



**UEBT**  
SOURCING<sup>®</sup>  
WITH RESPECT

## **System Checklist**

UEBT Ingredient Certification  
and UEBT / Rainforest Alliance Herbs &  
Spices Programme

**For Organisations not at Source**

Version July 2021

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## 1. Introduction

This document is for UEBT (or UEBT/Rainforest Alliance) certificate holders and potential certificate holders that are not directly responsible for cultivation or wild collection practice, e.g., manufacturers or brands buying from traders or not working in the sourcing area. In the UEBT (or UEBT/Rainforest Alliance) system, they are called **Organisations not at Source** or **OnaS**.

For UEBT (or UEBT/Rainforest Alliance) certificate holders or potential certificate holders that are located in sourcing areas (e.g. farms and local companies) please refer to the version of this document that is for 'Organisations at Source.'

This UEBT System Checklist is used by external auditors when conducting audits for the UEBT ingredient certification programme or the UEBT/Rainforest Alliance Herbs & Spices Programme. This checklist covers the certification requirements applicable to companies or other organisations that are, or are seeking to become, certificate holders under these certification programmes. The Field Checklist is a separate document that covers field-level requirements, while this document focuses on the actual system-level requirements. The Field Checklist can be found on the UEBT web site at [www.ethicalbiotrader.org](http://www.ethicalbiotrader.org) or by writing to [certification@ethicalbiotrader.org](mailto:certification@ethicalbiotrader.org).

The requirements of this UEBT System Checklist are based on:

- The document called 'UEBT Requirements for Certificate Holders,' which has two different versions depending on the type of certificate holder (see section 4)
- Additional assurance system requirements from Rainforest Alliance in the case of the Herbs & Spices Programme (see section 5)

The numbering of the requirements in this checklist may not be continuous since some requirements are applicable for Organisations at Source only. Those numbered requirements are in the separate version of this document for those types of organisations. Together, they make up all the requirements, but only the relevant numbered sections for OnaS will be found inside this document.

### UEBT requirements for certificate holders

UEBT requirements for certificate holders focus on how a certificate holder or potential certificate holder monitors good practices. That is, it looks at the way these entities keep track of the practices promoted in the UEBT Ethical BioTrade Standard. As explained below, different requirements for certificate holders apply, depending on the type of company or organisation that is the certificate holder or potential certificate holder.

Certificate holders in the above-mentioned certification programmes can be individual farms or plantations; groups of farms; farm cooperatives or associations; local companies, such as processors or traders; or international manufacturers or brands. Different requirements apply depending on the company and its relationship with producers of the natural raw materials to be certified.

- If the certificate holder or potential certificate holder is directly responsible for cultivation or wild collection practices - an "**Organisation at Source or OaS**" - it is required to have a systematic approach to ensuring and checking practices at the producer level.<sup>1</sup>
- In certain cases, an OaS may also be required to have a system for monitoring practices at the producer level, if needed. A local monitoring system or LMS allows the OaS to monitor the practices of farms or field operators through on-site inspections (monitoring inspections). An LMS is required for:
  - Most supply chains working on wild collection production systems
  - Cultivation supply chains where the level of complexity is high due to high level of risk in the risk assessment and/or a large number of farmers (usually more than 30)
- If the certificate holder is not directly responsible for cultivation or wild collection practices - an "**Organisation not at Source or OaS**" - it must have in place an internal monitoring system (IMS). An IMS is implemented and operated by the certificate holder to ensure good practices along its supply chains, including conducting monitoring inspections. The IMS can be complemented by a LMS at the OaS level. A setup where the Organisation not at Source is the certificate holder is not a common setup. Most companies opt to buy from a local certificate holder.

For more on the IMS and LMS setups please see the 'UEBT Requirements for Certificate Holders' located at [www.ethicalbiotrade.org/resources](http://www.ethicalbiotrade.org/resources) (in the section Membership, Certification and Verification) which has two versions, depending on the type of certificate holder.

## Rainforest Alliance requirements

Section 5 of this System Checklist only applies if the certificate holder is seeking certification under the UEBT/Rainforest Alliance Herbs & Spices Programme.

## UEBT membership requirements

All organisations seeking UEBT (or UEBT/Rainforest Alliance) certification must become UEBT members, with the membership process adjusted to different types of organisations. For Organisations not at Source, a standard membership process applies. More information on the membership process and requirements is available on the UEBT web site.

## UEBT scoring system

UEBT certification is based on the UEBT Scoring System to determine the levels of compliance with the Ethical BioTrade Standard requirements. For further information on the UEBT Scoring System, see the Annex.

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<sup>1</sup> An Organisation at Source is typically a farm, cooperative, producer association, or local processing company working with local producers.

## 2. Acronyms used

The following acronyms are used in this document:

IMS	Internal Monitoring System
LMS	Local Monitoring System
CH	Certificate holder
CB	Certification body
OaS	Organisation at Source
OnaS	Organisation not at Source
FO	Field operator
SbS	Sub-supplier
SD	Sustainability Differential
SI	Sustainability Investment

## 3. Key terms

**Certificate holder:** The company or organisation that holds the UEBT certificate and manages the certification. They could be a buying or processing company, individual farm of any size, farmer group or a cooperative.

**Certification body:** Legal or administrative entity that has the specific tasks to conduct independent audits and to issue certification recommendations (adapted from ISO/IEC Guide 2:2004) and that is duly qualified by UEBT.

**External audits:** Inspections conducted by third-party auditors at the level of buying companies, organisations at source and field operators for the purpose of assessing their compliance with the 'UEBT Requirements for Certificate Holders' and the 'Ethical BioTrade Standard requirements.'

**Field operators:** Operators at primary production level that are part of the UEBT certification programme and that are subject to internal inspections and external audit visits to confirm compliance with the Ethical BioTrade Standard requirements. Field operators may be a single individual or a group of individuals that follow same values and practices and that can therefore be considered a unit for the purpose of monitoring and auditing. They can be farmers, workers, pickers, collectors etc.

**Ingredient:** For the UEBT assurance programmes and external communications, an 'ingredient from biodiversity' is the same as a '(natural) raw material' that is cultivated or collected. It is a material that is in its raw form or has undergone simple physical processing, which has been approved for certification under the UEBT assurance programmes.

**Internal inspections:** Visits to organisations at source and field operators conducted by monitoring personnel of the certificate holder or an outsourced organisation for the purpose of assessing their compliance with the UEBT requirements.

**Internal Monitoring System (IMS):** System established by the certificate holder (Organisation not at Source) for assessing and monitoring supply chains to ensure that these comply with the UEBT requirements.

**Local Monitoring System (LMS):** System established at the local level (of the Organisation at Source) to monitor the practices of farms or field operators according to the good practices UEBT promotes in the Ethical BioTrade Standard. An LMS could stand alone or could be used to complement the activities of an IMS.

**Manipulate (Ingredients):** Pack/re-pack, process, or alter the natural raw material in any way.

**Monitor(s) or monitoring personnel:** Person(s) appointed by the certificate holder for conducting internal inspections and assessments of suppliers that are part of the UEBT certification.

**Monitoring activities:** All activities conducted by the monitoring system personnel or the local monitoring personnel as part of the IMS or LMS of the certificate holder.

**Monitoring system:** Can refer to the IMS, LMS or the combination of both.

**Natural raw material:** See definition of 'ingredient'.

**Organisation at Source (OaS):** An organisation or unit that is directly responsible for cultivation or wild collection practices. Under UEBT natural ingredient certification and UEBT / Rainforest Alliance herbs and spices programme, they would thus be responsible for ensuring compliance with the UEBT Ethical BioTrade Standard requirements applicable to them (management system requirements), and, directly or indirectly, for those applicable to the field operators (field level requirements) that they manage. An Organisation at Source is typically a farm, cooperative, producer association, or local processing company working with local producers.

**Organisation not at Source (OnaS):** A (potential) certificate holder that is not directly responsible for cultivation or wild collection practices. An Organisation not at Source is typically a processing company or a buying or manufacturing company that is not located in the sourcing region.

**Raw material:** See definition of 'ingredient'.

**Source:** Area/region from which the specific natural raw material is sourced (i.e., cultivation/collection area).

**Supply chain:** Consists of a specific natural raw material sourced from a specific field operator or group of field operators (farms, group of collectors, etc.) that are managed by a specific organisation at source.

**UEBT coordinator:** Person at the certificate holder level who is authorized and responsible to implement the internal or local monitoring system for supply chains that is used to check compliance with the UEBT requirements.

**UEBT member:** A company that has joined UEBT and made commitments in how it will improve the ethical sourcing of its raw materials from biodiversity in line with the UEBT standard.

## 4. System Checklist: UEBT requirements for certificate holders

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
<b>1</b>	<b>General requirements</b>		
1.1 Critical	For companies with an IMS, the IMS is formally established and is an integral part of the CH's operations. The system is officially recognised and approved by senior management and has sufficient resources to operate the system	<p>The IMS is an internal system implemented and operated by the certificate holder to ensure the good practices are in place. It is also used to conduct inspections in the supply chains that have been selected for the certification and to demonstrate their compliance with the Ethical BioTrade Standard. To establish an IMS, the certificate holder needs to select qualified and dedicated staff.</p> <p>Senior management has approved the system including the standard(s), policies and procedures of the IMS for the UEBT certification programme (UEBT ingredient certification or UEBT/Rainforest Alliance Herbs &amp; Spices programme).</p> <p>The IMS should be clearly documented and address all relevant/applicable requirements of the Ethical BioTrade standard.</p> <p>For UEBT/Rainforest Alliance certificate holders, a <a href="#">group management assessment tool</a> is available at the Rainforest Alliance website for optional use.</p>	3.5.1
1.2 Critical	The UEBT Field Checklist and scoring system (or the UEBT / RA Consolidated Field Checklist) <sup>2</sup> is the basis for the monitoring activities.	<p><i>For IMS:</i> The CB shall assess and report if the standard/checklist and scoring system used by the certificate holder is the last version of UEBT Field Checklist and scoring system. In cases where the CH uses their own standard/scoring system (equivalent to UEBT), the version used is the one formally approved by UEBT (see letter of standard/checklist approval from UEBT)</p>	2.1 2.2 3.3 3.6.4

<sup>2</sup> In all instances where the 'UEBT standard' or 'Ethical BioTrade Standard' is referred to in this checklist, if the CH is using a standard and scoring system that has been formally recognized as equivalent by UEBT, this may be substituted for the UEBT standard in these requirements.

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
1.3 Critical	There is a written overview of all supply chains subject to the certification, including respective organisations at source, sub-suppliers (Sbs) and field operators (FOs). The information provided is complete and up to date.	Information on all intermediary companies, service providers and actors that are involved (that take ownership or physically manipulate the raw material(s) in the respective supply chains is available. The minimum up to date information available at the CH level shall be: <i>For each OaS:</i> <ul style="list-style-type: none"> <li>• Name, country, certified natural raw material, risk assessment results</li> </ul> <i>For each natural raw material:</i> <ul style="list-style-type: none"> <li>• Production estimation</li> </ul>	3.5.3 3.7 5.0
1.4 Critical	The organisation or the CH has received an ABS Approval Letter from UEBT, and the letter is current.	As a pre-condition to certification of natural raw materials, UEBT conducts an assessment on access and benefit sharing (ABS). ABS requirements in laws or regulations may apply to natural raw materials. The UEBT ABS approval letter confirms that the CH considered whether ABS requirements apply to the natural raw material to be certified and, if required, took measures to ensure compliance.	Annex 6
<b>2</b>	<b>Documentation and record keeping</b>		
2.1 Critical	There is a record keeping system in place that ensures that all processes and decisions related to the UEBT certification programme are documented in a timely and clear manner. Relevant information is duly recorded and made available to monitors, auditors (and other relevant parties) for their use or review.	Relevant information/documentation includes: <ul style="list-style-type: none"> <li>• Documentation related to the monitoring process, such as internal inspection reports, self-check reports for farms, follow-up processes and outcomes, decision-making processes and relevant decisions taken</li> <li>• Risk-assessments</li> <li>• Documentation related to any non-conformities from the certification programme or its requirements</li> <li>• Communication and documentation regarding disputes, grievances, variations from regular procedures, and any other information that might have important implications for the assurance process.</li> <li>• New appointments of IMS staff, including monitoring personnel (if using an IMS)</li> <li>• Training and performance evaluation material of IMS staff</li> <li>• Other relevant aspects (if using an IMS)</li> </ul>	3.5.6

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
2.2 Critical	Relevant documentation is kept for a period of at least five (5) years.		3.5.6
<b>3</b>	<b>Communication of CH with UEBT regarding the certification programme</b>		
3.1 Critical	Aspects that can clearly affect the performance of the monitoring system and that have implications on the UEBT certification have been proactively communicated to UEBT. Matters concerning compliance with the UEBT standard that could represent a major risk to the UEBT certification programme, such as a systemic problem/challenge, or a challenge for which there are doubts on how to deal with it, have been proactively communicated to UEBT.	Possible aspects to be considered to communicate proactive with UEBT on include issues related to internal standards, checklists, rules, procedures, UEBT coordinator assigned within the certificate holder, etc.	Annex 2
3.2 Critical	Inclusions of new supply chains to an existing certification have been proactively communicated to UEBT.		3.6 5.0 Annex 2
<b>4</b>	<b>Management of organisations at source, sub-suppliers and field operators</b>		
4.1 Critical	All OaS subject to UEBT certification have confirmed in writing their willingness to participate in the programme and to apply respective rules and procedures applicable to them as described in the UEBT Requirements for certificate holders.	The confirmation in writing shall be done by contract and/or formal agreement between CH and all OaS involved in the certification programme.	3.5.2
4.2 Critical	For every OaS, a qualified local person(s) has (have) been appointed who is (are) responsible for the management of SbS and FOs regarding compliance with the requirements of the UEBT certification programme. It can be confirmed that such qualified person(s) has (have) the necessary authority and resources to carry out the tasks.	Responsibilities of this qualified person(s) include: <ul style="list-style-type: none"> <li>Maintaining an up-to-date list of all SbS and FOs that are included in the UEBT certification.</li> <li>Ensuring (e.g., through training, verbal or written instructions, manuals, or other) that SbS and FOs are sufficiently informed and capable of meeting the UEBT requirements.</li> <li>Ensuring that corrective measure requests (applicable to the OaS, SbS and FOs) are implemented within the specified timeframe.</li> </ul>	<i>Companies not at Source</i> 3.5.1 3.6.7 3.7 Annex 2 Annex 4

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
		<ul style="list-style-type: none"> <li>Facilitating any internal inspections and external audits conducted for the purpose of certification.</li> </ul> <p>For a LMS that is part of an IMS, this qualified person(s) can be the UEBT Coordinator at the certificate holder.</p>	
<b>5</b>	<b>Risk Assessments</b>		
5.1 Critical	Risk assessments have been done for each supply chain subject to the UEBT certification programme.	<p>The certificate holder shall assess the risk of supply chains involved in the scope of the certification. This should include all situations in which the ethical and responsible sourcing of the natural raw material may be jeopardized, including:</p> <ul style="list-style-type: none"> <li>Risks to the environment and biodiversity, in particular sensitive/endangered/protected areas and species.</li> <li>Risks to people involved in, or affected by, sourcing activities, in particular producers, collectors and local communities.</li> <li>Risks to the integrity of the business, e.g., risks related to compliance with local legislation and international regulations.</li> <li>External parameters such as country-specific or natural raw material-specific risk factors.</li> </ul> <p>The results from the risk assessment should be shared with the third-party auditor, who will use the information provided to better prepare for the audit. The risk assessment should be updated by the certificate holder every three (3) years or sooner if relevant changes occur that may affect the assessment results. Any known risks should also be communicated at the time of application for certification or re-certification.</p>	3.5.4
<b>6</b>	<b>Complaint and dispute resolution procedures</b>		
6.1 Critical	There are procedures in place by the CH for identifying and resolving disputes between parties arising from	Existing complaints mechanisms can be used/adapted for the purpose of certification, since such systems allow addressing complaints	3.5.6

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	internal inspections, compliance decisions and any other issues concerning the UEBT certification programme.	from different relevant stakeholders (i.e., NGOs, OaS, etc.)	
6.2 Critical	In case of disputes concerning the certification programme, the dispute resolution procedures established by the CH are followed accordingly. All relevant information and supporting evidence concerning the process is documented.	The CH shall make every attempt to settle disputes with other organisations or entities that are part of their supply chain and in the scope of their certification in an amicable manner and to the mutual satisfaction of all parties involved.	3.6.7
<b>7</b>	<b>Monitoring personnel</b>		
7.1 Critical	There is a formally appointed person (the UEBT coordinator at the certificate holder) responsible for the overall coordination of the IMS or LMS or the certification preparation in the case of individual farms). In case of companies, the person reports directly to senior management of the CH and is in authority to implement the system for the purpose of the UEBT certification programme.		3.5.1 3.7 Annex 2
7.2 Critical stepwise (Score 2 to be achieved by 2 <sup>nd</sup> year)	There is a job description and qualification requirements for the UEBT coordinator in line with the requirements outlined in the 'UEBT Requirements for Certificate Holders.'		Annex 2
7.3 Critical	The appointed UEBT coordinator at the certificate holder has the necessary qualifications, including relevant trainings, to fulfil the tasks for which he/she has been appointed.	<p><b>Qualification requirements</b></p> <p>The person eligible for the position of UEBT coordinator at CH must:</p> <ul style="list-style-type: none"> <li>• Be knowledgeable about UEBT Ethical BioTrade Standard</li> <li>• Have successfully completed the UEBT e-training course when required/applicable</li> </ul> <p><i>For IMS, they must also:</i></p> <ul style="list-style-type: none"> <li>• Have successfully completed the UEBT e-training respective tests and case studies when required/applicable</li> <li>• Have attended at least one complementary UEBT training provided by a UEBT staff</li> </ul>	Annex 2

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
		<ul style="list-style-type: none"> <li>Have attended at least one training in environmental and/or social auditing</li> <li>Be familiar with auditing/monitoring requirements</li> <li>Be knowledgeable about different cultures</li> </ul>	
<b>8</b>	<b>Internal inspections requirements – for IMS only</b>		
<b>8.1</b>	<b>Internal inspections - Personnel</b>		
8.1.1 Critical	In case the CH outsources the internal inspections to a qualified CB, there is a formal agreement in place between CH and CB to make sure that the internal inspections (of OaS, SbS and FOs) are conducted following the rules presented in the UEBT Requirements for Certificate Holders.	If there is a formal agreement between the CH and a qualified CB to outsource the internal inspections, all requirements under section 8 (except this one) are not applicable.	3.1 3.6.1
8.1.2 Critical	There are officially appointed monitors for conducting internal inspections for the purpose of the UEBT certification programme. The monitors report directly to the UEBT Coordinator at the CH.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>		Annex 3
8.1.3 Critical stepwise (Score 2 to be achieved by 2 <sup>nd</sup> year)	There is a job description and qualification requirements for the monitor(s) in line with the requirements outlined in the UEBT Requirements for Certificate Holders.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>		Annex 3
8.1.4 Critical	The appointed monitors have the necessary qualifications (including necessary trainings) to fulfil the tasks for which they have been appointed and fulfil these according their job description.	Monitors must: <ul style="list-style-type: none"> <li>Be knowledgeable about different cultures</li> <li>Be experienced in auditing/monitoring activities</li> <li>Be familiar with the UEBT Ethical BioTrade Standard</li> <li>Have attended at least one training in environmental and/or social auditing</li> </ul>	Annex 3

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	<i>This indicator applies if the certificate holder implements the internal inspections.</i>	<ul style="list-style-type: none"> <li>Attend regular UEBT training related to standard requirements</li> <li>Have had performance evaluations conducted</li> </ul>	
8.1.5 Critical	<p>All personnel (employed staff and external consultants) directly involved in the internal inspections sign a statement declaring any and all interests they may have in organisations participating in this certification programme. This also includes personnel appointed at the local level.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	Conflicts of interest of any kind shall be avoided. Advisory and monitoring activities should be kept separate and not undertaken by the same person. Personnel with direct interest in the natural raw material and/or business of an organisation should not conduct the internal inspections of said organisation (e.g., supply chain managers, buyers).	3.7
8.2	<b>Internal inspections - Planning and preparation</b>		
8.2.1 Critical	<p>Procedures/guidelines are in place for planning and preparation of internal inspections. The procedures are in line with the guidelines outlined in the UEBT Requirements for Certificate Holders.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	<p>Procedures should be in place for:</p> <ul style="list-style-type: none"> <li>Determining the scope and frequency of the internal inspections</li> <li>Determining the period and duration of the internal inspections</li> <li>Allocating appropriate monitoring personnel for conducting the internal inspections</li> <li>Establishing what information should be available prior to internal inspections</li> </ul>	3.6
8.2.2 Critical	<p><b>Scope and Frequency</b> The internal inspections are conducted at all relevant places and sites, and all applicable field verifiers are checked at the internal inspections.</p> <p>Full internal inspections of all OaS, SbS and FOs are carried out on an annual basis.</p> <p><b>OR (Exception):</b></p> <p>The scope of internal inspections may be narrowed down to relevant sites based on results of the risk assessment. In this case, the decision to narrow down the scope is justified</p>	<p>Internal inspections should include:</p> <ul style="list-style-type: none"> <li>All sites and locations belonging to the OaS, SbS and FOs that are in any way involved in the sourcing process of the natural raw materials</li> <li>Subcontracted companies or agencies that are appointed by the OaS, SbS or FOs and handle the natural raw material in any way</li> <li>All organisations in the supply chain manipulating the natural raw material (s) and whose operations may compromise the authenticity and traceability of the material</li> </ul>	3.6.1

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	<p>and supported through documented evidence. (Exception): The frequency of the internal inspections may be reduced based on results of the risk assessment. In this case, the decision to reduce the frequency is justified and supported through documented evidence.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		
<p>8.2.3 Critical</p>	<p>Continuous contact is maintained between the UEBT CH and the concerned supply chain actors for the period of reduced monitoring. Records of such activities are kept.</p> <p><i>Applies only if an exception is made regarding the scope or frequency.</i></p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	<p>Contact may be in the form of technical support visits, training events, request for updated (self-assessment) reports, customer visits, etc.</p>	<p>3.6.1</p>
<p>8.2.4 Critical</p>	<p>The IMS ensures that a full comprehensive internal inspection takes place at the latest within the third year following the last full monitoring audit.</p> <p><i>Applies only if an exception is made regarding the scope or frequency.</i></p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		<p>3.6.1 Annex 1 3.3</p>
<p>8.2.5 Critical</p>	<p><b>Period for internal inspections</b> Factors that are crucial for or that facilitate the internal inspections are considered when determining the best periods for the internal inspections.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	<p>Such factors may include harvest periods, periods of labour-intensive field activities, periods when activities of elevated risk take place, etc.</p> <p>Results of the risk assessments should also be considered for determining the best period for the visit.</p>	<p>3.6.2</p>

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
8.2.6 Critical	<p><b>Allocation of personnel</b> The UEBT coordinator within the CH allocates suitable personnel to conduct the internal inspections.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	<p>Local knowledge, specific technical expertise and language skills are to be considered when allocating the monitoring personnel. When necessary, a monitoring team should be assigned to assure complete and sound monitoring work.</p>	3.6.4 3.7 Annex 3
8.2.7 Critical	<p><b>Information prior to internal inspections</b> The UEBT coordinator within the CH ensures that sufficient and accurate information is available and provided to the monitoring personnel to allow for efficient and appropriate planning and preparation of the internal inspections.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	<p>Information is available on:</p> <ul style="list-style-type: none"> <li>• Type of organisation, organisational chart, contact details of relevant person(s)</li> <li>• Raw material(s) and their particularities (including type, quality, risks, harvesting periods)</li> <li>• Size and location of production sites and processing facilities</li> <li>• Details about intermediary organisations (if applicable)</li> <li>• Number of workers / members</li> <li>• Information on SbS (if applicable)</li> <li>• Existence of other certifications relevant to the natural raw materials subject to certification</li> <li>• Results of risk assessment, results of previous audits and respective corrective measures.</li> </ul>	3.6.2
8.2.8 Critical	<p><b>Planning and preparing internal inspections</b> At the latest one week prior to each internal inspection, visit plans with clear indications of the objective, dates and times, specific activities and involved persons must be prepared and shared with the relevant parties.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	<p>Sufficient time is allocated to ensure that all necessary sites and topics are covered, and to assure a complete and sound inspection.</p>	3.6.2 3.6.7
8.3	<b>Internal inspections - Sampling for visits</b>		
8.3.1 Critical	<p>Procedures for sampling of OaS, SbS and FOs are in place in line with the UEBT Requirements for Certificate Holders</p>	<p>A FO may be composed of several individuals that follow same values and practices and that can therefore be considered a unit. In these cases, Individuals forming part of a FO must be</p>	3.6.1 Annex 1

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	<i>This indicator applies if the certificate holder implements the internal inspections.</i>	visited on a spot check basis as part of the internal inspections.  For detailed information on sampling rules, please see Annex 1 in the respective 'UEBT Requirements for Certificate Holders' available at <a href="http://www.ethicalbiotrade.org/resources">www.ethicalbiotrade.org/resources</a>	
8.3.2 Critical	The sampling activities are implemented following the defined procedures and the correct number of OaS, SbS and FOs are audited.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>	For detailed information on sampling rules, please see Annex 1 in the respective 'UEBT Requirements for Certificate Holders' available at <a href="http://www.ethicalbiotrade.org/resources">www.ethicalbiotrade.org/resources</a>	Annex 1
<b>8.4</b>	<b>Internal inspections - Activities</b>		
8.4.1 Critical	Procedures and instructions for internal inspections are in place. These include instructions for preparing visit plans, conducting opening and closing meetings and collecting evidence.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>	Monitoring activities should ensure that internal inspections are conducted in a manner that allows for effective and meaningful inspection and allows monitors to obtain a full picture of the situation.	3.6.2 3.6.3
8.4.2 Critical	Opening and closing meetings are held at every internal inspection. All relevant people participate in the meetings.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>	The main purpose of the opening meetings should be to present and discuss the purpose, scope and programme of the visit. Closing meetings should be held to discuss the findings of the internal inspections and next steps.	3.6.3
8.4.3 Critical	Evidence is collected through: <ul style="list-style-type: none"> <li>• Conducting interviews with relevant people or groups,</li> <li>• Doing observations/inspections of relevant sites, and</li> <li>• Reviewing relevant documentation.</li> </ul> Triangulation of information is done with at least two out of the three listed above to get to a final score.		3.6.3 3.6.4

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	<i>This indicator applies if the certificate holder implements the internal inspections.</i>		
<b>8.5</b>	<b>Internal inspections - Reporting</b>		
8.5.1 Critical	<p>Procedures are in place for reporting on internal inspections, including instructions for using report templates, scoring, documenting evidence, reporting on findings and suggestions for corrective measures, as well as timelines for submitting reports.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		3.6.4
8.5.2 Critical	<p>Monitors use the respective UEBT Field Checklist or UEBT/Rainforest Alliance Consolidated Field Checklist (or equivalent if formally approved by UEBT) to report on findings of the internal inspections.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		3.6.4
8.5.3 Critical	<p>Information provided in the reports is clear and sufficient and comments are provided to allow for third parties to understand the observations and scoring. All relevant sections of the report template are filled in.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		3.6.4 3.6.6
8.5.4 Critical	<p>The scoring is done consistently and according to the UEBT Scoring System listed in the respective Field Checklist.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		3.6.4 Annex 7
8.5.5 Critical	Relevant evidence to confirm findings is provided and documented.	The relevance of documented evidence must be determined on a case-by-case basis. As a rule,	3.6.4

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	<i>This indicator applies if the certificate holder implements the internal inspections.</i>	any critical, ambiguous, doubtful or problematic finding should be supported by documented evidence.	
8.5.6 Critical	All non-conformities found are clearly described and explained. If corrective measures that address the non-conformities are discussed, these are noted and clearly described.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>		3.6.4 3.6.5
8.5.7 Critical	Reports of internal inspections are submitted to the UEBT coordinator within the CH at the latest one month after the audit.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>		3.6.4
<b>8.6</b>	<b>Internal inspections - Follow-up</b>		
8.6.1 Critical	There are procedures in place for reviewing monitoring audit reports, requesting corrective measures and taking compliance decisions.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>		3.6.4 3.6.5 3.6.6
8.6.2 Critical	The UEBT coordinator within the CH makes sure that all monitoring audit reports are reviewed for consistency, completion and quality of the information.  <i>This indicator applies if the certificate holder implements the internal inspections.</i>		<i>Companies not at Source</i> 3.6.4
8.6.3 Critical	The UEBT coordinator, in agreement with the involved local actors, requests corrective measures that are suitable and sufficient to address the respective non-conformity(ies) identified.		3.6.5

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	<i>This indicator applies if the certificate holder implements the internal inspections.</i>		
8.6.4 Critical	<p>The deadlines for corrective measures that are requested for the purpose of raising a score to a 'compliant' level should not exceed three (3) months following the completion of the internal inspections. If exceptions are made, these are justified and documented.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	In exceptional cases the deadline may be extended to up to six (6) months, following the rules within the UEBT Requirements for Certificate Holders.	3.6.5
8.6.5 Critical	<p>The implementation of corrective measures is verified, based on documented evidence or checks, and only approved once it has been confirmed as sufficiently fulfilled.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	In no case may the supply chain actors be given the status of 'compliant', nor may the natural raw materials of the respective supply chain be sold as 'certified' before the corrective measure(s) have been implemented and confirmed as sufficiently fulfilled.	3.6.5 3.6.6
8.6.6 Critical	<p>Records of the evidence of corrective measures are kept, whenever relevant.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		3.6.5
<b>8.7</b>	<b>Internal inspections - Taking compliance decisions</b>		
8.7.1 Critical	<p>Compliance decisions are made by the UEBT Coordinator at the CH and at least one other person. The decision-making process and all decisions are documented. Relevant evidence supporting the decisions is documented.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		3.6.6
8.7.2 Critical	<p>Compliance decisions are made in a consistent manner, following the UEBT Scoring System (located in the</p>		3.6.6 Annex 7

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	<p>respective Field Checklist) and compliance rules. Decisions are made based on complete and veritable information.</p> <p>Any exceptions to the scoring rules when making compliance decisions are justified and documented, and with prior approval from UEBT.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		
<p>8.7.3 Critical</p>	<p>Compliance decisions are made at the latest three (3) months after completion of the internal inspections. Any extensions to the deadline are justified and documented.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>	<p>In exceptional cases the deadline for a decision can be extended up to six (6) months.</p>	<p>3.6.6</p>
<p>8.7.4 Critical</p>	<p>Compliance decisions and respective implications are communicated to the concerned supply chain actors, as well as to relevant departments and persons within the CH, in particular those involved in the sourcing of the concerned raw material.</p> <p><i>This indicator applies if the certificate holder implements the internal inspections.</i></p>		<p>3.6.6</p>
<p><b>10</b></p>	<p><b>Traceability</b></p>		
<p>10.1 Critical</p>	<p>The CH has a documented overview of the traceability system, which describes the procedures and record keeping process and the level of traceability applied.</p>		<p>3.5.5 Annex 5</p>
<p>10.2 Critical</p>	<p>The CH formally appoints the personnel who are responsible for ensuring the sound implementation of the traceability system.</p>		<p>3.5.5</p>
<p>10.3 Critical</p>	<p>There is documented information about each of the specific supply</p>	<p>The documented information includes control of certified natural raw materials for all</p>	<p>3.5.5 Annex 5</p>

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
	chains, including all stages of the production and transformation process. Critical control points for ensuring traceability of the natural raw materials are identified for each of the supply chains.	processes to maintain the integrity of the natural raw material.	
10.4 Critical	The CH has established procedures to assess compliance with the traceability requirements at each of the critical control points.		3.5.5 Annex 5
10.5 Critical	There is a product identification system (coding system) in place for the natural raw materials under the certification that allows tracing the natural raw materials back to the producer/supplier.	If OaS supplies products originating from both certified and not certified FOs, then the system ensure that natural raw materials can be traced back to the level of the FO.	3.5.5 Annex 5
10.6 Critical	The CH keeps records of the sales/purchase documents related to the natural raw materials under the certification, including information of the producer/supplier, volumes, varieties, qualities, area of cultivation/collection (if relevant), date of delivery and other relevant information. The documents can be linked to the respective producer/supplier.		3.5.5 Annex 5
10.7 Critical	There is a system in place that assures, verifies and monitors that: <ul style="list-style-type: none"> <li>All products being sold as certified are indeed sourced from producers/suppliers included in the certification.</li> <li>Volumes of natural raw materials sold as certified are never higher than the volumes supplied by the producers/suppliers under the certification.</li> </ul>	Total sales of certified products (for farms) do not exceed the total production (where applicable), purchase of certified products plus remaining stock balance from the previous year.	3.5.5 Annex 5
10.8 Critical	If the natural raw materials are processed / transformed in any way that affects the volumes, information is available on the conversion rates and volumes before and after completion of the process. This applies to any stage in the supply chain.		3.5.5 Annex 5

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
10.9 Critical	<p>If the UEBT CH sources natural raw materials from actors that are not part of the certification programme, then:</p> <ul style="list-style-type: none"> <li>• There is a way to distinguish between certified and non-certified natural raw materials in the sales/purchase documents.</li> <li>• There is a way to ensure that certified and non-certified natural raw materials are kept/handled separately in all stages of the sourcing and production process.</li> </ul>	Segregation is required for certified natural raw materials.	3.5.5 Annex 5
10.10 Critical	<p>If services are outsourced to a service provider (i.e., for processing, transportation, storage) anywhere in the supply chain, there is a system in place that ensures that the natural raw materials remain traceable and that mixing with non-certified natural raw materials does not occur. Proof of compliance with the traceability requirements by the outsourced service provider is documented.</p>		3.5.5 Annex 5
10.11 Critical	<p>Raw materials that are sold as certified by the CH are only those sourced from the suppliers that have been approved for certification and did not have a 'suspended' status due to non-conformities, breaches of contract, or other at the time of purchase.</p>		3.5.5 Annex 5
10.12 Critical	<p>The CH makes available to the CB at the external audit an overview of the total annual volumes of certified ingredients (per natural raw material) received, still in stock and the total volumes (per natural raw material) sold as certified.</p>	<p>A volume summary of certified product is provided for the previous twelve (12) months. This includes inputs, volume purchased, in stock, processed, outputs, lost and sold (as applicable).</p>	3.5.5 Annex 5
10.13 Critical	<p>Raw materials of supply chains that have not achieved the status of 'compliance' are not bought/sold as UEBT certified by the UEBT CH.</p>		3.5.5 Annex 5

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
<b>11</b>	<b>Monitoring and Evaluation Data</b>		
11.1 Critical	UEBT CH collects and verifies reach and scale information.	<p>The procedures are adequate to the size and capacities of the certificate holders.</p> <p>CH not located at source can request that OaS or SbS collect and submit the data.</p> <p>Visits and/or desk assessments can be used to collect information or to assess its accuracy.</p> <p>Information covers all aspects in the UEBT Scope tab of the UEBT Field Checklist or UEBT/Rainforest Alliance Consolidated Field Checklist as well as all natural raw material supply chains in the certification. Information is updated annually.</p>	5.0
11.2 Critical	<p>UEBT CH defines a monitoring and evaluation system that includes</p> <ul style="list-style-type: none"> <li>• The scope and boundaries of the system</li> <li>• The data that will be monitored and evaluated</li> <li>• The procedures and responsibilities for data collection, reporting and periodic reviews of the system</li> </ul>	<ul style="list-style-type: none"> <li>• The scope and boundaries of the M&amp;E system shall be defined to include at least all the natural raw material supply chains in the scope of the certification and the countries where the natural raw materials are cultivated or wild collected.</li> <li>• The data to be monitored and evaluated shall be defined to ensure that they cover at least the reach and scale indicators required for certified natural raw material supply chains in the UEBT Scope form of the UEBT Field Checklist or UEBT/Rainforest Alliance Consolidated Field Checklist. In addition, the impact of practices on people and biodiversity is evaluated in the areas where certified natural raw materials are cultivated or wild collected. Areas of impact defined by UEBT in the UEBT Theory of Change (in the annex of the Requirements for Certificate Holders) and the UEBT research agenda (available upon request) can be taken into consideration when defining the impact to be evaluated.</li> <li>• The procedures for data collection and reporting shall ensure that information</li> </ul>	5.0

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
		<p>needed to fill out the UEBT scope form are available to UEBT and the auditor at least one month before the certification audit takes place. Furthermore, the procedures for data collection and reporting shall ensure that at least one impact study every three years is conducted, including one or more of the certified natural raw material supply chains, and summary of results reported to UEBT. The procedure ensures data collected is checked for adequacy and accuracy. Procedures for sharing of M&amp;E results are to be included too. M&amp;E results can be made publicly available or shared with stakeholders (e.g., clients).</p> <ul style="list-style-type: none"> <li>• Finally, periodic review of the M&amp;E system to adapt it to relevant changes in the company (e.g., new supply chains included in the certification programme or sustainability strategies, new priorities or targets) are to be foreseen too.</li> <li>• The responsibility for data collection and reporting can be attributed to the monitoring personnel at the certificate holder or the certificate holder can request that Organisations at Source or SbS collect and submit the data. For impact studies it is recommended that they are implemented by external and independent organisations with knowledge of the contexts to be studied.</li> </ul>	
<p>11.3 Critical</p>	<p>UEBT CH submits information on its reach and scale on an annual basis to UEBT.</p>	<p>Information is to be shared with CB at the moment of the audit. Information is gathered to be ready on time for the first day of audit. It will include all information required in the UEBT Scope tab of the UEBT/RA consolidated field checklist. Information covers all the natural raw material supply chains included in the certification.</p>	<p>5.0</p>

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to UEBT 'Requirements for CH' document
11.4 Regular	UEBT CH submits summaries of impact studies at least once every three years.	Study results in the form of reports or summary reports are submitted to UEBT at least once every three years. The results are reliable, and concern different natural raw material supply chains and countries included in the scope of certification.	5.1
12	<b>Claims and labelling</b>		
12.1 Critical	The CH only makes claims related to the certification programme in accordance with the claims, labelling and trademarks policy of either UEBT or Rainforest Alliance, respectively.	<p>Claims refers to any text, verbal or visual (such as certification labels, seals or logos) references to 'certified' or other certification programme messages related to the supply chains or natural raw materials or the certified status of the CH in any marketing or communications channels, including in business-to-business channels, consumer-facing channels, on-product or off-product.</p> <p>A precondition for using the claims, labelling and trademarks policies for the respective certification programmes is a valid certificate.</p>	<p>Annex 5 (Traceability)</p> <p>Claims and labelling policies of <a href="#">UEBT</a></p> <p><a href="#">Rainforest Alliance 2020 Labelling and Trademarks Policy</a></p>

## 5. System Checklist: Rainforest Alliance 2020 Sustainable Agriculture Standard Supplement – Herbs & Spices programme only

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to RA 2020 Sustainable Agriculture Standard
<b>13</b>	<b>Traceability – additional requirements</b>		
13.1 Critical	Documentation includes traceability type and percentage (when applicable) when there is a change in legal ownership and/or physical possession of the certified product.		2.1.12
13.2 Critical	There is evidence (documentation on incoming and outgoing product, procedures, reports) that any Rainforest Alliance claim made is valid and complies with UEBT/Rainforest Alliance requirements		2.1.13
<b>14</b>	<b>Traceability in the online Rainforest Alliance Traceability platform (NOT APPLICABLE UNTIL FURTHER NOTICE)</b>		
14.1 Critical	Volumes sold as certified are recorded in the Rainforest Alliance traceability platform at the latest two weeks after the end of the quarter within which the shipment took place.	Traceability is managed in the Rainforest Alliance certification platform.  See also <a href="#">Annex 6, Traceability</a> , of the RA2020 Standard.	2.2.1
14.2 Critical	Buyers of Rainforest Alliance Certified product have a procedure in place to regularly verify that transactions in the traceability platform match invoices for certified product purchased.	The requirements are applicable to purchases of certified product outside own certification scope (OaS or OnaS buying from another CH).  If the purchases of certified product are done at the level of the field operator or sub-supplier, this indicator should be assessed at their level as well.	2.2.2
14.3 Critical	Volumes sold not as Rainforest Alliance Certified and/or lost are removed from the traceability platform within two weeks after the end of the quarter in which the sales took place or volume was lost.		2.2.3

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to RA 2020 Sustainable Agriculture Standard
14.4 Critical	In case of public facing trademark use, an approval is obtained in accordance with the Rainforest Alliance 2020 Labelling & Trademarks Policy for on- and off product trademarks prior to use.		2.2.4
14.5 Critical	Shipments that are combined into one transaction include sufficient information to relate the transaction to the individual shipments.		2.2.5
14.6 Critical	Written confirmation granting a traceability platform mandate by the certificate holder and acknowledgement by both parties is available.		2.2.6
14.7 Critical	The party granted the traceability platform mandate complies with applicable traceability requirements.		2.2.7
<b>15 Sustainability Differential (SD)</b>			
15.1 Critical	<p>UEBT certificate holder transfers the full amount of the Rainforest Alliance Sustainability Differential (SD) in cash or other monetary payment to field operators or OaS</p> <ul style="list-style-type: none"> <li>• Pro-rata, based on volumes delivered</li> <li>• In a timely and convenient manner, at least before the next crop season, or at least once a year in case of continuous harvest</li> </ul> <p>UEBT certificate holder at least annually:</p> <ul style="list-style-type: none"> <li>• Documents the Rainforest Alliance Sustainability Differential received by volume. Separate records are kept for Sustainability Differential payments from each buyer which are clearly distinguished from market price, other premiums, such as quality premiums or crop and country specific premiums such as the Living Income Differential</li> </ul>	<p>Applicable to UEBT certificate holders that manage OaS or FOs in their certification scope delivering volumes of certified product, including volumes collected from the wild.</p> <p>Where CH = OaS transfer of SD is made to the FOs only</p> <p>Where CH is not OaS transfer of SD is made to FOs through OaS. OaS does not keep a part, unless it is a producer as well, in which case OaS receives SD pro-rata of their produced volumes.</p>	3.2.1

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to RA 2020 Sustainable Agriculture Standard
	<ul style="list-style-type: none"> <li>Communicates to FOs or OaS the Sustainability Differential received for the certified crop</li> <li>Documents the payment of the Sustainability Differential to the FOs or OaS</li> </ul>		
15.3 Critical	The buyer of certified products pays the Sustainability Differential in the form of a monetary payment on top of the market price, quality premiums or other differentials. SD cannot be paid in kind.	<p>The requirements are applicable to purchases of certified product outside own certification scope (OaS or OnaS buying from another CH).</p> <p>If the purchases of certified product are done at the level of the field operator or sub-supplier, this indicator should be assessed at their level as well.</p> <p>Please see Rainforest Alliance document on the <a href="#">‘Shared Responsibility’ concept</a> for more information (Rainforest Alliance website).</p>	3.2.3
15.4 Critical	The responsible certificate holders have clear contractual agreements in place which specify the amount and other terms around Sustainability Differential payment.	<p>The requirements are applicable to purchases of certified product outside own certification scope (OaS or OnaS buying from another CH).</p> <p>If the purchases of certified product are done at the level of the field operator or sub-supplier, this indicator should be assessed at their level as well.</p> <p>Please see Rainforest Alliance document on the <a href="#">‘Shared Responsibility’ concept</a> for more information (Rainforest Alliance website).</p>	3.2.4
15.5 Critical	The full amount of the Sustainability Differential is paid at least annually and no later than payment terms defined for the relevant crop.	<p>The requirements are applicable to purchases of certified product outside own certification scope (OaS or OnaS buying from another CH).</p> <p>If the purchases of certified product are done at the level of the field operator or sub-supplier, this indicator should be assessed at their level as well.</p> <p>Please see Rainforest Alliance document on the <a href="#">‘Shared Responsibility’ concept</a> for more information.</p>	3.2.5
15.6 Critical	Confirmation of Sustainability Differential payment is recorded in the traceability platform no later than	The requirements are applicable to purchases of certified product outside own certification scope (OaS or OnaS buying from another CH).	3.2.6

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to RA 2020 Sustainable Agriculture Standard
	3 months after the actual payment was made.	<p>If the purchases of certified product are done at the level of the field operator or sub-supplier, this indicator should be assessed at their level as well.</p> <p>Please see Rainforest Alliance document on the <a href="#">‘Shared Responsibility’ concept</a> for more information.</p>	
15.7 Critical	The Sustainability Differential paid amounts to at least the prescribed minimum, for crops for which a minimum is defined.	<p>The requirements are applicable to purchases of certified product outside own certification scope (OaS or OnaS buying from another CH).</p> <p>If the purchases of certified product are done at the level of the field operator or sub-supplier, this indicator should be assessed at their level as well.</p> <p>Please see Rainforest Alliance document on the <a href="#">‘Shared Responsibility’ concept</a> for more information.</p>	3.2.7
16	<b>Sustainability Investment (SI)</b>		
16.1 Critical	<p>UEBT certificate holder at least annually defines the investments needed to improve sustainability using the Rainforest Alliance Sustainability Investment Plan Template.</p> <p>The UEBT certificate holder uses the following sources to inform their investment needs:</p> <ul style="list-style-type: none"> <li>• Management plan (including results of Management Capacity Assessment and Risk Assessment</li> <li>• Audit reports</li> <li>• Internal inspections and self-assessments</li> </ul> <p>UEBT CH documents the in-kind and monetary SI received from buyers for this investment plan according to the Rainforest Alliance investment categories.</p>	<p>Please see the <a href="#">Sustainability Investment Plan Template</a> that is available on the <a href="#">Rainforest Alliance web site</a>.</p> <p>The Sustainability Investment Plan Template is mandatory from 1 January 2022. Until then, the CH can use their own template.</p>	3.3.1

Number	System Requirements for Certification	Additional Guidance (where applicable)	Reference to RA 2020 Sustainable Agriculture Standard
16.2 Critical stepwise (score 2 to be achieved by 2 <sup>nd</sup> year)	UEBT certificate holder consults yearly with a representation of field operators and/or Oas to jointly define the contents of the investment plan. UEBT CH consults yearly with buyers on their contributions to the investment plan.	Where CH = Oas this consultation is done with representatives of field operators.  Where CH is not OaS. The consultation is done between CH and OaS	3.3.2 and 3.3.3
16.3 Critical	The full amount of the Sustainability Investment is paid at least annually and no later than payment terms defined for the relevant crop.	The requirements are applicable to purchases of certified product outside own certification scope.  Please see Rainforest Alliance document on the <a href="#">‘Shared Responsibility’ concept</a> for more information.	3.3.4
16.4 Critical	Confirmation of Sustainability Investment payment (cash and in kind) is recorded in the Rainforest Alliance Traceability Platform no later than 3 months after the actual payment was made.	The requirements are applicable to purchases of certified product outside own certification scope.  Please see Rainforest Alliance document on the <a href="#">‘Shared Responsibility’ concept</a> for more information.	3.3.5
<b>17</b>	<b>Living Wage</b>		
17.1 Regular	In case a Rainforest Alliance supply chain certificate holder contributes (directly through a financial investment or through another type of investment) to raising wages towards the level of a Living Wage or beyond, the management of the OaS and the buyer CH agree in writing on: <ul style="list-style-type: none"> <li>• The modalities of the contribution</li> <li>• The timeline of the wage improvement plan – this should meet the requirements for the period for which the contribution is made (see <a href="#">UEBT/RA consolidated Field Checklist criteria 6.3.2</a>)</li> </ul> <p>The management keeps records on the progress of the implementation of the wage improvement plan.</p>	This requirement goes hand in hand with the Rainforest Alliance Supply Chain requirements allowing supply chain actors (buyers) to specifically invest in Living Wage for workers. If the buyers want to invest, the counterpart for the farm (or group of farms) is to comply with this requirement.  Please see the <a href="#">salary matrix tool</a> , the <a href="#">methodology for measuring remuneration and gaps with a living wage</a> and <a href="#">living wage benchmarks per country</a>  Note: the specific requirements regarding formal commitments and targets for living wage are in the UEBT/RA consolidated Field Checklist in 6.3.2. These system requirements are related to buyers’ investments and the related calculation tools for this.	5.4.2 and 5.4.3

## Annex: Description of the UEBT Scoring System

The UEBT Scoring System is an integral part of the UEBT System Checklist as well as the UEBT Field Checklist. It sets the rules for quantifying the results of audits and establishes the minimum levels of compliance required for certification.

### Scoring Options

The UEBT Scoring System is based on the following scoring options:

Score	Description	Explanation
N/A	Not Applicable	The indicator is not applicable to the specific situation
0	Not fulfilled	Measures required by the indicator are not in place. Improvement is required.
1	Partially fulfilled (insufficient): Improvement needed	Measures have been taken towards compliance with the indicator, but these measures are not yet sufficient for compliance. Improvement is required.
2	Partially fulfilled (sufficient): Improvement possible	Measures have been taken towards compliance with the indicator. Though improvement is possible, the measures are enough to find compliance with the indicator. Improvements are recommended.
3	Fulfilled	Measures have been taken towards compliance with the indicator, which fully satisfy its requirements

Whereas:

- A score 0 or 1 means that the verifier is **not complied**
- A score 2 or 3 means that the verifier is **complied**

### Relevance

Importance	Definition / Explanation
<b>Minimum requirements</b>	Compliance is always required for indicators that constitute a minimum requirement. For instance, companies and organisations must comply with these requirements before obtaining UEBT membership.
<b>Critical</b>	Critical indicators are considered essential Ethical BioTrade practices. For instance, compliance is required to receive or maintain UEBT certification of ingredients. In the verification of UEBT members or specific supply chains, non-compliance with these indicators must be addressed with priority.
<b>Critical stepwise</b>	For critical stepwise indicators, additional time for compliance is provided. Compliance with these indicators must be achieved in a maximum of three years.
<b>Regular</b>	Regular indicators are focused on promoting positive impact and allow more flexibility in their implementation. For example, UEBT certification of ingredients requires compliance with a certain number of these indicators.
<b>Regular stepwise</b>	For regular stepwise indicators, additional time for compliance is provided. After three years, these indicators are considered to have “regular” level of importance.



### *Threshold for Certification*

To be eligible for certification, the UEBT certificate holder must be compliant with all critical control points of the UEBT System Checklist. Regular control points that are not complied must be addressed by within 3 years maximum.