UEBT AND RAINFOREST ALLIANCE HERBS AND SPICES PROGRAMME
FIELD CHECKLIST

(based on the UEBT standard version July 2020)
(with select Rainforest Alliance indicators included)

PRINT VERSION

This version has been provided for off-line, printed use only, specifically for farms, smaller cooperatives, and other local organisations as a source of information and to prepare for external audits

Auditors should refer to and use the fullest version of the Field Checklist with all its tabs by downloading the Excel version on the UEBT web site or writing to certification@uebt.org

Introduction

The UEBT Full Field Checklist is part of the UEBT assurance programmes (that include verification and certification programmes). This field checklist covers all requirements in the UEBT standard. It is used for assessing local suppliers and cultivation or wild collection sites for prioritised supply chains, with the aim of showing progress towards positive impact for people and biodiversity.

This is a special version of the UEBT Field Checklist that is explicitly for the UEBT and Rainforest Alliance Herbs & Spices Programme as it contains select indicators from Rainforest Alliance. Together these make up one part of the UEBT/Rainforest Alliance Herbs & Spices Requirements. The other part of the requirements is compiled in the 'Requirements for Certificate Holders' (separate file available on the UEBT web site in the Resources section).

It can be used by UEBT members or non-members, or by auditors on their behalf, to conduct on-site monitoring visits of the Organisations at Source, Sub Suppliers and Field Operators, as defined in the UEBT assurance programme approaches (see "Scope" below).

Read through this introduction and the information on indicators before you begin to use the checklist.

Acronyms

The following acronyms are used in the checklist:

BAP: Biodiversity Action Plan
CH: Certificate Holder (which sometimes is the Organisation at Source)
FO: Field Operator
IMS: Internal Monitoring System
LMS: Local Monitoring System
OaS: Organisation at Source
SbS: Sub Suppliers
UEBT: Union for Ethical BioTrade
UEBT STD: UEBT Ethical BioTrade Standard
NC: Noncompliance

Scope

The UEBT Full Field Checklist applies to the supply chain actors involved in the first stages of the production of the raw materials from biodiversity that are included in the certification or verification programmes, and to the respective sourcing areas.

This field checklist applies to three types of entities:

1) **Organisations at Source (OaS)** are the units that manage the cultivation and/or collection activities of the Ingredients to be certified. They are directly 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.

2) **Sub Suppliers (SbS)** are Intermediary entities between the OaS and FO (e.g., local person, company, association of producers, NGO) that is in direct contact with farmers/pickers and supply raw materials to the OaS. This entity is not always in place as this depends on the level of complexity of the supply chains.

3) **Field Operators (FO)** are individuals (producers/collectors), or groups of individuals directly involved in the cultivation and/or collection of the raw materials. They are considered the 'smallest unit' for the purpose of the monitoring activities.

Note: In the case of small-scale producer structures, an Organisation at Source (OaS) is typically a cooperative, an association, or other form of producer organisation, and the Field Operators (FO) are the individual producers. In the case of farms/plantations, the farm management is typically in charge of fulfilling the OaS field verifiers, and the FO field verifiers apply to the respective field workers.

Level of importance of indicators

The UEBT and Rainforest Alliance Consolidated Field Checklist has five (5) different levels of importance for indicators. These indicate different expectations as to whether and when compliance is required for the indicator. Each indicator is classified into one of these five levels of importance:

- **Minimum requirement**
- **Critical**
- **Critical stepwise**
- **Regular**
- **Regular stepwise**

To see an explanation for what each of these five terms mean for compliance, see more information below.

Contact

To download the latest version of the UEBT and Rainforest Alliance Consolidated Field Checklist or to find additional resources on UEBT certification including the Ethical BioTrade Standard, go to:

https://www.ethicalbiotrade.org/resources

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UEBT AND RAINFOREST ALLIANCE HERBS AND SPICES PROGRAMME FIELD CHECKLIST

GUIDANCE - INDICATORS & SCORING

Relative importance of indicators

Importance	Definition / Explanation
Minimum requirements	Compliance is always required for these indicators. Companies and organisations must comply with these requirements before obtaining UEBT membership.
Critical	Critical indicators are considered essential Ethical BioTrade practices. For instance, compliance is required to receive or maintain UEBT certification of ingredients (natural raw materials). In UEBT member or supply chain verification, any non-compliance with these indicators must be addressed with priority.
Critical stepwise	For critical stepwise indicators, additional time for compliance is provided. Compliance with these indicators must be achieved within a maximum of three years.
Regular	Regular indicators are focused on promoting positive impact and allow more flexibility in their implementation. For example, UEBT certification of ingredients (natural raw materials) requires compliance with a certain number of these indicators.
Regular stepwise	For regular stepwise indicators, additional time for compliance is provided. After three years, these indicators are considered to have 'regular' level of importance.

Scoring system

(This is the guidance external auditors use to assign a score for each indicator)

Score	Definition / 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
2 - Partially fulfilled / sufficient	> Measures have been taken towards compliance with the indicator - although improvement may be possible, the measures are enough to comply with the indicator > Improvements are recommended
3 - Fulfilled	> Measures have been taken towards compliance with the indicator, which fully satisfy its requirements

UEBT AND RAINFOREST ALLIANCE FIELD CHECKLIST

For the Herbs & Spices Programme

(based on the UEBT standard version July 2020)

(with select Rainforest Alliance indicators included)

CHECKLIST

Reference: UEBT standard indicator and selected Rainforest Alliance indicator as noted by 'RA' followed by the RA indicator number.

Reference	Criteria and indicators	Importance of indicator	Guidance for indicator	Level of applicability
Principle 1: Conservation of biodiversity				
Criteria 1.1: Information on biodiversity is collected in cultivation or wild collection areas				
1.1.1	Information on biodiversity relevance of cultivation or collection areas is available, using datasets, existing studies, official classifications, or local knowledge	Critical	Information on biodiversity relevance include identification of: > ecosystems, habitats that are significant for their ecological function and services and for containing viable populations of species (naturally occurring, rare, threatened, or endangered). These include primary or secondary forests, savannas, deserts, grassland, water bodies, meadows, scrub land, fallow land. > peatlands and other areas of high below ground carbon stocks > habitats that contain significant species diversity or populations, including species that are naturally occurring, endemic, rare, threatened or endangered > landscapes sites, natural resources, fauna and flora that are relevant for their contribution to the cultural identity, livelihood and wellbeing of local communities. They are fundamental for satisfying the basic necessities of local communities (e.g., health, nutrition, housing, income generation). They are relevant for their historical, archaeological, cultural significance > natural protected areas and other officially classified conservation areas Information is adequate when: > it covers all relevant aspects for biodiversity in cultivation and wild collection areas > it generates actionable knowledge (i.e., information is relevant to the definition of actions as required under 1.2 and 1.3) For compliance (score 2) information is available for both cultivation/wild collection sites and areas and for at least what is listed under the first four (4) bullet points above when relevant. OaS is in charge of collecting the information. The collection of information can be outsourced to external consultants. The Certificate Holder supports the OaS with monetary, technical and other kind of support when the OaS does not have sufficient resources. The collection of information can be done by using recognised classification and mapping tools or by using existing reports and traditional knowledge. UEBT	> Cultivation & wild collection > Organisation at source (OaS)

			provides a list of tools to identify relevant natural areas that can be used for this purpose. The UEBT Biodiversity Action Plan (BAP) Baseline assessment template includes all relevant information to be gathered and can be used for reporting.	
1.1.2	Threats to biodiversity in the cultivation or collection areas are identified, using risk assessment tools, studies or local knowledge	Critical	Examples of threats to be looked at are: > deforestation > invasive species > pollution and overexploitation of air, soil, water and other natural resources > loss and fragmentation of natural and semi-natural habitats > changing weather conditions and natural disasters > other types of degradation of ecosystems The identification of threats is adequate when: > it covers all the threats that are relevant for biodiversity in cultivation and collection areas > it generates actionable knowledge (i.e., identified threats are relevant for the definition of actions as required under 1.2 and 1.3) For compliance (score 2) threats are investigated for both cultivation/wild collection sites and areas and include at least what mentioned under the first four (4) bullet points above when relevant. OaS is in charge of identifying threats. The identification of threats can be outsourced to external consultants. If it exists, the Certificate Holder supports the OaS with monetary, technical and other kind of support when the OaS does not have sufficient resources. Threats can be identified by using recognised risk assessment tools or by using existing studies and local knowledge. UEBT provides a list of tools to identify relevant risks for biodiversity that can be used for this purpose. The UEBT BAP Baseline assessment template includes all relevant information to be gathered and can be used for reporting.	> Cultivation & wild collection > OaS
1.1.3	Existing strategies plans and/or initiatives - public or private - that contribute to maintaining, regenerating, or enhance biodiversity in the cultivation or collection areas are identified	Regular	Examples of strategies, plans, initiatives to maintain, restore or enhance biodiversity include: > management plans for natural (protected) areas or species > civil society initiatives to act on biodiversity emergency or relevant aspects > universities and research centres' studies or activities that tackle biodiversity issues > regional, national and local government strategies for biodiversity 4.4.4 The identification of strategies/plans/other initiatives is adequate when:	> Cultivation & wild collection > OaS

			> it considers all relevant organisations working in the cultivation/collection areas and their activities > it generates actionable knowledge for the definition of actions as required under 1.2 and 1.3) For compliance (score 2) strategies/plans/other initiatives are investigated in cultivation/wild collection areas and include at least what is mentioned under the first three (3) bullet points above, when relevant. OaS is in charge with identifying strategies/plans/initiatives. The identification of strategies/plans/initiatives can be outsourced to external consultants. The Certificate Holder supports the OaS with monetary, technical and other kind of support when the OaS does not have sufficient resources. Strategies/plans/other initiatives can be identified by consulting - through direct contact or on-line search - local governments, governmental and non-governmental agencies or organisations, research centres and universities. The UEBT BAP Baseline assessment template includes all relevant information to be gathered and can be used for reporting.	
Criteria 1.2: Concrete actions are taken to maintain, regenerate, or enhance biodiversity in cultivation or wild collection areas				
1.2.1	Current cultivation, wild collection or related activities have not resulted in the conversion or deforestation of intact ecosystems, from 1 January 2014 onward	Minimum requirement	OaS and field operators do not undertake activities related to cultivation/wild collection/storing/processing and transporting of species and (natural) raw materials included in the certification that causes conversion of intact ecosystems. This requirement applies since 1 January 2014. Conversion (of intact ecosystems) is a change of an intact ecosystem to another use that results in the destruction of its species composition, structure and function to the extent that their regeneration to the previous state is unlikely and the previous capacity to provide services to the environment and to people is lost. Conversion may occur, for example, when intact ecosystems are changed to plantations, croplands, pastures, water reservoirs, infrastructures (e.g., roads to transport products, storing, processing, energy production, office and other facilities) with the described negative impact on the ecosystems. When the described negative impact does not occur, changes of an intact ecosystem to other uses are not considered as conversion and are not banned under this standard. This is, for example, the case of cultivation/wild collection that contributes to maintaining or restoring intact ecosystems (e.g., agroforestry, permaculture, regenerative farming, and forms of natural farming and wild collection that give attention to biodiversity conservation, regeneration and sustainable use as defined in this standard).	> Cultivation & wild collection > OaS > Field operators

			Deforestation is a form of conversion with negative impact as defined in this standard which occurs when conversion concerns intact forest ecosystems such as primary forests. Intact ecosystems are ecosystems that substantially resemble - in terms of species composition, structure, and ecological function — one that is or would be found in a given area in the absence of major human impacts. An ecosystem can be intact despite human activities take place when much of the original species' composition, structure, and ecological function are being maintained or regenerated. Examples of intact ecosystems are pristine ecosystems, primary forests, rainforest, peatlands, savanna, other ecosystems with high capacity of carbon storage and intact features and areas listed in official classifications where human activities are not allowed, and human access is limited.	
1.2.2	Concrete actions to maintain, regenerate, or enhance biodiversity are initiated or supported in cultivation and wild collection areas, considering the information gathered (ref. 1.1.1)	Critical stepwise	Examples of expected concrete actions are: ***1. Protect/restore ecosystems and natural habitats, by, among others:*** > restoring or maintaining vegetation bordering waterways as well as other important habitats > protecting or restoring natural structures (e.g., trimming of hedgerows, re-plant hedges, maintaining stone walls, planting flower and buffer strips, and similar) > implementing bare ground and low till practices to allow ground nesting > prefer water canal, trenching and other natural infrastructure over artificial one for soil drainage > creating protection zones including buffer, riparian and non-intervention areas to safeguard sensitive areas from cross-contamination > contributing to management plans and monitoring systems for water basins, forests and other relevant habitats ***2. Creation of priority areas for biodiversity, by, among others:*** > setting aside land in cultivation and collection sites to allow for regeneration of natural vegetation and that are free from the application of agrochemicals > setting up, maintaining or regenerating areas covered by naturally occurring, rare, protected and endangered vegetation > setting up, maintaining or regenerating areas covered by vegetation that supports the presence of naturally occurring, rare, protected and endangered animal species > managing vegetation cover in set-aside land, and other land fields to promote native, rare, protected and endangered species > providing nesting and foraging sites for birds and beneficial insects, including host plants pollinators	> Cultivation & wild collection > OaS > Field operators

			> securing and restoring critical breeding grounds for aquatic species along rivers and in wetlands > incorporating or maintain non-crop native vegetation cover in non-productive areas in collection and cultivation sites (e.g., border planting, live fences, shade trees, grassland, set-aside land) ***3. Promote interconnectivity among habitats, by, among others:*** > creating corridors that connect habitats in cultivation or collection areas > enhancing field margins in cultivation or collection areas (e.g., live fences, hedges, ditches, riparian strips, areas around waterways and other road and field margins) Not all actions mentioned above may be implemented. Actions can be selected from the ones listed above and are adequate when: > they respond to the relevant opportunities and threats for biodiversity in cultivation/collection areas identified as per 1.1. > they concern both cultivation/collection sites and areas For compliance (score 2) at least those actions among the listed actions under topics 1 and 2 above are to be implemented when relevant. OaS can define and start actions as well as support actions that are implemented in the cultivation and wild collection areas by relevant organisations. OaS can cover different roles depending on the situation: a) when the OaS sets up actions, it coordinates the implementation, provides internal resources and expertise for the implementation and the monitoring of the actions or commits internal resources to hire external expertise for the implementation and monitoring of the actions, b) when the OaS supports existing actions, it provides economic or other types of resources to the organisations in charge of implementing the actions to support the implementation and monitoring Field operators contribute to those actions that take place in the cultivation and collection sites. Their contribution depends on the situation: a) when in their capabilities, they can supply resources and expertise to carry out and monitor the implementation of actions, b) when this is not in their capabilities, they can provide access to their fields to those responsible for the implementation and monitoring of the actions, as well as provide minor support. The first is the case for large-scale farmers or wild collector groups. The second is the case of small farmers/individual pickers. A Certificate Holder provides economic, financial and other types of support to OaS and FO when they do not have sufficient resources. The UEBT BAP workplan template includes all relevant information to be included when defining actions and can be used for reporting.	

1.2.3	If examples of expected concrete actions listed in 1.2.2 are not relevant in cultivation and collection areas, other actions to maintain, regenerate, or enhance biodiversity are initiated and/or supported.	Critical stepwise	Examples of concrete actions listed in 1.2.2 are considered not relevant when: > they do not respond to the threats and opportunities identified under 1.1 > they are not feasible in cultivation and collection areas - this may be the case when OaS/FO do not own the land in the cultivation/collection sites and areas, so they cannot implement actions there or may be asked to leave and lose their work. Another example of non-feasibility is when there are not protected areas or other areas of natural importance with management plans for biodiversity to contribute to. In those cases, OaS/FOs are compliant with the requirements if: > they initiate or support other actions than those proposed in 1.2.2 in collection/collection sites and areas as far as they fall into same or similar categories of actions and respond to the priorities identified under 1.1 and/or > they initiate or support compensation measures to be implemented beyond the cultivation/ collection sites/areas, in the closest suitable areas. Responsibilities for OaS and Field Operators are the same as for 1.2.2. The UEBT BAP workplan template includes all relevant information to be included when defining actions and can be used for reporting.	> Cultivation & wild collection > OaS > Field operators
1.2.4	Targets are set for concrete actions undertaken (ref 1.2.2 and 1.2.3) that allow for assessment of progress and impact.	Critical stepwise	Targets are to be: > SMART - Simple, Measurable, Attainable, Realistic, Timely > relevant to assess the achievements of the actions under 1.2.2/1.2.3 > cover two types of achievements to be monitored: a) performance achievements - the achievements concern the performance of the actions, meaning the progress made in their implementation. Examples of progress are hectares of cultivation or collection areas covered, or the number of farmers or collectors involved in the different actions. b) impact achievements - the achievements concern the impact of the actions, meaning the effects they have on biodiversity. There are key biodiversity components on which effects from actions can be expected: soil and water conditions, genetic and species diversity, habitats diversity and conditions. Examples of impacts are the improvement in the organic components of the soil, or an increase in genetic and species varieties. Not all of the biodiversity components may be relevant for each action. Targets only need to be set for those components that are relevant.	> Cultivation & wild collection > OaS > Field operators

			For compliance (score 2) targets are set for all actions that cover at least a) performance achievements. OaS is to set the targets. When actions are supported (and not initiated by the OaS) or delegated for implementation and monitoring to external consultants, the OaS is responsible for verifying that targets are set by those responsible for the implementation. When OaS sets targets, field operators are to be consulted. When Field Operators have the capabilities to set-up, implement and monitor their own actions, they are also responsible for setting targets. CH supports with monetary, financial and other resources when this is not sufficient at the OaS/Field Operators level. The UEBT BAP workplan template includes all relevant information to be included when defining targets and can be used for reporting	
Criteria 1.3: To ensure relevance and continuous improvement, concrete actions are periodically adjusted to changing conditions				
1.3.1	Concrete actions in cultivation or wild collection areas (ref. 1.2) are monitored and assessed at least every three years in relation to set targets (ref 1.2.4).	Critical Stepwise	A monitoring system for the targets is set up, which: > has clear procedures for collection and analysis of information > implies the collection of information to assess both impact and performance > allows for the monitoring of targets at least every three years - however, it is preferable that performance is monitored annually while impact is monitored every three years The OaS is responsible for the implementation of the monitoring. This implies that it defines protocols/methodology for information collection and implements them. OaS can delegates this task to external experts, and it has to supervise that the monitoring is implemented according to the requirements. CH provides monetary, technical and other types of support when resources at the OaS are not sufficient. Field operators may be asked to contribute to the collection of information if they have the capabilities. The UEBT BAP monitoring template includes all relevant information to be included when monitoring targets and can be used for reporting.	> Cultivation & wild collection > OaS
1.3.2	Concrete actions are updated to enhance performance and impact following the result of monitoring and assessment results (ref 1.3.1).	Regular	For compliance, actions are updated: > when the monitoring shows that one or more of the targets is not reached on time > with adjustments that allow reaching all the targets set The OaS is responsible for defining the updates. OaS can delegate this task to external experts, and it has to supervise that updates are proposed according to the requirements. CH provides monetary, technical and other types of support when resources at the OaS are	> Cultivation & wild collection > OaS

			not sufficient to carry out the task. Field operators/OaS implement the updates falling under their responsibility. The UEBT BAP workplan and monitoring templates includes all relevant information to be included when adjusting actions and can be used for reporting.	
1.3.3	In case of unintended adverse consequences on biodiversity, concrete actions are modified accordingly	Regular	For compliance, actions are modified: > when the monitoring shows that one or more unintended, adverse consequences has occurred as a result of the implementation of the action > with adjustments that allow for resolving the unintended, adverse consequences The OaS is responsible for defining the adjustments. OaS can delegate this task to external experts, and it has to supervise that adjustments are proposed according to the requirements. CH provides monetary, technical and other types of support when resources at the OaS are not sufficient to carry out the task. Field operators/OaS implement the adjustments falling under their responsibility. The UEBT BAP workplan and monitoring templates includes all relevant information to be included when adjusting actions and can be used for reporting.	> Cultivation & wild collection > OaS
Principle 2: Sustainable use of biodiversity				
Criteria 2.1: Practices are adopted to ensure sustainable use of the species cultivated or wild collected, and to prevent or mitigate negative impact on other species				
2.1.1	Cultivation, wild collection and trade of cultivated and wild collected species comply with laws and regulations implementing the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and other national or local rules on rare, threatened or endangered species.	Minimum requirement	There is evidence that CITES, and other relevant regulations are known and taken into account when cultivating, collecting, trading crops and wild species. Rules are respected on what can be cultivated and collected, and the way it should be cultivated and collected and traded so as to not threaten the survival of plants and animals. When they exist, relevant permits to work with certain species are available. OaS and field operators are responsible for checking and complying with relevant legislation. In the case of small farmers or individual pickers, farmer/pickers groups or the OaS are in charge of checking the legislation and ensuring compliance.	> Cultivation & wild collection > Field operators > OaS
2.1.2	Cultivation and wild collection activities do not take place in protected areas where such activities are not allowed.	Minimum requirement	Protected areas include natural parks, natural reserves and other areas that are managed by a public or private authority and in which human activities are not allowed. The OaS and/or the field operators shall show awareness of the existence of those areas and show evidence that they are not conducting farming and wild collection in areas where this is forbidden.	> Cultivation & wild collection > Field operators > OaS

			Identification of protected areas can be done by using recognised classifications and mapping tools or by using existing reports and local knowledge. UEBT provides a list of tools to identify protected areas that can be used for this purpose. OaS and field operators are responsible for checking the presence of those areas and ensuring cultivation, wild collection and related activities are not conducted there. In case of small farmers or individual pickers, farmer/pickers groups or the OaS are in charge of checking the presence of those areas and ensuring activities do not take place there.	
2.1.3	In protected areas where cultivation and wild collection activities are allowed, such activities take place in line with official management plans.	Critical stepwise	There are zones in some protected areas where human activities - including wild collection, cultivation and related activities - are allowed. Management plans for those areas set the conditions under which those activities can be conducted. The OaS and the Field operators shall show awareness of the existence of those management plans and show evidence that they are conducting farming, wild collection and related activities in line with the conditions set in the plans, when activities are conducted in those areas. Identification of protected areas and management plans can be done by using recognised classifications and mapping tools or by using existing reports and local knowledge. UEBT provides a list of tools to identify protected areas that can be used for this purpose. OaS and field operators are responsible for checking the presence of those areas, management plans and complying with them while conducting cultivation, wild collection and related activities there. In the case of small farmers or individual pickers, farmer/pickers groups or the OaS are in charge of checking the presence of those areas, management plans and ensuring activities are implemented according to the plans.	> Cultivation & wild collection > Field operators > OaS
2.1.4	Cultivation and wild collection activities do not intentionally introduce invasive species	**Critical**	Invasive species is alien flora and fauna which becomes established in natural or semi-natural ecosystems or habitat, is an agent of change, and threatens native biological diversity. In some cases, invasive species are listed as such in the 'Global Register of Introduced and Invasive Species.' In other cases, they are classified as such by local and scientific knowledge. Examples of intentional introduction because of sourcing activities are: > invasive plants are cultivated	> Cultivation & wild collection > Field operators

			> invasive fauna (e.g., mammal, insects, worms and other) is used for the purposed of cultivation, wild collection and related activities (e.g., insects used to combat other species, worms used for composting) Field operators - pickers or farmers - are to comply with this requirement and refrain from any intentional introduction of invasive species for farming, wild collection and related activities.	
2.1.5	If cultivation and wild collection activities involve invasive species, which as per 2.1.4 have not been intentionally introduced, measures are taken to avoid the spread of these species beyond cultivation and wild collection sites.	**Critical**	Unintentional spread of invasive species takes place when, for example: > seeds from invasive plants are casually dispersed while farming or collecting from the wild (e.g. dropped from containers used to store and transport products, cleaning of machineries used to harvest or store products, cleaning of storage) > the presence of invasive plants/insects/birds is fostered by the plants farmed or by the farming/harvesting practices used (e.g. using agrochemicals that suppress plants/insects that are natural rivals to invasive species and foster the appearance of the latter; overworking the soil and degrading its conditions and fostering the spreading of invasive weeds that can also prosper in degraded soil, etc.) Measures that avoid the spread of invasive species from cultivation and wild collection activities, and corrective actions to stop their spread, are all measures that ensure compliance with this requirement. Field operators are responsible for implementing these types of measures.	> Cultivation & wild collection > Field operators
2.1.6	The species cultivated are not genetically modified organisms	**Critical**	No GMO seeds/seedling are used to grow the crops included in the certification/verification. Field operators are responsible for implementing the practices required for compliance with this indicator.	> Cultivation > Field operators
2.1.7	Cultivation and wild collection activities do not introduce genetically modified organisms into cultivation and wild collection sites.	**Regular**	No GMO seeds/seedlings are used for, as examples: > crops that are rotated with the certified/verified crop in the same site > plants that are grown in the same site as the certified/verified crop to improve soil conditions, biological pest management and similar functions > other practices that are instrumental for the cultivation/wild collection of the certified crop Field operators are responsible for implementing the practices required for compliance with this indicator.	> Cultivation & wild collection > Field operators
2.1.8	(For wild collection) Characteristics of wild	**Critical stepwise**	Information shall specify the following characteristics, among others:	> Wild collection

	collection sites are identified using field observations, existing studies or local knowledge.		> location of the site - using GPS if possible > size of the site > specification of the location and size per land use (e.g., non-collection areas, presence of relevant habitats and patches with relevant species) > land use changes over time Information can be gathered by commissioning or conducting studies, learnings from field experience and local knowledge. Information is adequate when it provides insights that can be used to inform the management of the collection sites and the implementation of collection practices in line with the relevant biodiversity requirements of the UEBT standard (e.g., 1.2, 2.1). For compliance (score 2) at least location of the sites (not necessarily through GPS coordinates), their size and their different uses is known. The UEBT Baseline assessment template includes all relevant information to be gathered and can be used for reporting. OaS is responsible for gathering this information. The OaS can consult external experts, individual or groups of pickers, and other relevant informants in the process of gathering relevant information. Pickers are to be aware of the characteristics of the wild collection sites.	> OaS > Field operators
2.1.9	(For wild collection) Information is available on the status of the wild collected species within the wild collection site. Species inventories, scientific studies or local knowledge are used to obtain information.	**Critical stepwise**	Information shall include, among others: > varieties of the species collected > conservation status > location of population of sourced species > reproduction system and replacement rate of the sourced species > reproduction rate > population structure > interdependencies with species in close proximity Information can be gathered by commissioning or conducting studies, learnings from field experience and local knowledge. Information is adequate when it provides insights that can be used to inform the management of the collected species and the implementation of collection practices in line with the relevant biodiversity requirements of the UEBT standard (e.g., 1.2, 2.1, 2.2). For compliance (score 2) at least information listed under the first five (5) bullet points above is to be available. The UEBT Baseline assessment template includes all relevant information to be gathered and can be used for reporting.	> Wild collection > OaS > Field operators

			OaS is responsible for gathering this information. The OaS can consult external experts, individual or groups of pickers, and other relevant informants in the process of gathering relevant information. Pickers are to be aware of the characteristics of the collected species.	
2.1.10	(For wild collection) Wild collection practices are based on scientific information or local knowledge to avoid negatively affecting the long-term survival of the population of wild collected species or its interdependent species.	**Critical**	Examples of wild collection practices expected to be followed are: > respect of legal requirements and possession of authorisation for wild collection when existing > ensure the collected quantities and the intensity of collection guarantee regeneration over time: a) the frequency of collection should at least not exceed the rate of replacement of adult individuals or plant parts b) for plants that reproduce by seed of spore, sufficient plants should be left to reach the reproductive age c) for plants that reproduce by bulb or corms, root or rhizome, sufficient numbers should be left on site > collection during seasons that allow to maximise an effective use of the plants, considering for instance reproductive cycles, biological age/size of sourced species, precipitation cycle > collection only of those plant parts required for production > if bark is collected, collection is done in ways appropriate to the species, and removal of bark from limbs rather than trunk of living trees is preferred > avoidance of contamination or degradation of habitats, food sources, and water provision for wild animals, insects, other plants > resolve human-wildlife conflicts arising in wild collection sites in a way that does not harm wildlife (e.g. no animal hunting/killing or keeping in captivity) Followed practices are adequate when they consider the information gathered under 2.1.9 to ensure that collected and interdependent species are maintained over time. For compliance (score 2) at least the practices listed under the first four main bullets (denoted by >) are to be implemented when relevant. Adequate practices can be identified by the pickers, or pickers' groups or by those responsible for collecting the information under 2.1.9. Pickers are responsible for implementing the practices.	> Wild collection > Field operators
2.1.11	(For wild collection) The purchasing schedule for the natural raw material respects suitable time and methods for the	**Regular**	Purchasing time, quantities and quality are decided by also considering the wild collection practices identified and implemented according to 2.1.10. This is suitable when it is in line with what can be delivered and the time when this can be delivered	> Wild collection > Oas

	wild collection of the species.		considering collection practices under 2.1.10. OaS consults with the field operators about the availability of the natural raw materials and adjusts the buying schedule considering what can be delivered and the time when this can be delivered given the followed collection practices as per 2.1.10.	
2.1.12	(For wild collection) Pickers and other relevant actors have the skills to implement wild collection practices as required in 2.1.1 to 2.1.11.	**Critical stepwise**	Field operators and other relevant actors have access to knowledge that are useful to develop skills to apply the relevant collection and trade practices established according to 2.1 OaS shall provide or support the provision of relevant knowledge in the form of: > training > making agronomists and other experts available for technical support > defining and distributing manuals, guidance and other training material	> Wild collection > OaS > Field operators
2.1.13	(For wild collection) Wild collection practices are assessed for performance and impact and adjusted with a view to continuous improvement, changing conditions and/or addressing unintended negative effects.	**Regular stepwise**	The implementation of practices as per 2.1.10 is monitored yearly. The long-term survival of the sourced and interdependent species is assessed every three years through the monitoring the regeneration rate. This can be done using internal monitoring systems and expertise or by commissioning external experts (e.g., universities/researchers). The UEBT BAP Monitoring tool can be used to report information on the progress in implementation of practices and on the regeneration rate over time. The monitoring is adequate when it provides knowledge for the adjustments of the practices. Collections practices are changed when proven to be unsuitable to the context and not able to meet the expected results in terms of ensuring long-term survival of collected and interdependent species. OaS is responsible for the monitoring and for informing and discussing results with field operators as well as possible changes in the practices.	> Wild collection > OaS
2.1.14	(For cultivation) Characteristics of the cultivation sites are identified using field observations, existing studies and local knowledge.	**Critical stepwise**	Information shall include, among other: > location of the site - using GPS if possible > size of the site > specification of the location and size per land use (non-cultivation areas, presence of relevant habitats and patches with relevant species) > land use changes over time Information can be gathered by commissioning or conducting studies, learnings from field experience and local knowledge. Information is adequate when it provides insights that can be used to inform the	> Cultivation > OaS > Field operators

			management of the cultivation sites and the implementation of cultivation practices in line with the relevant biodiversity requirements of the UEBT standard (e.g., 1.2, 2.1). For compliance (score 2) at least location of the sites (not necessarily through GPS coordinates), their size and their different uses is known. The UEBT Baseline assessment template includes all relevant information to be gathered and can be used for reporting. OaS is responsible for gathering this information. The OaS can consult external experts, individual or groups of farmers, and other relevant informants in the process of gathering relevant information. Farmers are to be aware of the characteristic of the cultivation sites	
2.1.15	(For cultivation) Characteristics of the cultivated species are identified using field observations, existing studies and local knowledge	**Critical**	Information about the cultivated plant species shall include, among others: > varieties > production cycle > yields > propensity for pests and diseases > interdependency with other crops and species Information can be gathered by commissioning or conducting studies, learnings from field experience and local knowledge. Information is adequate when it provides insights that can be used to inform the management of the cultivated species and the implementation of cultivation practices in line with the relevant biodiversity requirements of the UEBT standard (e.g., 1.2, 2.1, 2.2). For compliance (score 2) at least information listed under the first three (3) bullet points is available. The UEBT Baseline assessment template includes all relevant information to be gathered and can be used for reporting. OaS is responsible for gathering this information. The OaS can consult external experts, individual or groups of farmers, and other relevant informants in the process of gathering relevant information. Farmers and farm workers are to be aware of the characteristics of the cultivated species.	> Cultivation > OaS > Field operators
2.1.16	(For cultivation) Cultivated species are rejuvenated or renovated as needed to maintain yields and plant health	**Critical**	Rejuvenation and renovation practices are adequate if: > implemented following timing and modalities that consider crops' age, disease and other needs as well as agro-ecological conditions > ensure plant health, vegetative balance, yield, and access to sunlight and oxygen Rejuvenation and renovation can be done following	> Cultivation > OaS > Field operators

			expert guidelines, local knowledge or field experience. Farmers are responsible for implementing rejuvenation and renovation activities. OaS is responsible for providing technical, monetary or other types of support for the implementation of those activities when resources are not sufficient at the farmer level.	
2.1.17	Suitable varieties are used for new planting (including propagation)	**Critical**	Varieties used for new planting/propagation are suitable if chosen to ensure: > genetic diversity > adaptation to local conditions > adequate yields > resistance to pests, diseases and drought > efficiency in inputs required > quality requirements for processing The selection of varieties for new planting/propagation can be done following expert guidelines, local knowledge or field experience. For compliance (score 2) the varieties used ensure the concepts mentioned under all six (6) bullet points above. Farmers are responsible for the selection of suitable varieties. OaS is responsible for providing technical, monetary or other types of support for the selection of suitable varieties when resources are not sufficient at the farmer level.	> Cultivation > OaS > Field operators
2.1.18	(For cultivation) Purchase of seed and planting material is done through trusted and/or certified organisations	**Critical**	Certified planting material includes seeds and seedlings bought from nurseries and similar with a certificate attached. Trusted providers are farmers, farmer groups, agronomists, seed banks and other relevant organisations that are authorised/recognised in the farming areas as providers of seeds and seedlings, with no evidence of misconduct over the years. Field operators are in charge of identifying appropriate providers and buying trusted/certified planting material. OaS can provide technical, monetary and other types of support to identify and buy adequate planting material when resources at the farm level are not sufficient.	> Cultivation > OaS > Field operators
2.1.19	(For cultivation) In case of on-site production of seeds and planting material, actions are taken to ensure that the seeds, seedlings, and new plants are free from pests, fungal infections and seeds from toxic weeds	**Critical**	Practices to ensure that seeds, seedlings and other planting material produced on-site are free from pests, fungal infections and seeds from toxic weeds, include seed/seedling and bed: > sanitation > sterilisation > health check, and similar The identification of practices to ensure quality and	> Cultivation > OaS > Field operators

			health of seeds, seedlings and other planting material produced on-site can be done following expert guidelines, local knowledge or field experience. For compliance (score 2) at least sanitation and health checks are implemented. Field operators implement these practices. OaS provides technical, monetary and other types of support for the implementation of these practices when resources at the farm level are not sufficient.	
2.1.20	(For cultivation) New plantings follow crop patterns suitable to ensure a well-established cropping system	**Critical**	Crop patterns for new planting are suitable to ensure well established cropping systems when they are defined considering, among others: > varietal requirements > geographical, ecological and agronomic conditions > crop rotation and fallow periods > diversification, intercropping and planting density The identification of adequate crop patterns to ensure well established cropping systems can be done following expert guidelines, local knowledge or field experience. For compliance (score 2) crop patterns are defined considering at least what is listed under the first three (3) bullets above (when applicable). Field operators are to define and implement adequate crop patterns. OaS provides technical, monetary and other types of support for the identification and implementation of those patterns when resources at the farmer level are not sufficient.	> Cultivation > OaS > Field operators
2.1.21	(For cultivation) Cultivated species are managed to ensure optimal yields and to avoid conflict with other cultivated and interdependent wild species	**Critical**	Practices to ensure optimal yields and to avoid conflicts with other cultivated and interdependent wild species include, for example: > pruning of trees according to agroecological conditions, and applicable pruning guidelines to ensure access to beneficial organisms, air and sunlight > soil and water management (see 2.3) > considering pollinator and bird life cycles to avoid negatively affecting their populations > harvesting at the appropriate time and using methods for optimising quality and crop health > no cultivation in land that is not classified as agricultural land > considering weed life cycles to reduce competition with crops and need of herbicides > avoiding contamination or degradation of habitats, food sources, and water provision for wild animals, insects, plants > resolving human-wildlife conflicts arising in wild collection sites in a way that does not harm wildlife (e.g. no animal hunting or keeping in captivity) -	> Cultivation > OaS > Field operators

			captive wild animals that were present on the farm before the earliest certification date are sent to professional shelters or may be held only for non-commercial purposes for the remainder of their lives; captive wild animals and farm animals are able to enjoy the 'five freedoms' of animal welfare Field operators follow one or more of the above listed practices as well as any other relevant practice in the context of where they operate. The identification of adequate practices to ensure optimal yields and avoid conflicts with other cultivated or interdependent wild species is done by consulting experts or by using existing knowledge and field experience. For compliance (score 2) at least the practices listed under the first (1) bullet point (when applicable) through the fifth (5) bullet points are to be followed. OaS provide technical, monetary and other types of support for the identification and implementation of appropriate practices when resources at the farmer level are not sufficient.	
2.1.22	(For cultivation) Purchasing schedule for natural raw material respects suitable time and methods for the cultivation of the species	**Regular**	Purchasing time, quantities and quality are decided by also considering the cultivation practices identified and implemented according to 2.1. This is suitable when it is in line with what can be delivered and the time when this can be delivered considering cultivation practices under 2.1. OaS consults with the field operators about the availability of the natural raw material and adjusts the buying schedule considering what can be delivered and the time when this can be delivered given chosen varieties, established cropping systems and management of cultivated species as per 2.1.	> Cultivation > OaS
2.1.23	(For cultivation) Farmers, workers and other relevant actors have the skills to implement cultivation practices as required in 2.1.1 – 2.1.7 and 2.1.14 – 2.1.22	**Critical stepwise**	Field operators and other relevant actors have access to knowledge that is useful for developing skills to apply the relevant cultivation and trade practices established according to 2.1. OaS shall provide or support the provision of relevant knowledge in the form of: > training > making agronomists and other experts available for technical support > defining and distributing manuals, guidance and other training materials	> Cultivation > OaS > Field operators
2.1.24	(For cultivation) Cultivation practices are assessed for performance and impact and adjusted with a view to continuous	**Regular stepwise**	The implementation of cultivation practices as per 2.1.16, 2.1.17, 2.1.19, 2.1.20 and 2.1.21 is monitored annually. The health and yield of cultivated species as well as the survival of interdependent wild species is assessed	> Cultivation > OaS

	improvement, changing conditions, and/or addressing unintended negative effects.		every three years. This can be done using internal monitoring systems and expertise or by commissioning external experts (e.g., universities/researchers). The UEBT BAP Monitoring tool can be used to report information on the progress in practices implementation, the health and yield of crops and the survival of interdependent species. The monitoring is adequate when it provides knowledge for the adjustment of practices. Cultivation practices are changed when proven to be unsuitable to the context and not able to meet the expected results in terms of crop yield and health and interdependent species survival. OaS is responsible for the monitoring and for informing field operators and discussing with them the results and possible changes in the practices.	
Criteria 2.2: Cultivation and collection practices promote climate resilience				
2.2.1	Information on the potential implications of changes in local climatological conditions for the cultivated or wild collected species is gathered from existing studies and other scientific or local knowledge	**Regular stepwise**	Information is available on which types of implications are witnessed or foreseen for cultivated or wild collected species resulting from changing climatological conditions. Examples of such information include: > reduced yields/regeneration of plants, or reduced adaptability caused by changing weather patterns and other natural events > unsuitability of certain cultivation and collection practices (e.g. watering system/schedules, collection intensity/frequency, and similar) > appearance of pests, diseases or invasive species that need to be tackled in the collection or cultivation sites Information may come from scientific studies or evidence, as well as from the use of tools to assess climate resilience, or from local knowledge and knowledge resulting from field experience. The UEBT Baseline assessment template includes all relevant information to be gathered and can be used for reporting. Information is considered relevant and complete when it can be used to define and implement practices to comply with 2.2. For compliance (score 2) at least the information mentioned under the first two (2) bullet points is available. OaS is in charge with collecting or commissioning the collection of information and passing it on to field operators.	> Cultivation & wild collection > OaS
2.2.2	Cultivation and wild collection practices are	**Regular stepwise**	Examples of practices include:	> Cultivation & wild

	adopted to improve climate resilience		> monitor extreme weather patterns (e.g. drought and flood) and other extreme natural events > identify possible solutions to prevent or mitigate the negative impacts of those events > (for cultivation) maintain and promote genetic variety within species - including drought-resistant and similar species - monitor their resilience and intervene to enhance it > (for cultivation) adopt farming practices that are adaptable to new weather conditions - such as changing irrigation systems and schedules > (for wild collection) maintain and promote variety of species, monitor their resilience and intervene to enhance it > diversify sourcing to reduce dependency on species and crops threatened by changing climatological conditions Field operators follow one or more of the above listed practices as well as any other relevant practice in the context where they operate. For compliance (score 2) at least practices mentioned under the first three (3) bullet points (when applicable) are implemented. The identification of appropriate practices to improve climate resilience is done by consulting experts or by using existing knowledge and field experience. OaS provide technical, monetary and other types of support for the identification and implementation of appropriate practices when resources at the field operator level are not sufficient.	collection > OaS > Field operators
Criteria 2.3. Soil and water conditions are conserved or improved in cultivation and collection sites				
2.3.1	Information on the level and quality of ground and surface water in cultivation and wild collection sites is gathered through existing studies and other scientific or local knowledge	**Critical**	Studies to assess the level of surface and/or ground water are required (e.g., using catchment context methodology or similar approaches). Water quality aspects can be checked through water analyses. Aspects to be checked include the presence of toxic substances and other residues as well as the chemical and biological components. The UEBT Baseline assessment template includes all relevant information to be gathered and can be used for reporting. Information on the level and quality of ground and surface water is relevant when it can be used to define practices to comply with 2.3. Information is to be updated at least once every three years. In case of large-scale farmers, or farmers' groups, field operators are in charge of gathering information for each cultivation site (including facility sites if any). In case of small farmers or pickers' groups, the groups can be in charge of gathering information for all group members. When they all work in the same area,	> Cultivation & wild collection > OaS > Field operators

			general information at the area level is sufficient and there is no need for site specific information. OaS supports the collection of information providing monetary or other types of resources, especially in the case of small farmers and pickers when their resources are not sufficient to conduct information gathering. When OaS carries out first stage processing activities that use water (e.g., cleaning) in the cultivation/collection areas, the OaS collects relevant information on the surface and ground water levels and quality.	
2.3.2	Practices are adopted in cultivation, wild collection and related activities to conserve and enhance the quality of surface and ground water	**Critical**	Water quality is maintained and enhanced through cultivation/collection and - when on site - initial-stage processing activities that: > prevent > reduce > stop contamination of surface and ground water that derives from those activities. Guidance for relevant practices is detailed under 2.4.7 and 2.5.4. For compliance (score 2) at least laws and permits on the use of surface and ground water are followed when applicable. Field operators are to follow one or more of the practices to maintain and enhance the quality of surface and ground water in the cultivation and collection sites. OaS supports the identification and implementation of those practices with monetary and other resources when those are not sufficient at the level of field operators. When OaS carries out first stage processing activities that use water (e.g., cleaning) in the cultivation/collection areas, it follows one or more of the practices to maintain and enhance the quality of surface and ground water in the cultivation and collection areas. Practices followed are adequate when they tackle any possible negative impact on surface and ground water quality in cultivation/collection areas that comes from cultivation, wild collection or initial-stage processing. The UEBT water use register template includes fields to report about water use and conditions and can be used for reporting.	> Cultivation & wild collection > OaS > Field operators
2.3.3	Practices are adopted in cultivation, wild collection and related activities to maintain levels of surface and ground water	**Regular**	To maintain levels of surface and ground water, practices for effective use of water in cultivation, wild collection and - when on site - initial processing activities are to be followed. Examples of practices include: > prefer the use of renewable water sources such as harvested rainwater or recycled-treated water > (for cultivation) use the most efficient irrigation	> Cultivation & wild collection > OaS > Field operators

			techniques possible in the cultivation areas (e.g. drip irrigation, (mini)sprinkler, evening irrigation) > (for cultivation) record water applications and use > (for cultivation) use plant varieties and cultivation practices better adapted to the climatic conditions in the cultivation areas > (for cultivation) define water application based on available information, including the needs of cultivated species, meteorological information (gathered through decision support tools such as meteorological stations, dedicated software, tensiometric probes, water budgeting or information on crop needs) and performance of the irrigation system > improve insulation and ground water retention by planting trees and plants that serve this purpose and creating relevant natural structures (e.g. ditches, check dams, ponds, terraces, etc.) > comply with the applicable laws and permits for the withdrawal of surface or ground water for cultivation and processing purposes Field operators are to follow one or more of the above practices or any other practice with results that are relevant to maintain the level of surface and ground water in the cultivation and collection sites. OaS supports the identification and implementation of those practices with monetary and other resources when those are not sufficient at the level of field operators. When OaS carries out initial processing activities that use water (e.g. cleaning) in the cultivation/collection areas, it follows one or more of the above practices or any other practice that is relevant to maintain the level of surface and ground water in the cultivation and collection areas. Practices followed are adequate when they tackle any possible negative impact on surface and ground water level in cultivation/collection areas that comes from cultivation, wild collection, or initial processing. For compliance (score 2) at least the practices listed in the first four (4) bullet points are followed. Where laws and permits are applicable on the withdrawal of surface and ground water, complying with them is the minimum required to reach compliance. The UEBT water use register template includes fields to report about water use and conditions and can be used for reporting.	
2.3.4	Information on soil structure, fertility and nutrient contents, stability, moisture and drainage conditions in cultivation sites is gathered	**Critical stepwise**	Soil components that can be affected by cultivation practices (e.g. (heavy)mechanical soil management, monoculture, intensive farming, but also simply farming as it uses soil components) include: > structure > stability	> Cultivation > OaS > Field operators

			> fertility > organic matter and other nutrients contents > biological components > moisture > drainage conditions and similar components. Analysis needs to be conducted to assess soil conditions in farm sites, at least every three years, and ideally annually. Soil analysis can be conducted internally or by commissioning laboratories. Existing studies and other scientific or local knowledge can also be used. Not all the above needs to be monitored. For compliance (score 2) at least biological and chemical components of the soil are monitored. Information monitored is considered relevant and complete when it can be used to defined and implement practices to comply with 2.3. The UEBT Baseline assessment template includes all relevant information to be gathered and can be used for reporting. In case of large-scale farmers, or farmer groups, field operators are in charge of conducting/commissioning the analysis per cultivation site. In case of small farmers or pickers' groups, the groups can be in charge of conducting/commissioning the analysis for all group members. When they all work in the same area, general information at the area level is sufficient and there is no need for site specific information. OaS supports the carrying out of the analysis providing monetary or other types of resources, especially in the case of small farmers and pickers when their own resources are not sufficient to conduct information gathering. When OaS carries out first stage processing activities that interfere with or are influenced by soil conditions in the cultivation/collection areas, it also collects relevant information on the conditions of soil.	
2.3.5	Practices are adopted to maintain or improve soil fertility and nutrient contents	**Critical**	Examples of cultivation practices to improve soil fertility and nutrient contents include: > use local varieties better adapted to soil conditions in cultivation sites > consider the nutritional needs of the cultivated species, the state of productivity of the land and provide compensation for nutrient loss > cover soil with appropriate cover crops or with organic matter (e.g. mulch, crop residues, green leaf manure, vermicompost, neem cake) > follow crop rotation plans that include planting nitrogen-fixing species, crops with different soil use, and plants with deep roots and good foliage to decompose into biomass > follow fallow periods > do intercropping or inter-tillage such as grasses, oilseeds, etc.	> Cultivation > OaS > Field operators

			> use manure and livestock grazing for soil management Field operators are to follow one or more of the above practices or any other practice that has results relevant to maintain or improve soil fertility and nutrient contents in the cultivation sites. OaS supports the identification and implementation of those practices with monetary and other resources when those are not sufficient at the level of field operators. Practices followed are adequate when they tackle any possible negative impact on soil fertility and nutrient contents in cultivation sites that come from cultivation. For compliance (score 2) at least the practices of using varieties adapted to soil conditions in cultivation sites and considering nutrient requirements and providing for nutrient loss are followed. The UEBT soil management register template includes fields to report about soil management and conditions and can be used for reporting.	
2.3.6	Practices are adopted to conserve and improve soil stability and drainage	**Critical**	Examples of practices to conserve and improve soil stability and drainage include: > plant tree borders to reduce soil erosion > re-vegetate steep areas > plant vegetation cover that contributes to increasing aggregate stability in the soil > not using fire to clear vegetation when preparing fields > avoid using heavy machinery, especially in areas with wet, fragile soils or areas with a high risk of soil erosion > build terraces and other natural structures to reduce land slope > dig trenches, water canals and other natural structures that contribute to drainage Field operators are to follow one or more of the above practices or any other practice with results relevant to maintain or improve soil stability and drainage in the cultivation and wild collection sites, including sites where first stage processing facilities are located (if applicable). OaS supports the identification and implementation of those practices with monetary and other resources when those are not sufficient at the level of field operators. OaS is responsible for the implementation of practices in sites where processing facilities are if it is responsible for processing activities/facilities in cultivation/collection areas. Practices followed are adequate when they tackle any possible negative impact on soil stability and drainage in cultivation/wild collection/first stage processing sites that comes from cultivation/wild collection and related activities.	> Cultivation > OaS > Field operators

			For compliance (score 2) at least practices are followed where fire is not used to clear vegetation, heavy machinery use is avoided, and vegetation cover is planted to contribute to increasing aggregate stability in the soil. In cases when field operators and OaS do not own the sites and permission is required to implement, permissions are obtained and interventions are implemented according to the decision. The UEBT soil management register template includes fields to report about soil management and conditions and can be used for reporting.	
2.3.7	Producers, workers and other relevant actors have the skills to implement requirements in 2.3.1 through 2.3.6	**Critical stepwise**	Field operators and other relevant actors have access to knowledge that is useful for developing skills to apply the relevant cultivation and trade practices established according to 2.3. OaS shall provide or support the provision of relevant knowledge in the form of: > training > making agronomists and other experts available for technical support > defining and distributing manuals, guidance and other training materials	> Cultivation > OaS > Field operators
2.3.8	Practices to conserve or improve soil and water conditions are assessed for performance and impact and adjusted with a view to continuous improvement, changing conditions, and/or addressing unintended negative effects	**Regular stepwise**	The implementation of practices as per 2.3.2, 2.3.3, 2.3.5, 2.3.6 is monitored annually. The conditions of soil and water are assessed every three years. This can be done using internal monitoring systems and expertise or by commissioning external experts (e.g., universities/researchers). The UEBT BAP Monitoring tool can be used to report information on the progress in practices implementation and on the water and soil conditions. The monitoring is adequate when it provides knowledge for the adjustment of practices. Practices are changed when proven to be unsuitable to the context and not able to meet the expected results in terms of soil and water conditions. OaS is responsible for the monitoring and for informing field operators and discussing with them the results and possible changes in practices.	> Cultivation & wild collection > OaS
Criteria 2.4: Practices are adopted to prevent and mitigate the negative impact of the use of agrochemicals				
2.4.1	Cultivation, wild collection and related activities do not use any of the agrochemicals banned by UEBT (see UEBT Lists of Agrochemicals that are Prohibited or to which Risk Mitigation	**Critical**	The UEBT list of banned agrochemicals is based on the FAO/WHO Guidelines for Highly Hazardous Pesticides, 2016. According to the guidelines, Highly Hazardous Pesticides fall into categories such as those: > listed in classes 1a and 1b in the World Health Organisation's Recommended Classification of Pesticides by Hazard > containing active ingredients classified as Repr. Tox 1	> Cultivation > OaS > Field operators

	Measures Apply, July 2020 - at www.ethicalbiotrade.org/resources) or prohibited in the countries where cultivation or wild collection activities take place.		or Carc. 1 or Muta 1 or Carc. 2 & Repr. 2 according to the Globally Harmonized System (GHS) of Classification and Labelling of Chemicals as indicated in the Material Safety Data Sheet (MSDS) > listed in Annex A or B of the Stockholm Convention on Persistent Organic Pollutants (POP) or recommended for inclusion in these annexes by the POPs Review Committee (POPRC) > listed in Annex III of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (PIC) or recommended for inclusion in this annex by the Chemical Review Committee (CRC) > listed in the Montreal Protocol on Substances that Deplete the Ozone Layer The UEBT list of banned agrochemicals is available in the following locations: > the UEBT website > the ISEAL IPM coalition website > the ISEAL IPM coalition app The UEBT agrochemicals register can be used to keep track of the agrochemical's applications. Field operators consult and are aware of the list of agrochemicals banned by UEBT standard. They do not use agrochemicals in this list for farming, wild collection and first stage processing activities (e.g., storage and drying) in case they are responsible for the latter activities too. OaS supports fields operators in having access to the list and, when needed, contributes with resources and expertise to ensure Field Operators conform with the requirement of not using the banned agrochemicals. OaS does not use agrochemicals banned in the UEBT list in first stage processing activities (e.g., storage and drying) when it is responsible for the implementation of those activities and processing facilities in cultivation/collection areas. Practices around the non-use of banned agrochemicals are updated following updates to the UEBT list.	
2.4.2	Appropriate mitigation practices are followed if cultivation, wild collection and related activities use agrochemicals are of restricted use (see UEBT Lists of Agrochemicals that are Prohibited or to which Risk Mitigation Measures Apply, July 2020).	**Critical**	UEBT defines a list of agrochemicals for which risk mitigation practices are to be followed. Risk mitigation practices defined by UEBT include: > do not use agrochemicals in the UEBT risk mitigation list in the frame of integrated pest management > agrochemicals listed as having risk to aquatic life, or risk to terrestrial wildlife, should only be applied if non-application zones and/or vegetative barriers and/or riparian and wetland buffer and/or other mechanisms are used to reduce spray drift from areas treated with agrochemicals and surrounding natural, sensitive sites and areas of human activities	> Cultivation > OaS > Field operators

			> agrochemicals listed as having risk to pollinators should only be applied if: a) less toxic, efficacious agrochemicals are not available; b) exposure of natural ecosystems to agrochemicals is minimised by establishing non-application zones, or functional vegetative barriers; and c) contact of pollinators with these substances is further reduced, namely i) substances are not applied to flowering weeds or flowering weeds are removed and ii) substances are not applied while the crop is in its peak flowering period. > agrochemicals listed as having inhalation risk should only be applied if a) Restricted Entry Intervals (REIs) are enforced; b) respirators with an organic vapor (OV) cartridge or canister with any N, R, P, or 100-series filter are used; and c) all application sites are flagged to indicate inhalation risks to bystanders. The UEBT list of agrochemicals for which risk mitigation practices are to be followed is available in the following locations: > the UEBT website > the ISEAL IPM coalition website > the ISEAL IPM coalition app Field operators consult and are aware of the UEBT list of agrochemicals under risk mitigation practices. They adopt the risk mitigation practices required while farming, collecting and doing first stage processing (e.g., storing, drying) in case they are responsible for the latter activities too. OaS supports fields operators in having access to the list and, when needed, contributes with resources and expertise to ensure Field Operators conform with the requirement of following risk mitigation practices. OaS follows risk mitigation practices for the use of agrochemicals in the UEBT list in first stage processing activities (e.g., storage and drying) when it is responsible for the implementation those activities and processing facilities in cultivation/collection areas. Risk mitigation practices around the use of agrochemicals are updated following updates to the list and recommended practices. The UEBT agrochemicals register can be used to keep track of the agrochemical's applications.	
2.4.3	Monitoring of pest management is conducted and informs integrated pest management practices in cultivation sites	**Critical stepwise**	Monitoring is done at least annually. Ideally it is done regularly throughout the farming season. Aspects to be monitored are, among others: > occurrence of weeds, pests, and natural enemies > health of cultivated species, its diseases and its built-in compensation abilities	> Cultivation > OaS > Field operators

			> soil conditions relevant for pest management (e.g. soil composition) > application of pest control treatments > site-specific natural antagonists, biological, physical and other non-synthetic methods/substances to combat pests > economically important pests for each cultivated species in cultivation area, even if not observed in the field > climatic conditions relevant for pest management The monitoring is relevant when it informs the definition and update of Integrated Pest Management – IPM - practices (ref 2.4.4). For compliance (score 2) at least the aspects under the first five (5) bullet points are monitored. The UEBT agrochemicals register can be used to keep track of the aspects that are relevant to be monitored. Field operators implement the monitoring or commission external experts. In the case of small famers, if they are organised in a group, the group is responsible for the monitoring or commissioning of it to external experts. When small farmers all work in the same area, general information at the level of the area is sufficient and there is no need for site specific information. OaS provides financial, knowledge and other types of support when farmers do not have sufficient resources to implement the monitoring.	
2.4.4	Integrated pest management includes practices suitable to the cultivated species and cultivation conditions that prevent the occurrence of pests and enhance the use of biological control	**Critical stepwise**	Examples of IPM practices are: > creation or maintenance of ecological infrastructures, flowering strips or field margins, set aside areas and similar that function as reservoirs for pest antagonists (e.g. natural enemies) > other relevant practices as per 2.1, 2.2, 2.3 > regular cleaning of machinery and equipment to prevent the spreading of harmful organisms > preference for the use of physical and other non-synthetic methods/substances (e.g. neem and other natural extracts and organic pesticides) to synthetic pesticides for pest control > use of synthetic pesticides as last option and according to the following practices: a) preference for low-toxicity chemical pesticides and selective chemicals b) use of pesticides sold by authorized vendors, in original and sealed packaging c) rotation of used pesticides to reduce resistance (e.g. alternating the chemical family of a pesticide) d) applications only if pests occur and exceed the levels defined for a certain crop and area (no calendar or preventive applications), only at the impacted areas (spot application) and never in non-farmed areas e) applications according to threshold levels,	> Cultivation > OaS > Field operators

			application intervals and conditions as advised by research institutes or field experience f) handling according to the label, Material Safety Data Sheets (MSDS), or as recommended by an official national organisation or a competent technician. If the MSDS has no information on re-entry levels, minimum restricted entry interval is 48 hours for WHO class II products and 12 hours for other products g) regular calibration and maintenance of equipment for application h) creation of buffer zones to limit cross contamination > alternating or mixing different crops and different varieties within crops to disrupt pest cycles with genetic variety Field operators follow one or more of the above listed practices and/or any other IPM practices with results relevant from the monitoring (ref 2.4.3). Practices are suitable when - given the crops, farming and habitat conditions - they result in a reduction or stabilisation at tolerable levels of pests and of the use of synthetic pesticides. For compliance (score 2) at least those practices mentioned under the first five (5) bullet points including the sub-bullets a) through h) as required are followed. OaS provides financial, knowledge and other types of support when field operators do not have sufficient resources to identify and implement IPM practices. The UEBT agrochemicals register can be used to keep track of the practices implemented and of pests' presence. The UEBT BAP Monitoring tool can be used to report information on the progress in containing pests and reducing the use of synthetic pesticides.	
2.4.5	Practices are adopted to reduce the use of herbicides, following a pre-established, annually monitored plan	**Critical stepwise**	The plan to reduce the use of herbicides should cover a maximum period of three years in the case of perennial woody species, and six years in the case of perennial, bi-annual and annual herbaceous species. Practices to be included in the plan include, among others: > cultivation practices (as per 2.1, 2.2, 2.3) suitable to cultivated species and cultivation conditions that prevent the occurrence of weeds and enhance the use of biological control > preference for the use of physical and other non-synthetic methods and substances (e.g. manual removal of weeds, organic herbicides) for weed control > use synthetic herbicides with care, through measures such as: a) preference of low-toxicity chemical herbicides and selective chemicals b) use of herbicides sold by authorized vendors, in	> Cultivation > OaS > Field operators

			original and sealed packaging c) rotation of herbicides to reduce resistance (e.g. alternating chemical family) d) application only if weed presence has negative impacts on the safety of the cultivated species (no calendar spraying) and only in the impacted areas (spot application) e) application following threshold levels, application intervals and conditions advised by labels, scientific information or competent experts f) handling according to the label, Material Safety Data Sheets (MSDS), or as recommended by an official national organisation or a competent technician. If the MSDS has no information on re-entry levels, minimum restricted entry interval is 48 hours for WHO class II products and 12 hours for other products g) creation of buffer zones to limit cross contamination h) regular calibration and maintenance of equipment for application > annual monitoring of: a) occurrence of types of weeds b) frequency of applications and typology of treatments for weed control c) effects of weeds on crops safety, quality, and yields d) climatic conditions relevant for weed control Field Operators follow one or more of the above listed practices and/or any other practices with results relevant in their context to reduce the presence of dangerous weeds (e.g. toxic and competitive) and the use of herbicides. Practices are suitable when they result in the reduction or stabilisation at tolerable levels of dangerous weed and of the use of synthetic herbicides. For compliance (score 2) at least the practices mentioned under the first three (3) bullet points, and the third bullet point's sub-bullets a) to h) are followed. OaS provides financial, knowledge and other types of support when field operators do not have sufficient resources to identify and implement suitable practices. The UEBT agrochemicals register can be used to keep track of the practices implemented and the presence of weeds. The UEBT BAP Monitoring tool can be used to report information on the progress in containing dangerous weeds and reducing the use of synthetic herbicides.	
2.4.6	Practices are adopted to minimise the use of synthetic fertilisers and	**Critical stepwise**	Practices to minimise the use of synthetic fertilisers include:	> Cultivation > OaS

	enhance the use of alternatives		> analysis and management of soil conditions as per 2.3 > preference for organic fertilisers and by-products available at farm level > use of synthetic fertilisers with care, through measures such as: a) preference for low-toxicity synthetic fertilizer b) use of fertilisers sold by authorized vendors, in original and sealed packaging c) application in such a way that nutrients become available when and where crops need them d) application respects threshold levels, application intervals and conditions advised by labels, scientific information or competent experts e) handling according to the label, Material Safety Data Sheets (MSDS), or as recommended by an official national organisation or a competent technician. If the MSDS has no information on re-entry levels, minimum restricted entry interval is 48 hours for WHO class II products and 12 hours for other products f) regular calibration and maintenance of equipment for application g) creation of buffer zones to limit cross contamination > use of synthetic fertilisers only if nutrients are still lacking after the use of alternatives Field Operators follow one or more of the above listed practices and/or any other practices with results relevant in their context to reduce the use of fertilisers. Practices are suitable when they result in an improvement of soil fertility and in a reduction in the use of synthetic fertilisers. For compliance (score 2) at least the practices under the first three (3) bullet points and the third bullet point's sub-points a) through g) are followed. OaS provides financial, knowledge and other types of support when field operators do not have sufficient resources to identify and implement suitable practices. The UEBT agrochemicals register can be used to keep track of the practices implemented and soil conditions. The UEBT BAP Monitoring tool can be used to report information on the progress in reducing the use of synthetic fertilisers and improving soil conditions.	> Field operators
2.4.7	The storage, cleaning and disposal of agrochemicals do not cause contamination of soil, water, air and other natural resources	**Critical**	Practices to be followed to avoid contamination from the storage, disposal and cleaning of agrochemicals include: > storing agrochemicals and their surplus from application in original containers and packaging and in accordance with label instructions > cleaning and storing containers and application equipment in ways and facilities that ensure complete isolation and no risks of spill-over in cultivation fields,	> Cultivation > OaS > Field operators

			water bodies and other natural areas > disposing of agrochemicals, containers, and equipment in line with national and local regulations and through collection and recycling programmes that minimise environmental risks > maintaining an up-to-date agrochemical stock inventory, which includes: a) date of purchase b product name and active ingredient c) volume d) date of expiration Field Operators follow one or more of the above listed practices and/or any other practices that are relevant in their context to avoid contamination from the storage, disposal and cleaning of agrochemicals. Practices are suitable when they result in avoiding contamination from agrochemicals. For compliance (score 2) are least the practices mentioned under the first three (3) bullet points are followed. OaS provides financial, knowledge and other types of support when field operators do not have sufficient resources to identify and implement suitable practices. OaS is responsible for the implementation of practices in sites where processing facilities are if it is responsible for processing activities/facilities in cultivation/collection areas and agrochemicals are used at the processing level. The UEBT agrochemicals register can be used to keep track of the practices implemented. The UEBT BAP Monitoring tool can be used to report information on the progress in avoiding contamination from agrochemical handling.	
2.4.8	Application of agrochemicals is documented	**Critical**	Examples of the information to be documented on application of agrochemicals include: > name of the product applied > name of the active ingredient > date of application > location of the application > crop subject to the application > reason (pests, weed, nutrients) > dosage and volume used Field operators document the application of agrochemicals. In the case of small farmers in a group, the group can be in charge of documentation for all farmers. OaS provide financial or other types of support for documentation in case field operators do not have enough resources. When OaS are responsible for first stage processing in cultivation/collection areas and apply agrochemicals, they are responsible for documentation.	> Cultivation > OaS > Field operators

			The UEBT agrochemicals register can be used to document the application of agrochemicals.	
2.4.9	In situations where agrochemicals are used, producers, workers and other actors in charge of their application and handling have the training and skills to implement the requirements in 2.4.1 through 2.4.8.	**Critical stepwise**	Field Operators and other relevant actors in charge of handling agrochemicals have access to knowledge that is useful in developing skills to apply the relevant practices established according to 2.4. OaS shall provide or support the provision of relevant knowledge in the form of: > training > making agronomists and other experts available for technical support > defining and distributing manuals, guidance and other training materials In the case of groups of small farmers, knowledge sharing can be organised at the group level.	> Cultivation > OaS > Field operators
Criteria 2.5: Measures are taken to improve energy efficiency and reduce waste and contamination in cultivation and collection sites				
2.5.1	Information on energy consumption and waste production from cultivation and wild collection activities in cultivation and wild collection sites is gathered	**Critical stepwise**	Information to be gathered includes: > quantity and quality of energy used > type and volumes of waste produced > contamination risks Activities to be considered when gathering information on energy consumption and waste production are cultivation, wild collection and processing when it takes place in cultivation/wild collection areas (e.g. first stage processing such as cleaning, drying, primary transformation). This information can be gathered by conducting or commissioning studies from experts or by considering knowledge derived from field experience on cultivation, collection and related activities. Information is to be updated at least every three years, and ideally annually. The information is considered relevant and complete when it allows for informed decisions in terms of practices for optimisation of energy and waste management as per 2.5. For compliance (score 2) at least information on quantity and quality of energy used and type and volumes of waste produced is available. The UEBT Baseline assessment template includes all relevant information to be gathered and can be used for reporting. In case of large-scale farmers, or farmer groups, field operators are in charge of conducting/commissioning the analysis per cultivation site. In case of small farmers or pickers' groups, the groups can be in charge of conducting/commissioning the analysis for all the members. When they all work in the same area,	> Cultivation & wild collection > OaS > Field operators

			general information at the level of the area is sufficient and there is no need for site specific information. OaS supports the carrying out of the analysis providing monetary or other types of resources, especially in the case of small farmers and pickers when their own resources are not sufficient to conduct information gathering. OaS is responsible for gathering information on energy consumption and waste when implementing processing activities in cultivation/collection areas.	
2.5.2	Measures are adopted to optimise energy use in cultivation, wild collection and related activities	**Regular**	Measures include, among others: > diversifying energy sources to avoid overexploitation of a single source > improving use efficiency > ensuring sustainable sourcing of non-renewable or high emission sources of energy (e.g. firewood) when the use of renewable or low emission sources of energy would have higher carbon footprint. Activities to be considered when defining the measures are cultivation, wild collection and processing when it takes place in cultivation/wild collection areas (e.g. first stage processing such as cleaning, drying, primary transformation). Measures are relevant when they are defined considering the information gathered under 2.5.1 and concern all activities to be considered. For compliance (score 2) at least the measures to improve use efficiency, and to sustainably source non-renewable sources when renewable alternatives cannot be used, are followed. Field operators are to implement the measures that concern energy use in cultivation and wild collection activities and first stage processing if they are responsible for this. OaS supports the implementation of those measures with monetary or other types of resources when resources at the level of field operators are not sufficient. OaS implement measures when they are responsible for some of the activities considered, such as the first stage processing in collection and cultivation areas. The UEBT energy use register template includes fields to report about energy use and can be used for reporting.	> Cultivation & wild collection > OaS > Field operators
2.5.3	Measures are adopted to reduce contamination and emission of greenhouse gases deriving from energy use in cultivation, wild collection and related activities	**Regular**	Measures include, among others: > preferring the use of renewable sources of energy, when not at the costs of a high carbon footprint > promoting practices that reduce net emissions of greenhouse gasses (e.g. reducing soil disturbances, ensuring regeneration, maintaining growing stocks) Activities to be considered when defining the measures are cultivation, wild collection and	> Cultivation & wild collection > OaS > Field operators

			processing when it takes place in cultivation/wild collection areas (e.g. first stage processing such as cleaning, drying, primary transformation). Measures are relevant when they are defined considering the information gathered under 2.5.1 and concern all activities to be considered. For compliance (score 2) at least promoting practices that reduce net emissions of greenhouse gases, is followed. Field operators are to implement the measures that concern contamination and emission from energy use in cultivation and wild collection activities and first stage processing if they are responsible for this. OaS supports the implementation of those measures with monetary or other types of resources when resources at the level of field operators are not sufficient. OaS implements measures when they are responsible for some of the activities considered, such as the first stage processing in collection and cultivation areas. The UEBT energy use register template includes fields to report about energy use and can be used for reporting.	
2.5.4	Measures are adopted to reduce waste and any contamination produced by waste from cultivation, wild collection and related activities through minimising waste generation, reuse and recycling	**Critical stepwise**	Measures include, among others: > minimising loss of harvest/collection > waste, including plastic waste, is never disposed in nature > waste is not burned (except in incinerators technically designed for the specific waste type) > waste is stored only in designated areas adequate to ensure no spill-over/leakage and separated from housing, water bodies and other natural areas, cultivation and collection sites > waste is disposed following treatment and disposal practices that do not pose risks to the environment > waste is segregated based on available waste disposal options > waste from the use of agrochemicals is treated as per 2.4 > re-using wastewater from sourcing when such practice meets recognised criteria and permits and if not applied to land with very sandy or highly permeable soils and steep slopes > wastewater from sourcing is not discharged into water bodies unless it meets recognised criteria and permits > wastewater is tested at all discharge points during the representative period(s) of operation and results are documented > untreated sewage is not discharged in water bodies and treated sewage is discharged in water bodies only if it meets recognised criteria and permits > untreated sewage and sludge is not used for	> Cultivation & wild collection > OaS > Field operators

			cultivation, wild collection and/or processing > use of treated sewage for cultivation, wild collection and processing only if quality complies with the latest WHO guidelines for the safe use of wastewater and excreta in agriculture and aquaculture and if not applied to land with very sandy or highly permeable soils and steep slopes > exploring the use of by-products or co-products > generating electricity and organic fertilisers from wastes > building sediment control basins, filter strips and other natural infrastructures to capture eroded or disturbed soil and other possible contaminants and prevent infiltration in water bodies > creating buffer zones around surface water and other natural areas to protect from cross contamination > planting species with water purification functions Activities to be considered when defining the measures are cultivation, wild collection and processing when it takes place in cultivation/wild collection areas (e.g. first stage processing such as cleaning, drying, primary transformation). Measures are relevant when they are defined considering the information gathered under 2.5.1, the local situation and concern all activities to be considered. For compliances (score 2) at least measures under the first thirteen (13) bullet points (through to 'use of treated sewage for cultivation, wild collection and processing only if...') from examples above are implemented. Field operators are to implement the measures that concern reduction of waste and contamination in cultivation and wild collection activities and first stage processing if they are responsible for this. OaS supports the implementation of those measures with monetary or other types of resources when resources at the level of field operators are not sufficient. OaS implement measures when it is responsible for some of the activities considered, such as the first stage processing in collection and cultivation areas. The UEBT waste management register template includes fields to report about waste production and management and can be used for reporting.	
2.5.5	Producers, workers and other relevant actors have the training and skills to implement the requirements in 2.5.1 through 2.5.4	**Critical stepwise**	Field operators and other relevant actors have access to knowledge that is useful for developing skills to apply the relevant practices established according to 2.5. OaS shall provide or support the provision of relevant knowledge in the form of: > training > making agronomists and other experts available for technical support	> Cultivation & wild collection > OaS > Field operators

			> defining and distributing manuals, guidance and other training materials	
2.5.6	Measures to optimise energy use, improve waste management and reduce contamination from energy use and waste in cultivation and collection sites are assessed for performance and impact and adjusted with a view to continuous improvement, changing conditions, and/or addressing unintended negative effects	**Regular stepwise**	The implementation of practices as per 2.5.2, 2.5.3, 2.5.4 is monitored annually. The result of those practices in terms of optimisation of energy use, waste management, and reduced contamination is assessed every three years. This can be done using internal monitoring systems and expertise or by commissioning external experts (e.g., universities/researchers). The UEBT BAP Monitoring tool can be used to report information on the progress in practices implementation and on their results for energy use, waste management and contamination. The monitoring is adequate when it provides knowledge for the adjustment of the practices. Practices are changed when proven to be unsuitable to the context and not able to meet the expected results in terms of optimising energy use, waste management and reduce contamination. OaS is responsible for the monitoring and for informing field operators and discussing with them the results and possible changes in practices.	> Cultivation & wild collection > OaS > Field operators
2.5.7 **RA 6.8.3**	If biomass energy is used for processing operations and/or domestic use, the Oas and field operators minimise the direct and indirect effects of biomass use on natural ecosystems	**Regular stepwise**	Possible actions include: > planting trees to increase the availability of biomass energy on or around the farm > when biomass is purchased, sources not associated with the destruction of forests or other natural ecosystems are sought	> Cultivation & wild collection > OaS > Field Operators
Principle 3: Fair and equitable sharing of benefits derived from the use of biodiversity				
Criteria 3.1: Prices paid for natural raw materials are fair				
3.1.1	Prices paid to producers of natural raw materials are based on cost-calculation and cover, at a minimum, the costs of production - including labour, materials, overheads, and a margin – undertaken in line with the practices defined in this standard, such as those related to conservation and sustainable use, human	**Critical**	Price calculation methods should consider the costs associated to the production itself (when applicable: seedling, agricultural inputs, specific authorisations, fields rental, employed workforce, machinery costs - rental, new acquisition, maintenance -, consultant's cost, cost of transportation for goods or workforce, etc.) but also costs for implementing good agricultural practices, e.g. organic production practices, measures for protecting/restoring biodiversity; costs of training and awareness raising events; costs of technical support and internal audits. In the case that sub-suppliers are negotiating and directly involved in pricing with producers, this	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

	and worker rights and conditions.		requirement will also apply at their level. The following are available tools from UEBT (contact us at certification@uebt.org to obtain these) to help with this criterion: > fair prices guidance document including a cost calculation annex > cost calculation tool The scope of this indicator is the price paid by the OaS to the producers (not the prices paid along the supply chain). This indicator is applicable to the relationship between OaS and producers when they are both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	
3.1.2	Cost calculations consider the average time spent by producers on cultivation or wild collection activities related to the raw material, at a rate proportional at least to the national minimum wage or, in absence of a national minimum wage, the local opportunity cost for labour. Calculations are based on amounts of natural raw materials collected or harvested during regular working hours	**Critical stepwise**	> look at whether calculations have been made to understand cost of production, including overall time spent in the activity (including family members) - external assessments conducted by professional organisations can be used, when credible and developed in the local context > define the average time spent by producers/pickers for the respective activities by conducting interviews with these actors - ideally, this data is supported by working hours registers together with piece rate information (unit achieved in a specific period of time and price applied), when relevant > hours need to be valued at least at minimum wage levels in force in the sector; additionally, please consider whether there is a price floor defined for the raw material, whether by governmental or non-governmental entities (e.g. Fairtrade minimum price available at https://www.fairtrade.net/standard/minimum-price-info) > in the price calculations, in-kind benefits cannot be counted as income to reach the minimum wage level. > for productivity-based payments (quotas or piece rate), a calculation is made considering how much a labourer can produce in a determined period of time (day or hour), respecting a reasonable workload and with no undue pressure. The average productivity of the labourers, which needs to be a representative average based on the characteristics of the laborers (e.g., age, experience), must ensure that an equivalent of a minimum wage is paid. This minimum wage equivalent (per hour, day or week) must be ensured both in the lean season (when productivity is lower) and peak season independently > if sub-suppliers are negotiating and directly involved in pricing with producers, this requirement also applies at their level	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

			The following UEBT tools are available tools to help assess this criterion (contact us at certification@uebt.org for more information): > fair prices guidance document including a cost calculation annex > cost calculation tool The scope of this indicator is the price paid by the OaS to the producers (not the prices paid along the supply chain). This indicator is applicable to the relationship between OaS and producers when they are both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	
3.1.3	Cost calculations are periodically reviewed to reflect changes in cost of living and costs associated to the stepwise improvement measures required by this standard.	**Critical**	> inflation and deflation should be considered, as well as all currency instability > change in the cost of production and/or change in cost of living should be observed and reflected in the price calculation > the periodic increase in the minimum wage or local opportunity cost for labour (when relevant and available) should be considered in the price revision > investment in the supply chain in terms of social and environmental inputs should be promoted taking into consideration part of it (or its totality) in the price calculation, when agreed > prices are reviewed in a periodic basis (annually is suggested, but it may be for each season, or for a shorter period of time if the political and economic context requires it). When sub-suppliers are negotiating and directly involved in pricing with producers, this requirement will also apply at their level. The scope of this indicator is the price paid by the OaS to the producers (not the prices paid along the supply chain). This indicator is applicable to the relationship between OaS and producers when they are both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	> Cultivation & wild collection > OaS > Sub-suppliers
3.1.4	Measures are in place to contribute to a living income for producers of natural raw materials. Examples of measures to contribute to a living income are listed in guidance.	**Critical stepwise**	Living income enables producers/collectors to achieve a decent standard of living. According to the Living Income Community of Practice, this is the 'net annual income required for a household in a particular place to afford a decent standard of living for all members of that household. Elements of a decent standard of living include food, water, housing, education, healthcare, transport, clothing, and other essential needs including provision for unexpected events.' > external assessments from professional organisations are used to define a local living income for	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

			producers/collectors according to defined items above > if no external studies are available, a survey could be conducted by the OaS (supported by third parties if necessary) to gather the information on the actual status of producers/collectors regarding the list of elements defined as providing a decent standard of living (periodic costs versus periodic income) > based on this information (definition of the amount of a living income as per professional studies or direct surveys to the field operators), a progressive planned strategy to reach this living income could be set up, including in-kind benefits (timelines according to OaS's resources and negotiated supply chain agreement with buyers) > this strategy may include the empowerment of producers/collectors aimed at looking for other market opportunities or income diversification to reduce dependence on the OaS and to the activity itself (this can also be the diversification of commercial offers around the raw material: processed raw material with added value, touristic or handicraft development, etc) Other examples of measures to contribute to a living income include: > valuing the average time spent by producers on cultivation or wild collection activities for the natural raw material at a rate proportional at least to a living wage (see 6.3.2 on definition and calculation of living wage). To achieve compliance for this indicator, it is not required to reach a wage for producers that is proportional to a living wage, but measures need to be significant and serious as evidence of improvement will need to be shown over the years. > investing in technologies that increase yield and quality > supporting the diversification of local revenue streams > providing in-kind benefits that can be valued as part of living income elements as defined by the Living Income Community of Practice. When sub-suppliers are negotiating and directly involved in pricing with producers, this requirement will also apply at their level. The scope of this indicator is the price paid by the OaS to the producers (not the prices paid along the supply chain). This indicator is applicable to the relationship between OaS and producers when they are both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	
Criteria 3.2: Discussions to establish the terms of cultivation or collection activities promote dialogue, trust and long-term collaboration				
3.2.1	Producers perceive discussions on	**Critical**	Local producers perceive that:	> Cultivation & wild

	commercial agreements to take place in a respectful, balanced and inclusive manner.		> supply chain actors feel that the sourcing agreements are based on dialogue, which includes respectful, balanced and inclusive discussions > genuine and sufficient information is shared (for example on production costs, risks, processes, market prices or other) to allow for transparent, balanced and participatory discussions to establish the terms of cultivation or collection practices > they are able to consider the consequences of any decisions they are asked to make (for example, agreeing to a shorter contract or higher quality requirements or accepting certain local development projects) > communication is fluid and regular with the OaS/buyer and their views are taken into consideration in decision-making processes This indicator is applicable to the relationship between OaS and producers, when they're both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	collection > Field operators
3.2.2	Discussions on sourcing arrangements with producers are based on transparent, complete and accessible information to allow a good understanding of relevant issues.	**Critical stepwise**	Some measures to provide transparent and complete discussions include: > organising meetings or working groups with the aim of sharing information, building knowledge and discussing issues related to negotiations on sourcing activities > regular on-site meetings can be planned when relevant for the activity at least once a year and when logistics are more complex (justified by distances or local circumstances) then emails or calls can be substituted > these planned meetings are aimed at negotiating the price of the sourced ingredient, the conditions of harvesting or supply (timing, quality, location, etc) and the activities undertaken to support Ethical BioTrade requirements such as contribution to local development - information considered relevant for sourcing activities and decisions will vary on a case by case basis but generally information should allow Field Operators to understand the factors impacting the OaS's positions and demands related to sourcing activities and Ethical BioTrade activities > mechanisms that define prices paid are communicated to the producers As a result, there should be sufficient evidence and documentation on transparent communication and shared involvement on prices. This indicator is applicable to the relationship between OaS and producers, when they're both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	> Cultivation & wild collection > OaS > Sub-suppliers > FO

3.2.3	Sourcing arrangements with producers establish long-term collaboration, covering at least three years.	**Critical stepwise**	> the sourcing relationship should be assessed to make sure there is no short-term agreement in place (exceptions could be done for very specific circumstances of the sector and/or local context, upon auditor's justification) > the agreement should make clear the commitments of both parties regarding economic, social and ecological terms and approval > the agreement should be adjusted/negotiated on a regular basis and/or each time production or sector characteristics are modified > the agreement should have room for both parties to re-negotiate the terms of the agreement This indicator is applicable to the relationship between OaS and producers, when they're both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
3.2.4	Payment terms to producers are reasonable and place them under no undue pressure. If requested and justified, pre-financing is available at the producer level for at least part of the contract value.	**Regular**	Payment terms are considered reasonable when: > terms are agreed upon through discussion/negotiations and, ideally, detailed in the supply agreement between both parties > for smallholders, terms do not exceed one month (if more, this should be expressly agreed upon and justified) > payments are recorded, possibly through a receipt given to the producers/collectors or the producers/collectors signature in a register - in the latter case, the register must include at least the producer's/collector's name, the date, the volume purchased, the price paid and the modality of payment (cash upon delivery, bank transfer end of the month, etc.) and be kept updated by the OaS/buyer) > payment is paid directly to the person in charge of the production or there is a system in place to ensure producers/collectors are getting paid as established If necessary and feasible for the OaS, prefinancing is offered as a support to the producers/collectors that require it. If this prefinancing is necessary, based on interviews and the local context, and not granted, this should be justified. Prefinancing can be monetary and/or non-monetary (for instance, seedlings for new crops). If credits are offered by the OaS/group of producers/buyer, and interest is considered, this should not be higher than local interest rates. Moreover, credits should not create dependence towards the organisation, such as an obligation to work longer to pay back the amount of granted credit, etc. The debt percentage must be considered in this assessment (compared to the received income).	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

			When sub-suppliers are negotiating and directly involved in pricing with producers, this requirement will also apply at their level. This indicator is applicable only when the OaS is working with producers and they are involved in the scope of the assessment.	
3.2.5	In case of high levels of producer dependency on the natural raw materials, strategies are in place to minimize any significant negative impact of the termination of sourcing relationships on producers and their communities in cultivation and wild collection areas.	**Regular stepwise**	This strategy may include the empowerment of producers/collectors aimed at looking for other market opportunities or income diversification to reduce dependency to the OaS and to the activity itself (this can also be the diversification of commercial offers around the raw material: processed raw material with added value, touristic or handicraft development, etc). For termination of long-term sourcing relationships, precautions should be taken such as a medium or long advance notice as much as possible (e.g., at least three months before harvest time)and providing support when only a short notice period is possible. A transparent termination clause in a supplier agreement should be stated in writing and agreed upon between parties. When sub-suppliers are negotiating and directly involved in pricing with producers, this requirement will also apply at their level. This indicator is applicable to the relationship between OaS and producers, when they are both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
Criteria 3.3: Local development needs, as defined by producers and their local communities in the cultivation or collection areas, are supported.				
3.3.1	Producers and their communities in cultivation or wild collection areas are periodically consulted on local development needs and goals, and the results of consultations are taken into account in measures taken under 3.3.2 – 3.3.5.	**Critical stepwise**	Consultation on local communities' needs and goals includes the following: > before taking decisions on sourcing activities, the OaS analyses the consequences for the producers/collectors and their local communities > as part of the OaS's strategy, producers/collectors are consulted on their main sustainable development goals, highlighting their primary needs to be covered > consultations with local communities and producers takes place at least once a year. This can be done through formal meetings or informal interviews/chats during field visits. All relevant actors are to be involved (e.g. not only chiefs) > projects that will be put in place when the revenues generated from the activities included in the certification/verification do not contribute sufficiently to reach living incomes as well as when structural problems affect the community's living conditions (e.g., lack of access to adequate food and housing, clean water, health and education services and similar)	> Cultivation & wild collection > OaS

			> existing projects may be further supported or promoted if they are already in place. Projects may concern: a) technology transfer b) funding for local development activities c) support to community empowerment and capacity development d) support to basic services and infrastructure development > feedback from these community meetings are documented and considered in the development of supporting programmes If the OaS is not working with external producers, this indicator applies to workers and their communities.	
3.3.2	When labour is hired for cultivation or wild collection activities, priority is given, to the extent possible, to workers from communities in cultivation or wild collection areas.	**Regular stepwise**	The activity must support the local community whenever possible: > priority should be given to local workers when skills are similar to the those of workers coming from areas further away > job opportunities in regions with low employment opportunities should be encouraged > if marginalised groups or under-privileged communities are living nearby, job opportunities should be encouraged for these community members If the OaS is not working with external producers, this indicator applies to workers and their communities.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
3.3.3	Value addition in countries where cultivation or wild collection takes place is promoted.	**Regular stepwise**	Value addition is created in countries where cultivation or wild collection takes place when opportunities are given to implement primary transformation of raw material in those countries. Example of actions that can be taken to promote this: > supporting the set-up of facilities and the development of infrastructures for primary processing and storing > supporting the transfer of technology and skills to implement primary processing If the OaS is the producer in the supply chain, this indicator is not applicable.	> Cultivation & wild collection > OaS > Sub-suppliers
3.3.4	Measures are in place to strengthen capacities of producers to adapt to changing climatological conditions, for example through income diversification.	**Regular stepwise**	Measures to strengthen capacities of producers to adapt to changing climatological conditions include: > supporting the analysis of what economic activities (e.g. which cultivation/wild collection practices and activities) are threatened and which ones are adapting well to changing climatological conditions > supporting strategies for income diversification that	> Cultivation & wild collection > Field operators

			include the best performing activities given changing climatological conditions > supporting strategies to improve the performance of activities threatened by changing climatological conditions (e.g. experimenting with new cultivation/collection practices, using more and different genetic varieties) This indicator is applicable to the relationship between OaS and producers, when they're both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	> Sub-suppliers
3.3.5	Projects are in place to support producers, if required by local circumstances such as lack of living income. Such projects may entail technical or financial resources to support local livelihoods and capacities or advance other local development goals.	**Critical stepwise**	Projects are to be in place when, despite the revenue generated from the activities included in the certification/verification, field operators and their households are not ensured adequate living conditions. The following elements should be considered to assess living conditions, among others: > access to health, education and other basic services > housing conditions and other basic services > access to food and drinking water The need for the above and other relevant aspects are assessed following 3.3.1 When living conditions are not adequate, projects shall be promoted or existing projects (if already in place) supported. Projects may concern: > funding for local development activities > support for community empowerment and capacity building > support for basic services and infrastructures development The OaS is responsible for promoting or supporting projects. To be adequate, project shall address one or more of the emerging priority needs and be commensurate to the business dimension of the OaS with the community. The Rainforest Alliance Sustainability Differential can be considered as 'projects' to be valued for this indicator. See definition of the Sustainability Differential in indicator 4.4.5. This indicator is applicable to the relationship between OaS and producers, when they are both involved in the scope of the assessment. If the OaS is the producer in the supply chain, this indicator is not applicable.	> Cultivation & wild collection > OaS > Sub-suppliers
Criteria 3.4: Use of raw material complies with legal requirements on access and benefit sharing (ABS)				
3.4.1	Applicability of ABS legal requirements is defined for research, product development, commercialisation or	**Critical**	> the OaS has information on national or local laws or regulations on access to genetic resources, in line with the Convention on Biological Diversity (CBD) or the Nagoya Protocol > the OaS has itself assessed or asked for advice on	> Cultivation & wild collection > OaS

	other relevant activities involving natural raw materials		whether and how any regulations regulating access to biological or genetic resources apply to its activities > information on applicability and implications of legal requirements on ABS is updated	
3.4.2	If ABS legal requirements apply, measures are taken to ensure necessary permits and agreements are in place, prior to undertaking further activities.	**Critical stepwise**	> if internal or external assessments find applicable laws or regulations on ABS, the OaS has gathered information on steps required for compliance > the OaS is in contact with competent authorities on ABS to define steps required for compliance > steps towards compliance are taken in a timely and appropriate manner > no new activities are undertaken in non-compliance with applicable laws or regulations on ABS	> Cultivation & wild collection > OaS
3.4.3	If ABS permits and agreements apply, activities are undertaken and benefits are shared in line with mutually agreed terms and, whenever possible, in a way to support local livelihoods and the conservation and sustainable use of biodiversity.	**Critical stepwise**	> if activities are subject to legal requirements on ABS, the OaS has - whenever possible - negotiated the relevant permits or agreements so that benefits will flow to local development and biodiversity protection (e.g. training of producers on good practices, funds for conservation projects, etc.) > the OaS is complying with conditions established in ABS permits and agreements, including those related to permitted activities, reporting requirements, transfer to third parties and sharing of monetary and non-monetary benefits > competent authorities and beneficiaries from permits and agreements are informed and satisfied with compliance	> Cultivation & wild collection > OaS
Criteria 3.5: In cases where no legal requirements on ABS apply, the utilisation of genetic resources and associated traditional knowledge accessed from indigenous peoples and local communities respects ABS principles				
3.5.1	Traditional knowledge, innovations and practices related to the natural raw material are known and respected.	**Critical stepwise**	International agreements such as the Convention on Biological Diversity and the Nagoya Protocol call for respect of the rights of indigenous peoples and local communities over their resources, knowledge and innovations. In the UEBT standard, indicators such as 3.4.1 and 3.4.2 seek to ensure compliance with applicable legal requirements on access and benefit sharing (ABS), including those linked to prior informed consent and benefit sharing with indigenous peoples and local communities. This indicator seeks to further establish whether producers and their local communities hold traditional knowledge related to the natural raw material that may trigger responsibilities, and require good practices on ABS, for companies along the supply chain.	> OaS
Criteria 3.6: Patents and other intellectual property rights respect the rights of countries, indigenous peoples and local communities over genetic resources and associated traditional knowledge				
NOT APPLICABLE AT FIELD LEVEL				

Principle 4: Socio-economic sustainability (productive, financial and market management

Criteria 4.1: Ethical BioTrade practices are promoted through organisational operations and management systems

NOT APPLICABLE AT FIELD LEVEL

Criteria 4.2: Resources are available to implement Ethical BioTrade practices

NOT APPLICABLE AT FIELD LEVEL

Criteria 4.3: Quality systems are aligned with market requirements

4.3.1	Quality requirements for the natural raw materials – both in countries where cultivation, wild collection or processing takes place and in target markets – are known.	**Critical**	The maximum residue levels (MRLs) set by the countries where cultivation and processing take place and in the target market countries should be respected.	> Cultivation & wild collection > OaS
4.3.2	Procedures and practices are in place to meet the quality requirements in 4.3.1.	**Critical**		> Cultivation & wild collection > OaS
4.3.3	Mechanisms are in place to address quality deviations and continuous improvement processes.	**Critical**		> Cultivation & wild collection > OaS
4.3.4	Measures are taken during harvest and post-harvest activities to ensure the quality of the natural raw materials. Examples of measures are listed in the box below.	**Critical**	Examples of measures are: > harvesting at the right times and intervals > applying correct harvesting techniques > cleaning harvesting tools and equipment > storage of materials in clean, dry and aerated places > use of approved packaging materials > preventing contamination by foreign matter	> Cultivation & wild collection > Certificate holders > OaS
Criteria 4.4: Traceability system is in place in line with market, certification and legal requirements				
4.4.1	A documented traceability system is in place, with clear procedures, control points, record keeping processes, roles and responsibilities.	**Critical**	> the OaS formally appoints the personnel who are responsible for ensuring the sound implementation of the traceability system. > the documented information includes each of the supply chains, including all stages of the production and transformation process > critical control points for ensuring traceability of the ingredients are identified for each of the supply chains > the established procedures assess compliance with	> Cultivation & wild collection > OaS

			the traceability requirements at each of the critical control points	
4.4.2	A product identification system is in place for natural raw materials that require segregation, such as natural raw materials that are certified or verified or subject to specific permits and authorisations. Records are kept of relevant sales and purchase documents, and the integrity of the product identification system is continuously monitored.	**Critical**	Examples of practices within a product identification system are: > natural raw materials that need to be segregated are clearly identified and kept separate during all stages of sourcing activities, both physically and in documentation > for natural raw materials that need to be segregated, information is available on volumes before and after completion of any processing or transformation that may affects volumes > in case of contract services (e.g. for processing, transportation, or storage), measures are taken to ensure that natural raw materials that need to be segregated are traceable at all stages > volumes of natural raw materials that need to be segregated are not higher than those supplied by the relevant farmers or pickers > critical control points (e.g. warehouses or processing facilities) are regularly monitored to ensure traceability of natural raw materials that need to be segregated > farmers or pickers follow the rules and procedures of established traceability and product identification systems > total sales of certified or verified products do not exceed the total production (where applicable), purchase of certified or verified products plus remaining stock balance from the previous year > there should be no double selling of certified or verified volumes > volumes of ingredients sold as 'certified or verified' are never higher than the volumes supplied by the producers/suppliers under the certification If the organisation sources ingredients from producers that are not part of the certification programme, then: > there is a way to distinguish between UEBT certified or verified and non-certified or verified ingredients in the sales/purchase documents > there is a way to ensure that certified or verified and non-certified or verified ingredients are kept/handled separately in all stages of the sourcing and production process > all products being sold as 'certified or verified' are indeed sourced from producers/suppliers included in the certification If the ingredients 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. The OaS makes available to the auditor at the annual audit an overview of the total annual volumes of certified or verified Ingredients (per ingredient)	> Cultivation & wild collection > OaS

			received, still in stock and the total volumes (per ingredient) sold as certified or verified.	
4.4.3	Upstream suppliers have systems in place that provide the required level of traceability.	**Critical**	> 'upstream' means towards the source (origin) - this requirement is for traceability from OaS towards its suppliers (i.e., the traceability to the level of the wild collectors/pickers or the farmers) > total sales of certified or verified products (for farms) do not exceed the total production	> Cultivation & wild collection > OaS
4.4.4	In cultivation and wild collection sites, traceability systems identify farmers or pickers, the location of cultivation or wild collection, production volumes, and prices paid to producers.	**Critical stepwise**	Copies of relevant documents (invoices, intake documents, delivery notes, etc.) of the purchases/sales of the ingredients subject to certification or verification are kept. Purchase records indicate the name of the field operator, date of delivery, name of the ingredient and volumes received. Sales documents clearly indicate whether the ingredient is certified or verified and include name of the ingredient and volumes. Ingredients received as certified or verified by the Oas are only those sourced from the field operators that are part of the programme and did not have a 'suspended' status due to non-conformities, breaches of contract, or other issues at the time of purchase.	> Cultivation & wild collection > OaS
4.4.5 **RA 3.2.1**	The CH transfers the full amount of the Rainforest Alliance Sustainability Differential in cash or other monetary payment to field operators and to OaS: > pro-rata, based on volumes delivered > within one month after receipt of Sustainability Differential from the buyer The CH at least annually: > 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	**Critical**	Sustainability Differential (formerly known as UTZ premium) or SD is a mandatory payment of an additional monetary amount to farm certificate holders by buyers of the Rainforest Alliance Certified product, on top of the market price and irrespective of any other (quality) premiums and differentials. The Sustainability Differential is fully redistributed on a pro-rata basis to producers (in case of group certification) or spent, in consultation with worker representation, for the benefit of workers. Where CH=OaS transfer of SD is made to FO only Where CH is not OaS transfer of SD is made to both FO and OaS	> Cultivation & wild collection > OaS > Field Operators

	crop and country specific premiums such as the Living Income Differential. > communicates to FO or OaS the Sustainability Differential received for the certified crop > documents the payment of the Rainforest Alliance sustainability differential to the FOs or OaS Indicators: > amount of Rainforest Alliance Sustainability Differential received: a) total amount received at FO or OaS level b) amount received per volume at FO or OaS			
4.4.6 **RA 3.2.2**	The CH uses the Rainforest Alliance Sustainability Differential to benefit workers. Farm management consults with a representation of workers on sustainability priorities and the allocation of the sustainability differential. CH documents at least annually: > the Rainforest Alliance Sustainability Differential received per MT (per individual supply chain certificate holder, not including other premiums, such as quality premiums) > how the Sustainability Differential has been spent according to the categories: wages, working conditions, health and safety, housing, other Indicators:	**Critical**		> Cultivation & wild collection > OaS > Field Operators

	> amount of Rainforest Alliance Sustainability Differential received (total amount received, and per MT) > distribution of the Sustainability Differential as % of the total amount received on the topics: a) wages; b) working conditions; c) health and safety; d) housing; e) other (to be specified)			
4.4.7 **RA 3.3.2**	CH consults yearly with a representation of FOs or OaS to jointly define the contents of the investment plan. CH consults yearly with buyers on their contributions to the investment plan.	**Critical stepwise**		> Cultivation & wild collection > OaS > Field Operators
Principle 5: Compliance with national and international legislation				
Criteria 5.1: Activities respect laws and regulations that are applicable and relevant to Ethical BioTrade practices				
5.1.1	Laws and regulations relevant to Ethical BioTrade practices have been identified.	**Critical stepwise**	Laws and regulations include topics on: > biodiversity conservation > sustainable use of biodiversity > air quality, water quality and waste disposal > use of agrochemicals > access to genetic resources and associated traditional knowledge and fair and equitable sharing of benefits derived from their utilisation > human, workers' and children's rights > land tenure rights > rights of indigenous people and local communities	> Cultivation & wild collection > OaS
5.1.2	No evidence exists of ongoing or unresolved non-compliance with relevant laws and regulations unless such laws or regulations have become obsolete through sustained non-enforcement or de facto tolerance by the authorities.	**Critical**	Checking for non-compliance involves looking for any fines, complaints, etc., rather than checking for compliance. Some investigations before the audit may be necessary.	> Cultivation & wild collection > OaS
5.1.3	In cases where national laws and regulations offer less protection for people or biodiversity than foreseen in this	**Regular stepwise**		> Cultivation & wild collection > OaS

	standard, additional measures are taken for compliance with the standard's stricter requirements and the internationally recognized principles mentioned in 5.2.1.			
Criteria 5.2: Activities respect international agreements relevant to Ethical BioTrade practices				
5.2.1	International agreements relevant to Ethical BioTrade practices, including the Convention on Biological Diversity (CBD), the Nagoya Protocol on Access and Benefit Sharing (ABS), Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), International Labour Organisation (ILO) conventions, the UN Declaration on the Rights of Indigenous Peoples, the UN Declaration on the Rights of Peasants and Other People Working in Rural Areas and the UN Guiding Principles on Business and Human Rights (UNGPs), have been identified.	**Regular**		> Cultivation & wild collection > OaS
5.2.2	No evidence exists of ongoing or unresolved non-compliance with the principles of relevant international agreements, as well as decisions and guidelines adopted under these agreements – particularly if no relevant national laws or regulations exist or apply.	**Critical**	Checking for non-compliance involves looking for any fines, complaints, etc, rather than checking for compliance. Some investigations before the audit may be necessary.	> Cultivation & wild collection > OaS
Principle 6: Respect for rights of actors involved in BioTrade activities				
Criteria 6.1: Respect for human rights				
6.1.1	There is no evidence of ongoing or unresolved infringement of human rights.	**Minimum requirement**	Examples of human rights, as that term is understood in the UN Guiding Principles Reporting Framework and ILO conventions, to be taken into account in the assessment include:	> Cultivation & wild collection

			> the right to freedom from discrimination (race, colour, sex, sexual orientation, gender reassignment, disability, marital status, age, HIV/AIDS status, religion, political opinion, language, property, nationality, ethnicity or social origin regarding participation, voting rights, the right to be elected, access to markets, or access to training, technical support or any other benefits) > the right to gender equality > the right to freedom from slavery and forced labour (modern slavery) > the rights to education and to protection of the child (child labour) > the rights to liberty and security of the person (workplace harassment and violence) > the right not to be subjected to torture, cruel, inhuman and/or degrading treatment or punishment (harassment) > the right to an adequate standard of living > the right to enjoy just and favourable conditions of work > the right to freedom of association and collective bargaining > the rights to life and health (health and safety)	> OaS > Sub-suppliers > Field operators
6.1.2	A commitment is in place to respect human rights. The commitment applies to those people and groups that could be adversely impacted by sourcing activities along the supply chain (e.g., workers, contractors, communities in the cultivation and collection areas), with a focus on more vulnerable groups (e.g., women, children, indigenous peoples, illiterate farmers, seasonal workers and migrant workers). The commitment includes a description of human rights issues relevant to sourcing activities, as that term is understood in the UN Guiding Principles Reporting Framework.	**Critical stepwise**	Vulnerable groups include women, children, indigenous peoples, illiterate farmers, seasonal workers and migrant workers. This commitment is based on an assessment of actual and potential human rights impacts. Examples of human rights, as that term is understood in the UN Guiding Principles Reporting Framework and ILO conventions, to be taken into account in the assessment include: > the right to freedom from discrimination (race, colour, sex, sexual orientation, gender reassignment, disability, marital status, age, HIV/AIDS status, religion, political opinion, language, property, nationality, ethnicity or social origin regarding participation, voting rights, the right to be elected, access to markets, or access to training, technical support or any other benefits) > the right to gender equality > the right to freedom from slavery and forced labour (modern slavery) > the rights to education and to protection of the child (child labour) > the rights to liberty and security of the person (workplace harassment and violence) > the right not to be subjected to torture, cruel, inhuman and/or degrading treatment or punishment (harassment) > the right to an adequate standard of living > the right to enjoy just and favourable conditions of	> Cultivation & wild collection > OaS

			work > the right to freedom of association and collective bargaining > the rights to life and health (health and safety) For smallholders: it is not required to have a written commitment, but evidence (through observation of measures in place and interviews) should confirm that a real commitment is in place. UEBT definition of smallholder is 'small-scale agricultural producer that relies primarily on family or household labour or workforce exchange with other members of the community. A smallholder might hire temporary workers for seasonal tasks or even hire (a few) permanent workers when he or she and his or her family cannot do the work by themselves.' (source: UEBT standard 2020 and adapted from Rainforest Alliance)	
6.1.3	Policies and procedures are in place to implement commitments mentioned in 6.1.2 within the organisation and along its supply chains for natural raw materials, including through measures such as: - the specific allocation of resources to fulfilling responsibilities towards human rights - the designation of responsibility and accountability within relevant organisations - the creation of incentives to empower individuals to respect human rights - the creation of appropriate governance structures - the rolling out of tailored and targeted training and awareness-raising programmes - the implementation of structures (e.g. contracts, trainings, lesson-sharing forums) to enable respect for human rights - the monitoring and	**Critical stepwise**	It is important to specifically address in the policies and procedures the following topics: > gender equality > discrimination > forced labour > child labour > workplace violence and harassment For smallholders: It is not required to have written procedures and policies but a clear way forward should be defined on how to implement the needed measures as defined by the indicator. See UEBT definition of 'smallholder' in 6.1.2 of this checklist or in the terminology section of the UEBT standard 2020.	> Cultivation & wild collection > OaS

	reporting of the impact of these measures			
6.1.4	Policies and procedures in 6.1.3 gather and assess information on actual and potential human rights impacts and foresee measures to address gaps and risks. To this end, policies and procedures consider the human rights due diligence process outlined in the UN Guiding Principles on Business and Human Rights.	**Critical stepwise**	A local risk assessment process can identify, prevent and mitigate the potential issues on human rights and account for how the company addresses its adverse human rights impacts. The process is underpinned by engagement with potentially impacted stakeholders and other relevant stakeholders, proxies and experts. It includes the four steps of: > assessing actual and potential human rights impacts > integrating and acting on the findings > tracking responses > communicating about how impacts are addressed Actual or potential cases of human rights violation e.g., child labour, forced labour, discrimination and workplace harassment and violence should always be reported.	> Cultivation & wild collection > OaS
6.1.5	Measures are foreseen to deal with situations in which high risk of discriminatory or abusive practices is identified, including through assessments conducted under 6.1.4. Measures may include those listed in 6.1.3, as well as short term or urgent actions to safeguard the victim and secure information and assessment of further actions and services needed.	**Critical stepwise**	Some measures include: > short term/urgent actions to safeguard victims and secure information > the designation of responsibilities > the specific allocation of resources > the assessments of actions and services needed > the rolling out of tailored and targeted training and awareness-raising programmes, with implementation of plans to deal with root causes and prevent recurrence > the implementation of structures (e.g. contracts, trainings, lesson-sharing forums) to enable human rights respect by business partners > monitoring of these programmes and reporting to relevant stakeholders (including local authorities when necessary)	> Cultivation & wild collection > OaS/CH
6.1.6	Effective channels for hearing concerns, complaints and grievances from potentially impacted stakeholders are in place. These entail the ability to provide adequate remedy to affected individuals. The effectiveness of channels is determined by reference to the effectiveness criteria for grievance mechanisms contained in the UN Guiding Principles on Business and Human Rights.	**Regular stepwise**	The channels for hearing the impacted stakeholders may be different according to the complexity of the organisation. Different possible ways for hearing complaints are, for example: > training people to listen and respond to stakeholders > implementing telephone and web-based hotlines > conducting satisfaction surveys > hosting stakeholders for focus groups discussions > making ombudsmen and suggestion boxes available	> Cultivation & wild collection > OaS
Criteria 6.2: Children's rights are respected				

6.2.1	The minimum age for employment is 15 years, or higher if defined by national law.	**Minimum requirement**	Some countries may adopt higher ages as minimum age for employment (i.e., 16-year-old) and in this case, the higher age defined by law is applied. Some countries may adopt lower ages as minimum age for employment (i.e., 14 years old) and in this case, the age contained in this standard prevails. This requirement applies to any kind of workers, including subcontracted workers.	> Cultivation & wild collection > OaS
6.2.2	Young workers may perform work which, by its nature or the circumstances in which it is carried out, is unlikely to harm the health, safety or morals of children. This means that young workers are unable to perform work which takes place in a hazardous environment, is performed at night or over long hours (over 8 hours), is excessively difficult, or interferes with schooling or vocational orientation and training	**Critical**	Young workers: workers between 15 and 18 years of age, performing non-hazardous and age-appropriate work, in line with ILO Conventions 138 and 182. This requirement applies to any kind of workers, including subcontracted workers. An up-to-date list of the young workers should be kept including: information on gender, age, wage, type of work, name and contacts of parents or legal guardians.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.2.3	Family labour involving children is only accepted if: - It concerns work that does not jeopardize their physical and/or moral well-being - It does not hinder children's education and personal development, including the right to play and to participate in recreational activities, as defined in the UN Convention on the Rights of the Child - Children below 15 years old are accompanied by an adult	**Critical**	Family labour involving children is always done in the perspective of the family context in their own farms/areas. Sometimes, one family can support another family in their own farms/areas in the community support context and this is acceptable if the rules of this criteria are met. One example of this support between families is when one family calls other families to work on their field for a certain duty one day and in the next time, they will all work on a field of a different family. Any work done by the children cannot jeopardize their physical well-being (e.g. they can never apply agrochemicals, activities involving climbing trees need to be avoided by children, etc). It is important to take the local context into consideration for the rules on children to be accompanied by an adult, for example sometimes the children may go alone to the crop to do some activities, because the crop is surrounding the house of the family and this can be acceptable if there is no risk to their physical well-being.	> Cultivation & wild collection > SbS > Field operators
6.2.4	If workers can have children younger than the applicable minimum	**Critical**	Sometimes, parents may need to bring their children younger than the applicable minimum working age to accompany them to the workplace, as there is no other	> Cultivation & wild collection

	working age accompany them to the workplace, measures are in place to ensure the children: - Are not helping their parents in their work - Are provided with a place to stay that is clean and safe for their age ü Are under adult supervision at all times		option on where to leave them. When this happens and this is not related to the family labour activities (see 6.2.3), measures need to be taken to ensure their protection.	> OaS > Sub-suppliers > Field operators
Criteria 6.3: Workers' rights are respected				
6.3.1	Wages of workers are paid at least in line with official minimum wage regulations, collective bargaining agreements, or other applicable official wage regulations.	**Minimum requirement**	For production, quota or piece work, the payment must be at least the minimum wage based on a 48-hour work week or national legal working hours limit, whichever is lower. In countries where the minimum wage is not adjusted annually or regulated in a Collective Bargaining Agreement (CBA), it is adjusted yearly for inflation based on the national inflation rate. In-kind benefits cannot be valued and considered to reach the minimum official wage regulation, but they are additional benefits that can be valued and considered to aspire to a living wage. This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.2	Formal commitment and targets are in place to advance towards a living wage for workers.	**Critical stepwise**	The UEBT preferred reference for living wage is the Global Living Wage Coalition (GLWC) and the Anker methodology. The total remuneration (wages as cash and in-kind benefits) should be assessed against a living wage benchmark in accordance with the GLWC. As defined by the GLWC, a living wage is the remuneration received for a standard workweek by a worker in a particular place sufficient to afford a decent standard of living for the worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transportation, clothing, and other essential needs, including provision for unexpected events. In-kind benefits can be valued and considered to reach a living wage benchmark or reference values. In-kind benefits are defined by the GLWC as non-monetary benefits such as food, transport, and housing that reduce the amount of cash income that workers need for a decent standard of living. A fair and reasonable value for in-kind benefits provided needs to be taken into consideration. What is considered valid are, for example: highly subsidised or donated food services, transport service from home to the workplace and vice versa, school supplies and uniforms, private medical services, and family housing, valued at a local rate opportunity. In-kind benefits cannot represent more than 30% of the total remuneration, as too great a	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

			reliance on non-monetary benefits hinders empowerment and free choice (reference: GLWC). 'Formal commitment' in this context will depend on the structure of each organisation and is not restricted to a documented (written) commitment. This can also consider organised meetings to discuss strategies towards living wages, internal policies dealing with this topic, group discussions for a sector-wide approach regarding decent living conditions, etc. The following UEBT tools are available to help assess this criterion (contact us at certification@uebt.org for more information): > UEBT references to available living wage benchmarks (and estimates) > guidance for minimum wage and living wage	
6.3.3	Wages are paid regularly and in legal tender, and there is no limitation on freedom of workers to receive and use their wages.	**Critical**	Workers are paid regularly at scheduled intervals agreed both by the worker and the employer, but at least monthly. This requirement applies to any kind of contracted workers, including subcontracted workers. There should be a list of all workers that includes information on gender, age, wage, employment contracts and payment terms. The payment record (e.g., pay slip) should include number of hours worked (regular and overtime), calculation of wages and deductions, other benefits and wages paid. An up-to-date list of workers is kept, containing: > full name > gender > year of birth > start and end date(s) of employment > wages	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.4	Legal disciplinary measures are limited, balanced, and known by workers. If these measures are applied, this is documented and done transparently and with prior knowledge of workers involved.	**Critical**	Disciplinary measures can only be implemented if in line with legislation. The measure(s) shall always be done with prior knowledge of workers. The process shall be transparent and documented. Records of termination of employment are kept including reasons for termination. This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.5	There is no evidence that workers are denied the right to join a union or to create or participate in workers' committees as defined by ILO. Where the law restricts the right to	**Critical**	It is recommended that this right is informed in writing, for example in the employee handbook or any other written procedures or policies. Additional guidance includes: > there is no evidence that the organisation dismisses, refuses to employ, or otherwise discriminates against a worker by reason of union membership or because of	> Cultivation & wild collection > OaS > Sub-suppliers

	freedom of association and collective bargaining, steps are taken to enable parallel means of independent and free association.		participation in union activities outside working hours or, with the consent of the employer, within working hours. > where needed, workers are provided reasonable facilities including meeting space, means of communication and child care. > workers' organisations and/or trade unions are provided access to a notice board to communicate information about their activities. > genuine dialogue is established with freely chosen workers' representatives to collectively raise and address working conditions and terms of employment. > management does not interfere in the internal affairs of workers' organisations and/or unions, nor in elections or duties related to membership of such organisations This requirement applies to any kind of contracted workers, including subcontracted workers.	> Field operators
6.3.6	Workers are informed in writing, local language and understandable manner of the job conditions related to their work, including their job position, working hours, level of wages, payment of wages, legal rights and duties, sick leave, and permitted vacations. Workers agree with proposed conditions.	**Critical**	The agreement is signed by the employer and worker and a copy is given to the worker. Some standard employment clauses that are applicable to all types of workers can also be found in the employment manual as long as workers have access to the employment manual. If the position may require overtime, the overtime pay rate should be indicated. The principle of equal remuneration for men and women workers for work of equal value applies. When labour is subcontracted, there is a written contract and documented oversight mechanisms in place ensuring that the sub-contractors are: > licensed or certified by the competent national authority > are compliant with applicable legal requirements > are not engaged in fraudulent or coercive recruiting practices > are compliant with all worker related requirements of this standard > recruitment fees are not paid by workers This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.7	For smallholders employing seasonal workers, employment conditions are at least verbally agreed upon. Whenever possible, steps are taken to move toward having written agreements with	**Critical**	The verbally agreed conditions are at minimum: wages and working time.	> Cultivation & wild collection > Sub-suppliers > Field operators

	seasonal workers, as is done with other workers.			
6.3.8	Long-term positions and/or contracts are offered to workers wherever possible. Casual or day labour is used only for jobs that are truly temporary or seasonal. Steps are taken to move toward converting short-term workers to long- term workers wherever possible.	**Regular stepwise**	Level of documented information in this indicator depends on the level of complexity of the related supply chain (i.e., it is not expected that smallholders have documents for this requirement). Casual or day labour work should not represent more than 20% of the total workforce (not relevant in case of wild harvest or in cultivation when it is the harvest pick that drives the most important part of the workforce compare to the rest of the year).	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.9	Subcontracting workers is accepted when it can be demonstrated that it is done on a limited, justifiable and responsible basis or it is not possible to contract the worker directly. In addition, a plan must be in place for reducing this practice.	**Regular**	Subcontracted workers should enjoy same benefits as the workers contracted directly (i.e., wages, PPE provision, etc.) Level of documented information in this indicator depends on the level of complexity of the related supply chain (i.e., it is not expected that smallholders have documents for this requirement).	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.10	Training programs and career development opportunities to workers are promoted whenever possible.	**Regular stepwise**	This may be achieved through the implementation of a staff training plan, or staff internal rotational programs, etc. This requirement is not applicable to smallholders and small (familiar) organizations.	> Cultivation & wild collection > OaS > Sub-suppliers
6.3.11	Deductions from wages such as social security, can only be made if permitted by national law or collective bargaining agreement. Voluntary wage deductions such as advance payments, union membership fees, or loans are only made with written or verbal consent of the worker. Deductions for work-related tools, equipment or gear are not made, unless expressly permitted by law. In-	**Critical**	This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

	kind benefits are in accordance with national law but cannot exceed 30% of the total remuneration.			
6.3.12	If no contribution to social security, including health insurance and retirement funds, is required by law, a minimum level of benefits is ensured whenever possible.	**Regular**	This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.13	Regular working hours for workers are in line with national legislation and do not exceed 48 hours per week, with workers having at least one day (24 consecutive hours) of rest after six working days and minimum of 30 minutes of break after six working hours.	**Critical**	Records are to be kept for workers´ working hours. This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.14	Regular working hours of guards/watchmen do not exceed 56 hours per week on average per year.	**Critical**	Records are to be kept for workers´ working hours. This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.15	Overtime work for workers is permitted under the following conditions: - It is requested in a timely manner - It is in line with national legislation - It is paid according to national law or collective bargaining agreement, whichever is stricter. In case where no law or collective bargaining agreement is in place, overtime is paid at minimum a factor of 1.5	**Critical stepwise**	This requirement applies to any kind of contracted workers, including subcontracted workers. All overtime should be always voluntary. Approval for exceptional circumstances must be received in advance by UEBT.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

	for work performed on regular workdays and a factor of 2 for work performed on public holidays - The work can be carried out without increased risk to safety and health. This is recorded and monitored. In case risks are identified, actions are taken to address them - Workers have safe transport home after work if applicable - Maximum working hours do not exceed 60 hours/week, including regular hours and overtime. - Overtime does not exceed 6 hours per day - In exceptional circumstances for the agricultural sector, e.g. during peak production periods for high seasonality sectors or in changing weather conditions, overtime can exceed 12 hours per week for a maximum period of 12 weeks per year and with 1 day of rest after max of 21 consecutive working days. This should be in line with national legislation - Records are kept of the number of regular hours and extra hours worked by each worker			
6.3.16	There are specific channels in place for hearing concerns, complaints and grievances from workers. Concerns are addressed in a transparent, open and timely manner, with participation of all relevant actors.	**Critical stepwise**	Workers can share concerns and complaints by various means, including: > training supervisors to listen and respond to workers > implementing telephone and web-based hotlines > conducting employee satisfaction surveys > hosting employee focus groups > making ombudsmen and suggestion boxes available The level of complexity and/or size of the organisation will define which channel(s) is(are) the most	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

			appropriate. Small/family businesses may have other mechanisms to collect such complaints. This requirement applies to any kind of contracted workers, including subcontracted workers.	
6.3.17	Pregnant workers receive maternity leave and other benefits in line with national legislation. They can return to their job after maternity leave on the same terms and conditions and without discrimination, loss of seniority or deduction of wages.	**Critical**	Women can return to their job after maternity leave on the same terms and conditions and without discrimination, loss of seniority or deduction of wages. Workers who are pregnant, nursing or have recently given birth are offered flexible working schedules and work site arrangements. Nursing space must: > be functional for expressing milk (at a minimum, has a chair and a flat surface for pumping equipment, if needed) > be shielded from view > be free from intrusion by the public and co-workers > be available whenever a mother needs to pump or express milk > not be a toilet This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.3.18	If there are no legal requirements for pregnant workers as defined in 6.3.17, a minimum level of benefits is ensured by the employer	**Regular**	This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
Criteria 6.4: Health and safety conditions				
6.4.1	Critical Conditions are in place for a strong health and safety culture. Workplaces, machinery, equipment and processes are safe for workers and producers.	**Critical**	Machinery is well guarded. Machinery is serviced regularly (following what is defined by the manufacturer). This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.2	There are measures in place to understand and act upon workers and producers' health and safety risks. For workers, these measures include: - Assessments that identify actual accidents, risks, near misses and	**Critical**	Workers are part of the process of understanding and acting on measure to address health and safety risks. Workers who regularly handle hazardous agrochemicals receive a medical examination at least once a year. In case of regular exposure to organophosphates or carbamate pesticides, the examination includes cholinesterase testing. Workers have access to the results of their medical	> Cultivation & wild collection > OaS > Sub-suppliers

	potential hazards at the workplace - Training to relevant workers on health and safety risks - Evaluations on how production and other business pressures can cause workers to compromise on safety		examination. This requirement applies to any kind of contracted workers, including subcontracted workers. In case of injury or death during the work (for workers), the medical expenses are covered by the employers and a specific assessment is put in place to avoid replication of the incident. However, where social security, health insurance or existing laws addresses these subject matters, they should be adhered to.	> Field operators
6.4.2a **RA 5.6.8**	Workers receive information on health topics, medical leave policies and availability of primary, maternal and reproductive health services in the community.	**Critical stepwise**	This requirement applies to any kind of contracted workers, including subcontracted workers.	> OaS
6.4.2b **RA 5.6.14**	Workers in workshops, storage and process facilities have clean and safe eating spaces that provide protection against sun and rain. Workers in the field can take their meal protected from sun and rain.	**Critical stepwise**	This requirement applies to any kind of contracted workers, including subcontracted workers.	> OaS
6.4.3	Personal protective equipment (PPE) is available and used in a manner adequate to prevent risks of accidents or adverse effects on producers and workers' health. Measures are in place to ensure that PPE is used.	**Critical**	Personal protective equipment (PPE) is specialised clothing or equipment worn by workers and producers for protection against health and safety hazards. It is designed to protect many parts of the body, such as eyes, head, face, hands, feet, and ears. It includes mechanisms for protection from noise, dust, light, exposure to chemicals, etc. PPEs should have the same quality for all categories of workers that are exposed to the same type of risk. PPEs should be provided to workers free of charge. For producers, the setup can be different. Measures to ensure use of PPEs may be (among others): raising awareness among workers and producers; having surveillance to make sure the workers and producers use PPEs; having signs in facilities to clearly show which PPEs are required to be used, etc. This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.4	First aid equipment is available, and safety instructions and	**Critical**	The first aid equipment should have clear instructions for use (or at least one worker knowing how to use it is always present). Natural/herbal remedies that are	> Cultivation & wild collection

	procedures for accident prevention are in place.		known to work are accepted. This requirement applies to any kind of contracted workers, including subcontracted workers.	> OaS > Sub-suppliers > Field operators
6.4.5	If relevant, fire protection and emergency equipment and procedures are in place and producers and workers are trained to apply them.	**Critical**	This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.6	Accidents and near misses are monitored and investigated, and corrective measures are put in place to address their root cause.	**Regular stepwise**	This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.7	Potential hazardous work, including the handling of chemicals, is not done by pregnant women, nursing mothers and persons below 18 years of age.	**Critical**	This requirement applies to any kind of contracted workers, including subcontracted workers. Potentially hazardous work includes but is not limited to handling/spraying of chemicals, use of heavy machines, or hot temperature processes, among others.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.8	High-risk activities (e.g., chemical handling and application, operation of hazardous machinery) is only undertaken by people that have received adequate training.	**Critical**	Examples of high-risk activities include chemical handling and application or hazardous machinery. Training topics may include storage, environmental safety, safety to humans and other precautions. This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.9	Chemicals and the equipment used for their application are stored in a safe manner,	**Critical**	Safe manner means: > stored in accordance with the label instructions > in their original container or packaging	> Cultivation & wild collection

	and the storage place is only accessible to authorised and trained people.		> in a way to avoid spillage (e.g., liquids are placed on lower shelves or stored separately) Storage needs to be separate from food, feed, living quarters and food preparation areas. This requirement applies to any kind of contracted workers, including subcontracted workers.	> OaS > Sub-suppliers > Field operators
6.4.10	Empty agrochemical containers are triple rinsed and punctured after use. The containers are not reused for food, water, or other purposes that could cause health or environmental risks. Empty agrochemical containers are disposed of through a collection and recycling program, or through another safe way.	**Critical**		> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.11	Prohibited, obsolete and expired agrochemicals are returned to the seller or local authority.	**Critical**	When no collection, return or disposal system is available or accessible, obsolete pesticides are securely stored or disposed of in a manner that minimizes exposure to humans, the environment and food products.	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.12	Where housing for permanent, migrant, seasonal, temporary or former workers or for pickers is offered, structural safety and reasonable levels of decency, privacy, security and hygiene, and regular upkeep and improvement of housing and related communal facilities are ensured. If sanitary facilities are shared, toilets and bathing facilities with clean water are available in a quantity that is reasonable for the number of users and in line with regional practice.	**Critical stepwise**	This requirement applies to any kind of contracted workers, including subcontracted workers. Workers and their families that are housed or lodged on-site have safe, clean and decent living quarters considering local conditions. This includes for example: **Location and construction:** > safe construction; built on non-hazardous location, structure protecting against extreme weather conditions, consisting at least of dry floor, permanent walls and a good state of repair > workers/families are informed about emergency evacuation plans > measures are taken to reduce the effect of extreme climate conditions such as flooding > fire safety: collective housing has marked fire exits, firefighting equipment, and instructions > avoid housing on sites subject to air pollution or surface runoff of wastewater **Health and Hygiene:** > availability of enough and safe drinking water: at	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators

			least 20 litres per adult and within 1km/30 minutes round-trip > adequate sanitary and washing facilities including: a) the number of toilets or Ventilated Improved Pits (VIP), urinals, handwash facilities and shower/bathroom facilities: 1 unit of each for a maximum of 15 persons. Handwash facilities must consist of a tap and basin. b) safety and privacy of vulnerable groups are ensured, at least by well-lit and lockable facilities. Sanitary facilities are located within the same buildings, or at a safe distance from the buildings (no more than 60 meters from rooms/dormitories) and provided separately for men and women c) adequate closed-sewage or pit latrines, sanitation and garbage disposal facilities are in place d) cooking areas with smoke ventilation e) enough lighting (daylight and artificial) f) dry floors; raised from ground level, either of cement, stone, tile, wood, or clay (the latter only if sealed and levelled) g) pest control; absence of rats, mice, insects, and vermin, or conditions that favour their populations that could cause disease or carry parasites that function as vectors of diseases **Comfort and Decency:** > families of permanent workers with children have separate rooms from the workers without family members > workers' children live together with their parents and are not separated > workers' children living on-site are in a safe place and under the supervision of an adult during working hours > group accommodations for individual workers have separate rooms and separate facilities that can be locked for women and men. A separate bed for each worker is provided. There is a minimum space between beds of 1 meter. Where deck bunks are used, there must be enough clear space between the bunks of the bed, at least 0.7 meters > storage for personal belongings of workers is provided, either in an individual cupboard or at least 1 meter of shelf unit for each worker > electricity (in-house or nearby) if available in the area ILO_ R115 – Workers' Housing Recommendation, 1961 (No. 115) | ILO Code of Practice on safety and health in agriculture, 2010, art. 18.7	
6.4.12a **RA 5.7.2**	If housing is provided as specified in 6.4.12, Children living on-site and of school-going age go to school. Children either go to a school at safe walking distance or	**Critical stepwise**		> Cultivation & wild collection > OaS

	go to a school at reasonable traveling distance, with availability of safe transport or have on-site schooling of a recognized and equivalent level.			> Sub-suppliers > Field operators
6.4.12b **RA 5.7.4; 5.7.5 & 5.7.6**	Where housing for permanent, migrant, seasonal, temporary or former workers or for pickers is offered, as in 6.4.12, the on-site living conditions have improved over time	**Regular stepwise**	Improvements include, for example: > durable building materials > Ventilated Improved Pit (VIP) latrines or toilets with connection to wastewater disposal systems or sewage system if this is present > increased living space for group accommodations > cooking areas are separate from bedrooms > bed bunks are not arranged in more than two levels > natural ventilation that ensures movement of air in all conditions of weather and climate > workers have covered or comfortable areas according to their customs during meals and break times > cooking areas with smoke ventilation > food storage area must be protected from moisture and pests and be separate from storage of chemicals and other potential hazards > measures for pest control are taken > sealed floors > rooms indicate the maximum allowed number of inhabitants > frequent inspections tare held to ensure that the accommodation is safe and clean, inspection reports are documented > areas for drying clothes > at least one toilet, one shower, and one laundry sink per six (6) persons	> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.12c **RA 5.7.7**	In case temporary workers have off-property accommodation, the group and/or farm management makes arrangements or works together with the relevant property owners or settlement/municipal authorities for safe, clean and decent living conditions considering local conditions.	**Regular stepwise**		> Cultivation & wild collection > OaS > Sub-suppliers > Field operators
6.4.13	Drinking water and clean toilets with hand washing facilities are always accessible for workers, and clean showers are guaranteed	**Critical**	Workers handling agrochemicals should use the provided facilities to change, shower and wash clothes after application, and they should be separated from other workers' facilities.	> Cultivation & wild collection > OaS

	for workers that handle agrochemicals.		This requirement applies to any kind of contracted workers, including subcontracted workers.	> Field operators
6.4.13a **RA 5.6.5**	For field operators, in case of no access to safe public drinking water, the CH/OaS implements and documents a training program to instruct them on potable water treatments through boiling, filtering, or chlorinating and on the prevention of water contamination.	**Critical stepwise**	Safe public drinking water is water that is provided by relevant authorised bodies like the municipality.	> Cultivation & wild collection > OaS > Field operators
6.4.14	There is compensation for occupational injuries in accordance with national legislation.	**Critical**	This requirement applies to any kind of contracted workers, including subcontracted workers.	> Cultivation & wild collection > Certificate holders > OaS > Sub-suppliers > Field operators
Principle 7: Clarity about land tenure, right of use and access to natural resources				
Criteria 7.1: Disputes over ownership or use of land and natural resources are addressed.				
7.1.1	Information is available on disputes in cultivation or collection sites, including over rights of use of land, tenure rights and rights on other natural resources, such as water.	**Critical**	Some previous investigations on status of lands and water use in the area etc. The producers have legal and legitimate right to use the land. This could be through title deeds, leasehold, traditional or customary use rights.	> Cultivation & wild collection > OaS
7.1.2	Disputes, as identified in 7.1.1, are actively monitored and attempts at conflict resolution are supported where possible.	**Critical stepwise**		> Cultivation & wild collection > OaS
Criteria 7.2: The rights and traditional practices of indigenous peoples and local communities are respected				
7.2.1	The rights of indigenous peoples and local communities to own, use, and control lands, territories and resources in cultivation or collection sites, including the right to free, informed and prior consent, are identified	**Critical**	The producers have legal and legitimate right to use the land. This could be through title deeds, leasehold, traditional or customary use rights. There is respect for legal and customary rights of indigenous peoples and local communities. Activities diminishing the land or resource use rights or collective interests of indigenous peoples and local communities, are conducted only after having received free, prior and informed consent (FPIC).	> Cultivation & wild collection > OaS

	and respected as recognized in the ILO Convention 169 on Indigenous and Tribal Peoples, the United Nations Declaration on the Rights of Indigenous Peoples, the United Nations Declaration on the Rights of Peasants and Other People Working in Rural Areas, and national and customary laws.			
7.2.2	Cultural, environmental and social concerns and interests of indigenous peoples and local communities, including women, children and other vulnerable groups, in cultivation and wild collection areas are considered.	**Critical stepwise**	There is evidence that these groups have been consulted and their views and concerns considered and supported especially on activities likely to affect them.	> Cultivation & wild collection > OaS
7.2.3	Traditional practices and uses of biodiversity in cultivation and wild collection areas that are compatible with conservation and sustainable use, are respected and encouraged	**Regular**	This is specifically practicing for the crop being cultivated or collected in the scope of certification/verification.	> Cultivation & wild collection > OaS
Criteria 7.3: Sourcing activities do not jeopardize local food security				
7.3.1	The potential impact of sourcing activities on local food security is monitored	**Critical stepwise**	Water for human consumption is also considered for this indicator.	> Cultivation & wild collection > OaS
7.3.2	When necessary, actions are implemented to avoid or reverse any negative impact on local food security.	**Critical stepwise**	Water for human consumption is also considered for this indicator.	> Cultivation & wild collection > OaS