

SWBC CERTIFICATION AUDIT REQUIREMENTS - VINEYARD

Last updated: 09 Nov 2020

Audit season
Growing or peak operating season
Should be looked at during growing and off-season
Can be reviewed any season

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
GOAL A: SET A SUSTAINABILITY FOUNDATION						
Outcome - Compliance with law and applicable regulations						
A.1	Essential	Wineries identify all laws, regulations, and requirements that are applicable to their operations, their region and the content of this standard and understand how to comply with them.	Lists of applicable laws Evidence of compliance Law & regulation tracking records	Understanding of what laws and regulations apply Describe how the winery keeps track of permitting and other applicable regulations and requirements it must meet		
A.2	Essential	Wineries' operations are not in violation of national, provincial, or local laws that are relevant to this standard, or any associated administrative rules or requirements as determined by regulatory agencies through an enforcement action.		Recognition of any unmet legal or regulatory requirements	Verification that laws are complied with	Observe operations and winery conditions to verify compliance
Outcome - Commitment to sustainability						
A.3	Essential	Wineries can demonstrate compliance with relevant laws and regulations. Documental evidence is kept for at least five years .	Lists of applicable laws Evidence of compliance Law & regulation tracking records	Understanding of what laws and regulations apply Describe how the winery keeps track of permitting and other applicable regulations and requirements it must meet Recognition of any unmet legal or regulatory requirements	Verification that laws are complied	Observer operations and winery conditions to verify compliance

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A.4	Essential	Wineries source at least 50% of the grapes they process from certified vineyards in order to be certified or maintain their certification.	Confirm that purchase records indicate certified versus non-certified vineyards Wine production records with volume/weight of grapes used indicate certified versus non-certified	Explain purchasing policy Explain how the winery calculates the amount of certified grapes they process	Can explain the process for receiving grapes and how certified versus non-certified grapes are identified and, if applicable, segregated.	
A.5	Essential	Wineries have formally integrated sustainability into the business strategy (e.g., company mission, vision, values), and have included the sustainability commitment/policy in employee orientation and handbook (if applicable); including: a. Description of the winery policies and procedures. b. Description of sustainability policies and goals. c. A physical orientation (tour) to workplace facilities and processes. d. Job descriptions and the applicable health and safety procedures to be followed.	Confirm that employee handbook's contents covers the requirements of this criterion Evidence that employee orientation covers the requirements of this criterion	Comprehension of sustainability commitment and related policies Describe employee orientation process	Verify that the orientation process includes the requirements of this criterion; employee check for learning Verify that employees can readily access the employee handbook	Determine accessibility of the employee handbook
A.6	Essential	Wineries set an annual budget for sustainability continuous improvement actions and environmental stewardship.	Evidence that sustainability actions are identified or are identifiable in the budget and that an annual amount can be readily calculated.	Describe budgeting process and Explain how sustainability activities or improvements are budgeted; examples Demonstrate knowledge of approximate annual budget for sustainability-related activities		

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ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
A.7	Continuous improvement	Wineries develop and implement a continuous training plan for all their staff members that: <ol style="list-style-type: none"> Includes information about sustainability practices, environmental safeguards and requirements for different tasks, functions and areas. Ensure that consumer- and public-facing (frontline) staff correctly understands and can efficiently communicate what it means to be a certified sustainable winery, and how it contributes to resource conservation and efficient management. Includes task-related procedures and instructions, and general and task-related occupational health and safety information. 	Verify that the training plan is documented and complies with this criterion	Describe the continuous training process in general and how it incorporates the requirements of this criterion.	Verify that employees have received initial and refresher or new training that includes the environmental, sustainability, and health & safety issues, policies, and procedures that are part of their work responsibilities. Check employee comprehension of these issues, policies and procedures (check for learning) Frontline employees can communicate the winery's sustainability philosophy/approach and provides example actions	Observe operations and infrastructure to verify that employees and management are implementing the the environmental, sustainability, and health & safety issues, policies, and procedures
A.8	Continuous improvement	Wineries include a section about their sustainability efforts in their company brochures, website, and other promotional materials.	Review current brochures to determine if winery sustainability efforts are described.	Explain plans if absent from current brochure		
A.9	Continuous improvement	Wineries have designated an interdepartmental or cross-functional team that: <ol style="list-style-type: none"> Is comprised of different levels of employees (hierarchical levels) to assist them in driving forward all sustainability initiatives. Takes charge of the communication of goals and progress to other staff members. Meets at least once a year to review all sustainability and environmental stewardship data and information generated by the requirements in this standard. Makes recommendations for environmental management corrective actions and improvements. 	Verification of team's existence & identification of members Evidence of meetings: minutes, logs, other documents Evidence of sustainability and environmental data and info review and respective improvement recommendations	Describe how environmental and sustainability activities are reviewed and improvements and corrective actions generated. Explain environmental and sustainability progress and goals communications process	Verification that management or owners have communicated environmental and sustainability goals and progress towards them; describe examples.	

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A.10	Continuous improvement	Wineries track the costs of specific environmental stewardship and sustainability improvements or actions and determine any related cost savings. Wineries demonstrate that savings are reinvested in these actions and improvements at levels that ensure their long-term implementation.	Evidence that sustainability actions are identified or are identifiable in the budget and that an annual amount can be readily calculated.	Describe budgeting process and Explain how sustainability activities or improvements are budgeted; examples Demonstrated knowledge of approximate annual budget for sustainability-related activities		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
GOAL B: WATER EFFICIENCY AND CONSERVATION						
Outcome - Water quality and efficient use						
B.1	Essential	Wineries identify all water sources used for the winery, including surface and groundwater, and all permanent and seasonal water courses, wetlands, and other aquatic ecosystems and their related protection zones within their properties.	Verify that all water sources are identified. In the case of wells, watercourses, and aquatic ecosystems, the locations are described and/or located on a map or property plan with their respective protection zones	Describe the sources of water used in winery operations, including landscape irrigation.		
B.2	Essential	Wineries implement water pre-treatment mechanisms to ensure all parameters are within the optimal ranges based on the results of water analyses.	Evidence of periodic water analysis Descriptions of any water treatment, including treatment formulas, products, and equipment. Can be from manufacturer	Explain any water treatments used and the reasons for them.		

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B.3	Continuous improvement	<p>Wineries analyze the quality of the water they are using:</p> <p>a. If incoming water is supplied from a managed aqueduct, wineries request the aqueduct operator to provide them with the most recent water quality laboratory analysis results.</p> <p>b. If incoming water is from a well or surface waterbody within the property, wineries test water quality for all the following parameters:</p> <p>Electrical conductivity (EC) pH Sodium adsorption ratio Sodium (to be used in determining sodium adsorption ratio) Magnesium (to be used in determining sodium adsorption ratio) Calcium (to be used in determining sodium adsorption ratio) Biochemical oxygen demand (or total organic carbon, if BOD/TOC ratio can be determined accurately) Total nitrogen (Total N) Total potassium (Total K) Chloride</p>	<p>Evidence of periodic water analysis or the results from the aqueduct operator</p> <p>Determine that analysis carried out comply with the requirements of this criterion</p>	<p>Describe water analyses carried out by the winery and/or provided by the aqueduct operator.</p>		
B.4	Essential	<p>Wineries measure the volume of water use within their facilities, including processing areas, lawns and other landscaping area, administration offices, worker facilities, and consumer and public areas.</p>	<p>Verify that mechanisms are in place to measure water consumption, and that this consumption is recorded</p>	<p>Explain any water measurement equipment used or other mechanisms to calculate water consumption</p> <p>Describe uses that are still not measured</p>		

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ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
B.5	Continuous improvement	<p>Wineries develop and implement a water conservation and use efficiency plan to organize all related objectives and actions. The plan includes:</p> <ul style="list-style-type: none"> a. data about water sources and availability, current use (water use per liter or case of wine produced), and future water need estimations; b. targets and actions for improving efficiency and saving water; c. installation of water saving devices, such as: flow restrictors in faucets and sinks, automatic and motion-sensitive water dispensers and faucets, low-flow toilets (equal or less than 4.85 lpf) and/or dual flush toilets, and/or leak or breakage detection equipment; d. records of water consumption based on regular readings from water measurement devices; e. routine and timely maintenance of the water system, including inspection of hoses, pipes, taps, connections, pumps, and all other equipment; f. procedures for employees to report leaks or water use issues, and for timely follow up and reparation; g. regular analysis of consumption data to detect maintenance or consumption challenges and guide further water efficiency goal and strategies; h. staff responsible for monitoring consumption, recordkeeping, analyzing results, and executing improvement recommendations; and i. internal strategies to communicate and remind their staff members and visitors about the actions they can take to help achieve water efficiency and savings targets, as well as the actions that wineries are taking towards such targets. 	<p>Review water conservation plan and related documents to determine if it complies with the requirements of this criterion.</p> <p>Identification of all water consumption records as well as gaps in recordkeeping</p> <p>Verification of regular water consumption reviews and actions planned to reduce consumption or improve use efficiency</p> <p>Names of staff members or positions responsible for water monitoring</p> <p>Identify any written communications to employees about water conservation measures</p>	<p>Description and Explain water conservation plan, activities, actions, improvements, and challenges faced.</p>	<p>Verify that management has communicated water conservation and efficient use measures as well as targets and results.</p> <p>Verify employee comprehension of these measures and their implementation as part of their responsibilities</p> <p>Employees responsible for monitoring can describe the monitoring processes</p> <p>Employees involved in water consumption analysis and conservation planning can describe their roles, the measures taken, and results</p>	<p>Observations of operations to verify:</p> <ul style="list-style-type: none"> • implementation of water conservation and efficient use measures according to the plan and management and employee explanations • installation of water saving devices • evidence of any wasteful practices due to poor procedure implementation or maintenance issues

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
Outcome - Efficient cleaning processes						
B.6	Essential	Wineries implement measures and mechanisms to save water during the cleaning processes within their facilities, such as: <ul style="list-style-type: none"> installing spring-loaded shut-off nozzles on all cellar hoses; using spray balls or other rotating devices with low-flow recirculated solution to sanitize and rinse tanks; pre-cleaning crush operations, equipment and floors using combinations of brushes, push brooms, and squeegees to prevent grape residues from drying over equipment surfaces before the general wash down; and/or cleaning cellar floors and equipment with high pressure, low volume cleaning devices with spring-loaded shut-off nozzles. 	Evidence of documented processes that comply with the requirements or intent of this criterion.	Describe water saving practices used for cleaning winery equipment and infrastructure. Plans for improvements or equipment upgrades	Verification that winery employees responsible for cleaning equipment and infrastructure can describe the water conservation and efficiency measure used. These same employees should be asked where efficiency can be improved.	Determine if cleaning processes observed align with described procedures and use water saving equipment or techniques. Identify any lapses in procedures or where improvements can be made, if applicable.
B.7	Essential	Wineries implement standard operating procedures (SOPs) for tank and barrel cleaning that maximize water use efficiency.	Evidence of documented procedures that fulfil the requirements of this criterion.	Describe tank and barrel cleaning procedures and how they maximize water conservation	Verification of relevant winery employees understanding and implementation of washing and cleaning procedures	Determine if cleaning processes observed align with described procedures. Identify any lapses in procedures or where improvements can be made, if applicable.
B.8	Essential	Wineries include water efficient equipment cleaning SOPs as part of the continuous training plan (Criterion A.5). Wineries train all relevant staff in how to implement and monitor their equipment cleaning SOPs and ensure that trainings and procedures are translated for those members of staff not fluent in English.	Evidence of documented procedures that fulfil the requirements of this criterion.	Explain how employees are trained in the procedures required by this criterion.	Verification that relevant winery employees have received training in water conservation washing and cleaning procedures. Determine that winery employees understand and implement procedures.	Determine if cleaning processes observed align with described procedures. Identify any lapses in procedures or where improvements can be made, if applicable.

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B.9	Continuous improvement	Wineries use boilers and cooling towers that are sized correctly, efficient, and under a regular maintenance program.	Identify and review boiler and cooling tower specifications and maintenance records. Identify and review the winery maintenance program/schedule to ensure that includes this equipment	Describe equipment, how it was selected, and how its capacity is correct for the size of the winery operation and infrastructure. Describe the equipment maintenance program		
B.10	Continuous improvement	Wineries employ dry cleaning methods to remove sediment on tanks prior to using cleaning water.	Evidence of documented procedures that fulfill the requirements of this criterion.	Explain tank cleaning procedures.		Verify that tank cleaning procedures comply with the requirements of this criterion.
B.11	Continuous improvement	Wineries recycle a portion of tank/barrel wash and/or rinse water for the next wash/rinse cycle or for other cleaning activities	Evidence of documented procedures that fulfill the requirements of this criterion.	Explain tank cleaning procedures.		Verify that tank cleaning procedures comply with the requirements of this criterion.
B.12	Continuous improvement	Wineries use cleaning products that significantly increase water use efficiency for tanks and/or bottling line sanitation; and include a description and the instructions of use of such products in their SOPs	Verify that cleaning SOPs includes descriptions of products that increase water use efficiency and instructions on how to use them. Evidence that the products are on hand: inventories, invoices, product brochures, etc.	Describe tank and bottle cleaning procedures and the products used. Explanation for why those products were chosen for increasing water use efficiency.	Verify that employees are aware of these products, use them, and understand how to use them.	Verify presence of products in the winery. Observe if these products are used during cleaning processes.
B.13	Continuous improvement	Wineries invest in buying barrel cleaning equipment with high pressure and low flow nozzles or retrofit old barrel washers to new nozzles	Check for documents related to the purchase and use of the equipment described in this criterion.	Describe the barrel equipment currently in use.	Verify if employees know if high-pressure and low-flow nozzles are used with barrel cleaning equipment.	Verify presence of this equipment in the winery. Observe if this equipment is used during cleaning processes.

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Outcome - Improvement of outdoor water use efficiency						
B.14	Essential	Wineries implement measures to improve the efficiency of water use outdoors for landscaping, such as: <ul style="list-style-type: none"> • watering during early morning, pre-dawn hours or at night, when evaporation is lowest; • using mulching around plants and trees to retain moisture; and/or • adjust irrigation schedules each season and avoid watering during the rainy season. 	Identify and review any documented procedures or policies regarding water conservation measures for landscape irrigation.	Describe the water conservation measures in place or planned for landscape irrigation that meet the requirements of this criterion.		Verify that irrigation systems are not operating the day when evaporation rates are highest. Observe that landscaping uses mulch and other soil water conservation measures.
B.15	Essential	Wineries regularly inspect all outdoor water distribution systems to: <ol style="list-style-type: none"> a. repair any broken or defective sprinkler heads/nozzles, meters, and water pipes, lines and valves; and b. verify that heads/nozzles are the proper rating/type for that application and are positioned to prevent hardscape areas from being sprayed. 	Determine if there are any procedures that describe these inspection processes. Review inspection logs or records. Review documents that describe irrigation equipment to determine its applicability for use.	Explain how and how often outdoor irrigation systems (landscaping) are inspected and maintenance, reparation, or adjustments take place. Describe irrigation equipment selection.	Determine what employees are responsible for inspecting these system and managing maintenance or repair issues. Verify that inspections take place on a regular basis and issues are detected and addressed in a timely fashion (no undue water wasted)	If irrigation systems are operating, observe that they are applied correctly (towards plants and root zones) and there are no leaks or other maintenance issues.
B.16	Continuous improvement	Wineries conduct a meeting with their landscaping staff/service at least twice a year to: <ol style="list-style-type: none"> a. Discuss measures taken to optimize water use efficiency. b. Make sure they are complying with the requirements of this standard and applicable law and regulations. c. Update their water conservation and use efficiency plan (see Criterion B.5). 	Verification of regular water consumption reviews and actions planned to reduce consumption or improve use efficiency Names of staff members or positions responsible for water monitoring	Description and Explain water conservation plan, activities, actions, improvements, and challenges faced, and the process to review and update all of these.	Identify members of the water conservation committee to verify that water use optimization and conservation procedures, mechanism and goals are reviewed twice per year and landscaping staff or service providers are included in this process.	
B.17	Continuous improvement	Wineries reduce their lawn area or establish drought tolerant and native species to reduce the use of water for irrigation.		Describe efforts or plans to reduce lawn area and integrate drought-tolerate species in landscaped areas.		Verify that drought-tolerate species are part of landscaped areas and that lawn areas are minimized or not irrigated.

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B.18	Continuous improvement	Wineries program their irrigation systems to use shorter, repeated cycles of watering rather than one long soak.		Describe the irrigation schedule and the decisions made to arrive at it.		
B.19	Continuous improvement	Wineries install drip and micro-spray irrigation systems for their outdoor areas	Evidence of the purchase, installation and use of drip and microspray irrigation	Describe the currently installed irrigation system and its water-saving features. Plans for improvements.		Verification that this type of equipment is installed
B.20	Continuous improvement	Wineries have rain gardens, permeable pavement and other landscape features and practices that increase rainwater capture and water infiltration into the soil.	Winery grounds map or plan that indicate these types of areas	Describe the landscape features that meet the requirements of this criterion and where they can be found.		Identification and verification of these features in landscaped areas.
Outcome - Responsible management of wastewater						
B.21	Essential	Wineries demonstrate that wastewater discharges from processing operations, greywater, and sewage and treatment systems follow applicable laws and regulations and are treated to avoid negative effects to environmental and human health.	Identify and review any relevant permits, inspection reports, or other related regulatory information that indicates compliance. Identify locations and capacity of on-site treatment systems. Review any calculations of discharge into municipal or other systems to ensure they do not exceed allowed capacity. Identify and review descriptions of wastewater treatment by winery.	Description and explanation of: <ul style="list-style-type: none"> • The different types of wastewater generated by the winery and the volumes generated • Destination of these wastewaters • On-site wastewater treatment before discharge or in on-site treatment and storage systems. • Any known impacts or other effects of wastewater 		Verify location of any on-site treatment and storage facilities. Identify any possible maintenance or environmental issues such as leakage, abnormal odours, or unauthorized discharge, dilution, or diversion of wastewaters.

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B.22	Essential	<p>Wineries demonstrate that the on-site wastewater treatment system can handle peak flows.</p>	<p>Identify locations and capacity of on-site treatment systems.</p> <p>Review any records of discharge to pre-treatment systems and calculations of on-site treatment and storage systems to ensure they do not exceed allowed capacity.</p>	<p>Description and explanation of:</p> <ul style="list-style-type: none"> The different types of wastewater treated and/or stored on-site and their volumes, especially during peak operational periods Capacities of on-site treatment and storage facilities On-site wastewater treatment before discharge or in on-site treatment and storage systems. Any known issues with on-site capacity and treatment. 	<p>Determine if employees are aware of any issues with onsite water treatment, especially during peak periods, such as overflow or backwash, excess abnormal odours, need for emergency removal, or similar.</p>	<p>Verify location of any on-site treatment and storage facilities. Identify any possible maintenance or environmental issues such as leakage, abnormal odours, or unauthorized discharge, dilution, or diversion of wastewaters.</p>
B.23	Continuous improvement	<p>Wineries have written procedures and have assigned personnel responsible for all inspection, maintenance, cleaning, and repair activities conducted on their wastewater treatment systems. This includes:</p> <ol style="list-style-type: none"> wastewater sumps and pump controls, interceptors, and or traps inspected at least monthly and cleaned at least annually or as needed; and inspect septic systems at least once every year and remove sludge as needed. <p>Wineries keep records of all inspection and maintenance activities conducted in their wastewater treatment systems.</p>	<p>Identify and review all related procedures and inspection and maintenance records to ensure that they cover the requirements of this criterion.</p> <p>Identify personnel responsible for these activities.</p>	<p>Explain all procedures related to wastewater system inspection, maintenance, cleaning and repairs.</p> <p>Identify personnel responsible for these activities.</p> <p>Describe challenges faced related to this topic.</p>	<p>Determine with personnel responsible for these activities:</p> <ul style="list-style-type: none"> Their knowledge of the related procedures Actions taken in the event of discovered issues Records kept of related activities Known issues with the treatment systems 	<p>Identify any possible wastewater system maintenance issues such as leakage, abnormal odours, sludge buildup, or other indications that documented procedures are not being implemented.</p>
B.24	Continuous improvement	<p>Wineries take actions to ensure that the stormwater management system is not connected to the sanitary or septic systems. Stormwater is never mixed with wastewater.</p>	<p>From any plans, if available, determine the layouts of the stormwater and wastewater management systems and possible connection points.</p>	<p>Describe the stormwater management system and the routing and destination of waters that flow into it.</p> <p>Explain any connection of stormwater and wastewater systems and plans to separate them.</p>		<p>Where possible, observe for possible connections between the two systems.</p>

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B.25	Continuous improvement	Wineries protect stormwater drains from contamination by installing catch-basin inserts or drain covers, storing materials, especially hazardous substances, in installations protected from flooding and the elements and away from storm drains, and keep waste containers indoors, if possible, as well as any other measures and mechanisms prevent the introduction of materials, liquids, or other substances into the stormwater drainage system.	From any plans, if available, identify the location of stormwater drains.	Explain implemented procedures and safeguards or installed structures or devices that prevent the contamination of stormwater by wastes produced by or substances used or stored in the winery.	Determine employee knowledge of any leakage of waste, wastewater, or materials/substances stored in the winery into the stormwater management system.	Inspect stormwater drains and similar system entry points, particularly in liquid, chemical, or waste storage areas, to ensure these points are protected against contamination.
B.26	Continuous improvement	Wineries design, document and implement a wastewater spill emergency plan.	Identify and review the wastewater spill emergency plan.	Explain the procedures to manage wastewater spills of different sizes.	Determine if employees are aware of any spills; description of how these are managed.	
B.27	Continuous improvement	Wineries install BOD and coliform controls or other wastewater treatment controls to improve operating efficiency.	Identify any documents that describe this equipment if it is installed. Review records related to the data generated by this equipment to ensure operation.	Describe this equipment and its use. Describe how the data generated is used to guide wastewater treatment decisions.	Verify that personnel responsible for wastewater treatment procedures understand how to use this equipment and how the data is used in deciding about treatment (if within their scope of work)	

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GOAL C: ENERGY EFFICIENCY AND MANAGEMENT						
Outcome - Energy use baselines and efficiency improvement						
C.1	Essential	Wineries calculate and establish an energy consumption baseline. The baseline includes information about both electricity and fuel consumption (heating oil, diesel and gas for vehicles) for all functional areas or operations.	Identify and review any documents that calculate or describe baseline energy (electricity, natural gas, heating oil, and fuel) for recent operations.	Describe the winery's baseline energy consumption and how it was calculated.		
C.2	Continuous improvement	Wineries review their energy consumption bills year over year to identify any unexpected increases and analyse potential opportunities to improve efficiency.	Identify and review any documents related to energy consumption reviews, analysis, and efficiency improvement decisions.	Explain energy consumption reviews, how decisions are made, and what recent improvement actions have been taken.		
C.3	Continuous improvement	Wineries design and implement an energy efficiency plan that includes: a. targets to improve energy efficiency; b. regular staff check-ins to discuss opportunities for improvement and receive feedback on the progress towards the established targets; and c. analysis of energy uses within the wineries' facilities using the data described in Criteria C.1 and C.2. as well as information from annual energy efficiency assessments when performed (C.5).	Identify and review the energy efficiency plan and related documents to determine if their contents meet the requirements of this criterion.	Describe the winery's energy efficiency plan, its contents, periodic reviews, and communication processes with employees about improvement opportunities and to receive suggestions and other feedback. Descriptions of related challenges to energy efficiency.	Verify with employees the communication of energy efficiency efforts and improvements and that they have an opportunity to provide suggestions and feedback in these areas.	
C.4	Continuous improvement	Wineries conduct an annual energy efficiency assessment that: a. includes the analysis of energy use in processing areas, administration offices, tasting rooms and outdoors; and b. identifies opportunities for improving energy efficiency.	Identify and review evidence of annual energy assessments that cover the contents of this criterion.	Explain how energy use is evaluated, how often, and what parts of the winery it covers.		

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C.5	Continuous improvement	If their facilities have a PV solar array, wineries: <ol style="list-style-type: none"> program automated reports on system status and energy generation; and establish a system for regular inspection of the system to verify its correct operation and energy generation statistics with a focus on detecting possible inverter failures. 	If a solar PV array is installed: <ul style="list-style-type: none"> Determine if there are reports on its status and the energy it generates Determine that there are procedures that cover inspection and maintenance that meet the requirements of this criterion 	Explain the electricity generated by any solar array, how this is calculated or reported, and how the system is maintained at optimal operating efficiency.		
Outcome - Management of lighting and winery equipment for energy efficiency						
C.6	Essential	Wineries schedule and complete maintenance activities (and keep written records of them) for: <ol style="list-style-type: none"> vehicles and other machinery running on fuel; refrigeration systems, at least twice a year; air compressors and air lines, at least once a year; and heating, ventilation and air conditioning systems (HVAC), at least twice a year, including: <ol style="list-style-type: none"> cleaning or replacing filters on heating and air-conditioning units; cleaning air-conditioning condenser coils; and maintaining proper function of economizers on air-conditioning units. 	Identify and review all documents and records related to the equipment and systems indicated in this criterion and verify that the requirements of this criterion are met.	Explain the inspection and maintenance schedule and processes for the equipment and systems described in this criterion. Description on the records kept for these activities. Identify employees responsible for managing these processes and/or actually inspecting and maintaining this equipment and these systems.	Verify that those responsible for the inspection and maintenance of the indicated equipment and systems... <ul style="list-style-type: none"> Have knowledge of what needs to be inspected/maintained and the schedules for doing so Keep the necessary records. 	
C.7	Essential	Wineries conduct routine inspections for glycol temperature settings and ensure they are reset after cold stabilization.	Identify and review any related procedures to ensure compliance with this criterion. Identify and review any related inspection temperature resetting records.	Describe how these inspections are carried out and the temperatures reset after cold stabilization. Identify personnel responsible for this process.	Verify that the personnel responsible for this process understands how to inspect and reset temperature settings.	

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C.8	Continuous improvement	Wineries install electronic thermostats to set and schedule temperatures within their facilities.	Review any evidence of the purchase and installation of this equipment. Identify plans for future acquisition and installation if this is done over a period of time. Review procedures to set and schedule temperature settings in the winery.	Verification if thermostats are installed and where, and Describe how temperatures are managed.		Verify that electronic thermostats are installed.
C.9	Continuous improvement	Wineries ensure that heating and cooling set points are set 2°C to 3°C apart so that the air conditioner does not cycle (turn on and off) frequently.	Identify and review any related procedures to ensure compliance with this criterion.	Describe how temperatures are managed.		
C.10	Continuous improvement	During heating season, wineries heat their facilities to a maximum of 21°C when occupied and 16°C when unoccupied, during winter (heating season). During the rest of the year, they keep their facilities (except barrel halls and warehouses) cooled no lower than 24°C when occupied, and not cooled when unoccupied (unless for morning pre-cooling).	Identify and review any related procedures to ensure compliance with this criterion.	Describe how temperatures are managed and the set points.		
C.11	Continuous improvement	Wineries use night-time air cooling for cellars.		Explain how air cooling takes place, if applicable.		
C.12	Continuous improvement	Wineries have written procedures to ensure that hot water temperatures are kept to the minimums necessary to carry out their tasks correctly.	Identify and review any related procedures to ensure compliance with this criterion.	Explain temperature settings for hot water.		If hot water thermostats or temperatures are accessible, then review settings and any timing devices.
C.13	Continuous improvement	Wineries replace light bulbs with energy efficient alternatives such as LED, compact fluorescent, and similar types.	Review any evidence of the purchase and installation of this equipment. Identify plans for future acquisition and installation if this is done over a period of time.	Describe efforts to replace incandescent or similar lighting with energy efficient alternatives. If this is a gradual process, Explain plans and timeline for doing so.		Verify that energy efficient lighting is installed, if possible.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
C.14	Continuous improvement	Wineries transition all 400 W metal halides and/or high-pressure sodium lighting to LED or other energy efficient alternative	Review any evidence of the purchase and installation of this equipment. Identify plans for future acquisition and installation if this is done over a period of time.	Describe efforts to replace halide and/or sodium lighting or similar lighting with energy efficient alternatives. If this is a gradual process, Explain plans and timeline for doing so.		Verify that energy efficient lighting is installed, if possible.
C.15	Continuous improvement	Wineries transition to LED exit signs throughout their facilities; and installing occupancy sensors in their bathrooms.	Review any evidence of the purchase and installation of this equipment. Identify plans for future acquisition and installation if this is done over a period of time.	Describe efforts to exit lighting with LED alternatives. If this is a gradual process, Explain plans and timeline for doing so.		Verify that energy efficient lighting is installed, if possible.
C.16	Continuous improvement	Wineries install timers and/or photocells to control outdoor lights.	Review any evidence of the purchase and installation of this equipment. Identify plans for future acquisition and installation if this is done over a period of time.	Describe efforts to install timers and photocells for outdoor lighting. If this is a gradual process, Explain plans and timeline for doing so.		Verify that photocells and timers are installed, if possible.
C.17	Continuous improvement	Wineries ensure that all purchases of new machinery and equipment, including office and processing lines, are certified energy efficient models, if available in the market; and documentation shows that purchasing requires energy efficiency to be considered.	Review any evidence of the purchase and installation of this equipment. Identify plans for future acquisition and installation if this is done over a period of time.	Explain purchasing or planned purchase decisions with respect to energy efficient models. For planned purchases, Describe timeline and goals.		Observe if recently purchased equipment corresponds to documented evidence and if it still has any certified energy efficient labels or similar identifiers.
C.18	Continuous improvement	Wineries ensure their existing equipment efficiency by: a. evaluating glycol lines to ensure that all of them are insulated and the correct length and size; b. having the glycol tank insulated; and c. having the hot water lines insulated.	Identify and review any documents that verify that actions have been taken to meet the requirements of this criterion.	Describe measures taken to install the described insulation on glycol lines and tanks, and hot water system. If this is gradual process, a Describe the timeline and goals.		Verification of installed insulation.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
C.19	Continuous improvement	Wineries train their staff members on: a. implementation of practices to reduce energy consumption within the wineries' facilities; b. correct use and maintenance of energy-efficient equipment; and c. monitoring and evaluation of energy efficiency performance.	Review training program content and participation records to verify that these topics have been part of employee training and that current employees have been trained.	Describe employee training on energy conservation and efficiency. Identify employees responsible for monitoring and evaluation of energy efficiency.	Verification that employees have been trained on energy conservation; check for learning and comprehension. Employees responsible for monitoring and evaluation can explain their responsibilities and the data they capture.	
C.20	Continuous improvement	Wineries install an air curtain or plastic barrier between cooled areas and loading areas to conserve indoor hot/cold air.				Verify that the curtain or barrier is installed and in good condition.
C.21	Continuous improvement	Wineries use variable instead of constant air volume systems.	Identify and review any documents that will confirm that variable air volume systems are used.	Explain how air volumes are controlled.		
C.22	Continuous improvement	Wineries convert cellar evaporator fans to electrically commutated motors.	Review any purchase and manufacturing documents that confirm that fans have been converted or EC fans installed.	Confirmation of EC fan purchase and installation or Describe conversion process timeline and goals.		Verify the installation or conversion to EC, if possible.
C.23	Continuous improvement	Outside of winter, wineries ensure that at least 85% of outdoor tanks are insulated, prioritizing those used for cold stabilization with R value documented		Describe efforts to insulate any outside tanks, or of plans and timeline to do so.		Verify the status of outside tank insulation, if applicable.
C.24	Continuous improvement	Wineries recapture waste heat from other processes to serve heating or cooling needs.	Identify and review any documentation related to installation or operation of waste heat capture systems.	Describe waste heat capture efforts and the systems installed to do it. Describe plans, goals, and timeline to install any heat capture system.		Confirm the installation of waste heat capture systems if applicable and possible.
C.25	Continuous improvement	Wineries implement an energy management software for the refrigeration system for cellar cooling, tank cooling, and evaporative condenser/cooling tower operation; and program regularly checks for set points, seasonal timing, and modes (to ensure they run on "Auto," and not "Bypass.")		Explain energy management software and its functions. Demonstration of software functions related to this criterion's requirements.	Employees responsible for using and managing the software can explain its functions and the settings described in this criterion.	View software demonstration (monitor/console) and that the settings cover the features described in this criterion.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
C.26	Continuous improvement	Wineries use high-efficiency hot water heaters/boilers at their facilities, such as tankless water heaters and solar water heaters.	Identify and review related purchase and installation/operation documents to confirm that his equipment is in use.	Describe equipment currently installed and in use or plans for future installation.		Verify equipment installation and use.
C.27	Continuous improvement	Wineries flush hot water tanks by strictly following the manufacturer instructions to maintain their equipment's efficiency.	Review any manufacturer's instructions and winery procedures and records related to this criterion.	Explain hot water tank flushing procedures and frequencies.	Verify that employees responsible for this process can describe the procedure and it coincides with documented procedures and/or manufacturer's recommendations.	

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
GOAL D: RESPONSIBLE WASTE MANAGEMENT						
Outcome - Reduced waste generation						
D.1	Essential	Wineries reduce the amount of paper they use, by implementing actions such as: <ul style="list-style-type: none"> establishing double-sided printing and reduced document margins as the standard practice, if printing is needed; encouraging digital documents for all in-house uses, including the documentation requirements of this standard; using electronic billing methods to invoice customers and receive payments; and/or signing up for electronic banking and e-statements . 	Identify and review any documentation-- memos, training materials, policies, etc.--that describes and communicates the actions needed to reduce paper use.	Describe actions taken to reduce paper use and how these have been communicated to employees.	Relevant employees confirm that they take measures to reduce paper use as described by owners or management.	
D.2	Essential	Wineries eliminate the use of bottled water for staff and customers, and instead provide water fountains or coolers with reusable or compostable glasses and cups.	Identify and review any documentation-- memos, training materials, policies, purchase orders or invoices, etc.--that describes and communicates the actions needed to comply with this criterion.	Describe actions taken to reduce plastics use and waste in customer and staff areas.	Verify with employees the elimination of plastic water bottles for customer use.	Verify that water is no longer served to customers in plastic bottles.
D.3	Essential	Wineries eliminate single-use plastics within their hospitality facilities, including plastic bags for customers, plastic straws, and disposable plastic tableware, substituting with recyclable or compostable alternatives if necessary.	Identify and review any documentation-- memos, training materials, policies, purchase orders or invoices, etc.--that describes and communicates the actions needed to comply with this criterion.	Describe actions taken to reduce plastics use and waste in customer areas.	Verify with employees the elimination of single use plastics in hospitality and dining areas.	Verify that single-use plastics are no longer used in dining and hospitality areas. Confirm that any disposable utensils and plates are biodegradable.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
D.4	Continuous improvement	If plastic bags are used for collection and storage of recyclables, wineries use clear bags to assist in sorting and reused them whenever possible.	Identify and review any documentation-- memos, training materials, policies, purchase orders or invoices, etc.--that describes and communicates the actions needed to comply with this criterion.	Describe actions taken to reduce plastics use and waste in winery operations.	employees confirm that only clear plastic bags are used for holding recyclable materials and these are reused when possible.	Observe that recyclable materials are collected and/or stored in transparent plastic bags when these materials are not stored in bins.
D.5	Continuous improvement	Wineries ensure that new barrels are re-used as much as possible either within the winery or through sale to another facility or for other uses.	Identify and review any documentation that will permit verification of use and reuse/sale of wine barrels, including for other purposes	Explain barrel life cycle and any on-site reuse or off-site sales or destinations for other uses.		
D.6	Continuous improvement	Wineries eliminate the use of Styrofoam (extruded polystyrene foam) within their facilities and replace Styrofoam used for shipping with compostable or recyclable alternatives, or both.	Identify and review any documentation-- memos, training materials, policies, purchase orders or invoices, etc.--that describes and communicates the actions needed to comply with this criterion.	Describe actions taken to eliminate styrofoam in winery operations and any plans for gradual phase out of its use. Explain existing uses that are difficult to substitute or eliminate		Observe if and where styrofoam is still being used and if this coincide with owner/management explanations.
D.7	Continuous improvement	Wineries use refillable containers for sugar, salt, pepper and other condiments in their facilities to eliminate individual packets.		Describe actions taken to eliminate use of salt, pepper, and sugar packets, and any obstacles to doing this.		Determine if salt, pepper, and sugar are served in refillable containers or individual packets.
D.8	Continuous improvement	Wineries collect lees and contact local vendors to pick them up for reuse, and prevent that they go straight to drain	Verify through documentation that lees are collected and removed from the winery, and what percentage is removed.	Descriptions of the destinations of lees and what percentages are collected and taken off-site for other uses. Explain challenges for the removal of lees.		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
D.9	Continuous improvement	Wineries design and develop a waste management plan that: <ol style="list-style-type: none"> identifies and quantifies the different types of waste generated within their facilities; identifies the applicable laws and regulations regarding each specific type of waste; defines specific management actions for each type of waste, including actions for collection, classification, and disposal, and the composting of organic processing residues, landscape trimmings, and food waste when possible; designates specific areas on site for collecting, separating, storing, and composting waste, as applicable; define specific procedures and emergency plans for spill containment and cleanup processes; identifies haulers and recyclers that are qualified and authorized by authorities to handle waste and include activities to verify that waste handlers are not dumping waste illegally; defines periodic waste reduction and diversion goals and communicates progress to staff to encourage further actions and receive feedback; includes periodic internal audits to assess waste management activities, keep track of progress towards defined goals, and adjust the plan accordingly. 	Identify and review the waste management plan, or collection of documents that together comprise a waste management plan, and related documentation to verify that its contents meets the requirements of this criterion. Identify and review the results of internal waste management assessments and adjustments made to the plan. Identify the locations on-site for on site for collecting, separating, storing, and composting waste Review any related procedures for waste management and the disposal of waste through service providers, including the results of disposal verification.	Explain the waste management processes in the winery and the development and contents of a waste management plan. Describe how the plan is reviewed, the frequency of reviews, and how the results (provide examples) are used to modify waste management activities. Describe recent accomplishments in reducing waste volumes, increasing reuse and recycling, or in achieving other waste management goals.	Confirm with employees that waste management goals and practices have been communicated, and that achievements are communicated on a regular basis. Verify that employees, particularly those with important waste management responsibilities, are adhering to established waste management policies and procedures.	Observe operations and infrastructure for signs that waste management policies and procedures established in the plan are adhered to and there is no evidence of poor handling or storage of generated waste.
Outcome - Waste management plan						
D.10	Essential	Wineries keep waste container areas protected from water and other elements to prevent contamination and leachate runoff.				Inspect waste storage and container areas to verify that they are protected and do not contaminate soils, groundwater, or stormwaters.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
D.11	Essential	Wineries store safely all unwanted, unused, and expired hazardous waste and substances according to the recommendations on their label or material safety data sheets (MSDS) until they can dispose of them safely or return them to the supplier.	Identify hazardous materials and review their MSDS to determine proper storage.			Inspect hazardous waste and substances stored for eventual disposal or return to verify that they are stored according to the safeguards on their respective MSDS
D.12	Essential	Wineries ensure that all hazardous waste is: a. stored in a secure manner with controlled access; b. stored within containment structures in the case of liquid wastes, with nearby access to spill contention and clean up equipment; c. stored separately to minimize hazards. For example, corrosives are not stored near flammable wastes; d. not stored near water bodies and open drains, or on bare ground; e. handled in compliance with all federal, provincial and local regulations; and f. either collected or taken to a designated facility, for recycling or correct final disposal.	Identify hazardous materials and review their MSDS to determine proper storage. Review site plans for the location of hazardous waste storage areas. Review policies, procedures, inventories, and other related documents to determine that hazardous waste management complies with the requirements of this criterion.	Description of: • Hazardous waste storage facilities and their location • -Procedures for handling these materials • Spill management procedures and cleanup equipment • Final destinations for these waste materials and the service providers that remove & transport them, if any Awareness and understanding of applicable regulations and legislation and how the winery complies with these	Verify with employees involved in managing or handling hazardous waste: • Do they have access to the MSDS? • Do they understand and follow the established procedures for handling, storage, and spill cleanup?	Inspect storage areas/facilities to verify that they meet all of the requirements of this criterion.
D.13	Essential	Wineries assign staff responsible for conducting annual evaluations of the waste management plan and updating it according to the findings of such evaluations.	Review related documentation to identify staff or positions that are responsible for annual waste management plan reviews and updates Identify any records of periodic reviews to determine that they are carried out at least once per year	Explain the annual waste management plan review process and name the employees responsible for it.	Confirm with the named employees that they carry out the evaluation and verify the frequency of reviews and how they carry them out. Determine with these employees recent evaluation results and plan updates or actions taken.	

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
D.14	Continuous improvement	Wineries inspect waste containers on a regular basis to contain and repair any possible leaks or spills, prevent littering, and avoid the presence of disease vectors and other pests.	Identify and review any policies, procedures, or reports or logs related to the inspection of waste containers.			Observe the condition of waste containers encountered during the audit to determine that they are in good condition and comply with this criterion's requirements.
D.15	Continuous improvement	Wineries install recycling bins for cardboard, paper, plastic, and metal recycling in the areas where these wastes are generated.				Verify the installation or placement of separate recycling bins for different types of waste materials in the areas where these wastes are generated.
D.16	Continuous improvement	Wineries post signs to indicate which materials can and cannot be disposed of in the recycling bins				Verify that signs are posted to indicate what materials must be placed or not places in the recycling bins or receptacles (Criterion D.15)
D.17	Continuous improvement	Wineries train their staff to ensure that separation of materials is done correctly (see Criterion A.7.).	To be determined based on criterion final edit	To be determined based on criterion final edit	To be determined based on criterion final edit	Inspect recycling areas and bins to verify that separation is done correctly and materials are not mixed.
D.18	Continuous improvement	Wineries work with the local waste management company, waste handlers, and buyers of recyclable materials to maximize waste diversion.	Identify and review any documents that confirm that the winery is working with local haulers, recyclers, and other service providers to accept different wastes. Review any waste inventories or calculations of wastes diverted through these services.	Explain efforts and processes to divert wastes to different processors, recyclers, or other services. Estimation of the proportion of wastes that is diverted to these services and recent trends. Describe challenges to waste diversion.		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
D.19	Continuous improvement	Wineries install recycling bins in all customer and staff areas next to the regular trash bins.				Verify the installation or placement of separate recycling bins next to waste receptacles in customer and staff areas and that these have signs (see Criterion D.16)
D.20	Continuous improvement	Wineries separate all capsules and ensure that all aluminium capsules are recycled.	Identify and review any documentation that provides evidence that capsules are separated and recycled.	Describe aluminium capsule separation and recycling efforts.		Determine if capsules are present in the appropriate recycling bins, if applicable and possible.
D.21	Essential	Wineries conduct an annual waste audit to create a waste diversion plan.	Identify documents that provide evidence of an annual waste audit and the creation of a waste diversion plan. (See criterion D.9)	Explain if there is a regular winery waste audit, how it is carried out and how often. Describe the results of the last audit and how they were used to update or modify the waste management plan. Verify whether or not a waste diversion plan exists and how the waste audit provided information for that plan.	Verify with the employees that carry out the annual waste management plan evaluation whether or not it includes a waste audit and that the results are incorporated or used in the management plan and waste diversion plan.	
D.22	Continuous improvement	Wineries use the results of their annual waste audit progressively reduce their waste diversion rate, excluding pomace .	Evaluate the results of waste audits and waste calculations to determine if there are trends towards reduction.	Explain how waste audits contribute to decisions that lead to waste reduction, Describe waste reduction achievements and any trends in winery waste reduction, including diversion rates.		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
D.23	Continuous improvement	Wineries design and implement a written sustainable purchasing policy that: <ol style="list-style-type: none"> a. prioritizes products associated with waste that represents the biggest shares of total waste generation; b. establishes criteria for selecting products and suppliers based on waste management and reduction goals and the possibility of reducing incoming sources of waste, such as packing materials, or increasing the possibilities of waste diversion, such as through supplier recycling, potential reuse, or the possibility of biodegradable materials; c. includes the review of product and supplier selection criteria at least annually and provides for adjustments to better achieve waste reduction goals; d. includes training activities for staff members working in procurement (see Criterion A.5); and e. is communicated to all staff members and suppliers. 	Review winery purchasing policies to determine if they comply with the requirements of this criterion.	Explain winery purchasing policy or policies and processes and how these incorporate any of the sustainability actions described in this criterion. Describe challenges to sustainable purchasing processes.		
Outcome - Sustainable purchasing process						
D.24	Essential	Wineries purchase and use paper and cardboard containing at least 30% of post-consumer waste. This includes, but is not limited to: <ol style="list-style-type: none"> a. copy and printer paper; b. janitorial and sanitary products; and c. disposable bags and boxes for wine sales in tasting rooms. 	Review paper and cardboard purchase and descriptive documents to determine if these materials contain at least 30% post-consumer waste.	Explain winery efforts to only use paper products that meet the requirements of this criterion. Describe challenges to obtaining these materials.		Whenever accessible, inspect paper products in storage areas to verify that they meet the post-consumer content requirements of this criterion.
D.25	Continuous improvement	Wineries only buy barrels made of wood that is sustainably harvested from a verifiable source.	Barrel purchase and descriptive documents to determine if they are made of wood from sustainable sources (FSC or similar)			Inspect barrels to determine if they are marked or otherwise labelled to be from a certified sustainable source.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
D.26	Continuous improvement	Wineries reduce their waste footprint by implementing measures such as : <ul style="list-style-type: none"> • working with local businesses and sourcing local products when possible; • purchasing cardboard made with at least 50% post-consumer waste recycled content; • purchasing pulp shippers made with minimum 50% post-consumer recycled content; • purchasing office and copier paper with 50-100% post-consumer waste; • using refilled or remanufactured laser and copier toner cartridges; • purchasing business cards with minimum 50% post-consumer waste recycled content; and/or • providing a customer e-card in shipments sharing recycled content and the environmental benefits of shipping materials. 	Review the waste management plan to identify goals established to reduce the winery's waste footprint. Review purchasing policy, purchase documents (invoices, shipping and content invoices, etc.) and product descriptions and brochures to determine if the target products at least meet the requirements of this criterion and the goals of the waste management plan.	Explain winery efforts to reduce its waste footprint for the products and materials indicated in this criterion, as well as for other products and materials: <ul style="list-style-type: none"> • Reduction goals set and met • Future reduction goals and timeline • Minimum product criteria, such as more than 50% post-consumer waste • Challenges to meeting goals 		
D.27	Continuous improvement	Wineries ask their suppliers to reduce their use of cardboard and plastic or allow the return of packaging material for re-use, or both [with the intent to have industry cooperation with suppliers].	Evidence of communication with suppliers on the requirements of this criterion	Describe communications with suppliers and the results		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
GOAL E. CLIMATE ACTION						
Outcome - Reduced GHG emissions						
E.1	Essential	Wineries take actions for the conservation and restoration of local natural carbon sinks such as forests, riparian lands; peatlands, and grasslands .	Review any documents related to conservation efforts such as plans, programs, policies, winery maps or plans, or similar to identify natural carbon sinks and actions to restore or conserve them.	Describe winery actions or efforts to restore or conserve any natural ecosystems that serve as carbon sinks as well as plans and timelines to do so.		Observe on winery property any natural ecosystems and their condition, and any evidence of restoration or conservation efforts.
E.2	Essential	Wineries do not burn any waste nor construction debris [this does not include vineyard or landscaping debris].	Identify and review any documents that establish policies or procedures that verify compliance with this criterion.	Explain management of wood waste and the permitting or prohibition of burning.		Observe if evidence exists of burning on the property.
E.3	Continuous improvement	Wineries calculate their total CO2 equivalent GHG emissions and set goals to reduce or compensate them, or both.	Review any documents that describe goals set to reduce or compensate CO2 equivalent greenhouse gas emissions, methodologies for emission calculations, and calculations of emissions over time. Determine if reduction and compensation actions effectively offset emission and meet established goals.	Explain how the winery calculates GHG emissions and the amounts emitted (CO2 equivalent) since calculations started (at least the last three years). Describe goals set, performance against the goals, and efforts and challenges to achieving goals.		
E.4	Continuous improvement	Wineries manage their providers and give preference to local inputs and suppliers that ensure backhauling and full loads, whenever possible, to optimize conveyance and reduce oil consumption.	Identify and review any documents that establish policies or procedures that verify compliance with this criterion.	Describe efforts to work with local suppliers and transportation services to meet the requirements of this criterion.		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
E.5	Continuous improvement	Wineries increase their reliance on clean-renewable sources of electric energy to at least 80% of their total energy consumption, either by producing the energy themselves or by buying clean-power.	Review documentation that provides evidence of electric energy sources, and the amounts used from each, to determine if the winery meets the requirements of this criterion. (See criteria C.4 and C.5 for additional information.)	Explain electric energy sources and understanding of which of these are clean or renewable energy sources. Describe plans to increase clean/renewable energy sources.		See criterion C.5 for additional information.
E.6	Continuous improvement	Wineries have a no-idle policy to minimize wasted fuel and related emissions, and signs are posted where delivery trucks park.	Identify and review any documents that establish policies or procedures that verify compliance with this criterion.	Describe winery policies and procedures in this regard, and how these requirements are communicated to workers.	If possible, verify the implementation of these policies and procedures with employees that use fuel-driven vehicles such as propane gas forklifts and winery vehicles, and with employees responsible for receiving deliveries.	If possible... Verify that signs are posted in delivery areas and that policies are enforced if delivery trucks are present. Observe the use of winery vehicles to determine the implementation of no-idle policies.
E.7	Continuous improvement	Wineries encourage fuel-saving initiatives, when feasible, including: a.Reducing car and plane trips by using videoconferencing or other forms of meeting software. b.Encouraging employees to use public transportation by providing them with schedules, maps, general information, and incentives such as flexible work times to accommodate transportation schedules. c.Providing bicycle parking areas and shower rooms. d.Offering incentives for carpooling. e.Allowing remote work.	Identify and review any documents that establish policies or procedures that verify compliance with this criterion.	Describe winery policies and procedures in this regard, and how these requirements are communicated to workers.		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
Outcome - Safe and reduced use of hazardous substances						
E.8	Essential	Wineries design and implement pest control practices for both indoor and outdoor areas. For those cases where a pest control service is contracted, wineries specify in their contracts that: a. use of IPM is mandatory, including non-chemical pest prevention with no perimeter spraying; and b. suppliers are expected to provide documentation to support all the pest control actions taken by the contractor on a yearly basis.	Identify and review policies, procedures, information from pest control services, pest control and pesticide application records, or other related information that confirm an integrated approach to pest control and management in the winery and compliance with this criterion.	Explain the winery's approach to pest control and management. Describe pest management and control services used.	Verify with employees if possible that the winery does not use chemicals on a regular basis as a pest prevention measure.	Identify pest control devices and determine that these are in good condition and inspected on a regular basis. Observe that no spraying is taking place around the perimeter.
E.9	Essential	Wineries ensure that all handling of hazardous substances complies with all federal, provincial, and local regulations.	Identify and review: <ul style="list-style-type: none"> • Existing inventories of hazardous substances • MSDS for substances stored or used in the winery • Policies, procedures, and use or application records. Verify that the substance handling is correct for the types of substances used and handling complies with applicable laws and regulations.	Describe the hazardous substances stored and used in the winery and the safeguards employed in their use and management. Identify employees that manage, handle, or use these substances.	Verify that employees that manage, handle, or use hazardous substances implement the safeguards and good practices described in winery policies and procedures, the MSDS for the substances, and any applicable laws and regulations.	Observe if these substances are being used during the audit and verify that employees implement the safeguards and good practices described in winery policies and procedures, the MSDS for the substances, and any applicable laws and regulations.
E.10	Essential	Wineries have a complete inventory of each hazardous substance present in their facilities, including: a. name and active ingredient. b. intended use. c. dates, place, volumes, and rates of applications. d. material safety data sheets (MSDS). e. disposal methods.	Review inventories of substances used in the winery to verify that their content includes the information required by this criterion.			

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
E.11	Essential	Wineries store hazardous substances in a locked facility with restricted access.	Determine if documents describe or identify the employees that have access to these facilities.		Identify the employees that have access to hazardous substance storage areas and determine the practices and safeguards they employee to control access.	Inspect areas/facilities where hazardous substances are stored to ensure that access is restricted and these areas are secured.
E.12	Essential	Wineries have written procedures for spill containment and cleanup included in their emergency response protocols. These procedures are available in the areas where hazardous substances are handled and to staff in charge of handling them.	Identify and review procedures on spill containment and cleanup. Verify that they are part of emergency response protocols. See also criterion D.12.	Describe how the winery handles hazardous substance spills and cleanup. Identify employees responsible for this process. See also criterion D.12.	Identify the employees that are responsible for hazardous material (waste and substances) handling and spill contention and clean up and... <ul style="list-style-type: none"> • Determine the procedures used for contention and cleanup. • Verify that these procedures comply with winery procedures and/or related best practices and regulations. 	Inspect areas/facilities where hazardous substances are stored and mixed to ensure that spill contention measures are in place and that spill contention and cleanup procedures and equipment are available.
E.13	Continuous improvement	Wineries only use low-toxic chemical products in non-aerosol containers such as Green Seal certified (greenseal.org), Safer Choice (epa.gov/safer choice), or those with a Good Guide rating of 8.1 or higher (goodguide.com). (NG). These include chemicals used for cleaning, pest control, and maintenance of landscaped areas.	Identify and review purchase policies that address these products, purchase records, product descriptions, inventories, and any other documents that confirm compliance with the requirements of this criterion.	Explain product choice decisions and purchasing policies for these types of products. Describe purchasing goals and challenges faced in achieving them.		If accessed during the audit, verify in storage areas the presence of the products described in this criterion as well as other products that do not meet the criterion's requirements.
E.14	Continuous improvement	Wineries do not use products with added anti-bacterial agents such as triclosan. These include but are not limited to products for dishwashing, hand washing, and equipment cleaning.	Identify and review purchase policies that address these products, purchase records, product descriptions, inventories, and any other documents that confirm compliance with the requirements of this criterion.	Explain product choice decisions and purchasing policies for these types of products. Describe purchasing goals and challenges faced in achieving them.		If accessed during the audit, verify in storage areas the presence of the products described in this criterion as well as other products that do not meet the criterion's requirements.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
E.15	Continuous improvement	Wineries conduct training activities for those members of staff handling hazardous substances. Training is included in the Continuous Training Plan (see Criterion A-6 A.7) and covers the following topics: a. the winery policies on purchasing and use of hazardous substances; b. the Workplace Hazardous Materials Information System (WHMIS); c. the winery procedures for spill containment, cleanup, and their emergency response protocol; and d. recordkeeping.	Review the continuous training plan (criterion A.7) to verify that it contains content that meets the requirements of this criterion. Identify and review training records to confirm that employees that handle hazardous substances have received this training (at least annually).		Employees that handle hazardous substances... • Confirm that they have received training on the topics contained in this criterion at least annually. • Demonstrate comprehension of the applicable policies and procedures and can explain how they are implemented (check for learning).	
E.16	Continuous improvement	Wineries use one or a few low-toxicity multipurpose cleaners, rather than many special-purpose cleaners.	Identify and review purchase policies that address these products, purchase records, product descriptions, inventories, and any other documents that confirm compliance with the requirements of this criterion.	See criterion E.13		If accessed during the audit, verify in storage areas the presence of the products described in this criterion as well as other products that do not meet the criterion's requirements.
E.17	Continuous improvement	Wineries use unbleached or chlorine-free paper products, or both, for example copy paper, paper towels, napkins, and coffee filters.	Identify and review purchase policies that address these products, purchase records, product descriptions, inventories, and any other documents that confirm compliance with the requirements of this criterion.	See criterion E.13		
E.18	Continuous improvement	Wineries print promotional materials with non-toxic vegetable or other low-VOC inks.	Review printed materials and purchase orders and/or printer specifications to determine if the materials comply with the requirements of this criterion.	Describe efforts to have materials printed to meet the requirements of this standard, and any challenges faced.		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
Outcome - Preparation for disasters and extreme weather events						
E.19	Continuous improvement	According to their emergency response protocols, wineries train staff on emergency responses to possible disasters and extreme weather events that can harm their staff members, their facilities and their surroundings.	Review the continuous training plan (criterion A.7) to verify that it contains content that meets the requirements of this criterion for likely emergencies. Identify and review training records to confirm that employee have received this training..	Describe approach to emergency response, the development of the plan, and the frequency and content of emergency response training for workers.	Interviewed workers confirm that they have received training on how to respond to common emergencies, and can describe the actions they must take in this situations (check on learning)	
E.20	Continuous improvement	Wineries ensure that stormwater management systems promote infiltration, minimize impervious surfaces, and use crushed gravel or other porous material instead of asphalt or concrete for driveways and parking areas.	Review winery property and infrastructure plans or maps to identify where these materials and structures are located.	Describe efforts to incorporate materials and structures to promote stormwater infiltration into the soil; indicate locations of these materials and structures. See also B.20.		Verify the existence of these materials and structures. Identify additional areas for possible
E.21	Continuous improvement	Wineries establish vegetated buffer strips between existing waterways such as streams and ponds and their facilities.	Review winery property and infrastructure plans or maps to identify the location of waterways and aquatic ecosystems.	Describe efforts to establish and maintain vegetated buffer strips next to waterways and aquatic ecosystems.		Inspect waterways and aquatic ecosystem borders to verify the existence of buffer strips.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
GOAL F: SOCIAL EQUITY						
Outcome - Employee training						
F.1	Essential	<p>Wineries create a written employee handbook and guarantee that all employees have free access to it. It must include at least the following elements:</p> <ol style="list-style-type: none"> company mission, vision, and values, including the commitment to sustainability and sustainable practices; job descriptions and company standards and regulations; training and development policies; employee evaluation processes, grievance policy, and disciplinary actions; harassment and discrimination policies; policies and processes for communicating concerns and suggestions about workplace or working conditions; salary, benefits and incentives; health and safety policies and practices; and a handbook review and update schedule. <p>The handbook is part of employee orientation content (see Criterion A-4 A.5?)</p>	<p>Review the employee handbook or the collection of documents that comprise it to verify that its contents meets the requirements of this criterion.</p> <p>Review employee orientation records and content (checklist) to determine if the content of the handbook was covered in the new employee orientation.</p>	<p>Describe the general contents of the employee handbook and how employees can freely access the handbook for information.</p> <p>Explain the employee orientation process and the role of the handbook and its contents in the process.</p>	<p>Verify that:</p> <ul style="list-style-type: none"> Employees received orientation training. Employees can explain or answer questions about the content to demonstrate comprehension. The employee manual is accessible to employees to find information about their jobs, requirements, benefits, and winery policies. 	<p>If a physical copy of the handbook is made available to employees, verify that it can be found where it is supposed to be found, that it is the most current copy, and that employees can access it without feeling unduly scrutinized or watched by management.</p>
F.2	Essential	<p>Wineries develop and implement and train personnel in an emergency response protocol that includes:</p> <ol style="list-style-type: none"> written procedures to address emergency situations within the winery facilities; information about handling of hazardous substances (see Criteria E.12 and E.15); and preparedness for disasters and extreme weather events (see Criterion E.19). 	<p>Identify and review documentation to verify that there is an emergency response protocol that complies with the requirements of this criterion and those of criteria E.12 and E.19.</p>	<p>Describe approach to emergency response, the development of the plan, and the frequency and content of emergency response training for workers. See also criteria E.12 and E.19</p>	<p>Interviewed workers confirm that they have received training on how to respond to common emergencies, and can describe the actions they must take in this situations (check on learning) See also criteria E.12, E.15 and E.19</p>	<p>Verify that any physical features of emergency response--equipment, signs, lighting, and similar--are found where they are supposed to be located according to the protocol and they are in good working condition.</p>

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.3	Essential	Wineries assign an annual budget line item to fund their Continual Training Plan, dollarized or in-kind (see Criterion A.6 and A.7)	Determine if the Continual Training Plan has a budget and that it coincides with any budget line item. If the plan does not contain a budget, the cost of training can be identified in the winery budget.	Explain how training costs are calculated and budgeted. Indication of the current training budget and where that information can be found.		
F.4	Essential	Wineries implement a system to encourage employees to submit suggestions or concerns about workplace conditions, such as safety conditions, job training, employee development opportunities, business performance, and operational efficiencies, without fear of retributions or negative repercussions.	Identify and review policies, procedures or other documents that describe how employees can submit suggestions or raise concerns, and how these are handled. Review any records of employee suggestions or submittals and what were the outcomes or decisions made about them.	Describe employee suggestion or concern submittal and review processes. Explain how decisions are made about employee concerns or suggestions, with examples of outcomes. Explain safeguards to protect employees and avoid fear of retributions or negative repercussions.	Verify that employees: <ul style="list-style-type: none"> • understand how they can submit suggestions or concerns to winery management • are able to follow up on submissions to determine the outcomes • Feel that they can engage in these processes without fear of retributions or negative outcomes. 	Observe the location of any suggestion boxes, notebooks or similar media for receiving suggestions and concerns and verify that these are freely accessible and in places that would not reveal the identity of workers using them.
F.5	Essential	Wineries make trade journals, industry newsletters and other learning and knowledge resources available to the management team and employees.	Identify and review information that indicates the technical publications and other resources received by the winery.	Describe resources made available to the management team and employees. Management and supervisory staff confirm that they have access to these resources. Determine the location of these resources and how employees can access them.	Confirmation that interested employees have access to these resources.	Check the indicated locations to determine if these resources are available and relevant.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.6	Continuous improvement	Wineries encourage employees to attend training seminars or other educational programs, and the company pays for the training costs or allows employees paid time off from work to attend, or both, in accordance with the continuous training plan (Criterion A.6).	Identify and review documented evidence-- confirmations, invoices, expense reports, and similar-- of courses, seminars, or similar educational programs or events that the winery paid for employees to attend.	Describe the winery's approach to employee technical education and efforts to sponsor employees, including an estimate of costs and recent examples with the names of the employees involved.	Identify the employees indicated by management to verify that they attended training and their time and/or costs were covered by the winery.	
F.7	Continuous improvement	Wineries require their management team to regularly attend regional and provincial meetings, seminars, and symposiums that are related to sustainability, winemaking, or any other topic related to vineyard practices, goals, and objectives and that benefits and improves their work.	Identify and review documented evidence-- confirmations, invoices, expense reports, and similar-- of the management team attending events described in this criterion.	Describe events related to the content of this criterion that winery management attended and the expected and achieved outcomes and benefits for the winery. Confirm with the management team that they have attended events related to the contents of this criterion.		
F.8	Continuous improvement	Wineries implement at least one formal recognition program for employees, outside contractors and/or suppliers, and have some recognitions related to sustainability.	Identify and review documents that describe a formal employee recognition program and how sustainability is included. Identify documents that confirm that the program is ongoing and employees have been recognized.	Explain any employee recognition program, how employees are chosen and recognized, and the role of sustainability topics in the program.	Identify recognized employees according to the program records and confirm with them that they were formally recognized and what that recognition was.	Observe if there are any indications-- photos, posted memos, or similar-- that indicates the nature of recognition programs and recently recognized employees.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.9	Continuous improvement	Wineries organize field trips for their staff members at least twice a year, to learn about environmental stewardship and overall sustainability.		Describe any efforts for employees to learn about sustainability and environmental stewardship through winery-organized field trips. Describe the frequency of trips and recent destinations. Identify employees that benefited from these trips.	Identify the employees that participated in the field trips to determine... <ul style="list-style-type: none"> • What they saw and learned related to environmental stewardship and sustainability • The frequency of trips • Any costs involved 	
F.10	Continuous improvement	Wineries have a current membership in the local growers' associations and the management team attends their meetings and participates in their events	Determine from documentation the winery's current membership in local associations and the employees that are involved in its activities and meetings.	Identify the relevant associations or organizations in which the winery is a current member and of those employees that liaison or participate in their meetings, committees, and similar.	Employees identified as participants in or liaisons to these organizations can confirm their roles and describe the type of interaction they have.	

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
Outcome - Workers health and Safety						
F.11	Essential	Wineries develop and implement a health and safety program that: <ul style="list-style-type: none"> a. is developed according to industry standard resources and is based on a risk analysis of production activities and tasks; b. includes all the requirements of applicable law and regulations; c. is adjusted to the operations size and type. 	Identify and review the winery's health and safety program (manual or collection of documents) to verify that: <ul style="list-style-type: none"> • It is based on risk analyses of winery activities, operations and tasks • It addresses the salient points of relevant laws and regulations • The risk analysis and resultant procedures, safeguards, required training, and practices cover the scope and depth of winery operations ("adjusted to size and type") 	Description of: <ul style="list-style-type: none"> • how the plan was developed and who was responsible • the health and safety program contents • the use of risk analyses to develop the program and its contents, as well as job descriptions and infrastructure and equipment safeguards • how plan contents are used to develop employee training and job descriptions • challenges to plan implementation. Identify the employees responsible for overseeing the implementation of the health and safety program in the winery.	Verify that employees responsible for overseeing the implementation of the health and safety program can describe its contents, how it is implemented, and their responsibilities.	
F.12	Essential	Wineries place warning signs for potential hazards throughout their facilities, and make sure that the signs are in a language that is understood by workers and visitors.				Verify the placement or absence of warning signs in hazardous or potentially hazardous areas in the winery, and that they are in languages understood by employees.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.13	Essential	<p>Wineries provide personal protection equipment (PPE) free of charge to workers according to the identified health and safety risks for the tasks. Workers are trained in the proper use of PPE and are required to use it while carrying out task with identified risks. Employees that handle hazardous substances and chemicals:</p> <p>a. receive, at no cost, personal protective equipment (EPP) as indicated by the label of the substances applied or handled or the material safety data sheet (MSDS), whichever is stricter; and</p> <p>b. have access to facilities to bathe and change their clothes after finishing working with these substances and before leaving the workplace at the end of the workday.</p>	<p>Identify review documented evidence-- policies, procedures, records, inventories--that confirm that...</p> <ul style="list-style-type: none"> the winery provides PPE at no cost to workers according to the identified risks and hazards of the the activity, the equipment being used, or the substances being handled the PPE meets the requirements specified on substance MSDS or equipment safety precaution documentation Workers that handle hazardous substances are required to change clothes and bathe after finishing those activities and before leaving the workplace Employees are trained in proper PPE use. 	<p>Explain winery policy and procedures on:</p> <ul style="list-style-type: none"> Providing workers with PPE according to the job activity, equipment used, or substance handled, and how the correct equipment is determined Requiring the use of PPE and the repercussions for the employee of not using it Employee training on PPE use before they start the job or task that requires it Requiring that employees that handle hazardous substances do not use street clothes for these activities, and change out of work clothes, bathe, and into street clothes before leaving work. 	<p>Identify employees involved in activities that require PPE to verify with them:</p> <ul style="list-style-type: none"> they receive the PPE from the winery for free the PPE is in good condition and meets the requirements of the task, the equipment used, or the substances handled they have been trained in the use of PPE they understand winery policy on required use and the repercussions they face if they do not use the required PPE Confirm that employees that handle hazardous substances: <ul style="list-style-type: none"> remove street clothing and change into clothing specifically for that activity before leaving work, they bathe on the premises and change back into street clothes, leaving behind they clothes they used while handling hazardous substances. 	<p>Observe winery operations to verify that the required PPE is used correctly for the activities indicated in job descriptions or the health and safety plan.</p> <p>Verify that there are changing and bathing facilities for workers that handle hazardous substances and that changing areas are separate from other similar areas available to employees.</p>

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.14	Continuous improvement	The management team conducts employee health and safety meetings at least once a month, and record attendance and document all the issues discussed, and actions agreed. Employees should be able to express concerns about working and safety conditions without fear of repercussions.	Verify that records are kept of health and safety meetings and that these occur monthly. Review meeting minutes, notes or records to determine if worker concerns or reported conditions were addressed. Identify members of the committee or attendees.	Describe winery health and safety meetings, how they work, frequency, and how reported concerns or issues are reviewed and resolved. Identify health and safety committee members, if applicable.	If there is a formal health and safety committee, verify with members that monthly meetings take place, issues are reviewed and addressed. Describe examples of issues resolved. If there is no formal committee, verify these same elements with recent meeting attendees.	Choose one or two examples of physical conditions issues reviewed and addressed and verify in the winery if the changes were made.
F.15	Continuous improvement	Wineries have a planned and documented schedule for maintaining all equipment, machinery, and infrastructure.	Identify and review documents that are evidence of a formal equipment and infrastructure maintenance plan and schedule. Identify employees responsible for or that signed off on scheduled maintenance.	Explain the winery's approach to scheduled equipment and infrastructure maintenance.	Verify with employees that are responsible for or signed off on scheduled maintenance: <ul style="list-style-type: none"> • Their understanding of the maintenance plan, with examples of scheduled maintenance. • Their perception if the maintenance plan is adhered to. 	Observe winery machinery, infrastructure, and equipment for evidence of reparation issues or other conditions indicative of routine maintenance lapses or challenges.
Outcome - Workers salaries and benefits						
F.16	Essential	Wineries ensure that all salaries are at or above the market value for the region according to each type of job and position. Under no circumstance, workers' salaries will be lower than the established minimum wage for the region.	Identify and review documents that provide evidence of: <ul style="list-style-type: none"> • Regional salary studies or some benchmark of regional salaries • Employees receive salaries at or above regional market value for that position, or at least minimum wage. • Communications with employees about their salaries and how they were established 	Explain the winery's approach and efforts to determine wages based on regional benchmarks or averages and pay at these or at least above legal minimum wage. Describe challenges to paying above minimum wages or at regional rates (market values).	Interviewed employees confirm that: <ul style="list-style-type: none"> • They understand that their wages are above the legal minimum, if applicable • They are aware of regional wage rates for similar positions or work, and are satisfied that their salaries are comparable. 	

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.17	Continuous improvement	Wineries offer additional benefits to their employees and document such benefits. Additional benefits may include but are not limited to private or supplementary medical insurance, transportation, wine allowance, additional vacation or personal leave, and dental care.	Identify and review documents that are evidence of the benefits offered to employees.	Describe available and offered employee benefits that are above the minimum required by law. Explain how these benefits were developed or decided by the winery and if they are accessible to all or only some employees.	Verify that employees can describe the benefits they receive or have access to and that they understand that these are above the minimum required by law.	
F.18	Continuous improvement	Wineries offer family support services to all their employees. Examples of family support services include but are not limited to the following [at the discretion of the employer]: <ul style="list-style-type: none"> flexible work schedules; housing opportunities, referral information, and resources; community resources information; childcare or childcare referral program; nutrition, health and wellness resources and/or referrals; employer participation in groups dedicated to increasing housing opportunities; and/or employer involvement in improving access to housing, health care, and childcare programs. 	Review documents to determine of family support services, as described in this criterion, are made available to employees. Identify employees that use or have used these services.	Describe family support services offered to employees and the number of employees that have used them.	Verify with employees that they know of the services available through the winery and how to access them. Confirm with employees identified as having used these services that they were able to do so and that the services provided benefits without undue costs or access issues.	
Outcome - Neighbours and community						
F.19	Continuous improvement	Wineries track data about the costs of sustainability actions related to this standard, and any perceived additional income or cost reduction. Wineries use this information as part of their annual management system review to decide on continued or new actions and improvements and adjust the management system and related policies and procedures accordingly.				

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.20	Continuous improvement	<p>Wineries have a long-term plan that encompasses the key issues for their future. This plan is periodically reviewed based on the operations' financial, sustainability, and production information. The plan should include or consider, among other issues:</p> <ul style="list-style-type: none"> • future production, sales, and income scenarios and goals; • ideas and plans for winery expansion; • infrastructure and equipment improvements and needs; • a long-term staffing and recruiting strategy based on projected staff needs; • a succession plan for renewing or new leadership, or renewing ownership on smaller properties; and/or • possible resource-economic, human, and natural resources-constraints and ways to address them, including future sustainability actions and improvements. 				
Outcome - Neighbours and community						
F.21	Essential	<p>Wineries actively engage with neighbours and local communities, inform them about their operations and about the sustainable practices implemented, and identify and document relevant concerns about their operations.</p>	<p>Identify and review documents--policies, procedures, records, and copies of communications--to verify that wineries engage with neighbours and local communities on a regular basis to inform them about operations and sustainable practices, and to identify any relevant concerns.</p>	<p>Explain processes and efforts to contact and communicate with neighbours and local communities about winery operations, sustainability management, and to identify and address concerns.</p> <p>Describe examples of concerns identified and how they were addressed.</p>	<p>Determine if employees have knowledge and can provide examples of winery outreach to or communications with neighbours or local communities about winery operations and sustainability.</p> <p>Determine if employees have knowledge of and can describe any issues with neighbours, or if these have raised any concerns, and how the winery addressed these.</p>	

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.22	Essential	Wineries implement a procedure for making information regarding upcoming changes in relevant operations available to neighbours, community members, and other relevant stakeholders in a consistent and timely fashion.	Identify and review any procedure, records, or other documents related to winery communication processes. Review copies of recent communications or records related to this criterion.	Explain processes and efforts to contact and communicate with neighbours and local communities about winery operations that could have impacts on these stakeholders. Describe examples of concerns identified and how they were addressed.	Determine if employees have knowledge and can provide examples of winery outreach to or communications with neighbours or local communities about winery operations and possible impacts. Determine if employees have knowledge of and can describe any issues with neighbours, or if these have raised any concerns, and how the winery addressed these.	
F.23	Essential	Wineries manage work place conditions to avoid noise and visual pollution of their surroundings.		Describe efforts and actions to avoid, reduce or mitigate noise and visual pollution.	Verify if workers know of and can describe any efforts or actions the winery has taken to address the possible impacts of visual and noise pollution.	Observe if there is evidence of noise levels or possible lighting types and positions that may disturb neighbours. Confirm that described efforts and actions have been implemented.
F.24	Continuous improvement	Wineries have a written procedure to follow up on complaints made by neighbours and local communities. Winery workers understand how to receive any of these complaints or concerns.	Identify and review any procedure, records, or other documents related to winery complaint management processes.	Explain how complaints are managed, followed up, and resolved. Identify employees that are empowered to receive complaints and, if applicable, act on them.	Verify if workers know of and can describe how to receive or redirect complaints and the process for submitting these to management. Verify that workers empowered to receive and act on complaints understand the complaint manage processes and how to implement them.	

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
F.25	Continuous improvement	Wineries analyse the ways that light, noise, fumes, and traffic from operations may impact neighbours and implement mitigation measures.	Identify and review any documents that would confirm that the winery analysed operations and identified any possible local impacts of light, noise, fumes and traffic the winery causes or generated. Review any implementation measures decided on and implemented, or plans for implementation. See light and noise pollution management, criterion F.23.	Explain how the winery analysed its operations to identify any of the impacts described in this criterion and how it decided on mitigation or reduction measures. Describe the measures taken thus far, their results, and measured planned for the future.	Determine if employees are aware of the impacts related to this criterion and any measures the winery has taken to avoid, reduce or mitigate them.	Verify if described mitigation or reduction measures are in place or have been implemented. Identify other potential impacts related to this criterion that have not been addressed.
F.26	Continuous improvement	Wineries seek opportunities to host events at their facilities to showcase their operations and best practices and build better relationships with local people.		Describe events that the winery has hosted to which neighbours and local residents were invited. Describe how the operations were showcased to the invitees and the results.		
F.27	Continuous improvement	Wineries reduce light pollution by minimizing site lighting and incorporating in winery design technologies such as DARK SKY approved lighting, downward facing directional lighting, low-angle spotlights, and low reflectance surfaces.	See criterion F.25. Identify and review documents, such as purchase orders, invoices, and equipment documentation and specification, that verify that these methods are employed.	Explain if the winery uses any of these technologies to reduce light pollution.		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
GOAL G: ECO-EFFICIENT AND SUSTAINABLE INFRASTRUCTURE						
Outcome - Eco-efficient and sustainable infrastructure						
G.1	Essential	Wineries ensure that the design and construction of new infrastructure, or renovation of existing infrastructure over \$250k, needs to meet the applicable BC Energy Step Code and the Canadian Green Building Council LEED Gold (or equivalent) Standards.	Evaluate documents to determine if the winery has renovated existing infrastructure or built new infrastructure at a cost of over C\$250,000. If this is the case, then evaluate documents to verify if the winery has met the applicable standards indicated in this criterion.	Describe any renovations or new construction that cost more than C\$250,000 and efforts made to meet the standards and codes described in this criterion. Describe whether or not certification or other recognition was achieved.		
G.2	Continuous improvement	Wineries increase the quantity and type of insulation to reduce heat gain and or loss. This includes [but is not limited to]: a. using of high-grade insulation materials to insulate buildings and other equipment like tanks (particularly any outdoors), glycol tank, glycol and hot water piping; and b. placing sections of the buildings underground and barrel storage areas in areas where walls can be in direct contact with the soil to diminish the need for cooling; and c. blocking sunlight from building surfaces by planting trees along south and west faces of the winery.	Identify and review any designs, plans, purchase documents, or other related documents that verify that measures have been taken in compliance with this criterion. Identify from this documentation where in the winery these improvements were implemented.	Describe actions and efforts to reduce unwanted heat gain or loss from winery infrastructure related to the examples described in this criterion. Describe where these actions and improvements have been implemented in the winery.		Inspect the areas and improvements described by management to verify that they meet the concepts of this criterion.
G.3	Continuous improvement	Wineries implement a mechanism to keep track and records of total water and energy consumption.	Identify and review evidence such as monitoring procedures, use records, use analyses, of winery monitoring/tracking energy and water use	Explain how the winery tracks water and energy use, and how this information is used in sustainability planning.		

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
G.4	Continuous improvement	Wineries utilize recycled, reused, residual and/or other low or zero emission materials for building their new/renovated facilities. Low or zero emission materials include [but are not limited to]: certified wood, low-VOC latex paints and formaldehyde-free carpet glue.	Evaluate documents to determine if the winery has renovated existing infrastructure or built new infrastructure. If this is the case, identify and review documents--purchase orders, invoices, product descriptions and instructions, architect or builder instructions or terms of reference-- that verify that the described materials were used.	Describe the related materials used in recent construction or renovation as well as any challenges or issues in obtaining or using them. Provide commercial names of the products, if possible.		
G.5	Continuous improvement	Wineries increase daylight levels within their facilities by orienting their buildings to maximize daylight, and designing and placing additional windows, skylights or clerestories, or any other method to increase the natural lighting of buildings. These mechanisms ensure to avoid direct light into tanks and barrels.		Explain winery efforts to incorporate/maximize natural lighting in its buildings, future plans to do this, and any related challenges.		Observe if winery buildings and other applicable infrastructure maximize the use of daylight by incorporating the features described in this criterion.
G.6	Continuous improvement	Wineries increase natural ventilation within their facilities by implementing mechanisms that allow both the entry of natural ventilation and the evacuation of CO2.		Describe how the winery has increased or plans to increase natural ventilation and evacuation of CO2. Indicate where these features can be found.		Inspect indicated areas to verify the use of natural ventilation mechanisms or techniques.
G.7	Continuous improvement	Wineries prepare and implement a plan to manage stormwater to promote infiltration, minimize impervious surfaces and identify rainwater harvesting opportunities.	See criterion E.20. There is documented evidence of a stormwater management plan that incorporates the use of the features described in this criterion.	See criterion B.20 and E.20. Describe plans to incorporate materials and structures to promote stormwater infiltration into the soil; indicate locations of these materials and structures if they have been installed.		Inspect identified areas to verify that these materials and features are being used.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
G.8	Continuous improvement	Wineries incorporate renewable energy sources within building design and renovation plans, including sources for geo-thermal, solar and wind power.	Identify and review any designs, plans, purchase documents, or other related documents that verify that measures have been taken in compliance with this criterion. Identify from this documentation where in the winery these improvements were implemented.	Describe actions, plans, and efforts to incorporate renewable energy sources in recent or future building designs.		If there has been recent renovation or construction, verify where these features have been incorporated.
G.9	Continuous improvement	Wineries implement gravity flow water distribution systems if feasible.		Describe the winery water distribution system and where it employs gravity flow distribution.		Identify any infrastructure associated with gravity distribution of water to verify that it has been employed.
G.10	Continuous improvement	Wineries include a wastewater pre-treatment system prior to discharge to the municipal system in the building and site design.	Identify and evaluate any documents that describe the design and/or operation of any wastewater pre-treatment system for wastewater that is later discharged into a municipal system.	If wastewater is discharged to a municipal or similar public system, explain if any pre-treatment is done and describe that system and where it is located. Indicate the employees responsible for managing and monitoring system operations.	Determine with the employees responsible for managing and monitoring the pre-treatment system: <ul style="list-style-type: none"> • That they understand the standard operating procedures for their related activities • When should wastewater be discharged (parameters) and if there are occasions when these parameters cannot be met (why?) • Their perceptions of the performance and functioning of the system and if it has the capacity to meet pre-treatment parameters or goals before discharge 	Inspect the pre-treatment system and surrounding area to determine if there is any sign of overflows, lack of main, abnormal odours, sludge build-up, or any other evidence of improper functioning or maintenance.

Audit evidence: what auditors want, will look at, or ask for

ID	Type	Criteria	Docs	Interviews: Owner - management - responsible employee*	Interviews: Employees / field employees / employees assigned to process	Eyes
G.11	Continuous improvement	Wineries define specific goals for recycled content materials, regional materials, rapidly renewable materials, FSC-certified wood, and salvaged materials use; and monitor the progress towards such goals.	Identify and evaluate any documents that describe goals for the types of contents and materials described in this criterion and records of monitoring performance towards these goals.	Describe actions and efforts to obtain and use the types of materials described in this criterion and how progress is monitored. Describe goals achieved and plans towards future goals.		