization).	Measures can include monitoring and controlling pests and diseases, and damage to the root system. Records include at least: - date of application, - product brand name, and - quantity or volume applied (per hectare, plot, plant, etc.). It is sufficient for illiterate group members to name or show the label of the products used, and state the period or timing of application and quantity applied.	When a nursery is set on-site, records showing pesticides used for the substrate and the plant shall be available for review When checking the application date of pesticides, mind the interval with the re-planting activities (according the manufacturer/legal recommendations) It is important to confirm that all chemical used in this stage shall be approved for the crop for which are applied (or at least, approved as generic product for any crop during nursery stages)

G.B.37	For all planting material, records or certificates are kept that state the variety, batch number, and name of the vendor.	This applies to all planting material obtained after joining the UTZ certification program. It is sufficient for illiterate group members to state the variety and the vendor name and/or show the packaging material with the information of the planting material.	This control point is not applicable for planting material coming from on-site nurseries (for which the control point #36 becomes compulsory) The goal is to trace back any potential problem in the plantations due to a bad/poor management of the planting material
G.B.38	The use of any genetically modified organism as planting material for the crop (including trial plots) is communicated to UTZ and the buyer(s).	Specific genetic modification is documented. Written acknowledgment of the communication with UTZ and the buyer(s) is available to the external auditor. This applies only to UTZ products.	Note that the use of genetically modified material is not forbidden but the communication to UTZ and the buyers shall be proactively done by the member Always ask when new planting material is obtained by the group/members
G.B.39	New plantings follow a suitable crop pattern to ensure a well-established cropping system.	A suitable crop pattern takes into account e.g.: -Varietal requirements -Geographical , ecological, and agronomical conditions -Diversification and intercropping -Planting density	Investigate in advance the most suitable patterns in the region according the described parameters
G.B.40	Pruning and removal of shoots/suckers and infested material are regularly carried out to obtain optimal tree structure and health.	Tools are disinfected when there is a risk of disease transmission.	Lack of (correct) pruning and/or plant cleaning activities can have an impact on productivity and on the health status of the plants Ask for the tools used and the method/frequency for its disinfection
G.B.41	Weeds are controlled to optimize nutrient and water uptake of the crop.	Priority is given to non-chemical weed control strategies.	The use of herbicides shall be reduced to the minimum/non-existent Ask always for the method used for controlling weeds

G.B.42	Heavy pruning, grafting, and/or replanting is performed on low producing and unproductive plantations to promote an optimal yield.		The activities for this control point can be aligned with the ones described in control points #31 and #32 Consider the yield estimation of these plantations for which the regular methodology could not be applicable/valid
G.B.43	Diversification of agricultural production and/or other sources of income is encouraged and practiced to adapt to market and/or climate change.	Diversification considers intercropping, establishment of home gardens with highly nutritional plants, or any other type of diversification.	The goal is to increase biodiversity within the plantation areas When intercropping is present, assess if the secondary crop can be harmful to the main (certified) crop
G.B.44	Soil erosion is prevented by using soil conservation techniques. Soil is covered (e.g. using cover crops, mulch, etc.) when clearing and/or replanting land.	Fire is not used to clear vegetation when preparing fields.	By direct observation, confirm that erosion does not pose a risk for the fields under the certification scope and/or when the risk is evident (big slopes, high rainfalls) the erosion is prevented by a good management of the soil Is a good practice to request a map with contour lines (isoclines) as this can help to identify areas with higher probabilities of erosion issues
G.B.45	Soil fertility and crop nutrient status are monitored every year.	Monitoring can be based on soil maps, soil and/or leaf analysis, or physical symptoms of nutrient deficiencies.	Assess if the monitoring system used is efficient enough: it offers results that allow to plan the application of fertilizers and later to adapt the dose/type of fertilizer

G.B.46	Measures are taken to improve soil fertility according to the nutritional needs of the crop, including compensation for nutrients lost from harvests. Fertilizers used (organic and inorganic) are used efficiently to maximize uptake.	Measures to improve soil fertility include e.g.: -Planting nitrogen-fixing species -Agroforestry practices -Composting -Application of inorganic fertilizer Measures to correct low soil pH are implemented when possible. If soil pH is low, acidifying nitrogen based fertilizers are avoided or are used in combination with lime. Efficient fertilizer use considers the prescribed dosage, period or timing and intervals of application, and release properties.	In order to improve soil fertility, information of the initial status shall be obtained (see control point #45) Repetitive application of similar quantities of fertilizers during long periods of time shall alert you on the criteria used for those applications: shall be based on the monitoring activities previously demanded and/or any justified technical criteria

G.B.47	Organic fertilizers and by-products available at farm level are used first and supplemented by inorganic fertilizer if nutrients are still lacking.	The risk of plant disease transmission through the organic material and by-products is taken into account.	Check if organic fertilizers and/or by-products have been considered as the first option (when are not representing a risk for the plantation)
G.B.48	Human sewage, sludge, and sewage water are not used for production and/or processing activities.		Confirm this control point not only with a single declaration of the farmers/group management but also with direct observation and questioning the origin of water and/or organic fertilizers
G.B.49	Animal manure used as fertilizer is stored at least 25 meters away from any water body. It is appropriately composted if needed to minimize risks.	Storage conditions prevent environmental impacts, disease transmission, and heavy metal contamination.	Water bodies shall be identified in the farm maps, then confirmed in situ to check if the minimum distance is respected When animal manure is not used, the control point is not applicable

G.B.50	Integrated Pest Management (IPM) measures are implemented and documented.	IPM measures are applied in the following order: 1. Prevention by implementing good agricultural practices 2. Monitoring of pests and diseases (e.g. insect traps) 3. Application of tolerance levels 4. Use of non-chemical alternatives such as cultural and mechanical practices and/or use of biological control (e.g. natural enemies) 5. Use of natural pesticides (e.g. neem extract) 6. Spot application of chemical pesticides which have the lowest possible toxicity for people, flora and fauna 7. Use of other chemical pesticides as a last option 8. Rotation strategies to avoid that pests become resistant to pesticides (e.g. alternating the chemical family of a pesticide) 9. Herbicides used are selective	When checking this control point, ask for the IPM program applied in the farm. The program shall be documented and the measures shall be implemented (e.g. if tolerance levels are used, a monitoring system that includes records with the results that can lead to further actions shall be in place) Identify if any of all possible measures have not been used before a less hazardous alternatives. As much as possible, farmers shall be encourage to avoid the use of pesticides/herbicides without trying any preventive measure

G.B.51	Pesticides listed on the Banned Pesticides List cannot be used at any stage of production, or stored for use on the certified crop. Pesticides listed on the Pesticides Watch List can only be used if: -all IPM measures have been applied, -less hazardous alternatives are not available, and - specific recommendations are followed to mitigate or reduce the risks related to the hazardous nature of the product.	A system is in place to monitor the use of pesticides listed on the Pesticides Watch List.	By cross-checking the pesticides observed in the storage area plus the records of pesticides application, ensure that no product included in the list of banned pesticides has been used in the crop Pay special attention to those products that (without being banned) are included in the Watch List: in those cases, confirm that they have been used only when the three conditions described in the control point has been met
G.B.52	Pesticides are used or stored for use on the certified crop only if officially registered and permitted for use on the crop in the country where the farm is located.	Pesticides can also be used and stored if there is an approval from a national agronomic research institute or national board for that crop.	When pesticides are not in the Banned Pesticides List, is possible to use and storage them in the farm only when are approved for the country in which the farm is located and for the crop for which are pretended to be used When special/temporary approvals are in place, related information shall be available

G.B.53	An up-to-date and complete list of fertilizers and pesticides that can be used and stored is available for group members.	The list of pesticides includes: - brand names and active ingredients, - specific protective equipment and training needed to apply the products, - pre-harvest intervals, and - re-entry times. If the list of pesticides contains pesticides that are on the Pesticides Watch List, the list must also include: - pictograms to warn group members of the risk that these products represent, and - additional considerations for proper use.	Note that the list is not the list of pesticides/fertilizers that can be used in the country nor the Banned Pesticides List. The control point demands an updated list of pesticides/fertilizers that can be used/stored by group farmers When a pesticide is found not to be included in this list but is present/used in the audited farms, a NC shall be issued (even if the product is registered in the country for that given crop)
G.B.54	All applications of inorganic fertilizers and pesticides are recorded.	Records include at least: - the product brand name, - date(s) of application, and - quantity applied. The IMS facilitates record keeping for group members when needed (e.g. providing application calendars). It is sufficient for illiterate group members to name the products used and/or show the product label, and know the period or timing and quantity of application.	Records shall be thoroughly reviewed, especially the ones corresponding to the sampled farmers: the nature of the used pesticides (to check approval and specific protective equipment needed), the dates of application (to confirm that re-entry times and pre-harvest intervals were respected) and the quantity applied (to assess if IPM practices are respected and that MRL will be no overpassed) is the minimum information to be included Additional information is recommendable but not compulsory as such as the name of the operators (to cross-check with training records, health controls and use of PPEs), or the methodology and equipment with which the pesticide was applied (to check calibration and/or respect of instructions of use)

G.B.55	Only properly trained persons handle or apply hazardous pesticides.		The minimum content and duration shall be aligned with national standards. A relevant sample of participants included in the records shall be interviewed during the field visit to check if the content of the training was well understood and the instructions for the use of pesticides are followed at all times (especially the information related to the use of PPEs, the respect of the prescribed dosage and the disposal of empty containers)
G.B.56	Pesticides and liquid fertilizers are prepared, mixed and applied according to the label and Material Safety Data Sheet instructions, considering the prescribed dosage, period or timing, and intervals of application.	The Material Safety Data Sheet can be obtained from government agencies or providers. In addition, technical advice given by a national agronomic research institute or national board for the crop can be followed. This additional advice is documented.	Unless you are present during the preparation/application of pesticides/liquid fertilizers, the compliance with this control point shall be assessed through interviews (see control point #55) and the review of the MSDS
G.B.57	Surplus pesticide and liquid fertilizer application mix or tank washings are disposed of in a way that minimizes negative impacts to humans and the environment.	Surplus mix is applied over an untreated part of the crop or on fallow land, away from any water body (respecting the distances specified in G.D.107).	Unless you are present during the preparation/application of pesticides/liquid fertilizers, the compliance with this control point shall be assessed through interviews (see control point #55)
G.B.58	Recommended re-entry times for all pesticides used are observed and respected.	Warning signs on the farm, or other measures are in place to ensure re-entry times are respected.	The methodology to prevent the access of personnel to areas in which a pesticide has been applied shall be clearly identified and understood by all workers (especially by those harvesting the crop): use interviews and check the presence of warning signs (watch out, warning signs by themselves are not enough unless are easily understood by workers)

G.B.59	Recommended pre-harvest intervals for all pesticides used are observed and respected.	A procedure is in place to ensure that recommended pre-harvest intervals are respected.	The information in the record of pesticides application shall be cross-checked with the harvesting records and confirmed with the information available for the product (label, MSDS, national guidelines) to confirm that the pre-harvest intervals have been respected. This information is critical for a good assessment of control point #75
G.B.60	All equipment used to apply fertilizers and pesticides is maintained in good condition to ensure correct functioning.	Equipment is checked for correct functioning at least annually, and calibrated if necessary, by a trained person (internal or external). Application nozzles are adjusted to spray efficiently. Equipment checks and calibration are documented.	Records showing checks and calibration shall be in place. Confirming through interviews and records that the person doing the calibration and check is well trained is essential
G.B.61	Empty pesticide containers are rinsed 3 times with water. Rinsing water is disposed of properly, or returned to the application equipment tank for later use in a spray mix, and containers are perforated.	Empty pesticide containers cannot be reused for any purposes, including for food, water, animal feed, or storage of fuel.	Interviews with personnel handling pesticides shall confirm that the instructions are respected by everyone Pay attention to all containers in the farm to check if they have been reused after containing pesticides
G.B.62	Empty pesticide containers and obsolete pesticides are handled by a collection, return, and/or disposal system (organized by government or a supplier). Containers are stored, labelled, and handled adequately and securely until they are collected.	When no collection, return, or disposal system is available or accessible: - empty pesticide containers are disposed of in a manner that minimizes exposure to humans, the environment, and food products; - obsolete pesticides are securely stored or disposed of in a manner that minimizes exposure to humans, the environment, and food products.	Interviews with personnel handling pesticides shall confirm that the instructions are always respected. The area for the storage empty containers shall be managed in the same way that the pesticides storage in terms of secure access, signalization and segregation from food products

G.B.63	Pesticides and inorganic fertilizers are stored: - in accordance with the label instructions, - in their original container or packaging, - with indication of the crop they are used for, - in a way to avoid spillage (e.g. liquids are placed on lower shelves or stored separately), - securely in a location not accessible to children (e.g. locked), and - away from harvested product, tools, packing material, and food products.	When handling, diluting, and storing, potential danger to people, food products, environment, and water bodies is minimized. Fertilizers are stored away from pesticides. The secure storage area is accessible only to the responsible, trained person(s).	Direct observation plus interviews with responsible personnel shall be used to assess this control point Always ask farmers about storage even when a central location is provided by the group management Pesticides for other not certified crops can be stored in the same facility but shall be segregated and properly identified

G.B.64	Facilities for handling, diluting and storing inorganic fertilizers and pesticides must be: - dry and clean, - well ventilated and sufficiently lit, - structurally secure, and - equipped with non-absorbent material. In addition, central storage and diluting facilities must have: - a sound roof and impermeable floors, - shelves with non-absorbent and fire-resistant material, - a system to retain spillage, - clear, permanent warning signs close to access doors, - visible safety warnings, explanation of pictograms, symptoms of intoxication, and first aid information for each product stored, - a visible emergency procedure, and - an eye-washing area.	Facilities are bounded and able to contain 110% of all liquid volume stored. Non-absorbent material can be e.g. plastic bags, glass, or metal. The emergency procedure includes: - ways to deal with spillage (e.g. sand or sawdust), and - basic accident care instructions and emergency telephone numbers or radio contacts.	Direct observation and interviews with operators in charge of pesticides/fertilizers application are needed: do they understand the instructions and signals? Are they aware of the emergency procedures? Check the reliability of emergency procedures: is the transport to medical centers feasible? Are the emergency numbers updated and reachable by workers? When working in isolated areas...are connectivity problems considered?
G.B.65	Inorganic fertilizers and pesticides are transported safely to prevent spillage.		Containers for transport of pesticides/fertilizers shall be adequate (especially in the case of liquids
G.B.66	Irrigation water is used efficiently.	Efficient water use takes into account water needs, timing, and rainfall information (forecast and records).	Consumption controls are in place, rainfall are considered to avoid misuse of irrigation water

G.B.67	Irrigation water quality is analyzed. Actions are taken to address negative outcomes of the analysis.	Untreated sewage water is not used for irrigation. Treated sewage water can only be used on the crop if the water quality complies with the latest WHO guidelines for the safe use of wastewater and excreta in agriculture and aquaculture. (English version available at : http://www.who.int/water_sanitation_health/wastewater/gsuww/en/)	http://www.who.int/water_sanitation_health/publications/gsuweg2/en Mind the first part of the requirement: the irrigation water quality shall be analyzed; frequency of analysis should be based on a risk assessment
G.B.68	Irrigation water is extracted from sustainable sources.	A sustainable water source may be e.g. harvested rainwater or recycled/treated water.	The member shall always justify that extracting water from lakes, rivers and groundwater is officially permitted (as are considered not sustainable sources)
G.B.69	Practices are implemented to adapt to water scarcity, such as rainwater harvesting.		No specific guidelines offered
G.B.70	Product is harvested at the appropriate time and using the best method for optimizing quality and crop health.		National recommendations/restrictions shall be considered. The member shall be able to explain the criteria used to optimize quality when selecting a concrete period
G.B.71	Equipment used for quality control (e.g. cooling or moisture meter) is maintained in good condition to ensure correct functioning.	Equipment is calibrated at least annually, by a trained person (internal or external), and is documented.	Visual validation plus calibration records. An interview with the responsible person will give an idea if the process is done correctly (the responsible shall be trained)

G.B.72	Facilities and equipment are clean and well-maintained to prevent contamination.	Facilities include areas for storage, handling and processing such as warehouses and collection points. Equipment includes at least harvesting containers, transportation bags, vehicles used to transport the harvested crop, tools, and machines. Measures to prevent contamination include e.g.: - Adequate ventilation - Regular cleaning - Pest control (e.g. traps)	Whenever possible, be present during harvesting times and then check the containers and equipment used for the harvesting. Are they cleaned frequently? Is there some risk for the product (physical, chemical or microbiological contamination)? The risk assessment described in #16 shall be useful to implement preventive measures in order to avoid contamination during and after the harvest of the crop
G.B.73	Good practices for storage, handling, and processing are in place, taking into account the risk assessment. Group staff and group members are informed about practices relevant to them.	Good practices include e.g.: -Storing the product in clean designated areas (e.g. off of the ground and away from walls) -Designating areas for smoking, eating, or any other activity that represents a contamination risk to the product -Ensuring that cleaning agents, lubricants, and other substances that may come into contact with the product are food grade	Once the product has been harvested, what is happening to it? Where is it stored? How is it handled? Observe the facilities and assess if the needed measures are implemented according the risk assessment (control point #16)
G.B.74	The product is packaged in clean bags that are sufficiently strong and properly sewn or sealed. The bags are made of non-toxic materials and do not contain mineral oils.	The specifications of the bagging material are available.	Visual check of bags (frequently, these are not the containers used for harvesting the product)

G.B.75	Based on the risk assessment, a mechanism is in place to respect Maximum Residue Levels (MRLs) of the destination country if the country is known.	The mechanism includes e.g.: - A sampling procedure to determine residue levels on the product - Actions to take in case MRLs are exceeded - Communication to the buyer if MRLs are exceeded	It is important to consider the result of the risk assessment in order to assess the mechanism in place It shall be always described the actions to take in case MRLs are exceeded, including (but not limited to): the communication to the buyer/s (and eventually the withdrawal of the product), the block of potentially contaminated product from the farm/s, review of the procedures of application of pesticides and (re)training of the responsible personnel for guaranteeing the food safety of the products

BLOCK C - WORKING CONDITIONS			
G.C.76	No forced, bonded, trafficked or other involuntary labor is used at any stage of production and processing by the group or group members. Workers are not required to lodge deposits or identity papers, nor are salaries, benefits or properties retained to force workers to remain on the work site. Workers are free to leave employment after giving reasonable notice. Spouses and children of workers are not required to work, unless separately and voluntarily contracted.		Through interview with a relevant sample of workers, assess if they are (in any way) forced to work. Mind all the possible scenarios included (and not included) in the control point and confirm with the workers that payments and tasks are previously agreed as well as the working time/calendar

G.C.77	Worst forms of child labor Children under 18 years do not conduct hazardous work or any work that may harm their physical, mental, or moral well-being, for the group or group members. They do not carry heavy loads, or work in dangerous locations, in unhealthy situations, at night, or with dangerous substances or equipment. They are not exposed to any form of abuse and there is no evidence of trafficked, bonded or forced labor. Work Children under 15 years are not engaged by the group or group members to work. In case national law has set the minimum work age at 14 years, this age applies. Children in the age of 13-14 years may perform light work, provided that the work is not harmful to their health and development, does not interfere with their schooling or training, is under supervision of an adult, and does not exceed 14 hours a week. In case national law has set the light work ages at 12-13 years, these ages apply. Family farming Children living on small scale family farms may participate in farming activities that consist of light, age-appropriate duties that give them an opportunity to develop skills, provided that the activities are not harmful to their health and development, do not interfere with schooling and leisure time, and are under supervision of an adult.		Check the list of workers requested in control point #5 which shall be including the age; note that the list shall be updated at any moment When visiting the farms/facilities, ask for the family structure: how many people? What they do every day? Are children living in/visiting the farm regularly? Consider compliance only when evidence (as much as possible) has been collected in order to ensure that no child labor is used in the farm N.B.: Non-conformity with G.C.77 should not lead to exclusion of the group member, provided that action is taken in accordance with G.C. 78 Is important to conduct interviews with young-looking workers, confirming that they are above the minimum age and are part of the records of employees. Mind the specific requirements for young workers (above the minimum age, below 18 years old) Asking questions about the possibilities can give you an idea on how difficult is to give compliance to this point: how far is the closer school? What are the options for transport to those areas? Also, mind the traditional characteristic of the crop, the number of generations within the family taking care of the lands and the general practices of combining the attendance to school with some light activities in the farm

G.C.78	A risk assessment is performed on the risks of child labor among the group members. If the risk assessment shows risks of child labor: - community based child labor liaisons are appointed, and - documented actions are taken to prevent, monitor, and remediate child labor.	Actions are led by the child labor liaisons. Actions connect with existing public or private initiatives on child labor.	The risk assessment (control point #16) can be also used to identify this risk, and the management plan (control point #17) can be useful to describe the measures to be taken. Note that actions taken shall be documented As mentioned in the control point #16, the risk assessment shall be updated regularly. For child labor is the same, maybe the initial risk level is low but shall be upgraded if evidence shows potential/real cases
G.C.79	Actions are taken to encourage school attendance of children of group staff, group members, and group member workers.	Such actions are documented. There is support to the local community to establish schools when no schools are available. Such support is documented.	In order to check the implementation of this control point, schooling certificates are the main evidence to look. Nevertheless, the control point wants to address the actions taken by the group to encourage school attendance. Note that actions taken shall be documented
G.C.80	Actions are taken to support literacy and numeracy skill-building for group staff, group members, and their families.	Such actions are documented.	Providing books, basic lessons, schools for adults
G.C.81	Group staff can freely establish and join workers' organizations, both internal (such as workers' representations) and external (such as trade unions), and take part in collective bargaining on working conditions. If national law forbids trade unions, workers are at least able to elect representatives to discuss working conditions with the farm management.	Effective functioning of such organizations is not interfered with in any way. Group staff are allowed to freely elect their own representatives. Representatives have access to their members in the workplace.	The existence, establishment and performance of workers' organization can be checked through documents and interviews (but always a cross-check is necessary, especially to confirm declaration from both sides, employees and management)

G.C.82	Group staff are not subject to any retaliation, discrimination, or other negative consequences if they establish or join a workers' organization or if they take part in collective bargaining.		To be confirmed through interviews; the organization of the workers shall be always respected (this means that a corrective action when a NC is found cannot be the dissolution of the organization/representation of workers)
G.C.83	Group staff are effectively informed, either by individual letter or by a general diffusion, about: - the right to establish and join a workers' organization, - the right to engage in collective bargaining, and - the guarantee that they will not be subject to any retaliation, discrimination, or other negative consequences if they exercise any of these rights.		General diffusion: content in a training session, communication board, part of the signed contract by all workers in the group Information can be considered effective if workers acknowledge their rights during the interviews
G.C.84	Group staff's regular working hours do not exceed 48 hours per week. They have at least one day off after 6 days of work. Group watchmen's regular working hours do not exceed 56 hours per week on average per year.	Group staff are effectively informed on the amount of hours of work required per day (peak and non-peak harvest). Working hours per worker are recorded.	When sampling the records, consider different type of workers: position/responsibility, gender, age and experience. Choose working time records from both peak and low season (the requirement of one day off after 6 days of work applies always) A basic sample shall consider at least 10% of workers but you can decide to increase or reduce the sample depending of the results obtained Note record keeping requirements described in control point #4, records shall be accessible at all times

G.C.85	Group staff overtime work is permitted only if: -it is requested in a timely manner, -it is paid according to national law or collective bargaining agreements, -it does not exceed 12 hours per week, and -it is not demanded on a regular basis.		Overtime work cannot be considered a rule (shall not be demanded on a regular basis)
G.C.86	If there is a collective bargaining agreement in place, group staff and group member workers receive at least the agreed upon wage and/or in-kind benefits. At all times group staff and group member workers must receive at least the applicable minimum wage.	This applies equally to group staff and group member workers that are paid per unit or result (e.g. per volume of product handled). The applicable minimum wage is the higher of either the national or regional minimum wage.	Calculate the cost of in-kind benefits in order to guarantee that the minimum wage is paid When the payment is done per unit or result, the minimum wage shall be reached by working a reasonable number of hours per week (see control points #84 and #85 when assessing group staff)
G.C.87	There are no deductions from group staff or group member workers' wages for disciplinary purposes.		If any action is taken, the group should have a disciplinary code that is communicated to the staff in a transparent and timely way
G.C.88	Group staff's and group member workers' work of equal value is remunerated with equal pay without discrimination for example on gender or type of worker.		Again, the payments on records shall be cross-checked with interviews. Keep in mind the importance of the sample: workers with different gender and/or position…the goal is to identify discrimination (if exist) and not to discuss about amounts of money
G.C.89	Group staff receive wages at least monthly, together with a written pay slip. Payroll records are kept.	Pay slips and payroll records include at least: -time period, -gross and net wage and benefits, and -mandatory deductions (e.g. tax and social security).	The payroll records shall be always present and (with his/her signature) the worker shall confirm that the money has been received on time; is not valid to check the records only, always interview the workers sampled

G.C.90	Group staff who are employed for more than 3 months have written employment contracts.	Employment contracts include at least: - general employment conditions, - gross and net wages and all benefits, and - mandatory deductions (e.g. tax and social security).	No specific guidelines offered
G.C.91	Group staff are not subject to benefits or discrimination in hiring, remuneration, access to training, opportunities, or termination, on the basis of gender, race, caste, ethnicity, nationality, color, type of worker (permanent, temporary or migrant), sexual orientation, union membership, marital status, disability, age, religion, political opinion or other.		For the interviews, a basic sample shall consider at least 10% of workers but you can decide to increase or reduce the sample depending of the results obtained Always cross-check the results of the interviews with the available records
G.C.92	Group staff are not subject to corporal punishment, sexual harassment, oppression, coercion, or any other kind of mental or physical abuse or intimidation at the workplace.		To be confirmed through interviews; do not use direct questions and create an appropriate environment for the interviews on this topic in a way that the interviewee feels safe and open to discuss about it
G.C.93	Group staff receive maternity rights and benefits in accordance with national law and practice. They can return to their job after maternity leave on the same terms and conditions and without discrimination, loss of seniority, or deduction of wages.		When possible, ask for (recently) pregnant workers and confirm with the records of working hours that their rights have been respected according with the national law (or any other agreement); always the most beneficial situation prevails

G.C.94	Group staff receives first aid services and emergency health care, both free of charge, for treatment of work related injuries. First aid boxes are placed at central locations of production, processing, and maintenance sites.	First aid services to group staff are given by a trained person. The training has taken place in the last five years and is documented by a diploma or certificate. The first aid boxes contain materials that are not expired.	Do not forget to ask workers if they pay for such services To assess if the content of the first aid kit is appropriate, ask for the most common injuries and how are they solved (e.g. if there are frequent cuts, the kit shall be containing sterile gauze dressings and bandages)
G.C.95	Group members and group member workers have access to first aid. First aid boxes are placed at central locations of production, processing, and maintenance sites.	The first aid boxes contain materials that are not expired.	The access shall be assessed with common sense, considering the distance and the time necessary to access the first aid from the points on when the injuries can happen

G.C.96	A clear and written accident and emergency procedure is in place. The procedure is visually displayed at all central locations.	The procedure includes at least: -names of contact persons, -actions to take in emergency situations, -locations of communication means (telephone, radio), and -an up-to-date list of emergency telephone numbers (fire department, ambulance, police, etc.). The procedure uses symbols, pictograms, and the predominant language(s) of the workers.	Mind the goal of the procedure: try that any emergency situation does not get worse because of the difficulty in finding aid. Check/ask that the information is always updated (e.g. phone number of the current manager/responsible or closer medical center)
G.C.97	There are clear and permanent warning signs at central locations to indicate potential hazards. Machines have clear instructions on safe usage and their dangerous parts are guarded or encased.	Warning signs and safety instructions use symbols, pictograms, and the predominant language(s) of the workers. There is functioning fire extinguishing equipment (e.g. fire extinguisher, buckets of sands, blankets) at central locations of processing, maintenance, and administration.	Check with personnel that signs are understood and ensure that the language used in the instructions-pictograms et cetera is understandable by workers Most of times, the risk assessment of every single activity conducted in the facilities gives the member the clue on when where the warning signs are needed

G.C.98	Group staff, group members, and group member workers who handle pesticides use personal protective equipment (PPE) and protective clothing that is prescribed for the pesticide used and its method of application. The PPE and protective clothing are in good condition. After use, PPE and protective clothing are cleaned, dried, and safely stored, away from pesticides and in a well-ventilated area.	PPE and protective clothing that is damaged beyond repair or that is intended only for single use, is safely disposed of. There are safety measures in place to prevent human exposure and environmental contamination during the cleaning of PPEs and protective clothing.	Note that the control point requires the use of the PPE and not simply to have them stored close to the pesticides storage area. Ask the responsible how is ensured that PPEs are always accessible in a clean/well condition. The number of operators and PPEs available shall NOT necessary be coincident but the access shall be granted at all times If the PPE can be reused, check with operators the method for cleaning the protective clothing is well applied As guideline, the PPEs shall not share the same space than pesticides
G.C.99	Group staff, group members, and group member workers who are under 18 years of age, or pregnant or breastfeeding do not handle pesticides.		Cross-check the names in the list of workers with the training records and with records in which age and gender can be verified. Interview female workers to ensure that when pregnant/breastfeeding they do not handle pesticides
G.C.100	Group staff (including group appointed spraying teams) who regularly handle hazardous pesticides undergo annual health checks.	The health checks are documented and include a cholinesterase examination for those who apply organophosphate and carbamate pesticides.	Check with group staff that health controls are frequently passed (at least annually); when reviewing the list of applicators, use a sample to check the analysis (10% is a minimum but be increased or reduced according the results) When results show a risk for the worker, he/she shall be immediately replaced and different non-risky tasks shall be allocated for him/her
G.C.101	Group staff (including group appointed spraying teams) who handle pesticides have access to changing and washing facilities.		To be confirmed through interviews plus a visual inspection of the mentioned areas
G.C.102	Group staff, group members, and group member workers have access to safe drinking water.		In rural areas, reasonable access implies that a person does not have to spend a disproportionate part of the day fetching water for the family's needs. In urban areas, 200 meters is considered reasonable. Note that this control point is also applicable to group members and their workers

G.C.103	Group staff receive instructions on basic hygiene. Hygiene instructions are visibly displayed at central locations.	Central locations include production, processing and maintenance areas, hand washing and toilet facilities, and living and eating areas. Instructions use symbols, pictograms, and the predominant language(s) of the workers.	Check with personnel that signs are understood and ensure that the language used in the instructions-pictograms et cetera is understandable by the group staff
G.C.104	There are toilets and hand washing places on processing and maintenance sites.		Washing places shall be properly located in between the toilets and the working areas in order to ensure the hygienic handling of the products after the use of toilets
G.C.105	Communal eating areas are clean, well maintained, and, as much as possible, free of pests.	If necessary, measures are in place to eliminate pests. Such measures are documented. Traps are clearly marked for safety reasons.	No specific guidelines offered

BLOCK D - ENVIRONMENT			
G.D.106	A buffer zone of native vegetation of at least 5m wide is kept along each border of seasonal and permanent water bodies to reduce erosion, limit contamination from pesticides and fertilizers, and protect wildlife habitats. In farms less than 2ha in area, a buffer zone of at least 2m wide is kept.		When visiting small farms, consider the different requirements (2 or 5 meters); confirm with the farmers the size of the farms visited Plants within the buffer zone can be grown and harvested but always considering the restrictions described in this control point
G.D.107	Pesticides and inorganic fertilizers are not used: -within 5 meters from any permanent or seasonal water body that is 3 meters wide or less (or within 2m if the farm is less than 2 ha), -within 10 meters from any permanent or seasonal water body that is over 3 meters wide, or -within 15 meters from any spring. Run-off from organic fertilizer is minimized.	Clear instructions are in place for all persons who apply fertilizers and pesticides.	Instructions does not need to be written but shall be equally understood by all operators applying fertilizers and/or pesticides. Ask the farmers (in case they are not applying the chemicals) to cross-check that the buffer zones are indeed kept as chemicals-free areas Be aware on the location of the water courses around the areas in which the farms are located; the maps requested in Block A shall help you during the sampling process to ensure that these farms are visited

G.D.108	There are documented measures in place for efficient water use in production and processing.	Measures for efficient water use take into account e.g.: - Water needs (depending on e.g. individual supply, regional/community resources and access, rainfall) - Activities where water withdrawal, discharge, and potential run-off occurs - Minimizing water pollution - Suitable water harvesting mechanisms	The documentation of the measures for the efficient use of water can be available at office level (IMS) but shall be cross-checked at farm level if the mentioned measures are effectively implemented
G.D.109	No deforestation or degradation of primary forest occurs or has occurred since 2008.		Be aware on the location of the primary forest around the areas in which the farms are located; the maps requested in Block A shall help you during the sampling process to ensure that the more risky areas are visited Comprehensive maps of forest cover loss and protected areas can be found here: http://www.globalforestwatch.org
G.D.110	No deforestation or degradation of secondary forest occurs, unless: -a legal land title and/or landowner permission and/or customary land rights are available, and -government permits are available (if required).		Be aware on the location of the secondary forest around the areas in which the farms are located; the evidence that support any deforestation shall be available prior to the audit and not requested to the authorities during the audit (otherwise shall be identified as NC)

G.D.111	No production or processing occurs in or within 2 km of a protected area unless it is allowed under a management plan of the area. The management plan is implemented.	Management plans must be approved by a relevant national or regional authority and include at least the following: -identification of the boundaries of areas accessible for production and processing and communication of such to group members, and a ban on further conversion and new land clearing outside of this area, -specific actions to mitigate or compensate for impacts on the environment, such as e.g.: reforestation, adoption of agroforestry practices, establishment of biological corridors, and -clearly defined roles for supervision and implementation of the plan, and time frames. If a management plan is not yet available, the IMS engages with local authorities to develop one.	Be aware on the location of the protected areas around the locations in which the farms are located; the maps requested in Block A shall help you during the sampling process to ensure that the more risky areas are visited Management plans shall be up to date: the areas proposed for production shall be concordant with the reality and the proposed actions (when mentioned as tool for mitigation) shall be checked at farms' level When the risks are present and the actions to mitigate are not completed, you shall raise a NC in this control point
G.D.112	Threatened and endangered species in the production area are identified, communicated to group members, and protected.	Hunting, trafficking, or commercial collection of such species does not occur.	Check how the communication with members is done and (through the interviews) if they are aware about the importance of protecting those endangered species A comprehensive list of species is available at https://www.worldwildlife.org/species/directory
G.D.113	The group promotes ecological diversity by protecting and enhancing habitats and ecosystems.	Examples include: - Planting trees and/or flowers - Safeguarding biological corridors - Preservation of semi-natural areas (e.g. hedges, meadows. etc.) Shaded cropping/agroforestry systems fulfil this requirement.	No specific guidelines offered

G.D.114	Documented measures are taken to assist group members in adapting to important climate change impacts identified in the risk assessment.	Measures include e.g.: -Using fertilizers and pesticides efficiently -Planting of (shade) trees -Trainings on adaptation practices -Establishment of demo plots -Instalment of a water harvesting system	Do not forget that the measures shall be documented; ideally, the group plans a follow up on the measures to assess their efficiency
G.D.115	Measures are taken to increase energy efficiency in production and processing, and where appropriate, climate smart energy sources are used.		To show the increase in efficiency, the group should measure every season the consumption levels and relate them with the amount of product produced; then, through concrete measures could work on efficiency (producing more with less consumption)
G.D.116	Documented measures are taken to reduce air contamination from sources identified in the risk assessment.	Measures include e.g.: -using alternative energy sources (e.g. solar energy) for processing activities -regularly servicing agricultural machinery -no burning of organic or inorganic matter	No specific guidelines offered

G.D.117	Waste is stored and disposed of only in designated areas. Non-hazardous waste is reused or recycled whenever possible. Organic waste is used as fertilizer.		Designated areas do not necessarily being identified with signs but shall be exclusive for that purpose
G.D.118	There is an established collection center for potentially hazardous waste, such as batteries, expired medicines, and electronic waste.	The collected waste is disposed of in a way that represents the lowest possible threat to the environment and to human health.	Ask if such waste is generated within the group and what is the frequency and quantity of the waste generated, so you can estimate the size/type of the collection center required

Annex 2. Guidelines for UTZ Coffee module

CP #	Control Point	Clarification for Compliance	Audit guidelines
BLOCK B – FARMING PRACTICES			
CF.B.1	An adequate number per hectare of suitable shade trees are planted and/or maintained on coffee plots.	Shade trees are non-invasive, and/or nitrogen fixing, and/or highly nutritious species, and provide optimal canopy cover (at maturity). The number of shade trees depends on climate patterns, soil conditions, and product specific recommendations.	Minding the characteristics mentioned in the clarification for compliance, count the shadow trees in the visited farms and assess the implementation of plans for new plants
CF.B.2	To prevent mold formation, there is minimal contact between coffee and any possible source of fungal contamination.	This applies to harvested coffee fruit/cherries and dried coffee beans (dry fruit/cherries, parchment, and green coffee). Contact between harvested coffee and soil is avoided.	Observe the management of coffee after harvesting and identify where a risk can be arising for the quality of the final product. Is possible that preventive measures are described by the member in the HACCP program
CF.B.3	Measures are taken to prevent coffee beans from getting wet during storage, loading, and transportation.		Same as CF.B.2, excessive humidity can affect coffee quality
CF.B.4	Coffee is fermented in the appropriate manner for the required time.	Adequate fermentation is verified by, e.g., analysis of regular samples from fermentation tanks.	The fermentation process should be standardized and the technique and time used should be offering consisting results (verification through cupping or pH evolution are done in a consistent way)
CF.B.5	Coffee beans are dried to the appropriate moisture content.	The coffee meets the specific percentage of moisture content requested by the buyer. Records of moisture measurements and buyer requests are available.	Identify what is the amount of coffee that creates a batch and request the records of moisture measurement for several batches. The maximum % shall be predetermined and clear for the person/s in charge of such controls

CF.B.6	Coffee is reasonably free of foreign matter, foreign odors, and defective beans. Coffee meets national quality standards or other contractual requirements.	Defective coffee beans include e.g.: - Flat - Shrunken - Brown to black colored - Moldy - Infested Contractual requirements may relate to e.g.: -Off flavors -Homogeneity of bean size -Moisture level -Defects	Visual evidence. When national or private standards are in place, check that a monitoring system is controlling the required parameters and taken measures when such parameters are not respected

BLOCK D - ENVIRONMENT			
CF.D.7	There are no animals used for processing animal coffee, while they are held in captivity on the farm. No such animals are held captive for tourism purposes.	Captivity is considered any condition of confinement that limits the movement of animals in their natural habitat (e.g. by caging or fencing). Processing animal coffee means using the interference of animals with coffee to modify the quality of the coffee (e.g. by forcing or allowing animals to eat coffee beans and extracting the coffee beans from the feces).	Mind the definition of captivity; when no animals, the control point is not applicable
CF.D.8	Clean water and contaminated water are separated. When possible, water is recycled during wet processing.	Measures are taken to efficiently (re)use water.	Direct observation. Always ask if the water is reuse somehow and what are the preventive measures to avoid coffee contamination
CF.D.9	In addition to recycling water, activities are implemented to reduce water consumption during wet processing.	Examples of such activities include: - use of an ecopulper to reduce water consumption -having procedures in place to reduce water consumption during washing of machinery. The target water consumption is below 10 lt/kg of green coffee (approximately 2 liters per kg of coffee fruit/cherries).	Water consumption shall be monitored to demonstrate the reduction in time Preventive checks, purchasing of efficient equipment or maintenance programs can be considered amongst the activities to prevent spilling or leaks
CF.D.10	A water treatment system is in place to eliminate or reduce pollution caused by coffee wastewater resulting from the wet process.	Measures to treat wastewater include e.g.: - Surface runoff control - Plastic tubular digester - Anaerobic reactors - Lagoons - Aerobic filters	It is not acceptable that used water is directly returned to the environment without any treatment. Ask for the volume of water consumed (especially during peak season/s) and confirm that treatment system in place have the capacity needed

CF.D.11	In central wet mills (of groups) and wet mills of estates (farms certified against the Code of Conduct for Individual and multi-site certification), a water quality analysis and monitoring program is implemented.	An analysis is conducted at least once per coffee season and includes an analysis of water samples before and after treatment. The analysis takes into account the watersheds of where the group is located and the risk/area of contamination, and serves to further improve, where possible, the water treatment system in place. The analysis indicates at least: - chemical oxygen demand (COD), - pH, - sedimentable solids, and - flow rate. Monitoring includes: - comparison of results from before and after treatment, - comparison with results from previous year(s), and - comparison with applicable national or local regulations. Corrective actions are taken based on the results. The records and monitoring program are available. Records include the: - date(s) of the analyses, - results and corrective actions, and - responsible person for the monitoring system.	Central mills correspond to those used by the whole group; those belonging to group members being used to process coffee from several group members can be also part of the monitoring program depending on the risk analysis conducted at the IMS level By default, the maximum levels for the requested parameters shall be coming from national laws (that always will be the reference); accredited/ recognized laboratories shall be aware of the nature of the samples in order to choose the suitable parameters and maximum levels from literature/law

Annex 3. Guidelines for UTZ Cocoa module

CP #	Control Point	Clarification for Compliance	Audit guidelines
BLOCK B – FARMING PRACTICES			
CO.B.1	At least 12 shade trees per hectare are maintained and distributed evenly on cocoa plots.	Enough suitable trees are planted to eventually have 12 mature trees per hectare. Newly planted trees are taken care of, and are non-invasive, and/or nitrogen fixing, and/or highly nutritious species that provide optimal canopy cover (at maturity). Trees can be used for other purposes (e.g. wood or fruit), as long as the number of 12 trees per hectare is maintained.	You shall count the trees in the plots visited as part of the sample during the audit. Confirm the acreage with the farmer before calculate the number of tree needed When a plan to increase the number of shade trees is in place, confirm how the management of the new trees is done
CO.B.2	Group members have access to enough shade tree seeds or seedlings to meet their needs. If they cannot obtain them themselves, a program is in place for distribution.		Assess this control point in combination with the previous control point and consider that not always the best options (to get the optimal canopy cover) are easily available
CO.B.3	Cocoa is fermented in the appropriate manner for the required time.	If national recommendations are not available or optimal, technical recommendations from other sources (e.g. from extension agents, agronomists, technical assistants) are applied.	Be aware of national recommendations. A very well-known standard (like the use of banana leaves to cover the cocoa beans for 7 days) can be not the one required by the clients or the most appropriate for the region conditions
CO.B.4	Cocoa beans are dried in a way that prevents contamination from smoke, fuel, odors, and other sources that may affect the quality.	Drying methods that allow for ventilation are encouraged.	Direct observation; aggressive conditions can be affecting the quality of cocoa beans (especially from an organoleptic point of view)
CO.B.5	Cocoa beans are dried to an appropriate moisture content.	Moisture content ranges from 7.5% and 8% or meets national regulation and/or customers' requirements.	Moisture shall be monitored but note that is not requested specific methodology nor the conservation of records with the results

CO.B.6	Measures are taken to prevent cocoa beans from getting wet during loading, storage, and transportation.		Direct observation: covering the cocoa beans with waterproof materials during such processes is the common technique. Note that the goal is to avoid the beans to have problems with molds and/or the level of moisture
CO.B.7	Cocoa is reasonably free of foreign matter, foreign odors, and defective beans. Cocoa meets national quality standards or other contractual requirements.	Defective beans may be e.g.: -Flat -Shriveled -Black colored -Moldy -Infested Contractual requirements may relate to e.g.: -Off flavors -Homogeneity of bean size -Moisture level -Defects	Be aware of national standards for quality: there is normally an acceptable percentage of defects that can be tolerated The frequency and type of tests to check these requirements shall be according to the nature and size of the batches

Annex 4. Guidelines for UTZ Tea module

CP #	Control Point	Clarification for Compliance	Audit guidelines
BLOCK B – FARMING PRACTICES			
TE.B.1	Leaves are plucked and harvested at the appropriate time for optimizing quality and crop health.	Leaves are plucked and delivered to the factory on the same day, ideally within 6 hours.	Ask the standards of harvesting and delivery to the factories. Six hours is an ideal standard that can vary if the member demonstrate that quality is not affected
TE.B.2	Measures are implemented to prevent compacting and crushing of green leaves.	Measures include at least: - setting a maximum weight per bag at collection, - avoiding heaping and over-packing, - using packing material which permits aeration, and - a procedure for correct transportation.	Mind that is possible that even without specific implemented measures or procedures, the compaction of leaves is prevented
TE.B.3	Standard rules are in place for calculating weight deductions, including a maximum deduction.	For example, in case of wet leaves.	Ask if this reduction is applied and if so, if is consistent in time and correctly implemented
TE.B.4	Regular quality control, including e.g. leaf counts, is conducted when leaves are delivered to the processing unit.	Records of this quality control are available.	No specific guidelines offered
TE.B.5	Measures are implemented to prevent contamination of tea during storage and processing.	Measures include at least: - preventing access of animals, and - preventing smoke contamination.	Direct observation; consider that contamination can happen under different condition than observed so ask about all possible situations
TE.B.6	All equipment that comes into direct contact with tea is regularly disinfected with steam or water with disinfectant to avoid microbial contamination.	Equipment includes e.g. rolling tables, Cut Tear Curl machinery, fermenting floors or trays, and the floor area.	Confirm the methodology used for disinfection through procedures or records When chemicals are used, its use shall be approved for food industry (food grade)

TE.B.7	Contamination from cleaning agents, lubricants, and other substances that may come into contact with the tea during processing is avoided.	Only food grade cleaning agents, lubricants, and other substances are used, and are used according to label instructions.	Note that even when the chemicals have food grade, the accidental contact shall be avoided: ask for the areas in which the chemicals are used and evaluates if a risk exist for the product
TE.B.8	For all tea processing, good practices are in place. A process flow chart which indicates optimum conditions (including temperature and time) for each activity is established and implemented. Relative humidity is monitored and controlled to prevent excessive moisture absorption in grading and packing. Potable water is used for humidifiers, to prevent contamination.		In the flow diagram (typically included in the HACCP System) the conditions for the safe processing of the tea leaves shall be set. Confirm through the records that the established parameters are respected (or exists corrective actions when controls show no compliance) The criteria for potable water shall be met according the local/ national laws for drinkable water
TE.B.9	For green tea processing: -steaming/panning of green leaves is carried out under optimum load, temperature, and time combination; -rolling is carried out under optimum load, speed, and time combination; -roll drying is carried out under optimum load, temperature, and time combination, to improve quality and optimize energy use; -grading and packing are carried out under optimum temperature and relative humidity combination.	Smoke taint is avoided at the time of panning and roll-drying. Records of rolling time, temperature, and relative humidity are available.	No additional guidelines offered (same that for TE.B.8)

TE.B.10	For black tea processing: -withering is carried out under optimum load, temperature, relative humidity, and time combination to ensure optimum physical and chemical withers in tea leaves, under hygienic conditions; -rolling and roll breaking are carried out under optimum load, speed, and time combination; -fermentation is carried out under hygienic condition to avoid microbial contamination and obtain good quality tea; -drying is carried out, under optimum temperature and time combination to improve quality and optimize energy use; -grading and packing are carried out under optimum temperature and relative humidity combination.	Air parameters (volume, temperature, relative humidity) and time for withering are followed, as indicated in the process flow chart. To ensure that the final product meets quality requirements, green leaf loading rates in troughs are managed, and withered leaf charge to the rollers is managed.	No additional guidelines offered (same that for TE.B.8)
TE.B.11	Measures are taken to minimize risk of foreign matter (e.g. stones and metal/plastic/glass pieces) in the tea.	A process of sifting or an air-bridge for the withered leaves prior to rolling is implemented as well as during the final sorting and grading.	According the hazard analysis, check the implemented measures to avoid physical contamination
TE.B.12	Only clean water is used during processing.	Only potable water (or water declared suitable by the competent authorities) is used if water or steam comes into contact with the tea during processing.	The criteria for potable water shall be met according the local/ national laws for drinkable water
TE.B.13	Representative lot samples of tea are kept for at least one year, to be analyzed in case of any complaint.		Samples shall be traceable to concrete batches or lots
TE.B.14	Qualified personnel regularly evaluate the quality of the tea and keep records showing reference to particular batches or lots.		Quality of tea is checked trough analysis or organoleptic tests (cupping) and records are kept (mind control point G.A.4)

TE.B.15	All workers wear outer garments that are suitable for the performed operation to prevent contamination.	Outer garments (e.g. smocks, aprons, sleeves, gloves) are regularly cleaned or changed to avoid cross-contamination.	Either if the garments are cleaned or changed, ask for the frequency of such actions and assess if is enough to prevent contamination of the product
TE.B.16	Workers have access to clean toilets and hand washing places in the vicinity of their work. Toilets are in a good state of hygiene and do not open directly into the area where tea is handled, unless the door is self-closing.		The criteria for separation between processing areas and toilets is either a double door or a self-closing door Hand washing facilities shall be placed in a way that is easy to use when returning from toilets
TE.B.17	All transactions of UTZ certified green leaves, including premium, are recorded in the Good Inside Portal (GIP). Records are kept of transactions and stock activities with the GIP transaction ID.	Transactions and stock activities include: - sales announcements - purchase announcements - buyer confirmation - convert - mix - downgrade	No additional guidelines offered (see Chain of Custody Standard Tea Annex for more information)
TE.B.18	When tea is claimed as UTZ certified, the producer/producer group and first buyer must agree upon a procedure for payment (covering amount and timing) of the UTZ Premium to be paid to the producer/producer group. This also applies when the tea is claimed as UTZ certified at a later stage in the supply chain. The UTZ premium is net of any deductions for repayment of pre-financed goods or services.	Proof of payment and acknowledgement from the producer/producer group of the reception of the UTZ Premium is available.	The requested procedure for payment does not need to be documented but equally understood by all related parties
TE.B.19	When tea is claimed as UTZ certified retroactively, the sales or purchase announcement and buyer confirmation must be (retroactively) entered in the Good Inside Portal (GIP).		No additional guidelines offered (see Chain of Custody Standard Tea Annex for more information)

TE.B.20	First buyers who have on-behalf user rights for the GIP account of a producer/producer group inform their supplier of all purchase announcements (including volume) performed, and provide them with the confirmation of the transaction generated in the GIP within 2 weeks after confirming the transaction.		No additional guidelines offered (see Chain of Custody Standard Tea Annex for more information)

BLOCK C – WORKING CONDITIONS			
TE.C.21	The processing areas are well ventilated, and measures are taken to reduce noise and dust pollution.		Mind the goal of the control point which is a healthy environment for workers Workers of areas in which noise and dust cannot be reduced to acceptable levels shall be provided with appropriate PPEs
TE.C.22	Sufficient and properly functioning fire exits and firefighting equipment are provided at the processing areas. A fire alarm is in place and regular fire drills are held.	Testing of firefighting equipment is done regularly and records are available. Fire exits are easy to open from inside and clearly marked.	Observe the fire exits distribution and (if needed) test them The ideal content of records shall be showing when the tests were conducted and if the result was satisfactory (if not, corrective measures shall be implemented)

BLOCK D – ENVIRONMENT			
TE.D.23	Wastewater from the factory is treated in order to prevent contamination of natural ecosystems.		It is not acceptable that used water is directly returned to the environment without any treatment. Ask for the volume of water consumed (especially during peak season/s) and confirm that treatment system in place have the capacity needed
TE.D.24	Measures are in place to maintain and test the efficiency of energy use in the hot air generation system of the dryers. There is adequate suction of air over the radiators when boiler/radiator systems are used.	Measures include e.g.: - Combustion control - Appropriate fuel use - Insulating to minimize heat losses, such as sealing of smoke leaks in heat exchange tubes - Ensuring adequate ventilation in buildings - Avoiding clogging of meshes, and that radiators are covered with tea fluff/waste - "Smoke tests "	If possible, identify the consumption of energy for the processing and its relation to the tea processed; the factory should be able to demonstrate a reduction of that ration in time

Annex 5. Guidelines for UTZ Rooibos module

CP #	Control Point	Clarification for Compliance	Audit guidelines
BLOCK B – FARMING PRACTICES			
RB.B.1	Rotational cropping is carried out and uses adequate crops in order to break cycles of pests and diseases and to improve soil structure.	Adequate crops include e.g. oat, rye, and triticale.	No additional guidelines offered
RB.B.2	Soil conservation techniques are in place.	Soil conservation techniques include e.g.: -Minimum tillage in order to maintain soil structure -Planting cover crops	No additional guidelines offered
RB.B.3	Rooibos is harvested at the appropriate time and using the best method for optimizing quality and crop health.	The plant is harvested at the adequate height (e.g. around 30cm in first year) and when well ripe (e.g. amber-red color up to the top of the stem).	No additional guidelines offered
RB.B.4	Measures are implemented to prevent fermentation and mold formation during (intermediate) storage and transport of wet Rooibos.		The flow shall be organized in such way that any risk is prevented regarding fermentation and mold formation
RB.B.5	The drying yard is clean, well maintained, and free of litter in order to prevent contamination.	Good maintenance of the drying yard must include: - herbicides are not used and - cracks are repaired/filled.	Direct observation; assess if the frequency of cleaning and/or maintenance of the yard is enough considering your visual findings
RB.B.6	Farm vehicles and machines are well maintained. During harvest season, vehicles used on the drying yard can only be used on the drying yard.	Before harvest season, vehicles are checked for oil leaks, fitted with drip trays, and tires are properly cleaned.	Mind the previous control point: the goal is to prevent contamination of the final product

RB.B.7	Measures are implemented to prevent contamination of wet Rooibos during primary processing.	Measures must include at least: - minimizing the risk of foreign matter (e.g. stones), -preventing access to animals, and -preventing workers from walking on the drying yard without appropriate boots.	Evaluate through visual evidence if the requested measures are in place. Mind that alternative mechanism can be in place to meet the same goal
RB.B.8	Only potable water (or water declared suitable by the competent authorities) is used on the drying yard.		The criteria for potable water shall be met according the local/ national laws for drinkable water
RB.B.9	Good practices are in place for primary processing. A process flow chart which indicates optimum conditions (including temperature and time) for each activity is established and implemented. Relative humidity is monitored and controlled to prevent excessive moisture absorption during fermentation.		In the flow diagram (typically included in the HACCP System) the conditions for the safe processing of Rooibos shall be set. Confirm through the records that the established parameters are respected (or exists corrective actions when controls show no compliance) The criteria for potable water shall be met according the local/ national laws for drinkable water
RB.B.10	Measures are taken to minimize risk of foreign matter (e.g. stones and metal/plastic/glass pieces) in the Rooibos and/or green Rooibos, at the processing unit.	Sifting or magnets are used in processing units to minimize physical hazards during the final sorting and grading.	According the hazard analysis, check the implemented measures to avoid physical contamination

RB.B.11	All equipment used in the processing unit that comes into direct contact with Rooibos is regularly disinfected with steam or water with disinfectant to avoid microbial contamination.		Confirm the methodology used for disinfection through procedures or records When chemicals are used, its use shall be approved for food industry (food grade)
RB.B.12	Contamination from cleaning agents, lubricants, and other substances that may come into contact with the Rooibos during processing is avoided.	Only food grade cleaning agents, lubricants, and other substances are used, and are used according to label instructions.	Note that even when the chemicals have food grade, the accidental contact shall be avoided: ask for the areas in which the chemicals are used and evaluates if a risk exist for the product
RB.B.13	Good practices are in place for secondary Rooibos processing. A process flow chart which indicates optimum conditions (including temperature and time) for each activity is established and implemented. Relative humidity is monitored and controlled to prevent excessive moisture absorption in grading and packing. Potable water is used for humidifiers, to prevent contamination.		No additional guidelines offered (same that for RB.B.9)
RB.B.14	Only clean water is used during secondary processing.	Only potable water (or water declared suitable by the competent authorities) is used if water or steam comes into contact with the Rooibos during processing.	The criteria for potable water shall be met according the local/ national laws for drinkable water
RB.B.15	All workers wear outer garments that are suitable for the performed operation.	Outer garments (e.g. smocks, aprons, sleeves, gloves) are regularly cleaned or changed to avoid cross-contamination.	Either if the garments are cleaned or changed, ask for the frequency of such actions and assess if is enough to prevent contamination of the product
RB.B.16	Toilets are in a good state of hygiene and do not open directly		The criteria for separation between processing areas and toilets is either a double door or a self-closing door

	into the Rooibos handling area, unless the door is self-closing.		Hand washing facilities shall be placed in a way that is easy to use when returning from toilets
RB.B.17	Representative lot samples of Rooibos are kept for at least one year, to be analyzed in case of any complaint.		Samples shall be traceable to concrete batches or lots
RB.B.18	Qualified personnel regularly evaluate the quality of the Rooibos, and records showing reference to particular batches or lots are kept.		Quality of Rooibos is checked trough analysis or organoleptic tests (cupping) and records are kept (mind control point G.A.4)
RB.B.19	The natural and artificial flavors used for the processing of different flavored Rooibos: -are approved for use in food products in the country of production and in the destination country, and -do not exceed allowed levels.	A list of flavors used in the production process and their product specifications is available. The flavor quantities used per batch of Rooibos is recorded.	For the list of flavors used in production: check the food grade and (if exists) the maximum levels to be present in the product
RB.B.20	There is a system in place that ensures that each lot of consumer-end product to be sold complies with the latest version of the UTZ Labeling and Trademark Policy.	An updated list of all consumer-end products sold with the UTZ logo, which can be indicated either by name, Stock Keeping Unit (SKU) or grouping of products and SKUs, is kept. Prior to print, there is a valid label approval for all consumer-end products sold with the UTZ logo.	No additional guidelines offered (see Chain of Custody Standard + Rooibos Annex for more information)
RB.B.21	All purchases of UTZ certified product, including premium, are recorded in the Good Inside Portal (GIP). Records are kept of transactions and stock activities with the GIP transaction ID.	Transactions and stock activities include: - sales announcements - purchase announcements - buyer confirmation - trace - remove - convert - mix - downgrade.	No additional guidelines offered (see Chain of Custody Standard + Rooibos Annex for more information)

RB.B.22	When Rooibos is claimed as UTZ certified, the producer/producer group and first buyer agree upon a procedure for payment (covering amount and timing) of the UTZ Premium. The UTZ premium is net of any deductions for repayment of pre-financed goods or services.	Proof of payment and acknowledgement from the producer/producer group of the reception of the UTZ Premium is available.	No additional guidelines offered (see Chain of Custody Standard + Rooibos Annex for more information)
RB.B.23	When Rooibos is claimed as UTZ certified retroactively, the sales or purchase announcement and buyer confirmation must be (retroactively) entered in the Good Inside Portal (GIP).		No additional guidelines offered (see Chain of Custody Standard + Rooibos Annex for more information)
RB.B.24	First buyers who have on-behalf user rights for the GIP account of a producer/producer group inform their supplier of all purchase announcements (including volume) performed, and provide them with the confirmation of the transaction generated in the GIP within 2 weeks after confirming the transaction.		No additional guidelines offered (see Chain of Custody Standard + Rooibos Annex for more information)
RB.B.25	Actors that manufacture half-finished, consumer, or food service products and operate in the GIP, must trace all UTZ volumes for which they have confirmed receipt and that will not be sold onwards in the GIP as UTZ certified.	Records are kept up-to-date in the GIP. The member performs the stock activity trace in GIP when: - processed Rooibos or processed green Rooibos is packaged and sold as a consumer-end product (with or without an UTZ certified claim); - processed Rooibos or processed green Rooibos is manufactured into Rooibos extract, liquor, or any other Rooibos-based product. Tracing triggers the generation of an invoice for the UTZ program fee.	No additional guidelines offered (see Chain of Custody Standard + Rooibos Annex for more information)

RB.B.26	Actors that do not manufacture half-finished, consumer, or food service products and operate in the GIP, must remove all UTZ volumes for which they have confirmed receipt and that will not be sold onwards in the GIP as UTZ certified.	Records are kept up-to-date in the GIP.	No additional guidelines offered (see Chain of Custody Standard + Rooibos Annex for more information)

BLOCK C – WORKING CONDITIONS			
RB.C.27	Designated employers have an Employment Equity Plan in place.	This is in accordance with the Employment Equity Act.	Check the specific requirements of the referred law in order to give compliance to this control point
RB.C.28	Registration for Workman's Compensation is done.	This is in accordance with the Occupational Injuries and Diseases Act.	Check the specific requirements of the referred law in order to give compliance to this control point
RB.C.29	There is a policy and/or contract in place to protect the land tenure rights of workers and farm owners.	This is in accordance with the Extension of Security of Tenure Act in South Africa.	Check the specific requirements of the referred law in order to give compliance to this control point
RB.C.30	Contact is made with the local mobile clinic to ensure that there are regular visits to the farm.		Ideally, records shall be in place to confirm that regular visits are taking place but is not compulsory
RB.C.31	A Health and Safety policy is in place.	This is in accordance with the Occupational Health and Safety Act. The Health and Safety policy must include a section on how to address major contagious diseases, to prevent outbreaks, and to assist those who are already infected.	Check the specific requirements of the referred law in order to give compliance to this control point
RB.C.32	There is an open door policy in place to discuss any major diseases. This is explained to all workers.		Confirm through interviews with workers that this policy is in place; if the policy is communicated through communication panels, check if the information is readable and understood by all employees

BLOCK D – ENVIRONMENT			
RB.D.33	National and local regulations about authorization of water use and building of dams are respected.	This is in accordance with the National Water Act, National Environmental Management Act.	Check the specific requirements of the referred law in order to give compliance to this control point
RB.D.34	The flow regime (naturally occurring water flow) is not interfered with unless authorized.	There is no obstruction between the source and downstream portions of a wetland. This is in accordance with the National Water Act and National Environmental Management Act.	Check the specific requirements of the referred law in order to give compliance to this control point
RB.D.35	Wetlands are identified and monitored for signs of degradation and erosion. Where historical degradation has occurred, the wetland and its buffer zones are rehabilitated.	Wetlands are identified by a competent person. A competent person is knowledgeable about wetlands. Demonstration of competence includes official qualifications, and/or attendance certificates of training courses, and/or proven experience. This is in accordance with the National Water Act, National Environmental Management Act	Check the specific requirements of the referred law in order to give compliance to this control point A comprehensive database of recognized wetlands is available at https://rsis.ramsar.org/ris-search/?f[0]=regionCountry_en_ss%3ASouth+Africa The information in this database shall be cross-checked with the one provided by the auditee
RB.D.36	Authorization is obtained from all relevant authorities, prior to clearing any natural vegetation.	This is in accordance with the National Environmental Management Act, Conservation of Agricultural Resources Act	Check the specific requirements of the referred law in order to give compliance to this control point
RB.D.37	Ecological rehabilitation of areas that are not used for agricultural production is stimulated on the farm as much as possible.		This can be part of the management plan for block D. Check carefully if there are areas that cannot be transformed in any way; when the crop areas have no space for other crops/uses, this control point can be scored as non-applicable

RB.D.38	A control plan for alien invasive species is implemented.	For all new planting, the producer follows national and local regulations regarding plant species. Alien invasive species include non-native species to a particular ecosystem, and whose introduction may cause harm to the ecosystem. This is in accordance with the Conversation of Agricultural Resources Act.	Check the specific requirements of the referred law in order to give compliance to this control point Mind the IPM strategy followed by the auditee for the main crop, eventually can be related with this control plan
RB.D.39	Where possible, biological corridors are established, protected or rehabilitated, and biological corridors are retained when new fields are developed.		A biological corridor is an area of habitat connecting wildlife populations separated by human activities or structures Ideally, these areas shall be included in the map requested in G.A.1
RB.D.40	Membership to the Fire Protection Association (FPA) is obtained, or a fire management plan is in place if an FPA is not available.	The management plan includes: - preparation, positioning, and types of fire breaks, and - firefighting equipment and training. This is in accordance with the National Veld and Forest Fire Act.	Check the specific requirements of the referred law in order to give compliance to this control point
RB.D.41	Controlled fires are only made with the proper authorization and only during the right weather conditions (e.g. not very hot or windy) during the off-season.	This is in accordance with the National Veld and Forest Fire Act.	Check the specific requirements of the referred law in order to give compliance to this control point

RB.D.42	Areas where Wild Rooibos populations are found on the farm are identified on a map.	This can be indicated in the map mentioned in the Core Code (G.A.1/I.A.1).	No additional guidelines offered
RB.D.43	Wild Rooibos populations are not removed or degraded.		No additional guidelines offered
RB.D.44	Harvesting of wild Rooibos takes place at the right intervals and in the appropriate season, with the appropriate authorization. It is harvested using the adequate method.	Plants younger than three years of age are not harvested.	National recommendations/restrictions shall be considered. The member shall be able to explain the criteria used to optimize quality when selecting a concrete period
RB.D.45	Measures are in place to maintain and test the efficiency of energy use in the hot air generation system of the dryers in secondary processing. There is adequate suction of air over the radiators when boiler/radiator systems are used.	Measures address e.g.: - Insulation - A heat transfer area - Type of fuel used - Combustion control	The results of the tests to check efficiency shall be available. It is acceptable to see the results from previous period that show that minimum level of consumption has been achieved

Annex 6. Guidelines for UTZ Hazelnut module

CP #	Control Point	Clarification for Compliance	Audit guidelines
BLOCK B – FARMING PRACTICES			
HN.B.1	Orchards are reasonably clear from weeds before harvest to optimally facilitate harvesting.	Weeds are preferably removed without using chemical herbicides to minimize negative impact on soil, water, workers' health and safety and product quality.	Direct observation
HN.B.2	The hazelnut shrub is pruned annually to obtain optimal tree structure and health. Dried, dense, unproductive and unnecessary shoots, branches and suckers are removed.	Pruning is finished before the buds open. The number of branches per shrub and the moment of pruning is optimally chosen according to the variety.	Direct observation and interviews about the moment and used technique/s of pruning
HN.B.3	Livestock and poultry is removed from the orchard at least one month before harvest, to avoid damage to or contamination of the hazelnuts.		If present, livestock and poultry shall be not presenting a risk for the harvested product
HN.B.4	To optimize pollination and normalize production, at least one other variety of hazelnut trees is inter-planted amongst the main variety.	Pollinating varieties are compatible with the main variety, its shape and size and are planted in a way that ensures optimal pollination.	Confirm through interviews with farmers the distribution of the inter-planted varieties
HN.B.5	Nuts are picked from the ground as soon as possible after falling and are in no case left on the ground longer than 3 days.		Confirm through interviews with farmers although is ideal to directly observe the harvesting process
HN.B.6	The in shell hazelnuts are dried on a dry and clean surface, in a way that prevents contact with soil and roads, protected from rainfall and other sources that may affect the quality.	Drying methods allow for ventilation and aeration at all times to avoid mold. Hazelnuts in husk are dried until their leaves turn brown on a dry and clean surface and in the most appropriate way to guarantee quality.	Confirm through interviews with farmers although is ideal to directly observe the drying process

		In shell hazelnuts are not in contact with the soil to avoid contamination and mold.	
HN.B.7	Measures are taken to prevent hazelnuts (both in husk and in shell) from getting wet or exposed to sources of contamination during storage, loading and transportation.	If bags are used for storage and transport of in shell hazelnuts, it must be jute bags.	Check the available bags and/or how the access to bags is for farmers
HN.B.8	The hazelnuts are reasonably free of foreign matter and, in case of hand sorting, defective hazelnuts.	Defective hazelnuts may be e.g.: -Moldy -Infested or insect damaged -Rotten or spoiled -With abnormal shell or significantly misshapen	No additional guidelines offered

BLOCK C – WORKING CONDITIONS			
HN.C.9	Workers are provided with gloves if they are handpicking, and with masks and glasses when they are operating de-husking or harvesting machines. Personal protective equipment is provided at no cost.	The producer informs the workers of the availability of gloves that can be used by the workers upon their own request.	Through direct observation and interviews, check if farmers are provided with the PPEs and are not carrying with that cost
HN.C.10	Workers are trained on the use of personal protective equipment for harvesting activities.	The training is understood by the workers.	Training can be part of the requirements set in G.A.19
HN.C.11	The identity of the employed workers is checked against their valid ID. The verification is documented.	The elements to be checked and documented include: -full name of the worker -gender -date of birth -nationality Instead of a verification document, a copy of the ID of each worker can also be provided.	Mind the goal of the control point: to be able to demonstrate that only known workers are hired and relevant data can be shown (e.g. minimum working age)

HN.C.12	The producer pays the wages directly to the workers. A record is kept of wage payments and signed by each worker, group member and, if applicable, labor contractor. The record can be a collective document, nevertheless it is signed by each worker at the moment of hiring and at the moment of final payment. The records are centrally stored and a copy is provided to each worker.	At the moment of hiring the records include at least: • full name; • birth date; • salary per hour/day/unit; • number of expected hours/days of work; • occurring deductions or deductions agreed with the worker; • job title. For wage payment are at least added: • number of worked hours/days/units; • total amount of salary paid; • date(s) of payment; • occurring deductions or deductions agreed with the worker; Workers show agreement with the working and payment conditions by signing. Records are understood by the workers.	Confirm with employees that the payment is done timely and according the agreed figures. When checking the records, cross-check the signatures if the information provided is doubtful
HN.C.13	The labor contractor's commission is paid directly by the producer.	The payment of the commission is documented on the record of the wage payments.	No additional guidelines offered
HN.C.14	The producer only employs foreign migrant workers if they are registered and in the possession of a valid work permit.	The producer validates all workers for their right to work by reviewing original documentation and keeps a list of approved workers.	Mind the criteria for compliance: a list of all approved workers shall be in place (all= locals and foreigners); based on risk, sample the workers and then check their work permits (and/or equivalent documents)

HN.C.15	In case seasonal migrant workers are accommodated in the common tent settlements, the certificate holder makes arrangements or works together with the relevant settlement/municipal authorities for clean and safe living conditions, including hygienic sanitation and safe drinking water (functioning and with respect for people/gender, etc.).	Respect for people/gender takes into account gender related privacy and children's needs.	Assess the activities done by the certificate holder in order to meet the requirements; when visiting the housing (if needed), respect the privacy of families and do not forget the special attention that shall be paid to children
HN.C.16	Workers living on-site have clean and safe living quarters. Special attention is given to hygienic sanitation, safe drinking water, clean cooking and eating areas, ventilation, protection against weather conditions, and safe storage of personal items.	Living quarters can be locked and if electricity is available, workers have access to it. The quarters respect the privacy and integrity of families or individual workers.	Living quarters on-site are those placed within the boundaries of the audited farm/s. First requirement is safety for people living in
HN.C.17	The producer keeps up-to-date records of the family members accompanying each worker.	The record includes at least: • full name; • date of birth; • name of parents; • gender. Instead of a list, a copy of the ID of each worker's family member can be provided.	Consider that family members can be in different records but in any case the information recorded shall match the reality. When sampling workers for interviews, mind the size/type of the family before visiting and choose the most risky situations (young children, migrant workers)

HN.C.18	The certificate holder encourages and works together with local authorities to provide day care facilities and educational activities for children accompanying each worker.	The actions undertaken are documented.	Day care and/or educational activities costs shall not be carried by the workers
HN.C.19	Children aged 2-15 accompanying the workers are provided with facilities, and educational or non-educational activities suitable for children during working hours. Children are under the supervision of adults at all times.	Parents of the children are consulted and agree with the type of day care facilities and activities provided. On site (home stay) or centralized facilities: • are clean; • are safe; • take into account the needs of children	Check through interviews with parents of children within the given age frame Mind the goal of avoiding by all means that kids are aware of farms
HN.C.20	The producer allows all workers (including seasonal migrant workers) to freely perform cultural expressions like speaking their mother tongue.		Check through interviews with migrants if this right is respected

Annex 7. Table of equivalences between codes for group and individual

The UTZ Code of Conduct for Groups includes control points that address the IMS, premium distribution and other topics that are group-specific. Furthermore, the number of control points to be complied with increases throughout the years (according to the goal of continuous improvement), starting with 64 in year one up to 112 in year 4. Contrary to the Group Code, the Code of Conduct for Individual and Multi-Site Certification requires the producer to comply with 82 control points in year 1 and 115 in year 4 and is therefore stricter.

With the following table, we highlight the main differences between both codes so you can adapt the guidelines provided for the Group Code when auditing the Individual. Please, do not hesitate to contact our team at assurance@utz.org

Control Point on	Code of Conduct for Group Certification	Code of Conduct for Individual Certification	Observations
Production area identification	**Not available in Group Code**	I.A.5 There are no significant land use disputes with local communities.	Not available in Group Code
Production area identification	G.A.5 An accurate and updated overview of the **entire group staff** is kept.	I.A.7 An accurate and updated overview of **all workers** on the farm (permanent and temporary) is kept.	In the group certification, no overview of group member workers is required
Member identification and agreement	G.A.9 A signed agreement is in place between the group and each group member, specifying the rights and obligations of each party. Each group member understands the agreement. Agreements are centrally archived and a copy is available for each group member. **Sharecroppers** have an agreement, either written or verbal with witnesses, with the recognized landowner. It includes at least mutual rights and duties, such as payment frequency.	**Not available in Individual Code**	Only group members have a contract with the group. Group member workers are excluded from UTZ requirements specified in the relevant control points
Internal inspection and self-assessment procedure	G.A.11 An internal inspection system is in place that formally inspects group members on all relevant Code of Conduct requirements. Internal inspection results are documented in a report.	**Not available in Individual Code**	Not available in Individual Code

Risk management and management plan	G.A.16 A risk assessment is carried out to identify possible risks in production and processing related to: Block A) Management Block B) Farming Practices Block C) Working Conditions Block D) Environment	I.A.11 A risk assessment is carried out to identify possible risks in production and processing related to: Block A) Management Block B) Farming Practices Block C) Working and Living Conditions Block D) Environment	Applicable for groups only from year 2, for individuals from year 1 onwards
Risk management and management plan	G.A. 17 A three-year **group management plan** is prepared, and includes actions to address all relevant issues from the risk assessment. Actions are implemented and documented.	I.A. 12 A three-year **farm management plan** is prepared, and includes actions to address all relevant issues from the risk assessment. Actions are implemented and documented.	Applicable for groups only from year 3, for individuals from year 1
Training and awareness raising	G.A.19 Training is provided to **group members and to operators** of farms on all topics relevant to them in the following areas: Block A) Management Block B) Farming Practices Block C) Working Conditions Block D) Environment Trainings are carried out by a competent person(s) and include tests or checks that the training content has been understood. Training records are kept for each training.	I.A.13 Training is provided to **workers** on all topics (listed in I.A.9) which are relevant to them, in the following areas: Block A) Management Block B) Farming Practices Block C) Working and Living Conditions Block D) Environment Trainings are carried out by a competent person(s). Trainings include tests or checks that the training content has been understood. Training records are kept for each training.	Workers that work for group members (group member workers) are not included in the training plans
Training and awareness raising	G.A.21 Measures are taken to ensure equal opportunities for women to participate in training and awareness raising sessions.	I.A.15 Measures are taken to ensure equal opportunities for women to participate in training and awareness raising sessions.	Applicable in for groups from year 2, for individuals from year 1 onwards

Premiums and transparency	G.A.26 A "Use of UTZ premium" procedure is in place and is communicated to the group members. The UTZ premium clearly benefits group members in cash and/or in kind. G.A.27 The Group Member premium is paid in a timely and convenient manner. Prices, premiums, and timing of premium payment are clearly communicated and transparent to group members.	Not available in individual code, except: I.A.20 - Records are kept and updated regarding the use of the UTZ premium.	Farm workers (both in individual and group Code) are hence not addressed by the benefits of the premium
Premiums and transparency	G.A.28 A procedure is in place for submitting and addressing complaints. This procedure is accessible for: - **group staff, - group members, - group member workers,** - buyers and suppliers, and - anyone who wishes to file a complaint related to issues of compliance with the Code of Conduct. **The group staff and group members** are informed of the complaint procedure at the time of hiring/joining the group.	I.A.21 A procedure is in place for submitting and addressing complaints. This procedure is accessible for: - all workers, - buyers and suppliers, and - anyone who wishes to file a complaint related to issues of compliance with the Code of Conduct. **Workers are informed of the complaint procedure at the time of hiring.**	Group member workers are not informed about the complaint procedure in the Group Code
Yield optimization	G.A.33 The IMS facilitates access (can be against costs) **for group members** to the agricultural inputs needed in the relevant periods in the production cycle	**Not available in Individual Code**	Group members that were formerly individually certified could take advantage of the IMS support
Planting material and nursery	G.B.34 Suitable varieties are used for new planting (including propagation). **The group provides** suitable planting material **to group members**, or identifies a local provider(s) who can do so.	I.B.26 Suitable varieties are used for new planting (including propagation). Suitable varieties for new plantings and their providers are identified.	Group members that were formerly individually certified could take advantage of the IMS support In addition, CP only applicable from year 3 in Group Code, from year 1 in Individual Code

Planting material and nursery	G.B.37 For all planting material, records or certificates are kept that state the variety, batch number, and name of the vendor.	I.B.29 For all planting material, records or certificates are kept that state the variety, batch number, and name of the vendor.	Not so relevant but CP is applicable from year 3 in Group Code, from year 1 in Individual Code
Farm maintenance	G.B.42 Heavy pruning, grafting, and/or replanting is performed on low producing and unproductive plantations to promote an optimal yield.	I.B.34 Heavy pruning, grafting, and/or replanting is performed on low producing and unproductive plantations to promote an optimal yield.	Not so relevant but CP is applicable from year 3 in Group Code, from year 2 in Individual Code
Diversification	G.B.43 Diversification of agricultural production and/or other sources of income **is encouraged** and practiced to adapt to market and/or climate change.	I.B.35 The producer **diversifies** agricultural production and/or other sources of income to adapt to market and/or climate change.	Not so relevant but interesting to note the different formulation: difference between encouragement and concretely diversifying
Soil fertility management	**Not available in Group Code**	I.B.38 Soil structure is maintained or improved.	Not available in Group Code
Soil fertility management	G.B.49 Animal manure used as fertilizer is stored at least 25 meters away from any water body. It is appropriately composted if needed to minimize risks.	I.B.42 Animal manure used as fertilizer is stored at least 25 meters away from any water body. It is appropriately composted if needed to minimize risks.	Applicable from year 2 in Group Code, from year 1 in Individual Code
Soil fertility management	**Not available in Group Code**	I.B.43 An analysis to determine the nutrient content (N,P,K) of organic fertilizer is conducted before application.	Not available in Group Code
Pest and disease management	G.B.50 Integrated Pest Management (IPM) measures are implemented and documented.	I.B.44 Integrated Pest Management (IPM) measures are implemented and documented.	Applicable from year 2 in Group Code, from year 1 in Individual Code

Pesticide and fertilizer application records	G.B.54 All applications of inorganic fertilizers and pesticides are recorded.	I.B.48 All applications of inorganic fertilizers and pesticides are recorded.	Applicable from year 4 in Group Code, in Individual Code from year 1
Pesticide and fertilizer application method and equipment	**G.B.56 - G.B.60 & G.B.64**	**I.B.50 - I.B.53 & I.B.58**	Same requirements, however all of them are applicable for individual members from year 1, for group members from year 2 onwards
Irrigation	**Not available in Group Code**	I.B. 60 Irrigation needs are calculated using evapotranspiration data.	Not available in Group Code
Irrigation	G.B.66 Irrigation water is used efficiently.	I.B.61 Irrigation water is used efficiently.	Applicable from year 4 in Group Code, from year 3 in Individual Code
Irrigation	**Not available in Group Code**	I.B.62 Irrigation water use is recorded.	Not available in Group Code
Irrigation	G.B.67 Irrigation water quality is analyzed. Actions are taken to address negative outcomes of the analysis.	I.B.63 Irrigation water quality is analyzed. Actions are taken to address negative outcomes of the analysis.	Applicable from year 4 in Group Code, from year 1 in Individual Code
Harvest and postharvest	G.B.71 – G.B.75	I.B.67 - I.B.71	Same requirements, however all of them are applicable for individual members from year 1, for group members from year 2 or 3 onwards

Education	G.C.79 Actions are taken to **encourage school attendance of children of group staff, group members, and group member workers**. G.C.80 Actions are taken to support literacy and numeracy skill-building for group staff, group members, and their families.	I.C.75 Children **living on-site** and of school going age go to school. I.C.76 Actions are taken to support ongoing training and education **of on-site living workers and their families** and to support literacy and numeracy skill-building.	Very important to note as G.C.79 is only applicable from year 3 onwards, I.C.75 from year 1 onwards. G.C.80 and I.C.76 are both voluntary
Working hours	G.C.85 **Group staff** overtime work is permitted only if: -it is requested in a timely manner, -it is paid according to national law or collective bargaining agreements, -it does not exceed 12 hours per week, and -it is not demanded on a regular basis.	I.C.81 **Overtime work** is permitted only if: -it is requested in a timely manner, -it is paid according to national law or collective bargaining agreements, -it does not exceed 12 hours per week, -it is not demanded on a regular basis, and -workers have safe transport home following overtime shifts at odd hours.	Not regulations regarding overtime for group member workers in Group Code
Working hours	**Not available in Group Code**	I.C.82 Workers have at least one 30-minute rest break after five hours of work. Breastfeeding women have two additional 30-minute breaks per day to nurture the child.	Not available in Group Code and hence not applicable for group member workers

Wages and contracts	G.C.86 If there is a collective bargaining agreement in place, **group staff and group member workers** receive at least the agreed upon wage and/or in-kind benefits. At all times **group staff and group member workers** must receive at least the applicable minimum wage.	I.C.83 If there is a collective bargaining agreement in place**, workers** receive at least the agreed upon wage and/or in-kind benefits. If there is no collective bargaining agreement in place, **the total remuneration (wages plus in-kind benefits) is assessed against the Living Wage.** If the remuneration is below the Living Wage, actions are taken to increase it towards the Living Wage within a reasonable period of time. At all times, **workers** must receive at least the applicable minimum wage.	The difference between those two CPs is that the LIVING WAGE is mentioned in the Individual Code
Wages and contracts	**Not available in Group Code**	I.C.86 National law on social insurance contributions and paid holidays are respected.	Not available in Group Code
Wages and contracts	G.C.90 **Group staff** who are employed for more than 3 months have written employment contracts.	I.C.88 **Workers** who are employed for more than 3 months have written employment contracts.	Group member workers are not addressed when speaking about written employment contracts
Discrimination and respectful treatment	G.C.91 **Group staff** are not subject to benefits or discrimination in hiring, remuneration, access to training, opportunities, or termination, on the basis of gender, race, caste, ethnicity, nationality, color, type of worker (permanent, temporary or migrant), sexual orientation, union membership, marital status, disability, age, religion, political opinion or other.	I.C.89 **Workers** are not subject to benefits or discrimination in hiring, remuneration, access to training, opportunities, or termination, on the basis of gender, race, caste, ethnicity, nationality, color, type of worker (permanent, temporary or migrant), sexual orientation, union membership, marital status, disability, age, religion, political opinion, or other.	Group member workers are not included in the Group Code

Discrimination and respectful treatment	G.C.92 **Group staff** are not subject to corporal punishment, sexual harassment, oppression, coercion, or any other kind of mental or physical abuse or intimidation at the workplace.	I.C.90 **Workers** are not subject to corporal punishment, sexual harassment, oppression, coercion or any other kind of mental or physical abuse or intimidation at the workplace.	Group member workers are not included in the Group Code
Discrimination and respectful treatment	**Not available in Group Code**	I.C. 91 Equal participation of disadvantaged groups is encouraged, particularly with respect to recruitment, staff, and committee membership. I.C.92 **Workers and their families living on-site** can freely express elements of their cultural identity, such as clothing, music, language, food, and celebrations. Areas of social, cultural or religious significance are clearly identified, delineated, and preserved on the farm. I.C.94 **Workers living on-site** have access to convenient and affordable day care services for their children. A room for breast feeding is available.	Not available in Group Code

	G.C93 **Group staff** receive maternity rights and benefits in accordance with national law and practice. They can return to their job after maternity leave on the same terms and conditions and without discrimination, loss of seniority, or deduction of wages.	I.C.93 **Workers** receive maternity rights and benefits in accordance with national law and practice. They can return to their job after maternity leave on the same terms and conditions and without discrimination, loss of seniority, or deduction of wages.	Group member workers are not included in the Group Code
Health and safety	G.C.94 **Group staff** receives first aid services and emergency health care, both free of charge, for treatment of work related injuries. First aid boxes are placed at central locations of production, processing, and maintenance sites.	I.C.95 **Workers** receive first aid services and emergency health care, both free of charge, for treatment of work related injuries. First aid boxes are placed at central locations of production, processing, and maintenance sites.	Applicable from year 1 in Individual Code, from year 3 in Group Code
Health and safety	G.C.95 Group members and group member workers **have access to first aid**. First aid boxes are placed at central locations of production, processing, and maintenance sites.	**Not available in Individual Code**	Not available in Individual Code
Health and safety	**Not available in Group Code**	I.C.96 Workers and their families living on-site **have access to primary health care**, including maternal health care.	Not available in Group Code
Health and safety	**Not available in Group Code**	I.C.99 Special provisions are taken for workers with a disability to safeguard their health and safety in the workplace.	Not available in Group Code

Pesticide Handling	G.C.100 **Group staff** (including group appointed spraying teams) who regularly handle hazardous pesticides undergo annual health checks. G.C.101 **Group staff** (including group appointed spraying teams) who handle pesticides have access to changing and washing facilities.	I.C.102 **Workers** who regularly handle hazardous pesticides undergo annual health checks. I.C. 103 **Workers** who handle pesticides have access to changing and shower facilities.	The Individual Code additionally includes the following requirement: The changing and shower facilities have separate compartments for men and women. Lockers are in place to protect personal belongings.
Drinking Water and Hygiene	**Not available in Group Code**	I.C.108 Workers living on-site have clean and safe living quarters. Special attention is given to hygienic sanitation, safe drinking water, clean cooking and eating areas, ventilation, protection against weather conditions, and safe storage of personal items. I.C.109 If food is provided to the workers, nutritional value and affordability are considered.	Not available in Group Code, hence group member workers do not have the right to those requirements
Protection of Nature	G.D.110 No deforestation or degradation of secondary forest occurs, unless: -a legal land title and/or landowner permission and/or customary land rights are available, and -government permits are available (if required).	I.D.114 No deforestation or degradation of secondary forest occurs unless: -a legal land title and/or landowner permission is available, -government permits are available (if required), and -**there is a report produced by an environmental expert confirming that the appropriate clearing techniques are used, and that there is compensation with reforestation activities of at least equal ecological value.**	Addition in Individual Code (in bold)

	G.D.113 The group promotes ecological diversity by protecting and enhancing habitats and ecosystems.	I.D.117 The producer promotes ecological diversity by protecting and enhancing on-**farm and/or neighboring habitats and ecosystems.**	Voluntary requirement in Group Code, applicable from year 4 onwards in Individual Code + slightly different formulation
Climate Change Adaptation	G.D.114 Documented measures **are taken to assist** group members in adapting to important climate change impacts identified in the risk assessment.	I.D.118 Measures a**re taken and documented** to address important climate change impacts identified in the risk assessment.	Applicable for Groups from year 4, for Individuals from year 3 onwards + slightly different formulation
Energy	**Not available in Group Code**	I.D.119 Energy used in production and processing is recorded and monitored.	Not available in Group Code
Air	G.D.116 Documented measures are taken to reduce air contamination from sources identified in the risk assessment.	I.D.121 Documented measures are taken to reduce air contamination from sources identified in the risk assessment.	Voluntary requirement in Group Code, applicable from year 4 onwards in Individual Code