



UTZ CERTIFIED IMPACT REPORT

JANUARY 2014

Combining results from 24 external impact studies
and data from UTZ Certified



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EXECUTIVE SUMMARY

The studies summarized in this report examine the impact of UTZ certification in the field. They indicate that implementing good agricultural practices on UTZ certified farms results in higher yields and better quality crops. The impact of training on the UTZ Code of Conduct is significant in helping farmers to improve their knowledge and adopt professional farming practices like record keeping and efficient use of fertilizer and pesticides. As a result, farmers can increase their income earning capacity.

Life on UTZ farms is shown to be better for farmers, workers and their families. UTZ certified farmers have a better understanding of how their cooperative works, which increases knowledge sharing on different topics. There is improved access to sanitation facilities and clean drinking water, and better safety facilities. Very importantly, children from UTZ certified farms are more likely to attend school. These improvements are reflected in higher satisfaction levels among UTZ farmers.

The studies also show that there is a growing positive impact for the environment with UTZ certified farmers taking more steps to protect water quality, to reduce pollution and to preserve trees and biodiversity.

The research also illustrates challenges that need to be addressed to strengthen the impact of the work of UTZ Certified. In some cases, for example, farmers have not been able to achieve the premium they expected when they joined UTZ. Other challenges like illiteracy and lack of access to finance have made it difficult for some farmers to invest in sustainable farming measures and to gain the full benefits of participation in UTZ. Access to certification for smaller farmers was also highlighted as a challenge.

Additional work is needed to address these challenges and to increase the reach of UTZ to as many farmers as possible, working towards our mission to create a world where sustainable farming is the norm.

Better farming methods

page 20

The impact of training
Implementation of good agricultural practices
More efficient use of fertilizer & pesticides
Costs and other challenges

Better working conditions

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Safer use of crop protection products
Adoption of personal protective equipment
Better relationships
Benefits and challenges of cooperatives

Better care for nature

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Improvements to water efficiency and quality
Preventing soil erosion
Coffee Climate Care (C³) project in Vietnam

Better care for next generations

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Improved school attendance
Increased expenditure on education
Greater female participation

Better crop

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Improved productivity
Better quality products
Measurement challenges

Better income

page 33

Higher income for UTZ certified farmers
Better market access
Improved financial management
The UTZ premium

Better environment

page 37

More efficient use of pesticides and fertilizer
Energy from Coffee Waste project

Better life

page 40

Better quality of life on UTZ certified farms
Measurement and access to certification challenges



WELCOME TO THE FIRST UTZ CERTIFIED IMPACT REPORT

UTZ began more than a decade ago with an ambitious goal: making sustainable coffee farming the norm. Today we are one of the largest programs and labels for sustainable farming of coffee, cocoa and tea, reaching 500,000 farmers and 400,000 workers in 34 countries. The name UTZ Certified appears on more than 10,000 different product packs in 116 countries worldwide.



While we are proud of how far we've come, we recognize that we can go further and achieve more, extending the reach of UTZ Certified to more countries and helping to create more positive outcomes for farmers, their communities and our planet.

To do this we need to look objectively at the progress we have made, and to learn from both our successes and challenges. Then we can move forward with confidence, continually improving how we work and expanding the positive impact of our program.

This, our first impact report, brings together the conclusions from 24 external studies, looking at the impact of the UTZ Certified program. The studies reveal positive impacts for many of the farmers and workers participating in the UTZ program.

I am particularly proud to see that UTZ certified farmers achieve better yields and better quality products, which in turn leads to a better life on UTZ certified farms.

Of course, the success of UTZ Certified is built on the participation and support of many partners, and their contribution is essential to our process of continuous improvement. We are very grateful to all those who contribute to the work of UTZ Certified, including the researchers and study authors on whose work this report is based. By sharing their findings through this report, we hope to encourage dialogue and innovation among UTZ and our partners.

Certification is not the end goal for UTZ, but a tool to create change for the better. With our partners we will continue to strive for a better future for more farmers, workers, their families and our planet.



Han de Groot
Executive Director, UTZ Certified

Mission

UTZ Certified's mission is to create a world where sustainable farming is the norm. Sustainable farming helps farmers, workers and their families to fulfil their ambitions and contributes to safeguard the world's resources, now and in the future.

Vision

A world where sustainable farming is the norm is a world where:

- farmers implement good agricultural practices and manage their farms profitably with respect for people and planet,
- industry invests in and rewards sustainable production,
- and consumers can enjoy and trust the products they buy.

GLOBAL REACH OF UTZ CERTIFIED & RESEARCH LOCATIONS

	Consuming countries (UTZ products)	116 total
	Producing countries (UTZ products)	34 total
	Consuming and producing countries (UTZ products)	18 total
	Research locations	13 total
	Coffee research study	16 total
	Cocoa research study	8 total
	Tea research study	3 total

1 • BRAZIL

Description of benefits of certification in coffee farms: A case study on Ponto Alegre farm



2 • UGANDA

The impact of UTZ certification on smallholder farmers in Uganda



3 • KENYA

Waitrose supply chain impact assessment



4 • VIETNAM

Vietnam coffee: A COSA survey of UTZ certified farms



5 • GLOBAL

Measuring sustainability: First global report on COSA findings in agriculture



6 • COLOMBIA

Figures on UTZ performance in Colombia



7 • KENYA

Gender equity within UTZ Certified coffee cooperatives in Eastern Province Kenya



8 • INDONESIA

Sustainability Impact Assessment of a certification scheme in the Indonesian cocoa industry: 2012 pilot survey results



9 • KENYA/UGANDA/ETHIOPIA

The Impact of Coffee Certification on Smallholder Farmers in Kenya, Uganda and Ethiopia



10 • GHANA

A realist evaluation approach for impact measurement: Case of UTZ certification of cocoa in Ghana



11 • KENYA

The impact of certification on small holder coffee farmers in Kenya: The case of 'UTZ' certification program



12 • CÔTE D'IVOIRE/GHANA

Moving the bars: sustainability brought to the forefront in the cocoa chain



13 • GLOBAL

Improving smallholder livelihoods: Effectiveness of certification in coffee, cocoa and cotton



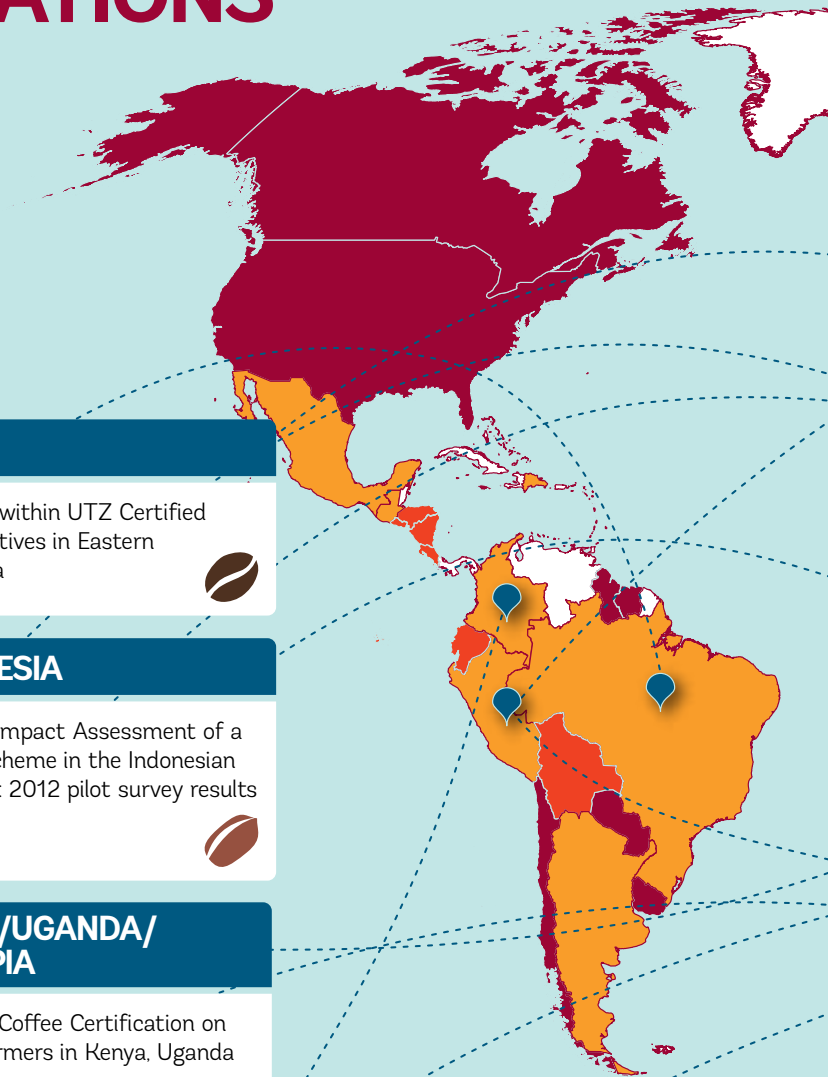
14 • GHANA/NIGERIA/CÔTE D'IVOIRE

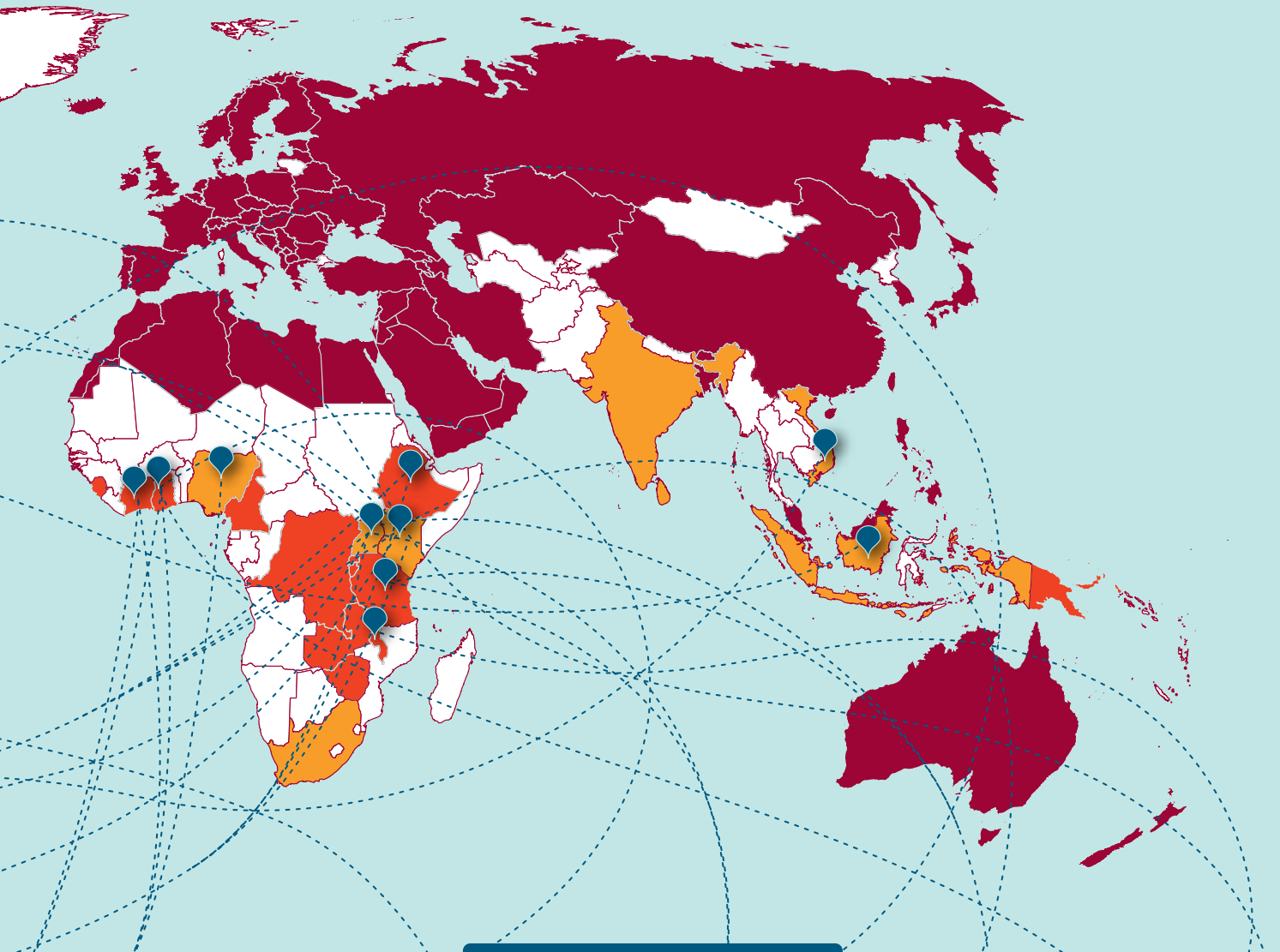
Baseline survey report on cocoa producers' livelihood perceptions in three pilot areas in Ghana, Côte d'Ivoire and Nigeria



15 • UGANDA/KENYA/ETHIOPIA

The performance of voluntary standard schemes from the perspective of small producers in East-Africa





16 • GHANA

Participating in sustainability standard systems: Barriers and success factors for smallholder cocoa farmers in Ghana



17 • UGANDA/TANZANIA

The Impact of Knowledge and Participation on Cooperative Loyalty in Uganda and Tanzania. Does certification matter?



18 • PERU

A Socio-Economic Impact Study of the DE Foundation Coffee Project Peru



19 • PERU

Impact assessment in sustainable livelihood framework



20 • KENYA

Maintaining a sustainable livelihood: An analysis of the effects of UTZ Certification on market access, risk reduction and livelihood strategies of Kenyan coffee farmers



21 • UGANDA/TANZANIA

Effects of UTZ Certified and Fair Trade on coffee producers in Uganda and Tanzania: Certification and the people and profit dimensions of Corporate Social Responsibility



22 • MALAWI

From training to practice: Midterm evaluation of the UTZ-Solidaridad smallholder tea programme in Malawi



23 • KENYA

From training to practice: Midterm evaluation of the UTZ-Solidaridad smallholder tea programme in Kenya



24 • GHANA

A touch of cocoa: Baseline study of six UTZ-Solidaridad cocoa projects in Ghana



ABOUT THIS REPORT

This report examines the impact of our work and of our partners with farmers. It brings together data gathered by UTZ Certified and the results of 24 impact studies conducted by external researchers.

The report is intended to provide our stakeholders with a transparent account of our progress. Findings from the impact studies are also being used within UTZ to help us continually improve how we work and to achieve more for farmers around the world.

The studies used in this report include some commissioned by UTZ and some commissioned by other organizations. They assess the impact of UTZ certification and certification in general on farming practices, on farmers, workers and their families, and on the environment.

The report summarizes the key research findings from the studies, identifying where progress has been made and where challenges remain. However, it is not a systematic literature review.

To prepare the report, all sources (see page 44 for a detailed overview) were reviewed by an external consultancy, Aidenvironment. They identified the key findings, referring to the indicators used in our monitoring and evaluation (M&E) program and grouped these into the key themes.

Members of the UTZ Certified M&E team attended a workshop to review the findings and to provide context to the results based on their experience in the field. This session was moderated by Aidenvironment.

The studies reviewed for this report use scientific research methodologies. This enabled the researchers to draw conclusions that are representative of most UTZ producers farming that particular crop in the country studied. The results in this report focus on trends that can be observed across the studies, rather than highlighting individual cases. Since conditions vary between each farm, crop and location, the conclusions reached in the studies and this report may not necessarily be applicable to all UTZ certified farms.

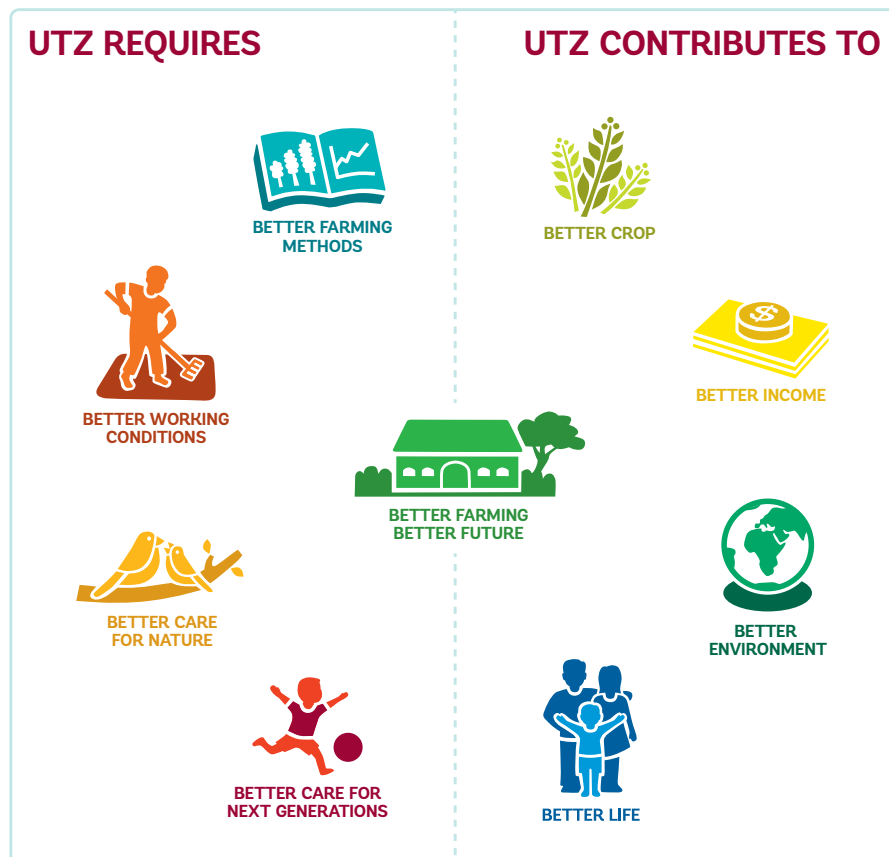
Farmers included in the studies have sometimes achieved other certifications alongside UTZ or have been part of other support programs meaning that benefits associated with certification cannot always be attributed purely to UTZ but in some cases to UTZ and other interventions together.

For each finding, we have included a reference to the study number for any reader wishing to refer back to the source material.

THE UTZ WHEEL

The 'UTZ wheel' shows at a glance how the UTZ requirements lead to improvements. It represents how better farming methods, better working conditions and better care for nature and next generations contribute to better crops, better income, a better environment and better lives.

For easy navigation, this report is structured around the key elements of the wheel.



MONITORING AND EVALUATION

We monitor the impact of UTZ certification on farmers, their workers, their families and the environment. This enables us to continually improve how we work, to be confident in the claims we make about the benefits of UTZ Certified, and to maximize the benefits of UTZ Certified for farmers, buyers, consumers and the environment.

The UTZ monitoring and evaluation (M&E) program has been developed in line with the Code of Good Practice for Impact Assessment developed by ISEAL, the independent organization that works to strengthen sustainability standards systems. We are working towards full compliance with this code.

Through the M&E program we test whether our strategies are successful in achieving our expected outcomes and desired impacts, and, if not, how these strategies should be adjusted.

The UTZ M&E program is built on the UTZ M&E framework, which describes the issues that the program is designed to tackle, our long-term goals, the expected outcomes of our work and the strategies we have in place to achieve them. It was used to develop our Theory of Change, which explains how our strategies lead to the expected outcomes.

Theory of Change

Our Theory of Change shows how our activities lead to our ultimate goal: making sustainable farming the norm. It explains what we do and why. See page 12.

UTZ certification requires farmers to use better farming methods, to improve working conditions, to take better care of the environment and next generations. In this way, the UTZ program contributes to farmers growing better crops, and generating a better income, which increases their resilience to shocks while safeguarding the earth's natural resources for the future.

Our Theory of Change shows how UTZ strategies lead to direct outputs and contribute to longer-term expected outcomes and desired impacts. This longer-term change takes place in the context of many other external factors from weather to changing market demand.

Indicators

Derived from the Theory of Change, we have developed a full set of performance indicators that we use to monitor the effectiveness of certification and progress towards our desired impact. We have identified three types of indicators in monitoring and evaluation:

- **Level 1 indicators:** Collected for all certificate holders. These indicators are integrated into our online traceability system and audit process. These indicators tell us about the reach and scale of the UTZ Certified program. Examples include the number of farmers participating in the program and the volumes of UTZ certified products.
- **Level 2 indicators:** These are collected through short and focused impact studies covering a selection of UTZ certified farms. They provide information on short and medium-term outcomes. These types of studies focus on specific topics such as productivity, climate change, living wage and costs and benefits.
- **Level 3 indicators:** Used for in-depth impact studies including those that compare certified farms with uncertified control groups over a longer period of time (usually five years or more). They provide insights on our contribution in one or more of our defined impact areas.

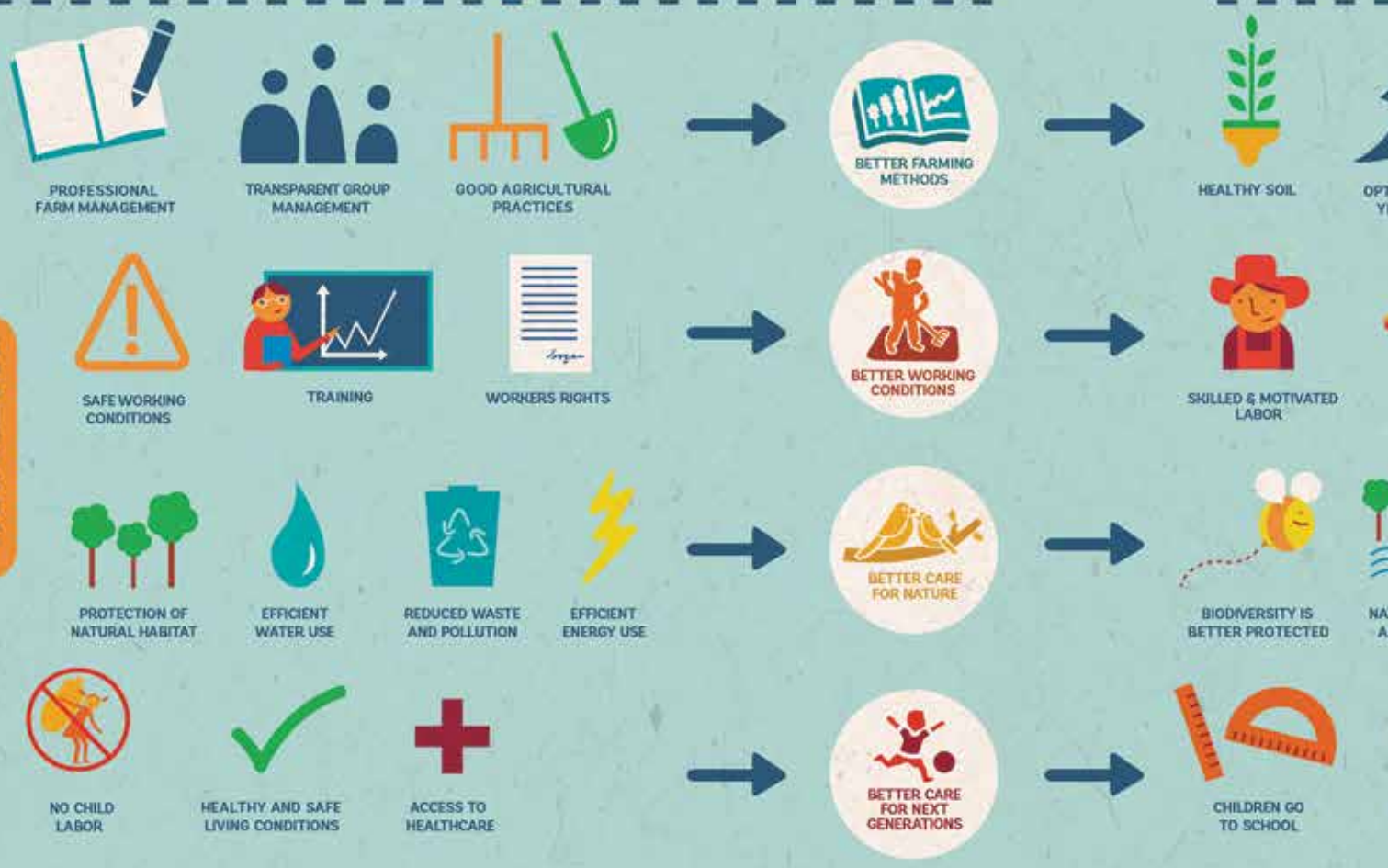
For more detailed information on the UTZ M&E program, please see the UTZ M&E systems report, available on www.utzcertified.org. This report includes the M&E framework, our detailed Theory of Change as well as the complete list of the performance indicators.



THEORY OF CHANGE

UTZ REQUIRES

FARM LEVEL



STRATEGIES

DIRECT OUTPUTS

SECTOR LEVEL

Field development

- Enable farmers to become entrepreneurs

Standards and certification

- Make the improvements visible

Traceability

- Connect parties in a transparent chain

Market development

- Tell the story & create demand

- Trainers, farmers and groups are trained
- UTZ standards are meaningful & practical

- Audits are credible

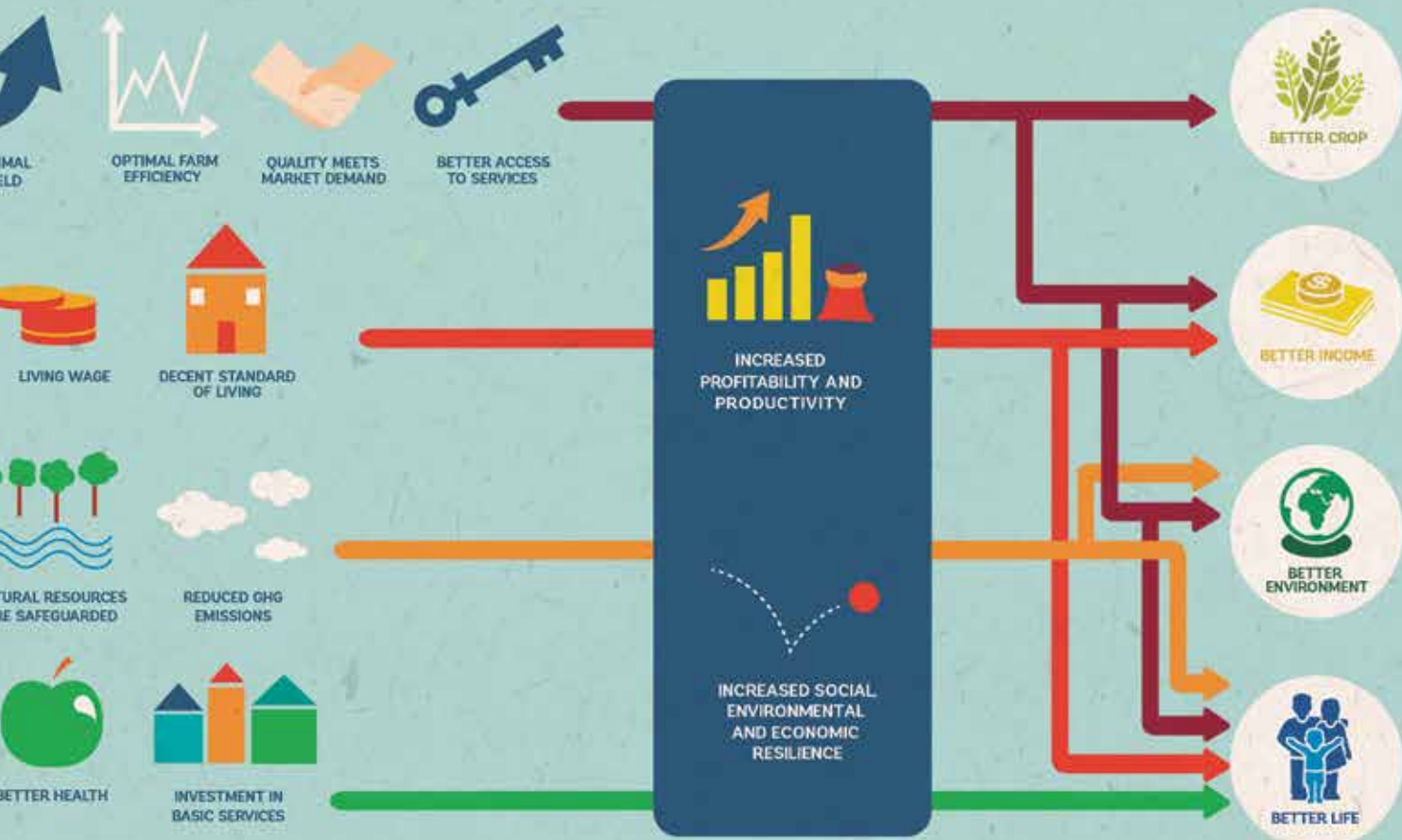
- Sustainability claims are credible

- Potential partners and the public are reached
- Sustainable products are visible/endorsed in the market

CLIMATE CHANGE

EXTERNAL FACTORS

UTZ CONTRIBUTES TO



EXPECTED OUTCOMES

DESIRED IMPACT

- Increased reach & Inclusiveness of the program
- Effective implementation of the UTZ code
- Increased trust and transparency in the supply chain
- Increased demand for UTZ certified products

More farmers effectively implement good agricultural practices and manage their farms profitably with respect for people and planet

Industry invests in and rewards sustainable production

Consumers can enjoy and trust the products they buy

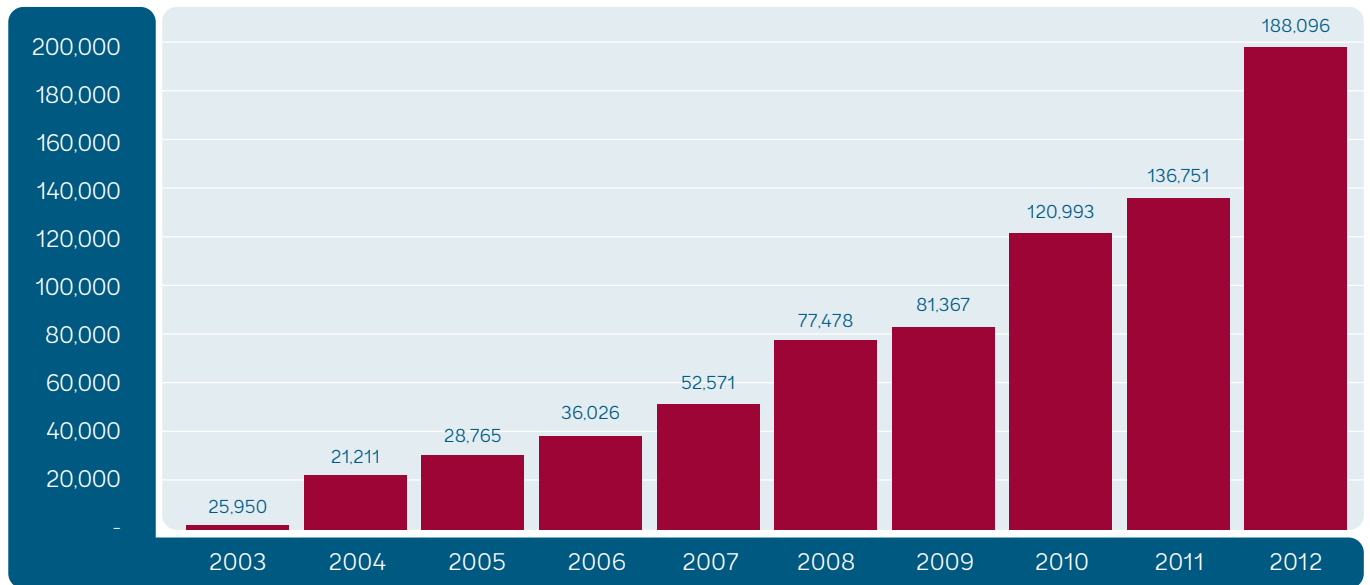
Sustainability of the sector:
Sustainable farming is the norm





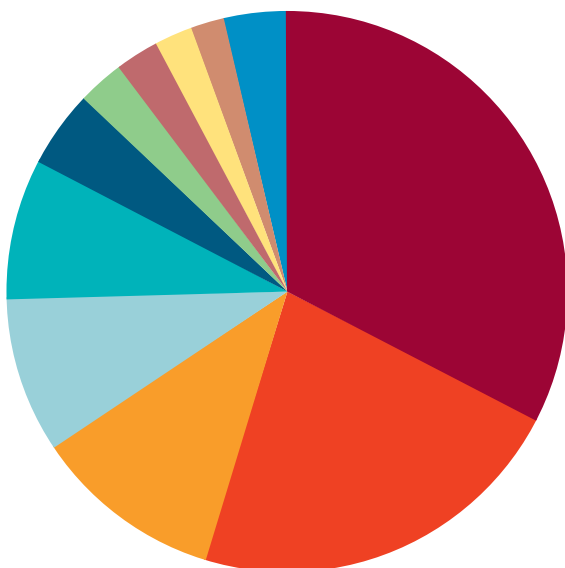
COFFEE HIGHLIGHTS

UTZ Certified 1st Buyer Coffee Sales in metric tons 2003 - 2012




UTZ Certified Coffee Volume by Producing Country 2012

Note: certified volume is an estimation of production potential




- 33% Brazil
- 3% Uganda
- 22% Vietnam
- 2% Indonesia
- 11% Colombia
- 2% Guatemala
- 9% Honduras
- 2% Nicaragua
- 8% Peru
- 4% Other
- 4% India



82,000 coffee farms have been UTZ certified for at least 4+ years


You can drink UTZ coffee in over

64 countries




Since 2002

113 billion cups of UTZ certified coffee have been sold



81% of UTZ certified coffee farms are smaller than 2 hectares

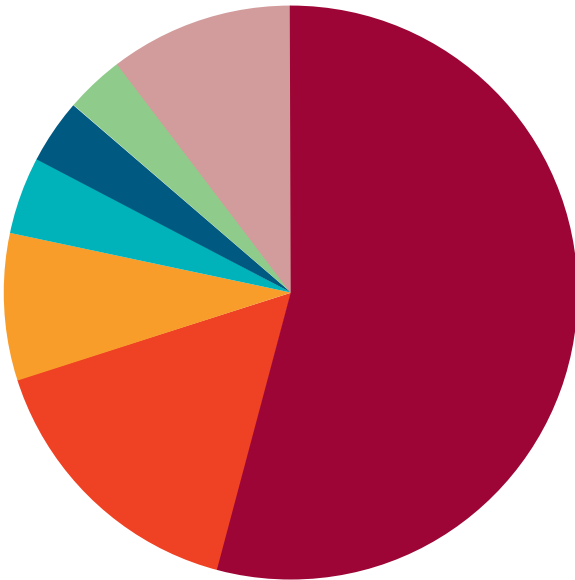




COCOA HIGHLIGHTS

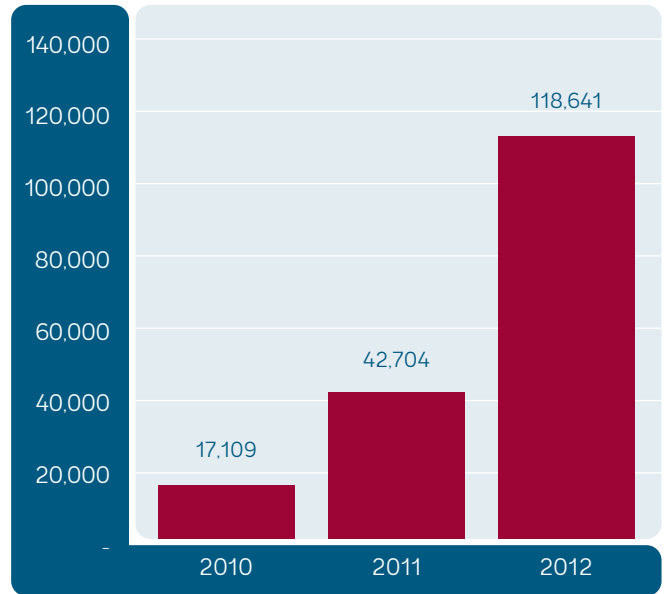
UTZ Certified Cocoa Volume by Producing Country 2012

Note: certified volume is an estimation of production potential



- 54% Côte d'Ivoire
- 16% Ghana
- 8% Dominican Republic
- 5% Peru
- 4% Indonesia
- 3% Nigeria
- 10% Other

UTZ Certified 1st Buyer Cocoa Sales in metric tons 2010 - 2012



The volume of UTZ cocoa produced last year was almost

100X
higher than
4 years ago

You can buy chocolate with the UTZ name and/or logo in

108
countries

Over **13**
million euros
of UTZ premiums
were paid to
cocoa certificate
holders in 2012

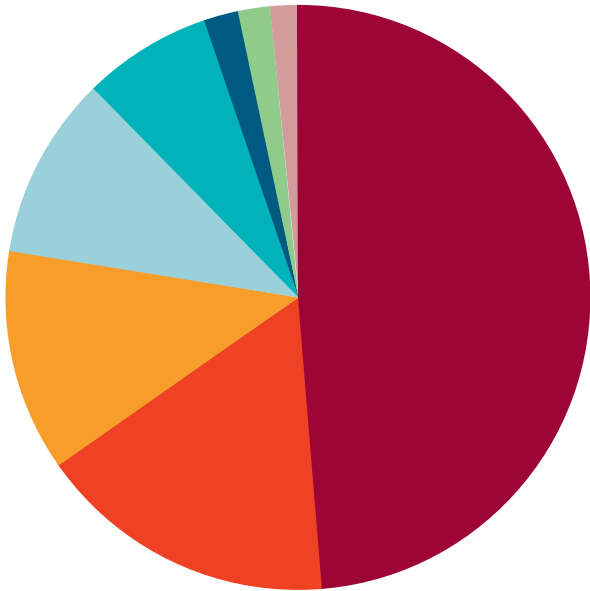
5 of
the
TOP 10
chocolate
manufacturers
have committed
to buying
UTZ cocoa



TEA HIGHLIGHTS

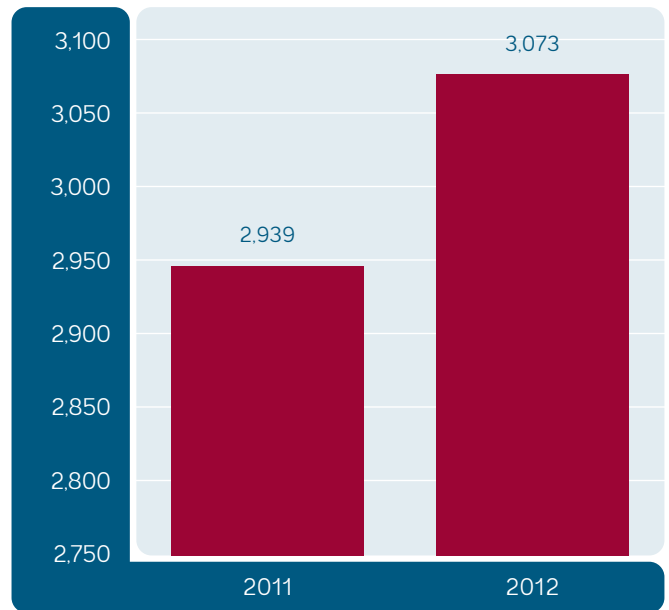
UTZ Certified Tea Volume by Producing Country 2012

Note: certified volume is an estimation of production potential



- 49% Kenya
- 17% Malawi
- 12% Indonesia
- 10% India
- 7% Zimbabwe
- 2% Sri Lanka
- 2% South Africa
- 1% Other

UTZ Certified 1st Buyer Tea Sales in metric tons 2010 - 2012



Over 130
producers & partners in the market are working on the UTZ tea program

You can drink UTZ tea in

27
countries

Over **45,000** tea workers are benefitting from UTZ certification

UTZ tea is grown in

10
countries worldwide



BETTER FARMING METHODS

The research shows that, among the farms studied, UTZ certification has led to better adoption of good agricultural practices (GAP), and this results in improved yields and better quality crops. When farmers apply new skills and techniques they are able to get more out of their business, their land and themselves.

In total more than 500,000 farmers in 34 countries are now working towards improving their farming practices through UTZ certification.

WHAT THE STUDIES SHOW

Certification improves the impact of training

The studies suggest that UTZ certified farmers are more likely to receive training, more likely to have a positive perception of the training they receive and more likely to implement what they learn, resulting in better farming practices.

For example, in Kenya, tea farmers improved their knowledge following training by 15% between 2010-2012 (study 23). The same study shows that farmers receiving training as part of UTZ implementation received higher knowledge scores than those trained elsewhere (4.9 compared with 4.6 on a 5.0 scale), and that farmers trained on the UTZ requirements were more likely to use what they learned from training, with 80% stating they would do so compared with 70% for farmers receiving other training.

A study among cocoa producers in Côte d'Ivoire and Ghana (study 12) also suggests that training on UTZ certification is particularly beneficial. This found that 60% of UTZ certified farmers followed what they learned in training compared with just 35% of those not certified. In Kenya, UTZ certified coffee

The UTZ requirements

UTZ requirements include:

- Professional farm management practices such as record keeping on use of fertilizers and agrochemicals (eg pesticides)
- Training for farm workers
- Accident and emergency procedures in place
- Farms must be kept clean and tidy
- Traceability of certified coffee, cocoa and tea
- Annual internal inspections

farmers were found to have a more positive perception of the training they received than non-certified farmers and to receive more training overall (study 20).

Extending the impact of training can rely on the right incentives

In some studies, training was found to have an impact beyond just those farmers who attended training sessions. For example, cocoa farmers in Ghana that were trained on UTZ were found to pass on what they'd learned to the untrained day laborers on their farms (study 10).

In the Malawi tea project covered in study 22, a training strategy was adopted based on 300 lead farmers receiving training on the UTZ standards and being asked to pass on what they learned to other neighboring farmers. The study found that training was not replicated as often as expected and that this was due to a lack of incentives and follow-up training for the lead farmers, time constraints and physical distances between the lead farms and their neighbors. These findings suggest that projects adopting similar training models must incorporate financial or other incentives (such as advanced training or other forms of recognition) for lead farmers as part of a sustainable business model.

More farmers using good agricultural practices

Following the UTZ requirements, leads to farmers improving their farm management practices. For example, UTZ certified farmers in Uganda and Tanzania (study 21) were able to improve coffee quality after learning how to sun dry the beans after harvesting and by adopting better pruning techniques. To comply with certification requirements, farmers were advised to take just a small sample of coffee to the factory for moisture testing rather than their whole crop. This enabled them to reduce wasted journeys and transport costs.

The studies show improvements in farming practices across several aspects of farm management. For example, following training, cocoa farmers in Ghana (study 10) learned to plant

What are Good Agricultural Practices (GAP)?

'Good Agricultural Practices' are defined by the United Nations Food and Agriculture Organization as those that lead to "environmental, economic and social sustainability for on-farm production and post-production processes, and result in safe and quality food and non-food agricultural products". These practices include pruning and weeding, having an appropriate waste management system, and reducing soil erosion from wind and water through hedging and ditching.

in straight lines and at regular distances. Implementing these practices made it easier to weed and to apply pesticides, reducing the workload for farmers. They also learned how shade trees can help to improve long-term yields and help protect the environment.

Other improvements in farming practices also make a difference. For example, Kenyan tea farmers that received training on the UTZ Code of Conduct increased record keeping by 30% (study 23). In the same study, significantly more farmers that were trained on UTZ stated that they

Delivering training through our partners

Training on the UTZ requirements is delivered to farmers by our partners including companies, NGOs, extension agencies and farmer organizations. We take an active role in designing and reviewing the training courses and materials, making sure they are consistent with the UTZ vision and requirements. We also deliver 'train the trainer' sessions directly to partners, trainers and consultants at regional, country or partner level.

We rely on the work of all our training partners to reach producers around the world and we value the important work that they do. We work with hundreds of partners and for this reason we have not listed them in this report and we have not compared the performance of individual training providers.

regularly review records on their use of inputs and production to help them adjust their farm management practices. In Indonesia, certified cocoa farmers were found to be more likely to keep records than farmers in the control group (study 8). In Vietnam, UTZ certification was also found to result in coffee farmers adopting better monitoring and management practices (study 4).

Training results in more efficient use of fertilizer and pesticides

The studies show that UTZ certified farmers often use fertilizer more effectively, improving productivity. In some countries where productivity is already high, farmers often need to use fewer inputs overall for the same or better yield, which reduces their costs. For example, a study among coffee producers in Vietnam showed that UTZ certified farmers were able to maintain their yields while using less nitrogen fertilizer than farmers in the control group (study 4). In other studies, coffee farmers spent more money on fertilizers than non-certified farmers; however, this was compensated for by the increase in yields.

In the field

"Things have changed since I took part in the field school training. I learnt to get my seeds from the right place, to sweep the field regularly and to cut down branches which create a lot of shade. I cut down bad branches and rotting plants and take them out of the field. This stops rot and insects which destroy my crops. Now I get advice from the COOPADIS office on which insecticides to use and hire someone with the right equipment to apply them. With all these changes I've improved production."

Tagro Wouroto Hortense
Cocoa producer, COOPADIS, Côte d'Ivoire

Tagro Wourto Hortense is a member of the Coopérative Agricole d'Issia en abrégée (COOPADIS), which is an Ivorian cooperative of cocoa and coffee producers set up in 2002. Based in the region of Sassandra, COOPADIS is located 400 KM from Abidjan, the economic capital of Côte d'Ivoire. COOPADIS has achieved UTZ certification in 2012.



When handling and applying agrochemicals (such as pesticides), tea farmers in Kenya who were trained on the UTZ Code of Conduct were more likely to follow recommendations from the supplier, the training or the UTZ Code of Conduct, rather than advice from their parents, neighbors or friends (study 23). This meant they were more likely to apply the right amount at the right time, and to use these products safely.

Costs and other challenges

The studies identified a number of challenges to better farming practices. In some areas illiteracy and lack of formal education can make it more difficult for farmers to keep records. The quality and frequency of training can vary and, despite training, farmers may not adopt better farming practices if they lack motivation or perceive the costs to be too high.

Some of the good agricultural practices required by the UTZ code deliver immediate benefits in terms of reduced costs.

In other cases, adopting good agricultural practices may increase costs for farmers. For example more frequent pruning or weeding may increase labor costs and the use of fertilizer can increase expenses. Investments are also needed, such as purchase of personal protective equipment for spraying pesticides or purchasing new trees and plants. Although farmers can expect to get a return on these investments, both financially and through other benefits such as improved health, this takes time and is not guaranteed. Farmers must make their own assessment of risks, costs and benefits, before deciding which practices to adopt. UTZ aims to support farmers to make informed decisions when considering these longer-term investments.



BETTER WORKING CONDITIONS

UTZ requires farmers to respect the rights of workers and provide working conditions that are healthy and safe. The studies show that after training, UTZ certified farmers implement more safety measures and make greater use of personal protective equipment (PPE) when applying agrochemicals.

Of the 431,040 workers that are benefitting from UTZ certification through better working conditions, 84,199 are permanent and 346,841 are seasonal workers.

WHAT THE STUDIES SHOW

Safer use of crop protection products

PPE should be used when farmers apply crop protection products such as pesticides, and the studies suggest that farmers trained on the UTZ standards are more likely to understand the benefits of PPE and to use it.

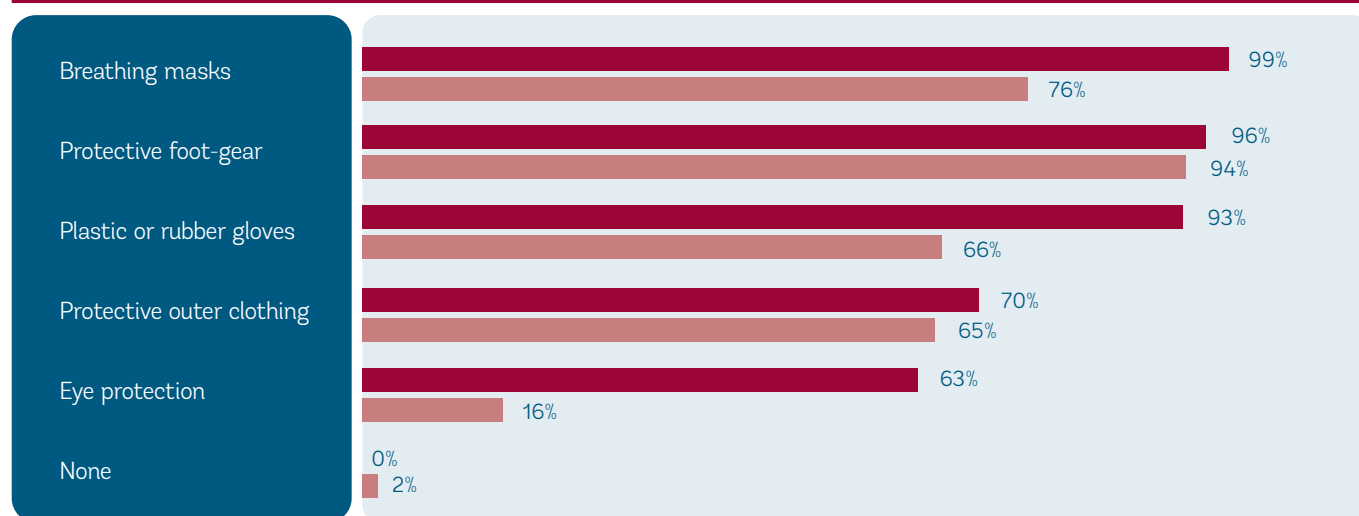
For example, certified cocoa farmers in Indonesia (study 8), were found to be more aware of the dangers associated with the use of chemical pesticides, and were more likely to use PPE compared with the control group of non-certified farmers, see figure 2. Some farmers even avoided using some types of pesticides altogether due to safety concerns.

The UTZ requirements

UTZ requirements include:

- A safe and healthy work environment and effective safety measures
- Sufficient rest and pay in accordance with national legislation
- Access to clean drinking water, sanitation and health care
- Good housing for workers that is clean and safe
- The right to form and join trade unions, no forced labor, no discrimination

Figure 2 | Types of protective equipment claimed to be worn by farmers when spraying



■ Certified
■ Control

Based on study 8 "Sustainability Impact Assessment of a certification scheme in the Indonesian Cocoa industry", page 30

In Vietnam, there was no significant difference in the use of PPE on certified and non-certified coffee farms (study 4), however overall levels were very high for all groups with just 3% of farmers using no PPE. The UTZ certified farmers were significantly more likely to prevent vulnerable groups, such as pregnant women and untrained workers, from applying agrochemicals.

Adoption of PPE still low among some producers

Among UTZ certified tea farmers usage of PPE rose from just 3% to 37% in Kenya and from 10% to 17% in Malawi following training, see figure 3 (studies 22 and 23). Despite the significant increase, overall usage of PPE remained low due to the high cost for farmers of purchasing this equipment. Focus groups in East Africa among UTZ certified coffee producers found that although farmers had better awareness of the need to use protective equipment, they weren't always consistent in doing so.

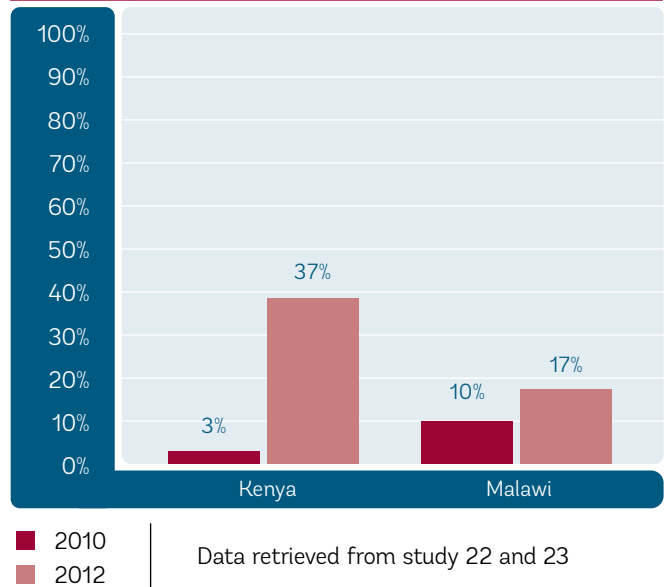
During UTZ audits, producers must demonstrate that all group members and workers use PPE when handling or applying agrochemicals. UTZ audits carried out in 2012/2013 found that 3.4% of UTZ certified coffee farmers did not comply with this requirement. These cases of non-compliance were addressed. For example, on one coffee estate the team applying crop protection products was found to be working without protective caps, goggles and gumboots. Only four respirators were provided for seven workers applying the products. Following the audit, the estate purchased additional protective coats, goggles, respirators and gumboots, and 11 team members were trained in spraying agrochemicals safely. In conclusion, the results as well the corrective actions show that ensuring the appropriate use of PPE is a challenge and a concern and that needs the program's ongoing attention.

UTZ certification contributes to better relationships

Several studies showed that the training and certification process contributed to better relationships between farmers and their cooperatives. Farmers have a better understanding of how the cooperative works and are more likely to share information with other members and to learn from each other. These improvements were found to lead to better social

Figure 3

UTZ certified farmers using personal protective equipment on tea farms (%)

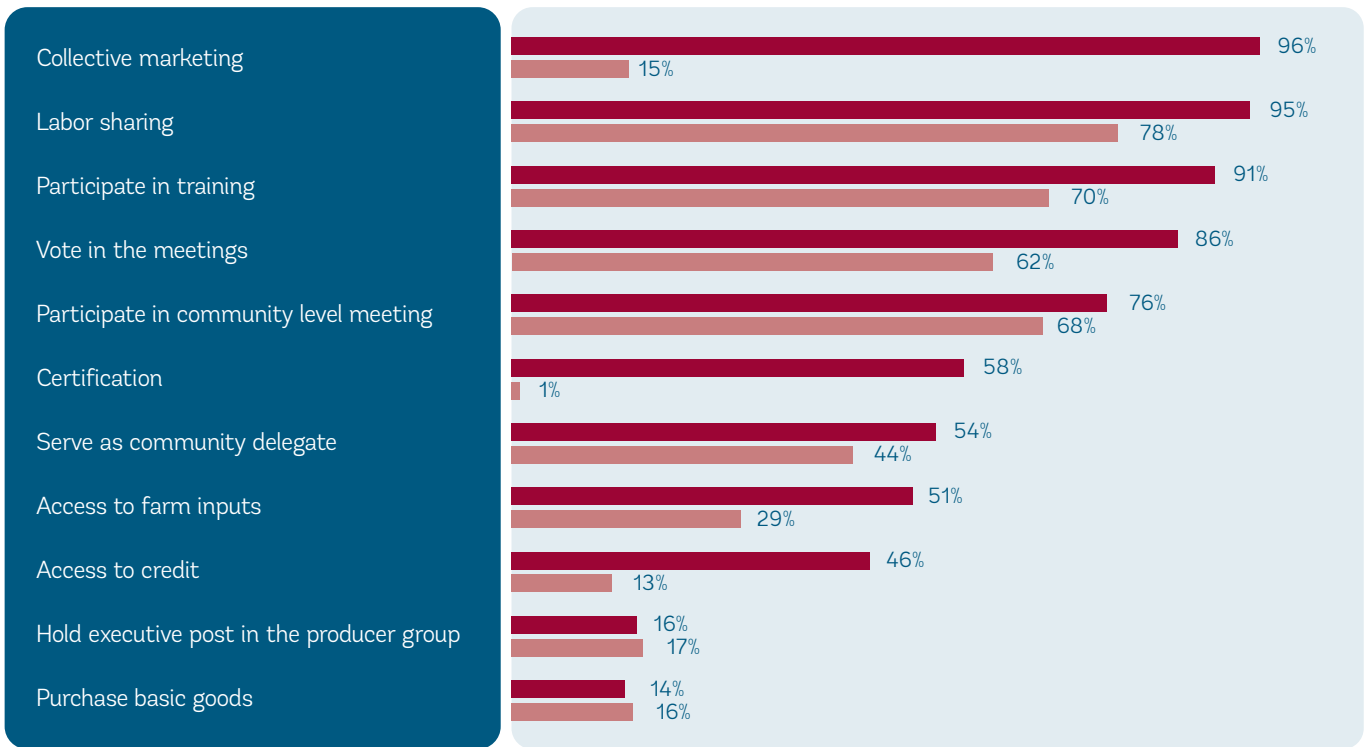


cohesion and higher satisfaction levels among farmers. For example, in Uganda and Tanzania, UTZ certified coffee farmers had more knowledge about how their cooperative works and were using a wider social network to get information about coffee production (study 17). Opportunities to enhance this benefit were identified, with one cooperative business manager observing that further improving farmer knowledge about aspects such as marketing would help to make farmers less vulnerable in their dealings with middlemen.

Farmer groups and cooperatives

- In the UTZ Certified program, smallholder farmers are certified in groups. This allows small farmers to share costs, such as those associated with training and audits. The size and structure of the farmer group varies, often according to country
- In some cases, the UTZ certificate is held by a cooperative or other form of farmer-based organization (a larger group of farmers or collection of farmer groups, governed by elected members)
- Some farmer groups are brought together by a buyer or an NGO, who manages the implementation and monitoring of the UTZ Code of Conduct requirements

Figure 4 | Benefits of being a member of a farmer group



■ Certified
■ Control

Based on study 8 "Sustainability Impact Assessment of a certification scheme in the Indonesian Cocoa industry", page 20

Improved relationships were found to contribute to better overall satisfaction levels. For example, in Malawi in 2011 91% of tea farmers were satisfied or very satisfied with their relationship with the group compared with 46%-51% satisfaction rates in 2009 (study 22). Among UTZ certified coffee farmers in Vietnam, certification was perceived to have a positive effect on group and community relations, with 87% of farmers stating that community relations had improved following certification (study 4). Another study shows that collective marketing is perceived to be the main benefit for being a member of a farmer group, see figure 4 (study 8).

Benefits of cooperatives limited for some farmers

In some situations farmer groups can be more important for knowledge sharing than the larger cooperative organizations. For example, in Uganda (study 17), six out of eight UTZ

certified farmers believed that they were not important to their cooperative, but did consider themselves important to their local farmers' group where there are more opportunities to share experiences and give each other advice.

In some cases a lack of trust was observed between cooperatives and their members. This can be particularly apparent in countries such as Kenya or Côte d'Ivoire where cooperatives operate on a large scale, have a monopoly over supply and marketing, and are subject to government control. Problems such as poor governance and corruption can also be contributory factors. We recognize these challenges and the importance of trust between group members and the certificate holder, including cooperatives. However, our influence is limited in this area because this relationship is influenced by many factors outside of certification.

BETTER CARE FOR NATURE



UTZ requirements aim to safeguard natural resources, protect biodiversity and reduce climate change impacts. The studies suggest that being trained on the UTZ Code of Conduct results in greater awareness of environmental issues and farmers making improvements to water efficiency and quality.

WHAT THE STUDIES SHOW

Improvements to water efficiency and quality

Several studies found that UTZ farmers were more aware of the importance of saving water and more likely to implement water saving measures and manage water more efficiently. In Vietnam, awareness of environmental issues was higher following certification. Certified coffee farmers were more aware of the need to conserve water and 34% were using at least one water saving measure compared with just 10% of control group farmers (study 4).

Another study shows that certified farmers are doing better than non-certified farmers across a spectrum of indicators like water and soil conservation and biodiversity as well as net income, yield and training (study 5).

Knowledge around protecting water quality was also found to have increased following certification in some studies. For example, among certified cocoa farmers in Indonesia, the study found that 82% of certified farmers improved their water management techniques, compared with just 44% of the control group (study 8). This included techniques for preventing water contamination, such as establishing buffer zones in between farm land and waterways, which prevents leaching of fertilizer and pesticides.

Preventing soil erosion

Two studies suggest that UTZ farmers are implementing measures to protect soil quality. The study among cocoa farms in Indonesia, for example, found that certified farmers

The UTZ requirements

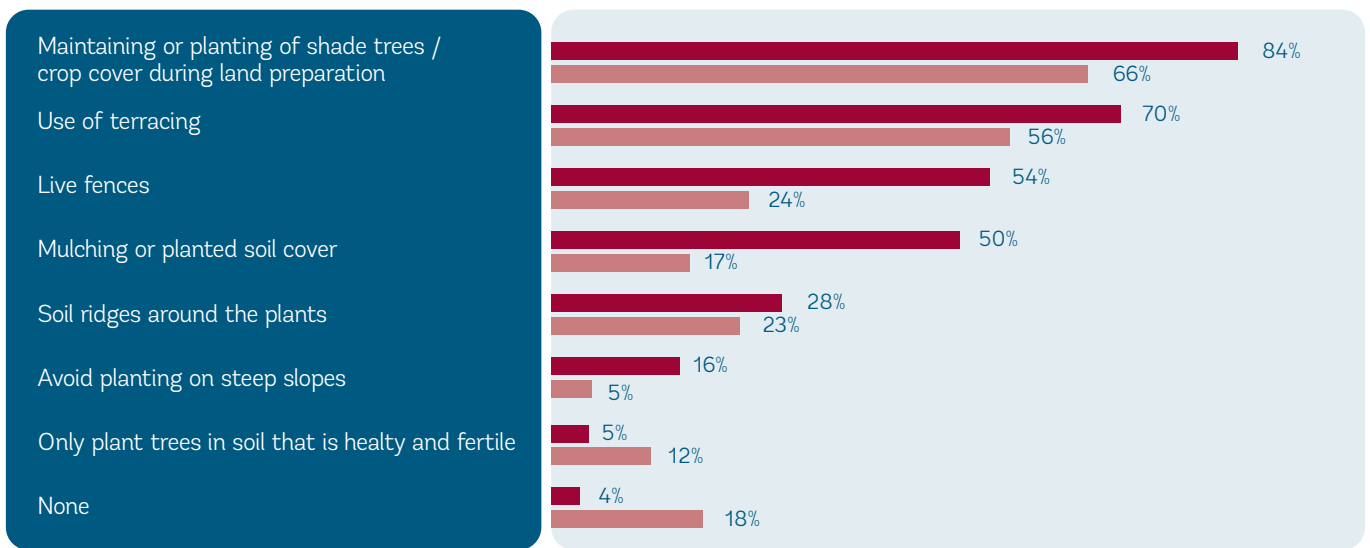
UTZ requirements include:

- Respect for protected areas, plant and animal life and protection of water sources
- Preventing deforestation and planting shade trees
- Optimizing and reducing the use of artificial fertilizers and pesticides
- Efficient waste collection, processing and recycling
- Using energy carefully and encouraging the use of sustainable energy sources

were more likely to use measures such as planting shade trees and mulching than farmers in the control group see figure 6 on the next page (study 8).

One of the studies among coffee producers in Uganda and Tanzania (study 21), found that UTZ certified farmers reported improvements to their environment through establishing trenches for soil conservation and better handling of waste such as chemicals.

Figure 6 | Measures taken to prevent soil erosion



■ Certified
■ Control

Based on study 8 "Sustainability Impact Assessment of a certification scheme in the Indonesian Cocoa industry", page 27

Fighting climate change: Coffee Climate Care (C³)

The UTZ Certified program supports farmers in adapting to climate change by promoting practices that increase the resilience of local ecosystems, while also helping them to reduce their own climate change impacts. In addition, UTZ Certified is working with partners to pilot new approaches that improve the capacity of farmers to respond to a changing climate. A good example is the Coffee Climate Care (C³) project in Vietnam that aims to increase the resilience of coffee production systems to climate change by identifying and implementing adaptation measures. The project, a joint initiative by UTZ Certified and the DE Foundation, will also involve measurement and reduction of greenhouse gas emissions from coffee production. It started in 2013 and will run until 2016 and is funded by the Deutsche Investitions- und Entwicklungsgesellschaft (DEG) with public funds of the German Ministry for Economic Cooperation and Development (BMZ).

The Coffee Climate Care project will benefit both small scale producers and others in the Vietnamese coffee supply chain by:

- Building local and regional capacity in the Vietnamese coffee industry for climate change adaptation and mitigation
- Improving the resilience of coffee production systems to climate change, helping to protect the future income of coffee producing families
- Establishing a system for collecting data on greenhouse gas emissions and carbon sequestration from coffee producers
- Training for staff at research centers, extension services and certification bodies enabling project findings and results to be disseminated beyond the project's pilot groups

The findings from the pilot will also be used to further strengthen the work of UTZ Certified on climate change adaptation and mitigation issues.



BETTER CARE FOR NEXT GENERATIONS

UTZ Certified wants children to grow up in a healthy and safe environment, to attend school and to have the freedom to play. The studies found that UTZ certification improves understanding among farmers of the benefits of education and contributes to more children attending school.

WHAT THE STUDIES SHOW

Improved school attendance

Following training, UTZ certified farmers are more likely to send their children to school. For example, a study in Côte d'Ivoire and Ghana found that among one of the cocoa farmer groups studied all UTZ farmers confirmed that their children now attend school (study 12).

In some cases improvements in school attendance were found to be related to improvements in farmers' income. For example, a study in East Africa showed that more farmers were sending their children to school because their income had improved and was more predictable (study 15).

Increased expenditure on education

Two studies showed that UTZ farmers increased the amount of money they spend on education compared with non-certified farmers. A study among cocoa farmers in Indonesia, for example, showed UTZ certified farmers spent more money on education than the control group (study 8), see figure 7.

The UTZ requirements

UTZ requirements are based on international standards such as the International Labor Organization conventions. They include:

- No child labor
- Informational sessions on the importance of going to school
- Keeping hazardous materials away from children and pregnant women and drinking water
- Medical care for mothers and children
- Maternity leave for workers

Figure 7

Estimated expenditure on education in Indonesian Rupiah (IDR)

	Average	Median
Certified Group	1,904,792	750,000
Control Group	1,067,545	500,000

Based on study 8 "Sustainability Impact Assessment of a certification scheme in the Indonesian Cocoa industry", page 29



Another quantitative study in Uganda and Tanzania also found that UTZ farmers spent more on education on average than non-UTZ farmers (study 21).

The benefits of improved school attendance extend beyond the children and families involved. For example, a study among cocoa farmers in Ghana found that 100% of children had stopped working on the cocoa farms and that this led to more hired laborers being used. Although this increased costs for farmers it generated new employment opportunities for others (study 10).

Greater female participation

Some studies suggest that becoming UTZ certified supports women's empowerment. For example, a study among coffee producers in Kenya, showed that female farmers who are part of an UTZ certified group attended more meetings and there were more women members on farmer committees and councils. Female UTZ farmers reported that they attended more meetings and were more willing to contribute to the discussion during the sessions. (study 15).

In the field

"I was incredibly impressed with a young woman who was the finance manager at one of the cooperatives. She spoke English and had an amazing grasp of the business. She knew all the figures from her head and could clearly articulate all of the successes and challenges of her business. She was responsible for payment to all the farmers and setting up loans for them."

Chris Cuello, Director of Strategic Initiatives for Mars Chocolate North America, reflecting on his journey to Côte d'Ivoire

Child labor – our role in tackling this harmful practice

Child labor is a major problem in agriculture, affecting up to 130 million children aged 5-14 according to the International Labor Organization (ILO). UTZ Certified has a zero tolerance approach to child labor and is working towards a world where child labor is no longer accepted.

We use the UN and ILO definition of child labor - work that deprives children of their childhood, their potential and their dignity, and that is harmful to their physical and mental development. This is different from child work, which is non-hazardous, does not interfere with schooling and complies with the law. On family farms (small scale producers), UTZ Certified allows children to help their parents outside school time for a limited number of hours per day, and only if they do not undertake hazardous work that jeopardizes their health and safety.

Although compliance with our standards is monitored through internal inspections and external audits, we cannot guarantee that child labor is completely eradicated on every UTZ certified farm 365 days per year. We review the effectiveness of the systems we have in place and we use audit results and impact studies to understand the progress we have made and the challenges that remain.

For full eradication of child labor, we need all relevant stakeholders, including local communities and governments, to take an active role in tackling the root causes which include poverty, lack of access to quality education, tradition and low awareness of the risks to children.

We are working with partners such as the International Cocoa Initiative (ICI) to develop a new community-based approach to prevention, monitoring and remediation of child labor. We hope this will make it easier to identify and address cases of child labor, and to always act in the best interests of the child.



BETTER CROP

The studies show that, on average, UTZ certified farmers are more productive, achieving higher yields and better quality crops with fewer inputs (such as pesticides and water). There is evidence that these benefits increase the longer farmers are UTZ certified.

In 2012 a total of 715,648 MT coffee, 534,614 MT cocoa and 65,132 MT tea were produced according to the UTZ requirements.

WHAT THE STUDIES SHOW

UTZ certification improves productivity but measurement can be challenging

The studies show that being UTZ certified has a clear impact on productivity. For example, following training, Kenyan tea farmers were able to improve yields by 11% from 1.13kg per bush in 2010 to 1.26kg in 2012 (study 23). Studies in the coffee sector in Kenya (study 20) and in Uganda, Kenya and Ethiopia (study 9) show an increase in yield and productivity that was attributed to the training farmers received on the UTZ requirements.

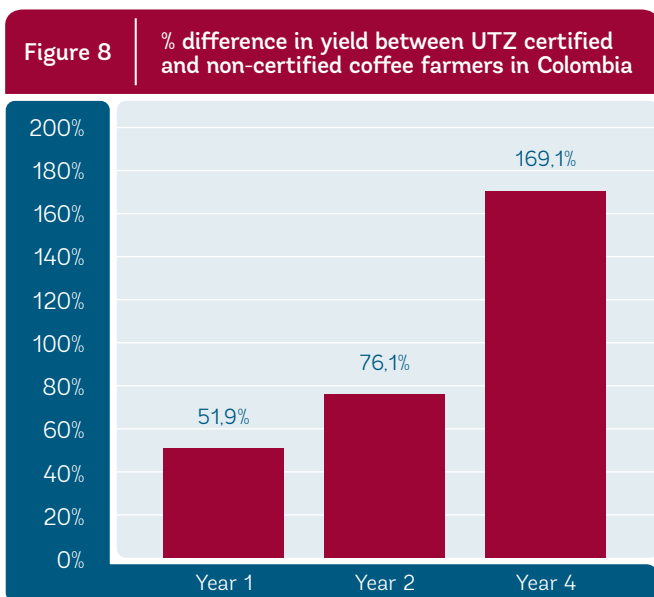
A case study of a cocoa producer group in Ghana shows that farmers increased their yields and improved their income between 2008 and 2012 (study 12). Cocoa productivity increased significantly from 200 kg per hectare in 2009 to 312 kg per hectare in 2011. Measuring the impact of better farming practices on yields proved difficult in some studies. Often farm data is incomplete and it can be difficult to distinguish the impact of improved farming practices from that of other factors such as local weather conditions. Future studies that are able to monitor yields over a longer time period will help to address this.

In some cases productivity was already at a high level prior to UTZ certification, for example among the coffee producers studied in Vietnam (study 4), and therefore only minimal improvements were observed following adoption of the UTZ requirements.

Productivity gains are sustained or improved over time

The studies show that UTZ certified farmers are able to maintain a higher and more stable level of production over time. For example, the study in Colombia shows that over a four year period, the UTZ certified farmers were able to maintain high levels of production despite adverse weather conditions which led to a decline in production levels among conventional farmers. The gap between the performance of UTZ certified farmers and the control group increased from 51.9% in the first year to 169.1% by year 4 (study 6, see figure 8).

A study among six UTZ projects in Ghana found that cocoa farmers who have been part of the project for two years have higher average yields than farmers who have been in the project for just one year or who have newly started (study 24).



Based on study 6 "Figures on UTZ performance in Colombia", page 4

Better quality products

Several studies show that UTZ certification has a positive impact on product quality. This is due to the training farmers receive and specifically the adoption of more professional farming practices such as improvements in how crops are handled after harvesting. For example, in Vietnam, better monitoring meant that fewer unripe coffee cherries were found in UTZ farmers' harvests, resulting in a better quality crop for sale (study 4).

One study in Uganda, found that UTZ certified coffee farmers applied post-harvesting practices that led to improved product quality (study 21), with one exporter noting that he observed fewer defects with UTZ certified coffee and that quite often the beans are bigger than those from other producers. Another study in Uganda, Kenya and Ethiopia showed an improvement in coffee bean quality which was attributed to the training farmers received (study 9). In a study among tea farmers in Malawi (study 22), both farmers and field officers identified improvements in tea leaf quality.

In one study in Kenya, coffee farmers were found to be getting higher prices for their coffee due to the positive impacts of the good agricultural practices advocated by the UTZ program and the stringent quality measures enforced by the certified cooperative (study 11).

The studies also identified a number of challenges to improving crop quality. These vary according to the crop but include limited access to quality planting materials, lack of knowledge regarding new varieties and delays in delivering crops after harvesting which can lead to a decline in quality.



In the field

“Before I joined the UTZ certified group, I produced just 2 bags from the whole farm. But now, since I joined the group I’ve already harvested 4 bags and I still have more pods to harvest.”

Mr. Enoch Mensah
Cocoa farmer, Ghana

What do we mean by productivity?

Each farmer only has a limited amount of land, but with the right farming practices he or she can produce more of a better quality. Fertilizers and other inputs can increase yields but cost money and time. Training and professional farm management helps farmers to use the right amount of these inputs to avoid waste and get the best possible yield for their investment.



BETTER INCOME

UTZ certified farmers are trained to become better business managers. The studies show that UTZ farmers were able to increase their income and sell their products more easily, due to improvements in crop quality and better market access. Being able to sell their products as UTZ certified helps farmers to get a better price.

WHAT THE STUDIES SHOW

UTZ certified farmers have a higher income

The studies suggest that many farmers were able to improve their income as a result of UTZ certification and training on the UTZ Code of Conduct. For example, following training tea farmers in Kenya increased income by 14% (adjusted for inflation). This was due to lower input costs, higher prices and the effect of the UTZ premium (study 23). Lower input costs included labor and fertilizer costs, with UTZ certified farmers using 22% less fertilizer per bush in 2012 than they did in 2010.

In Malawi, similar results were observed with 53% of tea farmers that received training stating that their net income had increased compared with two years ago (study 22). Coffee farmers in Kenya also noted an increase in their

income resulting from the new skills they acquired through good agricultural practices training (study 3).

In Uganda and Tanzania, UTZ certified coffee farmers were able to increase revenues through higher prices and the opportunity to make bulk sales. Revenue was more stable as coffee farmers were able to get a more consistent price for their coffee (study 21). Increased revenues were not observed in all the coffee studies. In Vietnam certified farmers were not found to receive significantly higher prices than control farmers (study 4).

Professional farming practices and better market access improve income

A range of factors were found to influence the income that farmers receive for their crops. For example, a study among Indonesian cocoa farmers found that certified farmers received a higher price for their products than non-certified

In the field

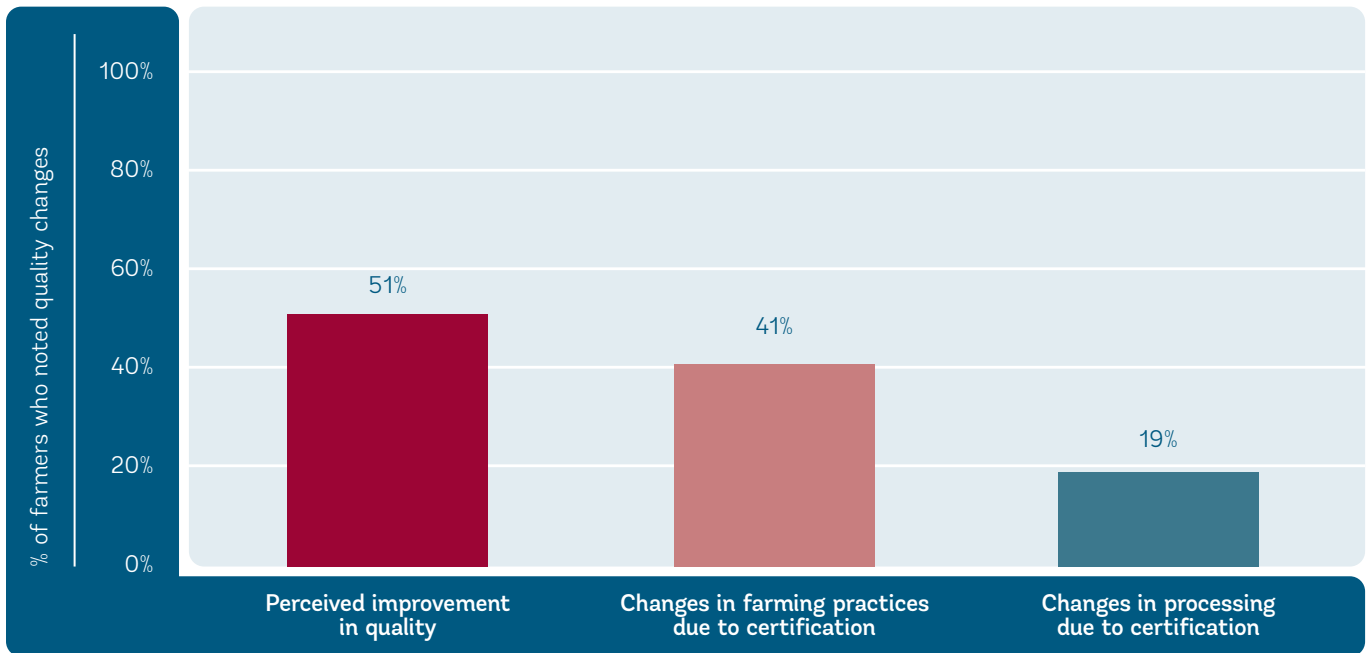
“In my experience, when farmers join the UTZ Certified program their farms become more productive. Cocoa trees are pruned, fertilized and irrigated more efficiently and there is better pest control. Although cocoa prices have been low in Vietnam for several years, by applying the new techniques and improving quality they can increase the price they get for their crop.”

**Ta Quang Thanh, Internal Control System team
Thanh Hung Think Company, Vietnam**

Ta Quang Thanh, is part of a team introducing the UTZ Certified system to cocoa farmers in Vietnam. Following a launch event in Ben Tre province in southern Vietnam in May 2012, 129 cocoa farmers joined up and are attending training courses on sustainable cultivation and safe use of crop protection products.

Figure 9

Perception of quality changes and attribution



Based on study 4 "Vietnam Coffee: A COSA survey of UTZ Certified farms", page 24

farmers partly due to them drying their cocoa for longer than those in the control group, enabling them to improve quality (study 8). A study in Côte d'Ivoire and Ghana showed that UTZ certified farmers were more likely to receive a good profit from the sale of their products, due to them adopting more professional farming practices (study 12).

Becoming UTZ certified has a positive impact on market access. For example, in Vietnam, certified coffee companies found that they were able to market their coffee more easily because buyers perceived the quality to be higher, due to certification (study 4). See figure 9.

Improved income enables re-investment

A number of studies showed that farmers who improved their income were able to reinvest their profits into other revenue streams. This diversification can provide additional stability for farmers reducing the risks associated with being dependent on one source of revenue. It contributes to greater

resilience among farmers, who are better able to cope with risks from weather, market changes and other factors they cannot directly influence.

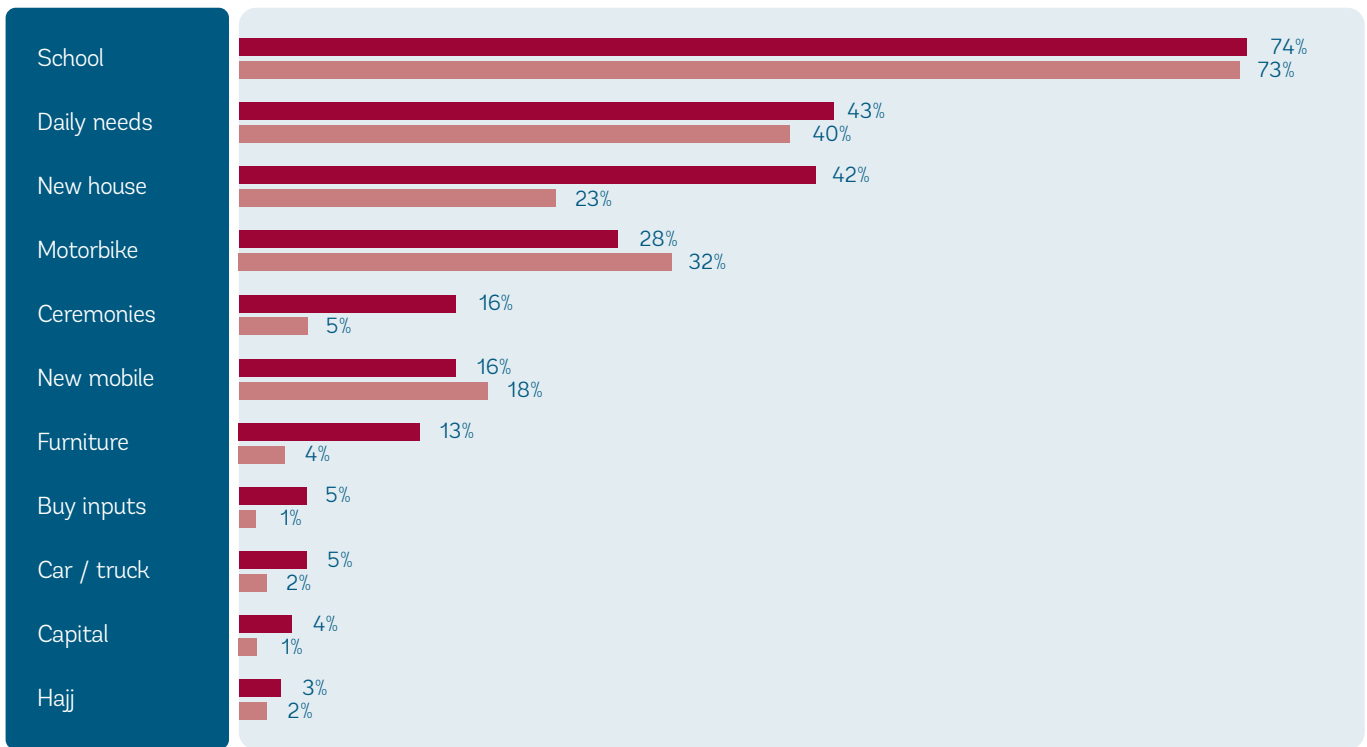
The UTZ premium

UTZ certified farmers are empowered to negotiate a better price for their product. The difference between the average commodity price and the price received by UTZ certificate holders is known as the 'UTZ premium'. In 2012 the global average premium was:

- 4.29\$/lb for UTZ coffee
- 4.44 \$c/lb for UTZ Arabica coffee
- 3.56 \$c/lb for UTZ Robusta coffee
- €112/metric ton for UTZ cocoa
- €20-€59/metric ton for UTZ tea

Figure 10

Allocation of cocoa revenue
(% of farmers who spent at least some of their cocoa income on each expense)



- Certified
- Control

Based on study 8 "Sustainability Impact Assessment of a certification scheme in the Indonesian Cocoa industry", page 18

For example, in Kenya, UTZ certified tea farmers were found to be benefiting from other sources of income aside from tea, with the percentage of those earning income from other sources increasing from 70% in 2010 to 80% in 2012 (study 23). UTZ certified coffee farmers in Kenya were found to be using the increased income to hire more labor and further increase production (study 20).

Implementing the UTZ Code of Conduct led to a change in outlook among some producers, with farmers becoming more entrepreneurial in mindset overall. This was seen, for instance, among farmers in Uganda where researchers observed a shift in attitude from subsistence farming to a more entrepreneurial approach. For example many of these farmers used their increased income to invest in other enterprises, such as small retail shops or animal rearing (study 9).

In Indonesia, one study showed that certified farmers were more likely to spend extra income on long-term investments such as housing, see figure 10 above.

Better access to credit and improved financial management

By saving a proportion of their profits, farmers have more opportunity for investment, can reduce the need to borrow money and help protect themselves against the impact of events such as droughts or pest attacks. The study in Côte d'Ivoire and Ghana showed that UTZ certified farmers were more aware of the importance of saving part of their income in the bank (study 12).

External factors can affect farmers' ability to save. UTZ certified tea farmers in Kenya, for example, stated they were saving more compared with two years ago, but in Malawi savings were found to have decreased (studies 22 and 23). During the period of the study, farmers in Kenya experienced favourable weather conditions, while in Malawi many farmers experienced drought conditions, which affected both their tea and food crops, requiring them to spend more on food and limiting their ability to set aside savings.

Being able to access credit from formal channels such as commercial banks, can be an indication of professionalism among farmers. Some studies show that UTZ farmers have better access to credit from official sources that they can use to cover up-front costs such as hiring extra labor or purchasing fertilizer. For example, in Indonesia 57% of certified cocoa farmers had access to credit compared with just 38% of farmers in the control group (study 8).

In areas with high poverty levels, farmers cannot afford to wait to sell their crop for a higher price or to access credit, which can affect their income. According to a study among coffee farmers in East Africa, it can be time consuming to obtain credit, so farmers may opt to sell a small amount of coffee to local buyers when faced with a small or urgent problem rather than waiting for a credit agreement to be made (study 15). In Uganda, it was found that delays to coffee purchasing agreements with cooperatives and exporters meant that UTZ farmers had to revert to selling coffee via middlemen often at a lower price (study 15).

In the field

“With UTZ I’ve improved agriculture techniques, I can control my cost of production and save money from making the right investments before selling my coffee at higher prices. I’m more aware of protecting water resources and the environment, not only for enhancing the quality of my family life, but also for our community and later generations as well. I’ve found that we are enjoying a happy life with visible and invisible benefits from UTZ. It’s not small but huge really!”

Mr. Y Yon Mlo
Coffee producer, Vietnam





BETTER ENVIRONMENT

UTZ certified farmers are trained to use raw materials more efficiently and dispose of waste safely, helping to preserve natural resources and reduce pollution. The studies show that they use chemicals more efficiently and safely, helping to protect local ecosystems and biodiversity. This is better for farmers and better for the environment.

WHAT THE STUDIES SHOW

More efficient use of pesticides and fertilizers

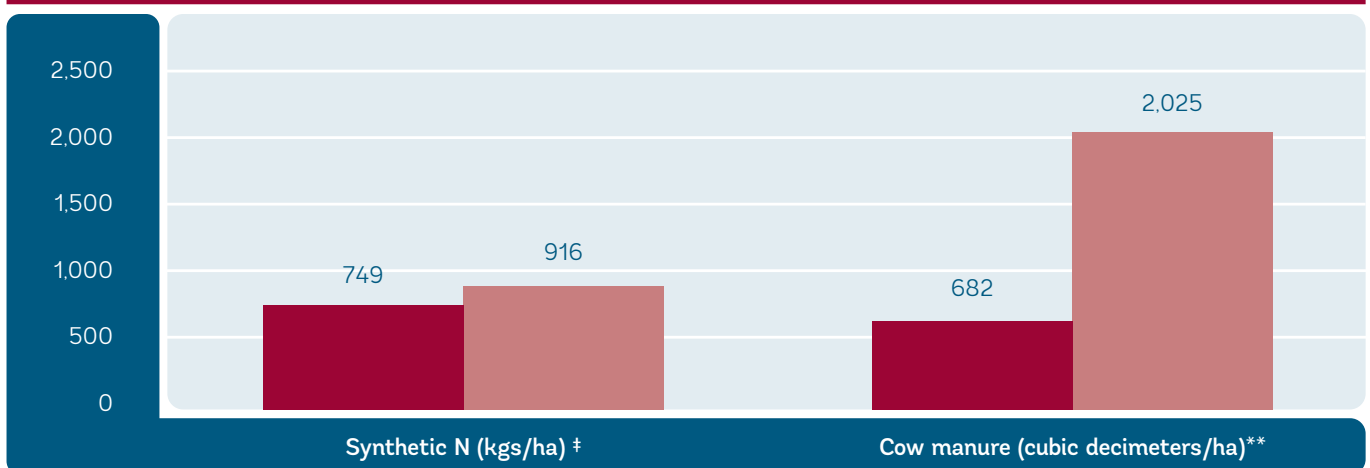
The studies showed that UTZ certified farmers use crop protection products and fertilizer more efficiently, reducing the amount used per unit of produce and disposing of waste safely.

For example, the study among coffee farmers in Vietnam (study 4) found that UTZ certified farmers used less nitrogen, whether via synthetic or organic fertilizer, per hectare (see figure 11). Although nitrogen is a necessary soil nutrient, overuse of fertilizers contaminates ground water and emits

unnecessary greenhouse gas (GHG) emissions. Using less fertilizer can therefore prevent damage to the environment and our climate.

In Malawi, the percentage of UTZ certified tea farmers who avoided using crop protection products altogether increased from 88% to 93% (study 22). However no improvement was observed in how empty containers are handled and disposed of. In Kenya (study 23), following training on the UTZ standards, tea farmers were more likely to handle empty pesticide containers in a safe way. One study in East Africa found that farmers handled and applied chemicals in a better way following training, including safely disposing of empty containers (study 15).

Figure 11 | Fertilizer use per hectare



■ UTZ Certified
■ Control

† Significant with 85% confidence

Based on study 4 "Vietnam Coffee: A COSA survey of UTZ Certified farms", page 29



Among coffee farms in Uganda, one study showed that risks to people and the environment from agrochemicals were reduced following training on the UTZ Code of Conduct and awareness raising among farmers on the safe and appropriate use of chemicals. There were clear improvements in how UTZ certified farmers handled and disposed of chemical residues (such as those from empty pesticide containers) compared with farmers in the control group (study 21).

More studies are needed to give a better understanding of the environmental impact of UTZ certification. It was found that the majority of existing research looked at social issues, like working conditions, farming methods and income. We are working on developing more in-depth research on environmental impacts in the coming years.

See Better Care for Nature for information on the impact of UTZ certification on water efficiency and quality.

In the field

“As part of UTZ certification we see that producers are providing better protection to natural areas and natural buffer areas around sensitive habitats like rivers and wetlands. Rehabilitation is however a long-term process and not enough time has elapsed to measure any tangible benefits to producers.”

Gerhard Pretorius
Natura Libra Environmental Services.

NLES works on the Right Rooibos sustainability initiative on behalf of the SA Rooibos Council and has closely been involved with UTZ Certified since the beginning of the UTZ Rooibos program.

Central American Energy from Coffee Waste project: Making sustainable water management a reality

An UTZ Certified project in Central America is showing how reusing wastewater from coffee processing can cut use of fresh water by half, and benefit coffee growing communities by improving water quality and creating a new source of energy.

Coffee processing uses significant amounts of water. When the untreated wastewater is discharged into rivers it becomes a major source of pollution affecting the 95% of rural households who rely on groundwater for their drinking water. The untreated wastewater also emits methane, one of the most potent greenhouse gases.

The Energy from Coffee Waste project in Central America tackles each of these challenges and enables coffee producers to reduce water consumption, treat wastewater and turn methane into a new energy source. The project works by reusing wastewater in the coffee washing process, then treating and cleaning it before it is discharged. The water is treated in a biodigester that captures methane emissions that are then used as a biogas fuel to run machinery and even household stoves.

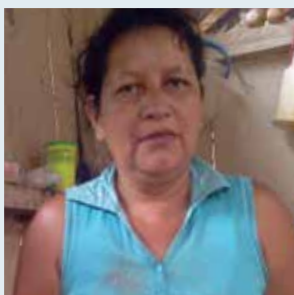
The new approach was tested in three-year pilot projects at 19 sites in Honduras, Guatemala and Nicaragua covering small, medium and large-scale coffee producers and processors. The results show that the technology can reduce water consumption significantly from 24 liters/kg of green coffee on average before the pilot began to just 10 liters/kg of green coffee after two harvests. All wastewater was treated and the energy generated was used, for example, to power the cooking stoves in the farmers' kitchens.

Coffee producers involved in the projects also experienced a number of other benefits. By using biogas for cooking they need to spend less time gathering fuel wood and fewer trees need to be cut down. The biogas produces less smoke than wood so is better for their families' health.

We will take what we have learned from the pilot projects to roll out the project to other UTZ certified coffee producers and processors. Manuals and training courses have been developed to help farmers install, run and maintain the equipment needed.

“With this project, we reduce energy use as well as costs while using the biogas for our mill.”

**Gilberto Molina, General Manager CISA Exportadora
(green coffee exporting company), Diriamba, Nicaragua**



“The smoke from firewood is bad for your health. Now I am using less firewood my health hopefully will improve and my whole family is now benefiting.”

**Fatima Blandon, wife of producer Francisco Blandon
Cooperativa El Polo, Community El Tigre
Finca Las Quebraditas, Nicaragua**



BETTER LIFE

Becoming UTZ certified can help farmers and workers to enjoy a better life, for example through an improved and more reliable income and a healthier and safer working environment and more opportunities in general. The studies indicate that UTZ farmers are more satisfied with their quality of life than non-certified farmers and that they perceive their health, wellbeing and income to have improved following certification.

WHAT THE STUDIES SHOW

UTZ certified farmers enjoy a better quality of life

Most studies showed that farmers were more satisfied with their quality of life following certification. For example, in Kenya satisfaction levels among UTZ certified tea farmers increased by around 19% (study 23). Satisfaction levels went up in relation to quality of family welfare, relationships with neighbors and quality of farms, including access to water and electricity.

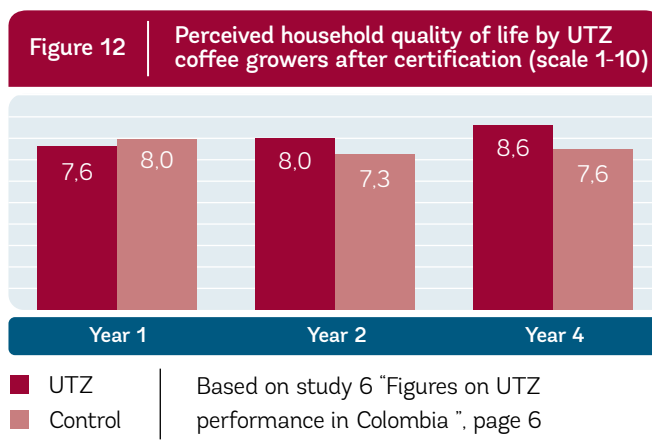
Scores on satisfaction level regarding livelihood increased by an average of 25% from 2009 to 2011 among UTZ certified tea farmers in Malawi (study 22).

A study in East Africa found that all coffee farmers in the study perceived an improvement in household welfare since certification (study 15). The reasons cited included increased income, better waste treatment and improved household sanitation, which resulted in fewer outbreaks of disease and less money spent on healthcare. Female farmers and farmers' wives identified more reliable sales, and the ability to sell in bulk and receive a cash lump sum as some of the most important benefits of certification.

Improvements continue over time

A number of studies showed that improvements in perceived quality of life were sustained or even increased over time. For example, in Colombia, UTZ coffee farmers perceive their quality of life to be higher than farmers in the control group

and this perception was found to be improving over time, see figure 12 (study 6). Their income is also improving despite a downwards trend in productivity across the wider Colombian coffee industry. This finding will be further analyzed in an upcoming study.



Measurement is challenging and not all farmers feel they are benefiting

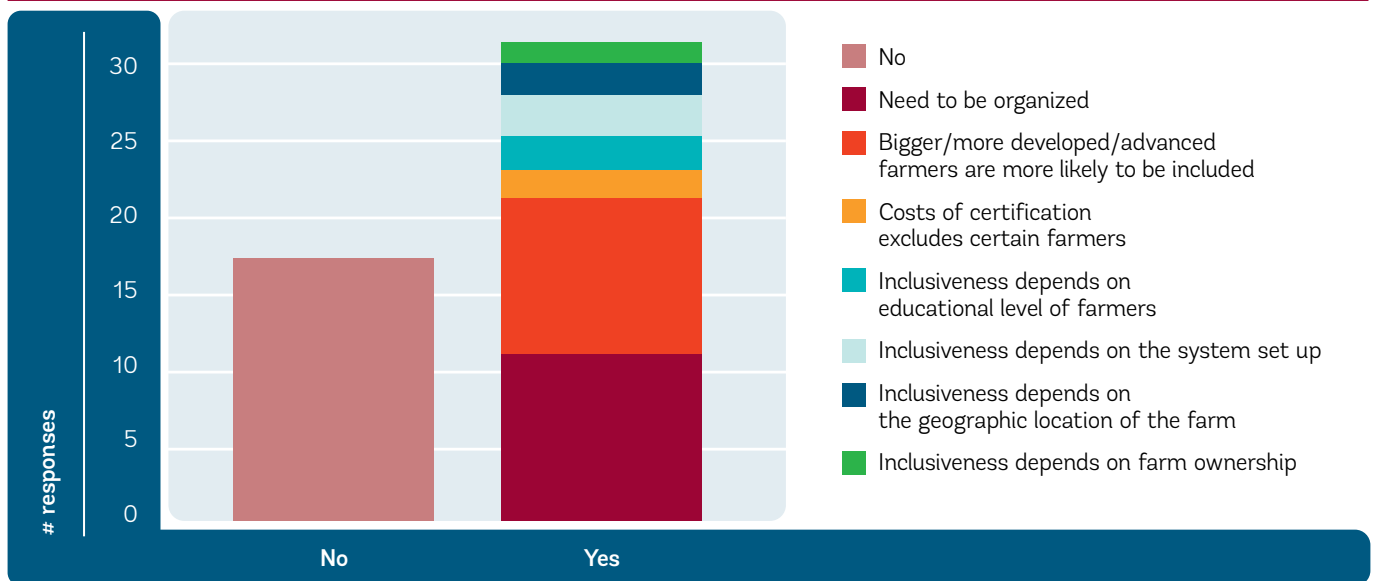
Establishing whether UTZ farmers experience a 'better life' is challenging, since it can only be measured based on farmers' perceptions which are inevitably subjective. Perceptions are influenced by both day-to-day factors affecting farmers, such as access to sanitation and electricity, and longer-term security and stability, such as confidence that the crop being grown will eventually be sold for a good price giving the farmer the ability to plan ahead.

In the field

“UTZ Certified encourages good agricultural practices so that farmers reap good fruit, both in respect to cocoa beans as well as the quality of life of farmers, rural workers and the environment.”

Rodrigo Melo
 Origination Manager
 Cargill Cocoa and Chocolate Brazil

Figure 13 | Barriers regarding the inclusiveness of certification



Based on study 13 "Improving smallholder livelihoods: Effectiveness of certification in coffee, cocoa and cotton", page 29

In some cases the studies found that UTZ certification had not lived up to farmer expectations. These farmers had been unable to achieve the increased income they had expected which led to disappointment and a drop in perceptions of economic wellbeing. For example, in Kenya, UTZ coffee farmers were found to be more pessimistic, primarily due to the low price of coffee and the higher cost of inputs, like fertilizer, associated with UTZ (study 21).

Another challenge is to reach as many farmers as possible. One study (study 13) looked at potential barriers to certification (see figure 13). This found that smaller and less organized farmers are more likely to be excluded from certification.

NEXT STEPS

The findings from the studies included in this report have revealed valuable insights on the impact of UTZ certification. They show us both what works well and what can be improved, enabling us to make faster progress towards creating a world where sustainable farming is the norm. The results will also be used as input for the code revision process currently underway.

We use the findings of these studies to fine-tune our strategies and implement our strategic plan in the most effective way, all in the light of continuous improvement. Additional efforts from UTZ in partnership with key stakeholders are required to also include remote and less educated farmers in the program. With an increased local presence in the field we are reaching out to farmers that currently don't have access to certification. We will address the challenge of record keeping for illiterate farmers by looking at innovative record keeping support tools.

Furthermore, we will also take steps to improve transparency around how the UTZ premium is distributed on different levels, for example between the group and its members. In collaboration with other stakeholders we are exploring different possibilities that can help to strengthen the capacity and economic viability of smallholder farmer groups. The joint objective is to reduce costs for farmers wherever possible, looking at, for example, combined audits.

In need of more reliable M&E data and better measurement techniques we are optimizing the use of our online traceability

system and we are also conducting and commissioning a number of impact studies. These will look more in-depth at certain topics such as productivity as well as costs and benefits on farm level.

The studies used for this report as well as the result of upcoming studies will help us to further improve our M&E program. The M&E team will use the lessons learnt from individual studies as the basis for further research to understand the impact of UTZ Certified and identify where improvements can be made. In addition, the findings will be used as input for our Code of Conduct revision process, enabling us to address any gaps and establish new requirements where needed. The updated Code will be launched in 2014.

We will continue to be accountable to our stakeholders and work with them to increase the positive impact on farmers, workers and their families as well as the environment. We are working together with farmers, supply chain actors, NGOs, governments and everyone who shares our ambition that within a decade at least half of the world's coffee, cocoa and tea production will be farmed sustainably.



APPENDICES

Appendix I

References

Appendix II

Coffee Facts

- 2.1 UTZ Certified Coffee Volume
- 2.2 UTZ Certified 1st Buyer Coffee Sales
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- 2.5 UTZ Certified Farms/Estates
- 2.6 Coffee Workers Benefitting from UTZ Certification

Appendix III

Cocoa Facts

- 3.1 UTZ Certified Cocoa Volume
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Appendix IV

Tea Facts

- 4.1 UTZ Certified Tea Volume
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- 4.3 UTZ Certified Tea Area
- 4.4 UTZ Certified Tea Smallholders
- 4.5 UTZ Certified Tea Farms/Estates
- 4.6 Tea Workers Benefitting from UTZ Certification

REFERENCES

No.	Title	Year	Author	Institute	Sample size	Country	Crop
1	Description of benefits of certification in coffee farms: A case study on Ponte Alegre farm	2011	Aguiar Neto, Álvaro Pinto; Silva Prado, Agda; Garcia de Aguiar, Cibele Maria; Parreiras Pereira, Sérgio; Almeida Dias, Rafael Antônio	Federal University of Lavras	Case study in Portuguese	Brazil	Coffee
2	The impact of UTZ certification on smallholder farmers in Uganda	2010	Bagamba, Frederick; Ruben, Ruerd; Fort, Ricardo	CIDIN - Radboud University Nijmegen	2 cases: Ankole - 90 certified and 90 not-yet-certified (120 control) and Kamuli - 65 certified and 65 not-yet-certified (85 control)	Uganda	Coffee
3	Waitrose supply chain impact assessment	2013	Carnstone Partners	Carnstone Partners	Extensive case study	Kenya	Coffee
4*	Vietnam coffee: A COSA survey of UTZ certified farms	2013	COSA (The Committee on Sustainability Assessment)	COSA	169 (182 control)	Vietnam	Coffee
5	Measuring sustainability: First global report on COSA findings in agriculture	forthcoming	COSA	COSA	17,800 datasets	Global	Coffee Cocoa
6	Monitoring and Assessment of UTZ Certified Sustainability Program in Colombia	forthcoming	CRECE (Centro de estudios regionales cafeteros y empresariales)	CRECE	218 (579 control)	Colombia	Coffee
7	Gender equity within UTZ Certified coffee cooperatives in Eastern Province Kenya	2011	Dijkdrenth, Eveline	CIDIN - Radboud University Nijmegen (Master Thesis)	Focus group discussions with 40 and interviews with 63 farmers	Kenya	Coffee
8	Sustainability Impact Assessment of a certification scheme in the Indonesian cocoa industry: 2012 pilot survey results	2013	Hafid, Hiswaty; Neilson, Jeff; Mount, Tula; McKenzie, Fiona	University of Sydney - Discussion Paper funded by the ACIAR	351 households (379 control households)	Indonesia	Cocoa
9	The Impact of Coffee Certification on Smallholder Farmers in Kenya, Uganda and Ethiopia	forthcoming	Hoebink, Paul; Ruben, Ruerd; Elbers, Willem; Rijsbergen, Bart van	CIDIN - Radboud University Nijmegen	Kenya: 213 (280); Uganda: 302 (271); Ethiopia: 700	Kenya Uganda Ethiopia	Coffee

* Commissioned by UTZ Certified

No.	Title	Year	Author	Institute	Sample size	Country	Crop
10	A realist evaluation approach for impact measurement: Case of UTZ certification of cocoa in Ghana	2012	Jong, Fieneker de	Wageningen University - Department of Social Sciences (Master Thesis)	Interviews with stakeholders, participant observation and focus group discussions in 4 villages	Ghana	Cocoa
11	The impact of certification on small holder coffee farmers in Kenya: The case of 'UTZ' certification program	2010	Kamau, Mercy W.; Mose, Lawrence; Fort, Ricardo; Ruben, Ruerd	Contributed paper presented at AAAE and AEASA Conference, Cape Town	80 UTZ households, 100 newly UTZ households and 120 non-UTZ households	Kenya	Coffee
12*	Moving the bars: sustainability brought to the forefront in the cocoa chain	2013	KPMG	Commissioned by IDH, Solidaridad and UTZ Certified	Data provided and interviews with supply chain actors; no quantities	Côte d'Ivoire Ghana	Cocoa
13	Improving smallholder livelihoods: Effectiveness of certification in coffee, cocoa and cotton	2013	KPMG	Commissioned by SUSTAINEO	45 interviews with experts	No specific country: various actors approached	Coffee Cocoa Cotton
14	Baseline survey report on cocoa producers' livelihood perceptions in three pilot areas in Ghana, Côte d'Ivoire and Nigeria	2012	Kuklinski, Frank; Adhuze, Oghenerobo	Commissioned by Deutsche Gesellschaft für Internationale Zusammenarbeit, Eschborn	212 individual interviews	Côte d'Ivoire Ghana Nigeria	Coffee
15	The performance of voluntary standard schemes from the perspective of small producers in East-Africa	2009	Lone Riisgaard, George Michuki, Peter Gibbon and Simon Bolwig	Danish Institute for International Studies for Traidcraft	6 case studies: 18 focus group discussions	Uganda Kenya Ethiopia	Tea Coffee
16	Participating in sustainability standard systems: Barriers and success factors for smallholder cocoa farmers in Ghana	2011	Luijk, Ruth van	Utrecht University (Master Thesis)	58 (73 control)	Ghana	Cocoa
17	The Impact of Knowledge and Participation on Cooperative Loyalty in Uganda and Tanzania. Does certification matter?	2009	Regts, Nienke	Radboud University Nijmegen (Master Thesis)	Uganda: 26 interviews, 82 questionnaires; Tanzania: 14 interviews, 86 questionnaires	Uganda Tanzania	Coffee

* Commissioned by UTZ Certified

No.	Title	Year	Author	Institute	Sample size	Country	Crop
18	A Socio-Economic Impact Study of the DE Foundation Coffee Project Peru	2008	Rijn, Fédes van	Wageningen University - Department of Social Sciences (Master Thesis)	93 (107 control)	Peru	Coffee
19	Impact assessment in sustainable livelihood framework	2012	Rijn, Fédes van; Burger, Kees; Belder, Eefje den	Published in 'Development in Practice' academic journal, volume 22, number 7, p. 1019-1035	93 (107 control)	Peru	Coffee
20	Maintaining a sustainable livelihood: An analysis of the effects of UTZ Certification on market access, risk reduction and livelihood strategies of Kenyan coffee farmers	2012	Schoonhoven-Speijer, Mirjam	Radboud University Nijmegen (Master Thesis)	94 (92 control)	Kenya	Coffee
21	Effects of UTZ Certified and Fair Trade on coffee producers in Uganda and Tanzania: Certification and the people and profit dimensions of Corporate Social Responsibility	2008	Verkaart, Simone	CIDIN - Radboud University Nijmegen (Master Thesis)	Uganda: 42 interviews and 82 surveys; Tanzania: 21 interviews and 86 surveys	Uganda Tanzania	Coffee
22 ¹	From training to practice: Midterm evaluation of the UTZ-Solidaridad smallholder tea programme in Malawi	2014	Waarts, Yuca; Ge, Lan; Ton, Giel	LEI Wageningen UR	217	Malawi	Tea
23 ²	From training to practice: Midterm evaluation of the UTZ-Solidaridad smallholder tea programme in Kenya	2014	Waarts, Yuca; Ge, Lan; Ton, Giel	LEI Wageningen UR	328	Kenya	Tea
24 ³	A touch of cocoa: Baseline study of six UTZ-Solidaridad cocoa projects in Ghana	forthcoming	Waarts, Yuca; Ge, Lan; Ton, Giel; Mheen, Jennie van der	LEI Wageningen UR	6 project groups (258) and 3 comparison groups (127)	Ghana	Cocoa

1- Commissioned by DE Foundation, Solidaridad and UTZ Certified

2- Commissioned by Solidaridad and UTZ Certified

3- Commissioned by UTZ Certified



2.1 • UTZ CERTIFIED COFFEE VOLUME (MT)

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Coffee Volume	365.972	394.003	476.903	715.648
Latin America	226.484	267.339	338.449	473.580
Brazil	108.615	136.444	166.274	232.336
Colombia	48.348	50.649	62.127	78.171
Honduras	36.774	33.548	42.405	64.408
Peru	13.661	20.789	37.003	58.452
Guatemala	7.924	10.333	13.487	15.997
Nicaragua	3.992	7.051	10.556	13.704
Mexico	3.750	4.774	2.965	7.891
Costa Rica	2.466	3.059	2.999	1.857
Bolivia	275	221	251	377
Dominican Republic	115	115	200	204
El Salvador	564	354	182	182
Asia	116.387	98.467	112.173	209.523
Vietnam	93.634	67.854	75.762	158.986
India	14.322	18.056	27.084	31.549
Indonesia	7.546	12.052	8.001	17.527
Papua New Guinea	885	505	1.327	1.461
Africa	23.101	28.197	26.281	32.546
Uganda	10.394	11.078	9.773	18.609
Kenya	7.503	6.760	6.597	7.801
Ethiopia	2.029	7.612	6.623	3.693
Tanzania	1.648	2.390	3.047	1.381
Zambia	1.171	-	-	424
DR of Congo	-	-	-	313
Burundi	357	357	220	286
Rwanda	-	-	-	39
Malawi	-	-	20	-

Note: Certified volume is an estimation of production potential

2.2 • UTZ CERTIFIED 1ST BUYER COFFEE SALES (MT)

Country	2009	2010	2011	2012
Global UTZ Certified 1st Buyer Coffee Sales	81.367	120.994	136.752	188.096
Latin America	56.184	88.980	98.954	132.581
Brazil	30.359	51.593	58.424	79.666
Honduras	6.693	14.732	17.012	27.920
Colombia	10.190	6.625	8.327	9.218
Peru	2.581	5.910	5.797	6.278
Nicaragua	2.299	1.816	2.691	3.282
Guatemala	1.427	4.407	4.557	2.715
Mexico	1.192	1.063	533	2.107
Costa Rica	1.108	2.443	1.292	1.052
Bolivia	190	275	207	228
Dominican Republic	-	38	75	115
El Salvador	145	76	42	-
Asia	22.063	28.869	35.647	50.165
Vietnam	17.925	23.806	25.519	38.669
India	1.531	3.086	7.682	8.815
Indonesia	2.588	1.728	1.762	2.108
Papua New Guinea	20	250	684	573
Africa	3.120	3.145	2.151	5.351
Kenya	1.391	865	509	2.548
Uganda	1.226	1.488	1.373	1.906
Ethiopia	111	216	96	568
Tanzania	109	38	76	235
Burundi	265	295	97	58
Zambia	18	242	-	36

2.3 • UTZ CERTIFIED COFFEE AREA (HA)

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Coffee Area	261.453	320.308	348.086	508.661
Latin America	162.411	188.688	235.463	325.975
Asia	53.888	51.833	58.334	90.154
Africa	45.154	79.787	54.290	92.532

2.4 • UTZ CERTIFIED SMALLHOLDERS

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Coffee	96.341	162.164	160.737	212.914
Latin America	16.039	19.506	30.419	36.535
Asia	24.316	24.934	24.225	40.788
Africa	55.986	117.724	106.093	135.591

2.5 • UTZ CERTIFIED FARMS/ESTATES

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Coffee Farms/Estates	474	476	569	710
Latin America	372	385	462	599
Asia	65	59	69	73
Africa	37	32	38	38

2.6 • COFFEE WORKERS BENEFITTING FROM UTZ CERTIFICATION

Country	2010/2011	2011/2012	2012/2013
Global UTZ Certified Coffee Workers	231.437	305.916	374.794
Latin America	137.270	197.921	220.732
Asia	70.092	85.399	123.245
Africa	24.075	22.596	30.817

3.1 • UTZ CERTIFIED COCOA VOLUME (MT)

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Cocoa Volume	5.842	70.228	212.690	534.614
Africa	5.712	58.665	171.191	440.740
Côte d'Ivoire	4.667	44.807	96.361	288.483
Ghana	1.045	12.431	37.407	85.936
Sierra Leone	-	-	*	*
Nigeria	-	-	6.708	18.039
Uganda	-	-	17.999	9.750
Cameroon	-	-	438	2.799
Tanzania	-	1.427	725	2.402
DR of Congo	-	-	2.372	2.258
Latin America	130	10.949	37.183	73.045
Dominican Republic	-	9.966	24.819	44.263
Peru	-	793	11.382	23.829
Ecuador	-	190	776	4.841
Mexico	-	-	206	112
Costa Rica	130	-	-	-
Asia	-	613	4.316	20.830
Indonesia	-	-	3.238	19.204
Vietnam	-	507	1.078	1.626
Papua New Guinea	-	107	-	-

Note: Certified volume is an estimation of production potential

* The UTZ certified cocoa volume in Sierra Leone is not included due to lack of accurate data

3.2 • UTZ CERTIFIED 1ST BUYER COCOA SALES (MT)

Country	2010	2011	2012
Global UTZ Certified 1st Buyer Cocoa Sales	17.109	42.704	118.641
Africa	12.832	33.973	87.046
Côte d'Ivoire	12.832	27.949	60.399
Ghana	-	866	15.995
Nigeria	-	2.763	3.449
Sierra Leone	-	1.664	2.421
Uganda	-	-	1.687
DR of Congo	-	480	1.596
Tanzania	-	251	1.323
Cameroon	-	-	176
Latin America	4.277	8.535	21.457
Peru	513	3.162	11.138
Dominican Republic	3.764	4.684	7.987
Ecuador	-	689	2.331
Mexico	-	-	-
Asia	-	196	10.139
Indonesia	-	-	9.108
Vietnam	-	181	1.031
Papua New Guinea	-	14	-

3.3 • UTZ CERTIFIED COCOA AREA (HA)

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Cocoa Area	11.265	173.494	460.390	902.360
Africa	11.155	150.796	401.950	792.940
Latin America	110	21.968	52.140	88.252
Asia	-	729	6.300	21.168

3.4 • UTZ CERTIFIED COCOA SMALLHOLDERS

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Cocoa Smallholders	2.371	41.037	149.633	256.111
Africa	2.371	37.386	132.960	221.148
Latin America	-	2.881	10.526	19.902
Asia	-	770	6.147	15.061

3.5 • UTZ CERTIFIED COCOA FARMS/ESTATES

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Cocoa Farms/Estates	1	2	4	9
Africa	-	-	1	-
Latin America	1	2	3	8
Asia	-	-	-	1

3.6 • COCOA WORKERS BENEFITTING FROM UTZ CERTIFICATION

Country	2009/2010	2010/2011	2011/2012	2012/2013
Global UTZ Certified Cocoa Workers	162	3.600	6.884	10.539
Africa	132	648	1.994	4.884
Latin America	30	2.053	3.392	3.284
Asia	-	889	1.498	2.371

4.1 • UTZ CERTIFIED TEA VOLUME (MT)

Country	2011/2012	2012/2013
Global UTZ Certified Tea Volume	49.132	65.132
Africa	38.998	48.226
Kenya	26.935	31.641
Malawi	11.073	10.929
Zimbabwe	-	4.577
South Africa	990	1.079
Asia	9.218	15.909
Indonesia	5.972	7.913
India	2.329	6.710
Sri Lanka	889	1.272
Vietnam	28	14
Latin America	916	997
Argentina	728	810
Colombia	188	187

Note: Certified volume is an estimation of production potential

4.2 • UTZ CERTIFIED 1ST BUYER TEA SALES (MT)

UTZ Certified Tea Sales by Origin Country	2011	2012
Global UTZ Certified 1st Buyer Tea Sales	2.939	3.074
Africa	2.229	1.906
Malawi	1.347	1.636
Zimbabwe		134
South Africa	882	112
Kenya		24
Asia	629	909
Indonesia	629	631
India		244
Sri Lanka		34
Latin America	81	259
Argentina	81	259

4.3 • UTZ CERTIFIED TEA AREA (HA)

Country	2011/2012	2012/2013
Global UTZ Certified Tea Area	26.230	36.034
Africa	18.772	25.329
Asia	6.841	10.449
Latin America	618	256

4.4 • UTZ CERTIFIED TEA SMALLHOLDERS

Country	2011/2012	2012/2013
Global UTZ Certified Tea Smallholders	23.450	30.757
Africa	19.864	27.221
Asia	3.569	3.525
Latin America	17	11

4.5 • UTZ CERTIFIED TEA FARMS/ESTATES

Country	2011/2012	2012/2013
Global UTZ Certified Tea Farms/Estates	87	70
Africa	27	26
Asia	13	32
Latin America	47	12

4.6 • TEA WORKERS BENEFITTING FROM UTZ CERTIFICATION

Country	2011/2012	2012/2013
Global UTZ Certified Tea Workers	27.876	45.707
Africa	16.705	20.057
Asia	10.962	25.272
Latin America	209	378



UTZ CERTIFIED IMPACT REPORT

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