



CERTIFIED CALIFORNIA SUSTAINABLE WINEGROWING

CERTIFICATION GUIDEBOOK APPENDIX

Updated January 2017



CALIFORNIA
SUSTAINABLE WINEGROWING
ALLIANCE

12 - APPENDIX – CODE WORKBOOK REQUIREMENTS

The following section provides detailed guidance regarding the California Code of Sustainable Winegrowing Workbook (Code Workbook) that must be followed as part of the Certified California Sustainable Winegrowing program. Each section is numbered in accordance with the corresponding section in the Code Workbook, e.g. Section 12.3.1 in the guidance corresponds to Section 3.1 in the Workbook.

For a tabular summary of Code Workbook Prerequisite Practices Requirements, see Section **Error! Reference source not found.** of the Certification Guidebook.

The below Table shows how to interpret the charts for individual Code Workbook criteria presented in this section. If you have further questions about this chart, contact CSWA.

a. <u>Mandatory to complete?</u>		Is this criterion mandatory for auditee to complete, or can it be judged "Not Applicable"? If allowed to be Not Applicable (N/A), an explanation is required depending on the criteria.	b. <u>Audit priority</u>	If a criterion is rated as "Low" priority the auditor is not required to review it if time is limited during the audit. If it is rated "High" priority, the criteria should be audited during each site visit.
c. <u>Evidence Requirements</u>	Category 4:	What kinds of evidence does the auditor need to see in order for the auditee to be verified at a Category 4 level? For a list of the types of evidence the auditor is looking for, see "Key to Evidence Types," Section 9 of this guidebook.		
	Category 3:	What kinds of evidence does the auditor need to see in order for the auditee to be verified at a Category 3 level? For a list of the types of evidence the auditor is looking for, see "Key to Evidence Types," Section 9 of this guidebook.		
	Category 2:	What kinds of evidence does the auditor need to see in order for the auditee to be verified at a Category 2 level? For a list of the types of evidence the auditor is looking for, see "Key to Evidence Types," Section 9 of this guidebook.		
	Category 1:	What kinds of evidence does the auditor need to see in order for the auditee to be verified at a Category 1 level? For a list of the types of evidence the auditor is looking for, see "Key to Evidence Types," Section 9 of this guidebook.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
What is the minimum score an auditee can report for this aspect of the Code Workbook (if applicable)?		This provides the reasoning behind having a Prerequisite for criteria that require them (if applicable). In other words, why does the auditee need to have a minimum score?		
f. <u>Additional Explanation Required</u>		If the auditee indicated that a criterion was "Not Applicable" to their operation, an explanation is required for select criteria.		

12.1 INTRODUCTION

No certification guidance necessary for Code Chapter 1: Introduction.

12.2 SUSTAINABLE BUSINESS STRATEGY

12.2.1 Integrating Sustainability into Business Strategy

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Written Document/Plan:</u> Company mission, vision, values, or equivalent documents <u>Internal Testimonial:</u> Explanation of how sustainable business strategy shared with employees and external stakeholders.		
	Category 3:	<u>Written Document/Plan:</u> Company mission, vision, values, or equivalent documents <u>Internal Testimonial:</u> Explanation of how sustainable business strategy shared with employees.		
	Category 2:	<u>Internal Testimonial:</u> Explanation of business strategy.		
	Category 1:	None.		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action plan required if Category 1 or 2; Category 3 or higher for subsequent years		Significant economic, social and environmental impact		
f. Additional Explanation Required				
None				

12.2.2 Environmental Compliance Planning

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial:</u> Discussion with auditee about means/process for staying aware of environmental legal and regulatory requirements. <u>Written Document/Plan:</u> Verify auditee had a list of all permits and discuss system for keeping abreast of renewal dates, monitoring requirements, etc. <u>Internal Testimonial:</u> Discussion about how employees are informed about compliance requirements and how operation interacts with regulators, or which association operation belongs to.		
	Category 3:	<u>Internal Testimonial:</u> Discussion with auditee about means/process for staying aware of environmental legal and regulatory requirements. <u>Written Document/Plan:</u> Verify auditee had a list of all permits and discuss system for keeping abreast of renewal dates, monitoring requirements, etc. <u>Internal Testimonial:</u> Discussion about how employees are informed about compliance requirements.		
	Category 2:	<u>Internal Testimonial:</u> Discussion with auditee about means or process for staying aware of environmental legal and regulatory requirements. <u>Written Document/Plan:</u> Verify that auditee had a list of all permits and discuss system for keeping abreast of renewal dates, monitoring requirements, etc.		
	Category 1:	<u>Internal Testimonial:</u> Discussion with auditee about means/process for staying aware of environmental legal and regulatory requirements.		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action plan required if Cat 1; Cat 2 or higher in subsequent years		Significant economic, social and environmental impact		
f. Additional Explanation Required				
None				

12.3 VITICULTURE

12.3.1 Balanced Vines

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about practices to balance vines. <u>Analysis Records</u> : Records of vine phenology.		
	Category 3:	<u>Direct Observation</u> : Vine growth attributes for vineyard.		
	Category 2:	<u>Internal Testimonial</u> : Discussion about vine growth.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.3.2 Shoot Density

a. <u>Mandatory to complete?</u>		No, select N/A if shoot thinning might not be warranted for your region, or your vineyard is head-trained	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about the concept of thinning spurs to receive an optimum number of shoots. In addition, explanation from auditee about the practice of removing shoots and young clusters from the head area.		
	Category 3:	<u>Internal Testimonial</u> : Explanation from auditee about the practice and timing of removing shoots and young clusters from the head area.		
	Category 2:	<u>Internal Testimonial</u> : Explanation from auditee about the practice of removing shoots from the head area.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.3.3 Leaf Removal

a. <u>Mandatory to complete</u>		No, select N/A if the winery does not allow leaf removal, or leaf removal is inappropriate for your variety or region	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about why leaf removal was not necessary.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about leaf removal and timing.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about leaf removal.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.3.4 Crop-to-Pruning Weight Ratio

a. <u>Mandatory to complete?</u>		No, select N/A if hedging did not allow accurate data collection	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about how crop-to-weight pruning ratios are adjusted to the appropriate levels. <u>Log</u> : Log monitoring crop-to-weight pruning ratios.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about how crop-to-weight pruning ratios were monitored.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about researching crop-to-weight pruning ratios.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.5 Vineyard Design And Trellis

a. <u>Mandatory to complete?</u>		No, select N/A if no trellis was used	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Direct Observation</u> : Trellis and vine spacing accommodates the vigor of the vines, providing an open canopy with appropriate exposure of the fruit zone to light without requiring leaf removal. In addition, shoots are positioned in the correct way for the trellis.		
	Category 3:	<u>Direct Observation</u> : Trellis and vine spacing accommodates the vigor of the vines, providing an open canopy with moderate exposure of the fruit zone to light but still requiring leaf removal. In addition, shoots are positioned in the correct way for the trellis.		
	Category 2:	<u>Direct Observation</u> : Trellis and vine spacing spreads the vine out but shades the fruit even with leaf removal; or the trellis and vine spacing results in some overly exposed fruit. In addition, shoots are positioned in the correct way for the trellis.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.6 Vineyard Vigor Uniformity

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about vine pruning practices and irrigation techniques with knowledge of rootstock/irrigation interactions.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about vine pruning practices and irrigation techniques.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about vine pruning practices.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> None				

12.3.7 Monitoring Canopy Density and Vigor

a. Mandatory to complete?		Yes	b. Audit priority	Low
c. Evidence Requirements	Category 4:	<u>Analysis Records</u> : Documentation of canopy density and shoot-tip vigor monitoring and the corrective actions taken (if necessary).		
	Category 3:	<u>Analysis Records</u> : Documentation of canopy density and shoot-tip vigor monitoring and the corrective actions taken (if necessary).		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about canopy density and shoot-tip vigor monitoring.		
	Category 1:	None.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.3.8 Environmental Due Diligence for a New Vineyard Site or a Replanting

a. Mandatory to complete?		No, select N/A if the vineyard was purchased in-tact, and no replanting or environmental due diligence was needed	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of how and when environmental due diligence, research and consulting with appropriate public and private entities were carried out.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of how and when environmental due diligence and research and/or consulting with appropriate public and private entities were carried out.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of how and when environmental due diligence and research were carried out.		
	Category 1:	None.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
Explain in Notes why N/A				

12.3.9 Soil Profile Inspection and Modification

a. Mandatory to complete?		No, select N/A if no redevelopment occurred since vineyard establishment, and/or no development records exist due to ownership or management change	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of how soil profile was inspected and modified. <u>Visual Record</u> : Review of GIS map showing soil profile.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of how soil profile was inspected and modified.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of how soil profile was inspected and modified.		
	Category 1:	None.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
Explain in Notes why N/A				

12.3.10 Soil Tested for Physical and Chemical Properties and Amended Pre-Planting

a. <u>Mandatory to complete?</u>		No, select N/A if no redevelopment records exist due to ownership or management change	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of how soil properties were tested and amended. <u>Visual Record</u> : Review of GIS map showing soil profile.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of how soil properties were tested and amended.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of how soil properties were tested and amended.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.11 Soil Sampled for Biological Problems Pre-Planting

a. <u>Mandatory to complete?</u>		No, select N/A if no redevelopment records exist due to ownership or management change	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of how soil biology was tested, including separate samples to test for variability.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of how soil biology was tested.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of knowledge of previous vegetation.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.12 Addressing Biological Problems

a. <u>Mandatory to complete?</u>		No, select N/A if no biological problems existed	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of how roots were removed and field fallowed or rotated to a non-host crop for at least three years.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of how roots were removed and field fallowed or rotated to a non-host crop for at least one year.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of how biological problem was verified by testing and fumigated.		
	Category 1:	<u>Internal Testimonial</u> : Explanation of how biological problem was fumigated or explanation of no fumigation or fallowing done.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Action plan required if Category 1 and Category 2 or higher in next year with planting		Significant environmental impact		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.13 Rootstocks

a. <u>Mandatory to complete?</u>		No, select N/A if no vines have been planted since the current owner or management team has been in place	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of rootstock selection approach, including external consultation.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of rootstock analysis and selection approach.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of rootstock selection approach.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.14 Vineyard Layout

a. <u>Mandatory to complete?</u>		No, select N/A if there are no redevelopment records due to ownership or management change	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of vineyard layout approach. <u>Direct Observation</u> : Vineyard layout, row directions, and buffer zones.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of vineyard layout approach. <u>Direct Observation</u> : Vineyard layout, row directions, and buffer zones.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of vineyard layout approach. <u>Direct Observation</u> : Vineyard layout.		
	Category 1:	<u>Internal Testimonial</u> : Explanation of vineyard layout approach. <u>Direct Observation</u> : Vineyard layout		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.15 Row and Vine Spacing

a. <u>Mandatory to complete?</u>		No, select N/A if no vines were planted since owner or current management team in place	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of row and vine spacing. <u>Direct Observation</u> : Row and vine spacing		
	Category 3:	<u>Internal Testimonial</u> : Explanation of row and vine spacing. <u>Direct Observation</u> : Row and vine spacing		
	Category 2:	<u>Internal Testimonial</u> : Explanation of row and vine spacing. <u>Direct Observation</u> : Row and vine spacing		
	Category 1:	<u>Internal Testimonial</u> : Explanation of row and vine spacing. <u>Direct Observation</u> : Row and vine spacing		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.16 Scion/Cultivar

a. <u>Mandatory to complete?</u>		No, select N/A if no vines were planted since owner or current management team in place	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of scion/cultivar selection approach, including external consultation. <u>External analysis or record</u> : Virus-free certification records.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of scion/cultivar selection approach, including best available information used.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of scion/cultivar selection approach.		
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Must be Category 2 or higher		Stakeholder concern <i>and</i> Potential Risk/Liability to the company		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.17 Trellis Selection and Design

a. <u>Mandatory to complete?</u>		No, select N/A if no vines were planted since owner or current management team in place	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of trellis selection approach.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of trellis selection approach.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of trellis selection approach.		
	Category 1:	<u>Internal Testimonial</u> : Explanation of trellis selection approach.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.18 Conservation of Habitat for Wildlife and Pest Predators

a. <u>Mandatory to complete?</u>		No, select N/A if no virgin ground was planted since the current management team or owner has been in place	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of habitat conservation approach. <u>Direct Observation</u> : Established vineyard (and/or replanted area) with surrounding habitat.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of habitat conservation approach. <u>Direct Observation</u> : Established vineyard (and/or replanted area) with surrounding habitat.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of habitat conservation approach. <u>Direct Observation</u> : Established vineyard (and/or replanted area) with surrounding habitat.		
	Category 1:	<u>Direct Observation</u> : Established vineyard (and/or replanted area) with surrounding habitat. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Action Plan required if Category 1 and Category 2 or higher in next year with planting		Significant environmental impact		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.3.19 Creation of Habitat for Wildlife and Pest Predators

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of habitat creation approach, including listing of native species established. <u>Direct Observation</u> : Established vineyard (and/or replanted area) with surrounding habitat, including ponds or other water sources for wildlife.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of habitat creation approach, including listing of native species established. <u>Direct Observation</u> : Established vineyard (and/or replanted area) with surrounding habitat.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of habitat creation approach. <u>Direct Observation</u> : Established vineyard (and/or replanted area) with surrounding habitat.		
	Category 1:	None.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.4 SOIL MANAGEMENT

12.4.1 Plant Tissue Analysis

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of how petiole analyses are conducted. <u>Analysis Records</u> : Records showing petiole analysis results, indicating analysis every 1 or 2 years and follow-up analyses in cases where problems are identified.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of how petiole analyses are conducted. <u>Analysis Records</u> : Records showing petiole analysis results, indicating analysis every 2–3 years.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of how petiole analyses are conducted.		
	Category 1:	None.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.4.2 Soil Nutrient Analysis

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discuss how soil analysis is conducted, interpreted, and applied. <u>Analysis Record</u> : Record of soil analysis within last 4 years, or 2 years if amending soil.		
	Category 3:	<u>Internal Testimonial</u> : Discuss how soil analysis is conducted, interpreted, and applied to vineyard management decisions. <u>Analysis Record</u> : Record of soil analysis within last 6 years, or 3 years if amending soil.		
	Category 2:	<u>Internal Testimonial</u> : Discuss how soil analysis is conducted. <u>Analysis Record</u> : Record of soil analysis within last 6 years, or every 3-5 years if amending soil.		
	Category 1:	None.		

d. Certification Prerequisite None	e. Prerequisite Rationale N/A
f. Additional Explanation Required None	

12.4.3 Nutrient Management

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of nutrient management approach (based on vine vigor, fruit quality, leaf symptoms, vineyard history, wine quality, and water quality test results). <u>Analysis Record</u> : Plant tissue analysis records.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of nutrient management approach (based on vine vigor, fruit quality, leaf symptoms and vineyard history). <u>Analysis Record</u> : Plant tissue analysis records.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of nutrient management approach (based on vine vigor, fruit quality, leaf symptoms and vineyard history).		
	Category 1:	<u>Internal Testimonial</u> : Explanation of nutrient management approach (no site-specificity)		
d. <u>Certification Prerequisite</u> Category 2 or higher in first year; Category 3 or higher in subsequent years		e. <u>Prerequisite Rationale</u> Significant environmental impact		
f. <u>Additional Explanation Required</u> None				

12.4.4 Nitrogen Management

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of Nitrogen management approach, including frequency and timing of application. <u>Analysis Record</u> : Verify soil analysis records from within the last 3 years and plant tissue analysis within the past year. <u>Direct Observation</u> : Verify if cover crops are grown to remove Nitrogen.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of Nitrogen management approach, including frequency and timing of application. <u>Analysis Record</u> : Verify plant tissue or soil analysis records from within the last 3 years.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of Nitrogen management approach, including frequency and timing of application. <u>Analysis Record</u> : Verify plant tissue or soil analysis records from within the last 6 years.		
	Category 1:	<u>This category does not qualify for certification (must score a 2 or higher).</u>		
d. <u>Certification Prerequisite</u> Action Plan required if Category 1; Category 2 or higher for subsequent years			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> None				

12.4.5 Fertigation

a. Mandatory to complete?	No, select N/A if no fertilizer was applied through drip-irrigation or no irrigation system was used	b. Audit priority	High
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c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of determining fertigation needs using soil and vine nutrient status, and timing of fertigation applications to prevent leaching or excessive application. <u>Analysis Records</u> : Soil and vine nutrient status reports.
	Category 3:	<u>Internal Testimonial</u> : Explanation of determining fertigation needs using soil and vine nutrient status and seasonally correct timing of fertigation applications. <u>Analysis Records</u> : Soil and vine nutrient status reports.
	Category 2:	<u>Internal Testimonial</u> : Explanation of fertigation practices without checking soil nutrient or vine status and seasonally correct timing of applications. <u>Action Plan</u> : Verify action plan for first year self-assessments.
	Category 1:	<u>Internal Testimonial</u> : Explanation of fertigation practices without checking soil nutrient or vine status. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action plan required if Category 1 or Category 2; Category 3 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required Explain in Notes why N/A		

12.4.6 Amendments for Water Penetration

a. <u>Mandatory to complete?</u>		No, select N/A if water penetration was not a problem	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of water penetration issues, amendments, and water pH testing. <u>Direct Observation</u> : Cover crops to improve water penetration. <u>Written Document/Plan</u> : Documented long-term water penetration improvement plan.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of water penetration issues, amendments, and water pH testing. <u>Direct Observation</u> : Cover crops used to improve water penetration.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of water penetration issues and amendments.		
	Category 1:	<u>Internal Testimonial</u> : Explanation of water penetration issues.		
d. <u>Certification Prerequisite</u> None			e. <u>Prerequisite Rationale</u> N/A	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.4.7 Amendments for pH

a. Mandatory to complete?	No, select N/A only if soil pH was not a problem	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion on soil pH and an explanation of soil amendments for pH adjustment, <u>Analysis Records</u> : Verify results of soil pH test from within past 3 years.	
	Category 3:	<u>Internal Testimonial</u> : Discussion on soil pH and an explanation of soil amendments for pH adjustment.	
	Category 2:	<u>Internal Testimonial</u> : Discussion of soil pH.	
	Category 1:	None.	

d. Certification Prerequisite None	e. Prerequisite Rationale N/A
f. Additional Explanation Required Explain in Notes why N/A	

12.4.8 Preserving or Increasing Organic Matter

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of organic matter management practices (e.g. organic matter additions composting, cover crops, etc.). <u>Analysis Records</u> : Verify soil analysis record from within past 3 years. <u>Direct Observation</u> : No tillage and practices to prevent off-site loss of nutrients (e.g. buffer strips, vegetation along roads and ditches, etc.).		
	Category 3:	<u>Internal Testimonial</u> : Explanation of organic matter management practices (e.g. organic matter additions, composting, cover crops, etc.), soil analysis and monitoring of organic matter inputs and outputs. <u>Analysis Records</u> : Verify soil analysis record. <u>Direct Observation</u> : Verify reduced or no tillage.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of awareness of organic matter inputs and outputs. <u>Direct Observation</u> : Verify winter resident vegetation in place.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.4.9 Soil Compaction

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of soil compaction minimization practices. <u>Direct Observation</u> (if possible): Verify permanent (non-tilled) cover crop or resident vegetation, low impact equipment, and lack of ruts on vineyard roads.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of soil compaction minimization practices. <u>Direct Observation</u> (if possible): Verify cover crop, low impact equipment.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of soil compaction minimization practices. <u>Direct Observation</u> (if possible): Verify low impact equipment.		
	Category 1:	None.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.4.10 Surface Water Diversions for Erodible Sites

a. Mandatory to complete?	No, select N/A if less than 2% slope and site has never been prone to erosion	b. Audit priority	High
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c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion of erosion potential on site. Explanation of all erosion control structures, systems and efforts on site, including materials available for emergency repair. <u>Direct Observation</u> : Verify vineyard sites that have erosion potential, any erosion control structures, and no evidence of rills or gullies. <u>Analysis Records</u> : Evidence or plans of an engineered drainage system
	Category 3:	<u>Internal Testimonial</u> : Discussion of erosion potential on site. Explanation of all erosion control structures, systems and efforts on site, including materials available for emergency repair. <u>Direct Observation</u> : Verify vineyard sites that have erosion potential and any erosion control structures and repair materials.
	Category 2:	<u>Internal Testimonial</u> : Discussion of erosion potential on site. Explanation of all erosion control structures, systems and efforts on site. <u>Direct Observation</u> : Verify vineyard sites that have erosion potential and any seasonal or temporary erosion control structures, depending on the time of year.
	Category 1:	<u>Internal Testimonial</u> : Discussion of erosion potential on site. <u>Direct Observation</u> : Verify vineyard sites that have erosion potential. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action Plan required if Category 1; Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required Explain in Notes why N/A		

12.4.11 Management of Erosion from Roads, Ditches, and Culverts

a. <u>Mandatory to complete?</u>		No, select N/A if site was never prone to erosion due to minimal or lack of sloping	b. <u>Audit priority</u>	High
<u>c. Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of road, ditch and culvert erosion control approach and comprehensive erosion control plan, including frequency of maintenance. <u>Written Document/Plan</u> : Verify comprehensive erosion control plan. <u>Direct Observation</u> : Verify there are no signs of erosion related to roads, ditches and culverts.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of road, ditch and culvert erosion control approach and comprehensive erosion control plan, including frequency of maintenance. <u>Written Document/Plan</u> : Verify comprehensive erosion control plan. <u>Direct Observation</u> : Verify signs of potential erosion related to roads, ditches and culverts, including repairs.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of road, ditch and culvert erosion control approach, including frequency of maintenance. <u>Direct Observation</u> : Signs of erosion related to roads, ditches and culverts, including repairs.		
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>		
d. <u>Certification Prerequisite</u> Must be Category 2 or higher			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.4.12 Non-Point Source (NPS) Pollution Prevention Within the Vineyard Block

a. Mandatory to complete?	Yes	b. Audit priority	Medium
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c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of floor management strategy to reduce runoff and non-point source monitoring program implementation, work done with regulatory agencies. <u>Written Document/Plan</u> : Verify non-point source pollution prevention plan. <u>Visual Record</u> : Verify map showing stormwater runoff direction and potential sources of pollution.
	Category 3:	<u>Internal Testimonial</u> : Explanation of floor management strategy to reduce runoff and non-point source monitoring program implementation. <u>Direct Observation</u> (if possible): Winter annual cover crop or resident vegetation, and water diversion structures.
	Category 2:	<u>Internal Testimonial</u> : Explanation of floor management strategy to reduce runoff and non-point source monitoring program research. <u>Direct Observation</u> (if possible): Winter annual cover crop or resident vegetation.
	Category 1:	None.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.5 VINEYARD WATER MANAGEMENT

12.5.1 Water Management Strategy

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of water management strategy, including tools, information used including at least 3 parameters (i.e. ET, soil moisture, etc.), and improvement plans. <u>Analysis Records</u> : Verify the water management plan that includes grape growing goals, and accounts for soil types.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of water management strategy, including tools and information used. <u>Analysis Records</u> : Water management plan that includes grape growing goals, accounts for soil types.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of water management strategy.		
	Category 1:	<u>Internal Testimonial</u> : Confirm that a water strategy had not yet been developed. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1; and Category 2 or higher in subsequent years		e. <u>Prerequisite Rationale</u> Significant environmental impact		
f. <u>Additional Explanation Required</u> None				

12.5.2 Monitoring and Amending Quality of Irrigation Water

a. Mandatory to complete?		No, select N/A if the site was dry farmed.	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Analysis Record</u> : Verify annual record of water pH, salinity or total dissolved solids (electrical conductivity), nitrate, bicarbonate, suspended solids, chlorides, boron, manganese, and magnesium (as appropriate for the site and region). <u>Internal Testimonial</u> : Explanation of amendment practices (if problems exist).		

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	Category 3:	<u>Analysis Record</u> : Verify record of water pH, salinity or total dissolved solids (electrical conductivity), and nitrate from within the past 3 years or within the last year if water quality changed frequently. <u>Internal Testimonial</u> : Explanation of amendment practices (if problems exist).
	Category 2:	<u>Analysis Record</u> : Verify record of water pH, salinity or total dissolved solids (electrical conductivity), and nitrate from within the past 3 years.
	Category 1:	<u>Internal Testimonial</u> : Confirm that there were no records of water quality testing within the last 3 years. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action Plan required if Category 1, Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant economic <i>and</i> environmental impact
f. Additional Explanation Required Explain in Notes why N/A		

12.5.3 Off-Site Water Movement

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of irrigation practices, rainfall events, associated runoff, preventative techniques to reduce runoff, and methods to address soil permeability problems. <u>Direct Observation</u> : Drainage systems to manage high rainfall events.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of irrigation practices, rainfall events, associated runoff, and preventative techniques to reduce runoff.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of irrigation practices, rainfall events and associated runoff. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
	Category 1:	<u>Internal Testimonial</u> : Confirm that runoff occurred, engineered systems were not in place, and drainage waterways were free of any growth. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1 or 2; Cat 3 or higher in subsequent years		e. <u>Prerequisite Rationale</u> Significant environmental impact		
f. <u>Additional Explanation Required</u> None				

12.5.4 Irrigation System

a. Mandatory to complete?		No, select N/A if the vineyard was dry-farmed	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Verify that an engineered micro-irrigation system was installed. <u>Direct Observation</u> : Vineyard irrigation system. <u>Written Document/Plan</u> : Verify the system was engineered.		
	Category 3:	<u>Internal Testimonial</u> : Verify that a low-flow sprinkler irrigation system was installed. <u>Direct Observation</u> : Vineyard irrigation system.		
	Category 2:	<u>Internal Testimonial</u> : Verify that a high flow sprinkler irrigation system was the only method of irrigation. <u>Direct Observation</u> : Vineyard irrigation system.		
	Category 1:	<u>Direct Observation</u> : Verify that there was a flood irrigation system.		
d. Certification Prerequisite None		e. Prerequisite Rationale Significant environmental impact		

f. Additional Explanation Required

Explain in Notes why N/A

12.5.5 Distribution Uniformity for Irrigation Systems

a. <u>Mandatory to complete?</u>		No, select N/A if the vineyard was dry-farmed	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Verify that the distribution uniformity was checked within the last 3 years by monitoring outflows and pressure, or the furrow was checked visually to ensure that Table 5-a guidelines were met. Also, verify that for water sources high in carbonates, bicarbonates, iron, or organic matter, an annual distribution uniformity test was done <u>Analysis Record</u> : Results of distribution uniformity tests.		
	Category 3:	<u>Internal Testimonial</u> : Verify that the distribution uniformity was checked within the last 5 years by monitoring outflows, or the furrow was checked visually to ensure that Table 5-a guidelines were met. Also, verify that for water sources high in carbonates, bicarbonates, iron, or organic matter, a biannual distribution uniformity test was done. <u>Analysis Record</u> : Results of distribution uniformity tests.		
	Category 2:	<u>Internal Testimonial</u> : Verify that the distribution uniformity was checked within the last 7 years by monitoring outflows, or the furrow was checked visually. <u>Analysis Record</u> : Results of distribution uniformity tests.		
	Category 1:	<u>Internal Testimonial</u> : Verify that distribution uniformity was not checked for the irrigation or furrow system. <u>Action Plan</u> : Verify action plan.		
d. <u>Certification Prerequisite</u> Action Plan required if Category 1; Category 2 or higher for subsequent years			e. <u>Prerequisite Rationale</u> Environmental and economic impact.	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.5.6 Filters and Lines

a. <u>Mandatory to complete?</u>		No, select N/A if vineyard was dry-farmed	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Explanation of filter and line maintenance and inspection program, including frequency of multiple times per year of irrigation line flushing.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of filter and line maintenance approach, including frequency of multiple times per year of irrigation line flushing.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of filter and line maintenance approach, including frequency of irrigation line flushing.		
	Category 1:	<u>Internal Testimonial</u> : Verify that filters were not inspected and cleaned, and lines weren't flushed. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Must be Category 2 or higher			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.5.7 Water Budget

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence	Category 4:	<u>Internal Testimonial</u> : Explanation of water application and volume and verification methods for assessing soil moisture status and vine response. <u>Analysis Records</u> : Records of plant moisture status.		

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	Category 3:	<u>Internal Testimonial</u> : Explanation of water application and volume and verification methods for assessing soil moisture status and vine response.
	Category 2:	<u>Internal Testimonial</u> : Explanation of weather and plant appearance based watering.
	Category 1:	<u>Internal Testimonial</u> : Explanation of calendar based watering. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action plan required if Category 1; Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None		

12.5.8 Measuring Water Use

a. <u>Mandatory to complete?</u>		No, select N/A if no water was applied for irrigation or frost protection	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Description of water flow meters, monitoring practices, and inspections. <u>Direct Observation</u> : Water flow meters exist. <u>Analysis Record</u> : Record of flow meter readings.		
	Category 3:	<u>Internal testimonial</u> : Description of water flow meters, monitoring practices, and inspections. <u>Direct Observation</u> : Water flow meters exist.		
	Category 2:	<u>Internal Testimonial</u> : Description of water flow meters or other method used to measure water use. <u>Direct Observation</u> : Water flow meters exist.		
	Category 1:	<u>Internal testimonial</u> : Verify that irrigation or frost applications were not measured. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1; Category 2 or higher in ongoing years			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.5.9 Soil Water-Infiltration Rates and Water-Holding Capacity

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Description of soil water holding capacity and related management practices. <u>Written Document/Plan</u> : Annual irrigation plan based on water budget, schedule and duration.		
	Category 3:	<u>Internal testimonial</u> : Description of soil water holding capacity and related management practices. <u>Analysis Record</u> : Soil moisture profile measurements to determine depth of irrigation.		
	Category 2:	<u>Internal Testimonial</u> : Description of soil water holding capacity and related management practices.		
	Category 1:	<u>Internal Testimonial</u> : Verify that the vineyard soil characteristics were not known. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1; Category 2 or higher in subsequent years			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> None				

12.5.10 Soil Moisture and Plant Water Status Monitoring Methods

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Direct Observation</u> : Direct soil moisture monitoring devices were in use. <u>Internal Testimonial</u> : Description of soil moisture monitoring devices used to track water availability and schedule irrigation. <u>Analysis Records</u> : Verify plant water status.		
	Category 3:	<u>Direct Observation</u> : Verify that soil moisture monitoring devices were in use. <u>Internal Testimonial</u> : Description of soil moisture monitoring devices used to track water availability and schedule irrigation. <u>Analysis Records</u> : Verify plant water status records.		
	Category 2:	<u>Internal Testimonial</u> : Description of the “squeeze test” used or process to monitor water status by visual tendril and shoot tip assessment.		
	Category 1:	<u>Internal Testimonial</u> : Verify that soil moisture and plant water status was not measured or used for irrigation scheduling. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action plan required if Category 1 or 2; Category 3 or higher for subsequent years		Significant environmental impact		
f. Additional Explanation Required				
None				

12.5.11 Planned Deficit Irrigation through Regulated Deficit Irrigation (RDI)

a. Mandatory to complete?		No, select N/A if vineyard was dry-farmed	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of irrigation practices that use a predetermined RDI level. <u>Analysis Record</u> : Demonstration of how RDI levels are determined.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of irrigation practices that experiment with RDI.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of irrigation practices to apply some water stress.		
	Category 1:	<u>Internal Testimonial</u> : Explanation of irrigation practices to prevent water stress.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
Explain in Notes why N/A				

12.6 PEST MANAGEMENT

12.6.1 Vineyard Monitoring for Insect and Mite Pests

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Explanation of weekly insect and mite pest monitoring and how this information is used in management decisions. <u>Log</u> : Record of pest monitoring results.		
	Category 3:	<u>Internal Testimonial</u> : Explanation of weekly insect and mite pest monitoring. <u>Log</u> : Record of pest monitoring results.		
	Category 2:	<u>Internal Testimonial</u> : Explanation of periodic insect and mite pest monitoring. <u>Action Plan</u> : Verify action plan for first year self-assessments.		

	Category 1:	<u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action plan required if Cat 1 or 2; Cat 3 or higher for subsequent years		e. Prerequisite Rationale Significant environmental impact <i>and</i> stakeholder concern
f. Additional Explanation Required None		

12.6.2 Training for Insect and Mite Monitoring

12.6.2 Training for insect and mite monitoring

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Description of pest identification training programs that encourage employees to look for insects and mites. <u>Direct Observation</u> : Employee knowledge is sufficient enough to pass the pest ID quiz at the beginning of the chapter. <u>Log</u> : Verify bilingual training programs and training logs and records.		
	Category 3:	<u>Internal Testimonial</u> : Description of pest identification training programs that encourage employees to look for insects and mites. <u>Direct Observation</u> : Employee knowledge is sufficient enough to pass the pest ID quiz at the beginning of the chapter. <u>Log</u> : Verify training logs and records.		
	Category 2:	<u>Internal Testimonial</u> : Description of pest identification training programs (these programs do not help employees identify key insect and mite species). <u>Log</u> : Training logs and records.		
	Category 1:	None		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action Plan required if Category 1; Category 2 or higher for subsequent years		Significant environmental impact <i>and</i> stakeholder concern		
f. Additional Explanation Required				
Explain in Notes why N/A				

12.6.3 Economic Thresholds and Pest-Natural Enemy Ratios for Leafhoppers, Mites, and Thrips

mites, and thrips

a. <u>Mandatory to complete?</u>		No, N/A allowed if no problems with leafhoppers, mites, or thrips	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Description of economic threshold based pesticide spraying practices for leafhoppers, mites, and thrips. In addition, how control decisions are based on egg parasitism for leafhoppers. <u>Analysis Records</u> : Calculations of egg parasitism levels for leafhoppers.		
	Category 3:	<u>Internal Testimonial</u> : Description of economic threshold based pesticide spraying practices for leafhoppers, mites, and thrips.		
	Category 2:	<u>Internal Testimonial</u> : Description of pesticide spraying practices for leafhoppers, mites, and thrips based on the presence of pests in the vineyard.		
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>		
d. <u>Certification Prerequisite</u> Must be Category 2 or higher			e. <u>Prerequisite Rationale</u> Significant environmental impact <i>and</i> stakeholder concern	
f. <u>Additional Explanation Required</u> Explain why N/A in notes				

12.6.4 Minimizing Risks from Insecticides and Miticides

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Description on how there was no need for treatment due to economic threshold analysis and cultural practices, or how a pesticide risk model was used without high risk treatments being applied, taking into account non-target risks.		
	Category 3:	<u>Internal Testimonial</u> : Description of how insecticide and miticide selection took into consideration non-target risks, cost, and efficacy while selecting products with lower risk where possible.		
	Category 2:	<u>Internal Testimonial</u> : Description of how insecticide and miticide selection took into consideration non-target risks.		
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Category 2 or higher in first year; Category 3 or higher in subsequent years		Significant environmental impact <i>and</i> stakeholder concern		
f. <u>Additional Explanation Required</u>				
None				

12.6.5 Cultural Practices for Insect and Mite Management

a. <u>Mandatory to complete?</u>		No, select N/A if there are no problems with insects or mites	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on how cultural practices and timing were the primary method of control of pests, and how beneficial insects were maintained along with appropriate vine vigor to help reduce pest pressure.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on how cultural practices were considered for managing pests, and how appropriate vine vigor helped reduce pest pressure.		
	Category 2:	<u>Internal Testimonial</u> : Discussion on how cultural practices were considered for managing pests, or how appropriate vine vigor helped reduce pest pressure.		
	Category 1:	<u>Internal Testimonial</u> : None		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Action Plan required if Category 1; Category 2 or higher for subsequent years		Significant environmental impact <i>and</i> stakeholder concern		
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.6.6 Dust Abatement in and around Vineyards for Mite Management

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Description of how vehicle speed was controlled on unpaved roads and traffic was limited, how dust impacts were identified and minimized, and how treatments were made to reduce dust. <u>Direct Observation</u> : A permanent cover crop was maintained in and around the vineyard.		
	Category 3:	<u>Internal Testimonial</u> : Description of how vehicle speed was controlled on unpaved roads and traffic was limited, how dust impacts were identified and minimized, and how treatments were made to reduce dust.		

	Category 2:	<u>Internal Testimonial</u> : Description of how vehicle speed was controlled on unpaved roads and traffic was limited and how dust impacts were identified and minimized.
	Category 1:	None
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.6.7 Use of Weather Data and Degree Days for Monitoring Moth Pests

a. <u>Mandatory to complete?</u>		No, select N/A if there are no problems moth pests	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Description of how degree days, in-field monitoring, economic thresholds, trap counts, and weather station data were factors in treatments.		
	Category 3:	<u>Internal Testimonial</u> : Description of how timing, experience, in-field monitoring, and economic thresholds were factors in treatments.		
	Category 2:	<u>Internal Testimonial</u> : Description of how timing and experience were factors in treatments.		
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>		
d. <u>Certification Prerequisite</u> Must be Category 2 or higher			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.6.8 Portion of Vineyard Treated for Mites or Leafhoppers

a. <u>Mandatory to complete?</u>		No, select N/A if there are no problems mites or leafhoppers)	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Description of process that treats for mites or leafhoppers only in areas identified to exceed economic thresholds, and treatment was verified by monitoring.		
	Category 3:	<u>Internal Testimonial</u> : Description of process that treats for mites or leafhoppers only in identified hot spots and surrounding vines.		
	Category 2:	<u>Internal Testimonial</u> : Description of process that treats for mites or leafhoppers in the entire block or vineyard, and pest hotspots were used only as an indicator of a problem.		
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>		
d. <u>Certification Prerequisite</u> Must be Category 2 or higher		e. <u>Prerequisite Rationale</u> Significant environmental impact		
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.6.9 Mealybug Management

a. Mandatory to complete?		No, select N/A if there are no mealybugs found in the area	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Description of process using IPM that continually monitors for mealybugs, maps infested areas, and manages ants without impacting other insects. In addition, description of the treatments to identified hotspots and surrounding vines as necessary. Also, discuss the strategy to clean equipment between sites and limit worker transport of mealybugs. <u>Visual Record</u> : Verify map of infested areas.		

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	Category 3:	<u>Internal Testimonial</u> : Description of process that continually monitors for mealybugs, maps infested areas, and manages ants. In addition, description of the treatments to identified hotspots and surrounding vines as necessary. <u>Visual Record</u> : Verify map of infested areas.
	Category 2:	<u>Internal Testimonial</u> : Description of process that annually monitors for mealybugs, and the process that treats both infested and non-infested areas of the vineyard.
	Category 1:	<u>Internal Testimonial</u> : Description of process that treats the entire block or vineyard when controlling mealybugs. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action plan required if Category 1 and Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant environmental <i>and</i> economic impact
f. Additional Explanation Required Explain in Notes why N/A		

12.6.10 Soil-Borne Pest Management after Planting

a. Mandatory to complete? Yes		b. Audit priority Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Description of plan to manage soil-borne pests and sampling for issues at least every 3 years, using results for management actions. <u>Written Document/Plan</u> : Verify documented management plan.
	Category 3:	<u>Internal Testimonial</u> : Description of strategy to manage soil-borne pests and sampling for issues at least every 3 years, using results for management actions.
	Category 2:	<u>Internal Testimonial</u> : Description of strategy to manage soil-borne pests and sampling for issues at least every 5 years, using results for management actions.
	Category 1:	<u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.6.11 Vineyard Monitoring for Disease

a. Mandatory to complete? Yes		b. Audit priority High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Description of weekly monitoring for diseases during critical periods, keeping a written or electronic record and discussion on how this information was analyzed for management decisions. <u>Log</u> : Documented weekly monitoring records.
	Category 3:	<u>Internal Testimonial</u> : Description of weekly monitoring for diseases during critical periods, keeping a written or electronic record. <u>Log</u> : Documented weekly monitoring records.
	Category 2:	<u>Internal Testimonial</u> : Description of periodic monitoring for diseases during critical periods. <u>Action Plan</u> : Verify action plan for first year self-assessments.
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>
d. Certification Prerequisite Cat 2 or higher in first year; Cat 3 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact <i>and</i> stakeholder concern
f. Additional Explanation Required None		

12.6.12 Powdery Mildew Management

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion on how there is a management plan that considers cultural practices and uses the Gubler-Thomas powdery mildew forecasting model, and no applications made on or after veraison unless powdery mildew is seen. Also, discussion on how fungicides with different modes of action were rotated throughout the season.</p> <p><u>Written Document/Plan</u>: Documented management plan.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion on how cultural practices are used to improve treatments for powdery mildew. Also, discussion on how there were no applications after veraison without seeing powdery mildew, and considering weather during any treatment. Also, discussion on how fungicides with different modes of action were rotated throughout the season, or how only sulfur products were used.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discussion on how fungicide rates were adjusted based on vineyard conditions and/or monitoring. Also, discussion on how fungicides with different modes of action were rotated at least once per season, or how only sulfur products were used.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Discussion on how application decisions were based on a calendar program, they were done at the highest label rates. Also, either fungicides with different modes of action were not used, or only sulfur products were used.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.6.13 Minimizing Risks from Fungicides for Powdery Mildew and Botrytis Control

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion on how a pesticide risk model was used, but high risk treatments were not used. Also, synthetic fungicides with similar modes of action were used only once per season.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion on how non-target risks were considered when selecting and using fungicides, and how fungicides were compared for risks, cost, and efficacy. Fungicides with lower risks were used when possible and synthetic fungicides with similar modes of action were used only once per season.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discussion on how non-target risks were considered when selecting and using fungicides, but products were not intentionally rotated by mode of action.</p>		
	Category 1:	<p><u>This category does not qualify for certification (must score 2 or higher).</u></p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
Category 2 or higher in first year; Category 3 or higher in subsequent years		Significant environmental impact		
f. Additional Explanation Required				
None				

12.6.14 Pruning for Canker Management

a. Mandatory to complete?		No, Select N/A if there are no problems with canker diseases	b. Audit priority	Medium
c. Evidence Requirement	Category 4:	<p><u>Internal Testimonial</u>: Description of pruning susceptible varieties later during dormancy with small cuts and pruning diseased wood off to be destroyed. Also, if applicable, mechanized harvesters were adjusted to minimize damage to spurs.</p> <p><u>Direct Observation</u>: Machinery is adjusted to minimize spur damage (if fruit is mechanically harvested).</p>		

	Category 3:	<u>Internal Testimonial</u> : Description of pruning susceptible varieties later during dormancy and pruning diseased wood off. Also, if applicable, mechanized harvesters were adjusted to minimize damage to spurs. <u>Direct Observation</u> : Machinery is adjusted to minimize spur damage (if fruit is mechanically harvested).
	Category 2:	<u>Internal Testimonial</u> : Description of pruning susceptible varieties later during dormancy.
	Category 1:	None
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required Explain in Notes why N/A		

12.6.15 Bunch Rot Management

a. <u>Mandatory to complete?</u>		No, select N/A if there are no problems with Bunch Rot	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on how canopy and irrigation adjustments, along with trellis type and dried cluster removal during dormancy helped minimize treatments. Also, discussion on fungal identification and use of appropriate fungicides.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on how canopy and irrigation adjustments helped minimize treatments. Also, discussion on fungal identification and use of appropriate fungicides.		
	Category 2:	<u>Internal Testimonial</u> : Discussion of Botrytis fungicides practices used between bloom and bunch closure, unless weather required additional treatments. Also, discussion on how cultural practices were used to prevent physical berry damage.		
	Category 1:	<u>Internal Testimonial</u> : Discussion of calendar based Botrytis fungicide application process. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1 and Category 2 or higher in subsequent years			e. <u>Prerequisite Rationale</u> Significant economic and slight environmental impact	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.6.16 Pierce's Disease Management where Blue-Green Sharpshooter is the Primary Vector

a. Mandatory to complete?		No, select N/A if Pierce's Disease vectored by the Blue-Green Sharpshooter is not a problem	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion about a written management plan, riparian habitat management, removing diseased vines, and using sticky traps to determine where to treat. <u>Written Document/Plan</u> : Verify documented management plan.		
	Category 3:	<u>Internal Testimonial</u> : Discussion about a written management plan, removing diseased vines, and using sticky traps to determine where to treat. <u>Written Document/Plan</u> : Verify documented management plan.		
	Category 2:	<u>Internal Testimonial</u> : Discussion of a management strategy and use of treatments if necessary.		
	Category 1:	<u>Internal Testimonial</u> : Verify that no management plan had been developed, and pesticides may have been applied without information on vector and disease presence. <u>Action Plan</u> : Verify action plan for first year self-assessments.		

d. Certification Prerequisite Action plan required if Category 1 and Category 2 or higher in subsequent years	e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required Explain in Notes why N/A	

12.6.17 Vineyard Monitoring for Weeds

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on bimonthly weed monitoring and how results impact practices. <u>Log</u> : Review of weed monitoring records.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on periodic weed monitoring. <u>Log</u> : Review of weed monitoring records.		
	Category 2:	<u>Internal Testimonial</u> : Discussion on periodic weed monitoring. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Category 2 or higher in first year; Category 3 or higher in subsequent years		Significant economic, stakeholder <i>and</i> slight environmental impact		
f. <u>Additional Explanation Required</u>				
None				

12.6.18 Weed Knowledge

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on the types of weeds located in the vineyard and understanding of invasive and noxious types as well as resistance to treatments. Also, discussion of references used for identification, and understanding how the weed growth stages and timing are important for control.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on the types of weeds located in the vineyard and understanding of invasive and noxious types as well as resistance to treatments. Also, discussion on the references used for identification.		
	Category 2:	<u>Internal Testimonial</u> : Discussion on the types of weeds located in the vineyard.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.6.19 Weed Management

a. Mandatory to complete?	Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion on the weed management plan that factors the 8 issues listed in Category 4. <u>Written Document/Plan</u> : Review the weed management plan.	
	Category 3:	<u>Internal Testimonial</u> : Discussion on the weed management plan that factors in at least 5 of the 8 issues listed in Category 4. <u>Written Document/Plan</u> : Review the weed management plan.	

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	Category 2:	<u>Internal Testimonial</u> : Discussion on how cost, efficacy, and timing were considered when choosing a treatment option.
	Category 1:	<u>Internal Testimonial</u> : Discussion on how cost was considered when choosing a treatment option.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.6.20 Herbicide Leaching Potential

a. <u>Mandatory to complete?</u>		No, select N/A if no herbicides were used	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee confirming that simazine, diuron, or norflurazon were not used. Also, that the auditee was aware of any groundwater protection areas (where applicable) and any associated restrictions, as well as how management decisions were made with an awareness of leaching potential. Also, how treatments were not made during times when drift or runoff may be an issue.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about groundwater protection areas (where applicable) and any associated restrictions, as well as how management decisions were made with an awareness of leaching potential. Also, how treatments were not made during times when drift or runoff may be an issue.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about groundwater protection areas (where applicable) and any associated restrictions, as well as how management decisions were made with an awareness of leaching potential.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with auditee about groundwater protection areas (where applicable) and any associated restrictions. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1 and Category 2 or higher in subsequent years		e. <u>Prerequisite Rationale</u> Significant environmental impact		
f. <u>Additional Explanation Required</u> Explain in Notes Why N/A				

12.6.21 Area Treated with Herbicides

a. Mandatory to complete?		No, Select N/A if no herbicides were used	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about how the berm is spot treated with foliar herbicides at a narrow width of 18-30 inches and some weeds are tolerated. <u>Direct Observation</u> : Verify berm spray coverage and tolerance to weeds in the vineyard.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about how the entire berm is treated with herbicides at a narrow width of 18-30 inches and some weeds are tolerated. <u>Direct Observation</u> : Verify berm spray coverage and tolerance to weeds in the vineyard.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about how the entire berm is treated with herbicides and some weeds are tolerated. <u>Direct Observation</u> : Verify berm spray coverage and tolerance to weeds in the vineyard.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with auditee about how the entire berm is treated with herbicides and very few weeds are tolerated. <u>Direct Observation</u> : Verify berm spray coverage and tolerance to weeds in the vineyard.		
d. Certification Prerequisite None		e. Prerequisite Rationale N/A		

f. Additional Explanation Required

Explain in Notes Why N/A

12.6.22 Vineyard Monitoring for Vertebrate Pests

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion with the auditee how vertebrate pests were monitored at least bi-weekly and kept written records. Also discuss how employees were trained to identify vertebrate pest activity/damage, and how information was analyzed for management decisions.</p> <p><u>Log</u>: Verify monthly written vertebrate pest records.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion with the auditee how vertebrate pests were monitored at least monthly and kept written records. Also discuss how employees were trained to identify vertebrate pest activity and damage.</p> <p><u>Log</u>: Verify monthly written vertebrate pest records.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discussion with the auditee how vertebrate pests were monitored at least quarterly.</p> <p><u>Action Plan</u>: Verify action plan for first year self-assessments.</p>		
	Category 1:	<p><u>This category does not qualify for certification (must score 2 or higher).</u></p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
Category 2 or higher in first year; Category 3 or higher in subsequent years		Significant environmental impact		
f. Additional Explanation Required				
None				

12.6.23 Vertebrate Pest Management

a. Mandatory to complete?		No, Select N/A if there are no problems with vertebrates	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal testimonial</u>: Discussion with auditee confirming that baits and fumigants were not used for vertebrate control. Also, discuss how any problems were managed by habitat modification, exclusion, or safe trapping. Ensure that any exclusion fencing allows smaller animals to pass through.</p> <p><u>Direct Observation</u>: Verify habitat modification, exclusion, or discuss how safe trapping techniques were carried out.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion on how habitat modification and/or exclusion techniques were used to manage vertebrate pests. Also, during outbreaks, discuss how baits were used timely and safely, or how any Strychnine bait was used in a way that ensured that non-target animals could not ingest it. Also discuss any explosive devices used for control.</p> <p><u>Direct Observation</u>: Verify any habitat modification and exclusion techniques.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discussion with auditee the baits used for vertebrate control and how precautions were taken to ensure non-target animals did not ingest them, or how fumigants or explosive devices were used for control.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Confirm that toxic baits and fumigants were legally used.</p> <p><u>Action Plan</u>: Verify action plan for first year self-assessments.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action plan required if Category 1 and Category 2 or higher in subsequent years		Significant environmental impact <i>and</i> stakeholder concern <i>and</i> Potential risk/liability to the company		
f. Additional Explanation Required				
Explain in Notes Why N/A				

12.6.24 Predation by Vertebrates

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial:</u> Discussion with auditee on how there is at least one owl box for every 40 vineyard acres as well as raptor perches, Kestrel boxes, blue-bird boxes and/or bat boxes. <u>Direct Observation:</u> Verify owl box counts per acreage and the existence of raptor perches, Kestrel boxes, and blue-bird boxes and/or bat boxes.		
	Category 3:	<u>Internal Testimonial:</u> Discussion with auditee on how there is at least one owl box for every 40-100 vineyard acres and raptor perches were provided. <u>Direct Observation:</u> Verify owl box counts per acreage and the existence of raptor perches.		
	Category 2:	<u>Internal Testimonial:</u> Discussion with auditee on how there is at least one owl box for every 100 vineyard acres. <u>Direct Observation:</u> Verify owl box counts per acreage.		
	Category 1:	<u>Internal Testimonial:</u> Discussion that there are no provided nest boxes for birds of prey.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.6.25 Low-Volume Vine Canopy Sprayers

a. <u>Mandatory to complete?</u>		No, Select N/A if no herbicides were sprayed	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on how low volume electrostatic or conventional sprayers were used. <u>Direct Observation</u> : Verify equipment used onsite (if available), and that 20 gallons or less was sprayed per acre, per treatment.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on how conventional dilute sprayers were used with air induction nozzles <u>Direct Observation</u> : Verify equipment used onsite (if available).		
	Category 2:	<u>Internal Testimonial</u> : Discussion on how conventional dilute sprayers were used, producing large droplets, but without air induction nozzles <u>Direct Observation</u> : Verify equipment used onsite (if available).		
	Category 1:	<u>Internal Testimonial</u> : Discussion on how conventional dilute sprayers are used without knowing the size of the droplets.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.6.26 Sprayer Calibration and Maintenance

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on how sprayers were recalibrated often with coverage verified and volumes adjusted when needed. Also, nozzle discharge rates were monitored regularly and changed when variations were noted. Confirm this is all part of regularly scheduled maintenance.		

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	Category 3:	<u>Internal Testimonial</u> : Discussion on how sprayers were calibrated and nozzle wear, variation, and coverage were verified each year. Also, verify recalibration was done when soil conditions warranted it, and that sprayer components were checked and worn nozzles were replaced annually as part of scheduled maintenance.
	Category 2:	<u>Internal Testimonial</u> : Discussion on how sprayers were calibrated every year, and nozzle wear, variation, and coverage were verified every other year.
	Category 1:	<u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Category 2 or higher in first year; Category 3 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None		

12.6.27 Spray Coverage

12-0127 Spray Coverage		b. <u>Audit priority</u>		High
a. <u>Mandatory to complete?</u>		Yes		
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on the application rate and speed of sprayers and/or positioning and adjusting nozzles during the season. Also, discuss how it was verified that sprayer speed and pressure were consistent, including at the ends of rows. Discussion includes how employees were trained in the safe and effective operation of equipment, and on verification techniques to ensure proper coverage.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on the application rate and speed of sprayers and/or positioning and adjusting nozzles during the season. Also, discuss how sprayer speed and pressure were consistent, including at the ends of rows.		
	Category 2:	<u>Internal Testimonial</u> : Discussion on the positioning and adjusting of nozzles during the season.		
	Category 1:	<u>Internal Testimonial</u> : Discussion on the application rate and speed of sprayers, and not adjusting nozzles or discharge rates during a season. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Action plan required if Category 1 and Category 2 or higher in subsequent years		Significant economic <i>and</i> environmental impact		
f. <u>Additional Explanation Required</u>				
None				

12.6.28 Spray Buffer Zone

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion on how reasonable buffer zones were created near any sensitive areas and how applications were not made when drift may be an issue near these areas. Also, discuss how timing and frequency of applications were adjusted to ensure minimal human activity and disturbance in sensitive areas.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on how reasonable buffer zones were created near any sensitive areas and how applications were not made when drift may be an issue near these areas.		
	Category 2:	<u>Internal Testimonial</u> : Discussion on how reasonable buffer zones were created near any sensitive areas or how applications were avoided when drift may be an issue near these areas.		
	Category 1:	<u>Internal Testimonial</u> : Discussion on how pesticide label instructions were followed. <u>Action Plan</u> : Verify action plan for first year self-assessments.		

d. Certification Prerequisite Category 2 or higher in first year; Category 3 or higher in subsequent years	e. Prerequisite Rationale Significant environmental impact <i>and</i> stakeholder concern <i>and</i> potential risk/liability to the company
f. Additional Explanation Required None	

12.6.29 Spray Drift

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on how there was a written spray drift management plan where applications were only made with the wind between 2 and 7 mph. Also, discussion on the use of lowest effective rates with the recommended largest uniform droplet sizes being maintained. Also, confirm that sprayers were turned off at row ends near sensitive areas and that additional low-drift spray technology was used. Written Document/Plan: Review the written spray drift management plan.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on how applications were only made with the wind between 2 and 7 mph. Also, discussion on the use of lowest effective rates with the recommended largest uniform droplet sizes being maintained. Also, confirm that sprayers were turned off at row ends near sensitive areas.		
	Category 2:	<u>Internal Testimonial</u> : Discussion on how applications were only made with the wind between 2 and 7 mph. Also, discussion on the use of low effective rates with the recommended largest uniform droplet sizes being maintained.		
	Category 1:	<u>Internal Testimonial</u> : Discussion on how pesticides were not applied when winds exceeded legal limits, and these limits were verified.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.6.30 Pesticide Storage

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion of how there is no winter storage of pesticides, and rarely at other times. Also, discuss how pesticides are otherwise stored on an impermeable floor with a sump, using safe storage practices, and that unopened containers were returned to the supplier.		
	Category 3:	<u>Internal Testimonial</u> : Discussion of how there is no winter storage of pesticides, and how they are otherwise stored on an impermeable floor using safe storage practices, and that unopened containers were returned to the supplier.		
	Category 2:	<u>Internal Testimonial</u> : Discussion of winter storage of pesticides on an impermeable floor using safe storage practices.		
	Category 1:	<u>Internal Testimonial</u> : Discussion on how legal requirements were followed for pesticide storage.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.6.31 Pesticide Mixing and Loading

a. Mandatory to complete?	Yes	b. Audit priority	Medium
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c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion on how legal requirements for pesticide safety training were followed and personal protective equipment (PPE) was provided to workers. Also, discuss how workers are trained to stay with equipment during filling to prevent spills. <u>Direct Observation</u> : Verify that any well has a berm and it is located at least 100 feet from any mixing or loading area. Confirm that a separate water supply tank is used for mixing, and verify that a double check valve or six-inch air gap was used for filling spray tanks.
	Category 3:	<u>Internal Testimonial</u> : Discussion on how legal requirements for pesticide safety training were followed and personal protective equipment (PPE) was provided to workers. Also, discuss how workers are trained to stay with equipment during filling to prevent spills. <u>Direct Observation</u> : Verify that any well has a berm and it is located at least 30 feet from any mixing or loading area. Also, verify that a double check valve or six-inch air gap was used for filling spray tanks.
	Category 2:	<u>Internal Testimonial</u> : Discussion on how legal requirements for pesticide safety training were followed and personal protective equipment (PPE) was provided to workers. <u>Direct Observation</u> : Verify that a double check valve or six-inch air gap was used for filling spray tanks.
	Category 1:	<u>Internal Testimonial</u> : Discussion on how legal requirements for pesticide safety training were followed and personal protective equipment (PPE) was provided to workers.
d. Certification Prerequisite		e. Prerequisite Rationale
None		N/A
f. Additional Explanation Required		
None		

12.6.32 Pesticide Emergency Response Plan

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on how workers were trained to follow the pesticide emergency response plan. <u>Direct Observation</u> : Verify that a pesticide emergency response plan is posted and that clean up and first aid materials including wash facilities are available.		
	Category 3:	<u>Direct Observation</u> : Verify that a pesticide emergency response plan is posted and that clean up and first aid materials including wash facilities are available.		
	Category 2:	<u>Direct Observation</u> : Verify that a pesticide emergency response plan is posted or that clean up and first aid materials including wash facilities are available.		
	Category 1:	<u>Internal Testimonial</u> : Discussion of how legal requirements were maintained for a pesticide emergency response plan.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.6.33 Winery Pest Management

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Direct Observation</u> : Verify the written winery pest management plan including monitoring (weekly within/monthly outside) and record keeping, while prioritizing exclusion and sanitation. <u>Internal Testimonial</u> : Discussion on how control methods used lowest-risk, cost-effective options, and that employees were trained to look out for issues.		
	Category 3:	<u>Direct Observation</u> : Verify the written winery pest management plan including monitoring and record keeping, while prioritizing exclusion and sanitation. <u>Internal Testimonial</u> : Discussion on how control methods used lowest-risk, cost-effective options, and that employees were trained to look out for issues.		

	Category 2:	<u>Internal Testimonial</u> : Discussion on a winery pest management strategy and how it prioritized exclusion and sanitation.
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.6.34 Using Lower Risk Crop Protection Materials

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Pesticide Use Report: Verify that no Red List or Yellow List materials were used.</u>		
	Category 3:	<u>Pesticide Use Report: Verify that no Red List materials were used, and verify which Yellow List materials were used.</u> <u>Internal Testimonial: Discussion of which lower risk alternatives (materials and/or cultural practices) to Yellow List materials were used or considered.</u> <u>Written Document/Plan: Verify that a “Use Form for the Application of Yellow List Materials” is completed for each Yellow List material used. (See Box 6-GG for form)</u>		
	Category 2:	<u>Internal Testimonial: Discussion of which lower risk alternatives (materials and/or cultural practices) to Red and Yellow List materials were considered.</u>		
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>		
	d. <u>Certification Prerequisite</u> Must be Category 2 or higher in first year; Category 3 or higher in subsequent years		e. <u>Prerequisite Rationale</u> Significant economic, social and environmental impact.	
f. <u>Additional Explanation Required</u> None.				

12.7 WINE QUALITY

12.7.1 Field Fruit Maturity

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Description of how field fruit was considered mature (for category 3, this was when juice Brix, pH, and TA reached the level targeted for harvest, canes were at least 80% lignified, seeds were completely brown, and shoot growth had stopped).		
	Category 3:	<u>Internal Testimonial</u> : Description of how field fruit was considered mature (for category 3, this was when juice Brix reached the level targeted for harvest, canes were 50%-80% lignified for red varieties, seeds were mostly brown, and shoot growth had stopped).		
	Category 2:	<u>Internal Testimonial</u> : Description of how field fruit was considered mature (for category 2, this was when juice Brix reached the level targeted for harvest, and canes were less than 50% lignified).		
	Category 1:	<u>Internal Testimonial</u> : Description of how field fruit was considered mature (for category 1, this was when juice Brix reached the level targeted for harvest).		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.7.2 Tasting Grapes with the Winery Representative

a. <u>Mandatory to complete?</u>		No, Select N/A if a winery representative never visited the vineyard	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirmation from the auditee that grapes were frequently tasted with the winery representative for each block as they matured. <u>External Testimonial</u> : Confirmation from the winery that grapes were frequently tasted with the winery representative for each block as they matured.		
	Category 3:	<u>Internal Testimonial</u> : Confirmation from the auditee that several times before harvest, the vineyard was walked and the grapes were tasted with the winery representative. <u>External Testimonial</u> : Confirmation from the winery that several times before harvest, the vineyard was walked and the grapes were tasted with the winery representative.		
	Category 2:	<u>Internal Testimonial</u> : Confirmation from the auditee that the grapes of most blocks were tasted prior to harvest. <u>External Testimonial</u> : Confirmation from the winery that the grapes of most blocks were tasted prior to harvest.		
	Category 1:	None		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.7.3 Juice Chemistry

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion on how pre-harvest berry analysis was done in most blocks to confirm adequate maturity, and confirm that feedback from the analysis from the winery was available. <u>Analysis Records</u> : Verify yearly recorded Brix, TA, and pH measurements.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on how pre-harvest berry analysis was done in most blocks to confirm adequate maturity. <u>Analysis Records</u> : Verify yearly recorded Brix, TA, and pH measurements.		
	Category 2:	<u>Analysis Records</u> : Verify yearly recorded Brix measurements.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Action Plan required if Category 1; Category 2 or higher for subsequent years		Slight economic impact		
f. <u>Additional Explanation Required</u>				
None				

12.7.4 Taste Wine Made from the Grapes

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirmation from the auditee about annual tastings held with each winemaker to discuss differences in similar wine made from other growers in the region. <u>External Testimonial</u> : Confirmation from the winery about annual tastings held with the grower to discuss differences in similar wine made from other growers in the region.		

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	Category 3:	<u>Internal Testimonial</u> : Confirmation from the auditee about tastings held with the winemaker to discuss differences in wine made in other vineyards or regions. <u>External Testimonial</u> : Confirmation from the winery about tastings held with the grower to discuss differences in wine made in other vineyards or regions.
	Category 2:	<u>Internal Testimonial</u> : Confirmation from the auditee about informal feedback from the winemaker about grape quality.
	Category 1:	None.
d. Certification Prerequisite None		e. Prerequisite Rationale Slight economic impact
f. Timeframe Current Assessment Season		f. Additional Explanation Required None

12.7.5 Knowledge of Wine Quality

a. <u>Mandatory to complete?</u>		No, select N/A if personal concerns prohibit you from tasting wine.	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about tasting domestic and international wines or having attended classes on wine appreciation. In addition, discussion with auditee to determine understanding of components of wine quality and how they can be traced back to the vineyard. Also, discuss where other wine regions in the state and internationally have been visited and toured. <u>Miscellaneous Business Record</u> : Receipt for payment of wine appreciation class.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about tasting domestic and international wines or having attended classes on wine appreciation. In addition, discussion with auditee to determine understanding of components of wine quality and how they can be traced back to the vineyard. <u>Miscellaneous Business Record</u> : Receipt for payment of wine appreciation class.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about tasting domestic or international wines.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with auditee about tasting local wines only or none at all.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.7.6 Knowledge of Wine Industry Marketing and Trends

a. Mandatory to complete?		Yes	b. Audit priority	Low
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Extremely knowledgeable discussion about grapes, bulk wine, and cased good trends and prices in the California and other International wine markets.		
	Category 3:	<u>Internal Testimonial</u> : Extremely knowledgeable discussion about grapes, bulk wine, and cased good trends and prices in the California wine markets. In addition, a knowledgeable discussion about similar trends in other parts of the world.		
	Category 2:	<u>Internal Testimonial</u> : Knowledgeable discussion about bulk wine and cased good trends (but not prices) in the California and some other parts of world.		
	Category 1:	None.		
d. Certification Prerequisite None		e. Prerequisite Rationale N/A		

f. Additional Explanation Required

None

12.7.7 Viticultural Improvement

a. Mandatory to complete?		Yes	b. Audit priority	Low
c. Evidence Requirements	Category 4:	Internal Testimonial: Discussion of how a trial had been done within the last year for specific viticultural practices to note any effect on wine quality or economic viability, and this practice was compared to a “control” of the same vineyard and vintage.		
	Category 3:	Internal Testimonial: Discussion of how a trial had been done within the last 3 years for specific viticultural practices to note any effect on wine quality or economic viability, or how another trial in the area had been reviewed.		
	Category 2:	Internal Testimonial: Discussion of how external suggestions about viticultural practices were considered and implemented for improving wine quality or economic viability.		
	Category 1:	Internal Testimonial: Discussion of how external suggestions about viticultural practices were considered.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.7.8 Planning, Monitoring, Goals and Results for Food Safety

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	Internal Testimonial: Discussion on how a food safety plan was developed and implemented that focused on preventative measures to minimize food safety risks for winegrapes and/or wine. Also, confirm a monitoring and review process was put in place for over one year to ensure that strategy implementation was meeting set goals, and based on results, changes were made to improve strategy implementation. <u>Written Document/Plan:</u> Verify the food safety plan.		
	Category 3:	Internal Testimonial: Discussion on how a food safety plan was developed and started to be implemented that focused on preventative measures to minimize food safety risks for winegrapes and/or wine. Also, confirm a monitoring and review process was put in place to ensure that strategy implementation was meeting set goals. <u>Written Document/Plan:</u> Verify the food safety plan.		
	Category 2:	Internal Testimonial: Discussion on how a food safety strategy was being investigated or developed that focused on preventative measures to minimize food safety risks for winegrapes and/or wine.		
	Category 1:	Internal Testimonial: Discussion on how there was no plan in place to investigate and develop a food safety strategy. <u>Action Plan:</u> Verify action plan for first year self-assessments.		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action plan required if Category 1 and Category 2 or higher in subsequent years		Stakeholder concern <i>and</i> Potential risk/liability to the company		
f. Additional Explanation Required				
None				

12.7.9 Planning, Monitoring, Goals and Results for Security

a. Mandatory to complete?	Yes	b. Audit priority	High
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c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion on how a security or defense plan was developed and implemented that focused on preventative measures to minimize security risks for winegrapes and/or wine. Also, confirm a monitoring and review process was put in place for over one year to ensure that strategy implementation was meeting set goals, and based on results, changes were made to improve strategy implementation. <u>Written Document/Plan</u> : Verify the security or defense plan.
	Category 3:	<u>Internal Testimonial</u> : Discussion on how a security or defense plan and strategy was developed and started to be implemented that focused on preventative measures to minimize security risks for winegrapes and/or wine. Also, confirm a monitoring and review process was put in place to ensure that strategy implementation was meeting set goals. <u>Written Document/Plan</u> : Verify the security or defense plan.
	Category 2:	<u>Internal Testimonial</u> : Discussion on how a security or defense strategy was being investigated or developed that focused on preventative measures to minimize security risks for winegrapes and/or wine.
	Category 1:	<u>Internal Testimonial</u> : Discussion on how there was no plan in place to investigate and develop a security or defense strategy. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action plan required if Category 1 and Category 2 or higher in subsequent years		e. Prerequisite Rationale Stakeholder concern <i>and</i> Potential risk/liability to the company
f. Additional Explanation Required None		

12.8 ECOSYSTEM MANAGEMENT

12.8.1 Ecosystem Processes-Resource Base Ecosystem Biodiversity

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Direct Observation</u> : Operations that showed how vineyards or wineries enhanced ecosystem biodiversity. <u>Log</u> : The species, habitat types, and indicators of plant and animal biodiversity were monitored and recorded in and around the vineyard or winery. <u>Internal Testimonial</u> : Discussion with the auditee to confirm that measures have been taken to promote biodiversity.		
	Category 3:	<u>Direct Observation</u> : Operations that showed how vineyards or wineries enhanced ecosystem biodiversity. <u>Log</u> : The species, habitat types, and indicators of plant and animal biodiversity were monitored and recorded in and around the vineyard or winery.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee to show the auditee understands a winery or vineyard’s role in a diverse and healthy ecosystem, and which practices promoted this.		
	Category 1:	<u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. Certification Prerequisite Action plan required if Category 1 and Category 2 or higher in subsequent years		e. Prerequisite Rationale Stakeholder concern <i>and</i> environmental impact		
f. Additional Explanation Required None				

12.8.2 Watershed Management-Watershed Awareness

a. Mandatory to complete?	Yes	b. Audit priority	High
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c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about what pertinent watershed issues exist, and which site specific efforts were made to minimize negative impacts. Also, if programs exist, discuss involvement in watershed programs that cover stewardship issues and conservation. <u>Direct Observation</u> : Site specific efforts made to minimize negative impacts.
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about what pertinent watershed issues exist, and which site specific efforts were made to minimize negative impacts. <u>Direct Observation</u> : Site specific efforts made to minimize negative impacts.
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about which watershed they are in and if applicable, which tributaries are included.
	Category 1:	<u>This category does not qualify for certification (must score 2 or higher).</u>
d. Certification Prerequisite Category 2 or higher in first year; Category 3 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None		

12.8.3 Ecosystem Management-Native Woodlands

a. <u>Mandatory to complete?</u>		No, select N/A if there was no habitat or records due to management changes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about how there were no native woodlands removed, or when trees or shrubs were removed, this was mitigated by other methods. Also, discuss how the auditee worked with conservation groups on conservation planning of woodland ecosystems in the region. <u>Direct Observation</u> : Verify farming is not done underneath tree canopies and native vegetation was maintained around trees, and observe any mitigation methods where applicable.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about how there were no native woodlands removed, or when trees or shrubs were removed, this was mitigated by other methods. <u>Direct Observation</u> : Verify farming was done underneath tree canopies.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about the removal of native woodlands and replanting of appropriate trees and shrubs around the outside of the winery or vineyard. <u>Direct Observation</u> : Verify the planting of appropriate trees and shrubs.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with auditee about the removal of native woodlands.		
d. <u>Certification Prerequisite</u> None			e. <u>Prerequisite Rationale</u> N/A	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.8.4 Ecosystem Management-Riparian Habitat

a. Mandatory to complete?	No, select N/A if there was no riparian habitat	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Direct Observation</u> : Verify that vegetated buffers exist adjacent to waterways and there are trees and shrubs that shade all or part of the water course.	
	Category 3:	<u>Direct Observation</u> : Verify that vegetated buffers exist adjacent to waterways.	
	Category 2:	<u>Direct Observation</u> : Verify the vineyard was not planted up to the edge of the watercourse, although no vegetated buffer exists.	

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	Category 1:	<u>Direct Observation</u> : Verify the vineyard was planted up to the edge of the watercourse. <u>Action Plan</u> : Verify action plan.
d. Certification Prerequisite Action plan required if Category 1; No timeline to achieve Category 2 or higher		e. Prerequisite Rationale Significant environmental <i>and</i> social impact
f. Additional Explanation Required Explain in Notes why N/A		

12.8.5 Ecosystem Management-Aquatic Habitats: Streams, Rivers, and Wetlands

a. <u>Mandatory to complete?</u>		No, select N/A if there are no aquatic habitats on the property	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about how aquatic habitats were considered during vineyard or winery site selection, planning, or management. <u>Direct Observation</u> : Verify that buffer strips were left or created between vineyards/wineries and aquatic habitat. Verify roads were kept to a minimum near habitats with well maintained drainages and crossings. If appropriate, observe trees in the buffer strip used to shade the watercourse.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about how aquatic habitats were considered during vineyard or winery site selection or management. <u>Direct Observation</u> : Verify that buffer strips were left or created between vineyards/wineries and aquatic habitats.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about how aquatic habitats were considered during vineyard or winery site selection or management.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with auditee about how aquatic habitats were not considered during vineyard or winery planning or management. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1 and Category 2 or higher in subsequent years			e. <u>Prerequisite Rationale</u> Significant environmental <i>and</i> social impact	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.8.6 Habitat Enhancement for Wildlife

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Direct Observation</u> : Confirm the existence of nesting boxes or nesting habitat, and the maintenance and monitoring of natural nesting and perching sites. Also, verify that hedgerows, cover crops, native grasses, or non-native plants (if appropriate) were maintained and additional native plants were established for habitat.		
	Category 3:	<u>Direct Observation</u> : Confirm the existence of nesting boxes or nesting habitat, and the maintenance of natural nesting and perching sites. Also, verify that hedgerows, cover crops, native grasses, or non-native plants (if appropriate) were maintained.		
	Category 2:	<u>Direct Observation</u> : Confirm the existence of nesting boxes or nesting habitat, or the maintenance of natural nesting and perching sites.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with auditee about how there was no habitat enhancement done.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.8.7 Conservation Easements

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about how some or all of the property is protected with an agricultural conservation easement and/or the natural areas were protected by a natural resource conservation easement.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee about conservation or natural resource conservation easements being considered, and how an assessment was done with areas identified where easements were appropriate.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about conservation or natural resource conservation easements being available, but not used, or how an assessment was done and it was found that an easement was not appropriate.		
	Category 1:	None.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.8.8 Sensitive Species

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion on how most of the sensitive species in the region were known and that it was known if any of these species occurred on the property. <u>Direct Observation</u> : Verify how the property was managed to protect and/or enhance habitat for these species.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on how most of the sensitive species in the region were known and that it was known if any of these species occurred on the property.		
	Category 2:	<u>Internal Testimonial</u> : Discussion on how most of the sensitive species in the region were known.		
	Category 1:	<u>Internal Testimonial</u> : Discussion on how the sensitive species in the region were unknown. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action plan required if Category 1 and Category 2 or higher in subsequent years		Significant environmental impact		
f. Additional Explanation Required				
None				

12.8.9 Sensitive Species and Collaboration with Partners

a. Mandatory to complete?		No, select N/A if it could be verified that no sensitive species were on the property during the assessment year	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion on how qualified experts were consulted to inform on operations management decisions that may affect sensitive species. Also, verify that there was participation in programs (where available) that protected the interest in the assessed land while benefitting sensitive species.		
	Category 3:	<u>Internal Testimonial</u> : Discussion on how qualified experts were consulted to inform on operations management decisions that may affect sensitive species.		
	Category 2:	<u>Internal Testimonial</u> : Discussion on how qualified experts were used to determine how to best address the presence of sensitive species known to exist on the property.		

	Category 1:	<u>Internal Testimonial</u> : Verification that the auditee did not seek input from outside sources regarding sensitive species. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action plan required if Category 1 and Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required Explain in Notes why N/A		

12.9 ENERGY MANAGEMENT

12.9.1 Planning, Monitoring, Goals and Results

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion with the auditee about the results of the energy audit that was conducted within the last 5 years, reviewed annually, and how the results were used to make changes, which changes were made, and what efficiency goals were set. Discuss the fact that energy metrics and conservation were used in an energy awareness training program for employees. <u>Written Document/Plan</u> : Verify the documented energy management plan, and that total energy use was monitored and recorded throughout the year and used to calculate performance metrics.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with the auditee about the results of the energy audit that was conducted within the last 5 years, reviewed annually, and how the results were used to make changes, which changes were made, and what efficiency goals were set. <u>Written Document/Plan</u> : Verify the documented energy management plan, and that total energy use was monitored and recorded throughout the year.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with the auditee about the results of the energy audit that was conducted within the last 5 years and how the results were used to make changes. Also, discuss how a rate schedule for the cost of electricity was reviewed. <u>Analysis Records</u> : Verify an energy audit was done within the last 5 years.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with the auditee about having a general idea of the amount of energy use per year, without reviewing a rate schedule for the cost of electricity. <u>Action Plan (Vineyard)</u> : Verify action plan. <u>Action Plan (Winery)</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> <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			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> None				

12.9.2 Vineyard Pump Efficiency

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with the auditee about how pump efficiency was tested and how results were used for maintenance or replacement decisions. Also, if required, discuss the implementation of variable-speed drives and proper-sized pumps and how the irrigation infrastructure was reviewed for efficiency taking all irrigation management factors into consideration. <u>Analysis Records</u> : Verify that pump replacement and repairs were documented and tracked.		

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	Category 3:	<u>Internal Testimonial</u> : Discussion with the auditee about how pump efficiency was considered as one element of irrigation management and when/how pumps were tested for efficiency. Also, if required, discuss the consideration of variable-speed drives and proper-sized pumps and how the irrigation infrastructure was reviewed for efficiency.
	Category 2:	<u>Internal Testimonial</u> : Discussion with the auditee about how pump efficiency was considered as one element of irrigation management.
	Category 1:	<u>Internal Testimonial</u> : Discussion with the auditee about how the operation and maintenance of the pumps has not changed since installation.
d. Certification Prerequisite Action Plan required if Category 1; Category 2 or higher for subsequent years		e. Prerequisite Rationale Environmental impact
f. Additional Explanation Required None		

12.9.3 Vineyard Vehicles

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Log</u> : Verify the amount of fuel used in the vineyard was tracked. <u>Internal Testimonial</u> : Discussion with the auditee on how practices and technological impacts were addressed to increase fuel efficiency. <u>Direct Observation</u> : Verify that at least one alternative fuel was used.		
	Category 3:	<u>Log</u> : Verify the amount of fuel used in the vineyard was tracked. <u>Internal Testimonial</u> : Discussion with the auditee on how practices and technological impacts were addressed to increase fuel efficiency.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with the auditee about how the amount of fuel used in the vineyard was known.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.9.4 Winery Motors, Drives & Pumps

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with the auditee on how existing equipment was maintained for optimal performance, and new efficient technologies and designs were used throughout the operation. Also, discuss how variable-frequency drives, multi-speed motors, and/or “right sized” pumps were selected for new purchases. <u>Analysis Records</u> : Verify that a comprehensive energy audit was made before replacing equipment.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with the auditee on how existing equipment was maintained for optimal performance and new efficient technologies were researched. Also, discuss how variable-frequency drives, multi-speed motors, and “right sized” pumps were considered for new purchases. <u>Analysis Records</u> : Verify that a comprehensive energy audit was made before replacing equipment.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with the auditee about how efforts were made to improve efficiencies of motors, drives, and pumps.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with the auditee about how the motors, drives, and pumps were operated and maintained much as they had been since installation.		

d. Certification Prerequisite Action Plan required if Category 1; Category 2 or higher for subsequent years	e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None	

12.9.5 Refrigeration System

a. Mandatory to complete?	Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with the auditee about technologies that were implemented for optimal performance. Also, discuss that chiller loads were reduced by building insulation, night air cooling, and off peak evaporative cooling and/or ice making. Also, discuss which energy efficient technologies were used.	
	Category 3:	<u>Internal Testimonial</u> : Discussion with the auditee about technologies that were implemented for optimal performance. Also, discuss that chiller loads were reduced by building insulation, night air cooling, and off peak evaporative cooling and/or ice making. Also, discuss what techniques and maintenance were used for optimal performance.	
	Category 2:	<u>Internal Testimonial</u> : Discussion with the auditee about how efforts were made to improve efficiency of the system and that the system was targeted for future energy efficiency upgrades.	
	Category 1:	<u>Internal Testimonial</u> : Discussion with the auditee about how the refrigeration system was operated and maintained much as it had been since installation.	
d. Certification Prerequisite None		e. Prerequisite Rationale N/A	
f. Additional Explanation Required None			

12.9.6 Tanks and Lines

a. Mandatory to complete?	Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with the auditee about vendors and suppliers that were invited to demonstrate new technologies that improve energy efficiency of tanks. <u>Direct Observation</u> : Verify that 80% or more of the tanks were equipped with insulated jackets, or the building they are in is enclosed and insulated, and that glycol lines are insulated.	
	Category 3:	<u>Internal Testimonial</u> : Discussion with the auditee about which research was done to improve the energy efficiency of cooling and heating tanks, and the methods used to reduce thermal stratification. <u>Direct Observation</u> : Verify that 50% or more of the tanks were equipped with insulated jackets, or the building they are in is enclosed and insulated, and that glycol lines are insulated.	
	Category 2:	<u>Internal Testimonial</u> : Discussion with the auditee about how efforts were made to improve energy efficiency of cooling and heating tanks, and methods were used to reduce thermal stratification. Also, discuss how some tanks were located to reduce heating or cooling needs. <u>Direct Observation</u> : Verify there are some tanks with jackets, and that glycol lines are insulated.	
	Category 1:	<u>Internal Testimonial</u> : Discussion with the auditee about how the tank system was operated and maintained much as it had been since installation.	
d. Certification Prerequisite None		e. Prerequisite Rationale N/A	
f. Additional Explanation Required None			

12.9.7 Heating, Ventilation, and Air Conditioning (HVAC)

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how existing equipment was maintained for optimal performance and that heating and cooling loads were reduced. Also, discuss which new technologies were investigated to improve energy efficiency of the HVAC system, and that energy efficient technologies and designs were used throughout the operation.</p> <p><u>Direct Observation</u>: Verify the methods used to reduce heating and cooling loads, and the new technologies and designs used to improve energy efficiency.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how existing equipment was maintained for optimal performance and that heating and cooling loads were reduced.</p> <p><u>Direct Observation</u>: Verify the methods used to reduce heating and cooling loads.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how efforts were made to improve energy efficiency of the HVAC system, and how regularly scheduled maintenance included checking insulation, weather stripping, and window film.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how the HVAC system was operated and maintained much as it had been since installation.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.9.8 Lighting - Offices and Labs

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion with the auditee that the lighting fixtures were inspected and cleaned if needed, and which new lighting technologies were tested.</p> <p><u>Direct Observation</u>: LED or compact fluorescent lights are used in all appropriate locations. Also, verify that the lighting was designed to illuminate areas needed at the time (task lighting) and was complemented with natural light (if possible), and that energy efficient lighting technologies were used.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion with the auditee that the lighting fixtures were inspected and cleaned if needed, and which new lighting technologies were investigated.</p> <p><u>Direct Observation</u>: LED or compact fluorescent lights are used in all appropriate locations. Also, verify that either the lighting was designed to illuminate areas needed at the time (task lighting) and was complemented with natural light (if possible), or that energy efficient lighting technologies were used.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how efforts were made to improve lighting energy efficiency, but that lighting fixtures were not inspected as part of cleaning procedures.</p> <p><u>Direct Observation</u>: LED or compact fluorescent lights are used in some locations.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how the lighting system was operated and maintained much as it had been since installation.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.9.9 Lighting – Shops and Facilities

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion with the auditee that the lighting fixtures were inspected and cleaned if needed, and which new lighting technologies were tested.</p> <p><u>Direct observation</u>: LED or compact fluorescent lights are used in all locations. Also, verify that the lighting was designed to illuminate areas needed at the time (task lighting) and was complemented with natural light (if possible), unnecessary lamps and ballasts were disconnected, and that energy efficient lighting technologies were used.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion with the auditee that the lighting fixtures were inspected and cleaned if needed, and which new lighting technologies were investigated.</p> <p><u>Direct observation</u>: LED or compact fluorescent lights are used in most locations. Also, verify that either the lighting was designed to illuminate areas needed at the time (task lighting) and was complemented with natural light (if possible), unnecessary lamps and ballasts were disconnected, or that energy efficient lighting technologies were used.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how efforts were made to improve lighting energy efficiency, but that lighting fixtures were not inspected as part of cleaning procedures.</p> <p><u>Direct observation</u>: LED or compact fluorescent lights are used in some locations.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how the lighting system was operated and maintained much as it had been since installation.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.9.10 Lighting – Outdoor and Security

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion with the auditee that the lighting fixtures were inspected and cleaned if needed, which new lighting technologies were tested, that unnecessary lamps and ballasts were disconnected, and that sodium, LED, and/or sulfur lamps were installed for outdoor lighting. Also, discuss how night lighting impacts were considered when using new technologies, and how employees were trained to turn off lights during their rounds (if applicable).</p> <p><u>Direct Observation</u>: Also, verify that the lighting was designed to illuminate key security areas at all times.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion with the auditee that the lighting fixtures were inspected and cleaned if needed, which new lighting technologies were investigated, that unnecessary lamps and ballasts were disconnected, and that sodium, LED, and/or sulfur lamps were considered for outdoor lighting. Also, discuss how night lighting impacts were considered when using new technologies.</p> <p><u>Direct Observation</u>: Also, verify that the lighting was designed to illuminate key security areas at all times.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how efforts were made to improve lighting energy efficiency, but that lighting fixtures were not inspected as part of cleaning procedures.</p> <p><u>Direct Observation</u>: Incandescent lights are still used in many locations.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Discussion with the auditee about how the lighting system was operated and maintained much as it had been since installation.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		

f. Additional Explanation Required

None

12.9.11 Office Equipment

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with the auditee that office equipment is turned off or in standby mode when not in use, that energy consumption was considered if office equipment was upgraded or replaced, and that new or replacement office equipment was Energy Star® certified.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with the auditee that office equipment is turned off or in standby mode when not in use, and that energy consumption was considered if office equipment was upgraded or replaced.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with the auditee on which efforts were made to improve office equipment energy efficiency, and that office equipment is turned off or in standby mode when not in use.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with the auditee about how office equipment was operated and maintained much as it had been since installation.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.9.12 Renewable Sources of Power

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with the auditee about the source(s) for electricity supplied to the vineyard and/or winery was known. <u>Analysis Records</u> : Verify that a third party renewable power source provider was selected for the vineyard and/or winery. <u>Direct Observation</u> : Verify that a renewable energy system was implemented.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with the auditee about the source(s) for electricity supplied to the vineyard and/or winery was known. <u>Analysis Records</u> : Verify the renewable energy assessment.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with the auditee about the source(s) for electricity supplied to the vineyard and/or winery was known, and which potential renewable energy options had been researched.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with the auditee about the source(s) for electricity supplied to the vineyard and/or winery was unknown, and that awareness of potential renewable energy options was limited.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.10 WINERY WATER CONSERVATION AND WATER QUALITY

12.10.1 Water Conservation Planning, Monitoring, Goals, and Results

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee on how water use data and audit results were used to make decisions on maintenance, capital improvements, employee training, and reducing water use. Verify that yearly goals were revised for the continuous improvement of overall water use. <u>Analysis Records</u> : Verify the completion of a comprehensive water audit done within the last 5 years. <u>Log</u> : Verify monitoring, recording, and tracking of water use throughout the year. <u>Written Document/Plan</u> : Verify that a comprehensive water conservation plan was implemented that includes a water performance metric, person(s) responsible for water conservation, and implementation of cleaning and sanitizing procedures.		
	Category 3:	<u>Internal Testimonial</u> : Discussion with auditee on how water use data and audit results were used to make decisions on maintenance, capital improvements, employee training, and reducing water use, as well as being used to set yearly goals from a production baseline. <u>Analysis Records</u> : Verify the completion of a comprehensive water audit done within the last 5 years. <u>Log</u> : Verify monitoring and recording of water use throughout the year.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about knowing and monitoring total water use per year, and using the data to begin development of a water conservation program.		
	Category 1:	<u>Internal Testimonial</u> : Discussion with auditee about estimated winery water use per year. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action plan required if Category 1 and Category 2 or higher in subsequent years		Significant environmental impact <i>and</i> Stakeholder concern <i>and</i> Potential risk/liability to the company		
f. Additional Explanation Required				
None				

12.10.2 Source Water Quality Planning, Monitoring, Goals, and Results

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimony</u>: Discussion with auditee about testing winemaking water quality, and results from tests were used to make decisions on capital improvements, maintenance, and training.</p> <p><u>Analysis Records</u>: Verify winemaking water quality test results that were recorded throughout the year and compared to the industry operational usage guidelines, and how water has improved over the baseline testing year.</p>		
	Category 3:	<p><u>Internal Testimony</u>: Discussion with auditee about testing winemaking water quality, and results from tests were used to make decisions on capital improvements, maintenance, and training.</p> <p><u>Analysis Records</u>: Verify winemaking water quality test results that were recorded throughout the year.</p>		
	Category 2:	<p><u>Internal Testimony</u>: Discussion with auditee about testing winemaking water quality, and results from tests were used to make decisions on capital improvements, maintenance, and training.</p> <p><u>Analysis Records</u>: Verify winemaking water quality test results.</p>		
	Category 1:	<p><u>Internal Testimony</u>: Discussion with auditee about knowing that water meant for human consumption was known to be safe for the intended use.</p> <p><u>Action Plan</u>: Verify action plan for first year self-assessments.</p>		

d. Certification Prerequisite Action plan required if Category 1 and Category 2 or higher in subsequent years	e. Prerequisite Rationale Significant environmental impact <i>and</i> Stakeholder concern <i>and</i> Potential risk/liability to the company
f. Additional Explanation Required None	

12.10.3 Water Supply

a. <u>Mandatory to complete?</u>		No, select N/A if there are no wells on the property	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimony</u> : Discussion with auditee on how water use records were used as part of a water conservation program. Also, discuss that water use information was provided in employee training and made publicly available (as appropriate). <u>Analysis Records</u> : Verify that total water use was measured, monitored, and recorded monthly and at least weekly during high-demand periods. Verify landscaping or irrigation water use records. <u>Direct Observation</u> : Meters are installed on wells and separate meters were used for recording water used for any landscaping or irrigation.		
	Category 3:	<u>Internal Testimony</u> : Discussion with auditee on how water use records were used as part of a water conservation program. <u>Analysis Records</u> : Verify that total water use was measured, monitored, and recorded monthly <u>Direct Observation</u> : Meters are installed on wells.		
	Category 2:	<u>Internal Testimony</u> : Discussion with auditee about how total water use was estimated. <u>Direct Observation</u> : Meters are installed on wells or water use was measured, but not monitored throughout the year.		
	Category 1:	<u>Internal Testimony</u> : Discussion with auditee about how total water use was estimated. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
Action plan required if Category 1 and Category 2 or higher in subsequent years		Significant environmental impact		
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.10.4 Water to Process Water Ponds or Publicly Owned Treatment Works (POTW)

a. Mandatory to complete?	Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimony</u> : Discussion with auditee that sumps, interceptors, or traps were inspected monthly and cleaned quarterly. Also, verify that flow meters were monitored quarterly, and weekly during high demand periods. Confirm there was training in storm water protection and diversion valve operation (if applicable). <u>Direct Observation</u> : Verify that flow meters were installed for process water discharge. <u>Written Document/Plan</u> : Verify regular testing results for pH, dissolved oxygen, or other permit requirements, and confirm this data was used to develop and implement a comprehensive water conservation program. Also, verify that Best Management Practices for process water, or a Storm Water Pollution Prevention Program (SWPPP) were in place (if required).	

	Category 3:	<u>Internal Testimony</u> : Discussion with auditee that sumps, interceptors, or traps were inspected quarterly and cleaned annually. Also, verify that flow meters were monitored quarterly. <u>Direct Observation</u> : Verify that flow meters were installed for process water discharge. <u>Written Document/Plan</u> : Verify regular testing results for pH, dissolved oxygen, or other permit requirements. Also, verify that Best Management Practices for process water, or a Storm Water Pollution Prevention Program (SWPPP) were in place (if required).
	Category 2:	<u>Internal Testimony</u> : Discussion with auditee that sumps, interceptors, or traps were inspected annually. Also, verify regular tests were conducted for pH, dissolved oxygen, or other permit requirements. <u>Direct Observation</u> : Verify that flow meters were installed for process water discharge.
	Category 1:	<u>Direct Observation</u> : Verify that flow meters were installed for process water discharge, if required. <u>Analysis Records</u> : Verify regular testing results for pH, dissolved oxygen, or other permit requirements.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.10.5 Process Water Discharge - Water from Process Water Ponds

a. <u>Mandatory to complete?</u>		No, select N/A if there are no process water ponds on the property	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirm that pond water was used for vineyards and/or landscaping, if permissible. Verify that flow data was used to select reuse or disposal method(s). <u>Analysis Records</u> : Verify that water quality results were used to develop and implement a plan to reduce constituents in discharge water and/or at least one additional alternative reuse or disposal method was implemented.		
	Category 3:	<u>Internal Testimonial</u> : Confirm that some pond water was used for vineyards and/or landscaping, if permissible. Verify that time was invested in researching and visiting other facilities that have implemented alternative reuse or disposal methods for process water.		
	Category 2:	<u>Internal Testimonial</u> : Confirm that some pond water was used for irrigation, if permissible. Also, confirm that time was invested into researching alternative disposal methods for process water.		
	Category 1:	<u>Internal Testimonial</u> : Verify that no process water was reused and some pond water was discharged through land applications at all times of the year.		
d. <u>Certification Prerequisite</u> None			e. <u>Prerequisite Rationale</u> N/A	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.10.6 Septic Systems or Onsite Systems

a. <u>Mandatory to complete?</u>		No, select N/A if winery does not have a septic system	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Verify that the septic system was regularly checked and the results recorded to ensure effective operation, and any grease traps were maintained regularly. Also, verify that management and staff were trained in the “do’s” and “don’ts” for septic tanks and leach fields. <u>Direct Observation</u> : Verify a grease trap (if applicable) was installed for any restaurant or food service activities. Also, confirm that a second leach field was installed with a hand-operated diversion valve, or that separate septic tanks and leach fields were maintained for processed process water. <u>Written Document/Plan</u> : Verify that an operations and maintenance plan was in place with an assigned staff person.		
	Category 3:	<u>Internal Testimonial</u> : Verify that the septic system was regularly checked to ensure effective operation, and any grease traps were maintained randomly. Also, verify that management and staff were trained in the “do’s” and “don’ts” for septic tanks and leach fields, or that a second leach field was installed with a hand-operated diversion valve. <u>Direct Observation</u> : Verify a grease trap (if applicable) was installed for any restaurant or food service activities and any diversion valves <u>Written Document/Plan</u> : Verify that an operations and maintenance plan was in place with an assigned staff person.		
	Category 2:	<u>Internal Testimonial</u> : Verify that the septic system was randomly checked to ensure effective operation. <u>Direct Observation</u> : Verify a grease trap (if applicable) was installed for any restaurant or food service activities.		
	Category 1:	<u>Internal Testimonial</u> : Verify that the septic system was designed, engineered, and constructed for the volume of the facility.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.10.7 Storm Water

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<p><u>Internal Testimonial</u>: Discuss how management and staff were trained in diversion valve operation.</p> <p><u>Visual Record</u>: Verify that locations of storm drains were identified, labeled, and documented as draining to known and permitted locations.</p> <p><u>Direct Observation</u>: Verify that covered work areas eliminate rainfall runoff to storm drains. Also, verify that the process water system is not subject to unwanted water from rainfall runoff, and that diversion valves were installed with aboveground indicators.</p> <p><u>Written Document/Plan</u>: Verify that Best Management Practices for process water, or a Storm Water Pollution Prevention Program (SWPPP) were in place (if required).</p> <p><u>Log</u>: Verify records of diversion valve inspection results.</p>		

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	Category 3:	<p><u>Internal Testimonial</u>: Discuss how management and staff were trained in diversion valve operation.</p> <p><u>Direct Observation</u>: Verify that covered work areas eliminate rainfall runoff to storm drains or that locations of storm drains were identified, labeled, and documented as draining to known and permitted locations. Also, verify that the process water system is not subject to unwanted water from rainfall runoff, and that diversion valves were installed with aboveground indicators.</p> <p><u>Written Document/Plan</u>: Verify that Best Management Practices for process water, or a Storm Water Pollution Prevention Program (SWPPP) were in place (if required).</p>
	Category 2:	<p><u>Internal Testimonial</u>: Discuss that storm water from uncovered areas flows into process water system only during harvest, and locations of storm drains were identified and labeled.</p> <p><u>Direct Observation</u>: Verify that the process water system is subject to minimal unwanted water from rainfall runoff and that diversion valves were installed in critical storm drains.</p>
	Category 1:	<p><u>Internal Testimonial</u>: Discuss that storm water from uncovered areas flows into process water system all year, and locations of storm drains were known.</p> <p><u>Direct Observation</u>: Verify that the process water system is subject to unwanted water from rainfall runoff.</p> <p><u>Action Plan</u>: Verify action plan.</p>
d. Certification Prerequisite Action plan required if Category 1; No timeline to move to Category 2		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None		

12.10.8 Crush Operations

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discuss that pre-cleaning of equipment was done with appropriate tools and water was applied as needed from a high pressure/low volume nozzle fitted with a shutoff valve. Also, a broom and squeegee were nearby and workers were encouraged to use them to clean up spills. Verify that employees were trained in crush operation cleaning procedures.</p> <p><u>Direct Observation</u>: Confirm that crush operations were outside and covered, or moved inside. Verify shut off valves on cleaning hoses.</p> <p><u>Written Document/Plan</u>: Verify that written cleaning procedures were implemented as part of a water conservation plan.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discuss that pre-cleaning of equipment was done with appropriate tools and water was applied as needed from a high pressure/low volume nozzle fitted with a shutoff valve. Also, a broom and squeegee were nearby and workers were encouraged to use them to clean up spills.</p> <p><u>Direct Observation</u>: Confirm that crush operations were outside and covered. Verify shut off valves on cleaning hoses.</p> <p><u>Written Document/Plan</u>: Verify that written cleaning procedures were implemented as part of a water conservation plan.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discuss that pre-cleaning of equipment was done with appropriate tools and water was applied as needed from a high pressure/low volume nozzle fitted with a shutoff valve. Also, a broom and squeegee were nearby and workers were encouraged to use them to clean up spills, and verify cleaning procedures were developed for crush operations.</p> <p><u>Direct Observation</u>: Confirm that crush operations were outside and uncovered. Verify shut off valves on cleaning hoses.</p>		

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	Category 1:	<u>Direct Observation</u> : Confirm that crush operations were outside and uncovered. <u>Internal Testimonial</u> : Discuss how there was no pre-cleaning of equipment surfaces before wash-down occurred, and water for cleaning equipment was applied as needed. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action plan required if Category 1 and Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None		

12.10.9 Presses

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss that pre-cleaning of equipment was done with appropriate tools and water was applied as needed from a high pressure/low volume nozzle fitted with a shutoff valve. Verify that employees were trained in press operation cleaning procedures, or that a water efficient self-cleaning press was installed. <u>Direct Observation</u> : Confirm that press operations were outside and covered, or moved inside. Verify shut off valves on cleaning hoses. <u>Written Document/Plan</u> : Verify that written cleaning procedures were implemented as part of a water conservation plan.		
	Category 3:	<u>Internal Testimonial</u> : Discuss that pre-cleaning of equipment was done with appropriate tools and water was applied as needed from a high pressure/low volume nozzle fitted with a shutoff valve. <u>Direct Observation</u> : Confirm that press operations were outside and covered. Verify shut off valves on cleaning hoses. <u>Written Document/Plan</u> : Verify that written cleaning procedures were implemented as part of a water conservation plan.		
	Category 2:	<u>Internal Testimonial</u> : Discuss that pre-cleaning of equipment was done with appropriate tools and water was applied as needed from a high pressure/low volume nozzle fitted with a shutoff valve, and verify cleaning procedures were developed for press operations. <u>Direct Observation</u> : Verify that presses were outside and uncovered. _Verify shut off valves on cleaning hoses.		
	Category 1:	<u>Internal Testimonial</u> : Discuss how there was no pre-cleaning of equipment surfaces before wash-down occurred, and water for cleaning equipment was applied as needed. <u>Direct Observation</u> : Verify that presses were outside and uncovered. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1 and Category 2 or higher in subsequent years			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> None				

12.10.10 Tanks and Transfer Lines

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss that tanks and lines were cleaned with a measured amount of water, and water for cleaning was applied in a way that recirculated the water in the tanks. Also, discuss which options were researched to conserve water, and verify this included the implementation of capturing and reusing tank rinse water. Verify that a sanitation option that conserves water was also implemented. <u>Written Document/Plan</u> : Verify tank cleaning was done as part of a water conservation plan that included employee training. Verify that this plan included water that was measured, monitored, and tracked. Also, verify that the plan included checking transfer lines for appropriate diameter, layout design, and leak detection. <u>Direct Observation</u> : Verify shut off valves on cleaning hoses.		
	Category 3:	<u>Internal Testimonial</u> : Discuss that tanks and lines were cleaned with a measured amount of water, and water for cleaning was applied in a way that recirculated the water in the tanks. Also, discuss which options were researched to conserve water, and verify this included the evaluation and feasibility of capturing and reusing tank rinse water. Verify that a sanitation option that conserves water was implemented. <u>Written Document/Plan</u> : Verify tank cleaning was done as part of a water conservation plan. <u>Direct Observation</u> : Verify shut off valves on cleaning hoses.		
	Category 2:	<u>Internal Testimonial</u> : Discuss that tanks and lines were cleaned with an estimated amount of water, water was applied as needed from a high pressure/low volume nozzle fitted with a shutoff valve, all process water goes to the drain, and the water used was not monitored and tracked. Also, discuss which options were researched to conserve water. <u>Written Document/Plan</u> : Verify tank cleaning was done as part of a water conservation plan. <u>Direct Observation</u> : Verify shut off valves on cleaning hoses.		
	Category 1:	<u>Internal Testimonial</u> : Discuss that tanks and lines were cleaned with an unknown amount of water, cleaning water was applied as needed, all process water goes to the drain, and the water used was not monitored and tracked.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.10.11 Cellars

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<p><u>Internal Testimonial</u>: Discuss how floors were pressure washed with high pressure/low volume nozzles with shut-off valves. Verify that one alternative cleaning technology was tested or implemented in the cellar, and that a cellar worker was a member of the water team (if applicable).</p> <p><u>Log</u>: Verify that water use was measured, monitored, tracked, and used as training as part of a water conservation program, and cellar clean up time was recorded.</p> <p><u>Written Document/Plan</u>: Verify that cellar workers had implemented written water conservation training practices.</p> <p><u>Direct Observation</u>: Verify that water awareness information, including the water performance metric was posted in the cellar, or communicated to cellar workers. Verify shut off valves on cleaning hoses.</p>		

	Category 3:	<p><u>Internal Testimonial</u>: Discuss how floors were pressure washed with high pressure/low volume nozzles with shut-off valves. Verify that alternative cleaning technology was discussed at educational meetings or such facilities were visited.</p> <p><u>Log</u>: Verify that water use was measured and tracked as part of a water conservation program, and cellar clean up time was recorded.</p> <p><u>Written Document/Plan</u>: Verify that cellar workers were trained using written water conservation training practices.</p> <p><u>Direct Observation</u>: Verify that water awareness information was posted in the cellar, or communicated to cellar workers. Verify shut off valves on cleaning hoses.</p>
	Category 2:	<p><u>Internal Testimonial</u>: Discuss that the total amount of water used was estimated, and the cleanup time was recorded. Also, verify that cellar workers were aware of water conservation information, floors were pressure washed with high pressure/low volume nozzles with shut-off valves, and that alternative cleaning technologies were researched.</p> <p><u>Log</u>: Verify that water use and cleanup time was recorded.</p> <p><u>Direct Observation</u>: Verify shut off valves on cleaning hoses.</p>
	Category 1:	<p><u>Internal Testimonial</u>: Discuss that the total amount of water used, and cellar clean up time were unknown, Also, verify that cellar workers were unaware of water conservation information and floors were pressure washed with as much water as needed.</p>
d. Certification Prerequisite		e. Prerequisite Rationale
None		N/A
f. Additional Explanation Required		
None		

12.10.12 Barrel Washing

a. Mandatory to complete?		b. Audit priority
Yes		Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discuss how barrels were washed with timer controlled hot water, and this was done with a high pressure/low volume nozzle with a shut-off valve. Verify that the temperature was controlled, monitored, and adjusted based on new cleaning alternatives. Also, verify that one alternative sanitation and cleaning technology that conserves water was implemented, and that the capture and reuse of rinse water was implemented.</p> <p><u>Written Document/Plan</u>: Verify that water use was measured, monitored, and tracked as part of a written water conservation program, and that cellar workers had implemented written water conservation practices for barrel cleaning that included training.</p> <p><u>Direct Observation</u>: Verify shut off valves on cleaning hoses.</p>
	Category 3:	<p><u>Internal Testimonial</u>: Discuss how barrels were washed with temperature controlled hot water, and this was done with a high pressure/low volume nozzle with a shut-off valve. Verify that the temperature was controlled and monitored. Also, verify that alternative sanitation and cleaning technologies that conserve water were tested, and that the feasibility of capturing and reusing rinse water was evaluated.</p> <p><u>Written Document/Plan</u>: Verify that water use was measured and monitored as part of a written water conservation program, and that cellar workers had implemented written water conservation practices for barrel cleaning.</p> <p><u>Direct Observation</u>: Verify shut off valves on cleaning hoses.</p>
	Category 2:	<p><u>Internal Testimonial</u>: Discuss how barrels were washed with hot water until the discharge water was clear, and this was done with a high pressure/low volume nozzle with a shut-off valve. Also, verify this amount of water was estimated, and that alternative sanitation and cleaning technologies were investigated.</p> <p><u>Direct Observation</u>: Verify shut off valves on cleaning hoses.</p>
	Category 1:	<p><u>Internal Testimonial</u>: Discuss that the total amount of water used was not monitored or tracked, and barrels were cleaned using as much water as needed.</p>

d. Certification Prerequisite None	e. Prerequisite Rationale N/A
f. Additional Explanation Required None	

12.10.13 Barrel Soaking

a. <u>Mandatory to complete?</u>		No, select N/A if there was no barrel soaking	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss that each barrel was filled with a measured amount of cold water and rotated on their side to detect leaks and seal. Verify that barrel heads were soaked separately using an estimated amount of cold water. Discuss the alternative sanitation technology that was implemented, and that employees were trained in barrel soaking procedures. <u>Written Document/Plan</u> : Verify that water use was measured, monitored, and tracked as part of a written water conservation program.		
	Category 3:	<u>Internal Testimonial</u> : Discuss that each barrel was filled with an estimated amount of hot water and rotated on their side to detect leaks and seal. Verify that barrel heads were soaked separately using an estimated amount of hot water. Discuss the alternative sanitation technologies that were investigated. <u>Written Document/Plan</u> : Verify that water use was measured and monitored as part of a written water conservation program.		
	Category 2:	<u>Internal Testimonial</u> : Discuss that only an estimated amount of hot water was used to fill barrels completely to detect leaks and to seal.		
	Category 1:	<u>Internal Testimonial</u> : Discuss that only hot water was used to fill barrels completely to detect leaks and to seal.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.10.14 Bottling

a. Mandatory to complete?	No, select N/A if bottling was not done at the winery	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discuss that the filler sanitation procedures were developed with set cleaning times for hot and cold water. Also, discuss that the pump and filler were pressure washed with high pressure/low volume cleaning equipment equipped with a shut-off valve, and that the feasibility of capturing and reusing rinse water was implemented. Verify that employees were trained in bottling sanitation procedures.</p> <p><u>Direct Observation</u>: Verify shut off valves on cleaning hoses.</p> <p><u>Log</u>: Verify that water use was measured, monitored, and tracked as part of a written water conservation program.</p>	
	Category 3:	<p><u>Internal Testimonial</u>: Discuss that the filler was sanitized with hot and cold water using water amounts that were accurately determined. Also, discuss that the pump and filler were pressure washed with high pressure/low volume cleaning equipment equipped with a shut-off valve, and that the feasibility of capturing and reusing rinse water was evaluated.</p> <p><u>Direct Observation</u>: Verify shut off valves on cleaning hoses.</p> <p><u>Log</u>: Verify that water use was measured and monitored as part of a written water conservation program.</p>	

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	Category 2:	<u>Internal Testimonial</u> : Discuss that the filler was sanitized with hot and cold water using procedures developed with set cleaning times. Also, discuss that the pump and filler were pressure washed with high pressure/low volume cleaning equipment equipped with a shut-off valve. Verify that this was done with an estimated amount of water, and alternative cleaning and sanitation technology was researched. <u>Direct Observation</u> : Verify shut off valves on cleaning hoses.
	Category 1:	<u>Internal Testimonial</u> : Discuss that the filler was sanitized with hot and cold water for as long as needed, and that the pump and filler were pressure washed with high pressure/low volume cleaning equipment equipped with a shut-off valve. Verify that this was done with an unknown amount of water that was sent down the drain. <u>Direct Observation</u> : Verify shut off valves on cleaning hoses.
d. Certification Prerequisite		e. Prerequisite Rationale
None		N/A
f. Additional Explanation Required		
Explain in Notes why N/A		

12.10.15 Labs

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discuss that rinse time was accurately determined and tracked, water-saving devices for sinks and rinse tanks were installed, and new techniques to reduce water use and hazardous waste generation were implemented. <u>Written Document/Plan</u> : Verify that workers implemented written water conservation practices. Verify that water use was measured and tracked as part of a written water conservation program and was used in employee training. <u>Direct Observation</u> : Verify that water awareness information, including the water performance metric was available in the lab.		
	Category 3:	<u>Internal Testimonial</u> : Discuss that rinse time was accurately determined, water-saving devices for sinks and rinse tanks were researched, and new techniques to reduce water use and hazardous waste generation were investigated. <u>Written Document/Plan</u> : Verify that workers were trained in written water conservation practices. Verify that water use was measured and tracked as part of a written water conservation program. <u>Direct Observation</u> : Verify that water awareness information was available in the lab.		
	Category 2:	<u>Internal Testimonial</u> : Discuss that rinse time for lab equipment was known, and workers were aware of water conservation information.		
	Category 1:	<u>Internal Testimonial</u> : Discuss that rinse time for lab equipment was unknown, and workers were unaware of water conservation information.		
d. Certification Prerequisite			e. Prerequisite Rationale	
None			N/A	
f. Additional Explanation Required				
None				

12.10.16 Landscaping

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss that most plants were drought tolerant, or recycled water was used for landscaping. Confirm that irrigation lines were checked regularly for issues. <u>Written Document/Plan</u> : Verify that water use was measured, monitored, and tracked as part of a written water conservation program, and results were used in employee training. Also, verify that soils were tested annually. <u>Direct Observation</u> : Verify mulch or compost was applied twice per year (if applicable), and landscaping had automatic irrigation with moisture sensors or rain shut-off devices. <u>Miscellaneous Business Records</u> : Receipts of drought tolerant plants bought for landscaping.		
	Category 3:	<u>Internal Testimonial</u> : Discuss that there were drought tolerant plants (50% or more of landscaping), or recycled water was used for landscaping. Confirm that irrigation lines were checked regularly for issues. <u>Written Document/Plan</u> : Verify that water use was measured and tracked as part of a written water conservation program. <u>Direct Observation</u> : Verify mulch or compost was applied twice per year (if applicable), and landscaping had automatic irrigation with moisture sensors or rain shut-off devices. <u>Miscellaneous Business Records</u> : Receipts of drought tolerant plants bought for landscaping.		
	Category 2:	<u>Internal Testimonial</u> : Discuss that the total amount of water used was estimated, and that there were some drought tolerant plants, or recycled water was used for landscaping. Confirm that irrigation lines were checked regularly for issues. <u>Direct Observation</u> : Verify that mulch or compost was applied once per year. <u>Miscellaneous Business Records</u> : Receipts of drought tolerant plants bought for landscaping.		
	Category 1:	<u>Internal Testimonial</u> : Discuss that the total amount of water used was unknown, and that the amount of drought tolerant plants was unknown. Confirm that irrigation lines were checked annually for issues. <u>Action Plan</u> : Verify action plan.		
d. <u>Certification Prerequisite</u> Action plan required if Category 1; No timeline to move to Category 2 or higher			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> None				

12.11 MATERIAL HANDLING

12.11.1 Planning, Monitoring, Goals and Results

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discuss that the amount of hazardous materials purchased and hazardous waste generated was monitored, tracked and recorded. Also, discuss that methods for implementing Pollution Prevention (P2) and hazardous waste reduction were in place for at least one year, that all regulatory agencies were contacted for P2 information, and that P2 was part of all employee training.</p> <p><u>Analysis Records</u>: Verify that records were used to determine if goals were met.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discuss that the amount of hazardous materials purchased and hazardous waste generated was monitored, tracked and recorded. Also, discuss that methods for implementing Pollution Prevention (P2) and hazardous waste reduction were started, yearly targets were set, that all regulatory agencies were contacted for P2 information, and that P2 information was available and easily accessible by all employees.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Discuss that the amount of hazardous materials purchased and hazardous waste generated was monitored, and that methods for implementing Pollution Prevention (P2) and hazardous waste reduction were investigated, and that all regulatory agencies were considered potential resources for P2 information.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Discuss that the amount of hazardous materials purchased and hazardous waste generated was known.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action Plan required if Category 1 and Category 2 or higher in subsequent years		Significant environmental impact <i>and</i> Stakeholder concern <i>and</i> Potential risk/liability to the company <i>and</i> potential legal risk		
f. Additional Explanation Required				
None				

12.11.2 Good Housekeeping - Dumpster Area

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal testimonial</u>: Discussion with auditee about a formal scheduling system in place for dumpster inspections. Also, discussion about the dumpster area being part of an integrated solid and hazardous waste program.</p> <p><u>Log</u>: Log detailing regular inspection of dumpsters.</p> <p><u>Direct observation</u>: Dumpsters are kept litter free. In addition, dumpster lids are closed to keep water out. Furthermore, <i>bilingual</i> signs are posted near dumpsters describing what materials can and cannot be dumped (if applicable). Dumpsters are also placed on a cement pad to contain spills and located away from high traffic areas.</p> <p><u>Instruction</u>: Employee training includes hazardous waste identification.</p>		
	Category 3:	<p><u>Internal testimonial</u>: Discussion with auditee about a formal scheduling system in place for dumpster inspections.</p> <p><u>Log</u>: Log detailing regular inspection of dumpsters.</p> <p><u>Direct observation</u>: Dumpsters are kept litter free. In addition, dumpster lids are closed to keep water out. Furthermore, <i>bilingual</i> signs are posted near dumpsters describing what materials can and cannot be dumped (if applicable). Dumpsters are also placed on a cement pad to contain spills.</p> <p><u>Instruction</u>: Employee training includes hazardous waste identification.</p>		

	Category 2:	<u>Internal testimonial:</u> Discussion with auditee about scheduling system in place for dumpster inspections. <u>Direct observation:</u> Dumpsters are kept litter free. In addition, dumpster lids are closed to keep water out. Furthermore, signs are posted near dumpsters describing what materials can and cannot be dumped.
	Category 1:	None
d. Certification Prerequisite		e. Prerequisite Rationale
None		N/A
f. Additional Explanation Required		
None		

12.11.3 Hazardous Materials - Hazardous Material Storage and Replacement

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal testimonial:</u> Discussion with auditee about how often legal requirements are reviewed and the review process for less hazardous alternatives to all materials. <u>Log:</u> Inventory kept of hazardous materials. <u>Direct observation:</u> Hazardous materials are stored under cover, in secondary containment, and away from storm drains.		
	Category 3:	<u>Internal testimonial:</u> Discussion with auditee about how often legal requirements are reviewed and the priority given to green chemistry alternatives. <u>Log:</u> Inventory kept of hazardous materials. <u>Direct observation:</u> Hazardous materials are stored away from drains.		
	Category 2:	<u>Internal testimonial:</u> Discussion with auditee about the amount of hazardous materials and discussion about research to replace hazardous material and discussion about how often legal requirements are reviewed. <u>Miscellaneous business records:</u> Receipts of purchased hazardous materials. <u>Direct observation:</u> Hazardous materials are stored away from drains.		
	Category 1:	<u>Internal Testimonial:</u> Discussion with auditee about the amount of hazardous materials. <u>Miscellaneous business records:</u> Receipts of purchased hazardous materials.		
d. <u>Certification Prerequisite</u> Action Plan required if Category 1; Category 2 or higher for subsequent years			e. <u>Prerequisite Rationale</u> Significant environmental impact <i>and</i> Potential risk/liability to the company	
f. <u>Additional Explanation Required</u> None				

12.11.4 Hazardous Materials - Hazardous Waste Disposal

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal testimonial:</u> Discussion with auditee about how the waste hauler manifests or receipts are reviewed for cost of disposal, and discussion about what actions were taken to reduce hazardous materials used in operations. <u>Log:</u> With last 3 years of waste hauler manifests or receipts. <u>Direct observation:</u> Hazardous materials are separated and stored in centralized location aware from storm drains and well heads, recyclable hazardous wastes were stored to facilitate recycling, and haz waste storage area had secondary containment and was covered. <u>Instruction:</u> Employees are trained in hazardous waste handling and disposal.		
	Category 3:	<u>Log:</u> With last 3 years of waste hauler manifests or receipts. <u>Direct observation:</u> Hazardous materials are separated and stored in centralized location aware from storm drains and well heads, recyclable hazardous wastes were stored to facilitate recycling, and haz waste storage area had secondary containment.		

	Category 2:	<u>Log</u> : With last 3 years of waste hauler manifests or receipts. <u>Direct observation</u> : Hazardous materials are separated and stored in centralized location aware from storm drains and well heads.
	Category 1:	<u>Log</u> : With last 3 years of waste hauler manifests or receipts.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.11.5 Paint & Paint Thinners

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal testimonial</u> : Discussion with auditee about paint and thinner purchased only in needed quantities, and discussion about preferential use of low-VOC paints. <u>Log</u> : Log showing total volume of paint and thinners. <u>Direct observation</u> : Paints and thinners are stored in a centralized location. In addition, used paint containers were allowed to dry out before being disposed of in solid waste container. Materials used that do not require painting (when feasible). <u>Miscellaneous business record</u> : Receipts showing paints and thinners are purchased in minimum quantities. <u>Instruction</u> : Employees are trained in hazardous waste handling and disposal.		
	Category 3:	<u>Internal testimonial</u> : Discussion with auditee about paint and thinner purchased only in needed quantities, and discussion about preferential use of low-VOC paints. <u>Log</u> : Log showing total volume of paint and thinners. <u>Direct observation</u> : Paints and thinners are stored in a centralized location. In addition, used paint containers were allowed to dry out before being disposed of in solid waste container. <u>Miscellaneous business record</u> : Receipts showing paints and thinners are purchased in minimum quantities. <u>Instruction</u> : Employees are trained in hazardous waste handling and disposal.		
	Category 2:	<u>Internal testimonial</u> : Discussion with auditee about paint and thinner purchased only in needed quantities, and discussion about methods to dispose of paints, thinners, paint waste. In addition, discussion with auditee describing process to settle pain solids. <u>Direct observation</u> : Paints and thinners are stored in a centralized location. In addition, used paint containers and thinner are placed in a single container and disposed as hazardous waste. <u>Miscellaneous business record</u> : Receipts showing paints and thinners are purchased in minimum quantities.		
	Category 1:	<u>Internal testimonial</u> : Explanation from auditee about paint and thinner purchased only in needed quantities.		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.11.6 Aerosol Cans

a. Mandatory to complete?	No, N/A allowed if aerosol cans are not used	b. Audit priority	High
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c. Evidence Requirements	Category 4:	<u>Direct observation:</u> Refillable compressed air dispensers or pump dispensers are used (if appropriate). Non-empty aerosol cans containing toxic or combustible substances are separated for disposal in haz waste containers. Furthermore, empty aerosol cans are disposed in recycling containers or appropriate waste containers. <u>Internal testimonial:</u> Discussion with auditee about use or appropriateness of refillable compressed air dispensers or pump dispensers. Discussion with auditee about alternative substances used. <u>Instruction:</u> Employees are trained to segregate aerosol cans appropriately.
	Category 3:	<u>Direct observation:</u> Refillable compressed air dispensers or pump dispensers are used (if appropriate). Non-empty aerosol cans containing toxic or combustible substances are separated for disposal in haz waste containers. Furthermore, empty aerosol cans are disposed in recycling containers or appropriate waste containers. <u>Internal testimonial:</u> Discussion with auditee about use or appropriateness of refillable compressed air dispensers or pump dispensers.
	Category 2:	<u>Direct observation:</u> Non-empty aerosol cans containing toxic or combustible substances are separated for disposal in haz waste containers. Furthermore, empty aerosol cans are disposed in recycling containers or appropriate waste containers.
	Category 1:	None
d. Certification Prerequisite		e. Prerequisite Rationale
None		N/A
f. Additional Explanation Required		
Explain in Notes why N/A		

12.11.7 Protection of Storm Water and Process Wastewater

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Direct observation:</u> Hazardous materials and waste are stored away from storm drains and hazardous storage areas have outside berms. Furthermore, major equipment and tools (excluding hand tools) were cleaned in an area that drained process water to an appropriate disposal site. In addition, all liquid hazardous materials and waste are stored in secondary containment. <u>Internal Testimonial:</u> Discussion with auditee about regular inspections of storage area for liquid hazardous materials and wastes. Also, discussion with auditee about what best management practices were developed for process wastewater that includes storm water protection, and includes the training of staff in spill prevention, containment, and clean-up procedures. <u>Log:</u> Documentation of regular inspections of liquid hazardous materials and waste storage areas.		
	Category 3:	<u>Direct observation:</u> Hazardous materials and waste are stored away from storm drains. Furthermore, major equipment and tools (excluding hand tools) were cleaned in an area that drained process water to an appropriate disposal site. In addition, all liquid hazardous materials and waste are stored in secondary containment. <u>Internal Testimonial:</u> Discussion with auditee about what best management practices were developed for process wastewater that includes storm water protection.		
	Category 2:	<u>Direct observation:</u> Hazardous materials and waste are stored away from storm drains. Furthermore, major equipment and tools (excluding hand tools) were cleaned in an area that drained process water to an appropriate disposal site.		
	Category 1:	None		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		

f. Additional Explanation Required

None

12.11.8 Fuel Storage – Aboveground Storage Tanks (ASTs) or Portable Tanks

a. <u>Mandatory to complete?</u>		b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discussion that locations and sizes of fuel tanks were known, the fuel area was inspected regularly, and a positive shut-off nozzle along with hoses were installed, inspected, and recorded (if applicable) for leaks and damage. Verify that employees were trained in fuel handling, spill prevention, control, and clean-up. <u>Log</u> : Verify that fuel amounts were recorded and tracked. <u>Direct Observation</u> : Verify that spill clean-up supplies were easily accessible, and the fuel area was concrete padded with bilingual signs (if applicable) about fueling safety procedures posted.	
	Category 3:	<u>Internal Testimonial</u> : Discussion that locations and sizes of fuel tanks were known, the fuel area was inspected regularly, and a positive shut-off nozzle along with hoses were installed, inspected, and recorded (if applicable) for leaks and damage. Verify that employees were trained in fuel handling, spill prevention, control, and clean-up. <u>Log</u> : Verify that fuel amounts were recorded and tracked. <u>Direct Observation</u> : Verify that spill clean-up supplies were easily accessible, and the fuel area was concrete padded with signs about fueling safety procedures posted.	
	Category 2:	<u>Internal Testimonial</u> : Discussion that locations and sizes of fuel tanks were known, the fuel area was inspected regularly, and a positive shut-off nozzle was installed and inspected for leaks and damage. <u>Log</u> : Verify that fuel amounts were recorded. <u>Direct Observation</u> : Verify that spill clean-up supplies were easily accessible.	
	Category 1:	<u>Internal Testimonial</u> : Discussion that locations of fuel tanks were known. <u>Direct Observation</u> : Verify that spill clean-up supplies were easily accessible.	
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>	
None		N/A	
f. <u>Additional Explanation Required</u>			
Explain in Notes why N/A			

12.11.9 Winery Sanitation Supplies

a. Mandatory to complete?		b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion that sanitation supplies were considered a potential source of hazardous or toxic materials, product labels were read before purchase or use, that two or more priority materials were replaced with green chemistry or non-hazardous products from a baseline. Also, discuss that the handling of janitorial supplies was part of employee training and an element of a comprehensive Pollution Prevention Program, and that customer service numbers were used to get information on potentially hazardous ingredients.</p>	
	Category 3:	<p><u>Internal Testimonial</u>: Discussion that sanitation supplies were considered a potential source of hazardous or toxic materials, that product labels were read before purchase or use, which priority materials were researched for green chemistry alternatives, and that handling of sanitation supplies was part of employee training.</p>	
	Category 2:	<p><u>Internal Testimonial</u>: Discussion that sanitation supplies were considered a potential source of hazardous or toxic materials, that product labels were read before purchase or use, and which research was done into low or non-toxic products.</p>	

	Category 1:	<u>Internal Testimonial</u> : Discussion that sanitation supplies were considered a potential source of hazardous or toxic materials, and that product labels were read before purchase or use.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.12 SOLID WASTE REDUCTION AND MANAGEMENT

12.12.1 Planning, Monitoring, Goals and Results

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Analysis Records</u> : Verify that the winery conducted a solid waste audit within the last 5 years, and that results were used to make decisions on procurement, inventory procedures, production, packaging, and employee training. Also, verify that the total solid waste generation and the percentage of waste recycled was monitored, recorded, and shared with employees. <u>Internal Testimonial</u> : Verify that yearly goals were set for overall solid waste reduction and solid waste diversion, and that information on reducing, reusing, and recycling solid waste was easily accessible to all employees and available in Spanish (if applicable).		
	Category 3:	<u>Analysis Records</u> : Verify that the winery conducted a solid waste audit within the last 5 years, and that results were used to make decisions on procurement, inventory procedures, production, packaging, and employee training. Also, verify that the total solid waste generation and the percentage of waste recycled was monitored and recorded. <u>Internal Testimonial</u> : Verify that yearly goals were set for overall solid waste reduction and solid waste diversion, and that information on reducing, reusing, and recycling solid waste was easily accessible to all employees.		
	Category 2:	<u>Analysis Records</u> : Verify that the winery conducted a solid waste audit within the last 5 years. <u>Internal Testimonial</u> : Verify that the amount of total solid waste generated was monitored throughout the year, and that information on reducing, reusing, and recycling solid waste was easily accessible to all employees.		
	Category 1:	<u>Internal Testimonial</u> : Verify that the winery did not track the total solid waste generated per year, but some waste was diverted from landfills.		
d. Certification Prerequisite Action plan required if Cat 1; Cat 2 or higher in ongoing years			e. Prerequisite Rationale Significant environmental <i>and</i> economic impact	
f. Additional Explanation Required None				

12.12.2 Pomace and Lees

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discussion with auditee about the “high value” of pomace and lees. <u>Direct Observation</u> : Material is composted on-site for direct application and/or at least one by product has been recovered with a selected technology. <u>Internal Testimonial</u> : Discuss that a detailed market assessment was conducted to identify byproducts from pomace and lees (if pomace and lees not considered “high value” already).		
	Category 3:	<u>Internal Testimonial</u> : Discussion about the “medium value” of pomace and lees. <u>Miscellaneous Business Records</u> : Invoices from hauling of pomace and lees offsite and delivering compost in the spring (if material not composted on-site). <u>Direct Observation</u> : Material is composted on-site for direct application (if not hauled off site). <u>Internal Testimonial</u> : Discussion with auditee that a research and/or a waste assessment was conducted to identify technologies for extracting value-added material from pomace and lees.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about the “low value” of pomace and lees. In addition, discussion with auditee about process to work pomace and lees into the soil (if not hauled off site). <u>Miscellaneous Business Records</u> : Invoices from hauling of pomace and lees offsite for other agricultural operations (if not used onsite).		
	Category 1:	<u>Internal Testimonial</u> : Verify that pomace and lees were considered valueless, and it was stored on-site for later off-site disposal, or the material was hauled off-site immediately after crush.		
d. Certification Prerequisite			e. Prerequisite Rationale	
None			N/A	
f. Additional Explanation Required				
None				

12.12.3 Diatomaceous Earth (DE)

a. <u>Mandatory to complete?</u>		No, select N/A if the winery does not use DE	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Log</u> : Log showing the amount of DE used yearly. <u>Internal Testimonial</u> : Discussion with auditee about implementing a technology for alternative DE unloading and conveying, and that DE cakes are incorporated into compost operations. Also, discuss which alternative filtration technology (to DE filtration) was tested, and that DE filtration efficiency was optimized through training employees in DE handling and loading.		
	Category 3:	<u>Internal Testimonial</u> : Verify that the amount of DE used was known. Discuss with auditee about researching alternative DE unloading and conveying, and that DE cakes are incorporated into compost operations. Also, discuss which alternative materials and technologies to DE filtration were investigated, or that a facility using alternative technologies to DE filtration was visited.		
	Category 2:	<u>Internal Testimonial</u> : Discussion with auditee about estimated amounts of DE used per year, and that DE cakes were applied to vineyards and/or landscaping.		
	Category 1:	<u>Internal Testimonial</u> : Verify the amount of DE used by the winery was not known, and that DE cakes were thrown in the trash as waste.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.12.4 Plate and Frame Filters

a. <u>Mandatory to complete?</u>		No, select N/A if plate and frame filters were not used	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial:</u> Discussion with auditee about researching alternatives to plate and frame filter disposal. In addition, one facility implementing alternative plate and frame filter disposal has been contacted or visited. <u>Internal Testimonial:</u> Discussion with auditee about using frames and filters as soil amendments and weed suppressors (if one facility implementing alternative plate and frame filter disposal was not contacted or visited).		
	Category 3:	<u>Internal Testimonial:</u> Discussion with auditee about researching alternatives to plate and frame filter disposal. In addition, one facility implementing alternative plate and frame filter disposal has been contacted. Furthermore, explanation from auditee about disposal of plate and frame filters in solid waste containers.		
	Category 2:	<u>Internal Testimonial:</u> Discussion with auditee about researching alternatives to plate and frame filter disposal. In addition, explanation from auditee about disposal of plate and frame filters in solid waste containers.		
	Category 1:	<u>Internal Testimonial:</u> Verify that plate and frame filters were disposed of in a solid waste container.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.12.5 Cooperage

a. <u>Mandatory to complete?</u>		No, select N/A if no barrels were used	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Log:</u> Tracking manifest of bar-coded barrels, including date and amount of use. In addition, the percentage of barrels that were made from sustainably harvested wood is recorded. <u>Miscellaneous Business Records:</u> Invoices of sold or recycled barrels (-OR- if they are donated to schools or community).		
	Category 3:	<u>Internal testimonial:</u> Description from auditee about formal process to track oak barrels, and how they were tracked by their history. In addition, the percentage of barrels that were made from sustainably harvested wood is known. <u>Miscellaneous Business Records:</u> Invoices of sold or recycled barrels.		
	Category 2:	<u>Internal Testimonial:</u> Description from auditee about informal process to track oak barrels. In addition, what inquiries the auditee has made to determine if the barrels were sustainably harvested. <u>Miscellaneous Business Records:</u> Invoices of sold or recycled barrels.		
	Category 1:	<u>Internal Testimonial:</u> Verify that there was no system for tracking the history of oak barrels.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
Explain in Notes why N/A				

12.12.6 Glass

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Verify that bottle breakage rates were recorded and tracked, and this was used to create a breakage reduction strategy. Also, discuss opportunities that were evaluated to reduce bottling waste. <u>Direct Observation</u> : Broken glass is separated into recyclable glass and non-recyclable lab glass (Pyrex), and all recyclable glass is placed in recycling containers in a designated location. In addition, non-recyclable lab glass is disposed in a solid waste container.		
	Category 3:	<u>Internal Testimonial</u> : Verify that bottle breakage rates were recorded and tracked, and discuss opportunities that were evaluated to reduce bottling waste. <u>Direct Observation</u> : Broken glass is separated into recyclable glass and non-recyclable lab glass (Pyrex), and all recyclable glass is placed in recycling containers in a designated location. In addition, non-recyclable lab glass is disposed in a solid waste container.		
	Category 2:	<u>Direct Observation</u> : Broken glass is separated into recyclable glass and non-recyclable lab glass (Pyrex). In addition, non-recyclable lab glass is disposed in a solid waste container.		
	Category 1:	<u>Internal Testimonial</u> : Verify that all glass was disposed of in a solid waste container.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.12.7 Cardboard

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Verify that the amount of recycled cardboard was known, tracked, and used to determine the financial, storage, and volume considerations of alternative recycling programs. Also, verify that major sources of cardboard coming to the winery were known, and one supplier agreed to reduce their cardboard use or take back recycled cardboard. <u>Direct Observation</u> : Cardboard is recycled in a designated recycling container.		
	Category 3:	<u>Internal Testimonial</u> : Verify that the amount of recycled cardboard was known. Also, verify that major sources of cardboard coming to the winery were known and contacted about their cardboard use. <u>Direct Observation</u> : Cardboard is recycled in a designated recycling container.		
	Category 2:	<u>Internal Testimonial</u> : Verify that the amount of recycled cardboard was estimated. <u>Direct Observation</u> : Cardboard is recycled in a designated recycling container		
	Category 1:	<u>Internal Testimonial</u> : Verify that all cardboard was disposed of in a solid waste container, and the amount was unknown. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action Plan required if Category 1 and Category 2 or higher in subsequent years*			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> None				

*If recycling is not available in your area, the Prerequisite allows for "no timeline" to move to a Category 2 or higher

12.12.8 Paper

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Verify that the amount of recycled paper was known and tracked, and paper reduction practices were in place. Also, verify that either one alternative use for paper was implemented, or that paper towels and other soiled paper were composted. <u>Direct Observation</u> : Paper is recycled in a designated recycling container, and soiled paper was composted.		
	Category 3:	<u>Internal Testimonial</u> : Verify that the amount of recycled paper was known, and paper reduction practices were in place. <u>Direct Observation</u> : Paper is recycled in a designated recycling container.		
	Category 2:	<u>Internal Testimonial</u> : Verify that the amount of recycled paper was estimated. <u>Direct Observation</u> : Paper is recycled in a designated recycling container.		
	Category 1:	<u>Internal Testimonial</u> : Verify that all paper was disposed of in a solid waste container, and the amount was unknown.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.12.9 Plastic

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Verify that the amount of recycled plastic was known and tracked, and this data was used in employee training. Also, verify that major sources of plastic coming to the winery were known, and one supplier agreed to reduce their plastic use or take back recycled plastic. <u>Written Document/Plan</u> : Verify that the winery contracted with at least one vendor specializing in plastic recycling or reuse (if possible). <u>Direct Observation</u> : Plastic is recycled in a designated recycling container.		
	Category 3:	<u>Internal Testimonial</u> : Verify that the amount of recycled plastic was known, that major sources of plastic coming to the winery were known, and that vendors who specialize in plastic recycling were investigated. <u>Direct Observation</u> : Plastic is recycled in a designated recycling container.		
	Category 2:	<u>Internal Testimonial</u> : Verify that plastic was disposed of in a solid waste container, and the amount was estimated.		
	Category 1:	<u>Internal Testimonial</u> : Verify that plastic was disposed of in a solid waste container, and the amount was unknown.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.12.10 Packaging (Incoming and Outgoing)

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Discussion with auditee that alternative packaging materials were used whenever possible for shipping. In addition, confirm the amount of packaging recycled was known, and that major sources of packaging coming to the winery were known. Also, verify that one supplier agreed to reduce their packaging use or take back recycled packaging.</p> <p><u>Written Document/Plan</u>: Verify that the winery contracted with at least one vendor specializing in recycling packaging or reuse.</p> <p><u>Direct Observation</u>: Confirm that packaging was separated and recycled in designated recycling containers, or that the contract shipper only used recyclable packaging materials.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Discussion with auditee about how testing resulted in the use of alternative packaging materials for shipping. In addition, confirm the amount of packaging recycled was known, and that major sources of packaging coming to the winery were known. Also, verify that vendors specializing in packaging recycling were investigated.</p> <p><u>Direct Observation</u>: Confirm that packaging was separated and recycled in designated recycling containers, or that the contract shipper only used recyclable packaging materials.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Verify that research was done into alternative packaging materials, and that the amount of packaging discarded in the solid waste container was estimated. Also, verify that the contract shipper accepted used packaging material for their operations.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Confirm that packaging was disposed of in a solid waste container, and the amount was unknown, or that packaging material used by a contract shipper was unknown.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
None		N/A		
f. Additional Explanation Required				
None				

12.12.11 Metals

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Confirm that employee training included information in Spanish (if appropriate) on metals recycling and that no metals were disposed of in solid waste containers.</p> <p><u>Direct Observation</u>: Confirm that metals were separated from the waste stream for reuse or recycling, and that recycling containers were placed close to points of material generation and discard for ease of reuse or recycling.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Confirm that employee training included information on metals recycling, and only small pieces of metal were disposed of in solid waste containers.</p> <p><u>Direct Observation</u>: Confirm that metals were separated from the waste stream for reuse or recycling, and that recycling containers were placed close to points of material generation and discard for ease of reuse or recycling.</p>		
	Category 2:	<p><u>Direct Observation</u>: Confirm that metals were separated from the waste stream for reuse or recycling.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Confirm that all metals were disposed of in a solid waste container.</p> <p><u>Action Plan</u>: Verify action plan for first year self-assessments.</p>		

d. Certification Prerequisite Action Plan required if Category 1 and Category 2 or higher in subsequent years*	e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None	

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

12.12.12 Natural Cork

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>		Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Direct Observation:</u> Verify that cork is separated out of the solid waste stream and containers were made available in tasting rooms and bottling rooms (if applicable) to recycle corks with signs in English and Spanish (if applicable). In addition, no cork was disposed of in solid waste containers. <u>Internal Testimonial:</u> Discussion with auditee about which alternative to cork disposal was selected and implemented, and that employee training included information on cork recycling or composting.			
	Category 3:	<u>Direct Observation:</u> Verify that cork was separated out of the solid waste stream and containers were made available in tasting rooms and bottling rooms (if applicable) to recycle corks. In addition, very little cork was disposed in solid waste containers. Also, confirm that the percentage of corks made from sustainably harvested material was determined. <u>Internal Testimonial:</u> Discussion with auditee about selected alternative to cork disposal.			
	Category 2:	<u>Direct Observation:</u> Verify that cork was separated out of the solid waste stream and containers were made available in tasting rooms and bottling rooms (if applicable) to recycle corks. In addition, very little cork was disposed in solid waste containers. <u>Internal Testimonial:</u> Discussion with auditee about investigated alternatives to cork disposal.			
	Category 1:	<u>Internal Testimonial:</u> Confirm that all cork was disposed of in a solid waste container.			
d. <u>Certification Prerequisite</u> None			e. <u>Prerequisite Rationale</u> N/A		
f. <u>Additional Explanation Required</u> None					

12.12.13 Pallets, Wood Packaging, Bins, etc.

a. Mandatory to complete?	Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Direct Observation:</u> Verify that unused pallets and/or bins were stacked and stored for vendor pickup. In addition, no remaining pallets were disposed in solid waste containers. Also, verify that signs (bilingual if applicable) were posted in the shipping and receiving room about pallet reuse and recycling. <u>Internal Testimonial:</u> Verify that all broken pallets are repaired and re-used when possible. Also, confirm that either one major pallet supplier agreed to take back their pallets for reuse, or unused pallets were recycled or sent to a biomass waste-to-energy system. In addition, verify that employee training included information on pallet reuse and recycling.	

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	Category 3:	<u>Direct Observation</u> : Verify that unused pallets and/or bins were stacked and stored for vendor pickup. In addition, no remaining pallets were disposed in solid waste containers. <u>Internal Testimonial</u> : Verify that all broken pallets are repaired and re-used when possible. Also, confirm that either one major pallet supplier agreed to take back their pallets for reuse, or unused pallets were recycled or sent to a biomass waste-to-energy system. In addition, verify that employee training included information on pallet reuse and recycling.
	Category 2:	<u>Direct Observation</u> : Verify that unused pallets and/or bins were stacked and stored for vendor pickup. In addition, remaining broken pallets were disposed in solid waste containers or recycled locally. <u>Internal Testimonial</u> : Verify that some broken pallets were repaired and reused when possible, and that the major sources of pallets coming to the winery were known.
	Category 1:	<u>Internal Testimonial</u> : Confirm that all broken pallets or bins were disposed of in a solid waste container.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.12.14 Capsules

a. <u>Mandatory to complete?</u>		No, select N/A if no capsules were used	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Direct Observation:</u> Verify that capsules were separated out of the solid waste stream and all aluminum and tin capsules were recycled. Also, verify that containers were made available in tasting rooms and bottling rooms (if applicable) with signs in English and Spanish (if applicable) about capsule recycling. In addition, verify that no capsules were disposed of in solid waste containers. <u>Internal Testimonial:</u> Discussion with auditee that employee training included information on capsule recycling, and at least one vendor was contacted to take back capsules, plastic trays, or shipping material.		
	Category 3:	<u>Internal Testimonial:</u> Verify that all capsules were separated out of the solid waste stream and recycled, and aluminum and tin capsules were recycled. Confirm that employee training included information on capsule recycling, and vendors that specialize in capsule recycling were investigated. <u>Direct Observation:</u> Confirm that recycling containers were made available in tasting rooms and bottling rooms, and that very few capsules were disposed of in solid waste containers.		
	Category 2:	<u>Internal Testimonial:</u> Verify that all aluminum and tin capsules were separated out of the solid waste stream and recycled, and all other capsules were disposed of in a solid waste container.		
	Category 1:	<u>Internal Testimonial:</u> Confirm that all capsules were disposed of in a solid waste container.		
		<u>Action Plan:</u> Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action Plan required if Category 1 and Category 2 or higher in subsequent years*			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

*If recycling is not available in your area, the prerequisite allows for "no timeline" to move to a Category 2 or higher

12.12.15 Landscape Residuals

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss that some landscape residuals were chipped and then composted, and that no landscape residuals were disposed of in solid waste containers. <u>Direct Observation</u> : Verify that some landscape residuals were chipped first, and then were left on the ground.		
	Category 3:	<u>Internal Testimonial</u> : Discuss that some landscape residuals were composted, and that no landscape residuals were disposed of in solid waste containers. <u>Direct Observation</u> : Verify that some landscape residuals were chipped first, and then were left on the ground.		
	Category 2:	<u>Internal Testimonial</u> : Discuss that some landscape residuals were picked up for off-site composting or were composted onsite. Also, verify that some were left on the ground. <u>Direct Observation</u> : Verify that some landscape residuals were left on the ground.		
	Category 1:	<u>Internal Testimonial</u> : Confirm that all landscape residuals were disposed of in a solid waste container. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action Plan required if Category 1 and Category 2 or higher in subsequent years			e. <u>Prerequisite Rationale</u> Significant environmental impact	
f. <u>Additional Explanation Required</u> None				

12.12.16 Food Waste

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirm that there is a designated worker responsible to ensure that all solid waste and recyclables were placed in appropriate containers. Also, verify that reduce, reuse, and recycle information was easily accessible to all employees and part of employee training, and available in Spanish (if applicable). <u>Direct Observation</u> : Confirm that all food waste and utensils were separated out of the solid waste stream for composting or recycling. Also, verify that utensils and plates were made of recycled content (or dishwasher safe), or that reusable, biodegradable, or compostable utensils were used.		
	Category 3:	<u>Internal Testimonial</u> : Confirm that there is a designated worker responsible to ensure that all solid waste and recyclables were placed in appropriate containers. Also, verify that reduce, reuse, and recycle information was easily accessible to all employees and part of employee training. <u>Direct Observation</u> : Confirm that all food waste and utensils were separated out of the solid waste stream for composting or recycling. Also, verify that utensils and plates were made of recycled content (or dishwasher safe), or that reusable, biodegradable, or compostable utensils were used.		
	Category 2:	<u>Internal Testimonial</u> : Confirm that there is a designated worker responsible to ensure that all solid waste and recyclables were placed in appropriate containers. <u>Direct Observation</u> : Confirm that all food waste and utensils were separated out of the solid waste stream for composting or recycling.		
	Category 1:	<u>Internal Testimonial</u> : Confirm that all food waste and utensils were disposed of in a solid waste container. <u>Direct Observation</u> : Confirm that no centralized recycling containers were onsite.		
d. <u>Certification Prerequisite</u> None			e. <u>Prerequisite Rationale</u> N/A	
f. <u>Additional Explanation Required</u> None				

12.13 ENVIRONMENTALLY PREFERRED PURCHASING

12.13.1 Planning, Monitoring, Goals and Results

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Confirm with the auditee that purchasing decisions were based on defined supplier criteria that included environmental attributes, and that environmental considerations were included in most purchasing decisions. Also, confirm that alternative materials and environmental attributes for products were considered for purchasing decisions. In addition, verify that goals were established and reviewed annually to increase the purchase of environmentally preferable products, and suppliers and outside service providers were evaluated against comprehensive criteria.</p> <p><u>Direct Observation</u>: Verify that the vineyard and/or winery had a written purchasing policy that included specific environmental standards and was approved by the owner/manager.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Confirm with the auditee that purchasing decisions were based on defined supplier criteria that included environmental attributes, and that environmental considerations were included in most purchasing decisions. Also, confirm which research was done into alternative materials and environmental attributes for products, and that this was considered for purchasing decisions. In addition, verify that goals were established to increase the purchase of environmentally preferable products.</p> <p><u>Direct Observation</u>: Verify that the vineyard and/or winery had a written purchasing policy that included specific environmental standards.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Confirm with the auditee that purchasing decisions were based on defined supplier criteria, that the vineyard and/or winery had an informal purchasing policy, that environmental considerations were included in some purchasing decisions. Also, confirm which research was done into alternative materials and products.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Confirm with the auditee that purchasing decisions were based mainly on cost, and that the vineyard and/or winery had an informal purchasing policy.</p> <p><u>Action Plan</u>: Verify action plan for first year self-assessments.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action Plan required if Category 1 and Category 2 or higher in subsequent years		Significant environmental impact		
f. Additional Explanation Required				
None				

12.13.2 Service Providers

a. Mandatory to complete?		No, select N/A if no service providers were used	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Confirm with the auditee that quality, dependability, and lowest bid were primary factors in awarding service contracts. Verify that service providers that demonstrated environmental awareness were prioritized, or that some providers attained voluntary industry acknowledgement, governmental recognition, or third-party certification for their environmental practices. Also, confirm that all service providers were evaluated on their environmental practices and results were used in future contract negotiations, and requirements for services mandated specific environmental standards and practices.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Confirm with the auditee that quality, dependability, and lowest bid were primary factors in awarding service contracts. Verify that service providers were asked about and evaluated on their environmental practices, and requirements for services mandated specific environmental standards and practices.</p>		

	Category 2:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest bid were primary factors in awarding service contracts. Verify that some service providers were asked about their environmental practices, and requirements for services included some environmental considerations.
	Category 1:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest bid were primary factors in awarding service contracts.
d. <u>Certification Prerequisite</u> None		e. <u>Prerequisite Rationale</u> N/A
f. <u>Additional Explanation Required</u> Explain in Notes why N/A		

12.13.3 (13-3 to 13-6) Vineyard and Winery Products

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, lowest cost, and environmental attributes were primary factors in purchasing the product as part of the EPP program. Also, verify that vendors were asked about and evaluated on their products’ environmental attributes, and only those which demonstrated environmental awareness were given priority (if available), or vendors attained voluntary industry acknowledgement, governmental recognition, or third-party certification for their products’ environmental attributes. Verify that most orders for this product specified environmental requirements. In addition, confirm that vendors and products were evaluated and results were used in future contract negotiations. <u>Written Document/Plan</u> : Verify elements of the EPP program.		
	Category 3:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, lowest cost, and environmental attributes were primary factors in purchasing the product. Also, verify that vendors were asked about and evaluated on their products’ environmental attributes, and those which demonstrated environmental awareness were considered (if available). Discuss how environmental attributes of products were evaluated, and verify that some orders for this product specified environmental requirements.		
	Category 2:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest cost were primary factors in purchasing the product. Also, verify that some vendors were asked about their products’ environmental attributes, and requirements for this product included some environmental considerations.		
	Category 1:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest cost were primary factors when purchasing the product.		
d. <u>Certification Prerequisite</u> None			e. <u>Prerequisite Rationale</u> N/A	
f. <u>Additional Explanation Required</u> None				

12.13.7 (13-7 to 13-13) Winery Products

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, lowest cost, and environmental attributes were primary factors in purchasing the product as part of the EPP program. Also, verify that vendors were asked about and evaluated on their products’ environmental attributes, and only those which demonstrated environmental awareness were given priority (if available), or vendors attained voluntary industry acknowledgement, governmental recognition, or third-party certification for their products’ environmental attributes. Verify that most orders for this product specified environmental requirements. In addition, confirm that vendors and products were evaluated and results were used in future contract negotiations. <u>Written Document/Plan</u> : Verify elements of the EPP program.		
	Category 3:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, lowest cost, and environmental attributes were primary factors in purchasing the product. Also, verify that vendors were asked about and evaluated on their products’ environmental attributes, and those which demonstrated environmental awareness were considered (if available). Discuss how environmental attributes of products were evaluated, and verify that some orders for this product specified environmental requirements.		
	Category 2:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest cost were primary factors in purchasing the product. Also, verify that some vendors were asked about their products’ environmental attributes, and requirements for this product included some environmental considerations.		
	Category 1:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest cost were primary factors when purchasing the product.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.13.14 Packaging – From Suppliers

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Confirm with the auditee that the amount of packaging used by suppliers was a primary consideration for purchasing decisions, and all suppliers were asked to demonstrate that their packaging materials were environmentally responsible.</p> <p><u>Written Document/Plan</u>: Verify that requirements for these suppliers specified all environmental attributes be met as part of a company-wide EPP program.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Confirm with the auditee that the amount of packaging used by suppliers was a primary consideration for purchasing decisions, and most major suppliers were asked to demonstrate that their packaging materials were environmentally responsible.</p> <p><u>Written Document/Plan</u>: Verify that requirements for these suppliers mandated specific environmental attributes.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Confirm with the auditee that the amount of packaging used by suppliers was considered for purchasing decisions, and some major suppliers were asked about their use of packaging materials. Verify that requirements for these suppliers included some environmental attributes.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Confirm with the auditee that the amount of packaging used by suppliers was not taken into consideration for purchasing decisions.</p>		
d. Certification Prerequisite			e. Prerequisite Rationale	
None			N/A	

f. Additional Explanation Required

None

12.13.15 Packaging – To Consumers

a. <u>Mandatory to complete?</u>		No, select N/A if there was no direct shipping	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest cost were primary factors when purchasing packaging. Also, discuss that only suppliers of packaging material who demonstrated environmental awareness and had a proven track record were considered. In addition, confirm that suppliers were evaluated on their products and results were used in future contract negotiations. Verify that requirements for packaging material mandated specific environmental attributes, and orders specified that most attributes of a company-wide EPP program were met, and that packaging material from suppliers was reused when possible at the winery.		
	Category 3:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest cost were primary factors when purchasing packaging. Also, discuss that suppliers of packaging material were asked about and evaluated upon their products' environmental attributes and given preferential treatment when they demonstrated environmental awareness. Verify that requirements for packaging material mandated specific environmental attributes, and orders specified that some attributes were met, and that packaging material from suppliers was reused when possible at the winery.		
	Category 2:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest cost were primary factors when purchasing packaging, and that suppliers of packaging material were asked about their products' environmental attributes. Verify that requirements for these products included some environmental attributes, and that packaging material from suppliers was sometimes reused at the winery.		
	Category 1:	<u>Internal Testimonial</u> : Confirm with the auditee that quality, dependability, and lowest cost were primary factors when purchasing packaging.		
d. <u>Certification Prerequisite</u> Action Plan required if Category 1; Category 2 or higher for subsequent year			e. <u>Prerequisite Rationale</u> Environmental impact and stakeholder concern	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.14 HUMAN RESOURCES (HR)

12.14.1 HR Planning and Goals

a. Mandatory to complete?		No, select N/A if you had no employees and did not use contractors	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had an established means or process for staying aware of HR legal requirements. <u>Written Document/Plan</u> : Verify that vineyard and/or winery operation had developed and implemented an HR plan that addressed business needs, and included staffing and recruitment, training and development, employee relations, compensation and benefits, and record keeping. Also, verify this plan included goals that were monitored and results were used to refine HR policies and practices.		

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	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had an established means or process for staying aware of HR legal requirements. <u>Written Document/Plan</u> : Verify that vineyard and/or winery operation had developed and implemented an HR plan that addressed business needs, and included staffing and recruitment, training and development, employee relations, compensation and benefits, and record keeping.
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had an established means or process for staying aware of HR legal requirements. <u>Written Document/Plan</u> : Verify that vineyard and/or winery operation had begun developing an HR plan that addressed business needs, and included staffing and recruitment, training and development, employee relations, compensation and benefits, and record keeping.
	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had an established means or process for staying aware of HR legal requirements. <u>Action Plan</u> : Verify action plan.
d. Certification Prerequisite Action plan required if Category 1; No timeline to score Category 2 or higher		e. Prerequisite Rationale Significant <i>social and</i> economic impact
f. Additional Explanation Required Explain in Notes why N/A		

12.14.2 Staffing and Recruiting Strategy

a. <u>Mandatory to complete?</u>		No, select N/A if you had no employees and did not use contractors	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had a long-term staffing strategy that analyzed future staffing needs, and if the vineyard contracted for labor state license requirements were checked. Also, confirm that recruiting methods were analyzed to ensure they were effective, and each recruiting method was tracked to calculate the cost/benefit. Also, verify that they began to leverage the reputation of the organization in the recruiting process that included sustainability. <u>Written Document/Plan</u> : Confirm that there was a written job description for each job or job family that was reviewed for upgrades every 1-2 years, or when an opening occurred.		
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had a long-term staffing strategy that analyzed future staffing needs, and if the vineyard contracted for labor state license requirements were checked. Also, confirm that recruiting methods were analyzed to ensure they were effective. <u>Written Document/Plan</u> : Confirm that there was a written job description for each job or job family.		
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had a staffing strategy that analyzed future staffing needs, and if the vineyard contracted for labor state license requirements were checked. Also, confirm that recruiting methods were analyzed to ensure they were effective.		
	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had an informal method for staffing, and if the vineyard contracted for labor, state license requirements were checked.		
d. <u>Certification Prerequisite</u> None			e. <u>Prerequisite Rationale</u> N/A	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.14.3 Interviewing Process

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation's interviewing process included submission of a job application or resume, and interviews involved a set of specific questions, including competency-based questions, designed to ensure qualifications were met for each position. Also, verify that information was provided about the company, performance expectations, and essential aspects of the job. Discuss that interviews also included information and questions designed to assess the candidate's fit for company culture including sustainability values, and the interview format included a formal scoring system to evaluate knowledge and skills objectively.		
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation's interviewing process included submission of a job application or resume, and interviews involved a set of specific questions designed to ensure qualifications were met for each position. Also, verify that information was provided about the company, performance expectations, and essential aspects of the job.		
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation's interviewing process included submission of a job application or resume, and interviews involved a set of specific questions designed to ensure qualifications were met for each position.		
	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation had an informal interviewing process in place.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.14.4 Employee Orientation

a. <u>Mandatory to complete?</u>		No, select N/A if you had no employees	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Written Document/Plan</u> : Discuss with the auditee that the vineyard and/or winery operation provided an orientation program for new employees that included written documentation of company policies, job expectations, and terms of employment contained in an employee handbook. Employees signed off verifying receipt of orientation documents, and the program included an overview and/or tour of the company's purpose, operations, culture, and sustainability policies and practices. Verify that the handbook included information on the company's sustainability policies and/or practices. Also, the orientation program included one or more best practices for employee orientation.		
	Category 3:	<u>Written Document/Plan</u> : Discuss with the auditee that the vineyard and/or winery operation provided an orientation program for new employees that included written documentation of company policies, job expectations, and terms of employment contained in an employee handbook. Employees signed off verifying receipt of orientation documents, and the program included an overview and/or tour of the company's purpose, operations, culture, and sustainability policies and practices.		
	Category 2:	<u>Written Document/Plan</u> : Discuss with the auditee that the vineyard and/or winery operation provided an orientation program for new employees that included written documentation of company policies, job expectations, and terms of employment.		
	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery orientation process consisted of verbal communication of job expectations and company policies at the time of hire.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		

f. Additional Explanation Required

Explain in Notes why N/A

12.14.5 Safety Training

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p>Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation conducted frequent employee safety and training meetings as the year progressed and safety issues changed, and safety audits and investigations were done as needed. Also, tailgate trainings were done as needed and task assessments were done when conditions changed. Describe how employee training session feedback was solicited and incorporated, when appropriate.</p> <p>Log: Verify that safety training session dates and attendance were documented and safety statistics were tracked.</p>		
	Category 3:	<p>Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation conducted frequent employee safety and training meetings as the year progressed and safety issues changed, and safety audits and investigations were done as needed. Also, tailgate trainings were done as needed and task assessments were done when conditions changed. Describe how employee training session feedback was solicited and incorporated, when appropriate.</p> <p>Log: Safety training session dates and attendance were documented.</p>		
	Category 2:	<p>Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation conducted employee safety and training meetings annually, and annual safety audits and investigations were done as needed.</p>		
	Category 1:	<p>Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation regularly ensured safety training complied with local, state, and federal requirements for employee safety training.</p> <p>Action Plan: Verify action plan.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action plan required if Cat 1; Cat 2 or higher in ongoing years		Significant social <i>and</i> economic impact		
f. Additional Explanation Required		None		

12.14.6 Continuing Education, Training, and Development

a. Mandatory to complete?		No, select N/A if not applicable	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<p>Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation evaluated training needs, was aware of available outside training opportunities, or developed in-house training to meet those needs. Also, employees were encouraged to attend training, seminars, or other educational events that could enhance their understanding and skills in the workplace, including training that covered sustainable practices. These training costs were covered by the company for some employees (if appropriate).</p> <p>Written Document/Plan: Verify that the vineyard and/or winery operation had training plans and goals that incorporated sustainability policies and practices.</p>		
	Category 3:	<p>Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation evaluated training needs, was aware of available outside training opportunities, or developed in-house training to meet those needs. Also, employees were encouraged to attend training, seminars, or other educational events that could enhance their understanding and skills in the workplace, and the training costs were covered by the company for some employees (if appropriate).</p>		

	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation was aware of available training opportunities and employees were given the opportunity to attend training, seminars, or other educational events and did so on their own initiative, but the company may have approved pay time to attend.
	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that employees that attended any training, seminars, or other educational events did so on their own initiative and time.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required Explain in Notes why N/A		

12.14.7 Industry Knowledge and Participation

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that appropriate manager/employee(s) in the vineyard and/or winery operation stay informed on key industry issues, and they took a leadership role by actively participated in grower and/or vintner associations to stay informed on industry related issues and trends.		
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that appropriate manager/employee(s) in the vineyard and/or winery operation stay informed on key industry issues, and they actively participated in grower and/or vintner associations, or other industry-related organizations to stay informed on industry related issues and trends.		
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that appropriate manager/employee(s) in the vineyard and/or winery operation stay informed on key industry issues, and they occasionally participated in grower and/or vintner associations, or other industry-related organizations to stay informed on industry related issues and trends.		
	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that appropriate manager/employee(s) in the vineyard and/or winery operation occasionally read industry publications to stay informed on key issues.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.14.8 Promoting Sustainability in the Workplace

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that employees relevant to the successful adoption and implementation of sustainability concepts and practices were regularly informed about the vineyard and/or winery operations' sustainability efforts. Also, discuss that suggestions and ideas were solicited from employees on how to improve efficiency and sustainability, and appropriate ones have been implemented. Confirm that there was a dedicated group focused on implementing efficiency and sustainability practices, or that there was an incentive, bonus, or recognition program for outstanding contributions to increased sustainability.		
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that employees relevant to the successful adoption and implementation of sustainability concepts and practices were regularly informed about the vineyard and/or winery operations' sustainability efforts. Also, discuss that suggestions and ideas were solicited from employees on how to improve efficiency and sustainability.		
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that employees relevant to the successful adoption and implementation of sustainability concepts and practices were occasionally informed about the vineyard and/or winery operations' sustainability efforts.		

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	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that employees relevant to the successful adoption and implementation of sustainability concepts and practices were not informed about the vineyard and/or winery operations' sustainability efforts. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action Plan required if Category 1 and Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant social impact
f. Additional Explanation Required None		

12.14.9 Employee Performance

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial:</u> Discuss with the auditee that the vineyard and/or winery operation had an established process for assessing competency and performance for employees that includes a minimum of two best practices from Box 14-W. Also, verify that employees were encouraged to management and supervisory staff ideas and suggestions on improving operations and efficiency. In addition, confirm that performance competency and reviews included contributions towards sustainability goals.		
	Category 3:	<u>Internal Testimonial:</u> Discuss with the auditee that the vineyard and/or winery operation had an established process for assessing competency and performance for employees, and that employees were encouraged to management and supervisory staff ideas and suggestions on improving operations and efficiency.		
	Category 2:	<u>Internal Testimonial:</u> Discuss with the auditee that the vineyard and/or winery operation had an established process for assessing competency and performance for employees.		
	Category 1:	<u>Internal Testimonial:</u> Discuss with the auditee the informal process for assessing competency and performance for appropriate employees.		
d. Certification Prerequisite None			e. Prerequisite Rationale N/A	
f. Additional Explanation Required None				

12.14.10 Compensation Benchmarking

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Verify that the vineyard and/or winery operation had benchmarked compensation levels within the industry and/or by location using data from salary surveys in addition to word-of-mouth or other informal methods, and the compensation package was reviewed to ensure it properly attracted and retained employees. Also, confirm that the company participated in salary surveys and/or tracked retention.		
	Category 3:	<u>Internal Testimonial</u> : Verify that the vineyard and/or winery operation had benchmarked compensation levels within the industry and/or by location using word-of-mouth or other informal methods, and the compensation package was reviewed to ensure it properly attracted and retained employees.		
	Category 2:	<u>Internal Testimonial</u> : Verify that the vineyard and/or winery operation had benchmarked compensation levels within the industry and/or by location using word-of-mouth or other informal methods.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.15 NEIGHBORS AND COMMUNITY

12.15.1 Neighbors and Community Relations

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Verify that neighbors who may be affected by the operations had appropriate contact information, and there was a process for receiving, considering, and acting upon neighbor/community comments, questions, and concerns. Confirm that proactive efforts were made to foster good relations with neighbors and community, and to promote a better understanding of the operation and the industry.</p> <p><u>Published Materials</u>: Where possible, confirm the company communicated to neighbors and the community about the practices and sustainability commitment.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Verify that neighbors who may be affected by the operations had appropriate contact information, and there was a process for receiving, considering, and acting upon neighbor/community comments, questions, and concerns. Confirm that proactive efforts were made to foster good relations with neighbors and community, and to promote a better understanding of the operation and the industry.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Verify that neighbors who may be affected by the operations had appropriate contact information, and there was a process for receiving, considering, and acting upon neighbor/community comments, questions, and concerns.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Verify that contact information for the vineyard and/or winery was not available to neighbors or members of the community.</p> <p><u>Action Plan</u>: Verify action plan for first year self-assessments.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action Plan required if Category 1 and Category 2 or higher in subsequent years		Significant social impact <i>and</i> Stakeholder concern <i>and</i> Potential risk/liability to the company		
f. Additional Explanation Required				
None				

12.15.2 Awareness of Potential Neighbor and Community Issues

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Confirm that attitudes and perceptions of neighbors on key issues regarding vineyard and/or winery operations were known, and they understood how operations may have affected neighbors and community stakeholders. Also, verify that either neighbors or community stakeholders were met or communicated with to discuss relevant issues; appropriate meeting(s) were attended that included neighbor/community issues, and/or belonged to an association that addressed these issues. In addition, confirm that the company proactively worked to minimize potentially significant neighbor or community issues.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Confirm that attitudes and perceptions of neighbors on key issues regarding vineyard and/or winery operations were known, and they understood how operations may have affected neighbors and community stakeholders. Also, verify the need was considered to meet or communicate with neighbors or community stakeholders to discuss relevant issues.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Confirm that attitudes and perceptions of neighbors regarding vineyard and/or winery operations were known, and they understood how operations may have affected neighbors and community stakeholders.</p>		

	Category 1:	<u>Internal Testimonial</u> : Confirm that attitudes and perceptions of neighbors regarding vineyard and/or winery operations were unknown. <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action Plan required if Category 1 and Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant social impact <i>and</i> Stakeholder concern <i>and</i> Potential risk/liability to the company
f. Additional Explanation Required None		

12.15.3 Mitigation of Light, Noise, and Traffic Impacts

a. <u>Mandatory to complete?</u>		No, select N/A if none of these are issues in the area	b. <u>Audit priority</u>	High
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirm that the winery operation’s potential affect on light, noise, and/or traffic impacts to neighbors was known, and neighbors who might be affected had appropriate contact information for the winery. Also, verify that either neighbors or community stakeholders were met or communicated with to discuss these issues, or these issues were adequately addressed. <u>Direct Observation</u> : Confirm that mitigation options were implemented for these issues to adequately address them, and they were regularly evaluated.		
	Category 3:	<u>Internal Testimonial</u> : Confirm that the winery operation’s potential affect on light, noise, and/or traffic impacts to neighbors was known, and neighbors who might be affected had appropriate contact information for the winery. Also verify that the need to meet or communicate with neighbors or community stakeholders was considered to discuss these issues. <u>Direct Observation</u> : Confirm that mitigation options were implemented for these issues.		
	Category 2:	<u>Internal Testimonial</u> : Confirm that the winery operation’s potential affect on light, noise, and/or traffic impacts to neighbors was known, and neighbors who might be affected had appropriate contact information for the winery. Also, discuss which mitigation options were researched for these issues.		
	Category 1:	<u>Internal Testimonial</u> : Confirm that it was not yet known if or how the winery operations result in light, noise, and/or traffic impacts to neighbors. <u>Action Plan</u> : Verify action plan for first year self-assessments.		
d. <u>Certification Prerequisite</u> Action Plan required if Category 1 and Category 2 or higher in subsequent years			e. <u>Prerequisite Rationale</u> Significant social impact <i>and</i> Stakeholder concern <i>and</i> Potential risk/liability to the company	
f. <u>Additional Explanation Required</u> Explain in Notes why N/A				

12.15.4 Awareness of Community Issues that Could Potentially Affect a Winery

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Confirm that community issues that could affect the winery were understood. Also, verify that appropriate community meetings were attended, and/or the winery belonged to an association that addressed community issues. Also, discuss how the winery actively worked toward improvement of community issues.		
	Category 3:	<u>Internal Testimonial</u> : Confirm that community issues that could affect the winery were understood. Also, verify that appropriate community meetings were attended, and/or the winery belongs to an association that addressed community issues.		
	Category 2:	<u>Internal Testimonial</u> : Confirm that community issues that could affect the winery were understood.		

	Category 1:	<u>Internal Testimonial</u> : Confirm that it was not yet known how community issues could affect the winery.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.15.5 (15-5 to 15-9) Contributions to the Community

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Low
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Confirm that the auditee volunteered, contributed staff time, or donated financial resources, wine, or made other contributions to enhance this area in the community.		
	Category 3:			
	Category 2:			
	Category 1:	<u>Internal Testimonial</u> : Confirm that the auditee was not active in this particular area.		
d. <u>Certification Prerequisite</u>		e. <u>Prerequisite Rationale</u>		
None		N/A		
f. <u>Additional Explanation Required</u>				
None				

12.16 AIR QUALITY

12.16.1 Planning, Monitoring, Goals, and Results

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal testimonial</u> : Discuss with the auditee that sources of air emissions associated with the vineyard and/or winery were known. Also, confirm the difference between PM ₁₀ and PM _{2.5} was known, and resources for air quality information were used regularly. <u>Written Document/Plan</u> : Verify there was a documented air and climate protection plan, and that annual energy-related and refrigerant greenhouse gas emissions were calculated. Verify that employees were trained in air and climate protection that included written material, and goals and reduction targets were tracked.		
	Category 3:	<u>Internal testimonial</u> : Discuss with the auditee that sources of air emissions associated with the vineyard and/or winery were known. Also, confirm the difference between PM ₁₀ and PM _{2.5} was known, and there was an awareness of resources for air quality information. <u>Written Document/Plan</u> : Verify there was a documented air and climate protection plan, and that annual energy-related and refrigerant greenhouse gas emissions were calculated. Also, confirm that there was information about climate protection available to employees.		
	Category 2:	<u>Internal testimonial</u> : Discuss with the auditee that there was an awareness of some sources of air emissions associated with the vineyard and/or winery, and that these sources were assessed. Also, confirm there was a general idea about the difference between PM ₁₀ and PM _{2.5} .		
	Category 1:	<u>Internal testimonial</u> : Discuss with the auditee that there was a general idea about some sources of air emissions associated with the vineyard and/or winery, and that the difference between PM ₁₀ and PM _{2.5} was not known. <u>Action Plan</u> : Verify action plan for first year self-assessments.		

d. Certification Prerequisite Action Plan required if Category 1 and Category 2 or higher in subsequent years	e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None	

12.16.2 Vineyard Floors

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial:</u> Discuss with the auditee that it was known how soil management practices mitigate airborne dust and PM ₁₀ , and a soil conservation strategy was implemented that included permanent or no-till cover crop, no or minimally disruptive under-the-vine tillage, and other practices.		
	Category 3:	<u>Internal Testimonial:</u> Discuss with the auditee that it was known how soil management practices mitigate airborne dust and PM ₁₀ , and a soil conservation strategy was implemented that included reduced tillage, cover cropping, and one or more other practice(s).		
	Category 2:	<u>Internal Testimonial:</u> Discuss with the auditee that there was an awareness of soil management practices for mitigating airborne dust and PM ₁₀ , and a soil conservation strategy was implemented that included reduced tillage.		
	Category 1:	<u>Internal Testimonial:</u> Discuss with the auditee that soil management practices were not implemented to mitigate airborne dust and PM ₁₀ , unless required by regional regulations.		
d. Certification Prerequisite None			e. Prerequisite Rationale N/A	
f. Additional Explanation Required None				

12.16.3 Unpaved Surfaces - Roadways and Traffic and Equipment Staging Areas

a. Mandatory to complete?	Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that practices for mitigating airborne dust and PM ₁₀ from unpaved surfaces were known, and a soil conservation strategy was implemented that included effectively timed applications of water or regulatory compliant anti-dust materials and/or layering gravel, chipping, mulching, sanding, paving, or seeding. Also, discuss that speed and travel were restricted during high-use periods on and around the operation, and that employees were trained to reduce fugitive dust from unpaved areas. <u>Direct Observation</u> : Speed limit signs.	
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that practices for mitigating airborne dust and PM ₁₀ from unpaved surfaces were known, and a soil conservation strategy was implemented that included effectively timed applications of water or regulatory compliant anti-dust materials and/or layering gravel, chipping, mulching, sanding, paving, or seeding. Also, discuss that speed and travel were restricted during high-use periods on and around the operation. <u>Direct Observation</u> : Speed limit signs.	
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that there was an awareness of practices for mitigating airborne dust and PM ₁₀ from unpaved surfaces, and a soil conservation strategy was implemented that included effectively timed applications of water or regulatory compliant anti-dust materials and/or layering gravel, chipping, mulching, sanding, paving, or speeding. Verify the previous implementations, or discuss that speed and travel were restricted during high-use periods on and around the operation. <u>Direct Observation</u> : Speed limit signs.	

	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that practices were not specifically implemented to mitigate airborne dust and PM ₁₀ from unpaved surfaces, unless required by regional regulations <u>Action Plan</u> : Verify action plan for first year self-assessments.
d. Certification Prerequisite Action Plan required if Category 1 and Category 2 or higher in subsequent years		e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None		

12.16.4 Vineyard Water Use

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial:</u> Discuss with the auditee that there was knowledge of how irrigation design and practices affect air quality, and discuss how the irrigation strategy delivered minimal amounts of water to achieve yield and quality goals. Also, confirm that this cost-effective strategy included monitoring and maintaining the irrigation system. Discuss that irrigation occurred mid-morning or at night, and (if applicable) older diesel-powered irrigation units were replaced/retrofitted before being legally required with cleaner-burning technology.		
	Category 3:	<u>Internal Testimonial:</u> Discuss with the auditee that there was knowledge of how irrigation design and practices affect air quality, and discuss how the irrigation strategy delivered minimal amounts of water to achieve yield and quality goals. Also, confirm that this cost-effective strategy included monitoring and maintaining the irrigation system.		
	Category 2:	<u>Internal Testimonial:</u> Discuss with the auditee that there was an awareness of how irrigation design and practices affect air quality, and discuss how the irrigation strategy delivered minimal amounts of water to achieve yield and quality goals.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.16.5 Pest Management Strategy

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that there was knowledge of how pest management practices affect air quality, and discuss how a cost-effective pest management strategy was implemented to reduce emissions from soil disturbance, fuel use, and pesticides while maintaining pests at tolerable levels. Also, confirm that this strategy first relied on biological and cultural tactics that minimize equipment passes and pesticide inputs. Confirm that application decisions were based on economic thresholds and/or weather model decision tools. <u>Direct Observation</u> : Verify weed and floor management practices mitigated dust and PM ₁₀ .		
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that there was knowledge of how pest management practices affect air quality, and discuss how a cost-effective pest management strategy was implemented to reduce emissions from soil disturbance, fuel use, and pesticides while maintaining pests at tolerable levels. Also, confirm that this strategy first relied on biological and cultural tactics that minimize equipment passes and pesticide inputs.		

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	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that there was an awareness of how pest management practices affect air quality, and discuss how a pest management strategy was being developed to reduce emissions from pest management operations while maintaining pests at tolerable levels.
	Category 1:	None.
d. Certification Prerequisite None		e. Prerequisite Rationale N/A
f. Additional Explanation Required None		

12.16.6 Pesticide Stewardship

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that recommended practices were followed to minimize PM ₁₀ and drift from dust and liquid applications, and that pesticides associated with higher VOC emissions were avoided for use. Also, confirm that applicators were trained about pesticide issues relevant to air quality.		
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that recommended practices were followed to minimize PM ₁₀ and drift from dust and liquid applications, and that there was some understanding of pesticide products associated with higher VOC emissions.		
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that recommended practices were followed to minimize PM ₁₀ and drift from dust and liquid applications.		
	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that pesticides were chosen and applied without considering impacts to air quality other than following legal requirements.		
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>	
None			N/A	
f. <u>Additional Explanation Required</u>				
None				

12.16.7 Agricultural and Winery Chemicals and Materials

a. Mandatory to complete?		Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that there was knowledge of how chemicals and materials used in the vineyard and/or winery affect air quality, and that a strategy was being implemented for chemical acquisition and use that included VOC potential, air toxicity, and potential for ozone depletion. This strategy included the preferential purchase and use of materials with both low potential to emit VOCs and low toxicity. Also, verify that proven or suspected ozone-depleting materials were not being used, and that employees were trained about relevant air quality issues and safe storage, use, and cleanup procedures.		
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that there was knowledge of how chemicals and materials used in the vineyard and/or winery affect air quality, and that a strategy was being implemented for chemical acquisition and use that included VOC potential, air toxicity, and potential for ozone depletion. This strategy included the preferential purchase and use of materials with both low potential to emit VOCs and low toxicity. Also, verify that proven or suspected ozone-depleting materials were being eliminated from use.		
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that there was an awareness of how chemicals and materials used in the vineyard and/or winery affect air quality, and that a strategy was being developed for chemical acquisition and use that included VOC potential, air toxicity, and potential for ozone depletion.		
	Category 1:	<u>Internal Testimonial</u> : Discuss with the auditee that the relationship between chemicals and materials used in the vineyard and/or winery and air quality was not known.		

d. Certification Prerequisite None	e. Prerequisite Rationale Significant environmental impact
f. Additional Explanation Required None	

12.16.8 Transportation

a. <u>Mandatory to complete?</u>		Yes	b. <u>Audit priority</u>	Medium
c. <u>Evidence Requirements</u>	Category 4:	<u>Internal Testimonial</u> : Discuss with the auditee that there was knowledge about links between miles traveled and air quality. Also, discuss the strategy that was implemented for over one year to minimize the miles traveled to and from the facility, and reduce engine idling time. Confirm employees were trained to reduce emissions from travel, and verify they utilize commute alternatives. <u>Log</u> : Confirm that the miles traveled, fuel use, or GHG emissions by the vineyard and/or winery operation's fleet of trucks each year was tracked.		
	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that there was knowledge about links between miles traveled and air quality. Confirm that the miles traveled, fuel use, or GHG emissions by the vineyard and/or winery operation's fleet of trucks each year was known. Also, discuss the strategy developed to minimize the miles traveled to and from the facility, and reduce engine idling time. Confirm employee training was provided to reduce emissions from travel.		
	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that there was awareness about links between miles traveled and air quality. Confirm there was a general idea about how many miles were traveled by the vineyard and/or winery operation's trucks each year. Also, discuss the strategy being developed to minimize the miles traveled to and from the facility each year.		
	Category 1:	None.		
d. <u>Certification Prerequisite</u> None			e. <u>Prerequisite Rationale</u> N/A	
f. <u>Additional Explanation Required</u> None				

12.16.9 Agricultural Burning

a. Mandatory to complete?	Yes	b. Audit priority	Medium
c. Evidence Requirements	Category 4:	Internal Testimonial: Confirm with the auditee that no burning was done in the vineyard. Also, verify that vineyard prunings and diseased vines were managed to minimize air quality issues.	
	Category 3:	Internal Testimonial: Confirm with the auditee that vineyard prunings were managed to minimize air quality issues, and only diseased vines were burned. Verify that all burning was done under the supervision of a trained vineyard manager.	
	Category 2:	Internal Testimonial: Confirm with the auditee that only vineyard prunings, diseased vines, and/or weeds were burned, and all burning was done under the supervision of a trained vineyard manager. Also, verify that alternatives to burning were being investigated and tested.	
	Category 1:	Internal Testimonial: Confirm with the auditee that various flammable materials were burned following legal requirements, and field workers were allowed to supervise the burninf.	
d. Certification Prerequisite None		e. Prerequisite Rationale N/A	

f. Additional Explanation Required

None

12.16.10 Winery Refrigerants

a. Mandatory to complete?		Yes	b. Audit priority	High
c. Evidence Requirements	Category 4:	<p><u>Internal Testimonial</u>: Confirm with the auditee that the type, amount, and global warming potential (GWP) of current refrigerant(s) were known. Also, verify that efficiency improvements were made to the refrigeration system, and that information on refrigerants, leaks, and impacts on human health and environment was used in training.</p> <p><u>Written Document/Plan</u>: Verify an audit was done on the refrigeration system.</p> <p><u>Log</u>: Verify the amount of refrigerant(s) was monitored and tracked.</p>		
	Category 3:	<p><u>Internal Testimonial</u>: Confirm with the auditee that the type, amount, and global warming potential (GWP) of current refrigerant(s) were known. Also, verify the amount of refrigerant(s) was monitored, and the results of the refrigeration audit were considered.</p> <p><u>Written Document/Plan</u>: Verify an audit was done on the refrigeration system.</p> <p><u>Direct Observation</u>: Verify that information on refrigerants, leaks, and impacts on human health and environment was available to employees.</p>		
	Category 2:	<p><u>Internal Testimonial</u>: Confirm with the auditee that the type, amount, and global warming potential (GWP) of current refrigerant(s) were known.</p> <p><u>Written Document/Plan</u>: Verify an audit was done on the refrigeration system.</p>		
	Category 1:	<p><u>Internal Testimonial</u>: Confirm with the auditee that the type, amount, and global warming potential (GWP) of current refrigerant(s) were unknown. Also, verify that the refrigeration system was operated and maintained much as it has been since installation.</p> <p><u>Action Plan</u>: Verify action plan for first year self-assessments.</p>		
d. Certification Prerequisite		e. Prerequisite Rationale		
Action Plan required if Category 1 and Category 2 or higher in subsequent years		Significant environmental impact		
f. Additional Explanation Required				
None				