

RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD

SUPPLY CHAIN REQUIREMENTS

**RAINFOREST
ALLIANCE**



SA-S-SD-2
Version 1.3

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 contact info@ra.org or contact the Rainforest Alliance Amsterdam Office, De Ruijterkade 6, 1013AA Amsterdam, The Netherlands.

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

Any use of this content including reproduction, modification, distribution or republication, without the prior written consent of Rainforest Alliance is strictly prohibited.

Document name:

Rainforest Alliance Sustainable Agriculture Standard, Supply Chain Requirements

Document code:

SA-S-SD-2

Version:

1.3

Date of first publication:

June 30th, 2020

Date of revision:

February 6th, 2023

Valid from:

July 1st, 2023

Expires by:

Until further notice

Linked to:

SA-S-SD-1 Rainforest Alliance 2020 Sustainable Agriculture Standard, Farm Requirements.
All other annexes, guidances and policies listed in this document.

Replaces:

SA-S-SD-2-V1.2 Rainforest Alliance 2020 Sustainable Agriculture Standard, Supply Chain Requirements

Applicable to:

Supply Chain certificate holders

Country/Region:

All

Crops:

All crops in the scope of the Rainforest Alliance certification system; please see the Rainforest Alliance Crop List

Type of certification:

Supply chain certificate holders

KEY CHANGES IN VERSION 1.3

Overview of key adaptations in this document

SA-S-SD-2-V1.3 Rainforest Alliance Sustainable Agriculture Standard, Supply Chain Requirements, published February 6th, 2023,
compared to

SA-S-SD-2-V1.2 Rainforest Alliance Sustainable Agriculture Standard, Supply Chain Requirements, published January 31st, 2022

Requirement number	Subject	Change
New requirement 1.1.5	Management	Rearranged in new requirement to simplify the standard: The general responsibilities of the committees and their composition, part of requirements 1.5.1 (Grievance), 1.6.1 (Gender) and 5.1.1 (Assess and address) are now combined into 1.1.5. It is clarified that more issues can be covered by one committee. Specific tasks are kept in the respective requirements.
1.2.2	Administration	Merged: Requirements 1.2.2 and 1.2.3, as the approaches for service providers and subcontractors were similar.
1.4.1	Internal Inspection and Self-Assessment	Simplified and shortened text.
1.4.2	Internal Inspection and Self-Assessment	Simplified and shortened text.
1.5.1	Grievance Mechanism	Simplified: General responsibilities of the committees and their composition are now combined in the new requirement 1.1.5.
1.6.1	Gender Equality	Simplified: General responsibilities of the committees and their composition are now combined in the new requirement 1.1.5.
2.1.3	Traceability	Clarification: Visual separation of certified product is not required for mass balance products.
2.1.12	Traceability in Online Platform	Clarification: Applicability of the requirements for traceability documentation.
2.2.3	Traceability in Online Platform	Clarification: Removal of volumes from the traceability platform that are not sold as certified, or lost, and clarified applicability for mass balance products.
2.2.4	Traceability in Online Platform	Text rephrased for clarification.
2.2.5	Traceability in Online Platform	Text rephrased for clarification, with more details on examples to link transaction to multiple shipments.

2.2.6	Traceability in Online Platform	Text rephrased for clarification.
2.3.1	Mass Balance	Text rephrased for clarification.
2.3.2	Mass Balance	Added for clarification: A negative volume balance is not permitted at any time.
2.3.3	Mass Balance	Clarification added: The requirement on origin matching is only applicable to cocoa mass balance products for which origin matching is required.
2.3.4	Mass Balance	Clarification added: The requirement on origin information on purchase and sales documentation is only applicable to cocoa mass balance products for which origin matching is required.
2.3.5	Mass Balance	Text rephrased for clarification.
5.1.1	Assess-and-Address	All general responsibilities of the committees and their composition are now combined into new requirement 1.1.5.
5.3.2	Wages and Contracts	Rephrased for clarification.
5.3.3	Wages and Contracts	Merged: Requirements 5.3.3 and 5.3.4 on receiving at least minimum wage, now all in 5.3.3.
5.3.6	Wages and Contracts	Merged: Requirements 5.3.6 and 5.3.7 on payment schedules, now all in 5.3.6. Rephrased to allow electronic proof of payment.
5.3.9	Wages and Contracts	Merged: Requirements 5.3.9 and 5.3.10 on labor providers, now all in 5.3.10.
5.3.10	Wages and Contracts	Merged: Requirements 5.3.9 and 5.3.10 on labor providers, now all in 5.3.10. Applicability extended to all Certificate Holders.
5.5.1	Working Conditions	Adapted: Regular work hours of guards are set to 60 hours per week.
5.5.2	Working Conditions	Adapted: Exception to overtime extended to all crops under certain conditions (see point h).
5.5.3	Working Conditions	Simplified: Details for nursing spaces moved to guidance. Changed 'maternity leave' into 'parental leave' to include both parents.
5.6.1	Health and Safety	Clarified: Text on required expertise for the analysis of the health and safety risks.
5.6.4	Health and Safety	Simplified text, added line on drinking water testing.

TABLE OF CONTENTS

INTRODUCTION	6	CHAPTER 3: INCOME AND SHARED RESPONSIBILITY	19	CHAPTER 6: ENVIRONMENT	31
Our Vision	6	3.2 Sustainability Differential	20	6.6 Wastewater Management	32
2020 Certification Program	7	3.3 Sustainability Investments	21		
Overview of the Supply Chain Requirements	8	3.4 Supply Chain Contributions to Living Wage Payment (Self Selected)	22	Annexes	
CHAPTER 1: MANAGEMENT	9	CHAPTER 5: SOCIAL	23	Annex Chapter 2: Traceability	
1.1 Management	10	5.1 Assess-and-Address Child Labor, Forced Labor, Discrimination, Workplace Violence and Harassment	24	Annex Chapter 3: Income & Shared Responsibility	
1.2 Administration	11	5.2 Freedom of Association	25	S01: Glossary	
1.4 Internal Inspection and Self-Assessment	12	5.3 Wages and Contracts	26	S03: Risk Assessment Tool	
1.5 Grievance Mechanism	13	5.5 Working Conditions	28	Guidances (non-binding)	
1.6 Gender Equality	14	5.6 Health and Safety	29	General Guide	
CHAPTER 2: TRACEABILITY	15			E: Grievance Mechanism	
2.1 Traceability	16			F: Gender equality	
2.2 Traceability in the Online Platform	17			L: Assess-and-Address	
2.3 Mass Balance	18			R: Assess-and-Address Monitoring Tool	
				S: Remediation Protocol	

INTRODUCTION

OUR VISION

OUR VISION

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

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

2020 SUSTAINABLE AGRICULTURE STANDARD: SUPPLY CHAIN REQUIREMENTS

The topic of sustainability should continue beyond the farm gate, and buyers in certified supply chains must provide increased support to farmers to work more sustainably. With the Rainforest Alliance's 2020 Certification Program, we are aiming to foster not only transparency but also responsible business practices from companies throughout the supply chain.

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

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

STANDARD DEVELOPMENT

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



2020 CERTIFICATION PROGRAM


The Rainforest Alliance 2020 Certification Program, with the new standard, assurance system and related data and technology systems, is designed to deliver more value to the many people and

businesses around the world that use 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



ASSURANCE SYSTEM



DATA SYSTEMS AND TOOLS

FARM REQUIREMENTS



SUPPLY CHAIN REQUIREMENTS



Annexes (binding):
Compliance is required for certification.

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

Guidances (non-binding):
Supporting documents, not binding for certification.

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

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

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

OVERVIEW OF THE SUPPLY CHAIN REQUIREMENTS

The requirements in this document are set out in chapters according to their principal theme.

As part of the assurance system, data is collected through the registration and profile completion process embedded in the Rainforest Alliance Certification Platform.

A company's profile is based on the activities, location, crop and volume information captured through this process, in combination with other data (such as compliance, social risks, and others) specific for each individual operation. The organization's profile will result in a contextualized checklist of mandatory requirements. In addition, further requirements can be self-selected by the certificate holder.

1. Management	
1.1	Management
1.2	Administration
1.4	Internal Inspection and Self-Assessment
1.5	Grievance Mechanism
1.6	Gender Equality
2. Traceability	
2.1	Traceability
2.2	Traceability in Online Platform
2.3	Mass Balance
3. Income and Shared Responsibility	
3.2	Sustainability Differential
3.3	Sustainability Investments
3.4	Supply Chain Contributions for Living Wage Payment (Self-selected)
5. Social	
5.1	Assess-and-Address Child Labor, Forced Labor, Discrimination, Workplace Violence and Harassment
5.2	Freedom of Association
5.3	Wages and Contracts
5.5	Working Conditions
5.6	Health and Safety
6. Environment	
6.6	Wastewater Management

CHAPTER 1: MANAGEMENT



The Rainforest Alliance wants to see certified organizations managed in an efficient, transparent, inclusive, and economically viable manner. Here it is essential that farms and companies implement an integrated planning and management system, with processes and procedures for continuous improvement. This chapter includes topics related to management and responsible business conduct. Requirements on these topics follow a process of assessment, planning, implementation, evaluation, and adjustment.

This first chapter includes the cross-cutting theme of gender. The inclusion of this topic in the management chapter recognizes the fundamental importance of gender, and that it applies to multiple dimensions of a company's activities.

1.1 Management

1.1.3	<p>There is a clearly documented and implemented <u>management plan</u> which addresses each applicable Rainforest Alliance Supply Chain requirement. Documented procedures include control of <u>certified</u> products for all applicable processes, included in the <u>certificate scope</u>, to maintain product integrity.</p>
1.1.4	<p>The supply chain certificate holder has devised, adopted, and disseminated one or more policies for ensuring <u>responsible business conduct</u> in its own operations, supply chain, and other business relationships. The policies cover direct and indirect adverse impacts on human rights and the environment.</p> <ul style="list-style-type: none"> • The policies commit and refer to following the OECD Due Diligence Guidance for Responsible Business Conduct. References and commitments to the OECD Guidelines for Multinational Enterprises or UN Guiding Principles for Business and Human Rights are also acceptable. • Oversight and responsibility for these policies and their implementation is assigned to senior management. • The policies and its expectations are specified in engagement with suppliers and other business relationships, including contracts and other written agreements. • A potential tool for compliance is to have a supplier code of conduct in place. • At a minimum, this policy requires from the supply chain certificate holder, its suppliers, and other business relationships: <ul style="list-style-type: none"> - Compliance with <u>applicable laws</u> and relevant standards in relation to human rights, worker rights and conditions, health and safety - Compliance with applicable laws and relevant standards in relation to environmental protection, deforestation, biodiversity, waste, and <u>wastewater</u> management <p>For a model policy for responsible agricultural supply chains, consult the OECD Guidance for Responsible Agricultural Supply Chains, page 25-29.15</p>
1.1.5	<p>Management appoints at least one management representative accountable for the following issues and forms committee(s) of responsible persons. One committee may cover more than one issue:</p> <ul style="list-style-type: none"> • <u>Grievance mechanism</u> (see 1.5) • <u>Gender equality</u> (see 1.6) • <u>Assess-and-address child labor, forced labor, discrimination, and workplace violence and harassment</u> (see 5.1) <p>The committee(s):</p> <ul style="list-style-type: none"> - Are knowledgeable about the issues and have decision making power - Include responsible persons representing <u>group members</u> for small farms or <u>workers</u> on large farms/supply chain operations, selected by members/<u>workers</u> - Are impartial, accessible, gender sensitive and trusted by the group members/workers and vulnerable groups - The committee handling gender equality issues includes at least one woman <p>In groups of small farms: there may be a responsible person instead of a committee(s) for gender and for assess-and-address.</p>

1.2 Administration

1.2.2	<p>There is a list of current <u>service providers</u>, suppliers, intermediaries and <u>subcontractors</u>.</p> <p>Mechanisms are in place to ensure that they comply with applicable requirements of the Standard for work within the scope of certification.</p> <p>For Farms:</p> <ul style="list-style-type: none"> - This is valid for work in the field, work in processing, and labor provision - "Suppliers" refers only to other farms they buy certified product from <p><i>Please see Guidance Document U: Service Providers Applicability</i></p>
1.2.5	<p>An up-to-date list of permanent and <u>temporary workers</u> is kept, containing for each <u>worker</u>:</p> <ul style="list-style-type: none"> • Full name • <u>Gender</u> • Year of birth • Start and end date(s) of employment • <u>Wages</u> <p>For workers for whom <u>housing</u> is provided, the registry additionally contains:</p> <ul style="list-style-type: none"> • Housing address • Number of family members • Year of birth of family members <p>For children conducting light work (12-14 years) and <u>young workers</u> (15-17 years), the registry additionally contains:</p> <ul style="list-style-type: none"> • 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 <p><i>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 requirements in chapter 5.</i></p>
1.2.9	<p>Records for certification purposes and compliance are kept for at least four years.</p>
1.2.16	<p>There is a list of <u>workers</u> (m/f) who have been trained and have the knowledge and skills to effectively implement the supply chain <u>management plan</u>.</p>
1.2.17	<p><u>Multi-site</u> administrator maintains a list of <u>sites</u> to be included in the certificate with the following information: Risk result, addresses, <u>scope</u>, and <u>workers</u> responsible for implementation at that site. Consent forms for sites not under common ownership are required, if applicable.</p>

1.4 Internal Inspection and Self-Assessment

<p>1.4.1</p>	<p>Management has an <u>internal inspection</u> system in place to annually assess compliance of all actors within the scope of certification.</p> <p>The system includes:</p> <ul style="list-style-type: none"> • For Farms: <u>group members'</u> farms, processing and/or storage <u>sites</u> and any other actors (including <u>subcontractors</u>, <u>intermediaries</u>, <u>service providers</u>) • For Supply Chain: sites and subcontractors <p>All actors are inspected internally before each external audit:</p> <ul style="list-style-type: none"> • In the first year of certification, the internal inspection covers all applicable requirements of the Standard • In consecutive years, the internal inspection is based on the Risk Assessment (for farms, see 1.3.1), the previous year's internal inspection and previous external audit results <p>For farm scope only: a rotation system is in place so that each farm unit is inspected at least every three years. In case of remote farm units this is done at least every six years.</p>
<p>1.4.2</p>	<p>Management carries out a yearly <u>self-assessment</u> to evaluate its own compliance, and that of all actors in its <u>certification scope</u>, with all relevant requirements in the Standard.</p> <p>Management uses the results of the <u>internal inspections</u> as set out in 1.4.1. to complete the self-assessment.</p>
<p>1.4.3</p>	<p>An approval and sanction system are in place in relation to the compliance of <u>group members</u> (for farms) and/or <u>sites</u> with the Rainforest Alliance Sustainable Agriculture Standard.</p> <p>The system includes:</p> <ul style="list-style-type: none"> • 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

1.5 Grievance Mechanism

1.5.1 A grievance mechanism is in place that enables individuals, workers, communities, and/or civil society, including whistle-blowers, to raise complaints related to the certificate holder's business activities. Complaints can relate to any part of the Standard, including technical, social, or economic issues. The grievance mechanism may be provided by the certificate holder or by a third party.

The grievance mechanism includes at least the following elements:

- A grievance committee (see 1.1.5)
- The grievance mechanism allows for submissions in any language and is accessible to persons who cannot read or do not have access to the internet
- Anonymous grievances are accepted, and confidentiality is respected
- Human and labor rights grievances are remediated in accordance with the Remediation Protocol
- Grievances and follow up actions are documented, and shared with the affected persons within a reasonable timeframe
- Submitters of grievances are protected against employment/membership termination, retribution, or threats as a consequence of using the grievance mechanism

Please see SA-S-SD-23 Annex Chapter 5: Social

Please see SA-G-SD-6 Guidance Document E: Grievance Mechanism

1.6 Gender Equality

1.6.1	Management commits to promoting <u>gender equality</u> by: <ul style="list-style-type: none">• A written statement that is communicated to <u>group members/workers</u>• Appointing a committee that is responsible for the implementation, monitoring, and evaluation of measures that promote gender equality and women's empowerment (see 1.1.5) <p><i>Please see SA-G-SD-7 Guidance Document F: Gender Equality</i></p>
1.6.2	The responsible committee/person performs the following activities: <ul style="list-style-type: none">• Implements measures that promote <u>gender equality</u> following the basic <u>Risk Assessment</u> (1.3.1) and includes these measures in the <u>management plan</u> (1.3.2)• Raises awareness on gender equality and women's empowerment with management and (group) staff at least annually• Is involved in remediation cases concerning gender-based violence and gender-based <u>discrimination</u> in accordance with the Remediation Protocol <p><i>Please see SA-S-SD-4 Annex S03: Risk Assessment Tool</i></p> <p><i>Please see SA-S-SD-23 Annex Chapter 5: Social</i></p>

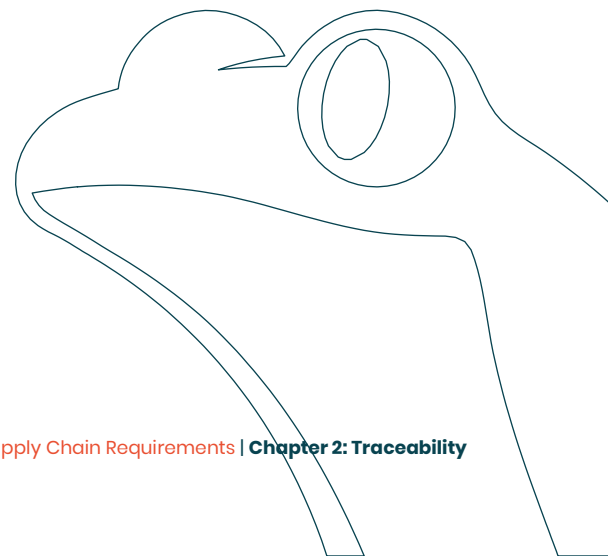
CHAPTER 2:

TRACEABILITY

A successful and credible sustainable agriculture certification program must be able to give its users the confidence that certified products are indeed sourced according to the applicable requirements set out in the standard.

This requires a robust, transparent system to track products from the certified farm along the entire supply chain up to the level of the brand owner.

The requirements in this chapter provide certificate holders with a framework to accurately and credibly trace certified products and report any activity performed on the certified product (including conversions and sales) in the Rainforest Alliance traceability platform.



2.1 Traceability

2.1.3	<u>Certified</u> products are visually separated from non-certified products at all stages, including transport, storage, and processing. This is not applicable for <u>mass balance</u> products.
2.1.4	Management has mapped the product flow up to the final location of the <u>certificate scope</u> , including all intermediaries (collection points, transport, processing units, warehouses, etc.) and activities carried out on the product.
2.1.6	Shipments of <u>certified</u> products do not exceed the total production (for farms), purchase of certified products plus remaining stock balance from the previous year.
2.1.7	There is no <u>double selling</u> of volumes: products sold as conventional product or sold under another scheme or sustainability initiative are not also sold as Rainforest Alliance Certified. Selling products which are certified under more than one scheme is possible.
2.1.9	The correct methodology for the calculation of conversion factors is demonstrated and documented for each <u>certified</u> product and reflected accordingly in the <u>traceability platform</u> . <i>Please see SA-S-SD-20 Annex Chapter 2: Traceability</i>
2.1.10	Equipment used to define the weight or volume of the <u>certified</u> product is calibrated annually.
2.1.11	A volume summary of <u>certified</u> product is provided for the previous 12 months. This includes inputs, volume purchased, in stock, processed, outputs, <u>lost</u> and sold (as applicable).
2.1.12	Documentation includes <u>traceability type</u> and percentage (if less than 100% certified) when there is a change in legal ownership and/or physical possession of the <u>certified</u> product. This is not applicable for sales of finished consumer-facing products.
2.1.13	There is evidence (documentation on incoming and outgoing product, on-site procedures, reports) that any <u>Rainforest Alliance claim</u> made is valid and complies with Rainforest Alliance Certification Program requirements.

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.

2.2.1	Volumes sold as <u>certified</u> are recorded in the Rainforest Alliance <u>traceability platform</u> at the latest two weeks after the end of the quarter within which the shipment took place. <i>Please see SA-S-SD-20 Annex Chapter 2: Traceability</i>
2.2.2	Buyers of Rainforest Alliance Certified product have a procedure in place to regularly verify that transactions in the <u>traceability platform</u> match invoices for <u>certified</u> products purchased and/or shipped.
2.2.3	Volumes not sold as Rainforest Alliance Certified and/or <u>lost</u> are removed from the <u>traceability platform</u> within two weeks after the end of the quarter in which the shipment took place or volume was lost. <i>For <u>mass balance</u> volumes, please see SA-S-SD-20 Annex Chapter 2: Traceability for further detail on applicability</i>
2.2.4	An approval is obtained as per the Rainforest Alliance Labeling and Trademarks Policy prior to the on- and off-pack use of public-facing trademarks.
2.2.5	Shipments that are combined into one transaction include sufficient information (for example volume, traceability type, invoice numbers, shipment codes and dates) to relate the transaction to the individual shipments.
2.2.6	The certificate holder acting as the mandated trade partner in the <u>traceability platform</u> complies with the applicable traceability requirements.
2.2.7	The party granted the <u>traceability platform mandate</u> complies with applicable traceability requirements. <i>Please see SA-S-SD-20 Annex Chapter 2: Traceability</i>

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

2.3.1	Volume 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 <u>mass balance</u> is 100% covered by volumes purchased as <u>certified</u> . A negative volumes balance is not permitted at any time.
2.3.3	Volumes sold as <u>certified</u> meet the minimum percentage requirements for origin information. This is only applicable for cocoa <u>mass balance</u> products for which origin matching rules are required. <i>Please see SA-S-SD-20 Annex Chapter 2: Traceability for further detail on applicability</i>
2.3.4	Purchase and sales documentation for volumes sold as <u>certified</u> include origin information to country level for incoming certified and non-certified volumes. This is only applicable for cocoa <u>mass balance</u> products for which origin matching rules are required. <i>Please see SA-S-SD-20 Annex Chapter 2: Traceability for further detail on applicability</i>
2.3.5	Movement of <u>mass balance</u> volumes from one <u>certificate holder</u> to another shall always be accompanied by a physical shipment of relevant product. Volume trading without a physical shipment can only take place between <u>sites</u> covered under the same <u>certification scope</u> .

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. This means moving to a system where sustainability in agricultural production is valued and priced as a material service over and above the general cost of the commodity, which means that the investments needed to advance sustainability practices at origin level are borne not only by the producer but also the market. These aspects of Shared Responsibility can be found within two elements of the 2020 Sustainable Agriculture Standard.

The first is the Sustainability Differential, an additional monetary payment to certified farmers, on top of the market price of the commodity. This is intended to reward farmers for implementing more sustainable agricultural practices.

The second is the Sustainability Investment which is made by buyers of certified products, to contribute to the investments farm certificate holders need to drive sustainability progress at origin level. With the aim to go beyond the Sustainability Investment approach, this chapter also includes a set of requirements on the contribution to living wage payments at farm certificate holder level that supply chain certificate holders can self-select.

3.2 Sustainability Differential

3.2.3	<p>The responsible certificate holders pay the <u>Sustainability Differential</u> in the form of a monetary payment on top of the <u>market price</u>, quality premiums or other differentials. Sustainability Differential cannot be paid in kind.</p> <p><i>Please see SA-S-SD-20 Annex Chapter 3: Shared Responsibility</i></p>
3.2.4	<p>The responsible certificate holders have clear contractual agreements or commitments in place which specify the amount and other terms around <u>Sustainability Differential</u> payment.</p> <p><i>Please see SA-S-SD-20 Annex Chapter 3: Shared Responsibility</i></p>
3.2.5	<p>The full amount of the <u>Sustainability Differential</u> is paid at least annually and no later than payment terms defined for the relevant crop.</p> <p><i>Please see SA-S-SD-20 Annex Chapter 3: Shared Responsibility</i></p>
3.2.6	<p>Confirmation of the <u>Sustainability Differential</u> is recorded in the <u>traceability platform</u>.</p> <p><i>Please see SA-S-SD-20 Annex Chapter 3: Shared Responsibility</i></p>
3.2.7	<p>The <u>Sustainability Differential</u> paid amounts to at least the prescribed minimum, for crops for which a minimum is defined.</p> <p><i>Please see SA-S-SD-20 Annex Chapter 3: Shared Responsibility</i></p>

3.3 Sustainability Investments

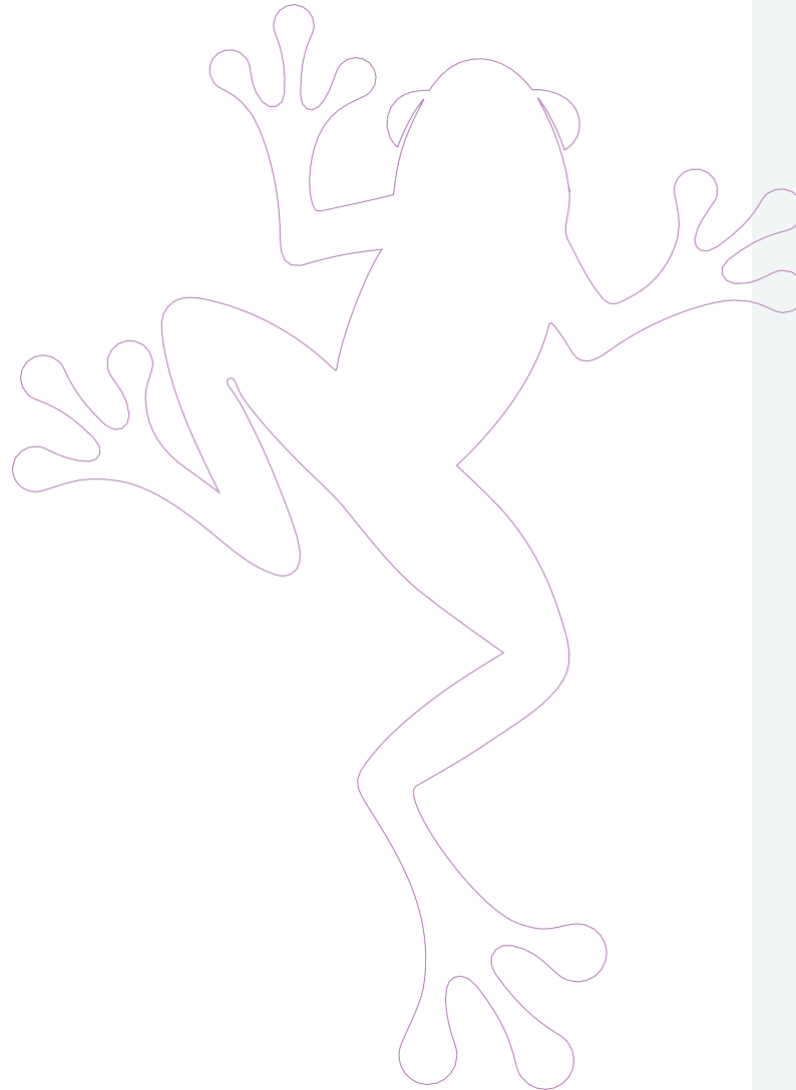
3.3.4	The full amount of the <u>Sustainability Investment</u> is paid at least annually and no later than payment terms defined for the relevant crop. <i>Please see SA-S-SD-20 Annex Chapter 3: Shared Responsibility</i>
3.3.5	Confirmation of the <u>Sustainability Investment</u> is recorded in the <u>traceability platform</u> . <i>Please see SA-S-SD-20 Annex Chapter 3: Shared Responsibility</i>
3.3.6	The certificate holders have clear contractual agreements or commitments in place which specify the amount and other terms around <u>Sustainability Investment</u> . <i>Please see SA-S-SD-20 Annex Chapter 3: Shared Responsibility</i>

3.4 Supply Chain Contributions to Living Wage Payment (Self Selected)

Applicable to any certificate holder deciding to make a Living Wage payment contribution and corresponding claim.

3.4.1	The supply chain <u>certificate holder</u> has a copy of the farm certificate holder's plan for <u>wage</u> improvement and has identified how and when support could be provided to achieve it.
3.4.2	There is written evidence that the responsible supply chain certificate holder has engaged and come to agreement with the farm certificate holder on modalities, targets and timelines for contributing to the implementation of the farm's <u>wage</u> improvement plan.
3.4.3	There is evidence that contributions to the farm's <u>wage</u> improvement plan are being made and align with modalities, targets and timelines as agreed upon with the farm certificate holder.
3.4.4	The direct financial or other type of investment in context of <u>Living Wage</u> payment contribution by the supply chain certificate holder to the farm is recorded.

CHAPTER 5: SOCIAL



The social chapter seeks to empower workers to achieve 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 operations.

To support sustainable livelihoods, the Rainforest Alliance Sustainable Agriculture Standard establishes requirements related to all fundamental human and labor rights, health and safety, and decent living and working conditions.

These requirements align with the UN Guiding Principles (UNGPs) on Business and Human Rights, relevant ILO conventions, and other multi-stakeholder concepts.

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

5.1.1	<p>Commitment:</p> <p>Management commits to assess and address <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, and <u>workplace violence and harassment</u> by:</p> <ul style="list-style-type: none"> - Appointing a committee responsible for managing the <u>assess-and-address</u> system (see requirement 1.1.5) <p>The committee:</p> <ul style="list-style-type: none"> • Coordinates with management and the committees/persons responsible for managing <u>grievances</u> and <u>gender</u> issues • Raises awareness of these four issues with management and (group) staff at least once a year • Informs <u>workers/group members</u> in writing that child labor, forced labor, discrimination and workplace violence and harassment are not tolerated, and that management has a system in place to assess-and-address related cases. This information is visibly displayed at central locations at all times. <p><i>Please see SA-G-SD-11 Guidance Document L: Assess-and-Address</i></p>
5.1.2	<p>Risk mitigation:</p> <p>The management representative/committee includes in the <u>management plan</u> (1.3.2) the mitigation measures as identified in the basic <u>Risk Assessment</u> (1.3.1) and implements corresponding measures.</p> <p>The basic Risk Assessment is repeated at least every three years.</p> <p><i>Please see SA-S-SD-4 Annex S03: Risk Assessment Tool</i></p>
5.1.3	<p>Monitoring:</p> <p>The management representative/committee</p> <ul style="list-style-type: none"> • Monitors risks and the implementation of risk mitigation measures • Reports potential cases of <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, and <u>workplace violence and harassment</u> to the management and to the grievance committee • Monitors <u>remediation</u> activities (see 5.1.4) <p>The intensity of the monitoring system is adjusted to the risk level and the issue.</p> <p>Indicator:</p> <ul style="list-style-type: none"> • The number of potential cases identified by the monitoring system and referred to the grievance mechanism (by gender, age, and type of issue) <p><i>Please see SA-G-SD-20 Guidance Document R: Assess-and-Address Monitoring Tool</i></p>
5.1.4	<p>Remediation:</p> <p>The management representative/committee sets out in the <u>management plan</u> how to remediate cases of <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, <u>workplace violence and harassment</u>. Confirmed cases are remediated and documented following the Rainforest Alliance Remediation Protocol. Safety and <u>confidentiality</u> of the victims is protected throughout the process.</p> <p>Indicator:</p> <ul style="list-style-type: none"> • Number and percentage of confirmed child labor, forced labor, discrimination and workplace violence and harassment cases remediated per the Remediation Protocol (by <u>gender</u>, age, and type of issue) <p><i>Please see SA-S-SD-23 Annex Chapter 5: Social</i></p>

5.2 Freedom of Association

<p>5.2.1</p>	<p><u>Workers</u> have the right to form and join a union or <u>workers' organization</u> of their own choice and to take part in collective bargaining, without prior authorization from the employer, and in accordance with <u>applicable law</u>. Workers' representatives are elected democratically among workers in regular, free elections.</p> <p>Management informs workers on these rights through a written policy in a language they understand, before the start of employment. The written policy on <u>freedom of association</u> and collective bargaining is visibly displayed at all times in the workplace.</p> <p>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.</p> <p>ILO Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87) ILO Workers Representatives Recommendation, 1971 (No. 143)</p>
<p>5.2.2</p>	<p><u>Workers</u> are not subject to <u>discrimination</u> or <u>retaliation</u> for reasons of past or present workers' organization or union membership activities. Management does not punish, bribe or otherwise influence union members or workers' representatives. Records are kept of terminations of employment, including the reason for termination and workers' affiliation with a union or workers' organization. Management does not interfere in the internal affairs of workers' organizations and/or unions, nor in elections or duties related to membership of such organizations.</p> <p>ILO Right to Organise and Collective Bargaining Convention, 1949 (No. 98) ILO Workers Representatives Recommendation, 1971 (No. 143)</p>
<p>5.2.3</p>	<p>Management provides <u>worker representatives</u> reasonable paid time off from work to carry out their representation functions and attend meetings.</p> <p>Where needed, management provides the worker representatives with reasonable facilities including meeting space, means of communication and childcare. Management gives <u>worker organization</u> and/or trade union access to a notice board to communicate information about their activities.</p> <p>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.</p> <p>ILO Workers' Representatives Convention, 1971 (No. 135) ILO Workers Representatives Recommendation, 1971 (No. 143)</p>

5.3 Wages and Contracts

<p>5.3.1</p>	<p><u>Permanent</u> and <u>temporary workers</u> who are employed for three consecutive months or longer have a written <u>employment contract</u> signed by both parties.</p> <p>Permanent and temporary workers employed for fewer than three months must have at least verbal contracts in place. The employer keeps records of verbal contracts.</p> <p>All contracts include at least:</p> <ul style="list-style-type: none"> • Job duties • Location of the job • Working hours • Pay rate and/or method of calculation • <u>Overtime</u> 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, if applicable <p>All workers understand the content of their employment contracts prior to the start of employment and can request a copy at any time.</p>
<p>5.3.2</p>	<p>There are no arrangements or practices in place that are designed to eliminate or reduce <u>workers'</u> pay and/or benefits such as employing <u>temporary workers</u> for permanent or ongoing tasks.</p>
<p>5.3.3</p>	<p><u>Workers</u> receive at least the applicable minimum wage, or the wage negotiated in a Collective Bargaining Agreement (CBA), whichever is higher. For production quota or <u>piece work</u>, the payment must be at least the minimum wage, based on a 48-hour working week or national legal working hours limit, whichever is lower.</p>
<p>5.3.5</p>	<p>Deductions from wages such as for social security are permitted only if provided by <u>applicable law</u> or CBA. Voluntary wage deductions such as advance payments, union membership, or loans can only be made with written or verbal consent from the <u>worker</u>. Employer carries out these remittances fully and timely. Wage deductions as a disciplinary measure are not allowed. Deductions for work related to tools, equipment, or gear are not allowed unless those are permitted by applicable law.</p> <p>In-kind benefits must be in accordance with applicable law; however, they cannot exceed 30% of the total remuneration.</p> <p>ILO Protection of Wages Convention, 1949 (No. 95) ILO Protection of Wages Recommendation, 1949 (No.85)</p>
<p>5.3.6</p>	<p><u>Workers</u> are paid regularly at scheduled intervals agreed both by the worker and the employer, and at least monthly.</p> <p>Records are maintained, per worker, of hours worked (<u>regular</u> and <u>overtime</u>) and/or volume produced (if applicable), calculation of wages and deductions, and wages paid. Workers are provided with proof of payment (physical or electronic) for each payment containing this information.</p> <p>ILO Protection of Wages Convention, 1949 (No. 95)</p>

5.3 Wages and Contracts

5.3.8	Work of equal value is remunerated with equal pay without <u>discrimination</u> e.g., on <u>gender</u> or type of <u>worker</u> , ethnicity, age, colour, religion, political opinion, nationality, social origin or others. ILO Equal Remuneration Convention, 1951 (No.100)
5.3.10	If <u>labor providers</u> are used, the producer records the name, contact details and official registration number (if available). The labor provider is: <ul style="list-style-type: none">• Not engaged in fraudulent or coercive recruiting practices• Compliant with applicable worker related requirements 5.3 and 5.5 of this standard All <u>recruitment fees</u> are paid by the farm, not by <u>workers</u> . ILO Private Employment Agencies Convention, 1997 (No. 181) <i>Please see SA-G-SD-46 Guidance document U: Service Providers Applicability</i>

5.5 Working Conditions

5.5.1	<p><u>Workers</u> do not work more than eight <u>regular working hours</u> 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.</p> <p>The regular work hours of guards do not exceed 60 hours per week or applicable regulations, whichever is stricter.</p> <p>ILO, Hours of Work (Industry) Convention, 1919 (No. 1) ILO, Hours of Work (Commerce and Offices) Convention, 1930 (No. 30)</p>
5.5.2	<p><u>Overtime work</u> is voluntary and only permitted if:</p> <ul style="list-style-type: none"> 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 <u>health and safety risk</u>. <u>Incident</u> rates during overtime periods are monitored and overtime is reduced, if <u>accident</u> rates are higher during overtime work periods than during periods of <u>regular work hours</u>. d <u>Workers</u> have safe transport home after work* e The total working week does not exceed 60 hours per week. Exceptional circumstances: see h f Workers have at least a 30-minute break after maximum six consecutive hours of work and have a minimum of 10 consecutive hours of rest per 24 hour-period g A record of the number of regular hours and overtime hours of each worker is kept* h Applicable only to specific activities that must be completed within a short window of up to 6 weeks to prevent loss of harvest, including, but not limited to, sowing, planting, harvesting and processing of fresh produce: for a maximum period of 12 weeks per year, the overtime may be up to 24 hours total per week, and workers may work a maximum of 21 consecutive days <p>*In groups of small farms this is not applicable to <u>group member</u> workers</p> <p>ILO, Hours of Work (Industry) Convention, 1919 (No. 1) ILO, Hours of Work (Commerce and Offices) Convention, 1930 (No. 30) ILO Code of Practice on Safety and Health in Agriculture, 2010 International Labor Conference, 107th Session, General Study concerning instruments on working time, 2018</p>
5.5.3	<p><u>Permanent workers</u> are entitled to paid parental leave, rights and benefits in accordance with <u>applicable law</u>. In absence of such law, workers receive paid maternity leave of at least 12 weeks, of which at least six weeks are taken after birth. They can return to their job after maternity leave on the same terms and conditions and without <u>discrimination</u>, loss of seniority or deduction of wages.</p> <p>Workers who are pregnant, nursing or have recently given birth are offered flexible working schedules and work site arrangements. Breastfeeding women have two additional 30-minute breaks per day and an appropriate space for breastfeeding to nurture the child.</p> <p>ILO Maternity Protection Convention, 1952 (No. 183)</p>

5.6 Health and Safety

5.6.1	<p>Management conducts an analysis of occupational <u>health and safety</u> risks within the certification scope with the support of staff or external experts with appropriate technical expertise. Relevant measures are stipulated in the <u>management plan</u> and implemented, considering at least the following:</p> <ul style="list-style-type: none"> • Risk analysis • Compliance with regulations • Training of workers • Procedures and equipment to ensure health and safety, including drinking water <p>Frequency and type of occupational health and safety incidents are recorded (specified for men and women) and include incidents related to <u>agrochemical</u> use.</p> <p>For groups of small farms this is done for their own facilities.</p> <p>ILO Occupational Safety and Health Convention, 1981 (No. 155) ILO Safety and Health in Agriculture Convention, 2001 (No. 184)</p>
5.6.2	<p>First aid boxes are available to <u>workers</u> for the treatment of work-related injuries, and <u>emergency</u> health care is provided free of charge including transport to and treatment in a hospital.</p> <p>The boxes are placed at the central locations of production, processing, and maintenance sites. Appropriate measures in case of an emergency, including showers and eyewashes, are present at the relevant locations.</p> <p>Trained first aid employees are present during working hours. The workers are informed where and to whom they should go to for first aid in case of an emergency.</p>
5.6.4	<p><u>Workers</u> have access to sufficient and safe <u>drinking water</u> at all times through one of the following means:</p> <ul style="list-style-type: none"> • A public drinking water system, or • Drinking water provided by the management that is tested at least once every three years, or more frequently, if the risk analysis as part of requirement 5.6.1 identifies risk <p>Management maintains drinking water sources, distribution systems and containers to prevent contamination.</p> <p>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.</p>
5.6.7	<p>Sufficient, clean, and functioning toilets and handwashing stations are provided in or close by agricultural production, processing, maintenance, office sites, and <u>workers' housing</u>.</p> <p>Facilities are divided by <u>gender</u> in the case of 10 or more workers. Urinals are separated from toilets used by females. Safety and privacy of <u>vulnerable groups</u> are ensured, by at least well-lit and lockable facilities. Workers are allowed to frequent these facilities when needed.</p>
5.6.8	<p><u>Workers</u> receive information on health topics, medical leave policies and availability of primary, maternal and reproductive health services in the <u>community</u>.</p>
5.6.9	<p>Persons that work in <u>hazardous</u> situations (e.g, under challenging terrains, with machines, or with <u>hazardous materials</u>) use appropriate <u>Personal Protective Equipment (PPE)</u>. These persons are trained in the use of the PPE and have access to the PPE free of charge.</p>

5.6 Health and Safety

<p>5.6.10</p>	<p>All tools used by the <u>workers</u> are in good working condition.</p> <p>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.</p> <p>Machinery and other equipment are stored safely when not in use.</p>
<p>5.6.11</p>	<p>Female <u>workers</u> who are pregnant, nursing, or have recently given birth are not assigned to activities that pose a <u>risk</u> 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.</p>
<p>5.6.12</p>	<p><u>Workers</u> may leave situations with <u>imminent danger</u> without seeking employer's permission and without being penalized.</p>
<p>5.6.13</p>	<p>Workshops, storage areas, and processing facilities are safe, clean, with sufficient light and ventilation.</p> <p>A clear and written accident and <u>emergency</u> procedure is in place. It includes marked fire exits, evacuation maps, at least one emergency drill per year. Management informs <u>workers</u> about this procedure.</p> <p>There is firefighting equipment and equipment to remediate spillage of materials. Workers are trained on how to use this equipment.</p> <p>Only authorized personnel have access to workshops, storage, or processing facilities.</p>
<p>5.6.14</p>	<p><u>Workers</u> in workshops, storage 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.</p>
<p>5.6.15</p>	<p><u>Workers</u> receive basic training on occupational health, safety, and hygiene and related instructions are visibly displayed at central locations.</p>
<p>5.6.16</p>	<p><u>Workers</u> who regularly handle <u>hazardous agrochemicals</u> receive a medical examination at least once a year. In case of regular exposure to organophosphates or carbamate <u>pesticides</u>, the examination includes cholinesterase testing. Workers have access to the results of their medical examination.</p>

CHAPTER 6:

ENVIRONMENT

Agricultural activities can have positive or negative effects on the natural environment, depending on how they are managed. The environment chapter outlines pathways for certified organizations to have a positive impact on the planet. As there are environmental risks beyond the scope of the farm, requirements also apply to supply chain actors that are identified as presenting a high risk for certain environmental topics, for the time being limited to wastewater management.

Once again, the Rainforest Alliance recognizes that certification fits into a larger picture of landscape conservation, where multiple strategies are needed to create lasting impact for biodiversity and the planet. The content of this chapter is the starting point from which certified organizations can support this goal. With a longer time-frame in mind, other relevant environmental topics will be gradually introduced to the supply chain requirements.



6.6 Wastewater Management

6.6.1	<p>Tests for processing <u>wastewater</u> 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.</p> <p><u>Wastewater from processing operations</u> discharged into <u>aquatic ecosystems</u> meets legal wastewater quality parameters. In absence of these, it meets the <u>wastewater parameters</u>.</p> <p>Wastewater from processing operations may not be mixed with clean water to meet the parameters.</p>
6.6.2	<p>Human <u>sewage</u>, sludge, and sewage water is not used for production and/or processing activities. Sewage is not discharged into <u>aquatic ecosystems</u> unless it has been treated.</p> <p>Not applicable to small farms: Treated discharge is demonstrated to meet legal wastewater quality parameters or, in the absence of these, the <u>wastewater parameters</u>.</p>
6.6.3	<p><u>Wastewater from processing operations</u> is not applied to land unless it has undergone treatment to remove particulates and toxins. If treated <u>wastewater</u> is used for irrigation, in addition to the <u>wastewater parameters</u>, it must comply with the wastewater parameters for irrigation.</p>