Contents

1. INTRODUCTION ..................................................................................................................... 4
  1.1. What are the Requirements for Certification Bodies operating in Brazil? .................. 4
  1.2. When to comply with the Requirements for Certification Bodies ................................. 4
  1.3. What is new in the Requirements for Certification Bodies operating in Brazil? .......... 4
  1.4. Scope of this Document .................................................................................................... 4
  1.5. Other relevant documents and translations .................................................................... 5
  1.6. Contacting UTZ ................................................................................................................ 5
  1.7. Abbreviations ................................................................................................................... 6
  1.8. Definitions ......................................................................................................................... 6

2. CB MANAGEMENT .................................................................................................................. 7
  2.1. Introduction ....................................................................................................................... 7
  2.2. CB Approval Requirements ............................................................................................. 7
  2.3. CB Approval Procedure ................................................................................................... 16

3. CB MONITORING ................................................................................................................... 17
  3.1. Introduction ....................................................................................................................... 17
  3.2. Monitoring methodology .................................................................................................. 17
  3.3. Monitoring period ............................................................................................................. 17
  3.4. Monitoring scale ................................................................................................................. 17
  3.5. Key Performance Indicators .............................................................................................. 19
  3.6. Evaluation of results .......................................................................................................... 21
  3.7. Reporting and communication ......................................................................................... 21

4. CB TRAINING ......................................................................................................................... 22
  4.1. Introduction ....................................................................................................................... 22
  4.2. Minimum Training Modules ............................................................................................. 22
  4.3. Competence-based Learning ............................................................................................. 23
  4.4. Required Competencies and Internal Training ................................................................. 24

5. SANCTION POLICY .............................................................................................................. 25
  5.1. Introduction ....................................................................................................................... 25
  5.2. Sanction levels ................................................................................................................... 25
  5.3. Issuing and lifting of sanctions ......................................................................................... 27
  5.4. Grievance and appeals procedures ................................................................................... 28

Annex 1 ...................................................................................................................................... 29
  Office audits ............................................................................................................................ 29
  Shadow audits ......................................................................................................................... 30
  Parallel audits .......................................................................................................................... 31
1. INTRODUCTION

1.1. What are the Requirements for Certification Bodies operating in Brazil?

Together with the UTZ Certification Protocol for Brazil version 1.0, the Requirements for Certification Bodies operating in Brazil document describes the UTZ Assurance System in Brazil. This document includes the process and requirements for obtaining and maintaining UTZ approval for Certification Bodies.

1.2. When to comply with the Requirements for Certification Bodies

The Requirements for Certification Bodies operating in Brazil version 1.0 was released in parallel with the UTZ Certification Protocol for Brazil version 1.0, superseding the Requirements for Certification Bodies version 1.1 January 2018 for CBs operating in Brazil. From April 1st 2019 onwards, the CBs operating in Brazil shall be compliant with the requirements described in this document.

In case an already approved CB wishes to make changes to its approval (extend any of its scopes, add/ change Scheme Managers, certifiers or auditors, or add a scope for an already approved certifier/ auditor), this shall be requested formally by the Scheme Manager via the UTZ traceability system or by contacting cbmanagement@utz.org. In case such change is requested, UTZ will review compliance based on this document (i.e. not against previous versions of the UTZ Certification Protocol).

1.3. What is new in the Requirements for Certification Bodies operating in Brazil?

The Requirements for Certification Bodies operating in Brazil introduces the following changes compared to the Requirements for Certification Bodies 1.1, becoming effective from 01 January 2019 onwards:

- New requirements for becoming (and maintaining approval) an UTZ approved Certification Body in Brazil.
- Multi-level system of different auditor roles
- New requirements for (obtaining and maintaining) Auditor Approval
- It becomes mandatory for CBs operating in Brazil to implement and maintain an internal Performance & Quality Control System including standard operating procedures for (1) their auditing and certification activities for the UTZ programs, as well as (2) for the performance monitoring of all their CB staff involved in UTZ activities (including sub-contractors and freelance auditors).
- New requirements for CBs and their staff.

1.4. Scope of this Document

This document applies to the following parties:
- Prospective and approved CBs
- UTZ
1.5. Other relevant documents and translations

This document is available in English and Spanish. 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 and additional relevant documents are available on the UTZ website. These documents include:

- **Certification Protocol**: together with the Requirements for Certification Bodies, the Certification Protocol describes the UTZ Assurance System. The Certification Protocol focuses on the process for becoming an UTZ certified member, explaining which members need to receive an audit, and how and when this audit shall be conducted.

- **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. A producer/producer group may sell their products as UTZ certified provided they implement all the requirements of the Code and become certified, following an audit by an approved CB.

**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.

- **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 shall be used by members (and their subcontractors) for carrying out the self-assessment and may be used by auditors from CBs for conducting audits.

- **Guidance Documents**: this collection of documents provides guidance on the implementation and auditability of the UTZ standards for specific topics or specific countries.

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

1.6. Contacting UTZ

For questions about the requirements and processes explained in this document, CBs can contact the UTZ Standards & Assurance department, by using the following email addresses:

- assurance@utz.org for general questions about the UTZ Assurance System
- cbmanagement@utz.org for CB accounts and approvals
- cbmonitoring@utz.org for CB monitoring
- cbtraining@utz.org for CB training
1.7. Abbreviations

The following abbreviations are used in this document:

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB</td>
<td>Accreditation Body</td>
</tr>
<tr>
<td>CB</td>
<td>Certification Body</td>
</tr>
<tr>
<td>Code</td>
<td>Code of Conduct</td>
</tr>
<tr>
<td>ChoC</td>
<td>Chain of Custody Standard</td>
</tr>
<tr>
<td>KPI</td>
<td>Key Performance Indicator</td>
</tr>
<tr>
<td>SOPP’s</td>
<td>Standard Operating Policies and Processes</td>
</tr>
<tr>
<td>S&amp;A</td>
<td>Standards &amp; Assurance (department of UTZ)</td>
</tr>
</tbody>
</table>

1.8. Definitions

Unless indicated otherwise, the term "CB(s)" in this document refers to UTZ approved CB(s) only.

<table>
<thead>
<tr>
<th>Term</th>
<th>Description</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 shall 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>Certification Body</td>
<td>Third-party company that conducts audits against one or more of the UTZ standards.</td>
</tr>
<tr>
<td>Certifier</td>
<td>CB staff member (or hired independent contractor) who is approved by UTZ to take certification decisions.</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>
</tbody>
</table>
| UTZ Certification team | The UTZ Certification team is composed of all CB staff, including subcontracted, freelancer staff, involved in any stage of the certification processes described in the UTZ Certification Protocol. The UTZ Certification Team can include, but is not limited to:  
- Marketing, commercial and members relationship, management staff  
- Database and traceability system administrators  
- Quality reviewers  
- Auditors (including subcontracted, freelancer auditors)  
- Certifier  
- Scheme manager |
| UTZ traceability system | An online platform used by all actors in the UTZ program to store CB and member information, plan audits, report audit findings, register transactions of UTZ certified produce, and request and obtain labeling approvals. UTZ currently works with two traceability systems in parallel: the Good Inside Portal (GIP) and MultiTrace. The term UTZ traceability system refers to either of these platforms interchangeably, unless explicitly mentioned otherwise. |

In accordance with ISO terminology, the following definitions apply in in understanding how to interpret this Certification Protocol:

- "shall" indicates a requirement
- "should" indicates a recommendation
- "may" is used to indicate that something is permitted
- "can" is used to indicate that something is possible, for example, that an organization or individual is able to do something
2. CB MANAGEMENT

2.1. Introduction

Only CBs that have been approved by UTZ may perform audits against the UTZ standards. This chapter describes the approval procedure and requirements for CBs.

UTZ is committed to providing a level playing field for CBs that offer UTZ certification to producers, producer groups and SCAs. UTZ also believes that producers, producer groups and SCAs are best served when they are able to select from several CBs that can offer high-quality services.

2.2. CB Approval Requirements

In order to become and remain approved by UTZ, CBs shall meet a series of requirements. These requirements relate to 1) the CB itself, 2) the Scheme Manager, 3) their certifier(s) and 4) the auditors who work for the CB. In order for UTZ to be able to approve a CB, the CB shall meet the requirements related to the CB itself, the Scheme Manager and at least one certifier. Auditors are internally approved by the CB.

2.2.1. Certification Body Compliance Requirements

<table>
<thead>
<tr>
<th>Requirements for CB Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Have an UTZ approved UTZ Certification Team which includes at least a Scheme Manager and one or more certifiers that, together, are approved for all products and standards included in the CB’s scope.¹</td>
</tr>
<tr>
<td>The CB observes UTZ principles for working conditions towards its employees (including subcontracted, freelancer staff), observing and respecting workers’ rights, freedom of association and working hours; practices payment of market wages and non-discriminatory policies; and provides training and development of all its employees.</td>
</tr>
<tr>
<td>b. 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.²</td>
</tr>
<tr>
<td>c. Minimum audit requirement for CBs approved for Code of Conduct:</td>
</tr>
<tr>
<td>- Conduct a minimum of 5 UTZ Code of Conduct audits per year</td>
</tr>
<tr>
<td>The number of audits will be reviewed by UTZ at the end of each calendar year, based on the CB’s annual reporting submitted to UTZ (see UTZ Certification Protocol 4.2, section 3.5) and based on UTZ’s own internal data. Valid audits to meet the minimum audit requirement are all (re)-certification audits that lead to either certification, suspension or non-certification. Pre-audits, follow-up audits or surprise audits shall not be counted to meet the minimum audit requirement. CBs not meeting the minimum audit requirement shall be disapproved for the Code of Conduct scope.³</td>
</tr>
<tr>
<td>d. CB’s Scope Assessment:</td>
</tr>
<tr>
<td>CBs shall carry out a risk assessment of members’ compliance with the UTZ standards for the standard (standard scope), product (commodity scope) and country (geographical scope) for which the CB has been approved by UTZ. The risk refers to possibilities of non-conformities occurring due to conflicts with local laws, traditional production practices, cultural factors, regional contexts, availability of technology or resources, the interpretation of the control point, or any other environmental, social, legal or labor factors that impede compliance. Although this is not risk assessment for each member individually, this risk assessment shall be used as reference for assessing risks of members individually during the certification process.</td>
</tr>
</tbody>
</table>

¹ Because of this requirement, in case of long-term absence (e.g. due to maternity leave or sick leave) of a Scheme Manager or certifier, CBs shall ensure someone else is approved as a replacement in a timely manner.
² Because of this requirement, in case of long-term absence (e.g. due to maternity leave or sick leave) of a Scheme Manager or certifier, CBs shall ensure someone else is approved as a replacement in a timely manner.
³ UTZ reserves the right to amend the minimum audit threshold, if this would disrupt the level-playing field.
UTZ will use these risk assessments to evaluate how CBs will assess risks of compliance with the requirements of UTZ standards, what are the ways CBs propose to investigate the risks and prepare for the audit, the competences needed to audit UTZ standards, how CBs evaluate, detect and manage compliance risks during audits. UTZ can consolidate risk assessments to harmonize the interpretation and verification of UTZ standards and auditing mechanisms, and add other obligatory risks. UTZ can require that harmonized interpretations, and verification and audit mechanisms, be binding for CBs for certification activities and performance and compliance evaluations.

Risk assessments are carried out using UTZ guidance and templates, and shall be sent to UTZ Standards and Assurance (cbmanagement@utz.org). The risk assessment shall be updated in the last quarter of the year based on findings from the certification process, including but not limited to results of audits and individual risk assessment of members for that year.

e. Assurance Quality Management System for UTZ:

CBs shall define all their standard operating procedures and policies (SOPPs) needed for all UTZ certification activities described in the Certification Protocol and Requirements for CBs. CBs shall demonstrate, amongst other procedures, how the activities of the certification processes communicate with and meet UTZ Requirements for CBs (e.g., work flow of the UTZ Certification team in the certification process; how risk assessments are evaluated and used, audit preparation procedures, etc.)

CBs shall have in place a quality control system with corrective action procedures to monitor and evaluate the implementation SOPPs.

f. CB competence program:

The CB has an UTZ-approved competence program in place ensuring the UTZ Certification team has the right competence to work on UTZ certification processes.

This competence program shall include, but is not limited to:

i. Description of the UTZ Certification team: names, contact information, qualification and role in regards to the certification processes.

ii. Description of each role and competence-based categories of the team, including the competences (skills, knowledge, experience and attitude) needed for each role in regards to the certification processes and in line with the staff requirements described in this chapter.

iii. Salary plan accordingly to the roles and competence categories.

iv. An internal performance & compliance evaluation and monitoring system to assess the performance of all CB staff members of the UTZ Certification team. The results shall feed the CB’s internal training program. This system is composed of 3 elements:
   a. Review of compliance with UTZ requirements
   b. ‘On the job’ performance: at least all certifiers, auditors and quality reviewers receive an ‘on-the-job evaluation (e.g., parallel or shadow audit)
   c. Annual performance evaluation – all CB staff shall get a personal evaluation each year on their competences following a list of competence and performance criteria.

g. Capacity assessment and planning:

CBs shall assess and plan their capacity (financial and human resources) to conduct audits and services related to the certification process. The CB shall submit and update the capacity plan to cbmanagement@utz.org in January every year.

The plan shall include, but is not limited to:

i. List of all staff in the UTZ Certification team;

ii. Expected amount of efforts (e.g., man/day) of staff in the certification process according to the number of expected audits along the year,

iii. Number and type of members the CB provide audit services to;
iv. Cost of audit services, including monetary value of man/day per different category of staff.

The assessment shall evaluate the capacity of the CB’s certification team to work with the CB on UTZ programs without jeopardizing the quality and credibility of the UTZ standards. This assessment shall demonstrate:

i. Sufficient number of qualified staff members meeting the CB Competence program requirements to cover demand of all audits as per certification processes described in the Certification Protocol and in the CB’s Quality Management System.

ii. Financial sustainability of the CB’s audit services.

CBs are approved for a set of scopes, which determines 1) where, 2) against which UTZ standard(s), and 3) for which product(s) they are allowed to perform audits, respectively further referred to as 1) the geographical scope, 2) the standard scope and 3) the commodity scope.

The commodity and standard scope a CB can be approved for depend on the scope of its ISO 17065:2012 or ISO 17021:2015 accreditation and the combined scopes of the CB’s approved certifiers.

The geographical scope a CB can be approved for depends on the CB’s own strategic interests, i.e. where the CB would like to offer its UTZ audit services. However, note that in order to include a country in its geographical scope, a CB shall:

a) respond to audit quote requests from UTZ members based in that country within 3 weeks of receiving the request;

b) be able to perform an audit (with an internally approved and fully trained auditor, see sections 2.2.4 and 4.2) in that country within 3 months after receiving an audit quote request from a (prospective) UTZ member.

CBs failing to respond to audit quote requests and/or failing to schedule audits in due time will lose the relevant countries of their geographical scope and/or may receive a sanction.

All local/regional offices of a CB are covered under the same CB approval. The office holding the accreditation used for the UTZ approval is responsible to ensure that all procedures related to UTZ activities are properly implemented in those countries in which UTZ certification activities take place. If local/regional offices work completely independently (i.e. they fully run the certification process) they should apply for approval as an individual CB.

Subcontracting by an approved CB (“CB X”) of another CB (“CB Y”), Inspection Body or freelance auditor is allowed for UTZ audits. The subcontractor (CB Y) shall have a contract with the approved CB (CB X) and shall be included in the scope of its ISO 17065 or ISO 17021 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 UTZ traceability system. UTZ 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 may not present itself to the member under its own CB name, but shall clearly stipulate that they work under the leadership of the subcontracting CB.

### 2.2.2. Scheme Manager Compliance Requirements

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 approval requirements described in this chapter;
- Keep all UTZ related documentation up to date;
- Provide the annual report and other documents to UTZ;
- Coordinate all requested reporting in the UTZ traceability system;
- Properly manage the account of the CB in the UTZ traceability system, including keeping the list of staff up to date;
- Take care of the communication with UTZ, except for communication concerning certification decisions;
- Inform UTZ when there are changes that can affect the CB’s compliance with the requirements in this document, as well as when the CB receives a sanction from their Accreditation Body or any other scheme the CB is approved for.

<table>
<thead>
<tr>
<th>Requirements for (obtaining and maintaining) Scheme Manager Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Successful completion of the applicable mandatory UTZ training modules described in section 4.2</td>
</tr>
</tbody>
</table>
2.2.3. Certifier Compliance Requirements

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 the UTZ Certification Protocol;
- Ensure that the certification documents (audit reports, certificates) are submitted in accordance with the requirements set forth in the UTZ Certification Protocol;
- Take the final certification decision;
- Communicate with UTZ concerning certification decisions.

Certifiers are also responsible for staying up to date with developments, issues, and regulatory changes that pertain to auditing the UTZ standards and auditing in general (e.g. by participating in on-line calibration sessions UTZ foresees to organize).

Certifiers may also perform audits, provided they comply with the requirements for auditors described in section 2.2.4. In this case, another UTZ approved certifier within the CB shall take the certification decision (in order to comply with the “four eyes principle”).

Certifiers that work as independent contractors for a CB may be approved as long as their relationship with the CB is exclusive (i.e. the certifier does not also work for another UTZ approved CB as certifier and/or auditor).

In order to obtain UTZ approval, certifiers shall meet the requirements in the following table. In order to demonstrate compliance with requirement c, d, e, f, the applicant certifier shall submit an audit log using the UTZ Audit Log Template, including at least 10 relevant audits or working days as an auditor or certifier per requirement. The UTZ Audit Log Template can be obtained from cbmanagement@utz.org or in the UTZ Resource Library.

<table>
<thead>
<tr>
<th>Requirements for (obtaining and maintaining) Certifier Approval</th>
<th>Code of Conduct</th>
<th>Chain of Custody</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a</strong> 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 a food-related discipline OR At least 5 years of work experience in agriculture, horticulture, or the food industry</td>
<td></td>
</tr>
<tr>
<td><strong>b</strong> Successful completion of the applicable mandatory UTZ training modules described in section 4.2</td>
<td>Successful completion of the applicable mandatory UTZ training modules described in section 4.2</td>
<td></td>
</tr>
<tr>
<td><strong>c</strong> Demonstrable knowledge of the production and processing systems of the applicable commodity(ies) AND Experience in auditing these commodity systems (at least 10 relevant audits or 40 relevant working days as an auditor or certifier in this commodity)</td>
<td>Demonstrable knowledge of the processing systems of the applicable commodity(ies) AND Experience in auditing these commodity systems (at least 10 relevant audits or 20 relevant working days as an auditor or certifier in this commodity)</td>
<td></td>
</tr>
<tr>
<td><strong>d</strong> Experience in auditing GAP and/or organic agriculture standards (at least 10 relevant audits or 40 relevant working days as an auditor or certifier)* AND Successful completion of IRCA certified ISO 9001:2015 lead auditor course, or IRCA certified ISO 22000:2015 lead auditor course.</td>
<td>Experience in auditing chain of custody standards (at least 10 relevant audits or 20 relevant working days as an auditor or certifier)** AND Successful completion of IRCA certified ISO 9001:2015 lead auditor course, or IRCA certified ISO 22000:2015 lead auditor course.</td>
<td></td>
</tr>
<tr>
<td><strong>e</strong> Experience in auditing social standards (at least 10 relevant audits or 40 relevant working days as an auditor or certifier)*** OR Successful completion of basic or advanced SA8000:2014 auditor training</td>
<td></td>
<td></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 C), MSC, RSPO
*** Fairtrade, GRASP, SA8000, SMETA
**** ISO 14001, LEAF Marque, SAN

2.2.4. Auditor Compliance Requirements

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 reports of the audits they conduct, in accordance with the criteria specified in the UTZ Certification Protocol.

Auditors also have the responsibility to stay up to date with developments, issues, and regulatory changes that pertain to auditing the UTZ standard and auditing in general. They shall also be trained to collect and provide reliable information. In order to develop these competencies, auditors shall receive on-the-job training, supervised by qualified staff.

Auditors need to be approved by UTZ but the Scheme Manager shall ensure that all auditors comply with the requirements in the following table, and keep records thereof.

Following a similar structure as prescribed in the ‘SAN Auditor Competence Requirements’ section 2.4, auditors can perform different auditing roles, ranked below in order of experience (level). Auditors can be ‘promoted’ to a higher level once they meet the corresponding approval requirements for that level.

<table>
<thead>
<tr>
<th>Level</th>
<th>Auditing role</th>
<th>Function description</th>
<th>Can participate in auditing team alone?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Trainee Auditor</td>
<td>New/ unexperienced auditor meeting all Trainee Auditor requirements, internally approved by the CB for relevant auditing scope(s)</td>
<td>No. A Senior Auditor (of higher level) is part of the auditing team and supervises/coaches the Trainee Auditor on the job.</td>
</tr>
</tbody>
</table>
| 2     | General Auditor     | Support auditor with advanced knowledge of the RA Standards, policies and tools and sufficient RA auditing experience (5 audits) to carry out audits alone. | If auditing team consists of 1 or 2 auditors: Yes, may audit alone  
If auditing team consisting of 3 or more auditors: No, a Senior Auditor must be part of the auditing team. |
| 3     | Senior Auditor      | Advanced auditor with solid track record of RA audit experience (10 audits), capable of leading an RA auditing team. | Yes, in all cases |
| 4     | Auditor Trainer     | Advanced auditor with solid track record of leading RA auditing teams, capable providing training to other RA auditors (also of other CBs) (as RA – CB F2F Workshop Trainer). | Yes, in all cases |

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

Requirements for (obtaining and maintaining) Auditor Approval
<table>
<thead>
<tr>
<th>Level</th>
<th>Auditing role</th>
<th>Code of Conduct</th>
<th>Chain of Custody</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Trainee Auditor</td>
<td>To become a Trainee Auditor, the applicant shall meet approval requirements 1a – 9a:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>1a-Degree/ background:</strong></td>
<td>To become an Trainee Auditor, the applicant shall meet approval requirements 1b – 9b, plus:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Bachelor/ Master’s degree in agriculture or horticulture, including the understanding and application of Good Agricultural Practices (GAP)</td>
<td><strong>1b-Degree/ background:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>OR</td>
<td>- Bachelor/ Master degree in agriculture, horticulture, or food related discipline</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- At least 2 years of work experience in agriculture or horticulture</td>
<td>OR</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>2a-Commodity knowledge:</strong></td>
<td>- At least 2 years of work experience in agriculture, horticulture or food industry</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Demonstrable knowledge of the production + processing systems of the applicable UTZ commodity.</td>
<td><strong>2b-Commodity &amp; Traceability knowledge:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>OR</td>
<td>- Demonstrable knowledge of the processing systems of any of the UTZ commodities with the same traceability level (i.e. demonstrable knowledge of MB systems for cocoa and hazelnut and IP/SEG for coffee, tea, rooibos)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Experience in auditing these systems (at least 10 audits / 40 working days for other relevant schemes as a trainee, observer, etc.)</td>
<td>OR</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>3a-Audit experience – other relevant standards:</strong></td>
<td>- Experience in auditing these traceability systems (at least 5 audits / 10 working days for other relevant schemes as a trainee, observer, etc.)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Experience in auditing agricultural, social and/or environmental standards (at least 10 audits or 40 working days for other relevant schemes(^1)).</td>
<td><strong>3b-Audit experience - other relevant standards:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>4a-Auditor certificate:</strong></td>
<td>Experience in auditing Chain of Custody standards (at least 5 audits or 10 working days for other relevant schemes(^2)).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Internal Auditor / Lead Auditor training certificate of IRCA certified ISO 9001:2015, ISO 14001:2015 OR ISO 22000: 2005</td>
<td><strong>4b-Auditor certificate:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Basic Auditor / Advanced Auditor training certificate of SA8000:2014</td>
<td>OR</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>5a-Availability:</strong></td>
<td>- Basic Auditor / Advanced Auditor training certificate of SA8000:2014</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Be fully trained and internally approved within 3 months after (potential) client has made audit quote request.</td>
<td><strong>5b-Availability:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>6a-Other:</strong></td>
<td>Be fully trained and internally approved within 3 months after (potential) client has made audit quote request.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Contract with the UTZ approved CB.</td>
<td><strong>6b-Other:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>7a-UTZ Training E - Courses:</strong></td>
<td>Contract with the UTZ approved CB.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Successful completion of the last release of mandatory E-modules of the ‘UTZ Academy Online’ (or trained through an UTZ approved internal CB training).</td>
<td><strong>7b-UTZ Training:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>8a-Audit experience – UTZ Code of Conduct:</strong></td>
<td>Successful completion of the last release of mandatory E-modules of the ‘UTZ Academy Online’ (or trained through an UTZ approved internal CB training).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Experience in auditing the UTZ or Rainforest Alliance Individual and / or Group Code of Conduct (at least 5</td>
<td><strong>10b-Audit experience – UTZ Chain of Custody:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>audits).</td>
<td></td>
</tr>
</tbody>
</table>

\(^1\) Including but not limited to: GLOBALGAP, LEAF Marque, national standards (relevant scopes), Organic, Fairtrade, GRASP, ISO 14001, LEAF Marque, SA8000, SAN, SMETA  
\(^2\) Including but not limited to: ASC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), MSC, RSPO, FSSC2200
<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>audits or 20 working days for any of the commodity scopes).</td>
<td>Experience in auditing the UTZ or Rainforest Alliance Chain of Custody (at least 5 audits or 10 working days for any of the commodity scopes).</td>
</tr>
<tr>
<td>9a - UTZ CB Training – F2F Workshop:</td>
<td>Bi-annual participation in a UTZ-CB F2F Code Workshop in the country/region where the auditor conducts audits.</td>
<td>Bi-annual participation in a UTZ CB F2F ChoC Workshop in the country/region where the auditor conducts audits.</td>
</tr>
<tr>
<td>10a – Positive Performance Evaluation:</td>
<td>Positive performance evaluation results</td>
<td>Positive performance evaluation results</td>
</tr>
<tr>
<td>11a-Minimum audit requirements⁴:</td>
<td>Conduct a minimum of 5 UTZ Code of Conduct audits per year, in the currently approved auditing role (or lower level)</td>
<td>Conduct a minimum of 10 UTZ Chain of Custody audits per 2 years, in the currently approved auditing role (or lower level)</td>
</tr>
<tr>
<td>3</td>
<td>Lead Auditor</td>
<td>To become a Lead Auditor, the General Auditor shall meet approval requirements 1a – 13a, plus:</td>
</tr>
<tr>
<td></td>
<td>12a-Audit experience – UTZ Code of Conduct:</td>
<td>Experience in auditing the UTZ or Rainforest Alliance Individual and/or Group Code of Conduct (at least a total of 10 audits or 40 working days for any of the commodity scopes).</td>
</tr>
<tr>
<td></td>
<td>13a. Lead Auditor experience</td>
<td>Acted as Lead Auditor for at least 2 years for the UTZ or Rainforest Alliance Code of Conduct audit scope</td>
</tr>
<tr>
<td></td>
<td>14a. Auditor Trainer experience</td>
<td>- Successful completion of the last release of mandatory E-modules related to training methodologies, didactics, etc. in the ‘UTZ Academy Online’. AND - Acted as trainer/facilitator for at least 1 relevant UTZ-CB F2F Code Workshops (under supervision of approved UTZ trainers/facilitators), after which formal approval is requested to/granted by UTZ.</td>
</tr>
<tr>
<td>4</td>
<td>Auditor Trainer</td>
<td>To become an Auditor Trainer (optional), the Lead Auditor shall meet approval requirements 1a – 14a, plus:</td>
</tr>
<tr>
<td></td>
<td>13a. Lead Auditor experience</td>
<td>Acted as Lead Auditor for at least 2 years for the UTZ or Rainforest Alliance Code of Conduct audit scope</td>
</tr>
<tr>
<td></td>
<td>14a. Auditor Trainer experience</td>
<td>- Successful completion of the last release of mandatory E-modules related to training methodologies, didactics, etc. in the ‘UTZ Academy Online’. AND - Acted as trainer/facilitator for at least 1 relevant UTZ-CB F2F Code Workshops (under supervision of approved UTZ trainers/facilitators), after which formal approval is requested to/granted by UTZ.</td>
</tr>
<tr>
<td></td>
<td>To become an Auditor Trainer (optional), the Lead Auditor shall meet approval requirements 1b – 13b, plus:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>14b-Audit experience – UTZ Chain of Custody:</td>
<td>Experience in auditing the UTZ or Rainforest Alliance Chain of Custody (at least a total of 10 audits or 20 working days for any of the commodity scopes).</td>
</tr>
<tr>
<td></td>
<td>15b. Lead Auditor experience</td>
<td>Acted as Lead Auditor for at least 2 years for the UTZ and Rainforest Alliance Chain of Custody audit scope</td>
</tr>
<tr>
<td></td>
<td>16a. Auditor Trainer experience</td>
<td>- Successful completion of the last release of mandatory E-modules related to training methodologies, didactics, etc. in the ‘UTZ Academy Online’. AND - Acted as trainer/facilitator for at least 1 relevant UTZ-CB F2F ChoC Workshops (under supervision of approved UTZ trainers/facilitators), after which formal approval is requested to/granted by UTZ.</td>
</tr>
</tbody>
</table>
| Evaluate CB Staff Performance and Minimum Audit Quota | All UTZ approved CBs shall implement and maintain an internal Performance & Quality Control System including standard operating procedures for (at) their auditing and certification activities for the UTZ programs, | ⁴ This can be for any audit, commodity or geographical scope. In case an auditor has received both Code of Conduct and Chain of Custody approval, the auditor shall conduct a minimum of 3 UTZ Code of Conduct audits per year + 2 Chain of Custody audits per year. The number of audits conducted per auditor will be reviewed by UTZ at the end of each calendar year, based on CB’s annual reporting submitted to UTZ. CB’s not meeting the minimum audit requirements may be subject to disapproval.  
⁵ idem |
as well as (2) for the performance monitoring of all their CB staff involved in UTZ activities (including sub-contractors and freelance auditors). CBs may design and implement such system to their own specific needs, objectives and strategies, yet evaluation records shall be kept for a minimum of 5 years.

UTZ reserves the right to request information and reports from this internal control system, as part of its CB monitoring activities, and/ or in the event of defined risk situations, complaints and grievances received from other UTZ stakeholders, or if serious infringements committed by CB staff are detected.

The CB’s internal Performance & Quality Control System shall assure that each CB staff member involved in UTZ activities is evaluated on performance and compliance for their corresponding roles. The evaluation is threefold:

1. **Minimum audit quota – min. once every calendar year for all auditors (except Trainee Auditors)**
   
   All auditors (except for Trainee Auditors) shall conduct a minimum of 5 UTZ Code of Conduct audits or 10 UTZ Chain of Custody audits per calendar year. This, to ensure that auditors remain up-to-date and competent, so they can conduct good quality UTZ audits. It is the responsibility of the Scheme Manager to allocate sufficient audits to auditors and to review auditor compliance with this minimum audit quota (by the end of the calendar year, to be reported in the Annual Reporting to UTZ). UTZ cross checks this information using its own CB monitoring systems. In the case auditors do not meet the minimum audit quota, their status will be reset to Trainee Auditor. CBs failing to allocate the minimum audit quota to any of its auditors shall be initially suspended for 1 year (temporarily suspension), meaning all auditors including the ones being degraded to Trainee Auditors cannot conduct audits. After this 1-year temporarily suspension period, a second chance of 1 year is granted. Failure to meet this auditor quota requirements again shall lead to definite suspension.

2. **'On the job' performance evaluation – min. once every calendar year / for all certifiers and auditors**
   
   a. For all auditors (with the exception of Trainee Auditors), this implies an evaluation in the field i.e. at least 1 shadow or parallel audit, to be conducted by another internally approved UTZ auditor of a higher ranking. If no higher ranked person is available, the certifier shall do the field evaluation.
   
   b. For certifiers, this implies an evaluation of at least 1 entire certification process, to be conducted by the UTZ CB Monitoring staff, together with an experienced Certifier of the CB, working on another (similar) scheme.

3. **Performance evaluation – min. once every calendar year / for all CB staff.**
   
   All CB staff involved with the UTZ program is subject to an annual performance evaluation, to be done internally within the CB. Records of this evaluation shall be kept on file for at least 5 years and can be requested by UTZ at time. The CB itself may appoint the reviewer/ evaluator. During the performance evaluation exercise, at least the below performance evaluation criteria shall be covered:

<table>
<thead>
<tr>
<th>Code</th>
<th>Criterion to be evaluated</th>
<th>Mandatory for*</th>
</tr>
</thead>
<tbody>
<tr>
<td>SM</td>
<td>Scheme Managers</td>
<td></td>
</tr>
<tr>
<td>C</td>
<td>Certifiers</td>
<td></td>
</tr>
<tr>
<td>TA</td>
<td>Trainee Auditor</td>
<td></td>
</tr>
<tr>
<td>A</td>
<td>General Auditor, Lead Auditor and/ or Auditor Trainer</td>
<td></td>
</tr>
<tr>
<td>CT</td>
<td>Certification Team Members</td>
<td></td>
</tr>
<tr>
<td>X</td>
<td>= always mandatory</td>
<td></td>
</tr>
<tr>
<td>O</td>
<td>= only mandatory if corresponding audit scope or commodity scope applies</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Code</th>
<th>Criterion to be evaluated</th>
<th>SM</th>
<th>CT</th>
<th>TA</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Knowledge, interpretation and application of UTZ Standards</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>2</td>
<td>Knowledge, interpretation and application of UTZ Protocol and tools</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>3</td>
<td>Knowledge, interpretation and application of GIP/ MultiTrace</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

---

8 i.e. UTZ approved scheme managers, UTZ approved certifiers, all internally approved UTZ auditors, in all auditing roles including sub-contracted auditors/ freelancers, and other administrative support staff working on the UTZ account.

9 This can be for any audit, commodity or geographical scope. In case an auditor has received both Code of Conduct and Chain of Custody approval, the auditor shall conduct a minimum of 3 UTZ Code of Conduct audits per year + 2 Chain of Custody audits per year. The number of audits conducted per auditor will be reviewed by UTZ at the end of each calendar year, based on CB’s annual reporting submitted to UTZ. CB’s not meeting the minimum audit requirements may be subject to disapproval.
### ATTITUDE

<table>
<thead>
<tr>
<th></th>
<th>SM</th>
<th>CT</th>
<th>C</th>
<th>AT</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>5</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

### ADMIN TECHNIQUES AND SKILLS

<table>
<thead>
<tr>
<th></th>
<th>SM</th>
<th>CT</th>
<th>C</th>
<th>AT</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### AUDITING TECHNIQUES AND SKILLS

<table>
<thead>
<tr>
<th></th>
<th>SM</th>
<th>CT</th>
<th>C</th>
<th>AT</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### CERTIFYING TECHNIQUES AND SKILLS

<table>
<thead>
<tr>
<th></th>
<th>SM</th>
<th>CT</th>
<th>C</th>
<th>AT</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### OTHER EVALUATION CRITERIA

<table>
<thead>
<tr>
<th></th>
<th>SM</th>
<th>CT</th>
<th>C</th>
<th>AT</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>18</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table A: Performance Evaluation Criteria

---

### 2.3. CB Approval Procedure

**Approval Procedure:**

1. **The CB applies for approval using the application form that is available upon request at [cbmanagement@utz.org](mailto:cbmanagement@utz.org).** Through the application form, the CB indicates which person(s) are appointed as Scheme Manager and certifier(s) (this may, but does not need to be the same person), and for which commodity, geographical, and standard scope the CB wishes to apply for.

2. **The CB sends the completed application form together with soft copies of the following documentation to [cbmanagement@utz.org](mailto:cbmanagement@utz.org):**

   1. Valid 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)

In case of potential conflicts of interest (e.g. the CB has a certain relationship with an UTZ member, or the CB also provides consultancy and training activities to UTZ members), UTZ will be explicitly informed upfront during the application process.

---

*10 For Senior Auditor only
11 For Auditor Trainer only*
3. UTZ confirms receipt within one week, 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 CB Monitoring System.

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

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

6. The CB receives access to the UTZ traceability system and is listed on the “UTZ List of Approved Certification Bodies”.

7. The Scheme Manager provides all approved certifiers access to the UTZ traceability system and keeps records of all approved certifiers and auditors up to date in the UTZ traceability system.

3. CB MONITORING

3.1. Introduction

This chapter describes the methodology used by UTZ to continuously monitor the performance of the CBs.

The CB Monitoring System is (together with CB Management, CB Training and CB Guidance Development) one of the assurance tools within UTZ. The tools all continuously provide inputs to one another; creating a common mechanism of credibility and continuous improvement. The ultimate goal is to guarantee a high level of competence and consistency in the audits performed by UTZ-approved CBs.

Before being approved to conduct UTZ audits, the CB receives this document and needs to sign a Framework Agreement by which:

- Commits to include in its contractual agreements with its clients that the results of their audits may be used by UTZ to evaluate the performance of the CB, and that there is a possibility they may be audited directly by UTZ.
- Acknowledges the rights granted to UTZ to monitor the qualifications and performance on CBs, and to impose sanctions on the CB, including (but not limited to) the withdrawal of the approval.

3.2. Monitoring methodology

The Monitoring System evaluates the performance of the approved CBs during the Monitoring Period, using the Monitoring Scale and taking into account the Monitoring Indicators (KPIs).

Every new CB begins the first monitoring period with the highest score. In the course of the monitoring activities, the score of the applicable KPIs is adjusted as long as the CB is active during the given period.

3.3. Monitoring period

There are two monitoring periods per calendar year where the performance of the CBs is evaluated: from January to June and from July to December.

3.4. Monitoring scale

A 1-5 scale is used to score the performance of the CBs on each of the KPIs. The scale is explained as follows:
<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-</td>
<td>Very poor</td>
<td>No compliance</td>
</tr>
<tr>
<td>2-</td>
<td>Poor</td>
<td>Actions shall be taken for improvement</td>
</tr>
<tr>
<td>3-</td>
<td>Average</td>
<td>Actions should be taken for improvement</td>
</tr>
<tr>
<td>4-</td>
<td>Good</td>
<td>There is still room for improvement</td>
</tr>
<tr>
<td>5-</td>
<td>Very good</td>
<td>Full compliance, no further actions needed</td>
</tr>
</tbody>
</table>
3.5. **Key Performance Indicators**

All the CBs activities related with UTZ Certification processes are monitored according to the KPIs described in this section:

### 3.5.1. Reporting (KPI 1)

This KPI evaluates the quality, accuracy and timeliness of the information sent to the S&A department of UTZ when a license is requested in GIP. Examples of actions that can have an impact in the score of this KPI are (but are not limited to):

- Inaccurate data on volumes (including information on group member registry) or premium
- Incorrect rights granted to a SCA, or missing tracing
- Bad management of nonconformities (e.g. insufficient corrective action)
- Inaccurate data on the certificate: scope, volumes or validity
- Transactions (volume sold matches volume sold in GIP)
- Volume sold as UTZ + conventional matches the actual harvested volume

The number of licenses with issues represents a percentage from the total of licenses every CB request in every period. The higher that percentage is, the lower the score of this KPI.

### 3.5.2. Communication (KPI 2)

Timely response is essential for an efficient management of the UTZ Assurance model. This KPI evaluates the interaction and communication between the approved CB and UTZ based on communication flow, responses to complaints and compliance with the timeframes described in the Certification Protocol or decisions taken within the Assurance system.

When a CB is not responsive to their clients, negative impacts arise regarding the Assurance system (e.g. planning audits out of the timeframe, offering the clients inaccurate information according the UTZ requirements).

### 3.5.3. Compliance with the Protocol (KPI 3)

This indicator considers the performance of the CB regarding the certification processes and takes into account:

- the information submitted in the license requests (content of the Summary Reports) related with the certification process
- the results of the office audits conducted by UTZ

The content of all **Summary Reports** submitted by the CBs in order to grant a license for the audited members/SCAs is evaluated within the S&A department by checking the compliance with the rules set in the Certification Protocol and the accuracy of the information submitted. The main points reviewed are (but not limited to):

- License request submitted on time
- Square root/sampling (the minimum size is respected when auditing (multi)groups)
- 4-eyes principle (auditor/s and certifier are different persons)
- Approval status of certifiers (for scope and the country for which the audit was conducted)
- Audit duration (considering number of auditors/sampled farmers/audit days)
- Audit conducted outside of the set timeframes (considering the beginning of every harvest)
- Timeframes for certification decision (including time for closure of non-conformities)
All CBs will receive an **office audit** (at least) every 3 years in which the performance of the CB will be assessed considering the principles of the ISO 17065 and the specific requirements for CBs set in the UTZ Certification Protocol, such as:

- Use of the most updated documents applicable to the corresponding scope
- Correct use of risk assessment (for multi-site/multi-group members) when sampling
- Qualification and training for CB’s personnel, especially auditors and certifiers
- Submission of annual reports and overview of surprise audits

A sample of the CBs will be audited on rotation (to guarantee that all CBs are audited after every period of three years) plus a continuous risk assessment conducted considering several criteria (including, but not limited to):

- Representation of the CB in terms of number of certificates issued and/or relevance for one region or commodity
- Scope of approval (all standards/only Chain of Custody)
- Results of the previous audits/monitoring activities or negative results or trends

Detailed information on the office audit process can be found in Annex 1.

### 3.5.4. Auditor’s performance (KPI 4)

The assessment of the performance of auditors is planned assuming that all auditors from one given CB are conducting the audits by following the same procedures defined by the CB. Therefore, the results of the assessment shall be considered applicable to all auditors (and not only for the auditor/s sampled). The performance of the auditors can be assessed by the completion of shadow audits or parallel audits (detailed information on how these audits are done can be found in Annex 1):

**Shadow audits**

During shadow audits, an UTZ auditor joins a certification audit and observes the performance of the CB auditor. The conditions of a shadow audit as well as the arrangements needed (in case it is a combined audit with other schemes) shall be agreed upon in advance with the Scheme Manager. If necessary, communication must be sent to any other involved party (e.g. other certification standards).

The number and type of shadow audits to be completed every year is decided considering the performance of the CBs in the previous periods of monitoring plus a risk assessment (conducted at the end of every year) that includes several factors (but is not limited to):

- Representativeness of the CB for UTZ (number of certificates, scope, regional presence)
- Results of the previous period of monitoring
- Results of previous monitoring activities (office audits, shadow audits, remote reviews)
- Feedback from stakeholders: suspicions of misconduct/poor performance

**Parallel audits**

Here, an UTZ auditor conducts an audit of an UTZ member according to the scope of the certificate; results of this audit are compared with the results of the previous audit performed by the CB. To guarantee an accurate comparison, the period of time between the CB audit and the UTZ audit may not exceed 3 months. This audit does not result in a certificate for the certificate holder.
3.6. Evaluation of results

The Monitoring System collects evidence during the monitoring period for each CB in order to evaluate each KPI.

At the end of each period, CB Monitoring evaluates the evidence collected and gives to each KPI a weight, in accordance with table 1. The weighted average is the final score of the CB for a given period.

Table 1. KPI’s weight

<table>
<thead>
<tr>
<th>KPI</th>
<th>No shadow audit has been conducted during the monitoring period</th>
<th>Shadow audit has been conducted during the monitoring period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting</td>
<td>30%</td>
<td>15%</td>
</tr>
<tr>
<td>Communication</td>
<td>30%</td>
<td>15%</td>
</tr>
<tr>
<td>Compliance with the Protocol</td>
<td>40%</td>
<td>30%</td>
</tr>
<tr>
<td>Auditor’s performance</td>
<td>-</td>
<td>40%</td>
</tr>
</tbody>
</table>

The score received for each KPI and the final score are used by the Monitoring System to make a plan for the subsequent monitoring periods (i.e. adjustment of the level of control of a CB and planning of audits), in addition to other criteria and random sampling of UTZ approved CBs.

3.7. Reporting and communication

As a main output of the CB Monitoring program, reports are produced after every action:

- Shadow and parallel audit reports are produced by the UTZ auditors and provided to the CB Monitoring Program and the audited CB.
- An internal report is generated every monitoring period. This report contains a summary of the activities, the assessment of KPIs and the Final Score of the CBs with a description of the findings. Conclusions of the results are included.
- External reports are generated by the Monitoring System continuously and communicated to each approved CB (to the Scheme Manager). The reports contain the results of the monitoring and can include recommendations for training and advice for improvement. The CB shall develop a detailed plan with corrective/preventive actions, oriented to improve the performance when the results are less favorable; corrective actions may be requested at the discretion of UTZ.
4. CB TRAINING

4.1. Introduction

CB Training aims to offer a comprehensive training program for Certificate Bodies to enhance their auditing competencies. With the support of CB Management and CB Monitoring, CB Training contributes to achieving 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.

As part of the RA/UTZ CB approval process, staff members are required to follow a minimum set of courses as well as participate in training to acquire sufficient competencies so that they can carry out a reliable certification audit. CB Training is responsible for the provision of enough opportunities for a CB to become compliant with these audit quality criterion.

4.2. Minimum Training Modules

The Certification Team shall successfully complete all applicable minimum mandatory training modules and repeat them at least once every two years to refresh their knowledge and to stay up to date, either by participating in a) the UTZ face-to-face trainings in the field, and/or b) completing online courses in the UTZ Academy Online. Successful completion of either a face-to-face training or online courses results in a (set of) badge(s), issued by UTZ.

Auditors may also be trained by an auditor trainer, provided that he or she has completed the minimum training modules, holds the applicable badge(s), and has met all approval requirements for the trainer auditor role (see Auditor Compliance Requirements).

The following list shows all available Basic Training Modules and for whom they are mandatory:

* SM = Scheme Managers, C = Certifiers, TA = Trainee Auditors, GA = General Auditor, SA = Senior Auditor, AT = Auditor trainer, and CT = Certification Team Members
X = always mandatory; O = only mandatory if corresponding standard or commodity scope applies

<table>
<thead>
<tr>
<th>Code</th>
<th>Content</th>
<th>Mandatory for*</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>ITU</td>
<td>Introduction to the UTZ Program and CB approval process</td>
<td>SM C TA A SA AT CT</td>
<td></td>
</tr>
<tr>
<td>CC</td>
<td>Code of Conduct</td>
<td>SM C TA A SA AT CT</td>
<td></td>
</tr>
</tbody>
</table>

Program:

ITU - The UTZ Certification team is composed of all CB staff, including subcontracted and freelance staff, involved in any stage of the certification processes described in the UTZ Certification Protocol for Brazil. The UTZ Certification Team can include, but is not limited to:

- Marketing, commercial and member relations staff
- Database and traceability system administrators
- Quality reviewers
- Auditors (including subcontracted, freelancer auditors)
- Certifier
- Scheme manager

www.utz.org
The program is dynamic and more modules may be offered over time. An overview of modules available online, as well as an overview of the UTZ face-to-face trainings can be found in the UTZ Academy Online, and are also communicated in the periodic CB Update newsletter sent to all Scheme Managers.

4.3 Competence-based Learning

CB Training Program follows a competence-based learning approach to enhance the performance of the CB. This approach allows CB staff to demonstrate mastery in specific topics that feed into their training strategies. This helps to identify opportunities and target interventions in order to meet the specific learning needs of CBs by providing flexibility in the way CB staff can attain or maintain their program’s approval. Competency-based learning detaches from training as compliance towards a more needs-based program.

Annual evaluation and competence-based framework

Every year, CBs; supported by CB Monitoring and CB management, assess relevant data to evaluate CB performance and identify possible training opportunities. The outcome of this exercise feeds into a competence-based framework that serves as a baseline and criteria to evaluate training programs and auditors. This framework will guide the development of a comprehensive and scalable CB training program that provides CB staff with a clear understanding of how to audit the UTZ norm. During this program, trainers and CBs alike will have to meet a set of competences per topic (Auditing practices, Deforestation, Traceability, etc.) to be considered apt to audit that specific theme. The competence-based framework is frequently updated and developed in close collaboration with CBs staff.

- Risk-based Training

Taking into account the annual report, CB training will adjust its training strategy to include those topics, regions and CBs that have been identified as high risk which require a more targeted training program, this program will
be defined by CB training and carried out in close collaboration with Regional Staff and CBs. CB training reserves the right to prescribe, as conditions for CBs and its staff to be allowed to carry out audits, training programs on UTZ certification processes, requirements, and other relevant certification scheme requirements.

4.4. Required Competencies and Internal Training

The CB shall establish, implement and maintain a procedure for management of competencies of all personnel involved in the certification process. This procedure requires the certification body to, amongst other actions:

a) Set an (re)approval process policy which includes a set of requirements for each function in the certification process;

b) Determine a set of competencies for each function in the certification process, taking into account the requirements of the schemes;

c) Demonstrate that the personnel involved in the certification process has the required competencies for the duties and responsibilities they undertake;

d) Evaluate and monitor the performance of the personnel.

CBs shall have in place an adequate internal training program to ensure the certification team is up-to-date on the UTZ program. CBs shall provide the corresponding training plan through email to cbtraining@utz.org. This training program shall be offered free of charge to the certification team. The training plan, as well as materials used shall be sent to cbtraining@utz.org for approval to the Scheme Manager. CB Training will then assess the documents and decide whether the proposed training can grant badges. Only when there is a positive response can the training take place.

An approved staff member who successfully completed the Minimum Training Modules and corresponding competence-based training shall lead the training. Only then will this trainer be eligible to organize training sessions within their organization.

Any training material used shall be submitted to UTZ for approval (to cbtraining@utz.org) prior to the delivery of any training sessions. The CB might use training material and guidelines provided on the UTZ website (translating it to the local language if needed). The training agenda (including date and program) and list of participants (including signatures) shall be submitted to UTZ (in English, French, Spanish or Portuguese) after the end of the course along with any assessments, if applicable.
5. SANCTION POLICY

5.1. Introduction

UTZ reserves the right to sanction CBs based on evidence of improper procedure or behavior that jeopardizes the credibility of UTZ and/or compromises its assurance system. There are four levels of sanction that UTZ can impose on a CB: warning, yellow card, red card or 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. UTZ may decide on any level of sanction at any moment; this means that there is no need of follow a linear sequence of sanctions (i.e. a red card may be directly issued without any previous warning or yellow card) nor to wait until the end of a monitoring period.

5.2. Sanction levels

5.2.1. Warning

A warning is the lowest level of sanction. Other than the necessary corrective action, a warning does not have any immediate implications for the CB. However, multiple warnings can lead to a higher level of sanction (see other levels of sanction).

Situations in which a warning may be issued include (but are not limited to):

- Unjustified delay during the license request process or communication with UTZ (e.g. regarding an audit planning for CB Monitoring purposes)
- Inappropriate closure 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
- Violations of the Certification Protocol (e.g. sending a certificate to the member prior to the approval of the license)

When receiving a warning, the CB shall submit a corrective action plan within 60 days (or less if it is required due to the severity of the reasons that led to the warning); disrespecting this indication can lead to an upgrade of the sanction. Also, repetitive warnings for the same reasons can lead to an upgrade of the sanction.

5.2.2. Yellow card

A yellow card is the second level of sanction. 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 (e.g. certificates are signed by a suspended certifier)
- Credibility risks arising to the UTZ program due to performance of the CB

A yellow card still allows the CBs to continue with all activities as usual although:

- The sanction status is published on the UTZ website for a minimum of three (3) months.
- The CB shall submit a plan with the implemented corrective actions in order to avoid reoccurrence of the issues that led to the sanction. The deadline to submit this action plan to UTZ is 60 days after receiving the sanction communication.
- If no action is taken by the CB during the first six months after receiving the sanction communication, UTZ will assess the possibility of temporarily suspending the approval of the CB.

To lift the yellow card sanction, the CB shall pass a new assessment both at office and at field level:

- An office audit will assess the improvements made in the Management System of the CB; when the sanction is coming from a previous office audit, the assessment in the office is conducted as a follow-up audit in which the implementation of all corrective measures submitted by the CB are thoroughly assessed.
- At least one shadow/parallel audit is conducted in order to check the improvements made at field level (the update of procedures/instructions applicable to the auditors). Depending on the relevance of the findings that lead UTZ to issue the sanction, more verification activities could eventually be planned.
- The result of this new assessment (office and shadow/parallel audits) is communicated to the CB, together with the updated situation: either the yellow card is lifted or the status is upgraded to a higher level of sanction.

If the final decision is negative, or when more than nine (9) months have passed since issuing the yellow card without it being lifted, UTZ reserves the right to upgrade the sanction to Red Card (see next level of sanction).

IMPORTANT: UTZ reserves the right to charge the costs of these additional monitoring activities to the CB.

5.2.3. Red card

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
- When the conditions for the approval are not met to its fullest (e.g. no Scheme Manager or certifier is available in the CB for a certain commodity or scope, the accreditation status/scope is no longer valid)

UTZ distinguishes two types of red card, depending of the nature of the suspension issued:

- A temporary suspension: for an unspecified period of time, the CB is not allowed to conduct any audits nor sign (new) contracts with new clients until the issue(s) that led to the sanction decision are solved. UTZ reserves the right to assign a deadline for the resolution of the issue; if the deadline is not respected, the sanction can be upgraded to approval cancellation. A suspension is published on the UTZ website for the duration of the sanction, and all the CB’s current clients are informed by UTZ about the suspension.

- A partial suspension (limited to scope, commodity or region): under this sanction status and for an unspecified period of time, the CB is not allowed to conduct any audits nor sign (new) contracts with new clients for the scope/commodity/region included in the sanction communication until the issue(s) that led to the decision are solved.

For the duration of the suspension, the CB shall work on a thorough corrective action plan to mitigate all issues that led to the sanction. UTZ will evaluate the proposed corrective action plan, and once it has been approved an implemented, UTZ will decide on the CB’s status. Before a final decision is taken:

- The CB (Scheme Manager, certifiers and auditors [at least those that were conducting audits in the 12 months prior to the communication of the sanction] as well as all relevant personnel, such as quality managers, if requested) shall participate in training on the UTZ standards, with a minimum duration of 2 days, using materials developed by UTZ; the cost for this training shall be met by the CB.
- A follow-up audit at office level shall be passed (the period of 60 days for corrective actions is applicable).
- If the result of the office audit was positive (i.e., non-conformities or issues that led to the sanction are fully closed/solved) at least one shadow or parallel audit shall be conducted in order to check whether the actions taken at office level have translated into improvements in the field. Depending on the severity of the original findings that led UTZ to issue the sanction, further verification activities could eventually be planned.

If the final decision is negative, the approval of the CB will be cancelled (see next level of sanction). Also, when more than 12 months have passed since issuing the suspension, without it being lifted, UTZ reserves the right to cancel the approval of the CB.

### 5.2.4. 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 List of Approved CBs.

Situations in which UTZ 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 whilst subject to a red card)
- Misconduct that seriously damages UTZ’s reputation

CBs that have had their approval cancelled will not be permitted to reapply for a period of three (3) years. After such time, the CB shall start the process of application as if it were completely new.

### 5.3. Issuing and lifting of sanctions

As soon as a situation with a CB presents an impact on the UTZ Assurance System, the department of Standards and Assurance within UTZ shall begin to consider the possibility to issue a sanction to the CB. Cases of possible misconduct are managed as follows:

- CB Monitoring coordinators conduct a preliminary investigation and present the findings to the reviewers within S&A.
- S&A reviewers evaluate the findings and decide if a sanction is needed, then propose it to the S&A Manager.
- S&A Manager agrees on the sanction, or requests more clarification.
- Once the sanction is approved, formal communication will be sent to the CB via a letter signed by the S&A Manager, and communicated by the CB Monitoring coordinator.
- The CB shall either acknowledge the sanction or appeal the decision (using the grievance mechanism in Section 5.4).

The sanctions at the level of “warning” stay visible in the UTZ system and help to identify situations in which special attention and/or action are needed. When the sanction is at the level of a “yellow card” or “red card”, UTZ may conduct additional verification activities in order to ensure that the improvements implemented by the CB are effective and will prevent reoccurrence of the issues that led to a sanction.

Together with at least one shadow (or parallel) audits, a follow-up audit may be planned in order to review the implementation of the corrective action plan proposed by a CB after any period of suspension following a sanction. The result of all applicable audits are used to decide the status of the CB (lifting or upgrading the existing sanction).
Note that these audits (the follow up audit at office level plus one or more shadow/parallel audits) will be used to decide on the sanction status and are not part of the regular assessment of the performance of the CB.

5.4. **Grievance and appeals procedures**

During the completion of all monitoring activities (described in the KPIs) the CB has the right to submit a grievance if the assessment carried out by UTZ is not considered reasonable/fair. The UTZ Grievance Procedure can be found on the UTZ website.
Annex 1

Office audits

Once a CB is selected for an office audit, the following steps shall be completed:

1. UTZ contacts the CB and agrees on suitable dates for the audit; it is estimated that a standard audit shall usually take two (2) full days, but the final duration will take the size and the scope of the CB into consideration, as well as the number of certificates issued by the CB.

2. An audit plan shall be sent to the CB at least 14 days prior to the audit. The audit plan confirms the duration of the audit, the participants and the scope.

3. The audit shall take place in the CB office. Normally, the audit is conducted in the central Headquarters of the CB (the office from which the accreditation used for the UTZ approval is managed) but can be conducted in a regional office (the scope and content of the assessment can be also adapted, provided everything is agreed in advance between both parties). During the audit, the presence and full availability of the Scheme Manager is compulsory; the participation of certifiers, auditors and other CB’s related personnel (General Manager, Person responsible for Quality,…) is recommended but not strictly obligatory.

4. The scope of the audit at office level includes:
   a. An evaluation of the management system of the CB (based on the principles of ISO 17065).
   b. A review of a representative sample of the certification files of the CB, considering the whole process (from the first contact with clients until the license request in GIP).
   c. An assessment on how the CB complies with certain topics of the UTZ Certification Protocol (e.g. approval of auditors, completion of surprise audits quota, management of CB area within GIP, etc.).

5. An audit report is discussed and given to the CB at the end of the audit, during the closing meeting. The report will contain the result of the audit: an indication of compliance for every chapter of ISO 17065 and any negative findings:
   a. **Comments**: deviations that are not in compliance with either ISO 17065 or UTZ Certification Protocol and for which the CB needs to submit corrective actions.
   b. **Observations**: deviations that could lead to non-compliance either with ISO 17065 or UTZ Certification Protocol in the future, and for which the CB could submit preventive actions.

6. The corrective (and preventive, if applicable) actions are submitted by the CB. For every comment raised in the office audit, UTZ expects a thorough root-cause analysis that facilitates the CB to first correct the deviation and second to implement a corrective action that will prevent the reoccurrence of the issue. All information requested (root cause analysis, correction, corrective actions and their correspondent evidence) shall be sent to UTZ within 60 days of the completion of the office audit.

7. The review of both the audit report and the corrective action plan is completed by one or more UTZ reviewer/s that does not include the UTZ auditor/s that conducted the audit.

8. After the review of all information received, UTZ informs the CB about its status: the approval continues unaltered or a sanction is decided.
Shadow audits

How the shadow audits are conducted is described as follows:

1. The CB is contacted by UTZ to request an agenda with dates and clients to be audited in the coming weeks. UTZ reserves the right to request information for specific scope, commodities or countries as well as request additional information, such as the name of auditors to participate in the audit/s.

2. UTZ agrees with the CB which audit to shadow and the CB auditor/s that will conduct the assessment. According to the framework agreement, the CB shall communicate the possibility of being monitored during the performance of their audits with the members.

3. The UTZ auditor(s) contacts the CB auditor(s) in order to plan the logistics and the preparation of the audit. Prior to the audit, the UTZ auditor shall receive:
   a. The audit plan sent to the member by the CB.
   b. The preliminary information sent to the CB by the member (as per request in the UTZ Certification Protocol) including as a minimum the self-assessment and the list of farmers (in case of (multi)group certification).

4. The shadow audit is conducted. During the CB audit, the UTZ auditor(s) observes the performance of the CB auditor(s) and assess at which extension the auditor is correctly addressing the requirements of the UTZ Certification Protocol as well as the applicable standard (Code of Conduct and/or Chain of Custody). The UTZ auditors:
   a. May not interfere in the audit, i.e. is not entitled to assess the compliance of the member.
   b. Are focused on the performance of the CB auditor(s), trying to identify the weaknesses of their performance in order to offer the CB ideas for improvement.
   c. Should have no influence in the result of the assessment completed by the CB. Nevertheless, when a severe issue is missing or overlook by the CB auditor, the UTZ auditor can invite both the member and/or the CB to further investigate in one given topic in order to gain evidence for a better and more accurate assessment of CB's auditor performance.
   d. Can join the audit partially or totally; in the case of (multi)group certification, the UTZ auditor shall be present as a minimum during the assessment of the IMS and then, observe the performance of CB auditor/s during at least two days.

5. At the end of the audit, a report with all NCs identified by CB's auditor(s) shall be sent to UTZ. The UTZ auditor will compare his/her findings with the ones detected by CB's auditor(s) and will issue a preliminary audit report. When the closure of non-conformities is considered relevant for the assessment, a secondary report can be sent to the CB once the license request is received in GIP for the related member; in this report, how the CB evaluates the corrective actions proposed by the member is also assessed, granting a full assessment of the whole audit process.

6. After the reception of the UTZ audit report, the CB have 60 days to submit a corrective action plan in the same way that the one requested for office audits: for every comment UTZ expects a thorough root-cause analysis that facilitates the CB to first correct the deviation and second to implement a corrective action that will prevent the reoccurrence of the issue.

7. The review of both the audit report and the corrective action plan takes is completed by one or more UTZ reviewer/s that does not include the UTZ auditor/s that conducted the audit.

8. After the review of all information received, UTZ informs the CB about its status: the approval continues unaltered or a sanction is decided.
Parallel audits

The following steps are needed in order to complete a parallel audit:

1. The CB is initially informed by UTZ about the intention to conduct a parallel audit: the chosen member and the preferred dates are then mutually agreed between the CB, the member and UTZ. The presence of one representative of the CB during the audit is not compulsory but highly recommended.

2. The CB sends the final report to UTZ with the findings that came up during the audit and were discussed during the final meeting. Additional information may be requested by UTZ: e.g. checklist(s) completed by the CB auditors during the audit, preliminary information (list of proposed farmers, self-assessment completed by the member, other evidence collected during the audit by CB’s auditor).

3. The UTZ auditor conducts the audit at member’s facilities with or without the presence of a representative of the CB (this is not compulsory although highly recommended). The audit shall cover all applicable control points according to the scope of the last audit conducted by the CB, or can be focused on key topics, depending on the risk assessment previously conducted by UTZ. Equally, in the case of group audits, the sample of farmers can be reduced accordingly.

4. UTZ will send the CB an audit report containing the main differences found between both assessments (CB’s and UTZ’s) and will identify those divergences that requires immediate action by the CB. For all comments, the CB have 60 days to submit a corrective action plan in the same way as one requested for office audits: for every comment UTZ expects a thorough root-cause analysis that facilitates the CB to first correct the deviation and second to implement a corrective action that will prevent the reoccurrence of the issue.

5. The review of both the audit report and the corrective action plan is completed by one or more UTZ reviewer/s that does not include the UTZ auditor/s that conducted the audit.

6. After the review of all information received, UTZ informs the CB about its status: the approval continues unaltered or a sanction is decided.