RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD

FARM REQUIREMENTS

RAINFOREST ALLIANCE

Version 1.1

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.

Translation Disclaimer
For any question related to the precise meaning of the information contained in the translation, please refer to the official English version for clarification. Any discrepancies or differences in meaning due to translation are not binding and have no effect for auditing or certification purposes.

More information?
For more information about the Rainforest Alliance, visit www.rainforest-alliance.org or contact info@ra.org

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SA-S-SD-2-V1.1 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 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 Certification Rules.	Farm certificate holders

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J Soil fertility and Conservation
K Housing and Living Conditions
L Assess-and-Address
M Natural Ecosystems and Vegetation
N Energy Efficiency
O GHG Emission Reductions
P How to use the Group Member Registry
Q How to use the Living Income Tool
R Assess-and-Address Monitoring Tool

INTRODUCTION
OUR VISION

REIMAGINING CERTIFICATION

The merger of the Rainforest Alliance and UTZ in 2018 was a natural moment for us to combine our experience and develop a strong, forward-looking approach to certification that is fit for the challenges now facing sustainable agriculture and related supply chains.

'Reimagining certification' is our long-term vision, 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.

As the first step towards our Reimagining Certification vision, the Farm Requirements of the Sustainable Agriculture Standard introduce a number of innovations, such as a contextualized package of requirements adapted to the circumstances of each certificate holder, 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. A detailed exploration of these innovations can be found in the '2020 Sustainable Agriculture Standard – Introduction' document available from the Rainforest Alliance website.

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 reflecting a balance of stakeholder interests.

iseal alliance

2020 CERTIFICATION PROGRAM

The Rainforest Alliance 2020 Certification Program provides the foundation for our approach to reimagining certification. The new standard, assurance system and related data and technology systems are designed to deliver more value to the many people and businesses around the world that use Rainforest Alliance certification as an essential tool to support sustainable agricultural production and supply chains. Our 2020 Certification Program is made up of three principal components that are designed to work closely with each other:

SUSTAINABLE AGRICULTURE STANDARD

FARM REQUIREMENTS

SUPPLY CHAIN REQUIREMENTS

Annexes (binding):
Compliance with the content of the annexes is required in order to be certified.

Guidances (non-binding):
Documents to help users understand, interpret and implement the requirements, but are not binding for audits.

ASSURANCE SYSTEM

- **Certification Rules** to set out how auditors evaluate compliance with the farm and supply chain requirements
- **Auditing Rules** 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
- **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 new IT platform.

New IT-based tools will progressively be made available to farmers, certificate holders and supply chain actors to better track and manage sustainability performance against the requirements of the Sustainable Agriculture Standard.

STRUCTURE OF THE FARM REQUIREMENTS

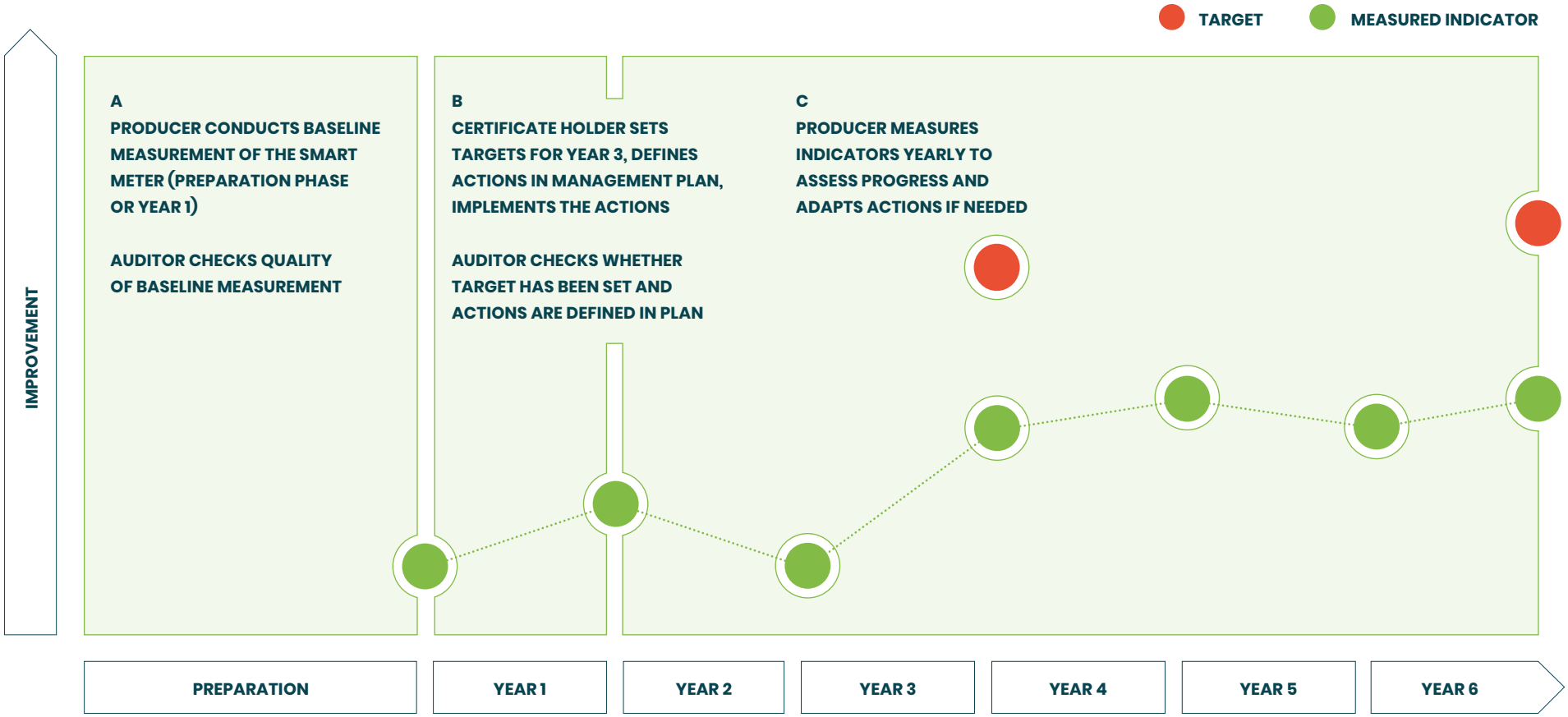
Our certification program is designed for producers who are committed to sustainable agriculture, and continuous improvement is a fundamental tenet of sustainability: the farm requirements aim to serve these aims. In addition to prescribing practices, the focus is on enabling and measuring improvements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

REQUIREMENT TYPE	COMPLIANCE MEASUREMENT
CORE REQUIREMENTS These are requirements that always have to be met in order to achieve certification. Most core requirements prescribe good practices with respect to key sustainability risk topics and are formulated as compliance requirements (a binary pass/fail).	• Always pass/fail • In some cases, the core requirement will contain a set threshold (e.g. payment of minimum wage) that must be measured and reported against.
IMPROVEMENT REQUIREMENTS Designed to further promote and measure progress.	
MANDATORY IMPROVEMENT REQUIREMENTS Need to be included in the standard compliance as the producer or producer group advances on its journey to sustainability.	• Some requirements are pass/fail – and improvements are in steps - Level 1 (year 3) and Level 2 (year 6) • Some are Smart Meters, measuring indicators, setting targets and implementing improvement actions
SELF-SELECTED IMPROVEMENT REQUIREMENTS Chosen by certificate holders based on their own risk assessment or aspirations. The selection may depend on external support received for a certain improvement, such as renovation of tree crops.	• Some are pass/fail, with no levels. • Certificate holder defines if and when to comply • Some are Smart Meters, measuring indicators

CORE REQUIREMENTS AND UNDERSTANDING SMART METERS

The foundation of this document can be found in its core requirements, which address fundamental areas of sustainable agriculture. These always have to be met in order to achieve certification, similar to the critical or mandatory requirements of the previous Rainforest Alliance and UTZ standards. The 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.

However, our Reimagining Certification vision 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.



How 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 producers themselves set the targets for these indicators and define the adequate actions to take to realize these improvements.

Producers conduct a baseline assessment and define targets for these indicators in the preparation phase or year 1 (depending on the requirement), plan and implement actions to achieve the targets, and then monitor progress towards the targets.
Producers use the indicator data to reflect yearly on the progress, and to adapt the activities in case no or little progress is shown. This provides producers with a feedback loop so that they can continuously improve their practices.

Auditing of Smart Meter Data

- For the mandatory smart meter indicators: the quality of the data and the actions undertaken will be verified through the assurance process. The measured level of the indicator data will not influence the certification decision. However, if no data have been collected, or if the quality of the data is very low, 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 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 then will verify the quality of the data. The surveillance audits check whether the yearly monitoring and use of the data for learning takes place. The objective of these surveil-lance 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

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.

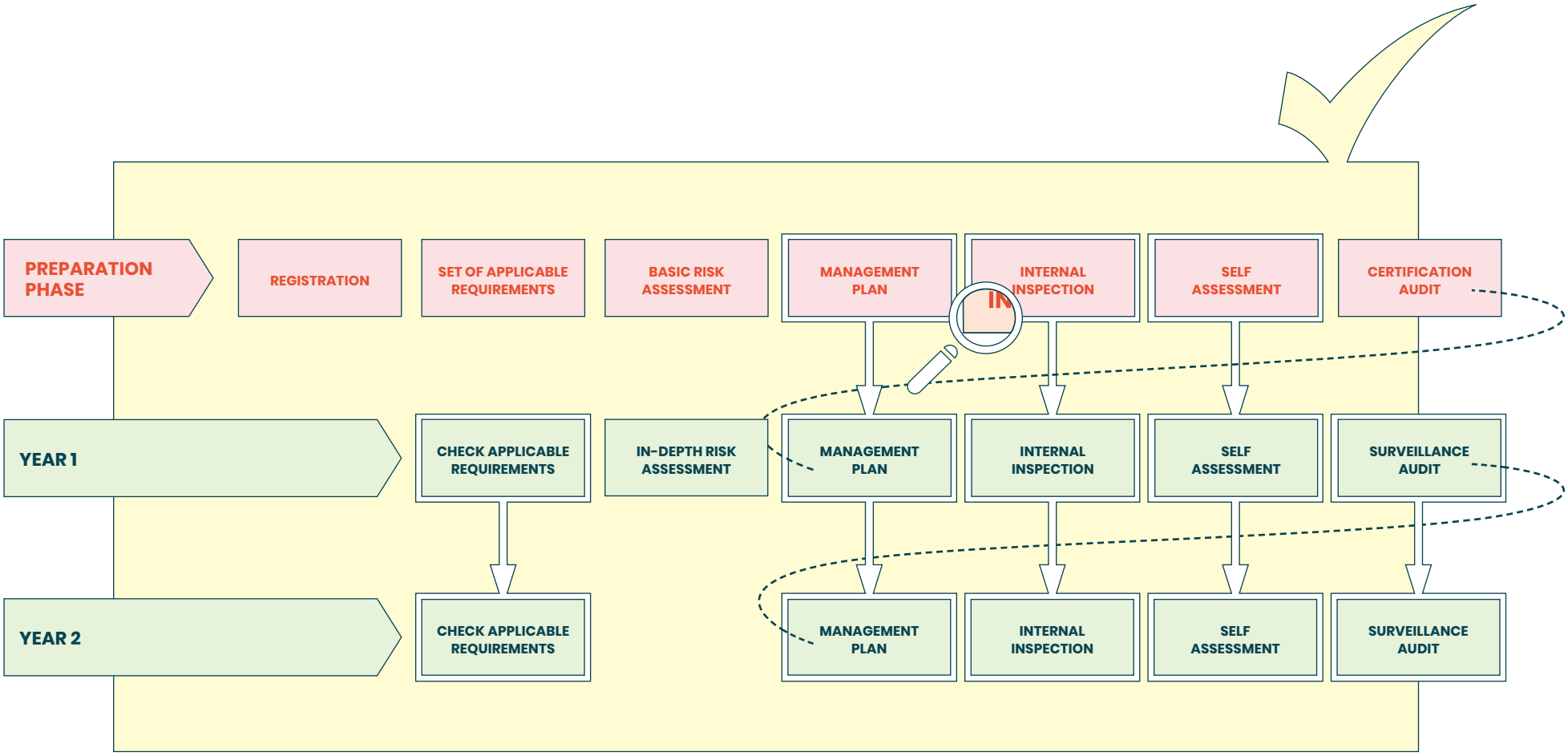
OVERVIEW OF THE FARM REQUIREMENTS

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

CERTIFICATION PROCESS

Users of the Farm Requirements go through
a number of key steps on the certification journey.



Applicability and Contextualization Framework
The first step towards Rainforest Alliance certification is registration in Rainforest Alliance's Multitrace system. This is done by farms and groups of farms that are interested in becoming certified, and also by farms that have already been certified in the earlier UTZ and Rainforest Alliance programs.

Once they have been registered, they will receive a digital contextualized standard, which can also be downloaded for offline use. This means they will receive a list of applicable requirements based on the risk profile for their country and the type of certificate. For example, a group of small cocoa farmers, who are seeking to achieve Rainforest Alliance certification, will receive the requirements that apply to "Small Farms" and to "Group Management", but will not receive the requirements applicable for large farms.

They will see both the core requirements to comply with for the first certification audit, as well as the mandatory Smart Meters and improvement requirements to comply with over time. The self-selected requirements will be included in this overview as optional requirements.

The Rainforest Alliance provides a customized package with the training guidance, the Risk Assessment Tool and the Management Capacity Assessment Tool (for groups).

Preparation
The preparation phase starts with the producer conducting a preparatory assessment, which includes an initial assessment of risks, gaps and baseline.

The basic risk assessment provides insight into the more pressing aspects that producers can focus on in order to achieve certification, and in the gaps that need to be bridged to reach compliance with the standard. The Management Capacity Assessment Tool will be used by groups of small farms to identify the areas to strengthen management capacities.

These preparatory assessments and other sources of information, such as maps of farm units, are used as input to draft an initial management plan, describing the actions to be taken to reach compliance with the core requirements of the standard. Subsequently, the producer will conduct internal inspections to assess compliance of group members with the standard (in the case of a group), and to conduct the baseline for the applicable smart meters. Before the external audit takes place, the groups and individual farms need to conduct a self-assessment to evaluate the compliance with the standard.

Note: the different parts of the risk assessment, including the basic and in-depth risk assessment, the gender and climate risk assessment, are all included in the Risk Assessment Tool.

Audits
Rainforest Alliance farm certification operates on a three-yearly cycle. It begins with the preparation phase, and year 1 starts after the first positive certification audit.

a. Certification Audits
After this preparation phase, the producer has the first certification audit carried out by an independent audit organization. If the audit is passed, the first year of certification starts. For the first certification audit all certificate holders must comply with all core requirements applicable to their category (small or large farms, individual or group).

The in-depth risk assessment will be the first action. This includes an in-depth gender assessment, as well as an in-depth assessment of the risks on child labor, forced labor, discrimination and workplace violence and harassment. For group certification, this in-depth assess-and-address assessment is mandatory only if there is a medium/high risk of child labor or forced labor.

This in-depth risk assessment also includes a climate change risk assessment as a self-selected improvement requirement.

The internal inspections will be conducted yearly, with a focus on the topics identified in the risk assessment, the results of earlier inspections, and the data gathering for the smart meters.

b. Surveillance Audits
In the two years between Certification Audits, Surveillance Audits are carried out. These audits have a number of objectives:

- To verify whether the management system of the organization is still ensuring compliance of all activities falling under its responsibility
- To monitor progress on improvements.

Using the indicators, producers can show the progress made. In the event that a producer has not managed to make progress, they can explain the causes of this situation and the activities undertaken to work on this improvement. If they are not able to show this effort, this will lead to a non-conformity or decertification.

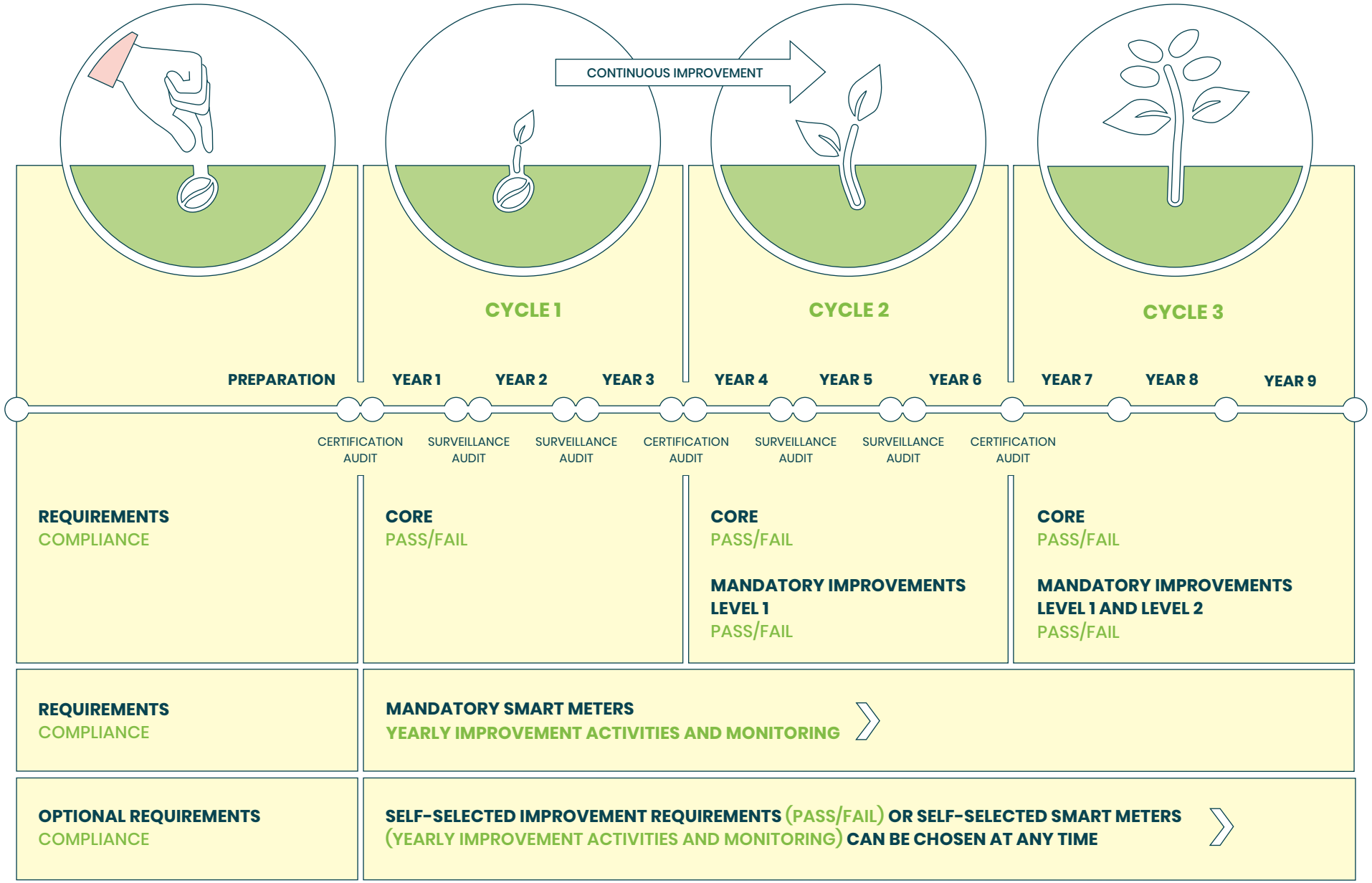
Scope of the requirements
The scope of the Farm requirements is the whole farm.

Chapter 4, Farming focuses on the certified crop, except for the requirements on Integrated Pest Management and pesticides which apply to the whole farm.

Small farms
For this standard the following description of small farms is used:
Small farms are small-scale agricultural producers that primarily rely on family or household labor or workforce exchange with other members of the community. They might hire temporary workers for seasonal tasks or even hire (few) permanent workers. Small farmers are usually organized in a group to be certified and rely on the group management for record development and record keeping.

Small farms that make use of any type of hired labor equivalent to five or more full-time workers on a yearly basis, need to comply with additional requirements (see Annex S1 Glossary).

OVERVIEW OF THE IMPROVEMENT PROCESS



LONGER TERM OUTCOMES

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 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 harrassment are effecively 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 tables 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

USING THIS DOCUMENT

Navigating around the Farm Requirements

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.

Topic name

Core requirement: has to be complied with always

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

Mandatory Improvement: 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

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)*	✓	✓	✓	

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

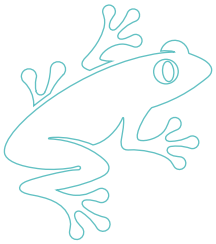
Large farms: each large farm in the group has to comply with these requirements

Group management: group management is responsible for implementation of these requirements for the group members

Individual certification: small or large farms that are certified individually have to comply with these requirements

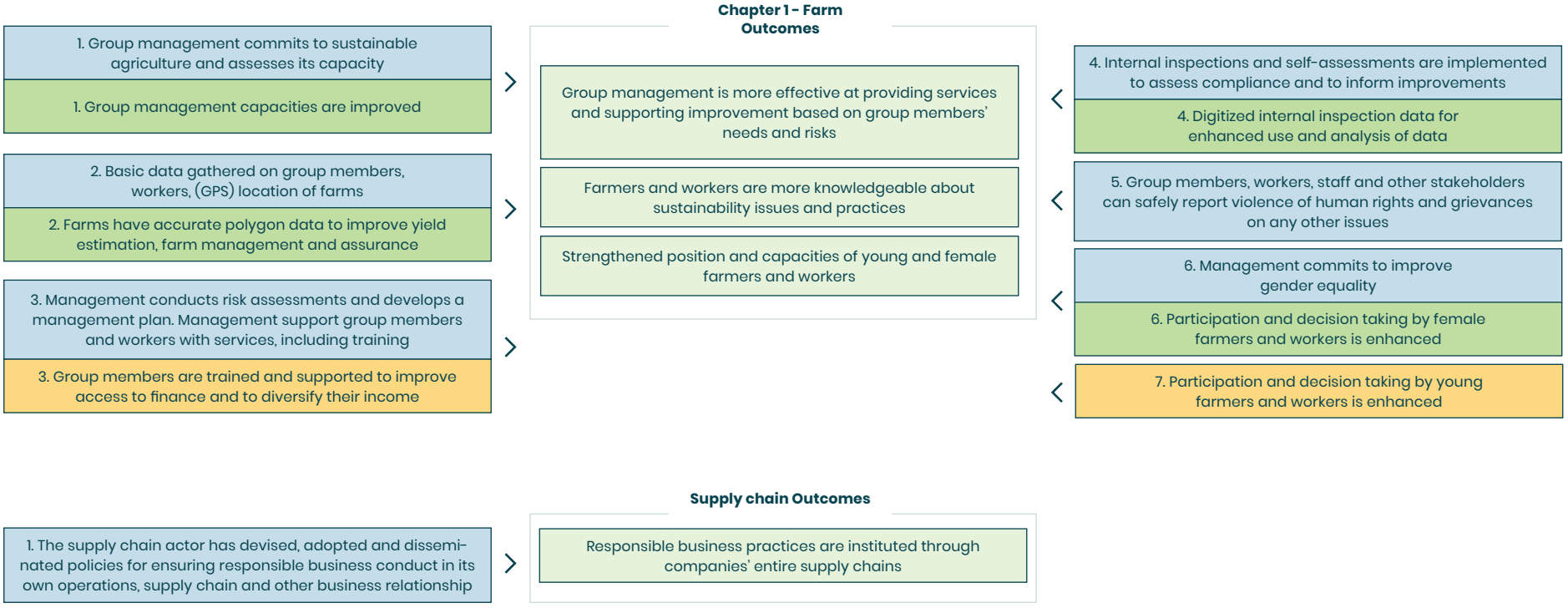
Definitions of underlined terms are explained in Annex S1, Glossary

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
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
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
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
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
5. Group members, workers, staff and other stakeholders can safely report violence of human rights and grievances on any other issues
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 a commitment to sustainable agriculture by dedicating adequate resources and staff to the implementation of the Rainforest Alliance Sustainable Agriculture Standard. Group management assesses at least every three years its management capacity to ensure compliance with the standard and the ability to make sustainability performance changes. Group management uses the Management Capacity Assessment Tool that includes the following topics: • Group organization and management structure • Strategic management • Financial management • Member engagement and membership planning • Member training and services provision • Sales and marketing • Internal Management System (IMS) Group management scores a minimum of one point on each of the seven topics of the Management Capacity Assessment Tool. *Please see Annex S2: Management Capacity Assessment Tool* *Please see 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 Guidance Document B: Template of Management Plan*			✓	

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	Mechanisms are in place to ensure that service providers comply with applicable requirements of the Rainforest Alliance Sustainable Agriculture Standard. This is valid for service providers that work on field, processing and/or labor provision within the physical limits of the farm.		✓	✓	✓
1.2.3	There is a list of current subcontractors, suppliers, and intermediaries of certified product that confirms their compliance to certification rules prior to or at the moment of an activity. For farms, this list of suppliers refers only to other farms they buy from.		✓	✓	✓
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 Annex S13: Group Member Registry* *Please see Guidance Document P: How to use the Group Member Registry*			✓	

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.5	An up to date list of permanent and temporary workers is kept, containing for each worker: • Full name • Gender • Year of birth • Start and end date(s) of employment • Wages For workers for whom housing is provided, the registry additionally contains: • Housing address • Number of family members • Year of birth of family members For children conducting light work (12-14 years) and young workers (15 – 17 years), the registry additionally contains: • Housing address • Name and address of parent(s) or legal guardian(s) • School registration (if applicable) • Type of work or tasks • The number of daily and weekly working hours *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.*	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
1.2.6	An up to date list of permanent and temporary workers is kept, containing for each worker: • Full name • Gender • Year of birth • Wages Illiterate group members can give the above information orally.	✓			
1.2.7	Management ensures that wherever the Rainforest Alliance Sustainable Agriculture Standard requires to inform workers or group members, 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 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 centers/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 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 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.		✓		✓

		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Mandatory Improvement**				
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**	**Applicable to**			
		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. The risk mitigation measures are included in the management plan. *Please see Annex S3: 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		✓		✓

		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Self-Selected Improvement**				
1.3.5	Based on the outcomes of the basic Risk Assessment (1.3.1), management carries out the in-depth climate change Risk Assessment to assess in more detail climate threats and corresponding mitigation measures tailored to the regional context. *Please see Annex S3: Risk Assessment Tool*		✓	✓	✓
1.3.6	Management supports group members 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 attending training on finance and business management (M/F) • # of group members that have access to financial services (M/F)			✓	

1.3.7	Management supports group members:
	• 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 gender 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	Applicable to			
		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.4.1	An internal inspection system is in place to assess compliance of group members (for farms), sites, and/or other actors in scope with the Rainforest Alliance Sustainable Agriculture Standard. The system includes: • Yearly inspection of each group member (for farms), (processing) site and any other actor (including subcontractors, intermediaries, service providers) in the certification scope. Before the first certification audit, all these actors need to be internally inspected. • The scope in the first year of certification is: all applicable requirements of the Rainforest Alliance Sustainable Agriculture Standard • The scope during consecutive years is based on the Risk Assessment (for farms, see 1.3.1), on the previous year's internal inspection and on audit results For farm scope only: a rotation system is in place so that each farm unit is inspected at least every 3 years. In case of remote farm units, this is done at least every 6 years. *Note on applicability: internal inspections are carried out when more than one entity (group members, sites, service providers, subcontractors) are included in the certificate.*			✓	
1.4.2	Management yearly carries out a self-assessment to evaluate its own compliance and that of all actors in its certification scope with the Rainforest Alliance Sustainable Agriculture Standard. For farm certificate holders, the self-assessment includes the results of the internal inspections of the group members and other entities covered in the certificate (including subcontractors, intermediaries, service providers, and processing sites). For multi-site supply chain certificate holders, the self-assessment includes the internal inspections of the sites, including subcontractors.			✓	✓

No.	Core requirements	Applicable to			
		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.4.3	An approval and sanction system is in place in relation to the compliance of group members (for farms) and/or sites 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	The ratio between the number of internal inspectors and farms has to be at least one internal inspector to 250 farms. An internal inspector cannot inspect more than 6 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	Internal inspection data is collected through a device (e.g. phone, tablet, etc.), and used in a digitized format for at least 30% of the group members. **Indicator:** • % of group members whose internal inspection data are collected and used by the group management in a digitized format.			✓	
1.4.6 L2	Internal inspection data is collected through a device (e.g. phone, tablet, etc.), and used in a digitized format for at least 90% of the group members. **Indicator:** • % of group members whose internal inspection data are collected and used by the group management 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 their complaints of being negatively affected by specific business activities and/or operations of any nature, including technical, social, or economic nature. The grievance mechanism may be provided directly through collaboration with other companies, or through an industry program or institutionalized mechanism and is in accordance with the United Nations Guiding Principles (UNGPs) on Business and Human Rights. The grievance mechanism should be accessible, in local languages, and also for those who cannot read or do not have access to internet. The grievance mechanism should include at least the following elements: • A grievance committee with decision making power, with knowledge about the grievances, that is impartial, accessible, and gender sensitive • The grievance committee is formed by at least one member/worker representative • The grievance mechanism has appropriate submission channels, for internal and external stakeholders, including workers, members, staff, buyers, suppliers, indigenous peoples, and communities • Anonymous grievances are accepted and confidentiality is respected • Human and labor rights grievances are remediated in accordance with the Remediation Protocol, and collaboration with the Assess-and-Address Committee and/or the Gender Committee/Person as appropriate, depending on the case • Grievances and agreed follow up actions are documented, and shared with the persons involved within a reasonable timeframe • Submitters of grievances are protected against employment/membership termination, retribution, or threats as a consequence of utilizing the grievance mechanism Assess-and-Address Committee (if applicable): see 5.1.1 Gender Committee/Person: see 1.6.1 *Please see Annex S4: Remediation Protocol* *Please see 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 gender equality by: • A written statement that is communicated to group members/workers • Appointing a committee that is responsible for the implementation, monitoring, and evaluation of measures that promote gender equality and women's empowerment. Management can choose to appoint a responsible person instead of a committee, except in the case of large farms. The responsible committee/person: • Is knowledgeable about gender equality and women's empowerment • In case of a committee, includes at least one woman and at least one person from management • Is known, accessible and trusted by the group members/workers *Pleae see Guidance Document F: Gender Equality*		✓	✓	✓
1.6.2	The responsible committee/person performs the following activities: • Implements gender equality mitigation measures following the basic Risk Assessment and includes these measures in the management plan • 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 discrimination in accordance with the Remediation Protocol Farm scope: Risk Assessment: see 1.3.1 Management plan: see 1.3.2 Supply Chain scope: Management plan: see 1.1.3 *Please see Annex S3: Risk Assessment Tool* *Please see Annex S4: Remediation Protocol*		✓	✓	✓

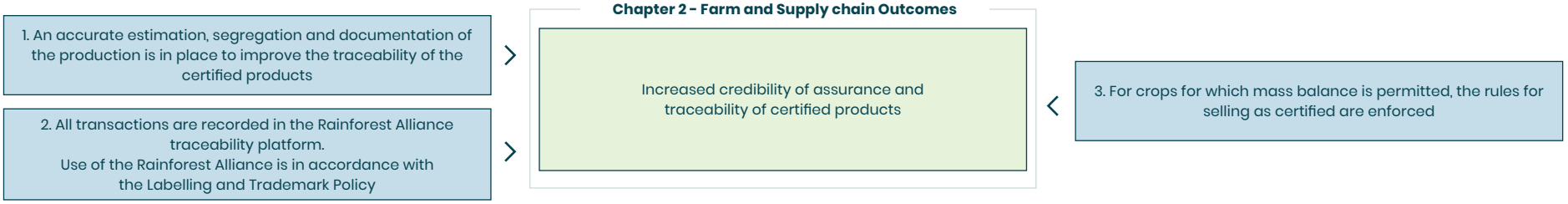
		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Mandatory Smart Meter**				
1.6.3	From year 1 onwards, the responsible committee/person: • Implements the gender in-depth Risk Assessment Tool and repeats this at least every three years • Prioritizes at least three indicators from the gender in-depth Risk Assessment Tool with their respective mitigation measures • Incorporates the prioritized mitigation measures in the management plan • Implements and monitors the mitigation measures • Reports yearly to management on the mitigation measures and the indicators *Please see Annex S3: 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 young persons (< 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 group members 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 use.



2.1 TRACEABILITY					
No.	**Core requirements**	**Group certification**			**Ind. cert.**
		S-farms	**L-farms**	**Group mgt.**	**S/L**
2.1.1	The total certified production and the certified production for each group member (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 farm units. The methodology and calculation are documented. **Indicator:** • Estimated certified production volume (kg or stems) *Please see Guidance Document G: Yield estimation*		✓	✓	✓
2.1.2	Management takes stock annually of: • The total harvested certified 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 to occur. 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	Certified products are visually segregated from non-certified products at all stages, including transport, storage, and processing.			✓	✓

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 certificate scope, including all intermediaries (collection points, transport, processing units, warehouses, etc.) and activities carried out on the product.			✓	✓
2.1.5	Products that are sold as certified can be traced back to the certified farm(s) where these were produced. 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. 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. In case of group certification, the purchase and sale documents include the group member, date, product type, (percentage of) certified volume and, if relevant, traceability level.			✓	✓
2.1.6	Total sales of certified 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 double selling 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 certified under more than one scheme is possible.			✓	✓
2.1.8	Group members keep sales receipts, 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 certified product and reflected accordingly in the traceability platform. *Please see Annex S6: Traceability*		✓	✓	✓
2.1.10	Equipment used to define the weight or volume of the certified 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 certified are recorded in the Rainforest Alliance traceability platform at the latest two weeks after the end of the quarter within which the shipment took place. *Please see Annex S6: Traceability*			✓	✓
2.2.2	Buyers of Rainforest Alliance Certified product have a procedure in place to regularly verify that transactions in the traceability platform match invoices for certified products purchased.		✓	✓	✓
2.2.3	Volumes sold not as Rainforest Alliance Certified and/or lost are removed from the traceability platform within two weeks after the end of the quarter in which the sales took place or volume was lost. *Please see Annex S6: Traceability*			✓	✓
2.2.4	In case of public facing trademark use, an approval is obtained in accordance with the Rainforest Alliance 2020 Labelling and Trademarks Policy for on and off product trademarks prior to use.			✓	✓

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	Volume credits 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.			✓	✓
2.3.3	Volumes sold as certified meet the minimum percentage requirements for origin information. *Please see Annex S6: Traceability*				
2.3.4	Purchase and sales documentation for volumes sold as certified includes origin information to country level for incoming certified and non-certified volumes. *Please see Annex S6: Traceability*			✓	✓
2.3.5	Credit trading is limited to within a certificate, movement from one certificate to another shall be accompanied by physical shipment of relevant product.			✓	✓

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.

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			✓	
3.1.2	The total net income for group member households is assessed against the Living Income Benchmark. The assessment is done by using the Living Income Tool. **Indicator:** • The total net income as assessed against the Living Income Benchmark *Please see Annex S5: Living Income Tool and Methodology* *Please see Guidance Q: How to use the Living Income Tool* *(Please note: the tool is currently available for the Cocoa Sector in Ghana and Ivory Coast)*			✓	

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	Farm management spends the Rainforest Alliance Sustainability Differential for the benefit of workers in the following categories: wages, working conditions, health and safety, housing. Farm management consults with a representation of workers on priorities and the allocation of the Sustainability Differential. Farm management documents at least annually: • 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. • How the Sustainability Differential has been spent according to the approved categories: wages, working conditions, health and safety, housing **Indicators:** • Amount of Rainforest Alliance Sustainability Differential received (total and by volume) • Distribution of the Sustainability Differential as % of the total amount received on the topics: 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 buyer of certified products pays the Sustainability Differential in the form of a monetary payment on top of the market price, quality premiums or other differentials. Sustainability Differential cannot be paid in kind. *Please see Annex S14: Shared Responsibility*			✓	✓
3.2.4	The responsible certificate holders (*see Annex S14 for further detail on applicability*) have clear contractual agreements in place which specify the amount and other terms around Sustainability Differential payment. *Please see Annex S14: Shared Responsibility*			✓	✓
3.2.5	The full amount of the Sustainability Differential is paid at least annually and no later than payment terms defined for the relevant crop. *Please see Annex S14: Shared Responsibility*			✓	✓
3.2.6	Confirmation of Sustainability Differential payment is recorded in the traceability platform no later than 3 months after the actual payment was made. *Please see Annex S14: Shared Responsibility*			✓	✓
3.2.7	The Sustainability Differential paid amounts to at least the prescribed minimum, for crops for which a minimum is defined. *Please see Annex S14: 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 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 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 Sustainability Investment payment (cash and in kind) is recorded in the platform no later than 3 months after the actual payment was made. *Please see Annex S14: Shared Responsibility*			✓	✓

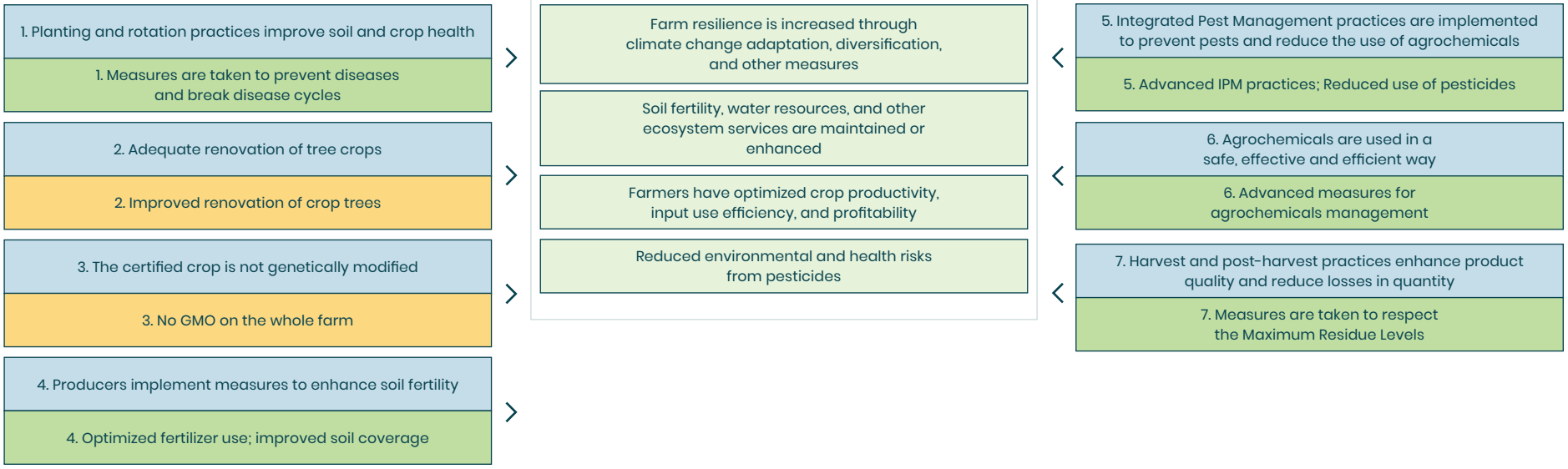
CHAPTER 4: FARMING

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.



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 Guidance Document H: Integrated Pest Management (IPM) Strategy*	✓	✓		✓

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, agro-ecological conditions and applicable pruning guidelines. Group management supports group members to implement this pruning cycle. *Please see 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, and updates this at least once every three years. The soil assessment includes, if relevant: • Erosion prone areas and slope • Soil structure • Soil depth and soil horizons • Densification of compaction areas • Soil moisture and water level in the soil • Drainage conditions • Identification of areas with visual symptoms of nutrient deficiency		✓	✓	✓
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 Guidance Document J: Soil Fertility and Conservation*		✓	✓	✓
4.4.3	Management carries out regular soil tests and/or (visual) leaf tests, including macronutrients and organic matter, for a representative sample of areas. For perennial crops this is done at least once every three years and for annual crops at least once per year.		✓	✓	✓
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.	✓	✓		✓

		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Mandatory Improvement**				
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 inorganic fertilizers. **Indicator:** • 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 Guidance Document H: IPM Strategy*		✓	✓	✓
4.5.2	Producers regularly monitor pests and their principal natural enemies. Records of the monitoring are kept by large farms and by group management for a representative sample of producers. Records include date, location, type of pest and or beneficial insects.	✓	✓	✓	✓
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.	✓	✓	✓	✓

		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Mandatory Improvement**				
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 Annex S7: Pesticides Management*	✓	✓	✓	✓

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 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 Annex S7: Pesticides Management*	✓	✓	✓	✓
4.6.2	If producers use pesticides included on the Risk Mitigation list, all respective risk mitigation practices, as described in Annex S7, 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 Annex S7: Pesticides Management* *Please see: Policy on Exceptional use of FAO/WHO highly hazardous 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 are 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.	✓	✓	✓	✓

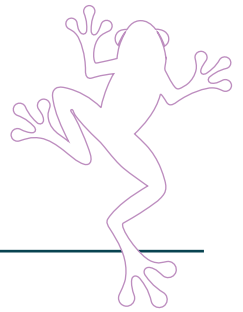
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.6.4	Persons handling pesticides bathe, change and wash clothes after application. Management provides the agrochemical handlers at least a site that provides privacy, water and soap, and, when feasible bathing facilities.	✓	✓	✓	✓
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 S7: Pesticides Management. *Please see Annex S7: Pesticides Management*	✓	✓	✓	✓

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	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 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 emergency 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 pesticide stock inventory is available and maintained. The inventory includes: • Date of purchase • Product brand name and active ingredient, 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 agrochemical 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, well ventilated and dark 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

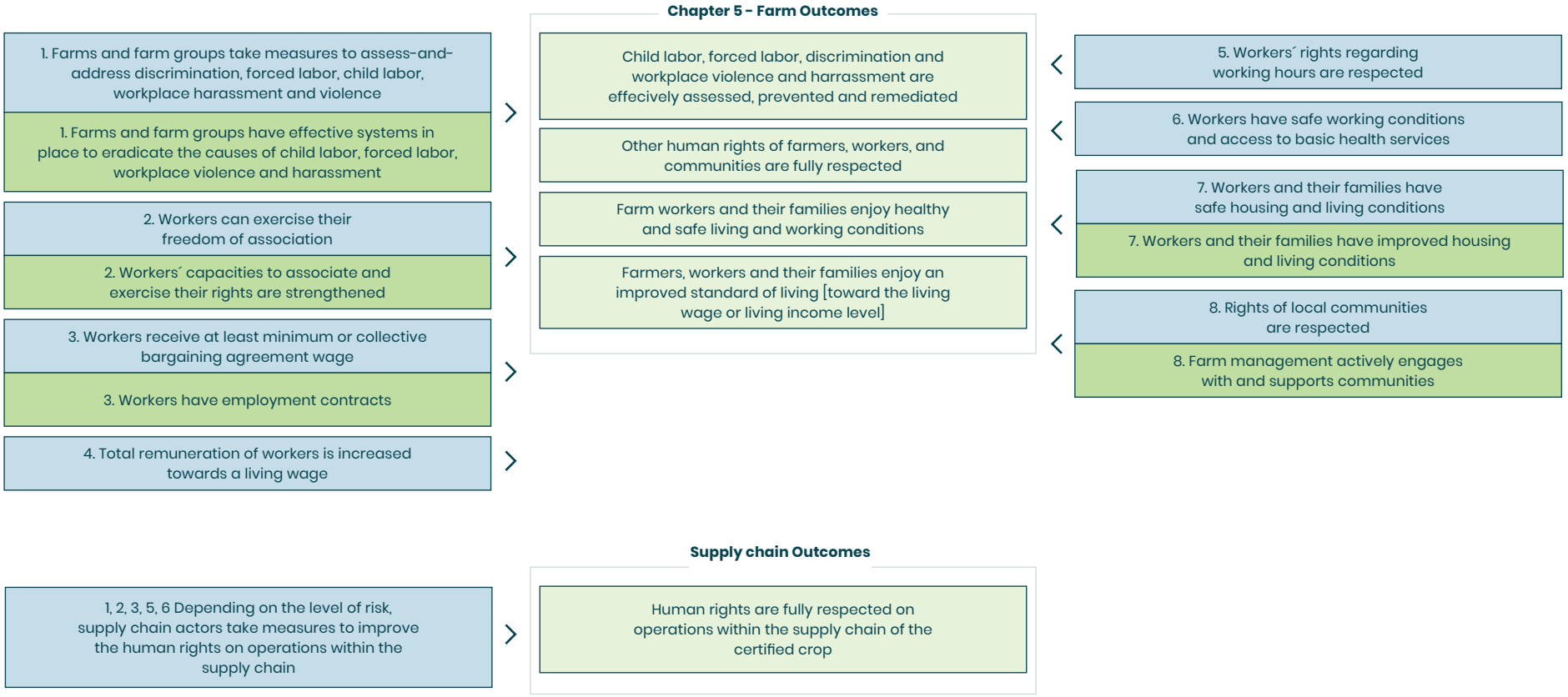


The Farm Requirements' Social chapter seeks to empower producers and workers to realize better working and living conditions for themselves and their families; to promote equality and respect for all with special attention to vulnerable groups such as migrants, children, youth and women; and to strengthen 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 approach is further detailed in 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
2. Workers can exercise their freedom of association
2. Workers´ capacities to associate and exercise their rights are strengthened
3. Workers receive at least minimum or collective bargaining agreement wage
3. Workers have employment contracts
4. Total remuneration of workers is increased towards a living wage
Child labor, forced labor, discrimination and workplace violence and harrassment are effecively 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]
5. Workers´ rights regarding working hours are respected
6. Workers have safe working conditions and access to basic health services
7. Workers and their families have safe housing and living conditions
7. Workers and their families have improved housing and living conditions
8. Rights of local communities are respected
8. Farm management actively engages with and supports communities
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 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 requirements must be implemented for child labor and forced labor when the Rainforest Alliance has determined these issues to be medium/high risks in a particular country or sector.
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:
C. 138, Minimum Age Convention
C. 182, Worst Forms of Child Labor Convention
C. 29, Forced Labor Convention
C. 105, Abolition of Forced Labor Convention
C. 100, Equal Remuneration Convention
C. 111, Discrimination (Employment and Occupation) Convention
C. 190, Violence and Harassment Convention
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 child labor, forced labor, discrimination, and workplace violence and harassment by: • Appointing a management representative who is accountable for the assess-and-address system • For large farms, individually certified farms and supply chain certificate holders: giving a mandate to a committee comprised of the appointed management representative and workers representative(s) to manage the assess-and-address system. The worker representative(s) is/are selected by workers. • For group management: giving a mandate to a committee comprised of the appointed management representative and a group member representative to manage the assess-and-address system. Group management can choose to appoint a management representative only instead of a committee. The committee members are: • Knowledgeable about child labor, forced labor, discrimination and workplace violence and harassment • Impartial, accessible and trusted by workers/group members Communication: • Management representative/committee: coordinates with management, the grievance committee and the gender person/committee • Raises awareness of these four issues with management and (group) staff at least annually • Informs workers/group members 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 Guidance Document L: Assess-and-Address*		✓	✓	✓
5.1.2	Risk mitigation: The management representative/committee includes in the management plan the mitigation measures as identified in the basic Risk Assessment and implements corresponding measures. The basic Risk Assessment is repeated at least every three years. Farm scope: Management plan: see 1.3.2 Risk Assessment: see 1.3.1 Supply Chain scope: Management plan: see 1.1.3 *Please see Annex S3: 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 child labor, forced labor, discrimination, and workplace violence and harassment to the management and to the grievance committee • Monitors remediation 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 grievance mechanism (by gender, age, and type of issue) *Please see Guidance Document R: Assess-and-Address Monitoring Tool*		✓	✓	✓
5.1.4	Remediation: The management representative/committee sets out in the management plan how to remediate cases of child labor, forced labor, discrimination, workplace violence and harassment. Confirmed cases are remediated and documented following the Rainforest Alliance Remediation Protocol. Safety and confidentiality of the victims are 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 gender, age, and type of issue) *Please see Annex S4: Remediation Protocol*		✓	✓	✓

		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Mandatory Improvement** Applicable in case of medium/high risk for child labor and/or forced labor. 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: • Applies the assess-and-address in-depth Risk Assessment • Includes the corresponding mitigation measures in the management plan (1.3.2) • Implements these measures The assess-and-address in-depth Risk Assessment is repeated at least every three years. *Please see Annex S3: Risk Assessment Tool*		✓	✓	✓
5.1.6 L1	Management representative/committee provides training/awareness raising on child labor, forced labor, discrimination, and workplace violence and harassment to all group members (small farms) or workers (of large farms or individually certified farms).		✓	✓	✓
5.1.7 L1	Management actively encourages the school attendance of children of (group) staff, group members, and group member workers.			✓	
No.	**Mandatory Smart Meter** Applicable in case of medium/high risk for child labor and/or forced labor. 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 assess-and-address 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		✓	✓	✓

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 Convention, Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)**	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.2.2	Workers are not subject to discrimination or retaliation for reasons of past or present workers' organization or union membership or 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 Convention, Right to Organise and Collective Bargaining Convention, 1949 (No. 98)**	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.2.3	Management provides workers' representatives 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 worker organization 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 Convention, Workers' Representatives Convention, 1971 (No. 135)**	Applicable in case of average ≥ 5 hired workers	✓	✓	✓

		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Mandatory Improvement**				
5.2.4 L1	All workers, including management, receive once every three years information on freedom of association and the effective recognition of the right to collective bargaining.	Applicable in case of average ≥ 5 hired workers	✓	✓	✓

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 more than three consecutive months have a written employment contract signed by both parties. The worker receives a copy of the contract at the time of signing. Permanent and temporary workers employed for fewer than three months must have at least verbal contracts in place. Verbal instead of written contracts are acceptable only if they create legally binding employment relationships under applicable law. The employer keeps records of verbal contracts that include all terms listed below and inform workers of these terms. Written/verbal contracts include at minimum: • 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 (if any) for contract termination	Applicable in case of average ≥ 5 hired workers	✓	✓	✓

5.3 WAGES AND CONTRACTS					
No.	**Core requirements**	**Group certification**			**Ind. cert.**
		S-farms	**L-farms**	**Group mgt.**	**S/L**
5.3.2	Management does not engage in arrangements or practices designed to eliminate or reduce workers' pay and/or benefits such as employing temporary workers for permanent or ongoing tasks.	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.3.3	Workers receive at least the applicable minimum wage, or the wage negotiated in a Collective Bargaining Agreement (CBA), whichever is higher. For production quota or piece work, 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. In countries where the minimum wage is not adjusted yearly or regulated in a CBA, it is adjusted yearly for inflation based on the national inflation rate.		✓		✓
5.3.4	Workers receive at least the applicable minimum wage, or the wage negotiated in a Collective Bargaining Agreement (CBA), whichever is higher. For production quota or piece work, 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 are permitted only if provided by applicable law or CBA. Voluntary wage deductions such as advance payments, union membership, or loans can only be made with written or verbal consent from the worker. 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 law. In-kind benefits must be in accordance with national law, however, they cannot exceed 30% of the total remuneration.	✓	✓	✓	✓
5.3.6	Workers are paid regularly at scheduled intervals agreed both by the worker and the employer, but must be at least monthly. Records are maintained, per worker, of hours worked (regular and overtime) and/or volume produced (if applicable), calculation of wages and deductions, and wages paid. Workers are provided pay slips with each payment containing this information.		✓	✓	✓
5.3.7	Workers are paid regularly at scheduled intervals agreed both by the worker and the employer, but must be at least monthly. Group members maintain records, per worker, of hours worked (regular and overtime) and/or volume produced, calculation of wages, in-kind benefits and deductions. The record is signed by each worker when he/she receives payment.	Applicable in case of average ≥ 5 hired workers			

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 discrimination e.g. on gender or type of worker, ethnicity, age, color, religion, political opinion, nationality, social origin or others.	✓	✓	✓	✓
5.3.9	If labor providers are used, management has a written contract and documented oversight mechanisms in place ensuring that the labor provider is: • Licensed or certified by the competent national authority, if applicable • Compliant with applicable legal requirements • Not engaged in fraudulent or coercive recruiting practices • Compliant with applicable worker related requirements 5.3 and 5.5 of this standard All recruitment fees are paid by the management, not by workers.		✓	✓	✓
5.3.10	If labor providers are used, name, contact and, if labor provider is officially registered, official registration number of the labor provider is recorded. 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 recruitment fees are paid by the farm, not by workers.	✓			
No.	**Mandatory Improvement**				
5.3.11 L1	Permanent and temporary workers who are employed for more than three consecutive months 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 more than one consecutive month 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.	Applicable in case of average ≥ 5 hired workers	✓	✓	✓

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). The 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 and women (% of LW) *Please see Annex S8: Salary Matrix Tool* *Please see Annex S9: Methodology for Measuring Remuneration and Gaps with a Living Wage* *Please see Annex S10: Living Wage Benchmarks per Country*		✓	✓	✓
5.4.2	If the total remuneration is below the applied benchmark for any type of worker, management, in consultation with workers' representatives, implements a wage improvement plan to progress towards the applicable benchmark, including targets, actions, timeline and responsible persons. At a minimum, wages are adjusted yearly for inflation based on the national inflation rate.		✓	✓	✓
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 and women (% of LW)		✓	✓	✓

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 56 hours per week on average per year. **ILO Convention, Hours of Work (Industry) Convention, 1919 (No. 1)** **ILO Convention, 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 only applicable for farms: 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 tea, coffee, bananas, fresh fruits, flower farms: In exceptional circumstances, where there is a risk of losing harvest due to e.g. overproduction, damage to infrastructure, 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 **ILO Convention, Hours of Work (Industry) Convention, 1919 (No. 1)** **ILO Convention, 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**	Applicable in case of average ≥ 5 hired workers	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.5.3	Pregnant permanent workers are entitled to paid maternity leave in accordance with applicable law. In absence of applicable law, workers receive paid maternity leave of at least 12 weeks, of which at least six weeks being taken after birth. They receive maternity rights and benefits. They can return to their job after maternity leave on the same terms and conditions and without discrimination, loss of seniority or deduction of wages. 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 a space for breastfeeding to nurture the child. This nursing space must be: • Functional for expressing milk (at a minimum, has a chair and a flat surface for pumping equipment, if needed) • Shielded from view • Free from intrusion by the public and co-workers • Available whenever a mother needs to pump or express milk • Not a toilet **ILO Convention, Maternity Protection Convention, 1952 (No. 183)**	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.5.4	Workers' children 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	A competent professional conducts an analysis of the occupational health and safety risks. Corresponding health and safety measures are included in the management plan and implemented, considering at least the following; • Risk analysis • Compliance with regulations • Training of workers • Procedures and equipment to ensure health and safety The number and type of occupational health and safety incidents are recorded (specified for men and women) and include incidents related to agrochemical use. For groups of small farms this is done for their own facilities. **ILO Convention, Occupational Safety and Health Convention, 1981 (No. 155)**		✓	✓	✓
5.6.2	First aid boxes are available to workers for the treatment of work-related injuries, and emergency 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. For an emergency, appropriate measures, 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.	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.6.3	Group members and workers know where to go in case of an emergency.	✓			
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, compliant with drinking water parameters as set by local law or the WHO, based on regular testing at least preceding each Rainforest Alliance certification audit and any time that water contamination risks have occurred or been identified Drinking water sources are protected and water distribution mechanisms are maintained to avoid 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.		✓	✓	✓

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 public 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.		✓	✓	✓

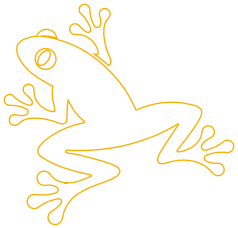
5.7 HOUSING AND LIVING CONDITIONS					
No.	**Core requirements**	**Group certification**			**Ind. cert.**
		S-farms	**L-farms**	**Group mgt.**	**S/L**
5.7.1	Workers and their families that are housed or lodged on-site have safe, clean, and decent living quarters considering local conditions. This includes at least: Location and construction: • Safe construction; build on a non-hazardous location, structure protecting against extreme weather conditions, consisting at least of dry floor, permanent walls and in a good state of repair • Workers/families are informed about emergency evacuation plans • Measures are taken to reduce the effect of extreme climate conditions such as flooding • Fire Safety: collective housing has marked fire exits, firefighting equipment, and instructions for their use • Avoid housing on sites subject to air pollution and surface runoff of wastewater Health and Hygiene: • Availability of enough safe drinking water; at least 20 liters per adult per day and within 1km/30 minutes round-trip • Adequate sanitary and washing facilities: The number of toilets or pit 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. • 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 • Enough lighting (daylight and artificial) • Dry floors; raised from ground level, either of cement, stone, tile, wood, or clay (the latter only if sealed and levelled) • 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. *Continued on next page >*		✓		✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.7.1	Comfort and Decency: • Families of permanent workers with children have separate rooms from workers who are non-family members • Workers' children live together with their parents and are not separated from them • Workers' children living on-site are in a safe place and under the supervision of an adult during working hours • Group accommodations for individual workers have separate rooms and separate facilities for women and men that 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 • Electricity (in-house or nearby) if available in the area **ILO Recommendation, Workers' Housing Recommendation, 1961 (No. 115)** **ILO Code of Practice on Safety and Health in Agriculture, 2010** *Please see Guidance Document K: Housing and Living Conditions*		✓		✓
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 the possibilities of each producer, and include: • Safe accommodation; build on non-hazardous location, structure protecting against extreme weather conditions, consisting at least out of dry floor, permanent walls and a 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)**	✓		✓	

		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Mandatory Improvement**				
5.7.4 L1	On-site living conditions have improved by: • Durable building materials • Ventilated Improved Pit (VIP) latrines or toilets with connections to wastewater disposal systems, or sewage system if this is present • Increased living space for group accommodations • Cooking areas are separate from bedrooms • Bunk beds are not arranged in more than two levels • Natural ventilation that ensures movement of air in all conditions of weather and climate • Workers have covered or comfortable areas according to their customs during meals and break times		✓		✓
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: • Sealed floors • Rooms indicate the maximum allowed number of inhabitants • Frequent inspections are held to ensure that the accommodation is safe and clean, inspection reports are documented • Areas for drying clothes • At least one toilet, one shower, and one laundry sink per 6 persons • Group accommodation has at least one toilet per 6 persons		✓		✓
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 indigenous peoples and local communities. Activities diminishing the land or resource use rights or collective interests of indigenous peoples and local communities, including High Conservation Values (HCVs) 5 or 6, are conducted only after having received free, prior and informed consent (FPIC) following the Rainforest Alliance FPIC annex. *Please see Annex S11: Free, Prior and Informed Consent (FPIC) Processes*		✓		✓
5.8.2	The producer has legal and legitimate right to use the land. Upon request, this right is substantiated by ownership, leasehold, or other legal documents or by documentation of traditional or customary use rights. In the event that indigenous peoples and local communities, current or former local residents, or other stakeholders validly dispute the right to use the land – including in relation to past dispossession, forced abandonment, or illegal action – legitimate right may be demonstrated if a conflict resolution and remediation process has been documented, implemented and accepted by the affected parties, including relevant authorities in the case of past illegal action. If the dispute involves indigenous peoples and local communities, large farms and individually certified farms follow an FPIC process in accordance with the Rainforest Alliance FPIC Annex to attain the required conflict resolution and remediation.	✓	✓	✓	✓
No.	**Mandatory Improvement**				
5.8.3 L1	Management engages with communities 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 communities 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

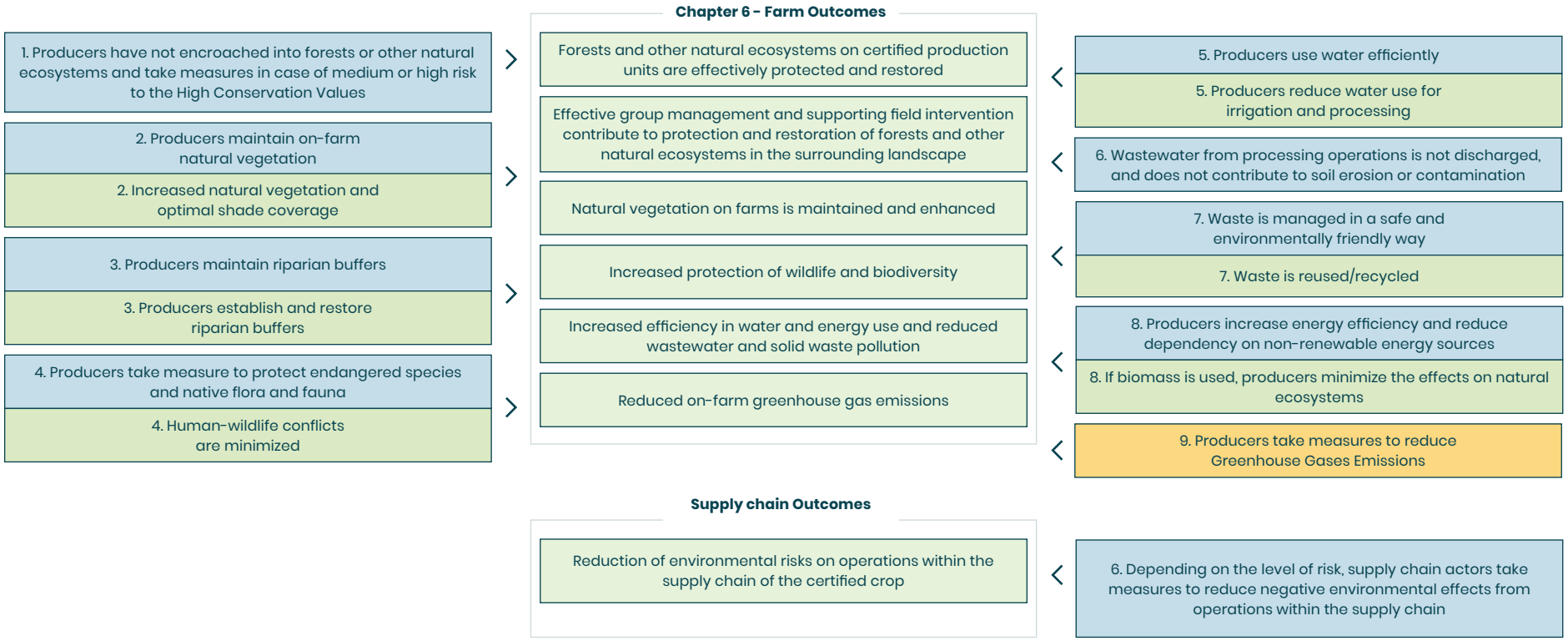


Agriculture can have positive or negative effects on the natural environment, depending on how it is managed. This chapter outlines pathways for certified farms to have a positive impact on the planet, and its forests, biodiversity, water and climate. By complying with the core requirements of the Farm 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 they 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.


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
2. Producers maintain on-farm natural vegetation
2. Increased natural vegetation and optimal shade coverage
3. Producers maintain riparian buffers
3. Producers establish and restore riparian buffers
4. Producers take measure to protect endangered species and native flora and fauna
4. Human-wildlife conflicts are minimized
Chapter 6 - Farm Outcomes
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
5. Producers use water efficiently
5. Producers reduce water use for irrigation and processing
6. Wastewater from processing operations is not discharged, and does not contribute to soil erosion or contamination
7. Waste is managed in a safe and environmentally friendly way
7. Waste is reused/recycled
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
9. Producers take measures to reduce Greenhouse Gases Emissions
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, 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 Annex S12: Additional Details on requirements for no-conversion*	✓	✓		✓
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 Annex S3: 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 Annex S3: 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 Annex S3: Risk Assessment Tool* *Please see 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 for 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 Annex S15: Details on Off-site Conservation of Natural Vegetation*	✓	✓	✓	✓

		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Mandatory Improvement**				
6.2.4 L2	There is 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 required by 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 50 m to 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 10 m 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: • 5 meters horizontal width along both sides of water courses between 1 - 5 meters wide. For farms < 2 ha, the width of the buffer may be reduced to 2 meters at both sides • 8 meters horizontal width along both sides of water courses between 5-10 meters wide, and around springs, wetlands, and other water bodies • 15 meters 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 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 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	Producers comply with the applicable law for the withdrawal of surface or groundwater for agricultural, domestic or processing purposes.	✓	✓	✓	✓
6.5.2	If required, producers have a license or permit (or a pending request) for the withdrawal of surface or groundwater for agricultural, domestic, or processing purposes.	✓	✓	✓	✓
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 final product leaving the farm (L, L/Kg)		✓	✓	✓
No.	**Self-Selected improvements**				
6.5.6	Producers use rainwater harvesting for irrigation and/or input application 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 takes measures to increase energy efficiency and, if feasible, reduce dependency on non-renewable energy sources used for production and processing. The types of energy sources and associated machinery used for production and processing are quantified and documented. For Group Management, this is applicable if groups have energy use for processing *Please see 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 natural ecosystems 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 forests or other natural ecosystems are sought.		✓	✓	✓

6.9 GREENHOUSE GASES REDUCTION					
		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	**Self-Selected Smart Meter**				
6.9.1	Producers document net Greenhouse Gases (GHG) emissions from main sources in production and processing operations. This includes emissions from use of fossil fuels and electricity, fertilizer, waste and wastewater 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 product (tons of CO_2e per unit) *Please see Guidance Document O: GHG Emission Reductions*		✓	✓	✓