



SUMMARY OF PREREQUISITE PRACTICES AND PROGRAM REQUIREMENTS

Certified California Sustainable Winegrowing (CERTIFIED SUSTAINABLE) encompasses annual third-party verification of a winery and/or vineyard's self-assessment scores, meeting a minimum score threshold, achieving prerequisite practices, use of Integrated Pest Management and low risk crop protection materials, measurement and tracking of metrics for water, energy, nitrogen and GHGs, and demonstration of continuous improvement. First year requirements include self-assessment, meeting prerequisite practices, and identifying and prioritizing action plans for improvement. Additional requirements must be met by the second year of certification and beyond, including achieving Year Two prerequisite scores; exceeding an overall score threshold of 85% of scores being Category 2 or higher (on a 1-4 scale); complying with restrictions on crop protection materials as required by CSWA's Red and Yellow Lists; measuring and recording sustainability performance metrics; and prioritizing, developing and implementing action plans to continuously improve. **Year Two Requirements** must be met to be eligible for the CERTIFIED SUSTAINABLE wine logo and certification claims on the wine label bottle (refer to the Certification Guidebook for other wine logo requirements, including information on the chain of custody audit). Participants interested in using logo/claims on the wine label may choose to meet Year Two Requirements in their first year of certification.

Table 1 below provides a summary of the **certification prerequisite practices** for CERTIFIED SUSTAINABLE. The Vineyard and/or Winery column indicates if a criterion is for vineyards, wineries or both. The certification prerequisite practices are noted in the Prerequisite Level column, which identifies the category requirement for that practice (e.g, must be Category 2 or higher to obtain certification; Action Plan required if Category 1 & Category 2 or higher in subsequent years; Action Plan required if Category 1, but no timeline to move to Category 2 or higher, etc. Some criteria state there is a required Category 2 with an Action Plan to achieve Category 3 or higher by year two and in subsequent years of certification). Table 2 below provides a summary of **requirements for Year One and Year Two** of certification and includes examples of specific evidence that can be used during a third-party audit to demonstrate compliance with all certification program requirements.

You can check to see if you meet certification prerequisite practices in the Code Workbook by running the **Certification Audit Checklist Report** in the SWP Online System. Refer to the How-to Guide for step-by-step instructions on how to run the report, which is located on the bottom left of the Home Page when you log into the SWP Online System. Check the columns of the report titled "Meet Prereq?" and "Evidence Requirements" to see if you need any additional action plans or supporting documentation for completing the certification requirements (see Section 9 of the Certification Guidebook "Key to Evidence Types" examples). You can also view other important information pertaining to the audit, including which criteria are high audit priorities and which questions you are allowed to score non-applicable (see the "Mandatory column" of the report to confirm which criteria are not mandatory to complete and can be scored "Not Applicable". If an N/A score is allowed, an explanation is required depending on the criteria). The "Audit Priority" column shows how likely the criteria are to be covered during a third-party audit. Note that all of the high audit

priority criteria will be checked at every audit, the medium audit priority will likely be checked, and the low audit priority criteria might be audited differently each audit year.

Table 1: Summary of Code Workbook Prerequisite Practices Requirements

Criteria Number	Criteria Title	Vineyard and/or Winery	Prerequisite Level	Minimum Category Score By Year 1	Minimum Category Score By Year 2 and Beyond
2-1	Integrating Sustainability into Business Strategy	Vineyard & Winery	Action plan required if Category 1 or 2; Category 3 or higher for subsequent years	1 or 2	3
2-2	Environmental Compliance Planning	Vineyard & Winery	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
3-12	Addressing Biological Problems	Vineyard	Action plan required if Category 1; Category 2 or higher in next year with planting	1	2 in next planting year
3-16	Scion/Cultivar	Vineyard	Must be Category 2 or higher	2	2
3-18	Conservation of Habitat for Wildlife and Pest Predators	Vineyard	Action plan required if Category 1; Category 2 or higher in next year with planting	1	2 in next planting year
4-3	Nutrient Management	Vineyard	Category 2 or higher in first year; Category 3 or higher in subsequent years	2	3
4-4	Nitrogen Management	Vineyard	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
4-5	Fertigation	Vineyard	Action plan required if Category 1 or Category 2; Category 3 or higher in subsequent years	1 or 2	3
4-10	Surface Water Diversions for Erodible Sites	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
4-11	Management of Erosion from Roads, Ditches, and Culverts	Vineyard	Must be Category 2 or higher	2	2
5-1	Water Management Strategy	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
5-2	Monitoring and Amending Quality of Irrigation Water	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
5-3	Off-Site Water Movement	Vineyard	Action plan required if Category 1 or Category 2; Category 3 or higher in subsequent years	1 or 2	3

5-5	Distribution Uniformity for Irrigation Systems	Vineyard	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
5-6	Filters and Lines	Vineyard	Must be Category 2 or higher	2	2
5-7	Water Budget	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
5-8	Measuring Water Use	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
5-9	Soil Water-Infiltration Rates and Water-Holding Capacity	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
5-10	Soil Moisture and Plant Water Status Monitoring Methods	Vineyard	Action plan required if Category 1 or 2; Category 3 or higher for subsequent years	1 or 2	3
6-1	Vineyard Monitoring for Insect and Mite Pests	Vineyard	Must be Category 2 or higher in first year; Cat 3 or higher in subsequent years	2	3
6-2	Training for Insect and Mite Monitoring	Vineyard	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
6-3	Economic Thresholds and Pest-Natural Enemy Ratios for Leafhoppers, Mites, and Thrips	Vineyard	Must be Category 2 or higher	2	2
6-4	Minimizing Risks from Insecticides and Miticides	Vineyard	Category 2 or higher in first year; Category 3 or higher in subsequent years	2	3
6-5	Cultural Practices for Insect and Mite Management	Vineyard	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
6-7	Use of Weather Data and Degree-Days for Managing Moth Pests	Vineyard	Must be Category 2 or higher	2	2
6-8	Portion of Vineyard Treated for Mites or Leafhoppers	Vineyard	Must be Category 2 or higher	2	2
6-9	Mealybug Management (vine, grape, obscure, and long-tailed)	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
6-11	Vineyard Monitoring for Disease	Vineyard	Must be Category 2 or higher in first year; Category 3 or higher in subsequent years	2	3
6-13	Minimizing Risks from Fungicides for Powdery Mildew and Botrytis Control	Vineyard	Category 2 or higher in first year; Category 3 or higher in subsequent years	2	3
6-15	Bunch Rot Management	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2

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6-16	Pierce's Disease (PD) Management where Blue-Green Sharpshooter is the Primary Vector	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
6-17	Vineyard Monitoring for Weeds	Vineyard	Must be Category 2 or higher in first year; Cat 3 or higher in subsequent years	2	3
6-20	Herbicide Leaching Potential	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
6-22	Vineyard Monitoring for Vertebrate Pests	Vineyard	Must be Category 2 or higher in first year; Cat 3 or higher in subsequent years	2	3
6-23	Vertebrate Pest Management	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
6-26	Sprayer Calibration and Maintenance	Vineyard	Category 2 or higher in first year; Category 3 or higher in subsequent years	2	3
6-27	Spray Coverage	Vineyard	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
6-28	Spray Buffer Zone	Vineyard	Category 2 or higher in first year; Category 3 or higher in subsequent years	2	3
6-34	Using Lower Risk Crop Protection Materials	Vineyard	Category 2 or higher in first year; Category 3 or higher in subsequent years	2	3
7-3	Juice Chemistry	Vineyard	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
7-8	Planning, Monitoring, Goals, and Results for Food Safety	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
7-9	Planning, Monitoring, Goals, and Results for Security	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
8-1	Ecosystem Processes – Resource Base Ecosystem Biodiversity	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
8-2	Watershed Management – Watershed Awareness	Vineyard & Winery	Category 2 or higher in first year; Category 3 or higher in subsequent years	2	3
8-4	Ecosystem Management – Riparian Habitat	Vineyard & Winery	Action plan required if Category 1; No timeline to move to Category 2 or higher	Action Plan if 1	Action Plan if 1
8-5	Ecosystem Management – Aquatic Habitats: Streams, Rivers, and Wetlands	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
8-8	Sensitive Species	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2

8-9	Sensitive Species and Collaboration with Partners	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
9-1	Planning, Monitoring, Goals, and Results	Vineyard & Winery	<u>Vineyards</u> : Action Plan required if Category 1; Category 2 or higher for subsequent years <u>Wineries</u> : Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
9-3	Vineyard Pump Efficiency	Vineyard	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
9-4	Winery Motors, Drives, and Pumps	Winery	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
10-1	Water Conservation Planning, Monitoring, Goals, and Results	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
10-2	Source Water Quality Planning, Monitoring, Goals, and Results	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
10-3	Water Supply	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
10-7	Storm Water	Winery	Action plan required if Category 1; No timeline to move to Category 2 or higher	Action Plan if 1	Action Plan if 1
10-8	Crush Operations	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
10-9	Presses	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
10-16	Landscaping	Winery	Action plan required if Category 1; No timeline to move to Category 2 or higher	Action Plan if 1	Action Plan if 1
11-1	Planning, Monitoring, Goals, and Results	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
11-3	Hazardous Material Storage and Replacement	Vineyard & Winery	Action Plan required if Category 1; Category 2 or higher for subsequent year	1	2
12-1	Planning, Monitoring, Goals, and Results	Winery	Action Plan required if Category 1; Category 2 or higher in subsequent years	1	2
12-7	Cardboard	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years*	1	2*
12-11	Metals	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years*	1	2*
12-14	Capsules	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years*	1	2*
12-15	Landscape Residuals	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2

13-1	Planning, Monitoring, Goals, and Results	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
13-15	Packaging - To Customers	Winery	Action Plan required if Category 1; Category 2 or higher for subsequent years	1	2
14-1	HR Planning and Goals	Vineyard & Winery	Action plan required if Category 1; No timeline to move to Category 2 or higher	Action Plan if 1	Action Plan if 1
14-5	Safety Training	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
14-8	Promoting Sustainability in the Workplace	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
15-1	Neighbors and Community Relations	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
15-2	Awareness of Potential Neighbor and Community Issues	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
15-3	Mitigation of Light, Noise and Traffic Impacts	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
16-1	Planning, Monitoring, Goals, and Results	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
16-3	Unpaved Surfaces – Roadways and Traffic and Equipment Staging Areas	Vineyard & Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2
16-10	Winery Refrigerants	Winery	Action plan required if Category 1; Category 2 or higher in subsequent years	1	2

*If recycling is not available in your area, the pre-requisite allows for “no timeline” to move to a Category 2 or higher.

Table 2: Certification Requirements and Supporting Documentation for Audits

Program Requirement	Year One Requirement Example(s)*	Year Two Requirement Example(s)*	Supporting Documents	Auditor Validation Required?
Self-Assess Using Code Workbook	Use the SWP Online System to complete Self-Assessment criteria for all management units to be included in certification scope (select N/A when appropriate, but N/A score must be explained upon request and all questions must be answered).	Use the SWP Online System to update all Self-Assessment criteria. The Cloning feature may be used, but any changes in practices must be reflected in the updated assessment. Note: Must provide explanation for any declining category scores and N/A scores.	Evidence Requirements vary depending on criteria scores (see examples above) See “Evidence Requirements” column in “Certification Audit Checklist Report” for supporting	Initial Year: Auditors will verify all prerequisites, high audit priorities, a sample of scores from each chapter and scores that require documentation. Year Two Onwards: Auditors will also verify any scores that changed since the previous assessment year and scores associated with action plans.

			documentation examples specific to each criterion score.	
Meet Code Workbook Prerequisite Practices (58 vineyard and 37 winery prerequisites)	Run the "Certification Audit Checklist Report" in the SWP Online System to get a customized list of which prerequisite practices are met by your current self-assessment scores and which require action plans in Year One. See "Evidence Requirements" column for supporting documentation examples specific to each criterion score.	Run the Certification "Audit Checklist Report" in the SWP Online System to get a customized list of which prerequisite practices are met by your current self-assessment scores and which require action plans in Year Two and beyond. Note: all Certified Participants must meet Code Workbook Prerequisite Practices for Second Year Requirements*	Audit Checklist Report and relevant supporting documentation outlined in the "Evidence Requirements" column (logs, analysis records, written reports and internal testimony, etc.)	Yes. The "Audit Priority" column of the report shows how likely each criterion is to be covered during a third-party audit. All of the high audit priority criteria will be checked at every audit, the medium audit priority will likely be checked, and the low audit priority criteria might be audited differently each audit year.
Record of Performance Metrics	Not required for Year One certification (unless using logo/claims on the bottle).	Use the SWP Online System metrics tool to add your metrics data and run the "Metrics Analysis" report for a summary report; or use your own tracking system and share with auditor during the audit. <u>Note:</u> <u>Vineyards:</u> measure and record water use and nitrogen applied annually. <u>Wineries:</u> measure and record water use, energy use, and greenhouse gas emissions (GHGs) annually.	SWP Online System Metrics Analysis report or evidence of own tracking system.	Yes. Internal Testimonial: Description of data collection methodology and any tools/data sources used (meters, utility bills, etc.) Record/Document: Verify that metrics were calculated (per acre/ton or case/gallon) via SWP Online Metrics Calculator, other tracking/software system or CSWA Metrics template.
Meet Minimum Score Threshold	Run the Certification Score Threshold Report to see if 85% or more of your self-assessment scores are Category 2 or higher (excludes non-applicable practices). If less than 85% of your scores are Category 2 or higher prioritize which Category 1's to improve and create action plans to move to a Category 2 or higher by next year audit.	Run the Certification Score Threshold Report to ensure 85% or more of self-assessment scores are a Category 2 or higher (excludes non-applicable practices).	Certification Score Threshold Report and relevant action plans if appropriate.	Initial Year: Auditor will verify that action plans are in place to meet the 85% of Category 2 scores if not yet met. Year Two Onwards: Auditor will verify minimum threshold is met.
Identify and Prioritize Action Plans	A written or documented formal strategy, action plan or set of recommendations that will be acted upon. Included in each	Close out action plan(s) for previous year, including all action plans necessary to fulfill prerequisite requirements, or note progress made	Action Plans (see Section 8 Action Plan Template)	Yes, auditor will review action plans are set and met each year.

for Improvement	Action Plan is the Criteria number (if appropriate), Existing Score/Practice, Goal Score/Practice, Plan of Action, Timetable, and Person Responsible for each Action.	on action plan if items are for multi-year action plan(s). Note: An action plan must be completed for every management unit being certified.		
Demonstrate Continuous Improvement	N/A for Year One of Certification.	Demonstrate Continuous Improvement from completion of prior year action plans and score improvements.	Action Plans and evidence requirements	Yes, Auditor will review updated Action Plans and appropriate supporting documentation showing score improvements, if applicable.
Comply with CERTIFIED SUSTAINABLE Red and Yellow List Requirements	Red or Yellow List materials may have been used in Year One, but lower risk alternatives must be considered (must meet Year Two Requirements to use logo/claims on the bottle). N/A for Year One	Red List materials may not be used. If materials on the CERTIFIED SUSTAINABLE Yellow List are used, alternatives must first be tried or considered, and justification and mitigation of risk documented.	Pesticide Use Report verifying no Red List Materials were used and a completed CSWA Yellow List Use Form(s) justifying use of Yellow List materials if used	Provide evidence for maintaining compliance with CERTIFIED SUSTAINABLE Red and Yellow List requirements (show Pesticide Use Report, provide appropriate justification on CSWA Yellow List Use Form if Yellow List materials were used).
Conduct Chain of Custody audit	Not required unless using wine label claims/logo. See next column and Section 3.3.10 for full details on requirements.	First Year Using a Label Claim/Logo: A winery that uses a certification label claim/logo is required to have 20% of the certified wine complete a Chain of Custody audit prior to bottling, unless the winery is 100% estate bottled and their vineyard is certified. The winery must submit a "Wine Label Notification Form" to CSWA and schedule a Chain of Custody audit with a CERTIFIED SUSTAINABLE auditor. After the first year a winery uses a certification label claim/logo, they can complete the required Chain of Custody audit (for a subset of the certified wine) during their normal winery re-certification audit.	Wine Label Notification Form, valid vineyard certification certificates for sourced grapes, a digital or paper trail demonstrating chain of custody for the particular wine being verified	Auditor will conduct chain of custody audit, check for valid certification certificates to meet 85% rule, ensure no Red List materials were used and that the necessary documentation was completed for use of any Yellow List materials, and check for completion of the "Wine Label Notification Form" and confirm that a process is in place to track sourced grapes.
Compliance with Marketing and Communication Guidelines	Provide copies and/or direction to ALL marketing and communications materials that use the certification logo/claims (website, brochures, secondary packaging, wine bottle label, etc.).	Provide your auditor with copies and/or direction to communications materials that use the certification logo/claims.	Copies and/or directions/web links to communications materials that use the certification logo/claims	Auditor will verify Certification logo/label claims are used accurately across all organizational materials, website, etc.
Annual Audit Report	Review and sign your audit report by the deadline; Auditor submits report to CSWA.	Review and sign your audit report by the deadline; Auditor submits report to CSWA.	Signed Audit Report	Audit Report required by the deadline. No grace period will be offered.

* Year Two requirements must be met to use CERTIFIED SUSTAINBLE logo/claims on the bottle.

For more information about CERTIFIED SUSTAINABLE visit the CSWA website at:

www.sustainablewinegrowing.org/swpcertification.php. For the detailed Certification Guidebook visit:
www.sustainablewinegrowing.org/certificationguidelines.php.

Certification is a voluntary option; vintners and growers can still participate in the educational SWP and use the *California Code of Sustainable Winegrowing Workbook* to evaluate and improve their practices even if they do not choose to pursue certification.