

Name scheme: SAN

TERMS OF REFERENCE For the Rainforest Alliance Sustainable Agriculture Standard, July 2018

SUSTAINABLE AGRICULTURE STANDARD For farms' and producer groups' crop and cattle production (Version 1.2), July 2017

MUTUAL RECOGNITION Chain of Custody certification process for companies Guidelines

Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0

Rainforest Alliance Rules for Planning and Conducting Audits Farms and producer groups involved in crop and cattle production April, 2018 Version 1

Rainforest Alliance Certification Rules For Single Farms and Group Administrators July, 2017 Version 1.2

Rainforest Alliance Rules for Auditor Competence April, 2018 Version 1

Requirements and Guidelines for Use of the Rainforest Alliance Trademarks, July 2016

Report: Daemeter (2014), a comparison of leading palm oil certification standards applied in Indonesia, may 2014, Full report

3	Strong
2	Good
1	Medium
0	Weak / non-compliant / non-existent
?	Information missing / not accessible
n.a.	Not applicable / relevant
	Yes or no : This gives <u>no indication</u> of the level of compliance: but indicates whether this element is part of the standard.

Assurance requirements

Scheme requirements

Score

Accreditation

<p>The accreditation or oversight body is independent from the scheme owner. It is responsible for decisions on the accreditation status of a certification body, including application, approval, suspension or termination.</p>	<p><u>Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</u>                  Rainforest Alliance manages the authorization of CBs, monitors and evaluates the compliance of CBs with the established rules, and supports the continuous improvement of the certification program for CBs.  <u>3. CB MANAGEMENT 3.1. General Conditions</u>                  ...[...].d) All CBs shall be ISO 17065 or ISO 17021 accredited for process for a certification scheme accepted by Rainforest Alliance, or from an accreditation body that is a member of the International Accreditation Forum that has signed a multilateral agreement (MLA). All ISO 17065 accreditations must be for process and both ISO 17065 and 17021 accreditations shall be for certification schemes for which the standard scope is agricultural, social, fair trade, or food safety.</p>	<p>1</p>
<p>Accreditation of certification bodies takes place through one of the following approaches:                  * Accreditation by a national accreditation body affiliated to the International Accreditation Forum (IAF) or;                  * Accreditation by a full member of associate member of ISEAL or;                  * Certification bodies accredited by Accreditation Services International (ASI)                  * Accreditation by bodies having a bilateral agreement with the European co-operation for Accreditation (EA)                  or;                  * Certification bodies accredited by American National Standards Institute (ANSI)</p>	<p>* <u>Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</u>                  3. CB MANAGEMENT 3.1. General Conditions                  ...[...].d) All CBs shall be ISO 17065 or ISO 17021 accredited for process for a certification scheme accepted by Rainforest Alliance, or from an accreditation body that is a member of the International Accreditation Forum that has signed a multilateral agreement (MLA). All ISO 17065 accreditations must be for process and both ISO 17065 and 17021 accreditations shall be for certification schemes for which the standard scope is agricultural, social, fair trade, or food safety.</p>	<p>3</p>
<p>The accreditation organization monitors, conducts review and/or surveillance of accredited certification bodies.</p>	<p>* <u>Rainforest Alliance Rules for the Authorization of Certification Bodies</u>                  The CB Assessment System is conducted by Rainforest Alliance in order to monitor and evaluate compliance with the rules, standards and policies established for CBs and auditors.  <u>4.1. General Description</u>                  a) Each CB must undergo at least one assessment of its compliance under the Rules for the Authorization of Certification Bodies every three years as per section 4.4. This full assessment will take place in at least one of a CB's main centers of certification operations or IB office and will include at least one review audit.                  b) The Rainforest Alliance will determine the frequency, types, scopes and intensities of CB assessments and evaluations in interim years. These will depend on the level of CB compliance achieved during the full assessments, and how well compliance is maintained during the periods between evaluations and assessments.</p>	<p>1</p>

Independency of audit

<p>The audits or verifications are carried out by an external third party (not the economic operator). This means that the auditor or verifier is free from conflict of interest, independent of the activity being audited and independent in providing, suspending or withdrawing certificates.</p>	<p>* <u>Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</u>  <u>1.1. CONFLICT OF INTEREST</u>                  The CB must have a written conflict of interest program that:                  a) Ensures that all CB staff, including personnel that make certification decisions, auditors and technical experts contracted for certification processes, shall complete a record stating any potential or existing conflicts of interest including property, financial and family ties with certificate holders or operations. This record shall be updated at least annually or when a potential conflict arises...[...].                  * <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>                  3.1.5 Certification decision committee                  This committee shall be comprised of staff with experience in Rainforest Alliance certification processes, and at least one person involved in the decision process shall be a qualified lead auditor.  <u>8.1 Decision process</u>                  a) CBs shall ensure that all the audited operations comply with all other requirements before issuing a certification decision. T. [...].b) The certification committee that makes the certification decision has the authority to i. Make the final certification decision;...[...].                  * <u>Daemeter (2014) report</u>: SAN relies on accredited third parties to lead the verification and certification process, including determining applicability of each criterion to an individual farm/plantation, undertaking audits, and issuing certificates.</p>	<p>3</p>
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Selection of and requirements to certification bodies

<p>"The certification bodies to undertake audits on behalf of the scheme and the procedure to select or exclude certification bodies shall be described by the scheme owner</p>	<p>* <a href="#">Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</a>  <b>3. CB MANAGEMENT 3.1. General Conditions</b>          [...]..b) All decisions regarding the authorization, suspension, or cancellation of CBs, based on the results of CB Oversight activities, are made according to the Rainforest Alliance certification program Decision Making Framework.          [...]..f) The existence of a signed and valid Authorization Agreement with the scheme owner is required for a CB to maintain authorization.          [...]..h) CB authorization, once granted, is evaluated on a continual basis over time using different evaluation mechanisms.  <b>3.2. Requirements for CB Approval</b>  <b>3.3. CB Approval Procedure</b>  <b>3.4. Publication of Authorized CBs and their scope</b></p>	<p>3</p>
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<p>The scheme owner requires certification bodies to be compliant with ISO/IEC 17065, ISO/IEC 17021, ISO/IEC 17020 or equivalent</p>	<p>* <a href="#">Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</a>          This document describes the rules for CBs to maintain their authorization to carry out Rainforest Alliance certification processes. It includes:          1) Approval mechanisms and CB evaluation. These regulations, requirements and processes are obligatory for all CBs, their respective Inspection Bodies (IBs) that carry out farm, group or Chain of Custody certification, in addition to those requirements described in ISO 17065, ISO 19011, and ISO 17020 for inspection body compliance, unless otherwise noted;          2) Operational requirements that the CBs must meet...[...]..          * <a href="#">Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</a>  <b>3. CB MANAGEMENT 3.1. General Conditions</b>          [...]..d) All CBs shall be ISO 17065 or ISO 17021 accredited for process for a certification scheme accepted by Rainforest Alliance, or from an accreditation body that is a member of the International Accreditation Forum that has signed a multilateral agreement (MLA). All ISO 17065 accreditations must be for process and both ISO 17065 and 17021 accreditations shall be for certification schemes for which the standard scope is agricultural, social, fair trade, or food safety.          e) CBs shall maintain ISO 17065 or 17021 accreditation as described above. Failure to maintain accreditation, or lapse of accreditation, will result in the immediate suspension and cancellation of authorization...[...].</p>	<p>3</p>
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<p>There are quality requirements (competences) for auditors documented by the scheme.</p>	<p>* <a href="#">Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</a>  <b>6.6. Quality Management System</b>          a) CBs shall document and implement a quality management system that meets the requirements put forth in ISO 17065...[...]. and the performance and competency of the personnel and consultants involved, with respect to all Rainforest Alliance assurance system requirements.          * <a href="#">Rainforest Alliance Rules for Planning and Conducting Audits</a>  <b>3. PARTICIPANTS IN THE AUDIT PROCESS 3.1 CB participants</b>          a) The CB shall be comprised by a team of experts for specific areas to complete the certification process and comply with these Rules in accordance with each team member's role. An individual can play the role of different participants.  <b>3.1.3 Auditor team</b>          Consisting of qualified and registered auditors, one of whom acts as lead auditor, and any additional technical experts as needed. All must comply with the Rules for Auditor Competence for their respective positions and responsibilities.          * <a href="#">Rainforest Alliance Rules for Auditor Competence</a>  <b>GENERIC AUDITOR SKILLS, COMPETENCE AND KNOWLEDGE</b>  <b>AUDITOR TECHNICAL AND PERFORMANCE REQUIREMENTS</b>          4.1. Auditor Pre-Requisites          4.2. Types of members of the audit team          4.3. Technical Competence Auditor Requirements          4.4 Active Permanence within the System  <b>REQUIREMENTS FOR ENSURING AUDITOR PERFORMANCE QUALITY</b>          5.1. General Terms and Conditions          5.2. Responsibilities of the Certification Body</p>	<p>3</p>
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**Standard requirements and compliance levels of standard**

<p>The certification standards of the voluntary scheme are revised at least every five years.</p>	<p><a href="#">Website</a>: DEVELOPING AND UPDATING THE SUSTAINABLE AGRICULTURE STANDARD          The Rainforest Alliance Sustainable Agriculture Standard is developed through a long and detailed process that involves many different stakeholders. It is updated every five years at minimum, following several rounds of public consultations to solicit the input of farmers, worker organizations, retailers, NGOs, academic bodies, auditors, unions, governments, and consumers.</p>	<p>3</p>
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<p>The certification standard clearly distinguishes mandatory requirements from recommendations and guidance.</p>	<p>* <a href="#">Rainforest Alliance Sustainable Agriculture Standard</a>  <b>Standard Performance Criteria and Rules</b>          The Rainforest Alliance Standard Performance Criteria include two categories – each with a separate set of rules: 1) Critical Criteria; and 2) Continuous Improvement Criteria.  <b>Critical Criteria Compliance Rules</b>          This Standard contains 37 Critical Criteria, out of 119 criteria total for crop farms. Farms and Group Administrators are required to comply with all Critical Criteria as a pre-requisite to certification, and are required to remain in conformance with Critical Criteria to maintain their certification...[...]. All criteria are identified by a numbering sequence of principle and criteria (e.g., Criterion 1.2 is the second criterion pertaining to Principle 1). Critical Criteria are elaborated in a two- column structure: the left column indicates the criterion number and the right column contains the criterion itself.  <b>List of Critical Criteria</b>          The following list contains all 45 Critical Criteria (37 for agriculture farms 2 2 for group administrators 2 6 for cattle farms) of the Rainforest Alliance 2017 Sustainable Agriculture Standard:  <b>Continuous Improvement System</b>          In addition to these fourteen continuous improvement areas for sustainable farms there is one continuous improvement area related to effective group management (Group Administrator Management for Member Support: only group administrator certification scope) and one continuous improvement area related to sustainable cattle production (only cattle certification scope).          * <a href="#">Daemeter (2014)</a> ISCC and SAN do not use the same structure of indicators and guidance. Rather, their principles are broken down into more numerous criteria with detailed explanations and guidance provided in paragraphs linked to each criterion. SAN also provides a separate interpretive guide for criteria deemed to merit further explanation.</p>	<p>3</p>
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<p><b>Requirements for compliance to achieve certification</b> The sustainability criteria need to be fully complied with (100%) over a defined timeline. A certain flexibility is possible for economic operators with small scale, low intensity and/or low risk.</p>	<p><b>* TERMS OF REFERENCE For the Rainforest Alliance Sustainable Agriculture Standard</b> The new standard will define clear objectives and focus on measuring outcomes, in addition to prescribing practices. ...[...]. <b>Core criteria</b> There will be a list of core criteria that are seen as requirements to become certified, and that will essentially be similar to the critical or mandatory criteria of the current Rainforest Alliance and UTZ standards. The Rainforest Alliance intends to restrict the number of core requirements, in particular for smallholders, e.g. by having less documentation requirements, so that more focus can go to the implementation of the standard instead of on documenting...[...]. <b>Improvement criteria</b> For a selected number of key sustainability issues, the standard will include improvement criteria. Indicators will be developed to assess the performance (level of improvement) on these issues. The new standard will allow for the possibility to include improvement targets; either at regional/global level, or demonstrating improvement compared to the previous audit. The principle of continuous improvement can be expanded, moving away from the 4 or 6 year paths and allowing for a longer stretch depending on the local context...[...]. <b>Differentiation smallholders / estates</b> The new standard may enable certain differentiation between smallholders and plantations in regards to some core criteria and/or improvement criteria based on the inherent characteristics and feasibility of adopting certain practices...[...]. <b>* Rainforest Alliance Certification Rules For Single Farms and Group Administrators</b> <b>7.3 Rainforest Alliance Standard Performance Criteria and Rules for group administrators</b> ...[...]. c) Only in the case of group administrators with smallholder members, a maximum of 20% of the audited sample may fail on the Rainforest Alliance Standard Performance Criteria and Rules for Level C or Level B continuous improvement criteria Year 0: 50% compliance of level C Year 6: 100% compliance level C, 100% compliance level B, 50% compliance level A. <b>* Daemeter (2014):</b> Under SAN and ISCC, only a subset of specified criteria must be met for certification. SAN requires compliance with 50% of criteria within each principle, and 80% of total applicable criteria, except for 'critical' criteria, which must be fulfilled...[...].</p>	2
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<p>The scheme has a progressive entry level (this means 100% compliance with the criteria is not required from the start but should be reached over time)</p>	<p><b>* TERMS OF REFERENCE For the Rainforest Alliance Sustainable Agriculture Standard</b> <b>Improvement criteria</b> For a selected number of key sustainability issues, the standard will include improvement criteria. Indicators will be developed to assess the performance (level of improvement) on these issues. The new standard will allow for the possibility to include improvement targets; either at regional/global level, or demonstrating improvement compared to the previous audit. The principle of continuous improvement can be expanded, moving away from the 4 or 6 year paths and allowing for a longer stretch depending on the local context...[...]. <b>* SUSTAINABLE AGRICULTURE STANDARD For farms' and producer groups' crop and cattle production (Version 1.2)</b> <b>Compliance Rules for Continuous Improvement Criteria</b> To support farms in achieving continuous improvement, the SAN Continuous Improvement System includes a compliance mechanism of minimum percentages in three steps and an improvement action mechanism where auditors identify any gaps in sustainability performance as a non-conformity and producers know how to remedy these gaps explained in the improvement action. Year 0 requires 50% performance level of level C (there are also levels B and A as highest level).</p>	YES
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<p>In case of a progressive entry level, the scheme owner has set <b>clear requirements on how to increase the percentage of compliance</b> over time.</p>	<p><b>* Rainforest Alliance Sustainable Agriculture Standard</b> The Rainforest Alliance 2017 Sustainable Agriculture Standard defines minimum performance thresholds for each performance Level C, B or A, corresponding to its year in the performance system. Year 0: 50% compliance of level C Year 6: 100% compliance level C, 100% compliance level B, 50% compliance level A.</p>	3
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**Scope of certification at farm producer level**

<p>External audits take place on a producer unit level (farm level). The audit scope is the full production unit. The producer level is the first point of certification in the chain of custody.</p>	<p><b>* TERMS OF REFERENCE For the Rainforest Alliance Sustainable Agriculture Standard</b> The scope of the standard is on the whole farm, that is, the requirements of the standard, as a principle, apply to the whole farm, and not just to the certified crop. Crop type specific agronomic practices for non-certified crops may be excluded from the audit scope of the farm. Also, not necessarily all crops or products derived from a certified farm can be sold as certified. <b>* SUSTAINABLE AGRICULTURE STANDARD For farms' and producer groups' crop and cattle production (Version 1.2)</b> The audit scope for farms (including farms certified under a group administrator certificate) covers the whole geographic area within the farms' boundaries and all natural, human and economic resources, infrastructure, and pertinent administrative and management information, including: • Areas used for crop or cattle production, fallow land, and natural ecosystems; • Farm infrastructure and other areas of human activity, such as roads, administrative infrastructure, collection points, processing and packing units, storage facilities, and worker housing; • All workers as well as members of their families who live on the farm temporarily or permanently; • Documentation relating to social, agronomic and environmental management. ...[...]. In addition to its primary focus on the production areas, activities, infrastructure, and persons on the subject farms, the certificate scope also addresses certain activities and potential impacts occurring outside of the farm boundaries, such as relations with local communities, interaction with nearby protected areas, and certain off-farm activities of farms' service providers. <b>* Daemeter (2014)</b> The Sustainable Agriculture Network (SAN), in collaboration with the Rainforest Alliance, developed a standard for certifying farms (including plantations), and any on-site facilities associated with the farm, including its infrastructure, processing and packaging areas, conservation and housing areas, and workers affected by production activities. Off-site processing facilities must be covered by the Rainforest Alliance's traceability system.</p>	3
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<p>Partial certification of the farm area is not possible. Producers are required to certify their whole unit of certification, which shall include owned land, leased and rented land.</p>	<p><b>* TERMS OF REFERENCE For the Rainforest Alliance Sustainable Agriculture Standard</b> The scope of the standard is on the whole farm, that is, the requirements of the standard, as a principle, apply to the whole farm, and not just to the certified crop. Crop type specific agronomic practices for non-certified crops may be excluded from the audit scope of the farm. Also, not necessarily all crops or products derived from a certified farm can be sold as certified. <b>* Rainforest Alliance Certification Rules For Single Farms and Group Administrators</b> <b>4. Audit Scope</b> ...[...]. c) Leased portions of land inside certified farms shall comply, at least, with Rainforest Alliance zero-tolerance critical criteria. d) Organizations leasing land and seeking Rainforest Alliance certification shall be able to implement changes that allow them to comply with the 2017 Standard and its Performance Criteria and Rules (Sections 7.1 and 7.2 or 7.3), when they are located inside a non-certified farm. e) Providers of services carrying out activities subject to the 2017 Standard5 on behalf of the audited organization. <b>8. Modifying the scope of the certificate</b> a) The certified organization may request to change the certificate scope at any time in order to increase or reduce the production area, or increase or reduce the number or composition of member farms. ...[...]. e) Modifications to the scope of the certificate will not change the expiration date of the certificate or the organization's year and compliance level with respect to the Rainforest Alliance Standard Performance Criteria and Rules (Section 7.1 and 7.2 or 7.3). <b>* Daemeter (2014)</b> ...[...]., SAN does not make explicit statements about or prohibitions of partial certification</p>	0
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<p>Organisations are required to certify all (eligible) units under their control in accordance with a time-bound plan. This means that all subsidiaries of a parent company required to become certified (in time) against the P&amp;C requirements.</p>	<p><b>* Rainforest Alliance Sustainable Agriculture Standard</b>  Definition Farm: Rainforest Alliance farm audits encompass all agriculture and cattle production activities carried out in this defined area. A farm may be composed of several neighboring or geographically separate units of land within one country, provided that they are under a common management body.  Farm management: Farm Management refers to the representative of the Farm Manager or Administrator that can implement all criteria that require a high level of technical knowledge and planning skill. Compliance with criteria is assured by the Farm Management or its technical representative and applies both to single certificate farms or multi-sites under one owner.  * TERMS OF REFERENCE For the Rainforest Alliance Sustainable Agriculture Standard  The scope of the standard is on the whole farm, that is, the requirements of the standard, as a principle, apply to the whole farm, and not just to the certified crop. Crop type specific agronomic practices for non-certified crops may be excluded from the audit scope of the farm. Also, not necessarily all crops or products derived from a certified farm can be sold as certified.  * <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>6.5 Document Review</u>  a) The audit teams shall review and evaluate all documents related to the criteria of the applicable 2017 Standard for the indicated audit scopes. In addition, the audit teams shall verify that the following supplied by the operation is accurate or, if not, they shall obtain the correct information: i. The information provided by the operations in the application form; ii. The information provided in the group member list to crosscheck with the group administrator and verify the status for all members; iii. Total farm area, the production area of cattle or crops that are to be sold as certified, as well as other crops, and the area designated for conservation; iv. Total production of the crop in the certification scope: last harvest and to date in the current harvest, or during the last year for those crops with continuous production and harvest (bananas, for example);  * <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  <u>4. Audit Scope</u>  ...[...]... c) Leased portions of land inside certified farms shall comply, at least, with Rainforest Alliance zero-tolerance critical criteria.  d) Organizations leasing land and seeking Rainforest Alliance certification shall be able to implement changes that allow them to comply with the 2017 Standard and its Performance Criteria and Rules (Sections 7.1 and 7.2 or 7.3), when they are located inside a non-certified farm.  e) Providers of services carrying out activities subject to the 2017 Standard5 on behalf of the audited organization.  <u>8. Modifying the scope of the certificate</u>  a) The certified organization may request to change the certificate scope at any time in order to increase or reduce the production area, or increase or reduce the number or composition of member farms.  ...[...]... e) Modifications to the scope of the certificate will not change the expiration date of the certificate or the organization's year and compliance level with respect to the Rainforest Alliance Standard Performance Criteria and Rules (Section 7.1 and 7.2 or 7.3).  * <u>Daemeter (2014)</u> ...[...]... SAN does not make explicit statements about or prohibitions of partial certification</p>	0
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<p>Outsourcing of activities: The activities of third parties as outsourced activities fall in the scope of certification, and they shall fully comply with the relevant requirements of the standard.</p>	<p><b>* Rainforest Alliance Certification Rules For Single Farms and Group Administrators</b>  <u>4. Audit Scope</u>  ...[...]... e) Providers of services carrying out activities subject to the 2017 Standard on behalf of the audited organization.  4.1 Single farms  In this model, one certificate is granted to one single farm.  a) The whole area and activities within the farm's limits are covered by the audit scope. This includes, but is not limited to:  ...[...]... v. Farm personnel, including all contracted and subcontracted workers, supervisory and administrative staff, and management and owner representatives.</p>	3
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Complaints mechanism

<p>Certification bodies have formal and transparent, publicly available procedures in place for handling disputes and complaints related to certification and surveillance.</p>	<p><b>* Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</b>  4.3. Scope of CB compliance evaluation  The scope of CB compliance evaluation consists of, but is not restricted to, three broad compliance areas and their related Rules:...[...]...  Verify the existence and functioning of required management system components, as well as operational requirements, such as:  ...[...]... vi. Complaint and appeals management processes.  <u>12. COMPLAINT PROCEDURES</u>  a) All CBs shall have documented complaint submission and management procedures in compliance with section 7.13 of ISO 17065. These procedures shall be available to the public on CBs' websites and also accessible to workers and other stakeholders...[...]...  <u>13. APPEALS PROCEDURES</u>  a) The procedures of a CB related to appeals shall be documented, available to the public on its website and provided to operation organizations...[...]...  * <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>8.3 Appeals</u>  Audited operations can appeal the certification decisions of CBs according to the Rainforest Alliance Certification Rules, and the procedures established by CBs. CBs must adhere to the following requirements and timeframe in their appeals procedures...[...]...  * <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  <u>11. Appeals</u>  a) Organizations are permitted only once during the 36-month validity of the certificate to appeal a certification decision of a CB within five business days with the exception of decisions resulting from verification audits...[...]...</p>	3
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<p>The scheme owner has formal and transparent, publicly available procedures in place for handling disputes and complaints related to conflicts resulting from the relationship between a certification body and the organization or entity to be certified.</p>	<p><b>Website: CONTACTING RAINFOREST ALLIANCE</b>  If you have already contacted the appropriate certification body about certification services, decisions, or auditors but have not gotten a response or are dissatisfied with the response you received, please email the Rainforest Alliance directly at sas@ra.org. You can also contact us if:  - You have questions about how certification bodies are authorized and/or supervised  - You work for a certified farm, and your problems or questions about working conditions have not been satisfactorily addressed by your employer, worker representatives, and the certification body that audited the farm  - You have already contacted a certification body with your concerns about a particular certified farm's or farm group's compliance with any aspect of the standard and certification requirements, and you feel that your concerns were not satisfactorily addressed  Please provide us with the following information: a clear description of the issue; the names of the pertinent certification body, auditors, and/or certified farms or groups; the location of the farm and the crops produced, if applicable; and all supporting evidence, including documents, photographs, videos, and links to webpages. We also ask that you send us your contact information so that we can inform you of the results of our inquiry into the matter. Your name and contact information will be kept strictly confidential.  <u>Website:</u> No standard documentation available, information is available from the website:  <a href="https://www.rainforest-alliance.org/business/solutions/certification/agriculture/governance/inquiries-complaints/">https://www.rainforest-alliance.org/business/solutions/certification/agriculture/governance/inquiries-complaints/</a></p>	0
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<p>There is a documented assessment methodology for certification bodies on how to assess compliance with the standards of the voluntary scheme</p>	<p>* <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>1. OBJECTIVES</u>                  The principal objectives of this document are: 1. Produce consistent and accurate portrayals of farm and group compliance with the 2017 Standard by using established standardized audit procedures and practices. 2. Obtain accurate information about certified farms and groups based on clear instructions for information gathering and verification. 3. Ensure the timely and cost-effective implementation of certification processes.  <u>2. SCOPE AND IMPLEMENTATION</u>                  The processes described in this document shall be carried out by all currently authorized CBs for all farm, producer group and cattle production audit processes using the 2017 Standard. CBs and their inspection bodies (IBs) shall meet the requirements and regulations in this document as well as the ISO 19011 requirements and guidelines, Guidelines for Auditing Management Systems, particularly sections 4, 5 and 6.  <u>5. AUDIT PREPARATION</u>                  The sections below describe the audit preparation process that CBs shall follow.                  5.1 Certification process timeline rules                  5.2 Application receipt and review                  a) The start of a new certification process begins when an operation contacts a CB and requests information...[...].                  5.3 Audit plan development                  a) Within the Certification Database, CBs shall generate the official Rainforest Alliance format for the audit plan to be submitted to the operation...[...].  <u>7. AUDIT REPORT AND REVIEW</u>                  7.1 Reporting timelines...[...].</p>	<p>3</p>
<p>As a general rule, a voluntary scheme should ensure that economic operators are audited before allowing them to participate in the scheme. Producer members (if applicable) should commit to the standard's P&amp;C</p>	<p>* <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>4. TYPES OF AUDITS</u>                  The 2017 Certification Rules establishes five types of audits for evaluating operation compliance with the 2017 Standard...[...].                  4.1 <u>Certification audit</u> A certification audit is carried out when the organization applies for Rainforest Alliance certification for the first time, and then every three years...[...].                  5.2 <u>Application receipt and review</u>                  a) The start of a new certification process begins when an operation contacts a CB and requests information...[...].                  8.4 <u>Issuing the Certificate</u>                  a) CBs shall issue certificates only after operations have successfully passed certification audits, or have successfully passed verification audits after failing certification audits. CBs shall also reissue certificates for:                  i. Operations that have undergone scope expansion audits that necessitate changes in the certificate;                  ii. Operations that have changed their legal or commercial name; or                  iii. Operations that have transferred to the CB, but only after the next programmed audit and a positive certification decision.                  b) In these cases, the certification decision date and certificate expiry date will not change...[...].</p>	<p>3</p>
<p>Certification bodies are required to conduct annual or more frequent surveillance audits of certificate holders.</p>	<p>* <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>4. TYPES OF AUDITS</u>                  The 2017 Certification Rules establishes five types of audits for evaluating operation compliance with the 2017 Standard...[...].                  4.1 <u>Certification audit</u> A certification audit is carried out when the organization applies for Rainforest Alliance certification for the first time, and then every three years...[...].                  4.2 <u>Verification audit</u>                  The CB shall conduct a verification audit when the organization does not meet the performance criteria and certification rules of the 2017 Standard at the level to which it is applying...[...], corresponding to its year in the Rainforest Alliance certification system for the 2017 Standard...[...].                  4.3 <u>Surveillance audit</u>                  a) The CB must conduct two surveillance audits every three years, after a certification audit or a previous surveillance audit...[...].                  4.4 <u>Investigation audit</u> a) If the complaint only pertains to the performance of the group administrator regarding the group standard, the Investigation audit shall apply only to it...[...].                  4.5 <u>Scope expansion audit</u> This audit applies when an organization decides to increase the number of member farms or the certified area as per the 2017 Certification Rules. The CB shall create a new Engagement process with the corresponding checklist...[...].</p>	<p>3</p>
<p>The audit is based in part on a risk assessment of the client. Certification bodies are required to adjust the intensity of auditing and surveillance to match observations in the field.</p>	<p>* <u>Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</u>  <u>8.1 Risk Assessment for Critical Criteria</u>                  a) CBs shall perform a Risk Assessment in which they assess compliance risks for all 2017 Standard critical criteria for each of the geographic scopes in which they audit and certify farms and groups and the crops they will certify within these scopes                  b) CBs will describe these risks, their contexts, and the measures to audit and interpret related criteria.                  c) The Rainforest Alliance may request a copy of the Risk Assessment at any time.                  4.2 <u>Verification audit</u>                  The CB shall conduct a verification audit when the organization does not meet the performance criteria and certification rules of the 2017 Standard at the level to which it is applying...[...], corresponding to its year in the Rainforest Alliance certification system for the 2017 Standard...[...].                  5.3.1 <u>Factors to consider in an Audit plan</u>                  a) To prepare the audit plan, the CB considers the technical review and the following factors to be evaluated and recorded, including but not limited to: i. Geographic location of the operation – region and country, proximity to protected areas; ii. Size of the operation; iii. Type of operation, crops and production systems;...[...].                  xiii. Compliance risks according to the risk assessment for the geographic scope or any risks specified in standards and interpretation policies; and                  6.2 <u>Preliminary Investigations</u>                  CBs can carry out preliminary investigations on specific issues before starting the on-site audit. The need to carry out these investigations is based specifically on the 2017 Standard interpretation policies, auditing techniques or evidence gathering dictated by the risk assessments or the nature of a complaint or incident, if these are considered to be an issue for the audited operation.</p>	<p>3</p>

<p>The scheme owner requires economic operators (and/or its members) to allow unannounced audits. Certification bodies conduct unannounced audits</p>	<p>* <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>4.3 Surveillance audit</u>  a) The CB must conduct two surveillance audits every three years, after a certification audit or a previous surveillance audit...[...].  d) The CB must assign 10% of all programmed surveillance audits to be short-notice or unannounced for quality assurance purposes. The CB may inform the certified organization about these audits no more than two business days in advance, with the exception of group administrators of smallholder members, for which up to five business days in advance apply.  * <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  <u>Investigation audit</u>  Investigation audits are carried out in response to a complaint, reported incident, or substantial information regarding the performance of a certified organization relating to one or more critical criteria of the 2017 Standard...[...]. Investigation audits are unannounced. However, the certified organization may be given advanced warning (no more than two working days), when doing so can avoid significant logistical obstacles and the issue at hand cannot be influenced by an advanced warning.  * <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  3. Obligations  k) Allow and cooperate with unannounced surveillance audits and investigation audits carried out by the CB, by the Rainforest Alliance or any organization acting on their behalf.</p>	<p>3</p>
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<p>Certificates are valid for no more than five years after which a new full certification audit is required.</p>	<p>* <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>4. TYPES OF AUDITS</u>  The 2017 Certification Rules establishes five types of audits for evaluating operation compliance with the 2017 Standard...[...].  4.1 Certification audit A certification audit is carried out when the organization applies for Rainforest Alliance certification for the first time, and then every three years...[...].  a) The CB shall complete the next certification audit process before the certificate expires.  b) If the CB does not have a new certification audit process activated when the certificate expires, the certificate will be cancelled automatically in the Certification Database.  <u>8.4 Issuing the Certificate</u>  ...[...]. c) All certificates have a validity of 36 months from the date of the certification decision. When operations undergo verification audits after their first certification audit, the certification decision date corresponds to the decision date for the verification audit...[...].</p>	<p>3</p>
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**Stakeholder consultation**

<p>Certification bodies are required to proactively consult with affected stakeholders during both certification and surveillance audits.</p>	<p>* <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>5.5 Interview Planning</u>  The objective of the interviews shall always be to obtain information in the most objective and open way possible.  a) CBs shall determine the total number of interviews and their distribution among the operation's workforce and administration in order to be able to calculate time and costs for the audit plans...[...]. b) The CBs shall calculate the number of interviews for certification audits according to the number of permanent, temporary and subcontracted workers  <u>6.7 Interviews</u>  a) Specific workers or work crews can be chosen by the audit team during the opening meeting. The audit team can choose the workers to interview directly from the payrolls, work rolls or assignment lists, lists from training events or other similar lists or records...[...].  b) Under special circumstances, it may be necessary to interview workers or community members off-site during audits, preliminary investigations, or as part of investigation audits. This is particularly true for interviewing union members and representatives or members of local communities. ...[...].</p>	<p>0</p>
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**Non-conformities and sanctions**

<p>The scheme owner has a procedure in place which describes how certification bodies are required to address non-conformities, including when a certificate or license is suspended or revoked. The scheme should describe what the implications are for any non-conformities identified during the audit.</p>	<p>* <u>SUSTAINABLE AGRICULTURE STANDARD For farms' and producer groups' crop and cattle production (Version 1.2)</u>  <u>Critical Criteria Compliance Rules</u>  This standard contains 37 Critical Criteria, out of 119 criteria total for crop farms. Farms and Group Administrators are required to comply with all Critical Criteria as a pre-requisite to certification, and are required to remain in conformance with Critical Criteria to maintain their certification. Critical Criterion: Specific requirements of the provision, applicable to all crops and countries. Defines the basis for assessing conformance during the audit.  Each Critical Criterion is evaluated as follows: * Conformity: The audited organization meets the criterion's provisions as stated in the right column. * Non-Conformity (NC): The audited organization does not meet or only partially meets the provisions of the criterion as stated in the right column. Not Applicable (N/A): The subject in the criterion is not present within the audit scope.  Also each continuous improvement criterion is evaluated this way.  * <u>Rainforest Alliance Rules for Planning and Conducting Audits</u>  <u>4. TYPES OF AUDITS</u>  ...[...]. 4.2 Verification audit  The CB shall conduct a verification audit when the organization does not meet the performance criteria and certification rules of the 2017 Standard at the level to which it is applying...[...].  * <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  7.2 Rainforest Alliance Standard Performance Criteria and Rules for single farms  In order to pass a certification or surveillance audit, farms shall fully comply with i. All applicable critical criteria; and ii. With the Rainforest Alliance Compliance Rules for Continuous Improvement Criteria corresponding to its year in the Rainforest Alliance performance system, according to the following table.  b) If the minimum compliance percentages of Level C or B criteria for Years 1, 2, 3, 4, 5 or 6 are not achieved, the audited organization shall be subject to a verification audit to proof compliance with these minimum compliance percentages.  c) After having achieved the 100% minimum compliance percentage level for Level C (year 3 onwards) or B criteria (year 6 onwards), a maximum of 10% of non-conformities on Level C or B criteria is allowed on any audit, under the condition that these non-conformities be closed by the next surveillance or certification audit.</p>	<p>3</p>
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<p>Certificate holders are required to rectify non-compliances identified during certification and surveillance audits within a set timeframe that does not exceed one year.</p>	<p><b>* Rainforest Alliance Certification Rules For Single Farms and Group Administrators</b>  <u>Verification audit</u>          If the organization does not comply with the Rainforest Alliance Standard Performance Criteria and Rules (Sections 7.1 and 7.2 or 7.3) for the respective year in the Rainforest Alliance certification system for the 2017 Standard, it shall be subject to a verification audit that shall be concluded with its respective certification decision within 120 calendar days after having received the previous certification decision. ...[...].  <b>7.2 Rainforest Alliance Standard Performance Criteria and Rules for single farms</b>          ...[...]. b) If the minimum compliance percentages of Level C or B criteria for Years 1, 2, 3, 4, 5 or 6 are not achieved, the audited organization shall be subject to a verification audit to proof compliance with these minimum compliance percentages...[...].  <b>10.1 Suspension 10.1.1 Conditions</b>          The CB will suspend the certificate of an organization when the certified organization:...[...]. d) When a surveillance audit is not carried out within the timeframes determined in Section 6.4.b).  <b>10.1.2 Consequences</b>          a) The suspension will last up to a maximum of 120 calendar days...[...].d during the suspension period subject to an inventory verification by the CB. All verification costs shall be covered by the organization.</p>	<p>3</p>
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<p>Severe (major) non-compliances that are not rectified in time lead to suspension or termination of the certificate</p>	<p><b>* Rainforest Alliance Certification Rules For Single Farms and Group Administrators</b>  <b>10.1 Suspension - 10.1.1 Conditions</b>          The CB will suspend the certificate of an organization when the certified organization: a) Does not fulfill one or more of its obligations, as described in Section 3. b) Does not comply with sections 7.2 or 7.3, with the exception of non-conformities with zero-tolerance critical criteria. c) Not fulfilling those clauses of the agreement with the CB that lead to suspension. d) When a surveillance audit is not carried out within the timeframes determined in Section 6.4.b).  <b>10.1.2 Consequences</b>...[...].          The CB will deny or cancel the certificate of an organization in the following cases: a) When the organization does not comply with one or more zero-tolerance critical criteria. b) When the organization did not comply with the verification audit rules of Section 6.3. c) If a suspension is not lifted within 120 calendar days. d) When the organization rejects an unannounced audit for the second time. e) Not fulfilling those clauses of the agreement with the CB leading to cancellation. f) When the certified organization voluntarily requests the cancellation of its certificate. g) When the certification audit of a certified organization was not carried out while the certificate was valid.  <b>10.2.2 Consequences</b>          a) The cancellation is valid starting with the date of the CB's communication about the certificates cancellation to the organization of a certificate and lasts i. One year in the case of non-compliance with zero-tolerance critical criteria; ii. Three years if, in the sole opinion of the Rainforest Alliance or the CB, the organization exerted coercion or made any form of implicit or explicit threats to the moral or physical integrity or the life of any members of the CB auditing team or staff, through the employees of the organization, or people under its influence or orders; iii. Three years if, in the sole opinion of the Rainforest Alliance or the CB, the organization participated in illegal, fraudulent or unethical activities that could discredit the certification program.  <b>12. Reinstatement of the certificate</b>          a) In order to reinstate a certificate that was cancelled, the organization shall submit an application for a certification or surveillance audit.</p>	<p>3</p>
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<p>Adequate sanctions are applied in situations where less severe (minor) non-compliances are not rectified in time.</p>	<p><b>* Rainforest Alliance Certification Rules For Single Farms and Group Administrators</b>  <b>7.2 Rainforest Alliance Standard Performance Criteria and Rules for single farms</b>          ...[...].          b) If the minimum compliance percentages of Level C or B criteria for Years 1, 2, 3, 4, 5 or 6 are not achieved, the audited organization shall be subject to a verification audit to proof compliance with these minimum compliance percentages...[...].  <u>Verification audit</u>          If the organization does not comply with the Rainforest Alliance Standard Performance Criteria and Rules (Sections 7.1 and 7.2 or 7.3) f...[...]., it shall be subject to a verification audit that shall be concluded with its respective certification decision ...[...].The certificate is suspended until Sections 7.1 and 7.2 or 7.3 are complied with. The objectives of a verification audit are: i. To control whether open nonconformities that prevented a positive certification decision were addressed, can be closed, and the certificate may be issued or maintained; and ii. To determine whether the organization has reached the minimum performance level of the Rainforest Alliance Standard Performance Criteria and Rules (Sections 7.1 and 7.2 or 7.3) corresponding to its year in the Rainforest Alliance performance system, and the certificate may be issued or maintained.  <b>10.1 Suspension - 10.1.1 Conditions</b>          The CB will suspend the certificate of an organization when the certified organization: a) Does not fulfill one or more of its obligations, as described in Section 3. b) Does not comply with sections 7.2 or 7.3, with the exception of non-conformities with zero-tolerance critical criteria. c) Not fulfilling those clauses of the agreement with the CB that lead to suspension. d) When a surveillance audit is not carried out within the timeframes determined in Section 6.4.b).</p>	<p>3</p>
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**Group certification / verification**

<p>The scheme allows for group certification or verification</p>	<p><b>* SUSTAINABLE AGRICULTURE STANDARD For farms' and producer groups' crop and cattle production (Version 1.2)</b>          Scope: The audit scope for farms (including farms certified under a group administrator certificate) covers the whole geographic area within the farms' boundaries and all natural, human and economic resources, infrastructure, and pertinent administrative and management information, including...[...]. The audit scope of a group administrator includes: infrastructure owned or administered by the group administrator and other areas of human activity that are directly related to the group administrator's certificate management...[...].</p>	<p>YES</p>
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<p>There is a sample size formula to determine the number of group members that is externally verified. The sample is determined by risk level.</p>	<p><b>* Rainforest Alliance Rules for Planning and Conducting Audits</b>  <b>5.4 Group sample planning</b>          The CB shall ensure that the audit sample selection is reviewed by the lead auditor responsible for conducting the audit and must meet the following requirements: a) The CB shall audit a representative sample of the group administrator's member farms to evaluate the effectiveness of the Internal Management System...[...].          e) The composition of member farms to be audited shall be determined in a manner that is representative of all member farms, using stratified random sampling. The following sampling parameters should be considered:...[...]. i. Farm size and complexity; ii. Differences in production systems and activities; iii. Geographic areas with significant differences in climate, soil conditions or ecosystems;...[...].          f) In case the CB considers it necessary to increase the sample size, it shall not be more than 1.4 times the square root of the total number of farms. It shall justify and document its decision...[...].  <b>Sample size</b>          i. Certification audit: The sample size shall be at least two farms or the square root of the total number of member farms included in the Farm Member List. ii. Surveillance audit: The sample shall be the square root of the member farms included in the Farm Member List, of which 30% should be members evaluated in the previous audit...[...].</p>	<p>3</p>
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<p>As a minimum, it is required that a sample of at least the square root of the number of group members is audited individually annually (in line with the ISEAL standard P035.</p>	<p><b>* Rainforest Alliance Rules for Planning and Conducting Audits</b>  5.4 Group sample planning...[...]f) In case the CB considers it necessary to increase the sample size, it shall not be more than 1.4 times the square root of the total number of farms. It shall justify and document its decision...[...]...  <u>Sample size</u>  i. Certification audit: The sample size shall be at least two farms or the square root of the total number of member farms included in the Farm Member List.  ii. Surveillance audit: The sample shall be the square root of the member farms included in the Farm Member List, of which 30% should be members evaluated in the previous audit.  iii. Verification audit: The verification audit checks whether the audited organization has satisfactorily addressed the non-conformities detected during a previous audit that prevented certification...[...]...2. If during the previous audit non-conformities were only found among the member farms, the size of the sample shall be twice the number of farms that did not meet the certification requirements, up to a maximum equal to the square root of the total number of farms. The farms that did not comply shall be part of the sample...[...]...  iv. Investigation audit 2. If the complaint pertains to the performance of one or more member farms regarding applicable standard documents, the sample shall only consist of the farm(s) included in the complaint. 3. If the CB deems it appropriate, the size of the sample may be expanded up to a maximum equivalent to twice the number of farms included in the complaint.  ...[...]... v. Scope expansion audit 1. The sample size shall be at least two farms or the square root of the number of member farms added to the group, rounded up to the next whole number, whichever is greater.</p>	<p>3</p>
<p>The group is lead and supervised by a legal entity. This entity is managed by a group manager, responsible for ensuring that the group complies with the standard.</p>	<p><b>* SUSTAINABLE AGRICULTURE STANDARD For farms' and producer groups' crop and cattle production (Version 1.2)</b>  Criteria Implementation and Performance Scoring for Farms, Group Administrators and Smallholders...[...]... The responsible organization for implementing the standard is the one that applies for certification and signs the agreement with the certification body...[...]...  b) The group administrator as responsible entity for the compliance of its group members and their member farms that form part of the SAN certificate scope. Within its governance, management and training systems, the group administrator defines the specific responsibilities of the group members in terms of compliance with applicable criteria as defined in the standard section "Group Administrator Management for Member Support". Responsibilities of group members can include: conducting activities on their farms, filling out templates or other documents, assisting to trainings or other events, or complying with other activities or rules established in the agreement between the group administrator and its members.  <u>Group administrator</u>. The entity that signs the certification agreement with the SAN accredited certification body and takes responsibility for the development and implementation of the group's internal management system and all member farms' management systems. The group administrator assures member farms' compliance with the SAN Standard.  * <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  4.2 <u>Group administrators</u>  In this model, one certificate is granted to an organization, called the "Group Administrator", who acts on behalf of a group of farms and is responsible for their compliance with the 2017 Standard. ...[...]... Group administrators fit three basic models:  i. Multi-site, where a single legal entity owns or holds more than one discrete farm or site with separate production management system, but under one IMS of the group administrator;  ii. Groups that have a democratic structure, such as cooperatives, associations and federations; and  iii. <u>Private entities, such as plantations with associated product suppliers, exporters or a consultant's office.</u></p>	<p>2</p>
<p>The group must have an internal quality management system in place, which includes an internal audit system.</p>	<p><b>* SUSTAINABLE AGRICULTURE STANDARD For farms' and producer groups' crop and cattle production (Version 1.2)</b>  <u>The audit scope of a group administrator includes:</u>  • Infrastructure owned or administered by the group administrator and other areas of human activity that are directly related to the group administrator's certificate management, such as roads, administrative infrastructure, collection points, processing and packing units, storage facilities, and worker housing; • Documentation relating to the internal management system of the group members.  Criteria 1.14 The group administrator evaluates members' conformance with this SAN standard through internal inspections. The group administrator inspects all new farms before they are included as member farms.  * <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  4.2 <u>Group administrators</u>  ...[...]... The Group Administrator is responsible for implementing an Internal Management System (IMS), including but not limited to coordinating the commercialization of product, training and technical assistance for staff and group members, as well as internal inspections and the corresponding follow-up actions in addition to improvement actions for closing nonconformities detected during external audits...[...]...  * <u>Rainforest Alliance Sustainable Agriculture Standard</u>  Continuous Improvement System  In addition to these fourteen continuous improvement areas for sustainable farms there is one continuous improvement area related to effective group management (Group Administrator Management for Member Support: only group administrator certification scope) and one continuous improvement area related to sustainable cattle production (only cattle certification scope).</p>	<p>2</p>
<p>The requirements on group certification/verification define the conditions under which a group (member) shall be suspended or removed from a group. A group sample cannot be changed (i.e. a single member can be excluded from the group) due to failure of an individual group member.</p>	<p>* <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  7.3 <u>Rainforest Alliance Standard Performance Criteria and Rules for group administrators</u>  a) Section 7.2 also applies for the applicable criteria of the 2017 Standard for the group administrator's audit scope as determined in Section 4.2 a), b), c) and d). b) Section 7.2 applies for all member farms of the audit sample (see Audit Scope Section 4.2.e)). All member farms shall always comply with all applicable critical criteria.  c) Only in the case of group administrators with smallholder members, a maximum of 20% of the audited sample may fail on the Rainforest Alliance Standard Performance Criteria and Rules for Level C or Level B continuous improvement criteria as determined in Section 7.2. These non-complying group members form part of the respective audit sample of the next surveillance or certification audit and non-conformities shall be closed by this next surveillance or certification audit.  8. <u>Modifying the scope of the certificate</u>  a) The certified organization may request to change the certificate scope at any time in order to increase or reduce the production area, or increase or reduce the number or composition of member farms.  <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  10.1.1 <u>Conditions</u>  The CB will suspend the certificate of an organization when the certified organization:  a) Does not fulfill one or more of its obligations, as described in Section 3.  b) Does not comply with sections 7.2 or 7.3, with the exception of non-conformities with zero-tolerance critical criteria.  c) Not fulfilling those clauses of the agreement with the CB that lead to suspension.  d) When a surveillance audit is not carried out within the timeframes determined in Section 6.4.b).</p>	<p>1</p>
<p>Group auditing for compliance with the scheme's land related criteria is only acceptable when the areas concerned are relatively near each other and have similar characteristics (such as management practices).</p>	<p>* <u>Rainforest Alliance Certification Rules For Single Farms and Group Administrators</u>  1.1 <u>Rules for group administrators</u>  a) The minimum number of member farms of a group administrator is two member farms.  b) All member farms of a group administrator shall be located within the same country.  c) A member farm shall not belong to two certified groups simultaneously. ...[...]...</p>	<p>0</p>



**Cross-recognition**

<p>The scheme has signed a mutual recognition agreement with at least one other scheme, or accept other schemes</p>	<p><b>MUTUAL RECOGNITION OF CHAIN OF CUSTODY CERTIFICATION PROPOSED EFFECTIVE DATE* 3RD OF DECEMBER</b>                  The mutual recognition of the Chain of Custody certification is the first phase of a larger piece of work currently underway which is looking at how we can facilitate our partners' transition (from Rainforest Alliance and UTZ) towards one certification system...[...].  <u>Website (2017)</u>: <a href="https://www.rainforest-alliance.org/articles/rainforest-alliance-utz-merger">https://www.rainforest-alliance.org/articles/rainforest-alliance-utz-merger</a>                  ...[...].The future sustainability standard, a single certification program known as the Rainforest Alliance standard, will utilize the respective strengths of the current Sustainable Agriculture Network (SAN) and UTZ standards while creating a single auditing process for certificate holders...[...].                  * <b>Requirements and Guidelines for Use of the Rainforest Alliance Trademarks</b>                  The Rainforest Alliance Certified (RAC) seal is used to label and market products from farms that meet the rigorous Rainforest Alliance Sustainable Agriculture Standard, or from forests certified by an accredited certification body as meeting the third-party standards of the Forestry Stewardship Council® (FSC). In addition it can be used to promote tourism Operators businesses - such as hotels, resorts and tour Providers operators - that are certified by the Rainforest Alliance to our rigorous tourism standards, recognized by the Global Sustainable Tourism Council (GSTC).</p>	<p>NO</p>
<p>The cross-recognition is based on a benchmark and on the requirement that the recognized scheme has equitable requirements or higher.</p>	<p>N.A.</p>	<p>N.A.</p>
<p>The scheme owner requires to certification bodies the verification of claims of other relevant (recognized) certification schemes to avoid double counting</p>	<p>N.A.</p>	<p>N.A.</p>

**Transparency**

<p>The scheme owner makes, or requires certification bodies to make, <b>summary</b> certification/verification reports (with personal and commercially sensitive information removed) publicly available</p>	<p>* <b>Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</b>  <b>10. CONFIDENTIALITY AND PUBLIC INFORMATION</b>                  ...[...].                  d) The Rainforest Alliance retains the right to publish non-confidential contact and organizational information about CBs and certificate holders on its website due to its commitment to transparency.                  * <b>Rainforest Alliance Rules for Planning and Conducting Audits</b>                  a) After the final decision has been made, CB shall upload the public summary in the Certification Database. Regardless of the certification decision, the public summary is automatically linked to the Rainforest Alliance website, with the exception of operations that failed their first certification audit.                  b) The list of certified farms, groups and Chain of Custody operations along with newly issued and cancelled certificates are published in the Rainforest Alliance website monthly.</p>	<p>3</p>
<p>The scheme owner makes its certificates publicly available (on the website), including withdrawn ones. A database with information about the certified units is publicly available.</p>	<p>* <b>Rainforest Alliance Rules for the Authorization of Certification Bodies, April 2018 Version 1.0</b>  <b>10. CONFIDENTIALITY AND PUBLIC INFORMATION</b>                  ..[...].c) CBs shall not publish, disclose, disseminate or otherwise make publicly available or use information or data obtained from certification processes except for uses stipulated in the Rainforest Alliance Certification Rules, Chain of Custody Policy, and certification agreements, which includes, but are not limited to, the following uses:                  i. The publication of audit report public summaries that may include the description of nonconformities; and                  ii. The use of data associated with the audit process by Rainforest Alliance for analyses and reporting about the certification program provided that this use does not disclose (A) the name of the certified operation or (B) the certified operation's intellectual property.                  * <b>Rainforest Alliance Rules for Planning and Conducting Audits</b>  <b>8.2 Public Information</b>                  ...[...].                  b) The list of certified farms, groups and Chain of Custody operations along with newly issued and cancelled certificates are published in the Rainforest Alliance website monthly.</p>	<p>3</p>
<p>The standard documentation is publicly available. The standard documentation is available in a UN language.</p>	<p><u>Check website:</u>                  Standard documentation is online via the resource library in multiple languages.</p>	<p>3</p>