



UEBT
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WITH RESPECT



REQUIREMENTS FOR CERTIFICATE HOLDERS

FARMS AND LOCAL COMPANIES

For UEBT Ingredient Certification and UEBT/Rainforest Alliance
Herbs & Spices Programme

Version May 2022

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1. Who this document is for

This document is specifically for any current or potential UEBT certificate holder that is:

- an individual farm or plantation
- a group of farms
- a producer or collector/picker organisation or cooperative
- a local organisation or company based in or close to the sourcing origins such as a local processing company



If you represent the following:

- processing companies that are not located in the sourcing regions
- manufacturing companies (often with final products) that are not located in the sourcing regions

Then you do not need to read this document and should instead download and read the *UEBT Requirements for Certificate Holders* that is specifically for 'companies not located in sourcing regions.' This document can be found in the Resources section of the UEBT web site at <https://www.ethicalbiotrade.org/resources>.

If you are unsure which document pertains to you, please write to us at certification@uebt.org to discuss before you set up your systems to prepare for your external audit.

Note for auditing partners reading this document: A key document for auditors is the *UEBT System Checklist* which is used by external auditors when conducting full audits for UEBT certification programmes. The *System Checklist* translates the information from this *Requirements for Certificate Holders* document specifically for the auditors' use in assessing the certificate holder.

2. Introduction and purpose of this document

This document is for potential certificate holders who wish to become part of the UEBT ingredient certification programme or the UEBT/Rainforest Alliance Herbs & Spices Programme. It is also useful for current certificate holders.

This includes farms, cooperatives or other organisations located in sourcing regions (called 'organisations at source').

In this document when we refer to 'certificate holders' we mean both current certificate holders and potential future certificate holders.

The document lays out the different steps and requirements to prepare for your external audit in the UEBT ingredient certification programme (including the UEBT/Rainforest Alliance Herbs & Spices Programme). It includes the conditions that need to be in place and the steps that should be followed for monitoring the implementation of the good practices in the UEBT standard and ensuring compliance with those requirements. It helps a certificate holder - whether a farm or a local processing company - to prepare for an external audit by a certification body.

2.1 The UEBT ingredient certification programme

UEBT's certification of ingredients from biodiversity assures that a natural raw material is sourced with respect for people and biodiversity. Certification is granted once independent audits check compliance with the Ethical BioTrade Standard (the UEBT standard) in the areas where ingredients from biodiversity are sourced. Traceability through to the area of collection or cultivation, and to the farmers and/or pickers is always required. Audits are conducted by third party auditors, but internal control systems that reduce the need for external audits can be deployed at different stages of the supply chain.

Here is an overview of the scope of this programme:

Who: This programme is for organisations and companies that source (cultivate, collect, process or purchase) natural raw materials. This programme is for farms, cooperatives, local processors or traders. It is also for companies that are sourcing natural raw materials from diverse sources, sometimes from complex supply chains, and that systematically and closely monitor their supply chains regarding social and environmental practices.

What: This programme is focused on natural raw materials, often simplified in communications as 'ingredients' – see box for a description of this terminology). These include such natural raw materials as seeds, flowers, stems, leaves, fruits, nuts, resins, herbs, spices, beeswax, algae, roots and barks, among others. UEBT ingredient certification ensures that the sourcing of a natural raw material adheres to standards on sustainable use of biodiversity, fair and equitable benefit sharing, local development and labour rights, among other issues covered in the UEBT standard.

Why is this called ‘ingredient’ certification?

It is important to clarify the link between “ingredient” and “raw material.” In the UEBT context, these terms mean the same. In its general communication (such as in our web site or in the name of this programme), UEBT uses the term “ingredient,” which is widely understood to refer to the material, substances or mixtures that go into food, cosmetic or pharmaceutical products. Among companies, however, “ingredient” is a technical term and may be understood in different ways. To avoid confusion, in its technical communication, UEBT uses the term “raw material” to refer to the material, substances or mixtures that go into food, cosmetic or pharmaceutical products – whether it is crude or processed, pure or combined.

Biodiversity is the variety of life on Earth – the diversity of ecosystems, species and genes within species. Any living organism is considered a component of biodiversity, whether plant, animal, microorganism or fungus. The Ethical BioTrade Standard thus applies to raw material such as plant parts (e.g., flowers, leaves, roots, stems, fruits or bark) and plant compounds (e.g., plant-based oils, butters, waxes, extracts, flavours, fragrances, colorants). Plant cells, microorganisms, algae and beeswax would also be covered. The UEBT standard also refers to this type of raw material as “natural raw material.”

How: External auditors look at the physical areas of wild collection or harvest, and the conditions under which people work, both in the sourcing areas and in the processing of raw materials. This includes an inspection of wild collection areas and/or agricultural lands, and interviews with harvesters, farmers, farmworkers, smallholders, and/or pickers. UEBT certification is granted once external, independent audits check compliance with the UEBT standard in the areas where natural raw materials are sourced. More specifically, the tool used to assess compliance is a comprehensive ‘UEBT Field Checklist’ that is used to check the requirements are met. For potential certificate holders in the UEBT/Rainforest Alliance Herbs & Spices Programme, there is a slightly different tool called the ‘UEBT/Rainforest Alliance Consolidated Field Checklist’ (see section 2.2). The checklists include all the criteria and indicators to be checked in the field and have a scoring system and guidance on how to score the certificate holder for each indicator.

Who can be a certificate holder

For UEBT ingredient certification (including the UEBT/Rainforest Alliance Herbs & Spices Programme), a certificate holder can be any of the following types of entities:

1. Buying companies – local, national or international
2. Processing companies – local, national or international
3. Individual farms of any size
4. Farmer groups or producer cooperatives

Note for companies not located in the sourcing areas: Processing and buying companies not located in sourcing regions should download and read the version of this *UEBT Requirements for Certificate Holders* that is specifically for 'companies not located in sourcing regions.'

2.2 UEBT/Rainforest Alliance Herbs & Spices Programme

This document is also for the UEBT/Rainforest Alliance Herbs & Spices Programme. This programme brings together the current UEBT/UTZ Herbal Tea Program along with the UTZ and Rainforest Alliance certification programs for herbs, spices, rooibos, and vanilla.

Scope of the programme

The UEBT/Rainforest Alliance Herbs & Spices programme applies to:

- all ingredients for herbal and fruit infusions, including rooibos
- other herbs & spices, including vanilla, chili, or pepper

What standards apply

The certification for farm certificate holders in the Herbs & Spices Programme is based primarily on the UEBT standard since the standard was designed for ingredients that are cultivated or collected from the wild (in technical terms, this means natural raw materials cultivated or wild collected).

The UEBT standard is complemented by [selected requirements](#) from the new Rainforest Alliance 2020 Sustainable Agriculture Standard. Together, these are part of the UEBT/Rainforest Alliance requirements. For practical purposes, these requirements are described in a [consolidated Field Checklist](#) (based on the UEBT standard and the selected Rainforest Alliance requirements) and a System Checklist that is a document for auditors and is based on this document – requirements for certificate holders – as well as additional assurance system requirements from Rainforest Alliance.

Exceptions to the programme

- Organisations that are cultivating **herbs, spices, rooibos or other herbal tea ingredients together with coffee, cocoa, tea, fruit, nuts, flowers, vegetables or palm oil**, and that wish to use the Rainforest Alliance trademarks and claims for these crops, certification against the Rainforest Alliance 2020 Standard applies. This certification covers all crops cultivated on the farm, including herbs, spices, rooibos and other herbal tea ingredients. Please note, that this excludes wild collection, for which an additional certification against the UEBT/Rainforest Alliance requirements is always required to use the Rainforest Alliance trademark and claims.
- For organisations that do not wish to use the Rainforest Alliance trademarks and claims for the coffee, cocoa, tea, fruits, nuts, flowers, vegetables or palm oil they are cultivating, UEBT/Rainforest Alliance

requirements apply. This UEBT/Rainforest Alliance certification will cover all herbs, spices, rooibos and other herbal tea ingredients cultivated on the farm (but no other crops). It will also cover wild collection.

- Organisations that are cultivating **chili or pepper** (*piper nigrum*) without any other Rainforest Alliance Certified crop (such as coffee, cocoa, tea, fruit, flowers, nuts, vegetables, or palm oil) may choose between certification against the UEBT/Rainforest Alliance requirements or against the Rainforest Alliance 2020 Standard
- Certificate holders that are **collecting herbs, spices, or herbal tea ingredients from the wild** will always be required to comply with the UEBT/Rainforest Alliance requirements (because they are based on the UEBT standard that has criteria on wild collection) in order to use the Rainforest Alliance trademarks and claims.

Supply chain actors sourcing certified products

Buying or processing companies that do not hold a UEBT/Rainforest Alliance certificate for the Herbs & Spices Programme (are not certificate holders) but are sourcing products certified as part of the new Herbs & Spices Programme would require Rainforest Alliance certification against the new Rainforest Alliance 2020 Sustainable Agriculture Standard's [Supply Chain Requirements](#). Companies that previously used the UTZ Chain of Custody standard will need to, starting July 2021, use the 2020 Rainforest Alliance Supply Chain Requirements.

Claims and labels

All ingredients certified under the UEBT/Rainforest Alliance Herbs & Spices Programme will be able to carry the Rainforest Alliance Certified seal or UTZ certification label and/or be linked to the Rainforest Alliance or UTZ certification claims. For labeling and claims, the [Rainforest Alliance Labeling and Trademarks Policy](#) or the [UTZ Labeling and Trademark Policy](#) apply.

The Rainforest Alliance introduced a new certification seal in June 2020 which will replace the current Rainforest Alliance Certified seal and the UTZ label. Companies are welcome to submit labeling approval requests with the current Rainforest Alliance Certified seal or the UTZ label until December 31, 2022. Read more on [timelines](#) and phasing out of the current seal options.

The [UEBT certification label](#) may also be available for additional use. Contact UEBT for more information.

Please contact herbsandspices@uebt.org for more information on this programme.

2.3 Process to obtain UEBT certification

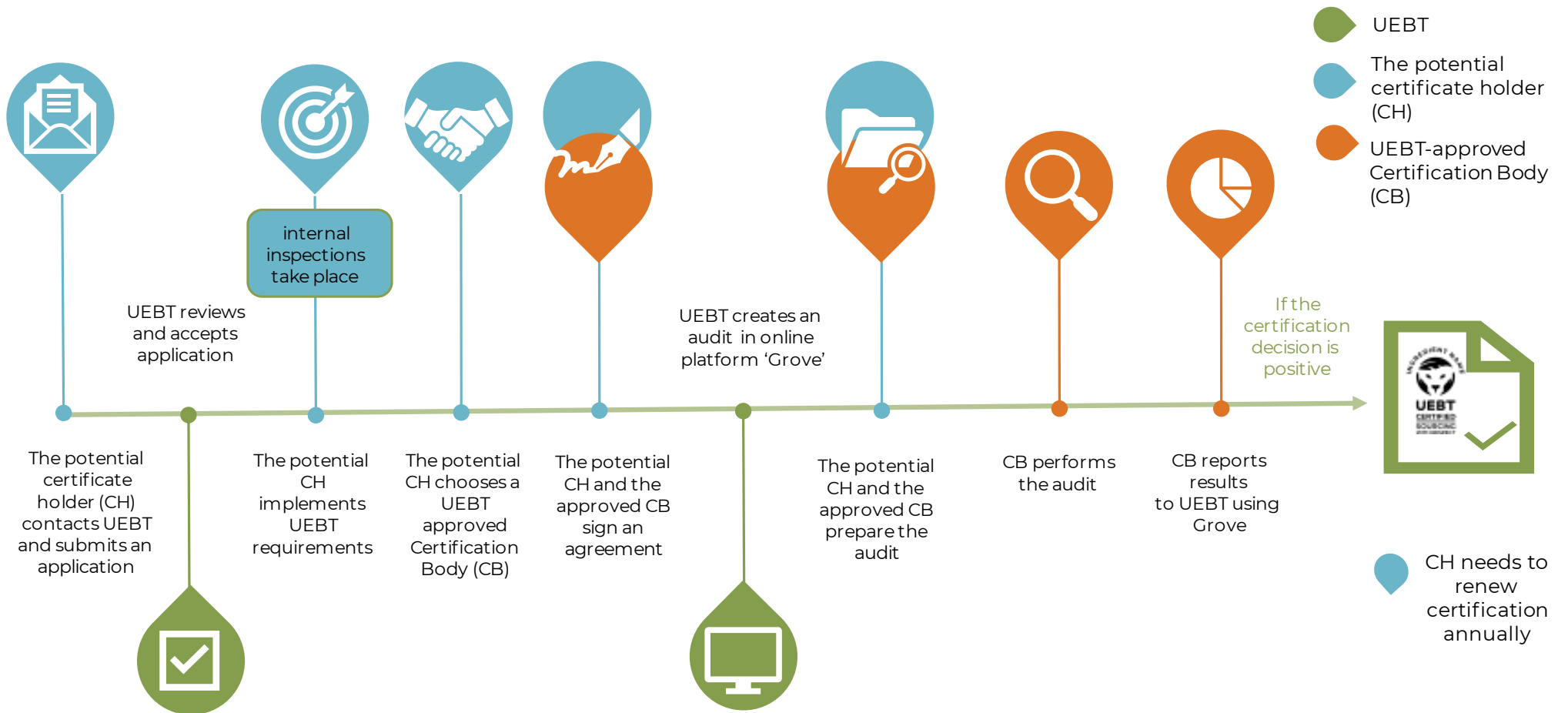
On the next page, figure 1 shows the process from the beginning for the certificate holder (CH) to receive the certificate. Note that much of this document describes what takes place in the preparation period before scheduling the external audit with the certification body (CB), with a good deal of focus on the systems and procedures to help you with the third step shown in this graphic – called ‘the potential CH implements UEBT requirements’ through and until the step called ‘CB performs the audit.’

The internal and external components of the programme

The UEBT ingredient certification programme consists of two main components:

- **Local Monitoring System (LMS)** – *operated by the certificate holder and used to conduct internal inspections (or farm self-checks for individual farm certificate holders) of practices and show compliance with the UEBT standard*
- **External Certification Audit** – *the third-party audit that is implemented by a UEBT qualified external certification body to check that compliance is in place and certification may be awarded*

Figure 1: Overview of the process to obtain UEBT certification



2.4 General overview of the Local Monitoring System

The **Local Monitoring System (LMS)** is an internal system implemented and operated by the certificate holder to ensure the good practices are in place. It is used to conduct inspections in the supply chains that have been selected for the certification and to demonstrate their compliance with the Ethical BioTrade Standard. It also reduces the number of checks a certification body must do during the external audit (see sampling information in Table 1 in section 3). To establish an LMS, the certificate holder needs to select qualified and dedicated staff.

LMS for farms, cooperatives or local organisations means that the company or entity is an organisation located in the sourcing areas or 'at source.' It might be a farm or group of farmers, a cooperative or a local producer organisation working with field collectors/pickers. It may also be a local processing or trading company located in or near the sourcing areas. These entities may also be certificate holders in this programme, and as such, they will also be involved in the monitoring of practices of farms or field operators through local inspections.

The LMS is sometimes mandatory. This is true for:

- Most supply chains working on wild collection production systems¹
- Cultivation supply chains where the level of complexity is high due to high risk level in the risk assessment and/or a large number of farmers²

No LMS needed for individual farms

In the case of an individual farm, they will use the applicable UEFT Field Checklist to do a self-check of their practices against the requirements and prepare for their external certification audit. Individual farms or smaller organisations at source working with just a few farms do not need a local monitoring system.

An individual farm or producer would use the appropriate Checklist to conduct their own self-check of the farm or collection site. They would go through the checklist indicator by indicator and prepare evidence (where required) and score their operation on each indicator to prepare for the external certification audit.

¹ In some cases, very small-scale wild collection (e.g. less than 10 collectors, hired directly and for a 1-2 month harvest period, etc.) could mean that an LMS is not necessary. Contact us to discuss your situation.

² Generally, 30 or more farmers would make an LMS mandatory. Contact UEFT to discuss your situation.

3. Preparation and monitoring of good practices

All the following types of certificate holders can prepare for and monitor good practices on the farms or collection areas, or in their supply chain:

- individual farms or plantations
- groups of farms
- producer or collector/picker organisations or cooperatives
- local organisations or companies based in or close to the sourcing origins such as local processing companies

3.1 Local monitoring system details

As a large group of farms or collectors or as a local company working with farms or collectors in the sourcing areas (such as a local processing company) you will need to set up a **local monitoring system** to prepare for your external certification audit. This may also be required if you are operating in an environment deemed to be of high-risk. You will undertake a series of steps and conduct internal inspections of any suppliers, farmers in the group, groups of field collectors etc. before the external audit to show that your farms, or your supply chain, is compliant with the UEBS requirements as set forth in the UEBS Field Checklist (or the UEBS/Rainforest Alliance Consolidated Field Checklist if you are part of the UEBS/Rainforest Alliance Herbs & Spices Programme).

System requirements

A local monitoring system is usually not required. When it is required (see section 2.4) the UEBS coordinator at the certificate holder is responsible for establishing and operating the local monitoring system, including defining the rules and procedures for the local monitoring activities.

This person must ensure that the local monitoring system:

1. **Has a documentation system with process for visits, outcomes of visits and improvements being made** by the farms, collection areas, sub-suppliers and other organisations involved in the cultivating, collecting or sourcing of the natural raw material. The process and the outcomes of the monitoring visits as well as any measures resulting from monitoring activities should be documented and kept on file by the certificate holder.

- Covers all relevant requirements from the UEBT standard that apply to the local reality** (and the select requirements from the Rainforest Alliance Standard if part of the UEBT/Rainforest Alliance Herbs & Spices Programme) that are applicable to the respective 'level' within the supply chain, e.g., some requirements might pertain only to the level of the field operators (workers, farmers, collectors) or only to sub-suppliers. In general, the local monitoring system focuses on supply chain actors, including sub-suppliers and field operators in collection and cultivation sites. For example, it might be used to check whether sub-suppliers are complying with traceability requirements or whether working conditions of field operators comply with UEBT requirements. These details as to which requirements are applicable to which level of entity in the supply chain, can be found in the UEBT Field Checklist (or the UEBT/Rainforest Alliance Consolidated Field Checklist).

Requirements for individual farms

If you represent an individual farm or collection site, you do not conduct inspections of any suppliers, but you still need to prepare for your certification audit by using the applicable Field Checklist to do a self-check. You will self-check your farm or collection site (and possibly sub-suppliers or sub-contractors such as those who might dry or pack your natural raw material if they are part of your farm operation) against the relevant requirements and see if you are following the good practices promoted in the standard. You will collect documents and evidence where required. You must also follow the steps in Section 3.2 such as conducting a risk assessment before scheduling your external certification audit. UEBT can help you navigate the process. Write to us at certification@uebt.org

- Is set up to conduct internal inspections with the frequency needed** and scope required by this document. For the details on specific rules on scope and frequency, please see Table 1.
- Includes a plan with objectives, dates and times of visits, specific activities** and involved persons. These plans are prepared for every monitoring visit conducted and agreed (verbally) with any sub-suppliers or field operators (e.g., farmers, pickers, collectors) at the least one week prior to the monitoring visit.
- Has procedures that define the activities to be performed at each visit.** The personnel conducting the monitoring visits should have the necessary skills and have received the necessary training to conduct the visit.
- Includes written reports after each visit** and these reports make clear that all relevant standard requirements (good practices) have been covered that are applicable to the respective supply chain level and circumstances. The level of formality of such reports for this setup depends on local realities and structures. For an individual farm certificate holder, these might be simple but there should be a basic report on what good practices were checked in the visit.
- Focuses on making improvements** (corrective actions) for issues identified during the monitoring visits and ensuring that these actions

have been implemented. Corrective actions should take place within three (3) months but not longer than six (6) months when these are 'non-conformities' with the most important (called 'critical') requirements in the UEBT standard.

8. **Has a procedure for resolving disputes** concerning the monitoring visits and decisions related to UEBT certification. The certificate holder shall make every attempt to settle disputes with other organisations or entities that are part of their supply chain and in the scope of their certification in an amicable manner and to the mutual satisfaction of all parties involved.
9. **Has ensured those receiving internal inspections agree to 'investigative audits' if needed.** Investigative audits are deeper inspections that are scheduled when non-conformances are discovered. This can be verbally agreed upon. The UEBT coordinator determines if and which sub-suppliers/field operators require(s) these deeper inspections.

Note that in these setups and especially with smaller organisations, the UEBT coordinator can adopt multiple roles and can be the person conducting the monitoring visits. Or the certificate holder can assign different people to the roles.

The overall focus of the local monitoring system is to go through the relevant issues from inside the UEBT certification requirements, using the specific Field Checklist for the respective UEBT certification programme so that you can adequately prepare and know in advance whether you are likely to receive a positive certification decision. It also will allow your organisation or company or farm to zoom in on key issues that correspond to the local reality and then make improvements that might be needed before the external audit is scheduled.

UEBT understands there may be some situations that could be difficult to detect during internal audits due to some reasons such as: not selecting an appropriate sample, not using UEBT's official field checklist, overlooking proper data analysis or ignoring follow up required. It could also be difficult for an organisation to keep full control of its supply chain and so non conformities could be detected on Field Operators groups or while assessing them individually.

However, if during an external audit a non conformity related to a critical indicator is detected in more than 50% of the sample taken, this will be considered a systemic failure of the monitoring system and, therefore, the organisation will have to develop a root cause analysis, in order to determine the reasons for which this happened and to prevent the entire organisation to fall into this situation again. UEBT will request this to the auditee, based on the results of the last external audit and the organisation will have a total of 3 months after the last day of the audit to submit it to: certification@ethicalbiotrade.org

The supply chain actors involved in the monitoring system

When preparing for a UEBT external audit, there might be the certificate holder and other supply chain actors they work with. It could look like this for local companies sourcing, growing or collecting raw materials:

- **The certificate holder** – an organisation at source that works with farmers/collectors, or a farm of any size, or a group of farms or cooperative.
- **Sub-suppliers** or other intermediaries at the local level, such as warehouses, packing, drying or collecting centres that are sub-suppliers to the certificate holder, in the case of local processors or traders. Note: these entities would not be applicable to most individual farm certificate holders unless they are co-located on or owned by the farm or cooperative and therefore part of the certification's scope.
- **Service providers including subcontractors** – organisations (including subcontractors) involved in the supply chain that manipulate the natural raw material in terms of drying, cleaning, mixing, extraction, (re-) packing, or any other activity that change the structure or form of the natural raw material.
- **Field operators** – Individual farmers/collectors or groups of them. These can be individuals such as farmers, workers, employees or family members, or groups of these individuals that are growing, collecting or taking care of the natural raw material. They are considered as a group when they act collectively or uniformly (e.g. following same procedures in one production/collection area), which allows them to be considered a unit. The field operators are considered the 'smallest unit' of the supply chain.

For companies in the sourcing origins, such as a local processing company acting as the certificate holder (or potential certificate holder) the local monitoring system is generally set up such that the certificate holder does regular internal inspections of the various supply chain actors to ensure the UEBT standard is implemented.

The certificate holder (the organisation at source) uses their own dedicated staff to conduct on-site inspections of sub-suppliers or field operators (farms/pickers/collectors) to ensure compliance with the UEBT standard and to prepare for the certification audit. Several requirements should be met when setting up the local monitoring system (see next section 3.2) but when this system is well-functioning it can reduce the checks needed by the external auditors (see Table 1).

3.2 Requirements before setting up the monitoring system or doing your farm self-check

Before you begin the work of internal inspections, it is important for the certificate holder to have the following conditions met:

1. **A dedicated person called the ‘UEBT coordinator’ has been appointed** by the management team of the certificate holder. For individual farms this might be the farm manager or owner. (See Annex 1 for a description of this individual and their roles and responsibilities.)
2. **The certificate holder has approved in writing the standards, policies and procedures** which govern this UEBT certification programme. This can be a simple document for farms and cooperatives, but it should be clear that the leadership agreed to follow the various policies, standards and procedures for obtaining a UEBT certificate. The overall credibility of the UEBT certification programme depends on the full and reliable cooperation of the certificate holder and its leadership.
3. **A risk assessment has been conducted** of the supply chain(s) to be certified (or for the farm if an individual farm). The results are communicated in writing in advance to the CB. The risks could be any of the following: 1) risk to the environment and biodiversity, in particular sensitive/ endangered/protected areas and species; 2) risk to people involved in, or affected by, sourcing activities, in particular producers, collectors and local communities; 3) risk to the integrity of the farm or business, e.g., related to compliance with regulations; or 4) risk related to the ingredient. If there are no risks, these should also be communicated to the CB.
4. **A traceability system is in place** and complies with UEBT requirements (see Annex 2 “Outline of Traceability Requirements”).
5. **An assessment on access and benefit sharing (ABS) has taken place** for the natural raw materials falling under the certification (see Annex 3 “Assessing Access and Benefit Sharing (ABS)”).
6. **The certificate holder’s various suppliers and sub-suppliers (or farmers or collectors in a group) have agreed to participate in the certification programme** and to adhere to the respective UEBT requirements applicable to them, including their participation in internal inspections, investigative audits (as needed) and external audits (by a certification body). For suppliers, sub-suppliers and organisations at source, this should be written consent. For farmers or collectors, this can be verbal.

When you have completed the six (6) steps above, it is now time to finish setting up your local monitoring system and to implement the internal inspections to show compliance and obtain the certification.

3.3 When is UEBT membership required

A certificate holder in the UEBT ingredient certification programme can be a farm, cooperative, producer organisation, local processor or trader, or other local supplier that is cultivating or collecting or sourcing natural raw materials. UEBT membership is a separate programme related to making a set of commitments to ethical sourcing and having those commitments validated by UEBT – learn more at:

<https://www.ethicalbiotrade.org/become-a-member>). UEBT membership is not required for small farms or small cooperatives but they may choose to become members if they so desire (see box). However, for any size local companies (e.g. small processing company), membership will be required. In these cases, a membership assessment is conducted as part of the certification audit. These supply chain actors will then benefit from the vibrant association of companies that are working to transform their sectors.

UEBT membership for farms and cooperatives

UEBT membership is not required for small farmers or small cooperatives to participate in UEBT certification.

If a small farm or small cooperative does wish to become a UEBT member, there are no membership fees and reduced membership criteria may apply. Membership assessments are conducted alongside the certification audit.

Members are expected to actively participate in UEBT such as in the general assembly.

Table 1: Sampling rules for internal inspections (and for the external audit by the certification body)

Internal inspections done by a....	Checks of organisation at source	Checks of sub-suppliers (if applicable)	Checks of field operators - groups	Checks of field operators - individuals	Onsite audit report checks
Local monitoring system	certification body checks 100%	certificate holder LMS checks 100% certification body checks 50%	annually: certificate holder checks 100% of the groups every year + a representative sample of individual field operators in each group. In the third year of audit, all the individual farmers in the groups to have been checked. certification body spot checks, at least 50% of the groups of field operators and spot checks a representative number ³ of individual field operators withing the sampled groups	certificate holder checks 100% certification body spot checks a representative number of the individual field operators	If a local monitoring system is used (for companies located in sourcing areas) then the certification body checks $\sqrt{+1}$ of local monitoring system reports to check quality of the system.
Farm self-checks, no local monitoring system	certification body checks 100%	certification body checks 100%	certification body checks 100%	certification body 100%	Not applicable

³ Representative number could be determined using $\sqrt{+1}$ method or any other method to be determined by the auditor

4. The External Certification Audit

The certificate holder agrees to also participate in an external certification audit. The independent, third-party audit demonstrates that all UEBT requirements have been complied with. For this purpose, audits are conducted at the level of the certificate holder, but also look at sub-suppliers) and field operators (e.g., individual farms/groups of pickers/collectors).

The audits are done by UEBT approved Certification Bodies and results can lead to the certificate being awarded to the certificate holder.

When the external audit takes place, the certificate holder will want to prepare by looking at the UEBT Field Checklist and ensuring that all relevant good practices are in place. Improvements should be made where non-conformities are found, and evidence (when required) collected in advance of the audit.

5. Data we ask you to collect

Certificate holders shall collect data to monitor the scale of the implementation of the UEBT Ethical BioTrade practices along their supply chains as well as assess their progress and outputs. This is done by setting up a Monitoring and Evaluation (M&E) system and making some data available to the external auditor before the audit takes place (usually about one month prior to audit). This is required for both the UEBT ingredient certification programme and for the Herbs & Spices Programme.

The M&E system needs to gather the UEBT reach and scale data per the 'Scope' form in the UEBT Field Checklist (or the UEBT/Rainforest Alliance Consolidated Field Checklist for the Herbs & Spices Programme). This consists of the following:

Reach and Scale Data
Name of natural raw material
Plant name
Type of certification/verification applied
Name of the country of cultivation/wild collection of the plant
Name of organisation at source (local supplier)
Type of production system
Number of sub-suppliers (if applicable)
Number of farms
Number of farmers
Number of wild collectors/farm workers
Size of sourcing areas (ha)
Productivity (metric ton/hectares)
Volumes of natural raw material used (metric ton)
Conversion rate (If applicable)
Volume of plant or natural ingredient sold as certified by Certificate Holder since the last audit until now (metric ton)
Expected certifiable volumes of plant or natural ingredient to be produced by the supplier (metric ton)
Expected volumes of plant or natural ingredient to be purchased by Certificate Holders as certified (metric ton)

The procedures for data collection and reporting shall ensure that information needed to fill out the 'scope' form in the UEBT Field Checklist (or the UEBT/Rainforest Alliance Consolidated Field Checklist for the Herbs & Spices Programme) are available to UEBT and the external auditor (certification body) at least one month before the external certification audit takes place. Moreover, the information shall be complete and reliable. On-site visits can be used to collect information and/or to assess its accuracy. It is recommended that the information is made available to relevant staff at the certificate holder for internal learning. The information, or a summary, can be made available publicly or to selected stakeholders (e.g., clients) for external communication.

As far as the responsibilities for data collection and reporting are concerned, they can be attributed to the monitoring personnel at the certificate holder, or the certificate holder can request that organisations at source or sub-suppliers collect and submit the data.

6. Key Terms

Certificate Holder: The company or organisation that holds the UEBT certificate and manages the certification. They could be a buying or processing company, individual farm of any size, farmer group or a cooperative.

Certification Body: Legal or administrative entity that has the specific tasks to conduct independent audits and to issue certification recommendations (adapted from ISO/IEC Guide 2:2004) and that is duly qualified by UEBT.

External Audits: Inspections conducted by third-party auditors at the UEBT member, organisations at source and field operators for the purpose of assessing their compliance with the UEBT Protocol for Certificate Holders and the Ethical BioTrade Standard requirements.

Field Operators: Operators at primary production level that are part of the UEBT certification programme. They 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. They can be farmers, workers, pickers, collectors, etc.

Ingredient: For the UEBT certification and external communications, an 'ingredient from biodiversity' is the same as a natural raw material that is cultivated or collected. It is a material that is in its raw form or has undergone simple physical processing, which has been approved for certification under the UEBT certification programme.

Internal inspections: Visits to organisations at source and field operators conducted by dedicated staff for the purpose of assessing their compliance with the UEBT requirements.

Local Monitoring System (LMS): System established at local level by local companies to monitor their supply chain actors according to the good practices UEBT promotes in the Ethical BioTrade Standard.

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

Monitor(s) or monitoring personnel: Person(s) appointed by the certificate holder for conducting internal inspections (monitoring visits) of suppliers that are part of the UEBT certification.

Monitoring activities: All activities conducted by the personnel as part of the Local Monitoring System of the UEBT member.

UEBT member: A company that has joined UEBT and made commitments in how it will improve the ethical sourcing of its ingredients from biodiversity in line with the UEBT standard.

Organisation at Source: The organisation or unit that manages the cultivation and/or collection activities of the natural raw materials to be certified. They are

directly responsible for ensuring compliance with the UEBT Ethical BioTrade Standard requirements applicable to them (management system requirements), and, directly or indirectly, for those applicable to the field operators (field level requirements) that they manage.

Source: Area/region from which the specific natural raw material is sourced (i.e., cultivation/collection area).

Supply Chain: Consists of a specific natural raw material sourced from a specific field operator or group of field operators (farms, group of collectors, etc.) that are managed by a specific organisation at source.

Systematic failure: is a reproducible type of failure of the system, due to not well designed controls and monitoring measures.

UEBT Coordinator: Person at the certificate holder level who is authorized and responsible to implement the local monitoring system for supply chains.

Annex 1: Profile of the UEBT Coordinator within the certificate holder

Qualification requirements

The person who is the UEBT Coordinator within the certificate holder must:

- Be knowledgeable about ethical sourcing practices
- Be familiar with auditing/monitoring requirements
- Attend UEBT training or E-learning courses when required

Roles and Responsibilities

- Act as primary contact between the certificate holder and UEBT
- Implement and operate the Local Monitoring System (LMS) if applicable
- Guarantee the credible operation of the LMS, if applicable
- Ensure that external audits will be conducted in a timely and efficient manner
- Ensure that the certificate holder abides by all laws and regulations in general and ABS requirements in particular
- Proactively communicate with UEBT on issues that concern:
 - > Changes that affect the performance of the LMS and that have implications on the UEBT certification
 - > Inclusions of new supply chains to an existing certification
 - > Matters concerning compliance with the standard that could represent a major risk to the UEBT certification programme, a systematic problem/challenge, or for which there are doubts on how to deal with them
- Ensure adequate allocation of resources
- Document all activities related to the sound operation of the LMS
- Ensure adequate record keeping of above activities to demonstrate compliance
- Appoint and provide training to personnel at the organisation at source to support the LMS and compliance with the UEBT requirements
- Organize the on-site monitoring activities or farm self-check
- Follow-up of corrective measures
- Coordinate external audits at certificate holder and respective certified supply chain(s)

Annex 2: Outline of traceability requirements for companies

For individual farms or cooperatives, traceability should be demonstrated from the individual farms or collectors/pickers through to the farm's or collection site's customers, and records should be kept of sales and volumes. See the Field Checklist for more information - found in criteria 4.4

For local companies or organisations at source, the following requirements apply.

Product traceability is a critical requirement for the UEBT Certification. The certificate holder must have a system in place to ensure that all natural raw material(s) subject to certification can be traced from the source of origin all the way through the UEBT certificate holder to its client.

Specifically, all the following traceability requirements will usually apply (see more in UEBT guidance on this subject and what are the basic requirements versus requirements for more complex supply chains, available in the UEBT resources pages on the UEBT web site):

1. The certificate holder has a documented overview of the traceability system, which describes the procedures and record keeping process and the level of traceability⁴ applied.
2. The traceability procedure also has clear roles and responsibilities.
3. 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 natural raw materials are identified for each of the supply chains.
4. The certificate holder has established procedures to assess compliance with the traceability requirements at each of the critical control points.
5. There is a product identification system (coding system) in place for the natural raw materials under the certification that allows tracing the of the material back to the producer/supplier. If organisations at source supply products originating from both certified and not certified field operators, then the system ensure that natural raw materials can be traced back to the level of the field operator.
6. The certificate holder keeps records of the sales/purchase documents related to the natural raw materials under the certification, including information of the producer/supplier, volumes, varieties, qualities, area of cultivation/collection (if relevant), date of delivery and other relevant information. The documents can be linked to the respective producer/supplier.
7. 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.

⁴ Identity Preserved (IP), segregation, or other.

- > Volumes of natural raw materials sold as certified are never higher than the volumes supplied by the producers/suppliers under the certification.
8. If the natural raw materials 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.
 9. If the organisation sources natural raw material from producers that are not part of the certification programme, then:
 - > There is a way to distinguish between (UEBT) 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.
 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 natural raw materials remain traceable and that mixing with non-certified materials does not occur. Proof of compliance with the traceability requirements by the outsourced service provider is documented.
 11. Ingredients that are sold as certified by the certificate holder 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.
 12. The certificate holder makes available to the certification body during the external audit an overview of the total annual volumes of certified natural raw material (per material) received, still in stock and the total volumes (per material) sold as certified.

Additional changes of some of the requirements above may apply depending on the claims being made with the certification.

Annex 3: Assessing Access & Benefit-sharing (ABS)

Sourcing natural raw materials - whether dried plants for cosmetics extracts, essential oils for fragrance compositions or herbs and spices for foods and beverages - may be subject to legal requirements on access and benefit-sharing (ABS). ABS requirements are established by national laws and regulations, which implement international agreements such as the Convention on Biological Diversity and the Nagoya Protocol.

How is ABS assessed as part of the UEFT ingredient certification programme?

The ABS assessment in the UEFT certification programme (including in the UEFT / Rainforest Alliance Herbs & Spices Programme) evaluates whether ABS requirements apply to the natural raw material (ingredient) to be certified and, if so, whether adequate measures for compliance have been taken. The approach to the ABS assessment varies, based on whether ABS requirements are in place in the country of cultivation or wild collection and on the likelihood of supply chain activities triggering such requirements.

- If the country of cultivation or wild collection does not have ABS laws or regulations in place, no further assessment is needed for issuance of the UEFT ABS approval letter.
- If the country of cultivation or wild collection does have ABS laws or regulations in place, ABS experts at UEFT look at the potential applicability to the natural raw material to be certified. For certain countries and supply chains, ABS experts at UEFT may need information on potential uses of the natural raw material to be certified in research or new product development.

To define whether ABS requirements apply to natural raw materials, it is necessary to look not only at cultivation or wild collection, but also at other activities along the supply chain. That is why, while the UEFT Field Checklist covers certain aspects of ABS, confirming compliance for the purposes of the UEFT ingredient certification programme requires a broader assessment (see box below). This ABS assessment is conducted by ABS experts at UEFT and involves the following steps:

1. Upon registering the certification audit in the UEFT online system 'Grove', UEFT launches the ABS assessment. For this purpose, it may request additional information or clarification from the potential UEFT certificate holder.
2. ABS experts at UEFT conduct the ABS assessment, identifying whether ABS requirements apply to the natural raw material to be certified and, if so, whether adequate measures for compliance have been taken. UEFT issues a letter outlining the findings of the ABS assessment and sends this ABS approval letter to the potential certificate holder.
3. Potential certificate holder shows UEFT ABS approval letter to the third-party auditor, as part of the certification audit. It is the responsibility of the person coordinating the certification process within the organisation that will be the potential certificate holder to ensure that the ABS approval letter is available and up to date during the audit.

Annex 4: Description of the UEBT scoring system

The UEBT scoring system is an integral part of the UEBT System Checklist (used by auditors) as well as the UEBT Field Checklist. It sets the rules for quantifying the results of audits and establishes the minimum levels of compliance required for certification.

The UEBT Scoring System is based on the following scoring options:

Score	Description	Explanation
N/A	Not Applicable	The indicator is not applicable to the specific situation
0	Not fulfilled	Measures required by the indicator are not in place. Improvement is required.
1	Partially fulfilled (insufficient): Improvement needed	Measures have been taken towards compliance with the indicator, but these measures are not yet sufficient for compliance Improvement is required.
2	Partially fulfilled (sufficient): Improvement possible	Measures have been taken towards compliance with the indicator. Though improvement is possible, the measures are enough to find compliance with the indicator Improvements are recommended.
3	Fulfilled	Measures have been taken towards compliance with the indicator, which fully satisfy its requirements

Whereas:

- A score 0 or 1 means that the verifier is **not complied**
- A score 2 or 3 means that the verifier is **complied**

Relevance

Importance	Definition / Explanation
Minimum requirements	Compliance is always required for indicators that constitute a minimum requirement. For instance, companies and organisations must comply with these requirements before obtaining UEBT membership.
Critical	Critical indicators are considered essential Ethical BioTrade practices. For instance, compliance is required to receive or maintain UEBT certification of ingredients. In the verification of UEBT members or specific supply chains, non-compliance with these indicators must be addressed with priority.
Critical stepwise	For critical stepwise indicators, additional time for compliance is provided. Compliance with these indicators must be achieved in a maximum of three years.
Regular	Regular indicators are focused on promoting positive impact and allow more flexibility in their implementation. For example, UEBT certification of ingredients requires compliance with a certain number of these indicators.
Regular stepwise	For regular stepwise indicators, additional time for compliance is provided. After three years, these indicators are considered to have “regular” level of importance.

Threshold for Certification

A) UEBT Field Checklist

To be eligible for certification, supply chain must have showed the following:

- 100% of the checklist to be audited since the first year, including stepwise approach indicators
- 0 noncompliance with Minimum and Critical and Critical Stepwise requirements applicable to the specific year of certification
- 90% of the total applicable standard for the specific year need to comply (score 2 or more)

Compliance with Critical stepwise are counted as an acknowledgement of existing efforts to the final score at any time. Non-conformities with Critical stepwise not applicable for the specific year are not counted as non-conformance.

B) UEBT System Checklist

To be eligible for certification, the UEBT certificate holder must be compliant with all critical control points of the UEBT System Checklist used by external auditors. Regular control points that are not complied must be addressed by the within 3 years maximum.

Annex 5: Cancellation or suspension

Cancellation

UEBT may cancel a certificate for the following reasons:

- The certificate holder (CH) does not complete its annual audit during the required period and thus the certificate expires
- The CH does not renew their certificate after it expires when a time extension has been granted
- There has been no closure of identified non-conformities against 'critical' criteria during the maximum time allowed
- There is non-conformity against 'minimum' criteria

In the event of cancellation of a certificate, the following steps are taken:

4. The certification body informs UEBT
5. UEBT communicates the decision and gives implications for the sale for any previously 'certified' volumes
6. The cancellation is published on the UEBT website

Suspension

UEBT will suspend a certificate for up to three months, pending investigation, for the following reasons:

- Fraud
- Bribery, intimidation or harassment of auditors
- Loss of traceability of the certified ingredient
- Issues that could jeopardize UEBT's credibility

If investigations confirm the allegation(s), this will lead to cancellation of the certificate. Otherwise, the certificate status will be restored. In the event of suspension of a certificate, the following steps are taken:

7. The certification body informs UEBT
8. UEBT communicates the decision and gives implications for the sale for any 'certified' volumes

Selling certified volumes in case of cancellation or suspension of the UEBT certificate

Certificate holders whose certificates have been suspended or cancelled are not allowed to sell product as 'certified' during the suspension period or after the cancellation.

This does not pertain to certificate holders whose certificate was voluntarily cancelled. These entities can sell off already certified volumes, but they must provide documentation of the volume of stored product to UEBT at the time of cancellation.

The remaining certified ingredient volumes can be sold as with a claim of 'certified' until they are finished, provided that the company complies with chain of custody requirements and pay 50% of the UEBT annual certification fee.

Updates History

Version	Author / Reviser	Date approved	Changes
July 2022	E.Badilla/T.Divney	July 2022	Under 3.1 Local monitoring system details. Added: process to address systemic failures within Local Monitoring Systems



UEBT
SOURCING[®]
WITH RESPECT

UEBT is a non-profit association that promotes sourcing with respect. Its mission is to regenerate nature and secure a better future for people through ethical sourcing of ingredients from biodiversity.

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