



Sustainable  
Agriculture  
Network

# Group Certification Policy

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Sustainable Agriculture Network (SAN):

Conservación y Desarrollo, Ecuador · Fundación Interamericana de Investigación Tropical, Guatemala ·  
Fundación Natura, Colombia · ICADE, Honduras · IMAFLORA, Brazil · Nature Conservation Foundation, India ·  
Pronatura Sur, Mexico · Rainforest Alliance · SalvaNatura, El Salvador

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## Introduction

### The Sustainable Agriculture Network and Rainforest Alliance

The Sustainable Agriculture Network (SAN) is a coalition of independent non-profit conservation organizations that promote the social and environmental sustainability of agricultural activities by developing standards. Standard and policy development and review is coordinated by the SAN secretariat based in San José, Costa Rica. A Certification Body certifies farms or group administrators that comply with SAN's standards and policies. Certified farms or group administrators can apply for use of the *Rainforest Alliance Certified*<sup>™</sup> trademark for products grown on certified farms.



Since 1992, more than 800 certificates for more than 80,000 farms - including small family farms of cooperatives, as well as plantations - in 29 countries (Argentina, Brazil, Chile, Colombia, Costa Rica, Côte d'Ivoire, Dominican Republic, Ecuador, El Salvador, Ethiopia, Ghana, Guatemala, Honduras, India, Indonesia, Jamaica, Kenya, Malawi, Mexico, Nicaragua, Panama, Papua New Guinea, Peru, Philippines, Sri Lanka, Tanzania, United States, Vietnam and Zambia) have met the Sustainable Agriculture Standard on more than 800,000 ha for 30 crops: acaí palm, allspice and pepper, apple, avocado, banana, blueberry, cherry, chestnut, citrus, cocoa, coffee, cupuacu, flowers, foliage, grapes, heart palm, jocote, kiwi, leek, macadamia, mango, mangosteen, pear, pineapple, plum, radicchio, sugarcane, sweet onion, tea and tomato.

The SAN has the following members: Conservación y Desarrollo (C&D), Ecuador; Fundación Interamericana de Investigación Tropical (FIIT), Guatemala; Fundación Natura, Colombia; ICADE, Honduras; IMAFLORA, Brazil; Nature Conservation Foundation, India; Pronatura Chiapas, Mexico; SalvaNatura, El Salvador; and Rainforest Alliance.

### The Sustainable Agriculture Network's Mission

The Sustainable Agriculture Network (SAN) promotes efficient agriculture, biodiversity conservation and sustainable community development by creating social and environmental standards. SAN fosters best management practices across agricultural value chains by encouraging farmers to comply with SAN standards and by motivating traders and consumers to support sustainability.

SAN pursues its mission by:

- Integrating sustainable production of crops and livestock into local and regional strategies that favor biodiversity conservation and safeguard social and environmental well-being.
- Raising awareness among farmers, traders, consumers and business leaders about the interdependencies among healthy ecosystems, sustainable agriculture and social responsibility.
- Impressing upon business leaders and consumers the importance of choosing products grown on environmentally sustainable and socially responsible farms.
- Stimulating dialog among environmental, social and economic groups, North and South, about the benefits of sustainable agriculture.

## Objective of the Policy

The *SAN Group Certification Policy*'s objectives are to:

1. Communicate the general certification conditions for group administrators and their group members interested in certification based on SAN standards and policy documents.
2. Determine the scope of the SAN certificate for group administrators and their group members.
3. Establish the conditions for and consequences of the cancelling of a group administrator's certificate.
4. Define the information a group administrator has to provide to the certification body to be covered by the group certification report.
5. Describe the rules for possible changes of the scope of the group administrator's certificate.

## Scope and Implementation of the Policy

- The *SAN Group Certification Policy* applies to group administrators of the group models defined in Section 1 - General Conditions.
- Any new models not covered by this policy will be accordingly reviewed and analyzed by the SAN secretariat.

- This *SAN Group Certification Policy* applies for audit and certification processes for all group administrators and their member farms as of **July 1, 2011** onwards. This implies that all group administrators will be submitted to a certification audit to begin a new audit cycle.
- Group administrators can voluntarily choose for group certification audits based on this new *SAN Group Certification Policy* as of April 1, 2011 – under the condition that the audit teams have been trained by the SAN Secretariat on the *Group Certification Standard* and *Group Certification Policy*.

## Sources

Concepts for this document have been adapted from the following sources:

ISEAL Alliance. Common Requirements for the Certification of Producer Groups. Common Requirements for the Certification of Producer Groups (P035 - Public Version 1). November, 2008.

Rainforest Alliance. Standards for Group Certification - Rainforest Alliance Certification. November 2004 Version.

## Terms and Definitions

The majority of the following definitions have been modified based on *ISEAL Alliance Common Requirements for the Certification of Producer Groups*:

- **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.

- **Audit (External Audit):** A systematic, independent and documented process carried out by a SAN authorized auditor on behalf of a certification body for obtaining evidence and evaluating it objectively to determine the extent to which SAN standard and policy requirements are fulfilled.
- **Audit Cycle:** A period of three years that begins with a certification audit and includes yearly audits approximately one and two years after the certification audit.
- **Auditor:** A person appointed by a certification or inspection body and approved by SAN to perform an external audit.
- **Certified Product:** Crops and the products derived from them, produced on a certified farm that complies with applicable SAN standards and policies. The certified product that complies with the SAN Chain of Custody requirements can bear the *Rainforest Alliance Certified™* seal.
- **Certification Body:** An organization that decides to issue or cancel a certification by the SAN. A Certification Body may subcontract Inspection Bodies to undertake audits, and if so it controls the quality of their functions. Certification Bodies must become approved or accredited prior to being able to offer certifications to all clients.
- **Chain-of-Custody:** All steps in the production chain between primary production and final consumption (including growing, handling, processing and retailing).
- **Client:** Farms or group administrators that apply for certification by the SAN are in process of being certified to SAN standards or who are certified to SAN standards.
- **Conflict of Interest:** The situation where an individual or group's capacity for objectivity is put at risk by financial or personal interests that are in conflict with their interest in conducting fair and impartial internal inspections.
- **Continuous Improvement:** Recurring activity that has the effect of increasing the ability of a group to fulfil SAN standard and policy requirements. The process of establishing objectives and finding opportunities for improvement is a continual process, based on risk assessment, audit findings, management reviews and other means.
- **Contract:** A binding agreement.
- **Corrective Action:** An action that corrects a finding that led to the definition of a non conformity.
- **Declaration of Interest:** A declaration of personal and/or commercial interests in the certified production by those involved in the certification process, to enable determination of an individual's objectivity.
- **Document:** Consists of information and its means of back-up. These means can be paper, sample, photograph, or magnetic, optical or electronic disc.
- **Farm:** A primary production unit – can be composed of several neighboring or geographically separate production plots - subject to certification or audits: a plantation, estate or smallholder farm.
- **Force majeure:** Natural disasters (like earthquakes, hurricanes, flooding, landslides or similar), war or other proven acts of violence, political or regulatory circumstances out of the client's control or unforeseen incapacity of audit team members.

- **Group Administrator:** The entity that signs the certification contract with the SAN approved certification body and takes responsibility for the development, execution and maintenance of the internal management system and for verification of farm compliance with Sustainable Agriculture Network standard and policy documents.
- **Group Certification:** Certification of an organized group of producers with similar production systems, where certification applies to the group as a whole.
- **Group Member:** The owner or responsible person of one or more member farms.
- **Internal Inspector:** A person appointed by a producer group to undertake an internal inspection of individual group members based on Sustainable Agriculture Network standard and policy documents.
- **Internal Management System (IMS):** A documented set of procedures and processes that a group will implement to ensure it can achieve SAN standard and policy requirements. The existence of an Internal Management System allows the SAN approved certification body to delegate inspection of all individual group members to an identified body within the producer group.
- **Member Farm:** Farm owned or managed by a group member that signed or marked an agreement with the group administrator.
- **Procedure:** Specified way to carry out an activity or a process for the purpose of complying with SAN standard and policy requirements.
- **Processing:** Transformation of a product from its original state to a different end product; for example, juice extraction from fruits grown on farms certified to SAN standards, or mixture of various coffee varieties prior to or following the roasting process.
- **Rainforest Alliance Certified™ (Seal):** The marks of conformity owned by the Rainforest Alliance Inc, and governed by a license agreement and associated rules for seal use. Once certified by the SAN, a Client may apply to the Rainforest Alliance Inc for a license to use the *Rainforest Alliance Certified™ Seal*. Continued use of the *Rainforest Alliance Certified™ Seal* is contingent on both maintaining certification by the SAN and conformity with the license agreement and the rules for seal use.
- **Record:** Document stating results achieved or providing evidence of activities performed.
- **Recurrent Non-Conformity:** A minor or major non conformity for a Sustainable Agriculture Standard criterion that is detected in 50% or more of the farms of the audit sample.
- **Risk Assessment:** Qualification and quantification of the risks associated with critical aspects of a group's operations, including external risks. Risk assessments include identification, analysis and evaluation of risks at the different stages over which a group has responsibility, from group member production to processing and transportation.
- **Risk Scenarios:** Scenarios based on hired labor and pesticide use, such as a High Risk Operation [Minimum one of the following two conditions is met: a.) The farm applies WHO class Ia, Ib or II agrochemicals; or uses aerial or Spray boom spraying for any agrochemical or b.) The farm hires more than 10 employees] or a Medium Risk Operation [Minimum one of the following two conditions is met: a) The farm only applies WHO class III or IV agrochemicals; and the frequency of agrochemical application is not higher than once per month; or b) The farm does not hire more than 10 employees]. Other risk scenarios are the inclusion of a major proportion of new group members in comparison to the previous audit scope, minimum scores during previous audits with evidence of a

deficient corrective action system, significantly increased value of *Rainforest Alliance Certified™* products, as well as new internal management system personnel or management, in general. The detection of recurrent non-conformities also represent a risk scenario, as well as a region of a country, where the group administrator and its members is located, with high rates of ecosystem destruction.

- **SAN 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.
- **System:** A group of elements that are mutually related or that interact. A management system is a system for establishing policies and objectives, and for attaining those objectives.

## GROUP CERTIFICATION POLICY

### 1. General Conditions

- a. The minimum number of group members is three member farms.
- b. The following types of group administrators can apply for SAN group certification audits:
  - i. Private farms organization: Farms are members of an organization, like a producers' association or a cooperative, which acts as a group administrator. It coordinates the internal management system (IMS), conducts internal inspections, and markets the products from farms included in the certification. The organization provides technical assistance and training opportunities to group members and facilitates socio-environmental management aspects in order to improve group members' compliance with the SAN standards.
  - ii. Farm with third party product suppliers: A farm can buy products from third parties, for example, from smallholder farmers. The farm acts as the group administrator for the smallholders and takes responsibility for the development and management of the internal management system. Technical assistance and training opportunities are provided to the smallholders.
  - iii. A single owner with multiple farms: A group of farms with a single owner or an individual company that operates under the same internal management system in a country and acts as the group administrator. The members of the group cannot be independent entities with different systems. However, they can be registered under different owners for legal reasons, but the connections between them and the owner or the mother company must be clearly documented. This type of group cannot be applied to farms located in different countries under the same owner.
  - iv. Marketing entity and suppliers: Grouping together independent farms under the same marketing umbrella. The marketing entity gets products from different farms and often provides technical assistance. It implements an internal inspection system for farm suppliers in order to guarantee compliance with the client's requirements. The marketer assumes the role of group administrator and takes the responsibility for the development and coordination of the internal management system.
  - v. Group federations: Federations that cluster co-ops, associations, unions, and other producers. These federations carry out the processing and marketing of products, training of group members, administration, and technical assistance for the group members. In these cases, the federation is the de facto group administrator and can opt for a group certification that covers the organizations making up its membership.
  - vi. Communal Lands: Communal land owners include governments, ethnic groups, religious groups, or private group members with the right to use the land for agricultural production and related efforts. The area that each producer can use or specific areas that can be shared among members of the group are defined. Examples include Native Americans, Mexican co-op systems (communal lands) and forest coffee growers in Ethiopia.
- c. Other types of groups not specified in this section are subject to SAN secretariat analysis.
- d. SAN's Group Certification System applies to cattle farms also. In this case, the *SAN Standard for Sustainable Cattle Production Systems* applies additionally to the member farms.

## 2. SAN Group Certification Scoring System

The following scoring system applies for SAN group audits:

- a. Group Administrator's Compliance: In order to obtain and maintain the certification status, the group administrator must comply with:
  - i. All critical criteria of the *SAN Group Certification Standard*;
    - A group administrator must completely comply with a critical criterion in order to be certified or to maintain certification.
    - These are identified with the text "*Critical Criterion*" at the beginning of the criterion.
    - Any group administrator not complying with a critical criterion will not be certified, or certification will be cancelled, even if all other certification requirements have been met.
  - ii. At least 50% of the criteria of each principle.
  - iii. At least 80% of all criteria of this standard at the first certification audit (Year 1).
  - iv. At least 85% of all criteria of this standard at the second (first annual) audit (Year 2). This rule applies to all following audits as of the second certification cycle onwards, but only if the number of member farms has not increased by more than 10% in comparison to the member farm list of the previous audit.
  - v. At least 90% of all criteria of this standard at the third (second annual) audit (Year 3). This 90% rule applies for all following audits of the second certification cycle onwards also, but only if the number of member farms has not increased by more than 10% in comparison to the member farm list of the previous audit.
  - vi. *SAN Group Certification Policy* applies.
- b. Member Farms' Compliance:
  - i. In order to obtain and maintain certification, the group administrator must assure that all its member farms forming part of the representative sample of audited farms comply with the SAN certification requirements (including the scoring system) defined in the SAN Sustainable Agriculture Standard.
  - ii. The following additional rules apply for group administrators with 17 or more group members:
    - Up to 20% of the audited sample of group member farms can score less than 80% but not below 70%. However there must be full compliance with all of the SAN *Sustainable Agriculture Standard's* critical criteria and compliance with at least 50% of the criteria of each principle.
    - For every subsequent audit those group members who had not previously received an 80% score must fully comply with SAN's certification requirements as defined in the SAN *Sustainable Agricultural Standard*. This applies for all following audits and also for audits of new audit cycles.
  - iii. All sampled group member farms of group administrators with 16 or less group members must each comply with the general scoring system of the *Sustainable Agriculture Standard*. The rule mentioned above in sections 2.b and its subsections does not apply in this case. If a farm of the audit sample does not comply, the group administrator is subject to cancelling its certification, if it does not comply with the respective verification audit requirements of section 3.1.

iv. *SAN Farm Certification Policy* applies.

c. Compliance at the Criterion Level:

Not implementing any or some of the practices as defined by the criteria of the *SAN Group Certification Standard* or *SAN Sustainable Agriculture Standard* will result in the assignment of a non-conformity determined on the basis of each individual criterion. There are two categories of non-conformities:

- Major Non-Conformity (MNC): indicates compliance with less than 50% of the criterion requirements.
- minor non-conformity (mnc): indicates compliance with equal or more than 50% of the criterion requirements, but less than 100%.

d. Final Calculation of the Score: 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%
<i>Not applicable</i>	<i>Not to be included in calculation</i>

ii. Percentage of Compliance per Principle:

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

$$\% \text{ Principle} = \frac{\sum (\text{RSAC}_1 + \text{RSAC}_2 + \dots \text{RSAC}_n)}{\text{Number of Applicable Criteria of the Principle}}$$

iii. Percentage of General Compliance:

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

$$\% \text{ General Compliance} = \frac{\sum (\text{RSAC}_1 + \text{RSAC}_2 + \dots \text{RSAC}_n)}{\text{Number of Applicable Criteria of the Standard}}$$

### 3. Certification Requirements for Group Administrators

#### 3.1 Requirements to Obtain and Maintain Certification for a Group Administrator

- a. A group administrator must undergo a group certification audit by a SAN approved certification or inspection body to obtain a certificate, as well as comply with consecutive annual audits and other audit types as defined in *SAN Farm Certification Policy* to maintain its group certification status.
- b. *SAN Group Certification Standard* applies.
- c. In order to obtain and maintain certification, a group administrator must comply with the *SAN Group Certification Scoring System*.
- d. The conditions to authorize a verification audit to a group administrator and its member farms are:
  - i. The certification body only authorizes verification audits to group administrators, within a timeframe of four months after the previous audit, when the group administrator complies with all the critical criteria of *SAN Group Certification Standard*, and complies with at least 50% of the criteria of each principle. Additionally, it must comply with the following conditions:
    - The general score obtained during the first audit of Year 1 is between 70% and 79%.
    - The general score obtained during the audit of Year 2 is between 80% and 84%.
    - The general score obtained during the audit of Year 3 and the following audit cycles is between 85% and 89%.In between the verification audit and the previous audit, the certified product of the group administrator maintains its status until having received the certification body's communication on the verification audit result. If the group administrator again fails to comply with the certification requirements, its certification is cancelled and it must begin a new audit cycle.
  - ii. Additionally, the certification body can authorize verification audits of member farms, within a timeframe of four months after the previous audit, when they comply with all the critical criteria of *SAN Sustainable Agriculture Standard* and comply with at least 50% of the criteria of each principle. This scenario applies to all groups, independently to its number of farm members. Additionally, they must comply with the following conditions:
    - Up to 50% of the audited sample of a group's member farms can have a general score of between 70% and 79% with respect to *SAN Sustainable Agriculture Standard* during certification or annual audits. Within this square root sample those farms need to be included that failed during previous audits.
- e. The group administrator must annually report to the certification body important changes in the group's production and management practices, and any limitations of the internal management system, at least one month before the next annual audit with the objective to facilitate the proper planning of this process.

#### 3.2 Conditions for Canceling a Group Administrator's Certification

- a. Group administrators that don't comply with the *SAN Group Certification Scoring System* and the requirements outlined in *SAN Farm Certification Policy* and this *SAN Group*

*Certification Policy* are subject to a decision making process of the certification body leading to the cancelling of the group administrator's certification.

- b. A certification or inspection is authorized to conduct an audit based on *SAN Sustainable Agriculture Standard* and its applicable criteria on other group administrator properties in the country – directly related to the production processes of certified products – at any moment in order to analyze if actions exist that can pose into risk the credibility of the *Rainforest Alliance Certified™* certification seal, such as high value ecosystem destruction, violation of human rights, contracted child labor, forced labor or discrimination. If these properties don't comply with applicable critical criteria of the *SAN Sustainable Agriculture Standard*, the group administrator's certification will be cancelled.

#### 4. Group Administrator Audit Scope

The group audit scope is determined as follows:

##### 4.1 Scope for the Group Administrator

- a. Infrastructure – owned by or administered by the group administrator – (offices, housing areas, store rooms, processing and packaging plants) or other group administrator infrastructure within the group administrator's physical property limits.
- b. Other properties of the group administrator in the country – directly related to the production processes of certified products.
- c. Competency of the internal inspectors.
- d. Documents of the Internal Management System.
- e. Interviews with the group administrator's personnel and group members about Internal Management System aspects.

##### 4.2 Scope for the Member Farms

A representative sample of member farms outlined in the certification scope, including:

- a. The physical area of the farm within its property limits, including its infrastructure, processing and packaging areas, conservation, housing areas and fallow land.
- b. Within the scope rented lots of the same farm owner - as well as infrastructure owned by the group member, but outside the farm limits - are included.
- c. All production plots and its crops.
  - i. If part of the farm is rented to third parties, aspects related with the main farm's production processes are audited in this farm portion, as well as other aspects with emphasis in the contents of the *Sustainable Agriculture Standard's* critical criteria.
  - ii. Livestock production areas: If there are cattle production areas within the farm limit, then all applicable criteria of the *Sustainable Agriculture Standard* apply to the relevant cattle production activities also. *SAN Standard for Sustainable Cattle Production Systems* only applies if the group administrator has applied for the scope of cattle certification also.
  - iii. All farm worker.
  - iv. Any post harvest activities that take place on the farm or on processing installations located outside the farm limits but which are property of the farm's owner, such as washing, trimming, packing or other processing.
  - v. Communities close to the farm.

#### 4.3 Other Rules for the Scope

- a. If a farm is divided into two or more geographically separate production plots, this information must be detailed in the certification application documents, so that the Certification Audit scope can be considered accordingly by the certification or inspection body.
- b. The processing operations - outside the group administrator's legal scope - that process products coming from certified farms are covered by the Chain-of-Custody system and are not subject to group certification audits.
- c. Critical criterion 2.3 of the *SAN Group Certification Standard* does not apply in the case a group administrator does not commercialize its products as *Rainforest Alliance Certified™*:
  - i. If the group's products are commercialized as *Rainforest Alliance Certified™*, the group members and the group administrator must demonstrate that these products have been totally segregated from the products of non-certified farms.
  - ii. Products that are not commercialized as *Rainforest Alliance Certified™* don't need to be segregated by the group administrator.
  - iii. In the case that a group administrator decides to commercialize its products as *Rainforest Alliance Certified™* at any momento of the audit cycle, it must totally separate these products from the products of non-certified farms and comply with critical criterion 2.3 of the *SAN Group Certification Standard* or be subject to a Chain of Custody audit and comply with the *SAN Chain of Custody Requirements*.

### 5. Group Audit Rules for Certification and Inspection Bodies

#### 5.1 Member Farm Sample Selection

- a. The certification or inspection body must audit annually a representative sample of the group member farms to evaluate the effectiveness of the group administrator's internal management system.
- b. The sample size - minimum number of member farms to be audited annually - must be the square root of the total number of member farms listed by the group administrator. In the case of community land, this concept is applied to a representative percentage of the group members' total production area.
  - i. If the result of the square root of the formula is not a whole number, this number must be rounded up by the certification body to the next highest number.
  - ii. If risk scenarios are detected during previous audits, then the sample size of group members can be defined by the certification body as maximum 1.4 times the square root of the total number of member farms.
  - iii. The auditor can request during the audit an authorization from the certification body to increase the sample size up to a maximum of 1.4 times square root of the total number of member farms.
- c. The member farms that are subject to audits must be selected in such a way that they represent statistically the complete list of all member farms, by means of risk-based samples and random selection. The applied sampling method is stratified sampling.
- d. The strata can be selected on the following parameters:
  - i. Different geographical areas with significant variation in climate, soil conditions or life zones.

- ii. Group members already audited in previous audits vs. group members not subject to previous audits;
- iii. Member farms with a minimal compliance of *SAN Standard for Sustainable Agriculture* during previous audits;
- iv. Different languages/dialects within the group;
- v. Different cultures within the group;
- vi. Different crop production systems within the group.

## 5.2 Rules for the Audit Plan

- a. The group certification audit plan must be agreed upon by the certification or inspection body and the group administrator before the initial meeting of the auditing process, according to the parameters included in Section 4 of this document.
- b. The audit plan must include agriculture and cattle production activities, a complete list of all member farms subject to the auditing process, as well as the name of the producer/owner, the production area and the total area of every member farm.

## 5.3 Contents of a Group Audit Report

The group audit report contains the minimum information set out below, in sufficient detail to allow the certification or inspection body the opportunity to verify that all required audit activities have been undertaken:

- a. A list of group members with their names, dates of entry to the group, any other assigned identification and their certification status.
- b. Information on certified or to be certified member farms with their location, total area, total production area and annual production volume;
- c. Certified or to be certified production volume – including data of previous and projected productions - of the following production stages: purchase, manipulation, processing, packaging and sale.
- d. Description of the current traceability system to allow the group administrator to track product to the group administrator's immediate customer.
- e. The location of the group administrator's office (based on GPS measurements, internet based interactive maps or own nomenclature of the office location site).
- f. The version or versions of SAN standard and policy documents on which the evaluation is based.
- g. A record of not applicable criteria of the *SAN Sustainable Agriculture Standard* or *SAN Standard for Sustainable Cattle Production Systems* (if applicable).
- h. A record of all findings with:
  - All non conformities against critical criteria and recurrent non conformities of *SAN Sustainable Agriculture Standard* or *SAN Standard for Sustainable Cattle Production Systems* (if applicable).
  - A complete scoring tool with the results obtained from the audit sample's member farms and of the group administrator. This tool can be presented in a separate file.
- i. Scores obtained during this audit and previous audits.
- j. Monitoring and Evaluation indicators.
- k. A list of audit team members.

- l. Information on the audit activities undertaken, including: audit type, date, duration and the scope with respect to Section 4 of this document. Workers' or employees' names must not be mentioned, in general.
- m. Other information, such as observations, photographs or the description of positive aspects, can be added as annexes. This information is optional.

#### 5.4 Rules for the Group Certificate Contents

- a. The following elements determine the content of a group administrator's certificate:
  - i. The reference code covered by the group administrator audit scope referring to the list of group member names and all member farms.
  - ii. The crops or cattle production activities covered by the group administrator's certification and that will be commercialized as *Rainforest Alliance Certified*<sup>TM</sup>.
- b. Any change in the scope of the group administrator's certification – such as number of member farms or production areas - can only be authorized by the certification body. The group administrator must report these changes to the certification body.
- c. The new group members can only be accepted within the certification's scope, if the documentation shows that these members were subject to an internal inspection and complied with the SAN standard and policy and group administrator's additional requirements. The results of the internal inspection must be communicated to the certification body. The certification body's respective decision must be based on the results of the group administrator's internal inspection of these new group members. The number of new group members must not be bigger than 10% and an increase in production area must not surpass the 10% included in the audit scope list of the previous audit. If these numbers surpass 10%, a new certification audit applies.
- d. The fusion of two or more groups under the name of an already certified group, leads to the beginning of a new certification cycle with a new certification audit. This also applies for the use of the name of an existing certified group for a partially or totally new list of members.
- e. The group member whose farm was audited as part of a group administrator audit may not be granted independent certification status without an individual farm certification audit.