

Hazelnut Protocol 2018

To be used in combination with Certification Protocol Version 4.2 January 2018

Certification Conditions against the Code of Conduct Certification are described in the UTZ Certification Protocol version 4.2, January 2018.

Additional certification conditions for the Hazelnut Program in Turkey are described in this document.

If there is a contradiction between what is required from the UTZ Certification Protocol version 4.2, January 2018 and what is required from the present document, the process or requirements stipulated in this document takes precedence.

1. Contract between the CB & Member in Multi Trace:

Once the audit arrangements, including the audit scope, fee and timeframe are confirmed, the agreements made between the Member and the CB need to be documented in an **Audit Contract**, to be signed by both the Member and the CB prior to the actual audit. We suggest the contract to include at least the elements mentioned in paragraph 4 on Non Conformities and corrective actions (to be found below in this document), and specify the time-frames to be taken in follow up of the audit by each party. Once the contract has been signed and the (tentative) audit days are decided, the audit shall be planned in Multi Trace by the CB. The member will have to accept (or deny in case of error) the planned audit in Multi Trace. Accepting will give the CB access to the information of the member in Multi Trace for preparation of the audit.

2. Preparation of the audit:

Documents to be shared with the CB by the member:

- Complete group member registry (G.A.8), filled out in the Multi Trace format. This shall be uploaded in Multi-Trace no later than one week before the first day of the audit.
- List of all intermediaries and/or subcontractors (if applicable), including their activities (for example Manavs and/or Crackers). See the rules on **Intermediaries and subcontractors at Code of Conduct level** on page 11 of the [Certification Protocol](#). The list of intermediaries shall be filled in in Multi-Trace no later than one week before the first day of the audit.
- Self-assessment (G.A.12), using the UTZ checklist(s) that apply to the scope of the certification (Code of Conduct + Hazelnut Module and/or Chain of Custody Standard) to be downloaded in Multi-Trace. The self-assessment should be filled out, indicating which CPs the member does and does not comply with or are not applicable, including an explanation for all CPs. The self-assessment should take into account the results of the internal inspections (this implies that a full round of internal inspections has been completed before the self-assessment is done). This shall be uploaded in Multi Trace no later than one week before the first day of the audit.
- Self-assessment of the subcontractor(s) (if any). This shall be uploaded in Multi Trace no later than one week before the first day of the audit.
- From year 3 onwards, a Management plan of group (G.A.17). This shall be uploaded in Multi Trace no later than one week before the first day of the audit.
- Extract of all the activities in Multi Trace (including all transactions and stock activities).
- Results and supporting documentation of previous UTZ audits, including of those audits that did not result in certification (e.g. surprise audits and audits conducted by different CBs).

Note: The documents shall be shared no later than one week before the audit however it is advisable they are shared longer before the audit to give the CB enough time for revision before the audit. The audit may not take place before the required documents are shared. If the CB conducts an audit without having had access to the documents mentioned above, this will feed into the CB and member monitoring programs and will lead to follow up actions from UTZ if deemed necessary. Multi Trace monitors whether the required documents are shared with the CB on time.

Review of the documents by the CB:

The CB prepares for the audit by reviewing the documentation submitted by the member (see above), information about the member available in the UTZ traceability system and any other relevant information it may have received. Based on this, the CB determines whether preconditions for conducting the audit are met,

and if so, which topics deserve special attention. The CB also uses this information to determine the preliminary audit sample.

3. Audit timing:

Due to context of Hazelnuts and the risks identified by UTZ, the Code of Conduct audit shall take place **during the harvest period**, meaning when active harvesting activities are taking place on the farms. However, to facilitate an earlier certification date, UTZ provides the option (not mandatory) for the Code of Conduct IMS audit to take place before the harvest period.

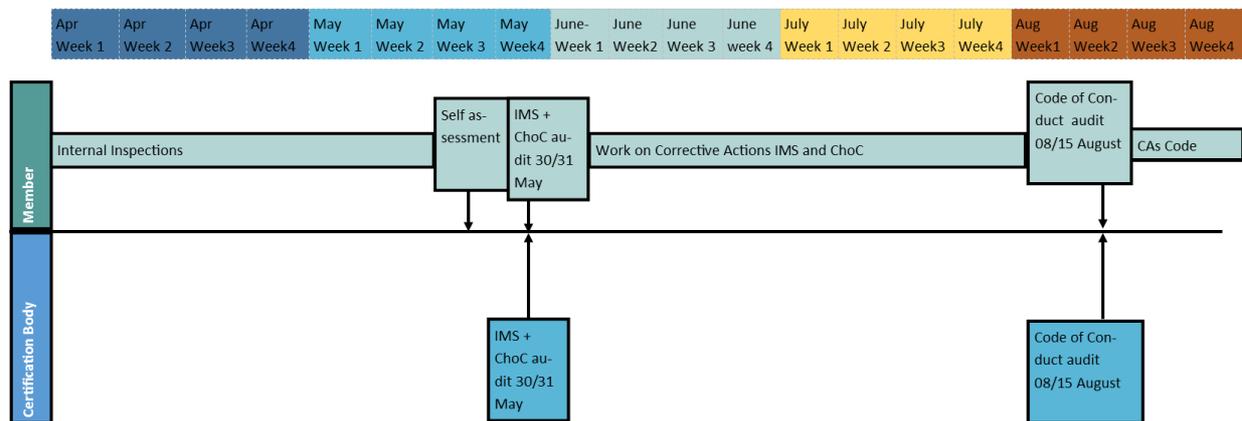
With this option the audit is conducted in two phases:

1. Code of Conduct IMS audit: may take place up to 4 months before the first day of the harvest (up to the 1st of April earliest). During this phase of the audit, members that also have a Chain of Custody may include the Chain of Custody audit in this phase.
2. Code of Conduct Field audit: shall take place during the harvest.

Conditions for the IMS audit prior to the harvest:

- The Member finalized all internal inspections and did the self-assessment for both Code of Conduct, ChoC (and subcontractors).
- The member shares all the information described under "Preparation of the Audit" with the CB at least one week prior to the first audit date of the IMS audit.

Example:



4. Non-Conformities and corrective actions:

During the audit, the contracted CB will evaluate the compliance of the Member's organization on all applicable control points of the **UTZ Certified Core Code, Hazelnut Module** and in certain cases **Chain of Custody Standard**.

In case of Non Conformities the CB and member shall agree on the Non Conformities and their closure during the closing meeting of the audit. During the closing meeting:

- CB and member agree on and sign the list of NCs. The list of Non Conformities might be subject to slight changes after internal review by the CB. For a smooth/efficient/quick certification process, it is strongly recommended to do this no later than two weeks after the closing meeting.
- The CB and member agree on a time-frame in which the member will send the Root Cause analysis, proposed Correction and Corrective Action. For a smooth/efficient/quick certification process, it is strongly recommended to do this no later than two weeks after the closing meeting.
- The CB and member agree on a time-frame in which the member will send the evidence of closure to the CB for each Non Conformity and the time-frame for the CB to review the evidence. These time-frames shall be as short as possible to allow time for adjustments.

In case the audit takes place in two phases, there shall be one closing meeting after the IMS (and ChoC) audit and a second closing meeting after the field audit. Non Conformities found during the first phase of the audit shall be closed and shall be documented as soon as possible and within the maximum time-frame indicated by the Certification Protocol. UTZ reserves the right to request the results and follow up of the IMS-audit for review purposes. Non Conformities found during the field audit shall be closed as soon as possible and within the

maximum time-frames given by the certification protocol. All Non Conformities from both phases, the Root Cause Analysis, the Corrections and Corrective Actions shall be included in the final audit findings report and uploaded in Multi Trace.

Note: the maximum timeframes indicated in the Certification Protocol are to be seen as maxima, and the member and CB shall always ensure the Non Conformities are closed in the shortest time possible. In case the Non Conformities cannot be closed within that time-frame there cannot be a positive certification decision.

5. Volumes:

The harvest from the group members included for UTZ certification may not be sold as certified by the member before the license and certificate for that particular harvest has been approved.

However, if members already have an **active** ChoC license and volumes in that license (stock/certified stock) at Mass Balance, these volumes can be used to sell volumes as UTZ according to our current [Chain of Custody](#) rules.

6. Questions:

(Prospect) Code of Conduct members can contact: osman.tekinarslan@utz.org

Chain of Custody members can contact: membersupport@utz.org

CBs can contact: hazelnutcertification@utz.org

In case of questions related to the use of MTT CBs and members can contact: techsupport@utz.org