Guidance on Internal Management System. This guidance is applicable to all UTZ commodities. It refers to the UTZ Certified Core Code of Conduct for group and multi-group certification (version 1.1).

This guidance document is part of a set of documents designed to assist with implementation of specific topics within the UTZ Core Code of Conduct. This document is intended for use by farmer groups and the technical assistants supporting them in the certification process.
Contents

INTERNAL MANAGEMENT SYSTEM – INTRODUCTION ..........4
the structure of an internal management system ....................5

PART I: ESTABLISHING AN IMS – 10 ELEMENTS ..........6
preparation ........................................................................ 6
1. Assign responsibility for the ims ....................................6
2. Carry out a risk assessment ...........................................7
3. Develop a group management plan towards continuous
   improvement ..................................................................7
4. Define the internal standard (not mandatory) ....................7
5. Plan and conduct staff training ......................................7
6. Registration, signing agreements and mapping ..................8
7. Training producers ..........................................................10
8. Ensuring traceability and the transparent management of
   payments and premiums ................................................10
9. Carrying out internal inspections ....................................11
10. Carrying out a self-assessment .......................................12

PART II – MORE ON THE ELEMENTS .............................14
1. Functions and roles of people responsible for the ims ..........14
2. Risk management ............................................................16
3. Group management plan ..................................................17
4. The internal standard .......................................................19
5. Staff training ...................................................................19
6. Registration, signing agreements and mapping .................20
7. Training producers .............................................................21
8. Traceability and the transparent management of payments and
   premiums ..................................................................21
9. Internal inspection ...........................................................23
10. Self assessment ...............................................................25

ANNEXES ........................................................................26
annex 1: cycle for continuous improvement ..........................26
annex 2 – sample agreement between the group and a group
   member ........................................................................27
annex 3 – example of overview map ....................................28
annex 4: conflict of interest declaration ..................................29
annex 5: overview of procedures and documents required ..........30
what is a good procedure? .................................................31
annex 6: overview of IT tools for data management ...............32
INTERNAL MANAGEMENT SYSTEM – INTRODUCTION

An IMS is a system of documented procedures and data, put in place to enable the efficient organization and management of a farmer group and ensure compliance with the UTZ Code of Conduct.

The collected data provide evidence for certification and help management to improve the performance of the group.

Establishing an IMS is a mandatory requirement for producer groups seeking group certification. A well-run IMS enables the group to organize itself, measure results, manage processes and achieve improvements for farmers, such as higher productivity, sustainable farming and fewer health problems. It also enables the group to communicate and negotiate with buyers effectively and to provide buyers with the information they need, such as estimated production, need for inputs and the results of investments (e.g. impact of training).

The aim of this document is to:
- Provide a clear overview of an internal management system, including its content and structure
- Explain the elements needed to establish an IMS
- Explain the requirements of the UTZ Code of Conduct in relation to IMS

This guidance is advisory, not prescriptive and an IMS can be designed to reflect factors such as the group’s production systems, local culture and the experience of management. However every IMS must provide the evidence required by the UTZ Code.

This guidance is applicable to all UTZ commodities. It refers to the UTZ Core Code of Conduct for Groups, versions 1.1.

Who is this guidance for?
This guidance is aimed at managers and staff who are responsible for an IMS in a farmer group. This guidance can be used to prepare for certification, improve management and enhance the performance of the group. Trainers and advisors (consultants) to a group may also find this document helpful.

This guidance has two parts:
- Part I gives an outline of the elements necessary to establish an IMS. Links are provided to the Code requirements and required documentation.
- Part II provides further detail on key elements and potential issues.

It is one of a series of documents designed to support UTZ members and those seeking UTZ Code of Conduct certification. Reference is sometimes made to other guidance documents, which can be downloaded at the UTZ website.

Any comments or feedback on this document should be made via the UTZ grievance system at: www.utz.org.
THE STRUCTURE OF AN INTERNAL MANAGEMENT SYSTEM

The IMS is structured as follows:

1. **The central part of the IMS is the group management plan,** which includes risk management and internal inspection, both mandatory. Producers are inspected annually, generating information on the status of group members and the group’s progress within the UTZ program.
2. **A database** is set up to store data on producers and their farms. Data may be captured in paper copies, Excel spreadsheets or using other software.
3. **Data analysis and evaluation** of producer performance is carried out. The effectiveness of training and of risk mitigation following the risk assessment are also evaluated.
4. The outcome of the data evaluation is used to review how risk is being assessed and managed, whether training is meeting its objectives and whether group members are complying with the Code.
5. The information and insights gained are fed back into the system and the management plan is updated as needed.
PART I: ESTABLISHING AN IMS – 10 ELEMENTS

An internal management system (IMS) consists of ten main elements. Links are provided to the Code requirements and required documentation. The documentation mentioned is mandatory from year 1 onwards, unless otherwise stated.

Further information on the more complex elements can be found in Part II of this document. The order of putting in place the elements can be varied. Detailed attention to all the elements is recommended.

PREPARATION

By way of preparation, you should read:
- The UTZ Protocol, and the Core Code of Conduct for Groups, version 1.1
- The relevant Crop Module of the Code of Conduct
- This IMS guidance

1. ASSIGN RESPONSIBILITY FOR THE IMS

Group management must assign responsibility for key tasks. All essential responsibilities – that are required by the Code – are described in control point G.A.7.

For each block of the Code, a competent person or committee must be appointed. One person or committee could be made responsible for several topics.

Documents:
- Organizational chart defining the responsibilities of the staff within the group (G.A.6)
- List of staff stating names, date of birth, job descriptions (tasks and responsibilities) (G.A.5)
- Contracts between the staff and the IMS containing the date of birth and the level of salary paid to each employee (G.A.5)
- Conflict of interest declaration signed by all IMS staff (G.A.13)

See further: Part II, “1. FUNCTIONS AND ROLES OF PEOPLE RESPONSIBLE FOR THE IMS”, PAGE 14

WHAT THE CODE SAYS

G.A. 7

A responsible person(s) or a committee must be appointed for the following:
- Block A) Management
- Block B) Farming Practices
- Block C) Working Conditions
- Block D) Environment

The responsible person(s) or committee is competent, knowledgeable about the topic(s), and accessible to group members and group staff.
2. **CARRY OUT A RISK ASSESSMENT**

The risk assessment evaluates the current situation of the farmer group to identify risks that might hamper compliance to the Code of Conduct. It identifies any issues that are likely to have a negative impact on the ability of the group to meet the Code requirements and the UTZ goals of better crop, better income and better environment. The risk assessment enables the group to focus on the most important goals and work effectively.

A risk assessment is done annually. At the end of the season, the risks are monitored and evaluated and the management plan adjusted accordingly.

**Documents:**
- Risk assessment document (G.A.16) (Year 2 requirement)
- Group management plan (G.A.17)

*See further: Part II, Risk management PAGE 16*

3. **DEVELOP A GROUP MANAGEMENT PLAN TOWARDS CONTINUOUS IMPROVEMENT**

The group management plan is a three-year plan that brings together all the activities that the risk assessment has identified as priorities, which will be implemented alongside other regular activities. The plan is at the core of the IMS as it will influence all activities and the use of financial and other resources. It is updated every year.

*See further: Part II, Group management plan on PAGE 17*

**Documents:**
- Group management plan (G.A.17) (year 3)

4. **DEFINE THE INTERNAL STANDARD (NOT MANDATORY)**

The internal standard is a guideline for producers and those involved in processing, showing them what is expected of them to meet the Code criteria. All producers should be made aware of the internal standard and what it means. It should be provided in the local language, with illustrations to help members who may be illiterate.

Although an internal standard is not mandatory it is important to document what the group expects from its members in order to comply with the code.

*See further: Part II, Internal standard on PAGE 19*

5. **PLAN AND CONDUCT STAFF TRAINING**

Group staff and IMS staff both need to be regularly trained. A syllabus outlining the topics is given in the Code (G.A.18). Staff must also be trained in risk assessment. Training plans are based on the...
priority topics resulting from the risk assessment, and included in the group management plan.

Documents:
- Training planning (G.A.18) – as part of the group management plan
- Training records (G.A.18)
- Attendance lists of staff (G.A.18)

WHAT THE CODE SAYS

G.A. 18
Training is provided to the group staff on all topics they are responsible for (listed in G.A.8) in the following areas:
- Block A) Management
- Block B) Farming Practices
- Block C) Working conditions
- Block D) Environment

Group staff trainings are carried out by a competent person(s).

Training records are kept for each training and trainings are followed by a verification that trained persons have understood and implement the material.

6. REGISTRATION, SIGNING AGREEMENTS AND MAPPING

Registration
Producers who are interested in certification are registered (G.A.8) and given training on the content of the UTZ Code of Conduct. At this stage the internal standard can be introduced and explained. Registration enables the certificate holder to gather and maintain the details of producers, manage the group and assess the risks.

A format for the group member registry can be downloaded from the UTZ website.

Document
- Group member registry (G.A.8)
- Crop yield estimate (G.A.10)

Signing the agreement
After registration producers and group sign an agreement. By signing the agreement, the group member and the group management or company both commit themselves to adhering to the relevant requirements of the UTZ Code of Conduct. The agreement stipulates rights and obligations for both parties. Find a sample agreement between the group and a group member in Annex 2.

Document:
- Group member agreement (G.A.9)

Mapping production areas
Production areas have to be mapped. (G.A.1) The map is a planning tool for the group management and the auditor, as it helps to reveal potential risks, such as protected areas, waterbodies or human settlements. These potential risks must then be included in the risk assessment.

BOX 2

MOTIVATING PRODUCERS
A major element at the start of the program is to motivate members and raise awareness of sustainable production and the benefits of certification. Members need to understand what certification offers and what will be required from them. Building trust with producers is a key success factor. NOTE: Take into account that building trust will take time.
Mapping and area determination also helps to gather accurate information so that production forecasts will be reliable (G.A.2). See the Guidance on Yield Estimates for more information on how to do a yield estimate (www.utz.org). In Annex 3 you can find an example of an overview map.

Documents:
- Up-to-date overview map (G.A.1) (Year 2)

WHAT THE CODE SAYS
G.A. 8 (mandatory from year 1)

A registry of the group members must be kept and updated. **In year 1**, the registry should contain the following information for each group member:
- name, gender, location (e.g. community) and phone number
- name, gender, location (e.g. community) and phone number of the operator of the farm
- unique member identification
- governmental farm ID (if applicable)
- production (previous year’s harvest and present year’s estimate)
- UTZ Certified status and first year of UTZ certification
- number of permanent (year-round) workers on the crop
- internal inspection date, and
- participation in other certification programs, if applicable.

From **Year 2 onwards**, the registry should add the following:
- total farm area
- number of plots and total surface area of certified crop, and
- total volume delivered to the group in each year since certification

G.A.9
A signed agreement is in place between the group and each group member, specifying the rights and obligations of each party.
- Each group member understands the agreement.
- Agreements are centrally archived and a copy is available for each group member.
- Sharecroppers have an agreement, either written or verbal with witnesses, with the recognized landowner. It includes at least mutual rights and duties, such as payment frequency.

G.A.1
An up-to-date overview map of the production area(s) is available.

G.A.2 (year 3)
The total area of the certified crop is determined. The area is determined using a credible method(s) based on e.g.: - GPS mapping
- Land titles
- Tree counting and density
7. TRAINING PRODUCERS
Continuous training for producers is an essential part of the IMS. A good training plan is essential and should be based on a training needs assessment and the risk assessment, which will highlight specific training needs. The training plan is updated every year, based on findings from the risk monitoring process and feedback from internal and external audits. The list of topics that need to be covered, at least two per year, is included in the Code of Conduct (G.A.19).

See also the UTZ guidance on training, and other documents, which can be downloaded from on the UTZ website.

Farm improvement plan
Each farmer keeps advice that is received individually, in a notebook, as part of a farm improvement plan. This helps the producer to improve productivity and compliance with the Code.

WHAT THE CODE SAYS
G.A. 19
Training is provided to group members on all topics relevant to them in the following areas:

Block A) Management
Block B) Farming Practices
Block C) Working Conditions
Block D) Environment

Trainings are carried out by a competent person(s) and include tests or checks that the training content has been understood. Training records are kept for each training

Documents
- Training plan, as part of the group management plan (G.A.17)
- Training records (G.A.19)

8. ENSURING TRACEABILITY AND THE TRANSPARENT MANAGEMENT OF PAYMENTS AND PREMIUMS
Traceability, the ability to verify the source of produce, is essential for the sale of certified produce and for producers to obtain a better price or a premium.

A traceability system must be put into place throughout the supply chain (production, storage, transportation and sales) to ensure that certified produce has not been mixed with non-certified produce. The IMS needs to design and document procedures for tracing the product, in order to guarantee the source of the product, from producer to first buyer. The group is responsible for the separation of the certified product, which must be ensured from harvest through to sales and all intermediary stages (transport, selection, grading and storage).

Documents:
- Description of the product flow (G.A.22)
- Procedure for buying and selling the certified product, including traceability (G.A.22)
• Visual evidence of keeping certified and non-certified produce separate: storage space, bags, pallets, etc. (G.A.23)
• Records and invoices of all purchases and sales (G.A.24)
• Records of producers' yield estimates and production volumes (in producers list) (G.A.24)
• Procedure on the use of UTZ premium and records of the use (G.A.26)
• Documented communication of prices and premium (G.A.27)
• Documentation of payments to producers, price and premiums (G.A.27) (Year 2)
• Valid Code of Conduct certificate (G.A.25)
• Documentation of the regular calibration of the weighing equipment (G.A.29)

See further: Part II, Traceability and transparent management of payments and premiums, PAGE 21

9. CARRYING OUT INTERNAL INSPECTIONS

Internal inspections are used to verify that individual group members are complying with the Code of Conduct. It is a formal and comprehensive verification, which must be done by someone who is competent, who can be objective and neutral. The internal inspection informs the group of its progress towards sustainability and can flag up issues and alert farmers to areas in need of improvement. All farmers need to be inspected annually.

Findings in internal inspections are documented in individual reports and a summary report. Relevant data should be added to the registry of group members, preferably on spreadsheets. Information generated from the internal inspection must be made available for (internal) management purposes.

Documents:
• Internal inspection procedure (G.A.11)
• Internal inspection report (G.A.11)
• Conflict of interest declaration (G.A.13)
• Updated registry of group members (G.A.8)

For more details on the procedure of internal inspection, see: Part II “Internal Inspection” on PAGE 23

Producer compliance and dealing with non-conformities

Before the external audit takes place, the group must identify any producers who do not comply with the mandatory requirements of the Code. An up-to-date list of producers ready to be certified must be compiled by the person/committee responsible for approval and sanctions, working with the IMS manager.

WHAT THE CODE SAYS
G.A. 11

An internal inspection system is in place that formally inspects group members on all relevant Code of Conduct requirements. Internal inspection results are documented in a report.

Involve group members and communicate the requirements of your sustainability program

Producing, buying and trading sustainable produce with a group of producers depends on cooperation and commitment among all group members. Experience has shown that involving producers at an early stage is key to success.
10. CARRYING OUT A SELF-ASSESSMENT

UTZ requires that you carry out a self-assessment (a ‘readiness check’) before the external audit takes place. This will help your group avoid some of the problems and costs associated with an external audit. This self-assessment can be combined with the task of monitoring the risks identified in the risk assessment.

Self-assessment is based on: 1) the report of the internal inspection, including the results of monitoring corrective actions, and 2) a check of the administrative and management system and documents that will later be checked in the external audit. Further visits to producer premises are not usually required.

UTZ provides a checklist for self-assessment, which can be downloaded from the website.

Documents:
WHAT THE CODE SAYS
G.A.12

A self-assessment is carried out to evaluate the compliance of the group and all subcontractors with the Code of Conduct. The self-assessment is made available to the external auditor.

ANNUAL CYCLE OF IMS

BOX 5 CARRY OUT A GAP ANALYSIS

In the start of the process of developing your IMS, it is important to carry out a gap analysis to know what to put in place to get a well-functioning IMS. A gap analysis clarifies the gap between the starting point and the situation planned to reach.

In practice this means that you check the required structures for an IMS given by this guidance, which are based upon Control Points G.A.1 – G.A.33. You plan the necessary actions to fulfil these requirements in order to have the necessary organization in place, after which the IMS can function as a tool for assurance to comply with the UTZ Core Code of Conduct. When the structures are in place (e.g. competent staff in place, procedures, organization structure, etc.), the IMS is able to assess and improve compliance to the standard.
PART II – MORE ON THE ELEMENTS

1. FUNCTIONS AND ROLES OF PEOPLE RESPONSIBLE FOR THE IMS

A number of key functions have to be assigned to specific persons or committees, among them:

- The IMS manager, i.e. the person responsible for running the IMS
- The approval and sanctions manager or committee, in charge of approving new members of the certified group and sanctioning those who fail to meet the Code requirements (G.A.11, G.A.14)
- Internal inspector(s), who formally inspect the group members. They could be staff employed by the group or trader, or lead farmers who inspect fellow farmers in areas away from their own home areas (G.A.11).

All essential responsibilities – that are required by the Code – are described in control point G.A.7.

The committee or person(s) appointed must be able to prove their competence for the role. This could include having official qualifications, and/or attendance certificates for training courses, and/or relevant work experience.

All people in key functions must be knowledgeable about the requirements described in the UTZ Core Code for groups, the certification process and recent developments.

Identifying the right people to be responsible for the IMS must be done with care, as they are key to the successful running of the enterprise and need to be capable and reliable.

Organization chart

An example of an organizational structure is shown in Figure 3. The responsibilities assigned to each function need to be set out below the chart, as in the figure, and explained in the IMS manual. A single person may take on several functions, though the responsibilities remain separate.

All the responsibilities mentioned in control point G.A.7 must be covered but the details of how the responsibilities are allocated will vary from group to group.

WHAT THE CODE SAYS

G.A.6
The group has a chart indicating all individuals in the IMS and their roles, and includes all the responsible persons appointed in control point G.A.8.

G.A.7
Responsible person(s) or a committee are appointed for the following:
Block A) Management
Block B) Farming Practices
Block C) Working Conditions
Block D) Environment
Figure 3: Organization chart and Example of allocation of responsibilities (G.A.7), you can decide on division of responsibilities as it fits best in your group.

**IMS manager**

Is responsible for the management of the IMS, including:
- Managing the process of setting up and implementing the internal management system
- Organizing internal inspections
- Coordinating, supervises and trains staff
- Coordinating the approval committee (or those responsible for approval)
- Coordinating Risk management and implementation of the Group management Plan
- Being the point of contact for the certification body.

Must have:
- A detailed knowledge of the UTZ Standard
- A good knowledge of IMS procedures and documents and the requirements of the external certification body
- Good knowledge on Good Agriculture Practices
- The ability to run a team and train others
- Efficiency in administrative tasks
- Authority in management of documents and data

**Internal inspector**

The internal inspector is the ‘eyes and ears’ of the IMS. The role requires technical abilities and good social skills, together with an eye for detail. Priority must be given to the continuous training of the inspector, which should ideally be part theory, part practical.
- Carries out the internal inspections
- Completes the internal control forms
- Ensures the forms are received by the IMS manager
- Informs the producers of any non-compliance.
- Takes part in the risk management process

Must have:
- Ability to read, write and produce reports in the preferred language of the certification body

**CONFLICT OF INTEREST**

Internal inspectors and approval and sanctions people must declare if they have a relationship with any of the producers and sign a ‘conflict of interest’ declaration. Note also that the roles of internal inspector and technical advisor has to be separated. However, one person can carry out both, provided that the two tasks are taking place separately in different areas/villages, advising in one area and inspecting in another (cross-inspection). See also a sample conflict of interest declaration in Annex 4.
• Knowledge of local or regional agricultural systems and of Good Agriculture Practices
• Technical understanding of the principles and practices required in the UTZ Core Code for groups
• Knowledge of the control points that will be applicable to group members
• Good communication skills (especially in interviewing), ability to have a critical attitude.
• Signs the conflict of interest declaration form.

Technical advisor/trainer
The technical advisor/trainer trains producers in good agricultural practices and the other UTZ requirements and provides advice.
• Ensures that producers understand the applicable control points (see element 7)
• Provides ongoing training for producers
• Ensures that producers are improving their techniques
• Coordinates the use of agricultural inputs
• Takes part in the risk management process
• Keeps the IMS manager informed of progress.

Must have:
• Knowledge of local or regional agricultural systems and of good agricultural practices
• Strong motivation to roll out sustainable agriculture
• Technical understanding of the principles and practices of UTZ
• Good communication skills and the ability to manage a group.

Approval manager or committee
Inspections and approvals must be done by different people. Decisions approving or sanctioning group members can be taken either by one person or a committee. The person or committee should have knowledge of the UTZ Standard and the internal standard, be free from any conflict of interest and of a calibre that will earn the respect of the producers and staff. The approval and sanctions person must sign a ‘conflict of interest’ declaration.

Traceability manager
The traceability manager is responsible for ensuring that the product remains traceable throughout the process from harvest up to first buyer. The product must remain identifiable and separate throughout. This responsibility could also lie with the purchase and sales manager.
• Ensures that the product is kept separate through the product flow
• Controls product quality
• Verifies that the quantity of produce bought corresponds to the amount estimated by the individual producer
• Maintains good records and reporting.

2. RISK MANAGEMENT
Risk management is an ongoing cycle. It starts with risk assessment and designing and implementing preventive measures against the risks identified; it continues with monitoring the effect of the preventive measures and finally uses the information gained to start re-assessing the risks. By repeating the process every year, the group improves their practices and results over time, moving towards the
Guidance to the Core Code of Conduct for group and multi-group certification version 1.1

UTZ goals of ‘better crop (quantity, quality), better income, better environment, better life’.

For more information and a tool for risk assessment, see the UTZ guidance on risk assessment, which can be downloaded from the website.

Risk management is mandatory from year 2 onwards, but we highly recommend starting it in year 1 because it will help your group to use its time and resources efficiently. You can start your risk assessment on the subjects that the Code covers in the first year.

Implementation
Risk management comprises three phases that form an ongoing cycle:

1. **Risk assessment**: There are multiple risks that may jeopardize UTZ certification or quality, both at farm level (health risks, environmental degradation) and at IMS level (risks during buying, quality of internal controls, traceability). Risk assessment includes the rating of risks according to their importance and relevance.

   To carry out risk assessment, the people who are responsible for the four ‘blocks’ of activity – the areas defined in G.A.7 – come together, including the internal inspectors and technical advisors. We recommend bringing on board people who know the communities well. They might include key producers (both women and men) and group leaders. An external consultant with knowledge of risk assessment in relation to the UTZ Code of Conduct would be a helpful addition. The IMS manager is responsible for the risk assessment process.

2. **Preventive measures**: these measures are designed and put in place to reduce or eliminate the negative effects. They should be documented in the group management plan and incorporated into activity planning, raising awareness of high-risk issues in the IMS.

3. **Monitoring the effects of the preventive measures**: whether or not the measures have been successful, the outcome has to be taken forward into the planning of activities for the new season. Risk monitoring, analysis and feedback are done at least once a year. The IMS needs to design procedures for monitoring.

**WHAT IS A RISK-BASED APPROACH?**

A risk-based approach is one where decision-making and the allocation of resources is based on identification of risks. It entails:

- Identifying and measuring higher risks that might affect the quality of the product (where quality is an integral part of certification or sustainability)
- Developing strategies to eliminate or reduce those risks
- Focusing resources on areas that are deemed to be at higher risk
- Monitoring the results of the strategies

**3 GROUP MANAGEMENT PLAN**
The Core Code of Conduct for groups requires a group management plan by year 3 (G.A.17).

A group management plan:
- Is wider than the IMS and certain issues will be dealt with by people beyond the IMS staff
- Shows how the group manages risks, with an emphasis on rating and prioritizing the risks
- Provides an overview of all group activities
- Includes activity planning, i.e. name of activity, timing, resources needed, who is responsible, and results anticipated.
Although the Code requires a group management plan by year 3, it is advisable to begin planning and developing the plan early on, when certification is first requested.

**What to have in place**

A group management plan defines objectives, sets out activity planning and presents a budget, as outlined below.

1. **Objectives, partly based on risk assessment**

The group management plan sets out the objectives for the three years covered by the management plan. The objectives follow on from the risk assessment, where areas of high risk have been identified, showing where producers are failing to comply with the UTZ Code and what is hampering improvement. Risks are rated to help set the right objectives.

Goals or aspirations of the group (which are not a risk in themselves) may also be added to the objectives.

**UTZ requires:**

- An overview of the outcome of the risk assessment
- Rating of the risks
- Formulation of objectives in a concrete way, stating what the situation will be when the risk has been reduced
- Realistic and practical preventive measures to reduce the risks

2. **Activity planning**

General high-level activity planning is done for a three-year period, with detailed planning carried out annually. Yearly targets are set by the group management and the IMS management on the basis of the risk assessment. Activity planning must cover all the activities required by the Code and measures designed to reduce risks (see example below).

Activity planning includes:

1. Crop cycle with agricultural activities
2. General activities required by the Code of Conduct (e.g. training and internal inspection)
3. Preventive measures resulting from the risk assessment (there may be some overlap of training and preventive measures)
4. Corrective actions resulting from the internal inspections, self-assessment or external audit
5. Monitoring the effects of the activities and evaluation, designing improvements for the next year.
### Example of activity planning

#### 3. Resources and financial management

For each activity, a budget should be set, covering costs and resources (staff, materials, equipment, time). Procedures for monitoring costs should be created. Authority to make spending decisions and responsibility for financial control should be assigned.

#### 4 THE INTERNAL STANDARD

The internal standard is a guideline for producers and those involved in processing. It reflects the Control Points of the Code that refer directly to producer practices and farm management, focusing on those where there is a risk of non-compliance. It is likely to cover most of the control points in Block B (farming practices) and some of Block C (working conditions) and Block D (environment).

The content and the meaning of the internal standard should be clearly communicated to all producers and share croppers and has to be included in producer training. It should be provided in the local language, with illustrations to help members who may be illiterate. It may form part of the group members’ agreement, or it may be distributed separately as leaflets or posters in public areas (this can be an advantage as it makes it easier to update). The involvement of key producers will help in this process. Although an internal standard is not mandatory, it is important to have a clear and documented message about what the group expects from its members in order to comply with the code.

#### 5 STAFF TRAINING

Training for IMS staff should include:
- Internal inspection skills and procedures
- Yield estimating
- Handling non-compliance with the Code and corrective measures
- Internal approval and sanctions

Guidance to the Core Code of Conduct for group and multi-group certification version 1.1
Continuous supervision of the producers and monitoring corrective measures
Supervision of traceability.

Those responsible for a specific topic should receive training on that topic. The organization must ensure that all of its staff have access to equal training, without discrimination.

For more information, see the guidance on training, which can be downloaded from the UTZ website.

Documents:
- Training planning (G.A. 18)
- Training records (G.A.18)
- Attendance lists of staff training (G.A.18)
- Qualifications of trainers (G.A.18)

6 REGISTRATION, SIGNING AGREEMENTS AND MAPPING

Registration
At registration, group members each receive a unique identification number. Producers who are registered and have signed the agreement are listed in a registry of group members. Every year the data in the registry are updated. Control point G.A.8 specifies the minimum information that should be supplied about the farmer and farm.

We advise you to collect data relevant to other control points or areas of high risk (e.g. the status of soil fertility or incidents of farmer illiteracy). This provides good information for the risk assessment. The registration form should be in the local language so that farmers understand what information has to be recorded.

Excel or other software can be used; we recommend that you use a program that supports the analysis of the data and generates management information for the IMS manager.

Agreement
The agreement might contain (or show in an annex) a number of requirements from the Code that apply to producers’ practices and that show a risk of non-compliance (see element 7 on the internal standard).

The group member agrees to be inspected and to follow the training and advice provided. The group management or company commits itself to providing certain services and to buying the certified harvest or an agreed part of it.

The agreement should be provided to producers in their local language. A trusted member of the local community should be present when a producer is asked to sign the agreement, especially in situations where illiteracy is common. A sample agreement is shown in Annex 2.

Mapping
Mapping is a good planning tool for the group management and the auditor, as it helps to reveal potential risks, such as protected areas, waterbodies or human settlements.

BOX 8

MOTIVATING
A meeting should be convened to:
- Present the internal standard (element 4) to the producers and discuss its contents
- Explain the principles behind sustainable production, the benefits and challenges for producers and the requirements of the certification process
- Identify the producers who are interested in training and certification
- Identify well-motivated producers who can play a prominent role in the program, perhaps as a lead farmer.

We suggest that you involve village leaders and other leaders in the early rounds of awareness raising and registration to generate trust.
The map may also include features such as producers having more than one plot, distances to home and neighbouring fields or units that are outside the UTZ program.

The mapping process may throw up potential causes for negative effects, which must then be included in the risk assessment.

Producers should be involved in making (hand drawing) the map or adding information to an existing map. We recommend drafting an overview map for each village or sub-village and each community. The map does not need to have precise geographical information data. Only a GPS coordinate for the IMS administrative office is requested (G.A.1), but group member identification numbers should put against the farms on the map.

See Annex 3 for an example of an overview map.

7 TRAINING PRODUCERS
Training is at the core of the UTZ program and is the basis for continuous improvement of sustainable farming. Farmer training leads to better farm and business management, safer working conditions and better protection of nature – making farming more economically, socially and environmentally sustainable.

The UTZ Code of Conduct requires groups to train their members on all relevant aspects of the UTZ Code of Conduct (G.A. 19). Groups must also raise awareness about good working conditions among their group members, the group member workers and their families (G.A.20).

Measurable training results are the adoption of improved practices. By monitoring the effect of training, information is generated that is of use for internal management as it will give guidance on training planning. Training is a cost and needs to be paid back by increased output (improved production or social or environmental gains).

Training producers can be done in many different ways. UTZ stimulates a variety of training methods: See the guidance document on training, which can be downloaded from the UTZ website.

Farm improvement planning
Apart from training larger groups of farmers, UTZ stimulates a more individual approach. Farm advisors help to plan farm development on individual level or in small groups (3-5 farmers).

A more individual approach will probably be more effective than training in larger groups. Farmers in small groups can also experiment together on improved practices and share experiences.

These plans and agreements are followed up, at least annually.

8 TRACEABILITY AND THE TRANSPARENT MANAGEMENT OF PAYMENTS AND PREMIUMS
The traceability system must, at the least, cover the following:
1. Product flow (G.A.22), with a description of the system of production, buying, transport and storage within the group
2. Physical separation and the visual identification of the certified product during storage and transport; the identification

Guidance to the Core Code of Conduct for group and multi-group certification version 1.1
(preferably using the UTZ logo) can be on doors, labels, bags and pallets.

3. Documented procedures for buying and selling certified and non-certified product, including how certified producers are identified, how the yield estimate of a producer relates to the quantity actually bought from that producer and the estimated yields of certified and non-certified producers.

4. Weighing scales and other quality control equipment, which need to be calibrated in order to get reliable data; producers must be able to see the weighing.

5. Records and invoices. Records must rest both with the group and with the farmers.

Records should include:
- the purchases of UTZ certified product from each group member,
- the sales of UTZ certified product,
- the sales of other certified or verified product,
- the sales of conventional (non-certified or verified) product, and
- any carry-over stock from previous years of UTZ certified product, other certified or verified and conventional (non-certified or verified) product.

The group must be able to demonstrate that the quantity of product leaving corresponds to the quantity of product entering the system. The group (or trader) documents the revenues from the certified product and payments to be made to the producers. The price and the premium are explained in a transparent way to the producers.

If transport and post-harvest handling are outsourced, the subcontractor must be fully checked to ensure that he/she is able to guarantee the traceability and identification of the product and the separation of the non-certified and certified product. The organization should have a contract with the subcontractor to ensure that the UTZ Code is complied with.

The person in charge of traceability must understand how UTZ and its Good Inside Portal operate. Sales are announced on the portal. The IMS manager or the purchase/sales manager would be a good candidate for this role and should be given full training.

**Premium payment**

The UTZ premium is paid by the first buyer to the certified producer group. The payment of premium is mandatory, but the amount depends on the negotiation between the buyer and the producer group.

The producer group allocates the UTZ premium to pay for:
- group management costs (e.g. audits);
- products and services used for the group (e.g. inputs or training);
- in-kind or cash payments to certified group members (called the group premium).

The part of the UTZ premium that is forwarded to the certified group members is called the group member premium. UTZ does not prescribe how the UTZ premium should be divided between management, group and group members. However, the Code
Guidance to the Core Code of Conduct for group and multi-group certification version 1.1

requires that certified group members should clearly benefit from the UTZ premium. This means that not all UTZ premium can be spent on management. Group members should be informed how the premium is used for management, group and group members. The IMS must confirm that producers have received the premium, which is an essential incentive for producers to farm in a sustainable way.

Group members should be informed how the premium is used for management, group and group members.

For more information, see the guidance on premium, which can be downloaded from the UTZ website.

9 INTERNAL INSPECTION

During an internal inspection, the inspector will: verify/amend the farm data collected during registration and check for compliance to the relevant requirements of the Code of conduct. The recommended approach is to visit individual farms and homes to inspect farming, post-harvest, storage and other practices; interview the farmer, family members and workers; and check records at farm level.

Group members must be inspected at least once a year by internal inspectors before the external audit takes place. The internal inspections can be done at different times of the year to give a balanced overview of farming practices.

The internal inspections offer the opportunity to assess the impact of training and see whether the producers are implementing what they have learnt. The data are valuable for measuring improvement, for risk management and providing feedback for next year’s training and management plan.

Internal inspection report (G.A.11)

For every group member a report on the internal inspection is made, accompanied by a summary. The inspection reports are then taken to the approval manager or committee for evaluation and further action, if needed.

For the external certification body, a summary report of all internal inspections is prepared. Communicate with your CB on which information is required. The internal inspection report provides the information required in the registry of group members (G.A.8.)

Additionally it should provide:

- Date of inspection and inspector’s name
- Verification of critical issues relating to the farming, such as absence of child labor and adoption of practices to optimize yield
- Non-compliance identified and corrective actions taken
- Information on other areas of high risk, resulting from the risk assessment.
- If advice is given during the inspection visit, this is recorded on the inspection form.

Internal inspectors may be taken on specifically for the purposes of inspection and employed by the certificate holder or they may be
Organizing an inspection

The inspection process starts with the IMS coordinator or manager appointing an internal inspector, providing him/her with checklists for all the farmers (indicating everything that needs to be inspected) and up-to-date farm documentation, including the last year’s buying summaries. The internal inspector prepares for the inspection by reviewing all documentation, then arranges the inspection. For small groups the inspector may be able to arrange the inspection visit directly with each farmer, but in most cases the inspector will work with group leaders or IMS staff (field officers). Occasional unannounced inspections can be done to make farmers aware that a visit can occur at any time.

On arriving at a farm to carry out an inspection, the inspector:
1. Describes the inspection process to the farmer and shows him the checklist
2. Checks the farmer’s ID card and group member’s agreement
3. Ascertains how familiar the farmer is with the internal standard
4. Inspects the farm fields, checking that the requirements of the internal standard have been met
5. Inspects the processing area and storage rooms, if applicable
6. Screens farm documents, such as sales receipts and farm records
7. Summarizes the inspection results with the farmer, indicating any problems and likely follow-up actions
8. Signs the checklist and asks the farmer to sign it too.

Producer compliance and dealing with non-conformities

When an internal inspection reveals non-conformities, the first action is to decide how to mitigate or eliminate the negative impact. Secondly, a corrective measure (a structural measure) is put in place to prevent any recurrence. The internal inspector, together with IMS manager, provides a deadline for compliance on the issue. Then the technical assistant helps the farmer remedy his failure to comply, establishing how to reduce/eliminate the negative impact and implement corrective measures. This is checked by the internal inspector.

When corrective measures are applicable to the majority of the farmers (e.g. better timing for training), these type of corrective measures have to be included in the IMS and the plan adjusted for the next season accordingly. The IMS must have procedures for approving producers and, conversely, for applying sanctions where needed. A complaints procedures should also be set up.

Where the non-conformity is serious and cannot be remedied (e.g. deforestation), a sanction is imposed in line with the severity of the incident.

Approval and sanction of producers

The IMS must have procedures in place for the approval of producers who meet the standard and for applying sanctions to producers who have been found not to comply.

It is recommended, but not mandatory, to define sanctions in the internal standard or in a separate document (e.g. a list or catalogue of sanctions). However it is done, the sanctions must be clearly
Guidance to the Core Code of Conduct for group and multi-group certification version 1.1

formulated and well known to the producers from the point when they decide to participate in the certification program. The system of sanctions must be aligned with the provisions laid down by the Code of Conduct and the severity of non-compliance.

Compliance at group level is obtained when all group members fulfil all of the mandatory control points and a defined number of additional control points per block. The number of these additional control points is specified for the years of compliance 1–4 in the text of the Core Code of Conduct for groups.

**Example of sanctions**

<table>
<thead>
<tr>
<th>Non-conformity</th>
<th>Sanction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Producer does not fulfil the mandatory requirements (does not comply)</td>
<td>Producer may not be approved. His/her produce is not sold as certified product. Any corrections are checked by a further inspection visit.</td>
</tr>
<tr>
<td>Clear fraud</td>
<td>The producer is excluded from the UTZ group, either permanently or for a certain period of time.</td>
</tr>
<tr>
<td>Intentional obstruction of the inspection</td>
<td></td>
</tr>
<tr>
<td>Refusal to implement the agreement, for example refusing to put into practice the internal standard requirements</td>
<td></td>
</tr>
</tbody>
</table>

The person or committee responsible for approval reaches a decision based on the information recorded in the internal inspection reports. The decision must be:
- Clearly communicated to the producer
- Documented in the internal inspection reports, including the subsequent implementation of the corrective measures
- Communicated to the people responsible for buying and selling the product, as they are not allowed to buy produce from a producer who has received sanctions. The results of all of the producers are summarized in the producer registry.

The IMS must ensure that any producer receiving sanctions puts in place the necessary corrective measures. The IMS must have procedures to show when the producers will be verified by the internal inspectors and when (and on what condition) the producer can re-enter the certified group. It must also have mechanisms to ensure compliance throughout the year.

**10 SELF ASSESSMENT**

See explanation in Part I.
ANNEX 1: CYCLE FOR CONTINUOUS IMPROVEMENT

1. UTZ Code of Conduct

2. Group Management Plan
   Including:
   • Organization structure
   • Roles & Responsibilities staff
   • Objectives and activity planning (per year)
   • Training plan
   • Internal inspection planning
   • Self-Assessment

3. Implementation
   • Registration
   • Training
   • Internal Inspection
   • Self-assessment
   • Risk management

4. Database / Information
   Including:
   • Registration data
   • Training results
   • Internal inspection report
   • Self-assessment outcome
   • Risk monitoring outcome

5. Data analysis & evaluation

6. Review risks, review training, etc.

7. Feeding back information & adjusting group management plan

Internal Management System
ANNEX 2 – SAMPLE AGREEMENT BETWEEN THE GROUP AND
A GROUP MEMBER

Agreement between:

The organization: ……..
Represented by: …………………

The producer: …………………
Identification code: …………………
Address: …………………

The signing of this agreement binds the two parties to the respect of the conditions of UTZ standard requirements. The two parties accept the following obligations:

1. Obligations of the organization:
   - To manage the Internal Management System (IMS) and to manage its adequate operation to obtain and maintain UTZ requirements.
   - To carry out a continuous training program independently or in coordination with external expertise.
   - To promote the use of Good Agricultural Practices and the environmental and social responsibility as defined in the UTZ program.
   - To manage the collection, purchase, the quality control, handling, transport and the sale of certified coffee by applying the traceability requirements.
   - To manage information of the group with confidentiality, honesty and transparency.
   - To define the Certification Body (CB) which will carry out the external audit.

2. Obligations of the producer:
   - To know and respect the rules of the IMS and of the group
   - Conform to the standards relating to the production and the management of the farm
   - To receive continuous training and to apply any technical recommendations given by the IMS
   - To give accurate information to the internal and external inspectors and to allow their access to the production unit (farm) and any documentation.
   - To accept the internal (IMS) and external (external auditor) sanctions and to put the corrective measures into practice.
   - To report to the IMS in case of any change or variation of conditions of production in the farm.

3. Duration of the agreement:

This contract has duration of one year as of date of signature. It is renewed automatically if not terminated by one of the parties. It can be broken:
   - At the time of any non-compliance with the conditions of this agreement by any of the two parties.
   - If the producer decides to withdraw in a voluntary way from the IMS.

By the present signature, each party accepts the conditions of the agreement.

Place:
Date:

_________________________ ________________________
Representative of the organization producer Witness
ANNEX 3 – EXAMPLE OF OVERVIEW MAP

To translate:

River
Neighbouring village
Small roads
Footpath roads
Houses
IMS office
Mosque
Market
Hand pump well
Water well
Water spring
Bridge
River
Registered farms, owners not staying in village
Cocoa trees
Food crops
Other trees
Mango trees
Natural grasses
ANNEX 4: CONFLICT OF INTEREST DECLARATION

I (as undersigned) will avoid any conflict of interest and to inform the person in charge of the IMS if the case arises. I will not inspect nor will not approve any member of my family.

I declare that I have family or business relations (parents, brothers, sisters, children, business partners, etc.) in the following villages:

<table>
<thead>
<tr>
<th>Name</th>
<th>Village</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
</tr>
</tbody>
</table>

I will not influence the inspection or the decision of approval of the members of my family.

I will inform the person in charge of the IMS if any changes occur in my marital or social status.

I understand well what is a conflict of interest and I declare that the information above is correct.

Name of the inspector or the member of the committee of approval:

Name: ...................................................

Function within IMS: .........

Date: .............................

Place: ...........

Signature: ..........................
**ANNEX 5: OVERVIEW OF PROCEDURES AND DOCUMENTS REQUIRED**

The table below provides an overview of procedures and records required to be in place and documented and those advisable to have in place and documented.

Note: this list reflects what is mentioned in the Code. It is a supporting list and has no status as an official document.

<table>
<thead>
<tr>
<th>CP in Code</th>
<th>Overview mandatory &amp; recommended procedures, records, and documents</th>
<th>Year of compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Procedures to be documented – mandatory</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Block A</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A.10</td>
<td>Estimation of crop yields</td>
<td>1</td>
</tr>
<tr>
<td>A.11</td>
<td>Internal inspection procedure</td>
<td>1</td>
</tr>
<tr>
<td>A.11/14</td>
<td>Procedure to handle non-conformities and corrective measures.</td>
<td>1</td>
</tr>
<tr>
<td>A.14</td>
<td>Procedure for approval and sanctions</td>
<td>1</td>
</tr>
<tr>
<td>A.22</td>
<td>Procedure for buying and selling of the certified product, including traceability</td>
<td>1</td>
</tr>
<tr>
<td>A.26</td>
<td>Procedure on the use of UTZ premium</td>
<td>1</td>
</tr>
<tr>
<td>A.27</td>
<td>Procedure for communication on prices and premium</td>
<td>2</td>
</tr>
<tr>
<td>A.28</td>
<td>Procedure for submitting and addressing complaints</td>
<td>2</td>
</tr>
<tr>
<td><strong>Block B</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B.62</td>
<td>Procedure for handling of empty pesticide containers</td>
<td>1</td>
</tr>
<tr>
<td>B.64</td>
<td>Emergency procedure in case of accident/spillage of pesticides</td>
<td>2</td>
</tr>
<tr>
<td>B.75</td>
<td>A sampling procedure to determine residue levels on the product, 1) Actions to take if MRLs are exceeded, 2) Communication to the buyer if MRLs are exceeded</td>
<td>3</td>
</tr>
<tr>
<td><strong>Block C</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C.78</td>
<td>Procedure on actions and documentation to prevent, monitor, and remediate child labour</td>
<td>2</td>
</tr>
<tr>
<td>C.79</td>
<td>Procedure to encourage compulsory school attendance</td>
<td>3</td>
</tr>
<tr>
<td>C.96</td>
<td>Accident and emergency procedure</td>
<td>2</td>
</tr>
<tr>
<td><strong>Block D</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D.108</td>
<td>Procedures in place for efficient water use in production and processing.</td>
<td>4</td>
</tr>
<tr>
<td>D.114</td>
<td>Procedures to assist group members in adapting to important climate change impacts identified in the Risk Assessment.</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td><strong>Procedures - recommended</strong></td>
<td></td>
</tr>
<tr>
<td>General</td>
<td>Procedure for communication with farmers</td>
<td>1</td>
</tr>
<tr>
<td>A.8 &amp; A.9</td>
<td>Farmer registration and signing agreements</td>
<td>1</td>
</tr>
<tr>
<td>A.16</td>
<td>Risk assessment procedure</td>
<td>2</td>
</tr>
<tr>
<td>D.117-119</td>
<td>Waste management procedure</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td><strong>Records/documents – mandatory</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Block A</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A.1</td>
<td>Maps showing overview of production units of the farmers (farmer fields)</td>
<td>2</td>
</tr>
<tr>
<td>A.5</td>
<td>List of staff members, their functions and responsibilities.</td>
<td>1</td>
</tr>
<tr>
<td>A.6</td>
<td>Organizational chart</td>
<td>1</td>
</tr>
<tr>
<td>A.8</td>
<td>Up-to-date farmer registry/farmers list, including:</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>• Personal details</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Farm information</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Certification status</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Yield estimates</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Production volumes</td>
<td></td>
</tr>
<tr>
<td>A.9</td>
<td>Agreements between group members and certificate holder (group management or company)</td>
<td>1</td>
</tr>
</tbody>
</table>
**Guidance to the Core Code of Conduct for group and multi-group certification version 1.1**

### Records & documents needed (if applicable)

<table>
<thead>
<tr>
<th>Block</th>
<th>Document</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.11</td>
<td>Internal inspection records</td>
</tr>
<tr>
<td>A.11</td>
<td>Internal inspection report (compilation and analyses of internal inspections)</td>
</tr>
<tr>
<td>A.12</td>
<td>Self-assessment report</td>
</tr>
<tr>
<td>A.13</td>
<td>Conflict of interest declaration signed by IMS staff</td>
</tr>
<tr>
<td>A.14</td>
<td>List of sanctioned farmers (can be extracted from an up-to-date farmers list)</td>
</tr>
<tr>
<td>A.17</td>
<td>Group management plan</td>
</tr>
<tr>
<td>A.18, 19, +20</td>
<td>Training planning, attendance lists and training records</td>
</tr>
<tr>
<td>A.19</td>
<td>Qualifications of trainers</td>
</tr>
<tr>
<td>A.22</td>
<td>Description of product flow</td>
</tr>
<tr>
<td>A.24</td>
<td>Records and invoices of all purchases and sales</td>
</tr>
<tr>
<td>A.25</td>
<td>Valid Code of Conduct certificate</td>
</tr>
<tr>
<td>A.26</td>
<td>Records of the use of the UTZ premium</td>
</tr>
<tr>
<td>A.27</td>
<td>Documentation of payments to producers, price and premiums</td>
</tr>
<tr>
<td>A.29</td>
<td>Documentation of calibration of the weighing equipment</td>
</tr>
<tr>
<td>B.37</td>
<td>Planting material used (variety, batch number, vendor)</td>
</tr>
<tr>
<td>B.38</td>
<td>Use of genetic modified planting material (if applicable)</td>
</tr>
<tr>
<td>B.53</td>
<td>An up-to-date and complete list of fertilizers and pesticides that can be used and stored</td>
</tr>
<tr>
<td>B.54</td>
<td>Pesticide and fertilizer application (date, product, quantity)</td>
</tr>
<tr>
<td>B.60</td>
<td>Function check and, if needed, calibration of spraying equipment</td>
</tr>
<tr>
<td>B.66</td>
<td>Use of irrigation water (timing)</td>
</tr>
<tr>
<td>B.71</td>
<td>Annual calibration records of quality control equipment (such as moisture meters)</td>
</tr>
<tr>
<td>B.74</td>
<td>Specifications on bagging material</td>
</tr>
<tr>
<td>C.79</td>
<td>Support to school if no school available</td>
</tr>
<tr>
<td>C.84</td>
<td>Working hours per worker are recorded</td>
</tr>
<tr>
<td>C.89</td>
<td>Pay slips and payroll records</td>
</tr>
<tr>
<td>C.90</td>
<td>Employment contracts</td>
</tr>
<tr>
<td>C.94</td>
<td>Diplomas and certificates of first-aid training</td>
</tr>
<tr>
<td>C.100</td>
<td>Documented health checks of staff</td>
</tr>
<tr>
<td>D.107</td>
<td>Instructions for those who use pesticides and fertilizers</td>
</tr>
</tbody>
</table>

**WHAT IS A GOOD PROCEDURE?**

A procedure will only work if it is clear to the people involved and when it fits properly into the local situation. A good procedure:

- Explains the reason for the procedure (the risk to be mitigated, e.g.)
- Explains what the procedure aims to achieve
- Defines what action has to be taken, how and when (steps to follow)
- Names the persons (functions) responsible to carry it out and to control it.

---

Guidance to the Core Code of Conduct for group and multi-group certification version 1.1

31
## ANNEX 6: OVERVIEW OF IT TOOLS FOR DATA MANAGEMENT

<table>
<thead>
<tr>
<th>IT tool for IMS management</th>
<th>Short description</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>AkvoFLOW</td>
<td>A multi-language tool for collecting, evaluating and displaying any quantity of geographically referenced data.</td>
<td><a href="http://www.taroworks.org/contact/">http://www.taroworks.org/contact/</a></td>
</tr>
<tr>
<td>Acopio</td>
<td>Acopio offers tools and services to collect, manage, and share data along the agricultural value chain, specifically with coffee-growers in Latin America.</td>
<td><a href="mailto:info@acopio.org">info@acopio.org</a></td>
</tr>
<tr>
<td>Cropster</td>
<td>A tool (Cropster C-sar) providing solutions for small and medium sized businesses in the agricultural supply chain) mainly coffee and cocoa.</td>
<td><a href="mailto:office@cropster.org">office@cropster.org</a></td>
</tr>
<tr>
<td>FarmERP</td>
<td>FarmERP (Enterprise Resource Planning) is a multi-user, multi-location farm resource planning software tool.</td>
<td><a href="mailto:sanjay.borkar@shivrai.co.in">sanjay.borkar@shivrai.co.in</a></td>
</tr>
<tr>
<td>FarmForce</td>
<td>A mobile platform to support the integration of smallholder farmers into formal agro-value chains.</td>
<td><a href="mailto:info@farmforce.com">info@farmforce.com</a></td>
</tr>
<tr>
<td>GeoTraceability</td>
<td>GeoTraceability is a market innovator in providing key information through its analytical tools and monitoring programmes on the behest of value chains stakeholders.</td>
<td><a href="mailto:info@geotraceability.com">info@geotraceability.com</a></td>
</tr>
<tr>
<td>Helveta</td>
<td>Helveta's CI World platform provides supply chain management and asset (materials or products) tracking through an integrated modular suite of software.</td>
<td><a href="mailto:helveta.sales@helveta.com">helveta.sales@helveta.com</a></td>
</tr>
<tr>
<td>MuddyBoots</td>
<td>Greenlight Grower Management: a web-based Grower record system for crop and field based activity records for managing large numbers of individual growers.</td>
<td><a href="mailto:sales@muddyboots.com">sales@muddyboots.com</a></td>
</tr>
<tr>
<td>PT Koltiva: CocoaTrace, CoffeeTrace, PalmOilTrace, RiceTrace, etc.</td>
<td>Koltiva is a developer of mobile and web platforms with integrated solutions for supply chain transparency and product traceability. The crop specific systems provide full digital documentation for farmers, traders, and the Internal Management Systems as required for UTZ farm certification.</td>
<td><a href="mailto:contact@koltiva.com">contact@koltiva.com</a></td>
</tr>
<tr>
<td>SIMPATICA</td>
<td>Facilitate registration of crop management activities and analysis of the data to compare performance of fields and farmers for learning, reporting on improvements and identification of hotspots that need improvement.</td>
<td><a href="mailto:info@defoundation.org">info@defoundation.org</a></td>
</tr>
<tr>
<td>SourceTrace</td>
<td>SourceTrace Systems provides transaction solutions systems to industries working in critical sectors of developing economies, from financial services and agriculture to healthcare and clean water.</td>
<td><a href="http://www.sourcetrace.com/contact-us/request-a-demo">http://www.sourcetrace.com/contact-us/request-a-demo</a></td>
</tr>
<tr>
<td>TaroWorks</td>
<td>TaroWorks functionality includes: registering, training, Monitoring &amp; Evaluation, case management, transactions and performance monitoring.</td>
<td></td>
</tr>
</tbody>
</table>