Copies and translations of this document are available in electronic format on the UTZ website:
www.utz.org/resource-library

Please send your comments or suggestions to:
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Or via regular mail to:
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Standard and Certification Department
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1. INTRODUCTION

1.1. What are the Requirements for Certification Bodies?

Together with the UTZ Certification Protocol, the Requirements for Certification Bodies document describes the UTZ Assurance System. This document includes the process and requirements for becoming an UTZ approved Certification Body (CB), as well as the approval requirements for CB staff.

1.2. When to comply with the Requirements for Certification Bodies

The UTZ Requirements for Certification Bodies 1.2 January 2019 supersedes the UTZ Requirements for Certification Bodies 1.1 January 2018. Version 1.2 is an amended version of version 1.2 January 2018. From April 1st 2019 onwards, the UTZ Requirements for Certification Bodies version 1.2 becomes mandatory and version 1.1 January 2018 is no longer valid.

The approval requirements outlined in chapter 2 have already been mandatory from July 2015, and will remain so from January 2019 until they are superseded by a future version of this document.

CBs and their staff that were already approved under previous versions of the UTZ Protocol remain approved, provided that they are and remain compliant with the training requirements (see section 4.2: Training Modules) and minimum audit requirements (see section 2.2.1 and 2.2.4: Minimum Audit Requirement).

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

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

The Requirements for Certification Bodies version 1.2 introduces an addition (section 3.1 Introduction, 3. CB monitoring) for which the Rainforest Alliance and the UTZ programs recognize each other's CB Monitoring systems.

1.4. Scope of this Document

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

This document is available in English and Spanish. In case there is any doubt on the accuracy of the information in any translated version of this document, please refer to the English version which is the official and binding version.

The translations and additional relevant documents are available on the UTZ website. These documents include:

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

- **Code of Conduct (Code)**: standard for producers / producer groups covering better farming methods and working conditions, as well as better care for nature and next generations. A producer/producer group may sell their products as UTZ certified provided they implement all the requirements of the Code and become certified, following an audit by an approved CB.

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

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

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

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

1.6. Contacting UTZ

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

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

The following abbreviations are used in this document:

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

1.8. Definitions

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

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditor</td>
<td>Qualified person who carries out audits on behalf of and under the responsibility of a CB. According to a sound methodology, auditors collect evidence in order to evaluate how well standards criteria are met. They shall be objective, impartial, and competent.</td>
</tr>
<tr>
<td>Audit</td>
<td>Systematic, independent and documented process for obtaining and assessing audit evidence to determine the extent to which the requirements for UTZ certification are fulfilled.</td>
</tr>
<tr>
<td>Certification Body</td>
<td>Third-party company that conducts audits against one or more of the UTZ standards.</td>
</tr>
<tr>
<td>Certifier</td>
<td>CB staff member (or hired independent contractor) who is approved by UTZ to take certification decisions.</td>
</tr>
<tr>
<td>Scheme Manager</td>
<td>CB staff member who is responsible for the administrative management of the CB's account in the UTZ program.</td>
</tr>
<tr>
<td>UTZ traceability system</td>
<td>An online platform used by all actors in the UTZ program to store CB and member information, plan audits, report audit findings, register transactions of UTZ certified produce, and request and obtain labeling approvals. UTZ currently works with two traceability systems in parallel: the Good Inside Portal (GIP) and MultiTrace. The term UTZ traceability system refers to either of these platforms interchangeably, unless explicitly mentioned otherwise.</td>
</tr>
</tbody>
</table>

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

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

2.1. Introduction

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

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

2.2. CB Approval Requirements

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

2.2.1. Certification Body Compliance Requirements

<table>
<thead>
<tr>
<th>Requirements for CB Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Hold a valid accreditation issued by an Accreditation Body (AB) that is a:</td>
</tr>
<tr>
<td>- Member of the International Accreditation Forum (IAF), or</td>
</tr>
<tr>
<td>- Full member of ISEAL Alliance</td>
</tr>
<tr>
<td>The accepted accreditation scopes and sub-scopes are:</td>
</tr>
<tr>
<td>- <strong>ISO 17065:2012</strong> for Code of Conduct or Chain of Custody certification.</td>
</tr>
<tr>
<td>Valid sub-scopes include e.g. organic certification (Regulation (EC) No 834/2007) or GLOBALGAP (IFA Standard).</td>
</tr>
<tr>
<td>- <strong>ISO 17021:2015</strong> for Chain of Custody certification <strong>only</strong>.</td>
</tr>
<tr>
<td>Valid sub-scopes include e.g. ISO 9001 (EA Scope reference 3) or ISO/FSSC 22000 (Category C).</td>
</tr>
<tr>
<td><strong>NOTE:</strong> the UTZ approved CB is the CB’s office that holds the accreditation.</td>
</tr>
<tr>
<td>b. Have an UTZ approved Scheme Manager and one or more certifiers that, together, are approved for all products and standards included in the CB’s scope.</td>
</tr>
<tr>
<td>c. Minimum audit requirement for CBs approved for Code of Conduct:</td>
</tr>
<tr>
<td>- Conduct a minimum of 5 UTZ Code of Conduct audits per year</td>
</tr>
<tr>
<td>The number of audits will be reviewed by UTZ at the end of each calendar year, based on the CB’s annual reporting submitted to UTZ (see UTZ Certification Protocol 4.2, section 3.5) and based on UTZ’s own internal data. Valid audits to meet the minimum audit requirement are all (re)-certification audits that lead to either certification, suspension or non-certification. Pre-audits, follow-up audits or surprise audits shall not be counted to meet the minimum audit requirement. CBs not meeting the minimum audit requirement shall be disapproved for the Code of Conduct scope.</td>
</tr>
</tbody>
</table>

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

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1. This shall be a Full Member that has signed a Multilateral Recognition Agreement (MLA) with IAF and has been granted the scope and sub-scopes that are applicable to the CB’s accreditation used for UTZ CB approval.
2. Because of this requirement, in case of long-term absence (e.g. due to maternity leave or sick leave) of a Scheme Manager or certifier, CBs shall ensure someone else is approved as a replacement in a timely manner.
3. UTZ reserves the right to amend the minimum audit threshold, if this would disrupt the level-playing field.
The commodity and standard scope a CB can be approved for depend on the scope of its ISO 17065:2012 or ISO 17021:2015 accreditation and the combined scopes of the CB's approved certifiers.

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

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

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

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

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

Subcontracting by an approved CB ("CB X") of another CB ("CB Y"), Inspection Body or freelance auditor is allowed for UTZ audits. The subcontractor (CB Y) shall have a contract with the approved CB (CB X) and shall be included in the scope of its ISO 17065 or ISO 17021 accreditation. By all means the subcontracting CB (CB X) remains responsible for the certification and for managing the user accounts and rights of the subcontractor (CB Y) in the UTZ traceability system. UTZ therefore considers subcontracted staff as staff of the approved CB (CB X). When a CB subcontracts another CB for an UTZ audit, the subcontracted CB may not present itself to the member under its own CB name, but shall clearly stipulate that they work under the leadership of the subcontracting CB.

2.2.2. Scheme Manager Compliance Requirements

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

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

### Requirements for (obtaining and maintaining) Scheme Manager Approval

| a. | Successful completion of the applicable mandatory UTZ training modules described in section 4.2 |
2.2.3. Certifier Compliance Requirements

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

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

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

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

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

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

### Requirements for (obtaining and maintaining) Certifier Approval

<table>
<thead>
<tr>
<th>Code of Conduct</th>
<th>Chain of Custody</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a</strong> Successful completion of post-high school (post-secondary school) training in agriculture or horticulture, including the understanding and application of Good Agricultural Practices (GAP) <strong>OR</strong> At least 5 years of work experience in agriculture or horticulture</td>
<td>Successful completion of post-high school (post-secondary school) training in agriculture, horticulture or a food-related discipline <strong>OR</strong> At least 5 years of work experience in agriculture, horticulture, or the food industry</td>
</tr>
<tr>
<td><strong>b</strong> Successful completion of the applicable mandatory UTZ training modules described in section 4.2</td>
<td>Successful completion of the applicable mandatory UTZ training modules described in section 4.2</td>
</tr>
<tr>
<td><strong>c</strong> Demonstrable knowledge of the production and processing systems of the applicable commodity(ies) <strong>AND</strong> Experience in auditing these commodity systems (at least 10 relevant audits or 40 relevant working days as an auditor or certifier in this commodity)</td>
<td>Demonstrable knowledge of the processing systems of the applicable commodity(ies) <strong>AND</strong> Experience in auditing these commodity systems (at least 10 relevant audits or 20 relevant working days as an auditor or certifier in this commodity)</td>
</tr>
<tr>
<td><strong>d</strong> Experience in auditing GAP and/or organic agriculture standards (at least 10 relevant audits or 40 relevant working days as an auditor or certifier) <strong>AND</strong> Successful completion of IRCA certified ISO 9001:2015 lead auditor course, or IRCA certified ISO 22000:2015 lead auditor course.</td>
<td>Experience in auditing chain of custody standards (at least 10 relevant audits or 20 relevant working days as an auditor or certifier) <strong>AND</strong> Successful completion of IRCA certified ISO 9001:2015 lead auditor course, or IRCA certified ISO 22000:2015 lead auditor course.</td>
</tr>
<tr>
<td><strong>e</strong> Experience in auditing social standards (at least 10 relevant audits or 40 relevant working days as an auditor or certifier) <strong>OR</strong> Successful completion of basic or advanced SA8000:2014 auditor training</td>
<td></td>
</tr>
</tbody>
</table>

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

## 2.2.4. Auditor Compliance Requirements

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

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

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

<table>
<thead>
<tr>
<th></th>
<th>Requirements for (obtaining and maintaining) Auditor Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>Successful completion of post-high school (post-secondary school) training in agriculture or horticulture, including the understanding and application of Good Agricultural Practices (GAP) OR At least 2 years of work experience in agriculture or horticulture</td>
</tr>
<tr>
<td>b</td>
<td>Successful completion of the applicable mandatory UTZ training modules described in section 4, 2.</td>
</tr>
<tr>
<td>c</td>
<td>Demonstrable knowledge of the production and processing systems of the applicable commodity(s) OR Experience in auditing these commodity systems (at least 10 relevant audits or 40 relevant working days as auditor or trainee)</td>
</tr>
<tr>
<td>d</td>
<td>Experience in auditing GAP and/or Organic agriculture standards (at least 10 relevant audits or 40 relevant working days as an auditor or trainee) AND Successful completion of a lead auditor training course related to management systems***.</td>
</tr>
<tr>
<td>e</td>
<td>Experience in auditing social and/or environmental standards (at least 10 relevant audits or 40 relevant working days as an auditor or trainee) ****.</td>
</tr>
<tr>
<td>f</td>
<td>Contract with the UTZ approved CB performing the audit.</td>
</tr>
</tbody>
</table>

### Code of Conduct

- Successful completion of post-high school (post-secondary school) training in agriculture, horticulture, or food-related discipline OR At least 2 years of work experience in agriculture, horticulture, or the food industry

### Chain of Custody

- Successful completion of the applicable mandatory UTZ training modules described in section 4, 2.

#### a. Code of Conduct

- Successful completion of post-high school (post-secondary school) training in agriculture or horticulture, including the understanding and application of Good Agricultural Practices (GAP)
- At least 2 years of work experience in agriculture or horticulture

#### b. Chain of Custody

- Successful completion of the applicable mandatory UTZ training modules described in section 4, 2.

#### c. Code of Conduct

- Demonstrable knowledge of the production and processing systems of the applicable commodity(s)
- Experience in auditing these commodity systems (at least 10 relevant audits or 40 relevant working days as auditor or trainee)

#### d. Chain of Custody

- Experience in auditing chain of custody standards (at least 10 relevant audits or 20 relevant working days as an auditor or trainee) **.
- Successful completion of a lead auditor training course related to management systems***.

#### e. Code of Conduct

- Experience in auditing social and/or environmental standards (at least 10 relevant audits or 40 relevant working days as an auditor or trainee) ****.

#### f. Chain of Custody

- Contract with the UTZ approved CB performing the audit.

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* *GAP, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), MSC, RSPO
** Fairtrade, GRASP, SA8000, SMETA
*** ISO 14001, LEAF Marque, SAN
**** ISO 14001, LEAF Marque, SAN

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For a more detailed explanation of the requirements, see section 4.2.
Minimum audit requirement for each approved auditor:
Conduct a minimum of 5 UTZ Code of Conduct audits per year

Including but not limited to:
* GLOBALGAP, LEAF Marque, national standards (relevant scopes), Organic
*** ASC, BRC, FSC, GFSI, HACCP, IFS, ISO 9000 (scope 1 or 3), ISO 22000 (scope B or E), MSC, RSPO
*** The training course shall have a minimum duration of at least 40 hours (equivalent to the IRCA certified ISO 9001 or ISO 22000 lead auditor course). The certificate shall specify the course content and duration.
**** Fairtrade, GRASP, ISO 14001, LEAF Marque, SA8000, SAN, SMETA

2.3. CB Approval Procedure

<table>
<thead>
<tr>
<th>Approval Procedure:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The CB applies for approval using the application form that is available upon request at <a href="mailto:cbmanagement@utz.org">cbmanagement@utz.org</a>. Through the application form, the CB indicates which person(s) are appointed as Scheme Manager and certifier(s) (this may, but does not need to be the same person), and for which commodity, geographical, and standard scope the CB wishes to apply for.</td>
</tr>
<tr>
<td>2. The CB sends the completed application form together with soft copies of the following documentation to <a href="mailto:cbmanagement@utz.org">cbmanagement@utz.org</a>:</td>
</tr>
<tr>
<td>1. Valid accreditation certificate, including description of scope</td>
</tr>
<tr>
<td>2. Organization's chart of head and local offices and internal structure</td>
</tr>
<tr>
<td>3. List of subcontracted CBs, certifiers, and auditors that may perform UTZ audits</td>
</tr>
<tr>
<td>4. List of countries to be included in the geographical scope of the CB, including contact details to include in the UTZ List of Approved CBs</td>
</tr>
<tr>
<td>5. Proof that the proposed Scheme Manager and certifier(s) meet all requirements (see previous section)</td>
</tr>
<tr>
<td>In case of potential conflicts of interest (e.g. the CB has a certain relationship with an UTZ member, or the CB also provides consultancy and training activities to UTZ members), UTZ will be explicitly informed upfront during the application process.</td>
</tr>
<tr>
<td>3. UTZ confirms receipt within one week, and afterwards verifies the sent documentation. If all requirements are met, a copy of the &quot;CB Framework Agreement&quot; and the &quot;CB Monitoring System Document&quot; is sent to the CB. The former includes details on the obligations, monitoring, and other conditions applicable to UTZ approved CBs, while the latter describes the UTZ CB Monitoring System.</td>
</tr>
<tr>
<td>4. The CB signs the &quot;CB Framework Agreement&quot; and sends it back to UTZ. By signing the agreement, the CB commits to include in its contractual agreements with its clients that the results of their audits may be used by UTZ to evaluate the performance of the CB, and that there is a possibility they may be audited directly by UTZ.</td>
</tr>
<tr>
<td>5. UTZ issues an official approval statement and sends it to the CB.</td>
</tr>
<tr>
<td>6. The CB receives access to the UTZ traceability system and is listed on the &quot;UTZ List of Approved Certification Bodies&quot;.</td>
</tr>
<tr>
<td>7. The Scheme Manager provides all approved certifiers access to the UTZ traceability system and keeps records of all approved certifiers and auditors up to date in the UTZ traceability system.</td>
</tr>
</tbody>
</table>

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4 The number of audits conducted per auditor will be reviewed by UTZ at the end of each calendar year, based on CB's annual reporting submitted to UTZ (see UTZ certification Protocol 4.2, section 3.5) and based on UTZ' own internal data. Valid audits to meet the minimum audit requirement are all (re-)certification audits that lead to either certification, suspension or non-certification. Pre-audits, follow up audits or surprise audits shall not be counted to meet the minimum audit requirement. Auditors not meeting the minimum audit requirement shall be disapproved by the CB for the Code of Conduct scope.
3. CB MONITORING

3.1. Introduction

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

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

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

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

As a result of the merger, the Rainforest Alliance and the UTZ programs recognize each other’s CB Monitoring systems. This means that any CB monitoring results (data, decisions, etc.) of the UTZ program are relevant and may be taken into account for the CB Monitoring activities for the RA program, and vice versa.

If either of the CB monitoring programs determine that the CB’s credibility has been impacted, either or both of the CB monitoring programs may sanction, suspend or terminate the CB’s authorization or approval.

3.2. Monitoring methodology

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

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

3.3. Monitoring period

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

3.4. Monitoring scale

A 1-5 scale is used to score the performance of the CBs on each of the KPIs. The scale is explained as follows:

1. **Very poor:** No compliance
2. **Poor:** Actions shall be taken for improvement
3. **Average:** Actions should be taken for improvement
4. **Good:** There is still room for improvement
5. **Very good:** Full compliance, no further actions needed
3.5. **Key Performance Indicators**

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

### 3.5.1. Reporting (KPI 1)

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

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

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

### 3.5.2. Communication (KPI 2)

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

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

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

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

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

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

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

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

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

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

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

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

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

#### Shadow audits

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

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

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

#### Parallel audits

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

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

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

Table 1. KPI’s weight

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

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

3.7. Reporting and communication

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

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

4.1. Introduction

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

4.2. Training Modules

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

Auditors may also be trained by Scheme Managers or certifiers (see section 4.3), provided that the trainer Scheme Manager or certifier has completed the training module and holds the applicable badge(s).

The following list shows all available training modules and for whom they are mandatory:

* SM = Scheme Managers, C = Certifiers, A = Auditors
X = always mandatory; O = only mandatory if corresponding standard or commodity scope applies

<table>
<thead>
<tr>
<th>Code</th>
<th>Content</th>
<th>Mandatory for*</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM</td>
<td></td>
<td>SM  C  A</td>
<td></td>
</tr>
<tr>
<td>ITU</td>
<td>Introduction to the UTZ Program and CB approval process</td>
<td>X  X  X</td>
<td>Code of Conduct scope only</td>
</tr>
<tr>
<td>CCC</td>
<td>Code of Conduct</td>
<td>O</td>
<td>Code of Conduct scope only</td>
</tr>
<tr>
<td>CHC</td>
<td>Chain of Custody</td>
<td>O</td>
<td>Chain of Custody scope only</td>
</tr>
<tr>
<td>CEP</td>
<td>Certification Protocol</td>
<td>X  X</td>
<td></td>
</tr>
<tr>
<td>HBU</td>
<td>Reporting in the UTZ program</td>
<td>O  O  O</td>
<td>Code of Conduct scope only</td>
</tr>
<tr>
<td>AUDITING PRACTICES</td>
<td></td>
<td>SM  C  A</td>
<td></td>
</tr>
<tr>
<td>APC</td>
<td>Auditing Practices Coffee</td>
<td>O</td>
<td>Code of Conduct Coffee scope only</td>
</tr>
<tr>
<td>APO</td>
<td>Auditing Practices Cocoa</td>
<td>O</td>
<td>Code of Conduct Cocoa scope only</td>
</tr>
<tr>
<td>APT</td>
<td>Auditing Practices Tea</td>
<td>O</td>
<td>Code of Conduct Tea scope only</td>
</tr>
<tr>
<td>APR</td>
<td>Auditing Practices Rooibos</td>
<td>O</td>
<td>Code of Conduct Rooibos scope only</td>
</tr>
<tr>
<td>APZ</td>
<td>Auditing Practices Hazelnut</td>
<td>O</td>
<td>Code of Conduct Hazelnut scope only</td>
</tr>
<tr>
<td>CHH</td>
<td>Chain of Custody for Herbals</td>
<td>O  O</td>
<td>Chain of Custody Herbals scope only</td>
</tr>
<tr>
<td>APS</td>
<td>Auditing Practices Supply Chain</td>
<td>O  O</td>
<td>Chain of Custody scope only</td>
</tr>
<tr>
<td>APV</td>
<td>Auditing Practices Volume Estimate</td>
<td>O</td>
<td>Code of Conduct scope only</td>
</tr>
<tr>
<td>QUALITY OF IMPLEMENTATION</td>
<td></td>
<td>SM  C  A</td>
<td></td>
</tr>
<tr>
<td>RAS</td>
<td>Risk Assessment and Sampling Guidelines</td>
<td>O</td>
<td>Code of Conduct scope only</td>
</tr>
<tr>
<td>TRA</td>
<td>Online Certificate Handling – GIP</td>
<td>X  X</td>
<td></td>
</tr>
</tbody>
</table>

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

Certifiers and Scheme Managers who have successfully completed any of the modules above and hold a valid badge for these modules may organize internal training sessions on the same topic within their organization, provided that they use the training material and guidelines provided on the UTZ website (translating it to the local language if needed).

Any other training material used shall be submitted to UTZ for approval (to cbmanagement@utz.org) prior to delivery of any training sessions. The training agenda (including date and program) and list of participants (including signatures) shall be submitted to UTZ (in English, French, Spanish or Portuguese) after the end of the course, as well as the assessments, if required by the specific training module. UTZ will then issue the corresponding badges with a validity of 2 years.
5. SANCTION POLICY

5.1. Introduction

UTZ reserves the right to sanction CBs based on evidence of improper procedure or behavior that jeopardizes the credibility of UTZ and/or compromises its assurance system. There are four levels of sanction that UTZ can impose on a CB: warning, yellow card, red card or cancellation of the CB’s approval.

The sanction given depends on the severity of the misconduct and on previous sanctions given to the CB, as explained below. UTZ may decide on any level of sanction at any moment; this means that there is no need of follow a linear sequence of sanctions (i.e. a red card may be directly issued without any previous warning or yellow card) nor to wait until the end of a monitoring period.

5.2. Sanction levels

5.2.1. Warning

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

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

- Unjustified delay during the license request process or communication with UTZ (e.g. regarding an audit planning for CB Monitoring purposes)
- Inappropriate closure of non-conformities
- Inaccurate or incomplete information provided by certifier, auditor or Scheme Manager
- “Poor” or “Very Poor” performance in two consecutive CB Monitoring periods
- Violations of the Certification Protocol (e.g. sending a certificate to the member prior the approval of the license)

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

5.2.2. Yellow card

A yellow card is the second level of sanction. Situations in which a yellow card can be issued include (but are not limited to):

- Further misconduct after two warnings in the previous 12 months
- Further misconduct after three warnings in the previous 24 months
- When the CB disrespects a decision taken by UTZ (e.g. certificates are signed by a suspended certifier)
- Credibility risks arising to the UTZ program due to performance of the CB

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

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

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

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

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

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

### 5.2.3. Red card

Situations in which a red card can be issued include (but are not limited to):

- Proven misconduct of a CB while holding a yellow card status
- Negative outcome of the monitoring audit performed to lift yellow card status
- When the conditions for the approval are not met to its fullest (e.g. no Scheme Manager or certifier is available in the CB for a certain commodity or scope, the accreditation status/scope is no longer valid)

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

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

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

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

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

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

5.2.4. Approval cancellation

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

Situations in which UTZ can decide to cancel a CB’s approval include, but are not limited to:

- Deliberate misconduct of the CB (e.g. performing audits or signing new contracts whilst subject to a red card)
- Misconduct that seriously damages UTZ’s reputation

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

5.3. Issuing and lifting of sanctions

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

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

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

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

5.4. Grievance and appeals procedures

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

Office audits

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

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

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

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

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

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

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

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

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

How the shadow audits are conducted is described as follows:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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