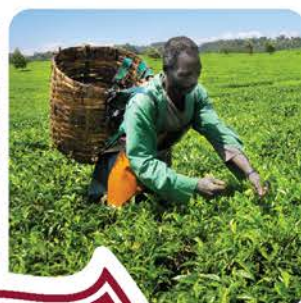


CODE OF CONDUCT

Tea Module

Version 1.1



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Introduction

The Tea Module is used along with the Core Code and includes requirements applicable to all supply chain activities up until the processing of green leaves into made tea.

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

Depending on the activities they perform, producers/producer groups assess which control points are applicable to them. Headers may specify the activity that the control point applies to, in other cases the applicability is indicated in the control point itself or in the clarification for compliance.

Example 1: for producers/producer groups who are not processing green leaves, the control points under the header 'Processing' are not applicable.

Example 2: for actors who are conducting processing of fresh leaves and are not producing themselves, but buy from UTZ certified producers or producer groups, control point TE.B.1 regarding harvesting green leaves is not applicable.

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. Tea producers certified against the Core Code for individual certification must comply with all control points applicable to them in the Module.

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.

Definitions

Buyer confirmation	Confirmation of a purchase in the GIP of UTZ product
Convert	Stock activity in the UTZ traceability system (GIP). When made tea is processed into decaffeinated tea the SCA performs the stock activity <i>convert</i> .
Downgrade	Stock activity in the UTZ traceability system (GIP). When a Supply Chain Actor (SCA) wishes to lower the traceability level (from Identity Preserved to Segregation) of a certain volume of made tea in their stock, they perform the transaction <i>downgrade</i> .
First buyer	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.
Made tea	Container term to describe the dry tea product that is obtained through a range of different fresh leaves processing activities. Within GIP the different types of Made tea are: green tea, CTC black tea, orthodox black tea, STP (LTP) black tea, yellow tea, white tea, oolong tea, pu'er raw tea and pu'er ripe tea.

Mix	<p>Stock activity in the UTZ traceability system (GIP).</p> <p>When a SCA mixes made tea (at Identity Preserved traceability level) from different producers/producer groups they perform the stock activity mix. The mixed volume will retain information about the producers' names and their respective volumes included in the mix.</p>
"On Behalf User Authorization"	<p>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</p>
Purchase announcement	<p>Transaction in the UTZ traceability system (GIP).</p> <p>When a first buyer purchases made tea from a producer/producer group, and they have received authorization to register transactions in the GIP on behalf of the producer/producer group, the first buyer performs a purchase announcement. An on-behalf user authorization form signed by both parties is required to perform this transaction.</p>
Retroactive claiming	<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 1st, and receives their first certification audit on June 1st. The certificate and license begin June 15th. Once the first buyer has an active license on June 15th, they can retroactively claim the UTZ volumes purchased on April 1st.</p>
Sales announcement	<p>Transaction in the UTZ traceability system (GIP).</p> <p>When a producer/producer group or an actor who is processing green leaves into made tea sells made tea to another actor, they perform a sales announcement.</p>
Stock activity	<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>
Supply Chain Actor	<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 processing facility that is purchasing green leaves from an UTZ certified producer or producer group.</p>
Transactions	<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
BLOCK B - FARMING PRACTICES							
Harvest							
TE.B.1	Leaves are plucked and harvested at the appropriate time for optimizing quality and crop health.	G+M					Leaves are plucked and delivered to the factory on the same day, ideally within 6 hours.
Postharvest							
TE.B.2	Measures are implemented to prevent compacting and crushing of green leaves.	G+M					Measures include at least: - setting a maximum weight per bag at collection, - avoiding heaping and over-packing, - using packing material which permits aeration, and - a procedure for correct transportation.
Processing							
TE.B.3	Standard rules are in place for calculating weight deductions, including a maximum deduction.	G					For example, in case of wet leaves.
TE.B.4	Regular quality control, including e.g. leaf counts, is conducted when leaves are delivered to the processing unit.	G					Records of this quality control are available.
TE.B.5	Measures are implemented to prevent contamination of tea during storage and processing.	G+M					Measures include at least: - preventing access of animals, and - preventing smoke contamination.
TE.B.6	All equipment that comes into direct contact with tea is regularly disinfected with steam or water with disinfectant to avoid microbial contamination.	G					Equipment includes e.g. rolling tables, Cut Tear Curl machinery, fermenting floors or trays, and the floor area.
TE.B.7	Contamination from cleaning agents, lubricants, and other substances that may come into contact with the tea during processing is avoided.	G					Only food grade cleaning agents, lubricants, and other substances are used, and are used according to label instructions.
TE.B.8	For all tea processing, good practices are in place. A process flow chart which indicates optimum conditions (including temperature and time) for each activity is established and implemented. Relative humidity is monitored and controlled to prevent excessive moisture absorption in grading and packing. Potable water is used for humidifiers, to prevent contamination.	G					

CP #	Control Point	Applicable to	Year 1	Year 2	Year 3	Year 4	Clarification for Compliance
TE.B.9	For green tea processing: -steaming/panning of green leaves is carried out under optimum load, temperature, and time combination; -rolling is carried out under optimum load, speed, and time combination; -roll drying is carried out under optimum load, temperature, and time combination, to improve quality and optimize energy use; -grading and packing are carried out under optimum temperature and relative humidity combination.	G					Smoke taint is avoided at the time of panning and roll-drying. Records of rolling time, temperature, and relative humidity are available.
TE.B.10	For black tea processing: -withering is carried out under optimum load, temperature, relative humidity, and time combination to ensure optimum physical and chemical withers in tea leaves, under hygienic conditions; -rolling and roll breaking are carried out under optimum load, speed, and time combination; -fermentation is carried out under hygienic condition to avoid microbial contamination and obtain good quality tea; -drying is carried out, under optimum temperature and time combination to improve quality and optimize energy use; -grading and packing are carried out under optimum temperature and relative humidity combination.	G					Air parameters (volume, temperature, relative humidity) and time for withering are followed, as indicated in the process flow chart. To ensure that the final product meets quality requirements, green leaf loading rates in troughs are managed, and withered leaf charge to the rollers is managed.
TE.B.11	Measures are taken to minimize risk of foreign matter (e.g. stones and metal/plastic/glass pieces) in the tea.	G					A process of sifting or an air-bridge for the withered leaves prior to rolling is implemented as well as during the final sorting and grading.
TE.B.12	Only clean water is used during processing.	G					Only potable water (or water declared suitable by the competent authorities) is used if water or steam comes into contact with the tea during processing.
TE.B.13	Representative lot samples of tea are kept for at least one year, to be analyzed in case of any complaint.	G					
TE.B.14	Qualified personnel regularly evaluate the quality of the tea and keep records showing reference to particular batches or lots.	G					

CP #	Control Point	Applicable to	Year 1	Year 2	Year 3	Year 4	Clarification for Compliance
TE.B.15	All workers wear outer garments that are suitable for the performed operation to prevent contamination.	G					Outer garments (e.g. smocks, aprons, sleeves, gloves) are regularly cleaned or changed to avoid cross-contamination.
TE.B.16	Workers have access to clean toilets and hand washing places in the vicinity of their work. Toilets are in a good state of hygiene and do not open directly into the area where tea is handled, unless the door is self-closing.	G					
Claiming in GIP							
TE.B.17	All of UTZ certified green leaves, 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: <ul style="list-style-type: none"> - sales announcements - purchase announcements - buyer confirmation - convert - mix - downgrade
TE.B.18	When tea is claimed as UTZ certified, the producer/producer group and first buyer must agree upon a procedure for payment (covering amount and timing) of the UTZ Premium to be paid to the producer/producer group. This also applies when the tea is claimed as UTZ certified at a later stage in the supply chain. 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.
TE.B.19	When tea 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					
TE.B.20	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					

CP #	Control Point	Applicable to	Year 1	Year 2	Year 3	Year 4	Clarification for Compliance
TE.C.21	The processing areas are well ventilated, and measures are taken to reduce noise and dust pollution.	G					
BLOCK C - WORKING CONDITIONS							
Health and safety							
TE.C.22	Sufficient and properly functioning fire exits and firefighting equipment are provided at the processing areas. A fire alarm is in place and regular fire drills are held.	G					Testing of fire fighting equipment is done regularly and records are available. Fire exits are easy to open from inside and clearly marked.
BLOCK D - ENVIRONMENT							
Waste and energy							
TE.D.23	Wastewater from the factory is treated in order to prevent contamination of natural ecosystems.	G					
TE.D.24	Measures are in place to maintain and test the efficiency of energy use in the hot air generation system of the dryers. There is adequate suction of air over the radiators when boiler/radiator systems are used.	G					Measures include e.g.: - Combustion control - Appropriate fuel use - Insulating to minimize heat losses, such as sealing of smoke leaks in heat exchange tubes - Ensuring adequate ventilation in buildings - Avoiding clogging of meshes, and that radiators are covered with tea fluff/waste - "Smoke tests "

	Year 1	Year 2	Year 3	Year 4
Total Mandatory Control Points per Year	13	21	23	24
Total Additional Control Points per Year	11	3	1	0
Number of Additional Control Points to Comply with	0	0	0	0
Total Control Points to Comply with per Year	13	21	23	24