

# CODE OF CONDUCT

## Rooibos Module

Version 1.1



UTZ Training Center:  
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## Introduction

The Rooibos Module is used along with the Core Code and includes requirements applicable to all supply chain activities up until the packaging of consumer-end product.

This Module is used by all Rooibos producers and producer groups (with or without their own processing facilities) who wish to obtain Code of Conduct certification. It also applies to actors who are conducting primary and/or secondary processing, who do not produce wet Rooibos themselves, but buy UTZ certified wet Rooibos, green Rooibos and/or Rooibos from UTZ certified producers or producer groups.

Depending on the activities they perform, producers/producer groups assess which control points in this document are applicable to them. Headers may specify the activity that the control points apply to, in other cases the applicability is indicated in the control point itself or in the clarification for compliance. The control points in Block C are applicable to all type of actors.

Example 1: for producers who conduct primary processing, but not secondary processing, the control points in this Module below the Secondary Processing header would not apply.

Example 2: for actors who conduct secondary processing and do not produce any Rooibos, the control points related to production do not apply.

For further guidance on which control points are applicable and which are not, please contact UTZ.

The column “Applicable to” indicates whether the control point applies to the group and/or the group member for groups certified against the Core Code for group certification. Rooibos producers certified against the Core Code for individual certification must comply with all control points applicable to their activities in the Module.

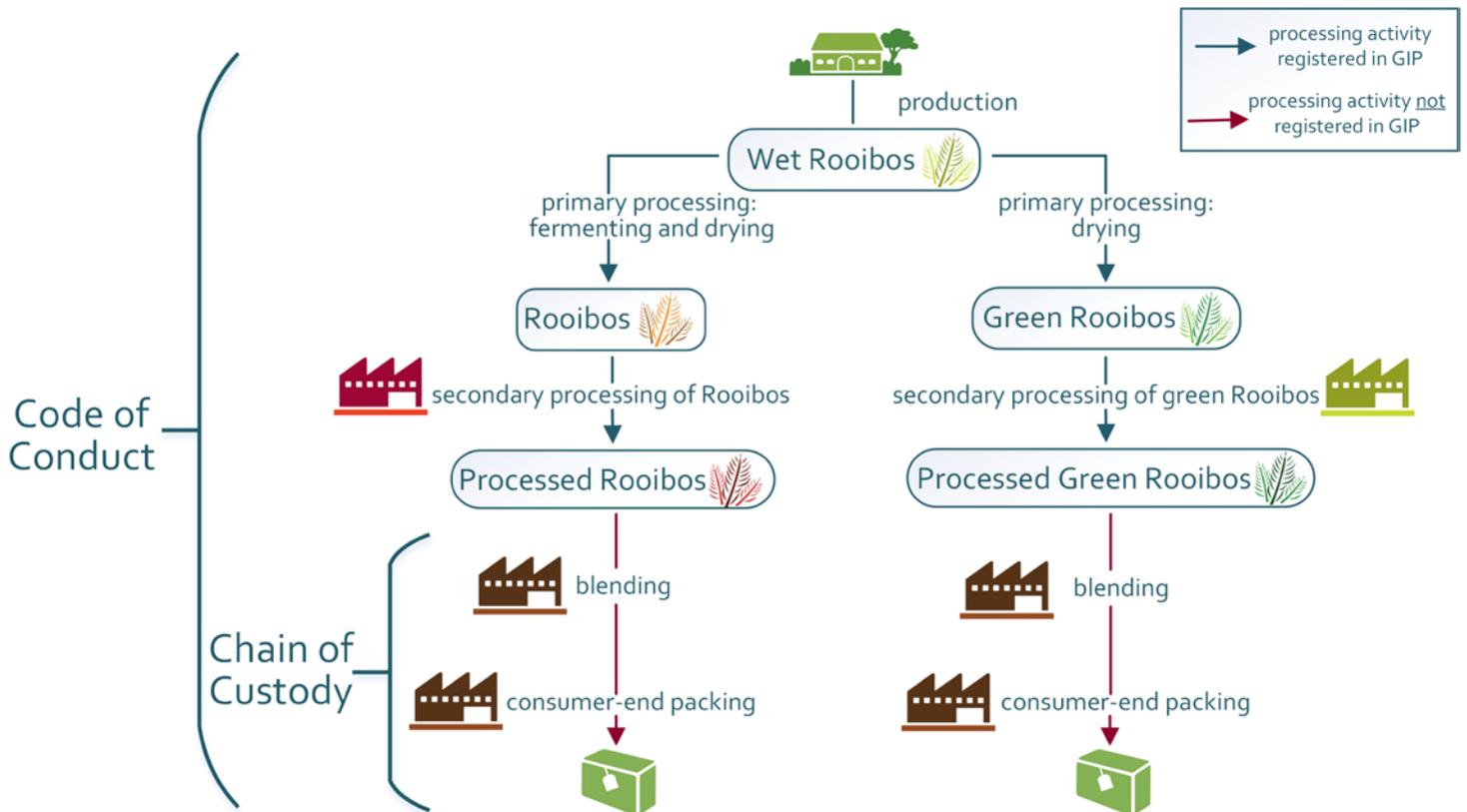
Producers and producer groups who package consumer-end processed Rooibos and/or processed green Rooibos products can find more information regarding the logo use in the latest version of the UTZ Labeling and Trademark Policy.<sup>1</sup>

If there is a contradiction between what is required from the Core Code and what is required from the Module, the requirement from the Module takes precedence.

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<sup>1</sup> This document is available on the UTZ website.

The following flow chart represents a simplified Rooibos supply chain, including the main products and processing activities registered in the GIP as part of Code of Conduct certification. It also demonstrates which products and activities are covered under the scope of Chain of Custody certification, and are not registered in the GIP.



## Definitions

<b>Buyer confirmation</b>	Confirmation of a purchase in the GIP of UTZ product
<b>Convert</b>	Stock activity in the UTZ traceability system (GIP). When any type of Rooibos is processed the member performs the stock activity <i>convert</i> .
<b>Downgrade</b>	Stock activity in the UTZ traceability system (GIP). When a Supply Chain Actor (SCA) wishes to lower the traceability level from Identity Preserved (IP) to Segregation (SG) of a certain volume of any type of Rooibos product they have in their stock, they perform the transaction <i>downgrade</i> .
<b>First buyer</b>	The SCA that is the first buyer of the UTZ certified product. The first buyer purchases product from a producer/producer group who is certified against the UTZ Code of Conduct.
<b>Mix</b>	Stock activity in the UTZ traceability system (GIP). When a SCA mixes any type of Rooibos (at Identity Preserved traceability level) from different producers/producer groups they perform the stock activity <i>mix</i> . The mixed volume will retain information about the producers' names and their respective volumes included in the mix.
<b>"On Behalf User Authorization"</b>	Authorization signed by a supplier (producer/producer group) and a first buyer which authorizes the first buyer to register transactions in the GIP on behalf of the producer/producer group
<b>Primary Processing</b>	Processing of wet Rooibos which takes place on a drying yard and includes cutting, bruising, drying and/or fermentation. Wet Rooibos can either be: <ol style="list-style-type: none"> <li>1. cut, bruised, fermented and dried to be converted into Rooibos, and/or</li> <li>2. cut and dried to be converted into green Rooibos.</li> </ol>
<b>Product claim</b>	Any reference made about UTZ or about the sustainable or responsible sourcing of a product or ingredient(s), that to all intents and purposes are wholly or partially based on UTZ origin or status, with or without the UTZ logo, which is made on-product or off-product, in relation to the offering or selling of the product. This can be both business-to-business and business-to-consumer. Product claims are further explained in the Labeling and Trademark Policy.  The following examples are also considered to be a product claim: <ul style="list-style-type: none"> <li>- If the UTZ member mentions UTZ or the sustainable status or sourcing of the product or ingredient(s) on an invoice to its clients;</li> <li>- If the UTZ member refers to UTZ or the sustainable status or sourcing of the product or ingredient(s) in brand or product communications, including online, press, advertisements, point-of-sale;</li> <li>- If an UTZ member refers to UTZ or the sustainable status or sourcing of the product or ingredient that has been delivered to him/her.</li> </ul>
<b>Program fee</b>	The program fee (formerly "administration fee") is a volume-based contribution to the UTZ program. The program fee is charged once in the supply chain for any given volume that was traced in the GIP.  The program fee is UTZ's main source of income and enables it to sustainably run and maintain its program and to provide the following services to its members: <ul style="list-style-type: none"> <li>- Client support on implementation, sourcing and commercialization of UTZ certified products</li> <li>- Stakeholder acceptance and maintenance of the certification standards and assurance system in producing and consuming countries</li> <li>- Quality control and training in the certification process</li> <li>- Maintenance and innovation of the traceability system</li> <li>- Training and support to field extension providers to ensure proper implementation</li> </ul>
<b>Purchase announcement</b>	Transaction in the UTZ traceability system (GIP). When a first buyer purchases any type of Rooibos from a producer/producer group, and they have received authorization to register transactions in the GIP on behalf of the producer/producer group. Authorization from the producer/producer group provided via the GIP, or an "On Behalf User Authorization" form signed by both parties is required to perform this stock transaction.

<b><i>Retroactive claiming</i></b>	<p>When a product is claimed as UTZ certified at a later stage than the initial sale/purchase of the product, or after expiry of a license. In the case that the supplier or the buyer no longer hold a valid license, an application for a retroactive claim must be submitted to UTZ , and conditions may apply for the claim to be accepted.</p> <p>E.g. a first buyer purchases UTZ product on April 1<sup>st</sup>, and receives their first certification audit on June 1<sup>st</sup>. The certificate and license begin June 15<sup>th</sup>. Once the first buyer has an active license on June 15<sup>th</sup>, they can retroactively claim the UTZ volumes purchased on April 1<sup>st</sup>.</p>
<b><i>Sales announcement</i></b>	<p>Transaction in the UTZ traceability system (GIP). Sale of any type of UTZ certified Rooibos performed in the GIP to any other actor by a producer/producer group or an actor who is conducting primary and/or secondary processing.</p>
<b><i>Secondary processing</i></b>	<p>Processing activities which may include grading, sorting and steam pasteurization and are responsible for the conversion of Rooibos into processed Rooibos and of green Rooibos into processed green Rooibos.</p>
<b><i>Stock activity</i></b>	<p>Any activity, excluding sales or purchase announcements and buyer confirmations, performed on a member's stock of UTZ certified product. Stock activities include "Convert", "Downgrade", "Mix", "Remove", and "Trace".</p>
<b><i>Stock keeping unit</i></b>	<p>A distinct item for sale and all attributes (e.g. material, ingredients, size, packaging, etc.) associated with the item that distinguish it from other items.</p>
<b><i>Supply Chain Actor</i></b>	<p>An entity that operates within the UTZ supply chain and is not a producer/producer group.</p> <p>E.g. a SCA is a primary and/ or secondary processor that purchases any type of Rooibos from a producer or producer group.</p>
<b><i>Transactions</i></b>	<p>Commercial transactions of UTZ certified product traded in the GIP. Includes "sales announcement", "purchase announcement" and "buyer confirmation".</p>

CP #	Control Point	Applicable to	Year 1	Year 2	Year 3	Year 4	Clarification for Compliance
<b>BLOCK B - FARMING PRACTICES</b>							
<b>Soil and fertility management</b>							
RB.B.1	Rotational cropping is carried out and uses adequate crops in order to break cycles of pests and diseases and to improve soil structure.	G+M					Adequate crops include e.g. oat, rye, and triticale.
RB.B.2	Soil conservation techniques are in place.	G+M					Soil conservation techniques include e.g.: -Minimum tillage in order to maintain soil structure -Planting cover crops
<b>Harvest</b>							
RB.B.3	Rooibos is harvested at the appropriate time and using the best method for optimizing quality and crop health.	G+M					The plant is harvested at the adequate height (e.g. around 30cm in first year) and when well ripe (e.g. amber-red color up to the top of the stem).
<b>Postharvest</b>							
RB.B.4	Measures are implemented to prevent fermentation and mold formation during (intermediate) storage and transport of wet Rooibos.	G+ M					
<b>Primary processing: drying yard</b>							
RB.B.5	The drying yard is clean, well maintained, and free of litter in order to prevent contamination.	G+M					Good maintenance of the drying yard must include : - herbicides are not used and - cracks are repaired/filled.
RB.B.6	Farm vehicles and machines are well maintained. During harvest season, vehicles used on the drying yard can only be used on the drying yard.	G+M					Before harvest season, vehicles are checked for oil leaks, fitted with drip trays, and tires are properly cleaned.
RB.B.7	Measures are implemented to prevent contamination of wet Rooibos during primary processing.	G+M					Measures must include at least: - minimizing the risk of foreign matter (e.g. stones), -preventing access to animals, and -preventing workers from walking on the drying yard without appropriate boots.
RB.B.8	Only potable water (or water declared suitable by the competent authorities) is used on the drying yard.	G					

CP #	Control Point	Applicable to	Year 1	Year 2	Year 3	Year 4	Clarification for Compliance
RB.B.9	<p>Good practices are in place for primary processing.</p> <p>A process flow chart which indicates optimum conditions (including temperature and time) for each activity is established and implemented.</p> <p>Relative humidity is monitored and controlled to prevent excessive moisture absorption during fermentation.</p>	G					
<b>Secondary Processing</b>							
RB.B.10	Measures are taken to minimize risk of foreign matter (e.g. stones and metal/plastic/glass pieces) in the Rooibos and/or green Rooibos, at the processing unit.	G+M					Sifting or magnets are used in processing units to minimize physical hazards during the final sorting and grading.
RB.B.11	All equipment used in the processing unit that comes into direct contact with Rooibos is regularly disinfected with steam or water with disinfectant to avoid microbial contamination.	G					
RB.B.12	Contamination from cleaning agents, lubricants, and other substances that may come into contact with the Rooibos during processing is avoided.	G					Only food grade cleaning agents, lubricants, and other substances are used, and are used according to label instructions.
RB.B.13	<p>Good practices are in place for secondary Rooibos processing.</p> <p>A process flow chart which indicates optimum conditions (including temperature and time) for each activity is established and implemented.</p> <p>Relative humidity is monitored and controlled to prevent excessive moisture absorption in grading and packing.</p> <p>Potable water is used for humidifiers, to prevent contamination.</p>	G					
RB.B.14	Only clean water is used during secondary processing.	G					Only potable water (or water declared suitable by the competent authorities) is used if water or steam comes into contact with the Rooibos during processing.
RB.B.15	All workers wear outer garments that are suitable for the performed operation.	G					Outer garments (e.g. smocks, aprons, sleeves, gloves) are regularly cleaned or changed to avoid cross-contamination.

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RB.B.16	Toilets are in a good state of hygiene and do not open directly into the Rooibos handling area, unless the door is self-closing.	G					
RB.B.17	Representative lot samples of Rooibos are kept for at least one year, to be analyzed in case of any complaint.	G					
RB.B.18	Qualified personnel regularly evaluate the quality of the Rooibos, and records showing reference to particular batches or lots are kept.	G					
RB.B.19	The natural and artificial flavors used for the processing of different flavored Rooibos: -are approved for use in food products in the country of production and in the destination country, and -do not exceed allowed levels.	G					A list of flavors used in the production process and their product specifications is available.  The flavor quantities used per batch of Rooibos is recorded.
<b>Consumer-end Packing</b>							
RB.B.20	There is a system in place that ensures that each lot of consumer-end product to be sold complies with the latest version of the UTZ Labeling and Trademark Policy.	G					An updated list of all consumer-end products sold with the UTZ logo, which can be indicated either by name, Stock Keeping Unit (SKU) or grouping of products and SKUs, is kept.  Prior to print, there is a valid label approval for all consumer-end products sold with the UTZ logo.
<b>Claiming in GIP</b>							
RB.B.21	All purchases of UTZ certified product, including premium, are recorded in the Good Inside Portal (GIP). Records are kept of transactions and stock activities with the GIP transaction ID.	G					Transactions and stock activities include: - sales announcements - purchase announcements - buyer confirmation - trace - remove - convert - mix - downgrade.
RB.B.22	When Rooibos is claimed as UTZ certified, the producer/producer group and first buyer agree upon a procedure for payment (covering amount and timing) of the UTZ Premium. The UTZ premium is net of any deductions for repayment of pre-financed goods or services.	G					Proof of payment and acknowledgement from the producer/producer group of the reception of the UTZ Premium is available.

CP #	Control Point	Applicable to	Year 1	Year 2	Year 3	Year 4	Clarification for Compliance
RB.B.23	When Rooibos is claimed as UTZ certified retroactively, the sales or purchase announcement and buyer confirmation must be (retroactively) entered in the Good Inside Portal (GIP).	G					
RB.B.24	First buyers who have on-behalf user rights for the GIP account of a producer/producer group inform their supplier of all purchase announcements (including volume) performed, and provide them with the confirmation of the transaction generated in the GIP within 2 weeks after confirming the transaction.	G					
<b>Trace / Remove in GIP</b>							
RB.B.25	Actors that manufacture half-finished, consumer, or food service products and operate in the GIP, must trace all UTZ volumes for which they have confirmed receipt and that will not be sold onwards in the GIP as UTZ certified.	G					Records are kept up-to-date in the GIP.  The member performs the stock activity trace in GIP when: - processed Rooibos or processed green Rooibos is packaged and sold as a consumer-end product (with or without an UTZ certified claim); - processed Rooibos or processed green Rooibos is manufactured into Rooibos extract, liquor, or any other Rooibos-based product.  Tracing triggers the generation of an invoice for the UTZ program fee.
RB.B.26	Actors that do not manufacture half-finished, consumer, or food service products and operate in the GIP, must remove all UTZ volumes for which they have confirmed receipt and that will not be sold onwards in the GIP as UTZ certified.	G					Records are kept up-to-date in the GIP.
<b>BLOCK C - WORKING CONDITIONS</b>							
<b>Worker's rights</b>							
RB.C.27	Designated employers have an Employment Equity Plan in place.	G					This is in accordance with the Employment Equity Act.
RB.C.28	Registration for Workman's Compensation is done.	G					This is in accordance with the Occupational Injuries and Diseases Act.
RB.C.29	There is a policy and/or contract in place to protect the land tenure rights of workers and farm owners.	G					This is in accordance with the Extension of Security of Tenure Act in South Africa.
<b>Health and safety</b>							
RB.C.30	Contact is made with the local mobile clinic to ensure that there are regular visits to the farm.	G					

CP #	Control Point	Applicable to	Year 1	Year 2	Year 3	Year 4	Clarification for Compliance
RB.C.31	A Health and Safety policy is in place.	G					<p>This is in accordance with the Occupational Health and Safety Act.</p> <p>The Health and Safety policy must include a section on how to address major contagious diseases, to prevent outbreaks, and to assist those who are already infected.</p>
RB.C.32	There is an open door policy in place to discuss any major diseases. This is explained to all workers.	G					
<b>BLOCK D - ENVIRONMENT</b>							
<b>Water</b>							
RB.D.33	National and local regulations about authorization of water use and building of dams are respected.	G+M					This is in accordance with the National Water Act, National Environmental Management Act.
RB.D.34	The flow regime (naturally occurring water flow) is not interfered with unless authorized.	M					<p>There is no obstruction between the source and downstream portions of a wetland.</p> <p>This is in accordance with the National Water Act and National Environmental Management Act.</p>
RB.D.35	Wetlands are identified and monitored for signs of degradation and erosion. Where historical degradation has occurred, the wetland and its buffer zones are rehabilitated.	M					<p>Wetlands are identified by a competent person.</p> <p>A competent person is knowledgeable about wetlands. Demonstration of competence includes official qualifications, and/or attendance certificates of training courses, and/or proven experience.</p> <p>This is in accordance with the National Water Act, National Environmental Management Act</p>
<b>Protection of Nature</b>							
RB.D.36	Authorization is obtained from all relevant authorities, prior to clearing any natural vegetation.	M					This is in accordance with the National Environmental Management Act, Conservation of Agricultural Resources Act
RB.D.37	Ecological rehabilitation of areas that are not used for agricultural production is stimulated on the farm as much as possible.	G+M					

CP #	Control Point	Applicable to	Year 1	Year 2	Year 3	Year 4	Clarification for Compliance
RB.D.38	A control plan for alien invasive species is implemented.	G+M					<p>For all new planting, the producer follows national and local regulations regarding plant species.</p> <p>Alien invasive species include non-native species to a particular ecosystem, and whose introduction may cause harm to the ecosystem.</p> <p>This is in accordance with the Conversation of Agricultural Resources Act.</p>
RB.D.39	Where possible, biological corridors are established, protected or rehabilitated, and biological corridors are retained when new fields are developed.	G					
<b>Veld fire control</b>							
RB.D.40	Membership to the Fire Protection Association (FPA) is obtained, or a fire management plan is in place if an FPA is not available.	G+M					<p>The management plan includes:</p> <ul style="list-style-type: none"> <li>- preparation, positioning, and types of fire breaks, and</li> <li>- firefighting equipment and training.</li> </ul> <p>This is in accordance with the National Veld and Forest Fire Act.</p>
RB.D.41	Controlled fires are only made with the proper authorization and only during the right weather conditions (e.g. not very hot or windy) during the off-season.	G					This is in accordance with the National Veld and Forest Fire Act.
<b>Wild Rooibos</b>							
RB.D.42	Areas where Wild Rooibos populations are found on the farm are identified on a map.	G					This can be indicated in the map mentioned in the Core Code (G.A.1/l.A.1).
RB.D.43	Wild Rooibos populations are not removed or degraded.	M					
RB.D.44	Harvesting of wild Rooibos takes place at the right intervals and in the appropriate season, with the appropriate authorization. It is harvested using the adequate method.	M					Plants younger than three years of age are not harvested.
<b>Energy</b>							
RB.D.45	<p>Measures are in place to maintain and test the efficiency of energy use in the hot air generation system of the dryers in secondary processing.</p> <p>There is adequate suction of air over the radiators when boiler/radiator systems are used.</p>	G					<p>Measures address e.g.:</p> <ul style="list-style-type: none"> <li>- Insulation</li> <li>- A heat transfer area</li> <li>- Type of fuel used</li> <li>- Combustion control</li> </ul>

	Year 1	Year 2	Year 3	Year 4
Total mandatory control points per year	25	33	40	44
Total additional control points per year	20	12	5	1
Number of additional control points to comply with	0	0	0	0
Total control points to comply with per year	25	33	4	44