Farm Certification Policy

Sustainable Agriculture Network

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Structure of this Document

This document defines the objective (section 2), scope (section 3) and validity (section 4) of this policy. It refers to valid SAN standards & policy documents (section 5) and contains a glossary of definitions (section 6). *SAN-P-1-1 Farm Certification Policy* is described in the main part of this document (section 7). The annexes detail crops authorized and not authorized for *Rainforest Alliance Certified*™ certification.

Objective of this Policy

The policy's objective is to:

1. Clarify the general conditions for clients interested in *Rainforest Alliance Certified*™ certification and clients already *Rainforest Alliance Certified*™.
2. Detail the authorized and non-authorized crops for *Rainforest Alliance Certified*™ certification.
3. Determine the scope of the *Rainforest Alliance Certified*™ certificate for certified farms.
4. Define the scope of the different audit types within the 3-year farm certification audit cycle as defined by Sustainable Agriculture Network (SAN) rules.
5. Establish the conditions for the cancelling of a client's *Rainforest Alliance Certified*™ certificate.
6. Specify the consequences of the cancelling of a client's *Rainforest Alliance Certified*™ certificate.
7. Indicate the conditions and periods of a client's re-application for a certification audit.

Scope of this Policy

SAN's Secretariat watches over the correct implementation of this policy by:

a. The Certification Bodies that decide on *Rainforest Alliance Certified*™ certification, as well as subcontract and control the inspection bodies authorized for the respective audit processes.
b. Authorized inspection bodies that manage audit processes.
c. Sustainable Agriculture Network members and their representatives.

SAN-P-1-1 Farm Certification Policy - Sustainable Agriculture Network applies to clients that opt for certification audits in order to become *Rainforest Alliance Certified*™, based on *SAN's SAN-S-1-1 Sustainable Agriculture Standard, SAN Addendum – Additional SAN criteria for oilpalm, sugarcane, soy, peanut and sunflower farms,* the conditions determined in this policy, as well as additional requirements as defined by the certification or inspection bodies.

Validity of this Policy

SAN-P-1-1 Farm Certification Policy - Sustainable Agriculture Network is valid from the approval of the SAN Board of Directors and its respective communication to all interested stakeholders.

Valid Sustainable Agriculture Network Standards & Policy Documents

- SAN-S-1-1 Sustainable Agriculture Standard
- SAN Addendum – Additional SAN criteria for oilpalm, sugarcane, soy, peanut and sunflower farms
- SAN-S-2-1 List of Prohibited Pesticides
- SAN-S-3-1 Group Certification Standard
- Requirements for Chain of Custody Approval
- *Rainforest Alliance Certified*™ *- Use of Seal Guidelines*

Terms and Definitions

- **Area of influence:** The whole farm, its infrastructure, processing and packaging areas, conservation and housing areas, as well as all the workers affected by the impact caused by its production activities.
- **Agroforestry crops:** Crops that can be grown in agroforestry systems with the presence of shade tree canopies, which are intentionally used within agricultural systems. These cultivated plants have grown originally under tropical forests' tree canopy. Crops that cannot be grown economically viable with shade tree cover or other cover types, as well as crops whose origins are ecosystems with a distinct *climax* state than forests, such as savannas or bushlands (for example the *Cerrado* vegetation of Brazil) don't fall into this definition. *"Agroforestry is a collective name for land use systems and practices in which woody perennials are deliberately integrated with crops and/or animals on the same land management unit. The integration can be either in a spatial mixture or in a temporal sequence. There are normally both ecological and economic interactions between woody and non-woody components in agroforestry" (Source: World Agroforestry Centre (ICRAF) 1993).*
- **Annual Audit:** Audit that evaluates the progress with respect to the correction of non-conformities detected in previous audits and the continuous compliance with the respective valid SAN standards & policy documents. The annual audit is conducted one and two years after the certification audit, respectively, in order to verify and monitor the farm's or group's compliance with the valid SAN standards & policy documents, as well as the implementation of corrective actions. The result of the audit is the decision about the renovation of certification. The cost of the process is covered by the client.
- **Area of influence:** The farm, its production and processing operations, conservation and housing areas within its farm borders.
- **Audit:** The systemic, documented and independent process to obtain and evaluate farm's compliance to determine the level of compliance with established requirements.
- **Bribery:** The practice of offering something (usually money) to an inspection body's audit team in order to influence audit results.
- **Buyer:** Any actor involved in the value chain of *Rainforest Alliance Certified*™ products, for example processors, intermediaries, exporters or retailers (see Chain of Custody definition).
- **Certification Agreement:** Document signed by Rainforest Alliance and the client that details the rights and responsibilities of both parties with respect to *Rainforest Alliance Certified*™ certification.
- **Certification Audit:** A certification audit is realized in year 0 and determines the farm's or group's compliance level with the respective valid SAN standards & policy documents. The result of the audit is the decision about *Rainforest Alliance Certified*™ certification. An audit team with a multi-disciplinary focus conducts this audit, when a client opts for the first time for *Rainforest Alliance Certified*™ certification. Once the 3-year-certification cycle has concluded, a new certification process will be started and a new certification agreement has to be signed. The cost of the process is covered by the client.
- **Certification Body:** Unit that decides about the authorization or cancelling of a *Rainforest Alliance Certified*™ farm or group certification. The Certification Body subcontracts inspection bodies and controls the quality of their functions.

- **Certification Cycle:** A period of three years that begins with a certification audit and includes yearly audits one and two years after this certification audit. The following cycle begins again with a certification audit.
- **Chain of Custody:** All steps in the production chain between primary production and final consumption (including growing, handling, processing and retailing).
- **Chain of Custody Audit:** Systematic and independent process undertaken for the purpose of obtaining and assessing information related to an operation's compliance with *Requirements for Chain of Custody Approval – Sustainable Agriculture Network.* The information is obtained through the revision of documents, interviews with workers, employees and interested individuals or groups, and the observation of the conditions and activities of the audited infrastructure.
- **Chain of Custody Management System:** The system whereby an operation is able to trace and keep separate the movement of *Rainforest Alliance Certified*™ products across its facilities. The Chain of Custody system includes the documented policies and procedures, recording of product movements and critical processing points, as well as the mechanisms to ensure segregation of *Rainforest Alliance Certified*™ products during the receiving, handling, storage, processing, clearance and shipping processes.
- **Certified Client:** A client can be considered *Rainforest Alliance Certified*™, once it obtains the *Rainforest Alliance Certified*™ certification.
- **Client:** Farms, group administrators or operations that process, pack or manipulate *Rainforest Alliance Certified*™ products that apply for *Rainforest Alliance Certified*™ certification or are in process of being *Rainforest Alliance Certified*™. A client can be considered *Rainforest Alliance Certified*™, once it obtains the *Rainforest Alliance Certified*™ certificate.
- **Coercion:** Using force to cause the imposition of conditions to an inspection body's audit team with the objective to oblige a conduct or dismissal of a determined behavior in order to influence audit results.
- **Farm:** The unit subject to certification or audits.
- **Inspection body:** Unit that conducts *Rainforest Alliance Certified*™ certification audits for farms and groups. An Inspection Body must comply with the sub-contract conditions defined by the Certification Body.
- **Non-programmed Audit:** A process planned by the respective certification or inspection bodies, authorized as a method of supervision with respect to the client's compliance with the valid SAN standards and policy documents, in order to assure compliance with certification requirements and maintain the program's credibility. This process is not announced to the client and its costs are covered by the respective certification or inspection bodies.
- **Pre-audit:** The objective of the pre-audit is to evaluate the management system implemented in a farm and its compliance with the applicable SAN standards and policy documents. The result that is delivered to the client is the analysis of the moment about the findings that deserve follow-up by the client in order to raise possibilities to comply with the certification requirements. The pre-audit is requested by the client and its result is not binding for certification audits. The pre-audit is not a condition to be able to apply for a certification audit and its scope cannot be changed.
- **Processing:** Transformation of a product from its original state to a different end product; for example, juice extraction from fruits grown on *Rainforest Alliance Certified*™ farms, or mixture of various coffee varieties prior to or following the roasting process.
- ***Rainforest Alliance Certified*™:** The status of a farm that has been awarded the *Rainforest Alliance Certified*™ certification based on compliance with existing certification conditions defined by the Certification Body.

- ***Rainforest Alliance Certified*™ Products:** Products derived from crops grown on a *Rainforest Alliance Certified*™ farm. These include processed or semi-processed products that have not been mixed with products from non-certified farms.
- **Research Audit:** A non-programmed process that corresponds to a complaint about a *Rainforest Alliance Certified*™ farm or group. Its objective is to monitor and evaluate the farm's compliance with the respective valid SAN standards & policy documents. The cost of the process is covered by the authorized Inspection Body.
- **Sustainable Agriculture Network Secretariat:** A SAN member that acts as SAN's International Secretariat in regards to standards and policy development, as well as the coordinator of the related processes.
- **Verification Audit:** Its objective is to confirm the compliance with a corrective action plan as a result of a client's certification or annual audit of to be presented in response to the non-conformities identified during previous audits. The cost of the process is covered by the client.

FARM CERTIFICATION POLICY

This policy defines the conditions for clients to obtain or maintain *Rainforest Alliance Certified*™ certification based on SAN's Sustainable Agriculture Standard, as well as other applicable SAN standards and policy documents.

I. GENERAL CONDITIONS

a. *Rainforest Alliance Certified*™ certification for farms is based on the Sustainable Agriculture Standard and other applicable SAN standards and policy documents. It is valid for three calendar years and begins from the date onwards that the first *Rainforest Alliance Certified*™ certificate is granted.

b. The maintenance of *Rainforest Alliance Certified*™ certification is subject to annual audits and the renewal of the certificate that has a validity of 12 months.

c. The Sustainable Agriculture Network's (SAN) Secretariat does *NOT* authorize the emission of *Rainforest Alliance Certified*™ certificates for farms that cultivate the crops specified in Annex 1 of this document.

d. The Sustainable Agriculture Network's Secretariat *DOES* approve the certification audit processes of *Rainforest Alliance Certified*™ certification and emission of *Rainforest Alliance Certified*™ certificates for farms that cultivate the crops specified in Annex 2 of this document.

- **i. In the case of crops not listed in Annex 2, the SAN Secretariat is authorized to analyze the scope of the applicable SAN standards & policy documents for this specific crop and to decide about the respective authorization for *Rainforest Alliance Certified*™ farm certification.**

e. In order to obtain *Rainforest Alliance Certified*™ certification, a client must:

- **i. Be evaluated by a certification audit – conducted by an authorized inspection body.**
- **ii. Comply with the contents of Sustainable Agriculture Standard, other SAN standards and policy documents, as well as the SAN Scoring System defined in Section II of this policy.**
- **iii. Sign the *Rainforest Alliance Certified*™ Certification Agreement with Rainforest Alliance. In the case that the holder of the signature manages a different language than English, the authorized inspection or certification body must deliver to the client a copy of this document in a language that the client can read and understand, in order to assure that the client is aware of the certification conditions.**
- **iv. Comply with all administrative processes defined by the respective inspection and certification bodies.**

f. In order to maintain the status of *Rainforest Alliance Certified*™ certification, the client must:

- **i. Be evaluated during a 3-year certification audit cycle (see Section III).**
- **ii. Maintain compliance with the SAN Scoring System defined in Section II of this policy.**
- **iii. Collaborate with any audit justified by the certification body.**
- **iv. Comply with the conditions defined in the *Rainforest Alliance Certified*™ Certification Agreement with Rainforest Alliance.**

g. When a client begins a new *Rainforest Alliance Certified*™ certification cycle – for the first time or after the cancelling of certification – from the emission date of the *Rainforest Alliance Certified*™ certificate onwards, the sale of the product as *Rainforest Alliance Certified*™ is permitted, if it has been harvested during the previous six months, under the condition that

the sales volume of this certified product does not exceed the total harvest volume during the first year of certification – as previously approved in the audit report.

h. The inspection body must not change the scope of an audit without prior approval of this action by the Certification Body.

i. The authorized auditors of an inspection body are not permitted to participate in technical assistance activities – such as pre-audits or technical assistance – in the same farms that have been audited or will be audited by them.

j. If a client processes, packs, stores or manipulates *Rainforest Alliance Certified*™ products together with non-certified products, the client must implement *Requirements for Chain of Custody Approval – Sustainable Agriculture Network* in all processing, packaging, storing or other product managing units.

k. *Rainforest Alliance Certified*™ *- Use of Seal Guidelines* applies for all *Rainforest Alliance Certified*™ clients.

l. All other cases, which are not covered by this policy will be analyzed and decided upon by the respective certification body, who might consult the SAN secretariat for special cases.

II. SAN'S SCORING SYSTEM FOR AUDITS

The following scoring system applies:

a. <u>General Compliance:</u> Auditors apply the following scoring system during farm. Farm performance is scored based on all <u>applicable</u> criteria.

- **i. In order to obtain and maintain certification, the farms must comply with at least 80% of all applicable criteria and 50% of each principle's applicable criteria.**
- **ii. In the case of oilpalm, sugarcane, soy, peanut or sunflower plantation audits, audits are based on *Sustainable Agriculture Standard, version April 2009 - Sustainable Agriculture Network* and *SAN Addendum – Additional SAN Criteria for oilpalm, sugarcane, soy, peanut and sunflower farms - Sustainable Agriculture Network*.**

b. <u>Critical Criteria:</u> *Sustainable Agriculture Standard, version April 2009 - Sustainable Agriculture Network* contains 14 critical criteria. Additionally, the *SAN Addendum – Additional SAN Criteria for oilpalm, sugarcane, soy, peanut and sunflower farms - Sustainable Agriculture Network* contains two more critical criteria. The *SAN Addendum* only applies to audits of oilpalm, sugarcane, soy, peanut or sunflower farms.

- **i. A farm must completely comply with a critical criterion in order for the farm to be certified or maintain certification - partial compliance is not sufficient.**
- **ii. These are identified with the text "*Critical Criterion*" at the beginning of the criterion.**
- **iii. Any farm not complying with a critical criterion will not be certified, or certification will be cancelled, even if all other certification requirements have been met. If a farm's certification is cancelled because of this reason, a new certification audit cannot be planned during the three months that follow the date of communication about the cancelling of certification.**
- **iv. During the audit process, an inspection body's auditor team must not accept the resolution of non-conformities on critical criteria by a client.**

c. <u>Compliance at the criterion level:</u> If the farm does not comply with the implementation of any of the practices defined in the criteria of *Sustainable Agriculture Standard, version April 2009 - Sustainable Agriculture Network*, this fact will result in the designation of a non-conformity, which is determined on the basis of each individual criterion. There are two

categories of non-conformities: 1) Major Non-Conformity, and 2) minor non-conformity. The following is the level of compliance established for each of these two categories:

i. <u>Major Non-Conformity (MCN):</u> indicates a 0% to 49% compliance with a criterion.

ii. <u>minor non-conformity (mcn):</u> indicates a 50% to 99% compliance with a criterion.

d. <u>Final Calculation of the Score:</u> The score of each finding must be calculated as follows:

i. *Compliance percentage at the criterion level*:

With respect to each finding, the respective score is calculated as follows:

Category of Compliance	Percentage
Compliance	100%
Minor non-conformity	50%
Major Non-Conformity	0%
Not applicable	*Not to be included in calculation*

ii. *Percentage of Compliance per Principle*:

1. **The respective score is assigned to each applicable criterion (RSAC = Respective Score of the Applicable Criterion).**
2. **The sum of all scores of the applicable criteria of one principle is calculated.**
3. **This sum is divided by the number of applicable criteria of this principle.**
4. **The following formula applies:**

$$\% \text{ Principle} = \frac{\sum (RSAC_1 + RSAC_2 + \ldots RSAC_n)}{\text{Number of Applicable Criteria of the Principle}}$$

iii. *Percentage of General Compliance*:

1. **The sum of all scores of the applicable criteria of the standard is calculated (RSAC = Respective Score of the Applicable Criterion).**
2. **This sum is divided by the number of applicable criteria of the standard.**
3. **The following formula applies:**

$$\% \text{ General Compliance} = \frac{\sum (RSAC_1 + RSAC_2 + \ldots RSAC_n)}{\text{Number of Applicable Criteria of the Standard}}$$

III. AUDIT SCOPE

a. The scope of farm audits is determined as the whole farm, its infrastructure, processing and packaging areas, conservation and housing areas, as well as all the workers affected by the impact caused by its production activities.

b. If a farm is divided by two or more production plots, which are geographically separate, this information must be detailed in the documents of certification application, so that the certification audit scope can be considered accordingly.

c. If a farm has livestock production areas, such as cattle, the respective SAN standards & policy documents apply, with the following exceptions:

i. Integrated herd management.

ii. Animal handling.

iii. Chemical substances for veterinary treatment.

iv. **Nevertheless, the client must comply with all requirements about the use and application of agrochemicals defined in *Sustainable Agriculture Standard, version April 2009 - Sustainable Agriculture Network*.**

d. **<u>Scope of a Certification Audit</u>: Determine the client's compliance level with respect to the valid SAN standards & policy documents. An audit team with a multidisciplinary focus conducts the audit for a first time when the client opts for certification and before the renewal of the certification agreement at the end of the three-year certification cycle.**

e. **<u>Scope of an Annual Audit</u>: Verify that a client is conducting corrective actions that can rectify the non-conformities detected during previous audits, evaluate the continuous improvement process with the respective valid SAN standards & policy documents or review specific aspects requested by the client. The size of the audit team and the duration of the annual audit depend on the farm's conditions, as well as the severity of the non-conformities found in previous audits. The client's scoring percentage is submitted to a new evaluation and the scoring percentage is adjusted accordingly. When an audit team finds a new evidence for a new non-conformity, it has the right to broaden the audit's scope and length to verify and confirm the extension and severity of the non conformities.**

f. **<u>Scope of a Verification Audit</u>: Verify the compliance level of a corrective action plan based on a report of a previous certification or annual audit that a client must present in response to the non-conformities detected during these processes. The auditor or audit team writes a report with a punctual focus about the evaluation of the client's continuous improvement. The client's compliance percentage is re-calculated, if non-conformities are detected or resolved in order to reevaluate, if a client complies with the certification conditions. In the case, that a client can correct a non-compliance with a criterion by the presentation of documents, only in this case the verification audit method can be a desk study, without the need to conduct an *in situ* audit.**

g. **<u>Scope of a Research Audit</u>: A process approved by the Certification Body as the response to a claim or suspect about the client's non-compliance with applicable SAN standards and policy documents or with the Certification Agreement. The client does not receive a notification about a research audit. The research audit is based on an audit plan to review the topics mentioned in the claim.**

h. **<u>Scope of a Non-Programmed Audit</u>: A process planned by the respective certification or inspection bodies, authorized as a method of supervision with respect to the client's compliance with the valid SAN standards and policy documents, in order to assure compliance with certification requirements and maintain the program's credibility. This process is not announced to the client and its costs are covered by the respective certification or inspection bodies.**

i. **<u>Scope of a Pre-Audit</u>: The objective of the pre-audit is to evaluate the management system implemented in a farm and its compliance with the applicable SAN standards and policy documents. The result that is delivered to the client is the analysis of the moment about the findings that deserve follow-up by the client in order to raise possibilities to comply with the certification requirements. The pre-audit is requested by the client and its result is not binding for certification audits. The pre-audit is not a condition to be able to apply for a certification audit and its scope cannot be changed.**

IV. CERTIFICATION AUDIT CYCLE

a. The certification audit cycle is composed by the following elements (see figure 1):

- **i. A certification audit to begin the cycle (Year 0) and obtain the *Rainforest Alliance Certified*™ certification.**
- **ii. Annual audits one and two years after having received the *Rainforest Alliance Certified*™ certificate in order to maintain the *Rainforest Alliance Certified*™ certification.**
- **iii. A certification audit to begin a new cycle. If the client obtains the *Rainforest Alliance Certified*™ certification for a new cycle, the client must sign a new Certification Agreement with Rainforest Alliance.**
- **iv. Each year- by beginning a new certification audit cycle and before each annual audit - the client must complete a new service application form with the inspection body so that the client's information can be updated.**

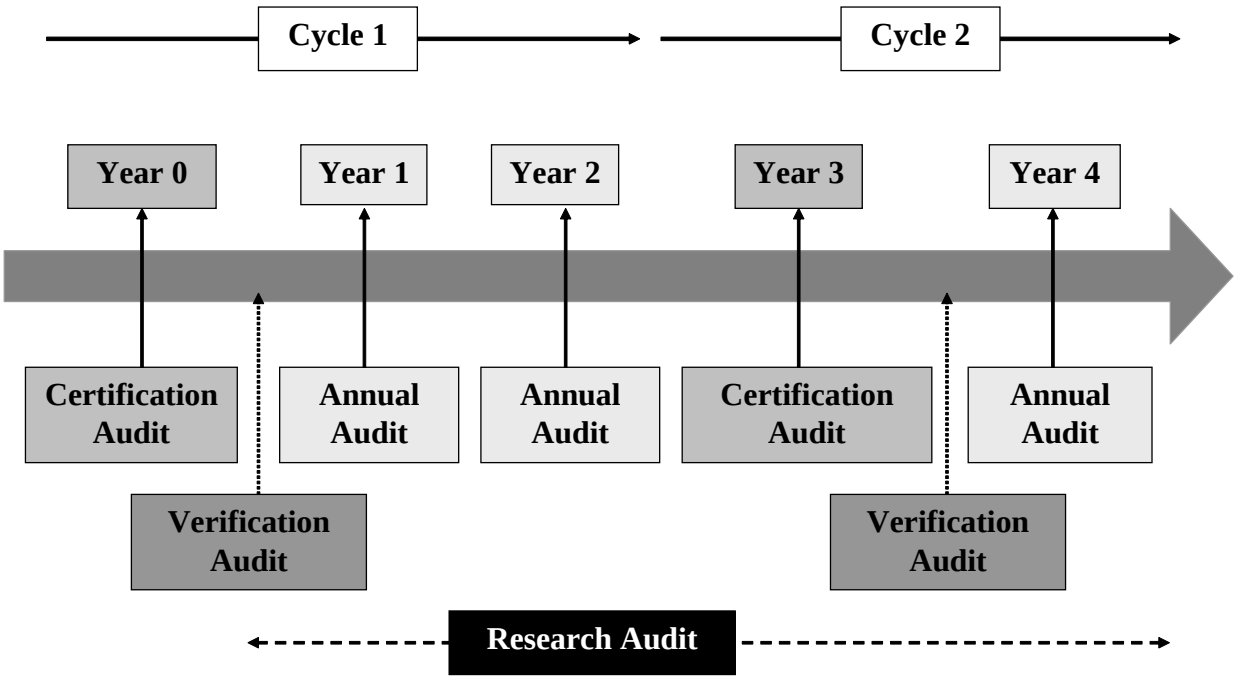
b. The certification body only can authorize verification audits to clients in the following cases:

- **i. The client's obtained percentage score during the previous audit is minimum 70%.**
- **ii. In the moment a verification audit begins, no more than four months must have been passed since the last previous audit.**
- **iii. If more than four months have passed since the last previous audit, the client must apply to the certification body for a new certification audit.**

c. In the case of claims from external actors about the client's non-compliance with SAN applicable standards and policy documents, the certification body analyzes the case and decides if a research audit can be authorized.

- **i. The research audit can be conducted by the certification or inspection body that received the complaint or suspect.**
- **ii. The inspection body must deliver a research audit report to the certification body for its respective decision.**

Figure 1: Illustration of the Certification Audit Cycle



V. SCOPE OF THE *Rainforest Alliance Certified*™ CERTIFICATE

The following elements determine the contents of the *Rainforest Alliance Certified*™ certificate for farms:

a. The *Rainforest Alliance Certified*™ certificate must include the reference code covered by the audit scope.

b. The *Rainforest Alliance Certified*™ certificate must indicate the crop or crops covered by the *Rainforest Alliance Certified*™ certification.

c. The *Rainforest Alliance Certified*™ certificate of a farm can only includes those crops mentioned in Annex 2 of this policy or which are previously authorized by SAN's Secretariat.

d. The *Rainforest Alliance Certified*™ certificate must not include any crop mentioned in Annex 1 of this policy, nor cattle production or related products.

e. A *Rainforest Alliance Certified*™ client can apply in any moment for the change of the *Rainforest Alliance Certified*™ certificate's scope with the objective to raise or diminish the farm extension measured in hectares or change the crops covered by the respective certification. The following rules apply:

i. The inclusion of new crops must be subject to a certification audit process before the certification body can authorize its inclusion in the new *Rainforest Alliance Certified*™ certificate.

ii. The inclusion of a new production area that is bigger than 10% of the original production area must also be subject to a certification or annual audit before the certification body can authorize its inclusion in the new *Rainforest Alliance Certified*™ certificate.

iii. The decrease of production area hectares must be communicated by the client to the respective inspection or certification body, so that the latter can modify the certification scope and the certified production.

iv. As a consequence of points *V.e.i* y *V.e.ii*, a new certification audit cycle must start and a new certification agreement must be signed with Rainforest Alliance.

v. The increase of certified production area (in hectares) of a crop already audited previously, is only permitted without a new previous certification audit that evaluates this new section of the farm, if the extension of this new section is not bigger than 10% of the originally certified production area.

f. The change of the *Rainforest Alliance Certified*™ certification scope can only be authorized by the Certification Body.

VI. CONDITIONS FOR THE CANCELLING OF A CERTIFICATION

The following conditions determine the cancelling of a client's *Rainforest Alliance Certified*™ certification:

a. The certification body can decide on the cancelling of a client's *Rainforest Alliance Certified*™ certification in any moment during the certification audit cycle, if:

i. The client does not comply with some of the binding requirements indicated in this SAN *Farm Certification Policy*.

ii. The client does not comply with the conditions established in the *Rainforest Alliance Certified*™ certification agreement.

iii. The client does not adopt the applicable SAN standards and policy documents and its modifications within the timeline established by the SAN Secretariat.

iv. The client blocks the process of any audit that has been justified by a certification or inspection body.

v. **The client commits an act of coercion or bribery to an auditor of an inspection or certification body with the objective to influence the audit results.**
vi. **The client does not comply with *Requirements for Chain of Custody Approval – Sustainable Agriculture Network*, if applicable.**
vii. **The client does not comply with *Rainforest Alliance Certified™ - Use of Seal Guidelines*, if applicable.**
viii. **An annual or certification audit is conducted after the date of the certificate's expiration for each year, because of reasons caused by the client. The cases mentioned in point *VI.c* of this policy are the only exception to this rule.**
ix. **The client selects voluntarily not to continue with the *Rainforest Alliance Certified™* certification.**

b. **The decision to cancel a *Rainforest Alliance Certified™* certification is valid from the date onwards that the certification body communicates it to the client.**
c. **The certification body can only authorize extensions to the date of a certificate's expiration, after the due analysis of each individual case based on the description of the situation and the solicited period of extension, if one of the following events occurs:**
   i. **Cases of *force majeure*, like natural disasters (earthquakes, hurricanes, flooding, or similar).**
   ii. **War or other proven acts of violence.**
   iii. **Political or regulatory circumstances out of the client's control.**
   iv. **Unforeseen incapacity of audit team members.**
d. **In the case of farms that cultivate sugarcane – when closing the first certification audit cycle – a non-compliance with critical criterion 8.8 leads to the definitive cancelling of *Rainforest Alliance Certified™* certification without any option for re-application. Within this rule, the possible change of farm owners is included.**

VII. CONSEQUENCES OF THE CANCELLING OF A CERTIFICATION

a. **If a *Rainforest Alliance Certified™* client receives the communication of the certification body about the cancelling of its *Rainforest Alliance Certified™* certification, no sale, transfer of ownership or other transactions of its products as *Rainforest Alliance Certified™* products – including leftovers of stored products – are permitted.**
   i. **Consequently, the client must inform to all its buyers about the restrictions that apply for the *Rainforest Alliance Certified™* seal use.**
b. **The cancelled client can only sell its product as *Rainforest Alliance Certified™* product, if the sales contract is dated previous to the date of the certification body's communication about the cancelling of certification.**
   i. **The client must present evidence to the existence of this sales contract to the certification body.**
   ii. **If the client's product was harvested or sold during the valid period covered by the certification agreement, the buyers within the value chain of the respective client's product are authorized to use the *Rainforest Alliance Certified™* seal, as established by *Rainforest Alliance Certified™ - Use of Seal Guidelines.***
c. **The client must not use the *Rainforest Alliance Certified™* seal, as established by *Rainforest Alliance Certified™ - Use of Seal Guidelines*, for example in any product or package, physical**

or electronic promotion material or media, as brochures or Web pages, signs or other type of documentation that mention *Rainforest Alliance Certified*™ products.

d. The certification body must notify the *Rainforest Alliance Certified*™ Seal Approval Committee immediately about the respective cancelling of a client's *Rainforest Alliance Certified*™ certification.

e. In the case of a cancelled client that opts again for certification, its leftovers of stored products must not be sold as *Rainforest Alliance Certified*™ products.

VIII. CONDITIONS AND PERIODS FOR THE RE-APPLICATION OF CERTIFICATION

a. If a cancelled client wishes to apply again for *Rainforest Alliance Certified*™ certification, the client must be again subject to a new certification audit.

b. An inspection body must not program a certification audit date within the three months after the date of communication about the cancelling of a *Rainforest Alliance Certified*™ certification, for all the clients whose *Rainforest Alliance Certified*™ certification has been cancelled because of not having complied with the certification conditions.

c. Those clients who have committed fraud, bad intention or non-ethical actions that represent a negative impact to the *Rainforest Alliance Certified*™ certification program and its credibility, are not authorized to re-apply for certification during the first year after the date of communication about the cancelling of a *Rainforest Alliance Certified*™ certification.

d. For the case of those clients whose *Rainforest Alliance Certified*™ certification has been cancelled due to the expiration of the certificate, these can apply immediately for a new *Rainforest Alliance Certified*™ certification audit to re-start a new certification audit cycle.

Annex 1: Crops Not Authorized for *Rainforest Alliance Certified*™ Certification

SAN's Secretariat does NOT authorize the *Rainforest Alliance Certified*™ certification for clients that cultivate the following crops:

1. **Jatropha (*Jatropha curcas*)**
2. **Cotton (*Gossypium hirsutum*)**
3. **Rice produced in flooded systems (*Oryza* sp.)**
4. **Edible mushrooms (Order Agaricales)**
5. **Tobacco (*Nicotiana tabacum*)**
6. **Cannabis (*Cannabis sativa*)**
7. **Opium poppy (*Papaver somniferum*)**

Annex 2: List of Authorized Crops for *Rainforest Alliance Certified*™ Certification

SAN's Secretariat <u>does</u> authorize *Rainforest Alliance Certified*™ certification for clients that cultivate the following crops - falling in the following categories:

- **a. Agroforestry Crops**
- **b. Crops traditionally harvested by families**
- **c. Crops with an average plant height lower than two meters and cultivated in monocultures:**
  - **i. Fruits**
  - **ii. Vegetables**
- **d. Other Authorized Crops**
  - **i. Fruit Trees**
  - **ii. Other Fruit Crops**
  - **iii. Flowers**
  - **iv. Ornamental Plants**
  - **v. Other Crops**

1. Agroforestry Crops

Common Name	Scientific Name
Cocoa	*Theobroma cacao*
Coffee	*Coffea arabica*
Macadamia	*Macadamia integrifolia; M. tetraphylla*

2. Crops traditionally harvested by families

Common Name	Scientific Name
Cocoa	*Theobroma cacao*
Coffee	*Coffea arabica* and *Coffea canephora (*syn. *Coffea robusta)*
Tea	*Camellia sinensis*

3. Crops with an average plant height lower than 2 m and cultivated in monocultures

a. Fruits

Common Name	Scientific Name
Calabash	*Lagenaria siceraria*
Pineapple	*Ananas comosus*
Melon	*Cucumis melo*
Strawberry	*Fragaria* sp.
Watermelon	*Citrullus vulgaris; C. lanatus*

b. Vegetables

Common Name	Scientific Name
Alfalfa	*Medicago* sp.
Arracacha	*Arracacia xanthorriza*
Asparagus	*Asparagus officinalis*
Bean	*Phaseolus vulgaris*
Beet, beetroot	*Beta vulgaris*
Broccoli	*Brassica oleracea*
Buttercup squash	*Cucurbita maxima*
Cabbage	*Brassica oleracea* var. *capitata*
Cape gooseberry, ground-cherry, golden berry, uchuva, Inca berry	*Physalis peruviana*
Carrot	*Daucus carota*
Cassava, manioc, casava, yuca	*Manihot esculenta*
Celery	*Apium graveolens*
Chayote, chocho, christophine	*Sechium edule*
Chilacayote, fig-leaved gourd, malabar gourd, Thai marrow, shark fin melon, chiverre, pie melon	*Cucurbita ficifolia*
Chile pepper	*Capsicum annum*
Cilantro	*Coriandrum sativum*
Coliflower	*Brassica oleracea* var. *botrytis*
Common bean	*Phaseolus vulgaris*
Corn	*Zea mays*
Cucumber	*Cucumis sativus*
Eggplant, Aubergine	*Solanum melongena*
Endive	*Cichorium endivia*
Garlic	*Allium sativum*
Ginger	*Zingiber officinale*
Leek	*Allium porrum*
Lettuce	*Lactuca sativa*
Onion	*Allium cepa*
Pea	*Pisum sativum*
Peanut	*Arachis hypogea*
Potato	*Solanum* sp. *tuberosum/andigenum*
Pumpkin	*Cucurbita mixta*
Radish	*Raphanus sativus*
Sesame seeds	*Sesamum indicum*
Squashes and pumpkins	*Cucurbita moschata*
Sweet Potato	*Ipomoea batatas*
Taro, Kalo	*Colocasia esculenta*
Tiquisque	*Xanthosoma sagittifolium*
Tomato	*Lycopersicon* sp.
Squash, gourd, pumpkin, zucchini	*Cucurbita pepo*
Watercresses	*Nasturtium officinale*
Yam	*Dioscorea alata, D. trifida*

4. Other Authorized Crops

a. Fruit Trees

Common Name	Scientific Name
Açaí palm	*Euterpe oleraceae*
Apple	*Malus domestica*
Apricot	*Prunus armeniaca*
Avocado	*Persea americana, P. nubigena*
Azarole hawthorn	*Crataegus azarolus*
Cashew	*Anacardium occidentale; syn. Anacardium curatellifolium*
Cherry	*Prunus avium*
Chestnut	*Castanea* spp.
Citron	*Citrus medica*
Coconut	*Cocos nucifera*
Common fig	*Ficus carica*
Cupuaçu	*Theobroma grandiflorum*
Curaba	*Passiflora mallisima*
Date palm	*Phoenix dactylifera*
European pear	*Pyrus communis*
Grapefruit	*Citrus grandis, C. paradisi*
Great morinda, Indian mulberry, Beach mulberry, Tahitian Noni	*Morinda citrifolia*
Guava	*Psidium guajaba*
Ice-cream-bean	*Inga edulis, I. mollifoliola, I. paterno*
Kiwi	*Actinidia chinensis*
Lemon	*Citrus aurantifolia, C. limon*
Loquat	*Eriobotrya japonica*
Lychee	*Litchi chinensis*
Malay/Mountain Apple, Plum Rose	*Syzygium malaccense;* synonim *Eugenia malaccensis*
Mandarin orange	*Citrus nobilis, C. reticulata*
Mango	*Mangifera indica*
Oilpalm	*Elaeis guineensis*
Olive	*Olea europaea*
Orange	*Citrus aurantium, C. sinensis*
Palmito Juçara	*Euterpe edulis*
Papaya	*Carica papaya*
Passionfruit	*Passiflora* sp.
Peach	*Prunus persicae*
Peach-palm, peyibay(e), pejivalle, pupuña	*Bactris gasipaes*
Plum, gage	*Prunus domestica*
Rambutan	*Nephelium lappaceum*
Soursop	*Annona muricata*
Sweet Granadilla	*Passiflora ligularis*

b. Other Fruit Crops

Common Name	Scientific Name
Banana	Varieties of *Musa acuminata* and *M. paradisiaca*
Other banana varieties	Varieties of *Musa* spp.
Grapes	*Vitis vinifera; Vitis* sp.
Plantain	Varieties of *Musa balbisiana* and *M. acuminata*

c. Flowers

Common Name	Scientific Name
Flowers	Familias: Amaranthaceae, Araceae, Begoniaceae, Compuesta, Ericaceae, Heliconiaceae, Iridaceae, Liliaceae, Orchidaceae, Papilionaceae, Primulaceae Rosaceace, Solanaceae, Strelitziaceae, Violaceae, Zingiberaceae
Sunflower	*Helianthus annuus*

d. Ornamental Plants

Common Name	Scientific Name
Leather leaf fern	*Rumohra adiantiformis*
Other ornamental plants	*Nephrolepis* sp., *Pteris* sp., *Adiantum* sp., *Asplenium* sp.

e. Other Crops

Common Name	Scientific Name
Agave	*Agave* sp.
Aromatic herbs	For example, *Ruta graveolens, Ocimum basilicum, Mentha piperita*
Cinnamon	*Cinnamomum zeylanicum*
Gilled mushrooms	*Agaricales* Order
Kenaf	*Hibiscus cannabinus*
Nopal	*Opuntia* sp.
Rubber tree (Pará)	*Hevea brasiliensis*
Pecan nut	*Carya illinoinensis*
Pepper	*Piper nigrum*
Pistachio	*Pistacia vera*
Quinua, quinoa o kinwa; tupapa supha, jopa, jupha, juira, ära, qallapi, vocal, linquiñique, suba, pasca, dawe, sawe, chichiconwa, ayara, kiuna, kitaqañiwa, kuchikinwa, kiwicha, achita, qañiwa, qañawa	*Chenopodium quinoa*
Robusta Coffee	*Coffea canephora;* syn. *Coffea robusta*
Roselle	*Hibiscus sabdariffa*
Soy	*Glycine max*
Sugarcane	*Saccharum officinarum*
Vanilla	*Vanilla planifolia*
Walnut	*Junglans regia*
Yerba mate	*Ilex paraguayensis , I. paraguensis, I. mate, I. domestica, I. sorbilis*