



UTZ Hazelnut Program in Turkey

Evaluation Study

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Research Coordinators

Bürge AKBULUT
Ertan KARABIYIK

Research Consultants

Bürge AKBULUT
Seda AKÇO
Ertan KARABIYIK
Özgür ÇETİNKAYA

Data Analysis

Özgür ÇETİNKAYA

Data Entry

Hilal AVCI

Field Team

İhsan İZNEBİOĞLU (Team Leader)
Cansu ÇABUCAK
Gizem SEMA
Necmettin YEMİŞ
Önder ELÇİ

English Translation

Bürge AKBULUT

Cover Photo

Development Workshop Archive

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Development Workshop

Science, Culture, Training, Research, Implementation and
Management Cooperative

Üsküp Caddesi Eriş İşhanı No:16 D:14
Çankaya-Ankara-Turkey

www.ka.org.tr

info@ka.org.tr

+ 90 541-457 31 90

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Executive Summary

UTZ is a certification program for sustainable farming of coffee, cocoa, tea and hazelnuts that aims at scaling up adoption of sustainable production practices. To become certified, a producer or producer group has to comply with the UTZ Code of Conduct (CoC), which contains requirements and guidance on management, better farming practices, working conditions and care for nature. In order to make sustainable farming the norm in hazelnut sector, a hazelnut module was added to the UTZ Code of Conduct in 2014. The same year, a baseline study and gap analysis was conducted by Development Workshop in Turkey to assess farming practices and working conditions compared to the UTZ control points before certification.

In order to assess the contribution of the UTZ hazelnut program to changes in farming practices after four years of implementation (2014-2018) and generate recommendations for UTZ and certificate holders (CHs) on how to improve the implementation of the UTZ code of conduct, Development Workshop was commissioned this evaluation study.

The data collection instruments in the baseline included a farmer survey (applied to 216 farmers) and semi-structured interviews with a total of 25 group managers, experts and practitioners. These tools have been revised for the evaluation study to allow for comparisons with the findings of the 2014 baseline study, with additional questions to understand the extent of UTZ program contribution. A total of 227 farmer surveys and 20 semi-structured interviews with representatives of the CHs, external auditors and local stakeholders were conducted in 2018.

The UTZ hazelnut program started in 2014, following the baseline study. Due to the fact that most farmers included in the 2014 sample did not enter or stay in the certification program in subsequent years, a new (stratified) sample was taken in 2018; replacing the baseline farmers with other farmers that have been in the UTZ program for 4 years. This makes it very challenging to analyze the changes on farm level between 2014 and 2018, since such changes may reflect genuine progress at farmer level, or just changes in composition of the program membership. Cross validation of different data sources was used to analyze the differences, rule out alternative explanations and establish the likely contribution of the UTZ program to changes in the practices of hazelnut producers.

The **socio-demographic characteristics** of the 2018 sample were similar with the baseline sample, such that both samples consisted of relatively older farmers (two thirds were over 50 years of age) and almost half of the farmers have farms smaller than 20 decares. The farmers in the 2018 sample, on the other hand, are relatively higher educated, are more actively involved in hazelnut production and produce more hazelnuts on average.

The evaluation study revealed that all the CHs have an **internal management system** in line with the CoC, where responsible persons are assigned and trained, annual risk assessments are carried out, group management plans are prepared, a traceability system is in place and internal audits take place every year. All the CHs also provide regular trainings for their certified farmers.

The CHs use a similar system for **premiums**, a “pool-system” as they name it, where they collect all the premiums they get for UTZ certified products. They cover the costs of group management and of products and services used for the UTZ program from this pool, and forward the remaining amount (if any) to the certified producers in the form of in-kind benefits (e.g. personal protective equipment) and/or cash payments. However, the findings do not provide enough evidence to conclude that the UTZ program improved market access and/or price (premium) for all certified farmers as some of the CHs do not provide premiums in-cash due to low market uptake of the UTZ certified products.

Almost all the IMS staff are of the opinion that the UTZ program led to an increase in quality and **productivity**; however, the responses were mostly based on perception, since none of the CHs conducted a productivity analysis so far (despite that all the CHs have the necessary data to conduct such analyses). The main reason behind this perceived increase in productivity is believed to be better pruning practices.

The UTZ program is also expected to lead to improved relations and increased **collaboration** in the hazelnut supply chain in Turkey: between farmers, crackers and certificate holders. All CHs stated that they have good relations with farmers and crackers. While many of them did not directly link this with UTZ program, the fact that IMS staff provide regular trainings and services to farmers indicates that UTZ program has had a positive impact on the collaboration in the supply chain.

Regarding **farming practices**, the main **improvements** are observed in pruning, using yield optimization techniques, improving soil fertility and timing of harvest:

- 90 percent of the farmers prune at least once a year and there is a significant increase in the percentage of farmers who prune twice a year (from 3.7 to 14 percent) since 2014.
- 85 percent of the farmers do heavy pruning and 24 percent plant new shrubs to promote yield on low producing and/or unproductive plantations. This suggests that while the percentage of the farmers who do heavy pruning remains similar to the baseline findings of 88 percent, there is a significant increase in the percentage of farmers who do replanting (from 4 percent to 24 percent).
- 82 percent of the farmers commission soil analysis and 39 percent consult an engineer or agricultural consultant to determine the nutritional needs of their hazelnut trees. An increase is observed in both methods since 2014 (where the rate of using these methods respectively were 39 and 12 percent).
- Although still low, the percentage of the farmers who decide on the timing of hazelnut harvest based on the commission’s decision increased from 10 to 26.

Regarding these areas of improvement in farming practices, it can be concluded that the **interventions of the UTZ program** have probably contributed to the progress in pruning. The program may also have contributed to progress in the yield optimization techniques, improving soil fertility and timing of harvest; but other factors (such as the 2014 and 2018 sample differences including a more educated farmer group in 2018 or larger percentage of farmers living in the village and being actively involved in hazelnut harvest) may also have contributed to these outcomes.

Important **gaps** remain, on the other hand, in the areas of pollination methods and soil conservation:

- 92 percent of the farmers (208 out of 227 farmers) have different pollinating varieties of hazelnut shrubs in their orchards (the baseline percentage was 96), however only 35 percent plant them in a way to ensure balanced distribution (the baseline percentage was 25 percent).
- The percentage of those who think that there is no risk of erosion in their orchards increased by 15 percent (from 51 to 66 percent), which presents a potential risk as the majority of hazelnut orchards are located on hillsides and average annual rainfall in the hazelnut provinces is higher than the national average.
- 68 percent of the farmers do not take any measures for soil conservation during weed control or replanting land.

The evaluation findings regarding **working conditions** suggest **improvements** in prevention of child labor, record keeping and ensuring that all workers receive at least the minimum wage and that workers living on-site have a clean and safe living environment:

- When compared with the baseline study, a significant decrease is observed in the percentage of farmers employing children below age 16. While 27 percent of the farmers were employing children below 16 years old during the baseline study, this percentage dropped to 13 percent (29 out of 227 farmers) during the evaluation study. The total number of working children below 16 also decreased from 146 in 2014 to 89 in 2018.
- 66 percent of the farmers check the identity of their workers and 57 percent keep record of their ID information, while only 40 percent of the farmers were keeping the list of their workers in 2014. A similar progress is observed in the percentage of farmers keeping payment records (from 61 to 74 percent) and having these records signed by workers (from 6 to 13 percent).
- All the farmers declare that they pay their workers more than (or at least equal to) the applicable minimum wage. In 2014, 10 percent of the farmers were found to pay less than the minimum wage to their adult male workers, 11 percent to adult women, 26 percent to children under age 16 and 17 percent to children in the age group 16-18.
- When compared to baseline findings, a progress is observed in terms of the facilities provided to workers living on-site. Almost all farmers (87 out of 88 farmers) provide workers staying in their orchards with all the facilities.

All these improvements are likely to be direct effects of the program. However, there are still important remaining **gaps**:

- Despite the progress, child labor is still prevalent.
- Record keeping remains the most challenging requirement for farmers.
- The percentage of farmers who pay salaries directly to workers as demanded by the UTZ code went down from 45 percent in 2014 to 33 percent in 2018.
- Only 50 percent of the farmers pay the labor contractor's commission directly (a decrease from 73 percent in the baseline) and this means that there is still a risk that workers make additional payments to labor contractors out of their own payments.

Regarding the **working conditions at the CH level**, the findings revealed that (a) CH staff are not unionized or organized in any way (although the CH managers argue that the staff has the right to do so and they would not be subject to any negative consequences if they do); (b) all CH staff have written employment contracts that include all the required information; (c) CHs working hours and over time policies are in line with the national legislation and with the CoC; (d) CH staff receive maternity rights and benefits in accordance with national law; (e) no case of mental or physical abuse or intimidation at the workplace was witnessed by the CH managers so far.

In light of these findings, the key **recommendations** for UTZ and CHs can be summarized as follows:

1. Providing / making sure that CHs use a standard introductory training module to ensure that all key messages are conveyed to the farmers.
2. Restructuring the UTZ certified farmers database that CHs keep so that it allows for monitoring farmer performance both in terms of better farming practices and working conditions.
3. Conducting regular productivity analyses at the CH level in order to provide evidence for the contribution of the UTZ program to increased productivity.
4. Revising the premium system to ensure that farmers receive premium in-cash and that premiums contribute to remediation activities of farmers.
5. Revising the system of record keeping in order to overcome the insufficient records.
6. Conducting advocacy for and collaborating with governmental institutions, private sector and other related stakeholders in the production of new planting material.
7. Advocating for a more active role of agricultural engineers, consultants and technicians appointed by the provincial directorates of food, agriculture and husbandry in providing technical assistance to farmers.
8. Advocating with the chambers of agriculture for the establishment of soil and leaf analysis laboratories.

9. Identifying the producers who need further guidance and providing special assistance to farmers either through trainings, individual support or creating and sharing good practices.
10. Ensuring that the internal and external audits are not only based on on-site visits to orchards, summer schools or living areas but also on the capacity of the services provided vis-à-vis the needs of all children and workers and how the risk assessments are carried out in both regards.
11. Conducting a living wage benchmark study and analyzing the relationship between child labor and wage policies in the hazelnut harvest to more effectively combat child labor and its root causes including poverty.
12. Advocating with central and local level authorities for effective implementation of the Regulation on Labor Contracting in Agriculture as well as increasing awareness among and require the certified farmers to insist for working with registered labor contractors and providing trainings for labor contractors on minimum standards for working and living conditions for workers.
13. Conducting a root cause analysis to understand why none of the CH staff is unionized.

1. Introduction

UTZ is a certification program for sustainable farming of coffee, cocoa, tea and hazelnuts that aims at scaling up adoption of sustainable production practices, incentivized by sustainable sourcing commitments and practices of buyers, better trade conditions, and increased uptake of certified products in end-markets.

To become certified, a producer or producer group has to follow UTZ's Code of Conduct (CoC), which contains requirements and offers guidance on better farming methods, working conditions and care for nature. The UTZ Code of Conduct (CoC) for group certification contains requirements for group management and for implementing good agricultural, social and environmental practices, which contribute to sustainability outcomes. The CoC is complemented by crop specific annexes, a certification protocol, guidance documents, and training materials. Other elements of the UTZ program are the online traceability system, member support services, market outreach in consuming countries, and partnerships with value chain actors, civil society organizations and governmental agencies to address sector wide issues.¹

In order to make sustainable farming the norm in hazelnut sector, a new hazelnut module was added to the UTZ Code of Conduct in 2014. The same year, a baseline study and gap analysis was conducted by the Development Workshop in Turkey to assess farming practices and working conditions compared to the UTZ control points before certification.

In order to assess the contribution of the UTZ hazelnut program in Turkey after four years of implementation and generate recommendations for UTZ and certificate holders (CHs) on how to improve the implementation of the UTZ code of conduct, Development Workshop has been commissioned in late 2017 by UTZ to carry out an evaluation study.

The Development Workshop has commenced on the evaluation study in January 2018; developed the data collection tools and methodology by late April 2018 with the feedback of UTZ; submitted the inception report and conducted questionnaires and interviews with farmers, CH staff and other related experts in May 2018; and carried out data entry, cleaning and analysis in June 2018.

This report presents the findings of this evaluation study conducted with a team of three consultants (one also acting as research coordinator), five field staff (one of them being the team leader) and two experts for data entry and analysis.

The report first sets out the objectives and methodology of the evaluation study and then classifies the findings under four chapters: (1) UTZ program implementation, (2) Farmer demographics, (3) Farming practices, and (4) Working conditions. The report concludes with specific recommendations for UTZ and certificate holders (CHs) and overall evaluation of the findings.

¹ UTZ Hazelnut Program in Turkey: Evaluation Study – Call for Proposals

2. Objectives and Methodology

2.1. Objectives, Scope and Background of the Study

The main objective of this study is to evaluate the progress in the agricultural practices and working conditions in hazelnut production by UTZ certified farmers in Turkey since 2014 and assess the contribution of UTZ program to this progress.

The UTZ-CoC has mandatory and voluntary requirements for the first four years of certification. Accordingly, UTZ identified a set of control points to assess the baseline situation of agricultural practices and social conditions in 2014 and the same control points were used to evaluate the progress at the end of the four years in May 2018.

The 31 control points included in the study are listed in Table 1. As can be seen in the table, some of the control points are applicable to the farmers and others to CHs, or both (group and group members as referred to in the CoC).

Table 1. Control Points Included in the Study

Farming Practices	Applicable to		Working Conditions	Applicable to	
	Farmers	CHs		Farmers	CHs
Core CoC for Group Certification					
GB34 (Varieties for new plantings)			GC77 (Child labor)		
GB35 (Planting material)			GC81 (Freedom of association)		
GB39 (Crop pattern for new plantings)			GC82 (Freedom of association)		
GB40 (Pruning)			GC83 (Freedom of association)		
GB41 (Weed control)			GC84 (Working hours)		
GB42 (Promoting optimal yield)			GC85 (Overtime work)		
GB44 (Prevention of soil erosion)			GC86 (Minimum wage)		
GB46 (Improving soil fertility)			GC88 (Equal pay for equal work)		
GB70 (Harvesting)			GC90 (Employment contracts)		
			GC91 (Discrimination)		
			GC92 (Abuse at workplace)		
			GC93 (Maternity rights)		
CoC Hazelnut Module					
HNB2 (Pruning)			HNC11 (ID check)		
HNB3 (Removing livestock & poultry)			HNC12 (Wage payments)		
HNB4 (Pollination)			HNC13 (Contractor' commission)		
			HNC14 (Foreign workers)		
			HNC15 (Living conditions in camps)		
			HNC16 (Living conditions on-site)		
			HNC20 (Cultural expressions)		

Based on these control points, the main gaps identified in the baseline study regarding farming practices and working conditions are listed in Table 2:

Table 2. Main Gaps Identified in 2014 Baseline Study

Farming Practices	Working Conditions
<ul style="list-style-type: none"> - Pruning is not always carried out in the right time, with the right tools and tools are not always disinfected. - Shoot / sucker removal is not carried out sufficiently and with the right timing. - Pollination is usually carried out randomly. - Livestock is not completely removed from the orchards one month before the harvest. - New planting is limited and done with traditional methods. - Chemicals may be used in weed control. - Yield promotion is not always carried out effectively. - Nutritional needs are assessed with traditional methods. - Fertilizers are not always used effectively. - Producers decide on the harvesting time mostly by themselves and hazelnut is usually manually picked. 	<ul style="list-style-type: none"> - Almost one third of the farmers employ children below 16. - Most of the farmers do not keep worker records. - Payments are usually not made directly to the workers and payment records are not kept. - Workers may pay the commission of the intermediaries. - Workers may receive lower than the minimum wage. - Producers employing foreign workers do not check their work permits. - There are many unmet needs especially in the living areas of workers. - Workers cannot always freely perform cultural expressions.

The UTZ hazelnut program marked its fourth harvest in 2017. The program interventions to address the above gaps and improve farming practices and working conditions in hazelnut production since the first pilot in 2014 include the following²:

- The program has more than tripled in size and has over 4,325 farmers enrolled, 14 certificate holders in Turkey and Georgia and 62 market members by the end of 2017.
- The certificate holders – predominantly exporters – have invested heavily in ensuring the structures needed, such as internal management systems and staff to provide training to farmers, are in place to make the program a success.
- The UTZ Turkey team trained the IMS staff each year and conducted on the job training at least once per month.
- Annual trainings have been provided to farmers by IMS staff on farming practices (pruning, shoot removal, branches/stems, pollination, weed control, soil conservation and nutrients) and working conditions (child labor, wages and contracts and living conditions).
- Model farming methods on pruning, shoot removal, branches/stems, pollination, soil conservation and applying plant nutrients have been used in demonstration plots by the CHs with a purpose of illustrating correct application.

² Retrieved from documents titled “UTZ Hazelnut Program Overview” (July 2017) and “HN Activities on Farm and IMS Level per CoC Category”.

- Necessary tools for pruning and shoot removal (e.g. procedure, instruction, form), pollination and new planting (e.g. handbooks which include the varieties), tree health and nutrients (e.g. annual hazelnut calendar), weed control (e.g. prohibited chemical lists) and improvement of working conditions (e.g. worker registration forms) have been provided by the CHs to the farmers.
- Technical assistance has been provided by IMS to the farmers on new planting, local replanting and soil analysis.
- Correct methodology for internal inspection and risk analysis are provided by UTZ annually to IMS managers and internal inspectors.

2.2. Evaluation Questions

The main evaluation questions to assess the contribution of the UTZ hazelnut program in Turkey after four years of implementation include the following³:

1. Did the agricultural practices and social conditions change, compared to the baseline situation for the two regions? If so, to what extent?
2. Did the interventions of the UTZ program contribute to these changes? If so, to what extent?
 - a. Did training of UTZ certified farmers lead to increased knowledge of Good Agricultural Practices (GAP) and increase of GAP adoption and labor practices? Did this lead to increase of productivity, better quality and improved labor practices?
 - b. Did training of IMS staff lead to the effective implementation of IMS at Certificate Holder level?
 - i. Has the implementation of IMS improved the living and/or working conditions of seasonal workers employed by farmers for non-harvest (pruning, sucker removal, weed control or applying agrochemicals) and harvest activities?
 - ii. Does the IMS have an adequate child labor approach? UTZ has been focusing on strengthening IMS to prevent child labor and to have adequate procedures in places to address child labor. The motto is “don’t hide, do address”. The farmer group also has to reach out to existing private and public initiatives on child labor (Core code) and additionally the group has to reach out to local authorities that are responsible for tent camps (Hazelnut Module). Have these practices indeed occurred?
 - c. Has the UTZ program improved market access and/or price (premium) for certified farmers?

³ UTZ Hazelnut Program in Turkey: Evaluation Study – Call for Proposals

- i. Premium: are premium payments reaching the certified farmers?
 - ii. Is there enough transparency and on where this premium comes from and how it is used?
 - iii. What part of the premium is going to working and living conditions?
3. Did the UTZ program lead to improved relations and increased collaboration in the hazelnut supply chain in Turkey?

2.3. Data Collection and Analysis

The data collection instruments in the 2014 baseline included a questionnaire administered to farmers and semi-structured interview guides conducted with experts and practitioners. These tools have been revised for the evaluation study to allow for comparisons with the findings of the baseline study with additional questions to understand the extent of UTZ program contribution.

As can be seen in Annex 1, the questionnaire consists of three modules on demographic information, farming practices and working conditions. The questionnaire is very much similar to the one used during the baseline study, except for the new questions added to understand if/how the UTZ program interventions/trainings contribute to the progress and to what extent the UTZ program improved market access and/or price (premium) for certified farmers.

Regarding the semi-structured interviews, the baseline interview guide included different modules for interviews to be conducted with exporters, district governors, municipalities, provincial/district directorates of agriculture, labor and family and social policies. For the evaluation study, UTZ asked the interviewee list to include the IMS staff and managers of the CHs, representatives of the Black Sea Exporters' Union Hazelnut Group, National Hazelnut Council, Hazelnut Promotion Group, Keşap Union of Hazelnut Producers and external auditors. All the planned interviews were conducted, except for those with the Black Sea Exporters' Union Hazelnut Group and Hazelnut Promotion Group (a detailed list of interviews is provided in the following section). Different sets of questions were prepared for each of these groups of key informants and presented in Annex 2.

The data collected using questionnaires were entered into SPSS database and data cleaning and analysis was conducted by the data entry specialist. Regarding the semi-structured interviews, on the other hand, at least two consultants attended the interviews; while one was conducting the interview, the other consultant took detailed notes.

2.4. Sampling

2.4.1. Questionnaires with Farmers

In the baseline study, a total of 216 farmers were interviewed in five provinces, 48 percent of whom were potential UTZ farmers, i.e. they were not yet part of the UTZ program⁴. The evaluation study targeted at first the same farmers interviewed during the baseline. However, when compared with the current list of certified farmers⁵, it became apparent that the majority of the baseline sample farmers did not enter or stay in the UTZ hazelnut program, except for 17 farmers.

In such case, the Development Workshop developed and presented to UTZ a new strategy for sampling as follows: Out of the 467 farmers in the research universe⁶, 29 were removed as they were located in villages with less than seven farmers in each considering the geographical planning, budget, timing and human resources of the evaluation study. The remaining 438 farmers were included in the sampling list as the expected response rate was around at most 50 percent.

The number of questionnaires to be conducted in each province was then determined as per the proportion of each province in the research universe using a proportionate stratified sampling methodology. Due to a challenge faced during the first days of the field study in conducting the planned questionnaires in Giresun⁷, the farmers in Giresun were excluded from the research universe and a new distribution of 217 questionnaires was prepared with a universe of 404 farmers (sample representing 53.4 percent of the universe).

Table 3 presents the original and revised number of questionnaires planned per province and Figure 1 presents the number of questionnaires actually conducted per district.

Table 3. Number of Questionnaires Planned and Conducted per Province

Provinces	Total # of Farmers	Number of Questionnaires			Proportion per Province (%)
		Original (N=438)	Revised (N=404)	Conducted	
Düzce	198	97	106	108	54.5
Trabzon	104	51	56	54	51.9
Ordu	89	44	48	46	51.7
Giresun	34	18	-	10	29.4
Zonguldak	13	7	7	9	69.2
Total	438	217	217	227	51.8

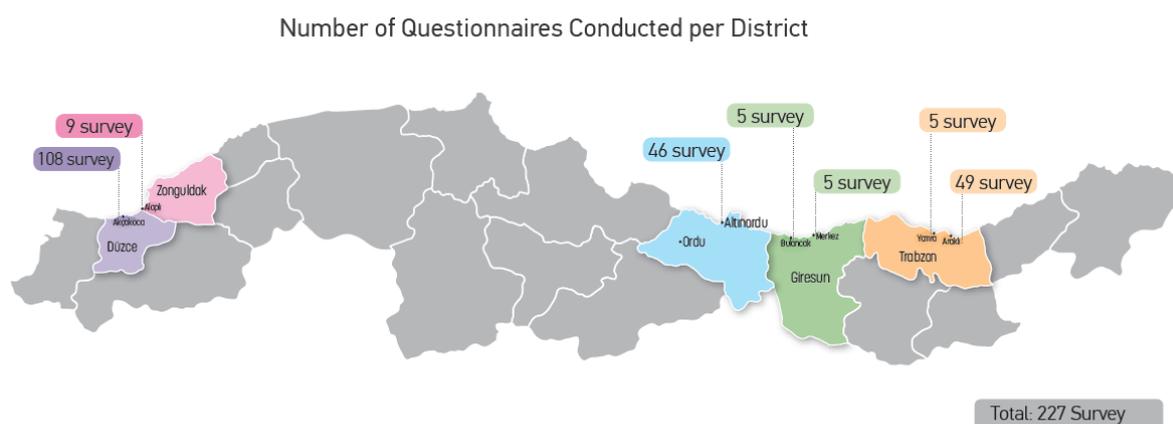
⁴ The stratified baseline sample selected 216 farmers from a list of 1118 farmers. The sample was stratified to region / district / village and farm size. The sample was subdivided into 100 “pilot farmers” and 116 “potential farmers”. The 100 “pilot” farmers were defined as hazelnut orchard owners participating in the UTZ Certified Hazelnut Pilot Program. “Potential” farmers were defined as orchard owners who may, in the future, participate in the UTZ Certified Hazelnut Program.

⁵ The list of certified farmers provided by UTZ included those farmers who are involved in the UTZ program and responsible for management of the orchards, i.e. not necessarily the orchard owners. The interviews were conducted with these farmers.

⁶ UTZ shared a list of a total of 467 farmers who entered the UTZ program in 2014 or 2015 and were still in the program when the evaluation study was carried out.

⁷ One of the CHs, originally included in the research sample, decided to pull out of the program.

Figure 1. Number of Questionnaires Conducted per District



The questionnaires were conducted between 01-13 May 2018 and the field team managed to conduct a total of 227 questionnaires with a relatively high representation rate of 52 percent. The geographical, budgetary and time restrictions did not allow for a simple random or systematic sampling. The farmers to be interviewed were identified randomly in light of the proportionate and geographical distribution of farmers per district. With the help of the CHs in reaching out the farmers to be interviewed, the field team paid specific attention to include farmers with different characteristics in the sample.

The fact that different sample of farmers were interviewed during the baseline and evaluation studies prompted the question of whether the 2014 sample and 2018 sample are sufficiently comparable as to make inferences about the contribution of the program to observed differences. In order to address this question, farmer demographics in both samples were crosschecked and main similarities and differences between the two were identified. Accordingly, the 2014 and 2018 samples are similar in age and size of land, but farmers in the 2018 sample are relatively higher educated, more of them live in the village and are actively involved in hazelnut harvest (in turn, define their primary occupation as *farmer*) and produce more on average annually. Whenever significant changes were found between 2014 and 2018 findings, alternative explanations were sought based on these demographic differences.

2.4.2. Interviews with Key Informants

As mentioned above, UTZ asked the interviewee list to include the IMS staff and managers of the CHs, representatives of the Black Sea Exporters' Union Hazelnut Group, National Hazelnut Council, Hazelnut Promotion Group, Keşap Union of Hazelnut Producers and two external auditors; and project consultants managed to conduct all the planned interviews, except for those with the Black Sea Exporters' Union Hazelnut Group and Hazelnut Promotion Group (the interviews were going to be arranged by UTZ, interviews with these two institutions were cancelled). A total of 20 semi-structured interviews⁸ were conducted between 17 May – 22 June 2018 by three project consultants.

⁸ Please see Annex 3 for a detailed list of interviews conducted.

3. Findings

3.1. UTZ Program Implementation

3.1.1. Internal Management System

In order to ensure compliance with the UTZ CoC, the CHs have to put in place an internal management system (IMS), which is a system of documented procedures and data to enable the efficient organization and management of a farmer group⁹. We found that these requirements are being complied with.

To establish an IMS, CHs first need to assign a responsible person(s) or a committee for each block of the CoC, namely management, farming practices, working conditions and environment. The interviews with the CH managers and IMS staff revealed that, in line with this requirement, all the CHs identified responsible staff for IMS implementation. The IMS staff consists mainly of agricultural or food engineers who are responsible for field implementation and internal inspections, and usually one staff member who is responsible for documentation and quality control.

The second element of an IMS is to carry out annual risk assessments that evaluate the current situation of the farmer group and identify risks that might hamper compliance to the CoC. All the CH managers and IMS staff confirmed that they conduct annual risk assessments. Some of them stated that they include all the related control points in these assessments, others stated that they focus on the areas with a higher risk of non-compliance. All the CHs have their own guidelines for risk assessment that they prepared in light of the UTZ risk assessment guidance document.

The third element of an IMS is to develop a three-year group management plan that includes actions to address all relevant issues from the risk assessment. All the CHs comply with this requirement. Some of the IMS staff define the plan as a tool “*to facilitate monitoring*” and “*to ensure a more systematic working environment*”. For the CH managers, on the other hand, the plan helps them “*to ensure that everybody knows their responsibilities*”.

According to the CoC, the plan needs to be monitored and updated annually. Although all the CHs comply with this as well, some of the IMS staff admitted that the plan is not a tool they refer to frequently, but a document that they review only at the end of the year to comply with audit requirements.

Planning and conducting staff trainings is another element of an IMS. In line with this, all the IMS staff at CHs stated, and all the CH managers confirmed, that they received trainings (mostly referred to the trainings and training of trainers provided by UTZ) on all the CoC control points and IMS strengthening. The UTZ Turkey team further elaborated

⁹ UTZ Guidance Document – IMS (Version 1.1, February 2017)

during the validation workshop that these trainings are conducted both collectively and face-to-face and according to the needs of CHs.

Other elements of an IMS include registration, signing agreements and mapping; ensuring traceability and transparent management of payments and premiums; training producers and carrying out internal inspections and self-assessments, which are all analyzed in the following sections. The rest of this chapter also includes assessment findings on the contribution of UTZ program on productivity and supply chain collaboration.

3.1.2. Traceability and Premiums

Traceability

The CHs are expected to register the producers interested in certification and sign an agreement with them that shows their commitment to adhering to the relevant requirements of the UTZ CoC. The CHs should further map the production areas, which would not only serve as a planning tool for the group management, but also help ensuring traceability.

When asked about whether they sign an agreement with their UTZ producers and map their production areas, all the IMS staff interviewed responded positively.

All the CHs also have a system of traceability to ensure that their certified produce is not mixed with non-certified produce on farm level. Most of them buy their product directly from the farmers, in the sacks they provide which are labelled with the name and individual code of the producers. Few CHs buy the hazelnuts from *manavs* that are trained by CHs as part of the UTZ supply chain, closely monitored, and audited internally and externally. The produce is then processed by the CHs or external crackers, which ensure that the certified produce is processed separately from the other.

There are three traceability levels available in the UTZ Program¹⁰:

- *Identity preserved (IP)*, which means that it is possible to trace the UTZ certified ingredient all the way back to the specific certificate holder where it was grown.
- *Segregation*, which means that the UTZ certified ingredient was kept separate from non-certified ingredients all the way through the supply chain.
- *Mass balance*, which means that UTZ certified hazelnut can be mixed with non-certified hazelnut in the chain of custody, but a company cannot sell more products as UTZ certified than the corresponding hazelnut that was purchased.

As per the interviews conducted, the IP and segregation systems are used only by one CH each and the rest of the CHs use the mass balance system for traceability. However, a common concern raised during the interviews was that even though they have a traceability system, due to low demand for their UTZ certified product, CHs sometimes have to sell their certified product as a non-certified product, which means that they do not receive a UTZ premium for those volumes.

¹⁰ <https://utz.org/what-we-offer/the-utz-logos/traceability-levels/>

Premiums

UTZ premium can be used to cover for group management costs, products and services used for the group and in-kind or cash payments to certified group members.¹¹ Accordingly, all the CHs use a similar system for premiums, a “pool-system” as they call it, in which they collect all premiums they receive from UTZ certified products; and pay for the group management costs and products and services used for UTZ program (e.g. agricultural consultancy to farmers, remediation activities carried out in the villages, support provided for establishment of summer schools) first, and distribute the remaining amount (if any) to the certified producers in the form of in-kind benefits (e.g. fertilizers, pesticides, personal protective equipment, first-aid kits) and/or cash payments.

The cash payments are directly distributed to farmers against signature in proportion to the amount of their certified hazelnut (sometimes in the form of advance payment). Some of the CHs, however, indicated that they cannot always provide premiums in-cash to the producers as the total premiums they receive can only cover the IMS operational costs. The UTZ Turkey team confirmed that two out of six CHs do not pay premium in cash, but support farmers through in-kind benefits and social and agricultural projects. In this context, as mentioned in the above section, some of the CH managers expressed their frustration with the low market uptake of their UTZ certified products.

According to the interviews with farmers (Table 4), on the other hand, the percentages of the farmers receiving premium in-kind and in-cash are 60 and 42 percent respectively. In total, 76 percent of the farmers received premium.¹²

Table 4. Farmers Receiving Premium In-Kind or In-Cash in UTZ Program

Districts		Premium in-kind or in-cash	Premium in-kind	Premium in-cash
Alaplı	#	9	9	9
	% in district	100.0	100.0	100.0
Akçakoca	#	76	42	68
	% in district	70.4	38.9	62.9
Araklı	#	42	41	10
	% in district	85.7	83.7	20.4
Altınordu	#	31	30	6
	% in district	67.4	65.2	13.0
Merkez (Giresun)	#	5	5	0
	% in district	100.0	100.0	0.0
Bulancağ	#	5	5	0
	% in district	100.0	100.0	0.0
Yomra	#	5	5	2
	% in district	100.00	100.0	40.0
Total	#	173	137	95
	% in total	76.2	60.4	41.9

¹¹ UTZ Guidance Document – IMS (Version 1.1, February 2017)

¹² The UTZ team highlighted during the validation meeting that the audit reports show that all the farmers received in-kind premiums and the difference might be due to the fact that as in-kind benefits are provided before harvest, not all farmers may consider them as premium.

The UTZ Guidance Document on IMS further requires the CHs to inform the producers on how the premium is used for management, group and group members. None of the CH managers or IMS staff, however, mentioned about such a communication with the farmers.¹³

3.1.3. Farmer Trainings

Farmer training is an essential part of the IMS and the UTZ CoC requires CHs to train their members on all relevant aspects of the CoC. The trainings are expected to be based on a needs assessment and the risk assessment and should be updated every year, based on the findings from the risk assessment process and feedback from internal and external audits. Training records should be kept for each training.¹⁴

During the interviews with CH managers and IMS staff, all interviewees stated that:

- *They provide regular trainings to farmers* – While at first, they tried to invite the farmers to large-scale trainings, realizing that this was not practical and farmers were not interested, most of the CHs now prefer to organize small-scale trainings, or even try to provide one-to-one training during visits to orchards (which is not conceived by the farmers as a training as it is mostly in the form of an informal conversation).
- *They update their training plan annually* – Training plans are updated based on the needs identified by the IMS staff and the results of the risk assessments. Some of the CHs plan their trainings based on the year of the farmers in the UTZ program (i.e. they have different training programs for new farmers and farmers in their 2nd, 3rd or 4th year in the program).
- *They prepare their own training material* as there are no standard materials they can use. Some CHs provide the farmers with additional tools during the trainings, such as brochures, farmer files, hazelnut diary, etc.
- *They keep detailed records of each training*, which include the venue, training subjects, the name of the trainer, training method, names and signatures of participants.

The farmers were also asked whether they received any training on a set of subjects (in light of the control points included in the study) in the context of the UTZ program and whether they found it useful. Accordingly, as can be seen in Table 5, 74-77 percent of the farmers declared that they were trained on all the subject related to farming practices and 63-69 percent confirmed that they received trainings on working conditions. The trainings were well received by all farmers as almost all (around 95 percent) farmers stated that they found the trainings useful.

¹³ The UTZ Turkey team added during the validation meeting that farmers have been trained about the premium procedure and the farmer contracts include information on how the premium is paid. The sample contract shared by UTZ Turkey team includes a section on payment terms, but no further information for producers on how the premium is used for management, group and group members as required by the UTZ Guidance Document.

¹⁴ UTZ Guidance Document – IMS (Version 1.1, February 2017)

Table 5. Trainings Received by Farmers in the Context of UTZ Hazelnut Program

Training Subjects	Received training		Found useful	
	#	%	#	%
FARMING PRACTICES				
Pruning	173	76,2	163	94,2
Removal of shoots / suckers	173	76,2	162	93,6
Weeds control	173	76,2	164	94,8
Optimal yield promotion	174	76,7	165	94,8
Pollination	172	75,8	158	91,9
Avoiding damage to hazelnut orchards	172	75,8	164	95,3
New planting	168	74,0	158	94,0
Prevention of soil erosion	170	74,9	161	94,7
Improving soil fertility	171	75,3	161	94,2
Using chemical fertilizers	174	76,7	153	87,9
Harvesting time and method	172	75,8	163	94,8
WORKING CONDITIONS				
Prevention of child labor	156	68,7	149	95,5
Freedom of association and collective bargaining	144	63,4	137	95,1
Keeping records (e.g. workers, payment records)	152	67,0	145	95,4
Payments	151	66,5	143	94,7
Employing foreign workers (e.g. Syrian, Georgian, etc.)	151	66,5	139	92,1
Working hours	151	66,5	144	95,4
Improving living conditions	156	68,7	151	96,8
Respectful treatment and prevention of discrimination	157	69,2	152	96,8

3.1.4. Internal and External Audits

CHs are expected to carry out internal inspections to verify if producers are complying with the CoC and document the findings per producer. CHs confirmed that they inspect all the producers at least once a year (twice a year for some producers if a non-conformity is identified) and that they record the inspection findings. If a non-conformity is identified, in line with the CoC, the producers are asked to put in place a corrective measure by a deadline and are controlled again by the internal inspector at the end of the deadline.

During the interviews, 79 percent of the farmers stated that they went through an internal inspection in the context of the UTZ program and 50 percent of them were audited 1-3 times so far. The fact that the rest of the farmers stated that they were audited 4 times or more (14 percent claimed that they were audited 7 times or more) indicates that some of the farmers may not be differentiating between the internal audits and the external audits of UTZ and possibly also of other certification programs (most of the farmers have more than one program certificate).

When asked about the progress they observe during the inspections, the main areas of improvement mentioned by the IMS staff included:

- Better pruning practices
- Increased number of farmers conducting soil analysis
- Increase in the awareness about occupational health and safety
- Significant increase in the awareness about prevention of child labor
- Better living conditions provided for the workers

None of the IMS staff mentioned a major non-conformity identified during the inspection. When asked about the most challenging/difficult requirements for producers to comply with, almost all IMS staff highlighted the requirements about record keeping. They stated that farmers are not used to keeping records and it is very difficult to convince them to do so; thus, IMS staff sometimes keeps the records (hiring or payment records) on behalf of the farmers or complete the forms during the audits. Other challenging areas mentioned included the appropriate use of pesticides and fertilizers.

Regarding external audits, CHs are subject to annual external audits usually conducted in the harvest season (in August). External audits are carried out by authorized control bodies which are trained annually by UTZ on the UTZ code of conduct, social auditing, risk based auditing, audit findings of previous year and how to submit license requests.

The CH managers and IMS staff generally find the external audits helpful for them to realize their shortcomings; however, some believe that audits could offer more if they were conducted less as an examination and focused more on providing guidance for improvement.

The fact that some of the UTZ farmers do not live in the village and do not actively participate in the hazelnut production is mentioned as another challenge faced during the audits, as these farmers may have difficulty in providing accurate information to the auditors.

The representatives of two external auditing firms explained the auditing process as follows: The external auditors select the names of the UTZ farmers to be audited (from the farmers list provided to them via MultiTrace and according to their risk assessments) and provide the list of farmers to the CH the day before the audit. The number of farmers to be audited is determined taking the square root of the total number of farmers a CH has in its group. If a particular farmer cannot be reached at the time of the audit, the auditors identify another UTZ farmer who is available. The external audits take into consideration all the mandatory control points for each CH. The first day of audit is allocated to IMS and the findings are cross-checked with the farmers the following days. A non-compliance report is prepared and shared with the CH during the closing meeting held the last day of the audit. The CH is then expected to conduct corrective actions in the following 28-day period and prepare a correction plan for the non-compliances which cannot be corrected in that period.

The main improvements that the external auditors observed in the last four years include:

- Increased efforts of CHs to prevent child labor (such as establishing / supporting summer schools)
- A corresponding decrease in the number of working children
- Decreased use of pesticides
- Better pruning practices

When asked about the most challenging/difficult requirements, on the other hand, similar to the CHs, the first they mentioned was the requirement about record keeping. The external auditors pointed out that CHs sometimes remain insufficient in keeping records, while farmers usually do not record anything. Another challenge highlighted on the side of the CHs was organizing trainings and ensuring participation of farmers.

3.1.5. Productivity

One of the objectives of the UTZ hazelnut program is to contribute to increase of productivity and better quality. Thus, related questions were raised during the interviews with CH managers and IMS staff and most of them responded positively about the UTZ program contribution. While almost all the IMS staff think that productivity increased over the last four years, some managers stated that although not seen yet, an increase in productivity will be observed in time.

The responses were mostly based on perception, since none of the CHs conducted a productivity analysis so far. Only one CH referred to a small scale analysis conducted in 10 orchards, in which hazelnut production per decare increased from 110 kg. to 150 kg. (a 36 percent increase). The fact that the average production per decare by UTZ farmers is more than the average total production in their respective provinces (as explained under section 3.2.3) may be, on the other hand, referred to as an indication of increased productivity. The main factor contributing to increase in productivity is believed to be better pruning practices.

3.1.6. Supply Chain Collaboration

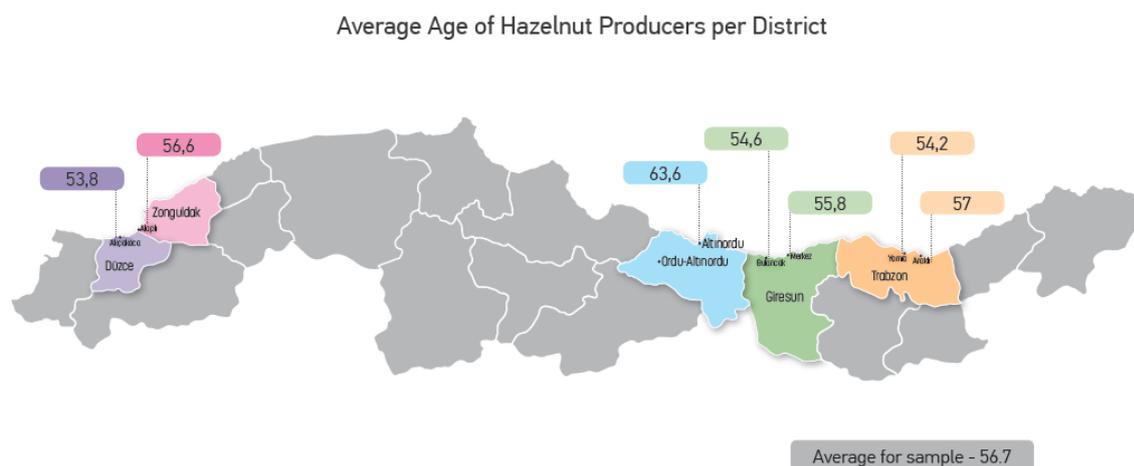
The UTZ program is also expected to lead to improved relations and increased collaboration between farmers and exporters (crackers) in Turkey. All the CHs mentioned that they have good relations with farmers. Not all CHs work with a cracker or *manav*, but those who do also stated that they collaborate effectively. Although many CHs have not experienced remarkable changes in their relationships with the farmers – which they say was satisfactory before they joined the UTZ program – the evaluation findings show that certification has led to more attention and services being provided to farmers.

3.2. Farmer Demographics

3.2.1. Gender and Age Distribution

Of the 227 farmers interviewed, 84 percent were male, and 16 percent were female (the gender percentages were 95 and 5 in the baseline respectively) with an average age of 57 (the average age was 53 during the baseline) (Figure 2).

Figure 2. Farmers' Age on Average per District, UTZ 2018 Sample



The youngest farmer interviewed was 29 years of age, while the oldest was 90. The distribution of farmers by age groups (Table 6) indicates a relatively older farmer population similar to the baseline, where the most populated age group is 60 and above and only one third of the farmers are below the age of 50.

Table 6. Distribution of Farmers by Province and Age Group, UTZ Sample

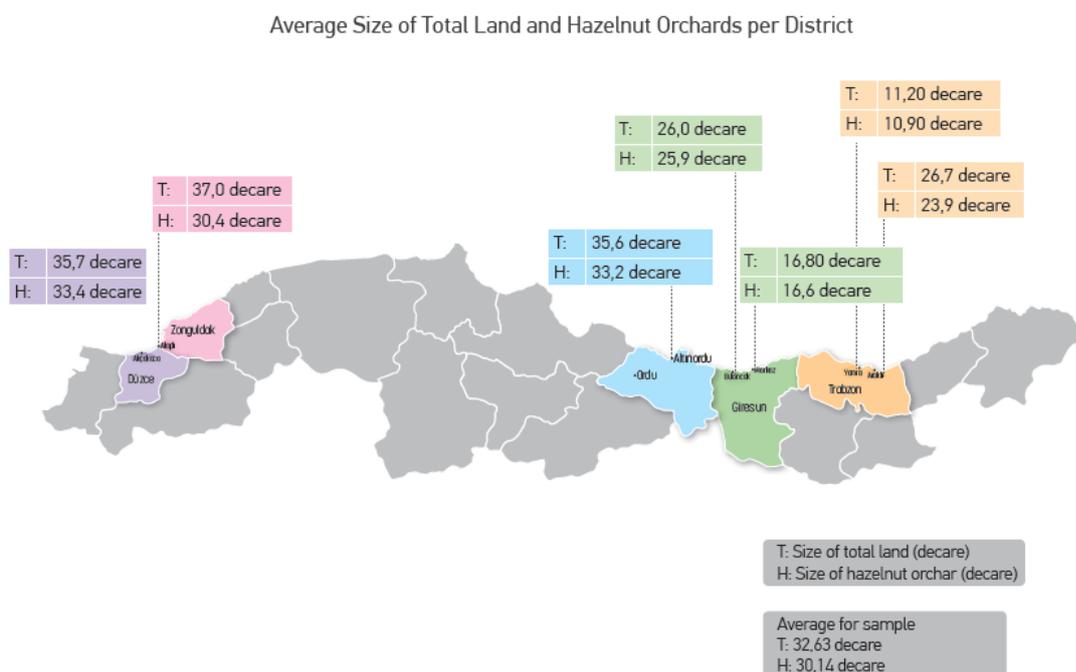
Age groups	Provinces (#)					Total (#)	(%)	Baseline (%)
	Zonguldak	Düzce	Trabzon	Ordu	Giresun			
20-29	0	2	0	0	0	2	0.9	1.3
30-39	0	10	5	0	2	17	7.5	12.0
40-49	1	25	8	4	2	40	17.6	23.1
50-59	5	41	14	11	2	73	32.2	31.4
60 and above	3	30	27	31	4	95	41.9	31.9
Total	9	108	54	46	10	227	100.0	100.0

3.2.2. Size of Land

Figure 3 shows the average size of land owned by the farmers and the percentage of hazelnut orchards in the total land. Accordingly, the average size of total land owned by the farmers is 33 decares¹⁵ (the baseline average was 36 decares), of which 30 decares (32 decares in baseline) are hazelnut orchards. Yomra district in Trabzon and Merkez district in Giresun have the smallest land size on average, but almost all the land is allocated for hazelnut production, indicating that hazelnut is the main source of income in these districts. Alaplı, Akçakoca and Altınordu, on the other hand, have relatively larger hazelnut orchards.

¹⁵ 1 hectare is equal to 10 decares.

Figure 3. Total Farm Size and Area of Hazelnut Orchards, UTZ 2018 Sample (decares)



As shown in Table 7, almost half of the farmers (42 percent in both evaluation and baseline sample) interviewed have farms smaller than 20 decares. The percentage of farmers who own more than 50 decares, on the other hand is only 17 percent in both samples.

Table 7. Distribution of Farmers by Province and Farm Size , UTZ Sample

Farm Size		Provinces					Total	Baseline Total
		Zonguldak	Düzce	Trabzon	Ordu	Giresun		
0-10.99 decares	#	0	5	15	14	2	36	42
	%	0	4.6	27.8	30.4	20.0	15.9	19.4
11-19.99 decares	#	2	26	21	7	3	59	49
	%	22.2	24.1	38.9	15.2	30.0	26.0	22.7
20-29.99 decares	#	4	30	8	4	2	48	57
	%	44.4	27.8	14.8	8.7	20.0	21.1	26.4
30-39.99 decares	#	1	15	4	5	2	27	18
	%	11.1	13.9	7.4	10.9	20.0	11.9	8.3
40-49.99 decares	#	0	8	2	8	1	19	13
	%	0	7.4	3.7	17.4	10.0	8.4	6.0
50 decares and above	#	2	24	4	8	0	38	37
	%	22.2	22.2	7.4	17.4	0	16.7	17.1
Total	#	9	108	54	46	10	227	216
	%	100.0	100.0	100.0	100.0	100.0	100.0	100.0

These figures show that while the farmers included in the baseline and evaluation studies are similar in terms of their farm sizes, both samples consist of relatively bigger farmers when compared to the data provided by other studies. For example, according to Doğanay

(2012)¹⁶, close to 50 percent of the orchard owners have around 20 decare of land. Similarly, Sıray et al. (2012)¹⁷ calculated the average size of hazelnut orchards in a study they conducted in 2011 in Western Black Sea with 117 farmers as 23 decares. Finally, The Turkish Chamber of Agricultural Engineers data (Table 8) shows that the average size of hazelnut farms in project provinces is 14 decares, .

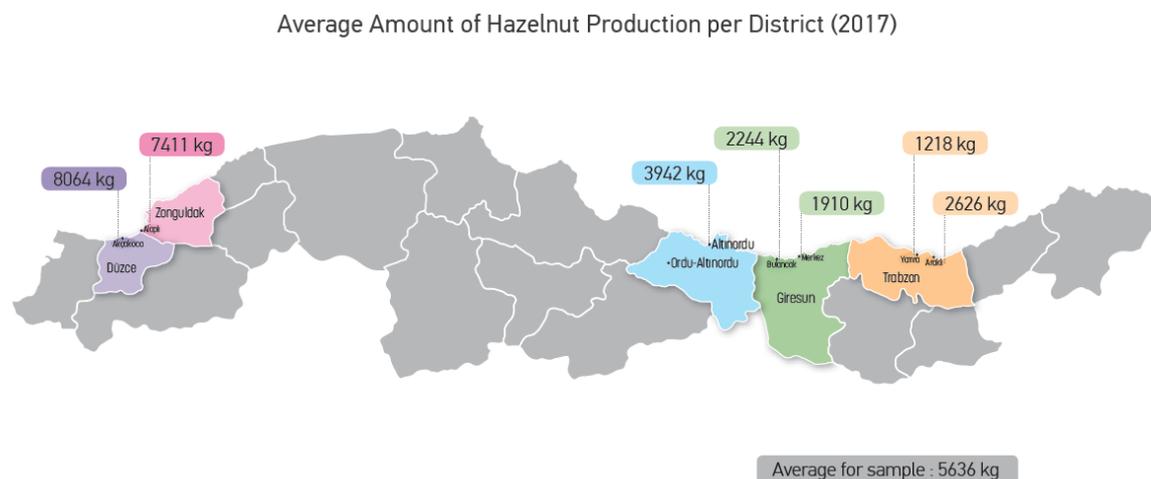
Table 8. Number of Hazelnut Producers and Total Area of Hazelnut Farms in UTZ Program Provinces¹⁸

Provinces	# of Hazelnut Producers	Total Area of Hazelnut Farms (decares)
Düzce	44,775	626,850
Giresun	83,651	1.171,110
Ordu	162,274	2.271,830
Trabzon	46,678	653,500
Zonguldak	16,852	235,930

3.2.3. Hazelnut Production

Figure 4 shows the average volumes of hazelnut produced by the UTZ sampled farmers per district in 2017. Accordingly, the farms in these five provinces produce 5.7 tons of hazelnut on average where Düzce and Zonguldak (which have relatively bigger farm size averages) have the largest production.

Figure 4. Hazelnut Production (kg.) in 2017 per Farmer per District, UTZ 2018 Sample



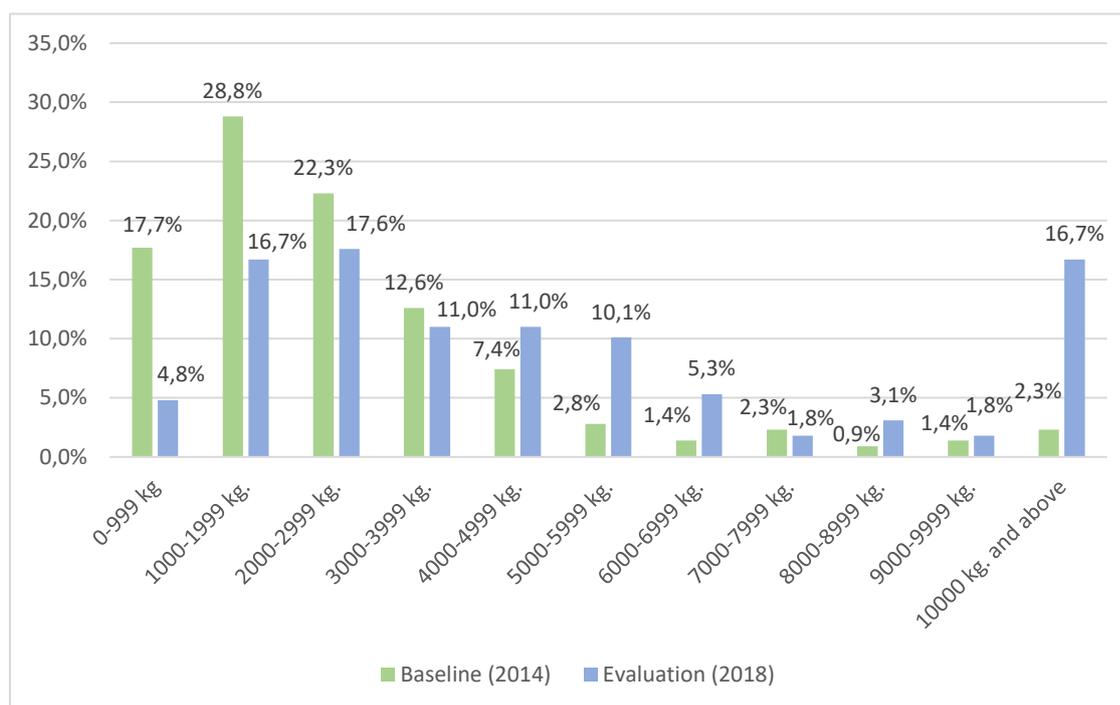
Looking in more detail, as per Figure 5, 50 percent of the farmers produce less than 5 tons of hazelnut annually (69 percent of the farmers in the baseline sample were producing less than 3 tons).

¹⁶ Doğanay, H. (2012). Türkiye Fındık Meyvacılığındaki Yeni Gelişmeler / New Development in Turkish Hazelnut Cultivation. *Doğu Coğrafya Dergisi* 17(27).

¹⁷ Sıray, E., Duyar, Ö., Özdemir, F., Ertekin, F. (2012). Batı Karadeniz Bölgesinde Fındık Yetiştiriciliğinde Eğitim ve Yayım Altyapı İhtiyacının Belirlenmesi. *GOÜ Ziraat Fakültesi Dergisi*, 29(2), 9-18.

¹⁸ The Turkish Chamber of Agricultural Engineers, 2016 Hazelnut Report

Figure 5. Hazelnut Production (kg.) per Farmer, UTZ Sample



UTZ farmers have higher yields on average (production per decare), than the average farmers in their respective provinces (Table 9). Zonguldak and Düzce are ranked the top two with 243.4 and 241.5 kg/decare respectively which is more than twice the province averages.

Table 9. Hazelnut Yields (Production per Decare) of UTZ Farmers Compared to Province Averages

Provinces	UTZ Evaluation Study			2016 Hazelnut Report ¹⁹		
	Total Hazelnut Area (decare)	Total Hazelnut Production, 2017 (kg.)	Average yields 2017 (kg/decare)	Total Hazelnut Area (decare)	Total Hazelnut Production, 2016 (kg.)	Average yields, 2016 (kg/decare)
Düzce	3,607	870,950	241.5	626,850	69,344,000	110.6
Giresun	213	25,770	121.0	1,171,110	105,023,000	89.7
Ordu	1,528	181,374	118.7	2,271,830	200,938,000	88.4
Trabzon	1,224	134,774	110.1	653,500	39,126,000	59.9
Zonguldak	274	66,700	243.4	235,930	22,572,000	95.7

3.2.4. Occupational Status

Compared to the baseline, a larger percentage of the farmers interviewed in 2018 live in the village (65 and 78 percent in 2014 and 2018) and are actively involved in hazelnut harvest (83 and 89 percent in 2014 and 2018). The difference between the 2014 and 2018 sample is probably a reflection of (self-) selection mechanisms of program

¹⁹ The Turkish Chamber of Agricultural Engineers, 2016 Hazelnut Report

participants, as absentee farmers (who are not actively involved in production) are less likely to engage with the UTZ program.

The questionnaire included a series of questions on the primary and secondary occupations of the hazelnut producers. As per Table 10, 58 percent of the interviewees in 2018 define their primary occupation as farmer. This is a significantly higher percentage when compared to baseline findings when only 22 percent of the sample declared *farming* as their primary occupation and close to half defined their primary occupation as *being retired* (44 percent).

While farming is the primary occupation for more than half of the farmers, only 27 percent of the hazelnut producers are exclusively *farmers*. When combined with secondary occupations (Table 11), 62 percent of the hazelnut producers are both farmers and either tradesman, civil servant, worker or retired, i.e. hazelnut production is not their only income generating activity.

Table 10. Primary Occupation of the Hazelnut Producers, UTZ Sample

Occupation	Evaluation (2018)		Baseline (2014)
	#	%	%
Farmer	131	57.7	22.2
Tradesman	16	7.0	17.1
Civil servant	6	2.6	2.8
Worker	17	7.5	8.8
House wife	12	5.3	1.4
Retired	45	19.8	44.0
Total	227	100.0	96.3

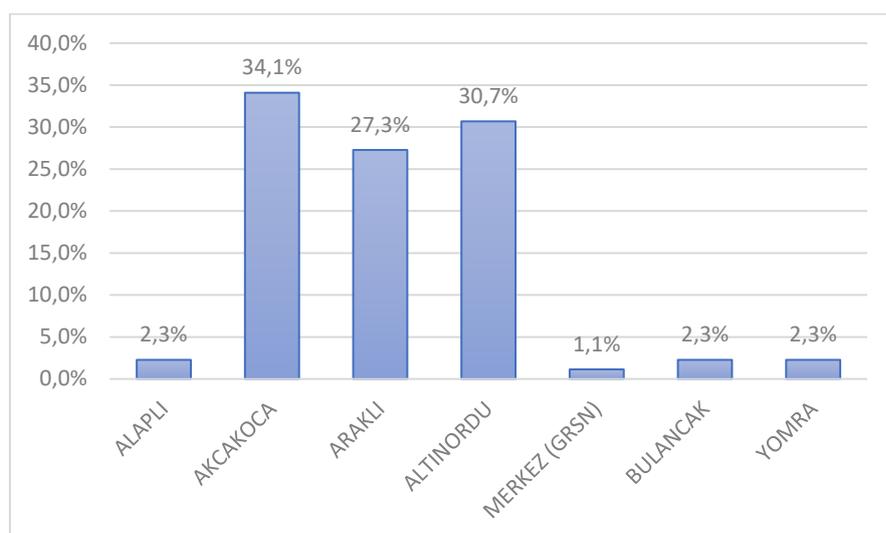
Table 11. Combined Occupational Status of Hazelnut Producers, UTZ 2018 Sample

Combined Occupations	#	%
Farmer exclusively	62	27.3
Farmer + retired	83	36.6
Farmer + civil servant	8	3.5
Farmer + worker	27	11.9
Farmer + tradesman	23	10.1
Farmer + house wife	16	7.0
House wife only	2	0.9
Retired only	5	2.2
Tradesman only	1	0.4
Total	227	100.0

Looking at the distribution of retired hazelnut producers²⁰, it is seen that Altınordu, Akçakoca and Araklı districts have relatively higher proportions (Figure 6).

²⁰ Retired hazelnut producers are producers who either retired from a formal job other than farming or had paid for voluntary agricultural insurance themselves.

Figure 6. Retired Hazelnut Producers, per District, UTZ 2018 Sample



3.2.5. Educational Status

Regarding the education status of the farmers interviewed, the data shows that the biggest group is the primary school graduates with 41 percent (Table 12). 35 percent of the farmers, on the other hand, are high school or university graduates. This is a relatively higher percentage when compared to the baseline in 2014, where only 26 percent of the farmers were high school or university graduates. Considering the fact that the 2014 sample and the 2018 sample consisted of different farmers, it seems that the UTZ program is attracting more higher educated farmers.

Table 12. Education Status of Farmers, UTZ Sample

Educational Status	Evaluation (2018)		Baseline (2014)
	# of Farmers	%	%
Illiterate	4	1.8	0.5
Literate without schooling	3	1.3	1.4
Primary school (grade 5) dropout	6	2.6	0.9
Primary school (grade 5) graduate	93	41.0	49.5
Basic education (grade 8) graduate	7	3.1	0.5
Secondary school (grade 3) dropout	9	4.0	3.2
Secondary school (grade 3) graduate	14	6.2	10.2
High school dropout	11	4.8	7.9
High school graduate	50	22.0	16.2
University graduate	30	13.2	9.7
Total	227	100.0	100.0

When the high-school graduates are analyzed per province, Düzce ranks first with 56 percent, followed by Ordu and Trabzon with 22 and 18 percent respectively. 37 percent of the university graduates, on the other hand, are located in Ordu, followed by 27 and 23 percent in Trabzon and Düzce.

Male farmers on average are better educated. There are 4 illiterate farmers in the sample and 3 of them are women. As another indicator of gender inequality in the region, most of the secondary and high school graduates are men (63 and 68 percent respectively), while more than half of the primary school dropouts and graduates are women.

3.2.6. Household Characteristics

The size of household among the farmers interviewed are shown in Table 13. Accordingly, the average size of household is 3.86 (the average size of household in the baseline sample was 4.29). 38 percent of the households have 3-4 members, 32 percent have 1-2 member and 30 percent have 5 and more members (87 percent of the households in the baseline sample were composed of parents and children). This shows that in general, the households are small or in the form of a nuclear family. However, the district of Alaplı stands out as an exception with the biggest size of household on average with 6.67 members.

Table 13. Size of Households per District, UTZ 2018 Sample

Districts		Size of Household			Total	Size of Household on Average
		1-2 persons	3-4 persons	5 and above persons		
Alaplı	#	1	3	5	9	6.67
	% in district	11.1	33.3	55.6	100.0	
Akçakoca	#	23	43	42	108	4.29
	% in district	21.3	39.8	38.9	100.0	
Araklı	#	17	20	12	49	3.49
	% in district	34.7	40.8	24.5	100.0	
Altınordu	#	26	16	4	46	2.78
	% in district	56.5	34.8	8.7	100.0	
Merkez (Giresun)	#	2	2	1	5	3.0
	% in district	40.0	40.0	20.0	100.0	
Bulancağ	#	2	1	2	5	3.4
	% in district	40.0	20.0	40.0	100.0	
Yomra	#	1	1	3	5	4.4
	% in district	20.0	20.0	60.0	100.0	
Total	#	72	86	69	227	3.86
	% in total	31.7	37.9	30.4	100.0	

The gender distribution of household members as shown in Table 14 resembles that of the Turkish rural population. However, UTZ households seem to have more members in the working age group than an average rural family²¹.

²¹ As per Turkish Statistical Institute (TurkStat) 2017 data, women constitute 49 percent of the Turkish rural population. The percentages for age groups 0-4, 5-14, 15-19, 20-64 and 65+ are 7, 15, 8, 54 and 16 percent respectively.

Table 14. Gender and Age Groups of Household Members, UTZ 2018 Sample

Gender		Age Groups					Total
		0-5	6-13	14-17	18-64	65 and above	
Male	#	14	29	17	289	78	427
	% in gender	3.3	6.8	4.0	67.7	18.3	100.0
Female	#	15	34	23	288	90	450
	% in gender	3.3	7.6	5.1	64.0	20.0	100.0
Total	#	29	63	40	577	168	877
	% in gender	3.3	7.2	4.6	65.8	19.2	100.0

As shown in Table 15, 67 percent of the household members (55 percent in the baseline) and 58 percent of women are actively involved in the hazelnut production (without any significant differences per district).

Table 15. Household Members Involved in Hazelnut Production, UTZ 2018 Sample

Involvement in Hazelnut Production		Gender		Total
		Male	Female	
Yes	#	325	263	588
	% in gender	55.3	44.7	100.0
No	#	102	187	289
	% in gender	35.3	64.7	100.0
Total	#	427	450	877
	% in gender	48.7	51.3	100.0

Finally, the average household income (including income generated from hazelnut production and other sources) declared by UTZ farmers²² is illustrated in Figure 7 , with distribution by income groups in Table 16. Accordingly, while more than half of the households (52 percent) have an average annual income of 15,000 – 44,999 TL (which is below the poverty threshold for a family of four²³), 6 percent have less than 15,000 TL and 18 percent have more than 75,000 TL.

²² The average household income data is based on farmers' answers to the question "what is your average annual household income, including all income items such as hazelnut sale, salary, rent, etc.?"

²³ The poverty threshold for a family of four for June 2018 (the only nationally available poverty and hunger thresholds are calculated monthly by the Confederation of Turkish Trade Unions) is 4,398 TL (monthly), so the annual threshold would be 52,776 TL (8,877 USD as of 01 October 2018).

Figure 7. Average Annual Household Income for 2017 per District, UTZ 2018 Sample

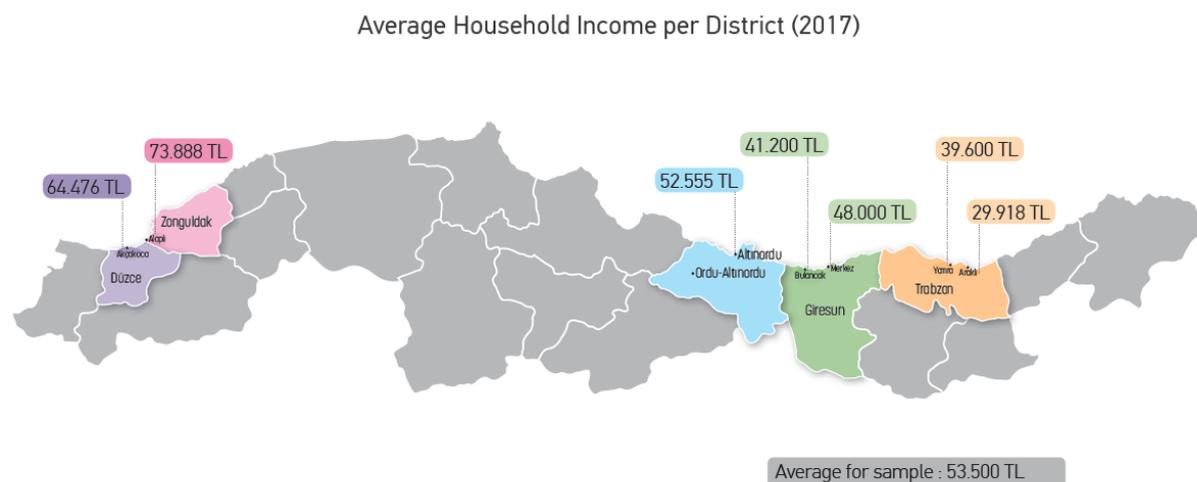


Table 16. Household Income Groups for 2017 per Province, UTZ 2018 Sample

Provinces		Income Groups						Total
		1 – 14,999 TL	15,000 - 29,999 TL	30,000 - 44,999 TL	45,000 - 59,999 TL	60,000 - 74,999 TL	75,000 TL and above	
Zonguldak	#	0	0	2	2	1	4	9
	% in province	0.0	0.0	22.2	22.2	11.1	44.4	100.0
Düzce	#	4	19	31	10	17	26	107
	% in province	3.7	17.8	29.0	9.3	15.9	24.3	100.0
Trabzon	#	5	21	19	5	3	1	54
	% in province	9.3	38.9	35.2	9.3	5.6	1.9	100.0
Ordu	#	4	8	13	6	4	10	45
	% in province	8.9	17.8	28.9	13.3	8.9	22.2	100.0
Giresun	#	0	1	3	4	2	0	10
	% in province	0.0	10.0	30.0	40.0	20.0	0.0	100.0
Total	#	13	49	68	27	27	41	225
	% in province	5.8	21.8	30.2	12.0	12.0	18.2	100.0

3.3. Farming Practices

3.3.1. Farm Maintenance

Pruning

(HNB2)

The hazelnut shrub is pruned annually to obtain optimal tree structure and health. Dried, dense, unproductive and unnecessary shoots, branches and suckers are removed.

(Pruning is finished before the buds open. The number of branches per shrub and the moment of pruning is optimally chosen according to the variety.)

(GB40)

Pruning and removal of shoots/suckers and infested material are regularly carried out to obtain optimal tree structure and health.

(Tools are disinfected when there is a risk of disease transmission.)

The hazelnut shrubs should be pruned, and shoots/ suckers should be removed at least annually to obtain optimal tree structure and health. As can be seen in Table 17, 90 percent of the farmers interviewed declared that they prune and remove shoots / suckers once or twice a year.

Looking at whether there is a difference per district and age group in the percentage of farmers who prune and remove shoots only once in two years, we see that half of them live in Altınordu and more than 70 percent are older than 50 years of age (one possible reason behind is that one third of the farmers in Altınordu are retired, i.e. have other sources of income, thus are less dependent on the income they would generate from hazelnut harvest and do not prioritize improving their farming practices or productivity).

When compared with the baseline findings, it is observed that the percentage of farmers who prune at least once a year (including those who prune once or twice annually) remains the same at 90 percent, but there is a significant increase in the percentage of farmers who prune twice a year (from 3.7 percent to 14%). The interviews with the IMS staff also confirmed that the percentage of farmers who prune twice a year increased during the last four years and this significantly contributed to increased yields. This is likely an effect of the program, especially considering that; (a) 76 percent of the farmers stated that they received training on pruning and removal of shoots/suckers and almost all of them (94 percent) found the training useful, and (b) when asked about the progress they have observed over the last four years, both the internal inspectors and external auditors refer to better pruning practices as one of the main areas of improvement.

Table 17. Pruning and Shoots Removal Frequency

Frequency	Pruning		Shoots Removal	
	#	%	#	%
Once a year	172	75.8	178	78.4
Twice a year	32	14.1	25	11.0
Once in two years	19	8.4	20	8.8
Once in three years	2	0.9	2	0.9
Occasionally / when necessary	1	0.4	2	0.9
Never	1	0.4	-	-
Total	227	100.0	227	100.0

Hazelnut trees stand in patches and have multiple stems/branches. In the farmer information booklet titled “Hazelnut Cultivation” published in 2014, it is stated that 5 to 6 branches/stems should be left per patch.²⁴ As shown in Table 18, in line with the control point, 67 percent of the farmers stated that they leave either 4-5 branches (34 percent) or 6-7 branches (33 percent). This suggests that, similar to the findings of the baseline study, one third of the farmers still leave too many branches while pruning, despite the fact that most of them were trained on this issue (Table 5). The explanation for this is that farmers traditionally believe that a high number of branches increases productivity. We recommend CHs to revise the trainings to successfully challenge this traditional practice.

²⁴ Fındık Yetiştiriciliği (Hazelnut Farming) 2014, Fındık Tanıtım Grubu (Hazelnut Promotion Group)

Looking at whether there is a difference per district in the percentage of farmers who leave more than 8 branches, we see that 29 out of 42 farmers (69 percent) live in Akçakoca.

Table 18. Number of Branches Left After Pruning

# of Branches Left	#	%
2-3	2	0.8
4-5	77	33.9
6-7	71	33.1
8-9	42	18.5
10-11	19	8.4
12-13	4	2.2
Other	2	0.9
According to insolation	9	4.0
Total	227	100.0

The tools used for pruning and shoots removal should be disinfected especially when there is a risk of disease transmission. During the interviews, 70 percent of the farmers stated that they clean (disinfect) the tools (Table 19). Although 30 percent still do not or sometimes clean the tools, there is a significant improvement in the last four years as only 46 percent responded positively during the baseline.

Table 19. Cleaning the Tools Used in Pruning or Removal of Shoots / Suckers

Cleaning (disinfecting)	#	%
Yes	158	69.6
No	41	18.1
Sometimes	28	12.3
Total	227	100.0

Weed Control

(GB41)
Weeds are controlled to optimize nutrient and water uptake of the crop.
(Priority is given to non-chemical weed control strategies.)

As shown in Table 20, and similar with the findings of the baseline, almost all the farmers (226 out of 227 farmers) exercise weed control in their orchards and most of them (68 percent) do it twice a year.

Table 20. Frequency of Weed Control

Controlling Weed	#	%
Yes	226	99.6
No	1	0.4
Total	227	100.0
Frequency	#	%
Once a year	56	25.2
Twice a year	151	68.0
Three times a year	12	5.4
Four times a year	3	1.4
Total	222	100.0

Regarding the method of weed control (Table 21), again similar to the findings of the baseline, it is observed that most of the farmers use machinery or hand tools (94 percent in total). However, the percentage of farmers using chemicals in weed control increased from 3 percent to 7 percent. Only 2 out of 15 farmers using chemicals rely only on chemicals in weed control. 11 out of these 15 farmers live in Akçakoca district and 74 percent are 50 years or older (one possible reason behind is that more than one third of the farmers in Akçakoca are retired, i.e. have other sources of income, thus are less dependent on the income they would generate from hazelnut harvest and prefer the “easier” way of weed control rather than complying with good farming practices).

(possible reasons behind may include that since using chemicals is less labor intensive and cheaper, be that more than one third of the farmers in Akçakoca are retired, i.e. have other sources of income, thus are less dependent on the income they would generate from hazelnut harvest).

Table 21. Method of Weed Control

Method	#	% of Farmers ²⁵
Using machinery	137	60.6
Using hand tools	116	51.3
Using chemicals	15	6.6
Manually only	2	0.9
Total	270	

Yield Optimization

(GB42)
 Heavy pruning, grafting, and/or replanting is performed on low producing and unproductive plantations to promote an optimal yield.

Heavy pruning, grafting and/or replanting is quite important to promote yield optimization, especially where the hazelnut shrubs are old and weak, as it is the case in most of the orchards in Eastern Black Sea region. In this context, when asked about what kind of interventions they make to promote optimal yield on low producing and/or unproductive plantations, 85 percent of the farmers stated that they do heavy pruning and 24 percent said they plant new shrubs, indicating that they use more than one method (Table 22). This suggests that while the percentage of the farmers who do heavy pruning remains similar to the baseline findings of 88 percent, there is a significant increase in the percentage of farmers who do replanting (from 4 percent to 24 percent). This may both be a direct effect of the program as most of the farmers (77 percent) were trained on optimal yield promotion and almost all (95 percent) of them found the training useful; and an indirect result of the 2014 and 2018 sample differences as a larger percentage of farmers in the 2018 sample live in the village and are actively involved in hazelnut harvest.

²⁵ The percentages do not add up to 100 percent because multiple answers were possible.

Table 22. Methods of Yield Optimization for Low Producing and Unproductive Plantations

Methods	#	% of Farmers
Heavy pruning	192	85.0
Replanting	53	23.5
Using fertilizers	28	12.4
Grafting	15	6.6
Others	13	5.8
Nothing	8	3.5

When analyzed per districts (Table 23), it is observed that heavy pruning is exercised by all the farmers in Alaplı, Giresun Merkez and Yomra districts and by at least 80 percent of the farmers in Akçakoca, Altınordu and Bulancak districts to promote an optimal yield. The second most popular method practiced by the farmers is replanting.

8 farmers stated that they do nothing to promote optimal yield; 6 due to heavy costs and 2 because they do not know what to do. The average age of these farmers is 61,5, most of them live in Altınordu and Akçakoca districts and have lands between 4-20 decares (as an exception, 1 of the 6 farmers who do nothing due to high costs has a 130-decare orchard).

Table 23. Methods of Yield Optimization per District

Methods		Districts							Total
		Alaplı	Akçakoca	Araklı	Altınordu	Giresun Merkez	Bulancak	Yomra	
Heavy pruning	#	9	93	38	38	5	4	5	192
	% in district	100.0	86.1	79.2	82.6	100.0	80.0	100.0	-
Replanting	#	1	28	13	9	2	0	0	53
	% in district	11.1	25.9	27.1	19.6	40.0	0.0	0.0	-
Using fertilizers	#	0	11	8	6	0	1	2	28
	% in district	0.0	10.2	16.7	13.0	0.0	20.0	40.0	-
Grafting	#	1	12	0	2	0	0	0	15
	% in district	11.1	11.1	0.0	4.3	0.0	0.0	0.0	-
Others	#	0	8	3	0	0	1	1	13
	% in district	0.0	0.1	0.1	0.0	0.0	0.2	0.2	-
Nothing	#	0	3	1	4	0	0	0	8
	% in district	0.0	2.8	2.1	8.7	0.0	0.0	0.0	-

Pollination

(HNB4)

To optimize pollination and normalize production, at least one other variety of hazelnut trees is inter-planted amongst the main variety.

(Pollinating varieties are compatible with the main variety, its shape and size and are planted in a way that ensures optimal pollination.)

Hazelnut tree varieties pollinate each other. Pollinating varieties should be compatible with the main variety, its shape and size. Additionally, it is suggested that they represent at least 10 percent of all trees and should be planted in a way to ensure a balanced distribution.

92 percent of the farmers (208 out of 227 farmers) interviewed declared that there are different pollinating varieties of hazelnut shrubs in their orchards (the baseline percentage was 96). 10 out of 19 farmers who do not have pollinating varieties live in Akçakoca district and 69 percent have lands smaller than 20 decares.

As can be seen in Table 24, 59 percent of the farmers who have different pollinating varieties in their orchards plant them randomly, while only 35 percent of them plant them in a way to ensure balanced distribution. Although there is a small difference when compared to 2014 baseline findings of 25 percent, it is suggested to revisit the training provided to farmers on this subject to ensure a more balanced distribution in more of the orchards.

Table 24. Distribution of Pollinating Varieties in Hazelnut Orchards

Distribution	Evaluation (2018)		Baseline (2014)	
	#	%	#	%
Balanced	73	35.3	52	25.1
Randomly	122	58.9	147	71.0
Only on edges	12	5.8	5	2.4
Total	207	100.0		

Removal of Livestock and Poultry

(HNB3)
Livestock and poultry is removed from the orchard at least one month before harvest, to avoid damage to or contamination of the hazelnuts.

Hazelnut harvest usually starts at the beginning of August and continues until the end of the month. It can last until the first half of September depending on the climate. In order to keep hazelnuts immune from animal waste/manure and avoid damage or contamination, livestock and poultry should be removed from the orchards at least from the beginning of July.

42 percent of the farmers (96 out of 227) interviewed stated that their own or neighbor’s livestock and/or poultry feed/graze on their orchards (the percentage for baseline was 47), but as seen in Table 25, only 9 percent of them (9 out of 96 farmers) stated that they feed/graze on their plantation in July (the percentage for baseline was 5).

Table 25. Months in Which Animals Graze in Hazelnut Orchards

Months	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
# of farmers	70	70	70	56	34	21	9	6	18	48	52	35
% of Farmers	72.9	72.9	72.9	58.3	35.4	21.9	9.4	6.3	18.8	50.0	54.2	36.5

30 percent of the farmers (67 out of 227 farmers) interviewed stated that these animals enter their orchards for having a barn / poultry in their own or neighbor’s farm or for having a route for animals there, and 93 percent (62 out of 67 farmers) of them stated that they do not let them in their orchards in certain months.

3.3.2. Planting Material and Nursery

(GB34)
 Suitable varieties are used for new planting (including propagation). The group provides suitable planting material to group members, or identifies a local provider(s) who can do so. (Suitable varieties consider: Expected yield; resistance against pests, diseases, and drought; inputs required; product quality; adaptation to local, geographical, ecological, and agronomical conditions. The list of local providers is available and updated. In cases where no local provider of suitable planting material is available, measures are taken to set up on-site nurseries.)

(GB35)
 Planting material obtained from a nursery is free of visible signs of pest and disease. (A justification is available when plants have visible signs of damage from pest or disease.)

(GB39)
 New plantings follow a suitable crop pattern to ensure a well-established cropping system. (A suitable crop pattern takes into account e.g.: Varietal requirements; geographical , ecological, and agronomical conditions; diversification and intercropping; planting density.)

As shown in Table 26, regarding using suitable varieties (i.e. those with high yield, resistant against pests, diseases and drought) in new plantings, 48 percent of the farmers responded positively, and 5 percent responded negatively. Similar to the baseline findings, on the other hand, 47 percent (49 percent in baseline) declared that they do not plant new saplings, which can be taken as a sign for a potential problem in productivity as older hazelnut shrubs are relatively less productive. The interviews with the IMS staff also confirmed that new plantings are rare.

Table 26. Farmers Using Suitable Varieties in New Plantings

Suitable Varieties in New Plantings	Evaluation (2018)		Baseline (2014)	
	#	%	#	%
Yes	108	47.6	93	43.1
No	11	4.8	17	7.9
No new planting	107	47.1	106	49.1
No idea	1	0.4	-	-
Total	227	100.0	216	100.0

The evaluation study findings are similar with the baseline results regarding the method of procurement of these new saplings as well. 77 percent of the farmers who plant new saplings produce their own and 17 percent obtain them from their neighbors (the rest obtain them from a market or nursery). During the interviews with the IMS staff, it was also stated that new planting material is obtained either from another farmer or a local seller. This can be interpreted as reliance on traditional methods for new plantings and a potential shortage of nurseries in Turkey.

Of farmers who engage in rejuvenating their hazelnut orchards, 49 percent take into account planting density, 47 percent consider characteristics of specific varieties and 35 percent consider geographical conditions (Table 27). The percentage of those who take into account diversification and intercropping remains below 10 percent and 3 percent do not consider any factors when rejuvenating. These figures suggest an increase since

2014 in the percentage of farmers who take into account planting density (from 41 to 49 percent), characteristics of specific varieties (from 17 to 47 percent) and geographical conditions (from 8 to 35 percent). Although the 2014 and 2018 samples are different, an increase to this extent is likely an effect of the program as a result of farmer trainings (74 percent of farmers stated that they received training on rejuvenation and 94 percent found the training useful) and improved knowledge among farmers.

Table 27. What Farmers Take into Account when Rejuvenating Their Orchards

Consideration	#	% of Farmers ²⁶
Planting density	57	49.1
Characteristics of specific varieties	55	47.4
Geographical conditions	41	35.3
Agricultural conditions	23	19.8
Ecological conditions	22	19.0
Diversification and intercropping	11	9.5
Replacing old plantings	7	6.0
Depth of planting	4	3.4
No specific consideration	3	2.6
Total	223	

3.3.3. Soil and Fertility Management

Soil Conservation

(GB44)
 Soil erosion is prevented by using soil conservation techniques. Soil is covered (e.g. using cover crops, mulch, etc.) when clearing and/or replanting land.
 (Fire is not used to clear vegetation when preparing fields.)

A large majority of the hazelnut orchards are located on hillsides and average annual rainfall in the hazelnut provinces is higher than the national average, making soil conservation techniques quite important for the region.

When asked about the measures they take to control soil erosion, on the other hand, 66 percent of the farmers stated that there is no risk of soil erosion in their orchards and 11 percent stated that they do not take any measures (Table 28). The percentages of farmers who do terracing and who have a drainage system are 15 and 10 respectively. When compared to baseline (2014) findings, an increase is observed in the percentage of farmers who have a system for removing storm water (drainage), however, the percentage of those who think that there is no risk of erosion in their orchards increased by 15 percent, indicating that soil conversation is still relatively a less important concern for farmers, despite that 75 percent of them were trained on this and 95 percent found this training useful (Table 5).

²⁶ The percentages do not add up to 100 percent because multiple answers were possible.

Table 28. Soil Conservation Measures in Hazelnut Orchards

Measures	#	%	% of Farmers (2018)	% (2014)
Terracing	33	13.5	14.7	13.4
Drainage	23	9.4	10.2	1.4
Planting trees	17	6.9	7.6	-
Nothing	24	9.8	10.7	29.2
No risk	148	60.4	65.8	50.5
Total	245	100.0		

As shown in Table 29, 68 percent of the farmers do not take any measures for soil conversation during weed control or replanting land. Only 4 percent plant cover plants, 1 percent cover the land with natural or synthetic material (mulching). While still quite low, these figures illustrate a relative progress since 2014, when 82 percent were not taking any measures and less than 2 percent were covering plants or mulching.

Table 29. Soil Conservation Measures During Weed Control or Replanting

Measures	#	%	% of Farmers (2018)	% (2014)
Planting cover plants	9	3.9	4.0	0.9
Mulching	3	1.3	1.3	0.9
Burning	10	4.4	4.4	-
Nothing	153	67.1	68.0	81.5
Other	53	23.3	23.5	16.7
Total	245	100.0		

Improving Soil Fertility

(GB46)

Measures are taken to improve soil fertility according to the nutritional needs of the crop, including compensation for nutrients lost from harvests. Fertilizers used (organic and inorganic) are used efficiently to maximize uptake.

(Measures to improve soil fertility include e.g.: Planting nitrogen-fixing species; agroforestry practices; composting; application of inorganic fertilizer. Measures to correct low soil pH are implemented when possible. If soil pH is low, acidifying nitrogen based fertilizers are avoided or are used in combination with lime. Efficient fertilizer use considers the prescribed dosage, period or timing and intervals of application, and release properties.)

To obtain high quality crop and higher yield, it is necessary to know the nutrient needs of hazelnut tree and to respond to this need. This would require conducting soil analyses in autumn, 1-2 months before fertilizer application, and leaf analysis 10-15 day before harvesting.²⁷

When asked about how they determine the nutritional needs (fertilizers, liming, etc.) of their hazelnut trees, 82 percent of the farmers stated that they commission soil analysis and 39 percent stated that they consult an engineer or agricultural consultant (Table 30). When compared to baseline findings, an increase is observed in both methods, while there

²⁷ Fındık El Kitabı, Fındıkta Verim ve Kaliteyi Artırma Projesi (2014)
(http://www.tb.org.tr/dosya/findikkitapcik_internet.pdf)

is a decrease in the percentage of farmers who decide by observation, illustrating a significant improvement. This increase may be a result of the relatively higher educated farmers in 2018 sample having a stronger tendency to use scientific methods; but it may as well be a direct effect of the program as farmers were trained on improving soil fertility and the interviews with IMS staff also confirmed that one of the main areas of improvement over the last four years has been a significant increase in the farmers' demand for soil analysis.

Table 30. Methods of Determining Nutritional Needs of Hazelnut Trees

Methods	#	%	% of Farmers (2018)	% (2014)
Soil analysis	187	53.7	82.4	38.8
Leaf analysis	12	3.4	5.3	3.1
Observation	55	15.8	24.2	35.4
Consulting an engineer / agricultural consultant	89	25.6	39.2	12.2
Nothing	5	1.4	2.2	8.7
Total	348	100.0		

Regarding the way of compensation for lost nutrients, 50 percent of the farmers stated that they use chemical fertilizers, 60 percent stated that they use manure, 41 percent stated that they use organic fertilizer and 68 percent stated that they practice liming.

When asked about what kind of fertilizer they used in 2017 and amount of it, the responses showed an increase in the amount of chemical and organic fertilizers, manure and leaf fertilizer used when compared to baseline findings, as shown in Table 31 .

Table 31. Type and Amount of Fertilizer Used

Fertilizers	Evaluation (2018)			Baseline (2014)	
	#	%	Average amount	%	Average amount
Chemical fertilizer	112	49.3	1,606 kg.	60.9	1,522 kg.
Manure	110	48.5	8,186 kg.	41.8	6,122 kg.
Organic fertilizer	74	32.6	1,859 kg.	6.0	1,145 kg.
Lime	96	42.3	2,903 kg.	28.9	2,912 kg.
Leaf fertilizer	42	18.5	22 lt.	16.9	19 lt.

The timing of the nutrient application is important for crop quality and yield. Table 32 shows the percentage of farmers using different types of fertilizers with correct timing in green shaded areas. Accordingly, similar to the baseline findings, the majority of the farmers use manure, organic fertilizer and lime at the right time, while more farmers apply chemical fertilizer and leaf fertilizer at the wrong time.

Table 32. Timing of Fertilizer Application*

Months	Chemical Fertilizer (%)	Manure (%)	Organic Fertilizer (%)	Lime (%)	Leaf Fertilizer (%)
January	4.5	8.4	4.1	5.2	-
February	10.9	14.0	11.0	9.4	2.4
March	30.9	17.8	15.1	9.4	2.4
April	52.7	6.5	16.4	2.1	43.9
May	31.8	2.8	21.9	4.2	58.5
June	2.7	-	-	-	12.2
July	-	-	-	-	2.4
August	-	-	-	-	-
September	-	2.8	1.4	-	-
October	-	15.0	15.1	7.3	4.9
November	8.2	53.3	46.6	63.5	7.3
December	2.7	24.3	21.9	35.4	-
# of Farmers	110	110	73	96	41

* Green shaded areas show the correct timing for fertilizer application.

3.3.4. Harvesting

(GB70)

Product is harvested at the appropriate time and using the best method for optimizing quality and crop health.

The harvesting time for hazelnut is decided upon by a commission established in provinces / districts, and producers are expected to follow the commission's decision.²⁸ However, only 26 percent of the farmers stated that they decide on the timing of hazelnut harvest based on the commission's decision, while 67 percent decide themselves based on the ripening of the hazelnut (Table 33). Although still low, an increase by almost 10 percent is observed since 2014 in the percentage of farmers who follow the commission's decision. However, since the increase is relatively small and there may be other factors (such as how/when the commission's decision was communicated to the farmers, etc.) affecting the farmers' decision, it is difficult to claim that this progress is a direct effect of the program.

Table 33. Method of Deciding on The Timing of Hazelnut Harvest

Methods	Evaluation (2018)		Baseline (2014)	
	#	%	#	%
Based on commission's decision	69	25.7	35	16.2
Decide himself/herself based on ripening of hazelnut	180	66.9	167	77.3
Based on decision taken locally in the village	20	7.4	2	0.9
Total	269	100.0		

²⁸ The local commissions determine the date for hazelnut harvest for different altitudes and the decision is binding for farmers (i.e. it is forbidden to start harvesting before the date announced by the commission).

Table 34. Hazelnut Harvesting Method per District

Districts		Harvesting Method					Total
		Picking manually from branches	Manually collecting fallen hazelnuts	Collecting fallen hazelnuts with machines	Collecting fallen hazelnuts from the cover on the ground	Collecting fallen hazelnuts with sweeper	
Alaplı	#	0	4	3	2	0	9
	% in district	0.0	44.4	33.3	22.2	0.0	100.0
Akçakoca	#	12	89	3	4	0	108
	% in district	11.1	82.4	2.8	3.7	0.0	100.0
Araklı	#	38	11	0	0	0	49
	% in district	77.6	22.4	0.0	0.0	0.0	100.0
Altınordu	#	36	9	0	0	1	46
	% in district	78.3	19.6	0.0	0.0	2.2	100.0
Merkez (Giresun)	#	1	4	0	0	0	5
	% in district	20.0	80.0	0.0	0.0	0.0	100.0
Bulancak	#	1	4	0	0	0	5
	% in district	20.0	80.0	0.0	0.0	0.0	100.0
Yomra	#	4	1	0	0	0	5
	% in district	80.0	20.0	0.0	0.0	0.0	100.0
Total	#	92	122	6	6	1	227
	% in total	40.5	53.7	2.6	2.6	0.4	100.0

The most appropriate method of hazelnut harvest is shaking the trees and collecting the fallen nuts.²⁹ However, since many plots are on slopes, as shown in Table 34, hand picking from branches is quite common. When compared with baseline findings, there is a decrease in the percentage of farmers using the recommended method of manually collecting fallen hazelnut from the ground (from 64 percent in 2014 to 54 percent in 2018), while the percentage of farmers who manually pick from the branches increased from 35 percent to 41 percent. Considering that 76 percent of the farmers stated that they received training on this issue and 95 percent of them found the training useful, it is suggested to revisit the training and consider how a practice change would be attained.

3.4. Working Conditions

3.4.1. Child Labor

(GC77)

Worst forms of child labor

Children under 18 years do not conduct hazardous work or any work that may harm their physical, mental, or moral well-being, for the group or group members. They do not carry heavy loads, or work in dangerous locations, in unhealthy situations, at night, or with dangerous substances or equipment. They are not exposed to any form of abuse and there is no evidence of trafficked, bonded or forced labor.

²⁹ Fındık El Kitabı, Fındıkta Verim ve Kaliteyi Artırma Projesi (2014) (http://www.tb.org.tr/dosya/findikkitapcik_internet.pdf)

Work

Children under 15 years are not engaged by the group or group members to work. In case national law has set the minimum work age at 14 years, this age applies. Children in the age of 13-14 years may perform light work, provided that the work is not harmful to their health and development, does not interfere with their schooling or training, is under supervision of an adult, and does not exceed 14 hours a week. In case national law has set the light work ages at 12-13 years, these ages apply.

Family farming

Children living on small scale family farms may participate in farming activities that consist of light, age-appropriate duties that give them an opportunity to develop skills, provided that the activities are not harmful to their health and development, do not interfere with schooling and leisure time, and are under supervision of an adult.

According to 2012 Child Labor Survey data (latest data available on child labor in Turkey) published by the Turkish Statistical Institute (TUIK), there are 893,000 working children in the age group 6-17. This corresponds to 5.9 percent of all children in that age group and to 15.6 percent of children in the age group 15-17. 52.6 per cent of these working children are wage earners while 46.2 per cent are unpaid family workers. Of all working children 44.7 per cent (399,000) are working in agriculture.

Employment of children under age 15 is prohibited by the Labor Code No. 4857 presently in effect in Turkey. Children in the age interval 15-18 can be employed given that this employment does not interfere with their education and that their health and safety is fully secured. The Regulation on the Procedures and Principles Relating to the Employment of Child and Young Workers identifies the conditions under which children under 18 cannot be employed. Accordingly, in case of the presence of any of the risks below, which are all present in the hazelnut harvest³⁰, the minimum age for employment is set as 18:

- Danger of falling and getting injured
- Pesticide and fertilizer application
- Lifting loads heavier than 10 kilograms
- Working under too hot or cold temperature
- Works requiring extreme attention
- Works requiring standing on foot for long period of time
- Payment on piece-rate and premium system
- Threat to development (safety, health, physical, mental, moral, psychological)
- Risks that may threaten development, health and safety due to children's inexperience, unawareness or yet not fully developed status that requires measures to be taken by employers

³⁰ According to a very recent research conducted by the Development Workshop (the first research conducted in Turkey to illustrate if working in hazelnut harvest carries these risks) – *Health Risks Faced by Children working in Agricultural Production, Case of Citrus Fruit, Cotton and Hazelnut Harvesting* (2018), Development Workshop

Furthermore, Turkey acceded in 2001 to ILO Convention No.182 Concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labor and identified child labor in seasonal migrant agricultural work as one of the worst forms of child labor. Thus, employment of children under age 18 in seasonal migrant agriculture was also prohibited.

The UTZ code also prohibits employment of children below 15, but allows children over 15 to perform non-hazardous tasks under certain conditions. The code is also clear in prohibiting children under 18 to do any hazardous work.

Looking at the evaluation findings (Table 35), we see that out of 227 farmers interviewed, 16 farmers (7 percent) declared that they employ children below 14, while 26 (12 percent) and 81 (36 percent) farmers declared employing children aged 14-15 and 16-17 respectively.

Table 35. Farmers Employing Children in Hazelnut Harvest

Worker Groups		Below 14	Age 14-15	Below 16	Age 16-17	Below 18
Household members	#	6	3	7	9	14
	%	2.6	1.3	3.1	4.0	7.9
Local workers	#	0	1	1	9	9
	%	0.0	0.4	0.4	4.0	4.4
Turkish migrant workers	#	12	21	22	70	75
	%	5.3	9.3	9.7	30.8	45.4
Syrian workers	#	0	0	0	1	1
	%	0.0	0.0	0.0	0.4	0.4
Other foreign workers	#	0	1	1	1	1
	%	0.0	0.4	0.0	0.4	0.9
Total	#	16	26	29	81	89
	%	7.0	11.5	12.8	35.7	59.0

When compared with the baseline study, a significant decrease is observed in the percentage of farmers employing children below age 16. While 27 percent of the farmers were employing children below 16 during the baseline study, this percentage dropped to 13 percent (29 out of 227 farmers) during the evaluation study. The total number of working children below 16 also decreased from 146 in 2014 to 89 in 2018. This may be one of the main contributions of the program as both the internal inspectors and external auditors highlighted an increased awareness among farmers about the prevention of child labor and a corresponding decrease in the number of working children. The fact that farmers in the evaluation study are more educated than the baseline study could also have a positive impact on the farmers’ awareness.

When asked about why they employ children, the major reason declared was that either their families (54 percent) or the labor contractors (46 percent) put it as a condition (Table 36), because most seasonal/migrant workers travel with their families and they are dependent on the labor of their children for subsistence. During the baseline study, the two main reasons declared was that their families put it as a condition (52 percent) and to have them acquire skills (24 percent).

Table 36. Reasons for Employing Children in Hazelnut Harvest

Reason	#	%	% of Farmers (2018)	% (2014)
To have them acquire skills / undertake responsibility	4	4.3	4.9	24.1
For not being able to find sufficient number of adult workers	1	1.1	1.2	1.9
To support the child in material terms	7	7.5	8.6	18.5
Their families put it as a condition	44	47.3	54.3	51.9
Labor contractors put it as a condition	37	39.8	45.7	11.1
Total	93	100.0		

Prevention of child labor was raised as an issue during the interviews with CH staff and representatives of external auditing firms. The findings include the following:

- None of the CHs employ workers below the age of 18.
- All the CHs include child labor in the risk assessments they carry out annually.
- None of the CHs see child labor as a significant risk for their farmers, some due to the fact that mostly local workers are employed in their region, some due to increased awareness they observe among farmers.
- External auditors recognize that there is a risk of child labor, but they think there is a significant increase in the awareness among farmers and the CHs' preventive efforts help minimize the number of working children.
- When asked about what their reaction would be if/when a working child is identified, most of the CHs state that they would issue a warning and make a follow-up visit to the orchard. Only one CH referred to a standard procedure they have in such cases, which defines the responsibilities and includes remediation steps to be followed. The UTZ Turkey team further shared with the Development Workshop a child labor risk assessment procedure prepared by one of the CHs, which briefly mentions about the measures to be taken when a working child is identified.
- Among the preventive efforts CHs conduct are (1) providing trainings to farmers, and (2) establishing / financially supporting summer schools and referring the children accompanying their families during hazelnut harvest to these schools.
- CHs' collaboration with local authorities for prevention of child labor is mainly limited to working with the local directorates of education and health for establishment of summer schools and cooperating with *muhtars* (village heads) in monitoring the migrant workers. It was further added during the validation workshop that one of the CHs has been running a project with the Ministry of Labor, Social Services and Family on prevention of child labor in hazelnut production.³¹

³¹ UTZ Turkey team also informed the Development Workshop that most of the CHs are collaborating with the local authorities in many areas, such as providing in-kind assistance to the schools in the region or to the children of farmers (e.g. school materials, shoes, etc.) and funding artwork classes for disabled children or literacy classes for women in

- Employment of child labor is not seen as a reason for termination of UTZ certificate by many of the CHs (only one manager argued that, although they have not witnessed a working child yet, they would exclude the farmer from the UTZ program in such a case). One of the IMS staff, for example, stated that since child labor does not affect the product quality, the response should not be excluding the farmer from the program but finding out the reasons behind and trying to find an effective solution accordingly (e.g. referring the child to a summer school).

3.4.2. Freedom of Association and Collective Bargaining

(GC81)

Group staff can freely establish and join workers' organizations, both internal (such as workers' representations) and external (such as trade unions), and take part in collective bargaining on working conditions. If national law forbids trade unions, workers are at least able to elect representatives to discuss working conditions with the farm management.

(Effective functioning of such organizations is not interfered with in any way. Group staff are allowed to freely elect their own representatives. Representatives have access to their members in the workplace.)

(GC82)

Group staff are not subject to any retaliation, discrimination, or other negative consequences if they establish or join a workers' organization or if they take part in collective bargaining.

(GC83)

Group staff are effectively informed, either by individual letter or by a general diffusion, about:
 - the right to establish and join a workers' organization, - the right to engage in collective bargaining, and - the guarantee that they will not be subject to any retaliation, discrimination, or other negative consequences if they exercise any of these rights.

It is important to note that this control point applies only to employees of the Certificate Holders (group staff). It does not apply to hired workers of the group members. The control points related to freedom of association and collective bargaining require that CH staff should be able to freely establish and join workers' organizations. When asked about whether their workers are unionized, all the CH managers and IMS staff responded negatively. However, they also declared that their workers have the right to establish/join a workers' organizations, they would not be subject to any negative consequences if they do and they are totally aware of this right.

3.4.3. Wages and Contracts

Hiring

(HNC11)

The identity of the employed workers is checked against their valid ID.

(The elements to be checked and documented include: full name of the worker, gender, date of birth, nationality. Instead of a verification document, a copy of the ID of each worker can also be provided.)

their region. However, since these efforts are not directly related to prevention of child labor, they have not been considered as such evidence in the evaluation by the Development Workshop.

As shown in Table 37, out of 227 farmers interviews, 170 (75 percent) declared that they employ workers for hazelnut production. Most of these farmers (114 farmers, 67 percent) employ Turkish migrant workers, more than half of them (97 farmers, 57 percent) employ local workers and only very few (7 farmers, 4 percent) employ foreign workers³². The questions about wages and contracts were posed to the 170 farmers employing workers.

Table 37. Farmers Employing Workers for Hazelnut Harvest

	# of Farmers
Workers	170
Turkish migrant workers	114
Local workers	97
Foreign workers	7

The first questions related to hiring were about whether the farmers check the identity of their workers and keep record of their workers’ ID information. While the percentages still remain low at 66 and 57 percent respectively, these percentages show an important progress since the baseline study in 2014, when only 40 percent of the farmers stated that they keep the list/record of their workers. Although the progress can be a result of the program (as 67 percent of the farmers stated that they received training on keeping records and 95 percent found it useful), we should bear in mind that both the internal inspectors and external auditors stated that record keeping is still the most challenging/difficult requirement for farmers.

When asked about the information included in the worker records, almost all the farmers stated that they record workers’ name and last name, while the percentages of farmers who record the gender, date of birth and nationality of the workers were 79, 77 and 77 percent respectively (Table 38). A significant progress is observed when compared to baseline findings, as while almost all the farmers were recording workers’ full name, less than half of the farmers were recording the other required information. However, keeping records was the most highlighted area of concern during the interviews with not only IMS staff but also external auditors. They all stated that despite the guidance and help provided by the IMS staff, keeping records is still the most challenging requirement for farmers to comply with.

Table 38. Information Included in the Worker Records

Information	#	%	% of Farmers (2018)	% (2014)
Name, last name	97	29.0	99.0	98.5
Gender	77	23.0	78.6	44.1
Date of birth	75	22.4	76.5	36.8
Nationality	75	22.4	76.5	30.9
Total	335	100.0		

³² Out of 7 farmers employing foreign workers, 2 employs Syrian workers and 5 employs workers from other nations (e.g. Georgian workers).

Payments

(HNC12)
 The producer pays the wages directly to the workers. A record is kept of wage payments and signed by each worker, group member and, if applicable, labor contractor.
 The record can be a collective document, nevertheless it is signed by each worker at the moment of hiring and at the moment of final payment. The records are centrally stored and a copy is provided to each worker.
 (At the moment of hiring the records include at least: full name, birth date, salary per hour/day/unit, number of expected hours/days of work, occurring deductions or deductions, agreed with the worker, job title. For wage payment are at least added: number of worked, hours/days/units, total amount of salary paid, date(s) of payment, occurring deductions or deductions agreed with the worker. Workers show agreement with the working and payment conditions by signing. Records are understood by the workers.)

According to the control point HNC12, farmers should make the wage payments directly to workers. This is an important measure to ensure that no deductions are made out of the net payments of the workers. However, both at the baseline and in 2018, more than half of the farmers declared that they make the payments to the labor contractors instead of the workers (Table 39). While only 45 percent of the farmers were making payments directly to workers in 2014, this percentage decreased even further to 33 percent in 2018. Considering that 34 percent of the farmers stated that they did not receive any training on wage payments, a point to consider may be to ensure that all farmers are trained on this issue and guided to act in line with this control point. Nevertheless, it is convenient for both the farmers and workers to work with a labor contractor. It is more practical for farmers to hire all workers in one transaction rather than finding and hiring individual farmers. Workers, on the other hand, usually feel more confident as the labor contractor provides them with a sort of job and wage guarantee. Thus, rather than requiring farmers to make wage payments directly to workers, a more appropriate measure to prevent the risk of workers making additional payments to labor contractors may be to put in place a stricter monitoring system.

Table 39. Recipient of Wage Payments

Persons Receiving Payments	Evaluation (2018)		Baseline (2014)	
	#	%	#	%
Workers	56	32.9	78	45.3
Family representatives	1	0.6	4	2.3
Labor contractors	113	66.5	89	51.7
Total	170	100.0		

A significant progress is observed, on the other hand, in the percentage of farmers keeping payment records. In 2014, 61 percent of the farmers were keeping payment records and only 6 percent were asking workers to sign these records. In 2018, 74 percent of the farmers stated that they keep payment records³³ and 35 percent of these farmers stated

³³ UTZ representatives highlighted during the validation workshop that all farmers must be keeping payment records and these records have to be included in the farmer registration forms; CHs cannot be certified otherwise. This may suggest a discrepancy between farmer answers and the practice in real.

that they provide copies of the payment records to the workers. However, as mentioned above, both IMS staff and external auditors stated that keeping records is the most challenging requirement for farmers to comply with and these records are sometimes prepared not at the time of hiring or payment but just before the audits.

When asked about the information covered in the payment records (Table 40), it is observed that majority of the farmers include number of worked hours/days/units (76 percent) and total amount of salary paid (65 percent). However, the percentage of farmers who record number of expected hours/days of work (24 percent) , dates of payment (30 percent) and deductions from salary (14 percent) remain low, while none of the farmers include job title in the records.

Table 40. Information Included in the Payment Records

Information	#	% of Farmers ³⁴
Salary per hour/day/unit	39	31.2
Number of expected hours/days of work	30	24.0
Job title	0	0.0
Number of worked hours/days/units	95	76.0
Total amount of salary paid	81	64.8
Date(s) of payment	37	29.6
Deductions from salary	18	14.4
Total	409	

Workers are expected to sign the records to show agreement with the working and payment conditions, however, as shown in Table 41, only 13 percent of the farmers have the records signed by workers, suggesting a slight progress compared to the baseline percentage of 6.

Table 41. Signature on the Payment Records

Persons Signing the Records	#	% of Farmers ³⁵
Farmers	8	6.4
Workers	16	12.8
Labor contractors	22	17.6
Nobody	91	72.8
Total	137	

(GC86)
 If there is a collective bargaining agreement in place, group staff and group member workers receive at least the agreed upon wage and/or in-kind benefits. At all times group staff and group member workers must receive at least the applicable minimum wage.
 (This applies equally to group staff and group member workers that are paid per unit or result (e.g. per volume of product handled). The applicable minimum wage is the higher of either the national or regional minimum wage.)

(GC88)
 Group staff's and group member workers' work of equal value is remunerated with equal pay without discrimination for example on gender or type of worker.

³⁴ The percentages do not add up to 100 percent because multiple answers were possible.
³⁵ The percentages do not add up to 100 percent because multiple answers were possible.

In order to assess whether all workers receive at least the applicable minimum wage (GC86) without discrimination (GC88), farmers interviewed were asked the net daily wage they paid in 2017. Accordingly, as shown in Table 42, farmers paid on average 73 TL to adult males and females, 65-66 TL to children and 74 TL to foreign workers. Similar to baseline findings, almost no farmer (only 1 percent) makes any deductions out of this daily wage.

Considering the mean and range of wages declared by the farmers, it is possible to conclude that all the workers receive more than (or at least equal to) the applicable minimum wage (but without access to any social security or right to weekly/monthly leave), which was 60 TL daily in 2017. This can be highlighted as another significant improvement since 2014, as in 2014, 10 percent of the farmers were found to pay less than the minimum wage to their adult male workers, 11 percent to adult women, 26 percent to children under age 16 and 17 percent to children in the age group 16-18.

Table 42. Net Daily Wage Paid to Hazelnut Workers (2017)

Worker groups	Daily Wage (TL)	
	Mean	Range
Adult males	72.7	48-130
Adult females	72.6	48-130
Children 15 and below	65.5	48-130
Children between 16-18	64.5	48-130
Foreign workers	73.5	55-85

The control point GC86 is also applicable to group members and requires that group staff must receive at least the applicable minimum wage. It was stated during all the interviews conducted with CH managers and IMS staff that group staff receive at least the official minimum wage (the fact that payments are made officially through bank accounts was presented as a supporting proof by one of the CHs) and work of equal value is remunerated with equal pay.

(HNC13)
 The labor contractor’s commission is paid directly by the producer.
 (The payment of the commission is documented on the record of the wage payments.)

Finally, regarding the payments, the control point HNC13 requires that farmers pay the labor contractor’s commission directly. However, only 50 percent of the farmers in 2018 paid the labor contractor’s commission directly (Table 43). This percentage has decreased since 2014 (73 percent). On the other hand, a larger percentage of farmers in 2018 (45 percent against 23 percent in 2014) inform workers about the time and amount of commission payment to the labor contractor, which is important to ensure that workers do not make any additional payment to them.

Table 43. Commission Payment to Labor Contractors

	Evaluation (2018)	Baseline (2014)
% of farmers paying labor contractors commission	50	73
% of farmers declaring that workers do not make any additional payment to labor contractors	45	28
How farmers inform workers about the time and amount of commission payment to labor contractor:		
Commission is paid in the presence of workers (%)	27	33
Commission is recorded and shared with workers (%)	3	3
Worker are verbally informed (%)	52	10
Workers are not informed (%)	18	54

Contracts (GC90)

(GC90)
 Group staff who are employed for more than 3 months have written employment contracts. (Employment contracts include at least: general employment conditions, gross and net wages and all benefits, and mandatory deductions (e.g. tax and social security)).

As the control point is only applicable to group staff, related questions were raised during the interviews with CH managers and IMS staff. Accordingly, they all confirmed that all their workers have written employment contracts and these contracts include all the required information.

Foreign Migrant Workers

(HNC14)
 The producer only employs foreign migrant workers if they are registered and in the possession of a valid work permit. (The producer validates all workers for their right to work by reviewing original documentation and keeps a list of approved workers.)

When asked about whether they employed workers from other countries (Georgia, Iraq, Syria, Azerbaijan, countries of Central Asia, etc.) in hazelnut farming in 2017, only 8 farmers out of 170 (4.7%) responded positively^{36,37}. 2 of them (25%) stated that they check the work permits and only 1 stated that all the foreign workers have their work permits. During the baseline study, 11 percent of the farmers were employing foreign workers, 33 percent of them were checking the work permits and 28 percent stated that all the foreign workers have their permits.

None of the CHs, on the other hand, employ foreign workers.

³⁶ When asked about the type of labor (local, migrant or foreign) they use before or during harvest, 7 farmers stated that they employ Syrian or other foreign workers (as shown in Table 37). However, when asked directly if they employ workers from other countries, 8 farmers responded positively.

³⁷ Although the number of seasonal foreign agricultural workers in Turkey is unknown, the percentage of farmers who stated that they employ workers from other countries remains lower than expected in light of the previous studies of the Development Workshop. A study conducted in 2015 in Ordu and Giresun for example revealed that while the number of Syrian workers are quite low, Georgian workers constitute 20 to 30 percent of the total migrant workforce in hazelnut production (Source: *Foreign Migrant Workers in Seasonal Agriculture in Turkey - Situation Report* (2016), Development Workshop) .

3.4.4. Working Hours

(GC84)

Group staff's regular working hours do not exceed 48 hours per week. They have at least one day off after 6 days of work. Group watchmen's regular working hours do not exceed 56 hours per week on average per year.

(Group staff are effectively informed on the amount of hours of work required per day (peak and non-peak harvest). Working hours per worker are recorded.)

(GC85)

Group staff overtime work is permitted only if it is requested in a timely manner, it is paid according to national law or collective bargaining agreements it does not exceed 12 hours per week and it is not demanded on a regular basis.

The control points related to working hours were only included in the interviews with CH managers as they apply only to group staff. The interviews confirmed that all the CHs act in line with the national legislation and thus with the CoC. Their working hours are usually between 08:00 or 08:30 to 17:00 and they work either 5 or 5.5 days per week. Working hours of all staff are recorded.

Regarding overtime work, it was stated that the maximum overtime allowed is 2 hours per day and overtime work is paid according to national law.

3.4.5. Living Conditions

(HNC15)

In case seasonal migrant workers are accommodated in the common tent settlements, the certificate holder makes arrangements or works together with the relevant settlement/municipal authorities for clean and safe living conditions, including hygienic sanitation and safe drinking water (functioning and with respect for people/gender, etc.).

(The actions undertaken to make these arrangements are documented. Respect for people/gender takes into account gender related privacy and children's needs.)

(HNC16)

Workers living on-site have clean and safe living quarters. Special attention is given to hygienic sanitation, safe drinking water, clean cooking and eating areas, ventilation, protection against weather conditions, and safe storage of personal items.

(Living quarters can be locked and if electricity is available, workers have access to it. The quarters respect the privacy and integrity of families or individual workers.)

Regarding the living conditions of the workers, the related control points expect the CHs – if the workers are accommodated in common tent settlements – or farmers – in case of workers living on-site – to make arrangements for clean and safe living conditions. Out of 170 farmers who employ paid workers, 53 (31 percent) stated that they only employ local workers. 88 out of the remaining 117 farmers (52 percent) declared that their workers live on-site and almost all (87 farmers) argued that workers staying in their orchards are provided with all the necessities (this includes: electricity, clean drinking water, sewage/waste water system, toilets and bath complying with principles of privacy, hygienic places for cooking and eating, facilities for storing food, facility for washing laundry, settlement site fit for weather conditions, proper ventilation, safe places for storing personal belongings and absence of hazards such as open cables, ditches, etc.).

When compared to baseline findings, a progress is observed in terms of necessities provided to workers living on-site. In 2014, 9 percent of the farmers declared that workers have no safe places to keep their personal belongings and 18 percent pointed out to risks and hazards such as open electricity cables, ditches, etc. This is likely to be an effect of the program as improving living conditions of the workers is among the priorities of the IMS staff and the internal inspectors also confirmed that this is one of the main areas of improvement they have observed over the last four years.

15 out of the 117 farmers who employ migrant workers (13 percent) declared that their workers are accommodated in common tent settlements, while 14 farmers do not know where they stay. In such case, CHs are expected to make arrangements or work together with the relevant local authorities for clean and safe living conditions. While none of the CHs mentioned any such efforts during the interviews, a CH representative in the validation workshop stated that they worked with the municipality to improve the living conditions in the tent settlements. UTZ further added that three of the CHs do not have a tent settlement in their region and this might have affected the evaluation findings.

3.4.6. Discrimination and Respectful Treatment

(HNC20)
The producer allows all workers (including seasonal migrant workers) to freely perform cultural expressions like speaking their mother tongue.

In order to analyze whether farmers allow workers to freely perform cultural expressions, two questions were posed and all the farmers answered positively, indicating that they all let their migrant or foreign workers speak their mother tongue and follow their religious practices (only except one farmer who does not let them speak mother tongue). These figures show a progress since 2014 when the percentage of the farmers who think that workers can freely perform their cultural expressions was 89. However, as 30 percent of the farmers did not receive any training on this subject and this was not brought up as an area of improvement in any of the interviews, the progress may also be linked to other factors than the program, such as farmers being higher educated and thus more sensitive to respectful treatment.

(GC91)
Group staff are not subject to benefits or discrimination in hiring, remuneration, access to training, opportunities, or termination, on the basis of gender, race, caste, ethnicity, nationality, color, type of worker (permanent, temporary or migrant), sexual orientation, union membership, marital status, disability, age, religion, political opinion or other.

(GC92)
Group staff are not subject to corporal punishment, sexual harassment, oppression, coercion, or any other kind of mental or physical abuse or intimidation at the workplace.

(GC93)
Group staff receive maternity rights and benefits in accordance with national law and practice. They can return to their job after maternity leave on the same terms and conditions and without discrimination, loss of seniority, or deduction of wages.

Regarding the group staff, CH managers stated during the interviews that their staff would not be subject to any discrimination in hiring, remuneration, access to training, opportunities or termination on the basis of any reason. One of the managers further declared that as per their number of employees, they allocate 5 percent of their workplaces to disabled people.

When asked about existence or risk of mental or physical abuse or intimidation at the workplace, none of the managers stated that they witnessed such a case. Only one manager mentioned a case of conflict / fight among the workers, but he also said that they could easily reconcile as the communication channels are quite open between the workers and the managers.

Finally, all the CH managers confirmed that their workers receive maternity rights and benefits in accordance with national law.

4. Overall Evaluation and Recommendations for UTZ and CHs

4.1. Overall Evaluation

Table 44 summarizes the findings of the evaluation study in comparison with the baseline findings. Considering the main evaluation questions of the study, the following conclusions can be drawn in light of these findings:

Evaluation Question 1:
Did the agricultural practices and social conditions change, compared to the baseline situation for the two regions? If so, to what extent?

- Regarding farming practices, improvements are observed in pruning, using yield optimization techniques, improving soil fertility and timing of harvest. However, important gaps remain in the areas of pollination methods and soil conservation.
- Regarding working conditions, improvements are observed in prevention of child labor, record keeping and ensuring that all workers receive at least the minimum wage and that workers living on-site have a clean and safe living environment.
- Child labor is still prevalent, such that 5 percent of the certified farmers still employs migrant children under age 14, which violates the UTZ code of conduct. While not necessarily in violation to UTZ code³⁸, 12 percent of the farmers employ children between 14-15 and this percentage goes up to 36 percent when children between 16-17 are concerned, which both constitute child labor according to national legislation.
- Record keeping remains the most challenging requirement for farmers. Such shortcomings in record keeping pose limits to the ability of internal management systems (via internal inspections and external audits) to detect and remediate any non-conformities. Other remaining gaps include the fact that a significant percentage of farmers do not make the wage payments directly to workers (but to the labor

³⁸ According to UTZ code, “Children in the age of 13-14 years may perform light work, provided that the work is not harmful to their health and development, does not interfere with their schooling or training, is under supervision of an adult, and does not exceed 14 hours a week.”.

contractors) and do not pay the labor contractor's commission. This means that there is still a risk that workers make additional payments to labor contractors out of their own payments.

Evaluation Question 2:

Did the interventions of the UTZ program contribute to these changes? If so, to what extent?

- Regarding the areas of improvement in farming practices, it can be concluded that the interventions of the UTZ program have probably contributed to the progress in pruning. The program may also have contributed to UTZ farmers achieving higher yields than other farmers in their district, improving soil fertility and timing of harvest; but other factors (such as the 2014 and 2018 sample differences including a more educated farmer group in 2018 or larger percentage of farmers living in the village and being actively involved in hazelnut harvest) may also have contributed to these outcomes.
- The decrease in the percentage of farmers employing children may be one of the main contributions of the program through an increased awareness among farmers. However, most CHs still lack a child labor remediation approach, as most of them do not have a standard procedure to follow when a working child is identified, and few CHs have collaborations with local authorities for the prevention and remediation of child labor.
- The improvements observed in living conditions of workers staying on-site is likely to be direct effect of the program. However, the CHs (three out of six CHs have tent settlements in their region) remain insufficient in making necessary arrangements or working together with the relevant local authorities for clean and safe living conditions for workers staying in common tent settlements as required by the CoC.
- The findings do not provide enough evidence to conclude that the UTZ program improved market access and/or price (premium) for certified farmers. While 60 percent of the farmers declared that they received premium in-kind, the percentage receiving premium in-cash remained at 42 percent (as per the UTZ CoC, the UTZ premium can benefit group members in cash and/or in kind). Many CHs confirmed this finding stating that they cannot always provide premiums in-cash to the producers as the premium they receive is used to cover their implementation costs.

Evaluation Question 3:

Did the UTZ program lead to improved relations and increased collaboration in the hazelnut supply chain in Turkey?

- All the CHs mentioned that they have good relations with farmers, *manavs* and crackers. The investments made by certificate holders in training their farmers/members, setting up IMS' and conducting internal inspections indicates that the actors at the producing end of the supply chain have stepped up their collaboration. A stronger market uptake of the certified hazelnuts production, including premium payments, is however needed. This would give a positive signal that actors at the buying end of the supply chain are also committed to make sustainable hazelnut production a reality.

Table 44. Comparison of Baseline (2014) and Evaluation (2018) Findings

Baseline Findings (2014)	Progress ↑positive ↓negative →stable	Evaluation Findings (2018)
FARMING PRACTICES		
Pruning (HNB2, GB40)		
87 percent of farmers prune at least once a year.	↑	90 percent of farmers prune and remove shoots / suckers once or twice a year.
One third of hazelnut farmers leave more branches/stems in patches than there should be after pruning.	→	67 percent of the farmers leave 4-7 branches after pruning as recommended, i.e. one third of the farmers still leave too many branches while pruning.
More than half (54 percent) of farmers do not disinfect their pruning tools.	↑	70 percent of the farmers clean (disinfect) the tools.
Weed Control (GB41)		
All hazelnut farmers are engaged in weed control in their orchards.	→	Almost all the farmers (226 out of 227 farmers) exercise weed control in their orchards and most of them (68 percent) do it twice a year.
3 percent of farmers use chemicals in weed control.	↓	94 percent of the farmers use machinery or hand tools and 7 percent use chemicals in weed control.
Yield Optimization (GB42)		
88 percent of farmers practice heavy pruning and 4 percent replanting for yield optimization.	↑	85 percent of the farmers practice heavy pruning and 24 percent plant new material for yield optimization.
Pollination (HNB4)		
96 percent of the farmers have pollinating varieties in their orchards.	↓	92 percent of the farmers have pollinating varieties in their orchards.
71 percent of the farmers plant pollinating varieties randomly and 25 percent plan them in a way to ensure a balanced distribution.	↑	59 percent of the farmers plant pollinating varieties randomly and 35 percent of them plant them in a way to ensure balanced distribution.
Removal of Livestock and Poultry (HNB3)		
5 percent of the farmers let animals feed/graze in their orchards in July (one month before the harvest, when the animals should be removed).	↓	9 percent of the farmers let animals feed/graze in their orchard in July (one month before the harvest, when the animals should be removed).
Planting Material and Nursery (GB34, GB35, GB39)		
8 percent of the farmers do not use suitable varieties in new plantings and 49 percent do not plant new materials.	↑	5 percent of the farmers do not use suitable varieties in new plantings and 47 percent do not plant new materials.

Baseline Findings (2014)	Progress ↑positive ↓negative →stable	Evaluation Findings (2018)
Saplings are either taken from neighbors or produced by farmers themselves.	→	77 percent of the farmers who plant new saplings produce their own and 17 percent obtain them from their neighbors.
When rejuvenating, 41 percent of farmers consider planting density, 18 percent farming conditions, 17 percent properties of the variety and 8 percent geographical conditions.	↑	When rejuvenating, 49 percent of farmers take into account planting density, 47 percent consider characteristics of specific varieties and 35 percent consider geographical conditions. The percentage of those who take into account diversification and intercropping remains below 10 percent and 3 percent do not consider anything when rejuvenating
Soil Conservation (GB44)		
51 percent of the farmers believe there is no risk of soil erosion in their orchards. 29 percent do not take any measures for soil conservation. 13 percent of the farmers do terracing to prevent soil erosion. 1 percent of the farmers have a system for removing storm water (drainage).	↑	66 percent of the farmers believe there is no risk of soil erosion in their orchards. 11 percent do not take any measures for soil conservation. 15 percent of the farmers do terracing to prevent soil erosion. 10 percent of the farmers have a drainage system.
82 percent of the farmers do not take any measures for soil conversation during weed control or replanting land and less than 2 percent cover plants or mulch.	↑	68 percent of the farmers do not take any measures for soil conversation during weed control or replanting land. Only 4 percent plant cover plants, 1 percent cover the land with natural or synthetic material (mulching).
Improving Soil Fertility (GB46)		
58 percent of the farmers either prefer traditional methods or do nothing to assess the nutritional needs of their hazelnut trees.	↑	82 percent of the farmers commission soil analysis and 39 percent consult an engineer or agricultural consultant to determine the nutritional needs of their hazelnut trees.
Farmers apply nitrous, phosphorus and barnyard manure in time. There are farmers applying lime, organic fertilizers and leaf fertilizer outside the recommended months.	↑	The majority of the farmers use manure, organic fertilizer and lime at the right time, but more farmers apply chemical fertilizer and leaf fertilizer compost with wrong timing.

Baseline Findings (2014)	Progress ↑positive ↓negative →stable	Evaluation Findings (2018)
Harvesting (GB70)		
16 percent of the farmers follow the commission's decision for the harvesting time; 77 percent decide by checking the state of ripening by themselves.	↑	26 percent of the farmers decide on the timing of hazelnut harvest based on the commission's decision, while 67 percent decide themselves based on the ripening of the hazelnut.
64 percent of the farmers manually collect fallen hazelnuts from the ground (the suggested way).	↓	54 percent of the farmers use the preferred method of manually collecting fallen hazelnut from the ground.
WORKING CONDITIONS		
Child Labor (GC77)		
27 percent of the farmers employ a total of 146 children below 16.	↑	13 percent of the farmers employ a total of 89 children below 16. (7 percent of the farmers employ a total of 37 children below 14)
Freedom of Association and Collective Bargaining (GC81, GC82, GC83)		
N/A		Group staff are not unionized but CH managers state that they are free to establish / join workers' organizations, they would not be subject to any negative consequences if they do and they are totally aware of this right.
Hiring (HNC11)		
40 percent of the farmers keep record of workers they employ. All those who keep records include workers' full name in the records but less than half percent include other required information such as gender, date of birth and nationality.	↑	66 percent of the farmers check the identity of their workers and 57 percent keep record of their ID information. Almost all those who keep records include workers' name and last name in the records and 79, 77 and 77 percent record the gender, date of birth and nationality of the workers respectively.
Payments (HNC12, GC86, GC88, HNC13)		
45 percent of the farmers make wage payments directly to the workers.	↓	Only 33 percent of the farmers pay directly to the workers.
61 percent of the farmers keep payment records but only 6% of them have these records signed by workers.	↑	74 percent of the farmers keep payment records but only 13 percent of these farmers provide copies of the payment records to the workers.
10 percent of the farmers pay less than the minimum wage to their adult male workers, 11 percent to adult women, 26 percent to children under age 16 and 17 percent to children in the age group 16-18.	↑	All the farmers pay more than (or at least equal to) the applicable minimum wage.

Baseline Findings (2014)	Progress ↑positive ↓negative →stable	Evaluation Findings (2018)
While 10-11 percent of the farmers pay less than the minimum wage to adult workers, 17-26 percent pay less to children.	→	While the average daily wage for adult workers is 73 TL, children receive 65 TL daily on average.
N/A		All the group staff receive at least the official minimum wage.
73 percent of the farmers pay the labor contractor's commission directly.	↓	50 percent of the farmers pay the labor contractor's commission directly.
54 percent of the farmers do not inform workers about payments they make to the labor contractors.	↑	27 percent pay the commission in the presence of workers, 3 percent record the payment and share it with workers and 52 percent inform workers verbally about the payments they make to the labor contractors.
Contracts (GC90)		
N/A		All the group staff have written employment contracts and these contracts include all the required information.
Foreign Migrant Workers (HNC14)		
33 percent of the farmers employing foreign workers (11 percent of total farmers) check their work permits.	↓	25 percent of the farmers employing foreign workers (8 percent of total farmers) check their work permits.
N/A		None of the CHs employ foreign workers.
Working Hours (GC84, GC85)		
N/A		All CHs act in line with the national legislation and thus with the CoC.
Living Conditions (HNC15, HNC16)		
9 percent of the farmers declared that workers living on-site have no safe places to keep their personal belongings and 18 percent pointed out to risks and hazards such as open electricity cables, ditches, etc.	↑	Almost all farmers (87 out of 88 farmers) provide workers staying in their orchards with all the necessities.
N/A		Some CHs make arrangements or work together with the relevant local authorities for clean and safe living conditions.
Discrimination and Respectful Treatment (HNC20, GC91, GC92, GC93)		
89 percent of the farmers think that workers can freely perform their cultural expressions.	↑	All the farmers let their migrant of foreign workers speak their mother tongue and follow their religious practices (only except one farmer who does not let them speak mother tongue).

Baseline Findings (2014)	Progress ↑positive ↓negative →stable	Evaluation Findings (2018)
N/A		CH staff are not subject to any discrimination in hiring, remuneration, access to training, opportunities or termination on the basis of any reason.
N/A		No cases of mental or physical abuse or intimidation was experienced or witnessed so far in any of the CHs.
N/A		CH staff receive maternity rights and benefits in accordance with national law.

4.2. Recommendations for UTZ and CHs

1. The evaluation findings indicate that CHs prepare their own training plan and material in order to ensure compliance with the CoC requirements. Development of a standard basic training module by UTZ considering the geographical conditions, varieties and working relations in the hazelnut production would support training efforts of the CHs. As the UTZ team suggested during the validation workshop, CHs can also utilize more effectively the training material developed by UTZ and available in the UTZ Academy Online. The effectiveness and impact of the trainings, on the other hand, should be assessed for continuous improvement. CHs can develop a suitable methodology and assessment tools with UTZ guidance.
2. Restructuring the UTZ certified farmers database that CHs keep so that it allows for monitoring farmer performances both in terms of better farming practices and working conditions would help both UTZ and CHs in developing more effective policies and programs. UTZ can further assist the CHs on how to analyze the data to understand the impact of different interventions, such as trainings or services, on farmer performances and how to use the findings to inform future policies and services .
3. In order to provide evidence for the contribution of the UTZ program to increased productivity, UTZ can guide the CHs to carry out regular productivity analyses.
4. The study findings revealed that certified farmers often do not receive any cash premium for the certified hazelnut they produce. Most of the premium is used for group management costs, products and services such as trainings, support to improvement of living conditions and summer schools and in-kind benefits such as personal protective equipment. Although all these should contribute to sustainable farming, premium paid in-cash (which is not mandatory according to the UTZ code) would provide a stronger incentive to producers, especially for improving the living conditions of the workers they employ.

5. The main challenge raised by both IMS staff and external auditors was the lack of record keeping by the farmers (both of farming practices and for hiring/payment records). Considering that the farmer population is relatively old and the income generated from hazelnut production per farmer is relatively low, an alternative system of record keeping, where for example CH staff are actively involved in record keeping process with the farmers, or the record keeping requirements are simpler for at least smaller-size farms can be considered to overcome this challenge.
6. Since the CHs do not provide suitable planting material to hazelnut producers or identify a local provider(s) who can do so, as required by the CoC, most of the farmers produce their own saplings or obtain them from their neighbors. It is recommended in light of this finding that UTZ advocates for producing new planting material and supports and collaborates with governmental institutions, private sector and other related stakeholders including National Hazelnut Council, Black Sea Hazelnut Exporters' Union, chambers of agriculture, commodity exchanges and Hazelnut Research Institute.
7. To ensure that hazelnut producers are better guided towards improved farming practices, both UTZ and CHs can advocate for a more active role that agricultural engineers, consultants and technicians appointed by the provincial directorates of food, agriculture and husbandry play.
8. In order to change the traditional practices for determining the nutritional needs of the plants, UTZ can advocate the chambers of agriculture for establishing soil and leaf analysis laboratories and CHs can provide the farmers with additional support for commissioning such analyses.
9. CHs should identify the producers who need further guidance and provide special assistance to farmers either through trainings, individual support or creating and sharing good practices in the following areas:
 - Pruning and removal of shoots/suckers at least once a year and leaving an optimal number of branches per shrub.
 - Yield optimization methods (such as heavy pruning and replanting) in low producing and unproductive plantations (especially in Eastern Black Sea region where hazelnut shrubs are relatively old and rate of replanting is quite low).
 - Plantation of pollinating varieties in a balanced way for optimization.
 - Removal of livestock and poultry from the orchard at least by the beginning of July.
 - Using effective soil conservation techniques to prevent soil erosion.
 - Determining the nutritional needs of the crop not through traditional methods (such as observation), but more with commissioning soil and leaf analyses.
 - More efficient use of fertilizers.
 - Harvesting at the appropriate time (as per the decision of the local commission) using the best method (shaking the trees and collecting the fallen nuts from ground – to the extent the geographical conditions allow).

10. The internal and external audits serve as important tools to ensure that hazelnut producers comply with UTZ CoC requirements. However, visiting orchards or summer schools do not prove sufficient in identifying the risk thus in prevention or remediation of child labor. For a more effective battle with child labor, the audits should not only rely on on-site inspection, but should monitor the effectiveness of the risk assessments and the prevention efforts in place. The current services provided for children accompanying their families, such as summer schools, are targeted for relatively small children, usually until 12 years of age; thus, not contributing to prevent older children from working. The audits should look at the potential and/or actual number of children in all ages and check whether age appropriate services are available for all children³⁹ and if the farmers or CHs reach out to public/private initiatives or local authorities for provision of such services. Similarly, internal and external audits should assess whether the risk assessments include a realistic gap analysis on the capacity in providing a safe and clean living environment for all workers, in light of an evidence based estimate of the number of workers (and their demographic characteristics). The farmers and CHs should then be expected to prepare realistic plans to close the gaps identified.
11. UTZ is recommended to conduct a living wage benchmark study, and to analyze the relationship between child labor and wage policies in the hazelnut harvest and review its CoC accordingly together with the CHs to more effectively combat child labor and its root causes including poverty. The CoC requires that all workers receive at least the applicable minimum wage. The daily net minimum wage for 2018 is 67.65 TL. The daily wage announced for hazelnut workers for 2018 harvest is 70 TL, which is slightly above the minimum wage, and thus in line with the CoC. If a worker works for even 30 days in a month (without any breaks), s/he would earn 2,100 TL (without any access to social security or job security). If both parents in a household work, they would earn 4,200 in total. When the labor contactor's commission of 5 percent and costs of food, travel, etc. are subtracted, this family's monthly income would be around 3,500 TL with a good estimate. If both family members cannot work for all 30 days, or considering that they take 4 days off a month (as required for group staff by the CoC), the monthly income would go down to 3,000 TL. The poverty threshold for a family of four (announced by the Confederation of Turkish Trade Unions for June 2018) is 4,398 TL. So, the family income can only reach the poverty threshold if and when the children in the household work with their parents, making the family dependent on the labor of their children. This means that as long as the threshold for CoC is set at the legal minimum wage without further analysis of wage policies and without referring to a credible living wage benchmark for hazelnut producing regions, child labor in hazelnut harvest cannot be tackled effectively.

³⁹ Studies show, for example, that seasonal migrant worker households in Ordu have 6.2 children on average (Source: *Mevsimlik Tarım Göçünden Etkilenen Çocuklara Yönelik Müdahaleler Programı: Fındık Hasadında Çalışan Çocuklar İçin Model Eylem Planı* (2013), Development Workshop.)

12. The evaluation findings showed that almost 70 percent of the farmers make wage payments to labor contractors and only half of the farmers pay the labor contractor's commission directly. Both these findings point out to a risk that workers make additional payments to labor contractors out of their own payments. On the other hand, as mentioned above, it is convenient for both the farmers and workers to work with a labor contractor. With this consideration, the Regulation on Labor Contracting in Agriculture was enacted in 2010 to regulate and monitor the relationship between the labor contractors, workers and the producers. Accordingly, the labor contractors must be registered with the local authorities, should ensure that employment contracts are signed between workers and producers and workers are paid directly by the producers. The labor contractors, as per the regulation, cannot ask for any payment from the workers and should monitor their working and living conditions. However, none of these provisions could be effectively put in place so far in practice. In order to ensure compliance with both the UTZ code, and in turn national legislation, UTZ and CHs can advocate with central and local level authorities for effective implementation of this regulation. CHs can further increase awareness among and require the certified farmers to insist for working with registered labor contractors and provide trainings for labor contractors on minimum standards for working and living conditions for workers.
13. None of the CH staff is unionized or organized in any way although all the CH managers argue that they have the right to do so and they would not be subject to any negative consequences if they do. UTZ and CHs would be recommended to conduct a root cause analysis and find out both the motivation behind and impact of this reluctance, and develop an advocacy policy if deemed necessary.

Annex 1. Questionnaire

UTZ Turkey Hazelnut Program EVALUATION STUDY HAZELNUT FARMERS QUESTIONNAIRE

Dear participant,

This survey is being conducted in Trabzon, Ordu, Giresun, Zonguldak and Düzce provinces to evaluate the impact of the certification program for firms using hazelnut as input in their finished products to ensure their raised awareness for human rights and the environment in the process of hazelnut farming. The survey aims to assess the impact of the UTZ certification program in the context of the control points associated with hazelnut module and codes of group conduct. The Survey is financed by UTZ and carried out by Ankara-based Development Workshop Cooperative.

Your earnest responses to questions are essential in ensuring the scientific quality of the survey and developing more realistic practices in this specific area. Responses will be kept confidential. The interview is designed to take about (30-35) minutes. Thank you in advance for your contribution.

Development Workshop Survey Team

QUESTIONNAIRE NO: _____

DATE: __/05/2018

PLACE OF INTERVIEW:

PROVINCE DISTRICT VILLAGE.....

INTERVIEWEE:

PHONE:

Note to the interviewer:

If someone other than the farmer in the list is responsible for hazelnut production in his/her orchard and if this other person participates to the UTZ program on his/her behalf, the questionnaire can be conducted with him/her. If this is the case, the name of the interviewee should be entered above and the name of the hazelnut farmer in the sample list that this person participates to UTZ program on his/her behalf should be noted below (if both are the same, the below space should be left blank):

Name of the person in the UTZ records:

INTERVIEWER:

Note to the interviewer:

Questions in the form will be put so as to include all hazelnut orchards of respondent (with title deed, leased, in sharecropping, etc.)

PART 1: GENERAL INFORMATION ABOUT THE FARMER

1. Where do you live in most part of the year (longer than 6 months)?
 - 1 () Village → 1.1. Which village?
 - 2 () District → 1.2. Which district?
 - 3 () Province → 1.3. Which province?
 - 98 () Other

2. How large is your total cultivable land (hazelnut orchard and/or crop field)?
_____decares
99 () Don't know

3. What is the share of hazelnut orchards in this total land?
_____ decares/
99 () Don't know

4. Last year (**2017**), what was the amount in kilograms of hazelnut harvest from your plantations, either directly or through lease and sharecropping?
_____ kilograms (Note to the interviewer: Use Kg. instead of tons.)

5. Have you ever been audited in the context of the UTZ hazelnut program by the firm you work with or others?
 - 1 () Yes → 5.1. How many times?
 - 2 () No
 - 99 () Don't know

6. Have you received any premium (in-cash or in-kind) for your certified hazelnut in the context of UTZ program?
 - 1 () Yes
 - 2 () No

Continue with QUESTION 8

7. What kind of premium (in-cash or in-kind) have you received in UTZ hazelnut program, from whom?
 - 7.1. Have you received premium in-cash?
 - 1 () Yes → 7.1.1. What is the premium content / amount?.....
 - 7.1.2. From whom have you received the premium?
 - 1 () UTZ CH
 - 2 () Manav
 - 98 () Other
 - 2 () No
 - 7.2. Have you received premium in-kind?
 - 1 () Yes → 7.2.1. What is the premium content / amount?.....
 - 7.2.2. From whom have you received the premium?
 - 1 () UTZ CH
 - 2 () Manav
 - 98 () Other
 - 2 () No

8. Household demographic information

(Note to the interviewer: First ask how many household members live together.)

Relation to farm owner	Age	Sex	Educational status	Engaged in hazelnut culture?	Marital status	Occupation	Second occupation	Average annual household income
1. Himself/herself 2. Spouse 3. Child 4. Parents 5. G.mother/G.father 6. Sister/brother 7. Sis.in-law/Br.in-law 8. Relative 9. Son in-law 10. Daughter in-law 11. G.child 98. Other		1. Male 2. Female	1. Illiterate 2. Literate without schooling 3. Primary school (grade 5) dropout 4. Primary school (grade 5) graduate 5. Primary school student 6. Basic education (grade 8) dropout 7. Basic education (grade 8) graduate 8. Secondary school (grade 3) dropout 9. Secondary school (grade 3) graduate 10. High-school dropout 11. High-school graduate 12. High-school student 13. University student 14. University graduate 15. Pre-school age 98. Other	1. Yes 2. No	1. Married 2. Single 3. Divorced 4. Widowed 5. Living separate	1. Farmer 2. Tradesman 3. Civil servant 4. Engineer 5. Worker 6. Housewife 7. Retired 8. Student / child 98. Other.....	1. No second occupation 2. Farmer 3. Tradesman 4. Civil servant 5. Engineer 6. Worker 7. Housewife 8. Retired 9. Student / child 98. Other	<i>Note to the interviewer:</i> <i>All income items will be included (such as returns from hazelnut marketing, salary, income from stock, rent, etc.)</i> TL
1. Himself/herself								
2.								
3.								
4.								
5.								
6.								
7.								
8.								

Note to the interviewer:
“Himself/herself” refers to the hazelnut farmer in the sample list. Other household members will be coded in relation to the farmer.
If someone other than the farmer in the list is responsible for hazelnut production in his/her orchard and if this other person participates to the UTZ program on his/her behalf, the questionnaire can be conducted with him/her. In this case, this person should be coded as “himself/herself” in the first row and other household members should be coded in relation to this person.

PART 2: FARMING PRACTICES

9. Have you received any training on the following subjects in the context of UTZ hazelnut program and if so, was it useful for your hazelnut production?

	Have you received training on this subject?	Was it useful?
9.1. Pruning	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.2. Removal of shoots / suckers	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.3. Pollination	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.4. Avoiding damage to hazelnut orchards (e.g. removal of livestock and poultry)	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.5. New planting	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.6. Weeds control	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.7. Using chemical fertilizers	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.8. Optimal yield promotion	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.9. Prevention of soil erosion	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.10. Improving soil fertility	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No
9.11. Harvesting time and method	1 (<input type="checkbox"/>) Yes → 2 (<input type="checkbox"/>) No	1 (<input type="checkbox"/>) Yes 2 (<input type="checkbox"/>) No

10. How often do you prune and remove shoots/suckers to obtain optimal tree structure and health? (GB40, HNB2)

- 10.1. Pruning
- 1 () Once a year
 - 2 () Twice a year
 - 3 () Occasionally /when necessary
 - 4 () Never
 - 98 () Other

- 10.2. Removing shoots/suckers
- 1 () Once a year
 - 2 () Twice a year
 - 3 () Occasionally /when necessary
 - 4 () Never
 - 98 () Other

11. How many branches/suckers do you leave after pruning? (HNB2)

- 1 () I leave branches/suckers
- 2 () I decide according to insolation
- 3 () No, I don't leave any
- 98 () Other

12. Do you clean (disinfect) tools used in pruning or removal of shoots/suckers? (GB40)

- 1 () Yes
- 2 () No
- 3 () Sometimes

13. Do you exercise weed control in your orchard? (GB41)

- 1 () Yes → 13.1. How many times annually?
- 2 () No **Continue with QUESTION 15**

14. How do you do it (weed control)? (GB41)

(Note to the interviewer: There can be more than one response.)

- 1 () Manually only
- 2 () I use hand tools
- 3 () I use machinery
- 4 () I use chemicals
- 98 () Other
- 99 () Don't know

15. What kind of interventions do you make to promote optimal yield on low producing and/or unproductive plantations? (GB42)

(Note to the interviewer: There can be more than one response.)

- | | |
|---|----------------------------------|
| 1 () Heavy pruning | <u>Continue with QUESTION 17</u> |
| 2 () Grafting | <u>Continue with QUESTION 17</u> |
| 3 () Replanting | <u>Continue with QUESTION 17</u> |
| 4 () I do nothing | <u>Ask QUESTION 16</u> |
| 5 () I do not have low producing / unproductive plantation | <u>Continue with QUESTION 17</u> |
| 98 () Other | <u>Continue with QUESTION 17</u> |
| 99 () Don't know | <u>Continue with QUESTION 17</u> |

16. If you do nothing, why? (GB42)

- 1 () I have no low yield plantation
- 2 () I don't know what to do
- 3 () It is too costly
- 98 () Other

17. With a view to optimize pollination, are there different pollinating varieties of hazelnut shrubs in your orchard? (HNB4)

- 1 () Yes → 17.1. Which varieties? _____
99 () Don't know

- 2 () No **Continue with QUESTION 19**

18. How is the distribution of these pollinating varieties in your orchard? (How were they planted?) (HNB4)

*(Note to the interviewer: If there are different practices in different orchards, ask the most common **one**.)*

- 1 () Planted in a way to ensure a balanced distribution
- 2 () Randomly planted
- 3 () Planted only on edges
- 98 () Other
- 99 () Don't know

19. Do you or your neighbours' livestock or poultry (chicken, rooster, turkey, sheep, goat, horse, donkey, cow, ox, water buffalo, etc.) feed/graze on your plantation(s)? (HNB3)

- 1 () Yes
- 2 () No **Continue with QUESTION 21**

20. In which months do these animals graze on your plantation? (HNB3)

(Note to the interviewer: There can be more than one response.)

- | | |
|----------------|-------------------|
| 1 () January | 8 () August |
| 2 () February | 9 () September |
| 3 () March | 10 () October |
| 4 () April | 11 () November |
| 5 () May | 12 () December |
| 6 () June | 99 () Don't know |
| 7 () July | |

21. Do these animals enter your plantation for having a barn/poultry in your or your neighbour's farm or for having a route for animals there? (HNB3)

1 () Yes

2 () No

Continue with QUESTION 23

22. Is there any time in the year that you don't let animals in your plantation? (HNB3)

1 () Yes → 22.1. Which month (s)?

2 () No

23. In your new plantings, do you use suitable varieties (i.e. those with high yield, resistant against pests, diseases and drought)? (GB34)

1 () Yes

2 () No

Continue with QUESTION 25

3 () No new planting

Continue with QUESTION 28

99 () No idea

Continue with QUESTION 25

24. If yes, what kind(s)? (GB34)

25. Where do you procure these saplings? (GB34)

(Note to the interviewer: There can be more than one response. If 1st and/or 2nd choices are marked, ask QUESTION 26 in any case; if neither is marked continue with QUESTION 27.)

1 () From a private nursery → 25.1. Name: _____

2 () From a state nursery → 25.2. Name: _____

3 () From my neighbour **Continue with QUESTION 27**

4 () I produce myself **Continue with QUESTION 27**

5 () From markets in villages, towns and cities **Continue with QUESTION 27**

98 () Other _____ **Continue with QUESTION 27**

99 () Don't know **Continue with QUESTION 27**

26. Are there visible signs of pest and disease in planting materials you obtain from nurseries? (GB35)

- 1 () Yes, there are
- 2 () In some, not all of them
- 3 () None has such signs
- 4 () I don't pay attention to these while obtaining materials
- 98 () Other

27. What points do you consider while engaging in new plantings? (GB39)

(Note to the interviewer: There can be more than one response. Just mark the response(s) according to the following, avoid making additional explanation to the respondent.)

- 1 () Characteristics of specific varieties (i.e. their market price)
- 2 () Geographical conditions (direction, elevation, slope etc.)
- 3 () Ecological conditions (temperature, moisture, wind, etc.)
- 4 () Agricultural conditions (soil needs, precipitation, etc.)
- 5 () Diversification and intercropping (varieties ensuring pollination, having different varieties together)
- 6 () Planting density (having specific number of plantings in a given area)
- 7 () No specific consideration
- 98 () Other
- 99 () No idea

28. What measures do you take to control soil erosion in your hazelnut orchard? (GB44)

(Note to the interviewer: There can be more than one response.)

(Note to the interviewer: Explain soil erosion.)

- 1 () I do terracing
- 2 () I have a system for removing storm water (drainage)
- 3 () I do nothing
- 4 () I don't know what to do
- 5 () There is no risk of soil erosion in my orchard(s)
- 98 () Other

29. Which of the following measures do you take for soil conservation during weed control or replanting land? (GB44)

(Note to the interviewer: There can be more than one response.)

- 1 () Planting cover plants
- 2 () Mulching (covering with natural or synthetic material)
- 3 () Burning
- 4 () I do nothing
- 98 () Other

30. How do you determine the nutritional needs (fertilizers, liming, etc.) of your hazelnut trees? (GB46)

(Note to the interviewer: There can be more than one response.)

- 1 () I commission soil analysis
- 2 () I commission leaf analysis
- 3 () I decide by conducting observations
- 4 () I ask the engineer / agricultural consultant
- 5 () I do nothing
- 98 () Other
- 99 () No idea

31. What do you do in order to compensate for plant nutrients lost during harvest? (GB46)

(Note to the interviewer: There can be more than one response.)

- 1 () I use chemical fertilizers
- 2 () I use manure
- 3 () I use organic manure
- 4 () I practice liming
- 5 () I use agricultural forestry techniques (e.g. use of herbal plants together with hazelnut trees)
- 98 () Other
- 99 () I do nothing

32. What kind of fertilizer did you use on your hazelnut plantations last year (2017) and how? (GB46)

(Note to the interviewer: There can be more than one response.)

32.1. Fertilizer	32.2. Amount	32.3. Timing (Month)
1 () Synthetic fertilizer (including all synthetic fertilizers)	_____ kg <i>(1 sack of synthetic fertilizer 50 kg)</i>	
2 () Animal / farm fertilizer	_____ kg <i>(average of 3 kg for each patch)</i>	
3 () Organic fertilizer	_____ kg <i>(1 sack organic fertilizer 25 kg)</i>	
4 () Lime	_____ kg <i>(1 sack of lime either 25 kg or 50 kg)</i>	
5 () Leaf fertilizer	_____ kg <i>(1 container either 1 or 5 kg)</i>	
98 () Other _____	_____ kg	

33. How do you decide on the timing of hazelnut harvest? (GB70)

(Note to the interviewer: There can be more than one response.)

- 1 () The commission decides on this
- 2 () I observe the process of ripening and decide accordingly
- 3 () Decision is taken locally in the village
- 4 () According to my workload
- 5 () According to my annual leave
- 98 () Other

34. How do you harvest? (GB70)

(Note to the interviewer: Ask the most common one.)

- 1 () Pick manually from branches
- 2 () Manually collect fallen hazelnuts from the ground
- 3 () Collect fallen hazelnuts with machines from the ground
- 4 () Collect fallen hazelnuts from the cover on the ground
- 5 () Collect fallen hazelnuts with sweeper
- 98 () Other

PART 3: WORKING CONDITIONS

35. Have you received any training on the following subjects in the context of UTZ hazelnut program and if so, was it useful for your hazelnut production?

	Have you received training on this subject?	Was it useful?
35.1. Prevention of child labor	1 () Yes → 2 () No	1 () Yes 2 () No
35.2. Keeping records <i>(e.g. workers, payment records)</i>	1 () Yes → 2 () No	1 () Yes 2 () No
35.3. Payments	1 () Yes → 2 () No	1 () Yes 2 () No
35.4. Employing foreign workers <i>(e.g. Syrian, Georgian, etc.)</i>	1 () Yes → 2 () No	1 () Yes 2 () No
35.5. Freedom of association and collective bargaining	1 () Yes → 2 () No	1 () Yes 2 () No
35.6. Working hours	1 () Yes → 2 () No	1 () Yes 2 () No
35.7. Improving living conditions	1 () Yes → 2 () No	1 () Yes 2 () No
35.8. Respectful treatment and prevention of discrimination	1 () Yes → 2 () No	1 () Yes 2 () No

36. How many people are working in your plantation before and during harvest? (GC77)

(Note to the interviewer: If no one working in a specific group, put (-).)

	Before harvest*		During harvest	
	Male	Female	Male	Female
36.1. Household members				
36.2. Local (village/town/province) workers				
36.3. Turkish migrant agricultural workers				
36.4. Syrian workers				
36.5. Other foreign workers (e.g. Georgian)				
36.98. Other				

**Soil preparation, pruning, fertilizing, weed control*

(Note to the interviewer: If only "household members" selected, finish the questionnaire after question 39.)

37. What is the age of youngest persons working before and during hazelnut harvesting? (GC77)

(GC77)

(Note to the interviewer: If no one working in a specific group, put (-).)

	Before harvest (*)	During harvest
37.1. Household members		
37.2. Local (village/town) agricultural workers		
37.3. Turkish migrant agricultural workers		
37.4. Syrian workers		
37.5. Other foreign workers (e.g. Georgian)		
37.98. Other		

** Preparing soil, pruning, fertilizing, weeding*

38. How many children in the following age groups are working in your hazelnut orchard? (GC77)

(GC77)

(Note to the interviewer: If no children working in a specific age group, put (-).)

	Below 14	Age 14-15	Age 16-18
38.1. Household members			
38.2. Local agricultural workers			
38.3. Turkish migrant agricultural workers			
38.4. Syrian workers			
38.5. Other foreign workers (e.g. Georgian workers)			
38.98. Other			

(Note to the interviewer: If no children below 18, continue with QUESTION 40.)

39. Why do you employ children in your orchard? (GC77)

(Note to the interviewer: There can be more than one response.)

- 1 () To have them acquire skills/undertake responsibility
- 2 () For not being able to find sufficient number of adult workers
- 3 () To support the child in material terms
- 4 () Their families put it as a condition
- 5 () Labor contractor puts it as a condition
- 98 () Other.....

40. Do you check the identity of your workers? (HNC11)

- 1 () Yes, I check all of them
- 2 () I check some of them
- 3 () I don't check

Continue with QUESTION 43

41. Do you keep a record of your workers' ID information? (HNC11)

- 1 () Yes, I record all of them
- 2 () I record some of them
- 3 () I don't keep any records

Continue with QUESTION 43

42. Which of the following does your record include? (HNC11)

(Note to the interviewer: There can be more than one response.)

- 1 () Name, last name
- 2 () Gender
- 3 () Birth date
- 4 () Nationality
- 98 () Other.....
- 99 () Don't know

43. Do you keep the copy of the identity card or passport of workers you employ? (HNC11)

- 1 () Yes
- 2 () No

44. To whom do you directly make payments? (HNC12)

(To the interviewer: Ask the most common one.)

- 1 () Directly to individual workers
- 2 () To persons representing their families
- 3 () To intermediaries / çavuş
- 98 () Other.....

45. Are wage payments recorded? (HNC12)

1 () Yes

2 () No

Continue with QUESTION 49

46. Which of the following are covered in your payment records? (HNC12)

(Note to the interviewer: There can be more than one response.)

1 () Name, last name

2 () Birth date

3 () Salary per hour/day/unit

4 () Number of expected hours/days of work

5 () Job title

6 () Number of worked hours/days/units

7 () Total amount of salary paid

8 () Date(s) of payment

9 () Deductions from salary

98 () Other.....

99 () Don't know

47. Who sign the payment records? (HNC12)

(Note to the interviewer: There can be more than one response.)

1 () I sign

2 () Workers sign

3 () Labor contractors / *çavuş* (if applicable) sign

4 () Nobody

98 () Other.....

48. Do you provide a copy of the payment records to workers? (HNC12)

1 () Yes

2 () No

49. What was the net daily wage you paid last year (2017)? (GC86, GC88)

49.1. For adult males TL

49.2. For adult females TL

49.3. For children 15 and below TL

49.4. For children between 16-18 TL

49.5. For Syrian workers TL

49.6. For other foreign workers TL

(e.g. Georgian workers)

50. Is there any addition to net daily wage for the following? (GC86)

(Note to the interviewer: There can be more than one response.)

- 1 () No additional payment
- 2 () Meals
- 3 () Transportation, if coming from other provinces
- 4 () Transportation to-from the plantation
- 98 () Other.....

51. Do you apply deductions to the daily wage for any of the following reasons? (GC86)

(Note to the interviewer: There can be more than one response.)

- 1 () No cut / deduction
- 2 () Meals
- 3 () Transportation, if coming from other provinces
- 4 () Transportation to-from the plantation
- 98 () Other.....

52. Do you pay the labor contractor's commission? (HNC13)

- 1 () Yes
- 2 () No **Continue with QUESTION 55**
- 3 () I don't work with a labor contractor **Continue with QUESTION 55**

53. How are workers informed about the time and amount of the commission paid to labor contractors? (HNC13)

(Note to the interviewer: If there are different ways, ask the most common one.)

- 1 () Commission is paid in the presence of workers (they can see it being paid)
- 2 () Commission is recorded and shared with workers
- 3 () Workers are verbally informed
- 4 () Workers are not informed
- 98 () Other.....

54. Do workers also make payment to labor contractors? (HNC13)

- 1 () Yes
- 2 () No
- 99 () Don't know

55. Did you employ workers from other countries (Georgia, Iraq, Syria, Azerbaijan, countries of Central Asia, etc.) in hazelnut farming last year (2017)? (HNC14)

- 1 () Yes
- 2 () No **Continue with QUESTION 59**

56. Do you check whether the foreign workers you employ have their work permits? (HNC14)

- 1 () Yes
- 2 () No

Continue with QUESTION 59

57. Do foreign workers you employ have their work permits? (HNC14)

- 1 () Yes, all have
- 2 () Majority of them have
- 3 () Majority of them don't have
- 4 () None has

Continue with QUESTION 59

58. Do you get work permit issued for foreign workers you employ? (HNC14)

- 1 () Yes
- 2 () No

59. Where do seasonal migrant agricultural workers you employ live? (HNC16)

(Note to the interviewer: There can be more than one response. If any of the choices 1-3 is marked, ask QUESTION 60 in any case; if none marked continue with QUESTION 61.)

- 1 () In a dwelling in my plantation
- 2 () In their own tent in my plantation
- 3 () In my other house outside of plantation
- 4 () In official camping site
- 5 () In a common site with tents
- 6 () I only employ local workers
- 98 () Other
- 99 () Don't know where they stay

Continue with QUESTION 61

Continue with QUESTION 61

Finish the questionnaire

Continue with QUESTION 61

Continue with QUESTION 61

60. Which of the following are provided to workers staying in your orchard? (HNC16)

(Note to the interviewer: Ask each item, mark those responded as "provided")

- 1 () Electricity
- 2 () Clean drinking water
- 3 () Sewage/waste water system
- 4 () Toilets and baths complying with principles of privacy
- 5 () Sleeping places complying with principles of privacy
- 6 () Hygienic places for cooking and eating
- 7 () Facilities for storing food
- 8 () Facility for washing laundry
- 9 () Settlement site fit for weather conditions
- 10 () Proper ventilation
- 11 () Safe places for storing personal belongings
- 12 () Absence of hazards such as open cables, ditches, etc.
- 98 () Other

61. Do you let your migrant or foreign workers speak their mother tongue? (HNC20)

1 () I don't

2 () I only let them speak amongst themselves

3 () I always do

62. Do you let your migrant or foreign workers follow their religious practices? (HNC20)

1 () I don't

2 () I only let them outside of working hours

3 () I always do

INTERVIEW ENDS HERE.

PLEASE THANK THE INTERVIEWEE FOR HIS/HER PARTICIPATION.

TO BE FILLED BY THE INTERVIEWER AFTER THE INTERVIEW

A1. Was the respondent alone throughout the interview?

1 () Yes 2 () No

A2. Please fill in the following table:

	Highly satisfactory	Satisfactory	No idea	Not satisfactory	Not satisfactory at all
Sincerity of respondent					
Percentage of questions responded to					
Interview environment					

TO BE FILLED BY THE SURVEY TEAM

	Name / Last Name	Date	Hour
Interviewer			
Team leader			
Data entry personnel			

Annex 2. Interview Questions

Interview Questions for Internal Management System (IMS) STAFF

1. Functioning of IMS

- 1.1. What is your main role in the company?
- 1.2. Are there staff members appointed in your company for IMS implementation (for management, farming practices, working conditions and environment)? Have these staff members received any training in this context? If yes, which trainings?
- 1.3. Do you carry out regular (annual) risks assessments in the context of IMS implementation (on compliance to the UTZ control points)? If yes, in what scope? What is your experience with carrying out risk assessments? Did you experience any difficulties/challenges? Did you use any of the guidance materials of UTZ? If so, were these useful? How did you use the risk assessment results?
- 1.4. Do you have a group management plan in the context of IMS implementation? If yes, what are the main points / goals of your group management plan? How useful is it for you? Do you update it every year? How?
- 1.5. Do you act any type of contract with the certified hazelnut producers in the context of UTZ program? Do you keep records of these producers? Do you map your hazelnut production area? If yes, how?
- 1.6. Do you have a traceability system for hazelnut you buy from your certified producers? If yes, how does it work? How do you ensure that certified produce is not mixed with non-certified produce?
- 1.7. Do you carry out internal inspections for your certified hazelnut producers? How often do you inspect a producer? Do you document inspection findings? How? Do you implement corrective actions based on the inspection findings? If yes, do you prepare corrective action reports? Can you already notice any improvements? If yes, please explain. What are the most challenging/difficult requirements for producers to comply with?
- 1.8. Do you make any system revisions according to inspection findings? If yes, what kind of revisions have you made so far?
- 1.9. Have you ever been through an external audit, including in the context of UTZ program? If yes, what kind of a preparation did you carry out? (Did you use the checklist that UTZ provides?) How was the audit experience for you? Was it useful?
- 1.10. What do you think about the continuity of producers in UTZ certification program? What are the possible reasons behind drop-out in your opinion?

2. Training / Technical Assistance

- 2.1. Do you provide any training for hazelnut producers? If yes, which trainings? How do you prepare these training programs? Do you update the programs regularly? If no, why don't you feel the need?
- 2.2. The following challenges / problems were identified in hazelnut harvest during the UTZ program baseline study carried out in 2014? What kind of training / technical assistance have you provided on these topics? Which improvements (if any) have you noticed so far? Can you give some concrete examples?
 - Farming practices
 - Pruning is not carried out in the right time, with the right tools and tools are not always disinfected.
 - Shoot / sucker removal is not carried out sufficiently and with the right timing.
 - Pollination is carried out randomly.
 - Livestock can enter the orchards without any control.
 - New planting is limited and done with traditional methods.
 - (GB34) Additional question: Do you provide suitable planting material to producers? Or, do you identify a local provider(s) who can do so?
 - (GB35) Additional question: Is there any nursery? If yes, is the planting material obtained from this nursery free of signs of pest or disease?

- Chemicals may be used in weed control. (Additional question: Is there a list of chemicals? Do you provide such a list to the producers?)
 - Yield promotion is not always carried out effectively.
 - Nutritional needs are assessed with traditional methods.
 - Fertilizers are not always used effectively (suitable fertilizer, right timing and method).
 - Producers decide on the harvesting time mostly by themselves and hazelnut is usually manually picked.
 - Working conditions
 - Payments are usually not made directly to the workers and payment records are not kept.
 - Workers may pay the commission of the intermediaries.
 - Workers may receive lower than the minimum wage.
 - Worker records are not kept. (Additional question: Do you provide any sample registration forms (worker registration, payment registration, etc.) to the producers?)
 - Producers employing foreign workers do not check their work permits.
 - There are many unmet needs especially in the living areas of workers.
 - (HNC15) Additional question: Do the workers accommodating in the common tent settlements have access to clean and safe living conditions (e.g. electricity, clean drinking water, sewage system, private toilet and bathroom / place for sleeping, safety (included absence of hazards such as open cables etc.), playground for children? What do you do to improve workers' living conditions? Do you cooperate with local authorities in this regard? If yes, with whom and how?
 - Workers cannot always freely perform cultural expressions.
- 2.3. Do you keep records (including participant lists) of the trainings you organize? If yes, how and in what scope?
- 2.4. What kind of tools do you provide in this context (informative materials, guides, registration forms (worker registration, payment registration) etc.?)
- 2.5. What has been the impact of your efforts in practice?
- 3. Child Labor**
- 3.1. Have you carried out a child labor risk assessment for producers in the certification program? If yes, where, in what scope and how often did you carry it out? How useful was this?
- 3.2. Do you keep records of children accompanying their families in hazelnut harvest? If yes, what kind of a recording system do you have? How useful is this?
- 3.3. What do you do to prevent child labor in hazelnut harvest? Does it work?
- 3.4. What do you do to ensure school attendance of children? Does it work?
- 3.5. What do you do to ensure that children accompanying their families are provided with day care facilities and educational activities? If yes, what? Do you work together with local authorities in this context?
- 3.6. What is being done when a child worker is identified in hazelnut harvest?
- 3.7. Is there a collaboration in this context with other institutions? Which institutions? In what scope and how?
- 4. Premiums**
- 4.1. What kind of premiums do you have in UTZ program?
- 4.2. How do you ensure that the premiums reach the producers?
- 4.3. Do you know what the premiums are used for? What part of the premium is going to working and living conditions in your opinion?
- 5. Productivity**
- 5.1. Did the UTZ program lead to increase in productivity? If yes, how and to what extent?
- 5.2. How do you measure and document the contribution of UTZ program to productivity?
- 6. Collaboration**
- 6.1. With whom do you collaborate in the hazelnut supply chain (*manavs*, companies providing inputs, crackers, hazelnut processing companies, etc.)? How?
- 6.2. Do you think the UTZ program increased collaboration in the hazelnut supply chain? If yes, in what context and how can you document this? Can you give a concrete example?

Interview Questions for MANAGERS

1. Functioning of IMS

- 1.1. What is the scope of your relationship with UTZ?
- 1.2. How do you implement IMS within your company?
 - Are there staff members appointed in your company for IMS implementation (for management, farming practices, working conditions and environment)? Have these staff members received any training in this context? If yes, which training(s)? How satisfied are you with these trainings?
 - Do you have a group management plan in the context of IMS implementation? If yes, what are the main points / goals of your group management plan? How useful is it for you? Do you update it every year? How?
 - Do you have a traceability system for hazelnut you buy from your certified producers? If yes, how does it work? How do you ensure that certified produce is not mixed with non-certified produce?
 - Do you provide any training for hazelnut producers? If yes, which trainings? How do you prepare these training programs? Do you update the programs regularly? If no, why don't you feel the need?
 - Do you carry out internal inspections for your certified hazelnut producers? How often do you inspect a producer? Do you document inspection findings? How? Do you implement corrective actions based on the inspection findings? If yes, do you prepare corrective action reports?
 - Do you make any system revisions according to inspection findings? If yes, what kind of revisions have you made so far?
- 1.3. Have you ever been through an external audit, including in the context of UTZ program? If yes, what kind of a preparation did you carry out? How was the audit experience for you? Was it useful?
- 1.4. What do you think about the continuity of producers in UTZ certification program? What are the possible reasons behind drop-out in your opinion?

2. Child Labor

- 2.1. What do you do to prevent child labor in hazelnut harvest? Does it work?
- 2.2. What is being done when a child worker is identified in hazelnut harvest?
- 2.3. Is there a collaboration in this context with other institutions? Which institutions? In what scope and how?
- 2.4. (GC77) What is the minimum age for employment in your company?

3. Premiums

- 3.1. What kind of premiums do you have in UTZ program?
- 3.2. How do you ensure that the premiums reach the producers?
- 3.3. Do you know what the premiums are used for? What part of the premium is going to working and living conditions in your opinion?

4. Productivity

- 4.1. Did the UTZ program lead to increase in productivity? If yes, how and to what extent?

5. Collaboration

- 5.1. With whom do you collaborate in the hazelnut supply chain (manavs, companies providing inputs, crackers, hazelnut processing companies, etc.)? How?
- 5.2. Do you think the UTZ program increased collaboration in the hazelnut supply chain? If yes, in what context and how can you document this? Can you give a concrete example?

6. Working Conditions

- 6.1. (GC 81) Are your firm's employees organized internally or externally? For example, is there a trade union? Is there collective bargaining?
- 6.2. (GC 82) Would the employees be subject to any retaliation, discrimination or other negative consequences if they join a workers' organization or collective bargaining?
- 6.3. (GC 83) Are employees informed about the right to join a workers' organization or collective bargaining and guaranteed that they will not be subject to any negative consequences in such cases? If yes, how?
- 6.4. (GC 84) What are the regular working hours of your employees? How many days do they work in a week? Are working hours per employee recorded?
- 6.5. (GC 85) Do your employees work overtime? If yes, when is it requested? How long on average? What is the maximum? Is it paid?
- 6.6. (GC86, GC 88) How do you determine the wage levels for your employees? *(Note to the interviewer: This question aims at finding out whether all employees receive at least the minimum wage and whether all employees performing work of equal value are paid the same wage)*
- 6.7. (GC90) Do all employees of your firm employed for more than 3 months have written employment contracts? What are included in the contracts? *(Note to the interviewer: General employment conditions, gross and net wages and mandatory deductions must be included)*
- 6.8. (GC 91) Would any characteristics of your employees have a positive or negative effect in hiring, remuneration, access to training, opportunities, or termination? *(Note to the interviewer: Characteristics may include gender, ethnicity, nationality, sexual orientation, union membership, marital status, disability, age, religion, political opinion, etc.)*
- 6.9. (GC 92) Has there been / you witnessed / you heard any case of oppression, coercion, mental or physical abuse, sexual harassment against or amongst your employees? Are there any measures taken in your workplace to prevent such cases? If yes, what kind of measures?
- 6.10. (GC 93) What are the maternity rights (e.g. maternity leave) your employees have? Can they return to their job after maternity leave on the same terms?
- 6.11. (HNC14) Are there foreign workers (working coming from Georgia, Iraq, Syria, Azerbaijan, countries of Central Asia, etc.) in your workplace? If yes, do all have working permits? If not, do you apply on their behalf?

**Interview Questions for
National Hazelnut Council**

1. UTZ Program

- 1.1. What do you think about the UTZ program? What do you like? What do you dislike?
- 1.2. Have you had any collaboration with UTZ CH companies?
- 1.3. Do you think the UTZ program contributed in improvement of farming practices and working conditions and prevention of child labor? If yes, how?
- 1.4. What do you think are the challenges / areas for improvement for UTZ program implementation?

2. Premiums

- 1.5. Do you know what kind of premiums there are in the context of UTZ program? If yes, do you think they are effective? Do you have any recommendation in this regard?

3. Productivity

- 3.1. Do you think the UTZ program led to increase in productivity? If yes, how? If no, why?

4. Collaboration

- 2.1. With whom do you collaborate in the hazelnut supply chain (companies, manavs, crackers, hazelnut processing companies, etc.)? How?
- 2.2. Do you think the UTZ program increased collaboration in the hazelnut supply chain? If yes, in what context? Can you give a concrete example?
- 2.3. How and to what extent does UTZ certification help you to market hazelnuts?

KESAP Union of Hazelnut Producers

1. UTZ Program

- 1.1. What do you think about the UTZ program?
- 1.2. Do you think the UTZ program contributed in improvement of farming practices and working conditions and prevention of child labor? If yes, how?
- 1.3. What do you think are the challenges / areas for improvement for UTZ program implementation?
- 1.4. What do you think about the continuity of producers in UTZ certification program? What are the possible reasons behind drop-out in your opinion?

2. Productivity

- 2.1. Do you think the UTZ program led to increase in productivity? If yes, how? If no, why?

3. Collaboration

- 3.1. With whom do you collaborate in the hazelnut supply chain (companies, manavs, crackers, hazelnut processing companies, etc.)? How?
- 3.2. Do you think the UTZ program increased collaboration in the hazelnut supply chain? If yes, in what context? Can you give a concrete example?
- 3.3. What are the most important concerns of the Union? To what extent is UTZ certification being helpful in addressing these concerns?

External Auditors (BCS, USB)

- 1.1. Since when and in what scope are you involved in external auditing of UTZ program?
- 1.2. How often and in what scope do you carry out your audits?
- 1.3. Which subjects / control points related to farming practices and working conditions do you include in the audits?
- 1.4. How do you report on the audit findings?
- 1.5. What are the improvements you have noticed so far during the audits?
- 1.6. What are the most challenging/difficult requirements for CHs to comply with?

Annex 3. List of Interviewees

CH / Institution	Position	Interviewee	Date
Işık	Manager	Reşat Çakmak	17 May 2018
	IMS	Onur Kahraman	
	IMS	Cemre Aydoğan	
	IMS	Nurettin Dobra	
Balsu	IMS	Yaşar Adak	18 May 2018
	IMS	Esra Sarıçiçek	
Özgün	Manager	Mustafa Günaydın	28 May 2018
	IMS	Mete Esen	
	IMS	Gizem Şahin	
Arslantürk	Manager	Murat Akbayrak	28 May 2018
	IMS	Elif Başer	
	IMS	Elif Burcu Çilingir	
Yavuz	Manager	Ayşe Köse Goloğlu	29 May 2018
	IMS	Zeynep Akkaya Kutlubay	
Gürsoy	Manager	Dursun Gürsoy	30 May 2018
	IMS	Murat Yıldırım	
Keşap Union of Hazelnut Producers	President	Mustafa Şahin	29 May 2018
National Hazelnut Council	President	Sebahattin Arslantürk	30 May 2018
BCS	External auditor	Ceren Çetinkaya	18 June 2018
USB	External auditor	Berna Ürkel	22 June 2018

Annex 4. Consulted Documents

- Doğanay, H. (2012). Türkiye Fındık Meyvacılığındaki Yeni Gelişmeler / New Development in Turkish Hazelnut Cultivation. *Doğu Coğrafya Dergisi* 17(27).
- Fındık El Kitabı, Fındıkta Verim ve Kaliteyi Artırma Projesi (2014). (http://www.tb.org.tr/dosya/findikkitapcik_internet.pdf)
- Fındık Yetiştiriciliği (Hazelnut Farming) 2014, Fındık Tanıtım Grubu (Hazelnut Promotion Group).
- *Foreign Migrant Workers in Seasonal Agriculture in Turkey - Situation Report* (2016), Development Workshop .
- Sıray, E., Duyar, Ö., Özdemir, F., Ertekin, F. (2012). Batı Karadeniz Bölgesinde Fındık Yetiştiriciliğinde Eğitim ve Yayım Altyapı İhtiyacının Belirlenmesi. *GOÜ Ziraat Fakültesi Dergisi*, 29(2), 9-18.
- *Health Risks Faced by Children working in Agricultural Production, Case of Citrus Fruit, Cotton and Hazelnut Harvesting* (2018), Development Workshop
- The Turkish Chamber of Agricultural Engineers, 2016 Hazelnut Report.
- UTZ Hazelnut Program in Turkey: Evaluation Study – Call for Proposals.
- UTZ Hazelnut Program Overview“ (July 2017).
- UTZ - HN Activities on Farm and IMS Level per CoC Category“
- UTZ Guidance Document – IMS (Version 1.1, February 2017).