

CERTIFIED CALIFORNIA SUSTAINABLE WINEGROWING

CERTIFICATION GUIDEBOOK APPENDIX

Updated January 2017



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. Man	datory to complet	te? Is this criterion man	idatory for	b. Audit priority	If a criterion is rated as	
auditee to complete,			e, or can it be		"Low" priority the auditor is	
judged "Not Applicate					not required to review it if	
		to be Not Applicable	e (N/A), an		time is limited during the	
		explanation is requi	red depending on		audit. If it is rated "High"	
		the criteria.	, ,		priority, the criteria should	
					be audited during each site	
					visit.	
	Category 4:	What kinds of evidence do	oes the auditor need	to see in order for th	e auditee to be verified at a	
		Category 4 level? For a list	of the types of evid	lence the auditor is lo	oking for, see "Key to	
νı .		Evidence Types," Section 9	9 of this guidebook.			
Evidence Requirements	Category 3:	What kinds of evidence do	oes the auditor need	es the auditor need to see in order for the auditee to be verified at a		
Ĕ		Category 3 level? For a list	of the types of evidence the auditor is looking for, see "Key to			
l ii		Evidence Types," Section 9	of this guidebook.			
jed	Category 2:	What kinds of evidence do	oes the auditor need	to see in order for th	e auditee to be verified at a	
9		Category 2 level? For a list	of the types of evid	lence the auditor is lo	oking for, see "Key to	
enc		Evidence Types," Section 9	of this guidebook.			
Ş	Category 1:	What kinds of evidence do	oes the auditor need	d to see in order for th	e auditee to be verified at a	
III '-		Category 1 level? For a list	of the types of evid	lence the auditor is lo	oking for, see "Key to	
ن		Evidence Types," Section 9	of this guidebook.			
d. <u>Certif</u>	ication Prerequis	<u>site</u>	e. <u>Prerequisite Ra</u>	ationale_		
What is the minimum score an auditee can report for This provides the reasoning behind having a Prerequisi					ing a Prerequisite for criteria	
this aspe	this aspect of the Code Workbook (if applicable)? that require them (if applicable). In other words, why does the					
	auditee need to have a minimum score?					
	onal Explanation					
If the au	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. <u>M</u> an	datory to compl	ete?	Yes		b. Audit priority	High		
ments	Category 4:	Internal Testimo	Written Document/Plan: Company mission, vision, values, or equivalent documents Internal Testimonial: Explanation of how sustainable business strategy shared with employees and external stakeholders.					
Evidence Requirements	Category 3:	· · · · · · · · · · · · · · · · · · ·	Written Document/Plan: Company mission, vision, values, or equivalent documents nternal Testimonial: Explanation of how sustainable business strategy shared with employees.					
idence	Category 2:	Internal Testimo	<u>nial:</u> Exp	lanation of business	strategy.			
C. <u>E</u>	Category 1:	None.						
d. <u>Certi</u>	fication Prerequ	<u>isite</u>		e. Prerequisite Rat	<u>ionale</u>			
Action	Action plan required if Category 1 or 2; Category			Significant econom	ic, social and environ	mental impact		
3 or higher for subsequent years								
f. Addit	f. Additional Explanation Required							
None								

12.2.2 Environmental Compliance Planning

	12:2:2 Environmental Compilation Flaming							
a. <u>Mar</u>	datory to compl	ete?	Yes		b. Audit priority	High		
	Category 4:	Internal Testimo	nial: Discussion with auditee about means/process for staying aware of					
		environmental le	egal and	regulatory requiren	nents.			
		Written Docume	Written Document/Plan: Verify auditee had a list of all permits and discuss system for					
		keeping abreast	of renew	val dates, monitorin	g requirements, etc.			
		Internal Testimo	nial: Disc	cussion about how e	employees are informe	ed about compliance		
		requirements an	d how o	peration interacts w	ith regulators, or whi	ch association operation		
		belongs to.						
	Category 3:	Internal Testimo	nial: Disc	cussion with audited	e about means/proces	s for staying aware of		
		environmental legal and regulatory requirements.						
(6)		Written Docume	nt/Plan:	Verify auditee had	a list of all permits and	d discuss system for		
ints		keeping abreast	of renew	val dates, monitorin	g requirements, etc.			
E E		Internal Testimo	<u>nial:</u> Disc	cussion about how e	employees are informe	ed about compliance		
ire		requirements.						
Evidence Requirements	Category 2:	Internal Testimo	nial: Disc	cussion with audited	about means or prod	cess for staying aware of		
8		environmental le	egal and	regulatory requiren	nents.			
Ü		Written Docume	nt/Plan:	Verify that auditee	had a list of all permit	s and discuss system for		
jde		keeping abreast	of renew	val dates, monitorin	g requirements, etc.			
回	Category 1:	Internal Testimo	<u>nial:</u> Disc	cussion with audited	about means/proces	s for staying aware of		
ن		environmental le	egal and	regulatory requiren	nents.			
d. <u>Certi</u>	fication Prerequ	isite		e. Prerequisite Rat	<u>ionale</u>			
Action	Action plan required if Cat 1; Significant economic, social and environmental impact				mental impact			
Cat 2 o	Cat 2 or higher in subsequent years							
f. Addit	tional Explanatio	n Required	•					
None								

12.3 VITICULTURE

12.3.1 Balanced Vines

a. Man	datory to compl	ete?	Yes	b. Audit priority	Low			
	Category 4:	ry 4: <u>Internal Testimonial</u> : Discussion with auditee about practices to balance vines.						
		Analysis Records: Records of vine phenology.						
ents	Category 3:	Direct Observati	on: Vine growth attributes	for vineyard.				
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimo	nial: Discussion about vine	growth.				
c. <u>Ev</u> Requ	Category 1:	None.						
d. <u>Certi</u>	fication Prerequi	<u>isite</u>	e. Prerequisite Ra	tionale_				
None	None N/A							
f. Addit	f. Additional Explanation Required							
None	None							

12.3.2 Shoot Density

	121012 On our Ponoity						
a. Mandatory to No, select N/A if shoot t			hinning might not	b. Audit priority	Low		
comple	<u>te</u> ?	be warranted for your re	egion, or your				
		vineyard is head-trained					
	Category 4:	Internal Testimonial: Dis	cussion with audited	e about the concept o	f thinning spurs to receive		
		an optimum number of	shoots. In addition,	explanation from aud	itee about the practice of		
		removing shoots and yo	ung clusters from th	e head area.			
	Category 3:	Internal Testimonial: Exp	olanation from audit	ee about the practice	and timing of removing		
c. <u>Evidence</u> Requirements		shoots and young cluste	rs from the head are	ea.			
Evidence quiremer	Category 2:	Internal Testimonial: Exp	planation from audit	ee about the practice	of removing shoots from		
ire		the head area.					
집	Category 1:	None.					
ے د							
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rat</u>	ionale			
None N/A							
f. Additional Explanation Required							
Explain in Notes why N/A							

12.3.3 Leaf Removal

a. Mandatory to		No, select N/A if the win	ery does not allow	b. Audit priority	Low
comple	<u>te</u>	leaf removal, or leaf rem	leaf removal, or leaf removal is		
		inappropriate for your va	ariety or region		
	Category 4:	Internal Testimonial: Dis	cussion with audited	e about why leaf remo	oval was not necessary.
e ents	Category 3:	Internal Testimonial: Dis	cussion with audited	e about leaf removal a	ind timing.
Evidence	Category 2:	Internal Testimonial: Dis	cussion with audited	e about leaf removal.	
c. <u>Evidence</u> <u>Requirements</u>	Category 1:	None.			
d. <u>Certi</u>	d. Certification Prerequisite		e. Prerequisite Rat	ionale	
None			N/A		
f. Additional Explanation Required					
Explain in Notes why N/A					

12.3.4 Crop-to-Pruning Weight Ratio

a. Man	datory to	No, select N/A if hedging	g did not allow	b. Audit priority	Low
complete? accurate data collection					
	Category 4:	Internal Testimonial: Dis	cussion with audited	about how crop-to-v	veight pruning ratios are
		adjusted to the appropri	iate levels.		
		Log: Log monitoring crop	o-to-weight pruning	ratios.	
	Category 3:	Internal Testimonial: Dis	cussion with audited	about how crop-to-v	veight pruning ratios
nts		were monitored.			
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Dis	cussion with audited	about researching cr	op-to-weight pruning
ire li		ratios.			
	Category 1:	None.			
ن ڇ					
d. <u>Certi</u>	fication Prerequi	site	e. Prerequisite Rat	<u>ionale</u>	
None	None N/A				
f. Addit	f. Additional Explanation Required				
Explain	in Notes why N/	4			

12.3.5 Vineyard Design And Trellis

a. Mandatory to		No, select N/A if no trell	is was used	b. Audit priority	Low	
comple	<u>te</u> ?					
	Category 4:	<u>Direct Observation</u> : Trell	lis and vine spacing a	accommodates the vig	or of the vines, providing	
(A)		an open canopy with app	propriate exposure o	of the fruit zone to ligh	nt without requiring leaf	
int.		removal. In addition, sho	oots are positioned i	n the correct way for t	the trellis.	
Ĕ	Category 3:	<u>Direct Observation</u> : Trell	lis and vine spacing a	accommodates the vig	or of the vines, providing	
l ir		an open canopy with mo	derate exposure of	the fruit zone to light	but still requiring leaf	
edi		removal. In addition, shoots are positioned in the correct way for the trellis.				
Evidence Requirements	Category 2:	<u>Direct Observation</u> : Trell	llis and vine spacing spreads the vine out but shades the fruit even			
) Su		with leaf removal; or the	the trellis and vine spacing results in some overly exposed fruit. In			
/ide		addition, shoots are pos	itioned in the correc	t way for the trellis.		
Ū	Category 1:	None.				
Ċ						
d. Certification Prerequisite			e. Prerequisite Rat	<u>ionale</u>		
None N/A						
f. Additional Explanation Required						
Explain	in Notes why N/	A				

12.3.6 Vinevard Vigor Uniformity

	12.0.0 Villoyara Vigor Officiality							
a. Mandatory to complete? Yes			Yes		b. Audit priority	Low		
	Category 4:	gory 4: <u>Internal Testimonial</u> : Discussion with auditee about vine pruning practices and irrigitechniques with knowledge of rootstock/irrigation interactions.						
ents	Category 3:	Internal Testimo techniques.	Internal Testimonial: Discussion with auditee about vine pruning practices and irrigation					
<u>Evidence</u> quiremer	Category 2:	Internal Testimo	nial: Dis	cussion with auditee	about vine pruning p	ractices.		
c. <u>Evidence</u> Requirements	Category 1:	None.						
d. <u>Certi</u>	fication Prerequi	<u>isite</u>		e. Prerequisite Rat	<u>ionale</u>			
None				N/A				
f. Additional Explanation Required								
None								

12.3.7 Monitoring Canopy Density and Vigor

a. Man	datory to compl	ete?	Yes	b. Audit priority	Low	
Category 4: Analysis Records: Documentation of canopy density and shoot-tip vigor monitorin						
		corrective action	is taken (if necessary).			
	Category 3:	Analysis Records	: Documentation of can	opy density and shoot-tip	vigor monitoring and the	
ınts		corrective action	is taken (if necessary).			
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimo	nial: Discussion with aud	ditee about canopy densi	ty and shoot-tip vigor	
ire		monitoring.				
E E	Category 1:	None.				
اکھ ن						
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. Prerequisite	Rationale		
None	None N/A					
f. Additional Explanation Required						
None						

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

a. Man	datory to	No, select N/A if the vine	eyard was	b. Audit priority	Medium
complete? purchased in-tact, and nenvironmental due dilig					
Category 4: Internal Testimonial: Explanation of how and when environmental due diligence, in and consulting with appropriate public and private entities were carried out.					• ·
nts	Category 3:	Internal Testimonial: Expresearch and/or consulti			_
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Expresearch were carried ou		d when environmenta	I due diligence and
c. Ev Regu	Category 1:	None.			
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rat</u>	ionale	
None N			N/A		
f. Additional Explanation Required					
Explain in Notes why N/A					

12.3.9 Soil Profile Inspection and Modification

	12.0.3 Con 1 Tonic inspection and modification							
a. Mandatory to No, select N/A if no red			evelopment	b. Audit priority	Medium			
comple	<u>te</u> ?	occurred since vineyard	establishment,					
		and/or no development	records exist due					
		to ownership or manage	ment change					
	Category 4:	Internal Testimonial: Exp	olanation of how soil	profile was inspected	l and modified.			
		Visual Record: Review o	f GIS map showing s	oil profile.				
e ents	Category 3:	Internal Testimonial: Exp	planation of how soil	profile was inspected	l and modified.			
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Exp	planation of how soil	profile was inspected	I and modified.			
c. Ev Regu	Category 1:	None.						
d. Certification Prerequisite			e. Prerequisite Rat	ionale				
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. Mandatory to No, select N/A if no rede			evelopment	b. Audit priority	Medium			
<u>complete</u> ? records exist due to own			nership or					
		management change						
	Category 4:	Internal Testimonial: Exp	olanation of how soil	properties were teste	ed and amended.			
		Visual Record: Review o	of GIS map showing s	oil profile.				
e ents	Category 3:	Internal Testimonial: Exp	planation of how soil	properties were teste	ed and amended.			
<u>Evidence</u> quiremer	Category 2:	Internal Testimonial: Exp	planation of how soil	properties were teste	ed and amended.			
c. <u>Evidence</u> Requirements	Category 1:	None.						
d. <u>Certif</u>	fication Prerequi	isite	e. Prerequisite Rat	<u>ionale</u>				
None	_		N/A					
f. Additi	f. Additional Explanation Required							
Explain	Explain in Notes why N/A							

12.3.11 Soil Sampled for Biological Problems Pre-Planting

	12.0.11 Con Campica for Biological Froblems Fre Flamming							
a. Mandatory to No, select N/A if no rede			evelopment	b. Audit priority	Medium			
complete? records exist due to own			nership or					
management change								
	Category 4:	Internal Testimonial: Exp	olanation of how soil	biology was tested, in	ncluding separate			
		samples to test for varia	bility.					
e ents	Category 3:	Internal Testimonial: Exp	olanation of how soil	biology was tested.				
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Exp	olanation of knowled	lge of previous vegeta	ition.			
c. Ev Requ	Category 1:	None.						
d. <u>Certi</u>	fication Prerequi	<u>isite</u>	e. Prerequisite Rat	ionale				
None	None N/A							
f. Addit	f. Additional Explanation Required							
Explain	Explain in Notes why N/A							

12.3.12 Addressing Biological Problems

	12.3.12 Addressing biological Floblenis						
a. Man	datory to	No, select N/A if no biolo	ogical problems	b. Audit priority	High		
comple	<u>te</u> ?	existed					
	Category 4:	Internal Testimonial: Exp	olanation of how roo	ts were removed and	field fallowed or rotated		
		to a non-host crop for at	t least three years.				
	Category 3:	Internal Testimonial: Exp	olanation of how roo	ts were removed and	field fallowed or rotated		
nts		to a non-host crop for at	t least one year.				
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Exp	planation of how biological problem was verified by testing and				
ire		fumigated.					
	Category 1:	Internal Testimonial: Exp	planation of how bio	logical problem was fu	ımigated or explanation		
ن ڇ		of no fumigation or fallo	wing done.				
d. <u>Certi</u>	fication Prerequi	isite	e. Prerequisite Rationale				
Action p	olan required if C	ategory 1 and Category	Significant environmental impact				
2 or higher in next year with planting							
f. Addit	ional Explanatio	n Required	_	_			
Explain	in Notes why N/	A					

12.3.13 Rootstocks

a. Mandatory to No, select N/A if no		No, select N/A if no vine	s have been	b. Audit priority	Medium
<u>complete</u> ? plated since the current		plated since the current	owner or		
		management team has b	peen in place		
Category 4: Internal Testimonial: Explanation of rootstock selection approach, including consultation.					including external
ents	Category 3:	Internal Testimonial: Exp	planation of rootstoo	ck analysis and selection	on approach.
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Exp	planation of rootstoo	ck selection approach.	
c. Ev Requ	Category 1:	None.			
d. <u>Certi</u>	fication Prerequ	isite_	e. Prerequisite Rat	ionale	
None			N/A		
f. Additional Explanation Required					
Explain in Notes why N/A					

12.3.14 Vineyard Layout

		, ,			
a. Man	datory to	No, select N/A if there a	re no	b. Audit priority	Low
<u>complete</u> ? redevelopment records		redevelopment records	due to ownership		
		or management change			
	Category 4:	Internal Testimonial: Exp	olanation of vineyard	l layout approach.	
		Direct Observation: Vine	yard layout, row dir	ections, and buffer zo	nes.
	Category 3:	Internal Testimonial: Exp	olanation of vineyard	l layout approach.	
c. <u>Evidence</u> Requirements		Direct Observation: Vine	yard layout, row dir	ections, and buffer zo	nes.
Evidence	Category 2:	Internal Testimonial: Exp	olanation of vineyard	l layout approach.	
ire		Direct Observation: Vine	yard layout.		
집	Category 1:	Internal Testimonial: Exp	olanation of vineyard	l layout approach.	
ت ي		Direct Observation: Vine	yard layout		
d. <u>Certi</u>	fication Prerequi	site	e. Prerequisite Rat	<u>ionale</u>	
None N/A			N/A		
f. Additional Explanation Required					
Explain	Explain in Notes why N/A				

12.3.15 Row and Vine Spacing

	12.0.10 Itow and thic opacing							
a. Man	datory to	No, select N/A if no vine	s were planted	b. Audit priority	Low			
<u>complete</u> ? since owner or current		since owner or current n	nanagement team					
		in place						
	Category 4:	Internal Testimonial: Exp	olanation of row and	vine spacing.				
		<u>Direct Observation</u> : Row	and vine spacing					
	Category 3:	Internal Testimonial: Exp	olanation of row and	vine spacing.				
c. <u>Evidence</u> Requirements		<u>Direct Observation:</u> Row	and vine spacing					
Evidence	Category 2:	Internal Testimonial: Exp	olanation of row and	vine spacing.				
ire ire		<u>Direct Observation:</u> Row	and vine spacing					
F B	Category 1:	Internal Testimonial: Exp	olanation of row and	vine spacing.				
کے ن		<u>Direct Observation:</u> Row	and vine spacing					
d. <u>Certi</u>	fication Prerequi	<u>isite</u>	e. Prerequisite Rat	ional <u>e</u>				
None N/A								
f. Additional Explanation Required								
Explain	Explain in Notes why N/A							

12.3.16 Scion/Cultivar

a. Mandatory to No		No, select N/A if no vine	es were planted	b. Audit priority	High
comple	<u>te</u> ?	since owner or current r	nanagement team		
		in place			
	Category 4:	Internal Testimonial: Exp	olanation of scion/cu	ltivar selection appro	ach, including external
		consultation.			
		External analysis or reco	rd: Virus-free certifi	cation records.	
S	Category 3:	Internal Testimonial: Exp	olanation of scion/cu	Iltivar selection appro	ach, including best
ent le		available information us	ed.		
Evidence	Category 2:	Internal Testimonial: Exp	planation of scion/cu	ltivar selection appro	ach.
c. <u>Evidence</u> Requirements	Category 1:	This category does not o	qualify for certification	on (must score 2 or hi	gher).
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. <u>Prerequisite Rat</u>	<u>ionale</u>	
Must be Category 2 or higher			Stakeholder conce	rn <i>and</i> Potential Risk/	Liability to the company
f. Additional Explanation Required					
Explain in Notes why N/A					

12.3.17 Trellis Selection and Design

	12.0.17 Trems ociection and besign							
		No, select N/A if no vines were planted since owner or current management team		b. Audit priority	Low			
		in place						
	Category 4:	Internal Testimonial: Exp	olanation of trellis se	lection approach.				
ents	Category 3:	Internal Testimonial: Exp	olanation of trellis se	lection approach.				
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Exp	olanation of trellis se	lection approach.				
c. Ev Regu	Category 1:	Internal Testimonial: Exp	olanation of trellis se	lection approach.				
d. <u>Certi</u>	fication Prerequi	<u>isite</u>	e. Prerequisite Rat	ionale				
None			N/A					
f. Addit	ional Explanation	n Required						
Explain	in Notes why N/A	A						

12.3.18 Conservation of Habitat for Wildlife and Pest Predators

a. <u>Man</u>	datory to	No, select N/A if no virgi	in ground was	b. Audit priority	High
complete? planted		planted since the curren	t management		
		team or owner has been	in place		
	Category 4:	Internal Testimonial: Exp	olanation of habitat o	conservation approac	h.
		<u>Direct Observation</u> : Esta	blished vineyard (an	d/or replanted area) v	with surrounding habitat.
	Category 3:	Internal Testimonial: Exp	olanation of habitat	conservation approac	h.
c. <u>Evidence</u> Requirements		<u>Direct Observation</u> : Esta	blished vineyard (an	d/or replanted area) v	with surrounding habitat.
<u>Evidence</u> quiremer	Category 2:	Internal Testimonial: Exp	olanation of habitat o	conservation approac	h.
ire		<u>Direct Observation</u> : Esta	blished vineyard (an	d/or replanted area) v	with surrounding habitat.
집	Category 1:	Direct Observation: Esta	blished vineyard (an	d/or replanted area) v	with surrounding habitat.
ت مح		Action Plan: Verify action	n plan for first year s	elf-assessments.	
d. <u>Certi</u>	fication Prerequi	<u>site</u>	e. Prerequisite Rat	ionale	
Action I	Plan required if C	ategory 1 and Category	Significant environmental impact		
2 or higher in next year with planting					
f. Additional Explanation Required					
Explain	in Notes why N/	Α			

12.3.19 Creation of Habitat for Wildlife and Pest Predators

a. Mandatory to complete? Yes			Yes		b. Audit priority	Medium	
	Category 4:	Internal Testimo	Internal Testimonial: Explanation of habitat creation approach, including listing of native				
(0)		species establish	species established.				
l li		Direct Observation	on: Establishe	d vineyard (an	d/or replanted area)	with surrounding habitat,	
E		including ponds	or other wate	r sources for v	vildlife.		
Requirements	Category 3:	Internal Testimo	<u>nial</u> : Explanat	ion of habitat	creation approach, inc	cluding listing of native	
ba		species establish	ied.				
		Direct Observation	on: Establish	ed vineyard (ar	nd/or replanted area)	with surrounding habitat.	
Evidence	Category 2:	Internal Testimo	<u>nial</u> : Explanat	ion of habitat	creation approach.		
jg		<u>Direct Observation</u>	<u>on</u> : Establishe	d vineyard (an	d/or replanted area) v	with surrounding habitat.	
집	Category 1:	None.					
ن							
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. <u>P</u> ı	erequisite Rat	ionale		
None	None N/A						
f. Addit	f. Additional Explanation Required						
None	None						

12.4 SOIL MANAGEMENT

12.4.1 Plant Tissue Analysis

a. <u>N</u>	Mandatory to compl	ete?	Yes	b. Audit priority	Medium
S	Category 4: Internal Testimonial: Explanation of how petiole analyses are conducted.				
Evidence Requirements		Analysis Records	: Records showing petiol	analysis results, indicat	ing analysis every 1 or 2
em		years and follow-	-up analyses in cases whe	re problems are identifi	ed.
<u> </u>	Category 3:	Internal Testimo	<u>nial</u> ։ Explanation of how բ	etiole analyses are cond	ducted.
Seg		Analysis Records	: Records showing petiole	analysis results, indicat	ing analysis every 2–3
9		years.			
en	Category 2:	Internal Testimo	<u>nial</u> : Explanation of how բ	etiole analyses are con	ducted.
<u>S</u>	0 1 1				
ы Ш	Category 1:	None.			
			<u> </u>		
d. <u>C</u>	ertification Prerequ	<u>isite</u>	e. <u>Prerequisite</u> F	<u>Rationale</u>	
Non	None N/A				
f. <u>A</u>	f. Additional Explanation Required				
Non	None				

12.4.2 Soil Nutrient Analysis

a. <u>ivian</u>	datory to comple	<u>ete</u> ?	Yes	b. Audit priority	Medium	
Category 4: <u>Internal Testimonial</u> : Discuss how soil analysis is conducted, interpreted, and applications of the conducted of					reted, and applied.	
uts		Analysis Record: Record of soil analysis within last 4 years, or 2 years if amending soil.				
Evidence Requirements	Category 3:	Internal Testimo	nial: Discuss how soil analys	is is conducted, interp	reted, and applied to	
lire		vineyard manag	ement decisions.			
edi		Analysis Record:	Record of soil analysis with	in last 6 years, or 3 ye	ars if amending soil.	
e Z	Category 2:	Internal Testimo	nial: Discuss how soil analys	sis is conducted.		
) u		Analysis Record:	Record of soil analysis with	in last 6 years, or ever	ry 3-5 years if amending	
ide		soil.				
回	Category 1:	None.				
ပ						

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

12.4.3 Nutrient Management

a. Mar	datory to comp	lete? Y	'es		b. Audit priority	Medium		
ments	Category 4:	fruit quality, leaf sy	Internal Testimonial: Explanation of nutrient management approach (based on vine vigor, fruit quality, leaf symptoms, vineyard history, wine quality, and water quality test results). Analysis Record: Plant tissue analysis records.					
Evidence Requirements	Category 3:	Internal Testimonial: Explanation of nutrient management approach (based on vine vigor, fruit quality, leaf symptoms and vineyard history. Analysis Record: Plant tissue analysis records.						
idence	Category 2:	Internal Testimonial: Explanation of nutrient management approach (based on vine vigor, fruit quality, leaf symptoms and vineyard history.						
C. <u>Ev</u>	Category 1:	Internal Testimonial: Explanation of nutrient management approach (no site-specificity)						
d. <u>Certi</u>	d. Certification Prerequisite			uisite Rat	<u>ionale</u>			
Category 2 or higher in first year; Category 3 or			or Significar	Significant environmental impact				
higher in subsequent years								
f. Addit	tional Explanatio	n Required						
None								

12.4.4 Nitrogen Management

a. Man	idatory to compl	ete?	Yes	b. Audit priority	High	
	Category 4:	Internal Testimo	nial: Explanation of Nitroge	n management appro	ach, including frequency	
		and timing of application.				
		Analysis Record:	Verify soil analysis records	from within the last 3	years and plant tissue	
ωı		analysis within th	ne past year.			
- int		<u>Direct Observation</u>	on: Verify if cover crops are	e grown to remove Nit	trogen.	
Evidence Requirements	Category 3:	Internal Testimor	<u>nial</u> : Explanation of Nitroge	n management appro	ach, including frequency	
lire		and timing of app	olication.			
edi		<u>Analysis Record</u> : Verify plant tissue or soil analysis records from within the last 3 years.				
e R	Category 2:	Internal Testimor	<u>nia</u> l: Explanation of Nitroge	n management appro	ach, including frequency	
Suc		and timing of app	olication.			
/ide		Analysis Record:	Verify plant tissue or soil a	nalysis records from w	vithin the last 6 years.	
	Category 1:	This category does not qualify for certification (must score a 2 or higher).				
ن	ပံ					
d. Certification Prerequisite			e. Prerequisite Ra	e. Prerequisite Rationale		
Action Plan required if Category 1; Category 2 or			ry 2 or Significant enviror	mental impact		
higher t	higher for subsequent years					
f. Addit	ional Explanatio	n Required				
None						

12.4.5 Fertigation

a. Mandatory to	No, select N/A if no fertilizer was applied	b. Audit priority	High
complete?	through drip-irrigation or no irrigation		
	system was used		

	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.				
(A)		Analysis Records: Soil an	nd vine nutrient status reports.			
Evidence Requirements	Category 3:	Internal Testimonial: Explanation of determining fertigation needs using soil and vine nutrient status and seasonally correct timing of fertigation applications.				
- <u>i</u>		Analysis Records: Soil and vine nutrient status reports.				
be	Category 2:	Internal Testimonial: Explanation of fertigation practices without checking soil nutrient or				
e R		vine status and seasonal	lly correct timing of applications.			
<u>s</u>		Action Plan: Verify action	n plan for first year self-assessments.			
Evide	Category 1:	Internal Testimonial: Explanation of fertigation practices without checking soil nutrient or vine status.				
ن		Action Plan: Verify action plan for first year self-assessments.				
d. <u>Certi</u>	d. Certification Prerequisite		e. <u>Prerequisite Rationale</u>			
Action plan required if Category 1 or Category 2;		Category 1 or Category 2;	Significant environmental impact			
Category 3 or higher in subsequent years						
f. Additional Explanation Required						
Explain in Notes why N/A						

12.4.6 Amendments for Water Penetration

a. Mandatory to No, select N/A if water		No, select N/A if water p	enetration was	b. Audit priority	Medium	
complete? not a problem						
	Category 4:	Internal Testimonial: Exp	olanation of water pe	enetration issues, ame	endments, and water pH	
छ।		testing.				
ent		<u>Direct Observation</u> : Cove	er crops to improve	water penetration.		
l E		Written Document/Plan	: Documented long-t	term water penetration	n improvement plan.	
r <u>i</u>	Category 3:	Internal Testimonial: Exp	olanation of water pe	enetration issues, ame	endments, and water pH	
\ eq		testing.				
9		<u>Direct Observation</u> : Cover crops used to improve water penetration.				
Evidence Requirements	Category 2:	Internal Testimonial: Explanation of water penetration issues and amendments.				
<u>S</u>	Category 1:	Internal Testimonial: Exp	olanation of water pe	enetration issues.		
ប់						
d. Certification Prerequisite		e. Prerequisite Rat	<u>ionale</u>			
None			N/A			
f. Additional Explanation Required						
Explain in Notes why N/A						

12.4.7 Amendments for pH

a. Mandatory to		No, select N/A only if soil pH was not a	b. Audit priority	Medium		
comple	pmplete? problem					
	Category 4:	Internal Testimonial: Discussion on soil pH a	nd an explanation of s	oil amendments for pH		
		adjustment,				
		Analysis Records: Verify results of soil pH test from within past 3 years.				
ίδ	Category 3:	Internal Testimonial: Discussion on soil pH and an explanation of soil amendments for pH				
ent le		adjustment.				
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Discussion of soil pH.				
Vid Uir						
ed E	Category 1:	None.				
اکھ ت						

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

12.4.8 Preserving or Increasing Organic Matter

	12.4.01 reserving or increasing organic matter					
a. Man	datory to compl	<u>ete</u> ?	Yes		b. <u>Audit priority</u>	Medium
	Category 4:	Internal Testimonial: Explanation of organic matter management practices (e.g. organic matter				oractices (e.g. organic
		matter additions	composting, cover cr	ops, etc	·.).	
		Analysis Records	s: Verify soil analysis re	cord fro	om within past 3 yea	rs.
		Direct Observati	on: No tillage and prac	ctices to	prevent off-site los	s of nutrients (e.g. buffer
(6)		strips, vegetation	n along roads and ditc	hes, etc	.).	
Evidence Requirements	Category 3:	Internal Testimo	nial: Explanation of or	ganic m	atter management _l	oractices (e.g. organic
Ĕ		matter additions, composting, cover crops, etc.), soil analysis and monitoring of organic				monitoring of organic
ire		matter inputs and outputs.				
ba		Analysis Records: Verify soil analysis record.				
8		<u>Direct Observation:</u> Verify reduced or no tillage.				
200	Category 2:	Internal Testimo	nial: Explanation of av	varenes	s of organic matter i	nputs and outputs.
ide		Direct Observati	on: Verify winter resid	ent veg	etation in place.	
召	Category 1:	None.				
ن	ن					
d. <u>Certification Prerequisite</u> e. <u>Prerequisite Rationale</u>						
None N/A						
f. Addit	ional Explanatio	n Required				
Explain	in Notes why N/	4				

12.4.9 Soil Compaction

a. Man	datory to compl	ete?	Yes		b. Audit priority	Medium
	Category 4:	Internal Testimor	<u>nial</u> : Exp	lanation of soil com	paction minimization	practices.
		Direct Observation	on (if po	ssible): Verify perma	anent (non-tilled) cov	er crop or resident
		vegetation, low ir	mpact e	quipment, and lack	of ruts on vineyard ro	ads.
	Category 3:	Internal Testimor	<u>nial</u> : Exp	lanation of soil com	paction minimization	practices.
nts		Direct Observation	<u>Direct Observation</u> (if possible): Verify cover crop, low impact equipment.			
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimor	<u>nial</u> : Exp	lanation of soil com	paction minimization	practices.
ide		<u>Direct Observation</u> (if possible): Verify low impact equipment.				
E E	Category 1:	None.				
ن کے						
d. Certification Prerequisite				e. Prerequisite Rat	<u>ionale</u>	
None				N/A		
f. Additional Explanation Required						
None						

12.4.10 Surface Water Diversions for Erodible Sites

a. Mandatory to	No, select N/A if less than 2% slope and	b. Audit priority	High
complete?	site has never been prone to erosion		

	Category 4:		cussion of erosion potential on site. Explanation of all erosion ms and efforts on site, including materials available for emergency	
		<u>Direct Observation</u> : Veri structures, and no evide	fy vineyard sites that have erosion potential, any erosion control	
		· · · · · · · · · · · · · · · · · · ·	nce or plans of an engineered drainage system	
νı	Category 3:	Internal Testimonial: Discussion of erosion potential on site. Explanation of all erosion control structures, systems and efforts on site, including materials available for emergency repair.		
Requirements		·	fy vineyard sites that have erosion potential and any erosion	
E E		control structures and repair materials.		
Ë	Category 2:	Internal Testimonial: Discussion of erosion potential on site. Explanation of all erosion		
bed		control structures, syste	ms and efforts on site.	
9		<u>Direct Observation</u> : Veri	fy vineyard sites that have erosion potential and any seasonal or	
Suc		temporary erosion contr	ol structures, depending on the time of year.	
Evidence	Category 1:	Internal Testimonial: Dis	cussion of erosion potential on site.	
•		<u>Direct Observation</u> : Verify vineyard sites that have erosion potential.		
ن		Action Plan: Verify action plan for first year self-assessments.		
d. <u>Certi</u>	d. Certification Prerequisite		e. <u>Prerequisite Rationale</u>	
Action	Action Plan required if Category 1; Category 2 or		Significant environmental impact	
higher i	in subsequent ye	ars		
f. Addit	tional Explanatio	n Required		
Explain in Notes why N/A				

12.4.11 Management of Erosion from Roads, Ditches, and Culverts

1.	2.4.11 IVIAII	agement of Erosion	i iroiii Roaus,	Ditches, and Culve	eris		
a. Man	idatory to	No, select N/A if site was never prone to b. Audit priority High					
complete? erosion due to minimal			or lack of sloping				
Category 4: <u>Internal Testimonial</u> : Explanation of road, ditch and culvert erosion control ap							
		comprehensive erosion	control plan, includi	ng frequency of maintena	nce.		
		Written Document/Plan	: Verify comprehens	ive erosion control plan.			
		<u>Direct Observation</u> : Ver	ify there are no sign	s of erosion related to roa	nds, ditches and		
		culverts.					
	Category 3:	Internal Testimonial: Ex	planation of road, d	tch and culvert erosion co	ontrol approach and		
νo!		comprehensive erosion	control plan, includi	ng frequency of maintena	nce.		
i		Written Document/Plan	: Verify comprehens	sive erosion control plan.			
E E		<u>Direct Observation</u> : Ver	ify signs of potential	erosion related to roads,	ditches and culverts,		
Tire Tire		including repairs.					
Requirements	Category 2:	<u>Internal Testimonial</u> : Exp	planation of road, di	tch and culvert erosion co	ntrol approach,		
		including frequency of m	naintenance.				
Evidence		<u>Direct Observation</u> : Sign	s of erosion related	to roads, ditches and culv	erts, including		
/jde		repairs.					
· ·	Category 1:	This category does not qualify for certification (must score 2 or higher).					
ပ်							
d. Certification Prerequisite			e. Prerequisite Rationale				
Must be Category 2 or higher Significant environmental impact							
f. <u>Addit</u>	f. Additional Explanation Required						
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

101	Category 4:	point source monitoring Written Document/Plan	planation of floor management strategy to reduce runoff and non- program implementation, work done with regulatory agencies. : Verify non-point source pollution prevention plan. p showing stormwater runoff direction and potential sources of		
Requirements	Category 3:	Internal Testimonial: 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			
Evidence Re	Category 2:	water diversion structures. Internal Testimonial: Explanation of floor management strategy to reduce runoff and non-point source monitoring program research. Direct Observation (if possible): Winter annual cover crop or resident vegetation.			
c. Evi	Category 1:	None.			
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. <u>Prerequisite Rationale</u>		
None			N/A		
f. Addit	f. Additional Explanation Required				
None					

12.5 VINEYARD WATER MANAGEMENT

12.5.1 Water Management Strategy

		go		- 3)				
a. Man	datory to compl	<u>ete</u> ?	Yes		b. Audit priority	High		
	Category 4:	Internal Testimo	Internal Testimonial: Explanation of water management strategy, including tools,					
		information used	d includi	ing at least 3 parame	eters (i.e. ET, soil mo	sture, etc.), and		
		improvement pla	ans.					
ίδ		Analysis Records	: Verify	the water managem	ent plan that include	es grape growing goals,		
ent		and accounts for	soil typ	es.				
Evidence Requirements	Category 3:		Internal Testimonial: Explanation of water management strategy, including tools and information used.					
Şed		Analysis Records	: Water	management plan t	hat includes grape g	rowing goals, accounts for		
9		soil types.						
idenc	Category 2:	Internal Testimo	nial: Exp	olanation of water m	anagement strategy			
질	Category 1:	Internal Testimo	nial: Co	onfirm that a water s	trategy had not yet b	peen developed.		
ن		Action Plan: Veri	fy actio	n plan for first year s	elf-assessments.			
d. Certi	fication Prerequ	isite		e. Prerequisite Rat	<u>ionale</u>			
Action plan required if Category 1; and Category			Significant environ	mental impact				
2 or higher in subsequent years								
f. Addit	f. Additional Explanation Required							
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
Category 4:	Analysis Record: Verify annual record of wat (electrical conductivity), nitrate, bicarbonate manganese, and magnesium (as appropriate Internal Testimonial: Explanation of amenda	, suspended solids, ch for the site and regio	llorides, boron, n).

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

12.5.3 Off-Site Water Movement

	12.0.0 On Olto Water Movement						
a. <u>Man</u>	datory to compl	<u>ete</u> ?	Yes		b. Audit priority	High	
	Category 4:	Internal Testimo	<u>Internal Testimonial</u> : Explanation of irrigation practices, rainfall events, associated runoff,				
		preventative tec	hniques	to reduce runoff, ar	nd methods to address	s soil permeability	
(A)		problems.	problems.				
l l		Direct Observation	<u>on</u> : Dra	inage systems to ma	nage high rainfall eve	nts.	
l iii	Category 3:	Internal Testimo	nial: Ex	planation of irrigation	n practices, rainfall ev	vents, associated runoff,	
lire		and preventative	e techni	ques to reduce runo	ff.		
Evidence Requirements	Category 2:	Internal Testimonial: Explanation of irrigation practices, rainfall events and associated				ents and associated	
e R		runoff.					
) i		Action Plan: Veri	fy actio	n plan for first year s	elf-assessments.		
/ide	Category 1:	Internal Testimo	nial: Co	onfirm that runoff oc	curred, engineered sy	stems were not in place,	
		and drainage wa	terways	s were free of any gr	owth.		
ပ		Action Plan: Veri	fy actio	n plan for first year s	elf-assessments.		
d. <u>Certi</u>	d. Certification Prerequisite			e. Prerequisite Rat	<u>ionale</u>		
Action	Action plan required if Category 1 or 2; Cat 3 or			Significant environmental impact			
higher in subsequent years							
f. Additional Explanation Required							
None							

12.5.4 Irrigation System

	ganon oyotom						
a. Man	datory to	No, select N/A if the vine	eyard was dry-	b. Audit priority	Medium		
complete? farmed							
N	Category 4:		al Testimonial: Verify that an engineered micro-irrigation system was installed.				
i i		<u>Direct Observation</u> : Vine	eyard irrigation syste	em.			
l w		Written Document/Plan	: Verify the system v	vas engineered.			
ire	Category 3:	Internal Testimonial: Ve	rify that a low-flow	sprinkler irrigation sys	tem was installed.		
Direct Observation: Vineyard irrigation system. Written Document/Plan: Verify the system was engineered. Category 3: Internal Testimonial: Verify that a low-flow sprinkler irrigation system was Direct Observation: Vineyard irrigation system. Category 2: Internal Testimonial: Verify that a high flow sprinkler irrigation system was method of irrigation. Direct Observation: Vineyard irrigation system. Category 1: Direct Observation: Verify that there was a flood irrigation system.							
8	Category 2:	Internal Testimonial: Ve	rify that a high flow	sprinkler irrigation sys	stem was the only		
) u		method of irrigation.					
ide		<u>Direct Observation</u> : Vineyard irrigation system.					
	Category 1:	<u>Direct Observation</u> : Verify that there was a flood irrigation system.					
ن							
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. Prerequisite Rationale				
None			Significant environmental impact				

f. Additional Explanation Required

Explain in Notes why N/A

12.5.5 Distribution Uniformity for Irrigation Systems

		ution Unitornity to			T		
a. <u>Mar</u>	ndatory to	No, select N/A if the vine	eyard was dry-	b. Audit priority	High		
comple	ete?	farmed					
	Category 4:	Internal Testimonial: Verify that the distribution uniformity was checked within the					
		years by monitoring outflows and pressure, or the furrow was checked visually t					
		that Table 5-a guidelines	were met. Also, ve	rify that for water sou	irces high in carbonates,		
		bicarbonates, iron, or or	ganic matter, an anr	nual distribution unifo	rmity test was done		
		Analysis Record: Results	_		•		
	Category 3:	Internal Testimonial: Ve		•	necked within the last 5		
	, ,	years by monitoring out	•	•			
nts		guidelines were met. Al					
me		iron, or organic matter,	•	_			
ire		Analysis Record: Results		•			
Evidence Requirements	Category 2:	Internal Testimonial: Ve		•	necked within the last 7		
8	,	years by monitoring out	-	-			
nce		Analysis Record: Results	·				
de	Category 1:	Internal Testimonial: Ve		•	necked for the irrigation		
E	222827 2	or furrow system.	,	,	and the same of th		
ن		Action Plan: Verify action	n plan.				
d. Cert	ification Prerequ	· · · · · · · · · · · · · · · · · · ·	e. Prerequisite Rat	ionale			
Action Plan required if Category 1; Category 2 or			Environmental and economic impact.				
	for subsequent y	•	Ziiiii oiiii eii ai ai	economic impacti			
	f. Additional Explanation Required						
Explain	Explain in Notes why N/A						

12.5.6 Filters and Lines

a. Mandatory to No, select N/A		No, select N/A if vineyar	d was dry-farmed	b. Audit priority	High	
comple	<u>te</u> ?					
	Category 4:	Internal Testimonial: Exp	lanation of filter and	d line maintenance ar	nd inspection program,	
		including frequency of m	nultiple times per ye	ar of irrigation line flu	shing.	
	Category 3:	Internal Testimonial: Exp	lanation of filter an	d line maintenance ap	proach, including	
		frequency of multiple tir	nes per year of irriga	ation line flushing.		
a le	Category 2:	Internal Testimonial: Exp	lanation of filter an	d line maintenance ap	proach, including	
c. <u>Evidence</u> Requirements		frequency of irrigation li	ne flushing.			
jide Jire	Category 1:	Internal Testimonial: Ve	rify that filters were not inspected and cleaned, and lines weren't			
E E		flushed.				
ن كة		Action Plan: Verify action	n plan for first year s	self-assessments.		
d. Certification Prerequisite			e. Prerequisite Rationale			
Must be Category 2 or higher			Significant environmental impact			
f. Additional Explanation Required						
Explain in Notes why N/A						

12.5.7 Water Budget

a. Mandatory to complete?		ete?	Yes	b.	Audit priority	High
a) i	Category 4:	<u>Internal Testimonial</u> : Explanation of water application and volume and verification methods				
c. Evide	9	for assessing soil moisture status and vine response.				
Analysis Records: Records of plant moisture status.						

	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:	Internal Testimonial: Exp	Internal Testimonial: Explanation of weather and plant appearance based watering.		
	Category 1:	Internal Testimonial: Exp	Internal Testimonial: Explanation of calendar based watering.		
		Action Plan: Verify action	n plan for first year self-assessments.		
d. <u>Certi</u>	fication Prerequi	isite_	e. Prerequisite Rationale		
Action p	olan required if C	ategory 1; Category 2 or	Significant environmental impact		
higher i	higher in subsequent years				
f. Addit	ional Explanatio	n Required			
None					

12.5.8 Measuring Water Use

a. Man	datory to	No, select N/A if no water	er was applied for	b. Audit priority	High		
comple	<u>te</u> ?	irrigation or frost protec	tion				
	Category 4:	Internal Testimonial: Des	scription of water flo	ow meters, monitoring practi	ces, and		
		inspections.					
(6)		<u>Direct Observation</u> : Water flow meters exist.					
l ts		Analysis Record: Record	of flow meter reading	ngs.			
Evidence Requirements	Category 3:	Internal testimonial: Des	scription of water flo	w meters, monitoring practic	ces, and		
ire		inspections.					
l ba		Direct Observation: Wat	ter flow meters exist	•			
ě.	Category 2:	Internal Testimonial: Des	scription of water flo	ow meters or other method u	sed to measure		
) L		water use.					
jg		<u>Direct Observation</u> : Wat	ter flow meters exist				
回	Category 1:	Internal testimonial: Ver	ify that irrigation or	frost applications were not n	neasured.		
ن		Action Plan: Verify action	n plan for first year s	elf-assessments.			
d. Certi	fication Prerequi	isite	e. Prerequisite Rat	ional <u>e</u>			
Action plan required if Category 1; Category 2 or			Significant environ	mental impact			
higher in ongoing years							
f. Addit	f. Additional Explanation Required						
· ·	Explain in Notes why N/A						

12.5.9 Soil Water-Infiltration Rates and Water-Holding Capacity

a. Man	datory to comple		Yes		b. Audit priority	High	
	Category 4:	Inte	Internal Testimonial: Description of soil water holding capacity and related management				
S		prac	practices.				
ent		Writ	Written Document/Plan: Annual irrigation plan based on water budget, schedule and				
E C		duration.					
Evidence Requirements	Category 3:			scription of soil wate	r holding capacity and	d related management	
sed		•	tices.				
e R		<u>Anal</u>	<u>Analysis Record</u> : Soil moisture profile measurements to determine depth of irrigation.				
enc	Category 2:			scription of soil wate	er holding capacity and	d related management	
vid			tices.				
	Category 1:			•	d soil characteristics w	ere not known.	
ပ		<u>Actio</u>	on Plan: Verify action	n plan for first year s	elf-assessments.		
d. <u>Certi</u>	<u>fication Prerequi</u> s	<u>site</u>		e. <u>Prerequisite Rat</u>	<u>ionale</u>		
Action plan required if Category 1; Category 2 or				Significant environ	mental impact		
higher in subsequent years							
f. Additional Explanation Required							
None							

12.5.10 Soil Moisture and Plant Water Status Monitoring Methods

a. Man	datory to comple	te?	Yes		b. Audit priori	tv	High
	Category 4:		ct Observation: Dire	ct soil moisture mor			
	0 ,		nternal Testimonial: Description of soil moisture monitoring devices used to track water				
			availability and schedule irrigation.				
(0)		Analysis Records: Verify plant water status.					
Evidence Requirements	Category 3:	Dire	ct Observation: Veri	fy that soil moisture	monitoring devi	ces	were in use.
l ä		<u>Inte</u>	rnal Testimonial: De	scription of soil mois	ture monitoring	dev	rices used to track water
nire		avai	lability and schedule	irrigation.			
ed		<u>Ana</u>	lysis Records: Verify	plant water status re	ecords.		
9 2	Category 2:	Inte	rnal Testimonial: De	scription of the "squ	eeze test" used	or p	rocess to monitor water
Suc		stat	us by visual tendril a	nd shoot tip assessn	nent.		
/jġ	Category 1:	Inte	rnal Testimonial: Ve	rify that soil moistur	e and plant wate	er sta	atus was not measured or
		used	d for irrigation sched	uling.			
ن		<u>Acti</u>	on Plan: Verify action	n plan for first year s	elf-assessments		
d. <u>Certi</u>	fication Prerequi	site		e. Prerequisite Rat	<u>ionale</u>		
Action plan required if Category 1 or 2; Category			Significant environ	mental impact			
3 or hig	3 or higher for subsequent years						
f. Addit	ional Explanation	Req	<u>uired</u>				
None							

12.5.11 Planned Deficit Irrigation through Regulated Deficit Irrigation (RDI)

	12:0:11 I lamica Benefit irrigation timeagn Regalated Benefit irrigation (RBI)						
a. Mandatory to No, select N/A if vineya			d was dry-farmed	b. Audit priority	Medium		
comple	<u>te</u> ?						
	Category 4:	Internal Testimonial: Exp	olanation of irrigatio	n practices that use a	predetermined RDI level.		
		Analysis Record: Demon	stration of how RDI	levels are determined			
e ents	Category 3:	Internal Testimonial: Exp	olanation of irrigatio	n practices that exper	iment with RDI.		
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Exp	Internal Testimonial: Explanation of irrigation practices to apply some water stress.				
c. Ev	Category 1:	Internal Testimonial: Exp	olanation of irrigatio	n practices to prevent	water stress.		
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. Prerequisite Rat	ionale_			
None			N/A				
f. Additional Explanation Required							
Explain	Explain in Notes why N/A						

12.6 PEST MANAGEMENT

12.6.1 Vineyard Monitoring for Insect and Mite Pests

	12.011 Villoyara informed ing for incode and inito 1 coto					
a. <u>M</u> a	a. Mandatory to complete?		Yes	b. Audit priority	High	
	Category 4:	Internal Testimonial: Explanation of weekly insect and mite pest monitoring and how this				
		infor	rmation is used in management decision	S.		
n is		Log: Record of pest monitoring results.				
us au	Category 3:	Internal Testimonial: Explanation of weekly insect and mite pest monitoring.				
Evidence quiremer		Log: Record of pest monitoring results.				
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Explanation of periodic insect and mite pest monitoring.				
ے ن		Actio	on Plan: Verify action plan for first year s	elf-assessments.		

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

12.6.2 Training for Insect and Mite Monitoring

ı	12.0.2 Training for insect and wite worldoning						
a. <u>Mar</u>	ndatory to comple	ete?	Yes		b. Audit priority	Medium	
	Category 4:	Inte	Internal Testimonial: Description of pest identification training programs that encourage				
		emp	employees to look for insects and mites.				
		Dire	<u>Direct Observation</u> : Employee knowledge is sufficient enough to pass the pest ID quiz at the				
		begi	nning of the chapter	•			
		Log:	Verify bilingual train	ning programs and tr	raining logs and record	ds.	
(0)	Category 3:	Inte	rnal Testimonial: De	scription of pest ider	ntification training pro	grams that encourage	
ırtı		emp	loyees to look for in	sects and mites.			
me		Dire	ct Observation: Emp	loyee knowledge is:	sufficient enough to p	ass the pest ID quiz at the	
ire		begi	nning of the chapter				
Evidence Requirements		Log:	Verify training logs	and records.			
e R	Category 2:	Inte	rnal Testimonial: De	scription of pest ider	ntification training pro	grams (these programs	
Ü		do n	ot help employees i	dentify key insect an	d mite species).		
ide		Log:	Training logs and re	cords.			
	Category 1:	Non	е				
ن							
d. <u>Cert</u>	d. <u>Certification Prerequisite</u> e. <u>Prerequisite Rationale</u>						
Action Plan required if Category 1; Category 2 or Significant environmental impact <i>and</i> stakeholder concern					akeholder concern		
higher	higher for subsequent years						
f. Addit	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

a. Man	datory to	No, N/A allowed if no pr	oblems with	b. Audit priority	High
complete? leafhoppers, mites, or thrips					
ıts	Category 4:	Internal Testimonial: Defor leafhoppers, mites, a	•	•	sticide spraying practices
Evidence Requirements		parasitism for leafhoppe	ers.		
lire		Analysis Records: Calcula	ations of egg parasiti	ism levels for leafhop	pers.
16	Category 3:	Internal Testimonial: Des	scription of economi	ic threshold based pes	sticide spraying practices
R S		for leafhoppers, mites, a	nd thrips.		
Juc .	Category 2:	Internal Testimonial: Des	scription of pesticide	e spraying practices fo	r leafhoppers, mites, and
ide		thrips based on the pres	ence of pests in the	vineyard.	
	Category 1:	This category does not q	ualify for certification	on (must score 2 or hig	gher).
ن					
d. <u>Certi</u>	fication Prerequi	<u>site</u>	e. Prerequisite Rat	<u>ionale</u>	
Must be Category 2 or higher Significant environmental impact and					akeholder concern
f. Addit	f. Additional Explanation Required				
Explain	why N/A in note	S			

12.6.4 Minimizing Risks from Insecticides and Miticides

a. Man	datory to compl	ete?	Yes		b. Audit priority	High	
	Category 4:	Inter	<u>internal Testimonial</u> : Description on how there was no need for treatment due to economic				
l ts		thres	threshold analysis and cultural practices, or how a pesticide risk model was used without				
me		high	high risk treatments being applied, taking into account non-target risks.				
ire	Category 3:	Inter	nal Testimonial: De	scription of how inse	ecticide and miticide s	election took into	
) be		consi	ideration non-targe	t risks, cost, and effic	cacy while selecting p	roducts with lower risk	
Evidence Requirements		wher	e possible.				
) Ju	Category 2:	Inter	nal Testimonial: De	scription of how inse	ecticide and miticide s	election took into	
ide		consi	ideration non-targe	t risks.			
	Category 1:	This o	category does not o	ualify for certificatio	n (must score 2 or hig	gher).	
ن							
d. <u>Certi</u>	fication Prerequ	isite		e. Prerequisite Rat	<u>ionale</u>		
Category 2 or higher in first year; Category 3 or			ar; Category 3 or	Significant environi	mental impact and sta	akeholder concern	
higher i	higher in subsequent years						
f. Addit	f. Additional Explanation Required						
None							

12.6.5 Cultural Practices for Insect and Mite Management

a. Man	datory to	No, select N/A if there a	re no problems	b. Audit priority	Medium
comple	<u>te</u> ?	with insects or mites			
	Category 4:	Internal Testimonial: Dis	cussion on how cultural practices and timing were the primary		
		method of control of pe	sts, and how benefic	ial insects were maint	tained along with
		appropriate vine vigor to	help reduce pest p	ressure.	
	Category 3:	Internal Testimonial: Dis	cussion on how cult	ural practices were co	nsidered for managing
c. <u>Evidence</u> Requirements		pests, and how appropri	ate vine vigor helpe	d reduce pest pressur	e.
Evidence quiremer	Category 2:	Internal Testimonial: Dis	cussion on how cult	ural practices were co	nsidered for managing
ire		pests, or how appropriat	te vine vigor helped	reduce pest pressure.	
교양	Category 1:	Internal Testimonial: No	ne		
ن ڇ					
d. <u>Certi</u>	fication Prerequi	<u>site</u>	e. Prerequisite Rat	<u>ionale</u>	
Action Plan required if Category 1; Category 2 or			Significant environ	mental impact <i>and</i> sta	akeholder concern
higher for subsequent years					
f. Additional Explanation Required					
Explain	Explain in Notes why N/A				

12.6.6 Dust Abatement in and around Vineyards for Mite Management

a. <u>Man</u>	datory to compl	te? Yes		b. Audit priority	Medium
<u>Evidence</u> equirements	Category 4:	Internal Testimonial: 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. Direct Observation: A permanent cover crop was maintained in and around the vineyard.			
c. <u>Evide</u> Require	Category 3:		Description of how veh	icle speed was contro	lled on unpaved roads

	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. <u>Certi</u>	fication Prerequ	<u>iisite</u>	e. <u>Prerequisite Rationale</u>		
None			N/A		
f. Additional Explanation Required					
None					

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

a. Man	datory to	No, select N/A if there a	re no problems	b. Audit priority	High	
comple	<u>te</u> ?	moth pests				
	Category 4:	Internal Testimonial: De	scription of how degree days, in-field monitoring, economic			
		thresholds, trap counts,	and weather station	data were factors in	treatments.	
N)	Category 3:	Internal Testimonial: De	scription of how tim	ing, experience, in-fie	ld monitoring, and	
en t		economic thresholds were factors in treatments.				
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: De	scription of how tim	ing and experience w	ere factors in treatments.	
c. Ev Requ	Category 1:	This category does not q	ualify for certification	on (must score 2 or hi	gher).	
d. Certi	fication Prerequi	isite_	e. Prerequisite Rationale			
Must be Category 2 or higher Significant environmental impact						
f. Addit	f. Additional Explanation Required					
Explain	in Notes why N/	4				

12.6.8 Portion of Vineyard Treated for Mites or Leafhoppers

12.0.01 of the yard freated for lines of Ecamoppers							
a. Man	datory to	No, select N/A if there a	re no problems	b. Audit priority	High		
comple	<u>te</u> ?	mites or leafhoppers)					
	Category 4:	Internal Testimonial: De	scription of process t	that treats for mites o	r leafhoppers only in		
		areas identified to excee	ed economic thresho	lds, and treatment wa	as verified by monitoring.		
	Category 3:	Internal Testimonial: De	scription of process	that treats for mites o	r leafhoppers only in		
c. <u>Evidence</u> Requirements		identified hot spots and surrounding vines.					
<u>Evidence</u> quiremer	Category 2:	Internal Testimonial: De	scription of process t	that treats for mites o	r leafhoppers in the		
ire		entire block or vineyard,	, and pest hotspots v	vere used only as an i	ndicator of a problem.		
	Category 1:	This category does not q	ualify for certificatio	n (must score 2 or hig	gher).		
∞ د							
d. <u>Certi</u>	fication Prerequi	isite	e. Prerequisite Rationale				
Must be Category 2 or higher			Significant environmental impact				
f. Addit	f. Additional Explanation Required						
Explain	in Notes why N/	A					

12.6.9 Mealybug Management

a. Man	datory to	No, select N/A if there are no mealybugs	b. Audit priority	High	
comple	<u>te</u> ?	found in the area			
c. <u>Evidence</u> Requirements	Category 4:				

	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.			
		Visual Record: Verify ma	•			
	Category 2:	Internal Testimonial: De	scription of process that annually monitors for mealybugs, and the			
		process that treats both infested and non-infested areas of the vineyard.				
	Category 1:	Internal Testimonial: Description of process that treats the entire block or vineyard when				
		controlling mealybugs.				
		Action Plan: Verify actio	n plan for first year self-assessments.			
d. <u>Cert</u>	ification Prerequ	<u>isite</u>	e. Prerequisite Rationale			
Action	Action plan required if Category 1 and Category		Significant environmental and economic impact			
2 or higher in subsequent years						
f. Additional Explanation Required						
Explain	in Notes why N/	A				

12.6.10 Soil-Borne Pest Management after Planting

	12.0.10 Con Bottle 1 Cot management arter 1 lanting						
a. Mandatory to complete? Yes			Yes		b. Audit priority	Medium	
	Category 4:	Inter	<u>rnal Testimonial</u> : De	scription of plan to r	nanage soil-borne pes	sts and sampling for	
		issue	es at least every 3 ye	ears, using results for	management actions	S.	
		Writ	ten Document/Plan	: Verify documented	management plan.		
	Category 3:	Inter	<u>rnal Testimonial</u> : De	scription of strategy	to manage soil-borne	pests and sampling for	
c. <u>Evidence</u> Requirements		issue	es at least every 3 ye	ears, using results for	management actions	S.	
<u>Evidence</u> quiremer	Category 2:	Inter	<u>rnal Testimonial</u> : De	scription of strategy	to manage soil-borne	pests and sampling for	
ire jide		issue	es at least every 5 ye	ears, using results for	r management actions	5.	
E E	Category 1:	Actio	on Plan: Verify actio	n plan for first year s	elf-assessments.		
ے د							
d. <u>Certi</u>	d. Certification Prerequisite			e. Prerequisite Rat	<u>ionale</u>		
None N/A							
f. Addit	f. Additional Explanation Required						
None							

12.6.11 Vineyard Monitoring for Disease

a. Man	datory to comple	ete?	Yes		b. Audit priority	High		
	Category 4:	Inte	<u>Internal Testimonial</u> : Description of weekly monitoring for diseases during critical periods,					
wi		keep	keeping a written or electronic record and discussion on how this information was analyzed					
l i		for r	nanagement decisio	ns.				
E E		Log:	Documented weekl	y monitoring records	S.			
Evidence Requirements	Category 3:	Inte	<u>rnal Testimonial</u> : De	scription of weekly n	nonitoring for disease	s during critical periods,		
edi		keep	oing a written or elec	ctronic record.				
8		Log: Documented weekly monitoring records.						
) i	Category 2:	Inte	<u>rnal Testimonial</u> : De	scription of periodic	monitoring for diseas	es during critical periods.		
jde l		Actio	on Plan: Verify action	n plan for first year s	elf-assessments.			
回	Category 1:	<u>This</u>	category does not q	ualify for certification	n (must score 2 or high	<u>gher).</u>		
ن								
d. <u>Certi</u>	fication Prerequi	<u>site</u>		e. Prerequisite Rationale				
Cat 2 or higher in first year; Cat 3 or higher in			it 3 or higher in	Significant environmental impact and stakeholder concern				
subsequ	subsequent years							
f. Addit	f. Additional Explanation Required							
None								

12.6.12 Powdery Mildew Management

	1210112 1 off doly infinitely infinitely infinitely					
a. <u>Mar</u>	a. Mandatory to complete? Yes				b. Audit priority	Medium
	Category 4:	Internal Testimonial: Discussion on how there is a management plan that considers cultural				
		pra	ctices and uses the G	iubler-Thomas powd	ery mildew forecastir	ng model, and no
		app	lications made on or	after veraison unles	s powdery mildew is:	seen. Also, discussion on
		hov	v fungicides with diff	erent modes of action	on were rotated throu	ighout the season.
		Wri	tten Document/Plan	: Documented mana	gement plan.	
	Category 3:	<u>Inte</u>	ernal Testimonial: Dis	scussion on how cult	ural practices are use	d to improve treatments
N)		for	powdery mildew. A	lso, discussion on ho	w there were no appl	lications after veraison
ent		with	hout seeing powdery	mildew, and conside	ering weather during	any treatment. Also,
L E		disc	cussion on how fungi	cides with different r	modes of action were	rotated throughout the
i		seas	son, or how only sulf	ur products were us	ed.	
be	Category 2:	<u>Inte</u>	ernal Testimonial: Dis	scussion on how fung	gicide rates were adju	sted based on vineyard
e e		con	ditions and/or monit	toring. Also, discussi	on on how fungicides	with different modes of
- Supplied to the supplied to		acti	on were rotated at le	east once per season	, or how only sulfur p	roducts were used.
Evidence Requirements	Category 1:	<u>Inte</u>	ernal Testimonial: Dis	scussion on how app	lication decisions wer	e based on a calendar
		program, they were done at the highest label rates. Also, either fungicides with different				
ن	modes of action were not used, or only sulfur products were used.					
d. Certification Prerequisite				e. <u>Prerequisite Rat</u>	<u>ionale</u>	
None		N/A				
f. Addit	f. Additional Explanation Required					
None	one					

12.6.13 Minimizing Risks from Fungicides for Powdery Mildew and Botrytis Control

a. Mandatory to complete? Yes			Yes		b. Audit priority	High		
	Category 4:	Inte	Internal Testimonial: Discussion on how a pesticide risk model was used, but high risk					
νı.		trea	tments were not use	ed. Also, synthetic fo	ungicides with similar	modes of action were		
l i		used	used only once per season.					
Evidence Requirements	Category 3:	Inte	<u>rnal Testimonial</u> : Dis	scussion on how non	-target risks were con	sidered when selecting		
i		and	using fungicides, an	d how fungicides we	re compared for risks,	cost, and efficacy.		
edi		Fung	gicides with lower ris	sks were used when	possible and synthetic	fungicides with similar		
₩		mod	les of action were us	sed only once per sea	ason.			
Ü	Category 2:	Inte	<u>rnal Testimonial</u> : Dis	cussion on how non	-target risks were con	sidered when selecting		
jg		and	using fungicides, bu	t products were not	intentionally rotated I	by mode of action.		
回	Category 1:	<u>This</u>	category does not o	qualify for certification	on (must score 2 or hig	<u>ther).</u>		
ن								
d. <u>Certi</u>	fication Prerequi	<u>site</u>		e. Prerequisite Rat	ionale			
Category 2 or higher in first year; Category 3 or			ear; Category 3 or	Significant environmental impact				
higher i	higher in subsequent years							
f. Addit	f. Additional Explanation Required							
None								

12.6.14 Pruning for Canker Management

a. <u>Mandatory to</u> No, Select N/A if there are no problems b. <u>Audit prior</u>				Medium
complete?		with canker diseases		
c. <u>Evidence</u> Requireme	Category 4:	Internal Testimonial: Description of pruning with small cuts and pruning diseased wood of mechanized harvesters were adjusted to min Direct Observation: Machinery is adjusted to harvested).	off to be destroyed. A nimize damage to spur	lso, if applicable, rs.

	Category 3:	pruning diseased wood minimize damage to spu	escription of pruning susceptible varieties later during dormancy and off. Also, if applicable, mechanized harvesters were adjusted to urs. Chinery is adjusted to minimize spur damage (if fruit is mechanically			
	Category 2:	Internal Testimonial: De	Internal Testimonial: Description of pruning susceptible varieties later during dormancy.			
	Category 1:	None				
d. <u>Cert</u>	ification Prerequ	<u>uisite</u>	e. Prerequisite Rationale			
None			N/A			
f. Additional Explanation Required						
Explain in Notes why N/A						

12.6.15 Bunch Rot Management

a. Man	datory to	No, select N/A if there a	re no problems	b. Audit priority	High		
complete? with Bunch Rot							
	Category 4:	Internal Testimonial: Dis	cussion on how can	opy and irrigation adju	ustments, along with		
ις.		trellis type and dried clu		· ·	-		
int.		discussion on fungal idea	ntification and use o	f appropriate fungicid	es.		
Ĕ	Category 3:	Internal Testimonial: Dis	cussion on how can	opy and irrigation adju	ustments helped		
ir.		minimize treatments. A	lso, discussion on fu	ngal identification and	l use of appropriate		
edı		fungicides.					
Evidence Requirements	Category 2:	Internal Testimonial: Dis	cussion of Botrytis f	ungicides practices us	ed between bloom and		
Ü		bunch closure, unless we	eather required addi	tional treatments. Als	o, discussion on how		
jg		cultural practices were ι	ised to prevent phys	ical berry damage.			
回	Category 1:	Internal Testimonial: Dis	cussion of calendar	based Botrytis fungici	de application process.		
ပ		Action Plan: Verify action	n plan for first year s	elf-assessments.			
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. Prerequisite Rationale				
Action plan required if Category 1 and Category			Significant economic and slight environmental impact				
2 or higher in subsequent years							
f. Addit	f. Additional Explanation Required						
Explain in Notes why N/A							

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

a. Mar	ndatory to No, select N/A if Pierce's Disease vectored b. Audit priority High					
comple	ete?	by the Blue-Green Sharpshooter is not a	by the Blue-Green Sharpshooter is not a			
		problem				
	Category 4:	Internal Testimonial: Discussion about a writ	ten management plai	n, riparian habitat		
Evidence Requirements		management, removing diseased vines, and using sticky traps to determine where to treat. Written Document/Plan: Verify documented management plan.				
<u>#</u>	Category 3:	Internal Testimonial: Discussion about a writ	ten management plai	n, removing diseased		
li e		vines, and using sticky traps to determine where to treat.				
edi		Written Document/Plan: Verify documented	l management plan.			
e R	Category 2:	Internal Testimonial: Discussion of a manage	ement strategy and us	e of treatments if		
Suc		necessary.				
)jd	Category 1: Internal Testimonial: Verify that no management plan had been developed, and pest					
_ ·		may have been applied without information on vector and disease presence.				
ن		Action Plan: Verify action plan for first year self-assessments.				

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

12.6.17 Vineyard Monitoring for Weeds

a. Man	datory to complet	e? Yes		b. Audit priority	High
	Category 4:	nternal Testimonial: D	scussion on bimonth	ly weed monitoring ar	nd how results impact
		ractices.			
	<u> </u>	og: Review of weed m	onitoring records.		
	Category 3:	nternal Testimonial: D	scussion on periodic	weed monitoring.	
c. <u>Evidence</u> Requirements	<u> </u>	og: Review of weed m	onitoring records.		
Evidence	Category 2:	nternal Testimonial: D	scussion on periodic	weed monitoring.	
ire	<u> </u>	Action Plan: Verify action	on plan for first year s	self-assessments.	
질명	Category 1:	his category does not	qualify for certification	on (must score 2 or hig	ther).
اگھ ن					
d. <u>Certi</u>	fication Prerequisi	<u>:e</u>	e. Prerequisite Rat	ionale	
Categor	y 2 or higher in firs	t year; Category 3 or	Significant economic, stakeholder and slight environmental		
higher in subsequent years impact					
f. Addit	f. Additional Explanation Required				
None					

12.6.18 Weed Knowledge

a. <u>Man</u>	datory to comple	ete? Yes		b. Audit priority	Medium
	Category 4: Internal Testimonial: Discussion on the types of weeds located in the vineyard and				
ध		understanding of invasi	ve and noxious types	as well as resistance	to treatments. Also,
en		discussion of references	s used for identificati	on, and understanding	g how the weed growth
eπ		stages and timing are in	nportant for control.		
Ē	Category 3:	<u>Internal Testimonial</u> : Di	• • • • • • • • • • • • • • • • • • • •		•
Rec		understanding of invasi	ve and noxious types	as well as resistance	to treatments. Also,
9		discussion on the refere	ences used for identif	ication.	
Evidence Requirements	Category 2:	<u>Internal Testimonial</u> : Di	scussion on the types	s of weeds located in t	he vineyard.
<u>S</u>	Category 1:	None.			
ن					
d. Certification Prerequisite			e. Prerequisite Rat	ionale	
None	None N/A				
f. Addit	f. Additional Explanation Required				
None	None				

12.6.19 Weed Management

a. Man	a. Mandatory to complete? Yes			b. Audit priority	Medium	
(0)	Category 4:	Internal Testimonial: Discussion on the weed management plan that factors the 8 issues				
is le		listed in Category 4.				
c. <u>Evidence</u> Requirements		Written Do	cument/Plan: Review the weed m	nanagement plan.		
ire lide	Category 3:	Internal Testimonial: Discussion on the weed management plan that factors in at least 5 of				
		the 8 issues listed in Category 4.				
ن م		Written Document/Plan: Review the weed management plan.				

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

12.6.20 Herbicide Leaching Potential

	a. Mandatory to No, select N/A if no herbicides were used b. Audit priority High						
comple	<u>te</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					
		management decisions v	were made with an a	wareness of leaching	potential. Also, how		
		treatments were not ma	ide during times whe	en drift or runoff may	be an issue.		
S)	Category 3:	Internal Testimonial: Dis		•	•		
ent		applicable) and any asso	ciated restrictions, a	is well as how manage	ement decisions were		
em		made with an awareness	s of leaching potenti	al. Also, how treatme	nts were not made		
ui.		during times when drift	or runoff may be an	issue.			
bə	Category 2:	Internal Testimonial: Dis		-	•		
9		applicable) and any asso	ciated restrictions, a	is well as how manage	ement decisions were		
enc		made with an awareness	<u> </u>				
Evidence Requirements	Category 1:	Internal Testimonial: Dis		e about groundwater p	protection areas (where		
		applicable) and any asso					
ن:		Action Plan: Verify action					
	fication Prerequ		e. Prerequisite Rationale				
Action plan required if Category 1 and Category Significant environmental impact							
	2 or higher in subsequent years						
f. <u>Addit</u>	f. Additional Explanation Required						
Explain	Explain in Notes Why N/A						

12.6.21 Area Treated with Herbicides

a. Mar	ndatory to ete?	No, Select N/A if no herk	picides were used	b. Audit priority	Medium		
	Category 4:	Internal Testimonial: Dis	cussion with audited	e about how the berm	is spot treated with		
		foliar herbicides at a nar	row width of 18-30	inches and some weed	ds are tolerated.		
SI		<u>Direct Observation</u> : Veri	fy berm spray cover	age and tolerance to v	veeds in the vineyard.		
int	Category 3:	Internal Testimonial: Dis	cussion with audited	e about how the entire	e berm is treated with		
L E		herbicides at a narrow w	idth of 18-30 inches	and some weeds are	tolerated.		
Evidence Requirements		<u>Direct Observation</u> : Veri	fy berm spray cover	age and tolerance to v	veeds in the vineyard.		
edi	Category 2:	Internal Testimonial: Dis	cussion with audited	e about how the entire	e berm is treated with		
e R		herbicides and some we	eds are tolerated.				
) i		<u>Direct Observation</u> : Veri	fy berm spray cover	age and tolerance to v	veeds in the vineyard.		
jde	Category 1:	Internal Testimonial: Dis	cussion with audited	e about how the entire	e berm is treated with		
		herbicides and very few weeds are tolerated.					
ပ		<u>Direct Observation</u> : Verify berm spray coverage and tolerance to weeds in the vineyard.					
d. <u>Certification Prerequisite</u> e. <u>Prerequisite Rationale</u>							
None N/A							

f. Additional Explanation Required

Explain in Notes Why N/A

12.6.22 Vineyard Monitoring for Vertebrate Pests

a. Mar	ndatory to comple	ete?	Yes		b. Audit priority	High	
	Category 4:	Internal Testimonial: 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					
(0)		management decisions. Log: Verify monthly written vertebrate pest records.					
Evidence Requirements	Category 3:	Internal Testimonial: 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. Log: Verify monthly written vertebrate pest records.					
idence R	Category 2:	least	quarterly.	cussion with the aud n plan for first year s		oests were monitored at	
ر <u>ج</u>	Category 1:	This category does not qualify for certification (must score 2 or higher).					
d. <u>Certi</u>	ification Prerequi	<u>site</u>		e. Prerequisite Rat	ionale		
Category 2 or higher in first year; Category 3 or Si				Significant environ	mental impact		
higher	higher in subsequent years						
f. Addit	f. Additional Explanation Required						
None	None						

12.6.23 Vertebrate Pest Management

a. Man	datory to	No, Select N/A if there a	re no problems	b. Audit priority	High		
complete? with vertebrates							
	Category 4:	Internal testimonial: 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. Direct Observation: Verify habitat modification, exclusion, or discuss how safe trapping techniques were carried out.					
Evidence Requirements	Category 3:	Internal Testimonial: 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. Direct Observation: Verify any habitat modification and exclusion techniques.					
idence Re	Category 2:	Internal Testimonial: Dis precautions were taken fumigants or explosive d	to ensure non-targe	t animals did not inge	rtebrate control and how st them, or how		
c.	Category 1:	Internal Testimonial: Con Action Plan: Verify action		•	legally used.		
d. Certi	fication Prerequi		e. Prerequisite Rat				
		ategory 1 and Category			akeholder concern <i>and</i>		
2 or hig	2 or higher in subsequent years Potential risk/liability to the company						
f. Addit	f. Additional Explanation Required						
Explain	Explain in Notes Why N/A						

12.6.24 Predation by Vertebrates

a. <u>Man</u>	datory to comple	<u>te</u> ?	Yes		b. Audit priority	Medium
	Category 4:	Internal Testimonial: Discussion with auditee on how there is at least one owl box for				
		ever	y 40 vineyard acres	as well as raptor per	ches, Kestrel boxes, b	lue-bird boxes and/or bat
		boxe	es.			
νı		Dire	ct Observation: Ver	ify owl box counts p	er acreage and the ex	istence of raptor perches,
ent		Kest	rel boxes, and blue-	bird boxes and/or ba	at boxes.	
Requirements	Category 3:	Inte	rnal Testimonial: Dis	scussion with audite	e on how there is at le	east one owl box for
nire		ever	y 40-100 vineyard a	cres and raptor perc	hes were provided.	
be				·		istence of raptor perches.
	Category 2:	Inte	rnal Testimonial: Dis	scussion with audite	e on how there is at le	east one owl box for
Evidence		ever	y 100 vineyard acres	S.		
/ide		<u>Dire</u>	ct Observation: Ver	ify owl box counts p	er acreage.	
	Category 1:	Inte	rnal Testimonial: Dis	scussion that there a	are no provided nest b	ooxes for birds of prey.
ن						
d. <u>Certi</u>	d. Certification Prerequisite			e. Prerequisite Rat	<u>ionale</u>	
None	None N/A					
f. Addit	f. Additional Explanation Required					
None	None					

12.6.25 Low-Volume Vine Canopy Sprayers

	12.0.25 Low-volume vine camopy oprayers					
a. Man	datory to	No, Select N/A if no herb	oicides were	b. Audit priority	Medium	
comple	<u>te</u> ?	sprayed				
	Category 4:	Internal Testimonial: Dis	cussion on how low	volume electrostatic	or conventional sprayers	
		were used.				
(0)		<u>Direct Observation</u> : Ver	ify equipment used	onsite (if available), ar	nd that 20 gallons or less	
l suts		was sprayed per acre, pe	er treatment.			
Evidence Requirements	Category 3:	Internal Testimonial: Dis	cussion on how con-	ventional dilute spray	ers were used with air	
ire		induction nozzles				
ba		<u>Direct Observation</u> : Ver	ify equipment used	onsite (if available).		
2	Category 2:	Internal Testimonial: Dis	cussion on how con-	ventional dilute spray	ers were used, producing	
) UC		large droplets, but without	out air induction noz	zles		
jg		<u>Direct Observation</u> : Ver	ify equipment used	onsite (if available).		
	Category 1:	Internal Testimonial: Dis	cussion on how con-	ventional dilute spray	ers are used without	
ن		knowing the size of the	droplets.			
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. Prerequisite Rat	<u>ionale</u>		
None N/A						
f. Addit	f. Additional Explanation Required					
Explain	Explain in Notes why N/A					

12.6.26 Sprayer Calibration and Maintenance

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

	Category 3:	Internal Testimonial: 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:	Internal Testimonial: Dis	scussion on how sprayers were calibrated every year, and nozzle				
		wear, variation, and coverage were verified every other year.					
	Category 1:	Action Plan: Verify action plan for first year self-assessments.					
d. <u>Certifi</u>	ication Prerequi	isite_	e. Prerequisite Rationale				
Category	/ 2 or higher in f	irst year; Category 3 or	Significant environmental impact				
higher in	subsequent yea	ars					
f. Additio	f. Additional Explanation Required						
None							

12.6.27 Spray Coverage

1	12.0.27 Opiay Coverage					
a. Man	datory to comple	te? Yes		b. Audit priority	High	
	Category 4:	Internal Testimonial: Dis	cussion on the appli	cation rate and speed	of sprayers and/or	
		positioning and adjustin	g nozzles during the	season. Also, discuss	how it was verified that	
		sprayer speed and press	ure were consistent	, including at the ends	of rows. Discussion	
(A)		includes how employees	were trained in the	safe and effective op	eration of equipment,	
l it		and on verification tech	niques to ensure pro	per coverage.		
Evidence Requirements	Category 3:	Internal Testimonial: Dis	cussion on the appli	cation rate and speed	of sprayers and/or	
nire .		positioning and adjustin	g nozzles during the	season. Also, discuss	how sprayer speed and	
edi		pressure were consisten	t, including at the er	nds of rows.		
e R	Category 2:	Internal Testimonial: Dis	cussion on the posit	ioning and adjusting o	of nozzles during the	
u		season.				
/ide	Category 1:	Internal Testimonial: Dis	cussion on the appli	cation rate and speed	of sprayers, and not	
1		adjusting nozzles or disc	harge rates during a	season.		
ပ်		Action Plan: Verify actio	n plan for first year s	self-assessments.		
d. <u>Certi</u>	fication Prerequis	<u>ite</u>	e. Prerequisite Rat	ionale		
Action p	olan required if Ca	tegory 1 and Category	Significant economic <i>and</i> environmental impact			
2 or higher in subsequent years						
f. Addit	ional Explanation	Required				
None						

12.6.28 Spray Buffer Zone

a. <u>Mar</u>	a. Mandatory to complete?		Yes	b. Audit priority	High		
Category 4: Internal Testimonial: Discussion on how reasonable buffer zones were created near a					vere created near any		
		sens	itive areas and how applications were n	ot made when drift m	ay be an issue near these		
(8)		area	s. Also, discuss how timing and frequen	cy of applications wer	e adjusted to ensure		
l ts		mini	mal human activity and disturbance in s	ensitive areas.			
Requirements	Category 3:	Inter	rnal Testimonial: Discussion on how reas	sonable buffer zones v	vere created near any		
ie		sens	itive areas and how applications were n	ot made when drift m	ay be an issue near these		
ba		area	S.				
	Category 2:	Inter	rnal Testimonial: Discussion on how reas	sonable buffer zones v	vere created near any		
Ü		sens	itive areas or how applications were avo	oided when drift may l	oe an issue near these		
Evidence	areas.						
回	Category 1:	Internal Testimonial: Discussion on how pesticide label instructions were followed.					
ن		Actio	on Plan: Verify action plan for first year s	self-assessments.			

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

12.6.29 Spray Drift

a. Man	datory to comple		Yes		b. Audit priority	Medium	
Category 4: Internal Testimonial: Discussion on how there was a written spray drift managen where applications were only made with the wind between 2 and 7 mph. Also, on the use of lowest effective rates with the recommended largest uniform drop being maintained. Also, confirm that sprayers were turned off at row ends near areas and that additional low-drift spray technology was used. Written Document/Plan: Review the written spray drift management plan.						or drift management plan 7 mph. Also, discussion at uniform droplet sizes row ends near sensitive	
Evidence Requirements	Category 3:	Internal Testimonial: 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.					
idence Re	Category 2:	Internal Testimonial: 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.					
C.	internal resultational Discussion of New Pesticides Were not applied When Whites exceeded					ed when winds exceeded	
	d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>			
f. Addit	None N/A f. Additional Explanation Required						
None	None						

12.6.30 Pesticide Storage

	12.0.30 Festicide Storage						
a. Man	datory to comple	<u>te</u> ? Yes		b. Audit priority	Medium		
	Category 4:	Internal Testimonial: Di	scussion of how ther	e is no winter storage	of pesticides, and rarely		
		at other times. Also, dis	scuss how pesticides	are otherwise stored	on an impermeable floor		
nts		with a sump, using safe	storage practices, ar	nd that unopened con	tainers were returned to		
Evidence Requirements		the supplier.					
ie	Category 3:	Internal Testimonial: Di	scussion of how ther	e is no winter storage	of pesticides, and how		
าอล		they are otherwise stor	ed on an impermeab	le floor using safe stor	rage practices, and that		
R S		unopened containers w	ere returned to the s	upplier.			
u Ce	Category 2:	Internal Testimonial: Di	scussion of winter sto	orage of pesticides on	an impermeable floor		
<u>ig</u>		using safe storage pract	ices.				
집	Category 1:	Internal Testimonial: Di	scussion on how lega	I requirements were f	followed for pesticide		
ပံ		storage.					
d. <u>Certi</u>	fication Prerequis	ite_	e. Prerequisite Rat	ionale			
None			N/A				
f. Addit	f. Additional Explanation Required						
None							

12.6.31 Pesticide Mixing and Loading

a. Mandatory to complete? Yes	b. Audit priorit	<u>/</u> Medium
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None	 fication Prerequ :ional Explanatio	e. <u>Prerequisite Rationale</u> N/A				
。 回	Category 1:	Internal Testimonial: Discussion on how legal requirements for pesticide safety training were followed and personal protective equipment (PPE) was provided to workers.				
Evidence Requirements	Category 2:	used for filling spray tanks. Internal Testimonial: Discussion on how legal requirements for pesticide safety training were followed and personal protective equipment (PPE) was provided to workers. Direct Observation: Verify that a double check valve or six-inch air gap was used for filling spray tanks.				
ments	Category 3:	Internal Testimonial: 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. Direct Observation: 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				
	Category 4:	Internal Testimonial: 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. Direct Observation: 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.				

12.6.32 Pesticide Emergency Response Plan

	ndatory to comple	,	Yes		b. Audit priority	Medium
	Category 4:	Inter	nal Testimonial: Dis	cussion on how wor	kers were trained to follo	w the pesticide
ints		emergency response plan.				
m m		Direc	ct Observation: Veri	fy that a pesticide er	nergency response plan i	s posted and that
ir.		clear	n up and first aid ma	terials including was	sh facilities are available.	
nba	Category 3:	Direc	ct Observation: Veri	fy that a pesticide er	nergency response plan i	s posted and that
Evidence Requirements		clear	n up and first aid ma	terials including was	sh facilities are available.	
) Ju	Category 2:	Direc	ct Observation: Veri	fy that a pesticide er	nergency response plan i	s posted or that clean
ide		up ai	nd first aid materials	s including wash faci	lities are available.	
집	Category 1:	Inter	nal Testimonial: Dis	cussion of how legal	requirements were main	tained for a pesticide
ن		eme	rgency response pla	n.		
d. Certi	d. Certification Prerequisite			e. Prerequisite Rationale		
None				N/A		
f. Addit	f. Additional Explanation Required					
None	None					

12.6.33 Winery Pest Management

a. Man	. Mandatory to complete?		Yes	b. Audit priority	Medium	
Category 4: <u>Direct Observation</u> : Verify the written winery pest management plan includi						
		(we	ekly within/monthly outside) and record	keeping, while priorit	tizing exclusion and	
sanitation.						
Internal Testimonial: Discussion on how control methods used lowest-risk, cos						
options, and that employees were trained to look out for						
<u>Evidence</u> quiremer	Category 3:	Dire	ct Observation: Verify the written winer	y pest management p	lan including monitoring	
/ide	and record keeping, while prioritizing exclusion and sanitation.					
options, and that employees were trained to look out for issues. Category 3: Direct Observation: Verify the written winery pest management plan including me and record keeping, while prioritizing exclusion and sanitation. Internal Testimonial: Discussion on how control methods used lowest-risk, cost-experience and that employees were trained to look out for issues.						
ن م		opti	ons, and that employees were trained to	look out for issues.		

	Category 2:	prioritized exclusion and sanitation.			
	Category 1:				
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. <u>Prerequisite Rationale</u>		
None			N/A		
f. <u>Addit</u>	f. Additional Explanation Required				
None	None				

12.6.34 Using Lower Risk Crop Protection Materials

a. Man	a. Mandatory to complete? Yes				b. Audit priority	High		
	Category 4:	Pesticide Use Report: Verify that no Red List or Yellow List materials were used.						
Evidence Requirements	Category 3:	Pesticide Use Report: Verify that no Red List materials were used, and verify which Yellow List materials were used. Internal Testimonial: Discussion of which lower risk alternatives (materials and/or cultural practices) to Yellow List materials were used or considered.						
Regu		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)						
idence	Category 2:			scussion of which low llow List materials w		naterials and/or cultural		
ر <u>[5</u>	Category 1:	This category does not qualify for certification (must score 2 or higher).						
d. <u>Certi</u>	fication Prerequi	site		e. Prerequisite Rationale				
Must be	Must be Category 2 or higher in first year;			Significant economic, social and environmental impact.				
Category 3 or higher in subsequent years								
f. Addit	ional Explanation	n Req	uired					
None.								

12.7 WINE QUALITY

12.7.1 Field Fruit Maturity

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

12.7.2 Tasting Grapes with the Winery Representative

		g Orapoo mian ano i					
a. Man	datory to	No, Select N/A if a winer	У	b. Audit priority	Low		
comple	<u>te</u> ?	representative never visi	ited the				
		vineyard					
	Category 4:	Internal Testimonial: Cor	nfirmatio	n from the auditee that gra	pes were frequently tasted		
		with the winery representative for each block as they matured.					
	External Testimonial: Confirmation from the winery that grapes were frequently tasted						
	with the winery representative for each block as they matured.						
(A)	Category 3:	Internal Testimonial: Cor	nfirmatio	n from the auditee that sev	veral times before harvest, t	he	
l i		vineyard was walked and	d the grap	oes were tasted with the w	inery representative.		
l ä		External Testimonial: Confirmation from the winery that several times before harvest, the					
lire		vineyard was walked and	d the gra	oes were tasted with the w	inery representative.		
Evidence Requirements	Category 2:	Internal Testimonial: Cor	nfirmatio	n from the auditee that the	e grapes of most blocks were	9	
e R		tasted prior to harvest.					
) Suc		External Testimonial: Co	nfirmatic	n from the winery that the	grapes of most blocks were	!	
/ide		tasted prior to harvest.					
	Category 1:	None					
ن	ن ا						
d. <u>Certification Prerequisite</u>			e. <u>Prerequisite Rationale</u>				
None	None N/A						
f. <u>Addit</u>	ional Explanatio	n Required					
Explain	in Notes why N/	'A					

12.7.3 Juice Chemistry

a. Man	a. Mandatory to complete? Yes			b. Audit priority	Low		
	Category 4:	Internal Testimo	nial: Discussion	on how pre-harvest berry	y analysis was done in most blocks		
टा		to confirm adeq	uate maturity, ar	nd confirm that feedback	from the analysis from the		
en		winery was avail	able.				
em		Analysis Records	: Verify yearly re	corded Brix, TA, and pH	measurements.		
<u> </u>	Category 3:	Internal Testimonial: Discussion on how pre-harvest berry analysis was done in most blocks					
Sec		to confirm adequate maturity.					
9		Analysis Records: Verify yearly recorded Brix, TA, and pH measurements.					
Evidence Requirements	Category 2:	Analysis Records: Verify yearly recorded Brix measurements.					
•	Category 1:	None.					
ပ်							
d. <u>Certi</u>	d. Certification Prerequisite			equisite Rationale			
Action Plan required if Category 1; Category 2 or			ry 2 or Slight e	conomic impact			
higher f	higher for subsequent years						
f. <u>Addit</u>	f. Additional Explanation Required						
None							

12.7.4 Taste Wine Made from the Grapes

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

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

12.7.5 Knowledge of Wine Quality

a. <u>M</u> an	datory to	No, select N/A if persona	al	b. Audit priority	Low		
comple	<u>te</u> ?	concerns prohibit you fro	om				
		tasting wine.					
\$ <u>1</u>	Category 4:	Internal Testimonial: 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. Miscellaneous Business Record: Receipt for payment of wine appreciation class.					
Evidence Requirements	Category 3:	Internal Testimonial: 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. Miscellaneous Business Record: Receipt for payment of wine appreciation class.					
Category 2: <u>Internal Testimonial</u> : Discussion with auditee about tasting domestic or international							
Category 1: Internal Testimonial: Discussion with auditee about tasting local wines only of					ocal wines only or none at all.		
d. Certification Prerequisite			e. Prerequisite Rationale				
None N/A							
f. Addit	<u>ional Explanatio</u>	n Required					
Explain	Explain in Notes why N/A						

12.7.6 Knowledge of Wine Industry Marketing and Trends

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

f. <u>Additional Explanation Required</u> None

12.7.7 Viticultural Improvement

a. Mandatory to complete? Yes			Yes	b. Audit priority	Low	
(0)	Category 4: Internal Testimonial: Discussion of how a trial had been done within the last year for					
uts	specific viticultural practices to note any effect on wine quality or economic viability, and					
E E		this practice was compared to a "control" of the same vineyard and vintage.				
Evidence Requirements	Category 3: Internal Testimonial: Discussion of how a trial had been done within the last 3 years for					
ed		specific viticultural practices to note any effect on wine quality or economic viability, or				
20		how another trial in the area had been reviewed.				
) L	Category 2:	Internal Testimo	nial: Discussion	of how external suggestions abou	ut viticultural practices	
ide		were considered	d and implement	ed for improving wine quality or	economic viability.	
回	Category 1:	Internal Testimo	nial: Discussion	of how external suggestions abou	ut viticultural practices	
ن	were considered.					
d. Certification Prerequisite			e. <u>Pre</u> r	e. Prerequisite Rationale		
None N/A						
f. Addit	f. Additional Explanation Required					
None						

12.7.8 Planning, Monitoring, Goals and Results for Food Safety

Ή.	2.7.0 Pianini	ng, wonitoring,	Goals and	Results for Food s	Saiel	y		
a. <u>Man</u>	datory to comp	lete? Ye	es	b. Audit priority		High		
	Category 4:	Internal Testimonial	l: Discussion o	on how a food safety plan w	vas dev	eloped and		
		implemented that fo	ocused on pre	eventative measures to min	imize 1	ood safety risks for		
		winegrapes and/or	wine. Also, co	onfirm a monitoring and rev	view p	rocess was put in place		
		for over one year to	ensure that s	strategy implementation wa	as mee	ting set goals, and based		
		on results, changes	on results, changes were made to improve strategy implementation.					
		Written Document/	<u>'Plan</u> : Verify t	he food safety plan.				
	Category 3:	y 3: <u>Internal Testimonial</u> : Discussion on how a food safety plan was developed and started to be						
λί	implemented that focused on preventative measures to minimize food safety risks fo							
winegrapes and/or wine. Also, confirm a monitoring and review process was put						ocess was put in place		
ma	to ensure that strategy implementation was meeting set goals.							
uire		Written Document/	<u>'Plan</u> : Verify t	he food safety plan.				
bə	Category 2:		_	on how a food safety strate				
9		•	•	ntative measures to minim	ize foo	d safety risks for		
Evidence Requirements		winegrapes and/or						
vid	Category 1:			on how there was no plan ir	n place	to investigate and		
		develop a food safe	ety strategy.					
5	Action Plan: Verify action plan for first year self-assessments.							
d. <u>Certi</u>	d. Certification Prerequisite			e. <u>Prerequisite Rationale</u>				
Action plan required if Category 1 and Category Stakeholder concern and Potential risk/liability to the compan					ability to the company			
	2 or higher in subsequent years							
f. <u>Addit</u>	ional Explanatio	on 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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	Category 4:	implemented that focus winegrapes and/or wine for over one year to ens on results, changes were	cussion on how a security or defense plan was developed and ed on preventative measures to minimize security risks for e. Also, confirm a monitoring and review process was put in place ure that strategy implementation was meeting set goals, and based e made to improve strategy implementation. : Verify the security or defense plan.			
Requirements	Category 3:	Internal Testimonial: 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. Written Document/Plan: Verify the security or defense plan.				
	Category 2:					
c. Evidence	Category 1:	Internal Testimonial: Discussion on how there was no plan in place to investigate and develop a security or defense strategy. Action Plan: Verify action plan for first year self-assessments.				
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. <u>Prerequisite Rationale</u>			
Action	plan required if C	Category 1 and Category	Stakeholder concern <i>and</i> Potential risk/liability to the company			
2 or hig	2 or higher in subsequent years					
f. <u>Addit</u>	ional Explanatio	n Required				
None	None					

12.8 ECOSYSTEM MANAGEMENT

12.8.1 Ecosystem Processes-Resource Base Ecosystem Biodiversity

a. Mandatory to complete? Yes			Yes	b. Audit priority	High		
ıts	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.					
	promote biodiversity. Category 3: Direct Observation: Operations that showed how vineyards or wineries enhanced ecosystems biodiversity. Log: The species, habitat types, and indicators of plant and animal biodiversity were monitored and recorded in and around the vineyard or winery.						
Evidence	Category 2:				auditee understands a winery or nich practices promoted this.		
c. Ev	eddegory 1. <u>Nedour han</u> . Verny dedou plan for mot year sen assessments.						
d. Certification Prerequisite				equisite Rationale			
Action plan required if Category 1 and Category				older concern <i>and</i> environ	nmental impact		
2 or hig	2 or higher in subsequent years						
f. Addit	f. Additional Explanation Required						
None	None						

12.8.2 Watershed Management-Watershed Awareness

a. Mandatory to complete?	Yes	b. Audit priority	High
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Evidence Requirements	Category 4:	and which site specific e exist, discuss involveme conservation.	escussion with auditee about what pertinent watershed issues exist, afforts were made to minimize negative impacts. Also, if programs in in watershed programs that cover stewardship issues and especific efforts made to minimize negative impacts.				
lire	Category 3:	Internal Testimonial: Dis	scussion with auditee about what pertinent watershed issues exist,				
lba		and which site specific e	fforts were made to minimize negative impacts.				
e X		<u>Direct Observation</u> : Site	e specific efforts made to minimize negative impacts.				
) Ju	Category 2:	Internal Testimonial: Dis	scussion with auditee about which watershed they are in and if				
ide		applicable, which tributa	aries are included.				
回	Category 1:	This category does not o	qualify for certification (must score 2 or higher).				
ပံ							
d. <u>Certi</u>	d. Certification Prerequisite e. Prerequisite Rationale						
Catego	ry 2 or higher in f	irst year; Category 3 or	Significant environmental impact				
higher i	higher in subsequent years						
f. Addit	f. Additional Explanation Required						
None							

12.8.3 Ecosystem Management-Native Woodlands

1.4	12.0.3 Ecosystem Management-Native Woodiands						
a. <u>Man</u>	datory to	No, select N/A if there wa	as no	b. Audit priority	Medium		
<u>comple</u>	<u>complete</u> ? habitat or records						
		management changes					
	Category 4:			vith auditee about how there w			
		1		s were removed, this was mitig	•		
		discuss how the auditee	worked v	with conservation groups on co	nservation planning of		
		woodland ecosystems in	the regi	on.			
		<u>Direct Observation</u> : Verif	y farmin	g is not done underneath tree of	canopies and native		
wi		vegetation was maintain	ed arour	nd trees, and observe any mitiga	ation methods where		
<u>ent</u>	applicable.						
Requirements	Category 3:	Internal Testimonial: Dis	cussion	with auditee about how there v	vere no native woodlands		
<u> ire</u>		removed, or when trees	or shrubs were removed, this was mitigated by other methods.				
ıba		Direct Observation: Verif	y farmin	g was done underneath tree ca	nopies.		
<u>ح</u>	Category 2:	Internal Testimonial: Disc	cussion v	vith auditee about the removal	of native woodlands and		
Ü		replanting of appropriate	e trees a	nd shrubs around the outside o	f the winery or vineyard.		
Evidence		Direct Observation: Verif	y the pla	enting of appropriate trees and	shrubs.		
집	Category 1:	Internal Testimonial: Disc	cussion v	vith auditee about the removal	of native woodlands.		
ن	ů						
d. <u>Certification Prerequisite</u> e.				equisite Rationale			
None	None N/A						
f. Addit	ional Explanatio	n Required					
Explain	Explain in Notes why N/A						

12.8.4 Ecosystem Management-Riparian Habitat

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

	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			e. <u>Prerequisite Rationale</u>		
Action plan required if Category 1; No timeline		ategory 1; No timeline	Significant environmental and social impact		
to achieve Category 2 or higher		higher			
f. Additional Explanation Required					
Explain in Notes why N/A					

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

a. <u>Man</u>	a. Mandatory to No, select N/A if there a			b. Audit priority	High	
comple	<u>te</u> ?	aquatic habitats on the				
property						
Category 4: <u>Internal Testimonial</u> : Discussion with auditee about how aquatic habitats were cons					nabitats were considered	
	during vineyard or winery site selection, planning, or management.					
		<u>Direct Observation</u> : Verif	fy that bu	uffer strips were left or created b	etween vineyards/wineries	
		and aquatic habitat. Ver	ify roads	were kept to a minimum near h	abitats with well maintained	
		drainages and crossings.	If appro	priate, observe trees in the buffe	er strip used to shade the	
N)		watercourse.				
Evidence Requirements	Category 3:	<u>Internal Testimonial</u> : Dis	cussion v	vith auditee about how aquatic h	nabitats were considered	
L L		during vineyard or winery site selection or management.				
ij		<u>Direct Observation</u> : Verif	fy that bu	uffer strips were left or created b	etween vineyards/wineries	
bed		and aquatic habitats.				
9	Category 2:	Internal Testimonial: Dis	cussion v	vith auditee about how aquatic l	nabitats were considered	
l bud		during vineyard or winer	y site sel	ection or management.		
Vid	Category 1:	Internal Testimonial: Dis	cussion v	vith auditee about how aquatic h	nabitats were not	
				nery planning or management.		
ن		Action Plan: Verify action	n plan fo	r first year self-assessments.		
d. <u>Certi</u>	<u>fication Prerequ</u>	<u>isite</u>	e. <u>Prere</u>	<u>equisite Rationale</u>		
Action plan required if Category 1 and Category Significa				ant environmental and social imp	pact	
2 or hig	2 or higher in subsequent years					
f. <u>Addit</u>	ional Explanatio	<u>n Required</u>				
Explain	in Notes why N/	'A				

12.8.6 Habitat Enhancement for Wildlife

a. Man	datory to compl	ete?	Yes	b. Audit priority		Medium
	Category 4:	<u>Direct Observation</u> : Confirm the existence of nesting boxes or nesting habitat, and the				
(A)		maintenance an	d monitoring of r	natural nesting and perching	sites	. Also, verify that
l ii		hedgerows, cove	er crops, native g	rasses, or non-native plants	(if ap	propriate) were maintained
E		and additional n	ative plants were	e established for habitat.		
Evidence Requirements	Category 3:	Direct Observat	ion: Confirm the	existence of nesting boxes of	or nes	ting habitat, and the
edi		maintenance of	natural nesting a	nd perching sites. Also, veri	fy tha	t hedgerows, cover crops,
e R		native grasses, o	r non-native plai	nts (if appropriate) were ma	intain	ed.
) U	Category 2:	Direct Observati	on: Confirm the	existence of nesting boxes o	r nest	ting habitat, or the
jde		maintenance of	natural nesting a	nd perching sites.		
	Category 1:	Internal Testimo	<u>nial</u> : Discussion v	with auditee about how ther	e wa	s no habitat enhancement
ن		done.				
d. <u>Certi</u>	fication Prerequi	site	e. <u>Prere</u>	equisite Rationale		
None	None N/A					
f. Additional Explanation Required						
None	None					

12.8.7 Conservation Easements

a. Mandatory to complete?				b. Audit priority	High		
	Category 4:	4: <u>Internal Testimonial</u> : Discussion with auditee about how some or all of the property is					
(8)		protected with an agricultural conservation easement and/or the natural areas were					
Requirements		protected by a natural resource conservation easement.					
l a	Category 3:	Internal Testimonial: [Discussion v	vith auditee about cons	servation or natural resource		
nire		conservation easemer	nts being co	nsidered, and how an a	ssessment was done with areas		
l ba		identified where ease	ments were	appropriate.			
	Category 2:	Internal Testimonial: [Discussion v	vith auditee about cons	servation or natural resource		
ü		conservation easemer	nts being av	ailable, but not used, or	r how an assessment was done and it		
Evidence		was found that an eas	ement was	not appropriate.			
回	Category 1:	None.					
ن							
d. <u>Certi</u>	fication Prerequ	isite	e. <u>Prere</u>	quisite Rationale			
None	None N/A						
f. Addit	f. Additional Explanation Required						
None							

12.8.8 Sensitive Species

						,	
а. <u>Ма</u>	ndatory to comp	<u>ete</u> ?	Yes	b. Audit priority		High	
	Category 4:	Internal Testimo	nial: Discussion	on how most of the sensi	tive spec	cies in the region were	
i i		known and that it was known if any of these species occurred on the property.					
me .		Direct Observati	on: Verify how	the property was manage	d to pro	tect and/or enhance habitat	
ire		for these species	5.				
Requirements	Category 3:	Internal Testimo	onial: Discussion	on how most of the sens	itive spe	cies in the region were	
		known and that	it was known if	any of these species occur	rred on t	he property.	
Evidence	Category 2:	Internal Testimo	nial: Discussion	on how most of the sensi	tive spec	cies in the region were	
ide		known.					
	Category 1:	Internal Testimo	nial: Discussion	on how the sensitive spec	cies in th	e region were unknown.	
ن		Action Plan: Ver	fy action plan fo	or first year self-assessme	nts.		
d. <u>Cer</u> t	tification Prerequ	<u>isite</u>	e. <u>Pre</u> r	equisite Rationale			
Action plan required if Category 1 and Category			egory Signific	ant environmental impac	t		
2 or higher in subsequent years							
f. Addi	f. Additional Explanation Required						
None							

12.8.9 Sensitive Species and Collaboration with Partners

	121010 Contains Openico and Conduction with a district						
a. Man	datory to	<u>y to</u> No, select N/A if it could be b. <u>Audit priority</u> High		High			
comple	<u>te</u> ?	verified that no sensitive					
		species were on the property					
during the assessment year							
	Category 4:	Internal Testimonial: Discussion on how qualified experts were consulted to inform on					
		operations management decisions that may affect sensitive species. Also, verify that ther					
(0)		was participation in programs (w	here available) that protected the	e interest in the assessed			
a ts		land while benefitting sensitive s	pecies.				
i i i	Category 3:	Internal Testimonial: Discussion on how qualified experts were consulted to inform on					
<u>Evidence</u> quiremer		operations management decisions that may affect sensitive species.					
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Discussion on how qualified experts were used to determine how to					
ပ 🛣		best address the presence of sensitive species known to exist on the property.					

	Category 1:	ategory 1: Internal Testimonial: Verification that the auditee did not seek input from outside sources				
		regarding sensitive species.				
		Action Plan: Verify action plan for first year self-assessments.				
d. <u>C</u>	ertification Prerequi	<u>isite</u>	e. <u>Prerequisite Rationale</u>			
Actio	Action plan required if Category 1 and Category		Significant environmental impact			
2 or	higher in subsequer	nt years				
f. Ac	f. Additional Explanation Required					
Fxpl	ain in Notes why N/	Δ				

12.9 **ENERGY MANAGEMENT**

12.9.1 Planning, Monitoring, Goals and Results

	ndatory to compl	lete? Yes	b. Audit priority	High		
Category 4: Internal Testimonial: 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 use						
		make changes, which cl	hanges were made, and what efficiency go	oals were set. Discuss the		
			s and conservation were used in an energy	y awareness training		
		program for employees				
			<u>n</u> : Verify the documented energy manager	•		
		_ ·	red and recorded throughout the year and	d used to calculate		
		performance metrics.				
	Category 3:		scussion with the auditee about the resul	- -		
			he last 5 years, reviewed annually, and ho			
			hanges were made, and what efficiency go			
ts			n: Verify the documented energy manager	ment plan, and that total		
l el	0		red and recorded throughout the year.			
Evidence Requirements	Category 2:	1 -	scussion with the auditee about the resul	= -		
in in			he last 5 years and how the results were u			
Re			dule for the cost of electricity was review			
Se	Catagory 1.		y an energy audit was done within the last	-		
der	Category 1:		scussion with the auditee about having a without reviewing a rate schedule for the			
Evi		Action Plan (Vineyard):		e cost of electricity.		
ن			erify action plan. erify action plan for first year self-assessm	nents		
d. Cert	ification Prerequ		e. Prerequisite Rationale	ierres.		
		equired if Category 1;	Significant environmental impact			
-		subsequent years	3			
Wineries: Action Plan required if Category 1;						
Category 2 or higher in subsequent years						
	tional Explanatio		•			
None						

12.9.2 Vineyard Pump Efficiency

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

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	Category 3:	Internal Testimonial: 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 ir	nfrastructure was reviewed for efficiency.				
	Category 2:	Internal Testimonial: Di	scussion with the auditee about how pump efficiency was considered				
		as one element of irrigat	tion management.				
	Category 1:	Internal Testimonial: Dis	scussion with the auditee about how the operation and maintenance				
		of the pumps has not changed since installation.					
d. Cert	ification Prerequ	<u>isite</u>	e. Prerequisite Rationale				
Action	Plan required if C	Category 1; Category 2 or	Environmental impact				
higher for subsequent years							
f. Addi	f. Additional Explanation Required						
None	None						

12.9.3 Vineyard Vehicles

a. <u>M</u> an	a. Mandatory to complete?			b. Audit priority		Medium
	Category 4:	Log: Verify the a	mount of fuel us	ed in the vineyard was tra	cked.	
(A)		Internal Testimo	<u>nial</u> : Discussion v	with the auditee on how p	ractice	s and technological
l ti		impacts were ad	Idressed to incre	ase fuel efficiency.		
l E		<u>Direct Observati</u>	on: Verify that at	least one alternative fuel	was us	sed.
Evidence Requirements	Category 3:	Log: Verify the a	mount of fuel us	ed in the vineyard was tra	cked.	
l ba		Internal Testimo	<u>nial</u> : Discussion v	with the auditee on how p	ractice	s and technological
8		impacts were ad	Idressed to incre	ase fuel efficiency.		
) Ju	Category 2:	Internal Testimo	nial: Discussion v	with the auditee about how	w the a	mount of fuel used in
ide		the vineyard wa	s known.			
집	Category 1:	None.				
ن	ن					
d. <u>Certification Prerequisite</u> e. <u>Prerequisite</u>				equisite Rationale		
None N/A						
f. Additional Explanation Required						
None	None					

12.9.4 Winery Motors, Drives & Pumps

a. Man	datory to compl	ete?	Yes	b. Audit priority	Medium	
	Category 4:	Internal Testimonial: 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. Analysis Records: Verify that a comprehensive energy audit was made before replacing equipment.				
Evidence Requirements	Category 3:	Internal Testimonial: 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. Analysis Records: Verify that a comprehensive energy audit was made before replacing equipment.				
Category 2: Internal Testimonial: Discussion with the auditee about how efforts were made to in efficiencies of motors, drives, and pumps.					orts were made to improve	
E	Category 1:			with the auditee about how the nuch as they had been since ins		

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

12.9.5 Refrigeration System

	12.3.3 Reinige	Fialion System	111				
a. <u>N</u>	landatory to comp	<u>lete</u> ?	Yes	b. Audit priority	Medium		
Category 4: Internal Testimonial: Discussion with the auditee about technologies that were implemented for optimal performance. Also, discuss that chiller loads were reduce							
		building insulation, night air cooling, and off peak evaporative cooling and/or ice making. Also, discuss which energy efficient technologies were used.					
Evidence Requirements	Category 3:	implemented fo building insulation	Internal Testimonial: 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.				
idence R	Category 2:						
c. Ev	Category 1:		Internal Testimonial: Discussion with the auditee about how the refrigeration system was operated and maintained much as it had been since installation.				
d. Ce	ertification Prerequ	<u>isite</u>	e. Prer	equisite Rationale			
None	None N/A						
f. Ad	f. Additional Explanation Required						
None	None						

12.9.6 Tanks and Lines

a. Man	a. Mandatory to complete? Yes		Yes	b. Audit priority	Medium	
	Category 4:	Internal Testimonial: Discussion with the auditee about vendors and suppliers that were invited to demonstrate new technologies that improve energy efficiency of tanks. Direct Observation: 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.				
<u>ents</u>	Category 3:	Internal Testimonial: 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. Direct Observation: 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.				
Evidence Requirements	Category 2:	Internal Testimonial: 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. Direct Observation: Verify there are some tanks with jackets, and that glycol lines are insulated.				
c. Evi	Category 1:	Internal Testimonial: Discussion with the auditee about how the tank system was operated and maintained much as it had been since installation.				
d. <u>Certi</u> None	fication Prerequi	<u>isite</u>	e. <u>Prer</u> N/A	equisite Rationale		
f. <u>Addit</u> None	f. Additional Explanation Required					

12.9.7 Heating, Ventilation, and Air Conditioning (HVAC)

a. Mar	ndatory to comp	lete?	Yes	b. Audit priority	•	Medium	
	Category 4:	Internal Testimo	nial: Discussion	with the auditee about h	ow exist	ng equipment was	
maintained for optimal performance and that heating and cooling loads were red					loads were reduced.		
		Also, discuss wh	ich new techno	logies were investigated t	o improv	e energy efficiency of the	
		HVAC system, ar	nd that energy e	efficient technologies and	designs	were used throughout the	
		operation.					
ν.i		<u>Direct Observati</u>	on: Verify the n	nethods used to reduce he	eating an	d cooling loads, and the	
Evidence Requirements		new technologie	es and designs u	sed to improve energy ef	ficiency.		
l E	Category 3:	Internal Testimo	nial: Discussion	with the auditee about h	ow exist	ing equipment was	
l ig		maintained for optimal performance and that heating and cooling loads were reduced.					
edi		<u>Direct Observation</u> : Verify the methods used to reduce heating and cooling loads.					
e R	Category 2:	Internal Testimo	<u>nial</u> : Discussion	with the auditee about h	ow effor	ts were made to improve	
Suc		energy efficiency	y of the HVAC s	stem, and how regularly	schedule	ed maintenance included	
/ig		checking insulat	ion, weather str	ipping, and window film.			
	Category 1:	<u>Internal Testimonial</u> : Discussion with the auditee about how the HVAC system was					
ن	operated and maintained much as it had been since installation.						
d. <u>Cert</u>	d. Certification Prerequisite			requisite Rationale			
None	None N/A						
f. <u>Addi</u>	f. Additional Explanation Required						
None	None						

12.9.8 Lighting - Offices and Labs

	2.3.0 Eigittiii	g - Offices at	IU Labs					
a. Man	datory to comple	<u>ete</u> ?	Yes	b. Audit priority	Medium			
	Category 4:	Internal Testimo	Internal Testimonial: Discussion with the auditee that the lighting fixtures were inspected					
		and cleaned if no	eeded, and whic	ch new lighting technologi	ies were tested.			
		Direct Observati	on: LED or com	oact fluorescent lights are	used in all appropriate locations.			
		Also, verify that	the lighting was	designed to illuminate ar	reas needed at the time (task			
		lighting) and was	s complemente	d with natural light (if pos	sible), and that energy efficient			
		lighting technolo	•					
	Category 3:		_		lighting fixtures were inspected			
	3 ,			ch new lighting technologi				
					used in all appropriate locations.			
nts				•	nate areas needed at the time			
l e		=	_	-	if possible), or that energy			
Evidence Requirements		efficient lighting		_ :	, , ,			
nba	Category 2:	Internal Testimo	nial: Discussion	with the auditee about h	ow efforts were made to improve			
8		lighting energy e	efficiency, but th	at lighting fixtures were r	not inspected as part of cleaning			
u ce		procedures.	,					
de			on: LED or com	oact fluorescent lights are	used in some locations.			
E	Category 1:				ow the lighting system was			
ပ	,	operated and maintained much as it had been since installation.						
d. <u>Certi</u>	d. Certification Prerequisite			requisite Rationale				
None	None N/A							
f. Addit	f. Additional Explanation Required							
None								

12.9.9 Lighting – Shops and Facilities

a. Man	a. Mandatory to complete? Yes			b. Audit priority	Medium			
	Category 4:	Internal Testimo	<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.						
		<u>Direct observation</u>	on: LED or compa	act fluorescent lights are used in	all locations. Also, verify			
			_	illuminate areas needed at the t				
		· ·		light (if possible), unnecessary la	-			
				ficient lighting technologies were				
	Category 3:			with the auditee that the lighting	•			
			·	n new lighting technologies were	_			
NI SI				act fluorescent lights are used in				
ent		•		designed to illuminate areas ne	· ·			
e l				with natural light (if possible), u	•			
l ii				at energy efficient lighting techn				
Sed	Category 2:			with the auditee about how effor	•			
e e			fficiency, but the	at lighting fixtures were not inspe	ected as part of cleaning			
enc		procedures.						
Evidence Requirements				act fluorescent lights are used in				
	Category 1:	Internal Testimonial: Discussion with the auditee about how the lighting system was						
	operated and maintained much as it had been since installation.							
	d. Certification Prerequisite			<u>equisite Rationale</u>				
None	14							
f. <u>Addit</u>	f. Additional Explanation Required							
None	None							

12.9.10 Lighting – Outdoor and Security

a. <u>Man</u>	datory to comple	ete?	Yes	b. Audit priority		Medium
<u></u>	Category 4:	Internal Testimo and cleaned if no lamps and ballas installed for outo when using new their rounds (if a Direct Observati	nial: Discus eeded, which its were disc door lighting technologic applicable). on: Also, ve	sion with the auditee that the the new lighting technologies we connected, and that sodium, leg. Also, discuss how night lightes, and how employees were rify that the lighting was designated.	vere teste LED, and, nting imp trained to	fixtures were inspected ed, that unnecessary for sulfur lamps were acts were considered turn off lights during
Category 3: Internal Testimonial: 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 so lamps were considered for outdoor lighting. Also, discuss how night lighting impact considered when using new technologies. Direct Observation: Also, verify that the lighting was designed to illuminate key seculareas at all times. Category 2: Internal Testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts were made to internal testimonial: Discussion with the auditee about how efforts					stigated, that um, LED, and/or sulfur tht lighting impacts were	
Category 2: Internal Testimonial: Discussion with the auditee about how efforts were made to lighting energy efficiency, but that lighting fixtures were not inspected as part of cl procedures. Direct Observation: Incandescent lights are still used in many locations. Category 1: Internal Testimonial: Discussion with the auditee about how the lighting system was				cted as part of cleaning		
c. Evi	Category 1:	Internal Testimonial: Discussion with the auditee about how the lighting system was operated and maintained much as it had been since installation.				
d. <u>Certin</u> None	fication Prerequi	<u>site</u>	e. N/	Prerequisite Rationale 'A		

f. <u>Additional Explanation Required</u> None

12.9.11 Office Equipment

a. Man	datory to comple	ete?	Yes	b. Audit priority	Medium		
	Category 4:	y 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					
(0)		equipment was	equipment was upgraded or replaced, and that new or replacement office equipment was				
l l		Energy Star® certified.					
Evidence Requirements	Category 3:	Internal Testimo	<u>nial</u> : Discussion	with the auditee that of	fice equipment is turned off or in		
lire		standby mode w	hen not in use,	and that energy consum	ption was considered if office		
edi		equipment was upgraded or replaced.					
e Z	Category 2:	Internal Testimo	<u>nial</u> : Discussion	with the auditee on whi	ich efforts were made to improve		
) i		office equipmen	t energy efficie	ncy, and that office equip	oment is turned off or in standby		
/ide		mode when not	in use.				
	Category 1:				how office equipment was		
ن		operated and m	aintained much	as it had been since inst	allation.		
d. <u>Certi</u>	d. Certification Prerequisite			requisite Rationale			
None	None N/A						
f. Additional Explanation Required							
None							

12.9.12 Renewable Sources of Power

	12.9.12 Reflewable Sources of Power						
a. <u>Ma</u> ı	ndatory to compl	<u>ete</u> ?	Yes	b. Audit priority	Medium		
	Category 4:	Internal Testimo	nial: Discussion	with the auditee about the	e source(s) for electricity		
		supplied to the vineyard and/or winery was known.					
		Analysis Records	Analysis Records: Verify that a third party renewable power source provider was selected				
		for the vineyard	and/or winery.				
νı		Direct Observati	on: Verify that a	renewable energy system	was implemented.		
Evidence Requirements	Category 3:	Internal Testimo	nial: Discussion	with the auditee about the	e source(s) for electricity		
Ē		supplied to the v	ineyard and/or	winery was known.			
ij		Analysis Records	: Verify the rene	wable energy assessment			
bed	Category 2:	Internal Testimo	nial: Discussion	with the auditee about the	e source(s) for electricity		
9		supplied to the v	ineyard and/or	winery was known, and w	hich potential renewable energy		
l bu		options had bee	n researched.				
Vid	Category 1:			with the auditee about the	* *		
		supplied to the v	ineyard and/or	winery was unknown, and	that awareness of potential		
ن	renewable energy options was limited.						
d. <u>Cert</u>	<u>ification Prerequ</u>	<u>isite</u>	e. <u>Prer</u>	equisite Rationale			
None	None N/A						
f. <u>Addi</u>	f. Additional Explanation Required						
None	None						

12.10 WINERY WATER CONSERVATION AND WATER QUALITY

12.10.1 Water Conservation Planning, Monitoring, Goals, and Results

	Z.IU.I Wate	el Collseivati	Uli Fiaillii	rig, Mornioring, Goals	s, and itesuits		
a. Mar	datory to compl		Yes	b. Audit priority	High		
	Category 4:	Internal Testimo	<u>nial</u> : Discussi	on with auditee on how wate	r use data and audit results were		
		used to make de	ecisions on ma	aintenance, capital improvem	ents, employee training, and		
		reducing water use. Verify that yearly goals were revised for the continuous improvement					
		of overall water use.					
		Analysis Record	s: Verify the c	ompletion of a comprehensiv	e water audit done within the		
		last 5 years.					
		Log: Verify mon	itoring, record	ding, and tracking of water us	e throughout the year.		
		Written Docume	<u>ent/Plan</u> : Veri	fy that a comprehensive wate	er conservation plan was		
		implemented that includes a water performance metric, person(s) responsible for water					
			•	ation of cleaning and sanitizir			
νı	Category 3:	Internal Testimo	<u>nial</u> : Discussi	on with auditee on how wate	r use data and audit results were		
<u>ant</u>		used to make de	ecisions on ma	aintenance, capital improvem	ents, employee training, and		
Ĕ		reducing water	use, as well as	s being used to set yearly goal	s from a production baseline.		
ire		Analysis Record	s: Verify the c	ompletion of a comprehensiv	e water audit done within the		
edi		last 5 years.					
Evidence Requirements		Log: Verify mon	itoring and re	cording of water use through	out the year.		
Suc	Category 2:				ng and monitoring total water		
/ide		use per year, an	d using the da	ata to begin development of a	water conservation program.		
	Category 1:	Internal Testimo	<u>nial</u> : Discussi	on with auditee about estima	ted winery water use per year.		
ပ		Action Plan: Verify action plan for first year self-assessments.					
d. <u>Certi</u>	ification Prerequ	<u>isite</u>		rerequisite Rationale			
Action plan required if Category 1 and Category Significant environmental impact and Stakeholder concern and					and Stakeholder concern and		
2 or hig	2 or higher in subsequent years Potential risk/liability to the company						
f. Addit	f. Additional Explanation Required						
None	None						

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

a. Man	datory to compl		Yes	b. <u>Audit priority</u>	High			
	Category 4:	Internal Testimony: Discussion with auditee about testing winemaking water quality, and						
		results from tests were used to make decisions on capital improvements, maintenance,						
		and training.						
		Analysis Records	s: Verify winemal	king water quality test resul	ts that were recorded			
		throughout the	year and compar	ed to the industry operation	nal usage guidelines, and how			
		water has impro	ved over the bas	eline testing year.				
	Category 3:	Internal Testime	ony: Discussion w	rith auditee about testing w	inemaking water quality, and			
		results from test	ts were used to m	nake decisions on capital im	provements, maintenance,			
νı		and training.						
ent		Analysis Records	s: Verify winemal	king water quality test resul	ts that were recorded			
) E		throughout the	year.					
l ii	Category 2:	Internal Testimo	ony: Discussion w	ith auditee about testing wi	nemaking water quality, and			
ed		results from test	ts were used to n	nake decisions on capital im	provements, maintenance,			
e B		and training.						
enc		Analysis Records	s: Verify winemal	king water quality test resul	ts.			
Analysis Records: Verify winemaking water quality test results that were record throughout the year. Category 2: Internal Testimony: Discussion with auditee about testing winemaking water queresults from tests were used to make decisions on capital improvements, maint and training. Analysis Records: Verify winemaking water quality test results. Category 1: Internal Testimony: Discussion with auditee about knowing that water meant for consumption was known to be safe for the intended use								
		consumption wa	as known to be sa	ife for the intended use.				
ပ		Action Plan: Ver	ify action plan fo	r first year self-assessments				

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

12.10.3 Water Supply

	12.10.5 Water Supply								
a. Man	datory to	No, select N/A if there ar	e no	b. Audit priority	High				
comple	<u>te</u> ?	wells on the property							
	Category 4:	Internal Testimony: Discu	<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).								
		Analysis Records: Verify that total water use was measured, monitored, and recorded							
		monthly and at least wee	ekly duri	ng 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.									
νı	Category 3:	Internal Testimony: Discu	ussion w	ith auditee on how water use red	cords were used as part				
ent		of a water conservation p	program						
L E		Analysis Records: Verify t	that tota	I water use was measured, moni	tored, and recorded				
lire		monthly							
edi		<u>Direct Observation</u> : Mete	ers are ir	nstalled on wells.					
Evidence Requirements	Category 2:	Internal Testimony: Discu	ussion w	ith auditee about how total wate	er use was estimated.				
us		<u>Direct Observation</u> : Mete	ers are ir	nstalled on wells or water use wa	s measured, but not				
/ide		monitored throughout th	ne year.						
	Category 1:	Internal Testimony: Discu	ussion w	ith auditee about how total wate	er use was estimated.				
ن		Action Plan: Verify action	n plan fo	r first year self-assessments.					
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. <u>Prere</u>	equisite Rationale					
Action p	Action plan required if Category 1 and Category Significant environmental impact								
2 or hig	2 or higher in subsequent years								
f. Addit	f. Additional Explanation Required								
Explain	Explain in Notes why N/A								

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

a. <u>Man</u>	a. Mandatory to complete?			b. Audit priority	Medium		
N)	Category 4:	<u>Internal Testimony</u> : Discussion with auditee that sumps, interceptors, or traps were					
ent		inspected monthly and cleaned quarterly. Also, verify that flow meters were monitored					
l E		quarterly, and weekly during high demand periods. Confirm there was training in storm					
Requirements		water protection and diversion valve operation (if applicable).					
ed		Direct Observation: Verify that flow meters were installed for process water discharge.					
		Written Document/Plan: Verify regular testing results for pH, dissolved oxygen, or other					
Evidence		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					
ide							
ن		(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:	Internal Testimony: 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. Direct Observation: Verify that flow meters were installed for process water discharge.				
Category 1:	Direct Observation: Verify that flow meters were installed for process water discharge, if required. Analysis Records: Verify regular testing results for pH, dissolved oxygen, or other permit requirements.				
d. Certification Prerequ	<u>isite</u>	e. Prerequisite Rationale			
None		N/A			
f. Additional Explanation Required					
None					

12.10.5 Process Water Discharge - Water from Process Water Ponds

I.	12.10.5 Process water discharge - water from Process water Ponds						
a. <u>Mar</u>	ndatory to	y to No, select N/A if there are no b. Audit priority High					
comple	ete?	process water ponds on the					
		property					
Category 4: Internal Testimonial: Confirm that pond water was used for vineyards and/or landscal if permissible. Verify that flow data was used to select reuse or disposal method(s). Analysis Records: Verify that water quality results were used to develop and implementation to reduce constituents in discharge water and/or at least one additional alternative reuse or disposal method was implemented.							
Evidence Requirements	Category 3:	Internal Testimonial: 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.					
idence R	Category 2:	Internal Testimonial: 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.					
C. Ev	Category 1:	Internal Testimonial: Verify that no process water was reused and some pond water was discharged through land applications at all times of the year.					
d. Certification Prerequisite			e. Prerequisite Rationale				
None	None N/A						
f. Additional Explanation Required							
Explain	Explain in Notes why N/A						

12.10.6 Septic Systems or Onsite Systems

a. <u>Man</u>	datory to	No, select N/A if winery doe		High			
comple	<u>te</u> ?	not have a septic system					
	Category 4:	Internal Testimonial: 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. Direct Observation: 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 fo processed process water. Written Document/Plan: Verify that an operations and maintenance plan was in place with an assigned staff person.					
irements	Category 3: Internal Testimonial: 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 leafields, or that a second leach field was installed with a hand-operated diversion valve. Direct Observation: Verify a grease trap (if applicable) was installed for any restaurant food service activities and any diversion valves Written Document/Plan: Verify that an operations and maintenance plan was in place						
Evidence Requirements	Category 2:	an assigned staff person. gory 2: Internal Testimonial: Verify that the septic system was randomly checked to ensure effective operation. Direct Observation: Verify a grease trap (if applicable) was installed for any restaurant or food service activities.					
c. <u>Ev</u>	Category 1:	Internal Testimonial: Verify that the septic system was designed, engineered, and constructed for the volume of the facility.					
d. <u>Certi</u> None	fication Prerequ	e. <u>I</u>	Prerequisite Rationale				
f. Addit	f. Additional Explanation Required						
Explain	Explain in Notes why N/A						

12.10.7 Storm Water

a. Man	a. Mandatory to complete?		Yes	b. Audit priority	High			
Ν	Category 4:	Internal Testimo	Internal Testimonial: Discuss how management and staff were trained in diversion valve					
Requirements		operation.						
E E		<u>Visual Record</u> : Verify that locations of storm drains were identified, labeled, and						
i i		documented as	draining to know	n and permitted locations.				
ed		Direct Observati	on: Verify that co	overed work areas eliminate rainf	all runoff to storm drains.			
		Also, verify that	the process water	er system is not subject to unwant	ted water from rainfall			
Evidence		runoff, and that diversion valves were installed with aboveground indicators.						
ļ ģ		Written Document/Plan: Verify that Best Management Practices for process water, or a						
<u> </u>		Storm Water Pollution Prevention Program (SWPPP) were in place (if required).						
ပ		Log: Verify recor	ds of diversion v	alve inspection results.				

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

12.10.8 Crush Operations

a. Man	datory to compl	ete?	Yes	b. Audit priority	High
	Category 4:	Internal Testimo	<u>nial</u> : Discuss that	pre-cleaning of equipment was o	done with appropriate
		tools and water	was applied as n	eeded from a high pressure/low v	volume nozzle fitted with
		a shutoff valve. Also, a broom and squeegee were nearby and workers were encoura			
		use them to clea	ın up spills. Verif	y that employees were trained in	crush operation cleaning
		procedures.			
		<u>Direct Observati</u>	on: Confirm that	crush operations were outside a	nd covered, or moved
		inside. Verify sh	ut off valves on o	cleaning hoses.	
		Written Docume	ent/Plan: Verify t	hat written cleaning procedures v	were implemented as part
		of a water conse	ervation plan.		
Category 3: <u>Internal Testimonial</u> : Discuss that pre-cleaning of equipment was done with app			done with appropriate		
				eeded from a high pressure/low v	
		a shutoff valve.	Also, a broom ar	nd squeegee were nearby and wo	rkers were encouraged to
		use them to clean up spills.			
				crush operations were outside a	nd covered. Verify shut
छ।		off valves on cle	aning hoses.		
ent		Written Docume	ent/Plan: Verify t	hat written cleaning procedures v	were implemented as part
e u		of a water conse	ervation plan.		
Evidence Requirements	Category 2:	Internal Testimo	<u>nial</u> : Discuss that	t pre-cleaning of equipment was o	done with appropriate
Ş		tools and water was applied as needed from a high pressure/low volume nozzle fitted w a shutoff valve. Also, a broom and squeegee were nearby and workers were encouraged			
9					
enc		use them to clean up spills, and verify cleaning procedures were developed for crush			
\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \		operations.			
				crush operations were outside a	nd uncovered. Verify
ن		shut off valves o	n cleaning hoses		

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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.	
		Action Plan: Verify actio	n plan for first year self-assessments.
d. <u>Certi</u>	d. Certification Prerequisite		e. <u>Prerequisite Rationale</u>
Action	Action plan required if Category 1 and Category		Significant environmental impact
2 or higher in subsequent years		nt years	
f. Additional Explanation Required		n Required	
None			

12.10.9 Presses

a.	Mand	latory to comple	ete?	Yes	b. Audit priority	High
	Category 4: <u>Internal Testimonial</u> : Dis			nial: Discuss tha	t pre-cleaning of equipment was o	done with appropriate
			tools and water	was applied as n	eeded from a high pressure/low v	olume nozzle fitted with
			a shutoff valve.	Verify that empl	oyees were trained in press opera	ntion cleaning
			procedures, or t	hat a water effic	ient self-cleaning press was install	ed.
					press operations were outside ar	nd covered, or moved
			inside. Verify sh	ut off valves on	cleaning hoses.	
			Written Docume	ent/Plan: Verify t	hat written cleaning procedures v	vere implemented as part
			of a water conse			
		Category 3:			at pre-cleaning of equipment was	• • • •
				was applied as n	eeded from a high pressure/low v	olume nozzle fitted with
			a shutoff valve.			
					press operations were outside ar	nd covered. Verify shut
			off valves on cle	-		
					hat written cleaning procedures v	vere implemented as part
4	ı -		of a water conse			
Evidence Requirements		Category 2:			at pre-cleaning of equipment was	
l e					eeded from a high pressure/low v	
			· · · · · · · · · · · · · · · · · · ·	•	ng procedures were developed fo	•
96					resses were outside and uncovere	edVerify shut off valves
9	-		on cleaning hose			
Pu		Category 1:			v there was no pre-cleaning of eq	
\ <u>``</u>					for cleaning equipment was appli	
ن			<u>Direct Observation</u> : Verify that presses were outside and uncovered.			20.
	Action Flan. Verify actio				r first year self-assessments.	
		cation Prerequi			equisite Rationale	
	Action plan required if Category 1 and Category			egory Signific	ant environmental impact	
2 or higher in subsequent years f. Additional Explanation Required						
1		onai Explanatior	<u>r Kequired</u>			
N	one					

12.10.10 Tanks and Transfer Lines

a. Mar	ndatory to comp	lete? Yes	b. Audit priority	Medium	
	Category 4:	Internal Testimonial: Di	scuss that tanks and lines were clean	ned with a measured amount	
		of water, and water for	cleaning was applied in a way that re	ecirculated the water in the	
		tanks. Also, discuss whi	ch options were researched to conse	erve water, and verify this	
		included the implement	tation of capturing and reusing tank i	rinse water. Verify that a	
		sanitation option that conserves water was also implemented. Written Document/Plan: 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, a	and tracked. Also, verify that the pla	n included checking transfer	
			ameter, layout design, and leak detec		
			ify shut off valves on cleaning hoses.		
	Category 3:		scuss that tanks and lines were clean		
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 conserves water was implemen		
			verify tank cleaning was done as page	art of a water conservation	
		plan.			
			ify shut off valves on cleaning hoses.		
ts	Category 2:		scuss that tanks and lines were clean		
Jen			olied as needed from a high pressure	•	
l e		•	ess water goes to the drain, and the		
ig i		· ·	uss which options were researched to		
Re			n: Verify tank cleaning was done as p	art of a water conservation	
9		plan.	ify shut off valves on cleaning bases		
Evidence Requirements	Category 1:		ify shut off valves on cleaning hoses.		
EX	Category 1.	Internal Testimonial: Discuss that tanks and lines were cleaned with an unknown amount			
ن		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 Cart	⊥ ification Prerequ		e. Prerequisite Rationale		
None	meation Freiequ	iisicc	N/A		
	tional Explanatio	n Required	147		
None	cionai Explanatio	n negatieu			
110110					

12.10.11 Cellars

a. Man	a. Mandatory to complete?		Yes	b. Audit priority	Medium
	Category 4:	Internal Testimo	nial: Discuss hov	v floors were pressure washed wi	th high pressure/low
νı		volume nozzles with shut-off valves. Verify that one alternative cleaning technology w			eaning technology was
ent		tested or implemented in the cellar, and that a cellar worker was a member of the wa			member of the water
E E		team (if applicable).			
Requirements		Log: Verify that water use was measured, monitored, tracked, and used as training as			
edi		part of a water conservation program, and cellar clean up time was recorded.			s recorded.
		Written Document/Plan: Verify that cellar workers had implemented written water			ed written water
Evidence		conservation training practices.			
/ide		<u>Direct Observation</u> : Verify that water awareness information, including the water			
انک		performance metric was posted in the cellar, or communicated to cellar workers. Verify			
ن		shut off valves o	n cleaning hoses		·

Category 3:	volume nozzles with shurdiscussed at educational Log: Verify that water us program, and cellar clear Written Document/Plansconservation training pradirect Observation: Verification values of the volume of the verification of t	verify that cellar workers were trained using written water actices. fy that water awareness information was posted in the cellar, or	
	communicated to cellar workers. Verify shut off valves on cleaning hoses.		
Category 2:	Internal Testimonial: 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. Log: Verify that water use and cleanup time was recorded. Direct Observation: Verify shut off valves on cleaning hoses.		
Category 1:	Internal Testimonial: 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.		
d. Certification Prerequisite		e. Prerequisite Rationale	
None		N/A	
f. Additional Explanation	n Required		
None			

12.10.12 Barrel Washing

a. Mar	ndatory to compl	ete?	Yes	b. Audit priority	Medium		
	Category 4:		nial: Discuss how	v barrels were washed with timer	controlled hot water,		
	,	1		essure/low volume nozzle with a			
		that the temperature was controlled, monitored, and adjusted based on new cleaning					
		· ·		e alternative sanitation and clean	_		
			•	ed, and that the capture and reus			
		implemented.	, ,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			
			ent/Plan: Verify t	hat water use was measured, mo	nitored, and tracked as		
				ion program, and that cellar wor	•		
		-		ices for barrel cleaning that inclu			
				ff valves on cleaning hoses.	J		
	Category 3:	Internal Testimonial: Discuss how barrels were washed with temperature controlled hot					
water, and this was done with a high pressure/low volume nozzle with a							
				controlled and monitored. Also,			
			-	gies that conserve water were tes			
				ng rinse water was evaluated.			
		Written Docume	ent/Plan: Verify t	hat water use was measured and	monitored as part of a		
				ram, and that cellar workers had			
ırts		water conservat	ion practices for	barrel cleaning.			
E E		Direct Observat	ion: Verify shut o	ff valves on cleaning hoses.			
ire	Category 2:	Internal Testimo	nial: Discuss hov	v barrels were washed with hot w	ater until the discharge		
ba		water was clear	, and this was do	ne with a high pressure/low volur	me nozzle with a shut-		
2		off valve. Also, verify this amount of water was estimated, and that alternative					
u Ce	sanitation and cleaning technologies were investigated.						
ide	water conservation practices for barrel cleaning. <u>Direct Observation</u> : Verify shut off valves on cleaning hoses. Category 2: Internal Testimonial: Discuss how barrels were washed with hot water unt water was clear, and this was done with a high pressure/low volume nozzl off valve. Also, verify this amount of water was estimated, and that altern sanitation and cleaning technologies were investigated. <u>Direct Observation</u> : Verify shut off valves on cleaning hoses. Category 1: Internal Testimonial: Discuss that the total amount of water used was not						
回	Category 1:	Internal Testimo	onial: Discuss that	t the total amount of water used	was not monitored or		
ن		tracked, and bar	rrels were cleane	d using as much water as needed			

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

12.10.13 Barrel Soaking

	12.10.10 Barrer Coaking				
a. Man	datory to	No, select N/A if there wa	as no	b. Audit priority	Medium
<u>complete</u> ? barrel soaking					
	Category 4:	Internal Testimonial: 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. Written Document/Plan: Verify that water use was measured, monitored, and tracked as part of a written water conservation program.			
e Requirements	Category 3:	Internal Testimonial: 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. Written Document/Plan: Verify that water use was measured and monitored as part of a written water conservation program.			
Evidence	Category 2:	Internal Testimonial: Disc barrels completely to det		only an estimated amount of ho sand to seal.	t water was used to fill
c. <u>Ev</u>	Category 1:	· · ·			
d. Certification Prerequisite			e. <u>Prere</u>	equisite Rationale	
None					
f. Addit	ional Explanatio	n Required			
	in Notes why N/	=			

12.10.14 Bottling

a. Man	datory to	No, select N/A if bottling was	b. Audit priority	Medium
<u>complete</u> ? not done at the winery				
ents	Category 4:	Internal Testimonial: 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. Direct Observation: Verify shut off valves on cleaning hoses. Log: Verify that water use was measured, monitored, and tracked as part of a written water conservation program.		
c. Evidence Requirements	Category 3:	Internal Testimonial: 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. Direct Observation: Verify shut off valves on cleaning hoses. Log: Verify that water use was measured and monitored as part of a written water conservation program.		

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

12.10.15 Labs

a. Man	datory to compl	ete?	Yes	b. Audit priority	Medium	
	Category 4:	Internal Testimonial: 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 implement					nted.	
		Written Document/Plan: Verify that workers implemented written water conservation				
		practices. Verify that water use was measured and tracked as part of a written water				
		conservation pro	ogram and was ι	ised in employee training.		
				vater awareness information, incl	uding the water	
		performance me	etric was availab	le in the lab.		
Category 3: <u>Internal Testimonial</u> : Discuss that rinse time was accurately determined, water				mined, water-saving		
νı		devices for sinks and rinse tanks were researched, and new techniques to reduce water				
ent		use and hazardo	ous waste genera	ition were investigated.		
E		Written Docume	ent/Plan: Verify t	that workers were trained in writt	en water conservation	
lire		practices. Verify	that water use	was measured and tracked as par	t of a written water	
edi		conservation pro	ogram.			
Evidence Requirements		<u>Direct Observati</u>	on: Verify that v	vater awareness information was	available in the lab.	
) i	Category 2:	Internal Testimo	<u>nial</u> : Discuss tha	t rinse time for lab equipment wa	s known, and workers	
ide		were aware of w	vater conservation	on information.		
回	Category 1:	Internal Testimo	<u>nial</u> : Discuss tha	t rinse time for lab equipment wa	s unknown, and	
ပ	workers were unaware of water conservation information.					
d. Certification Prerequisite			e. <u>Pre</u> r	e. Prerequisite Rationale		
None	None N/A					
f. Addit	f. Additional Explanation Required					
None						

12.10.16 Landscaping

	2.10.16 Land		1		Т			
a. Man	datory to compl		Yes	b. Audit priority	High			
	Category 4:	Internal Testimo	<u>onial</u> : Discuss tha	t most plants were drought tolera	ant, or recycled water			
		was used for lan	dscaping. Confi	rm that irrigation lines were check	ked regularly for issues.			
		Written Docume	ent/Plan: Verify t	hat water use was measured, mo	nitored, and tracked as			
		part of a written water conservation program, and results were used in employee						
		training. Also, v	training. Also, verify that soils were tested annually.					
		Direct Observati	ion: Verify mulch	or compost was applied twice pe	er year (if applicable),			
		and landscaping	had automatic i	rrigation with moisture sensors of	r rain shut-off devices.			
		Miscellaneous B	usiness Records	Receipts of drought tolerant plar	nts bought for			
		landscaping.	_		•			
	Category 3:		nial: Discuss tha	t there were drought tolerant pla	nts (50% or more of			
	, ,			was used for landscaping. Confirn	-			
			egularly for issue	·	· ·			
			•	hat water use was measured and	tracked as part of a			
			onservation prog		•			
				or compost was applied twice pe	er year (if applicable),			
				rrigation with moisture sensors o				
				Receipts of drought tolerant plar				
		landscaping.			· ·			
(0)	Category 2:	Internal Testimo	nial: Discuss tha	t the total amount of water used	was estimated, and			
l ut	<i>G</i> ,			olerant plants, or recycled water v	·			
l w			_	tion lines were checked regularly				
ire			_	nulch or compost was applied onc				
nba				Receipts of drought tolerant plar	•			
8		landscaping.		, , ,	· ·			
Evidence Requirements	Category 1:		onial: Discuss tha	t the total amount of water used	was unknown, and that			
ide	,			plants was unknown. Confirm tha				
<u>3</u>		checked annuall		•	0			
ن		Action Plan: Verify action plan.						
d. Certi	d. Certification Prerequisite e. Prerequisite Rationale							
Action plan required if Category 1; No timeline Significant environmental impact								
	to move to Category 2 or higher							
	ional Explanatio	-	1					
None								

12.11 MATERIAL HANDLING

12.11.1 Planning, Monitoring, Goals and Results

	<u> </u>	ining, Monitor	nig, Coalo	ana itooaito	
a. Mar	datory to compl	ete?	Yes	b. Audit priority	High
	Category 4:	Internal Testimonial: 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. Analysis Records: Verify that records were used to determine if goals were met.			
<u> </u>	Category 3:	Internal Testimonial: 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.			
Evidence Requirements	Category 2:	Internal Testimonial: 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.			
ر <u>5</u>	Category 1:				
d. <u>Certi</u>	d. <u>Certification Prerequisite</u> e. <u>Prerequisite Rationale</u>				
Action	Action Plan required if Category 1 and Category Significant environmental impact and Stakeholder concern a				
2 or hig	2 or higher in subsequent years Potential risk/liability to the company <i>and</i> potential legal risk				
f. Addit	ional Explanatio	n Required			
None	None				

12.11.2 Good Housekeeping - Dumpster Area

a. <u>Man</u>	datory to compl	ete?	Yes	b. Audit priority	High		
	Category 4:	Internal testimonial: 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 w	aste program.			
		Log: Log detailin	g regular inspect	ion of dumpsters.			
		Direct observati	on: Dumpsters a	e kept litter free. In addition, dur	mpster lids are closed		
		•	-	bilingual signs are posted near d			
				e dumped (if applicable). Dumpst	-		
N		a cement pad to	contain spills an	d located away from high traffic a	areas.		
Requirements		Instruction: Emp	oloyee training in	cludes hazardous waste identifica	ntion.		
E E	Category 3:	Internal testimo	nial: Discussion v	vith auditee about a formal sched	luling system in place		
i		for dumpster in:	spections.				
led		<u>Log</u> : Log detailin	ig regular inspect	ion of dumpsters.			
		Direct observati	on: Dumpsters a	e kept litter free. In addition, dur	mpster lids are closed		
Evidence		to keep water out. Furthermore, bilingual signs are posted near dumpsters describing					
)jġ		what materials can and cannot be dumped (if applicable). Dumpsters are also placed on					
		a cement pad to	contain spills.				
ن		Instruction: Emp	oloyee training in	cludes hazardous waste identifica	ntion.		

	Category 2:	Internal testimonial: Discussion with auditee about scheduling system in place for dumpster inspections. Direct observation: 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. None		
	Category 1:	None		
d. <u>Certi</u>	ification Prerequ	<u>isite</u>	e. Prerequisite Rationale	
None			N/A	
f. Additional Explanation Required				
None				

12.11.3 Hazardous Materials - Hazardous Material Storage and Replacement

		radad materiale	, iiazaia	ous material otor	ugo ui	ia itopiacomoni
a. Man	datory to compl	ete? Ye	S	b. Audit priority		High
	Category 4:	Internal testimonial:	: Discussion v	vith auditee about how o	ften leg	al requirements are
	reviewed and the review process for less hazardous alternatives to all materials.					
		Log: Inventory kept	of hazardous	materials.		
		Direct observation:	Hazardous m	aterials are stored under	cover, i	n secondary
		containment, and av	way from sto	rm drains.		
	Category 3:	Internal testimonial:	: Discussion v	vith auditee about how o	ften leg	al requirements are
(0)		reviewed and the pr	riority given t	o green chemistry alterna	atives.	
ints		Log: Inventory kept	of hazardous	materials.		
Evidence Requirements		Direct observation:	Hazardous m	aterials are stored away	from dra	ains.
ire	Category 2:	Internal testimonial:	: Discussion v	vith auditee about the an	nount of	f hazardous materials
a a		and discussion abou	it research to	replace hazardous mate	rial and	discussion about how
R S		often legal requirem	nents are revi	ewed.		
nce		Miscellaneous busin	ness records:	Receipts of purchased ha	azardou	s materials.
ide		Direct observation:	Hazardous m	aterials are stored away	from dra	ains.
질	Category 1:	Internal Testimonial	: Discussion \	with auditee about the ar	nount o	f hazardous materials.
ن		Miscellaneous busin	ness records:	Receipts of purchased ha	azardou	s materials.
d. Certification Prerequisite				equisite Rationale		
				Significant environmental impact and Potential risk/liability to		
higher f	higher for subsequent years the company					·
	ional Explanatio		•	-		
None						

12.11.4 Hazardous Materials - Hazardous Waste Disposal

	1211111 Hazardodo Matoriaio Hazardodo Maoto Biopocai							
a. Man	datory to compl	<u>ete</u> ?	Yes	b. Audit priority	High			
	Category 4:	Internal testimo	Internal testimonial: Discussion with auditee about how the waste hauler manifests or					
		receipts are rev	ewed for cost of	disposal, and discussion abou	ut what actions were taken			
		to reduce hazar	dous materials us	sed in operations.				
νı .		Log: With last 3	years of waste ha	auler manifests or receipts.				
Requirements		Direct observati	<u>on</u> : Hazardous m	aterials are separated and sto	ored in centralized location			
E E		aware from stor	m drains and we	ll heads, recyclable hazardou	s wastes were stored to			
jir		facilitate recycli	ng, and haz wasto	e storage area had secondary	containment and was			
edi		covered.			ļ			
		Instruction: Emp	oloyees are traine	ed in hazardous waste handlir	ng and disposal.			
Evidence	Category 3:	Log: With last 3 years of waste hauler manifests or receipts.						
jd k		<u>Direct observation</u> : Hazardous materials are separated and stored in centralized location						
回		aware from storm drains and well heads, recyclable hazardous wastes were stored to						
ن		facilitate recycli	ng, and haz wasto	e storage area had secondary	containment.			

	Category 2:	Log: 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:	Log: With last 3 years of waste hauler manifests or receipts.			
d. Certi	fication Prerequi	<u>isite</u>	e. Prerequisite Rationale		
None			N/A		
f. Addit	f. Additional Explanation Required				
None	None				

12.11.5 Paint & Paint Thinners

a. Man	datory to compl	ete?	Yes	b. Audit priority	High
	Category 4:	Internal testimo	nial: Discussio	n with auditee about paint a	and thinner purchased only in
		needed quantities, and discussion about preferential use of low-VOC paints.			
		Log: Log showing total volume of paint and thinners.			
		Direct observati	on: Paints and	thinners are stored in a cen	tralized location. In addition,
		used paint containers were allowed to dry out before being disposed of in solid waste			
				do not require painting (wh	•
				: Receipts showing paints ar	nd thinners are purchased in
		minimum quant			
		·	•	ned in hazardous waste har	
	Category 3:	1		•	and thinner purchased only in
		-		ion about preferential use of	of low-VOC paints.
		Log: 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			
		T =	ainers were all	owed to dry out before bein	ig disposed of in solid waste
		container.		. D !k ! !k	
				: Receipts snowing paints ar	nd thinners are purchased in
		minimum quant		nod in hazardous waste har	adling and disposal
-	Category 2:	Instruction: Employees are trained in hazardous waste handling and disposal.			
Evidence Requirements	Category 2.	Internal testimonial: Discussion with auditee about paint and thinner purchased only in needed quantities, and discussion about methods to dispose of paints, thinners, paint			
me		waste. In addition, discussion with auditee describing process to settle pain solids.			
ire		Direct observation: Paints and thinners are stored in a centralized location. In addition,			
nba		used paint conta	 ainers and thin	ner are placed in a single co	ntainer and disposed as
Re		hazardous waste.			
uce		Miscellaneous business record: Receipts showing paints and thinners are purchased in			
ide		minimum quantities.			
	Category 1:	Internal testimo	<u>nial</u> : Explanati	on from auditee about paint	t and thinner purchased only in
ပ	needed quantities.				
d. Certif	ication Prerequ	<u>isite</u>	e. Pr	erequisite Rationale	
None			N/A		
f. <u>Additi</u>	onal Explanatio	n Required			
None					

12.11.6 Aerosol Cans

a. Mandatory to	No, N/A allowed if aerosol cans are not	b. Audit priority	High
complete?	used		

	Category 4:	appropriate). Non-empt separated for disposal in disposed in recycling con Internal testimonial: Discompressed air dispense substances used.	lable compressed air dispensers or pump dispensers are used (if y aerosol cans containing toxic or combustible substances are nhaz waste containers. Furthermore, empty aerosol cans are ntainers or appropriate waste containers. cussion with auditee about use or appropriateness of refillable ers or pump dispensers. Discussion with auditee about alternative are trained to segregate aerosol cans appropriately.		
Category 3: Direct observation: Refillable compressed air dispensers or pump dispensers a appropriate). Non-empty aerosol cans containing toxic or combustible substant separated for disposal in haz waste containers. Furthermore, empty aerosol can disposed in recycling containers or appropriate waste containers. Internal testimonial: Discussion with auditee about use or appropriateness of compressed air dispensers or pump dispensers. Category 2: Direct observation: Non-empty aerosol cans containing toxic or combustible substant appropriate waste containers. Category 3: Direct observation: Non-empty aerosol cans containing toxic or combustible substant appropriate waste containers. Category 3: Category 4: None					
idence R	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.			
ر <u>5</u>	Category 1:	None			
	fication Prerequ	<u>isite</u>	e. <u>Prerequisite Rationale</u>		
None					
f. Addit	f. Additional Explanation Required				
Explain	Explain in Notes why N/A				

12.11.7 Protection of Storm Water and Process Wastewater

a. Man	datory to comple	ete?	Yes	b. Audit priority	High		
	Category 4:	Direct observati	on: Hazardous m	aterials and waste are stored awa	y from storm drains		
			_	e outside berms. Furthermore, m			
		tools (excluding hand tools) were cleaned in an area that drained process water to a					
		appropriate disposal site. In addition, all liquid hazardous materials and waste are					
			lary containment				
		•		with auditee about regular inspec	_		
				d wastes. Also, discussion with au			
				eloped for process wastewater th			
		•	•	ne training of staff in spill preventi	ion, containment, and		
		clean-up procedures.					
		· · · · · · · · · · · · · · · · · · ·	ition of regular in	nspections of liquid hazardous mat	terials and waste		
	0 1 2	storage areas.			· · · · · · ·		
	Category 3:			aterials and waste are stored awa	•		
t				and tools (excluding hand tools) w			
Jen				appropriate disposal site. In add			
l e				re stored in secondary containme with auditee about what best mar			
in				tewater that includes storm water			
Rec	Category 2:			laterials and waste are stored awa			
9	Category 2.				•		
that drained process water to an appropriate disposal site. In addition, all li hazardous materials and waste are stored in secondary containment. Internal Testimonial: Discussion with auditee about what best management were developed for process wastewater that includes storm water protection: Category 2: Direct observation: Hazardous materials and waste are stored away from stored for process water to an appropriate disposal site. Category 1: None					rere cicarica ili ali area		
E	Category 1:						
ن	- Catcgo, y 1.	. tone					
d. <u>Certi</u>	fication Prerequi	<u>site</u>	e. <u>Prer</u> e	equisite Rationale			
None			N/A				

f. <u>Additional Explanation Required</u> None

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

a. Mandatory to		No, select N/A if there w	ere no	b. Audit priority Medium				
<u>complete</u> ? ASTs or Portable Tank								
	Category 4:	Internal Testimonial: 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. Log: Verify that fuel amounts were recorded and tracked. Direct Observation: 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.						
ments	Category 3:	fuel area was inspected installed, inspected, and employees were trained Log: Verify that fuel amo	regularly recorde in fuel h ounts we fy that sp	that locations and sizes of fuel tar , and a positive shut-off nozzle ald d (if applicable) for leaks and dam andling, spill prevention, control, re recorded and tracked. pill clean-up supplies were easily a igns about fueling safety procedu	ong with hoses were nage. Verify that and clean-up.			
Evidence Requirements	Category 2:	Internal Testimonial: 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. Log: Verify that fuel amounts were recorded. Direct Observation: Verify that spill clean-up supplies were easily accessible.						
ن <u>[</u>	Category 1:	Internal Testimonial: Discussion that locations of fuel tanks were known. Direct Observation: Verify that spill clean-up supplies were easily accessible.						
d. Certi	d. Certification Prerequisite			e. Prerequisite Rationale				
None	None			N/A				
f. Addit	f. Additional Explanation Required							
Explain	Explain in Notes why N/A							

12.11.9 Winery Sanitation Supplies

a. <u>M</u> an	datory to compl	te?	Yes	b.	Audit priority	Medium			
	Category 4:	Inte	rnal Testimonial: Discussion that sanitat	ion s	supplies were cons	sidered a potential			
		sour	rce of hazardous or toxic materials, prod	luct l	abels were read b	efore purchase or use,			
		that	two or more priority materials were rep	olace	ed with green cher	mistry or non-			
			ardous products from a baseline. Also, d			• • • • • • • • • • • • • • • • • • • •			
νı		was	part of employee training and an eleme	nt o	f a comprehensive	e Pollution Prevention			
ent		Prog	gram, and that customer service number	's we	ere used to get inf	ormation on			
Requirements		pote	entially hazardous ingredients.						
Li.	Category 3:	<u>Inte</u>	rnal Testimonial: Discussion that sanitat	ion s	supplies were cons	sidered a potential			
ed			rce of hazardous or toxic materials, that						
			which priority materials were researched			alternatives, and that			
Evidence		han	dling of sanitation supplies was part of e	mple	oyee training.				
\ id	Category 2:	Internal Testimonial: Discussion that sanitation supplies were considered a potential							
ú		sour	rce of hazardous or toxic materials, that	proc	duct labels were re	ead before purchase or			
ن		use,	and which research was done into low	or no	on-toxic products.				

	Category 1:	Internal Testimonial: 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. <u>Certi</u>	d. Certification Prerequisite		e. Prerequisite Rationale			
None			N/A			
f. Addit	f. Additional Explanation Required					
None	None					

12.12 SOLID WASTE REDUCTION AND MANAGEMENT

12.12.1 Planning, Monitoring, Goals and Results

	12.12.1 Flamming, Mornitorning, Goals and Results							
a. Man	datory to compl	ete?	Yes	b. Audit priority	High			
	Category 4:	Analysis Records	s: Verify that the	winery conducted a solid waste	audit within the last 5			
		years, and that r	esults were use	d to make decisions on procurem	ent, inventory			
		procedures, production, packaging, and employee training. Also, verify that the total						
		solid waste gene	eration and the p	percentage of waste recycled was	monitored, recorded,			
		and shared with	employees.					
		Internal Testimo	nial: Verify that	yearly goals were set for overall	solid waste reduction			
				nat information on reducing, reus				
			•	l employees and available in Spar				
	Category 3:	·		winery conducted a solid waste				
	, , ,		-	d to make decisions on procurem				
				ng, and employee training. Also,				
		•		percentage of waste recycled was	•			
		recorded.						
			nial: Verify that	yearly goals were set for overall	solid waste reduction			
ıts		1		nat information on reducing, reus				
ner		waste was easily	•	<u> </u>	mg, and recycling some			
i e	Category 2:	·		winery conducted a solid waste	audit within the last 5			
in	Category 2.	years.	s. verify that the	willery conducted a solid waste	addit within the last 5			
Re		,	nial: Verify that	the amount of total solid waste g	renerated was			
S				and that information on reducing				
len				to all employees.	g, reusing, and recycling			
Evidence Requirements	Category 1:		•	the winery did not track the tota	I salid wasta ganaratad			
ن	Category 1:			•	i solid waste generated			
	per year, but some waste was diverted from fanding.							
	d. <u>Certification Prerequisite</u>			equisite Rationale				
1		Cat 1; Cat 2 or high	er in Signific	cant environmental <i>and</i> economi	c impact			
ongoing	•							
f. <u>Addit</u>	ional Explanatio	n Required						
None	None							

12.12.2 Pomace and Lees

a. Mar	ndatory to comp	lete?	Yes	b. Audit priority	Medium				
	Category 4: Internal Testimonial: Discussion with auditee about the "high value" of pomace and lees								
		Direct Observati	<u>Direct Observation</u> : Material is composted on-site for direct application and/or at least						
		one by product h	nas been recove	ered with a selected technology.					
		Internal Testimo	nial: Discuss tha	at a detailed market assessment w	as conducted to				
		identify byprodu	cts from pomad	ce and lees (if pomace and lees not	considered "high				
		value" already).							
	Category 3:	Internal Testimo	nial: Discussion	about the "medium value" of pon	nace and lees.				
		Miscellaneous B	usiness Records	:: Invoices from hauling of pomace	and lees offsite and				
		delivering compo	ost in the spring	(if material not composted on-sit	e).				
		Direct Observati	<u>on</u> : Material is o	composted on-site for direct applic	ation (if not hauled off				
		site).							
		Internal Testimo	<u>nial:</u> Discussion	with auditee that a research and/	or a waste assessment				
N)		was conducted t	o identify techr	ologies for extracting value-added	I material from pomace				
ent		and lees.							
E	Category 2:	Internal Testimo	<u>nial</u> : Discussion	with auditee about the "low value	e" of pomace and lees.				
l i				itee about process to work pomace	e and lees into the soil				
Sed		(if not hauled off	site).						
9		Miscellaneous B	<u>usiness Records</u>	:: Invoices from hauling of pomace	and lees offsite for				
Evidence Requirements		other agricultura	I operations (if	not used onsite).					
) ją	Category 1:	<u>Internal Testimo</u>	<u>nial</u> : Verify that	pomace and lees were considered	l valueless, and it was				
		stored on-site for later off-site disposal, or the material was hauled off-site immediately							
ن	after crush.								
d. <u>Certification Prerequisite</u> e. <u>Prerequisite Rationale</u>									
None	None N/A								
f. <u>Addi</u>	f. Additional Explanation Required								
None	None								

12.12.3 Diatomaceous Earth (DE)

12.12.5 Diatomaceous Lartii (DL)								
a. Mar	ndatory to	No, select N/A if the winery	b. Audit priority	Medium				
comple	ete?	does not use DE						
Category 4: Log: Log showing the amount of DE used yearly. Internal Testimonial: Discussion with auditee about implementing a technology f 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 tra employees in DE handling and loading.								
Requirements	Category 3:	auditee about researching alte are incorporated into compost	t the amount of DE used was known at the convey operations. Also, discuss which ere investigated, or that a facility as visited.	ing, and that DE cakes alternative materials and				
Evidence	Category 2:		n with auditee about estimated applied to vineyards and/or lands	· · · · · · · · · · · · · · · · · · ·				
c. <u>Evi</u>	Category 1:	·	Internal Testimonial: Verify the amount of DE used by the winery was not known, and that DE cakes were thrown in the trash as waste.					
d. Certification Prerequisite			e. Prerequisite Rationale					
None N/A								
f. Addit	f. Additional Explanation Required							
Explain in Notes why N/A								

12.12.4 Plate and Frame Filters

a. Man	a. Mandatory to No, select N/A if		ıd	b. Audit priority	Medium				
comple	<u>te</u> ?	frame filters were not us	ed						
	Category 4:	Internal Testimonial: Disc	Internal Testimonial: Discussion with auditee about researching alternatives to plate and						
		frame filter disposal. In a	ddition,	one facility implementing alte	native plate and frame				
		filter disposal has been c	ontacted	l or visited.					
		Internal Testimonial: Disc	cussion v	vith auditee about using frame	s and filters as soil				
		amendments and weed s	suppress	ors (if one facility implementin	g alternative plate and				
(0)		frame filter disposal was	not cont	acted or visited).					
Evidence Requirements	Category 3:	Internal Testimonial: Disc	cussion v	vith auditee about researching	alternatives to plate and				
E E		frame filter disposal. In a	ddition,	one facility implementing alte	native plate and frame				
lire		filter disposal has been c	ontacted	l. Furthermore, explanation fro	om auditee about disposal				
edi		of plate and frame filters	in solid	waste containers.					
2	Category 2:	Internal Testimonial: Disc	cussion v	vith auditee about researching	alternatives to plate and				
) L		frame filter disposal. In a	ddition,	explanation from auditee abou	ıt disposal of plate and				
jg		frame filters in solid wast	te contai	ners.					
	Category 1:	Internal Testimonial: Ver	rify that	plate and frame filters were di	sposed of in a solid waste				
ن		container.							
d. Certification Prerequisite			e. Prerequisite Rationale						
None N/A									
f. Addit	f. Additional Explanation Required								
Explain	Explain in Notes why N/A								

12.12.5 Cooperage

	a. Mandatory to No, select N/A if no barrels b. Audit priority Medium							
		were used	CIS	b. Addit priority	Wiediaiii			
comple	·		C 1					
	Category 4:	_		led barrels, including date and ar				
		addition, the percentage of barrels that were made from sustainably harvested wood is						
		recorded.						
		Miscellaneous Business Records: Invoices of sold or recycled barrels (-OR- if they are						
		donated to schools or co	mmunity	y).				
ισi	Category 3:	Internal testimonial: Des	cription	from auditee about formal proce	ess to track oak barrels,			
l it		and how they were track	ked by th	eir history. In addition, the perce	entage of barrels that			
E E		were made from sustaina	ably harv	vested wood is known.				
ire		Miscellaneous Business F	Records:	Invoices of sold or recycled barre	els.			
Evidence Requirements	Category 2:	Internal Testimonial: Des	scription	from auditee about informal pro	cess to track oak			
8		barrels. In addition, what	t inquirie	es the auditee has made to deter	mine if the barrels were			
Ü		sustainably harvested.						
ide		Miscellaneous Business F	Records:	Invoices of sold or recycled barre	els.			
Ā	Category 1:	Internal Testimonial: Ver	ify that t	there was no system for tracking	the history of oak			
ن		barrels.						
d. Certification Prerequisite			e. Prerequisite Rationale					
None	None N/A							
f. Addit	f. Additional Explanation Required							
Explain	Explain in Notes why N/A							

12.12.6 Glass

a. <u>Man</u>	datory to compl	ete?	Yes	b. Audit priority	Low				
	Category 4:	Internal Testimo	<u>nial</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	were evaluated to reduce bottling waste.						
		_		n glass is separated into recyclable	•				
		glass (Pyrex), an	d all recycl	able glass is placed in recycling co	ntainers in a designated				
NI NI		location. In add	ition, non-	recyclable lab glass is disposed in	a solid waste container.				
ent	Category 3:			that bottle breakage rates were	-				
Ĕ		discuss opportu	nities that	were evaluated to reduce bottling	waste.				
l ii		Direct Observati	<u>on</u> : Broker	n glass is separated into recyclable	glass and non-recyclable lab				
edi		glass (Pyrex), an	d all recycl	able glass is placed in recycling co	ntainers in a designated				
e R		location. In add	ition, non-	recyclable lab glass is disposed in	a solid waste container.				
Evidence Requirements	Category 2:			n glass is separated into recyclable	-				
\ id				non-recyclable lab glass is dispose					
	Category 1:	Internal Testimo	<u>nial</u> : Verify	y that all glass was disposed of in a	ı solid waste container.				
ن									
d. <u>Certification Prerequisite</u>				e. <u>Prerequisite Rationale</u>					
None	None N/A								
f. <u>Addit</u>	f. Additional Explanation Required								
None	None								

12.12.7 Cardboard

a. Mandatory to complete? Yes			Yes	b. Audit priority	High				
	Category 4:	Internal Testimonial: Verify that the amount of recycled cardboard was known, tracked,							
		and used to dete	and used to determine the financial, storage, and volume considerations of alternative						
	coming to the winery								
		were known, and one supplier agreed to reduce their cardboard use or take back							
		recycled cardboa	rd.						
νı		<u>Direct Observation</u>	on: Cardboard is	recycled in a designated recycling	g container.				
Evidence Requirements	Category 3:	Internal Testimor	<u>nial</u> : Verify that t	the amount of recycled cardboard	d was known. Also,				
Ē		verify that major	sources of cardl	board coming to the winery were	known and contacted				
l ii		about their cardb	ooard use.						
ed		<u>Direct Observation</u>	on: Cardboard is	recycled in a designated recycling	g container.				
9	Category 2:	Internal Testimor	<u>nial</u> : Verify that t	the amount of recycled cardboard	d was estimated.				
l o		<u>Direct Observation</u>	on: Cardboard is	recycled in a designated recycling	g container				
Vid Vid	Category 1:	Internal Testimor	<u>nial</u> : Verify that a	all cardboard was disposed of in a	solid waste container,				
•		and the amount	was unknown.						
ن		Action Plan: Veri	fy action plan fo	r first year self-assessments.					
d. <u>Certi</u>	fication Prerequi	<u>isite</u>	e. <u>Prere</u>	equisite Rationale					
	•	ategory 1 and Cate	egory Significa	ant environmental impact					
2 or hig	2 or higher in subsequent years*								
f. <u>Addit</u>	<u>ional Explanatio</u>	n Required							
None	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. Man	datory to compl	ete?	Yes	b. Audit priority	Medium			
	Category 4:	Internal Testimo	nial: 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 im	for paper was implemented, or that paper towels and other soiled paper were					
νı .		composted.	composted.					
l li		<u>Direct Observati</u>	on: Paper is recy	cled in a designated recycling con	tainer, and soiled			
E E		paper was comp	osted.					
Evidence Requirements	Category 3:	Internal Testimo	nial: Verify that	the amount of recycled paper was	known, and paper			
edi		reduction praction	ces were in place	2 .				
8 2		<u>Direct Observati</u>	on: Paper is recy	cled in a designated recycling con	tainer.			
) i	Category 2:	Internal Testimo	nial: Verify that	the amount of recycled paper was	s estimated.			
/ide		<u>Direct Observati</u>	on: Paper is recy	cled in a designated recycling con	tainer.			
1	Category 1:	Internal Testimo	nial: Verify that	all paper was disposed of in a soli	d waste container, and			
ن		the amount was	unknown.					
d. Certification Prerequisite			e. <u>Prer</u>	equisite Rationale				
None N/A								
f. <u>Addit</u>	f. Additional Explanation Required							
None	None							

12.12.9 Plastic

a. <u>M</u> an	datory to compl	ete?	Yes	b.	Audit priority		Medium	
	Category 4:	Internal Testimo	<u>nial</u> : Veri	fy that the a	mount of recyc	cled plastic wa	s 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 recycle	ed plastic					
		Written Docume	ent/Plan: `	Verify that t	ne winery cont	racted with at	least one vendor	
NI NI		specializing in pl	astic recy	cling or reus	e (if possible).			
l i		<u>Direct Observati</u>	<u>on</u> : Plasti	c is recycled	in a designate	d recycling cor	ntainer.	
l iii	Category 3:	Internal Testimo	<u>nial</u> : Veri	fy that the a	mount of recyc	cled plastic wa	s known, that major	
Jire		sources of plasti	c coming	to the winer	y were known	, and that ven	dors who specialize in	
edi		plastic recycling	were inve	estigated.				
8 2		<u>Direct Observati</u>	on: Plasti	c is recycled	in a designate	d recycling cor	ntainer.	
Evidence Requirements	Category 2:	Internal Testimo	<u>nial</u> : Veri	fy that plasti	c was disposed	d of in a solid v	vaste container, and	
/ide		the amount was	estimate	d.				
1	Category 1:	Internal Testimo	<u>nial</u> : Veri	fy that plasti	c was disposed	d of in a solid v	vaste container, and	
ن		the amount was	unknowr	٦.				
d. Certification Prerequisite				e. Prerequisite Rationale				
None	None N/A							
f. Addit	f. Additional Explanation Required							
None	None							

12.12.10 Packaging (Incoming and Outgoing)

a. <u>Mar</u>	ndatory to comp	<u>lete</u> ?	Yes	b. Audit priority	Medium	
<u></u>	Category 4:	Internal Testimo used whenever recycled was known. Also, ve recycled packagi Written Docume specializing in re Direct Observati recycling contain	nial: Discustonial: Discustonial: Discustonial processible for the	r shipping. In addition, confirm the nat major sources of packaging corner supplier agreed to reduce their perify that the winery contracted wi	packaging materials were amount of packaging ning to the winery were backaging use or take back of the at least one vendor direcycled in designated	
<u>ents</u>	Category 3:	Internal Testimonial: 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. Direct Observation: Confirm that packaging was separated and recycled in designated recycling containers, or that the contract shipper only used recyclable packaging materials.				
Evidence Requirements	Category 2:	Internal Testimonial: 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.				
Category 1: Internal Testimonial: Confirm that packaging was disposed of in a solid wast and the amount was unknown, or that packaging material used by a contract unknown.					-	
d. <u>Cert</u>	ification Prerequ	<u>uisite</u>	e.	. <u>Prerequisite Rationale</u>		
None				/A		
f. Addi	tional Explanation	on Required				
None						

12.12.11 Metals

a. Man	a. Mandatory to complete?		Yes	b. Audit priority	High		
	Category 4:	Internal Testimo	nial: Confirm tha	it employee training included info	rmation in Spanish (if		
		appropriate) on	metals recycling	and that no metals were disposed	d of in solid waste		
		containers.					
		<u>Direct Observation:</u> Confirm that metals were separated from the waste stream for reuse					
		or recycling, and	I that recycling co	ontainers were placed close to po	ints of material		
(A)		generation and discard for ease of reuse or recycling.					
equirements	Category 3:	Internal Testimonial: Confirm that employee training included information on metals					
l E		recycling, and only small pieces of metal were disposed of in solid waste containers.					
ire		Direct Observati	on: Confirm that	metals were separated from the	waste stream for reuse		
ba		or recycling, and that recycling containers were placed close to points of material					
~		generation and discard for ease of reuse or recycling.					
Evidence	Category 2:	<u>Direct Observation:</u> Confirm that metals were separated from the waste stream for reuse					
ide		or recycling.					
回	Category 1:	Internal Testimonial: Confirm that all metals were disposed of in a solid waste container.					
ن		Action Plan: Ver	ify action plan fo	r first year self-assessments.			

d. <u>Certification Prerequisite</u>	e. <u>Prerequisite Rationale</u>
Action Plan required if Category 1 and Category	Significant environmental impact
2 or higher in subsequent years*	
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. Man	a. Mandatory to complete? Yes			b. Audit priority	Medium		
	Category 4:	containers were m	nade available i	ork is separated out of the solid w n tasting rooms and bottling roor n and Spanish (if applicable). In ad	ns (if applicable) to		
		disposed of in solid waste containers. Internal Testimonial: Discussion with auditee about which alternative to cork disposal was selected and implemented, and that employee training included information on cork recycling or composting.					
ments	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. Internal Testimonial: Discussion with auditee about selected alternative to cork disposal.					
Evidence Requirements	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.					
C. <u>E</u>	Category 1:	: <u>Internal Testimonial</u> : Confirm that all cork was disposed of in a solid waste container.					
	fication Prerequi	<u>site</u>		equisite Rationale			
	None N/A						
None	f. <u>Additional Explanation Required</u> None						

12.12.13 Pallets, Wood Packaging, Bins, etc.

	1=11=110 1 amoto, 1100 a. 1 aonagg, =					
a. Man	a. Mandatory to complete?		Yes	b. Audit priority	Medium	
c. <u>Evidence</u> Requirements	Category 4:	Direct Observation vendor pickup. I Also, verify that room about pall Internal Testimo possible. Also, con pallets for reuse	on: Verify that un n addition, no rei signs (bilingual if et reuse and recy onial: Verify that a confirm that eithe , or unused palle	nused pallets and/or bins were stamaining pallets were disposed in a pplicable) were posted in the sh	acked and stored for solid waste containers. hipping and receiving dire-used when die to take back their hass waste-to-energy	

Cate	gory 3:	Direct Observation: Veri	fy that unused pallets and/or bins were stacked and stored for				
Cate	gury 3.						
		vendor pickup. In addition, no remaining pallets were disposed in solid waste containers.					
		Internal Testimonial: Verify that all broken pallets are repaired and re-used when					
			hat either one major pallet supplier agreed to take back their				
		pallets for reuse, or unus	sed pallets were recycled or sent to a biomass waste-to-energy				
		system. In addition, veri	ify that employee training included information on pallet reuse				
		and recycling.					
Cate	gory 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.					
		Internal Testimonial: Ver	rify that some broken pallets were repaired and reused when				
		possible, and that the m	ajor sources of pallets coming to the winery were known.				
Cate	gory 1:	Internal Testimonial: Cor	nfirm that all broken pallets or bins were disposed of in a solid				
		waste container.					
d. Certification Prerequisite			e. <u>Prerequisite Rationale</u>				
None			N/A				
f. Additional	f. Additional Explanation Required						
None							

12.12.14 Capsules

	12.12.14 Capsules					
a. Man	datory to	No, select N/A if no caps	sules	b. Audit priority	High	
comple	<u>te</u> ?	were used				
	Category 4:	Direct Observation: Verif	fy that ca	psules were separated out of the	e solid waste stream	
		and all aluminum and tir	n capsule	s were recycled. Also, verify that	t containers were made	
		available in tasting room	s and bo	ttling rooms (if applicable) with s	signs in English and	
		Spanish (if applicable) ab	out caps	sule recycling. In addition, verify	that no capsules were	
disposed of in solid waste containers.						
Internal Testimonial: Discussion with auditee that employee training included						
		information on capsule r	ecycling,	and at least one vendor was cor	ntacted to take back	
capsules, plastic trays, or shipping material.						
	Category 3: Internal Testimonial: 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 specia						
(0)		in capsule recycling were			·	
l ts			_	recycling containers were made	available in tasting	
m m				nat very few capsules were dispo		
Evidence Requirements		containers.		,		
edr	Category 2:	Internal Testimonial: Ver	rify that a	all aluminum and tin capsules we	re separated out of the	
2			-	and all other capsules were disp	•	
ויי		container.	•	·		
ide	Category 1:	Internal Testimonial: Cor	nfirm tha	t all capsules were disposed of ir	n a solid waste	
짋		container.		·		
Action Plan: Verify action plan for first year self-assessments.						
d. Certi	d. Certification Prerequisite			equisite Rationale		
Action Plan required if Category 1 and Category				ant environmental impact		
2 or higher in subsequent years*						
	f. Additional Explanation Required					
<u> </u>	Evolain in Notes why N/A					

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

а. <u>М</u> а	a. Mandatory to complete? Yes			b. Audit priority	High			
	Category 4:	Internal Testimo	nial: Discuss tha	t some landscape residuals were	chipped and then			
		composted, and	that no landscap	e residuals were disposed of in se	olid waste containers.			
		Direct Observati	on: Verify that so	ome landscape residuals were chi	pped first, and then			
		were left on the ground.						
νı	Category 3:	Internal Testimo	<u>Internal Testimonial</u> : Discuss that some landscape residuals were composted, and that no					
ent		landscape residu	landscape residuals were disposed of in solid waste containers.					
l ŭ		<u>Direct Observation</u> : Verify that some landscape residuals were chipped first, and then						
nire		were left on the ground.						
Evidence Requirements	Category 2:	<u>Internal Testimonial</u> : Discuss that some landscape residuals were picked up for off-site						
e R		composting or w	vere composted	onsite. Also, verify that some we	e left on the ground.			
Suc		<u>Direct Observati</u>	on: Verify that so	ome landscape residuals were left	on the ground.			
/ide	Category 1:	Internal Testimo	<u>nial</u> : Confirm tha	nt all landscape residuals were dis	posed of in a solid			
		waste container	•					
ن		Action Plan: Ver	ify action plan fo	r first year self-assessments.				
d. <u>Cer</u>	d. Certification Prerequisite			equisite Rationale				
Action	Action Plan required if Category 1 and Category			ant environmental impact				
2 or h	2 or higher in subsequent years							
f. Add	f. Additional Explanation Required							
None	None							

12.12.16 Food Waste

	12.12.16 FOOD Waste					
a. Man	datory to comp	<u>lete</u> ?	Yes	b. Audit priority	Medium	
	Category 4:	that all solid was that reduce, reu part of employe	ste and recyclal se, and recycle e training, and	nat there is a designated worker roles were placed in appropriate coinformation was easily accessible available in Spanish (if applicable) at all food waste and utensils were	ontainers. Also, verify to all employees and l.	
		solid waste stream for composting or recycling. Also, verify that utensils and plates we made of recycled content (or dishwasher safe), or that reusable, biodegradable, or compostable utensils were used.				
ements	Category 3: Internal Testimonial: Confirm that there is a designated worker responsible to that all solid waste and recyclables were placed in appropriate containers. Als that reduce, reuse, and recycle information was easily accessible to all employ part of employee training. Direct Observation: Confirm that all food waste and utensils were separated or solid waste stream for composting or recycling. Also, verify that utensils and not all the solid waste stream for composting or recycling.				e to all employees and e separated out of the utensils and plates were	
Evidence Requirements	Category 2: Internal Testimonial: 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.					
c. Evide	Category 1:	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>Ce</u> rti	d. Certification Prerequisite			requisite Rationale		
None						
f. Addit	ional Explanation	on Required	<u> </u>			
None						

12.13 ENVIRONMENTALLY PREFERRED PURCHASING

12.13.1 Planning, Monitoring, Goals and Results

ete? Yes		l		
:te:		b. Audit priority	High	
Internal Testimonial: C	Confirm wit	th the auditee that purchasing de	cisions were based on	
defined supplier criter	ia that incl	uded environmental attributes, a	nd that environmental	
considerations were in	ncluded in i	most purchasing decisions. Also,	confirm that	
alternative materials a	ind enviror	nmental attributes for products w	ere considered for	
purchasing decisions.	In addition	n, verify that goals were establish	ed and reviewed	
annually to increase th	ne purchase	e of environmentally preferable p	products, and suppliers	
and outside service providers were evaluated against comprehensive criteria.				
<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.				
Category 3: Internal Testimonial: Confirm with the auditee that purchasing decisions were based on				
defined supplier criter	ia that incl	uded environmental attributes, a	nd 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 fo	r purchasir	ng decisions. In addition, verify th	nat goals were	
established to increase	e the purch	nase of environmentally preferab	le products.	
	-		· · · · · · · · · · · · · · · · · · ·	
			cisions were based on	
		·		
			-	
mainly on cost, and that the vineyard and/or winery had an informal purchasing policy.				
•		•		
2 or higher in subsequent years				
f. Additional Explanation Required				
None				
	Internal Testimonial: Of defined supplier criter considerations were in alternative materials as purchasing decisions. annually to increase the and outside service propriect Observation: Verpolicy that included spowner/manager. Internal Testimonial: Of defined supplier criter considerations were in was done into alternations was done into alternations was considered for established to increase Direct Observation: Verpolicy that included spolicy that included spolicy that included spolicy, that environmentals of the considerations which results and the confirm which results are confirmed and the confirmed	Internal Testimonial: Confirm wirdefined supplier criteria that incleonsiderations were included in alternative materials and environ purchasing decisions. In additionannually to increase the purchas and outside service providers were Direct Observation: Verify that the policy that included specific environmental Testimonial: Confirm wirdefined supplier criteria that incleonsiderations were included in was done into alternative materiathis was considered for purchasine established to increase the purch Direct Observation: Verify that the policy that included specific environmental considerations which research was Internal Testimonial: Confirm wirdefined supplier criteria, that the policy, that environmental considerations which research was Internal Testimonial: Confirm wirdefined supplier criteria, that the policy, that environmental considerations which research was Internal Testimonial: Confirm wirdefined Supplier criteria, that the vine Action Plan: Verify action plan for Site en Premeditations in the Premeditation of the Premeditations in the Premeditation of the Premeditations in the Premeditation of the Premeditation	Internal Testimonial: Confirm with the auditee that purchasing de defined supplier criteria that included environmental attributes, a considerations were included in most purchasing decisions. Also, alternative materials and environmental attributes for products we purchasing decisions. In addition, verify that goals were establish annually to increase the purchase of environmentally preferable pand outside service providers were evaluated against comprehensed Direct Observation: Verify that the vineyard and/or winery had a policy that included specific environmental standards and was appowner/manager. Internal Testimonial: Confirm with the auditee that purchasing decisions were included in most purchasing decisions. Also, was done into alternative materials and environmental attributes this was considered for purchasing decisions. In addition, verify the established to increase the purchase of environmentally preferab Direct Observation: Verify that the vineyard and/or winery had an policy that included specific environmental standards. Internal Testimonial: Confirm with the auditee that purchasing dedefined supplier criteria, that the vineyard and/or winery had an inpolicy, that environmental considerations were included in some Also, confirm which research was done into alternative materials Internal Testimonial: Confirm with the auditee that purchasing demainly on cost, and that the vineyard and/or winery had an inform Action Plan: Verify action plan for first year self-assessments. Site e. Prerequisite Rationale Significant environmental impact	

12.13.2 Service Providers

a. Man	datory to	No, select N/A if no service providers were	b. Audit priority	Medium		
comple	<u>te</u> ?	used				
e Requirements	Category 4:	Internal Testimonial: 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.				
c. <u>Evidence</u>	Category 3:	Internal Testimonial: 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.				

	Category 2:	Internal Testimonial: 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:	Internal Testimonial: Confirm with the auditee that quality, dependability, and lowest bid were primary factors in awarding service contracts.			
		were primary ractors in a	awarding service contracts.		
d. <u>Certi</u>	ification Prerequi	<u>site</u>	e. Prerequisite Rationale		
None			N/A		
f. Addit	f. Additional Explanation Required				
Explain	Explain in Notes why N/A				

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

	12.13.5 (13-3 to 13-6) vinleyard and vinlery Products							
a. Man	datory to compl	ete?	Yes	b. Audit priority	Medium			
	Category 4:	Internal Testimo	<u>nial</u> : Confirm wi	th the auditee that quality, deper	ndability, lowest cost,			
		and environmental attributes were primary factors in purchasing the product as par						
		the EPP program	n. Also, verify th	at vendors were asked about and	l evaluated on their			
		products' enviro	nmental attribu	tes, and only those which demon	strated environmental			
		awareness were	given priority (i	f available), or vendors attained v	oluntary industry			
		acknowledgeme	nt, government	al recognition, or third-party certi	ification for their			
		products' enviro	nmental attribu	tes. Verify that most orders for the	his product specified			
		environmental r	equirements. In	addition, confirm that vendors a	nd products were			
		evaluated and re	esults were used	in future contract negotiations.				
	Written Document/Plan: Verify elements of the EPP program.							
	Category 3:	Internal Testimo	nial: Confirm wi	th the auditee that quality, deper	ndability, lowest cost,			
		and environmen	tal attributes we	ere primary factors in purchasing	the product. Also,			
(0)		verify that vendo	ors were asked a	about and evaluated on their proc	ducts' environmental			
uts		attributes, and t	hose which dem	onstrated environmental awaren	ess were considered (if			
me m		available). Discu	ıss how environi	mental attributes of products wer	e evaluated, and verify			
Evidence Requirements		that some order	s for this produc	t specified environmental require	ements.			
ก่อล	Category 2:	Internal Testimo	nial: Confirm wi	th the auditee that quality, deper	ndability, and lowest			
Re		cost were prima	ry factors in pur	chasing the product. Also, verify	that some vendors			
nce		were asked abou	ut their products	s' environmental attributes, and r	equirements for this			
ide		product included	d some environr	nental considerations.				
E	Category 1:	Internal Testimo	nial: Confirm wi	th the auditee that quality, deper	ndability, and lowest			
ပ		cost were primary factors when purchasing the product.						
d. Certification Prerequisite			e. Prer	equisite Rationale				
None	None N/A							
f. Addit	f. Additional Explanation Required							
None								
	none							

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

	12.13.7 (13-7 to 13-13) Willery I Toducts							
a. <u>Man</u>	a. Mandatory to complete? Yes			b. Audit priority	Medium			
	Category 4:	Internal Testimonial: Confirm with the auditee that quality, dependability, lowest cost,						
and environmental attributes were primary factors in purchasing the produc								
		the EPP program	n. Also, verify th	at vendors were asked about and	evaluated on their			
		products' enviro	nmental attribu	tes, and only those which demons	strated environmental			
		awareness were	given priority (i	f available), or vendors attained v	oluntary industry			
		acknowledgeme	nt, government	al recognition, or third-party certi	fication for their			
		products' enviro	nmental attribu	tes. Verify that most orders for th	nis product specified			
		environmental r	equirements. Ir	addition, confirm that vendors a	nd products were			
		evaluated and re	esults were used	I in future contract negotiations.				
		Written Docume	ent/Plan: Verify	elements of the EPP program.				
	Category 3:							
		and environmental attributes were primary factors in purchasing the product. Also,						
(0)		verify that vendo	ors were asked	about and evaluated on their prod	lucts' environmental			
ınts		attributes, and t	hose which den	nonstrated environmental awaren	ess were considered (if			
me l		available). Discu	iss how environ	mental attributes of products wer	e evaluated, and verify			
Evidence Requirements		that some orders for this product specified environmental requirements.						
edr	Category 2:	Internal Testimo	nial: Confirm w	ith the auditee that quality, depen	dability, and lowest			
S.		cost were prima	ry factors in pur	chasing the product. Also, verify t	that some vendors			
nce		were asked abou	ut their product	s' environmental attributes, and re	equirements for this			
ide		product included	d some environi	mental considerations.				
E	Category 1:	Internal Testimonial: Confirm with the auditee that quality, dependability, and lowest						
ن	cost were primary factors when purchasing the product.							
d. Certif	d. Certification Prerequisite			equisite Rationale				
None	None N/A							
f. Addit	f. Additional Explanation Required							
None								

12.13.14 Packaging - From Suppliers

a. Man	datory to compl	ete?	Yes	b. Audit priority	Medium		
	Category 4: Category 3:	Internal Testimo suppliers was a pasked to demonstrate Docume environmental a Internal Testimo suppliers was a pasked to de	orimary consider strate that their ent/Plan: Verify t ttributes be met unial: Confirm wit orimary consider	th the auditee that the amount of ration for purchasing decisions, as packaging materials were environant requirements for these supplies as part of a company-wide EPP part the auditee that the amount of ration for purchasing decisions, as their packaging materials were expenses.	nd all suppliers were nmentally responsible. liers specified all program. f packaging used by and most major suppliers		
Requirements		responsible. Written Docume environmental a		hat requirements for these supp	liers mandated specific		
Evidence Requ	Category 2:	Internal Testimonial: 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.					
c. Evi	Category 1:	Internal Testimonial: Confirm with the auditee that the amount of packaging used by suppliers was not taken into consideration for purchasing decisions.					
d. Certification Prerequisite			e. <u>Prer</u>	equisite Rationale			
None	None N/A						

f. <u>Additional Explanation Required</u> None

12.13.15 Packaging - To Consumers

a. Mandatory to No, select N/A if there was no b. Audit priority Medium							
		direct shipping		<u></u>			
Category 4: Internal Testimonial: Confirm with the auditee that quality, dependability, and cost were primary factors when purchasing packaging. Also, discuss that only so of packaging material who demonstrated environmental awareness and had a track record were considered. In addition, confirm that suppliers were evaluated their products and results were used in future contract negotiations. Verify that requirements for packaging material mandated specific environmental attribute orders specified that most attributes of a company-wide EPP program were methat packaging material from suppliers was reused when possible at the winery							
ments	Category 3:	Internal Testimonial: Corcost were primary factor packaging material were attributes and given preawareness. Verify that renvironmental attribute	nfirm wit rs when p asked a ferential requirem s, and or	h the auditee that quality, depourchasing packaging. Also, dispout and evaluated upon their treatment when they demonsents for packaging material muders specified that some attribute.	pendability, and lowest scuss that suppliers of products' environmental trated environmental andated specific outes were met, and that		
Evidence Requirements	Category 2:	packaging material from suppliers was reused when possible at the winery. Internal Testimonial: 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.					
ر <u>آھ</u>	Category 1:						
d. <u>Certi</u>	d. Certification Prerequisite			equisite Rationale			
Action Plan required if Category 1; Category 2 or			Environ	mental impact and stakeholde	er concern		
higher f	higher for subsequent year						
	f. Additional Explanation Required						
Explain	in Notes why N/	A					

12.14 HUMAN RESOURCES (HR)

12.14.1 HR Planning and Goals

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

Category 3:	Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation had an established means or process for staying aware of HR legal requirements. Written Document/Plan: 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:	Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation had an established means or process for staying aware of HR legal requirements. Written Document/Plan: 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:	Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation had an established means or process for staying aware of HR legal requirements. Action Plan: Verify action plan.					
d. Certification Prerequ	isite	e. Prerequisite Rationale				
Action plan required if Category 1; No timeline		Significant social and economic impact				
to score Category 2 or h	igher					
f. Additional Explanatio	f. Additional Explanation Required					
Explain in Notes why N/						

12.14.2 Staffing and Recruiting Strategy

a. <u>Man</u>	datory to	No, select N/A if you had	l no	b. Audit priority	Medium			
complete? employees and did no			ise					
contractors								
	Category 4: Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation							
				that analyzed future staffing ne	-			
				requirements were checked. A	_			
				e they were effective, and each				
				efit. Also, verify that they bega	_			
		_		the recruiting process that inclu	=			
				n that there was a written job de				
		-		upgrades every 1-2 years, or wh				
	Category 3:			n the auditee that the vineyard				
				that analyzed future staffing ne				
				requirements were checked. A	Also, confirm that recruiting			
छ।		methods were analyzed						
ent		Written Document/Plan:	Confirm	n that there was a written job de	escription for each job or			
E I		job family.						
i.	Category 2:			n the auditee that the vineyard				
Şed			-	zed future staffing needs, and it	-			
e e			-	nts were checked. Also, confirm	n that recruiting methods			
Evidence Requirements		were analyzed to ensure						
<u>Vid</u>	Category 1:			n the auditee that the vineyard				
		had an informal method for staffing, and if the vineyard contracted for labor, state license						
ن	requirements were checked.							
d. <u>Certification Prerequisite</u>				e. <u>Prerequisite Rationale</u>				
None								
	f. Additional Explanation Required							
Explain	Explain in Notes why N/A							

12.14.3 Interviewing Process

a. Man	datory to compl	ete?	Yes	b. Audit priority	Medium		
	Category 4: <u>Internal Testimonial</u> : Discuss with the auditee that the vineyard and/or winery operation						
	interviewing process included submission of a job application or resume, and inter						
		involved a set of	specific quest	ions, including competency-bas	sed questions, designed to		
		ensure qualifica	tions were me	t for each position. Also, verify t	that information was		
		provided about	the company,	performance expectations, and	essential aspects of the job.		
				cluded information and question	_		
			• •	lture including sustainability val	•		
				em to evaluate knowledge and s			
	Category 3:			ith the auditee that the vineyar			
νı		• .		submission of a job application of			
ent		involved a set of	specific ques	ions designed to ensure qualific	cations were met for each		
l ŭ		position. Also, v	erify that info	rmation was provided about the	e company, performance		
l ii		expectations, an		•			
Evidence Requirements	Category 2:			ith the auditee that the vineyar			
ابو ا		•		submission of a job application of			
- Superior			specific quest	ions designed to ensure qualific	cations were met for each		
N id		position.					
	Category 1:	Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation					
Ú	had an informal interviewing process in place.						
d. <u>Certi</u>	d. <u>Certification Prerequisite</u>			erequisite Rationale			
None	None N/A						
f. Addit	f. Additional Explanation Required						
None	None						

12.14.4 Employee Orientation

a. <u>Man</u>	datory to	No, select N/A if you had no	b. Audit priority	Medium			
comple	<u>te</u> ?	employees					
	Category 4:	Written Document/Plan: Discu	s with the auditee that the vineya	rd and/or winery			
		operation provided an orientat	on program for new employees th	at included written			
		documentation of company po	icies, job expectations, and terms	of employment contained			
		in an employee handbook. Em	oloyees signed off verifying receipt	of orientation			
		documents, and the program in	cluded an overview and/or tour o	f the company's purpose,			
		operations, culture, and sustain	ability policies and practices. Veri	fy that the handbook			
		included information on the co	mpany's sustainability policies and	or practices. Also, the			
		orientation program included of	ne or more best practices for emp	loyee orientation.			
	Category 3:	Written Document/Plan: Discu	s with the auditee that the vineya	rd and/or winery			
		operation provided an orientat	ion program for new employees th	at included written			
νı		documentation of company po	icies, job expectations, and terms	of employment contained			
ent		in an employee handbook. Em	oloyees signed off verifying receipt	of orientation			
E E		documents, and the program in	cluded an overview and/or tour of	f the company's purpose,			
nir.		operations, culture, and sustain	ability policies and practices.				
ed	Category 2:	Written Document/Plan: Discu	s with the auditee that the vineya	rd and/or winery			
9 2		operation provided an orientat	on program for new employees th	at included written			
l suc	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 purp operations, culture, and sustainability policies and practices. Category 2: Written Document/Plan: 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: Internal Testimonial: Discuss with the auditee that the vineyard and/or winery oriental process consisted of verbal communication of inh expectations and company policies.						
/id	Category 1:	Internal Testimonial: Discuss with the auditee that the vineyard and/or winery orientation					
		process consisted of verbal communication of job expectations and company policies at the					
ن	time of hire.						
d. <u>Certi</u>	<u>fication Prerequ</u>	<u>isite</u> e. <u>Pre</u>	requisite Rationale				
None N/A							

f. Additional Explanation Required

Explain in Notes why N/A

12.14.5 Safety Training

	2.17.5 Jaic			1.			I	
a. <u>Man</u>	datory to compl		Yes		o. <u>Audit priority</u>		High	
Category 4: Internal Testimonial: Discuss with the auditee that the vineyard and/or winery							nd/or winery operation	
		conducted frequent employee safety and training meetings as the year progressed and						
		safety issues cha	inged, and	nd safety a	udits and investigation	ons were d	one as needed. Also,	
		tailgate trainings	were do	one as nee	ded and task assessr	ments were	e done when conditions	
		changed. Descri	be how e	employee	training session feed	back was s	solicited and	
		incorporated, w	hen appro	opriate.				
		Log: Verify that s	safety trai	aining sess	ion dates and attend	lance were	documented and safety	
		statistics were tr	acked.					
	Category 3:	Internal Testimo	nial: Disc	cuss with t	he auditee that the v	/ineyard ar	nd/or winery operation	
		conducted frequ	ent empl	loyee safe	ty and training meet	ings as the	year progressed and	
		safety issues cha	inged, and	nd safety a	udits and investigation	ons were d	lone as needed. Also,	
		tailgate trainings were done as needed and task assessments were done when conditions						
(A)		changed. Descri	be how e	employee	training session feed	back was s	solicited and	
ı İ		incorporated, w	hen appro	opriate.	_			
E E		Log: Safety train	ing sessio	on dates a	nd attendance were	document	ed.	
Evidence Requirements	Category 2:	Internal Testimo	nial: Disc	cuss with t	he auditee that the v	/ineyard ar	nd/or winery operation	
edi		conducted empl	oyee safe	ety and tra	ining meetings annu	ially, and a	nnual safety audits and	
e R		investigations w	ere done	as neede	d.	-	·	
ŭ	Category 1:					ineyard ar	nd/or winery operation	
jde						-	deral requirements for	
집		employee safety	-	_	•		•	
ن	Action Plan: Verify action plan.							
d. <u>Ce</u> rti	fication Prerequ	isite		e. <u>Prere</u> q	uisite Rationale			
Action	Action plan required if Cat 1; Cat 2 or higher in			Significan	t social <i>and</i> econom	ic impact		
1	ongoing years					•		
f. Addit	f. Additional Explanation Required							
None								

12.14.6 Continuing Education, Training, and Development

	datory to	No, select N/A if not applicable	b. Audit priority	Medium		
comple	<u>te</u> ?					
uirements	Category 4:	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). Written Document/Plan: Verify that the vineyard and/or winery operation had training plans and goals that incorporated sustainability policies and practices.				
c. Evidence Requirements	Category 3:	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).				

	Category 2:	Internal Testimonial: 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:	Internal Testimonial: Discuss with the auditee that employees that attended any training, seminars, or other educational events did so on their own initiative and time.		
d. <u>Certi</u>	fication Prerequ	<u>isite</u>	e. <u>Prerequisite Rationale</u>	
None			N/A	
f. Addit	tional Explanatio	n Required		
Explain	in Notes why N/	A		

12.14.7 Industry Knowledge and Participation

a. Man	datory to compl	ete?	Yes	b. Audit priority	Medium	
u. iviaii	Category 4:					
	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			
				-	·	
		•		cipated in grower and/or vir	ntner associations to stay	
		informed on indu	ustry related is	sues and trends.		
	Category 3:	Internal Testimo	<u>nial</u> : Discuss w	th the auditee that appropr	iate manager/employee(s) in	
(A)		the vineyard and	or winery ope	eration stay informed on key	industry issues, and they	
l it		actively participa	ited in grower	and/or vintner associations,	or other industry-related	
Evidence Requirements		organizations to stay informed on industry related issues and trends.				
nir.	Category 2:	Internal Testimonial: Discuss with the auditee that appropriate manager/employee(s) in				
ed		the vineyard and/or winery operation stay informed on key industry issues, and they				
ه ح		occasionally part	icipated in gro	wer and/or vintner associati	ions, or other industry-related	
) i		organizations to	stay informed	on industry related issues ar	nd trends.	
jġ į	Category 1:	Internal Testimo	<u>nial</u> : Discuss w	th the auditee that appropr	iate manager/employee(s) in	
回		the vineyard and	or winery ope	eration occasionally read ind	ustry publications to stay	
ن		informed on key issues.				
d. <u>Certification Prerequisite</u>			e. <u>Pre</u>	requisite Rationale		
None	None N/A					
f. Addit	f. Additional Explanation Required					
None						

12.14.8 Promoting Sustainability in the Workplace

a. Man	datory to compl	ete?	Yes	b. Audit priority	High			
	Category 4:	Internal Testimo	Internal Testimonial: Discuss with the auditee that employees relevant to the successful					
		adoption and im	plementation of	sustainability concepts and pract	tices were regularly			
		informed about	the vineyard and	I/or winery operations' sustainab	ility efforts. Also, discuss			
		that suggestions	and ideas were	solicited from employees on how	to improve efficiency			
		and sustainabilit	y, and appropria	te ones have been implemented.	Confirm that there was			
		a dedicated grou	up focused on im	plementing efficiency and sustair	nability practices, or that			
N		there was an inc	there was an incentive, bonus, or recognition program for outstanding contributions to					
ent		increased sustainability.						
l a	Category 3:	<u>Internal Testimonial</u> : Discuss with the auditee that employees relevant to the successful						
l ii		adoption and implementation of sustainability concepts and practices were regularly						
bed		informed about the vineyard and/or winery operations' sustainability efforts. Also, discuss						
e e		that suggestions and ideas were solicited from employees on how to improve efficiency						
- Suc		and sustainability.						
Evidence Requirements	Category 2:	<u>Internal Testimonial</u> : Discuss with the auditee that employees relevant to the successful						
•		adoption and im	plementation of	sustainability concepts and pract	tices were occasionally			
ن		informed about	the vineyard and	I/or winery operations' sustainab	ility efforts.			

	Category 1:	Internal Testimonial: 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.			
		Action Plan: Verify actio	Action Plan: Verify action plan for first year self-assessments.		
d. <u>Certi</u>	d. Certification Prerequisite		e. <u>Prerequisite Rationale</u>		
Action I	Action Plan required if Category 1 and Category		Significant social impact		
2 or higher in subsequent years		nt years			
f. Additional Explanation Required					
None					

12.14.9 Employee Performance

a. <u>Man</u>	datory to compl	ete?	Yes	b. Audit priority	Medium		
	Category 4:	Internal Testimo	Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation				
		had an establish	ed process for	assessing competency and p	erformance for employees that		
		includes a minin	num of two be	st practices from Box 14-W.	Also, verify that employees		
		were encourage	d to managem	ent and supervisory staff ide	as and suggestions on improving		
(0)		operations and	efficiency. In a	ddition, confirm that perforn	nance competency and reviews		
Evidence Requirements		included contrib	utions toward	s sustainability goals.			
l m	Category 3:	Internal Testimonial: Discuss with the auditee that the vineyard and/or winery operation					
lire		had an established process for assessing competency and performance for employees, a					
lba		that employees	were encourag	ed to management and supe	ervisory staff ideas and		
2		suggestions on i	mproving oper	ations and efficiency.			
) I	Category 2:	Internal Testimo	<u>nial</u> : Discuss w	ith the auditee that the vine	yard and/or winery operation		
ide		had an establish	ed process for	assessing competency and p	erformance for employees.		
짋	Category 1:	Internal Testimo	<u>nial</u> : Discuss w	ith the auditee the informal	process for assessing		
ပ		competency and performance for appropriate employees.					
d. Certification Prerequisite			e. <u>Pr</u>	erequisite Rationale			
None N/A							
f. Addit	f. Additional Explanation Required						
None							

12.14.10 Compensation Benchmarking

a. Man	datory to compl	ete?	es es	b. Audit priority	Medium	
	Category 4:	Internal Testimonial: 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. Internal Testimonial: 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				
Evidence Requirements	Category 2:	attracted and retained employees. Internal Testimonial: 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.				
ر <u>5</u>	Category 1:	None.				
d. Certification Prerequisite				equisite Rationale		
None						
	f. Additional Explanation Required					
None	None					

12.15 **NEIGHBORS AND COMMUNITY**

12.15.1 Neighbors and Community Relations

	12:10:1 Reighbors and Community Relations					
a. <u>Man</u>	datory to comp	<u>lete</u> ?	Yes	b. Audit priority	High	
	Category 4:	Internal Testimo	<u>nial</u> : Verif	y that neighbors who may be affected	ed by the operations had	
		appropriate conf	appropriate contact information, and there was a process for receiving, considering, and			
		acting upon neig	hbor/com	nmunity comments, questions, and o	oncerns. Confirm that	
		proactive efforts	were ma	de to foster good relations with neig	hbors and community, and	
		to promote a be	tter under	rstanding of the operation and the ir	ndustry.	
		Published Mater	<u>ials</u> : Wher	re possible, confirm the company co	mmunicated to neighbors	
		and the commun	nity about	the practices and sustainability com	mitment.	
	Category 3:	Internal Testimo	<u>nial</u> : Verif	y that neighbors who may be affect	ed by the operations had	
νı		appropriate contact information, and there was a process for receiving, considering, and			receiving, considering, and	
ent		acting upon neighbor/community comments, questions, and concerns. Confirm that				
L E		proactive efforts were made to foster good relations with neighbors and community, a				
nire		to promote a be	tter under	rstanding of the operation and the in	ndustry.	
edi	Category 2:	Internal Testimo	<u>nial</u> : Verif	y that neighbors who may be affected	ed by the operations had	
e R		appropriate conf	tact inforn	mation, and there was a process for	receiving, considering, and	
Suc		acting upon neig	hbor/com	nmunity comments, questions, and o	oncerns.	
Evidence Requirements	Category 1:	Internal Testimo	<u>nial</u> : Verif	y that contact information for the vi	neyard and/or winery was	
		not available to	neighbors	or members of the community.		
Action Plan: Verify action plan for first year self-assessments.						
d. <u>Certi</u>	d. <u>Certification Prerequisite</u>			e. Prerequisite Rationale		
Action	Plan required if (Category 1 and Cate	egory S	Significant social impact <i>and</i> Stakeho	older concern <i>and</i> Potential	
2 or higher in subsequent years			r	risk/liability to the company		
f. Addit	ional Explanatio	n Required				
None						

12.15.2 Awareness of Potential Neighbor and Community Issues

1	2.15.2 Awai	Telless of Po	teritiai Neigi	ibor and Community	155UE5
a. Man	datory to compl	<u>ete</u> ?	Yes	b. Audit priority	High
ents	Category 4:	Internal Testimonial: 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.			
Evidence Requirements	Category 3:	Internal Testimonial: 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.			
c. Evide	Category 2:	Internal Testimonial: 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.			

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

12.15.3 Mitigation of Light, Noise, and Traffic Impacts

a. Man	datory to	No, select N/A if none of	these	b. Audit priority	High
comple	<u>te</u> ?	are issues in the area			
	Category 4:	Internal Testimonial: Cor	nfirm tha	t the winery operation's potenti	al affect on light, noise,
		and/or traffic impacts to	neighbo	rs was known, and neighbors wh	no might be affected had
		appropriate contact info	rmation	for the winery. Also, verify that	either neighbors or
		community stakeholders	were m	et or communicated with to disc	uss these issues, or these
		issues were adequately a	addresse	d.	
		Direct Observation: Conf	firm that	mitigation options were implem	ented for these issues to
		adequately address then	n, and th	ey were regularly evaluated.	
	Category 3:	Internal Testimonial: Cor	nfirm tha	t the winery operation's potenti	al affect on light, noise,
		and/or traffic impacts to	neighbo	rs was known, and neighbors wh	no might be affected had
		appropriate contact info	rmation	for the winery. Also verify that t	he need to meet or
νı		communicate with neighbors or community stakeholders was considered to discuss these			
ent		issues.			
Ĕ		Direct Observation: Conf	firm that	mitigation options were implem	ented for these issues.
nir.	Category 2:	Internal Testimonial: Cor	nfirm tha	t the winery operation's potenti	al affect on light, noise,
ed		and/or traffic impacts to	neighbo	rs was known, and neighbors wh	no might be affected had
9 2		appropriate contact info	rmation	for the winery. Also, discuss whi	ch mitigation options
l suc		were researched for the	se issues		
) jg	Category 1:	Internal Testimonial: Cor	nfirm tha	t it was not yet known if or how	the winery operations
		result in light, noise, and	or traffi	c impacts to neighbors.	
ن		Action Plan: Verify action plan for first year self-assessments.			
d. Certification Prerequisite			e. <u>Prere</u>	equisite Rationale	
Action Plan required if Category 1 and Category			Significa	ant social impact <i>and</i> Stakeholde	r concern <i>and</i> Potential
2 or hig	2 or higher in subsequent years risk/liability to the company				
f. Addit	f. Additional Explanation Required				
Explain	in Notes why N/	Α			
issues. Direct Observation: Confirm that mitigation options were implemented for these issues. Category 2: Internal Testimonial: 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: Internal Testimonial: Confirm that it was not yet known if or how the winery operations result in light, noise, and/or traffic impacts to neighbors. Action Plan: 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 Prerequisite Rationale Significant social impact and Stakeholder concern and Potential risk/liability to the company					

12.15.4 Awareness of Community Issues that Could Potentially Affect a Winery

a. <u>Man</u>	a. Mandatory to complete?		Yes	b. Audit priority	Medium		
	Category 4:	Internal Testimo	<u>Internal Testimonial</u> : Confirm that community issues that could affect the winery were				
		understood. Als	o, verify that app	propriate community meetings we	ere attended, and/or the		
		winery belonged	l to an associatio	n that addressed community issu	es. Also, discuss how the		
(0)		winery actively worked toward improvement of community issues.					
ints	Category 3:	Internal Testimonial: Confirm that community issues that could affect the winery were					
u u		understood. Also, verify that appropriate community meetings were attended, and/or the					
Evidence		winery belongs to an association that addressed community issues.					
c. <u>Evidence</u> Requirements	Category 2:	Internal Testimonial: Confirm that community issues that could affect the winery were					
ت کے		understood.					

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

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

	12.10.0 (10-0 to 10-0) Contributions to the Community					
a. Man	a. Mandatory to complete? Yes			b. Audit priority	Low	
	Category 4:	Internal Testimo	<u>Internal Testimonial</u> : Confirm that the auditee volunteered, contributed staff time, or			
		donated financia	al resources, win	e, or made other contributions t	o enhance this area in the	
		community.				
ents	Category 3:					
c. <u>Evidence</u> Requirements	Category 2:					
c. Ev Requ	Category 1:	Internal Testimonial: Confirm that the auditee was not active in this particular area.				
d. Certification Prerequisite			e. <u>Prer</u>	equisite Rationale		
None			N/A			
f. Additional Explanation Required						
None						

12.16 AIR QUALITY

12.16.1 Planning, Monitoring, Goals, and Results

a. Mar	datory to compl	<u>ete</u> ?	Yes	b. Audit priority	High	
	Category 4:	Internal testimo	Internal testimonial: Discuss with the auditee that sources of air emissions associated with			
		the vineyard and	the vineyard and/or winery were known. Also, confirm the difference between PM ₁₀ and			
		PM _{2.5} was knowr	n, and resources	for air quality information were ເ	ised regularly.	
		Written Docume	ent/Plan: Verify t	here was a documented air and c	limate protection plan,	
		and that annual	energy-related a	nd refrigerant greenhouse gas er	nissions were calculated.	
		Verify that empl	oyees were train	ed in air and climate protection t	hat included written	
		material, and go	als and reduction	n targets were tracked.		
	Category 3:			the auditee that sources of air e		
			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,				
छ		and that annual energy-related and refrigerant greenhouse gas emissions were calculated.				
ent		Also, confirm that there was information about climate protection available to employees.				
e u	Category 2:	<u>Internal testimonial</u> : Discuss with the auditee that there was an awareness of some sources				
ü			of air emissions associated with the vineyard and/or winery, and that these sources were			
Ş		assessed. Also, confirm there was a general idea about the difference between PM ₁₀ and				
Evidence Requirements		PM _{2.5.}				
enc	Category 1:	<u>Internal testimonial</u> : Discuss with the auditee that there was a general idea about some				
vid			sources of air emissions associated with the vineyard and/or winery, and that the			
				1 _{2.5} was not known.		
ပ		Action Plan: Ver	ify action plan fo	r first year self-assessments.		

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

12.16.2 Vineyard Floors

a. <u>Man</u>	datory to compl	ete?	Yes	b. Audit priority	Medium		
	Category 4:	Internal Testimo	Internal Testimonial: Discuss with the auditee that it was known how soil management				
		practices mitigat	e airborne dust	and PM $_{ m 10}$, and a soil conserva	tion strategy was		
		implemented that	at included perm	nanent or no-till cover crop, n	o or minimally disruptive		
NI NI		under-the-vine t	under-the-vine tillage, and other practices.				
ent	Category 3:	Internal Testimo	nial: Discuss wit	h the auditee that it was knov	vn how soil management		
E		practices mitigat	e airborne dust	and PM $_{ m 10}$, and a soil conserva	tion strategy was		
l ir		implemented that included reduced tillage, cover cropping, and one or more other					
Evidence Requirements		practice(s).					
9 2	Category 2:	Internal Testimonial: Discuss with the auditee that there was an awareness of soil					
) i		management practices for mitigating airborne dust and PM ₁₀ , and a soil conservation					
/ide		strategy was implemented that included reduced tillage.					
	Category 1:	Internal Testimo	nial: Discuss wit	h the auditee that soil manag	ement practices were not		
ن		implemented to mitigate airborne dust and PM ₁₀ , unless required by regional regulations.					
d. Certification Prerequisite			e. <u>Prer</u>	equisite Rationale			
None N/A			N/A				
f. Addit	f. Additional Explanation Required						
None							

12.16.3 Unpaved Surfaces - Roadways and Traffic and Equipment Staging Areas

a. <u>Man</u>	datory to compl	<u>ete</u> ?	Yes	b. Audit priority		High
	Category 4:	Internal Testimo	<u>Internal Testimonial</u> : Discuss with the auditee that practices for mitigating airborne dust			
		and PM ₁₀ from u	and PM ₁₀ from unpaved surfaces were known, and a soil conservation strategy was			
		implemented th	at included effec	tively timed applications	s of water	or regulatory compliant
		anti-dust materi	als and/or layeriı	ng gravel, chipping, mul	ching, san	ding, paving, or seeding.
		Also, discuss tha	t speed and trav	el were restricted during	g high-use	e periods on and around
		the operation, a	nd that employe	es were trained to reduc	ce fugitive	e dust from unpaved
		areas.				
		<u>Direct Observati</u>	on: Speed limit s	igns.		
	Category 3:	Internal Testimo	Internal Testimonial: 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.				
SI		Also, discuss that speed and travel were restricted during high-use periods on and around				
ent		the operation.				
l u		<u>Direct Observation</u> : Speed limit signs.				
Requirements	Category 2:	Internal Testimonial: Discuss with the auditee that there was an awareness of practices for				
Sed		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				
Evidence		compliant anti-dust materials and/or layering gravel, chipping, mulching, sanding, paving,				
\ jg		or speeding. Ve	or speeding. Verify the previous implementations, or discuss that speed and travel were			
		restricted during	g high-use period	s on and around the ope	eration.	
ن		Direct Observati	on: Speed limit s	igns.		

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	Category 1:	Internal Testimonial: 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		
		Action Plan: Verify action plan for first year self-assessments.		
d. <u>Certi</u>	d. Certification Prerequisite		e. <u>Prerequisite Rationale</u>	
Action I	Action Plan required if Category 1 and Category		Significant environmental impact	
2 or higher in subsequent years		nt years		
f. Additional Explanation Required				
None				

12.16.4 Vineyard Water Use

	12.10.4 Villeyard Vvater 03c				
a. Man	a. Mandatory to complete? Yes		Yes	b. Audit priority	Medium
	Category 4:	Internal Testimonial: 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.			
Evidence Requirements	Category 3:	Internal Testimonial: 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 costeffective strategy included monitoring and maintaining the irrigation system.			
idence Ro	Category 2:	Internal Testimonial: 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.			
c. Ev	Category 1:	None.			
d. Certification Prerequisite			e. <u>Pre</u> i	equisite Rationale	
None	None N/A				
f. Addit	f. <u>Additional Explanation Required</u>				
None					

12.16.5 Pest Management Strategy

a. <u>M</u> a	indatory to compl	ete?	Yes	b. Audit priority	Medium
	Category 4:	Internal Testimo	<u>nial</u> : Discuss witl	n the auditee that there was know	vledge of how pest
		management pr	actices affect air	quality, and discuss how a cost-e	ffective pest
		management str	ategy was imple	mented to reduce emissions from	n soil disturbance, fuel
		use, and pesticion	des while mainta	ining pests at tolerable levels. Als	so, confirm that this
ν)		strategy first relied on biological and cultural tactics that minimize equipment passes and			
ent		pesticide inputs. Confirm that application decisions were based on economic thresholds			
E		and/or weather model decision tools.			
Requirements		<u>Direct Observation</u> : Verify weed and floor management practices mitigated dust and PM ₁₀ .			
be	Category 3:	Internal Testimonial: Discuss with the auditee that there was knowledge of how pest			
9 8		management practices affect air quality, and discuss how a cost-effective pest			
Evidence		management strategy was implemented to reduce emissions from soil disturbance, fuel			
jġ į		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			
ပ		pesticide inputs.			

	Category 2:	management practices a	scuss with the auditee that there was an awareness of how pest affect air quality, and discuss how a pest management strategy was use emissions from pest management operations while maintaining
	Category 1:	None.	
d. Cert	ification Prerequ	<u>uisite</u>	e. Prerequisite Rationale
None			N/A
f. Addi	tional Explanation	on Required	
None			

12.16.6 Pesticide Stewardship

a. Man	datory to compl	ete?	Yes	b. Audit priority	Medium
	Category 4:	Internal Testimo	Internal Testimonial: Discuss with the auditee that recommended practices were followed		
(A)		to minimize PM ₁	₀ and drift from	dust and liquid applications, and	that pesticides associated
l li		with higher VOC	emissions were	avoided for use. Also, confirm the	nat applicators were
l ü		trained about pe	sticide issues re	levant to air quality.	
Evidence Requirements	Category 3:	Internal Testimo	<u>nial</u> : Discuss wit	h the auditee that recommended	practices were followed
edi		to minimize PM ₁	to minimize PM ₁₀ and drift from dust and liquid applications, and that there was some		
8 8		understanding of pesticide products associated with higher VOC emissions.			
) ju	Category 2:	Internal Testimonial: Discuss with the auditee that recommended practices were followed			
ide		to minimize PM ₁₀ and drift from dust and liquid applications.			
	Category 1:	Internal Testimonial: Discuss with the auditee that pesticides were chosen and applied			
ပ		without considering impacts to air quality other than following legal requirements.			
d. Certification Prerequisite			e. <u>Pre</u> r	<u>equisite Rationale</u>	
None			N/A		
f. Additional Explanation Required					
None					

12.16.7 Agricultural and Winery Chemicals and Materials

a. <u>Mar</u>	datory to compl	ete?	Yes	b. Audit priority	Medium	
	Category 4:	Internal Testimo	<u>Internal Testimonial</u> : Discuss with the auditee that there was knowledge of how chemicals			
		and materials us	ed in the vineya	rd and/or winery affect air quality	, and that a strategy was	
		being implemen	ted for chemical	acquisition and use that included	VOC potential, air	
		toxicity, and pot	ential for ozone	depletion. This strategy included	the preferential	
		•		th both low potential to emit VO	•	
		verify that prove	en or suspected o	ozone-depleting materials were n	ot being used, and that	
		employees were	trained about re	elevant air quality issues and safe	storage, use, and	
		cleanup procedu	cleanup procedures.			
	Category 3:	Internal Testimonial: 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				
νı .		being implemented for chemical acquisition and use that included VOC potential, air				
ent		toxicity, and potential for ozone depletion. This strategy included the preferential				
Ĕ		purchase and use of materials with both low potential to emit VOCs and low toxicity. Also,				
lir.		verify that proven or suspected ozone-depleting materials were being eliminated from u				
Requirements	Category 2:	Internal Testimonial: 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				
) i		strategy was being developed for chemical acquisition and use that included VOC potential,				
Evidence		air toxicity, and potential for ozone depletion.				
山	Category 1:	Internal Testimo	Internal Testimonial: Discuss with the auditee that the relationship between chemicals and			
ن		materials used in	materials used in the vineyard and/or winery and air quality was not known.			

d. Certification Prerequisite	e. <u>Prerequisite Rationale</u>		
None	Significant environmental impact		
f. Additional Explanation Required			
None			

12.16.8 Transportation

a. Mandatory to complete?			Yes		b. Audit priority	Medium	
ar <u>irraniaatory</u>	Category 4:	Internal Testimonial: Discuss with the auditee that there was knowledge about links					
	category 4.	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 emissions from travel, and verify they utilize commute alternatives.							
		Log: 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:	Internal Testimonial: 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					
<u>8</u>		was provided to reduce emissions from travel.					
Requirements	Category 2:	Internal Testimonial: Discuss with the auditee that there was awareness about links					
169		between mile	s traveled	r quality. Confirm there was	a general idea about		
<u>&</u>		how many miles were traveled by the vineyard and/or winery operation's trucks					
		each year. Als	each year. Also, discuss the strategy being developed to minimize the miles				
Evidence		traveled to and from the facility each year.					
· ·	Category 1:	None.					
ن							
d. Certification Prerequisite				e. <u>Prerequisite Rationale</u>			
None				N/A			
f. Additional Explanation Required							
None							

12.16.9 Agricultural Burning

	idatory to compl	ete?	Yes	b. Audit priority	Medium		
<u> </u>	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.						
ments	rd prunings were managed to ourned. Verify that all burning pager.						
Evidence Requirements	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.					
c. Evide	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				e. <u>Prerequisite Rationale</u>			
None			N/A	N/A			

f. Additional Explanation RequiredNone

12.16.10 Winery Refrigerants

		ete?	Yes	b. Audit priority	High	$\overline{}$		
	Category 4:	Internal Testimonial: 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.						
		Written Document/Plan: Verify an audit was done on the refrigeration system.						
	d tracked.							
Category 3: Internal Testimonial: Confirm with the auditee that the type, amount, and globa potential (GWP) of current refrigerant(s) were known. Also, verify the amount of								
SOI.								
l i								
l iii		health and environment was available to employees.						
Direct Observation: Verify that information on refrigerants, leaks, and impacts o health and environment was available to employees. Category 2: Internal Testimonial: Confirm with the auditee that the type, amount, and globa potential (GWP) of current refrigerant(s) were known. Written Document/Plan: Verify an audit was done on the refrigeration system. Category 1: Internal Testimonial: Confirm with the auditee that the type, amount, and globa potential (GWP) of current refrigerant(s) were unknown. Also, verify that the resystem was operated and maintained much as it has been since installation.						g		
edi		potential (GWP) of current refrigerant(s) were known.						
Written Document/Plan: Verify an audit was done on the refrig					refrigeration system.			
Ü	Category 1:	pe, amount, and global warming	g					
ige		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.						
집								
ပ								
d. Certification Prerequisite			requisite Rationale					
Action Plan required if Category 1 and Category			Significant environmental impact					
	2 or higher in subsequent years		-0-, -0					
f. Additional Explanation Required			I					
	None							
INOTIC								