RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD

FARM REQUIREMENTS

RAINFOREST ALLIANCE

ABOUT THE RAINFOREST ALLIANCE

The Rainforest Alliance is creating a more sustainable world by using social and market forces to protect nature and improve the lives of farmers and forest communities.

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More information?
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The Standard Requirements are binding and must be complied with for certification.

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Document name:	Document code:	Version:
Rainforest Alliance Sustainable Agriculture Standard, Farm Requirements	SA-S-SD-1	1.3

Date of first publication:	Date of revision:	Valid from:	Expires by:
June 30th, 2020	February 6th, 2023	July 1st, 2023	Until further notice

Linked to:

SA-S-SD-2 Rainforest Alliance 2020 Sustainable Agriculture Standard, Supply Chain Requirements. All other annexes, guidances and policies listed in this document.

Replaces:

SA-S-SD-1-V1.2 Rainforest Alliance 2020 Sustainable Agriculture Standard, Farm requirements

Applicable to:	Country/Region:
Farm certificate holders	All

Crops:	Type of certification:
All crops in the scope of the Rainforest Alliance certification system; please see Rainforest Alliance Crop List.	Farm certificate holders

KEY CHANGES IN VERSION 1.3

Overview of key adaptations in this document SA-S-SD-1-V1.3 Rainforest Alliance Sustainable Agriculture Standard, Farm Requirements, published February 6th, 2023, compared to SA-S-SD-1-V1.2 Rainforest Alliance Sustainable Agriculture Standard, Farm Requirements, published January 31st, 2022

Requirement number	Subject	Change
p. 9 to p. 20	Introduction	Adapted: Text and some graphics, for more clarity.
p. 14	Scope	Adapted: Scope, to be more manageable and more realistic.
p. 14	Small/Large Farm	Adapted: Definition of Small/Large farms, adapted to more realistically cover the farm scenarios and protect workers: Farms with 10 or more permanent workers are Large Farms.
p. 14	Subset of requirements for Small Farms	Introduced: A subset of requirements apply to Small Farms that hire: - 10 or more temporary workers each working for 3 consecutive months or more, and/or - 50 or more temporary workers per calendar year Requirements that will apply in this case: 5.2.1, 5.2.2, 5.2.3, 5.2.4, 5.3.1, 5.3.6, 5.3.12, 5.5.2, 5.5.3, 5.6.2, 5.6.4
General	Average of ≥ 5 hired workers (Applicable for Small Farms only)	Removed: Subset is not used anymore.
1.1.1	Management	Simplified text.
New requirement 1.1.5	Management	Rearranged in new requirement to simplify the standard: The general responsibilities of the committees and their composition, part of requirements 1.5.1 (Grievance), 1.6.1 (Gender) and 5.1.1 (Assess and address) are now combined into 1.1.5. It is clarified that more issues can be covered by one committee. Specific tasks are kept in the respective requirements.
1.2.2	Administration	Merged: Requirements 1.2.2 and 1.2.3, as the approaches for service providers and subcontractors were similar.
1.2.3	Administration	Merged: Requirements 1.2.2 and 1.2.3, as the approaches for service providers and subcontractors were similar.
1.2.5	Administration	Simplified: Removed requirement for any small farm to have extensive version of worker records.
1.2.6	Administration	Simplified: Requirement on registration of temporary workers for small farms.
1.2.8	Administration	Clarified: Text on agreement on sharing the data of group members.

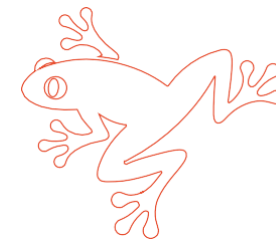|		
1.3.1	Risk Assessment and Management Plan	Adapted: Option to align the risk assessment frequency with the management plan frequency.
1.4.1	Internal Inspection and Self-Assessment	Simplified and shortened text.
1.4.2	Internal Inspection and Self-Assessment	Simplified and shortened text.
1.4.4	Internal Inspection and Self-Assessment	Removed: Minimum ratio of 1 internal inspector per 250 farms, as the purpose of the requirement is to have appropriate support for the farmers and this may be reached in other ways as well.
1.5.1	Grievance Mechanism	Simplified: General responsibilities of the committees and their composition are now combined in the new requirement 1.1.5.
1.6.1	Gender Equality	Simplified: General responsibilities of the committees and their composition are now combined in the new requirement 1.1.5.
2.1.3	Traceability	Clarification: Visual separation of certified product is not required for mass balance products.
2.1.8	Traceability	Text now clarifies that sales receipts do not have to be physical.
2.1.12	Traceability	Clarification: Applicability of the requirements for traceability documentation.
2.2.3	Traceability in the Online Platform	Clarification: Removal of volumes from the traceability platform that are not sold as certified, or lost, and clarified applicability for mass balance products.
2.2.4	Traceability in the Online Platform	Text rephrased for clarification.
2.2.5	Traceability in the Online Platform	Text rephrased for clarification, with more details on examples to link transaction to multiple shipments.
2.2.6	Traceability in the Online Platform	Text rephrased for clarification.
2.3.1	Mass Balance	Text rephrased for clarification.
2.3.2	Mass Balance	Text rephrased for clarification. A negative volume balance is not permitted at any time.
2.3.3	Mass Balance	Clarification added: The requirement on origin matching is only applicable to cocoa mass balance products for which origin matching is required.
2.3.4	Mass Balance	Clarification added: The requirement on origin information on purchase and sales documentation is only applicable to cocoa mass balance products for which origin matching is required.
2.3.5	Mass Balance	Text rephrased for clarification.

3.1.1 Self-selected	Production Costs and Living Income	Added new indicator: net income from certified crop per kg of harvested product.
3.2.2	Sustainability Differential	Correction: Added 'housing' to the categories for the Sustainability Differential in the indicator.
4.1.2	Planting and Rotation	Applicability added to Group Management, for cropping system of new plantings.
4.1.3 L1	Planting and Rotation	Applicability added to Group Management, for implementing measures to prevent pests and diseases and break their biological cycles.
4.2.2 Smart Meter	Pruning and Renovation of Tree Crops	Applicability added to Group Management, for pruning according to the pruning cycle, and measuring the indicator on this.
4.4.1	Soil Fertility and Conservation	Clarification and simplification: Content of 4.4.3 on soil tests and leaf tests included in 4.4.1 on soil assessment. Text rephrased for clarification and content from requirement 4.4.3 moved here.
4.4.3	Soil Fertility and Conservation	Requirement removed. Clarification and simplification: Content of 4.4.3 on soil tests and leaf tests included in 4.4.1 on soil assessment.
4.4.7 Smart Meter	Soil Fertility and Conservation	Added: Indicator % Of group members that use organic fertilizers. Applicability added to Group Management
4.5.2	Integrated Pest Management (IPM)	Adapted: Monitoring of natural enemies is moved to a new requirement Level 2 requirement 4.5.8, to allow more time for implementation.
New requirement 4.5.8 L2	Integrated Pest Management (IPM)	Adapted: Monitoring of natural enemies is moved to a new requirement Level 2 requirement 4.5.8, to allow more time for implementation.
5.1.1	Assess-and-Address	Moved: General responsibilities of the committees and their composition are now combined into new requirement 1.1.5.
5.2.1	Freedom of Association and Collective Bargaining	Adapted applicability: Requirement on rights on joining unions now also applicable to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.2.2	Freedom of Association and Collective Bargaining	Adapted applicability: Requirement including no-discrimination or retaliation now also applicable to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.2.3	Freedom of Association and Collective Bargaining	Adapted applicability: Requirement including facilitation of worker's representatives for unions now also applicable to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).

5.2.4 L1	Freedom of Association and Collective Bargaining	Adapted applicability: Informing workers on freedom of association and collective bargaining now also applicable to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.3.1	Wages and Contracts	Adapted applicability: Requirement on written and verbal contracts now also applicable to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.3.2	Wages and Contracts	Rephrased for clarification, and applicability extended to all small farms.
5.3.3	Wages and Contracts	Merged: Requirements 5.3.3 and 5.3.4 on receiving at least minimum wage for small and large farms, now all in 5.3.3.
5.3.4	Wages and Contracts	Merged: Requirements 5.3.3 and 5.3.4 on receiving at least minimum wage for small and large farms, now all in 5.3.3.
5.3.6	Wages and Contracts	Merged: Requirements 5.3.6and 5.3.7 on payment schedules, now all in 5.3.6. Applicable also to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14). Rephrased to allow electronic proof of payment.
5.3.7	Wages and Contracts	Merged: Requirements 5.3.6 and 5.3.7 on payment schedules, now all in 5.3.6. Applicable also to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14). Rephrased to allow electronic proof of payment.
5.3.9	Wages and Contracts	Merged: Requirements 5.3.9 and 5.3.10 on labor providers for small and large farms, now all in 5.3.10. Applicability extended to all Certificate Holders.
5.3.10	Wages and Contracts	Merged: Requirements 5.3.9 and 5.3.10 on labor providers for small and large farms, now all in 5.3.10. Applicability extended to all Certificate Holders.
5.3.12 L1	Wages and Contracts	Adapted applicability: now to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.3.13 Self-selected	Wages and Contracts	Adapted applicability correcting wages for inflation now extended to Small farms and Group Management.
5.4.2	Living Wage	Adapted: Part related to the consultation with workers' representatives on wage improvement plan moved to new requirement 5.4.5 (self-selected).
New requirement 5.4.5 Self-selected	Living Wage	Adapted: Consultation with workers' representatives on wage improvement plan, previously part of requirement 5.4.2, is now a new self-selected requirement.
5.5.1	Working Conditions	Adapted: Regular work hours of guards are set to 60 hours per week.
5.5.2	Working Conditions	Adapted: Exception to overtime extended to all crops under certain conditions (see point h).

		Applicable also to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.5.3	Working Conditions	Simplified:: Details for nursing spaces moved to guidance. Changed 'maternity leave' into 'parental leave' to include both parents. Applicable also to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.6.1	Health and Safety	Clarified: Text on required expertise for the analysis of the health and safety risks..
5.6.2	Health and Safety	Adapted applicability: requirement on First Aid boxes now applicable also to small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.6.4	Health and Safety	Simplified text, added line on drinking water testing, Adapted applicability, now also for small farms that hire workers beyond a certain threshold, as described in the new Subset of requirements for Small Farms (see p. 14).
5.6.5	Health and Safety	Rephrased for clarification: 'public' taken out for safe drinking water.
5.7.1	Housing and Living Conditions	Adapted: Some parts related to housing core requirements are now moved to requirement 5.7.4 L1.
5.7.4 L1	Housing and Living Conditions	Adapted: Some parts related to housing core requirements 5.7.1 are moved to 5.7.4 L1.
5.7.6	Housing and Living Conditions	Simplified text.
5.8.2	Communities	Clarified text. Producer needs legal or legitimate rights, not necessarily both.
6.5.1	Water Management and Conservation	Merged: requirements 6.5.1 and 6.5.2 on water permits. Adapted applicability: applicability for Small Farms removed.
6.2.5 Self-selected	Shade Coverage	Applicability added to Group Management
6.5.2	Water Management and Conservation	Merged: requirements 6.5.1 and 6.5.2 on water permits. Adapted applicability: applicability for Small Farms removed.
6.8.1	Energy Efficiency	Adapted: Removed content on taking measures for energy reduction from the beginning of certification, as this is implied in the smart meter in 6.8.2, and to allow for more time for implementation.

TABLE OF CONTENTS

INTRODUCTION
OUR VISION

OUR VISION

With the 2020 Sustainable Agriculture Standard, the Rainforest Alliance has developed a strong, forward-looking approach to certification that is fit for the challenges facing sustainable agriculture and related supply chains.

Our long-term vision is based on a set of core principles: continuous improvement; data-powered; risk-based assurance; contextualization; and shared responsibility.

2020 SUSTAINABLE AGRICULTURE STANDARD: FARM REQUIREMENTS

The need for sustainable agriculture has never been greater. By providing a practical framework for sustainable agriculture, and a targeted set of innovations, the Farm Requirements can help farmers produce better crops, adapt to climate change, increase their productivity, set goals to achieve their sustainability performance and target investments to address their greatest risks. The Farm Requirements are designed to support certificate holders to maximize the positive social,

environmental, and economic impact of agriculture, while offering farmers an enhanced framework to improve their livelihoods and protect the landscapes where they live and work.

The Farm Requirements of the 2020 Sustainable Agriculture Standard introduce a number of innovations, such as a contextualized package of requirements adapted to the circumstances of each certificate holder, a strengthened risk assessment to identify and manage sustainability risks, and shared responsibility requirements to reward farmers for sustainable production and target investments to achieve sustainability goals.

The Farm Requirements and Supply Chain Requirements together form the Rainforest Alliance Sustainable Agriculture Standard. Requirements that can be applicable to farm certificate holders, are taken up in the Farm Requirements document. Requirements that can be applicable to supply chain certificate holders, are taken up in the Supply Chain Requirements document. This means the numbering in each of these two documents can show gaps.

STANDARD DEVELOPMENT

The Rainforest Alliance is a full member of ISEAL. The 2020 Sustainable Agriculture Standard has been developed, for the relevant parts, in accordance with the ISEAL Standard-Setting Code of Good Practice, ensuring that the documents are relevant, transparent, and reflect a balance of stakeholder interests.

THE RAINFOREST ALLIANCE 2020 CERTIFICATION PROGRAM

The Rainforest Alliance 2020 Certification Program with the new standard, assurance system and related data and technology systems, is designed to deliver more value to the many people and businesses around the world that use the Rainforest Alliance certification as an essential tool to support sustainable agricultural production and supply chains. Our Certification Program is made up of three main components, as outlined below.

SUSTAINABLE AGRICULTURE STANDARD

FARM REQUIREMENTS

SUPPLY CHAIN REQUIREMENTS

Annexes (binding):
Compliance is required for certification.

Policies (binding):
Policies are context-specific and may be applicable, compliance is required for certification.

Guidances (non-binding):
Supporting documents to help implementation not required for certification.

ASSURANCE SYSTEM

- **Certification and Auditing Rules** to set out how auditors evaluate compliance with the Farm and Supply Chain Requirements, and to
- Ensure that Certification Bodies consistently deliver Rainforest Alliance audits of the highest quality
- **Rules for Authorizing Certification Bodies** to determine which organizations can carry out audits against the new Rainforest Alliance Standard, and to
- Set rules for Certification Bodies' personnel

DATA SYSTEMS AND TOOLS

Certificate holders at farm and supply chain level will register for membership, manage audit processes and record sales transactions of certified products in a newplatform.

New IT-based tools are being developed and made available to better track and manage sustainability performance against the requirements of the Sustainable Agriculture Standard.

LONG-TERM OUTCOMES OF THE PROGRAM

Livelihoods are improved and human rights are fully respected for farmers and farm workers, their families, and local communities

Forests and natural ecosystems are protected and restored, biodiversity and ecosystem services are conserved, and climate change is mitigated

Outcomes

Management and shared responsibility

Group management is more effective at providing services and supporting improvement based on group members' needs and risks

Farmers and workers are more knowledgeable about sustainability issues and practices

Strengthened position and capacities of young and female farmers and workers

Group management channels the Sustainability Differential (SD) effectively to group members, and farm management spends SD in the benefit of workers

Sustainability Investment is effectively used by farms and groups to support key sustainability practices and improvements

Farming

Farm resilience is increased through climate change adaptation, diversification, and other measures

Soil fertility, water resources, and other ecosystem services are maintained or enhanced

Farmers have optimized crop productivity, input use efficiency, and profitability

Reduced environmental and health risks from pesticides

Social

Child labor, forced labor, discrimination and workplace violence and harassment are effectively assessed, prevented and remediated

Other human rights of farmers, workers, and communities are fully respected

Farm workers and their families enjoy healthy and safe living and working conditions

Farmers, workers and their families enjoy an improved standard of living [toward the Living Wage or living income level]

Environment

Forests and other natural ecosystems on certified production units are effectively protected and restored

Effective group management and supporting field intervention contribute to protection and restoration of forests and other natural ecosystems in the surrounding landscape

Natural vegetation on farms is maintained and enhanced

Increased protection of wildlife and biodiversity

Increased efficiency in water and energy use and reduced wastewater and solid waste pollution

Reduced on-farm greenhouse gas emissions

Traceability

Increased credibility of assurance and traceability of certified products

Supply Chain outcomes

Responsible business practices are instituted through companies' entire supply chains

Human rights are fully respected on operations within the supply chain of the certified crop

Reduction of environmental risks on operations within the supply chain of the certified crop

Legend for the outcomes in this document

Longer term outcomes and impact

Outcomes of the standard

Principles for the mandatory improvements

Principles for the core requirements

Principles for the self-selected improvements

HOW TO BECOME CERTIFIED?

Farms and groups of farms that want to be Rainforest Alliance Certified need to carry out a series of key activities each year.

PREPARATION PHASE

CH REGISTERS IN THE RACP	CH IMPLEMENTS APPLICABLE CORE REQUIREMENTS INDICATED BY RACP	BASELINE MEASUREMENT OF SMART METERS 1.1.2; 5.4.4	CH CONDUCTS BASIC RISK ASSESSMENT	CH CONDUCTS INTERNAL INSPECTIONS AND/or SELF ASSESSMENTS	CH UPDATES and IMPLEMENTS MANAGEMENT PLAN	1st CERTIFICATION AUDIT

Cycle 1

YEAR 1

| CH COMPLIES WITH APPLICABLE CORE REQUIREMENTS | BASELINE MEASUREMENT OF OTHER SMART METERS | CH CONDUCTS RISK ASSESSMENTS | CH CONDUCTS INTERNAL INSPECTION AND/OR SELF ASSESSMENTS | CH UPDATES and IMPLEMENTS MANAGEMENT PLAN | SURVEILLANCE AUDIT |

YEAR 2

| CH COMPLIES WITH APPLICABLE CORE REQUIREMENTS | MEASUREMENT OF SMART METERS | CH CONDUCTS RISK ASSESSMENTS | CH CONDUCTS INTERNAL INSPECTION AND/OR SELF ASSESSMENTS | CH UPDATES and IMPLEMENTS MANAGEMENT PLAN | SURVEILLANCE AUDIT |

YEAR 3

| CH COMPLIES WITH APPLICABLE CORE REQUIREMENTS | MEASUREMENT OF SMART METERS | CH CONDUCTS RISK ASSESSMENTS | CH CONDUCTS INTERNAL INSPECTION AND/OR SELF ASSESSMENTS | CH UPDATES and IMPLEMENTS MANAGEMENT PLAN | 2nd CERTIFICATION AUDIT |

Cycle 2

YEAR 4

| CH COMPLIES WITH APPLICABLE CORE AND LEVEL 1 REQUIREMENTS | . . . |

HOW TO PREPARE FOR THE FIRST AUDIT?

REGISTRATION
First, the potential Certificate Holder (CH) registers in the Rainforest Alliance Certification Platform (RACP). Based on the information they provide during registration, a profile of the CH and its certification scope are defined.

IMPLEMENTATION OF REQUIREMENTS
With the certification scope, a list of applicable requirements is generated in RACP. The CH can start implementing the Standard based on these requirements.

BASELINE MEASUREMENT OF SMART METERS 1.1.2; 5.4.4
CH carries out baseline measurements of the smart meters that have to be done before the first certification audit.

BASIC RISK ASSESSMENT
CH carries out risk assessments to identify the needed mitigation measures and adds them to the management plan.

INTERNAL INSPECTIONS AND/OR SELF-ASSESSMENT
For group certification the CH conducts internal inspections to assess compliance of all group members. Group management conducts a self-assessment for all actors within the certification scope.

CH UPDATES AND IMPLEMENTS MANAGEMENT PLAN
Based on the findings from previous steps the CH updates the management plan and implements remaining activities for compliance.

THE FIRST CERTIFICATION AUDIT
The preparation phase ends with the 1st certification audit. If the audit is passed, the certification license will be granted and year 1 of the certification starts.

AFTER THE FIRST CERTIFICATION AUDIT
Rainforest Alliance farm certification operates on a three-yearly cycle. Year 1 starts after the first positive certification audit. During each subsequent year internal inspections and/or self-assessments are conducted to inform the management plan and implementation of actions to ensure compliance. From year 1 onwards all Smart Meters are applicable. Baseline measurements are conducted in year 1 and targets are set to be reached by the second certification cycle. In-Depth Risk Assessments need to be conducted as indicated in the applicable requirements.

In the two years between Certification Audits, Surveillance Audits are carried out to:
- verify whether the management system of the organization is still ensuring compliance of all activities falling under its responsibility
- monitor progress on improvements.

After the second certification audit, the second certification cycle starts. During the second certification cycle additional Level 1 requirements come into effect.

SCOPE OF CERTIFICATION AND KEY DEFINITIONS

The requirements that apply to a CH and location vary based on the scope of certification, the farm category (Small or Large) and the phase of certification.

WHAT IS THE SCOPE OF CERTIFICATION?

The certification scope of the Farm requirements is the whole farm.

Chapter 4: Farming focuses on the certified crop, except for the requirements on pesticides (4.6) which apply to the whole farm.

The Farm CH may choose to leave geographically separate farm units out of the certification scope if these:

- are only used to produce non-certified crop at all times.
- are not in the vicinity of farm units with certified crop.

EXTRA REQUIREMENTS FOR SMALL FARMS WITH MANY TEMPORARY WORKERS?

A subset of requirements is applicable for Small farms only if a threshold of temporary workers is reached. This is indicated per requirement by:

"For Small farms, the requirement only applies if they are hiring:

- 10 or more temporary workers each working for three consecutive months or more, and/or

- 50 or more temporary workers per calendar year"

WHAT IS CONSIDERED A SMALL OR LARGE FARM?

For this Standard, we work with two farm categories: Small and Large.
Small farms are all farms with fewer than 10 permanent workers.

Large farms are all farms with 10 or more permanent workers.

The Rainforest Alliance may categorize farms differently if this is considered more appropriate.

WHO ARE CONSIDERED 'WORKERS'?

When 'workers' are mentioned, all workers including permanent workers, temporary workers, workers hired through labor providers are included. See also Annex S01: Glossary.
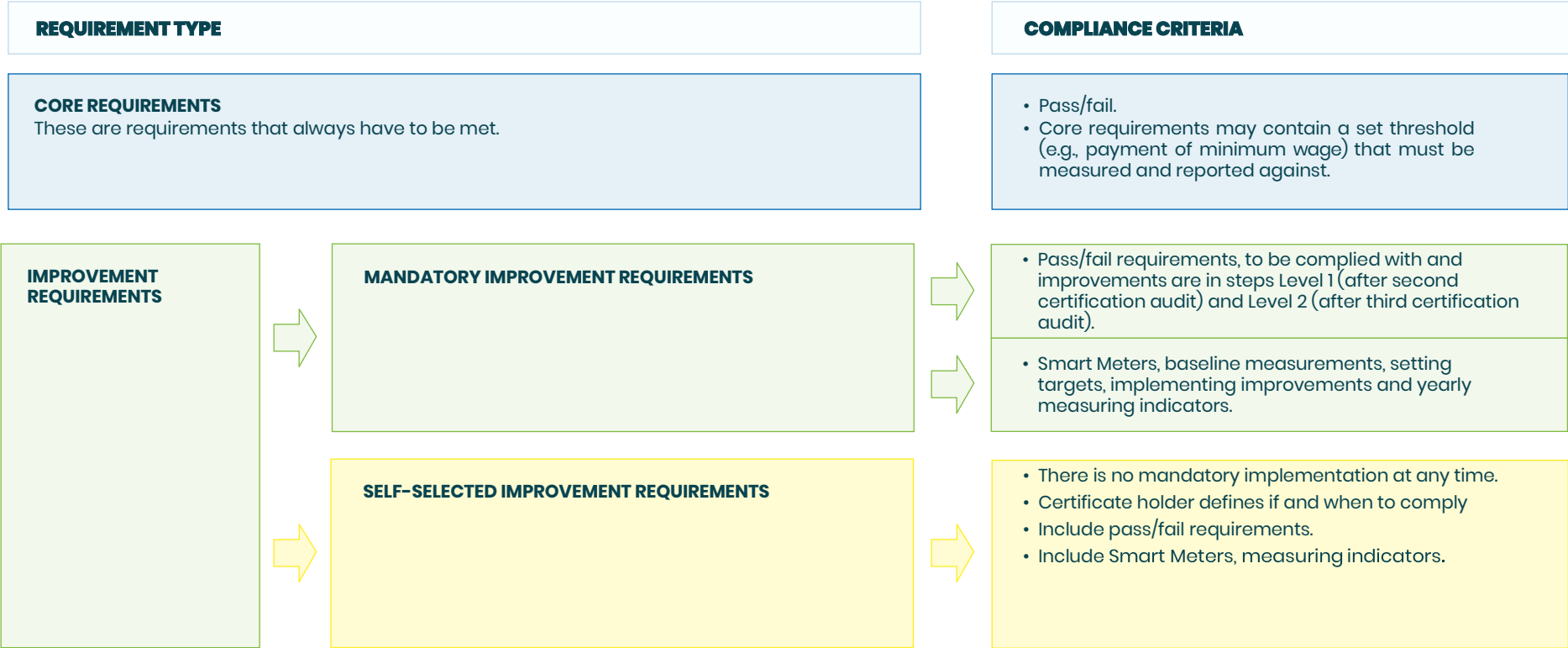
Please see General Guide: For the Implementation of the Rainforest Alliance Sustainable Agriculture Standard for further explanation and examples on the interpretation of the Standard.

STRUCTURE OF THE FARM REQUIREMENTS

Our certification program is designed for producers who are committed to sustainable agriculture, and continuous improvement is a fundamental tenet of sustainability: The Farm Requirements aim to serve these aims. In addition to prescribing practices, the focus is on enabling and measuring improvements towards sustainability outcomes. The Farm Requirements include three different types of requirements: Core, mandatory improvements, and self-selected requirements. All topics covered by the Standard contain pass/fail requirements. On top of this, a number of 'Smart Meters' have been added (see next page for explanation of Smart Meters.).

REQUIREMENT TYPE	COMPLIANCE CRITERIA

CORE REQUIREMENTS
These are requirements that always have to be met.

- Pass/fail.
- Core requirements may contain a set threshold (e.g., payment of minimum wage) that must be measured and reported against.

IMPROVEMENT REQUIREMENTS

MANDATORY IMPROVEMENT REQUIREMENTS

- Pass/fail requirements, to be complied with and improvements are in steps Level 1 (after second certification audit) and Level 2 (after third certification audit).

- Smart Meters, baseline measurements, setting targets, implementing improvements and yearly measuring indicators.

SELF-SELECTED IMPROVEMENT REQUIREMENTS

- There is no mandatory implementation at any time.
- Certificate holder defines if and when to comply
- Include pass/fail requirements.
- Include Smart Meters, measuring indicators.

PASS FAIL REQUIREMENTS AND SMART METERS
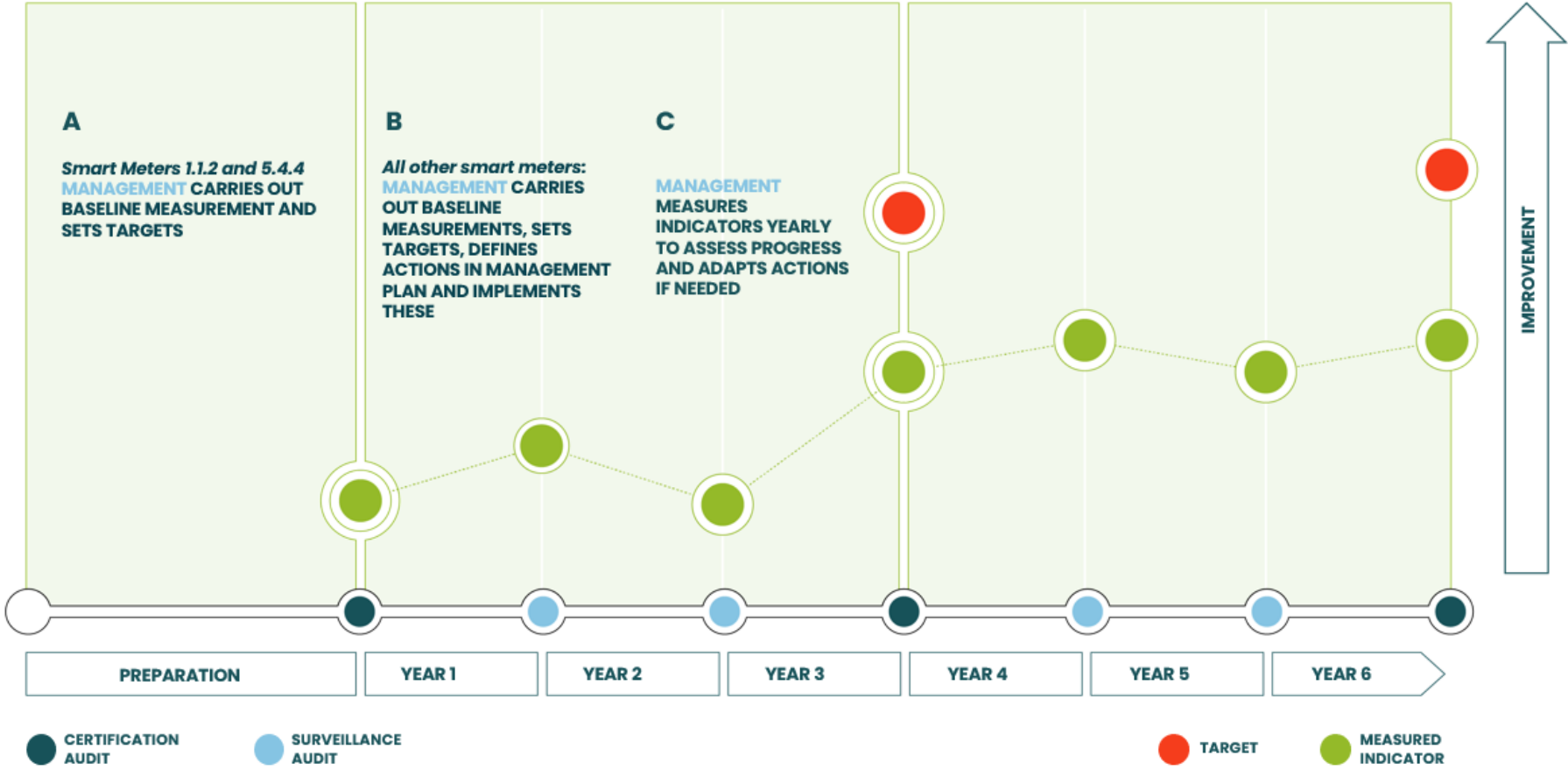
PASS FAIL REQUIREMENTS

The foundation of the Standard are the core requirements, which address fundamental areas of sustainable agriculture. Core requirements prescribe good practices with respect to key sustainability topics and are formulated as pass/fail requirements, sometimes containing a set threshold. Also, there are mandatory improvement requirements with a pass/fall approach.

SMART METERS

Our vision for the certification program aims to go beyond the traditional 'pass/fail' approach of sustainability standards, and towards promoting continuous improvement, through insights from data, and a more accurate measurement of progress. To this end, we have introduced a new approach to requirements: Smart Meters.

A
Smart Meters 1.1.2 and 5.4.4 MANAGEMENT CARRIES OUT BASELINE MEASUREMENT AND SETS TARGETS

B
All other smart meters: MANAGEMENT CARRIES OUT BASELINE MEASUREMENTS, SETS TARGETS, DEFINES ACTIONS IN MANAGEMENT PLAN AND IMPLEMENTS THESE

C
MANAGEMENT MEASURES INDICATORS YEARLY TO ASSESS PROGRESS AND ADAPTS ACTIONS IF NEEDED

IMPROVEMENT

PREPARATION | YEAR 1 | YEAR 2 | YEAR 3 | YEAR 4 | YEAR 5 | YEAR 6

● CERTIFICATION AUDIT   ● SURVEILLANCE AUDIT   ● TARGET   ● MEASURED INDICATOR

HOW DO SMART METERS WORK?

Smart Meters aim to give farmers a structured way to incorporate continuous improvement on context-specific data.

Smart Meters do not have predefined targets set by the Rainforest Alliance. Instead, the management sets the targets for these indicators and define the actions they need to take to realize these improvements.

During the preparation phase management conducts baseline measurements for the indicators of core requirements and Smart Meters 1.1.2 and 5.4.4, defines targets for these Smart meters, and plans and implements actions to achieve these targets. In the subsequent years management monitors progress towards the targets. For the other applicable Smart Meters the same process is started one year later: in year 1.
Management uses the indicator data to reflect yearly on the progress, and to adapt the activities if needed. This provides a feedback loop to continuously improve the practices.
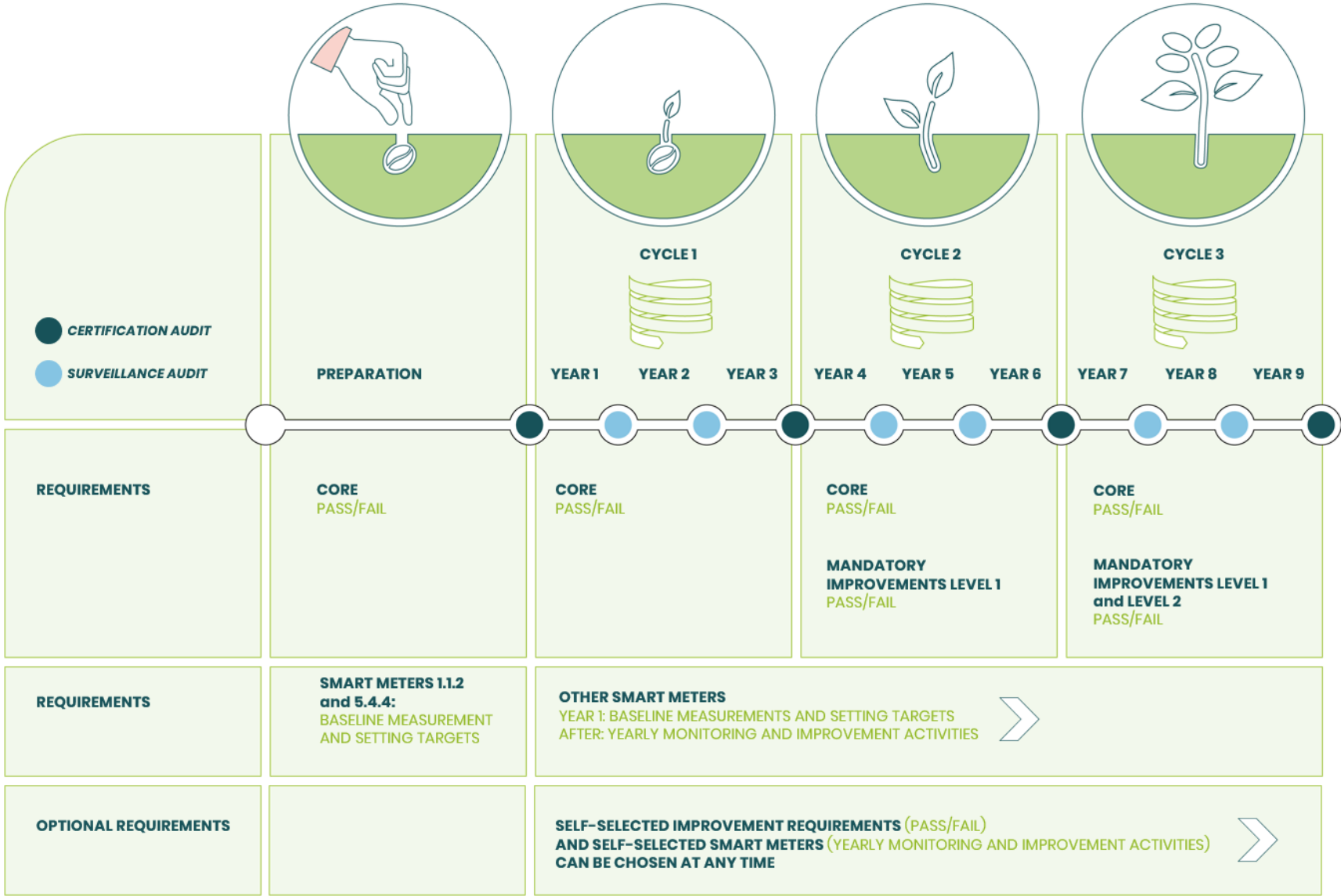
AUDITING OF SMART METER DATA

- For the mandatory Smart Meters: the quality of the data and the actions undertaken will be verified during the audit. The measured level of the indicator data will not influence the certification decision. However, if no data has been collected, if the quality of the data is very low or if no actions were taken to reach the targets, this may have consequences for certification. The Rainforest Alliance will use the indicator data for learning purposes, and to establish the context and crop specific optimum levels for these indicators, to be used by the certificate holders as a reference for their improvements.
- For the self-selected Smart Meter improvements, data on the Smart Meters that have been verified, may be published by the certificate holder on their profile or in other external communication if they wish.

The Certification Body checks whether the baseline and subsequent yearly measurements have been conducted and will verify the quality of the data. During the surveillance audits they check the yearly monitoring and use of the data for learning. During the second and third certification audit the Certification Body checks whether the targets have been reached. The objective of these surveillance audits regarding the Smart Meter requirements is to provide feedback to the certificate holders on the quality and the use of the data for learning and improving.

MONITORING IMPROVEMENTS THROUGH CERTIFICATE HOLDER PROFILES

A Certificate Holder profile for farms and groups is another innovation that will be used to communicate sustainability performance and improvements. Certificate Holder profiles will be shaped by data and indicators from the Standard, and will allow producers to demonstrate their results, challenges, and improvements. The profile can become a valuable tool to drive continuous improvement, empower producers, build demand for certified product, and channel supply chain investments.

OVERVIEW OF THE IMPROVEMENT PROCESS

- ● **CERTIFICATION AUDIT**
- ● **SURVEILLANCE AUDIT**

	PREPARATION	CYCLE 1	CYCLE 2	CYCLE 3
		YEAR 1 YEAR 2 YEAR 3	YEAR 4 YEAR 5 YEAR 6	YEAR 7 YEAR 8 YEAR 9

REQUIREMENTS	CORE PASS/FAIL	CORE PASS/FAIL	CORE PASS/FAIL MANDATORY IMPROVEMENTS LEVEL 1 PASS/FAIL	CORE PASS/FAIL MANDATORY IMPROVEMENTS LEVEL 1 and LEVEL 2 PASS/FAIL
REQUIREMENTS	SMART METERS 1.1.2 and 5.4.4: BASELINE MEASUREMENT AND SETTING TARGETS	OTHER SMART METERS YEAR 1: BASELINE MEASUREMENTS AND SETTING TARGETS AFTER: YEARLY MONITORING AND IMPROVEMENT ACTIVITIES ❯		
OPTIONAL REQUIREMENTS		SELF-SELECTED IMPROVEMENT REQUIREMENTS (PASS/FAIL) AND SELF-SELECTED SMART METERS (YEARLY MONITORING AND IMPROVEMENT ACTIVITIES) CAN BE CHOSEN AT ANY TIME ❯		

HOW TO USE THIS DOCUMENT

The Sustainable Agriculture Standard Farm Requirements document is divided into six chapters, each centered around a specific area – farm management, traceability, income and shared responsibility, farming, social and environment. The requirements in each chapter are presented in tables like the one below.

WHICH REQUIREMENTS ARE APPLICABLE, TO WHOM, AND WHEN?

The right-hand columns in the standard indicate which type of Supply Chain Actor or Farm the requirement applies to, and who is responsible for implementation. For example, if the columns for Small farm and Group management are ticked , this means that both the Small farms and the Group Management are responsible for ensuring the implementation of the requirement.

Topic name •- - - - - - - - •

Core requirement:
Always has to be
complied with

Mandatory Smart Meter:
Measured each year, from
year one onwards

Mandatory Improvement:
Always has to be complied
with from the indicated
time

Improvement Level:
Level 1 (L1) after three years
of certification.
Level 2 (L2) after six years of
certification

Self-selected:
Not required. Can be
chosen at any time

Small farms:
Each member of a
group has to comply
with these requirements

Large farms:
Each large farm in the
group has to comply
with these requirements

Group management:
Group management is
responsible for
requirements on overall
management of the
group, and for
implementation of
requirements with the
group members

Individual certification:
Small of large farms that
are certified individually
have to comply with
these requirements

1.1 MANAGEMENT					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.1.1	(Text requirement)		✓	✓	
No.	Mandatory Smart Meter				
1.1.2	(Text requirement)			✓	✓
No.	Mandatory Improvement				
1.1.3 L1	(Text requirement)	✓		✓	
No.	Self-selected Requirements				
1.1.4	(Text requirement)	✓	✓	✓	

OVERVIEW OF THE FARM STANDARD TOPICS

1. Management		
1.1	Management	Smart Meter
1.2	Administration	
1.3	Risk Assessment and Management Plan	
1.4	Internal Inspection and Self-Assessment	
1.5	Grievance Mechanism	
1.6	Gender Equality	Smart Meter
1.7	Young Farmers and Workers	Self-selected

2. Traceability		
2.1	Traceability	
2.2	Traceability in the Online Platform	
2.3	Mass Balance	

3. Income and shared responsibility		
3.1	Production Costs and Living Income	Self-selected
3.2	Sustainability Differential	
3.3	Sustainability Investments	

4. Farming		
4.1	Planting and Rotation	
4.2	Pruning and Renovation of Tree Crops	Smart Meter
4.3	Genetically Modified Organisms (GMOs)	
4.4	Soil Fertility and Conservation	Smart Meter
4.5	Integrated Pest Management (IPM)	Smart Meter
4.6	Agrochemicals Management	
4.7	Harvest and Post-Harvest Practices	

5. Social		
5.1	Assess-and-Address, Child Labor, Forced Labor, Discrimination, Workplace Violence and Harassment	Smart Meter
5.2	Freedom of Association and Collective Bargaining	
5.3	Wages and Contracts	
5.4	Living Wage	Smart Meter
5.5	Working Conditions	
5.6	Health and Safety	
5.7	Housing and Living Conditions	
5.8	Communities	

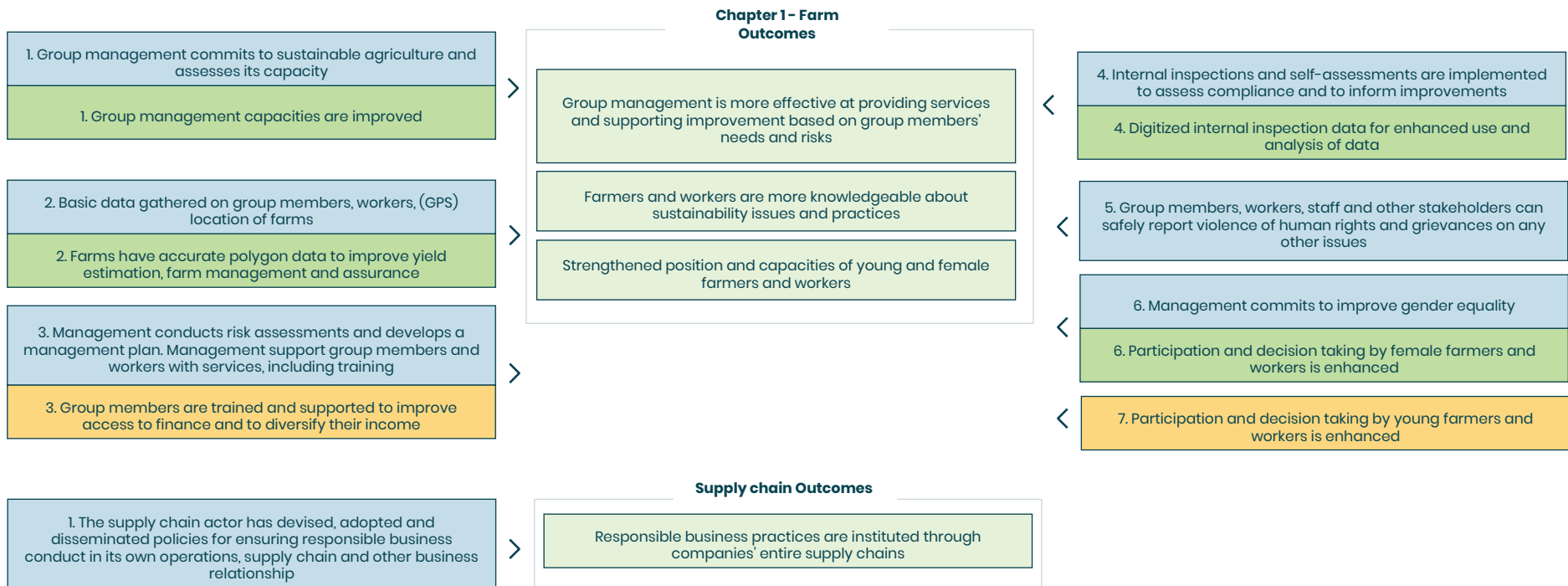| 6. Environment		
6.1	Forests, other Natural Ecosystems and Protected Areas	
6.2	Conservation and Enhancement of Natural Ecosystems and Vegetation	Smart Meter
6.3	Riparian Buffers	
6.4	Protection of Wildlife and Biodiversity	
6.5	Water Management and Conservation	Smart Meter
6.6	Wastewater Management	
6.7	Waste Management	
6.8	Energy Efficiency	Smart Meter
6.9	Greenhouse Gas Reduction	Self-selected

CHAPTER 1:
MANAGEMENT
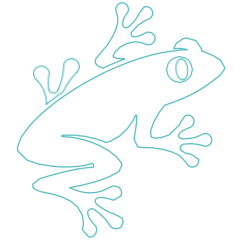
Farming is not just a way of life but is also a business, and successful business needs management. The Rainforest Alliance wants to see certified farms managed in an efficient, transparent, inclusive and economically viable manner. Here, it is essential that farms and groups implement an integrated planning and management system, with processes and systems for continuous improvement. Good planning and management contribute to farm productivity and efficiency, and to reduced environmental impact. Increased efficiency in the use of land, water, fertilizers, and pesticides also supports climate change adaptation and mitigation (Climate Smart Agriculture).

To help achieve this outcome, the Management chapter includes topics related to management capacity, farm and group administration, data management, sustainability assessment and management planning. Requirements on these topics follow a process of assessment, planning, implementation, evaluation, and adjustment. Based on the Risk Assessment, specific mitigation and adaptation practices are defined. Farm and group administrators play a key role in facilitating this planning process.

This chapter also includes requirements on the collection of geolocation data to assure trace-ability of certified products; that they do not come from deforested area nor from protected areas in

which production is strictly forbidden. Collection of GPS polygons provides more accurate data on farm size, which in turn can also support farm management for instance by facilitating analysis for volume estimation.

Finally, this chapter includes the cross-cutting themes of gender and youth participation. The inclusion of these topics in the management chapter recognizes the fundamental importance of these issues, and that they apply to multiple dimensions of farm and group activity. Rather than requiring a certain level of gender or youth participation, the standard encourages farm-specific and context-specific targets and activities to reach member's appropriate goals.

Chapter 1 - Farm Outcomes

1. Group management commits to sustainable agriculture and assesses its capacity

1. Group management capacities are improved

> Group management is more effective at providing services and supporting improvement based on group members' needs and risks

4. Internal inspections and self-assessments are implemented to assess compliance and to inform improvements

4. Digitized internal inspection data for enhanced use and analysis of data

2. Basic data gathered on group members, workers, (GPS) location of farms

2. Farms have accurate polygon data to improve yield estimation, farm management and assurance

> Farmers and workers are more knowledgeable about sustainability issues and practices

5. Group members, workers, staff and other stakeholders can safely report violence of human rights and grievances on any other issues

3. Management conducts risk assessments and develops a management plan. Management support group members and workers with services, including training

3. Group members are trained and supported to improve access to finance and to diversify their income

> Strengthened position and capacities of young and female farmers and workers

6. Management commits to improve gender equality

6. Participation and decision taking by female farmers and workers is enhanced

7. Participation and decision taking by young farmers and workers is enhanced

Supply chain Outcomes

1. The supply chain actor has devised, adopted and disseminated policies for ensuring responsible business conduct in its own operations, supply chain and other business relationship

> Responsible business practices are instituted through companies' entire supply chains

1.1 Management

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.1.1	Group management demonstrates commitment to sustainable agriculture by dedicating adequate resources and staff to the implementation of the Rainforest Alliance Sustainable Agriculture Standard. At least every three years Group Management assesses its capacity using the Management Capacity Assessment Tool (Annex S02). Management scores a minimum of one point per topic in the tool in the first year of certification and demonstrates continuous improvement with further assessments. **Indicator:** • Scores on each of the topics of the Management Capacity Assessment Tool *Please see SA-G-SD-3 Annex S02: Management Capacity Assessment Tool* *Please see SA-G-SD-2 Guidance Document A: How to Use the Management Capacity Assessment Tool*			✓	
No.	**Mandatory Smart Meter**				
1.1.2	Group management improves its management capacities and includes actions in the management plan. **Indicator:** Scores on each of the topics of the Management Capacity Assessment Tool *Please see SA-G-SD-3 Guidance Document B: Template of Management Plan*			✓	
No.	**Core requirements**				
1.1.5	Management appoints at least one management representative accountable for the following issues and forms committee(s) of responsible persons. One committee may cover more than one issue: • Grievance mechanism (see 1.5) • Gender equality (see 1.6) • Assess-and-address child labor, forced labor, discrimination, and workplace violence and harassment (see 5.1) The committee(s): - Are knowledgeable about the issues and have decision making power. - Include responsible persons representing group members for small farms or workers on large farms/supply chain operations, selected by members/workers. - Are impartial, accessible, gender sensitive and trusted by the group members/workers and vulnerable groups. - The committee handling gender equality issues includes at least one woman. In groups of small farms: there may be a responsible person instead of a committee(s) for gender and for assess-and-address.	✓	✓		✓

1.2 Administration

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.1	Management complies with applicable laws and collective bargaining agreements (CBA) within the scope of the Rainforest Alliance Sustainable Agriculture Standard. In the case that an applicable law or CBA is stricter than a requirement in the standard, such law or CBA will prevail unless such law has become obsolete. In the case that an applicable law or CBA is less strict than a requirement in the standard, the requirement in the standard will prevail, unless the requirement explicitly allows for such law or CBA to apply.	✓	✓	✓	✓
1.2.2	There is a list of current service providers, suppliers, intermediaries and subcontractors. Mechanisms are in place to ensure that they comply with applicable requirements of the Standard for work within the scope of certification. For Farms - This is valid for work in the field, work in processing, and labor provision. - "Suppliers" refers only to other farms they buy certified product from. *Please see Guidance Document U: Service Providers Applicability*		✓	✓	✓
1.2.4	An up-to-date registry of group members is kept, containing for each group member the required information according to the group registry template on the Rainforest Alliance certification platform. *Please see SA-S-SD-14 Annex S13: Group Member Registry*			✓	

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.5	Up-to-date records of permanent and <u>temporary workers</u> are kept, containing, for each <u>worker</u>: • Full name • <u>Gender</u> • Year of birth • Start and end date(s) of employment • <u>Wages</u> For workers for whom <u>housing</u> is provided, the records additionally contain: • Housing address • Number of family members • Year of birth of family members For children conducting light work (12-14 years) and <u>young workers</u> (15 – 17 years), the records additionally contain: • Housing address • Name and address of parent(s) or legal guardian(s) • School registration (if applicable) • Type of work or tasks • The number of working hours per day and per week *Note on applicability: for supply chain certification, this requirement is only applicable to those certificate holders that present a high risk in social topics and therefore must comply with the requirements in Chapter 5. Social*		✓	✓	✓
1.2.6	For <u>permanent</u> workers, up-to-date records are kept, containing, for each <u>worker</u>: • Full name • <u>Gender</u> • Year of birth • Wages For temporary workers, only the number of workers is required. Illiterate <u>group members</u> can give the above information orally.	✓			
1.2.7	Management ensures that wherever the Rainforest Alliance Sustainable Agriculture Standard requires to inform <u>workers</u> or <u>group members</u>, the information is given in the predominant language(s) of the workers or group members.		✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.8	A signed (or marked) agreement is in place between the group and each group member, specifying the rights and obligations of each party including at least: • The group member's obligation to comply with the Rainforest Alliance Sustainable Agriculture Standard. • The group member's obligation to accept both internal inspections and external audits and sanctions. • The group member's guarantee that any product sold as certified comes only from their farm. • The group member's right to appeal decisions made by the group management by using the grievance procedure. • The group member's agreement to share such member's farm data (such as geodata, volumes, area etc.) with group management and the Rainforest Alliance for use, publication and sharing within the supply chain as described in the Rainforest Alliance General Terms and Conditions and its Privacy Policy. Each group member understands the agreement. Agreements are centrally archived, and a copy is available for each group member.			✓	
1.2.9	Records for certification purposes and compliance are kept for at least four years.	✓	✓	✓	✓
1.2.10	An up-to-date map of the farm (large farms) or the farm area (group of small farms) is available, including: • Farms/farm units/production zones • Processing facilities • Human habitation areas • Schools • Medical centres/first aid sites • Natural ecosystems, including water bodies and forests, and other existing natural vegetation • Riparian buffer zones • Agroforestry systems • Protected areas The map also includes risk areas identified in the Risk Assessment (see 1.3.1). The date of the latest update is displayed on the map. *Please see SA-G-SD-4 Guidance Document C: How to Create a Farm Map*		✓	✓	✓
1.2.11	A sketch of the farm is available, including: • The production area of certified crop • Forests • Water bodies • Buildings	✓			

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.12	For 100% of the farms, geolocation data of the largest farm unit with the certified crop is available. For at least 10% of the farms, this is in the form of a GPS polygon. For all other farms, this can be in the form of a location point. *Please see SA-S-SD-19 Annex Chapter 1: Management* *Please see SA-G-SD-5 Guidance Document D: Geolocation Data Requirements and Risk Maps*			✓	
1.2.13	A polygon is available of the farm. If the farm has multiple farm units, a polygon is provided for each farm unit. *Please see SA-S-SD-19 Annex Chapter 1: Management* *Please see SA-G-SD-5 Guidance Document D: Geolocation Data Requirements and Risk Maps*		✓		✓

No.	Mandatory Improvement	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.14 L1	Geolocation data is available for 100% of all farm units. At least 30% is in the form of polygons. Yearly progress on the indicators needs to be shown, corresponding to the target to reach at the end of year three. **Indicator:** • % of farm units with geolocation data • % of farm units with polygons			✓	
1.2.15 L2	Polygons are available for 100% of the farm units. Yearly progress on the indicators needs to be shown, corresponding to the target to reach at the end of year six. **Indicator:** • % of farm units with geolocation data • % of farm units with polygons			✓	

1.3 Risk Assessment and Management Plan

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.3.1	Management conducts a risk assessment in relation to the requirements in this Standard, by using the Risk Assessment Tool, at least every three years. If relevant, the risk assessment may be reviewed and updated yearly. The risk mitigation measures are included in the management plan. *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool*		✓	✓	✓
1.3.2	Management makes a management plan that includes the goals and actions based on the Risk Assessment (**1.3.1**) and self-assessment (**1.4.2**). For groups, the management plan is additionally based on the Management Capacity Assessment Tool (**1.1.1**) and internal inspection (**1.4.1**). Management reports on the implementation of the management plan yearly. The management plan is updated yearly. *Please see Guidance Document B: Template of Management Plan*		✓	✓	✓
1.3.3	Management provides group members with services based on the management plan. Services can include training, technical assistance, support in record keeping, access to inputs (e.g., seedlings), awareness-raising activities, etc. Management documents the services provided. **Indicators:** • # of training activities provided to members • Topics of the training activities • # and % of members attending training activities (M/F) • # and type of services (other than training) provided to members			✓	
1.3.4	Management provides workers with services based on the management plan. Services can include training, awareness-raising activities, etc. Management documents the services provided. **Indicator:** • # of training activities provided to workers • Topics of the training activities • # and % of workers attending training activities (M/F) • # and type of services (other than training) provided to workers		✓		✓

No.	Self-Selected Improvement	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.3.5	Based on the outcomes of the basic <u>Risk Assessment</u> (1.3.1), management carries out the in-depth <u>climate change</u> Risk Assessment to assess in more detail climate threats and corresponding mitigation measures tailored to the regional context. *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool*		✓	✓	✓
1.3.6	Management supports <u>group members</u> with • Training on finance, business management and understanding production costs and net income • Facilitating access to financial services (e.g., bank account, mobile payment, loans for farm investments) **Indicator:** • # of group members (M/F) that have a business plan for their farms			✓	
1.3.7	Management supports <u>group members</u>: • To make informed decisions on adequate income diversification strategies • Facilitating access to needed knowledge, inputs, services, markets to enable the implementation of the income diversification strategies • Extending support to the household and/or community **Indicators:** • # and <u>gender</u> of group members that diversify their income through at least one of the following: • other income generating activity (specified per type) • upgrading of the product (e.g., wet processing)			✓	

1.4 Internal Inspection and Self-Assessment

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.4.1	Management has an <u>internal inspection</u> system in place to annually assess compliance of all actors within the scope of certification. The system includes: • For Farms: <u>group members</u>' farms, processing and/or storage sites and any other actors (including <u>subcontractors</u>, <u>intermediaries</u>, <u>service providers</u>). • For Supply Chain: sites and subcontractors. All actors are inspected internally before each external audit: • In the first year of certification, the internal inspection covers all applicable requirements of the Standard. • In consecutive years, the internal inspection is based on the <u>Risk Assessment</u> (for farms, see 1.3.1), the previous year's internal inspection and previous external audit results. For farm scope only: a rotation system is in place so that each <u>farm unit</u> is inspected at least every three years. In case of remote farm units this is done at least every six years.			✓	
1.4.2	Management carries out a yearly <u>self-assessment</u> to evaluate its own compliance, and that of all actors in its <u>certification scope</u>, with all relevant requirements in the Standard. Management uses the results of the <u>internal inspections</u> as set out in 1.4.1. to complete the self-assessment.			✓	✓

| No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.4.3	An approval and sanction system are in place in relation to the compliance of <u>group members</u> (for farms) and/or <u>sites</u> with the Rainforest Alliance Sustainable Agriculture Standard. The system includes: • A written approval and sanction procedure • An approval and sanction manager or committee • A mechanism to follow up on group members'/sites' improvement and corrective measures • A decision on each group member's/site's certification status that is signed and documented and included in the final internal inspection report			✓	
1.4.4	An internal inspector cannot inspect more than six farms per day. Internal inspectors have been trained, evaluated based on the training content, and have acquired skills on good internal inspection practices.			✓	
No.	**Mandatory Improvement**				
1.4.5 L1	<u>Internal inspection</u> data is collected through a device (e.g., phone, tablet, etc.), and used in a <u>digitized</u> format for at least 30% of the <u>group members</u>. **Indicator:** • % of group members whose internal inspection data are collected and used by the <u>group management</u> in a digitized format			✓	
1.4.6 L2	<u>Internal inspection</u> data is collected through a device (e.g., phone, tablet, etc.), and used in a <u>digitized</u> format for at least 90% of the <u>group members</u>. **Indicator:** • % of group members whose internal inspection data are collected and used by the <u>group management</u> in a digitized format			✓	

1.5 Grievance Mechanism

No.	Core requirements	Group certification			Ind. cert.
		S-farms	**L-farms**	**Group mgt.**	**S/L**
1.5.1	A grievance mechanism is in place that enables individuals, workers, communities, and/or civil society, including whistle-blowers, to raise complaints related to the certificate holder's business activities. Complaints can relate to any part of the Standard, including technical, social, or economic issues. The grievance mechanism may be provided by the certificate holder or by a third party. The grievance mechanism includes at least the following elements: • A grievance committee (see 1.1.5). • The grievance mechanism allows for submissions in any language and is accessible to persons who cannot read or do not have access to the internet. • Anonymous grievances are accepted, and confidentiality is respected. • Human and labor rights grievances are remediated in accordance with the Remediation Protocol. • Grievances and follow up actions are documented, and shared with the affected persons within a reasonable timeframe. • Submitters of grievances are protected against employment/membership termination, retribution, or threats as a consequence of using the grievance mechanism. *Please see SA-S-SD-23 Annex Chapter 5: Social* *Please see SA-G-SD-6 Guidance Document E: Grievance Mechanism*		✓	✓	✓

1.6 Gender Equality

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.6.1	Management commits to promoting <u>gender equality</u> by: • A written statement that is communicated to <u>group members/workers</u> • Appointing a committee that is responsible for the implementation, monitoring, and evaluation of measures that promote gender equality and women's empowerment (see 1.1.5). *Please see SA-G-SD-7 Guidance Document F: Gender Equality*		✔	✔	✔
1.6.2	The responsible committee/person performs the following activities: • Implements measures that promote <u>gender equality</u> following the basic <u>Risk Assessment</u> (1.3.1) and includes these measures in the <u>management plan</u> (1.3.2) • Raises awareness on gender equality and women's empowerment with management and (group) staff at least annually • Is involved in remediation cases concerning gender-based violence and gender-based <u>discrimination</u> in accordance with the Remediation Protocol *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool* *Please see SA-S-SD-23 Annex Chapter 5: Social*		✔	✔	✔

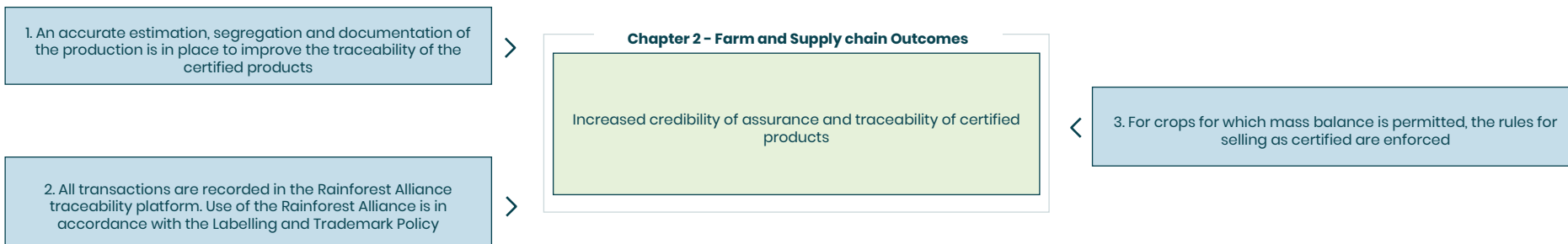| No.	Mandatory Smart Meter	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.6.3	From year 1 onwards, the responsible committee/person: • Implements the <u>gender</u> in-depth Risk Assessment Tool and repeats this at least every three years • Prioritizes at least three indicators from the gender in-depth Risk Assessment Tool with their respective mitigation measures • Incorporates the prioritized mitigation measures in the <u>management plan</u> • Implements and monitors the mitigation measures • Reports yearly to management on the mitigation measures and the indicators *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool*		✔	✔	✔

1.7 Young Farmers and Workers

No.	Self-Selected Smart Meter	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.7.1	Management promotes the participation and development of <u>young persons</u> (< 35 years) in farming and management activities. • It motivates their involvement in farming activities • It supports their skills development, including literacy and numeracy skills • It encourages their participation in training and in decision making • It encourages them to become farmers Management defines targets for (a selection of) the proposed indicators and monitors yearly the progress on these targets, disaggregated by gender. **Indicators:** • # and % of <u>group members</u> that are young persons (under 35 years) • # and % of participants in training that are young persons (under 35 years) • # and % of young trainers (under 35 years) • # and % of young internal inspectors (under 35 years) • # and % of young farmers with access to land (under 35 years) • # and % of young persons (under 35 years) in management positions		✓	✓	✓
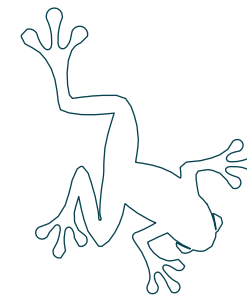
CHAPTER 2: TRACEABILITY

A successful, credible sustainable agriculture certification program must be able to provide its users with the confidence that certified products are indeed produced according to the standard. This requires a robust, transparent system to track products from the farmer along the supply chain up to the level of the retailer.

The requirements in this chapter provide producers with a framework to accurately and credibly record the quantities of certified production within their operations, their segregation from non-certified products, sales transactions, conversion methods, and trademark

1. An accurate estimation, segregation and documentation of the production is in place to improve the traceability of the certified products

Chapter 2 - Farm and Supply chain Outcomes

Increased credibility of assurance and traceability of certified products

3. For crops for which mass balance is permitted, the rules for selling as certified are enforced

2. All transactions are recorded in the Rainforest Alliance traceability platform. Use of the Rainforest Alliance is in accordance with the Labelling and Trademark Policy

2.1 Traceability

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.1.1	The total <u>certified</u> production and the certified production for each producer (in kg, in stems for flowers) is estimated once a year. The calculations are based on a credible methodology for yield estimation (in kg/ha, stems/ ha for flowers) of a representative sample of farms or <u>farm units</u>. The methodology and calculation are documented. **Indicator:** • Estimated certified production volume (kg or stems) *Please see SA-G-SD-8 Guidance Document G: Yield estimation*		✓	✓	✓
2.1.2	Management takes stock annually of: • The total harvested <u>certified</u> production (in kg, in stems for flowers) • The balance of products purchased, produced, sold and in stock In case the difference between estimated production and actual production is >15 %, a reasonable justification is given, and measures are taken to prevent such differences from occurring. For groups, the differences is checked and justified both on the group level and for the individual members. **Indicator:** • Total harvested production of the certified crop (kg or stems)		✓	✓	✓
2.1.3	<u>Certified</u> products are visually separated from non-certified products at all stages, including transport, storage, and processing. This is not applicable for <u>mass balance</u> products.			✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.1.4	Management has mapped the product flow up to the final location of the <u>certificate scope</u>, including all <u>intermediaries</u> (collection points, transport, processing units, warehouses, etc.) and activities carried out on the product.			✅	✅
2.1.5	Products that are sold as <u>certified</u> can be traced back to the certified farm(s) where these were produced. Management keeps purchase and sales documents linked to physical deliveries from the certified, multi-certified and non-certified products, and management ensures that all intermediaries do the same. The purchase and sales documents include data, product type, (percentage of) certified volume, group member and, if relevant, traceability type. In case of group certification, group management ensures that group members receive a receipt for each delivery from the group member to the group or an intermediary, specifying name of group member, group member ID, date, product type and volume.			✅	✅
2.1.6	<u>Shipments</u> of <u>certified</u> products do not exceed the total production (for farms), purchase of certified products plus remaining stock balance from the previous year.			✅	✅
2.1.7	There is no <u>double selling</u> of volumes: products sold as conventional product or sold under another scheme or sustainability initiative are not also sold as Rainforest Alliance Certified. Selling products which are <u>certified</u> under more than one scheme is possible.			✅	✅
2.1.8	<u>Group members</u> keep sales receipts (electronic or physical), including name of group member, group member ID, date, product type, and volume.	✅	✅		
2.1.9	The correct methodology for the calculation of conversion factors is demonstrated and documented for each <u>certified</u> product and reflected accordingly in the <u>traceability platform</u>. *Please see SA-S-SD-20 Annex Chapter 2: Traceability*		✅	✅	✅
2.1.10	Equipment used to define the weight or volume of the <u>certified</u> product is calibrated annually.		✅	✅	✅

2.2 Traceability in the Online Platform

Applicable to certificate holders working in crops for which online traceability is offered within the Rainforest Alliance Certification Program.

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.2.1	Volumes sold as <u>certified</u> are recorded in the Rainforest Alliance <u>traceability platform</u> at the latest two weeks after the end of the quarter within which the shipment took place. *Please see SA-S-SD-20 Annex Chapter 2: Traceability*			✓	✓
2.2.2	Buyers of Rainforest Alliance Certified product have a procedure in place to regularly verify that transactions in the <u>traceability platform</u> match invoices for <u>certified</u> products purchased and/or shipped.			✓	✓
2.2.3	Volumes not sold as Rainforest Alliance Certified and/or <u>lost</u> are removed from the <u>traceability platform</u> within two weeks after the end of the quarter in which the shipment took place or volume was lost. *For <u>mass balance</u> volumes, please see SA-S-SD-20 Annex Chapter 2: Traceability for further detail on applicability.*			✓	✓
2.2.4	An approval is obtained as per the Rainforest Alliance Labeling and Trademarks Policy prior to the on- and off-pack use of public-facing trademarks.			✓	✓

2.3 Mass Balance

Applicable to certificate holders applying mass balance in the crops that permit the traceability type mass balance.

Please see Annex S6, Traceability

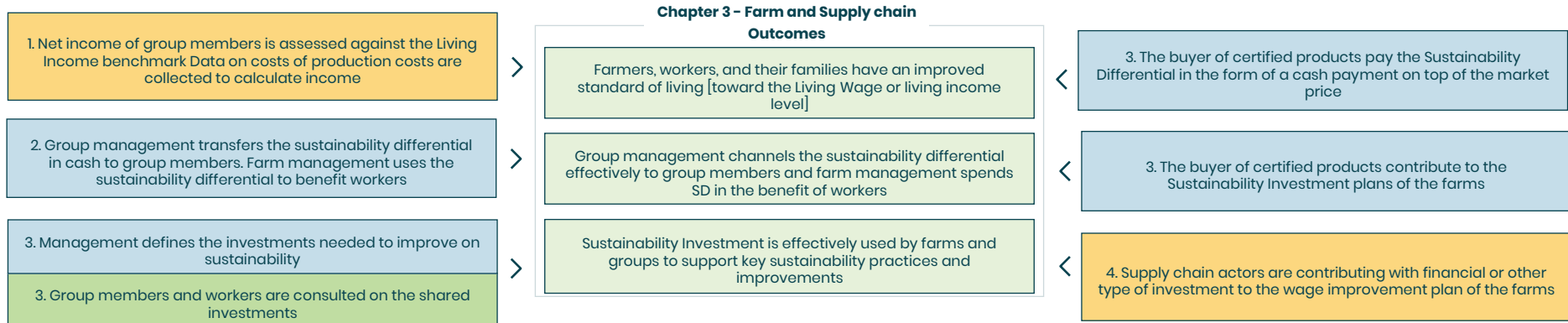| No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.3.1	Volumes are only converted for a process that can occur in reality, product conversion cannot go backwards to a previous product.			✓	✓
2.3.2	The volume of product sold as mass balance is 100% covered by volumes purchased as certified. A negative volume balance is not permitted at any time.			✓	✓
2.3.3	Volumes sold as certified meet the minimum percentage requirements for origin matching. This is only applicable for cocoa mass balance products for which origin matching rules are required. *Please see SA-S-SD-20 Annex Chapter 2: Traceability for further detail on applicability*			✓	✓
2.3.4	Purchase and sales documentation for volumes sold as certified include origin information to country level for incoming certified and non-certified volumes. This is only applicable for cocoa mass balance products for which origin matching rules are required. *Please see SA-S-SD-20 Annex Chapter 2: Traceability for further detail on applicability*			✓	✓
2.3.5	Movement of mass balance volumes from one certificate holder to another shall always be accompanied by a physical shipment of relevant product. Volume trading without a physical shipment can only take place between sites covered under the same certification scope.			✓	✓

CHAPTER 3:
INCOME AND SHARED RESPONSIBILITY

The Rainforest Alliance aims to make sustainability the norm in the sectors in which it operates. This entails a fundamental transformation of the operating principles of the supply chain in the given sector moving to a system where sustainability in agricultural production is valued and priced as a material service on top of the cost of the commodity and the investments needed to advance sustainability practices at origin are borne by market and producer.

These aims can be found within two elements of the 2020 Sustainable Agriculture Standard. The first is the Sustainability Differential, a mandatory monetary payment paid to producers on top of the market price for the sale of certified crop. The second is Sustainability Investments which are made by market actors to contribute to the investments needed to drive sustainability progress at origin.

This chapter starts with two self-selected requirements on production costs and living income to enhance the profitability and income of farmers. The concept of living income recognizes the goal that farmers are able to improve their business profitability and at least earn an income to allow their families and households to have a decent standard of living.

Chapter 3 - Farm and Supply chain Outcomes

1. Net income of group members is assessed against the Living Income benchmark Data on costs of production costs are collected to calculate income	Farmers, workers, and their families have an improved standard of living [toward the Living Wage or living income level]	3. The buyer of certified products pay the Sustainability Differential in the form of a cash payment on top of the market price
2. Group management transfers the sustainability differential in cash to group members. Farm management uses the sustainability differential to benefit workers	Group management channels the sustainability differential effectively to group members and farm management spends SD in the benefit of workers	3. The buyer of certified products contribute to the Sustainability Investment plans of the farms
3. Management defines the investments needed to improve on sustainability / 3. Group members and workers are consulted on the shared investments	Sustainability Investment is effectively used by farms and groups to support key sustainability practices and improvements	4. Supply chain actors are contributing with financial or other type of investment to the wage improvement plan of the farms

3.1 Production Costs and Living Income

No.	Self-Selected Improvement	Group certification			Ind. cert.
		S-farms	**L-farms**	**Group mgt.**	**S/L**
3.1.1	Group management collects data on the key determinants of the production costs (e.g., costs of fertilizer, agrochemicals, paid labor, equipment) and calculates the net income from the certified crop for a sample of group members (i.e. gross income – production costs = net income). The group management shares the analyzed data with the group members. **Indicator:** • Production costs per kg of harvested product • Net income from certified crop per kg of harvested product			✅	
3.1.2	The actual net income of group member households is assessed against a living income benchmark for a sample of group members. **Indicator:** • Average and median net income • Average and median gap to the Living Income benchmark (monetary and %) • % of producers meeting the Living Income benchmark *Please see SA-S-SD-20 Annex Chapter 3: Income and Shared Responsibility*			✅	

3.2 Sustainability Differential

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
3.2.1	Group management transfers the full amount of the Rainforest Alliance Sustainability Differential in cash or other monetary payment to group members: • Pro-rata, based on volumes delivered • In a timely and convenient manner, at least before the next crop season, or at least once a year in case of continuous harvest Group management at least annually: • Documents the Rainforest Alliance Sustainability Differential received by volume. Separate records are kept for Sustainability Differential payments from each buyer which are clearly distinguished from market price, other premiums, such as quality premiums or crop and country specific premiums such as the Living Income Differential. • Communicates to group members the Sustainability Differential received for the certified crop • Documents the payment of the Rainforest Alliance Sustainability Differential to the group members **Indicators:** Amount of Rainforest Alliance Sustainability Differential received: • Total amount received at group management level • Amount received by volume at group member level			✓	
3.2.2	The Sustainability Differential is spent to benefit the producer and/or workers. At least once a year, farm management documents: • The Sustainability Differential received by volume. Separate records are kept for Sustainability Differential payments from each buyer which are clearly distinguished from market price, other premiums, such as quality premiums or crop and country specific premiums. • How the Sustainability Differential has been spent, A) to the benefit of the producer and/or B) to the benefit of workers, including the specified categories. If the Sustainability Differential is spent to benefit workers, farm management consults with a representation of workers on priorities and the allocation of the Sustainability Differential. The Sustainability Differential can be allocated to the following categories: wages, working conditions, health and safety, and housing. **Indicator:** • Amount of Rainforest Alliance Sustainability Differential received (total and by volume). • Distribution of the Sustainability Differential as % of the total amount received on A) own use and B) workers benefits, for the categories a) wages; b) working conditions; c) health and safety; d) housing.	✓			✓

| No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
**Applicable to supply chain certificate holders and to farm certificate holders if they are purchasing certified product directly from other farms.**
3.2.3	The responsible certificate holders pay the <u>Sustainability Differential</u> in the form of a monetary payment on top of the <u>market price</u>, quality premiums or other differentials. Sustainability Differential cannot be paid in kind. *Please see SA-S-SD-20 Annex Chapter 3: Income and Shared Responsibility*			✓	✓
3.2.4	The responsible certificate holders have clear contractual agreements or commitments in place which specify the amount and other terms around <u>Sustainability Differential</u> payment. See Annex S14 for further detail on applicability. *Please see SA-S-SD-20 Annex Chapter 3: Income and Shared Responsibility*			✓	✓
3.2.5	The full amount of the <u>Sustainability Differential</u> is paid at least annually and no later than payment terms defined for the relevant crop. *Please see SA-S-SD-20 Annex Chapter 3: Income and Shared Responsibility*			✓	✓
3.2.6	Confirmation of the <u>Sustainability Differential</u> is recorded in the <u>traceability platform</u>. *Please see SA-S-SD-20 Annex Chapter 3: Income and Shared Responsibility*			✓	✓
3.2.7	The <u>Sustainability Differential</u> paid amounts to at least the prescribed minimum, for crops for which a minimum is defined. *Please see SA-S-SD-20 Annex Chapter 3: Income and Shared Responsibility*			✓	✓

3.3 Sustainability Investments

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
3.3.1	Management at least annually defines the investments needed to improve sustainability using the Rainforest Alliance Sustainability Investment plan template. The management uses the following sources to inform their investment needs: • Management plan (incl. results of Management Capacity Assessment and Risk Assessment) • Audit reports • Internal inspections and self-assessments Management documents the in-kind and monetary Sustainability Investments received from buyers for this investment plan according to the Rainforest Alliance investment categories. **Indicators:** • Investment needs specified per category in the Rainforest Alliance defined investment categories • Sustainability Investments received from buyers • Distribution of the Sustainability Investments against the pre-defined investment categories, as % of the total amount received *Please see RA-S-MT-17 Annex S16: Sustainability Investment Plan Template*			✓	✓

No.	Mandatory Improvement				
3.3.2 L1	Group management consults yearly with a representation of group members to jointly define the contents of the investment plan. Group management consults yearly with buyers on their contributions to the investment plan.			✓	
3.3.3 L1	Farm management consults yearly with a representation of workers to jointly define the contents of the investment plan. Farm management consults yearly with buyers on their contributions to the investment plan.				✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
Applicable to supply chain certificate holders and to farm certificate holders if they are purchasing certified product directly from other farms.
3.3.4	The full amount of the Sustainability Investment is paid at least annually and no later than payment terms defined for the relevant crop.			✓	✓
3.3.5	Confirmation of the Sustainability Investment is recorded in the traceability platform. *Please see SA-S-SD-20 Annex Chapter 3: Income and Shared Responsibility*			✓	✓
3.3.6	The certificate holders have clear contractual agreements or commitments in place which specify the amount and other terms around Sustainability Investments. *Please see SA-S-SD-20 Annex Chapter 3: Income and Shared Responsibility*			✓	✓

CHAPTER 4:
FARMING
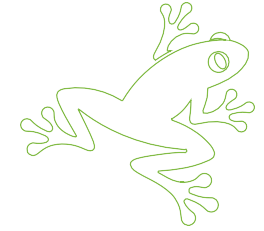
This chapter focuses on the outcomes of sustainable agriculture, crop productivity and profitability, and natural resources and ecosystem services. Included amongst these outcomes are the goals of Climate Smart Agriculture and food security: farms and groups mitigate and adapt to climate change and increase their resiliency by implementing sustainable practices and diversifying when possible.
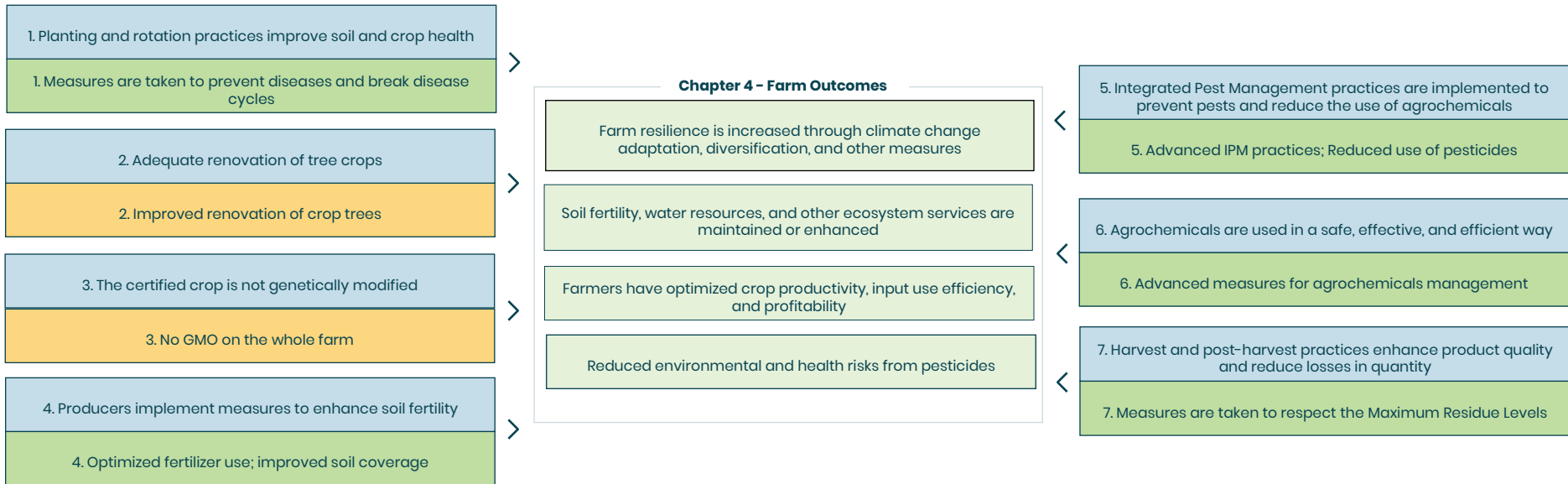
The topics in the farming practices chapter work together to achieve these outcomes. Agronomic activities related to sustainable production practices, soil fertility and conservation, integrated pest management, and safe agrochemicals management support the outcome of sustainable productivity and profitability, as well as natural resource conservation and ecosystem services. Here the requirements encourage locally-relevant and context-specific practices to ensure that inputs and natural resources are used efficiently, natural cycles are optimized to increase climate change resilience, soil fertility and health is enhanced, pollinators are attracted, water retention and management is improved, pesticides are minimized, and further negative effects on the environment are reduced.

Finally, crop profitability is supported by post-harvest practices, where farms and groups achieve improved crop quality to meet market demand.

Implementation of requirements in this chapter forms part of the foundation of a broader set of sustainable agriculture activities, so when combined with other field, market, and advocacy interventions, can support impacts at the sectoral and regional level.

1. Planting and rotation practices improve soil and crop health

1. Measures are taken to prevent diseases and break disease cycles

2. Adequate renovation of tree crops

2. Improved renovation of crop trees

3. The certified crop is not genetically modified

3. No GMO on the whole farm

4. Producers implement measures to enhance soil fertility

4. Optimized fertilizer use; improved soil coverage

Chapter 4 – Farm Outcomes

Farm resilience is increased through climate change adaptation, diversification, and other measures

Soil fertility, water resources, and other ecosystem services are maintained or enhanced

Farmers have optimized crop productivity, input use efficiency, and profitability

Reduced environmental and health risks from pesticides

5. Integrated Pest Management practices are implemented to prevent pests and reduce the use of agrochemicals

5. Advanced IPM practices; Reduced use of pesticides

6. Agrochemicals are used in a safe, effective, and efficient way

6. Advanced measures for agrochemicals management

7. Harvest and post-harvest practices enhance product quality and reduce losses in quantity

7. Measures are taken to respect the Maximum Residue Levels

4.1 Planting and Rotation

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.1.1	Plant varieties for planting, grafting and renovation are selected based on quality, productivity, resistance to pests and diseases and on suitability for the climate during the lifetime of the plants. This is done as per the findings of the Risk Assessment regarding climate (1.3.5), if this is carried out. Planting materials are free of pests and diseases.	✓	✓	✓	✓
4.1.2	New plantings have a well-established cropping system which takes into account e.g. • Requirements of the variety used • Geographical, ecological and agronomic conditions • Diversification and intercropping crops with different rooting depths and soil uses to enhance soil quality and health • Planting density		✓	✓	✓
No.	**Mandatory Improvement**				
4.1.3 L1	Producers implement measures to prevent pests and diseases and to break their biological cycles, to support soil health and to improve weed management. Such measures can include intercropping, and measures taken in between crop cycles, such as crop rotation or leaving the land fallow. *Please see SA-G-SD-9 Guidance Document H: Integrated Pest Management (IPM)*	✓	✓	✓	✓

4.2 Pruning and Renovation of Tree Crops

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.2.1	Management implements a pruning cycle for adequate formation, maintenance and rejuvenation pruning according to crop needs, agroecological conditions and applicable pruning guidelines. Group management supports group members to implement this pruning cycle. *Please see SA-G-SD-10 Guidance Document I: Pruning*		✓	✓	✓
No.	**Mandatory Smart Meter**				
4.2.2	Producers carry out pruning according to the requirement in 4.2.1 **Indicator:** • % of group members that adequately prune according to crop needs, agro-ecological conditions and applicable pruning guidelines	✓		✓	
No.	**Self-selected Smart Meter**				
4.2.3	Producers renovate the certified crop when needed according to age, disease or other causes, to maintain productivity. This includes replanting production area, gap filling and grafting. **Indicators:** • For small farms: % of group members that applied renovation practices for the certified crop • For large farms: % of farm area with certified crops where renovation practices are implemented	✓	✓	✓	✓

4.3 Genetically Modified Organisms (GMOs)

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.3.1	The certified crop is not genetically modified (GMO).	✓	✓	✓	✓
No.	**Self-selected Improvement**				
4.3.2	There are no genetically modified (GMO) crops on the farm.	✓	✓	✓	✓

4.4 Soil Fertility and Conservation

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.4.1	Management conducts a soil assessment for a representative sample of areas. The soil assessment includes: a. Erosion prone areas and slope b. Soil structure c. Soil depth and soil horizons d. Densification of compaction areas e. Soil moisture and water level in the soil f. Drainage conditions g. Levels of macronutrients and organic matter. This is assessed through soil tests and/or observation of visual symptoms of nutrient deficiency (leaf tests) for a representative sample of areas. The soil assessment is updated at least once every three years. For annual crops, point g. on Levels of macronutrients and organic matter is assessed annually.		✓	✓	✓
4.4.2	Based on the soil assessment, management identifies soil management measures and includes these in the management plan to build up soil organic matter, increase on-farm nutrient recycling, and optimize soil moisture. *Please see SA-G-SD-12 Guidance Document J: Soil Fertility and Conservation*		✓	✓	✓
4.4.4	When available, producers use by-products including organic fertilizers produced on the farm first. If more nutrients are needed, these are supplemented where possible by other organic fertilizers, or by inorganic fertilizer. To minimize risk, animal manure is hot composted before use as a fertilizer. Producers store animal manure and compost at least 25 meters away from any water body.	✓	✓		✓

No.	Mandatory Improvement	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.4.5 L1	The soil of the production area is not left exposed, it is protected by measures such as cover crops, crop residues or mulch.	✓	✓		✓
4.4.6 L1	Fertilizers are applied in such a way that nutrients become available when and where crops need them, and contamination of the environment is minimized.	✓	✓		✓
No.	Mandatory Smart Meter				
4.4.7	Producers monitor and optimize the use of organic and inorganic fertilizers. **Indicator:** • % Of group members that use organic fertilizers • Volume of N, P and K per ha (kg/ha, per year or per cropping cycle) In groups of small farms, the indicator can be monitored for a representative sample of farms.	✓	✓	✓	✓

4.5 Integrated Pest Management (IPM)

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.5.1	Management implements the IPM strategy as developed by a competent professional. The IPM strategy includes the prevention, monitoring and intervention measures for the scope of the whole farm, including processing facilities. The IPM strategy is based on climate conditions, pest monitoring results, implemented IPM actions and pesticides application records. The IPM strategy is annually updated. *Please see SA-G-SD-9 Guidance Document H: Integrated Pest Management*		✓	✓	✓
4.5.2	Producers regularly monitor and record pests. Monitoring records are kept by large farms and by group management for a representative sample of producers. Records include date, location and type of pest.	✓	✓	✓	✓
4.5.3	For pest prevention and control, producers use biological, physical, and other non-chemical control methods first, and document the use and the effectiveness of these methods. When threshold levels of pests are reached, producers can use agrochemical applications, as advised by a competent technician and/or upon the advice or instruction by an official national organization. When agrochemicals are used: • Agrochemicals with the lowest possible toxicity and highest selectiveness are used • Applications are made only on the impacted plants and areas • Active ingredients are rotated to avoid and reduce resistance • Calendar spraying is avoided, and only allowed when recommended by a competent technician or official national organization	✓	✓		✓
4.5.4	Producers and workers that are involved in pest management activities are trained about the IPM strategy.	✓	✓	✓	✓

No.	Mandatory Improvements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.5.5 L1	Producers have implemented the IPM strategy.	✓			
4.5.6 L2	Producers enhance natural ecosystems near crop production areas to increase habitat for natural enemies. Examples are: insectaries, planting bird/bat/pollinator attracting trees and shrubs, converting low-lying areas to small ponds with vegetation and enhancing riparian areas and vegetation.	✓	✓	✓	✓
No.	**Mandatory Smart Meter**				
4.5.7	Producers monitor and reduce the use of pesticides. **Indicator** • Active ingredients per ha (a.i. kg/ha, per year or per cropping cycle) • Active ingredients used that are listed in the Exceptional Use list and Risk Mitigation list In groups of small farms, the indicator can be monitored for a representative sample of farms. *Please see SA-S-SD-22 Annex Chapter 4: Farming*	✓	✓	✓	✓
No.	**Mandatory Improvements**				
4.5.8 L2	Producers regularly monitor and record the main natural enemies of pests. Monitoring records are kept by large farms and by group management for a representative sample of producers. Records include date, location and types of natural enemies.	✓	✓	✓	✓

4.6 Agrochemicals Management

No.	Core requirements	Group certification			Ind. cert.
		S-farms	**L-farms**	**Group mgt.**	**S/L**
4.6.1	No agrochemicals are used that are: • On the Rainforest Alliance List of Prohibited Pesticides or List of Obsolete Pesticides • Prohibited by applicable law • Not legally registered in the country where the farm is located Producers use only agrochemicals sold by authorized vendors, in original and sealed packaging. Chemical substances used for livestock or pets are not included in the scope of this standard Applicable to group management in case the group management has a purchasing task. *Please see SA-S-SD-22 Annex Chapter 4: Farming*	✓	✓	✓	✓
4.6.2	If producers use pesticides included on the Risk Mitigation list, all respective risk mitigation practices, as described in Annex Chapter 4: Farming, Pesticides Management, are implemented. If producers use pesticides included in the Exceptional Use Policy, all respective risk mitigation practices, as described in this policy, are implemented. *Please see SA-S-SD-22 Annex Chapter 4: Farming* *Please see SA-P-SD-9 Exceptional Use Policy: Granted Exceptions and their Conditions for Using Rainforest Alliance Prohibited Pesticides*	✓	✓	✓	✓
4.6.3	Persons handling pesticides are skilled in the preparation and application of pesticides, and receive annual training. Persons handling pesticides use the Personal Protective Equipment (PPE) as prescribed in the product's label or Material Safety Data Sheet (MSDS). If there is no information, basic protective clothing with additional items is worn according to the potential risk and as recommended by a competent technician. The PPE is in good condition. Directly after use, PPE is washed and stored safely and does not enter the workers' housing. Single-use items are disposed of after one use. PPE is provided to workers free of charge. Farm/group management has a system to record, monitor and enforce the use of PPE.	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.6.4	Persons handling pesticides bathe, change and wash clothes after application. Management provides the agrochemical handlers at least a site that provides privacy, water and soap, and, when feasible bathing facilities.	✓	✓	✓	✓
4.6.5	Pesticides are prepared and applied according to the label, MSDS or security tag, or as recommended by an official national organization or a competent technician, especially with regards to: • Safe transport to area of application • Respecting the correct dosage • Using appropriate equipment and techniques • Appropriate weather conditions • Respecting restricted entry intervals (REI), including warning signs in local language and informing potentially affected persons or communities in advance When there is no other information, minimum restricted entry interval is 48 hours for WHO class II products and 12 hours for other products. When two or more products with different restricted entry intervals are used at the same time, the longest interval applies. Volume and dosage calculation methods are reviewed and refined to reduce the surplus mix and pesticide overuse. Pre-harvest intervals of pesticides as stipulated in the product's MSDS, label or security tag or regulation by official organization are complied with. When two or more products with different pre-harvest intervals are used at the same time, the longest interval applies.	✓	✓	✓	✓
4.6.6	Mechanisms are established and maintained to avoid contamination by pesticides, through spray drift or other pathways, from treated areas to other areas including all aquatic and terrestrial natural ecosystems and infrastructure. Such mechanisms include non-crop vegetative barriers, non-application zones or other effective mechanisms.	✓	✓	✓	✓
4.6.7	Aerial application is only allowed under the conditions as outlined in Annex Chapter 4: Farming. *Please see SA-S-SD-22 Annex Chapter 4: Farming*	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.6.8	Pesticide applications are recorded. Records include: • Product brand name and active ingredient(s) • Date and time of application • Location and area (size) of application • Dosage and volume • Crop • Name(s) of applicator(s) • Target pest Group management facilitates record keeping for group members when needed.	✓	✓	✓	✓
4.6.9	Empty pesticides containers and application equipment are washed three times, and rinsing water is used in the last batch of the mix to apply to the crop. After application of pesticides, application equipment is washed three times, and the surplus mix is disposed of in way that minimizes the negative impact on the environment and human health, by diluting it with ten times the amount of clean water and applied evenly on the field that was subject of the pesticide application. The empty pesticide containers are kept in a locked storage area until safely disposed of through a formal collection, and recycling program or returned to the supplier. If the supplier does not accept empty containers, they are cut or perforated to prevent other uses. Prohibited, obsolete and expired pesticides are returned to the supplier or local authority. In absence of a collection system in place, these products are labelled and stored safely and separately from other products in a locked space.	✓	✓	✓	✓
4.6.10	Agrochemicals and application equipment are stored in accordance with the label instructions and in a way that minimizes negative impact on the environment and human health. Agrochemicals are stored in their original containers or packaging. Facilities for storing agrochemicals and application equipment are: • Dry, clean, well-ventilated • Made from non-absorbent material • Safely locked and accessible only by trained handlers • Not accessible to children • Separated from crop, food products, and packaging materials	✓			

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.6.11	<u>Agrochemicals</u> and application equipment are stored in accordance with the label instructions and in a way that minimizes negative impact on the environment and human health. Agrochemicals are stored in their original containers or packaging. Facilities for storing agrochemicals and application equipment are: • Dry, clean, well ventilated and with a sound roof and impermeable floor • Safely locked and accessible only by trained handlers • Separated from crops, food products or packaging material • With an <u>emergency</u> spill kit • With visible and understandable safety warning signs and pictograms • With an emergency procedure, eye-washing area and an emergency shower		✓	✓	✓
4.6.12	An up-to-date <u>pesticide</u> stock inventory is available and maintained. The inventory includes: • Date of purchase • Product brand name and <u>active ingredient</u>, including an indication of chemicals that are on the Risk Mitigation list • Volume • Date of expiration For groups this is only applicable for centralized stock.		✓	✓	✓
No.	**Mandatory Improvement**				
4.6.13 L1	The equipment for mixing and applying <u>agrochemical</u> is calibrated at least annually, after each maintenance and before using it for a different type of agrochemical.	✓	✓	✓	✓
No.	**Self-selected Improvement**				
4.6.14	Spraying is carried out by centralized, specialized spraying teams.			✓	

4.7 Harvest and Post-Harvest Practices

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.7.1	Producers conserve and optimize quality and quantity of product during harvest and post-harvest handling, including: loading, processing, packing, transportation, and storage. This includes: • Products are harvested at the right time and interval to optimize quality • Harvesting damages to the plant are minimized for future production • Contamination by foreign matter, cleaning products and agrochemicals, microbes and pests is prevented • Damage due to humidity is prevented • Products are stored in a cool, dry, dark and well-ventilated place • Maintenance and cleaning of harvest and postharvest tools, machinery and equipment • Packaging materials are used that are suitable and approved for food products	✓	✓	✓	✓

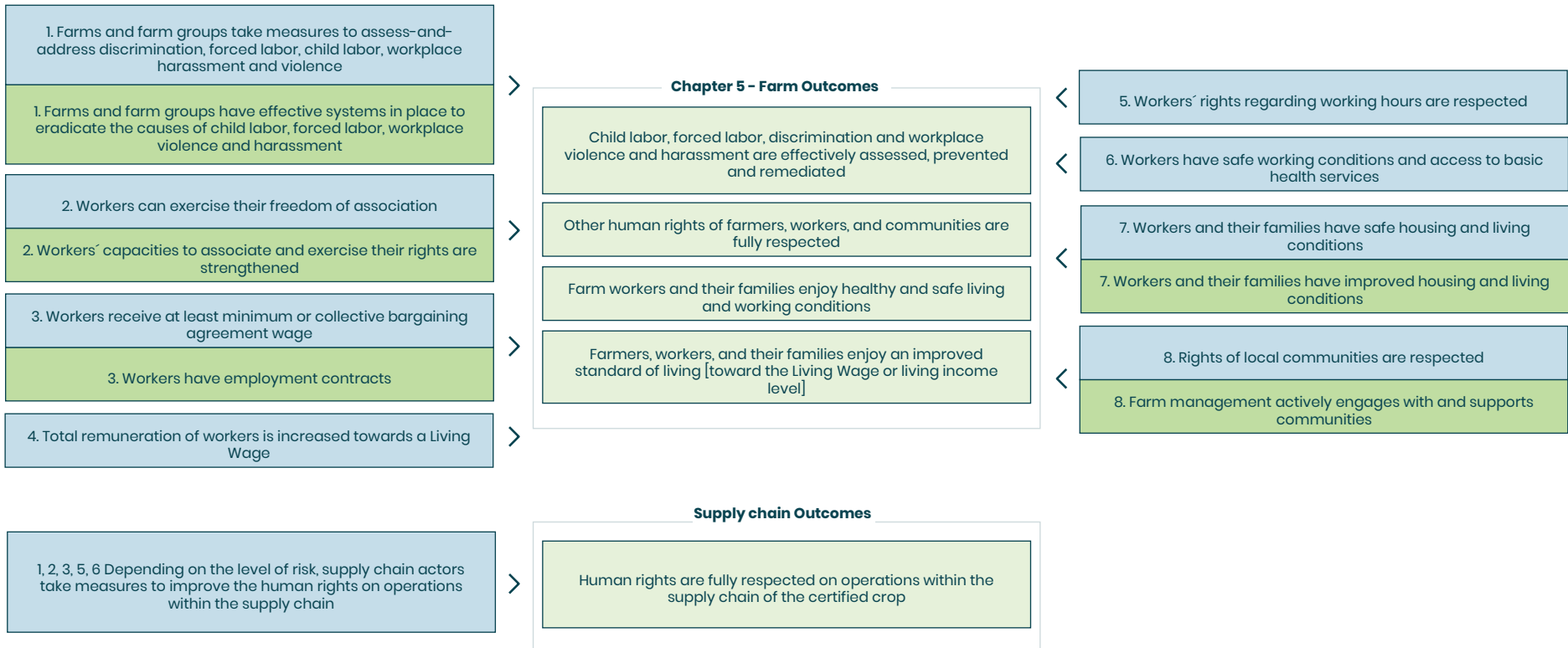| No.	Mandatory Improvement				
4.7.2 L1	Producers take measures to respect the maximum residue levels (MRLs) set by the production country and known destination countries of the product. The measures include e.g.: • Strict observance of label instructions of agrochemicals used post-harvest • Obtain information on the residues in the product, through own tests (non-mandatory) or information through buyers • Actions in case MRLs are exceeded • Communication to the buyer if MRLs are exceeded		✓	✓	✓

CHAPTER 5:
SOCIAL

The Farm Requirements' Social chapter seeks to empower producers and workers to realize better working and living conditions for themselves and their families; to promote equality and respect for all with special attention to vulnerable groups such as migrants, children, youth and women; and to strengthen human and labor rights protections on certified farms.

Sustainable agriculture is intrinsically linked with the livelihoods of millions of producers, families, and their communities. To support sustainable livelihoods, the Rainforest Alliance Sustainable Agriculture Standard establishes requirements related to all fundamental human and labor rights, Living Wage, health and safety, and decent living and working conditions. Farms and groups are required to respect legal and customary rights of indigenous peoples. These requirements align with the UN Guiding Principles on Business and Human Rights (UNGPs), relevant ILO conventions, and other multi-stakeholder concepts such as Living Wage, developed in coordination with the Global Living Wage Coalition.

There is no place in Rainforest Alliance Certified farms for human rights violations such as child labor, forced labor, discrimination or workplace violence and harassment. For these four types of violations, our certification system will adopt an "Assess-and-address" model, which goes much further than a simple prohibition approach in its ability to drive change. Given the high risk of such violations in some agricultural supply chains, we will require farms and groups to put a rigorous system in place, that includes doing a risk assessment and implementing related mitigation measures, conducting regular self-monitoring, and remediating any known cases of such violations. Severe cases, if not remediated, and/or violations of applicable law, will lead to a negative certification decision, suspension or cancellation of the certificate. This "Assess-and-address" model is further detailed in requirement 5.1 and related annexes.

Furthermore, the certification system aims to enable agricultural workers and their families to achieve a decent standard of living and earn a

Living Wage. To this end, the standard enforces respect for workers' rights to collective bargaining and freedom of association, healthy and safe living and working conditions and access to health care. Although the system aims to contribute to better wages for workers by requiring that the minimum wage is paid and that there is progress towards a Living Wage, the Rainforest Alliance recognizes the limitation of producers to unilaterally solve the problem of low wages. In accordance with the UN Guiding Principles on Business and Human Rights, our approach is to bring transparency on prevailing wages in agricultural production, commit certificate holders to continuous improvement and dialogue, and encourage companies to exercise shared supply chain responsibility to prevent and mitigate adverse impacts with regard to insufficient wages.

Chapter 5 – Farm Outcomes

1. Farms and farm groups take measures to assess-and-address discrimination, forced labor, child labor, workplace harassment and violence

1. Farms and farm groups have effective systems in place to eradicate the causes of child labor, forced labor, workplace violence and harassment

> Child labor, forced labor, discrimination and workplace violence and harassment are effectively assessed, prevented and remediated

5. Workers´ rights regarding working hours are respected

6. Workers have safe working conditions and access to basic health services

2. Workers can exercise their freedom of association

2. Workers´ capacities to associate and exercise their rights are strengthened

> Other human rights of farmers, workers, and communities are fully respected

7. Workers and their families have safe housing and living conditions

7. Workers and their families have improved housing and living conditions

3. Workers receive at least minimum or collective bargaining agreement wage

3. Workers have employment contracts

> Farm workers and their families enjoy healthy and safe living and working conditions

8. Rights of local communities are respected

8. Farm management actively engages with and supports communities

4. Total remuneration of workers is increased towards a Living Wage

> Farmers, workers, and their families enjoy an improved standard of living [toward the Living Wage or living income level]

Supply chain Outcomes

1, 2, 3, 5, 6 Depending on the level of risk, supply chain actors take measures to improve the human rights on operations within the supply chain

> Human rights are fully respected on operations within the supply chain of the certified crop

5.1 Assess-and-Address Child Labor, Forced Labor, Discrimination, Workplace Violence and Harassment

Child labor, forced labor, discrimination and workplace violence and harassment are not tolerated on Rainforest Alliance Certified farms. The assess-and-address system requires certificate holders to have specific measures in place to monitor and mitigate risks related to child labor, forced labor, discrimination, workplace violence and harassment. When cases are identified on Rainforest Alliance certified farms or on farms that apply for certification, they must be remediated. Severe cases, if not remediated, and/or violations of applicable law, will lead to a negative certification decision, suspension or cancellation of the certificate.

The four Core requirements must be implemented for all four issues: child labor, forced labor, discrimination and workplace violence and harassment. The Improvement and Smart Meter requirements must be implemented for child labor and forced labor when the Rainforest Alliance child labor and forced labor risk maps have determined these issues to be medium/high risks in a particular country or sector. In case no risk levels are available for the particular sector and country combination, the improvement and Smart Meter requirements apply based on the Certificate Holder's own risk assessment. The improvement requirements for discrimination and workplace violence and harassment are always exclusively applicable to large farms and individually certified farms.

Child labor, forced labor, discrimination, and violence/harassment are as defined in Annex S1: Glossary. These definitions are based on relevant ILO standards, including:

ILO Minimum Age Convention, 1973 (No.138)

ILO Worst Forms of Child Labor Convention, 1999 (No.182)

ILO Forced Labor Convention, 1930 (No.29)

ILO Abolition of Forced Labor Convention, 1957 (No.105)

ILO Equal Remuneration Convention, 1951 (No.100)

ILO Discrimination (Employment and Occupation) Convention, 1958 (No.111)

ILO Violence and Harassment Convention, 2019 (No.190)

Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW)

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.1.1	Commitment: Management commits to assess and address <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, and <u>workplace violence and harassment</u> by: - Appointing a committee responsible for managing the assess-and-address system (see requirement 1.1.5). The committee: • Coordinates with management and the committees/persons responsible for managing grievances and gender issues. • Raises awareness of these four issues with management and (group) staff at least once a year. • Informs <u>workers/group members</u> in writing that child labor, forced labor, discrimination and workplace violence and harassment are not tolerated, and that management has a system in place to assess and address related cases. This information is visibly displayed at central locations at all times. *Please see SA-G-SD-11 Guidance Document L: Assess-and-Address*		✓	✓	✓
5.1.2	Risk mitigation: The management representative/committee includes in the <u>management plan</u> (1.3.2) the mitigation measures as identified in the basic <u>Risk Assessment</u> (1.3.1) and implements corresponding measures. The basic Risk Assessment is repeated at least every three years. *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool*		✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	**L-farms**	**Group mgt.**	**S/L**
5.1.3	Monitoring: The management representative/committee • Monitors risks and the implementation of risk mitigation measures • Reports potential cases of <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, and <u>workplace violence and harassment</u> to the management and to the grievance committee • Monitors <u>remediation</u> activities (see 5.1.4) The intensity of the monitoring system is adjusted to the risk level and the issue. **Indicator:** • The number of potential cases identified by the monitoring system and referred to the <u>grievance mechanism</u> (by <u>gender</u>, age, and type of issue) *Please see SA-G-SD-20 Guidance Document R: Assess-and-Address Monitoring Tool*		✓	✓	✓
5.1.4	<u>Remediation</u>: The management representative/committee sets out in the <u>management plan</u> how to remediate cases of <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, <u>workplace violence and harassment</u>. Confirmed cases are remediated and documented following the Rainforest Alliance Remediation Protocol. Safety and <u>confidentiality</u> of the victims is protected throughout the process. **Indicator:** • Number and percentage of confirmed child labor, forced labor, discrimination and workplace violence and harassment cases remediated per the Remediation Protocol (by <u>gender</u>, age, and type of issue) *Please see SA-S-SD-23 Annex Chapter 5: Social*		✓	✓	✓

No.	Mandatory Improvements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
	Applicable in case of medium/high risk for child labor and/or forced labor according to the Rainforest Alliance child labor and forced labor risk maps. Large and individually certified farms always implement the improvements for discrimination and workplace violence and harassment.				
5.1.5 L1	In year 1 of certification, the management representative/committee: • Conducts the assess-and-address in-depth Risk Assessment for the medium/high risk issue(s) • Includes the corresponding mitigation measures in the <u>management plan</u> (1.3.2) • Implements these measures The assess-and-address in-depth Risk Assessment is repeated at least every three years. *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool*		✓	✓	✓
5.1.6 L1	Management representative/committee provides training/awareness raising on <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, and <u>workplace violence and harassment</u> to all <u>group members</u> (<u>small farms</u>) or workers (of large farms or individually certified farms).		✓	✓	✓
5.1.7 L1	Management actively encourages the school attendance of <u>children</u> of <u>(group) staff</u>, <u>group members</u>, and group member <u>workers</u>.			✓	
No.	**Mandatory Smart Meter**				
	Applicable in case of medium/high risk for child labor and/or forced labor according to the Rainforest Alliance child labor and forced labor risk maps. Large and individually certified farms always implement the improvements for discrimination and workplace violence and harassment.				
5.1.8	The management assures good functioning of the <u>assess-and-address</u> system. For this purpose, from year one onwards, a yearly assessment of the assess-and-address system for the relevant issue(s) is conducted, based on the following five elements: • Effective implementation of mitigation measures • Effective training on relevant assess-and-address topics • Effective cooperation with external actors • Effective monitoring of the assess-and-address system • Effective internal collaboration on assess-and-address topics **Indicator:** • Scores on the assess-and-address system elements *Please see SA-G-SD-11 Guidance Document L: Assess-and-Address*		✓	✓	✓

5.2 Freedom of Association and Collective Bargaining

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.2.1	Workers have the right to form and join a union or workers' organization of their own choice and to take part in collective bargaining, without prior authorization from the employer, and in accordance with applicable law. Workers' representatives are elected democratically among workers in regular, free elections. Management informs workers on these rights through a written policy in a language they understand, before the start of employment. The written policy on freedom of association and collective bargaining is visibly displayed at all times in the workplace. Where the right to freedom of association and collective bargaining is restricted under law, management does not hinder the development of parallel means for independent and free association, bargaining and dialogue with management. **ILO Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)** **ILO Workers Representatives Recommendation, 1971 (No. 143)** *For small farms, the requirement only applies if they are hiring:* *- 10 or more temporary workers each working for three consecutive months or more, and/or* *- 50 or more temporary workers per calendar year*	✓	✓	✓	✓
5.2.2	Workers are not subject to discrimination or retaliation for reasons of past or present workers' organization or union membership activities. Management does not punish, bribe or otherwise influence union members or workers' representatives. Records are kept of terminations of employment, including the reason for termination and workers affiliation with a union or workers' organization. Management does not interfere in the internal affairs of workers' organizations and/or unions, nor in elections or duties related to membership of such organizations. **ILO Right to Organise and Collective Bargaining Convention, 1949 (No. 98)** **ILO Workers Representatives Recommendation, 1971 (No. 143).** *For small farms, the requirement only applies if they are hiring:* *- 10 or more temporary workers each working for three consecutive months or more, and/or* *- 50 or more temporary workers per calendar year*	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.2.3	Management provides <u>workers' representatives</u> reasonable paid time off from work to carry out their representation functions and attend meetings. Where needed, management provides the worker representatives with reasonable facilities including meeting space, means of communication and childcare. Management gives <u>worker organization</u> and/or trade union access to a notice board to communicate information about their activities. Management establishes genuine dialogue with freely chosen workers' representatives to collectively raise and address working conditions and terms of employment. Management keeps records of the minutes from meetings with worker organizations and/or trade unions. **ILO Workers' Representatives Convention, 1971 (No. 135)** **ILO Workers Representatives Recommendation, 1971 (No. 143)** *For small farms, the requirement only applies if they are hiring:* *- 10 or more temporary workers each working for three consecutive months or more, and/or* *- 50 or more temporary workers per calendar year*	✓	✓	✓	✓

No.	Mandatory Improvement	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.2.4 L1	All <u>workers</u>, including management, receive once every three years information on <u>freedom of association</u> and the effective recognition of the right to collective bargaining. *For small farms, the requirement only applies if they are hiring:* *- 10 or more temporary workers each working for three consecutive months or more, and/or* *- 50 or more temporary workers per calendar year*	✓	✓	✓	✓

5.3 Wages and Contracts

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.3.1	Permanent and temporary workers who are employed for three consecutive months or more have a written employment contract signed by both parties. Permanent and temporary workers employed for fewer than three months must have at least verbal contracts in place. The employer keeps records of verbal contracts. All contracts include at least: • Job duties • Location of the job • Working hours • Pay rate and/or method of calculation • Overtime pay rate • Frequency or schedule of payment • Deductions, benefits provided such as in-kind benefits • Paid leave • Medical leave and protections in case of illness, disability or accident • Notice period for contract termination, if applicable All workers understand the content of their employment contracts prior to the start of employment and can request a copy at any time. *For small farms, the requirement only applies if they are hiring:* *– 10 or more temporary workers each working for three consecutive months or more, and/or* *– 50 or more temporary workers per calendar year.*	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.3.2	There are no arrangements or practices in place that are designed to eliminate or reduce <u>workers'</u> pay and/or benefits such as employing <u>temporary workers</u> for permanent or ongoing tasks	✓	✓	✓	✓
5.3.3	<u>Workers</u> receive at least the applicable minimum wage, or the wage negotiated in a Collective Bargaining Agreement (CBA), whichever is higher. For production quota or <u>piece work</u>, the payment must be at least the minimum wage, based on a 48-hour working week or national legal working hours limit, whichever is lower.	✓	✓	✓	✓
5.3.5	Deductions from wages such as for social security are permitted only if provided by <u>applicable law</u> or CBA. Voluntary wage deductions such as advance payments, union membership, or loans can only be made with written or verbal consent from the <u>worker</u>. Employer carries out these remittances fully and timely. Wage deductions as a disciplinary measure are not allowed. Deductions for work related to tools, equipment or gear are not allowed unless those are permitted by applicable law. In-kind benefits must be in accordance with applicable law; however, they cannot exceed 30% of the total remuneration. **ILO Protection of Wages Recommendation, 1949 (No. 85)**	✓	✓	✓	✓
5.3.6	<u>Workers</u> are paid regularly at scheduled intervals agreed both by the worker and the employer, and at least monthly. Records are maintained, per worker, of hours worked (<u>regular</u> and <u>overtime</u>) and/or volume produced (if applicable), calculation of wages and deductions, and wages paid. Workers are provided with proof of payment (physical or electronic) for each payment containing this information. **ILO Protection of Wages Convention, 1949 (No. 95).** *For small farms, the requirement only applies if they are hiring:* *- 10 or more temporary workers each working for three consecutive months or more, and/or* *- 50 or more temporary workers per calendar year.*	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	**L-farms**	**Group mgt.**	**S/L**
5.3.8	Work of equal value is remunerated with equal pay without <u>discrimination</u> e.g., on <u>gender</u> or type of <u>worker</u>, ethnicity, age, colour, religion, political opinion, nationality, social origin or others. **ILO Equal Remuneration Convention, 1951 (No. 100)**	✓	✓	✓	✓
5.3.10	If <u>labor providers</u> are used, the producer records the name, contact details and official registration number (if available). The labor provider is: • Not engaged in fraudulent or coercive recruiting practices. • Compliant with applicable worker related requirements 5.3 and 5.5 of this standard. All <u>recruitment fees</u> are paid by the farm, not by <u>workers</u>. **ILO Private Employment Agencies Convention, 1997 (No. 181)** *Please see SA-G-SD-46 Guidance document U: Service Providers Applicability*	✓	✓	✓	✓

No.	Mandatory Improvement				
5.3.11 L1	Permanent and temporary workers who are employed for three consecutive months or longer have at least a verbal contract in place. The group member keeps records of verbal contracts and informs workers of at least these terms: • Job duties • Working hours • Pay rate and method of calculation • Overtime hours • In-kind benefits	✓			
5.3.12 L1	Permanent and temporary workers who are employed for one consecutive month or more have a written contract signed by both the employer and the worker, in a language the worker understands. The worker receives a copy of the contract at the time of signing. All other requirements of 5.3.1 apply. *For small farms, the requirement only applies if they are hiring:* *- 10 or more temporary workers each working for three consecutive months or more, and/or* *- 50 or more temporary workers per calendar year*	✓	✓	✓	✓
No.	**Self-selected Improvement**				
5.3.13	In countries where the minimum wage is not adjusted yearly or regulated in a CBA, the workers' wages are adjusted yearly for inflation based on the national inflation rate.	✓	✓	✓	✓

5.4 Living Wage

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.4.1	The total remuneration (wages plus monetary and in-kind benefits) for all types of workers* is assessed yearly against the Living Wage benchmark, as approved by the Rainforest Alliance and in accordance with the Global Living Wage Coalition (GLWC). Management uses the Rainforest Alliance Salary Matrix Tool to accurately fill in data for workers' wages. *excluding workers on small farms* **Indicators**: • # and % of workers (per gender) whose wage plus in-kind-benefits are below Living Wage benchmark provided by the Rainforest Alliance • Average size of Living Wage gap (% of LW) • Average size of Living Wage gap for men (% of LW) and women (% of LW) *Please see SA-S-SD-23 Annex Chapter 5: Social*		✓	✓	✓
5.4.2	If the total remuneration is below the applied benchmark for any type of worker, management implements a wage improvement plan to progress towards the applicable benchmark, including targets, actions, timeline and responsible persons.		✓	✓	✓
5.4.3	In case a supply chain certificate holder contributes (directly through a financial investment or through another type of investment) to raising wages towards the level of a Living Wage or beyond, the management and the supply chain certificate holder agree in writing on: • The modalities of the contribution • The timeline of the wage improvement plan (5.4.2) for the period for which the contribution is made The management keeps records on the progress of the implementation of the wage improvement plan		✓	✓	✓
No.	**Mandatory Smart Meter**				
5.4.4	Total remuneration of workers (wages, monetary benefits, in-kind benefits) is increasing towards and beyond the applicable Living Wage benchmark following the targets in the wage improvement plan. **Indicators:** • # and % of workers (per gender) whose wage plus in-kind-benefits are below Living Wage benchmark provided by the Rainforest Alliance • Average size of Living Wage gap (% of LW) • Average size of Living Wage gap for men (% of LW) and for women (% of LW)		✓	✓	✓

No.	Self-selected Improvement	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.4.5	Management consults with workers' representatives on the wage improvement plan.		✓	✓	✓

5.5 Working Conditions

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.5.1	Workers do not work more than eight regular working hours per day and 48 regular working hours per week. In addition, workers have at least a 30-minute break after a maximum of six consecutive hours of work and are granted at least one full day of rest after a maximum of six consecutive days of work. The regular work hours of guards do not exceed 60 hours per week or applicable regulations, whichever is stricter. **ILO, Hours of Work (Industry) Convention, 1919 (No. 1). ILO, Hours of Work (Commerce and Offices) Convention, 1930 (No. 30).**	✓	✓	✓	✓
5.5.2	Overtime work is voluntary and only permitted if: **a** It is requested in a timely manner. **b** It is paid according to national law or CBA, whichever is higher. If there is no law or CBA, it is paid at least 1,5 times the regular wage level . **c** The overtime work does not impose an increased health and safety risk. Incident rates during overtime periods are monitored and overtime is reduced, if accident rates are higher during overtime work periods than during periods of regular work hours. **d** Workers have safe transport home after work* **e** The total working week does not exceed 60 hours per week. Exceptional circumstances: see h) **f** Workers have at least a 30-minute break after maximum six consecutive hours of work and have a minimum of 10 consecutive hours of rest per 24 hour-period **g** A record of the number of regular hours and overtime hours of each worker is kept* **h** Applicable only to specific activities that must be completed within a short window of up to 6 weeks to prevent loss of harvest, including, but not limited to, sowing, planting, harvesting and processing of fresh produce: for a maximum period of 12 weeks per year, the overtime may be up to 24 hours total per week, and workers may work a maximum of 21 consecutive days. *In groups of small farms this is not applicable to group member workers *Continues on next page >*	✓	✓	✓	✓

	ILO, Hours of Work (Industry) Convention, 1919 (No. 1) **ILO, Hours of Work (Commerce and Offices) Convention, 1930 (No. 30)** **ILO Code of Practice on Safety and Health in Agriculture, 2010** **International Labor Conference, 107th Session, General Study concerning instruments on working time, 2018** *For small farms, requirement only applies if they are hiring:* *– 10 or more temporary workers each working for 3 consecutive months or more, and/or* *– 50 or more temporary workers per calendar year*				

No.	Core requirements	Group certification			Ind. cert.
		S-farms	**L-farms**	**Group mgt.**	**S/L**
5.5.3	<u>Permanent workers</u> are entitled to paid parental leave, rights and benefits in accordance with <u>applicable law</u>. In absence of such law, workers receive paid maternity leave of at least 12 weeks, of which at least six weeks are taken after birth. They can return to their job after maternity leave on the same terms and conditions and without <u>discrimination</u>, loss of seniority or deduction of wages. Workers who are pregnant, nursing or have recently given birth are offered flexible working schedules and work site arrangements. Breastfeeding women have two additional 30-minute breaks per day and an appropriate space for breastfeeding to nurture the child. **ILO Maternity Protection Convention, 1952 (No. 183)** *For small farms, the requirement only applies if they are hiring:* *– 10 or more temporary workers each working for three consecutive months or more, and/or* *– 50 or more temporary workers per calendar year*	✓	✓	✓	✓
5.5.4	<u>Workers' children</u> younger than the applicable minimum working age coming with their parents to the workplace: • Have a safe place to stay according to their age • Are under the supervision of adults at all times **ILO Code of Practice on Safety and Health in Agriculture, 2010**	✓	✓	✓	✓

5.6 Health and Safety

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.6.1	Management conducts an analysis of occupational <u>health and safety</u> risks within the certification scope with the support of staff or external experts with appropriate technical expertise. Relevant measures are stipulated in the <u>management plan</u> and implemented, considering at least the following: • Risk analysis • Compliance with regulations • Training of workers • Procedures and equipment to ensure health and safety, including drinking water. Frequency and type of occupational health and safety incidents are recorded (specified for men and women) and include incidents related to <u>agrochemical</u> use. For groups of small farms this is done for their own facilities. **ILO Occupational Safety and Health Convention, 1981 (No. 155)** **ILO Safety and Health in Agriculture Convention, 2001 (No. 184)**		✓	✓	✓
5.6.2	First aid boxes are available to <u>workers</u> for the treatment of work-related injuries, and <u>emergency</u> health care is provided free of charge including transport to and treatment in a hospital. The boxes are placed at the central locations of production, processing, and maintenance sites. Appropriate measures in case of emergency, including showers and eyewashes, are present at the relevant locations. Trained first aid employees are present during working hours. The workers are informed where and to who they should go to for first aid in case of an emergency. *For small farms, the requirement only applies if they are hiring:* *- 10 or more temporary workers each working for three consecutive months or more, and/or* *- 50 or more temporary workers per calendar year.*	✓	✓	✓	✓
5.6.3	<u>Group members</u> and <u>workers</u> know where to go in case of an <u>emergency</u>.	✓			

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.6.4	Workers have access to sufficient and safe drinking water at all times through one of the following means: • A public drinking water system, or • Drinking water provided by the management that is tested at least once every three years, or more frequently, if the risk analysis as part of requirement 5.6.1 identifies risk. Management maintains drinking water sources, distribution systems and containers to prevent contamination. Drinking water stored in jars or containers is protected against contamination by a lid and is replaced by fresh drinking water at least every 24 hours. *For small farms, the requirement only applies if they are hiring:* *- 10 or more temporary workers each working for three consecutive months or more, and/or* *- 50 or more temporary workers per calendar year*	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.6.5	For small farms, in case of no access to safe drinking water, management implements and documents a training program to instruct group members on potable water treatments through boiling, filtering, or chlorinating, and on the prevention of water contamination.			✓	
5.6.6	Workers always have access to safe and sufficient drinking water.	✓			
5.6.7	Sufficient, clean, and functioning toilets and handwashing stations are provided in or close by agricultural production, processing, maintenance, office sites, and workers' housing. Facilities are divided by gender in the case of 10 or more workers. Urinals are separated from toilets used by females. Safety and privacy of vulnerable groups are ensured, by at least well-lit and lockable facilities. Workers are allowed to frequent these facilities when needed.		✓	✓	✓
5.6.8	Workers receive information on health topics, medical leave policies and availability of primary, maternal and reproductive health services in the community.		✓	✓	✓
5.6.9	Persons that work in hazardous situations (e.g., under challenging terrains, with machines or with hazardous materials) use appropriate Personal Protective Equipment (PPE). These persons are trained in the use of the PPE and have access to the PPE free of charge.	✓	✓	✓	✓
5.6.10	All tools used by the workers are in good working condition. Machines have clear instructions on safe usage that can be understood by the workers, and dangerous parts are guarded or encased. Workers using such machines are appropriately trained, and if required by law, workers operating machinery have the applicable licenses. Machinery and other equipment are stored safely when not in use.	✓	✓	✓	✓
5.6.11	Female workers who are pregnant, nursing, or have recently given birth are not assigned to activities that pose a risk to the woman's, unborn child's, or infant's health. In cases of job reassignment, there is no reduction in remuneration. No pregnancy tests are requested.	✓	✓	✓	✓
5.6.12	Workers may leave situations with imminent danger without seeking employer's permission and without being penalized.	✓	✓	✓	✓

| No. | Core requirements | Group certification | | | Ind. cert. |
		S-farms	L-farms	Group mgt.	S/L
5.6.13	Workshops, storage areas, and processing facilities are safe, clean, with sufficient light and ventilation. A clear and written accident and emergency procedure is in place. It includes marked fire exits, evacuation maps, at least one emergency drill per year. Management informs workers about this procedure. There is firefighting equipment and equipment to remediate spillage of materials. Workers are trained on how to use this equipment. Only authorized personnel have access to workshops, storage, or processing facilities.		✓	✓	✓
5.6.14	Workers in workshops, storage areas and processing facilities have clean and safe eating spaces that provide protection against sun and rain. Workers in the field can have their meal protected from sun and rain.		✓	✓	✓
5.6.15	Workers receive basic training on occupational health, safety, and hygiene and related instructions are visibly displayed at central locations.		✓	✓	✓
5.6.16	Workers who regularly handle hazardous agrochemicals receive a medical examination at least once a year. In case of regular exposure to organophosphates or carbamate pesticides, the examination includes cholinesterase testing. Workers have access to the results of their medical examination.		✓	✓	✓
No.	**Mandatory Improvement**				
5.6.17 L1	An Occupational Health and Safety (OHS) committee is chosen by workers for farms/group management with 20 or more workers, reflecting the composition of the workforce. The committee participates in or carries out regular OHS reviews, and its findings and decisions are considered in the updating and implementation of the findings of the health and safety risk analysis.		✓	✓	✓
5.6.18 L2	Workers who cannot carry out their job because of temporary health conditions, including but not limited to pregnancy, nursing, or physical disabilities, are temporarily reassigned to a different task without a penalty or a decrease in remuneration.		✓	✓	✓

5.7 Housing and Living Conditions

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.7.1	Workers and their families that are housed or lodged on-site have safe, clean and decent living quarters considering local conditions. This includes at least: Location and construction: • Safe construction; build on a non-hazardous location, structure protecting against extreme weather conditions, consisting at least of dry floors, permanent walls and in a good state of repair. Dry floors: raised from ground level, either of cement, stone, tile, wood, or clay (the latter only if sealed and leveled). • Protection against air pollution and surface runoff of wastewater. • Workers/families are informed about emergency evacuation plans. • Group accommodation has marked evacuation routes, installed and maintained firefighting equipment and instructions for its use Health and hygiene: • Availability of enough safe drinking water; at least 20 liters per adult per day and within 1km/30 minutes round-trip. • Safety and privacy of vulnerable groups are ensured, at least by well-lit and lockable facilities. Sanitary facilities are located within the same buildings, or at a safe distance from the buildings (no more than 60 meters from rooms/dormitories) and provided separately for men and women. • Adequate closed-sewage or pit latrines, sanitation and waste disposal facilities are in place. • Cooking areas with smoke ventilation. • Pest control, absence of rats, mice, insects, and vermin, or conditions that favor their populations that could cause disease or carry parasites that function as vectors of diseases. Comfort and decency: • Families of permanent workers with children share one or more rooms. Such rooms are separate from non-family members • Workers' children living on-site are in a safe place and under the supervision of an adult during working hours • Electricity (in-house or nearby) if available in the area For collective housing: • Rooms, washing facilities and toilets for individual workers are separate for women and men and can be locked. A separate bed for each worker is provided. There is a minimum space between beds of 1 meter. Where bunk beds are used, there must be enough clear space between the bunks of the bed, at least 0.7 meters. • Storage for the personal belongings of workers is provided, either an individual cupboard or at least 1 meter of shelf unit for each worker **ILO Workers' Housing Recommendation, 1961 (No. 115)** **ILO Code of Practice on Safety and Health in Agriculture, 2010** *Please see SA-G-SD-13 Guidance Document K: Housing and Living Conditions*		✓		✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.7.2	Children living on-site and of school-going age go to school. Children either: • Go to a school at safe walking distance • Go to a school at reasonable traveling distance, with availability of safe transport • Have on-site schooling of a recognized and equivalent level.		✓		✓
5.7.3	Workers and their families that are housed or lodged on-site have safe, clean and decent living quarters considering local conditions and include: Safe accommodation; built in a non-hazardous location, structure protecting against extreme weather conditions, consisting at least out of dry floor, permanent walls and in good state of repair Marked evacuation routes for group accommodations Protection against air pollution and surface runoff. Adequate sewage, sanitation and waste disposal facilities are in place • Access to safe drinking water • Adequate sanitary and washing facilities. Safety and privacy of vulnerable groups is ensured, at least by well-lit and lockable facilities **ILO Recommendation, Workers' Housing Recommendation, 1961 (No. 115)**	✓		✓	

| No. | Mandatory Improvement | Group certification | | | Ind. cert. |
		S-farms	L-farms	Group mgt.	S/L
5.7.4 **L1**	On-site living conditions have improved by: Location and construction: • Measures are taken to reduce the effect of extreme climate conditions such as flooding. • Natural ventilation that ensures movement of air in all conditions of weather and climate. Health and Hygiene: Adequate sanitary and washing facilities: • Ventilated Improved Pit (VIP) latrines or toilets with connections to wastewater disposal systems, or sewage system if this is present. • The number of toilets or VIP latrines, urinals, handwash facilities and shower/bathroom facilities: 1 unit of each for a maximum of 15 persons. Handwash facilities must consist of a tap and basin. • Bedrooms are free from cooking area smoke. • Enough lighting (daylight and artificial). Comfort and Decency: • Workers have covered or comfortable areas according to their customs during meals and break times. For group accommodation: • Bunk beds are not arranged in more than two levels. • Increased living space for group accommodation.		✓		✓
5.7.5 **L1**	On-site housing includes: Cooking areas with smoke ventilation Food storage areas must be protected from moisture and pests and be separate from storage of chemicals and other potential hazards Measures for pest control are taken	✓		✓	
5.7.6 **L2**	On-site living conditions have improved by: Location and construction: • Sealed floors. • Frequent inspections are held to ensure that the accommodation is safe and clean, inspection reports are documented. Health and Hygiene: • At least one toilet, one shower, and one laundry sink per 6 persons. Comfort and Decency: • Rooms indicate the maximum allowed number of inhabitants. • Group accommodation has at least one toilet per 6 persons. • Areas for drying clothes.		✓		✓
5.7.7 **L1**	In case temporary workers have off-property accommodation, the group and/or farm management makes arrangements or works together with the relevant property owners or settlement/municipal authorities for safe, clean and decent living conditions considering local conditions.		✓	✓	✓

5.8 Communities

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.8.1	Management respects legal and customary rights of <u>indigenous peoples and local communities</u>. Activities diminishing the land or resource use rights or collective interests of indigenous peoples and local communities, including <u>High Conservation Values (HCVs)</u> 5 or 6, are conducted only after having received <u>free, prior and informed consent (FPIC)</u> following the Rainforest Alliance FPIC annex. **ILO Indigenous and Tribal Peoples Convention, 1989 (No. 169)** *Please see SA-S-SD-23 Annex Chapter 5: Social*		✓		✓
5.8.2	The producer has legal or legitimate right to use the land, substantiated by ownership, leasehold, or other legal documents or by documentation of traditional or customary use rights. If <u>indigenous peoples and/or local communities</u>, current or former local residents, or other stakeholders validly dispute the right to use the land (for example in cases of past dispossession, forced abandonment or illegal action), the certificate holder may demonstrate that they have legitimate right to use the land if: a. A conflict resolution and remediation process has been documented, implemented and accepted by the affected parties. b. In the case of past illegal action, these affected parties include relevant authorities. c. If the dispute involves <u>indigenous peoples and local communities</u>, large farms and individually certified farms follow an FPIC process in accordance with Annex chapter 5: Social and Guidance T: Free, Prior and Informed Consent (FPIC) Process to attain the required conflict resolution and remediation.	✓	✓	✓	✓

No.	Mandatory Improvement				
5.8.3 L1	Management engages with <u>communities</u> within or adjacent to the farm that are likely to be affected by the farm's operations. Management identifies their concerns and interests related to these operations and informs them about the possibility to file complaints in accordance with 1.5.1.		✓		✓
5.8.4 L2	Management supports <u>communities</u> within or adjacent to the farm to address the needs and priorities identified (5.8.3), e.g. support for local schools, medical care or helping to address environmental problems.		✓		✓

CHAPTER 6:
ENVIRONMENT

Agriculture can have positive or negative effects on the natural environment, depending on how it is managed. This chapter outlines pathways for certified farms to have a positive impact on the planet, and its forests, biodiversity, water and climate. By complying with the core requirements of the Farm Requirements, farms also comply with the High Conservation Values approach as set by the HCV Network.
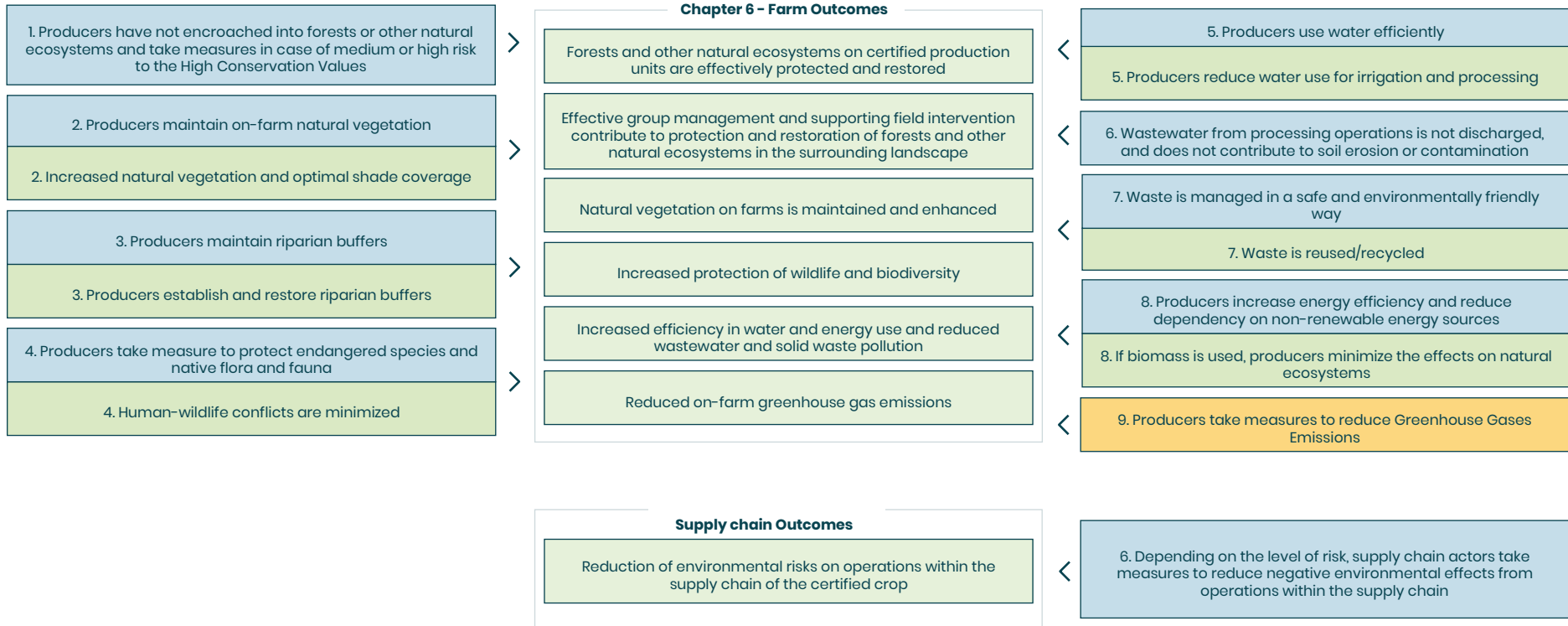
The first topic in this chapter supports the outcome that farms and groups do not contribute to deforestation, forest degradation and destruction of other natural ecosystems, and that the conserve, maintain, and restore natural ecosystems and their services. The topic of wildlife and biodiversity

supports the outcome that farms and groups avoid degradation of natural habitats, contribute to improving biodiversity, and help to prevent the extinction of threatened species. For the topics of water, waste, and energy, farms and groups reduce pollution, treat wastewater and minimize release of hazardous pollutants, and reduce waste and energy through prevention, reduction, recycling and reuse. A self-selected topic is added for farms and groups taking the step towards measurements of greenhouse gas reductions.

Finally, throughout this chapter and the farming practices chapter, the Farm Requirements work towards the outcome of farms and groups adopting climate adaptation and resilience

techniques and supporting climate change mitigation.

Once again, the Rainforest Alliance recognizes that farm certification fits into a larger picture of landscape conservation, where multiple strategies are needed to create lasting impact for biodiversity and planet. The content of this chapter marks a starting from which certified farms and groups can support this goal.

Chapter 6 – Farm Outcomes

Left requirements	Farm Outcomes	Right requirements
1. Producers have not encroached into forests or other natural ecosystems and take measures in case of medium or high risk to the High Conservation Values	Forests and other natural ecosystems on certified production units are effectively protected and restored	5. Producers use water efficiently 5. Producers reduce water use for irrigation and processing
2. Producers maintain on-farm natural vegetation 2. Increased natural vegetation and optimal shade coverage	Effective group management and supporting field intervention contribute to protection and restoration of forests and other natural ecosystems in the surrounding landscape	6. Wastewater from processing operations is not discharged, and does not contribute to soil erosion or contamination
3. Producers maintain riparian buffers 3. Producers establish and restore riparian buffers	Natural vegetation on farms is maintained and enhanced	7. Waste is managed in a safe and environmentally friendly way 7. Waste is reused/recycled
4. Producers take measure to protect endangered species and native flora and fauna 4. Human-wildlife conflicts are minimized	Increased protection of wildlife and biodiversity	8. Producers increase energy efficiency and reduce dependency on non-renewable energy sources 8. If biomass is used, producers minimize the effects on natural ecosystems
	Increased efficiency in water and energy use and reduced wastewater and solid waste pollution	9. Producers take measures to reduce Greenhouse Gases Emissions
	Reduced on-farm greenhouse gas emissions	

Supply chain Outcomes

Supply chain Outcomes	
Reduction of environmental risks on operations within the supply chain of the certified crop	6. Depending on the level of risk, supply chain actors take measures to reduce negative environmental effects from operations within the supply chain

6.1 Forests, and other Natural Ecosystems and Protected Areas

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.1.1	From January 1st, 2014, onward, natural forests and other natural ecosystems have not been converted into agricultural production or other land uses. *Please see SA-S-SD-24 Annex Chapter 6: Environment*	✓	✓		✓
6.1.2	Production or processing does not occur in protected areas or their officially designated buffer zones, except where it complies with applicable law.	✓	✓		✓
6.1.3	Management includes the mitigation measures from the Risk Assessment Tool in 1.3.1 with regard to High Conservation Values in the management plan (1.3.2). Management implements these measures. *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool*		✓		✓
No.	**Mandatory Improvement**				
6.1.4 L1	Management includes the mitigation measures from the Risk Assessment Tool in 1.3.1 with regard to High Conservation Values in the management plan (1.3.2). Management implements these measures. *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool*			✓	

6.2 Conservation and Enhancement of Natural Ecosystems and Vegetation

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.2.1	Management develops and implements a plan to conserve natural ecosystems. The plan is based on the map required in 1.2.10 and the natural ecosystems section of the Risk Assessment Tool in 1.3.1 and is updated annually. *Please see SA-S-SD-4 Annex S03: Risk Assessment Tool* *Please see SA-G-SD-14 Guidance Document M: Natural ecosystems and vegetation*		✓	✓	✓
6.2.2	Farms maintain all remnant forest trees, except when these pose hazards to people or infrastructure. Other native trees on the farm and their harvesting are sustainably managed in a way that the same quantity and quality of trees is maintained on the farm.	✓	✓	✓	✓
No.	**Mandatory Smart Meter**				
6.2.3	Producers maintain and management monitors natural vegetation cover and reports annually on the indicator from year one onwards. If there is less than 10% of the total area under natural vegetation cover or less than 15% for farms growing shade-tolerant crops, management sets targets and takes actions for farms to reach these thresholds as required in 6.2.4. Natural vegetation is vegetation made up predominantly of native or locally adapted species, resembling in species composition and structure the vegetation that occurs or would occur in the absence of human interference. Natural vegetation can include one or more of the following (not exclusive): • Riparian buffers • Conservation areas within the farm • Natural vegetation in agroforestry systems • Border plantings, live fences and barriers around housing and infrastructure, or in other ways • Conservation and restoration areas outside the certified farm that effectively provide long-term protection of the subject areas (for at least 25 years) and yield additional conservation value and protection status relative to the status quo **Indicator:** • % of total farm area under natural vegetation cover *Please see SA-S-SD-24 Annex Chapter 6: Environment*	✓	✓	✓	✓

No.	Mandatory Improvement	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.2.4 L2	There is underline natural vegetation cover • On at least 10% of the total area for farms growing non-shade tolerant crops • On at least 15% of the total area for farms growing shade-tolerant crops	✓	✓	✓	✓
No.	**Self-selected Smart Meter**				
6.2.5	Farms with shade-tolerant crops work towards agroforestry systems with optimal shade coverage and species diversity according to the Shade coverage and species diversity reference parameters. **Indicators:** • % shade cover averaged over the portion of the farm or group of farms growing shade-tolerant crops • average number of shade tree species per hectare growing shade-tolerant crops	✓	✓	✓	✓
6.2.6	Farms increase the areas under natural vegetation beyond the amounts established in requirement 6.2.3. **Indicator:** • % of total farm area under natural vegetation cover	✓	✓	✓	✓

6.3 Riparian Buffers

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.3.1	Farms maintain existing riparian buffers adjacent to aquatic ecosystems.	✓	✓		✓
6.3.2	Producers maintain the following additional safeguards for the protection of drinking water in case the farm is located closer than 50m from a river, lake, or other water body that is frequently used as the main source of drinking. • Maintain or establish a riparian buffer that is at least 10m wide • Add an outer, additional 20m non-application zone (total 30m) where no pesticides or fertilizers are used • Add an additional 20m zone (from 30 to 50m from the waterbody), in which pesticides are only applied through mechanical, hand-assisted or targeted application	✓	✓		✓
No.	**Mandatory Improvement**				
6.3.3 L1	Aquatic ecosystems are surrounded by riparian buffers with the following riparian buffer width parameters: • 5m horizontal width along both sides of water courses between 1 - 5m wide. • For farms < 2 ha, the width of the buffer may be reduced to 2m at both sides • 8m horizontal width along both sides of water courses between 5-10m wide, and around springs, wetlands, and other water bodies • 15m horizontal width along both sides of rivers wider than 10 meters wide No additional non-application zones are required alongside fully established riparian buffers.	✓	✓		✓

6.4 Protection of Wildlife and Biodiversity

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.4.1	Threatened animals and plants are not hunted, killed, fished, collected, or trafficked. Additionally, producers and workers do not hunt other animals, with the following exceptions: • Producers of small farms may hunt non-threatened animals for non-commercial use only • Producers may hunt vertebrate wildlife pests on the farm only following the farm's Integrated Pest Management (IPM) plan, and only as a measure of last resort. Explosives or toxic substances are never used for hunting, fishing, or control of wildlife pests.	✓	✓	✓	✓
6.4.2	Producers do not hold wildlife in captivity. Captive wild animals that were present on the farm before the earliest certification date are sent to professional shelters or may be held only for non-commercial purposes for the remainder of their lives. Captive wild animals and farm animals are treated following the five freedoms of animal welfare.	✓	✓		✓
6.4.3	Producers do not intentionally introduce or release invasive species. Producers do not dispose of existing invasive species or their parts in aquatic ecosystems.	✓	✓		✓
6.4.4	Producers do not use wildlife for processing or harvesting of any crop (e.g. luwak for coffee, monkeys for coconut, etc).	✓	✓		✓
6.4.5	Erosion by water and wind is reduced through practices such as re-vegetation of steep areas and terracing. *Please see SA-G-SD-12 Guidance Document J: Soil Fertility and Conservation*	✓	✓		✓
6.4.6	Fire is not used for preparing or cleaning fields, except when specifically justified in the IPM plan. *Please see SA-G-SD-12 Guidance Document J: Soil Fertility and Conservation*	✓	✓		✓
No.	**Mandatory Improvement**				
6.4.7 L1	Producers minimize human-wildlife conflicts that affect workers, wildlife, crops, or farm assets with locally appropriate mitigation measures. Measures can include siting of infrastructure, fencing and corridors but should not unnecessarily restrict wildlife mobility or access to water or other resources. Workers are trained in procedures and emergency responses for addressing crop damage or wildlife attacks.		✓		✓
6.4.8 L1	Group management supports producers to minimize human-wildlife conflicts that affect producers, workers, wildlife, crops, or farm assets with locally appropriate mitigation measures. Measures can include siting of infrastructure, fencing, and corridors but should not unnecessarily restrict wildlife mobility or access to resources like water.			✓	
6.4.9 L1	Producers take measures to contain and reduce existing invasive species.	✓	✓	✓	✓

6.5 Water Management and Conservation

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.5.1	Management complies with the applicable law for withdrawal of surface or groundwater for agricultural, domestic or processing purposes. If required, compliance is demonstrated through a license or permit (or a pending request).		✓	✓	✓
6.5.3	Irrigation and water distribution systems are maintained to optimize crop productivity while minimizing water waste, erosion, and salinization.		✓	✓	✓
No.	**Mandatory Smart Meter**				
6.5.4	Irrigation and water distribution systems are managed to optimize crop productivity considering at least the following factors: • Crop evapotranspiration at different growth stages • Soil conditions • Rainfall pattern Producers record the amount of water used for irrigation from year one onwards. **Indicator:** • Water use for irrigation in total and per unit of product (L, L/kg)		✓	✓	✓
6.5.5	Management takes measures to reduce the use of processing water per unit of product. Water use and reduction are monitored and documented from year one onwards. For Group Management, this is applicable if groups have central processing facilities. **Indicator:** • Water use for processing in total and per unit of the product leaving the farm (L, L/Kg)		✓	✓	✓
No.	**Self-Selected improvements**				
6.5.6	Producers use rainwater harvesting for irrigation and/or other agricultural purposes.	✓	✓	✓	✓
6.5.7	Producers participate in a local watershed committee or initiative and take action to help maintain or restore the watershed's health as part of this collective process. The nature of the participation and actions taken are documented.	✓	✓	✓	✓

6.6 Wastewater Management

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.6.1	Tests for processing wastewater are conducted at all discharge points during the representative period(s) of operation, and results are documented. For farm groups, this is done at all group-managed (collective) processing facilities and at a representative sample of member processing operations including the different types of treatment systems. Wastewater from processing operations discharged into aquatic ecosystems meets legal wastewater quality parameters. In absence of these, it meets the wastewater parameters. Wastewater from processing operations may not be mixed with clean water to meet the parameters.		✓	✓	✓
6.6.2	Human sewage, sludge, and sewage water is not used for production and/or processing activities. Sewage is not discharged into aquatic ecosystems unless it has been treated. Not applicable to small farms: Treated discharge is demonstrated to meet legal wastewater quality parameters or, in the absence of these, the wastewater parameters.	✓	✓	✓	✓
6.6.3	Wastewater from processing operations is not applied to land unless it has undergone treatment to remove particulates and toxins. If treated wastewater is used for irrigation, in addition to the wastewater parameters, it must comply with the wastewater parameters for irrigation.	✓	✓	✓	✓

6.7 Waste Management

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.7.1	Waste is stored, treated, and disposed of in ways that do not pose health or safety risks to people, animals or natural ecosystems. Waste is stored and disposed of only in designated areas and not disposed of in natural or aquatic ecosystems. Non-organic waste is not left on the land.	✓	✓	✓	✓
6.7.2	Producers do not burn waste, except in incinerators technically designed for the specific type of waste.	✓	✓	✓	✓
No.	Mandatory Improvement				
6.7.3 L1	Producers segregate and recycle waste based on available waste management, recycling, and disposal options. Organic waste is composted, processed for use as organic or used as input for other processes.		✓	✓	✓

6.8 Energy Efficiency

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.8.1	Management documents the types of energy sources and the energy used for production and processing of <u>certified</u> product. This applies to Group Management only if groups use energy for processing. *Please see SA-G-SD-15 Guidance Document N: Energy Efficiency*		✓	✓	✓
No.	**Mandatory Smart Meter**				
6.8.2	Management sets targets for increased efficiency in energy use and for reduced dependency on non-renewable energy sources. The progress is monitored and reported yearly. For Group Management, this is applicable if groups have energy use for processing. **Indicators:** • Amounts of renewable and non-renewable energy used, by type (e.g., volume of fuel, kWh electricity, quantity of biomass energy) • Total energy use • Total energy use per kg of product		✓	✓	✓
No.	**Mandatory Improvement**				
6.8.3 L1	If biomass energy is used for processing operations and/or domestic use, producers minimize the direct and indirect effects of biomass use on <u>natural ecosystems</u> through actions such as: • Planting trees to increase the availability of biomass energy on or around the farm • When biomass is purchased, sources not associated with the destruction of <u>forests</u> or other natural ecosystems are sought.		✓	✓	✓

6.9 Greenhouse Gases Reduction

No.	Self-Selected Smart Meter	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.9.1	Producers document net <u>Greenhouse Gases</u> (GHG) emissions from main sources in production and processing operations. This includes emissions from use of fossil fuels and electricity, <u>fertilizer</u>, <u>waste</u> and <u>wastewater</u> and land use change. Producers establish GHG reduction targets, develop and implement a strategy to meet these targets, and monitor annually against these targets. **Indicators:** • Total annual net GHG emissions from the above indicated sources (tons of CO_2e) • Net GHG emissions from the above indicated sources per unit of the final farm product (tons of CO_2e per unit) *Please see SA-G-SD-16 Guidance Document O: GHG Emission Reductions*		✓	✓	✓