Copies and translations of this document are available in electronic format on the UTZ Certified website:  
www.utzcertified.org

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1. INTRODUCTION

1.1. What is the Certification Protocol?

UTZ Certified is a program and label for sustainable farming worldwide.

The UTZ Certified Certification Protocol describes the process for becoming an UTZ certified member or an approved UTZ Certification Body (CB). It explains which members need to receive an external audit, and how and when this audit must be conducted. The Certification Protocol also describes the arrangements determining the relationship between the CBs and UTZ Certified.

The UTZ Certified Certification Protocol has four parts:

1. **INTRODUCTION**: contains the generalities of this document, such as why an updated version, the scope, abbreviations, and definitions.

2. **CERTIFICATION PROCESS**: describes the procedures and conditions for certification against the UTZ Certified standards.

3. **CERTIFICATION BODIES**: describes the approval procedure and requirements for CBs, as well the responsibilities of the CB staff (Scheme Manager, Certifiers and auditors) and UTZ Certified.

4. **ASSURANCE**: describes the assurance system of the UTZ Certified program, including the UTZ Certified Grievance Mechanism, CB Monitoring System, Sanction Policy and Training Program for CBs.

1.2. Why an updated version?

The UTZ Certified standards and policies are revised, improved, and updated periodically based on changes in the UTZ Certified program, past experience with the standards/policies, and feedback received from stakeholders.

The UTZ Certified Certification Protocol version 3.0 September 2012 has been revised in order to:

- Improve and give more clarity on the process of certification against the UTZ Certified standards, as well as on the process and requirements for approval of CBs.

- Introduce improvements of the Assurance Program (including the UTZ Certified Grievance Mechanism, CB Monitoring System, Sanction Policy and CB Training Program).

- Align the Certification Protocol with the new version of the Code of Conduct (version 1.1 July 2015) and Chain of Custody Standard(version 1.0 July 2015).

1.3. When to comply with the Certification Protocol version 4.0

The UTZ Certified Certification Protocol version 4.0 July 2015 supersedes the UTZ Certified Certification Protocol version 3.0 September 2012. Between July 1\textsuperscript{st} and December 31\textsuperscript{st} 2015, members and CBs can choose to adhere to either one of these documents. From January 1\textsuperscript{st} 2016 onwards, the UTZ Certified Certification Protocol version 4.0 July 2015 becomes mandatory and version 3.0 September 2012 is no longer valid.

CBs which are already approved are granted a grace period of 1 year (until June 30\textsuperscript{th} 2016) to comply with the requirements for CBs, Certifiers and auditors described in chapter 3.1.
1.4. **Scope of this document**

This document applies to the following parties:
- UTZ members
- Prospective and approved CBs
- UTZ Certified

1.5. **Other relevant documents and translations**

The Certification Protocol is available in several languages. In case there is any doubt on the accuracy of the information in any translated version of this document, please refer to the English version which is the official and binding version.

The translations as well as additional relevant documents are available on the UTZ Certified website. These documents include:

- **Code of Conduct (Code):** standard for producers / producer groups covering better farming methods and working conditions as well as better care for nature and next generations. If a producer / producer group implements the requirements of the Code and receive an audit carried out by an approved CB which results in certification, they are allowed to sell their products as UTZ certified.

- **Chain of Custody Standard (ChoC):** standard for supply chain actors (SCAs) designed to provide a high level of confidence that UTZ certified products are physically or administratively (in the case of mass balance) related to UTZ certified producers, and ensures the traceability of UTZ certified product. Certification against the Chain of Custody Standard ensures that the products sold by a certified supply chain actor (SCA) are UTZ certified, and have been traded and handled according to the requirements set forth by UTZ Certified.

- **List of approved CBs:** List of CBs which are approved by UTZ Certified to perform UTZ certification audits. Indication of the region/country where each CB can perform audits is also provided.

- **Code and ChoC checklists:** summarized lists of all control points (CPs) and questions included for monitoring and evaluation purposes, with an additional column for adding comments. These documents must be used by members (and their subcontractors) for carrying out the self-assessment and may be used by auditors from CBs for conducting external audits (see chapter 2.3).

- **Labeling and Trademark Policy:** document that defines the requirements for:
  - On-pack labeling of both retail and foodservice products, e.g. the UTZ label on packages for the retail market and bean packages for the out-of-home markets.
  - Off-pack use of the UTZ trademark, e.g. use of the UTZ trademark on a website, advertisement or corporate report.

Labeling includes all references to UTZ certified ingredients, both with and without the logo. The correct wording (text claims) is part of the policy as well as details on the correct logo use (color, positioning, size).

- **Program Guidance Document for UEBT/UTZ Certified Herbal Tea:** document that explains the structure and process of certification according to the joint herbal tea program of the Union for Ethical BioTrade and UTZ Certified.
1.6. Contacting UTZ Certified

CB Support
CBs can contact the UTZ Standards & Certification department by using the below e-mail addresses, e.g. for questions about the UTZ standards, problems in complying with the Certification Protocol, communication about members (e.g. suspensions and cancelations of certificates and licenses) and CB approval and training.

- coffeecertification@utzcertified.org for Coffee certification
- cocacertification@utzcertified.org for Cocoa certification
- teacertification@utzcertified.org for Tea certification (including Rooibos and Herbal Tea)
- hazelnutcertification@utzcertified.org for Hazelnut certification
- cbmanagement@utzcertified.org for CB accounts and approvals
- cbmonitoring@utzcertified.org for CB monitoring
- cbtraining@utzcertified.org for CB training

Member Support
Members can contact the UTZ Member Support Team by using the below e-mail addresses, e.g. for questions about the UTZ standards, problems in complying with this Certification Protocol, and applications for audit exemptions:

- coffee@utzcertified.org for Coffee
- cocoa@utzcertified.org for Cocoa
- tea@utzcertified.org for Tea (including Rooibos and Herbal Tea)
- hazelnut@utzcertified.org for Hazelnut

Traceability Support (for members and CBs)
Members and CBs can contact the below e-mail addresses for assistance in accessing or using the Good Inside Portal (GIP) traceability system:

- coffee@support.utzcertified.org for Coffee
- cocoa@support.utzcertified.org for Cocoa
- tea@support.utzcertified.org for Tea (including Rooibos and Herbal Tea)
- hazelnut@support.utzcertified.org for Hazelnut

1.7. Abbreviations

The following abbreviations are used in this document:

CB  Certification Body
Code Code of Conduct
ChoC Chain of Custody Standard
CP Control point
GIP Good Inside Portal¹
IMS Internal Management System
IP Identity Preserved (traceability level)
MB Mass Balance (traceability level)
S&C Standards & Certification (department of UTZ Certified)
SCA Supply Chain Actor
SG Segregation (traceability level)

¹ UTZ Certified’s online Certificate Administration and Traceability System, accessible at www.goodinsideportal.org
### 1.8. Definitions

Unless indicated otherwise, the terms "producer(s)", “producer group(s)”, “SCA(s)” and “CB(s)” in this document refer to UTZ certified producer(s), UTZ certified producer group(s), UTZ certified SCA(s), and UTZ Certified approved CB(s) respectively.

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditor</td>
<td>Qualified person who carries out audits on behalf of and under the responsibility of a CB. According to a sound methodology, auditors collect evidence in order to evaluate how well standards criteria are met. They must be objective, impartial, and competent.</td>
</tr>
<tr>
<td>Audit</td>
<td>Systematic, independent and documented process for obtaining and assessing audit evidence to determine the extent to which the requirements for UTZ certification are fulfilled.</td>
</tr>
<tr>
<td>- Annual audit</td>
<td>Audit conducted by a CB to determine to what extent a member fulfills the requirements for UTZ certification and based on which a certification decision is taken and a certificate can be issued.</td>
</tr>
<tr>
<td>- Extension audit</td>
<td>Audit conducted by a CB in order to evaluate changes in the certification information during the validity of a certificate. Extension audits provide a means for certifying additional volume or new processing activities, and/or to add new area, sites and/or group member to a certificate.</td>
</tr>
<tr>
<td>- Follow-up audit</td>
<td>Audit conducted by a CB to verify the implementation of corrective actions. Follow-up audits provide a means to close non-conformities found in a previous audit. Follow-up audits can but do not need to be physical audits.</td>
</tr>
<tr>
<td>- Parallel audit</td>
<td>Audit conducted on behalf of UTZ after a CB has performed an audit on the same auditee against the same scope. Parallel audits are used to evaluate the performance of the CB and auditor who conducted the previous audit.</td>
</tr>
<tr>
<td>- Physical audit</td>
<td>The visit of an auditor to any of the facilities of a member to obtain audit evidence to determine the extent to which the requirements for UTZ certification are fulfilled.</td>
</tr>
<tr>
<td>- Pre-audit</td>
<td>Audit carried out by a CB on a (prospective) member with the aim to assess what actions still need to be taken before an annual audit is likely to be successful. Pre-audits are not considered consultancy activities.</td>
</tr>
<tr>
<td>- Shadow audit</td>
<td>Audit conducted on behalf of UTZ by witnessing an audit (annual or follow-up audit) conducted by a CB. Shadow audits are used to evaluate the performance of the CB and auditor who conduct the audit.</td>
</tr>
<tr>
<td>- Surprise audit</td>
<td>Audit that is announced to the member with short notice and conducted by a CB during the validity of a certificate. This is done in order to evaluate if the member still meets all applicable UTZ requirements and/or to evaluate the performance of the CB’s auditor who conducted the last audit.</td>
</tr>
<tr>
<td>Calendar year</td>
<td>Time period between and including the 1&lt;sup&gt;st&lt;/sup&gt; of January and the 31&lt;sup&gt;st&lt;/sup&gt; of December.</td>
</tr>
<tr>
<td>Certificate</td>
<td>Document issued by an UTZ approved CB when a member complies with the requirements of one or more of the UTZ Certified standards. The certificate provides a means to request a license in the GIP for the certified member to trade UTZ certified products.</td>
</tr>
<tr>
<td>Certification Body</td>
<td>Third party company that conducts audits against one or more of the UTZ Certified standards.</td>
</tr>
<tr>
<td>Certifier</td>
<td>CB staff member (or hired independent contractor) who is approved by UTZ Certified to be responsible for taking certification decisions.</td>
</tr>
<tr>
<td>Correction</td>
<td>Action to eliminate a non-conformity.</td>
</tr>
<tr>
<td>Corrective action</td>
<td>Action to eliminate the cause of a non-conformity in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the non-conformities encountered.</td>
</tr>
<tr>
<td>Internal inspection</td>
<td>Inspection carried out on behalf of the IMS and by one or more internal inspectors to assess conformity of group members with all applicable requirements of the UTZ Code of Conduct.</td>
</tr>
<tr>
<td>Internal Management System</td>
<td>A documented system of quality management required for group and multi-group Code of Conduct certification. The purpose of an IMS is to facilitate the efficient organization and management of the group and to ensure that the group and group members comply with the applicable requirements of the UTZ Code of Conduct.</td>
</tr>
<tr>
<td>Internal Inspector</td>
<td>Person appointed by the IMS to undertake internal inspections of individual group members.</td>
</tr>
<tr>
<td>License</td>
<td>Permission granted by UTZ Certified to its members to use the UTZ trademarks and to use the GIP to record transactions and manage and store labeling approvals of UTZ products.</td>
</tr>
<tr>
<td>Member</td>
<td>All producers, producer groups and SCA’s that have successfully registered with UTZ Certified.</td>
</tr>
<tr>
<td>Non-conformity</td>
<td>No fulfilment of a requirement of one of the UTZ standards.</td>
</tr>
<tr>
<td>Out of Home operator (also called foodservice)</td>
<td>A company which purchases consumer-end product, and handles the product before serving or selling to consumers.</td>
</tr>
<tr>
<td>Parallel production</td>
<td>Any production where the same farm is growing the same product on some plots that are UTZ certified, and other plots that are not.</td>
</tr>
<tr>
<td>Physical handling</td>
<td>Any activity that includes physical contact with un-bagged, un-sealed, or un-packaged product. Activities considered as physical handling are listed in the product specific annexes of the ChoC.</td>
</tr>
<tr>
<td>-------------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Producer</td>
<td>The person or organization who represents the farm and has responsibility for the products sold by the farm.</td>
</tr>
<tr>
<td>Producer group</td>
<td>A group of organized producers that are part of a shared IMS and are certified together under the option “Group certification” or “Multi-Group certification”. The group can be organized in an association or cooperative or managed by a supply chain actor (such as an exporter) or another entity.</td>
</tr>
<tr>
<td>Retailer</td>
<td>Supermarket chain or other point of sale for final consumer-end product, which can be accessed by consumers directly. Wholesalers are included in this category.</td>
</tr>
<tr>
<td>Scheme Manager</td>
<td>CB staff member who is responsible for the administrative management of the CB’s account in the UTZ program.</td>
</tr>
<tr>
<td>Self-assessment</td>
<td>Evaluation performed by or on behalf of a member of its own implementation level of one or more of the UTZ Certified standards.</td>
</tr>
<tr>
<td>Small Volume SCA</td>
<td>A SCA who physically handles a small volume of total product (UTZ product + non-UTZ same product). The amount of volume that defines this category is product specific (see chapter 2.2).</td>
</tr>
<tr>
<td>Subcontractor</td>
<td>An individual or entity (e.g. SCA, producer / producer group, CB, auditor, Certifier) contracted by a certified/approved or prospective member or CB to carry out specific tasks included in the scope of their UTZ certification/approval.</td>
</tr>
<tr>
<td>Summary Report</td>
<td>Questionnaire in the GIP used by CBs to report audit results to UTZ Certified. The summary report is filled in as part of the license request process.</td>
</tr>
<tr>
<td>Supply Chain Actor</td>
<td>An entity that operates within the UTZ supply chain and is not a producer / producer group. Examples of SCAs are processors (including subcontractors) and traders.</td>
</tr>
<tr>
<td>UTZ certified product</td>
<td>For IP and SG: product produced by an UTZ certified producer / producer group and kept physically separated from non-UTZ certified products. For MB: product administratively related to an equal amount of product produced by an UTZ certified producer / producer group.</td>
</tr>
</tbody>
</table>

1.9. Compliance with national laws

UTZ Certified strives for its members and CBs to be exemplary figures for improving social, economic, and environmental conditions in their areas of operation. In this regard, members and CBs obey national laws, regulations, and sector agreements or collective bargaining agreements.
2. CERTIFICATION PROCESS

2.1. Introduction

In order to promote sustainable farming, UTZ Certified has developed two standards: the Code of Conduct (Code) and the Chain of Custody Standard (ChoC) (see chapter 1.5). Producers / producer groups and SCAs that would like to sell and/or buy their product as UTZ certified must become an UTZ member\(^2\) and meet all applicable requirements from the applicable standard(s).\(^3\)

Most members also need to be certified (receive an external audit) and/or receive a license to use the UTZ trademarks. The remainder of this chapter explains for which members this is the case, and describes the certification and license process.

2.2. Who must be certified and/or licensed?

Who must be certified?

Certification is the provision by an independent body of written assurance (a certificate) that a product, service or system meets specific requirements. For UTZ certification, this requires receiving an audit from an UTZ approved CB against the Code and/or ChoC requirements.

Producers / producer groups

All producers / producer groups who sell their product as UTZ certified must be certified against the Code. Producers / producer groups must also be certified against the ChoC if they:

- perform physical handling activities not included in the Code\(^4\), and/or
- purchase UTZ certified product from one or more other UTZ certified members and fulfill all of the three criteria for ChoC certification explained below.

Supply Chain Actors

SCAs must be certified against the ChoC if they fulfill all of the following three criteria:

1. **Take legal ownership of UTZ certified product**

2. **Physically handle UTZ certified product**: all activities carried out (by the SCA itself or a subcontractor) on un-bagged, un-packaged, or un-sealed products are considered physical handling activities. The product annex of the ChoC provides a list of the activities considered as physical handling for the specific product.

3. **Make product claims about UTZ Certified**: a product claim is any reference made about UTZ Certified or about the sustainable or responsible sourcing of a product or ingredient(s), that to all intents and purposes are wholly or partially based on UTZ Certified origin or status, with or without the UTZ

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\(^2\) By registering at the UTZ Certified website, which also explains the costs this might entail.

\(^3\) Except for retailers who are not brand owners. These companies do not need to register as member if they make UTZ product claims.

\(^4\) Included in the Code are all physical handling activities up to and including:

- Coffee: production of green coffee
- Cocoa: drying, sorting, or bagging of cocoa beans
- Tea: production of made tea
- Rooibos: packaging of final consumer product
- Hazelnut: production of in shell hazelnuts
Certified logo, which is made on-product or off-product, in relation to the offering or selling of the product. This can be both business-to-business and business-to-consumer.

The following examples are considered to be a product claim:
- If the member mentions UTZ Certified or the sustainable status or sourcing of the product or ingredient(s) on an invoice to its clients;
- If the member refers to UTZ Certified or the sustainable status or sourcing of the product or ingredient(s) in brand or product communications, including online, press, advertisements, point-of-sale;
- If the member refers to UTZ Certified or the sustainable status or sourcing of the product or ingredient that has been delivered to them.

There are two exceptions to this rule:
- Small volume SCAs and retail and out-of-home operators do not need to be certified, as explained below.
- For tea and Rooibos certification, SCAs who handle up to made tea and processed (green) Rooibos, respectively, and who fulfil all of the 3 criteria listed above, need to be certified against the Code rather than the ChoC.

**Who does not need to be certified?**

Although all UTZ members must comply with the applicable UTZ standard, not all of them need to receive an audit and be certified. For certain SCAs other types of proof of compliance with the ChoC are accepted.

**SCAs who do not meet the three criteria for being UTZ certified**

SCAs who do not meet the three criteria (owning, physical handling, and making product claims) do not need to be certified. These SCAs include:

1. **Subcontractors**: subcontractors must comply with the applicable ChoC requirements but do not need to be certified because they do not take legal ownership of UTZ certified product.

   The subcontracting member is responsible for the conformity of the subcontractor with the ChoC requirements. If the subcontractor already has its own UTZ Certified ChoC certificate, the activities subcontracted by the SCA do not need to be audited by the CB: presenting a valid ChoC certificate is sufficient.

   If the subcontractor is not certified, the subcontractor (or the subcontracting member on their behalf) must conduct a self-assessment using the UTZ Certified ChoC checklist. Additional documentation from the subcontractor can also be requested by the CB.

   Based on the risk assessment (see chapter 2.5), the CB can decide to physically audit the subcontractor. Subcontractors who perform any of the physical handling activities included in table below, must always be physically audited.

<table>
<thead>
<tr>
<th>Product</th>
<th>Physical handling activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coffee</td>
<td>All physical handling activities up to and including production of green coffee</td>
</tr>
<tr>
<td>Cocoa</td>
<td>All physical handling activities up to and including drying, sorting, or bagging of cocoa beans</td>
</tr>
<tr>
<td>Tea</td>
<td>All physical handling activities up to and including production of made tea</td>
</tr>
<tr>
<td>Rooibos</td>
<td>All physical handling activities up to and including packaging of final consumer product</td>
</tr>
<tr>
<td>Hazelnut</td>
<td>All physical handling activities up to and including production of in shell hazelnuts</td>
</tr>
</tbody>
</table>

The activity of the subcontractor is considered part of the scope of activities of the member, but this does not mean the subcontractor is certified. The name of the subcontractor therefore does not appear on the certificate of the member.
2. **SCAs who do not physically handle UTZ product**: these SCAs must comply with the applicable requirements from the ChoC, but instead of being certified they can sign the No-Physical Handling Declaration form and submit it to the UTZ Member Support Team (see chapter 1.6). This category includes traders who subcontract all physical handling of the UTZ certified product from ChoC certified members.

3. **SCAs who do not make product claims about UTZ Certified**: these SCAs must comply with the applicable requirements from the ChoC, but instead of being certified they can sign the No Product Claim Declaration Form and submit it to the UTZ Member Support Team (see chapter 1.6).

**Small Volume SCAs**

SCAs who physically handle a small volume must comply with the applicable requirements from the ChoC but can be exempt from having to receive an external audit and becoming certified. In order to apply for such an exemption, they need to sign the Compliance Declaration for Small Volume SCAs and submit it to the UTZ Member Support Team (see chapter 1.6). Small Volume SCAs must receive labeling approvals for any products sold with the UTZ Certified logo.

This exemption applies to SCAs who perform all their physical handling activities at one and the same site, do not perform any physical handling activities included in the table above (in the subsection about subcontractors), and physically handle less than the following total volumes (UTZ certified + non-UTZ certified product) per year:
- **Coffee**: 200 MT of green coffee equivalent
- **Tea**: 200 MT of made tea equivalent
- **Cocoa**: 100 MT of cocoa bean equivalent

**Retail and Out-of-Home operators**

Retail and Out-of-Home operators (including foodservice operators) do not need to be certified. If they are the brand owner of an UTZ certified product, they do need to register as a member and are responsible for complying with the UTZ Certified Labeling and Trademark Policy.

**UTZ Certified reserves the right to conduct audits on members who have signed and submitted a “No-Physical Handling”, “No Product Claim” or “Small Volume SCA” declaration. The goal of these audits is to verify that these members are indeed exempt from certification and that they comply with the applicable ChoC requirements.**

In case such an audit reveals the member does not comply with the applicable ChoC requirements or does not meet the conditions for exemption from an external audit, UTZ Certified has the right to charge the costs of the audit to the member and cancel the license and labeling approvals of the member in the GIP.

**Who must be licensed in the GIP?**

A license is a permission granted by UTZ Certified to use the UTZ trademarks and to use the GIP to record transactions, and manage and store labeling approvals of UTZ products. All certified members and other members that trade pure UTZ certified product (UTZ product that has not been mixed with other ingredients, i.e. sugar, milk) must hold a valid license.

For certified members, the CB requests a license through the GIP, as part of the certification process (described in chapter 2.3). For members who are not certified (e.g. Small Volume SCAs and SCAs who do not claim or physically handle UTZ product), the license is issued by the UTZ Member Support Team, upon request from the member and completion of required declarations.
2.3. General certification process

As explained in the previous section, most UTZ members need to be certified against the Code and/or ChoC, which means they need to receive an audit from an UTZ approved CB. The following three sections outline the steps to be followed during this process, as well as the conditions that apply. Chapter 2.3 describes what is applicable to both Code and ChoC certification, while chapters 2.4 and 2.5 describe the specifics of the certification process for Code and ChoC respectively.

General Certification Procedure

The general certification procedure is shown in the following flow chart. A detailed description can be consulted in the table below.
### General Certification Procedure

<p>| | |</p>
<table>
<thead>
<tr>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>A</td>
</tr>
<tr>
<td></td>
<td>B</td>
</tr>
<tr>
<td>2</td>
<td>The member chooses and contacts a CB. The member is responsible for contacting the CB and requesting an audit in a timely manner according to the certification conditions described in this chapter of the Certification Protocol. It is recommended to request quotes from several CBs in order to choose the one that fulfills the needs of the member the best. It is not mandatory to stay with the same CB every year. In case a member changes CB, they must request that the previous CB provide the new CB with the results of the previous audit. The previous CB must honor such a request within 5 working days.</td>
</tr>
<tr>
<td>3</td>
<td>The CB and the member sign a contract.</td>
</tr>
<tr>
<td>4</td>
<td>The CB provides the latest version of all relevant documents for UTZ certification (i.e. Certification Protocol, Code and/or ChoC) to be read and understood by the member.</td>
</tr>
<tr>
<td>5</td>
<td>The member conducts a self-assessment to evaluate its compliance with the standard and sends at least the following documentation to the CB prior to the audit:  - Self-assessment using the applicable UTZ Certified checklist, indicating which CPs the member does and does not comply with or are not applicable, including an explanation for all CPs  - Self-assessment of the subcontractor(s) (if applicable)  - List of sites belonging to the multi-site, or group members belonging to the 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</td>
</tr>
<tr>
<td>6</td>
<td>The CB prepares for the audit by reviewing the documentation submitted by the member (step 5), information about the member available in the GIP and any other relevant information it may have received. Based on this, the CB determines whether preconditions for conducting the audit are met, and if so, which topics deserve special attention.</td>
</tr>
<tr>
<td>7</td>
<td>The member and the CB agree on an audit date.</td>
</tr>
<tr>
<td>8</td>
<td>The CB conducts the annual audit against the Code and/or ChoC requirements (see chapter 2.4 and 2.5).</td>
</tr>
<tr>
<td>9</td>
<td>A</td>
</tr>
<tr>
<td></td>
<td>B</td>
</tr>
<tr>
<td>10</td>
<td>The CB takes the certification decision. This must be done no later than 20 working days after all non-conformities have been resolved, or, in case no non-conformities were identified, after the last audit day.</td>
</tr>
<tr>
<td>11</td>
<td>A</td>
</tr>
<tr>
<td></td>
<td>B</td>
</tr>
<tr>
<td>12</td>
<td>UTZ Certified reviews the information in the license request no later than 5 working days after it was submitted by the CB.</td>
</tr>
<tr>
<td>13</td>
<td>A</td>
</tr>
<tr>
<td></td>
<td>B</td>
</tr>
<tr>
<td>14</td>
<td>If UTZ Certified considers that the information in the license request is correct, complete, and clear, and that the audit was conducted in line with this Certification Protocol, it activates the license in the GIP.</td>
</tr>
<tr>
<td>15</td>
<td>The CB sends the certificate to the member.</td>
</tr>
<tr>
<td>16</td>
<td>The member records the transactions in the GIP and keeps the CB informed in case of changes in the certification information.</td>
</tr>
</tbody>
</table>
General Conditions

The following conditions are applicable to members and CBs, for all types of certification and products. Specific conditions for Code and ChoC certification are explained in chapters 2.4 and 2.5, respectively, while annex 1 contains additional information for certification conditions for tea.

a. Annual audit

In order to obtain and maintain UTZ Certified Code of Conduct and/or ChoC certification, members must receive an annual audit from a CB that has been approved by UTZ to perform UTZ audits for the applicable standard, product and country.

A written agreement between the member and the CB must be in place before the audit is conducted. The agreement must include at least the fee, the time frame and scope of the audit (i.e. range of activities and records that will be evaluated during the audit).

During the audit, the auditor must use the UTZ Certified checklist or an equivalent checklist prepared during the desk review that contains the same fields as the UTZ Certified checklist. For combined audits (when the UTZ standard and another standard are audited together), a combined checklist can be used if it has been approved by UTZ Certified. The auditor must include comments on the CPs which were evaluated (indicating at least a description of the evidence). CPs indicated as non-applicable must include a justification as to why. Evidence collected during the audit must be kept by the CB for a period of at least 3 years.

If translators are used during the audit, they should be independent from the member being audited and must not represent any conflict of interest. If this is not possible, translators must play a neutral role and the auditor must record the name of the translator and their affiliation to the organization in the audit report.

b. Certificate

If no non-conformities are found during the annual audit, or if all non-conformities identified are resolved in a satisfactory way (see below in point d) the CB issues a certificate using the UTZ Certified certificate template for the applicable scope. The certificate is valid for a period of 365 days and can be extended for a period of up to 4 months (see below in point h for more details).

How to determine the start date of the first certificate of a member (and certificates issued after the certification process has been interrupted) is described in chapter 2.4 (Code) and 2.5 (ChoC). Subsequent certificates start the day after the previous certificate expires, since certification is considered a continuous process.

It can happen, however, that certification from one year to the next is interrupted (e.g. because the member does not pass the audit or decides not to re-apply for certification). In such cases there is a time gap between certificates for the duration of the non-certified period. During this period the member is not allowed to sell any produce as UTZ certified and the produce of this period (e.g. harvested or manufactured product) is not allowed to be sold as UTZ certified product in a later stage.

c. License

After issuing the certificate (but before sending it to the member), the CB must report the audit results to UTZ and request a license for the member. This is done by filling out the Summary Report and uploading the certificate in the GIP. The license reflects the certification information and data collected by the CB about the member (e.g. validity dates, certified volume and certified activities).

---

5 Approval can be requested by sending an e-mail to cbmanagement@utzcertified.org
6 366 in a leap year.
d. Non-conformities
If one or more non-conformities are found during an annual audit, the member must implement a correction (to resolve the non-conformity) and a corrective action (to eliminate the root cause of the non-conformity and prevent it from reoccurring), before they can be certified.
The member is responsible for determining and implementing the adequate correction and corrective action. The CB has the responsibility to verify (through a follow-up audit) that these actions have been taken and have been effective in eliminating the non-conformity and its root cause.
The member and the CB agree on the time frame in which the correction and corrective action must be undertaken. The maximum time frame is 60 working days.
In case of severe non-conformities, the CB can decide to immediately suspend the current certificate of the member or decide to not certify the member, instead of following the timeframes described below in points e and f.

e. Suspension
If the correction and corrective action have not been implemented satisfactorily within the agreed time frame, the CB must immediately suspend the member’s certificate for a period of up to 3 months (if the member still has a valid certificate). The CB immediately informs UTZ Certified (by e-mail) and the member about the suspension, and on behalf of UTZ Certified suspends the member’s license in the GIP.
While the member’s license is suspended, the member cannot sell its product as certified. The CB and the member must set a mutually acceptable date, before the end of the suspension period, for a (second) follow-up audit to verify if the corrective actions have been implemented.
If the follow-up audit confirms the member has resolved all non-conformities, the CB lifts the suspension of the certificate, informs UTZ Certified (by e-mail) and the member, and on behalf of UTZ Certified lifts the suspension in the GIP.

f. Non-certification
If the corrective actions have not been implemented satisfactorily within the time frame described above (in point e), the CB cannot grant the certification (i.e. a first certificate or a new certificate following expiry of the previous certificate cannot be issued).
In order to become certified, the member must receive a new audit. For Code of Conduct certification, the member must wait at least one harvest period (main/big or mid/small), or six months if the harvest is continuous. The CB immediately informs UTZ Certified (by email and through the GIP) and the member about the non-certification.

g. Cancelation
When the CB decides not to certify a member and the member still has a valid certificate, the CB may decide to cancel the current certificate of the member in order to safeguard the CB’s and/or UTZ’s integrity. Cancelation of the certificate cannot be lifted. In order to recertify, the member must receive a new audit following the conditions described above (in point f).
The CB immediately informs UTZ Certified (by e-mail) and the member about the cancelation, and on behalf of UTZ Certified cancels the member’s license in the GIP.

h. Extensions
Changes in the certification information that occur during the validity of a certificate and that imply an increase (i.e. more volume, group members or sites), can be included through extensions.
Extensions need to be requested by the member to the CB. A CB can decline an extension if the member does not provide enough evidence that the extension is justified.
The CB must report any extension to UTZ Certified and request an extension of the license through the GIP before the current certificate and license expire. The information and documentation required for this includes:

- reason for the extension
- date of the next audit (only for time extensions)
- new certificate
- Summary Report of the additional audit (if applicable)\(^7\)
- updated group member list (in case of group extension)

If the member changes CB for its certification process, the CB with whom the member has a valid contract is the one able to grant an extension of the (current) certificate and request the extension of the license.

The following table shows the types of extensions that are possible. A combination of two or more of the extensions listed below is also possible.

<table>
<thead>
<tr>
<th>Type of Extension</th>
<th>Applicable to</th>
<th>Conditions</th>
</tr>
</thead>
</table>
| Time              | Code + ChoC  | A time extension lasting up to 4 months after the expiry date of the original certificate can be granted, but only if a recertification audit has been planned and confirmed, and the time extension is requested while the certificate is still valid.

The next certificate is issued for the remaining period of the new certification period (e.g. if a 2 month extension is granted, the new certificate will be valid for the next 10 months).

During the validity of a time extension, Code of Conduct members are not allowed to sell produce from their new harvest (that will be certified under their next certificate) as UTZ certified.

| Volume and area  | Code         | Up to 10% of the certified production area and/or volume of a member may be added to the certificate annually by registering the additional production area and/or volume with the CB. No further verification by the CB is necessary.

If the increase in the production area and/or volume of a member is more than 10% in one year, an additional audit is required during that year, before the extension can be added to the existing certificate. This extension audit must focus on the new area and/or volume.

When the member decides not to have an extension but instead wishes to include the extra volume in the next certificate, the CB includes the extra volume as carry-over in the new certificate after the extra volume is assessed during the next annual audit. The member cannot sell the product until it is verified by an auditor and included in the new certificate.

If a group or multi-group as a whole increases its production area and/or volume by more than 10% in one year, an additional audit of the IMS and of at least the square root of the number of new group members and/or members with new area and/or volume (with a minimum of 5) is required during that year before the extension may be added to the existing certificate.

Volume can only be added if during the harvest of the product the producer or group member already complied with all applicable CPs of the Code.

| Sites             | Code + ChoC multisite | To include new sites in a multi-site certification, an audit of the new sites and of the central location is required before the extension is added to the existing certificate. SCAs operating on the MB traceability level may add a new site(s) to the certificate by registering the additional site(s) with the CB. No further verification by the CB is necessary. |

\(^7\)If an additional audit has been performed to issue an extension, the CB must send a Summary Report of the audit, using the template for additional audits available upon request from the UTZ S&C department.
### Type of Extension | Applicable to | Conditions
--- | --- | ---
Group members | Code (multi)group | Up to 10% of new group members may be added annually to the certificate by registering the additional group members (with their production area and volume) with the CB. No further verification by the CB is necessary. If more than 10% of group members are added in one year, an additional audit of the IMS and of at least the square root of the number of new group members (with a minimum of 5) is required before the extension is added to the existing certificate.
Processing activities | Code +ChoC | To add a new processing activity, an audit of the new activity is required before the extension is added to the existing certificate. SCAs operating under the MB traceability level may add a new processing activity to the certificate by registering the additional site(s) with the CB. No further verification by the CB is necessary.

### i. Record keeping

Non-conformities and corrections and corrective actions implemented (based on annual and surprise audits), internal inspection reports (for group and multi-group certification) and self-assessments, must be documented, archived for a minimum period of three years, and be available to the auditor.

### 2.4. Certification Process for Code of Conduct

**Code of Conduct Certification Options**

Four different options exist for Code of Conduct certification. The option to select depends on the type of member. The certification option determines which Core Code should be complied with, who is responsible for compliance, and how the sample for the external audit should be determined. This is explained in the tables below.

**Option 1: Individual certification**

| Applies to a member who is: | An individual producer |
| Responsibility for compliance: | The individual producer complies with all applicable CPs. |
| Sample for external audit: | 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. The CB conducts a risk assessment before the audit to assess which plots will be physically audited. If the risk assessment results in a high risk (for all or specific plots) the CB can decide to increase the number of plots to be physically audited. Every year a different sample of plots must be audited. The identification of the sampled plots and the criteria used for the risk assessment must be recorded by the auditor. |
| Applicable Core Code | Core Code for individual and multi-site certification (plus product specific module) |

**Option 2: Multi-site certification**

| Applies to a member who is: | A farm that consists of two or more sites that are owned by different producers who use the same farming practices and have a joint management system (therefore the different sites are considered as one farm). There is an identified central location where the activities of these producers and their sites are managed. There is evidence that proves that the central management owns or is contracted by the producers to manage the production and processing areas. |
| Responsibility for compliance: | The central management is responsible for all producers complying with all applicable CPs. |
| Sample for external audit: | All sites under the central management are physically audited by the CB, following the conditions for Individual Certification. |
| Applicable Core Code | Core Code for individual and multi-site certification (plus product specific module) |

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8 See annex 1 for additional certification procedures for tea
### Option 3: Group certification

**Applies to a member who is:** A group of organized producers (group members) that implements an IMS. The group can be organized as an association or cooperative, or managed by a SCA (such as an exporter) or another entity.

**Responsibility for compliance:** Either the group or an entity organizing the group is responsible for the proper functioning of the IMS and for conformity with the CPs applicable to the group. The same group or entity is also responsible for the conformity of the group members with the CPs applicable to the group members.

**Sample for external audit:** The IMS of the group and 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) must be physically audited by the CB. The sample of group members that is physically audited must be representative of the entire group. It is selected based on a combination of risk-based evaluation and random selection. Group members with a considerably different production system or located at a large distance from the rest of the group must be included in the sample.

**Applicable Core Code** Core Code for group and multi-group certification (plus product specific module)

### Option 4: Multi-Group certification

**Applies to a member who is:** A group composed of two or more sub-groups of organized producers that are managed by a common IMS. Each sub-group also implements its own IMS. The IMS coordinator of each sub-group and the IMS manager of the multi-group work together to assure the proper management of the multi-group.

Multi-group certification is chosen in situations in which certified produce is exported under the name of the multi-group. The multi-group reserves the option to indicate the name of the sub-groups in the sales documentation and in the GIP.

**Responsibility for compliance:** The multi-group is responsible for the proper functioning of the IMS of the multi-group and the IMS of the sub-groups, for the CPs applicable to the group, and for the conformity of the group members with the CPs applicable to the group members.

**Sample for external audit:** The IMS of the multi-group and 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) must be physically audited by the CB. The CB can increase this number based on the risk assessment.

The sample of group members that is physically audited must be representative of the entire multi-group. It is selected based on a combination of risk-based evaluation and random selection. Sub-groups with a considerably different production system are seen as individual entities. The sample must include the square root of such sub-groups.

**Applicable Core Code** Core Code for group and multi-group certification (plus product specific module)
## Code of Conduct Certification Procedure

Audits against the Code must include the following steps:

<table>
<thead>
<tr>
<th>Code of Conduct Audit Procedure</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Opening meeting with management representative including the objective of the audit. This meeting serves to confirm the audit plan and key information relating to the audit (such as scope and locations), and to explain the methodology and nature of the audit (sampling, confidentiality and impartiality).</td>
</tr>
</tbody>
</table>
| 2 | **Only for (multi-)group certification:** Evaluation of the structure and functioning of the IMS, including:  
- Verification of the list of group members  
- Verification of the contract or agreement between the group members and the group or IMS management  
- Review of the annual internal audit conducted by the IMS  
- Review of the way non-conformities are dealt with by the IMS  
- Witness audits of a representative sample of internal inspectors, in order to assess the competence and performance of internal inspectors  
The minimum duration for this evaluation, excluding the witness audits, is 0.5 days (if deemed necessary more time can be dedicated) |
| 3 | Review of the results of the previous external audit (if applicable), and the annual self-assessment conducted by the member. |
| 4 | Review of all relevant documentation, including at least (if applicable):  
- Yield estimations  
- Traceability procedure  
- “Use of UTZ premium” procedure  
- List of approved pesticides (to be compared with UTZ Certified List of Banned Pesticides and Watch List)  
- Workers association and collective bargaining |
| 5 | Evaluation of records, including at least those related to:  
- Traceability  
- Crop management: planting, application of fertilizers, use of pesticides  
- Harvesting: dates, plot info, volumes (purchase records and estimated harvested volumes for (multi-)group certification)  
- Personnel: contracts, hours registration, payrolls. |
| 6 | Product flow control calculations. |
| 7 | On-site assessment, including observation of activities, checking of facilities, interviews with workers/staff, and confirmation of data (good agriculture practices, yields, working conditions).  
For group and multi-group certification, the following time limits must be respected for the on-site inspection:  
- Maximum of 8 farms per day per auditor (expected to be fewer in most cases)  
- Minimum duration for inspection of a processing unit: 0.25 man-days (if deemed necessary more time can be allocated)  
Interviews with workers shall only be conducted in the absence of supervisors and managers, and the identity of interviewees shall be kept anonymous at all times.  
The number of male and female workers selected for interviews must be proportional to the total number of male and female workers. In order to ensure vulnerable groups are sufficiently represented, at least the following parameters must also be considered when defining the sample of interviewees:  
- Age  
- Ethnicity  
- Employee status (permanent, temporary, part-time, paid by piece rate)  
- Hierarchy level  
- Type of work performed  
- Time working for the organization |
Interviews about gender discrimination, violence, or sexual harassment must be conducted by auditors who have been trained in conducting interviews about these topics. It is recommended to have, whenever possible, a female auditor on the team to conduct the interviews on these topics with women.

Office review, including documentation review, cross checking of records, control of product flow and traceability testing (identification of raw materials batches until lots of final products, and backwards)

Closing meeting with the management including:
- Main audit findings
- Non-conformities identified
- Corrective actions to be taken
- Deadlines and follow-up audit dates

**Code of Conduct Certification Conditions**

**a. Compliance**

**Core Codes and product specific Modules**

The Code of Conduct consists of two Core Codes (one for individual and multi-site certification, and one for group and multi-group certification) and several product specific Modules.

In order to obtain Code of Conduct certification, members must comply with the Core Code and the product specific Module applicable to their situation (e.g. a cocoa cooperative needs to comply with the Core Code for (multi-) group certification and the cocoa Module). They must comply with all requirements from these two documents which, depending on the activities they perform, are applicable.

If there is a contradiction between what is required from the Core Code and what is required from the Module, the requirement from the Module takes precedence.

**Year of compliance**

New members must comply with the 1st year requirements of the Code. Members who recertify must move on to the following year of certification (e.g. from year 1 to 2) until they reach year 4. This also applies when the member changes CB.

A member can always request to be assessed against requirements of a higher year. Similarly, producer groups with group members in different years of compliance may request all of their members to be assessed against the highest year.

When the certification is interrupted (e.g. because the member does not meet the requirements of certification or decides not to re-apply for certification for a period of time), the following applies if the member decides to recertify:

<table>
<thead>
<tr>
<th>Uncertified period*</th>
<th>Year of certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.5 years or less</td>
<td>Year of last certification +1</td>
</tr>
<tr>
<td>More than 1.5 and less than 3.5 years</td>
<td>Same year as last certification</td>
</tr>
<tr>
<td>3.5 years or more</td>
<td>Year 1 (member is considered as a new member)</td>
</tr>
</tbody>
</table>

* Period between the expiry date of the last certificate and the beginning of the next certified harvest.

Each year, the member must comply with all applicable mandatory CPs as well as a defined number of additional points. The member chooses which additional CPs to comply with.

Subcontractors included in the certification of a member must comply with the same year’s requirements as the member itself.

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9 Additional CPs which the member did not choose (yet) to comply with, should not be included in the summary report as being a non-conformity. It is optional to mention these points, or some of them, as points which need to be addressed in future certifications.
Parallel production

Parallel production is not allowed in case of (multi-)group certification. In other words, group members cannot have some plots which are UTZ certified, and others that are excluded from UTZ certification. For individual and multi-site certification this is allowed, but only if an identification and segregation system is in place that guarantees the integrity of the UTZ product.

b. First annual audit

The first annual audit (for new members and for members whose certification has been interrupted) must be conducted in the period spanning from 4 months before to 4 months after the beginning of the first harvest to be certified. Harvest can refer to main/big or mid/small harvest. If the audit is conducted outside of this period, the harvest cannot be certified. If there is a continuous harvest, the first audit can take place at any moment in time.

During a first audit, the auditor verifies all requested records in the Code for up to 4 months prior to the audit date in order to have an overview of the record keeping on the farm(s). The records have to meet the Code requirements from the start date of the certificate onwards.

When the audit takes place after the beginning of the harvest, the auditor checks the requirements retrospectively for the period between the beginning of the harvest and the audit date.

c. Subsequent annual audits

Subsequent annual audits (or recertification audits), must be conducted in the period spanning from 4 months before to 4 months after the expiry date of the certificate. If the audit is conducted outside of this period, the first harvest of that year cannot be certified.

During a recertification audit, the auditor verifies all the records requested in the Code since the previous audit.

d. Certified volume

The certified volume is the volume of produce that a member is allowed to sell as UTZ certified. It is based on an estimation made by the member of the volume they will produce during the harvest(s) included on the certificate. This estimation is verified by the CB and should be made using a credible methodology, based on e.g. previous year harvest(s), density/tree count, age, input use, pests and diseases, plant variety, soil quality, geographic location, climate.

e. Carry-over stock

Carry-over stock is the physical stock remaining from the previous certificate and that is added to the volume of a new certificate of a producer / producer group. It can apply to two situations:

1. If during the previous certificate period the harvested volume was higher than the certified volume, this volume can be included in the new certificate as carry-over volume.
2. If the member has certified produce from the previous certificate period in stock (physically present at the moment of the audit) that will not be sold during the previous certificate period, the difference between the two can be included in the new certificate as carry-over volume.

In both cases, the CB must assess the quantity and includes this quantity in the certificate as “carry-over volume”.

Volumes delivered to a warehouse and announced in the GIP cannot be taken as carry-over in the new certificate. (These volumes are added automatically to a new license.)

f. Certificate

The validity of the first certificate (as well as the first certificate after their uncertified period for members whose certification has been interrupted) starts at the beginning of the harvest of the member, so that the entire harvest period is included in the certificate.
If the harvest is continuous, the validity of the first certificate starts when the member is determined compliant, or at the earliest 4 months before the audit if all required records have been verified retrospectively since that date.

Subsequent certificates start the day after the previous certificate expires.

Certificates for multi-sites and multi-groups list the names of the sites and groups covered under the certificate. The name that appears on the certificate is the same as the name registered by the member in the GIP.

### 2.5. Certification Process for Chain of Custody

#### Chain of Custody Certification Options

Two different options exist for ChoC certification. The option to select depends on the type of member, and determines who is responsible for compliance and how the sample for the external audit should be determined. This is explained in the tables below.

<table>
<thead>
<tr>
<th>Option 1: Individual certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applies to a member who is:</td>
</tr>
<tr>
<td>Responsibility for compliance:</td>
</tr>
<tr>
<td>Sample for external audit:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Option 2: Multi-site certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applies to a member who is:</td>
</tr>
<tr>
<td>Responsibility for compliance:</td>
</tr>
<tr>
<td>Sample for external audit: (option A)</td>
</tr>
<tr>
<td>Traceability level</td>
</tr>
<tr>
<td>-------------------</td>
</tr>
<tr>
<td>IP and SG</td>
</tr>
<tr>
<td>MB</td>
</tr>
</tbody>
</table>

* rounded up to the next whole number

The CB conducts a risk assessment before the audit to assess which sites will be physically audited. This risk assessment takes into account (but is not limited to): traceability model, complexity of processing at sites, homogeneity of processing activities within the multi-site operation, and geographical location.

If the risk assessment results in a high risk (for all or specific sites) the CB can decide to increase the number of sites to be physically audited. For sites that are not physically audited, the CB may require documentation, to carry out a documentation check.
Chain of Custody Certification Procedure

Audits against the UTZ ChoC must include the following steps:

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Opening meeting with management representative.</td>
<td></td>
</tr>
<tr>
<td>2. Review of the results of the previous external audit (if applicable),</td>
<td></td>
</tr>
<tr>
<td>and the annual self-assessment conducted by the member.</td>
<td></td>
</tr>
<tr>
<td>3. Review of all relevant documentation.</td>
<td></td>
</tr>
<tr>
<td>4. Evaluation of records.</td>
<td></td>
</tr>
<tr>
<td>5. Product flow control calculations.</td>
<td></td>
</tr>
<tr>
<td>6. Discussions/ interviews with key staff members.</td>
<td></td>
</tr>
<tr>
<td>7. Physical audit to verify conformity with all applicable CPs of the ChoC</td>
<td></td>
</tr>
<tr>
<td>and, if applicable, documentation check for sites that are not physically</td>
<td></td>
</tr>
<tr>
<td>audited. For the physical audit, the following time limits must be respected:</td>
<td></td>
</tr>
<tr>
<td>• Individual certification: between 0.5 and 1 man-day</td>
<td></td>
</tr>
<tr>
<td>• Multi-site certification: between 0.5 and 1 man-day for central location,</td>
<td></td>
</tr>
<tr>
<td>between 0.25 and 0.5 man-days for each additional site.</td>
<td></td>
</tr>
<tr>
<td>8. Closing meeting with the management including the following topics (if applicable):</td>
<td></td>
</tr>
<tr>
<td>• Main audit findings</td>
<td></td>
</tr>
<tr>
<td>• Non-conformities identified</td>
<td></td>
</tr>
<tr>
<td>• Corrections and corrective actions</td>
<td></td>
</tr>
<tr>
<td>• Deadlines and date for follow-up audit</td>
<td></td>
</tr>
</tbody>
</table>

Chain of Custody Certification Conditions

a. First annual audit

For SCAs who operate at IP or SG level, the first audit must be conducted no later than 4 months after they have received their first purchase of UTZ product. Product received more than 4 months before the audit date cannot be claimed as UTZ.

For SCAs who operate at MB level, the first audit must be conducted no later than 4 months after their first purchase of UTZ product. Product purchased more than 4 months before the audit date cannot be claimed as UTZ.

The auditor verifies the records requested in the ChoC for the 4 months prior to the date of audit in order to have an overview of the record keeping of the organization. The records must comply with the ChoC requirements from the beginning of the validity of the certificate.

SCAs cannot sell UTZ product until they have received a valid certificate.

b. Subsequent annual audits

Subsequent annual audits (or recertification audits), must be conducted in the period spanning from 4 months before to 4 months after the expiry date of the certificate. During this audit, the auditor verifies all records requested in the ChoC going back to the previous audit.

c. Certificate

For SCAs who operate at IP or SG level, the validity of the first certificate starts on the date that the SCA received their first purchase of UTZ product. If the SCA has not received any UTZ product yet, the validity of the first certificate starts when the certification decision is taken by the CB.

For SCAs who operate at MB level, the validity of the first certificate starts when the certification decision is taken by the CB.

Subsequent certificates start the day after the previous certificate expires.
The CB specifies on the certificate which sites are included in the certificate.

d. Geographical scope of the certificate

For coffee and tea (including Rooibos and Herbal Tea) there is no limit to the geographical scope of ChoC certification: sites from all countries can be certified together and included in the same certificate.

For cocoa and hazelnut, sites can only be certified together and included in the same certificate if they are from the same country. There are three exceptions to this rule. The following groups of countries are considered as single geographical units. Sites from different countries but the same geographical unit can be certified together and included in the same certificate.

1. EU-28\textsuperscript{10} plus EFTA (Iceland, Liechtenstein, Norway and Switzerland)
2. NAFTA (Canada, Mexico and the USA)
3. ANZCERTA (Australia and New-Zealand)

Upcoming changes

The rules regarding the Certification Process for ChoC will be changed through an amendment to this Certification Protocol, which is expected to be published before the end of 2015 and become effective in the first quarter of 2016.

The change will reduce the frequency and/or intensity of ChoC audits, e.g. by:

- Increasing the validity period of ChoC certificates from one to three years
- Allowing administrative audits instead of physical audits for SCAs with well functioning systems in place.

2.6. Rights reserved by UTZ Certified

UTZ Certified reserves the right to:

- Issue and amend the content and requirements stated in this document.
- Not allow any (prospective) member or prospective/approved CB from entering/continuing in the UTZ program if they have misused the UTZ Certified name or in any way participated in fraudulent behavior against the UTZ program and its members.
- Conduct additional quality control assessments of audits conducted by CBs by:
  - Requesting further documentation (e.g. UTZ Certified checklist signed by the Certifier and auditor, or risk assessment)
  - Requesting clarification or correction of the reported information
  - Requesting a field visit
  - Conducting a parallel audit, shadow audit, or CB office audit
  - Requesting from the CB the name, CV, and proof of compliance with the requirements described in chapter 3.1 of the auditor
  - Cross-checking the information reported by the CB with external sources, particularly enabling mutual cross-check with other sustainability standard owners\textsuperscript{11}.
- Use the reported audit information for performance monitoring, statistical analysis and research, and aggregated reporting.
- Ask CBs for further information based on the annual and surprise audits reports.
- Inform the CB about misbehavior or non-conformities by the member.
- Request a surprise audit of a particular member and/or advice on sample selection for and/or scope of surprise audits.
- Request revision of the certified volumes and/or certified area if they differ from averages known for the country or region and convincing justification for this is not provided by the CB.

\textsuperscript{10} For a full list visit http://ec.europa.eu/eurostat/statistics-explained/index.php/Glossary:EU-28
\textsuperscript{11} Such cross-checks are done with the sole aim to ensure the credibility of the sector (sustainability certifications) and are performed using utmost discretion.
- Deny a license request or suspend or cancel an active license in case UTZ Certified considers that the member does not comply with the Code, ChoC, or Certification Protocol, or that the audit was not conducted in line with this Certification Protocol.
- Grant exceptions to the requirements in the Code, ChoC, and/or Certification Protocol to members and/or CBs adversely affected by humanitarian crises, natural disasters or other exceptional circumstances.
- Withdraw a CB’s approval in case a CB does not collaborate on any of the above points.
3. CERTIFICATION BODIES

Only CBs that have been approved by UTZ Certified are allowed to perform audits against the UTZ Certified standards. This section describes the approval procedure and requirements for CBs, as well the obligations and responsibilities that UTZ approval entails for CBs.

UTZ Certified is committed to providing a level playing field for CBs that offer UTZ certification to producers, producer groups and SCAs. We also believe that producers, producer groups and SCA are best served when they are able to select from several CBs that can offer high quality services. CBs and their partners working in the UTZ system are expected to also follow these principles.

3.1. CB approval requirements

In order to become and remain approved by UTZ, CBs need to meet a series of requirements. These requirements relate to the CB itself, their Certifier(s) and Scheme Manager, and the auditors who work for the CB.

Certification Bodies

<table>
<thead>
<tr>
<th>Requirements for Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a.</strong> Hold a valid ISO 17065:2012 accreditation issued by an Accreditation Body (AB) that is:</td>
</tr>
<tr>
<td>- Member of the International Accreditation Forum (IAF) or</td>
</tr>
<tr>
<td>- Full member of ISEAL Alliance</td>
</tr>
<tr>
<td><strong>b.</strong> The scope of the Accreditation must cover / be related to:</td>
</tr>
<tr>
<td>- For Code of Conduct certification: agriculture (e.g. Fairtrade, SAN, GLOBALGAP, IFOAM, JAS, NOP and UE)</td>
</tr>
<tr>
<td>- For only ChoC certification: food or chain of custody (e.g. GFSI, FSC, ISO 9001/22000 with the scope of food processing, IFOAM).</td>
</tr>
<tr>
<td><strong>c.</strong> Have an UTZ approved Scheme Manager and one or more Certifiers that, together, are approved for all products and standards included in the CB’s scope.</td>
</tr>
</tbody>
</table>

CBs are approved for a certain scope, which determines where, against which UTZ standard(s), and for which product(s) they are allowed to perform audits. The product and standard scope a CB can be approved for depend on the scope of its ISO 17065:2012 accreditation and the scope of its Certifiers, as described in points b and c of the table above. In order to include a country in its geographical scope, a CB must be able to perform an audit in that country within 3 months after receiving an audit request from an UTZ member.

All local offices of a CB are covered under the same approval, unless these offices work completely independently (i.e. they fully run the certification process). In that case the local office should apply for approval as an individual CB.

Subcontracting by an approved CB (“CB X”) of another CB (“CB Y”), Inspection Body or free-lance auditor is allowed for UTZ Certified audits. The subcontractor (CB Y) must have a contract with the approved CB (CB X) and must be included in the scope of its ISO 17065 accreditation. By all means the subcontracting CB (CB X) remains responsible for the certification and for managing the user accounts and rights of the subcontractor (CB Y) in the GIP. UTZ Certified therefore considers subcontracted staff as staff of the approved CB (CB X).

When a CB subcontracts another CB for an UTZ audit, the subcontracted CB should not present itself to the member under its own CB’s name, but should clearly stipulate that they work under the leadership of the subcontracting CB.

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Because of this requirement, in case of long-term absence (e.g. due to pregnancy or sick leave) of a Scheme Manager or Certifier, CBs must make sure someone else is approved in due time as a replacement.
Scheme Manager

The Scheme Manager is the CB staff member who is responsible for the administrative management of the CB’s account in the UTZ program. Her/his responsibilities are to:

- Ensure and supervise that all Certifiers and auditors meet the requirements described in this chapter
- Keep all UTZ Certified related documentation up to date
- Provide the annual report and other documents to UTZ Certified
- Coordinate all requested reporting in the GIP
- Manage properly the account of the CB in the GIP
- Take care of the communication with UTZ Certified, except for communication concerning certification decisions.

<table>
<thead>
<tr>
<th>Requirements for Approval:</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Successful completion of the applicable mandatory UTZ training modules described in chapter 4.4</td>
</tr>
</tbody>
</table>

Certifiers

Certifiers are the CB staff members (or hired independent contractors) who take the certification decisions. Their responsibilities are to:

- Ensure and supervise that all auditors conduct the audits in accordance with this Certification Protocol
- Ensure that the certification documents (audit reports, certificate) are submitted in accordance with the requirements set forth in this document
- Take the final certification decision
- Communicate with UTZ Certified concerning certification decisions.

Certifiers may also perform audits, provided they comply with the requirements for auditors described in the next subsection. In this case another UTZ approved Certifier within the CB must take the certification decision (in order to comply with the “four eyes principle”).

In order to obtain UTZ approval, Certifiers must meet the requirements in the following table. They also have the responsibility to stay up to date with developments, issues, and regulatory changes that pertain to auditing the UTZ Certified standards and auditing in general (e.g. by participating in on-line calibration sessions UTZ Certified foresees to organize). Certifiers that work as independent contractors for a CB can be approved as long as their relationship with the CB is exclusive (i.e. the Certifier does not also work for another CB).

<table>
<thead>
<tr>
<th>Requirements for Approval:</th>
<th>Code of Conduct</th>
<th>Chain of Custody</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Successful completion of post-high school (post-secondary school) training in agriculture or horticulture, including the understanding and application of Good Agricultural Practices (GAP) OR At least 5 years of work experience in agriculture or horticulture</td>
<td>Successful completion of post-high school (post-secondary school) training in agriculture, horticulture or food related discipline OR At least 5 years of work experience in agriculture, horticulture, or the food industry</td>
<td></td>
</tr>
<tr>
<td>b. Successful completion of the applicable mandatory UTZ training modules described in chapter 4.4</td>
<td>Successful completion of the applicable mandatory UTZ training modules described in chapter 4.4</td>
<td></td>
</tr>
<tr>
<td>c. Demonstrable knowledge of the production and processing systems of the applicable product(s) AND Experience in auditing these systems (at least 10 relevant audits or working days as an auditor or certifier)</td>
<td>Demonstrable knowledge of the processing systems of the applicable product(s) AND Experience in auditing these systems (at least 10 relevant audits or working days as an auditor or certifier)</td>
<td></td>
</tr>
<tr>
<td>d</td>
<td>Experience in auditing GAP and/or organic agriculture standards (at least 10 relevant audits or working days as an auditor or certifier)* AND Successful completion of: • ISO 9000/9001 lead auditor course, or • ISO 22000 lead auditor course.</td>
<td>Experience in auditing chain of custody standards (at least 10 relevant audits or working days as an auditor or certifier)** AND Successful completion of: • ISO 9000/9001 lead auditor course, or • ISO 22000 lead auditor course</td>
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<td>-------------------------------------------------------------</td>
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<tr>
<td>e</td>
<td>Experience in auditing social standards (at least 10 relevant audits or working days as an auditor or certifier)*** OR Successful completion of SA8000 auditor course.</td>
<td></td>
</tr>
<tr>
<td>f</td>
<td>Experience in auditing environmental standards (at least 10 relevant audits or working days as an auditor or certifier)**** OR Successful completion of ISO 14001 lead auditor course.</td>
<td></td>
</tr>
<tr>
<td>g</td>
<td>Language skills in English or Spanish suitable for verbal and written reporting to UTZ Certified.</td>
<td>Language skills in English or Spanish suitable for verbal and written reporting to UTZ Certified.</td>
</tr>
</tbody>
</table>

Including but not limited to:
* GLOBALGAP, LEAF Marque, national standards (relevant scopes), Organic
** ASC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or E), MSC, RSPO
*** Fairtrade, GRASP, SA8000, SMETA
**** ISO 14001, LEAF Marque, SAN

**Auditors**

Auditors are the persons who perform the audits for a CB (as an employee or an independent contractor). They are responsible for producing timely and accurate UTZ Certified summary reports of the audits they conduct in accordance with the criteria specified in chapter 2.

Auditors do not need to be approved by UTZ Certified (although UTZ reserves the right to change this in the future), but the Scheme Manager must ensure that all auditors comply with the requirements in the following table.

Auditors also have the responsibility to stay up to date with developments, issues, and regulatory changes that pertain to auditing the UTZ Certified standard and auditing in general. They must also be trained to collect and provide reliable information.
### Requirements

<table>
<thead>
<tr>
<th></th>
<th>Code of Conduct</th>
<th>Chain of Custody</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>Successful completion of post-high school (post-secondary school) training in agriculture or horticulture, including the understanding and application of Good Agricultural Practices (GAP) <strong>OR</strong> At least 2 years of work experience in agriculture or horticulture</td>
<td>Successful completion of post-high school (post-secondary school) training in agriculture, horticulture, or food related discipline <strong>OR</strong> At least 2 years of work experience in agriculture, horticulture, or the food industry</td>
</tr>
<tr>
<td>b</td>
<td>Successful completion of the applicable mandatory UTZ training modules described in chapter 4.4.</td>
<td>Demonstrable knowledge of the processing systems of the applicable product(s) <strong>OR</strong> Experience in auditing these systems (at least 10 relevant audits or working days as auditor or trainee)</td>
</tr>
<tr>
<td>c</td>
<td>Demonstrable knowledge of the production and processing systems of the applicable product(s) <strong>OR</strong> Experience in auditing these systems (at least 10 relevant audits or working days as auditor or trainee)</td>
<td>Experience in auditing GAP and/or Organic agriculture standards (at least 10 relevant audits or working days as an auditor or trainee)*. <strong>OR</strong> At least 5 relevant audits or working days as an auditor or trainee and successful completion of:  - ISO 9000/9001 lead auditor course, or  - ISO 22000 lead auditor course.</td>
</tr>
<tr>
<td>d</td>
<td>Experience in auditing GAP and/or Organic agriculture standards (at least 10 relevant audits or working days as an auditor or trainee)*. <strong>OR</strong> At least 5 relevant audits or working days as an auditor or trainee and successful completion of:  - ISO 9000/9001 lead auditor course, or  - ISO 22000 lead auditor course.</td>
<td>Experience in auditing chain of custody standards (at least 10 relevant audits or working days as an auditor or trainee)**. <strong>OR</strong> At least 5 relevant audits or working days as an auditor or trainee and successful completion of:  - ISO 9000/9001 lead auditor course, or  - ISO 22000 lead auditor course</td>
</tr>
<tr>
<td>f</td>
<td>Experience in auditing social and/or environmental standards (at least 10 relevant audits or working days as an auditor or trainee)**.</td>
<td></td>
</tr>
<tr>
<td>h</td>
<td>Contract with the UTZ Certified approved CB performing the audit.</td>
<td>Contract with the UTZ Certified approved CB performing the audit.</td>
</tr>
</tbody>
</table>

Including but not limited to:
* GLOBALGAP, LEAF Marque, national standards (relevant scopes), Organic
** ASC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or E), MSC, RSPO
*** Fairtrade, GRASP, ISO 14001, LEAF Marque, SA8000, SAN, SMETA

### 3.2. CB approval procedure

<table>
<thead>
<tr>
<th>Approval Procedure:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The CB applies for approval using the application form that is available upon request at <a href="mailto:cbmanagement@utzcertified.org">cbmanagement@utzcertified.org</a>. Through the application form, the CB indicates which person(s) are appointed as Scheme Manager and Certifier(s) (this can, but does not need to be the same person), and for which product, geographical, and standard scope they wish to apply for.</td>
<td></td>
</tr>
<tr>
<td>2. The CB sends the completed application form together with soft copies of the following documentation to <a href="mailto:cbmanagement@utzcertified.org">cbmanagement@utzcertified.org</a>:  1. Valid ISO 17065:2012 accreditation certificate, including description of scope  2. Organization’s chart of head and local offices and internal structure  3. List of subcontracted CBs, Certifiers, and auditors that may perform UTZ audits  4. List of countries to be included in the geographical scope of the CB, including contact details to include in the UTZ List of Approved CBs  5. Proof that the proposed Scheme Manager and Certifier(s) meet all requirements (see previous section)</td>
<td></td>
</tr>
</tbody>
</table>
3. UTZ Certified confirms receipt within three working days, and afterwards verifies the sent documentation. If all requirements are met, a copy of the “CB Framework Agreement” and the “CB Monitoring System Document” is sent to the CB. The former includes details on the obligations, monitoring, and other conditions applicable to UTZ approved CBs, while the latter describes the UTZ Certified CB Monitoring System.

4. The CB signs the “CB Framework Agreement” and sends it back to UTZ Certified. By signing the agreement, the CB commits to include in its contractual agreements with its clients that the results of their external audits can be used by UTZ Certified to evaluate the performance of the CB, and that there is a possibility they may be audited directly by UTZ Certified.

5. UTZ Certified issues an official approval statement and sends it to the CB.

6. The CB receives access to the GIP and is listed in the GIP CB Directory and in the “UTZ Certified List of Approved Certification Bodies”.

7. The Scheme Manager provides all approved Certifiers access to the GIP.

In case an already approved CB wishes to make changes to its approval (extend its scope, add a new Certifier, change the Scheme Manager, etc.), this is to be requested formally to cbmanagement@utzcertified.org.

3.3. Obligations of CBs

Impartiality and confidentiality

Certifiers and auditors are expected to fulfil their tasks with the highest ethical standard. They are not permitted to carry out any activities that may affect their impartiality or confidentiality. Certifiers and auditors must immediately report any situation that may influence their impartiality or confidentiality to the management of their CB.

Certifiers and auditors must strictly observe and respect the internal procedures on confidentiality of information and records of both the CB and the member. Information and records of the audit can only be given to third parties other than UTZ if written consent from the client and from the CB is granted.

Certifiers and auditors do not carry out consultancy activities for members on whom they or their CB perform audits and they should not have worked as an employee or independent contractor (e.g. consultant, advisor, or trainer) for these members within 2 years prior to the audit.

If a CB conducts a pre-audit for a member, it must ensure that the same auditor does not perform the annual audit or take part in the certification decision.

In order to maintain professional integrity, CBs must avoid that one auditor conducts more than three audits in a row for the same member (including surprise audits and audits conducted while working for a different CB, and excluding follow-up audits). CBs must plan the training and approval of auditors in advance to guarantee the intended rotation of auditors.

Any doubts CBs may have regarding impartiality, independence and confidentiality should be discussed with UTZ Certified (by sending an e-mail to cbmanagement@utzcertified.org).

Reporting audit results and requesting licenses

CBs must report the results of annual audits (those resulting in positive as well as those resulting in negative certification decisions) and request licenses for certified members in the GIP by:
- Filling in the summary report and license information
- Uploading the certificate

[^13]: Audits conducted before 1 July 2015, the launch date of this version of the Certification Protocol, are not taken into account for this rule.
- Uploading the group member list (only for group and multi-group certification). A template that can be used for this is available upon request at cbmanagement@utzcertified.org. The uploaded list must contain at least the information included in this template.

CBs must provide accurate information. All information provided in the summary reports must be based on field observations, written records, and interviews with the member.

**Surprise audits**

Each calendar year, CBs that issued 10 or more UTZ certificates during the previous calendar year, must conduct surprise audits in order to evaluate the performance of the CB’s auditors as well as that of the members it has certified. Members receiving a surprise audit must be notified as late as possible, at most 72 hours in advance.

**Scope and duration**

The minimum duration of a surprise audit is 0.5 days for Code of Conduct individual and multi-site certification, and 2 days for group and multi-group certification (excluding travel time). The selection of the sample and which CPs are checked during the surprise audit is decided based on the CB’s analysis.

**Number of surprise audits**

The number of surprise audits conducted by a CB must be at least 10% (rounded down to the next whole number) of the total number of UTZ certificates the CB issued during the previous calendar year (all products and scopes combined).

The number of Code and ChoC members that are selected to receive a surprise audit must be proportional to the total number of Code and ChoC audits performed during the previous calendar year. The selection of Code and ChoC members to receive a surprise audit must be based on requests received from UTZ (if any) and a risk-based evaluation. The risk-based evaluation should take into account at least the time period the annual audit was conducted (during the harvest or not), the number and severity of non-conformities identified, and complaints received about the member (e.g. from the government, NGOs, or UTZ Certified).

**Timing**

A surprise audit must be conducted at least three months after the last annual audit. For Code members that have more than one harvest per year and did not receive their last annual audit during the harvest, surprise audits must take place during the harvest.

**Payment**

CBs are not allowed to request extra payment to members who receive a surprise audit. UTZ Certified therefore recommends CBs to take into account the costs of surprise audits in the fee charged to all members for their annual audit.

**Non-conformities**

If no non-conformities are found during the surprise audit, the member maintains its certificate.

If non-conformities are found, they must be handled the same way as those found during annual audits (described in points d-g of chapter 2.3). The only difference is that resolving all non-conformities does not mean that a new certificate is issued, but that the current certificate is maintained. Not resolving non-conformities will result in suspension and/or cancellation of the current certificate.
Annual report

CBs report annually to UTZ Certified on the number of annual audits and surprise audits performed, as well as on the scope and results of these audits. CBs also provide an overview of the auditors. They must send the report before the 31st of January of the next calendar year. The format for the annual report is available upon request at cbmanagement@utzcertified.org.

Together with the annual report, CBs must send the checklist, UTZ summary report (templates available upon request at cbmanagement@utzcertified.org) or audit report of all surprise audits conducted during the previous calendar year (those included in the annual report).

Protection of the integrity of UTZ Certified

In the event that a CB finds a non-conformity with the UTZ standard that might compromise the integrity of UTZ Certified, the CB must inform UTZ Certified of its findings, followed in due course by a documented case study that includes the actions to be taken by the CB.

Communication about UTZ Certified and use of the UTZ Certified logo

The UTZ Certified logo is copyright material and is a registered trademark, owned by the UTZ Certified Foundation. Approved CBs are permitted to use the UTZ Certified logo on the Code and ChoC certificates they issue. Any communication of UTZ Certified on a homepage, folder, brochure or other material of the CB must be checked before release (by sending an e-mail to cbmanagement@utzcertified.org).

Fees

Currently, UTZ Certified does not charge CBs any fees for the approval process or for carrying out inspection and certification activities within the framework of the UTZ Certified program. UTZ Certified reserves the right to introduce a fee in the future, upon prior notice to the CB.
4. ASSURANCE OF THE UTZ PROGRAM

4.1. Grievance mechanism

Any grievance concerning UTZ Certified will be handled according to the UTZ Certified Grievance Mechanism, available on the UTZ Certified website.

4.2. CB Monitoring System

The main goal of the UTZ CB Monitoring System is to ensure that audits performed against the UTZ standards are consistent and of high quality. It includes the periodic assessment of the performance of CBs against a series of pre-defined indicators. CBs must use the results of these assessments for their continuous improvement. A detailed description of the UTZ CB Monitoring System is sent to CBs during the application process and is available upon request (cbmonitoring@utzcertified.org).

4.3. Sanction Policy

UTZ Certified reserves the right to sanction CBs based on evidence of improper procedure or behavior that jeopardizes the credibility of UTZ Certified and/or compromises its assurance system. There are four sanctions that UTZ can impose on a CB: a warning, a yellow card, a red card, and the cancellation of the CB’s approval. The sanction given depends on the severity of the misconduct and on previous sanctions given to the CB, as explained below.

Cases of possible misconduct are investigated by UTZ Certified’s CB Monitoring staff, who then propose a sanction based on their findings. The proposed sanction is evaluated by the S&C Manager, who takes the final decision. In order to ensure the absolute impartiality of the decision, the decision is taken without the interference of the CB Monitoring staff and the name of the CB is kept confidential and unknown to the evaluator. CBs can appeal decisions taken by the S&C Manager to the Standards Director. The communication regarding sanction-related decisions is carried out by UTZ Certified’s CB Monitoring staff.

Warning

A warning is the lowest level of sanction. It does not have any immediate implications for the CB, but multiple warnings can lead to a higher level of sanction.

Situations in which a warning can be issued include but are not limited to:

- Unjustified delay during the license request process or communication with UTZ Certified (e.g. regarding a audit planning for CB Monitoring purposes)
- Inappropriate closing of non-conformities
- Inaccurate or incomplete information provided by Certifier, auditor or Scheme Manager
- “Poor” or “Very Poor” performance in two consecutive CB Monitoring periods (see 4.2)
- Violations of this Certification Protocol

Yellow card

A yellow card is the second level of sanction. After receiving a yellow card, CBs are still allowed to perform UTZ audits and sign new contracts, but they must propose and implement a plan of improvement and the yellow card status is published on the UTZ Certified website.

A yellow card is valid for a minimum period of three months, and is removed only after a complete monitoring audit (office + in situ) is performed on the CB and confirms that the improvement plan has been carried out successfully. UTZ Certified reserves the right to charge the costs of this additional monitoring audit to the CB.
Situations in which a yellow card can be issued include but are not limited to:
- Further misconduct after two warnings in the previous 12 months
- Further misconduct after three warnings in the previous 24 months
- When the CB disrespects a decision taken by UTZ Certified (e.g. certificates are signed by a suspended Certifier)

Red card

A red card is the third level of sanction. When a CB receives a red card, its approval status is suspended for a minimum period of 12 months. The red card status is published on the UTZ Certified website and all members certified by the CB are notified about the suspension period. During the validity of the red card, CBs are not allowed to conduct UTZ audits or sign any new contracts.

Situations in which a red card can be issued include but are not limited to:
- Proven misconduct of a CB while holding a yellow card status
- Negative outcome of the monitoring audit performed to lift yellow card status

Approval cancellation

The cancellation of the CB’s approval is the highest level of sanction. It means the CB is no longer an UTZ approved CB. The CB is therefore not allowed to perform any UTZ audits or sign new contracts, and is removed from the UTZ Certified List of Approved CBs.

Situations in which UTZ Certified can decide to cancel a CB’s approval include but are not limited to:
- Deliberate misconduct of the CB (e.g. performing audits or signing new contracts during the validity of a red card)
- Misconduct that seriously damages UTZ Certified’s reputation

4.4. CB Training Program

The objective of the CB Training Program is to ensure that all CB staff appointed to work with the UTZ Certified standards, has a consistent and minimum guaranteed level of competence and understanding of the UTZ Certification Protocol and of the UTZ program(s) within the auditing scope of the CB.

Training Modules

Scheme Managers, Certifiers and auditors must successfully complete all applicable mandatory training modules and repeat them at least once every two years to refresh their knowledge and stay up-to-date.

Scheme Managers and Certifiers must complete the relevant modules in trainings offered directly by UTZ Certified, either in online courses and/or in face-to-face trainings. Auditors can also be trained by Scheme Managers or Certifiers (see next section).
The following list shows all available training modules and for whom they are mandatory:

<table>
<thead>
<tr>
<th>Code</th>
<th>Content</th>
<th>Mandatory for*</th>
</tr>
</thead>
<tbody>
<tr>
<td>INTR</td>
<td>Introduction to the UTZ Certified Program and CB approval process</td>
<td>X X X</td>
</tr>
<tr>
<td>CODE</td>
<td>Code of Conduct</td>
<td>O</td>
</tr>
<tr>
<td>CHOC</td>
<td>Chain of Custody</td>
<td>O</td>
</tr>
<tr>
<td>CPRT</td>
<td>Certification Protocol</td>
<td>X X</td>
</tr>
<tr>
<td>AUDITING PRACTICES</td>
<td></td>
<td>SM C A</td>
</tr>
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<td>APCF</td>
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* SM = Scheme Managers, C = Certifiers, A = Auditors
X = always mandatory; O = only mandatory if corresponding standard or product scope applies

Modules can be attended as online courses and may also be included in face-to-face trainings, organized at least once every two years. Successful completion of an online course as well as a face-to-face training is confirmed by a corresponding certificate, issued by UTZ Certified.

The program is dynamic and more modules will be offered over time. An overview of modules available online can be found on www.utzacademyonline.com.

**Mandatory Training Requirements and Internal Trainings**

Certifiers and Scheme Managers who have successfully completed any of the modules above can organize internal trainings on the same topic within their organization, provided that they use the training material and guidelines provided on the UTZ Certified website (translating it to the local language if needed).

Any other training material used must be submitted to UTZ Certified for approval. The training agenda (including date and program) and list of participants (including signatures) must be submitted to UTZ (in English, French, Spanish or Portuguese) after the end of the course, as well as the assessment requirements if required by the specific training module. UTZ Certified will then issue the corresponding certificates of participation.
Annex 1: Additional certification procedures for tea

It is common practice that producers / producer groups or outgrowers deliver their fresh tea leaves to an estate factory for processing. Considering that outgrowers should be able to benefit from certification and sell their certified tea to the factory, there are different options to include them in the certification. This annex explains the conditions for outgrower certification.

- Tea from outgrowers can only be accepted as certified tea if the outgrowers comply with the Core Code for group and multi-group certification as well as the Tea Module, and a well-functioning IMS is in place to monitor conformity. The certificate holder, who is responsible for monitoring compliance of the group members, may be a separate entity (e.g. cooperative or producer supply chain actor) or the estate itself.
- Outgrowers always need to be organized by an IMS; they always need to be registered and certified under ‘group certification’.
- In the case that the outgrowers are organized by a separate entity (e.g. a cooperative), they need to be registered and certified separately and must choose the certification option ‘group certification’.
- In the case that the outgrowers are included in the certificate of an estate (or a group of estates) that also has its own agricultural production, the estate (or group of estates) also needs to register as a group. All production sites, including the production site(s) of the estate(s) itself, will be covered by the IMS of the group. During the external audit, the auditor will check the square root of the number of outgrowers and each of the individual production sites.\textsuperscript{14}

Setting up the IMS

If the volume purchased from outgrowers is less than 5\% of the total certified volume processed by a factory, this tea can be accepted as certified during the start-up phase, even though the IMS is not yet fully set up. Considering that it takes time and investment to set up an IMS, there is a grace period of two years. However, the outgrowers will be audited and will receive feedback on steps to be taken for compliance where necessary. The auditor reports and informs UTZ Certified on the number of outgrowers, the total volume of outgrower tea purchased by the factory, and about the status of the IMS. In case an estate is already registered under ‘individual certification’ or ‘multi-site certification’ and wants to include outgrowers in its certificate, the estate registers again as a group as soon as the IMS is fully set up. Their future certification will then be a ‘group certification’.

\textsuperscript{14} Producers with a considerably different production system (size, nature, or geography) can be part of the group and included under the IMS but shall be audited individually, see chapter 2.