CERTIFICATION CHECKLIST

For UEBT/UTZ Herbal Tea

Internal Monitoring System Certification Approach

Version 1.3, November 2016

Union for Ethical BioTrade
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Contents

1 Introduction

The UEBT/UTZ Herbal Tea Certification Checklist is the list of certification requirements for companies participating in the UEBT/UTZ Herbal Tea Certification Program. The certification requirements are based on the UEBT/UTZ Herbal Tea Certification Protocol – Internal Monitoring System Approach.

The UEBT/UTZ IMS Certification Checklist shall be used by External Auditors when conducting Full System Audits for UEBT/UTZ Herbal Tea Certification.[1]

2 Scope

The UEBT/UTZ Herbal Tea Certification Checklist applies to UEBT Members participating in the UEBT/UTZ Herbal Tea Certification Program (Certificate Holders) applying the Internal Monitoring System (IMS) Approach. The checklist establishes the requirements for the organization's IMS and its implementation in the selected Supply Chains that are included in the certification.

3 Acronyms

The following acronyms are used in this document:

IMS	Internal Monitoring System
LMS	Local Monitoring System
UEBT	Union for Ethical BioTrade

4 Glossary

External Audits: Inspections conducted by third-party auditors at the UEBT Member, Organizations at Source and Field Operators for the purpose of assessing their compliance with the UEBT/UTZ Herbal Tea Certification requirements.

External Auditors: Qualified third-party auditors from approved Certification Bodies conducting audits for the purpose of the UEBT/UTZ Herbal Tea Certification.

Field Operators: Operators at primary production level that are part of the UEBT/UTZ Herbal Tea Certification Program and that are subject to Monitoring visits and external audit control visits to confirm compliance with the UEBT/UTZ Herbal Tea Certification requirements. Field Operators may be a single individual or a group of individuals that follow same values and practices and that can therefore be considered a unit for the purpose of monitoring and auditing.

[1] See Chapter 3.1 of the UEBT/UTZ Herbal Tea Certification Protocol

Ingredient: For the purpose of the UEBT/UTZ Herbal Tea Certification, an Ingredient is a Natural Ingredient, in its raw form or one that has undergone simple physical processing, which has been approved for certification under the UEBT/UTZ Herbal Tea Certification Program.

Internal Monitoring System (IMS): System established by the UEBT Member for assessing and monitoring Supply Chains to ensure that these comply with the UEBT/UTZ Herbal Tea Certification requirements.

Local Coordinator at Source: Person appointed at Source who is responsible for the Local Monitoring System at source level.

Local Manager at Source: Person appointed at the Organization at Source who is responsible for the administration at source level related to the UEBT/UTZ Herbal Tea Certification.

Local Monitoring System (LMS): Systems established at local level that complement the monitoring activities of the IMS of the UEBT Member.

Manipulate (Ingredients): Pack/re-pack, process, or alter the Ingredient in any way.

(Internal) Monitor(s) or Monitoring Personnel: Person(s) appointed by the IMS at UEBT Member for conducting Monitoring visits and assessments of suppliers that are part of the UEBT/UTZ Herbal Tea Certification.

Monitoring activities: All activities conducted by the IMS personnel or the Local Monitoring personnel as part of the Internal Monitoring System of the UEBT Member.

Monitoring visits: Visits to Organizations at Source and Field Operators conducted by Monitoring Personnel of the IMS for the purpose of assessing their compliance with the UEBT/UTZ Herbal Tea Certification requirements.

UEBT Member: Full UEBT Trading Member applying for UEBT/UTZ Herbal Tea Certification. Information on the UEBT Membership conditions and application process can be found under www.uebt.org/membership.

Organization at Source: Organization managing the Field Operators, responsible for implementation of the UEBT/UTZ Herbal Tea Certification requirements on behalf and/or by Field Operators.

Source: Area/region from which the specific Ingredient is sourced (i.e. cultivation/collection area).

Supply Chain: For the purpose of the UEBT/UTZ Herbal Tea Certification Program, a Supply Chain is the entire supply chain that has been selected for the UEBT/UTZ Herbal Tea Certification. It consists of a specific Ingredient or Ingredients that is/are sourced from a specific Organization at Source and processed/manipulated at specific processing organizations (if applicable).

UEBT Coordinator at Member: Person at UEBT Member level who is authorized and responsible to implement the IMS for Supply Chains.

5 Certification Requirements

UEBT/UTZ Herbal Tea Certification Requirements			
	Certification Requirements	***Guidance Notes***	***ref. UEBT Cert. Protocol***
1	**General IMS**		
1.01	The IMS is formally established and is an integral part of the UEBT Member's operations. The system is **officially recognized and approved by Senior Management** and has sufficient **resources** to operate the system.	*Senior Management has approved the system including the Standard(s), Policies and Procedures of the IMS for UEBT/UTZ Herbal Tea Certification.*	*1.5, 2.2.2*
1.02	The UEBT Member has established policies, procedures and guidelines that regulate the IMS. These are in line with the requirements of the UEBT/UTZ Herbal Tea Certification Protocol.		*1.4*
1.03	All IMS Personnel (UEBT Coordinator at Member and Internal Monitoring Personnel) are formally appointed and have sufficient resources to fulfill their tasks.		*2.2.2*
1.04	The **UEBT/UTZ Herbal Tea Certification requirements** OR the Member's own **Standard(s),** that has (have) been recognized by UEBT as equal or equivalent, is (are) the **basis** for the IMS activities.		*2.1.1, 2.2.1*
1.05	The UEBT Member uses the **UEBT/UTZ Field Checklist** OR own checklists that have been recognized by UEBT as equivalent to the UEBT/UTZ Field Checklist.		*2.1.2, 2.2.1*
1.06	The UEBT Member applies the **UEBT/UTZ Scoring System** for the evaluation of field audits or an own scoring system that has been recognized by UEBT as equivalent.	*Threshold for certification according to the UEBT Scoring System:* *- All critical verifiers are complied with AND* *- At least 80% of the Standard requirements (verifiers) is complied with.*	*2.1.3, 2.2.1*

1.07	There is a written overview of all Supply Chains subject to the UEBT/UTZ Certification, including respective Organizations at Source and Field Operators. The information provided is complete and up to date.	*Information on all intermediary companies that are involved (that take ownership or physically manipulate the Ingredient(s) in the respective supply chains is also available.*	*2.2.1*
1.08	(If new supply chains have been added to the UEBT Member's existing certification): New supply chains have undergone full monitoring visits (by IMS), or external audits. The minimum score for approval for certification has been reached.		*3.6.3*
1.09	(If new supply chains have been added to the UEBT Member's existing certification): Risk assessments have been done for all new supply chains.		*3.6.3*
2	**Documentation and record keeping**		
2.01	There is a record keeping system in place that ensures that all processes and decisions related to the UEBT/UTZ Herbal Tea Certification Program are documented in time and in a comprehensible manner. Relevant information is duly recorded and made available to Monitors, Auditors (and other relevant) party for their use or review.	*Relevant information/documentation includes:* *• Documentation related to the Monitoring process, such as Monitoring visit reports, follow-up process and outcome, decision-making process and relevant decisions taken, etc.* *• Risk-assessments* *• New appointments of IMS staff, including Monitors,* *• Training and performance evaluation material of IMS staff* *• Documentation related to any deviations from the UEBT/UTZ Herbal Tea Certification Program or Standard requirements.* *• Communication and documentation regarding disputes, grievances, deviations from regular procedures, and any other information that might have important implications for the assurance process.*	*2.2.8*
2.02	Relevant documentation is kept for a period of 5 years.		*2.2.8*

3	**Continuous Improvement**		
3.01	There are procedures in place to incentivize **continuous improvement** of Organizations at Source and Field Operators regarding their Ethical BioTrade practices, i.e. continuous improvement of their scores.		*2.2.1*
3.02	The procedures are implemented and improvement can be observed.		*2.2.1*
4	**Communication**		
4.01	Changes to the standard, checklist, rules, procedures, contact person(s) and other that affect the performance of the IMS and that have implications on the UEBT/UTZ Herbal Tea Certification have been proactively communicated to UEBT.		*2.2.1*
4.02	Inclusions of new Supply Chains to an existing certification have been pro-actively communicated to UEBT.		*2.2.1, 3.6.3*
4.03	Matters concerning compliance with the Standard that could represent a major risk to the UEBT/UTZ Herbal Tea Certification Program, a systematic problem/challenge, or for which there are doubts on how to deal with them, have been proactively communicated to UEBT.		*2.2.1*
5	**Management of Field Operators at Source**		
5.01	All Organizations at Source subject to UEBT/UTZ Herbal Tea Certification have confirmed in writing their willingness to participate in the program and to apply respective rules and procedures applicable to them a as described in the UEBT/UTZ Herbal Tea Certification Protocol.		*2.2.3*

5.02	For every Organization at Source, a **qualified person has been appointed (Local Manager at Source**) who is responsible for the management of Field Operators regarding compliance with the requirements of the UEBT/UTZ Herbal Tea Certification. It can be confirmed that Local Managers at Source have the necessary authority and resources to carry out their tasks.	*The Local Manager at Source is responsible for:* *• Maintaining an up-to-date list of all Field Operators that are included in the UEBT/UTZ Herbal Tea Certification program.* *• Ensuring (e.g. through training, verbal or written instructions, manuals, or other) that Field Operators are sufficiently informed and capable of meeting the UEBT/UTZ Herbal Tea Certification requirements.* *• Ensuring that the Organization at Source meets the UEBT/UTZ Herbal Tea Certification (management system) requirements applicable to them.* *• Ensuring that corrective measure requests (applicable to the Organization at Source and/or Field Operators) are implemented within the specified timeframe.* *• Facilitating any Monitoring visits and external audits conducted for the purpose of certification.*	*2.2.3*
6	**Local Monitoring Systems (LMS)**		
6.01	If the IMS relies on the work of **Local Monitoring Systems*** (LMS) to conduct monitoring visits at Source, an **overview** of these is provided.	*The overview should include following information: Location(s) of the LMS, contact person(s), Organizations at Source/Field Operators and Ingredients covered by the LMS.* *Local Monitoring Systems may be established for the purpose of complementing the work of the (internal) Monitoring System at Member in cases of complex supply chain structures.*	*2.2.4*
6.02	The UEBT Member has appointed qualified **Local Coordinators at Source,** who are responsible for establishing and operating the LMS.	*For qualification requirements, see Addendum IV: Profiles of Local Managers and Coordinators at Source*	*2.2.4*
6.03	**LMS Personnel** have received the relevant **training** to carry out their tasks.		*2.2.4*

6.04	Rules and procedures are established for Local Monitoring Systems (LMS) which ensure that the work of the LMS sufficiently complements/replaces the work of the IMS.	*These include at least:* *- Procedures for performing on-site Monitoring visits, including reporting and scoring requirements* *- Minimum compliance requirements (control points) to be covered at the on-site monitoring visits* *- Record keeping of relevant documentation* *- Frequency and scope of the Monitoring visits* *- Qualification requirements for LMS Personnel.* *- Communication flow between LMS and UEBT Member.*	*2.2.4*
6.05	The procedures include requirements to deal with and avoid situations of conflict of interest.	*In particular, conflicts of interest must be avoided whenever the roles of managing and monitoring Field Operators fall together in one person or one group/team.*	*2.2.4*
6.06	As part of the IMS, the UEBT Member conducts **quality control** of the LMS and ensures that LMS personnel abide by the established rules and procedures for LMS.		*2.2.4*
6.07	All relevant information regarding the local monitoring activities done by the LMS are **proactively communicated** to the UEBT Member in a timely manner.	*Relevant information includes in particular relevant findings (non-conformities) and any issues that might compromise the "compliant" status of the Organization at Source and/or Field Operators.*	*2.2.4*
7	**Risk Assessments**		
7.01	Risk Assessments have been done for each Supply Chain (or subsections, when necessary) subject to the UEBT/UTZ Herbal Tea certification, taking into account all factors may pose a threat to the integrity of the certification claim. Approach and results of the assessments are documented.	*Factors:* *A) Requirements directly related to production, processing and sourcing activities:* *• Risks to the environment and biodiversity* *• Risks to the people involved in, or affected by, activities related to the Supply Chains* *• Risks to the integrity of the business* *• External parameters such as country-specific or Ingredient-specific risk factors must also be taken into account.* *B) Performance of the Monitoring and Management Systems* *C) Traceability*	*2.2.5*
7.02	Risk Assessments are reviewed on a regular basis.	*At least every 3 years*	*2.2.5*

7.03	Results posing a serious threat to the integrity of the certification claim have been proactively communicated to UEBT.		*2.2.5*
8	**Dispute Resolution Procedures**		
8.01	There are procedures in place for resolving disputes between parties arising from monitoring visits, compliance decisions and any other issues concerning the UEBT/UTZ Herbal Tea Certification Program.		*2.3.11*
8.02	In case of disputes concerning the certification program, the dispute resolution procedures established are followed accordingly. All relevant information and supporting evidence concerning the process is documented.		*2.3.11*
9	**IMS Personnel**		
9.01	There is a formally appointed person responsible for the overall coordination of the IMS (UEBT Coordinator at Member). The person reports directly to Senior Management and is in authority to implement the system for the purpose of the UEBT/UTZ Herbal Tea Certification Protocol.		*2.4.1*
9.02	There are a job description and qualification requirements for the UEBT Coordinator at Member in line with the requirements outlined in UEBT/UTZ Herbal Tea Certification Protocol.	*See Addendum II: Profile of the UEBT Coordinator at Member*	*2.4.1, Addendum II*
9.03	The appointed UEBT Coordinator at Member has the necessary qualifications to fulfill the tasks for which he/she has been appointed and fulfills these according his/her job description.	*See Addendum II: Profile of the UEBT Coordinator at Member*	*2.4.1, Addendum II*
9.04	There are officially appointed Internal Monitor(s) for conducting onsite monitoring visits for the purpose of the UEBT/UTZ Herbal Tea Certification Protocol. The Internal Monitor(s) report directly to the UEBT Coordinator at		*2.4.2*

	Member.		
9.05	There are a job descriptions and qualification requirements for the Internal Monitor(s) in line with the requirements outlined in UEBT/UTZ Herbal Tea Certification Protocol.	*See Addendum III: Profile of the Monitoring Personnel*	*2.4.2, Addendum III*
9.06	The appointed **Internal Monitors** have the necessary qualifications to fulfill the tasks for which they have been appointed and fulfill these according their job description.	*See Addendum III: Profile of the Monitoring Personnel*	*2.4.2, Addendum III*
9.07	There are defined terms of reference and qualification requirements for all other personnel involved in the IMS, including for Local Managers at Source and Local Coordinators at Source (if applicable), in line with the requirements outlined in UEBT/UTZ Herbal Tea Certification Protocol.	*See Addendum IV: Profiles of Local Managers and Coordinators at Source*	*2.4.3, 2.4.4, Addendum IV*
9.08	The UEBT Coordinator at Member, Internal Monitors, Local Managers and Coordinators at Source have been trained for the purpose of the UEBT/UTZ Herbal Tea Certification Program.		*2.4.2, 2.4.3, 2.4.4*
9.09	All personnel (employed staff and external consultants) directly involved in the Internal Monitoring System and UEBT/UTZ Herbal Tea Certification Program sign a statement declaring any and all interests they may have in organizations participating in this Program. This also includes personnel appointed at local level.	*Conflict of interest of any kind shall be avoided. Advisory and monitoring activities should be kept separate and not undertaken by the same person. Personnel with direct interest in the ingredient and/or business of an organization should not conduct the monitoring visits of said organization (e.g. supply chain managers, buyers).*	*2.4.5*
10	**Planning and Preparation of Onsite Monitoring Visits**		
10.01	Procedures/guidelines are in place for planning and preparation of onsite monitoring visits. The procedures are in line with the guidelines outlined in the UEBT/UTZ Herbal Tea Certification protocol.	*Procedures should be in place for:* *- Determining the **scope** and **frequency** of the monitoring visits.* *Determining the **period** and **duration** of the monitoring visits.* *- **Allocating appropriate monitoring personnel** for conducting the monitoring visits.* *- Establishing what **information** should be available prior to monitoring visits*	*2.3.1*

10.02	**Scope** The monitoring visits are conducted at all relevant places and sites, and all applicable field verifiers are checked at the monitoring visits. OR (Exception): The scope of the monitoring visits may be narrowed down to relevant sites on the basis of results of the risk assessment. In this is case, the decision to narrow down the scope is justified and supported through documented evidence.	*Monitoring visits should include:* *- All sites and locations belonging to the Organization at Source and Field Operators that are in any way involved in the sourcing process of the certified Ingredient(s).* *- Subcontracted companies or agencies that are appointed by the Organizations at Source or Field Operators and handle the certified Ingredient in any way.* *- All organizations in the Supply Chain manipulating the Ingredient(s), and whose operations may compromise the authenticity and traceability of the Ingredient, are subject to Traceability checks.*	*2.3.2, 2.3.4, Addendum VII*
10.03	**Frequency** Full on-site Monitoring visits of all Organizations at Source and Field Operators are carried out on an **annual basis.** OR (Exception): The frequency of the monitoring visits may be reduced on the basis of results of the risk assessment. In this is case, the decision to reduce the frequency is justified and supported through documented evidence.	*If a Field Operator represents a group comprised of several individuals (producers, collectors and/or workers), the individuals must be visited on a spot check basis as part of the annual monitoring of the Field Operator. In the cases of sub-supplier structures where an LMS is in place, the UEBT Member must ensure that annual monitoring visits are conducted at the LMS and at least the square root plus one of the sub-suppliers.*	*2.3.3, 2.3.4, Addendum VII*
10.04	*(Applies only if an exception is made regarding the scope or frequency):* Continuous contact is maintained between the UEBT Member and the concerning organization for the period of reduced monitoring. Records of such activities are kept.	*Contact may be in the form of technical support visits, training events, request for up-date (self-assessment) reports, customer visits, or other.*	*2.3.4*
10.05	*(Applies only if an exception is made regarding the scope or frequency):* The IMS ensures that a **full comprehensive monitoring visit** takes place **at the latest** within the third year following the last full monitoring visit.		*2.3.4*

10.06	**Period for Monitoring Visits** Factors that are crucial for or that facilitate the monitoring activities are taken into account when determining the best periods for the monitoring visits. Results of risk assessments are considered for this purpose.	*Such factors may be: Harvest periods, periods of labor-intensive field activities, periods when activities of elevated risk take place, etc.* *Results of the Risk Assessments should also be taken into account for determining the best period for the visit.*	*2.3.1*
10.07	**Duration of Monitoring Visits** Sufficient time is allocated to ensure that all necessary sites and topics are covered, and to assure a complete and sound monitoring work.		*2.3.1*
10.08	**Allocation of personnel** The UEBT Coordinator at Member allocates suitable personnel to conduct the monitoring visits.	*Local knowledge, specific technical expertise and language skills are to be taken into account when allocating the monitoring personnel.* *When necessary, a monitoring team should be assigned in order to assure a complete and sound monitoring work.*	*2.3.1*
10.09	**Information prior to Monitoring Visits** The UEBT Coordinator at Member ensures that sufficient and accurate information is available and provided to the Internal Monitoring personnel in order to allow for efficient and appropriate planning and preparation of the monitoring visits.	*Information is available on:* *- Type of organization, organizational chart, contact details of relevant person(s)* *- Ingredient(s) and their particularities (incl. type, quality, risks, harvesting periods)* *- Size and location of production sites and processing facilities* *- Details about intermediary organizations (if applicable),* *- Number of workers / members* *- information on sub-suppliers (if applicable)* *- Existence of other certifications relevant to the Ingredients subject to certification* *- Results of risk assessment, results of previous audits and respective corrective measures.*	*2.3.1*
10.10	**Monitoring visit plans** are prepared for every monitoring visit conducted and are submitted to the contact person at the Organization at Source at the latest one week prior to the audit.		*2.3.1*

11	**Sampling for Onsite Monitoring Visits**		
11.01	Procedures for sampling of individuals forming part of a Field Operator at source are in place for the purpose of conducting spot checks during monitoring visits.	*A Field Operator may be composed of several individuals that follow same values and practices and that can therefore be considered a unit. In these cases, Individuals forming part of a Field Operator must be visited on a spot check basis as part of the annual monitoring visits.*	*2.3.3*
11.02	The sampling procedures ensure that the spot checks conducted are representative of the total of individuals forming part of the concerned Field Operator.		*2.3.3*
12	**Onsite monitoring activities**		
12.01	Procedures and instructions for monitoring activities are in place for **conducting onsite monitoring visits.** These include instructions for: - Preparing monitoring visit plans - Conducting opening and closing meetings - Collecting onsite evidence	*Onsite activities should ensure that monitoring visits are conducted in a manner that allows for effective and meaningful monitoring and allows internal monitors to obtain a full picture of the situation onsite.*	*2.3.5*
12.02	**Opening and closing meetings** are held at every monitoring visit. All relevant people participate in the meetings.	*Main purpose of the opening meetings should be to present and discuss the purpose, scope and program of the visit. Closing meetings should be held to discuss the findings of the monitoring visits and next steps.*	*2.3.5*
12.03	**Evidence** is collected onsite through: - Conducting interviews with relevant people or groups, - Doing inspections of relevant sites, and - Reviewing relevant documentation.		*2.3.5*
13	**Reporting**		
13.01	Procedures are in place for **reporting on monitoring visits,** including: Instructions for using report templates, scoring, documenting evidence, reporting on findings and suggestions for corrective measures and timelines for submitting reports.		*2.3.6*

13.02	Internal Monitors use the UEBT/UTZ Field Checklist (or equivalent list, approved by UEBT) to report on findings of the monitoring visits.		*2.3.6*
13.03	**Information** provided in the reports **is clear and sufficient comments** are provided in order to allow for 3rd parties to understand the observations and scoring. All relevant sections of the report template are filled in.		*2.3.6*
13.04	The **scoring** is done consistently and according to the UEBT/UTZ Scoring System or equivalent.		*2.3.6*
13.05	Relevant **evidence** to confirm findings is provided and **documented.**	*The relevance of documented evidence must be determined on a case by case basis. As a general rule, any critical, ambiguous, doubtful or problematic finding should be supported by documented evidence.*	*2.3.6*
13.06	All non-conformities found are clearly depicted and explained. If corrective measures that address the non-conformities are discussed onsite, these are noted and clearly described.		*2.3.6*
13.07	Reports of monitoring visits are submitted to the UEBT Coordinator at Member **at the latest one month after the audit.**		*2.3.6*
14	**Follow-up of Onsite Monitoring Visits**		
14.01	There are **procedures** in place for **reviewing** monitoring visit reports, requesting corrective measures and taking compliance decisions.		*2.3.6*
14.02	The UEBT Coordinator at Member makes sure that all monitoring visit reports are reviewed for consistency, completion and quality of the information.		*2.3.6*

14.03	The UEBT Coordinator at Member allows Organizations at Source (whose scores are not sufficient for a "compliant" status) to undertake corrective measures to raise their scores to a "compliant" level only if the non-conformity(ies) identified do(es) not compromise the integrity and/or credibility of the UEBT/UTZ Herbal Tea Certification Program or represent a major breach of trust.		*2.3.8*
14.04	The UEBT Coordinator, in agreement with the Organization at Source, requests corrective measures that are **suitable and sufficient** to address the respective non-conformity(ies) identified.		*2.3.8*
14.05	The **deadlines** for corrective measures that are requested for the purpose of raising a score to a "compliant" level should **not exceed three months** after completion of the monitoring visit. If exceptions are made, these are justified and documented.	*In exceptional cases the deadline may be extended to up to 6 months.*	*2.3.8*
14.06	The implementation of corrective measures is verified, on the basis of documental evidence or onsite checks, and only approved once it has been confirmed as sufficiently fulfilled.	*In no case may the Organization at Source be given the status of "Compliant" nor may the Ingredients of the respective organization be sold as certified before the corrective measure(s) have been implemented and confirmed as sufficiently fulfilled.*	*2.3.8*
14.07	Records of corrective measures evidence are kept.		*2.3.8*
15	**Taking Compliance Decisions**		
15.01	Compliance decisions are made by the UEBT Coordinator at Member and at least one other person. The decision-making process and all decisions are documented. Relevant evidence supporting the decisions is documented.		*2.3.7*

15.02	Compliance decisions are made in a consistent manner, following the UEBT/UTZ Scoring System and compliance rules (or equivalent). Decisions are made on the basis of complete and veritable information. Any exceptions to the scoring rules when making compliance decisions are justified and documented.		*2.3.7*
15.03	Compliance decisions are made at the latest three months after completion of the monitoring visit. Any extensions to the deadline are justified and documented.	*In exceptional cases the deadline for a decision can be extended to 6 months.*	*2.3.7*
15.04	Compliance decisions and respective implications are communicated to the concerned Organization at Source, as well as to relevant departments and persons at Member, in particular those involved in the sourcing of the concerned Ingredients.		*2.3.7*
15.05	Ingredients of Organizations at Source that have not achieved the status of "Compliant" are not bought/sold as UEBT/UTZ.		*2.3.7*
16	**Monitoring and Evaluation Data Collection**		
16.01	Member collects and submits the Monitoring and Evaluation data as defined by UEBT.		*2.3.10*
16.02	The data collection process is monitored by the IMS Personnel and the data is checked for adequacy and accuracy.		*2.3.10*
16.03	The data collected is adequate and correct.		*2.3.10*
17	**Traceability**		
17.01	The UEBT Member has a documented overview of the traceability system, which describes the procedures and record keeping process and the level of traceability applied.		*2.2.6, Addendum V*
17.02	The UEBT Member formally appoints the personnel who are responsible for ensuring the sound implementation of the		*2.2.6, Addendum V*

	traceability system.		
17.03	There is documented information about each of the Specific Supply Chains, including all stages of the production and transformation process. Critical control points for ensuring traceability of the Ingredients are identified for each of the supply chains.		*2.2.6, Addendum V*
17.04	The UEBT Member has established procedures to assess compliance with the traceability requirements at each of the critical control points.		*2.2.6, Addendum V*
17.05	There is a product identification system (coding system) in place for the Ingredients under the certification that allows tracing the Ingredients back to the producer/supplier.	*If Organizations at Source supply products originating from both certified and not certified Field Operators, then the system ensures that Ingredients can be traced back to the level of the Field Operator.*	*2.2.6, Addendum V*
17.06	The UEBT Member keeps records of the sales/purchase documents related to the Ingredients under the certification. These are kept for at least two years.	*The documents can be linked to the respective producer/supplier and include information on the producer/supplier, volumes, varieties, qualities, area of cultivation/collection (if relevant), date of delivery and other relevant information.*	*2.2.6, Addendum V*
17.07	There is a system in place that assures, verifies and monitors that - All products being sold as certified are indeed sourced from producers/suppliers included in the certification. - Volumes of Ingredients sold as certified are never higher than the volumes supplied by the producers/suppliers under the certification.		*2.2.6, Addendum V*
17.08	If the Ingredients are processed / transformed in any way that affects the volumes, information is available on the conversion rates and volumes before and after completion of the process. This applies to any stage in the supply chain.		*2.2.6, Addendum V*

17.09	If the Organization sources Ingredients from producers that are not part of the certification program: - There is a way to distinguish between certified and non-certified Ingredients in the sales/purchase documents. - There is a way to ensure that certified and non-certified Ingredients are kept/handled separately in all stages of the sourcing and production process.		*2.2.6, Addendum V*
17.10	If services are outsourced to a service provider (i.e. for processing, transportation, storage) anywhere in the supply chain, there is a system in place that ensures that the Ingredients remain traceable and that mixing with non-certified Ingredients does not occur. Proof of compliance with the traceability requirements by the outsourced service provider is documented.		*2.2.6, Addendum V*
17.11	Ingredients that are sold as certified by the UEBT Member are only those sourced from the suppliers that have been approved for certification and did not have a 'suspended' status due to non-conformities, breaches of contract, or other at the moment of purchase.		*2.2.6, Addendum V*
17.12	The UEBT Member makes available to the Auditor an overview of the total annual volumes of Ingredients (per Ingredient) purchased under the scope of the certification program, still in stock and the total annual volumes sold as certified. This overview is cross checked with the volumes in the UTZ Good Inside Portal (GIP).		*2.2.6, Addendum V*

UTZ Supplement Requirements			
	Certification requirements	***Guidance Notes***	***ref. UTZ documents***
18	**Premiums and transparency**		
18.01	A "Use of UTZ premium" procedure is in place. The UTZ premium is re-invested at primary producer level, and clearly benefits producers and/or local communities in the sourcing areas, in cash or tangible goods (in kind).	*If applicable:* *The "Use of UTZ premium" procedure and records include:* *- Producer group management spending (e.g. audit cost),* *- Products and services delivered to the producer group (e.g. training, storage facilities).*	*HB3*
18.02	Records are kept and updated regarding the amounts and use of the UTZ premium received and spent.		*HB2*
18.03	The UTZ premium is paid and/or spent in a timely, convenient and transparent manner.	*Communication of premium is documented.*	*HB4*
19	**Pest and disease management**		
19.01	Pesticides listed on the Banned Pesticides List cannot be used at any stage of production, or stored for use on the certified crop. Pesticides listed on the Pesticides Watch List can only be used if: -all IPM measures have been applied, -less hazardous alternatives are not available, and - specific recommendations are followed to mitigate or reduce the risks related to the hazardous nature of the product.		*HB19*
20	**Traceability**		
20.01	All sales and delivery announcements of UEBT/UTZ product, including premium, are recorded in the Good Inside Portal. Records are kept on these sales announcements with the GIP transaction ID.	*Product can only be sold as UEBT/UTZ once the group has a valid UEBT certificate for the UEBT/UTZ Herbal Tea Certification Program*	*HB50*
20.02	The certified volume of herbs available in the GIP matches the physical stock of	*Certified volume, carry-over stock and transactions in GIP are cross checked with the*	

	UEBT/UTZ product in the facilities.	*member's traceability system*	

	Chain of Custody and GIP		
21	**Identification of certified input and output**		
21.01	Documentation relating to the sale of UEBT/UTZ product includes a reference to "UTZ" and to the corresponding traceability level. For products traded in the GIP, sales invoices issued for UTZ product have a corresponding GIP transaction ID.		*ChoC 8*
21.02	UEBT members who trade multi-certified product have available all purchase and sales documentation of product traded under other certification schemes. When a multi-certified volume is sold under a non-UEBT/UTZ certification scheme, the volume is "removed" from the UEBT member's GIP stock, and cannot be double sold.		*ChoC 9*
21.03	All GIP sales announcements and buyer confirmations must represent one or multiple physical deliveries. The information registered in the GIP transaction which corresponds to the product (volume, quality, etc.) is the same as the information reflected in the documentation accompanying the physical delivery.		*ChoC 15*
22	**Product separation and identification**		
22.01	The UEBT Member enables visible identification of UTZ product. This can be done (with or without the UTZ logo) by making references on signs, tags or labels on bags or pallets.		*ChoC 22*
23	**Product claims**		

23.01	The UEBT-member operates a system which ensures that each lot of consumer-end product to be sold with the UTZ claim complies with the latest version of the UTZ Labeling and Trademark Policy.		*ChoC 24*
24	**Field Requirements for Organizations at Source delegated to the UEBT Member** *In some cases the UEBT Member may take responsibility for implementing UEBT/UTZ field requirements on behalf of Organizations at Source. The UEBT Member must then ensure compliance with these requirements (ref. UEBT Certification protocol chapter 2.2.7).*		
	Certification Requirements	***Guidance Notes***	***ref. Herbals Field Checklist***
24.01	*To be added if applicable*		
24.02	*To be added if applicable*		
24.03	*To be added if applicable*		
24.04	*To be added if applicable*		