

UTZ PROGRAM INDICATORS

Version 5 (2019)

Indicator list based on the UTZ Theory of Change (2017)



Result area	Component	Level 1 indicators	Level 2 and 3 indicators
		<ul style="list-style-type: none"> - Indicators in <i>italics</i> are new; - In Blue are in Survey Tool 3.0 - Indicators with * are ISEAL Common Core Indicators 	<ul style="list-style-type: none"> - Indicators in italics are new; - Indicators with * are ISEAL Common Core Indicators
IMPACT			
Vision: Sustainable farming is the norm	Better income Better life		Perceived change in quality of life*
			Investments in farm/productive assets*
			Change in Assets (using PPI or similar)*
			School attendance for children of certified farmers of school going age (versus school attendance for children of non-certified farmers)- by gender
			Living wage/ Living income benchmark*
	Better crop Better environment		Soil health*
			Water quality*
			Carbon footprint
			Tree cover density & diversity
			<i>No deforestation</i>
OUTCOMES			
Increased profitability and productivity of farms			<ul style="list-style-type: none"> Actual/perceived change in gross and net revenue from certified crop* % of total revenue coming from certified crop* Perception that farming is a viable option for their children*
Increased social, environmental and economic resilience of farms			<ul style="list-style-type: none"> Perceived vulnerability to shocks <i>Indicators for unintended effects:</i> <ul style="list-style-type: none"> - <i>Perceived legal security of certificate holders</i> - <i>Access to (financial) services</i> - <i>Self-esteem of producers and workers</i>
Farmers and workers	Better farming methods	% change in actual / estimated production (kg/ha)	% change of total inputs (labor, fertilizer, pesticides) used per kg of product; compared to recommended use
		Actual volume harvested as UTZ	Liters of water used per kg of produce
		Share of group members in need of rehabilitation of trees (HN)	Changes in productivity related parameters
		# and type of IPM practices implemented (individual)	Case studies of cost-benefits of certification; developments over time
	Better care for nature	Type of fertilizers applied (organic/inorganic) (individual)	<i>Analysis of Non-conformities on farming methods</i>
		Application of pesticides Y/N	<i>Climate Change Adaptation measures piloted + taken up by other actors</i>
		Active ingredients on the UTZ watch list used by certified producers	<i>Analysis of # Non-conformities on environmental topics</i>
			Type of water quality protection measures

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	Better working conditions	Lowest daily wage for workers; M/F; permanent/seasonal * (individual)	# and type of CBAs
		Written collective bargaining agreement (CBA) on wages with workers Y/N (individual)	Investments in basic services & infrastructure
		Policy to prevent sexual harassment (individual) Y/N	Level of worker satisfaction
		Type of in kind benefits provided to workers (individual)	# of serious work related incidents (or illnesses) over the last year
		Sources of drinking water for on-site living workers' domestic use; distance to safe drinking water (individual)	Analysis # Non-conformities on workers' rights and wages
		Action plan to improve wages Y/N (individual)	
		# of workers living on farm at peak harvest (Individual)	
	Better Care for next generations: No child labor	Risks of child labor Y/N (Risk assessment)	<i>Analysis # Non-conformities on child labor</i>
		# cases of child labor (M/F) identified by child labor liaisons or IMS in the last year	
		#/ % of identified child labor cases assisted (through remediation or referral) in the last year	
		Type of facilities provided to the children accompanying the workers (HN)	
		Communities that have limited access to primary education	
		Actions to encourage school attendance of children of group staff, members of group, workers (HN)	
	Farmer groups	Better organized groups	Allocation of UTZ premium at group and individual level
% of cash/in kind UTZ premium forwarded to group members			<i>% of UTZ certificate holders that are using at least one of the First Mile tools</i>
Actual production volume purchased by the group*			Perception of group members (M/F) that the group acts in the benefit of its members *
Better services to farmers		type of services provided to the group members to support yield optimization *	<i>Analysis of # Non-conformities on Management topics</i>
			<i>Indicator for unintended effects: Inclusion/exclusion of disadvantaged farmers, e.g. female headed households</i>
			<i>Targeted services provided based on First Mile or other data</i>
			<i>Satisfaction of farmers (M/F) with the services provided by the IMS</i>
Increased rewarding of sustainable production	Average UTZ premium per product, per country	<i>Access to inputs for farmers (Availability, Affordability; Knowledge)</i>	
		<i>Evolvement and distribution of UTZ premium along the chain</i>	

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Supply chain actors (Companies & brands)		Average UTZ premium paid in cash to the CH per volume unit		
		% of estimated production sold as UTZ per certificate holder		
	Secure and growing supply of UTZ certified products	Total certified estimated volume* (Volume per country, # countries*, # of products*)		
		Certified production volume per country		
		# of countries where UTZ products are produced*		
		# of certified products *		
	Supply meets market requirements	Supply-demand ratio		
		% of estimated volume sold as UTZ (per country, per CH)		
	Secure and growing demand for sustainable products	UTZ volume bought per buyer		
		Total certified sales volume sold by code certificate holders		
# countries where UTZ SKUs are sold				
Increased trust and transparency in the supply chain		Increased levels of efficiency, trust and collaboration among actors in the supply chain (cases)		
Sector level	Sustainable farming is inclusive	Total # certified group members (M/F)*	<i>Age of farmers</i>	
		Total # certified entities *		
		Type of producer groups in the program (% trader/farmer based)		
		# Workers employed by certificate holders (group/individual), by type Temporary/permanent; M/F)*		
		Total # of permanent workers on group members' farms (certified crop only)		
		# Group members entering and leaving the program in the last year*		
		Gender of UTZ certified group members		
		Average farm size of certified group members		
	Improved collaboration in the sector	# of Certificate holders covered by multiple certifications*		<i>Level of alignment between different stakeholders in the sector</i>
		% of certified actual volume sold as other certification programs		
Improved sector policies & services		<i>Sustainability issues and needs of (female) farmers and farm workers included in the sector agenda</i>		

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Consumers	Consumers can enjoy and trust the products they buy	# of brands actively communicating about UTZ	Level of consumer awareness on UTZ & sustainability
INTERMEDIATE OUTCOMES			
Producers (Individual farmers, farmer groups)	(More) Producers join (and stay in) the UTZ program	# of CHs by type (CoC/ChoC)*	Producer member satisfaction with participation in the program
		Type of CH (individual/group)	
		Total certified crop area *	
		Total farm area (of certified group members and individual members) *	
		Duration of participation in the program (producers)	
		# of CoC Certificate Holders entering & leaving the program in last year *	
		Reasons for not renewing	
		# Certified group members (M/F) in year 1,2,3,4, 4+ of certification	
Farmer groups, farmers and estates have increased capacities on management and sustainability practices	Farmer groups, farmers and estates have increased capacities on management and sustainability practices	# of technical assistants providing technical support to the certified group members	# and type of farmers trained; type of training
		Average share of female participants in UTZ related training events	Level of knowledge of farmers on GAP, social & environmental topics
		Topics covered in training to group members	# and type of actors supporting producers
		Topics covered in awareness raising in group member training	# of trained people that implement improved practices
		Record keeping and use of records for decision making	
Auditors	Effective & transparent auditing	# of internal inspectors in the group (ratio per group member)	
		# of Non-Conformities by criteria/topic and CB	
Supply chain actors (Companies & brands)	Companies join UTZ program (scale up demand)	# of registered supply chain members by type	Industry member satisfaction of participation in the program
		Program fees	
		Duration of participation (industry members) in the program	Reasons for not renewing certification
		# of active Chain of Custody members certificates	# of complaints received by UTZ
		Trends in UTZ certified volumes bought by companies	
	Certificate holder turn-over		
	Supply Chain Actors use traceability system	Certified volume traced (and trends)	# Non-conformities Chain of Custody
	# of labelling approval requests	Level of satisfaction with the traceability system	

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	for credible claims & innovative data gathering		<i># of users of First mile and other data innovations</i>
	Supply Chain Actors use labeling and trademark rules	<i># of SKUs with UTZ logo/claim</i>	<i># of brands actively communicating about UTZ</i>
	Deepened and broadened commitments of companies to sustainability		<i># of companies implementing innovative sustainability approaches on specific issues</i> <i># of companies with larger sustainable volumes, additional to the certified</i>
Sector level	Increased collaboration in the sector		<i># of structural collaborations with governments, private sector, other standards, CSOs</i>
	UTZ is influencing the sustainability agenda and policies in the sector		<i># of stakeholders that use UTZ reports, pilot results, position papers & policy statements for policies & programs</i>
			<i>Perception of stakeholders about UTZ</i>
OUTPUTS			
Outputs	Meaningful and practical UTZ standards		<i>Standard revision is timely and of good quality (in accordance with ISEAL code)</i>
	Training materials, tools & guidance		<i># and type of users of tools & guidance materials</i> <i>Relevance of tools, materials guidance (feedback by users)</i>
	Training of IMS and TAs	<i># and type of participants of UTZ Academy, trained on ToT, IMPS, GAP, etc. (M/F)</i> <i>Level of satisfaction with training</i>	<i>% of users of UAO in relation to population trained by UTZ</i> <i>Level of Knowledge increase/ learnings as a result of training</i>
	Communication with companies to create demand	<i># of new customers (end-buyers) contacted</i>	<i>% of companies that are satisfied with tools UTZ offers</i> <i>% of companies that are likely to recommend UTZ to others</i>
	Support to members/companies to implement UTZ program	<i># of users of BBH, newsletters, webinars</i> <i>Rating of webinars</i>	<i>Satisfaction with MST (survey)</i>
	CB Management	<i># of CBs approved</i> <i># of times licenses are submitted/rejected</i>	
	Training of CBs	<i># of UTZ auditors, certifiers and scheme managers trained</i> <i>Level of satisfaction with training</i>	<i>Level of knowledge/skills increase as a result of trainings</i>
	Control of audit quality	<i># and % of CBs that perform well + trends over time + reasons for not improving</i>	
	Data & information system		<i>MultiTrace implemented and operational</i> <i># of data innovation pilots</i> <i># of data innovations that can be scaled up</i>

Result area	Component	Level 1 indicators	Level 2 and 3 indicators
			<i>Satisfaction with MultiTrace and PalmTrace</i>
	Sustainability (customized) programs with companies	<i>Revenu from UTZ customized services</i>	<i># of new tools/methods developed with sustainability programs to improve UTZ program</i>
	Collaboration in the sector		<i># and quality of collaborations related to certification and/or sector change</i>
	UTZ L&A and engagement		<i># and type of partnerships, networks, platfroms UTZ is involved in/creating/actively supporting # of requests received by UTZ from different stakeholders to provide input for policy mkaing & programs # of panel discussions/speaking opportunities on key sector events</i>
	External communication		<i># UTZ mentions (positive, negative); # of UTZ opinion pieces in independent media # of critical issues managed well by comms</i>
	<i>Internal communication & exchange</i>		<i>Use of Wiki; Use of intranet</i>
	<i>Data, knowledge, evidence</i>		<i># and quality of level 1, 2,3 reports produced & shared; # of thematic reports & position papers/policy statements externally shared</i>