PRO01 – Requirements and Obligations for Qualified Certification Bodies

11/08/2020

Union for Ethical BioTrade

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1 Scope

UEBT works with Certification Bodies that are accredited under ISO 17065 and/or ISO 17021 and that are therefore deemed to correctly apply these international standards to their operations.

This document applies to prospective and approved certification bodies (CB).

It details:

1. The rules for CBs to acquire and maintain accreditation to carry out UEBT audits
2. Obligations of the CB
3. The rules regarding the qualifications of auditors
4. The responsibilities of the CBs and their personnel
5. Rules that guide the CB on actual auditing (preparation, execution and reporting)

UEBT manages the authorization of CBs and monitors and evaluates the compliance of CBs with the established rules.

2 Normative References

ISO/IEC 17000:2004, Conformity assessment — Vocabulary and general principles
ISO/IEC 17021:2011 – Conformity assessment — Requirements for bodies providing audit and certification of management systems

3 UEBT internal References

The following referenced documents are essential for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

UEBT STD01 – Ethical BioTrade Standard
UEBT GOV25 – Membership Conditions and Obligations for Trading Members
UEBT PRO10 – Membership Application Process for Trading Members
UEBT PRO24 – Independent Verification of Trading Members
UEBT ADM06 – Application Form for Trading Members
UEBT ADM20 – UEBT Sampling Methodology

UEBT documents can be received upon request to the UEBT Secretariat (see Contact information section at the end of the document).

4 Terms and Definitions

The terms and definitions provided in ISO/IEC 17000:2004, Conformity assessment, vocabulary and general principles apply, unless otherwise specified in the text or defined below.

In addition, the following definitions are applicable in this document.

Auditor: A person who performs audits.
Audit: Systematic, documented process for obtaining records, statements of fact or other relevant information and assessing them objectively to determine the extent to which specified requirements are fulfilled.

Discovery sampling: A method of sampling to assess whether the percentage error is not in excess of a specified percentage of the population.

Ethical Sourcing Commitments: Formal targets or commitments of a UEBT Trading Member that clearly define the level of ambition regarding the sourcing with respect for people and biodiversity.

Ethical Sourcing System (ESS): Set of policies and procedures that promote innovation and sourcing practices for natural raw materials in line with the Ethical BioTrade standard.

First-party audit: audit carried out by an organisation of its own system.

Judgmental sampling: A type of random sample that is selected based on the opinion of an expert

Independent verification: External verification, also called third-party audit, carried out by trained auditor(s) of a UEBT qualified Certification Body.

Investigative Audit: Audits carried out in response to complaint, reported incidents or substantial information regarding the performance of a UEBT member that relates to minimum requirements and critical criteria of the UEBT standard. This audit can be desktop investigation if possible, to demonstrate conformity through documents.

Natural raw material: Raw material derived from components of biodiversity. That is, material or compounds derived directly or indirectly from plants, animals, fungi or microbial organisms. For example, 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.

Organisation: entity responsible for the gradual application of the Ethical BioTrade standard through its management system and supply chains.

Random sampling: sampling technique in which each sample has an equal probability of being chosen. A sample chosen randomly is meant to be an unbiased representation of the total

Review audit: Audits carried out in response to complaint, reported incidents or substantial information regarding a UEBT qualified CB and its auditors.

Second-party audit: audit carried out by a client of the organisation.

Stakeholder: person or organisation that can either be influenced or influence a project or initiative.

Third party: person or body that is recognized as being independent of the parties involved, as concerns the issue in question.

Note: Parties involved are usually supplier (“first party”) and purchaser (“second party”) interests. (ISO/IEC Guide 2:1996)

Third party audit: referred to Independent verification.

UEBT Trading Member: member that is directly involved in the supply chain of Ethical BioTrade goods and services (e.g. producer/collector Organisations, processing companies, traders, manufacturing companies, brands, consortia of trading companies, research institutions, etc.).

UEBT Coordinator: Is the CB staff member who is responsible for the administrative management of the CB’s account in the UEBT program. The UEBT Coordinator can also be an auditor provided they comply with the requirements of an auditor described in this document

Certification Body: Legal or administrative entity that has the specific tasks to operate independent certification and/or verification (adapted from ISO/IEC Guide 2:1996) that is duly qualified by UEBT.
5 Requirements for becoming Qualified Certification Bodies

5.1 General requirements

5.1.1 A Certification Body that seeks for UEBT qualification shall be accredited under ISO/IEC 17065 and/or ISO/IEC 17021. The CB shall provide a copy of the valid accreditation certificate to UEBT.

5.1.2 The accreditation should be issued by an accreditation body that is signatory to a Multilateral Agreement (MLA), i.e. the accreditation body is

- Member of the international Accreditation Forum (IAF) or
- Full member of ISEAL Alliance

5.1.3 The Certification Body is also strongly recommended to implement ISO 19011 (Guidelines for quality and/or environmental management systems auditing).

5.1.4 CBs shall maintain ISO 17065 or 17021 accreditation. Failure to maintain accreditation, or lapse of accreditation, will result in the immediate suspension or cancellation of authorization.

5.1.5 In addition to 1.1.1, a Certification Body that seeks UEBT qualification shall already be involved in other social and environmental schemes such as Rainforest Alliance, FLO, Fair For Life (FFL), Fair Wild, IBD EcoSocial, FSC, ISO 9000, ISO 14000, etc.

5.1.6 The CB shall be a legal entity. The CB shall make available to UEBT information about its Organisational structure, ownership, and the legal registration. If the CB is a legal entity that is wholly or partly owned by a larger Organisation, the CB clearly documents the activities, structure and governance of the larger Organisation.

5.1.7 The CB must submit to UEBT all regional and local offices that it wishes to include as part of their scope, i.e. where they want to offer UEBT certification services. This will be included in the CB approval.

5.1.8 A Certification Body that seeks UEBT qualification shall sign a Letter of Agreement with UEBT (see ADM01 - Generic Certification Body Agreement).

5.1.9 The CB is subject to UEBT sanctions as indicated in this document.

5.1.10 CB authorization once granted, is evaluated on a continual basis by UEBT

Note: Under specific circumstances, to allow a better understanding of the UEBT verification system, a Certification Body and the UEBT Secretariat may agree to undertake an independent verification before the agreement has been signed. This needs to be specifically approved by the UEBT Secretariat.
5.2 Structural Requirements

5.2.1 As stipulated in ISO 17021, qualified Certification Bodies shall adequately safeguard the impartiality of their activities.

5.2.2 Qualified Certification Bodies shall have a structure (in relation to their size) that ensures the fulfilment of the following functions:

- managing the UEBT verification/certification system;
- conducting audits under the UEBT verification/certification system;
- reporting on audits as required by the UEBT verification/certification system.

Note: Depending on the size of the Certification Body and the volume of the UEBT-related business, the roles of Certification Coordinator(s) and the auditor(s) can be fulfilled by one person or assigned to a team of people. This decision is up to the Certification Body.

5.2.3 The management of the UEBT Verification/Certification System within a qualified Certification Body shall:

- supervise the implementation of the UEBT Verification/Certification System within the Certification Body, e.g., getting the necessary information from potential clients and the UEBT Secretariat, developing quotes, developing contracts with clients, ensuring the quality of independent verifications and reports, including respecting deadlines for delivery, etc.;
- always interact with the UEBT Secretariat, particularly when an independent verification is scheduled;
- ensure that the qualified auditors are up to date with their training, as stipulated in this document.

5.3 Human resource requirements

5.3.1 People filling in the different functions (UEBT Coordinator, Lead Auditor and the Auditor) within a qualified Certification Body shall:

- be fully trained auditors in the social and environmental scheme(s) (see §5.1.5) handled by the Certification Body;
- have official and proven experiences in auditing management systems;
- have successfully completed the mandatory training modules provided by the UEBT Secretariat (see Annex 2).

5.3.2 UEBT Coordinators shall be responsible for:

- the administrative and commercial proposals and follow-up regarding its client (i.e. UEBT Trading Member or applicant Trading Member);
- Ensuring all auditors meet the qualifications described in this document (Annexes 1-2)

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1 UEBT coordinators is synonymous to UEBT Coordinators indicated in the IMS Protocol
• updating UEBT secretariat on status of auditors (new and those who are no longer auditors)
• providing UEBT secretariat schedule for audits for the coming year
• Ensuring the CB auditors do not have any conflict of interest with the UEBT member as described in this document
• Ensure follow-up communications with UEBT are addressed accordingly
• Inform UEBT when there are changes that can affect the CB compliance with the requirements of this document
• Inform UEBT if the CB is sanctioned by their accreditation body
• Overall responsible for coordination of UEBT and UEBT/UTZ certification program and supervision of auditors
• Safeguarding quality, consistency and integrity of the auditing and certification process

5.3.3 The Lead Auditors shall be responsible for:
• developing and sending the audit plan
• Contacting and organizing logistical aspects with the auditee
• Leading the audit
• writing the audit reports
• the quality and consistency of audit and the report
• the recommendation of the certification (ref 3.6.1 UEBT certification protocol)
• Evaluating and approving UEBT work plan
• sending on time all the deliverables to the UEBT Members and UEBT Secretariat
• Ensuring compliance with the certification process timelines as stipulated in this document
• Providing feedback to the CB coordinator and/or UEBT on queries related to any audit conducted

Note: The qualified Certification Body may work with an audit team. However, this is not a requirement from UEBT. This is up to the qualified Certification Body. In case of working with a team, the Certification Body shall indicate who is the team leader. The audit team should be kept to a maximum of 3 individuals.

5.3.4 People filling in these functions within the qualified Certification Body shall have the knowledge and skills described in Table in Annex 1, in addition to the ISO 17021 and/or 17065 requirements.

5.3.5 UEBT reserves the right to ask from the CB the CV, and proof of compliance and qualifications with the requirements described in table 1 of the auditors for purposes of quality control.
6 Obligations for qualified Certification Bodies

6.1 General obligations

6.1.1 Qualified Certification Bodies shall remain compliant with the above requirements.

6.1.2 Qualified Certification Bodies shall demonstrate commercial behaviour in line with the spirit of Ethical BioTrade.

6.1.3 The qualified Certification Body shall apply PRO24 – Independent Verification of Trading Members while auditing a UEBT Trading Member or Approved Candidate (hereafter organisation) or the applicable UEBT certification protocol when conducting certification audits.

6.1.4 The qualified Certification Body is only involved in the independent verification process and recommends the organisation to membership or certification. The membership/certification decision mechanism is then carried out by the UEBT Secretariat and the relevant UEBT Committees.

6.1.5 If there is any change in the team working on the UEBT verification/certification system, the qualified certification Body shall inform the UEBT Secretariat and ensure the new people are qualified as described in Annex 1 and Annex 2 of the present document.

6.1.6 The qualified Certification Body shall have a system to keep updated on policy and procedures that are periodically revised by UEBT.

6.1.7 The qualified CB shall evaluate auditor competency and performance on an annual basis. The CB shall share the results of the auditors’ performance evaluations and the corrective action plan with UEBT before the beginning of the following year.

6.1.8 The CB shall identify and document the necessary generic and interpersonal skills, competence and knowledge that auditors require to be able to carry out their functions as auditors and other certification processes. CBs shall take into account those behavioural traits and knowledge and experience described in sections 7.22 through 7.2.4 of ISO 17065 in addition to the requirement specified in this document. CBs shall evaluate each of their auditors with respect to these skills as part of their auditor evaluation processes, and take into account these skills, competencies and knowledge when assigning auditors to specific certification processes.

6.1.9 The CB shall demonstrate that it has the technical capacity to offer audit and certification services in that country, including the capacity to receive and process complaints by local stakeholders.

6.1.10 The CB shall have knowledge of the respective local environment, socio-labour and agricultural legislations.

6.1.11 At any time during the certification cycle, UEBT may require the CB to conduct an investigative audit of any certified UEBT member and its supply chain in order to address compliance risks in the certification system or to address specific issues. The
CB shall implement the audit in a timely manner and provide UEBT a written report of the audit within 2 weeks of completing the field work.

6.1.12 UEBT may engage the services of independent auditors to carry out review audits if they receive complaints that touch on the CB.

6.1.13 Costs associated with 6.1.11 and 6.1.12 will be covered by either UEBT, the CB or the UEBT member depending on case by case.

6.1.14 The CB is subject to the sanction’s procedures stipulated in this document

6.2 Contract agreement requirements

6.2.1 A contract shall be signed between the organisation and the qualified Certification Body that contains at a minimum the elements listed below:

- A clause of confidentiality that all participants in the independent verification process shall abide to and sign, including lead auditor, auditors, observers, translators and any person in the Certification Body who will have access to the reports.
- Clauses that reflect the independent verification process and timelines, and the Certification Body reporting obligations.
- Any additional clauses that are relevant for this process, e.g. translations need etc.

6.3 Audit preparation obligations

6.3.1 Preparation for membership assessments

6.3.1.1 Before undertaking any formal independent verification or related activity for an organisation, the qualified Certification Body shall:

6.3.1.2 First contact the UEBT Secretariat to inform them about the upcoming independent verification; i.e. 1 month before the actual audit or immediately after they have confirmation of audit by the client:

- seek up-to-date information, and in case of doubt ask support from the UEBT Secretariat;
- inquire with the UEBT Secretariat whether:
  - the organisation has been granted the status of Approved Candidate or is already a UEBT Trading member;
  - UEBT requests the qualified Certification Body to pay special attention on certain aspects of the Ethical BioTrade Standard;
  - UEBT has background information on the organisation that it can share with the qualified Certification Body to help it prepare the independent verification.
6.3.1.3 The qualified CB shall ensure that its chosen auditor is well trained under the UEBT verification system and Ethical BioTrade standard.

6.3.1.4 The CB shall only use auditors that have been registered and approved by UEBT.

6.3.1.5 UEBT shall reject any audits/reports carried out by auditors not registered and approved by UEBT. The CB shall re-do any audits with an approved auditor.

6.3.1.6 If the organisation has worked with another qualified Certification Body in its previous UEBT independent verification, the new selected qualified Certification Body shall communicate with the UEBT Secretariat and the previous qualified Certification Body to ensure that information is obtained and outstanding issues with the organisation are considered.

6.3.1.7 Before making a technical and financial proposition to the organisation, the qualified Certification Body shall have sufficient knowledge to ensure its proposal covers the necessary elements of the future independent verification, including at least the following elements:

- the Ethical BioTrade Standard;
- the UEBT verification system and its procedures; and
- the organisation business operations in relation to natural raw material sourcing practices.

6.3.1.8 The qualified Certification Body shall ensure that its quote takes into consideration the audit requirements stipulated in the relevant UEBT certification protocols.

6.3.1.9 The quote of the qualified Certification Body shall contain at least the following items, in addition to the usual items of the Certification Body’s procedure:

- Details of the independent verification/certification scope
- Details of the audit protocol, e.g. documentation review, interviews, field visit, where appropriate, etc.;
- Reporting obligations and tentative timelines;
- Fee schedule;
- Next contract agreement steps, etc.

6.3.1.10 The quote shall specify the audit costs (including number of days and daily fees), broken down in the categories; preparation, independent verification, reporting, work plan approval, transport & accommodation (see Annex 4 “guidance to calculate audit time for UEBT Membership program”).

6.3.1.11 If a team of auditors is involved in the independent verification, the Certification Body shall provide the relevant details in the quote in terms of justification (e.g. use of experts, internal Verification Body procedure, use of translators, etc.) and in the
fee schedule for the item “independent verification”. The CB shall keep the number of the team to no more than 3.

6.3.1.12 The qualified Certification Body shall ensure consistency in its quotes among its UEBT clients (i.e. UEBT Trading Members).

6.3.1.13 When the Certification Body uses translators during the assessment, the translators shall be independent of the audited organisation. If this is not feasible, the auditor shall include the name and affiliation of the translators with the audited organisation in the audit report.

6.3.1.14 The auditor shall be correctly prepared to undertake the audit.

6.3.1.15 This preparation phase should include, in addition to the usual work detailed in ISO 17021 or ISO 17065, the following:

- understanding of the organisation business operations in relation to natural raw material sourcing practices;
- understanding and use of the independent verification work as detailed in the applicable audit protocol;
- Preparation of a Draft list of people that should attend the audit or part of it;
- preparation of a Draft list of potential documents to be asked and reviewed during this assessment.

6.3.1.16 The auditor shall determine audit time according to ISO17021 or ISO17065 and its experience with the UEBT verification system.

6.3.1.17 The auditor shall make sure that the relevant persons from the organisation are available for the audit.

6.3.1.18 The auditor shall share with the organisation an audit plan at least three (3) weeks before the audit.

6.3.1.19 The audit plan should be reviewed and accepted by the organisation. The audit plan should facilitate scheduling and coordination of the audit activities. The amount of detail provided in the audit plan should reflect the scope and complexity of the audit. The audit plan should cover the following:

- the audit objectives (Membership, Subsequent independent verification, Re-Certification etc.);
- the audit criteria and any reference documents (e.g. STD01 – Ethical BioTrade Standard, Applicable checklists);
- the audit scope, including identification of the organisational and functional units and processes to be audited;
- the dates and places where the on-site audit activities are to be conducted;
- the expected persons to attend the audit (R&D department, Quality department, Purchase, etc.);
- the expected time and duration of on-site audit activities, including meetings with the organisation’s management and audit team meetings;
• the roles and responsibilities of the audit team members and accompanying persons, when appropriate;
• the allocation of appropriate resources to critical areas of the audit, when relevant.

6.3.1.20 The audit plan should also cover the following, as appropriate:
• identification of the organisation’s representative for the audit;
• the working and reporting language of the audit where this is different from the language of the auditor and/or the organisation;
• the audit report topics;
• logistic arrangements (travel, on-site facilities, etc.);
• matters related to confidentiality.

6.3.1.21 The auditor shall ensure access to relevant and reliable information to do the work correctly and in a timely manner.

6.3.2 Preparation for certification audits

6.3.2.1 Before undertaking any formal independent verification or related activity for an organisation, the qualified Certification Body shall:

6.3.2.2 First contact the UEBT Secretariat to inform them about the upcoming independent verification; i.e. 1 month before the actual audit or immediately after they have confirmation of audit by the client:
• seek up-to-date information, and in case of doubt ask support from the UEBT Secretariat;
• inquire with the UEBT Secretariat whether:
  - the organisation has been granted the status of Approved Candidate or is already a UEBT Trading member;
  - UEBT requests the qualified Certification Body to pay special attention on certain aspects of the Ethical BioTrade Standard;
  - UEBT has background information on the organisation that it can share with the qualified Certification Body to help it prepare the independent verification.

6.3.2.3 The qualified CB shall ensure that its chosen auditor is well trained under the UEBT verification system and Ethical BioTrade standard

6.3.2.4 The CB shall only use auditors that have been registered and approved by UEBT.

6.3.2.5 UEBT shall reject any audits/reports carried out by auditors not registered and approved by UEBT. The CB shall re-do any audits with an approved

6.3.2.6 If the organisation has worked with another qualified Certification Body in its previous UEBT independent verification, the new selected qualified Certification Body shall communicate with the UEBT Secretariat and the previous qualified
Certificate Body to ensure that information is obtained and outstanding issues with the organisation are considered.

6.3.2.7 Before making a technical and financial proposition to the organisation, the qualified Certification Body shall have sufficient knowledge to ensure its proposal covers the necessary elements of the future independent verification, including at least the following elements:

- the Ethical BioTrade Standard;
- the UEBT verification system and its procedures; and
- the organisation business operations in relation to natural raw material sourcing practices.

6.3.2.8 The qualified Certification Body shall ensure that its quote takes into consideration the audit requirements stipulated in the relevant UEBT certification protocols.

6.3.2.9 The quote of the qualified Certification Body shall contain at least the following items, in addition to the usual items of the Certification Body’s procedure:

- Details of the independent verification/certification scope
- Details of the audit protocol, e.g. documentation review, interviews, field visit, where appropriate, etc.;
- Reporting obligations and tentative timelines;
- Fee schedule;
- Next contract agreement steps, etc.

6.3.2.10 The quote shall specify the audit costs (including number of days and daily fees), broken down in the categories; preparation, independent verification, reporting, work plan approval, transport & accommodation (see Annex 6 “Factors to consider in planning for UEBT Natural raw material or system certification audit”).

6.3.2.11 If a team of auditors is involved in the independent verification, the Certification Body shall provide the relevant details in the quote in terms of justification (e.g. use of experts, internal Verification Body procedure, use of translators, etc.) and in the fee schedule for the item “independent verification”. The CB shall keep the number of the team to no more than 3.

6.3.2.12 The qualified Certification Body shall ensure consistency in its quotes among its UEBT clients (i.e. UEBT Trading Members).

6.3.2.13 When the Certification Body uses translators during the assessment, the translators shall be independent of the audited organisation. If this is not feasible, the auditor
shall include the name and affiliation of the translators with the audited organisation in the audit report.

6.3.2.14 The auditor shall be correctly prepared to undertake the audit.

6.3.2.15 This preparation phase should include, in addition to the usual work detailed in ISO 17021 or ISO 17065, the following:

- understanding of the organisation business operations in relation to natural raw material sourcing practices;
- understanding and use of the independent verification work as detailed in the applicable audit protocol
- Preparation of a Draft list of people that should attend the audit or part of it
- preparation of a Draft list of potential documents to be asked and reviewed during this assessment

6.3.2.16 The auditor shall determine audit time according to ISO17021 or ISO17065 and its experience with the UEBT verification system.

6.3.2.17 The auditor shall make sure that the relevant persons from the organisation are available for the audit.

6.3.2.18 The auditor shall share with the organisation an audit plan at least three (3) weeks before the audit.

6.3.2.19 The audit plan should be reviewed and accepted by the organisation. The audit plan should facilitate scheduling and coordination of the audit activities. The amount of detail provided in the audit plan should reflect the scope and complexity of the audit. The audit plan should cover the following:

- the audit objectives (Natural raw material certification, Subsequent independent verification, (Re-)Certification etc.);
- the audit criteria and any reference documents (e.g. STD01 – Ethical BioTrade Standard, Applicable checklists);
- the audit scope, including identification of the organisational and functional units and processes to be audited;
- the dates and places where the on-site audit activities are to be conducted;
- the expected persons to attend the audit (R&D department, Quality department, Purchase, etc.);
- the expected time and duration of on-site audit activities, including meetings with the organisation’s management and audit team meetings;
- the roles and responsibilities of the audit team members and accompanying persons, when appropriate;
- the allocation of appropriate resources to critical areas of the audit, when relevant.

6.3.2.20 The audit plan should also cover the following, as appropriate:

- identification of the organisation’s representative for the audit;
• the working and reporting language of the audit where this is different from the language of the auditor and/or the organisation;
• the audit report topics;
• logistic arrangements (travel, on-site facilities, etc.);
• matters related to confidentiality.

6.3.2.21 The auditor shall ensure access to relevant and reliable information to do the work correctly and in a timely manner

6.4 Audit execution obligations for membership and/or certification

6.4.1 Each audit shall commence with an opening meeting. The lead auditor shall conduct an opening meeting, of which attendance shall be recorded, shall be held with the organisation’s management and the relevant persons to properly conduct the UEBT independent verification. The opening meeting shall include, in addition to the requirements of ISO17021 and/or ISO 17065, the following:
• briefly introduce the UEBT and the Ethical BioTrade Standard to make sure all people have the same level of minimum information about the ongoing process;
• introduce its audit team, when relevant, with the role of each ones;
• indicate that photographs will be taken as evidence, but under the framework of the confidentiality policy of the CB
• approval of the audit plan.

6.4.2 The auditor shall conduct the independent verification in its entirety.

6.4.3 The audit shall take place through observation of activities and processes (where relevant), documentation review and interviews with, at least, the people of the organisation involved in UEBT membership, natural raw materials' sourcing and those linked to items addressed by the Ethical BioTrade Standard, workers

6.4.4 The audit team shall verify findings between different types of evidence- “triangulating” the evidence- whenever possible.

6.4.5 The auditor shall apply the UEBT scoring system as required by the relevant protocols.

6.4.6 The lead auditor shall conduct the closing meeting, for which attendance shall be recorded, and which shall be held with the Organisation’s management and the relevant persons who participated in the UEBT independent verification. The below should be discussed during the closing meeting:
• The main findings of the audit
• The critical criteria non -conformities and the reasons that led to the non-conformity
• Explain the rest of the certification process and timelines pointing out the organisation has 30 days from the time they receive the official audit report to close all the non-conformities related to critical criteria
6.5 Reporting obligations

6.5.1 Reporting obligations for membership assessments

6.5.1.1 One (1) month after the assessment, the qualified certification Body shall send a Draft report to the UEBT Secretariat. The UEBT Secretariat reviews every report in the framework of continuous improvement of its auditor’s pool while receiving the Draft report. Without interfering in the independent assessment judgment of the auditor, there might be feedback from the UEBT Secretariat to the qualified Certification Body regarding reporting format and the interpretation of the Ethical BioTrade Standard.

6.5.1.2 UEBT secretariat will review the report and revert back to the CB no later than fourteen (14) working days from the day the report was submitted by the CB.

6.5.1.3 The CB will incorporate feedback from UEBT into the report and send the report to the UEBT provisional Trading Member to develop a work plan. This will happen no later than two (2) months from the time of the independent audit.

6.5.1.4 The auditor shall review and approve the Ethical BioTrade Work-Plan developed by the organisation. Its approval should take into consideration the feasibility of the Work-Plan in terms of timelines and budget wise. As well, whether the Ethical BioTrade Work-Plan responds to the weaknesses identified in the assessment report to ensure progress.

6.5.1.5 Three (3) months after the assessment, the qualified Certification Body shall submit to the UEBT Secretariat and the organisation:

- the final assessment report according to the UEBT audit report template
- the approved 3-year Ethical BioTrade Work-Plan
6.5.1.6 UEBT will take the final decision and present the membership certificate to the UEBT member.

6.5.1.7 The lead auditor shall write and submit the assessment report based on the UEBT audit report templates.

6.5.2 Reporting Obligations for Natural raw material and system certification

6.5.2.1 No later than one (1) month after the end of the audit, the qualified Certification Body shall submit to the UEBT Secretariat the audit report already revised internally to comply with 4 eye principle.

6.5.2.2 UEBT secretariat will review the report and revert back to the CB no later than fourteen (14) working days from the day the report was submitted by the CB.

6.5.2.3 The CB will incorporate feedback from UEBT into the report and send the report to the organization to develop a work plan. This will happen no later than two (2) months from the time of the independent audit.

6.5.2.4 The CB is required to review the work plan from the UEBT member for approval.

6.5.2.5 The CB is expected to submit to UEBT a final report with and approved work plan from the auditor and recommendation for certification. This is expected no later than three (3) months from the time of the independent audit.

6.5.2.6 If there is any non-conformities on critical criteria, the CB will grant the organisation until a maximum of 12 weeks to close the non-conformities, the CB will ensure to verify that these have been closed before taking the certification decision. In most cases, the evidence for closing the non-conformities can be exchanged virtually but in rare cases, the CB may plan for a follow up physical audit.

6.5.2.7 UEBT will take the final certification decision and present the certificate to the UEBT member.

6.5.2.8 The lead auditor shall write and submit the audit report based on the UEBT audit report templates.

6.6 Quality Management System

6.6.1 CBs shall document and implement a quality management system that meets the requirements put forth in ISO 17065, particularly sections 8.5 through 8.8 and continually evaluate the quality and performance of their certification processes, and the performance and competency of the personnel and consultants involved, with respect to UEBT assurance system requirements.

6.6.2 Personnel responsible for the management and operations of the quality management system shall include at least one person with demonstrable experience in the
6.7 **Risk Assessment for minimum requirements and Critical Criteria**

6.7.1 CBs shall perform a Risk Assessment in which they assess compliance risks for all UEBT Standard minimum requirements and critical criteria for each of the countries they operate in.

6.7.2 CBs will describe these risks, their contexts, and the measures to audit and interpret related criteria.

6.7.3 UEBT may request a copy of the Risk Assessment at any time.

6.7.4 UEBT will use these risk assessments to evaluate how CBs will evaluate, detect and manage compliance risks during audits.

6.7.5 CBs shall periodically review the Risk Assessment and update it as needed.

6.8 **Applicable Laws Assessment**

6.8.1 For each of countries they operate in, CBs shall document and maintain current a registry of all applicable laws and regulations that apply to the UEBT standard criteria and related compliance requirements. The registries will include the following minimum information:

- Full official name of the applicable laws and regulations;
- Dates of publication and when the legislation came into force;
- UEBT standard criteria or other requirements for which the laws or regulations apply; and
- Point of access (URL) or other information that indicates where text of the laws or regulations can be readily found.

6.8.2 UEBT has the right to request copies of the registries and copies of the relevant aspects of any of the laws or regulations in the registry, at any time.

6.9 **Impartiality**

6.9.1 The CBs shall adequately safeguard the impartiality of their activities. They must ensure that their personnel do not carry out any activity that may affect their impartiality, such as carrying out consultancy activities or pre-audits for clients on whom they also perform UEBT audits. They must also ensure that the personnel have not worked for
the Organisation i.e. UEBT member at which they are to carry out auditing activities in the past two years preceding the task.

6.9.2 The auditors including translators, shall complete a record stating any potential or existing conflict of interest including property, financial, and family ties with the UEBT member/ Certificate holder.

6.9.3 When a conflict of interest exists, the respective individual shall not be involved in the related audit.

6.10 Integrity

6.10.1 The CBs personnel are expected to fulfil their tasks with the highest ethical standards. Any situation that may compromise or influence this should be reported to the UEBT Coordinator who will in turn inform UEBT secretariat.

6.10.2 To maintain professional integrity, CBs must avoid that one auditor conducts more than three subsequent audits of the same Organisation in a row. A system for rotation of auditors should be in place.

6.11 Confidentiality

6.11.1 The CB and auditors are required to respect and keep confidential all documents, procedures and policies of the UEBT members unless otherwise permitted to share with a written consent from the UEBT member.

6.11.2 UEBT shall treat information received from Certification Bodies in fulfilment of these requirements as confidential, unless it concerns information that is already public, is contained in public documents or is clearly highlighted for public distribution.

6.11.3 All CB personnel including translators shall sign a non-disclosure agreement with the CB that bounds them to keep confidential all information from audited organisations.

6.12 CB personnel training and performance

6.12.1 Before conducting auditing and certification activities for, all CB Personnel involved in the Certification Program must have successfully completed the appropriate Program Annex 2

6.12.2 UEBT Personnel must fulfil their respective tasks related to Certification process according to their roles and responsibilities as described in chapter 1.3 HR requirements

7 CB Approval Procedure

7.1 Application and documents

7.1.1 Certification Bodies interested in being qualified by the UEBT should contact the UEBT Secretariat by email at (certification@ethicalbiotrade.org) to request for an application form.
7.1.2 Through the application form, the CB indicates who the UEBT Coordinator will be and who the auditor(s). This can be the same person(s), provided respective qualifications as stipulated in this document are met.

7.1.3 The CB sends the completed application form together with copies of the following to certification@ethicalbiotrade.org

- Valid ISO 17065:2012 accreditation certificate and results of the last accreditation audit received.
- A copy of the legal registration in the countries where they conduct certifications
- A description of the Organisational structure, including the regional and local offices the CB wishes to include in the approval
- Proof of qualifications of the proposed UEBT Coordinator and the auditors

7.1.4 UEBT will send the CB “UEBT-Certification Body Agreement” once it has verified all requirements are met in the application form. This document spells out the obligations for the CB to meet.

7.1.5 The CB signs the agreement and sends it back to UEBT

7.1.6 UEBT will sign the agreement and send it back to the CB

7.1.7 In case of changes to the list of the UEBT Coordinator and the auditors, the CB shall notify UEBT.

7.1.8 UEBT will publish all authorized CBs on their website https://www.ethicalbiotrade.org/certification-bodies

7.1.9 After signing of the agreement, the CB to ensure the auditors have received the required training from UEBT as described in this document.

8 CB Assessment

CB assessment is conducted by UEBT in order to monitor and evaluate compliance with the rules, standards and policies established for CBs and auditors. UEBT monitors the work of the CBs in 2 ways:

8.1 Desktop review of audit reports

8.1.1 The UEBT Coordinator of the CB has the responsibility of reviewing all audit reports generated by the auditors. Every audit report will be reviewed by UEBT before its submission to the UEBT member for the purpose of assessing and monitoring the quality and consistency of the audit report. Desktop review by UEBT can result in a decision to carry out a shadow audit.

8.2 On-site Audits

There are two types of on-site audits:
8.2.1 Shadow audit

8.2.1.1 UEBT evaluator observes the performance of the CB auditor(s) with the main objective being to assess to what extent the auditor is correctly interpreting and evaluating the UEBT standard.

8.2.1.2 Other aim of a shadow audit is to verify the non-compliances identified after a desktop review of audit reports.

8.2.1.3 The CB should notify the UEBT member of the presence of a UEBT staff during the audit.

8.2.1.4 UEBT staff will give a written evaluation report to the CB.

8.2.1.5 The CB certification coordinator informs UEBT about all audits scheduled for the upcoming year. UEBT shall establish, when necessary, which audits shall be accompanied by UEBT staff and informs the CB coordinator accordingly.

8.2.2 Review audit

8.2.2.1 This audit is conducted by UEBT evaluator or a qualified auditor/consultant chosen by UEBT independent of the CB. The below conditions warrant a review audit:

- If there is suspicion of misconduct of the CB
- If there is a claim or complaint made by third parties and other stakeholders regarding performance of the CB
- If there is a claim or complaint made by third parties and other stakeholders regarding ethical implementation of the UEBT standard by the UEBT member.
- Or any indication that is considered as a risk to the integrity of UEBT.
- To evaluate the quality control and certification recommendation process of the CB

8.2.2.2 UEBT may conduct a review audit outside the normal audit conducted by a CB. UEBT will visit the UEBT member with the last report of the auditor and do a spot check to ensure that the report correlates with what is seen on the ground
<table>
<thead>
<tr>
<th>Type of oversight</th>
<th>Natural raw material Certification audit</th>
<th>Ethical Sourcing system audit</th>
<th>Membership audit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desktop review report</td>
<td>Sample size:</td>
<td>Sample size:</td>
<td>Sample size:</td>
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<tr>
<td></td>
<td>• Random sampling (% of total number of audits done by a CB in a year)</td>
<td>• Random sampling (% of total number of audits done by a CB in a year)</td>
<td>• Random sampling (% of total number of audits done by a CB in a year)</td>
</tr>
<tr>
<td></td>
<td>Sample selection based on either judgemental or discovery sampling</td>
<td>Sample selection based on either judgemental or discovery sampling:</td>
<td>Sample selection based on either judgemental or discovery sampling:</td>
</tr>
<tr>
<td></td>
<td>• New auditor</td>
<td>• New auditor</td>
<td>• New auditor</td>
</tr>
<tr>
<td></td>
<td>• Increased scope on UEBT member</td>
<td>• Increased scope on UEBT member</td>
<td>Increased scope on UEBT member</td>
</tr>
<tr>
<td>Shadow audit</td>
<td>Discovery sampling based on Risks such as</td>
<td>Discovery sampling based on Risks such as</td>
<td>HERE</td>
</tr>
<tr>
<td></td>
<td>• New CB</td>
<td>• New CB</td>
<td></td>
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<tr>
<td></td>
<td>• New Natural raw material</td>
<td>• New Natural raw material</td>
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<td></td>
<td>• New country</td>
<td>• New country</td>
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<td></td>
<td>• Risk country (child labour, forced labour)</td>
<td>• Risk country (child labour, forced labour)</td>
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<td></td>
<td>• Weak audit reports from the past</td>
<td>• Weak audit reports from the past</td>
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<tr>
<td></td>
<td>• Complex supply chain</td>
<td>• Complex supply chain</td>
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</tr>
<tr>
<td></td>
<td>Judgemental Sampling based on results of the desktop review.</td>
<td>Judgemental Sampling based on results of the desktop review.</td>
<td></td>
</tr>
<tr>
<td>Review audit</td>
<td>Discovery sampling based on risks such as</td>
<td>Discovery sampling based on risks such as</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Types of complaints specific to the CB</td>
<td>• Types of complaints specific to the CB</td>
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<tr>
<td></td>
<td>• Reputational risk to UEBT</td>
<td>• Reputational risk to UEBT</td>
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</tbody>
</table>
8.3 Reporting after CB assessment

8.3.1 UEBT shall provide a written report to the CB for each of the on-site assessment conducted. This will be provided within one month of conducting the assessment.

8.3.2 The CB shall take ownership of the findings in the report and submit corrections and a work plan with the aim of improving the auditor’s performance. This report should be sent to UEBT within a period of 1 month of receiving the evaluation report.

9 Sanctioning

9.1 Sanctions of CB by UEBT

9.1.1 UEBT may issue warnings and reserves the right to suspend a CB from conducting audits based on evidence of breach of contract, repeated inadequate performance of CB personnel or Qualification may be suspended in case of lack of compliance with these requirements and obligations.

9.1.2 A suspension may be applied after three written warnings have been given for a specific and same case.

9.1.3 In severe situations, such as cases that lead to a breach of trust or compromise the integrity of the UEBT Certification system, a suspension may be applied without warning.

9.1.4 Certification Bodies that lose their qualification are taken off from the list of Certification Bodies on the UEBT website and may not undertake any UEBT Independent audits.

9.1.5 Qualification may be reinstated by the UEBT Secretariat when Certification Bodies regain compliance with these requirements. Certification Bodies have up to six (6) months to regain compliance.

9.1.6 If, after this timeframe, the Certification Body remains non-compliant, it shall sign a new Letter of Agreement with UEBT and redo the qualification process described in
section 4 of this document before undertaking any UEBT independent Verification/Certification.

9.1.7 The suspended CB may request to be reconsidered for the UEBT Certification system program. The decision on whether the request can be granted, and the required actions are determined on a case-by-case by UEBT.

9.1.8 Warnings require corrective actions; the CB shall respond to UEBT in writing within 30 days of receiving the warning with proposed corrective actions.

9.1.9 The maximum period for the CB to address the issues and implement the corrective actions is 90 days from the day UEBT approves the corrective action plan.

9.1.10 Suspensions require the CB to conduct a root cause analysis and submit a report together with corrective actions to UEBT within 30 days of receiving the suspension letter.

9.1.11 The CB can appeal the decision to UEBT within a month from the date of reception of the suspension letter, in which case the UEBT Appeals procedure will be followed.

9.2 Sanctions of auditors by the CB

9.2.1 The CB will be responsible to establish and implement a functioning sanctioning system for its auditors. Such system will be shared with UEBT upon request on a case by case. At the minimum, the following should be considered.

<table>
<thead>
<tr>
<th>Action</th>
<th>Cause</th>
<th>Sanction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Written Warning</td>
<td>1. Weaknesses identified during the audit</td>
<td>The CB should notify the auditor of this warning in</td>
</tr>
</tbody>
</table>
### Requirements and Obligations for Qualified Certification Bodies – 2020

<table>
<thead>
<tr>
<th>Suspension</th>
<th>Disqualification</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. 3 subsequent written warnings</td>
<td>Not addressing the suspension</td>
</tr>
<tr>
<td>2. Not addressing actions required from the oversight audit</td>
<td></td>
</tr>
<tr>
<td>At least 3 months suspension as auditor addressees the identified issues.</td>
<td></td>
</tr>
</tbody>
</table>

#### 10 Use of UEBT logo and communication on UEBT

Any communication on UEBT programme, UEBT certification process and use of UEBT logo on your website, materials etc will be authorised in writing by UEBT Secretariat.

Please contact verification@ethicalbiotrade.org before any communication referring to UEBT and its members is published to approve the content.

#### 11 Force majeure

It can occur that due to exceptional circumstances that are not in the power of the CB, the CBs are not capable of complying with the requirements in this document. Those exceptional circumstances can be humanitarian crises, natural disasters or other exceptional circumstances. If such circumstances occur and they hinder the compliance of the CB with the requirements in this document, the CB can request an exception verification@ethicalbiotrade.org

#### 12 Contact

Any enquiry about this procedure of the Union for Ethical BioTrade should be addressed to:

**Union for Ethical BioTrade – Secretariat**

De Ruyterkade 6
1013 AA Amsterdam

Netherlands

Or via email: info@ethicalbiotrade.org
Annex 1 UEBT Coordinator and Auditor qualifications and competencies

*Note: X+ indicates a need for deeper knowledge and skills, more experience, lead courses*

<table>
<thead>
<tr>
<th>Knowledge &amp; skills</th>
<th>Functions</th>
<th>Competencies</th>
<th>Qualifications &amp; Evidences</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>UEBT Coordin ator</td>
<td>Auditor</td>
<td></td>
</tr>
<tr>
<td>Auditing Experience</td>
<td></td>
<td></td>
<td>Experiences in auditing social and environmental standard schemes.</td>
</tr>
</tbody>
</table>
| UEBT Membership process and procedures | X+ | X+ | • Experience in Management systems (by training or working experience) | CV, Certificate attestation  
• Demonstrate an understanding of the UEBT Procedures (see training modules in 8.2)  
• Shows continuous understanding while in contact with the UEBT Secretariat. |
| UEBT ESS Certification Protocol | X+ | X+ | • Demonstrate an understanding of the UEBT ESS Certification protocol (see training modules in 8.2)  
• Ability to correctly interview stakeholders and the client respecting the individual and cultural situations | Passed the corresponding training  
• Shows correct use of different tools through Work experience, audit reports, etc. |
| UEBT Natural raw material certification protocol | X+ | X+ | • Demonstrate an understanding of the UEBT Natural raw material Certification audit protocol (see training modules in 8.2)  
• Ability to correctly interview stakeholders and the client respecting the individual and cultural situations | Passed the corresponding training  
• Correctly applies the corresponding requirements;  
• Shows correct use of different tools through Work experience, audit reports, etc. |

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2 Social and Environmental standard schemes include but not limited to: UTZ, Rainforest Alliance, Global gap, Organic, Euro gap, Trustea, Fair for Life. Fair trade, Fair Life.

3 ISO 9000/9001; SA 8000; ISO 14001; ISO 22000

4 The CB shall ask to UEBT for the updated procedures (e.g. GOV 25; PRO24; PRO 12; PRO 11, etc.)
| Ethical BioTrade Standard | X+ | X+ | Demonstrate an understanding of the Ethical BioTrade Standard (see training modules in 8.2) | • Passed the corresponding training  
• Shows correct interpretation of the standard through work experience, audit reports, etc. |
|--------------------------|----|----|------------------------------------------------------------------|--------------------------------------------------------------------------|
| UEBT tools and templates | X  | X  | • Demonstrate an understanding of all tools developed by the UEBT Secretariat whether they are aimed at Trading Members or Certification Bodies  
• A correct use of the different UEBT tools (Ingredient Portfolio Assessment, sampling methodology, etc.)  
• A correct use of the UEBT templates: audit report for membership and certification, other.  
(see training modules in 8.2) | • Passed the corresponding training  
• Shows correct interpretation of the tools through work experience, audit reports, etc. |
| Client business sector and operations | X  | X+ | Demonstrate an understanding of the business sector in which the UEBT Trading Member works | • Work experiences in this sector |
| Language skills          | X  | X+ | Demonstrate the language appropriate to all levels within the Organisation and its supply chains (by the auditor or through a translator hired by the CB) | • CV, work experience, certificates, etc. |
| Writing skills           | X  | X+ | Demonstrate skills to write in a clear and precise way | Work experience, certificates, etc. |
| Communication & interview skill | X+ | X+ | Demonstrate skills to communicate in a clear and emphatic way at the different levels to the Organisation and supply chains. | • Work experiences; |
Annex 2 - UEBT and UEBT/UTZ Training Program

The table provides an overview of the UEBT training modules and indicates the respective active target groups.

The training program consists of
1) the UEBT Training modules and
2) Accompanied audits or Monitoring visits.

<table>
<thead>
<tr>
<th>Training Modules</th>
<th>Applicable to</th>
</tr>
</thead>
<tbody>
<tr>
<td>UEBT and UEBT/UTZ certification Audit and process</td>
<td>• CB Certification coordinator</td>
</tr>
<tr>
<td>Internal Monitoring system (IMS) and Local Monitoring System (LMS) requirements</td>
<td>• CB Certification Coordinator</td>
</tr>
<tr>
<td></td>
<td>• Auditors</td>
</tr>
<tr>
<td>UEBT standard and RA supplement requirements for field compliance</td>
<td>• CB Certification Coordinator</td>
</tr>
<tr>
<td></td>
<td>• Auditors</td>
</tr>
<tr>
<td>UEBT E-training (Equitable sharing and verification)</td>
<td>• Auditors</td>
</tr>
</tbody>
</table>

- All auditors must be trained by UEBT in the respective modules upon approval of the CB and before any audits are conducted.
- The CB certification coordinator must remain up to date with developments in the UEBT/UTZ certification system and participate in refresher/up-date training sessions offered by UEBT/UTZ, when applicable. He/she is responsible for ensuring that all auditors are informed in a timely manner about any changes and developments in the UEBT/UTZ certification system.
- The CB personnel must successfully complete the training modules once every 3 years to update themselves on different changes or new documents published by UEBT.
- The CB personnel is recommended to attend other E-trainings that UEBT makes available over the years e.g. Biodiversity Action Plan (BAP).
**Annex 3 - Accompanied Audits**

The auditors must follow the procedure regarding accompanied audits before they first start conduction audits. The steps are outlined in the table below.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>1.</td>
<td>The new auditor observes an approved UEBT /RA lead auditor conducting an audit</td>
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<tr>
<td>2.</td>
<td>The new auditor conducts, and audit accompanied (observed and evaluated) by the approved lead auditor or UEBT staff</td>
</tr>
<tr>
<td>3.</td>
<td>The new auditor may conduct audits by himself/herself, provided that the evaluation in step 2 above was satisfactory and approved by UEBT</td>
</tr>
</tbody>
</table>
Annex 4 - Guidance to calculate audit time for UEBT membership

Membership audit objective

The aim of the Membership audit is to verify the compliance of:

- Membership conditions and obligations
- Functioning of the Ethical Sourcing System (ESS) of the Organisation
- Progress made in the prioritized supply chain(s) with the implementation of the Ethical Bio-Trade Standard according to the Trading Member’s target set.

Membership audit components and reference of the time estimated

<table>
<thead>
<tr>
<th>Components</th>
<th>Basic activities</th>
<th>Reference time (days)¹</th>
</tr>
</thead>
</table>
| 1. Audit preparation     | - review documents (previous audit report, previous, non-compliance, key background of the company)  
                           | - elaboration of the audit plan                                                  | 0,5                    |
| 2. Audit on-site         | - open meeting                                                                   |                        |
|                          | - documentation review                                                             | 1,0 – 1,5              |
|                          | - visit of the facilities                                                          |                        |
|                          | - interview with key company’s workers and staff                                   |                        |
|                          | - preparing the conclusion                                                        |                        |
|                          | - close meeting                                                                   |                        |
| 3. Reporting             | - elaboration and review (if applicable)                                          | 1,0                    |
| 4. Work Plan review      | - review and approval                                                             | 0,5                    |
| 5. Travel time           | - depend of each audit (must be estimated and agreed between the CB and the Trading Member) | -                      |

¹ The audit time indicated in this guidance must be used as reference. The audit time must be agreed between the CB and the Trading Members according to the company complexity, type of audit (first audit or following audit) and logistic conditions (e.g. distance and accessibility).
## Annex 5 - Proposal of an audit plan - Membership audit

The following proposal audit plan includes the schedule, activities, documentation and persons required during the evaluation. The auditor should use this audit plan as reference.

<table>
<thead>
<tr>
<th>Day 1 – Days (DD/MM/YYYY)</th>
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<tbody>
<tr>
<td><strong>Hour</strong></td>
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Annex 6 - Factors to consider in planning for UEBT Natural raw material or system certification audit

To prepare the audit plan, the CB considers the following factors to be evaluated and recorded, including but not limited to:

1. Geographic location of the operation – region and country, proximity to intact ecosystems
2. Size of the operation
3. Type of production systems (wild collection or cultivation)
4. Production quantities, yields, and sales of products for which the organization is requesting certification
5. Types of infrastructure present (processing facilities, housing)
6. Location of producers - proximity to operation
7. Receipt, purchase or processing of products from non-certified farms or groups;
8. Valid certifications under other schemes
9. Languages and cultural factors
10. Number and type of workers, such as (permanent, temporary, migrant)