

RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD

APPLICABLE FOR SMALLHOLDER FARMS

Draft Standard V1.0 – for public consultation (November 2018)

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INTRODUCTION

In January 2018, the Rainforest Alliance merged with UTZ. We joined forces because we know that together we can have a greater impact and be a better partner to the many stakeholders we work with. With this new sustainable agriculture standard, we intend to harmonize the existing standards of the Rainforest Alliance and UTZ, learn from past experiences, but most importantly bring innovation and new insight into certification and agricultural sustainability.

Our new sustainable agriculture standard is designed to maximize positive social, environmental, and economic impact, while offering farmers an enhanced framework to improve their livelihoods and protecting the landscapes where they live and work. For this first draft of the standard, a full public consultation is organized from December 2018 to February 2019 to gather feedback and improve this document.

This sustainable agriculture standard forms the heart of the Rainforest Alliance's new certification strategy. In addition to the content of the standard, a larger system of assurance, chain of custody, and monitoring and evaluation will support its implementation. Finally, at the widest level, advocacy and landscape-level interventions support the transformation of sustainable supply chains.

SCOPE OF THE STANDARD

The scope of the standard is to address sustainability issues in agricultural production. The standard focuses on the main categories of crops that are currently within the existing certification programs, which are tree crops (such as coffee, cocoa and tea), fruits (such as bananas, coconuts and pineapples), nuts (such as hazelnuts) and cut flowers. Spices, herbs and vanilla may be included, and the Rainforest Alliance is also exploring possibilities to work with the Union for Ethical BiTrade (UEBT).

With regard to palm oil, the 2017 Rainforest Alliance Sustainable Agriculture Standard will be used as the basis for our palm oil certification program moving forward, as major improvements are not needed on this standard for this sector right now. Just two years ago the standard underwent a development process, and it has received positive feedback on the implementation and market opportunities. Rainforest Alliance's organizational resources will be focusing on the three core areas of intervention that are felt to be most critical now which are smallholders, jurisdictional/landscape approaches and the development of a certification+ approach, as well as maintaining the standard in its current form.

The geographical scope of the standard is global, with a focus on the main geographical areas where mentioned crops are grown. Furthermore, the scope of the standard is on the whole farm, that is, the requirements of the standard, as a principle, apply to the whole farm, and not just to the certified crop. Crop type specific agronomic practices for non-certified crops may be excluded from the audit scope of the farm. Also, not necessarily all crops or products derived from a certified farm can be sold as certified.

The audit scope of the standard also includes certain on-farm processing activities that involve physical handling, and that are considered important to be included in view of social or environmental risks (e.g. the production of green coffee; the drying, sorting, or bagging of cocoa beans; and the production of made tea). We are considering the implementation and verification of social and environmental criteria for those processing facilities where we see a risk. These could include processing activities which are being carried out outside the farm, but within the legal and/or factual control of the farm.

KEY FEATURES OF THE NEW RA SUSTAINABLE AGRICULTURE STANDARD

The new Rainforest Alliance Sustainable Agriculture Standard brings innovation through several key approaches, outlined as follows:

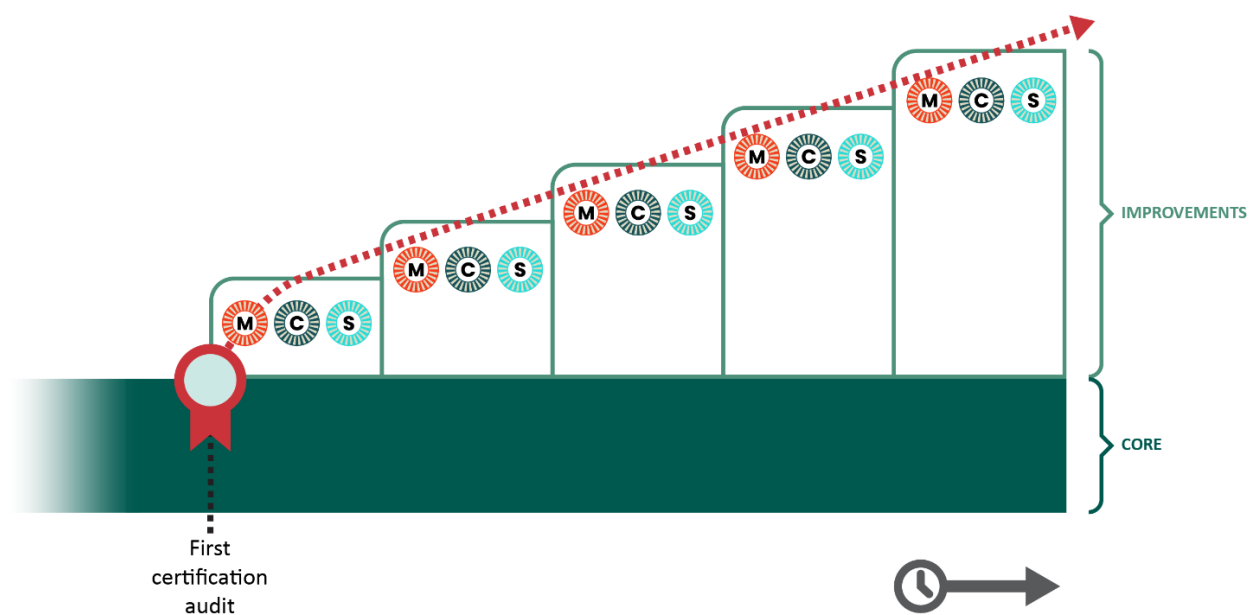
Performance Driven Approach

The new certification system will drive continuous improvement for producers. In addition to prescribing practices, the focus is on enabling and measuring improvements towards sustainability outcomes. Core criteria and improvement pathways together will drive progress towards sustainability.

The core criteria include all requirements for the first certification. Most core criteria prescribe good practices with respect to key sustainability risk topics and are formulated as compliance criteria (yes/no). In some cases, the core criterion will contain a set threshold (e.g. minimum wage) that must be measured and reported. Improvement pathways are designed to further promote and measure progress towards outcomes. The Rainforest Alliance believes that certification should be accessible for a wide group of farms and producers, but that continuous improvements are a fundamental tenet of sustainability.

Through the new system producers, companies and other supply chain actors will be provided with increasingly reliable data on the actual situation on the ground. This data will give better insights into the current performance of the farm or group and can be used to diagnose the existing sustainability gaps, give insights into improvements made and create incentives for performance.

Figure 1: Basic improvement structure of the new standard



Improvement Pathways

Improvement pathways consist of levels to evaluate progress in each producer's own sustainability journey. Improvement levels come primarily in two forms. Some are defined as a stepwise set of activities or additional practices; other pathways are metric "targets" that will be evaluated by indicator data. For example, producers should implement additional practices relevant for their context, or producers should strive towards a specific target such as crop production, worker wage, or shade cover.

Sustainability improvement topics in the new Rainforest Alliance standard are categorized as **mandatory**, **context-specific**, or **self-selected**. **Mandatory** topics are required for all certificate holders. The topics that are categorized as mandatory are primarily management topics, since these are considered as necessary to enable the farm or group management to realize sustainability outcomes. **Context-specific** topics are required for some certificate holders, to be determined by a context-specific risk assessment. These context assessments may be based on geography, crop, or other risk parameters. Finally, **self-selected** topics are areas where certificate holders can select improvement topics based on their own risk assessment or aspirations.

Each certificate holder is required to commit to at least a minimum number (indication: 12) of improvement topics once they have been certified. Certificate holders will be required to determine the improvements they can make and the timeframe they need to reach a next level. The Rainforest Alliance can determine the timeframe to reach a next level for high-risk or strategic improvement topics.

The Rainforest Alliance expects this more flexible improvement approach to benefit producers and other actors involved in agricultural supply chains and to increase our collective impact. Self-determination encourages sustainability improvements that are relevant for the specific context and situation of producers, and the goal is that it facilitates focused commitment from certificate holders, buyers, and other supply chain actors to invest in these improvements.

Differentiation Smallholders / Medium-Large producers

The new Rainforest Alliance standard continues the differentiation between smallholders and medium/large producers. A smallholder is defined as 'a producer who primarily relies on family or household labor, or reciprocal workforce exchange with other members of the community'. Medium/large producers are defined as producers that use hired labor, and therefore do not rely primarily on family labor. Note that this definition is independent of farm size, since farm size depends significantly on crop and geography.

The standard treats smallholders and medium/large producers differently so that each producer type can focus on topics that are most relevant for their situation. For example, for medium/large producers, there is a stronger focus on core criteria for social issues related to workers and families that live on-farm, as well as on certain environmental topics. For smallholders, the focus is more on strengthening sustainability and business performance over time.

Core criteria

Mandatory for all certificate holders (applicability depending on smallholder/large producer)

Management

- 1.1 Management capacities
- 1.2 Administration (incl. GPS / polygons, internal inspections)
- 1.3 Risk assessment and service delivery
- 1.4 Gender
- 1.6 Traceability
- 1.7 Premium
- 1.8 Farm profitability

Social

- 3.1 No discrimination
- 3.2 Forced labor: assess & address
- 3.3 Child labor: assess & address
- 3.4 (Sexual) abuse and harassment: assess & address
- 3.5 Freedom of Association and Collective Bargaining Agreements
- 3.6 Wages and contracts
- 3.7 Living Wage
- 3.8 Working conditions
- 3.9 Health & safety
- 3.10 Hygiene & housing
- 3.11 Communities

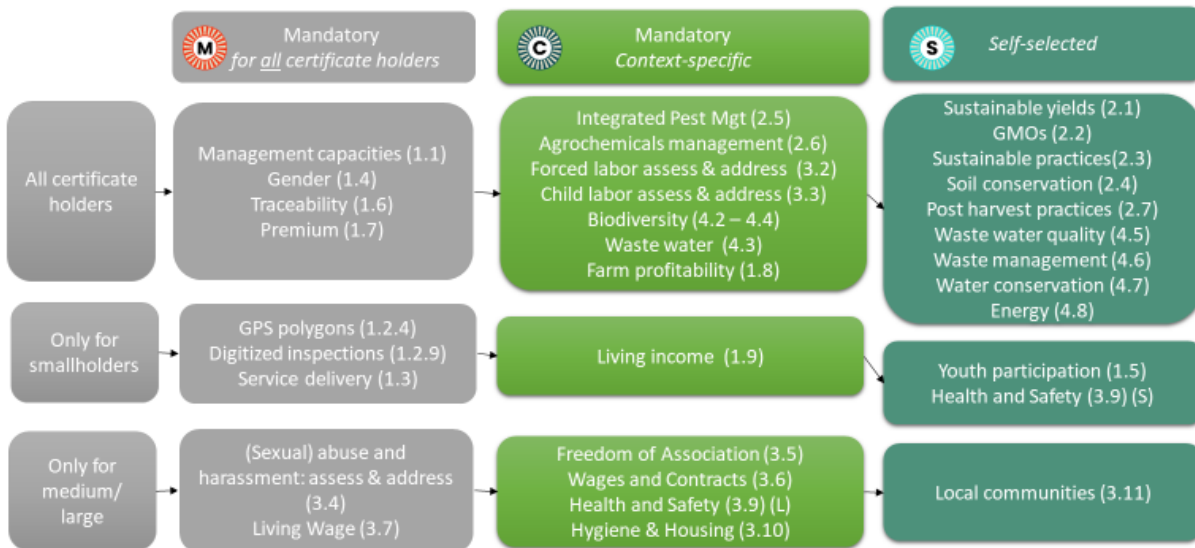
Farming practices

- 2.1 Sustainable yields
- 2.2 GMOs
- 2.3 Sustainable production practices
- 2.4 Soil fertility and conservation
- 2.5 Integrated Pest Management
- 2.6 Agrochemicals management
- 2.7 Post-harvest practices/MRL

Environment

- 4.1 Forests and other natural ecosystems
- 4.2 Biodiversity – native vegetation
- 4.3 Biodiversity – Non-application and buffer zones
- 4.4 Biodiversity – Wildlife and other practices
- 4.5 Waste water & water quality
- 4.6 Waste management
- 4.7 Water conservation

Improvement topics



Individual and Group Certification

Smallholders commonly use group certification; therefore, group management requirements are placed in the smallholder standard. Medium and large producers can under certain conditions also apply for joint certification (several farms to be certified in one certificate); in such case the standard for medium and large producers applies PLUS several requirements from the management chapter of the smallholder standard apply. The rules and conditions for this are to be determined.

Data and Indicators

Through the new certification system, Rainforest Alliance will facilitate data on sustainability practices and outcomes to producers, companies and other supply chain actors. These data are referenced in the standard as “indicators”.

This indicator data would be used to assess compliance, support farm and group management self-learning, and potentially report to other supply chain actors in a secure certificate holder “member profile”. Rainforest Alliance will provide guidance for the methodology to collect data and indicators; in many cases, methodology and guidance has already been documented. Depending

on the topic, data can be collected through internal sources such as the farm or group's internal management system or a trader or buyer monitoring and evaluation system, or through external sources such as the certification assurance process, external data sources such as satellite imagery, or by other credible and mutually agreed upon 3rd parties. Data used for compliance and external reporting may also be verified and analyzed through the assurance process.

Some data will be used to assess compliance, for examples that wages are above minimum wage. Data for self-learning can be used to give certificate holders better insights into the sustainability performance of their farm or group, diagnose sustainability gaps, and make plans for improvements. Data for reporting can be used to communicate compliance, improvements, and overall performance, and therefore incentivize sustainability performance. Finally, based on these various sources of information, farmers, supply chain partners and the Rainforest Alliance can target additional interventions and advocacy efforts to drive and catalyze changes at the sectoral and landscape level.

As an example, the Rainforest Alliance strives for an outcome that workers' remuneration is sufficient for workers and their families to have a decent standard of living. As a starting point for certification, all workers should receive at least the applicable minimum wage. In addition to that, the standard requires all producers to report on wages, and as an improvement topic, to increase these wages towards a living wage. This indicator for wage and remuneration will give insights in the actual gaps of where we see large differences between actual wages paid and a living wage. Over time this information can also show the improvements that are being made and drive collaborative action with supply chain actors to set targets and develop action plans.

Member Profile

A member profile for farms and groups is another innovation that will be used to communicate sustainability performance and improvements. Such a member profile would be informed by the data and indicators from the standard, and would allow producers to demonstrate their results, challenges, and improvements. The profile can become a valuable tool to drive continuous improvement, empower producers, build demand for certified product, and channel supply chain investments.

THEMATIC INNOVATIONS

While much of the content of the new RA standard is like that of the previous RA and Utz standards, a few key distinctions and innovations are proposed. One key innovation is in our proposed approach for child labor, forced labor and (sexual) harassment. Various experiences and research now show that due diligence approaches and remediation have better impact than only prohibition. This approach is now proposed in the relevant topics of Chapter 3 (Social) of the new standard.

Another field in which the Rainforest Alliance is exploring new pathways is more extensively addressing economic prosperity of the farmers and workers. In the current standards, a start was made with the introduction of criteria related to living wage and the practices behind farm profitability and living income. In the new standard, there is more focus on productivity and income, which will be explored together with further developments in our chain of custody standard and other requirements for buyers. Finally, addressing gender inequality is more pronounced in the new standard, recognizing the importance of women and girls for development.

Many key topics that were already present in existing RA and Utz standards will be maintained. These include the focus on farm and group management, good agronomic practices and natural resource conservation, safe use of agrochemicals, biodiversity conservation and nature protection, and an integrated approach on climate smart agriculture.

Assurance

As described above, an important pillar of 'reimagining certification' is the collection and verification of credible and useful data and compliance evidence. In order to keep the cost of certification reasonable for certificate holders, assurance is geared towards risks as well as topics that matter the most.

The intent is not to lower the involvement of certification bodies, but to target their efforts more effectively. That means that auditors will spend much more time at farms to verify compliance with social criteria, whereas for some of the environmental criteria, technology and satellite images will get a more prominent role. In addition, the Rainforest Alliance is exploring assurance methods that are less depending on audits that are carried out once per year, but more on regular interim verification moments during the cycle.

Compliance Rules

For the first certification audit, all certificate holders must comply with all core criteria applicable to their category (smallholder or medium/large). The Rainforest Alliance will also require a first assessment of where certificate holders score for the applicable improvement topics. For the following certification audits, it will be required to:

- Fully comply with all core criteria
- Show improvements on a minimum number (indication 12) of improvement topics, including mandatory, context-specific and self-selected topics

Further requirements on timeframes to reach a certain improvement level will be determined.

THE RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD

CHAPTER 1: MANAGEMENT:


Objectives and Outcomes:

Farming is not just a way of life but is also a business, and successful business needs management. The envisaged outcome for farm management is that certified farms are managed in an efficient, transparent, inclusive and economically viable manner. Here, it is essential that farms and groups implement an integrated planning and management system, with processes and systems for continuous improvement.


To help achieve this outcome, the chapter begins with topics related to management capacity, farm and group administration and data management, and sustainability assessment and management planning. Criteria in these topics follow a planning process of assessment, planning, implementation, and evaluation and adjustment. Farm and group administrators play a key role in facilitating this planning process. Traceability and premium transparency are also topics that support this outcome of transparent farm management and overall integrity the RA certification system.


Finally, this chapter includes cross-cutting themes of gender, youth participation, and farm profitability and, where applicable, living income. The concept of living income recognizes the goal that farmers are able to improve their business profitability and at least earn an income to allow their families and households to have a decent standard of living. The selection of these topics in the management chapter recognizes the universal nature of these themes, and that they apply to multiple dimensions of farm and group activity. Criteria and improvement levels in these topics focus on contextual improvements. That is, rather than requiring a certain level of gender or youth participation, or a certain level of farm income, the standard encourages farm-specific and context-specific targets and activities to reach member's appropriate goals.

1.1 Group Management Capacities


Core			
<p>(1.1.1) Group management demonstrates commitment to sustainable agriculture and compliance with this standard. Adequate resources and staff are dedicated to the development and implementation of management, farming, social, and environmental activities.</p> <p>Group management assesses yearly its management capacities to ensure compliance with the Rainforest Alliance standard and the ability to make sustainability performance changes, by using a capacity assessment tool*. The capacity assessment tool includes:</p> <ul style="list-style-type: none"> • Human resources management • Business management • Financial management • Member services and business activities • Governance practices • Community and stakeholder engagement <p>*This can be a tool provided by the Rainforest Alliance, or a tool recognized by the Rainforest Alliance.</p>			
Improvement levels			
	1	2	3
	(1.1.2) Basic group management capacities.	(1.1.3) Medium group management capacities.	(1.1.4) Professional group management capacities.
Indicators			
<ul style="list-style-type: none"> • Scores on a management assessment tool 			

1.2 Group Member Administration


Core			
(1.2.1) An up-to-date map of the production area(s) is available, including production zones, protected areas, water bodies and human settlements, in the proximity of farm limits. The map also includes risk areas identified in the risk assessment.			
(1.2.3) GPS points are available of all production areas (at least 1 GPS point for each farm).			
Improvement levels			
	1	2	3
	(1.2.4) Polygons available for 30% of the farms (starting with farms > 3 ha).	(1.2.5) Polygons available for >50% of farms.	(1.2.6) Polygons are available for 80-100% of farms.
Indicators			
<ul style="list-style-type: none"> % of farms with polygons 			

Core			
<p>(1.2.7) A registry of the group members is kept and updated, that includes for each group member the following data:</p> <ul style="list-style-type: none"> Name, year of birth, gender, location, GPS (e.g., community), household size, and phone number Name, year of birth, gender, location, GPS (e.g., community), household size, and phone number of the operator of the farm (if different from the group member; e.g. a sharecropper) Unique member identification Yield (previous year's harvest and present year's estimation) Number of permanent (year-round) workers for each farm (M/F) Number of temporary workers for each farm (M/F) Internal inspection date (farms visits included) Participation in other certification programs Total farm area The number of plots and total surface area of certified crop, and The total volume delivered to the group each year since certification Number of trees / bushes for tree crops (coffee/cocoa/tea) <p>Additionally, the group keeps a registry of:</p> <ul style="list-style-type: none"> List of farmers that have left since the last audit, including their volume delivered to the group A list of workers for the group: name, gender, year of birth, type of contract (permanent or temporary) 			
(1.2.8) An internal inspection system is in place to inspect group members annually on compliance with the applicable requirements of the standard. Internal inspection results are documented in a report. Quality of internal inspections is monitored by group management.			
Improvement levels			
	1	2	3
	(1.2.9) Internal inspection system uses digitalized data for 30% of the members. Data is analyzed and used as input for management plans and farm improvement plans.	(1.2.10) Internal inspection system uses digitalized data for 50% of the members. Data is analyzed and used as input for management plans and farm improvement plans.	(1.2.11) Internal inspection uses digitalized data for 80% - 100% of total group members Group management analyzes data, and uses these data to target support. Group management monitors progress on those targets digitally.
Indicators			
<ul style="list-style-type: none"> % of internal inspections making use of digitalized data collection % of group members that are registered digitally 			


1.3 Risk Assessment, Management Plan and Service Delivery

Core			
(1.3.1) Group Management conducts a risk assessment in relation to the criteria in this standard for their group/farm at least every two years, using the Rainforest Alliance risk assessment tool.			
(1.3.2) Based on the risk assessment, Group management makes a management plan, describing improvement areas and actions to be taken. Actions are implemented, monitored, and documented. The management plan is updated at least every two years.			
(1.3.3) Group management assesses and gives feedback to the producers (incl. sharecroppers) on their performance. Group members and group management mutually agree on individual improvement priorities, timelines and the support that the group management will give.			
(1.3.4) Group management provides group members with services based on the gaps identified in the risk assessment to achieve and improve sustainability outcomes. Services include (but are not limited to): <ul style="list-style-type: none"> • Training • Access to inputs (e.g. seedlings, irrigation systems) <p>The group management documents the trainings and services provided. The methodologies and topics of the trainings and support are evaluated yearly.</p>			
Improvement levels			
	1	2	3
	(1.3.5) Group management has a systematic approach to assess the needs and priorities of specific group members (such as: length of time a farmer has been certified) and includes: <ul style="list-style-type: none"> • Providing periodic updates when knowledge or adoption levels indicate this is needed • Tailored advice based on collected data and feedback from internal inspection 	(1.3.6) Group management implements a differentiated service delivery based on collected data and feedback from internal inspection. At least 50 % of the group members have received trainings and support based on their individual improvement priorities.	(1.3.7) Services are tailored to the needs of the group members. Services (e.g. training) are inclusive of all group members, minorities, ethnic groups, and disadvantaged people, and take into account individual's constraints (e.g. time, knowledge, distance, etc.). At least 80% of the group members have received trainings and support based on their individual improvement priorities.
Indicators			
<ul style="list-style-type: none"> • Number of trainings provided to members; Topics of the trainings • Number and % of members attending training (M/F) • Number and type of other services provided to members • Number of members benefitting from services (M/F) • Number and % of Group members that have received trainings and support based on their individual improvement priorities 			


1.4 Gender

Core			
<p>(1.4.1) 1. Group management commits to promote gender equality through a written statement and communicates that to group and/or workers.</p> <p>2. Group management collects and uses gender disaggregated data, at least on the following topics; group member/temporary/permanent workers' registry, training and awareness raising attendance lists, wage records, management and supervisory positions, reception of services and inputs.</p> <p>3. Awareness raising on gender equality with management and staff.</p>			
Improvement levels			
	1	2	3
	<p>(1.4.6)</p> <p>1) Awareness raising is organized for all members on gender equality.</p> <p>2) Group management has installed a committee/person that will promote equal access to inputs and services for male and female farmers, ensure that measures are taken to prevent, assess and address gender based discrimination, including a grievance mechanism, and develop activities to improve the position of female farmers (improved access to supervisory/management positions, trainings and other services and inputs, leadership trainings).</p>	<p>(1.4.7)</p> <p>1) The % of women in group staff reflects for at least 50% the total % of female group members</p> <p>2) The % of female members in the group reflects for at least 50% the local % of female farmers.</p> <p>3) The % of female users of inputs and services reflects at least 50% of the total % of female farmers.</p>	<p>(1.4.8)</p> <p>1) The % women in group staff reflects the % of female group members.</p> <p>2) The % of female members in the farm group reflects the local % of female farmers.</p> <p>3) Proven gender equality in inputs and services delivery: % of female users of inputs and services reflect the total % of female farmers. Implementation of measures to promote division of tasks and income within households.</p>
	<p>Indicators</p> <ul style="list-style-type: none"> • % of women in group staff (compared to total % of female group members) • % of female group members • % of female users of inputs and services (compared to % of female group members) 		


1.5 Youth

Core			
N/A			
Improvement levels			
	1	2	3
	<p>(1.5.1) Group management encourages the participation of young farmers in training, service provision and employment. Group management promotes group membership and participation in group decision making of young farmers.</p>	<p>(1.5.2) Increased number of young farmers (age 18 - 30) participate in training and services.</p> <p>The % of group members between 18 – 30 years of age, is 50% of the expected maximum.</p>	<p>(1.5.3) The % group members between 18 – 30 years of age, is 75% of the expected maximum. Young farmers are represented in group staff positions.</p>
	<p>Indicators</p> <ul style="list-style-type: none"> • % of group members who are young (age 18 - 30) • # of participant in trainings who are young (age 18 - 30) • % of group staff who is between 18 - 30 year of age 		


1.6 Traceability

Core			
(1.6.1) The certified crop yield (kg/ha/group member) and total certified production (kg/group) are estimated annually by using a credible methodology based on representative sampling (see guidance). The estimation methodology and calculations are documented.			
(1.6.2) All certified products are clearly segregated from non-certified products in all facilities and at all stages of production.			
(1.6.3) Group Management records all sale transactions of Rainforest Alliance certified product, including premium, at least monthly, in the Rainforest Alliance traceability system. Total Rainforest Alliance sales do not exceed the actual certified harvest of the group plus remaining stock balance from the previous year.			
(1.6.4) There is documented proof that products that the group sells as certified can all be traced back to the certified farm(s) where these were produced: <ul style="list-style-type: none"> Documented product flow of the certified product from the group member up to the group, including all intermediaries (collection points, warehouses etc.) and activities carried out on the product. Purchase and sales receipts from certified, multi-certified and non-certified product are kept by the group and registered with its farm, date, product type and volume. Receipts are kept by group members to proof that the total certified volume sold to the group does not exceed their actual harvested volume. 			
Improvement levels			
	1	2	3
	(1.6.9) The crop yield and total production estimate are made for each group member. The difference between estimated and actual yield and total production is not more than 30%.	(1.6.10) The crop yield and total production estimate are made for each group member. The difference between estimated and actual yield and total production is not more than 20%. Group members can describe and use the methodology.	
Indicators			
<ul style="list-style-type: none"> Difference between estimated and actual yield 			


1.7 Premium

Core			
(1.7.3) Group management records in the Rainforest Alliance traceability system and communicates to group members: <ul style="list-style-type: none"> Prices and the Rainforest Alliance premium received (separate from other premiums, such as quality premiums) Distribution of premiums received, specifying between <ul style="list-style-type: none"> Overhead In-kind benefits to group members (collectively and individually) and Cash payments to group members 			
(1.7.4) Group members receive at least part of the premium as a cash payment. Cash payment for group members is: <ul style="list-style-type: none"> Pro rata, based on volumes delivered Paid in a timely and convenient manner, at least before the new crop season 			
Improvement levels			
	1	2	3
	(1.7.5) Group members are consulted in the decision making on premium expenditure.	(1.7.6) Group members co-decide on premium expenditure.	
Indicators			
<ul style="list-style-type: none"> Amount of premium received by group and distribution of premium for overhead, in-kind benefits, cash payments % of the total premium transferred in cash to group members 			

1.8 Farm profitability

Core			
(1.8.1) Group management collects and reports data of group members on revenue (Gross income from sale of certified crop) of group members.			
Improvement levels			
	1	2	3
	(1.8.3) Group management collects data on production costs for a sample of group members, and calculates the net income of the certified crop. Group management provides support to group members to increase profitability of the farm by means of tailored farmer training, based on the collected income data and on continued improvement cycles.	(1.8.4) Group management provides advanced support to group members and their families to increase income, by means of financial literacy training, diversification, business skills, and other services.	
Indicators			
<ul style="list-style-type: none"> Revenue (Gross income from the sale of the certified crop) of group members 			

1.9 Living income

Core			
N/A			
Improvement levels			
	1	2	3
	(1.9.1) Group management collects and reports data of group members on the farms size, yields, sales volumes, premium and farm gate prices received over a year for the certified crop. The group management inserts these data in a digital tool to be provided by the Rainforest Alliance, to identify the gap with Living Income or proxy (poverty/income benchmark).	(1.9.2) The gap with Living Income or proxy (poverty/income benchmark) is less than 30%.	(1.9.3) The gap with Living Income or proxy (poverty/income benchmark) is less than 10%.
Indicators			
<ul style="list-style-type: none"> Estimated certified crop income - compared with living income or proxy 			

CHAPTER 2: FARMING PRACTICES


Objectives and Outcomes:

This chapter focuses on the outcomes of sustainable agriculture, crop productivity and profitability, and natural resources and ecosystem services. Included amongst these outcomes are the goals of climate smart agriculture and food security: farms and groups mitigate and adapt to climate change and increase their resiliency by implementing sustainable practices and diversifying when possible.


Various topics in the farming practice chapter of the RA standard work together to achieve these outcomes. The first topic of sustainable yields supports the outcome of crop productivity and profitability by focusing on identification and monitoring of an “optimized” or “target” crop yield. More specific agronomic activities related to sustainable production practices, soil fertility and conservation, integrated pest management, and safe agrochemicals management also support the outcome of sustainable productivity and profitability, as well as natural resource conservation and ecosystem services. Here the standard encourages locally relevant and context-specific practices to ensure that inputs and natural resources are used efficiently, natural cycles are optimized to increase climate change resilience, soil fertility and health is improved, pollinators are attracted, water retention and management is improved, agrochemicals are minimized, and negative effects on the environment are minimized. Finally, crop profitability is supported by post-harvest practices, where farms and groups realize improved quality of crops to meet market demand.

Implementation of criteria in this chapter form part of the foundation of a broader set of sustainable agriculture activities, so when combined with other field, market, and advocacy interventions, can support impacts at the sectoral and regional level.


2.1 Sustainable Yields

Core			
(2.1.1) Yields of the certified crop are monitored and recorded.			
Improvement levels			
	1	2	3
	(2.1.2) For at least 30% of the group's farms or farm area, an optimal or target yield of the certified crop is identified.	(2.1.3) At least 50% of the group's farms or farm area has identified an optimal or target yield, and 30% of the group's farm or farm area has reached an optimal yield (within +/- 10% margin).	(2.1.4) At least 80% of the group's farms or farm area has identified an optimal or target yield, and 50% of the group's farm or farm area has reached an optimal yield (within +/- 10% margin).
Indicators			
<ul style="list-style-type: none"> Yield of certified crop (Kg/ha) % of the group's farms or farm area, for which the optimal yield of the certified crop is identified 			

2.2 Genetically Modified Organisms (GMOs)


Core			
(2.2.1) There is no use of GMO in the certified crop.			
Improvement levels			
	1	2	3
	(2.2.2) There is no use of GMO on any of the crops on the whole farm.		

2.3 Sustainable Production Practices

Core			
N/A			
Improvement levels			
	1	2	3
	(2.3.1) At least 30% of farms (or farm area) with perennial crops are adequately pruned according to agro-ecological conditions and applicable pruning guidelines.	(2.3.2) At least 50% of farms (or farm area) with perennial crops are adequately pruned according to agro-ecological conditions and applicable pruning guidelines.	(2.3.3) At least 80% of farms (or farm area) with perennial crops are adequately pruned according to agro-ecological conditions and applicable pruning guidelines.


	Unnecessary shoots and suckers, as well as infested material, are regularly removed.	Unnecessary shoots and suckers, as well as infested material, are regularly removed.	Unnecessary shoots and suckers, as well as infested material, are regularly removed.
	(2.3.4) At least 30% of the certified crop plants are within the optimal productive age range.	(2.3.5) At least 50% of the certified crop plants are within the optimal productive age range.	(2.3.6) At least 80% of the certified crop plants are within the optimal productive age range.
	(2.3.7) Healthy and suitable planting materials are used for rejuvenation (including grafting), renovation and the planting of new areas.		
		(2.3.8) At least 50% of the group members grow at least 3 additional crops for household consumption or income.	(2.3.9) At least 70% of the group members grow at least 3 additional crops for household consumption or income.
Indicators			
<ul style="list-style-type: none"> % of farms that are adequately pruned according to applicable pruning "guidelines" % of certified crop plants within the optimal productive age range % of group members with at least 3 additional crops for household consumption or income 			

2.4 Soil Fertility and Conservation

Core			
(2.4.1) Producers conduct a qualitative soil assessment, considering: <ul style="list-style-type: none"> Erosion prone areas and slope Identification of areas with visual symptoms of nutrient deficiency Soil structure Soil depth and soil horizons 			
(2.4.2) Basic soil practices area in place: <ul style="list-style-type: none"> Fire is not used to clear vegetation when preparing fields (but can only be used for targeted sanitation measure as part of the IPM plan) Fertilizers use is managed according to principles of appropriate source, rate, time, and place 			
Improvement levels			
	1	2	3
	(2.4.3) Chemical soil test analysis conducted and updated annually.	(2.4.7) Based on results of soil analysis, producers demonstrate in the application of fertilizers, the principles of appropriate source, rate, time, and place.	(2.4.11) Nutrient balance is achieved across member farms (inputs and exports of nutrients in relation to soil nutrient content).
	(2.4.4) Soil is conserved and managed with 30% permanent organic material cover (can include mulch, crop residue, cover crops, and / or shade trees) across production area (across all member farms).	(2.4.8) Soil is conserved and managed with 50% permanent organic material cover (can include mulch, crop residue, cover crops, and / or shade trees) across production area (across all member farms).	(2.4.12) Soil is conserved and managed with 80% permanent organic material cover (can include mulch, crop residue, cover crops, and / or shade trees) across production area (across all member farms).
	(2.4.5) Advanced soil conservation measures are identified and implemented, if applicable.	(2.4.9) Soil conservation measures are increased or modified based on the soil conditions, terrain, and agroecological context. Anti-soil compaction measures such as no-till or reduced-tillage farming, low pressure tires, or restrictions on	

		vehicle size and access times are implemented (if applicable).	
	(2.4.6) Organic fertilizers or additional measures are used to improve soil fertility.	(2.4.10) Organic fertilizers or additional measures to improve soil fertility are increased.	
Indicators			
<ul style="list-style-type: none"> • % of production area with soil permanently covered • Type, volume, and frequency of fertilizer use 			


2.5 Integrated Pest Management

Core			
<p>(2.5.1) An IPM strategy is developed and documented. It includes the scope of the whole farm and processing facilities (if applicable), and is based on the following elements:</p> <ul style="list-style-type: none"> • Prevention by implementing good agricultural practices • Monitoring of weeds, pests, diseases and natural enemies • Use of non-chemical control methods (biological, cultural, mechanical) is preferred • Use of pesticides as a last option • When pesticides are used: <ul style="list-style-type: none"> ○ Use of non-synthetic pesticides is preferred ○ Preference is given to low toxicity chemical pesticides ○ Pesticides listed in the Watch list are used as a last option ○ Pesticides are rotated to reduce resistance ○ Applications are targeted to the impacted areas (spot application) ○ Volume and toxicity of agrochemicals used are recorded 			
<p>(2.5.2) The following basic IPM measures are implemented and documented:</p> <ul style="list-style-type: none"> • Prevention by implementing good agricultural practices • Monitoring of weeds, pests, diseases and natural enemies, including: <ul style="list-style-type: none"> ○ Weeds, pests, diseases and natural enemies' type ○ Date, location, and incidence ○ Weather conditions ○ Crop condition <p>Use of non-chemical control methods (biological, cultural, mechanical) over chemical ones</p>			
Improvement levels			
	1	2	3
	(2.5.3) Pesticides are used as a last option. Producers can show with their record keeping that other measures have been taken, but were not successful.	(2.5.4) The IPM strategy is updated annually based on the pest monitoring, IPM implemented actions and agrochemicals application records.	(2.5.6) There is a reduction of pesticides use: <ul style="list-style-type: none"> • The active substances used per unit of product produced is at a minimum level • Pesticides listed in the Watch list have been phased out.
		(2.5.5) When pesticides are used: <ul style="list-style-type: none"> • Use of non-synthetic pesticides is preferred • Preference is given to low toxicity chemical pesticides • Pesticides listed in the Watch list are used as a last option • Pesticides are rotated to reduce resistance 	(2.5.7) There is enhancement of natural ecosystems: <ul style="list-style-type: none"> • Insectaries • Planting bird/bat attracting trees • Converting low lying areas to small ponds with vegetation. • Resistant/tolerant crop varieties are used

		<ul style="list-style-type: none"> Applications are targeted to the impacted areas (spot application) 	
Indicators			
<ul style="list-style-type: none"> Volume and toxicity of agrochemicals used (and listing on watch list) 			


2.6 Agrochemicals Management

Core
(2.6.1) Agrochemicals included in the Rainforest Alliance Prohibited List or prohibited by national law are not used. Only legally registered agrochemicals for the production country are used.
(2.6.2) Agrochemicals included in the Watch list are only used when: <ul style="list-style-type: none"> Need is identified as part of the IPM plan All practices related to mitigating the particular risks (as identified in the Mitigation measures list) have been implemented
(2.6.3) Persons handling agrochemicals or hazardous materials receive at least the following training: Personal Protective Equipment (PPE), Label and MSDS interpretation, techniques on correct handling, application, and use of equipment, first aid and medical assistance. A competent technician provides the training.
(2.6.4) Agrochemicals handlers use personal protective equipment (PPE) as prescribed in the product's MSDS, safety tag or other instructions, whichever are more stringent. The PPE is in good condition.
(2.6.5) After use, PPE is washed and stored in an appropriate safe space that does not pose risks for surroundings and humans, or disposed of correctly, in case of single use equipment.
(2.6.6) Bathing elements are provided to agrochemicals handlers.
(2.6.7) Agrochemicals handlers bathe and change their clothes directly after finishing the application.
(2.6.8) Agrochemicals are prepared, mixed and applied according to the label and quantity is accurately calculated considering the target area.
(2.6.9) All agrochemicals applications are recorded. Records include: i) product brand name ii) date(s) of application iii) location iv) quantity (dosage and volume) vi) name of the applicator.
(2.6.10) Obsolete and expired agrochemicals are kept in a locked storage area until returned to the supplier/local authority. If the supplier does not accept these products, these are labelled and stored separately from other products until disposed of safely.
(2.6.11) Aerial application is only allowed under strict conditions (forthcoming guidance to be developed by the Rainforest Alliance).
(2.6.12) Recommended pre-harvest and re-entry intervals for all agrochemicals used are known and respected. When two or more products with different pre-harvest intervals/re-entry intervals are used at the same time, the longest interval applies.
(2.6.13) Potentially affected persons or communities are identified, and informed in advance about agrochemicals applications and prevented from access to the applied areas for the duration of the intervals. Warning signs are in place.
(2.6.14) Spray drift reduction mechanisms between agrochemicals applied zones and non-applied zones (including ecosystems and infrastructure) are established and maintained. Mechanisms include non-crop vegetative barriers, non-application zones or other effective mechanisms.
(2.6.15) Facilities for handling, diluting and storing agrochemicals are: <ul style="list-style-type: none"> Dry and clean Well ventilated and sufficiently lit Structurally secure, and Equipped with non-absorbent material <p>Agrochemicals and application equipment are stored:</p> <ul style="list-style-type: none"> In accordance with the label instructions

<ul style="list-style-type: none"> • In their original container or packaging • In a way to avoid spillage • Securely in a location only accessible by the trained handlers and not accessible to children • Away from the harvested product, tools, packing material, and food products 			
Improvement levels			
	1	2	3
	(2.6.16) Prescribed dosage, application timing, intervals of application and effective application equipment and techniques are considered to maximize the impact of the input used.	(2.2.20) The corridors and storage areas on the floor of the central agrochemicals storage facilities must be clearly marked. There must be a free space of at least 30 centimeters between the wall and the stored materials.	(2.6.22) Volume and dosages calculation methods are refined in order to reduce the surplus mix.
	(2.6.17) Application records additionally include: v) active ingredient vi) agrochemical container lot number vii) surplus mix (volume and disposal method) ix) Objective	(2.6.21) The surplus mix is disposed of in a manner that minimizes the negative impact on the environment and human health.	(2.6.23) Central agrochemical storage facilities have enough natural light and the openings for permanent ventilation – windows, extractors and other permanent openings that allow air to circulate freely – must be a minimum of 20% of the total floor area. The corridors and storage areas on the floor of the central agrochemicals storage facilities must be clearly marked. There must be a free space of at least 30 centimeters between the wall and the stored materials.
	(2.6.18) Containers are managed as follows: <ul style="list-style-type: none"> • Empty input containers and application equipment are triple washed, and rinsing water is disposed of in a way that minimizes negative impact on human health and the environment, or returned back to the application mix for re-application. • Empty input containers are returned to the supplier/local authority. If there is no such system in place, containers are cut or perforated to prevent other uses and kept in a locked storage area. Containers may be re-used only for the original contents and only when labelled accordingly. 		

	<p>(2.6.19) Facilities for handling, diluting and storing agrochemicals have:</p> <ul style="list-style-type: none"> • A sound roof and impermeable floors • A system to retain spillage • External clear and permanent warning signs close to access doors • Inside visible safety warnings and pictograms • A visible emergency procedure that includes symptoms of intoxication, first aid information, emergency contacts and have material safety sheets available • An eye-washing area 		
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2.7 Post-Harvest Practices/ Maximum Residue Level

Core			
<p>(2.7.1) Group management and group members implement basic harvest and post-harvest practices to reduce damages in product quality and losses in quantity. This basic measures include:</p> <ul style="list-style-type: none"> • Harvesting at the right time • Preventing contamination with foreign matter during transportation, storage, packing, post-harvest processing and quality sorting 			
<p>(2.7.3) Group management and group members take measures to respect the maximum residue levels set by known destination countries of the product. Support is given to the group members to implement these measures.</p>			
Improvement levels			
	1	2	3
	<p>(2.7.2) Group members implement additional harvest and post-harvest practices to achieve optimal product quality and minimize losses in quantity.</p>		

CHAPTER 3: SOCIAL

Objectives and Outcomes:

Sustainable agriculture is intrinsically linked with the livelihoods of millions of farmers, families, and their communities. To support sustainable livelihoods, the RA standard establishes outcomes related to human rights, living wage, decent living and working conditions, and support for local communities.

For human rights, the Rainforest Alliance envisages the outcome that farm management has improved capacity and performance in assessing and addressing risks and issues of child labor, forced labor, discrimination and gender-based topics, and that minors are not exposed to harmful labor conditions. Here, topics of no discrimination, no forced labor, no child labor, and no sexual abuse and harassment support this outcome by requiring an assess and address approach to assess and identify risks, establish preventative actions, commit and communicate policies, remediate cases when found, and monitor for continual learning and improvement.

With living wage, the standard supports the outcome that workers remuneration (wages and benefits) is sufficient for workers and their family to have a decent standard of living. This outcome is supported by the topic of wages and contracts, and where applicable, the topic of freedom of association and collective bargaining. Rainforest Alliance also believes that workers must have healthy and safe living & working conditions and access to health care, a goal that is addressed with the topics of working conditions, health and safety, and hygiene and housing. Finally, farms and groups will support local communities and avoid negative impacts, as identified by the final topic of communities.

Rainforest Alliance recognizes that farm certification is just one tool to deliver broad societal impacts. Here, the new RA standard serves as the core of our vision to reimagine certification, along with other chain of custody, buyer requirements, and other market, supply chain, and advocacy interventions. Collaborating in partnership means using social standards referenced in international mechanisms such as ILO conventions, or other multi-stakeholder concepts such as living wage, developed in coordination with the Global Living Wage Coalition

The following principles are the basis for the social chapter:

- The rights of female and male workers as well as smallholders are equally protected, all workers and smallholders have equal opportunities and the freedom to develop their skills.
- All workers, including migrant, temporary, and female workers are free from sanctions, penalties and coercion that are used to compel them to perform work, and to prevent them from terminating the work.
- Children are protected from child labor.


3.1 No Discrimination

Core
(3.1.1) Commit and Communicate: Group management makes a commitment to prevent and eradicate discrimination, including infringements of freedom to express cultural identity. The commitment is communicated to the group members / workers by using symbols, pictograms, and the predominant language(s) of the group members/workers.
(3.1.2) Raise awareness: Group management is aware of the concept of non-discrimination and freedom to express cultural identity.
(3.1.4) Remediate: Group management remediates found cases of discrimination or infringement of freedom to express cultural identity.
Indicators
<ul style="list-style-type: none">• Number of cases of discrimination or lack of cultural identity identified, and number remediated


3.2 Forced Labor: assess and address¹

Core
(3.2.1) Assess: Group management conducts a forced labor risk assessment (combination of own assessment and the Rainforest Alliance predefined assessment). The risk assessment takes into account, among others, number of migrant workers, number of temporary/seasonal workers, use of third party recruitment practices (labor brokers), remoteness of the farm, level of illiteracy among workers.

¹ Forced labor: ILO C29 Forced Labor Convention, 1930
ILO C 105 Abolition of Forced Labour Convention, 1956
Migrant Workers Conventions No 97 and No 143
2000 Palermo Protocol supplementing the UN Convention against Transnational Organized Crime
https://www.ilo.org/wcmsp5/groups/public/---ed_norm/---declaration/documents/publication/wcms_203832.pdf

(3.2.2) Commit and communicate: Group management makes a commitment to prevent and eradicate forced labor. The commitment is communicated to group members / workers by using symbols, pictograms, and the predominant language(s) of the group members/workers. Group management / Farm management implements basic measures to lower the risk of forced labor.			
(3.2.3) Raise awareness: Group management is aware of the concept of forced labor.			
(3.2.4) Monitor: Group management appoints a responsible person with the right expertise, with the task to identify and document cases of forced labor and risks of forced labor. There is a grievance mechanism, and group members / workers are informed on the details of how and where to report grievances. The anonymity and safety of victims and reporters is guaranteed.			
(3.2.5) Remediate: Group management remediates found cases of forced labor (e.g. repayment of illegal wage deductions or illegal recruitment fees).			
Improvement levels			
	1	2	3
	(3.2.9) 1) Group management implements measures to reduce high risks, e.g.: <ul style="list-style-type: none"> • Empowerment of vulnerable groups (female/ migrant/ indigenous/ temporary workers) • Training on literacy skills and financial literacy skills • Equal treatment and payment of vulnerable workers as compared to permanent workers 2) Group members and group member workers have been made aware of the concept of forced labor. 3) A community based monitoring system is put in place to identify and document cases of forced labor and people at risk of forced labor. The system includes at least: <ul style="list-style-type: none"> • Trained and paid community based trust persons/ committees responsible for identifying and addressing child labor, and accessible to all group members and group member workers • A standardized tool, methodology and criteria for identification and documentation of forced labor 	(3.2.10) 1) Group management implements measures to reduce medium risks. 2) Group members, group member workers and communities have been made aware of the concept of forced labor. 3) The community based monitoring system is up-scaled to cover all communities and group members. 4) Group management implements remediation actions in cooperation with NGOs or government services.	
Indicators			
<ul style="list-style-type: none"> • Number and type of preventive and remediation actions for forced labor implemented • Number of cases of forced labor identified and number remediated 			

3.3 Child Labor: assess and address²

Core			
(3.3.1) Assess: Group management conducts a child labor risk assessment (combination of own assessment and Rainforest Alliance predefined assessment), providing information on the risk level (low, medium or high).			
(3.3.2) Commit and communicate: Group management makes a commitment to prevent and eradicate child labor. The commitment is communicated to group members / workers by using symbols, pictograms, and the predominant language(s) of the group members/workers. Group management implements basic measures to lower the risk of child labor.			
(3.3.3) Raise awareness: Group management is aware of the concept of child labor. It can distinguish between child work and child labor and knows what measures to take to prevent child labor.			
(3.3.4) Monitor: Group management appoints a responsible person with the right expertise, with the task to identify and document cases of child labor and risks of child labor.			
(3.3.9) Remediation: Group management use a protocol for remediation when a case of child labor is found.			
Improvement levels			
	1	2	3
	(3.3.10) 1) The risk assessment includes information about most the common types of activities performed by child laborers and about the age group most affected. The preventive actions focus on those specific activities and age groups. 2) Group members and group member workers can generally distinguish between child labor and child work. 3) A community based monitoring system is put in place to identify and document cases of child labor and of children at risk. The system includes at least: <ul style="list-style-type: none"> • Trained and paid community based trust persons/ committees responsible for identifying and addressing child labor, and accessible to all group members and group member workers • A standardized tool, methodology and criterions for identification and documentation of child labor 4) Remediation: Activities are undertaken to remediate the majority of cases of child labor identified (either individual or community wide interventions) e.g. removal from work, change of activities or enrollment in school,	(3.3.11) 1) The risk assessment contains analysis of core causes of child labor. The preventive actions focus on at least one core cause of child labor. 2) The community members can distinguish between child labor and child work 3) The data collected and documented by trust persons/committees is used to improve the preventive measures. 4) Effectiveness of preventive actions is measured and reviewed and preventive actions are adjusted. 5) Group management implements remediation actions in cooperation with NGOs or government services. 6) Remediation is up-scaled to cover all communities and group members.	(3.3.12) 1) The remediation is up-scaled to cover the households of all group members. At least 90 % of the farming households with children at risk of child labor are visited by a trust person/committee member at least once a year. 2) At least 75% of cases identified through the group's monitoring are no longer in child labor 2 years after identification.

² ILO conventions on child labor

ILO 138 (minimum age) and 182 (worst forms of child labor)

Convention concerning Discrimination in Respect of Employment and Occupation: ILO Convention 111

Declaration on Fundamental Principles and Rights at Work

Factsheet Sexual Harassment at Work: https://www.ilo.org/wcmsp5/groups/public/---ed_norm/---declaration/documents/publication/wcms_decl_fs_96_en.pdf

	and/or income generating or saving activities for parents)		
Indicators			
<ul style="list-style-type: none"> • Number of cases of Child labor identified • Number of identified cases of child labor remediated • Number and type of prevention and remediation actions for child labor implemented • % of cases identified through the group's monitoring that are no longer in child labor 2 years after identification. 			

3.4 (Sexual) Abuse and Harassment: assess and address

Core
(3.4.1) Assess: A risk assessment (combination of own assessment and Rainforest Alliance predefined assessment) is conducted on the risks for (sexual) abuse and harassment.
(3.4.2) Commit and communicate: Group management makes a commitment to prevent and eradicate (sexual) abuse and harassment. The commitment is communicated to group members / workers by using symbols, pictograms, and the predominant language(s) of the group members/workers. Group management / Farm management implements basic measures to lower the risk (sexual) abuse and harassment.
(3.4.3) Raise awareness: Group management is aware of the concept of (sexual) abuse and harassment.
(3.4.4) Monitor: Group management appoints a responsible person with the right expertise, with the task to identify and document cases of (sexual) abuse and harassment and related risks. There is a grievance mechanism, and group members / workers are informed on the details of how and where to report grievances. The anonymity and safety of victims and reporters is guaranteed.
(3.4.5) Remediate: Group management remediates found cases of (sexual) abuse and harassment.
Indicators
<ul style="list-style-type: none"> • Number of identified cases of (sexual) abuse or harassment identified and number of cases remediated • Number and type of preventive and remediation actions on (sexual) harassment implemented

3.5 Freedom of Association and Collective Bargaining Agreements³

Core
(3.5.1) Workers and group members can exercise their freedom of association. They can freely establish and join worker or farmer organizations and take part in collective bargaining on working conditions without interference by farm management or owners. They are not subject to discrimination or retaliation for reasons of affiliation. If national law forbids trade unions, workers are at least able to elect freely representatives to negotiate working conditions with the farm management. In case there is no formal structure or process in place for workers' participation in decision-making, a direct dialogue is established twice a year between workers and management.

3.6 Wages and Contracts

Core
(3.6.1) Workers receive at least the applicable minimum wage or the Collective Bargaining Agreement wage, whichever is higher. For production, quota or piece work, the established pay rate equals at least a minimum wage based on a 48-hour working week. Mandatory deductions from wages do not reduce net wages below the minimum wage.
(3.6.2) Workers who are employed for more than 3 months have written employment contracts.

3.7 Living wage


N/A

³ ILO 141 on rural workers, ILO 87 and 98

3.8 Working conditions

Core
<p>(3.8.1) Regular working hours for group staff and workers do not exceed 48 hours per week. They have at least one 30-minute rest break after 6 continuous working hours. They have at least one day off after 6 continuous days of work.</p> <p>Watchmen's regular working hours do not exceed 56 hours per week on average per year.</p>

3.9 Health & Safety

Core			
<p>(3.9.1) Appropriate Personal Protective Equipment (PPE) is provided for free and used when needed to work safely, including working with chemicals, with machines, in difficult terrains or for other hazards (hats for working in the sun, boots for working in terrains with snakes).</p> <p>Machines have clear instructions on safe usage, and their dangerous parts are guarded or encased. Workers using such machines are appropriately trained.</p> <p>A clear and written accident and emergency procedure is in place. Group management effectively inform permanent workers and seasonal workers about this procedure. Clear and permanent warning signs are placed at central locations to indicate potential hazards.</p>			
<p>(3.9.12) In case of the absence of safe drinking water, group management implements and documents a training program to instruct smallholder members on potable water treatments through boiling, filtering or chlorinating and the prevention of water contamination.</p>			
<p>(3.9.13) Trained first aid employees and appropriate first aid boxes are available to workers for treatment of work-related injuries and emergency health care. The boxes are placed at central locations of production, processing, and maintenance sites. For emergency situations, appropriate measures including showers and eye-washes are present.</p>			
Improvement levels			
	1	2	3
	<p>(3.9.8) For workers carrying out tasks with health risks including working with chemicals the farm management and group management provide medical examinations once a year. For workers whose job exposes them to organophosphates and carbamate pesticides, the medical monitoring includes cholinesterase testing. Workers have access to the results of their medical examination.</p>	<p>(3.9.10) Workshops, storage areas and processing facilities are designed for safe and secure storage of substances and materials. They are clean and organized, and have sufficient light and ventilation. They have appropriate equipment for firefighting, and means to adequately remediate any substance or spillage of materials. Only authorized personnel have access to workshops, storage or processing facilities.</p> <p>Basic training on occupational health and safety and hygiene is provided to all persons working in the farms. Hygiene instructions are visibly displayed at central locations.</p>	
	<p>(3.9.9) When workers are diagnosed with temporary health conditions or have short-term disabilities that impair their ability to carry out their job, the farm management and group Management reassign these workers for the length of the</p>	<p>(3.9.11) An Occupational Health and Safety (OHS) committee is chosen by workers for Farms or Group Management with 20 or more permanent workers, or as required by national law. Women and men are represented. The committee participates in or carries</p>	

	disability period to a different work task appropriate for the condition without penalty or a decrease in compensation.	out regular OHS reviews, and its findings and decisions are considered in the OHS procedures and activities. Committee decisions and associated activities are documented. The committee covers OHS aspects including training, safety, risk, use of PPE, good posture, hygiene, for all relevant activities relevant for field activities, processing and storage.	
Indicators			
<ul style="list-style-type: none"> • % of group members and workers with access to potable water 			

3.10 Hygiene and housing

N/A

3.11 Communities

N/A

CHAPTER 4: ENVIRONMENT

Objectives and Outcomes:

Agriculture can have positive or negative effects on the natural environment, depending on how it is managed. In the RA standard, this chapter outlines pathways for certified farms to have a positive impact on the planet, and its forests, biodiversity, water, and climate.


The first topic in this chapter supports the outcome that farms and groups conserve, maintain, and restore natural ecosystems and their services, and do not contribute to deforestation, forest degradation and destruction of other natural ecosystems. The topic of biodiversity and native vegetation support the outcome that farms and groups avoid degradation of natural habitats, contribute to improving biodiversity, and help to prevent the extinction of threatened species. Finally, in the topics of water, waste, and energy, farms and groups reduce pollution, treat wastewater and minimize release of hazardous pollutants, and reduce waste and energy through prevention, reduction, recycling and reuse.

Finally, throughout this chapter and the farming practices chapter, the RA standard works towards the outcome of farms and groups adopting climate adaptation and resilience techniques and supporting climate change mitigation. Once again, the Rainforest Alliance recognizes that farm certification fits into a larger picture of landscape conservation, where multiple strategies are needed to create lasting impact for biodiversity and planet. The content of this chapter marks a starting point where certified farms and groups can support this goal.

4.1 Forests and Other Natural Ecosystems


Core	
(4.1.1)	Producers have not, after 1 January 2008, converted forests or other natural ecosystems to agricultural production or to other non-forest land use.
(4.1.2)	Production or processing in protected areas does not occur, unless it complies with applicable law and management plans for protected areas and their adjacent (buffer) zones, as defined by the respective local authority for the conservation and management of the protected area.

4.2 Biodiversity – Native vegetation


Core			
	(4.2.1) Forests, natural ecosystems and other existing native vegetation cover on the farm is conserved, including:		
	<ul style="list-style-type: none"> • Large native trees, (except when these pose hazards to people or infrastructure) • Existing agroforestry shade cover, (except when it significantly competes with crops) • Existing vegetated zones 		
	Improvement levels		
	1	2	3
	(4.2.3) Group management has made an assessment of natural ecosystems, including areas with significant intact forest, primary forest canopy cover, rare flora and fauna communities, important habitat elements, critical watershed values, importance to local communities' traditional cultural identity (and other native vegetation).		
	(4.2.4) Agroforestry: Farms have at least 10% tree canopy coverage across the farm or group of farms, where appropriate in accordance with an agroforestry system that may include: trees in contour hedgerows, trees in strips (corridor system), trees in contiguous area (shade), trees in a mixed system, or trees on plot boundaries.	(4.2.6) Agroforestry: Farms have at least 20% tree canopy coverage across the farm or group of farms or meet other recommended canopy cover and species diversity parameters for shade tree coverage.	(4.2.8) Tree canopy coverage in the farm area consists of at least two identifiable canopy layers/strata.

	(4.2.5) Set aside areas: Farms have at least 10% total native vegetation set aside across the farm or the group of farms for nature conservation purposes.	(4.2.7) Set aside areas: Farms have at least 20% total native vegetation set aside across the farm or group of farms.	(4.2.9) If multiple areas of natural ecosystems exist on the farm, biological corridors are established to connect these areas.
Indicators			
<ul style="list-style-type: none"> Average % agroforestry tree coverage in production area Land area under native vegetation set aside and % of total certified area 			

4.3 Biodiversity – Non-application and Buffer Zones


Core			
(4.3.1) A non-application zone is kept between pesticide applied crops and areas of human activity, or aquatic and terrestrial natural ecosystems.			
Improvement levels			
	1	2	3
	(4.3.3) A vegetated zone is kept along more than 50% of borders of aquatic ecosystems, across member farms. Vegetated zones fulfill the Rainforest Alliance parameters for vegetated zones and are composed of native vegetation, exclude all cultivation and exclude all application of pesticides.	(4.3.5) A vegetated zone fulfilling Rainforest Alliance parameters is kept along all borders of aquatic ecosystems.	
Indicators			
<ul style="list-style-type: none"> % of aquatic areas with buffer zone meeting Rainforest Alliance parameters 			

4.4 Biodiversity – Wildlife and other practices


Core			
(4.4.1) Vulnerable, endangered or critically endangered animals are never hunted, trafficked or killed. Animals are not hunted on the farm, with the following exceptions: 1. smallholders may hunt for non-commercial use; 2. vertebrate pest wildlife may be hunted in accordance with the farms Integrated Pest Management plan.			
(4.4.2) Wildlife is not held in captivity. Captive animals that were present on the farm before the earliest certification date may be held only for non-commercial purposes for the remainder of their lives if not mistreated.			
Improvement levels			
	1	2	3
	(4.4.3) Invasive species are not intentionally introduced or released. Existing invasive species or their parts are not disposed of in aquatic ecosystems.	(4.4.4) Measures are taken to contain and reduce existing invasive species.	(4.4.7) Producers minimize human-wildlife conflicts affecting workers, wildlife, crops, or farm assets through the siting and design of farm infrastructure and fencing; maintenance or establishment of wildlife corridors to facilitate wildlife movement while minimizing conflict; and training workers in procedures and emergency responses for addressing crop damage or wildlife attacks.

		(4.4.5) Group management has created a list of wildlife species native to the region and identified which of those species are classified as vulnerable, endangered or critically endangered according to the IUCN Red List. Group members are informed of the local threatened species.	
		(4.4.6) There are "no hunting" or "no trespassing" signs, gates or guards to prevent unauthorized hunting.	

4.5 Wastewater and Water Quality


Core			
(4.5.2) Wastewater from processing operations is not discharged into aquatic ecosystems or drainage systems unless it has undergone a treatment to remove particulates and toxins and to reduce acidity.			
(4.5.3) Untreated sewage is not discharged into aquatic ecosystems; Producers do not use human sewage in production or processing activities.			
Improvement levels			
	1	2	3
	(4.5.4) Wastewater from processing operations is tested and meets wastewater quality parameters on 30% of applicable farms (4.5.5) Other wastewater (including sewage and greywater) is managed and treated on 30% of farms	(4.5.6) Wastewater from processing operations is tested and meets wastewater quality parameters on 50% of applicable farms (4.5.7) Other wastewater (including sewage and greywater) is managed and treated on 50% of farms	(4.5.8) Wastewater from processing operations is tested and meets wastewater quality parameters on 80% of applicable farms (4.5.9) Other wastewater (including sewage and greywater) is managed and treated on 80% of farms
Indicators			
<ul style="list-style-type: none"> Wastewater quality: Biological Oxygen Demand, Chemical Oxygen Demand and pH at discharge Number of member farms with wastewater and greywater treatment systems 			

4.6 Waste Management


Core			
(4.6.1) Waste is stored and disposed of only in designated areas. Waste storage, treatment and disposal practices do not pose health or safety risks to producers, workers, other people, or natural ecosystems. Waste is never disposed of in natural ecosystems or aquatic ecosystems.			
Improvement levels			
	1	2	3
	(4.6.2) Waste is not burned (except in incinerators technically designed for the specific waste type). (4.6.3) Waste is segregated based on available waste management and disposal options. <ul style="list-style-type: none"> Recyclable wastes are separated and recycled Organic waste is composted or otherwise processed for use as organic fertilizer 	(4.6.4) Farm management (or Group Management) quantifies and documents the origin, approximate volume, and current means of disposal for all waste streams.	(4.6.5) Based on record-keeping, the farm management (or group management) demonstrates that it produces a minimal amount of waste per unit product grown or processed.

	<ul style="list-style-type: none"> Scrap materials that can feasibly be reused are stored in designated areas away from processing plants and housing 		
Indicators			
<ul style="list-style-type: none"> Waste generated (kg/year) 			

4.7 Water Conservation

Core			
(4.7.1) Group management and members comply with the applicable law for the withdrawal of surface or groundwater for agricultural, domestic or processing purposes.			
Improvement levels			
	1	2	3
	(4.7.2) When new irrigation systems are established, they are designed to optimize crop production while minimizing water waste, erosion and salinization.	(4.7.3) Existing irrigation, water distribution and processing systems are managed and maintained to optimize crop or pasture productivity and minimize water waste, erosion and salinization.	
		(4.7.4) For operations that irrigate or use water for processing, farm management (or group management) quantifies and documents water use per unit of product produced or processed. Farm management sets targets for improving water use efficiency.	(4.7.5) Based on record-keeping, the farm management (or group management) demonstrates that the water used for irrigation, processing per unit of product produced or processed, is at a minimum possible level.
Indicators			
<ul style="list-style-type: none"> Water use (Liters/year) 			

4.8 Energy

Core			
N/A			
Improvement levels			
	1	2	3
	(4.8.1) Farm management (or Group Management) quantifies and documents type of energy sources and associated machinery used for production, processing, and domestic use. Farm sets targets for increasing energy efficiency and for reducing dependency on non-renewable energy sources.	(4.8.2) Based on record-keeping, the farm management (or group management) demonstrates that the overall energy use or non-renewable energy use per unit product grown or processed is reduced with more than 10%.	(4.8.3) Based on record-keeping, the farm management (or group management) demonstrates that the overall energy use or non-renewable energy use per unit product grown or processed is at a minimum level.
Indicators			
<ul style="list-style-type: none"> Energy use (KWh/year) 			

ANNEX 1: RAINFOREST ALLIANCE DEFINITIONS

Abuse	Behaviours which depart from reasonable conduct and involve the misuse of physical or psychological strength ⁴
Active ingredient	A pesticide consists of several substances. The active ingredient is the chemical that can kill, repel, attract, mitigate or otherwise control a pest. The other substances can assist this effect, directly or indirectly.
Agrochemical	Any substance, or a mixture of substances of chemical or biological ingredients that humans use to help in the management of an agricultural ecosystem; it includes fertilizers, liming and acidifying agents, soil conditioners, pesticides, and herbicides.
Child Labor	<p>Work that deprives children of their dignity, their potential, and their childhood. This includes: Work conducted by children under 15 years for the farm, group or group members. In case national law has set the minimum work age at 14 years (or an age higher than 15), this age applies. Work conducted by children under 18 years, for the farm, group or group members that may harm their physical, mental, or moral well-being, because of the nature of the work or the number of working hours. This includes carrying heavy loads, or work in dangerous locations, in unhealthy situations, at night, or with dangerous substances or equipment, as well as trafficked, bonded or forced labor.</p> <p>Exceptions: Light work: Children in the age of 13-14 years may perform light work, provided that the work not be harmful to their health and development, does not interfere with their schooling or training, is under the supervision of an adult, and does not exceed 14 hours a week. In case national law has set the light work ages at 12-13 years, these ages apply. Family labor: Farming activities done by children living on small-scale family farms that consist of light, age-appropriate duties that give them an opportunity to develop skills, does <u>not</u> classify as child labor provided that the activities are not harmful to their health and development, do not interfere with schooling and leisure time, and are under the supervision of an adult</p>
Conversion	Change of a natural ecosystem to another land use. This is typically characterized by loss or profound change of the natural ecosystem's species composition, structure, and/or function. <i>This includes conversion of a natural ecosystem to plantation, cropland, pasture, water reservoirs, infrastructure, mining, and urban areas. It also includes the large scale and progressive or enduring degradation of a natural ecosystem to the extent that it no longer possesses most of its former species composition, structure and/or function. Land-use change that meets this definition is considered to be conversion regardless of whether or not it is legal. Low-impact production or other activities within a natural ecosystem, such as rustic coffee cultivation or livestock grazing, are not considered conversion under certain circumstances.</i>
Discrimination	Discrimination implies any distinction, exclusion or preference made on the basis of race, color, sex, religion, political opinion, national extraction or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation ⁵
Employment agreement	Written contract or verbal agreement between the farm management or group administrator and the worker that covers: job description, working hours, pay rate, overtime regulation, benefits and deductions, annual paid vacation leave, protection from loss of pay in the case of illness, disability or accident, and the notice period for contract termination.
Farm	All land and facilities used for agricultural production and processing activities covered by the same management and by the same operational procedures. A farm may be composed of several neighboring or geographically separate units of land within one country, if they are under a common management body.
Farm Management	Farm Management refers to the representative of the Farm Manager or Administrator that can implement all criteria that require a high level of technical knowledge and planning skill. Compliance with criteria is assured by the Farm Management or its technical representative and applies both to single certificate farms or multi-sites under one owner.
Farmer	Man or woman involved in farming activities, not necessarily head of farm or owner of the farm (see female farmer)

⁴ (Chappell & Di Martino, 2006; ILO 2013 (https://www.ilo.org/wcmsp5/groups/public/-/dgreports/-/stat/documents/meetingdocument/wcms_222231.pdf))

⁵ (ILO Convention 111)

Fertilizer	<p>Inorganic Fertilizer: A fertilizer material in which carbon is not an essential component of its basic chemical structure. Fertilizer in which the declared nutrients are in the form of inorganic salts obtained by extraction and/or by physical and/or chemical industrial processes. Examples are ammonium nitrate, ammonium sulfate, and potassium chloride.</p> <p>Organic Fertilizer: By-product from the processing of animal or vegetable substances that contain sufficient plant nutrients to be of value as fertilizers. Examples include compost, manure, peat, and slurry.</p>
Forced, compulsory, or slave labor	<p>All work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered herself or himself voluntarily. This includes, but not limited to:</p> <p>Forcing workers to work or stay at the workplace;</p> <p>Control of worker access to food, water, toilets, canteens, medical care or health clinics as a means to discipline or reward workers;</p> <p>Withholding workers' salaries, documents, IDs, benefits, property or any rights acquired in the course or due to the status of work or stipulated by law;</p> <p>Restricting the workers' freedom of movement to and from their employer provided housing, unless such movement would compromise the residents' security;</p> <p>Bonded labor that forces workers to work due to debt owed to a recruiter, farm or group administrator representative;</p> <p>Labor by prisoners or those working under the regimen of imprisonment, even when permitted by local regulations or other laws.</p>
Forest	<p>Tree-covered land – spanning more than 0.5 hectares with trees higher than 5 meters and a canopy cover of more than 10 percent, or trees able to reach these thresholds in situ – that is not predominately under agricultural, urban or other land use. This definition includes primary forests whose composition, structure and dynamics remain largely in their natural state, as well as secondary forests possessing a mixture of natural and human induced composition, structure and dynamics. For the purpose of company deforestation-free commitments, the focus is on preventing the conversion of natural forests – that is, forests that are natural. To the extent that plantations are included in existing forest definitions and monitoring systems (e.g., of the FAO and national governments), the Rainforest Alliance advocates that natural forests be distinguished from plantations for the purpose of conducting forest inventories and quantifying forest loss and gain. This will facilitate comparability between government land-use monitoring and the tracking of supply chain commitments focused on human-induced conversion of natural forest .⁶</p>
Freedom of Association	<p>The right of workers and employers to form and join organizations of their own choosing is an integral part of a free and open society.⁷</p>
Gender	<p>Relations between men and women, the roles and responsibilities assigned to women and men, the opportunities open to them, and the work they engage in are determined by the understanding of what is appropriate for men and women.</p>
Gender equality	<p>Gender equality means that women and men have equal rights and opportunities and are free to develop their personal abilities and make choices without being hindered by stereotypes, rigid gender roles or prejudices.⁸</p>
GMO	<p>Genetically modified organism: An organism whose genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination. <i>(as defined in the Directive 2001/18/EC of the European Parliament)</i></p>
Group	<p>A group of organized producers that are part of a shared IMS and are certified together under the RA standard Certification Protocol. The group of organized producers can be organized in an association or cooperative or managed by a supply chain actor (such as an exporter) or another entity.</p>
Group Management	<p>The entity that signs the certification agreement with the Rainforest Alliance accredited certification body and takes responsibility for the development and implementation of the group's internal management system and all member farms' management systems. The group management assures member farms' compliance with the Standard.</p>
Group Member	<p>A producer who is certified as part of a group and is responsible for one or more producer group. It can be the person who is the actual operator of the farm (e.g. a sharecropper) and does not need to be the land owner.</p>

⁶ (adapted slightly from FAO Forest Resources Assessment (2015)):

⁷ <https://www.ilo.org/global/topics/freedom-of-association-and-the-right-to-collective-bargaining/lang-en/index.htm>

⁸ (Laven et al 2012. Challenging Chains to Change. Gender Equity in Agricultural Value Chain Development. KIT, AgriProFocus and IIRR).

Harassment	Any conduct towards somebody based on their age, disability, HIV status, domestic circumstances, sex, sexual orientation, gender reassignment, ethnic background, colour, language, religion, political opinion, trade union affiliation or other opinion or belief, national or social origin, association with a minority, property, birth or other status that is unreciprocated or unwanted and which affects the dignity of women and men at work ⁹
Housing	There is a basic need for shelter, away from the elements and as protection against predators. Beyond this, a house becomes a home when people identify with it, with those who share the house and even with others in the vicinity. Housing together is the basis of community, where people can share and help one another ¹⁰
Hygienic Sanitations	Sanitation generally refers to the provision of facilities and services for the safe disposal of human urine and feces. The word 'sanitation' also applies to the maintenance of hygienic conditions, through services such as garbage collection and wastewater disposal. ¹¹
Integrated Pest Management (IPM)	The careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimize risks to human health and the environment. IPM emphasizes the growth of healthy crops and cattle with the least possible disruption to agro-ecosystems and encourages natural pest control mechanisms. Application of pesticides is based on documented thresholds for disease or pest infestations.
Invasive species	A plant or vertebrate species or subspecies that is not native to a given place, and whose presence or introduction in that place causes or is likely to cause economic harm, environmental harm, or harm to human health. For the purpose of this standard, invasive species are the ones referenced by IUCN/SSC Invasive Species Specialist Group (ISSG) as 100 of the World's Worst Invasive Alien Species (http://www.issg.org/worst100_species.html) and crop or cattle species are not considered invasive species.
Living Income	The net annual income required for a household in 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, transportation, clothing, and other essential needs including provisions for unexpected events. Living income is closely related to living wage which is related to a worker. A living income can be discussed in any income earner and includes self-employed farmers. ¹²
Living wage	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. ¹³
Maximum Residue Level (MRL)	A legal limit for the maximum amount of chemical residues permitted on food. MRLs act as an indicator of the correct use of pesticides.
MSDS	Material Safety Data Sheet
Natural Ecosystem	An ecosystem that substantially resembles – in terms of species composition, structure, and function – one that is or would be found in a given area in the absence of major human impacts. This includes ecosystems that have not been subject to major human impacts in recent history as well as those that were subject to major impacts in the past (for instance by agriculture, livestock raising, tree plantations, or intensive logging) but where main causes of impact have ceased or greatly diminished and the ecosystem has re-gained much of its prior species composition, structure and function. Natural ecosystems may contain some level of degradation. Examples of terrestrial natural ecosystems include primary and secondary forests, savannahs, natural scrublands and grasslands, peatlands, and other wetlands. Plantations (as defined below) are not considered natural ecosystems. Livestock grazing areas that are enclosed or dominated by non-native vegetation are not considered natural ecosystems; however, pastoral or other systems for livestock rearing on native grasslands are generally considered natural ecosystems. ¹⁴

⁹ (ILO, 2012a, see also link https://www.ilo.org/wcmsp5/groups/public/---dgreports/---stat/documents/meetingdocument/wcms_222231.pdf)

¹⁰ International Labor Organization (1976), *Employment, Growth and Basic Needs: a One World Problem*, Geneva

¹¹ <http://www.who.int/topics/sanitation/en/>

¹² <https://www.globallivingwage.org/about/living-income/>

¹³ ILO, (2011)

¹⁴ (AFi, 2018):

Optimal Yield	The optimal yield is the yield that provides the highest profitability to the producer in the medium and long term, bearing in mind social and environmental externalities.
Permanent worker	A worker with a work contract of 12 months or more.
Personal protective equipment (PPE)	Equipment worn to minimize exposure to hazards that cause serious workplace injuries and illnesses. These injuries and illnesses may result from contact with chemical, radiological, physical, electrical, mechanical, or other workplace hazards. Personal protective equipment may include items such as gloves, safety glasses and shoes, earplugs or muffs, hard hats, respirators, or coveralls, vests and full body suits.
Pest	A pest is any species, strain or biotype of plant, animal, or pathogenic agent injurious to plants or plant products.
Pesticide	Any substance, or mixture of substances of chemical or biological ingredients, intended for repelling, destroying or controlling any pest, and including unwanted species of plants or animals causing harm during or otherwise interfering with the production, processing, storage, transport or marketing of food, agricultural commodities The term includes substances intended for use as a defoliant, desiccant or agent for thinning fruit or preventing the premature fall of fruit. Pesticides are also used for application on crops either before or after harvest to protect the commodity from deterioration during storage and transport.
Pre-harvest time	The pre-harvest time is the waiting period between a pesticide application and the harvesting of the crop.
Primary Forest	Naturally regenerated forest of native species, where there are no clearly visible indications of human activities and the ecological processes are not significantly disturbed. (FAO Forest Resources Assessment, 2015):
Producer	The person or organization who represents the farm and has responsibility for the products sold by the farm.
Product quality	The product's ability – as defined by the farm or group administrator - to fulfill the expectations and needs of the end user, considering food safety parameters and pesticide residues, such as conformance with Maximum Residue Limits (MRLs) and tolerances established by the importing country.
Productivity	A measure of production efficiency based on the ratio of production output to production inputs of land, capital, water, other natural resources, labor, energy, or other materials.
Protected Area	A protected area is a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values. Examples include national parks, wilderness areas, community conserved areas, and nature reserves. (IUCN 2008):
Re-entry intervals	The re-entry interval (or restricted entry interval) is the waiting period between a pesticide application and the time when it is possible to enter the field again without protective clothing or equipment.
Rejuvenation	Increasing existing tree productivity through grafting, stumping or pruning.
Renovation	Activities that involve addition of planting material through replanting or infilling.
Rotation (Crop)	The practice of successively planting different crops over several growing seasons on the same plot.
Sexual harassment	Any unwanted, unreciprocated and unwelcome behavior of a sexual nature that is offensive to the person involved, and causes that person to be threatened, humiliated or embarrassed ¹⁵
Smallholder	In countries, regions or sectors where an official definition of 'smallholder' is available, such definition shall be used as a reference. Otherwise, the Rainforest Alliance considers a smallholder is a producer who primarily relies on family or household labor or reciprocal workforce exchange with other members of the community.
Spray drift	The quantity of applied product –representing an active ingredient of a pesticide - which is deflected from the treated area by the action of air currents during the application process.

¹⁵ (ILO, 2012a or see link https://www.ilo.org/wcmsp5/groups/public/---dgreports/---stat/documents/meetingdocument/wcms_222231.pdf)

ANNEX 2: RAINFOREST ALLIANCE LIST OF PROHIBITED PESTICIDES

INTRODUCTION

The Rainforest Alliance recognizes the negative impacts of the Highly Hazardous Pesticides in the world, particularly in low-income and middle-income countries. For this reason, in the 2020 Rainforest Alliance Sustainable Agriculture Standard — under the agrochemicals management subtopic, our first objective is to prohibit the use of Highly Hazardous Pesticides (HHP) in certified farms. By prohibiting the use of these agrochemicals and promoting the implementation of a robust Integrated Pest Management plan, Rainforest Alliance directs farmers to a more safe and sustainable production system.

The Rainforest Alliance classification of HHP follows the FAO/WHO Joint Meeting on Pesticide Management (JMPM) recommendation that HHP should be defined as having one or more of the following characteristics:

- **Criterion 1:** Pesticide formulations that meet the criteria of classes Ia (extremely hazardous) or Ib (highly hazardous) of the [WHO Recommended Classification of Pesticides by Hazard](#); or
- **Criterion 2:** Pesticide active ingredients and their formulations that meet the criteria of carcinogenicity Categories 1A and 1B of the [Globally Harmonized System on Classification and Labelling of Chemicals \(GHS\)](#); or
- **Criterion 3:** Pesticide active ingredients and their formulations that meet the criteria of mutagenicity Categories 1A and 1B of the Globally Harmonized System on Classification and Labelling of Chemicals (GHS); or
- **Criterion 4:** Pesticide active ingredients and their formulations that meet the criteria of reproductive toxicity Categories 1A and 1B of the Globally Harmonized System on Classification and Labelling of Chemicals (GHS); or
- **Criterion 5:** Pesticide active ingredients listed by the [Stockholm Convention](#) in its Annexes A and B, and those meeting all the criteria in paragraph 1 of Annex D of the Convention; or
- **Criterion 6:** Pesticide active ingredients and formulations listed by the [Rotterdam Convention](#) in its Annex III; or
- **Criterion 7:** Pesticides listed under the Montreal Protocol; or
- **Criterion 8:** Pesticide active ingredients and formulations that have shown a high incidence of severe or irreversible adverse effects on human health or the environment.

PROHIBITED LIST

According to the FAO/WHO JMPM classification of HHP and based on the lessons learned from the current RA and UTZ system, for the first public consultation process, we have developed two lists:

- a. The “Prohibited Agrochemicals” list includes the agrochemicals that will be for sure prohibited.
- b. The “Agrochemicals under discussion” list includes the agrochemicals to which the classification and regulation method (if applicable) is still under discussion.

1a. Prohibited Agrochemicals

The use of the following agrochemicals is prohibited within the farm limits:

	Name	CAS RN
1	Acrolein	107-02-8
2	Alachlor	15972-60-8
3	Aldicarb	116-06-3
4	Alpha-chlorohydrin	96-24-2
5	Alpha-Hexachlorocyclohexane (HCH)	319-84-6
6	Anthracene oil	90640-80-5
7	Arsen and its compounds	
8	Arsenic pentoxide	1303-28-2
9	Arsenic trioxide	1327-53-3
10	Atrazine	1912-24-9
11	Azafenidin	68049-83-2
12	Azinphos-ethyl	2642-71-9
13	Azinphos-methyl	86-50-0
14	Benomyl	17804-35-2
15	Beta-Cyfluthrin; Cyfluthrin	68359-37-5
16	Beta-Hexachlorocyclohexane (HCH)	319-85-7
17	Blasticidin-S	2079-00-7
18	Butoxycarboxim	34681-23-7
19	Cacodylate - sodium dimethylarsinate	124-65-2
20	Calcium arsenate	7778-44-1
21	Captafol	2425-06-1
22	Carbofuran	1563-66-2
23	Chlordane	57-74-9
24	Chlorethoxyfos	54593-83-8
25	Chlorfenvinphos	470-90-6
26	Chlormephos	24934-91-6
27	Chloromethoxypropylmercuric acetate; CPMA	1319-86-4
28	Chromated copper arsenate; CCA (Cacodylic acid)	75-60-5
29	Copper arsenate	7778-41-8
30	Coumaphos	56-72-4
31	Creosote	8001-58-9
32	DDT	50-29-3
33	Demeton-S-methyl	919-86-8
34	Dichlorvos	62-73-7
35	Dicrotophos	141-66-2
36	Difenacoum	56073-07-5
37	Dinocap	39300-45-3
38	Dinoterb	1420-07-1
39	Diphenylmercurydodecenylsuccinate; PMDS	27236-65-3
40	Disulfoton	298-04-4
41	DNOC	534-52-1

42	DNOC and its salts	
43	DNOC-ammonium	2980-64-5
44	DNOC-potassium	5787-96-2
45	DNOC-sodium	2312-76-7
46	Dustable powder formulations containing a combination of: benomyl at or above 7 per cent, carbofuran at above 10 per cent, thiram at or above 15 per cent.	137-26-8_f
47	Edifenphos	17109-49-8
48	Endosulfan	115-29-7
49	E-Phosphamidon	297-99-4
50	Epichlorohydrin	106-89-8
51	EPN	2104-64-5
52	Ethiofencarb	29973-13-5
53	Ethylene oxide	75-21-8
54	Ethylene thiourea	96-45-7
55	Famphur	52-85-7
56	Fenchlorazole-ethyl	103112-35-2
57	Fluazifop-butyl	69806-50-4
58	Flucythrinate	70124-77-5
59	Flumioxazin	103361-09-7
60	Fluoroacetamide	640-19-7
61	Formetanate	22259-30-9
62	Furathiocarb	65907-30-4
63	HCH (mixed isomers)	608-73-1
64	Heptenophos	23560-59-0
65	Hexachlorobenzene	118-74-1
66	Isoxathion	18854-01-8
67	Lead arsenate	7784-40-9
68	Lindane	58-89-9
69	Linuron	330-55-2
70	Mecarbam	2595-54-2
71	Mercuric chloride	7487-94-7
72	Mercuric oxide	21908-53-2
73	Mercury and its compounds	
74	Methamidophos	10265-92-6
75	Methidathion	950-37-8
76	Methiocarb	2032-65-7
77	Methomyl	16752-77-5
78	Methyl bromide	74-83-9
79	Mevinphos	7786-34-7
80	Monocrotophos	6923-22-4
81	MSMA	2163-80-6
82	Nicotine	54-11-5
83	Nitrobenzene	98-95-3
84	Omethoate	1113-02-6
85	Oxydemeton-methyl	301-12-2
86	Paraffin oil (CAS 64741-88-4)	64741-88-4
87	Paraffin oil (CAS 64741-89-5)	64741-89-5
88	Paraffin oil (CAS 64741-97-5)	64741-97-5
89	Paraffin oil (CAS 64742-46-7)	64742-46-7
90	Paraffin oil (CAS 64742-54-7)	64742-54-7
91	Paraffin oil (CAS 64742-55-8)	64742-55-8

92	Paraffin oil (CAS 64742-65-0)	64742-65-0
93	Paraffin oil (CAS 72623-86-0)	72623-86-0
94	Paraffin oil (CAS 97862-82-3)	97862-82-3
95	Paraffin oils; mineral oils containing >3% DMSO	
96	Paraquat dichloride	1910-42-5
97	Parathion	56-38-2
98	Parathion-methyl	298-00-0
99	Pentachlorobenzene	608-93-5
100	Pentachlorophenol and its salts and esters	87-86-5
101	Phenylmercuric oleate; PMO	104-68-9
102	Phenylmercury acetate; PMA	62-38-4
103	Phorate	298-02-2
104	Phosphamidon	13171-21-6
105	Propetamphos	31218-83-4
106	Propylene oxide, Oxirane	75-56-9
107	Silafluofen	105024-66-6
108	Sodium arsenate	13464-38-5
109	Sodium arsenite	7784-46-5
110	Sodium fluoroacetate (1080)	62-74-8
111	Sulfotep	3689-24-5
112	Tebupirimfos	96182-53-5
113	Tefluthrin	79538-32-2
114	Thiofanox	39196-18-4
115	Thiometon	640-15-3
116	Triazophos	24017-47-8
117	Trichlorfon	52-68-6
118	Vamidothion	2275-23-2
119	Vinclozolin	50471-44-8
120	zeta-Cypermethrin	52315-07-8z
121	Z-Phosphamidon	23783-98-4

Additionally, in the prohibited list will be included the obsolete substances list (*to be developed*).

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1b. Agrochemicals Under discussion

For the agrochemicals listed here, their classification status is still under discussion; meaning that it is not yet defined if they will be listed under the prohibited or by any other regulated list.

	Name	CAS RN	WHO Ia	WHO Ib	GHS cancer 1A/1B	GHS muta 1A/1B	GHS repro 1A/1B	Severe Effects	EU EDC (1) or C2 & R2 GHS	Rotterdam Convention	Stockholm Convention	Montreal Protocol
1	Acephate	30560-19-1										
2	Aluminum phosphide	20859-73-8						X				
3	Amitraz	33089-61-1										
4	Borax	1303-96-4					X					
5	Boric acid	10043-35-3					X					
6	Brodifacoum	56073-10-0	X				X					
7	Bromadiolone	28772-56-7	X				X					
8	Bromethalin	63333-35-7	X									
9	Bromoxynil butyrate	3861-41-4										
10	Cadusafos	95465-99-9		X								
11	Carbaryl	63-25-2							X			
12	Carbendazim	10605-21-7				X	X					
13	Chlorfenapyr	122453-73-0										
14	Chlorophacinone	3691-35-8	X				X					
15	Chlorotoluron	15545-48-9							X			
16	Chlozolinate	84332-86-5										
17	Clothianidin	210880-92-5						X				
18	Coumatetralyl	5836-29-3		X			X					
19	Cyhalothrin	68085-85-8										
20	Cyhexatin	13121-70-5										
21	Daminozide	1596-84-5										
22	Dicofol	115-32-2										
23	Difethialone	104653-34-1	X				X					
24	Dimethenamid	87674-68-8										
25	Dimoxystrobin	149961-52-4							X			

26	Diphacinone	82-66-6	X									
27	Endosulfan I (alpha)	959-98-8								X	X	
28	Epoxiconazole	133855-98-8					X		X			
29	Ethoprophos	13194-48-4	X									
30	Ethylene dibromide	106-93-4			X					X		
31	Ethylene dichloride	107-06-2			X					X		
32	Fenamiphos	22224-92-6		X								
33	Fenbutatin oxide	13356-08-6										
34	Fenthion	55-38-9										
35	Fentin acetate	900-95-8							X			
36	Fentin hydroxide	76-87-9							X			
37	Fenvalerate	51630-58-1										
38	Ferbam	14484-64-1										
39	Fipronil	120068-37-3						X				
40	Flocoumafen	90035-08-8	X				X					
41	Flusilazole	85509-19-9					X					
42	Formaldehyde	50-00-0										
43	Glufosinate-ammonium	77182-82-2					X					
44	Haloxyp-P	95977-29-0										
45	Imidacloprid	138261-41-3						X				
46	Magnesium phosphide	12057-74-8						X				
47	Maleic hydrazide	123-33-1										
48	Molinate	2212-67-1							X			
49	Monolinuron	1746-81-2										
50	Nonylphenol ethoxylate 1	68412-54-4										
51	Nonylphenol ethoxylate 2	26027-38-3										
52	Nonylphenol ethoxylate 3	37205-87-1										
53	Nonylphenol ethoxylate 4	127087-87-0										
54	Nonylphenol ethoxylate 5	9016-45-9										

55	Nonylphenol ethoxylates											
56	Oxamyl	23135-22-0		X								
57	PCNB (Quintozene)	82-68-8										
58	Permethrin	52645-53-1										
59	Phosalone	2310-17-0										
60	Phosphine	7803-51-2						X				
61	Profoxydim	139001-49-3							X			
62	Propham	122-42-9										
63	Pyrazophos	13457-18-6										
64	Pyriminil											
65	Quizalofop-P-tefuryl	119738-06-6					X					
66	Simazine	122-34-9										
67	Strychnine	57-24-9		X								
68	Sulfluramid	4151-50-2								X	X	
69	Technazene	117-18-0										
70	Tepraloxym	149979-41-9							X			
71	Terbufos	13071-79-9	X									
72	Thiamethoxam	153719-23-4						X				
73	Thiodicarb	59669-26-0										
74	Thiourea	62-56-6							X			
75	Triazamate	112143-82-5										
76	Tributyl tin compounds								X			
77	Tributyltin benzoate	4342-36-3										
78	Tributyltin chloride	1461-22-9										
79	Tributyltin fluoride											
80	Tributyltin linoleate	24124-25-2										
81	Tributyltin methacrylate	2155-70-6										
82	Tributyltin naphthenate	85409-17-2										
83	Tributyltin oxide	56-35-9										
84	Tridemorph	81412-43-3					X					

85	Triflumizole	68694-11-1					X					
86	Triorganostannic compounds other than tributyltin compounds								X			
87	Warfarin	81-81-2		X			X					
88	Zinc phosphide	1314-84-7		X								
89	Zineb	12122-67-7							X			