

# GENERAL GUIDE

## For the Implementation of the Rainforest Alliance Sustainable Agricultural Standard

*Version 1*



**RAINFOREST  
ALLIANCE**



### Translation Disclaimer

For any question related to the precise meaning of the information contained in the translation, please refer to the official English version for clarification. Any discrepancies or differences in meaning due to translation are not binding and have no effect for auditing or certification purposes.

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Certificate Holders			
<b>Country/Region:</b>			
All			
<b>Crop:</b>		<b>Type of Certification:</b>	
All crops in the scope of the Rainforest Alliance certification system; please see Certification Rules.		Farm and Supply Chain Certification	



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## OBJECTIVE

This General Guide aims to assist Certificate Holders with the implementation of the Rainforest Alliance Sustainable Agriculture Standard by providing clarifications to interpret the requirements and the evidence required for compliance.

This Guide is meant to be a supplementary overall guidance developed to support Certificate Holders in their process of implementing the standard. This Guide is not intended to be used as a checklist. Rainforest Alliance Guidance documents are not binding and do not replace the standard and annexes which are binding.

This guide is not intended to be a static document. It may be updated based on the experience and further learnings gained during the implementation of the standard.

## SCOPE

Farm and Supply chain requirements.



## HOW TO USE THE GENERAL GUIDE

The General Guide includes the following content for each of the requirements of the Standard:

- a) Guidance on applicability
- b) Purpose
- c) Implementation guidance
- d) Evidence and indicators
- e) Annexes and other references

<p>Number and type of requirement</p>	<p>The first field of each requirement indicates the number and type of requirement depicted with a particular color the same way that is depicted in the standard.</p> <table border="1" data-bbox="435 719 1385 1041"> <tr> <td><b>Mandatory (Core) Requirement</b></td> <td>Always has to be complied with</td> </tr> <tr> <td><b>Mandatory Improvement L1</b></td> <td>To be complied with after the first three years of certification</td> </tr> <tr> <td><b>Mandatory Improvement L2</b></td> <td>To be complied with after the first six years of certification</td> </tr> <tr> <td><b>Mandatory Smart Meter</b></td> <td>To be measured every year, from the first year of certification</td> </tr> <tr> <td><b>Self-selected Requirement</b></td> <td>Not mandatory at any time, can be chosen at any time</td> </tr> </table>	<b>Mandatory (Core) Requirement</b>	Always has to be complied with	<b>Mandatory Improvement L1</b>	To be complied with after the first three years of certification	<b>Mandatory Improvement L2</b>	To be complied with after the first six years of certification	<b>Mandatory Smart Meter</b>	To be measured every year, from the first year of certification	<b>Self-selected Requirement</b>	Not mandatory at any time, can be chosen at any time
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<b>Self-selected Requirement</b>	Not mandatory at any time, can be chosen at any time										
<p>Guidance on applicability</p> 	<p>The guidance on applicability indicates the type of certificate holder to which the requirement applies by using icons as follows:</p> <p> <b>Small farms:</b> Each member of a group has to comply with these requirements.</p> <p> <b>Large farms:</b> Each large farm in the group has to comply with these requirements.</p> <p> <b>Group management:</b> Group management is responsible for implementation of these requirements for the group members.</p> <p> <b>Individual certification:</b> Small or large farms that are certified individually have to comply with these requirements.</p> <p> <b>Supply chain:</b></p> <p>When an icon is in watermark (e.g. ), it means the requirement is not applicable to that particular Certificate Holder. Furthermore, in some requirements specific guidance is provided when further clarification on the applicability is needed.</p>										



<p>Purpose</p> 	<p>The purpose indicates the aim and principle behind the requirement. This helps to give clarity about the reason why certain requirement is in place, in other words, the intention behind a requirement.</p>
<p>Implementation guidance</p> 	<p>The implementation guidance describes what needs to be implemented to comply with the requirement. It also includes clarifications of compliance and when possible, examples to assist Certificate Holders with the implementation of the requirement. It is important to notice that not all the requirements need clarifications or further information, and therefore not for all the requirements there is implementation guidance.</p>
<p>Evidence and Indicators</p> 	<p>The Evidence and indicators aim to give further direction about what needs to be in place in order to demonstrate compliance with the standard.</p>
<p>Annexes and other references</p> 	<p>In this section the Annexes and other references such as specific guidance documents are included. These are included to further assist in the implementation of the particular requirement</p>

## Glossary

Terms that are underlined in this Guide are defined in [Annex S1: Glossary](#). It is important to consult this Annex to better understand the meaning and interpretation of the requirements.



CHAPTER 1

# MANAGEMENT



1.1 MANAGEMENT	
1.1.1	GROUP MANAGEMENT COMMITMENT
Guidance on applicability 	
Purpose 	Group has the capabilities and resources to be compliant with the standard and improve their sustainability performance
Implementation guidance 	<ul style="list-style-type: none"> <li>• The Group fills in the Management Capacity Assessment Tool for the corresponding level at least once every three years.</li> <li>• <u>Group Management</u> ensures that there are enough resources available (e.g., people, skills, tools, equipment, materials) to score a minimum of one point on each of the seven topics of the Management Capacity Assessment Tool.</li> <li>• The Group Management answers the questions in the tool by drawing on available documentation of policies and procedures in place and skills and capacities of staff and group members, taking into consideration their particular context, complexity, scope, and size of the Group.</li> <li>• The Group Management uses the outcome of the Capacity assessment to develop the Management Plan (1.1.2) by including actions to address gaps in capacity identified in the tool</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Answers of the tool are based on records and group documentation</li> <li>✓ the tool indicates scoring and shows gap(s) in implementation.</li> </ul>
Annexes and other references 	Annex S2: Management Capacity Assessment Tool Guidance Document A: How to use the Management Capacity Assessment Tool
1.1.2	GROUP'S MANAGEMENT PLAN
Guidance on applicability 	
Purpose 	This smart meter principle is to assess improvement of management capacity over time, shown by improved scores of the Management Capacity Assessment Tool. The goal is to reach a 100% (score).



<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>Based on the scores of the Management Capacity Assessment Tool, <u>Group Management</u>:             <ul style="list-style-type: none"> <li>Identifies areas that need improvement.</li> <li>Include actions to reduce gaps in the <u>Management Plan</u>.</li> <li>Monitors that <u>management</u> capacities are improving over time until it reaches 100% (Score).</li> <li>Adapts the actions when needed.</li> </ul> </li> <li>The <u>Group Management</u> updates the <u>Management Plan</u> yearly, using the tool.</li> <li>The <u>Group Management</u> draws on documentation of training conducted, updated policies and procedures, and evidence of other actions implemented to answer the questions in the assessment tool.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The Management Capacity Assessment Tool is regularly updated to measure improvement</li> <li>✓ The Management Plan and corresponding monitoring records are kept</li> <li>✓ Improvement actions are included in the Management Plan</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance Document B: Template of Management Plan</p>

1.1.3	MANAGEMENT PLAN SUPPLY CHAINS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<ul style="list-style-type: none"> <li>The company has a management system that addresses the implementation of all applicable supply chain requirements to ascertain product integrity and credibility of claims.</li> </ul>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>The certificate holder develops a <u>Management Plan</u> and ensures that:             <ul style="list-style-type: none"> <li>The documented procedures cover all the operations and processes which apply to the scope of the certificate holder. This also includes subcontracted operations and processes.</li> <li>Procedures are implemented, and records are kept.</li> </ul> </li> <li>The Management Plan is updated every year. Any change in processes, procedures, product claims, or certification scope is considered when updating it.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ There is a documented Management Plan.</li> <li>✓ All procedures are documented, and implementation records are kept.</li> </ul>
<p>Annexes and other references</p> 	



1.1.4	RESPONSIBLE BUSINESS CONDUCT
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Companies recognize their responsibility and commit to doing human rights and environmental due diligence. This means ensuring that human rights and the environment are respected within their <u>supply chains</u> and own operations.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>○ The Supply Chain certificate holder considers the OECD Guidelines when drafting their policies and commits to comply with them.</li> <li>○ Management identifies the potential direct and indirect risks to human rights and the environment in the supply chain and used this analysis to develop policies to prevent and address potential negative impacts of their activities. This can be done by engagement in supply chain or sector platforms</li> <li>○ Management ensures that the responsibility for implementation and oversight of these policies is assigned to senior management.</li> <li>○ The policy(ies) for ensuring <u>responsible business conduct</u>:             <ul style="list-style-type: none"> <li>○ Contain expectations regarding responsible business conduct for the company's own business activity and that of its supply chain partners. This includes:                 <ul style="list-style-type: none"> <li>▪ Compliance with applicable, national and/or regional laws as specified in this requirement,</li> <li>▪ Traceability and accounting of certified and conventional volumes and</li> <li>▪ Existence of a grievance mechanism (required in 1.5.1)</li> </ul> </li> <li>○ Are updated based on assessment, prioritization, and mitigation of the potential negative impacts of their activities.</li> <li>○ Are communicated to personnel, supply chain, and other business partners.</li> <li>○ Are publicly available e.g. on the company's website.</li> </ul> </li> <li>○ The policy articulates an expectation towards these parties but may not lead to immediate disengagement in the case of non-compliance. Rather, it should lead to increased engagement to address risks or cases of adverse impacts identified.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of internal dissemination to relevant staff e.g. records of staff orientation sessions or trainings.</li> <li>✓ Records of external dissemination through contracts, written agreements, codes of conduct or any other means in business relationships.</li> <li>✓ The policies itself.</li> <li>✓ References are made to the OECD Guidelines for Multinational Enterprises and/or the OECD Due Diligence Guidance for Responsible Business Conduct and/or the UN Guiding Principles for Business and Human Rights.</li> <li>✓ A senior Manager is assigned responsibility for the implementation and oversight of these policies.</li> </ul>
<p>Annexes and other references</p>	<p>see the model policy for responsible agricultural supply chains in: <a href="https://www.oecd.org/daf/inv/investment-policy/rbc-agriculture-supply-chains.htm">https://www.oecd.org/daf/inv/investment-policy/rbc-agriculture-supply-chains.htm</a>. Page 25-29.15</p>



1.2 ADMINISTRATION	
1.2.1	COMPLIANCE WITH NATIONAL LAWS
Guidance on applicability 	
Purpose 	The producer/Management understands which law(s) and Collective Bargaining Agreements CBA(s) are applicable to their certified crop(s) and context, complies with them, and can interpret the standard against this knowledge.
Implementation guidance 	<ul style="list-style-type: none"> <li>• Management:               <ul style="list-style-type: none"> <li>◦ Identifies the <u>applicable laws</u> and collective bargaining agreements (CBA) within the scope of the standard. Applicable law: includes local, county, province, state, or national law which has been integrated into or legally deemed superior to national law by a state's signing of an international treaty.</li> <li>◦ Has a mechanism for documenting applicable laws to facilitate compliance. These may consist of but are not restricted to lists, tables, charts, matrixes showing applicable Laws per requirement, and compendiums.</li> </ul> </li> <li>• When the requirement of the Standard is more stringent than the applicable law/CBA, the producer/management is compliant with the requirement of Standard</li> <li>• When the applicable law/CBA is more stringent than the requirement of the Standard, the producer/management is compliant with the applicable law/CBA</li> <li>• In cases when the standard requirement is not applicable. (E.g., not applicable to small farms), national law may still apply. CHs shall always be in compliant with applicable laws.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Documentation is available indicating which laws and/or CBAs apply, and references made to requirements in the standard.</li> <li>✓ Monitoring data.</li> </ul>
Annexes and other references 	

1.2.2	SERVICE PROVIDERS COMPLIANCE
Guidance on applicability 	 <p>As defined in the standard, this requirement does not apply to <u>service providers</u> hired by group members with small farms. However, it does apply for Large farms that are part of a Group and those individually certified.</p> <p>Service providers are out of the scope of supply chain actors. Therefore, this requirement does not apply to them.</p>



<p>Purpose</p> 	<p><u>Service providers</u> also comply with applicable requirements of the Rainforest Alliance Standard to ensure all those who work on certified farms are compliant</p>
<p>Implementation guidance</p> 	<p><u>Service providers</u> are organizations or individuals contracted by management or producer to carry out specific tasks included in the scope of their Rainforest Alliance certification. This means those service providers that work on-field activities, processing activities, and/or labor provision within the physical limits of the farm. e.g. <i>pesticide application, waste treatment, transport of products, providers for worker housing (when provided by the CH), providers of fuelwood, timber, labor providers/brokers/ recruiters.</i></p> <ul style="list-style-type: none"><li>• Service providers are out of the scope of supply chain actors</li><li>• The difference between service providers and subcontractors is that service providers do not carry out specific operations on the certified product, such as processing, packaging and/or labeling.</li><li>○ Certificate holders:<ul style="list-style-type: none"><li>○ keep a list of its service providers indicating the tasks they perform.</li><li>○ Analyze the potential risks associated with the service provider's activities to identify potential negative impacts of their services to personnel delivering services or to the environment.</li><li>○ Identify the specific requirements service providers should comply with, based on the scope of their services. E.g., a company providing pesticide spraying services shall demonstrate that they comply with all requirements related to IPM, pesticide handling, and worker's health and safety.</li><li>○ Ensure that service providers have procedures in place to comply with the requirements in the standard for the scope of their services.</li><li>○ Monitor compliance of service providers on a periodic basis. This can be done through internal inspections, site visits etc.</li></ul></li></ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"><li>✓ An updated list of providers and description of their service.</li><li>✓ Monitoring data on the implementation of the service</li><li>✓ Verification of a mechanism in place to assess service providers' compliance (internal inspections, monitoring reports, accreditations, etc.).</li></ul>
<p>Annexes and other references</p> 	



1.2.3	LIST OF SUBCONTRACTORS AND SUPPLIERS
Guidance on applicability 	
Purpose 	Certified products are handled only by those subcontractors and suppliers that are compliant with certification rules.
Implementation guidance 	<p><u>Subcontractors</u> are organizations or individuals contracted to carry out one or more specific operations on the certified product. For example, processing, storing, packaging, and/or labeling products.</p> <ul style="list-style-type: none"> <li>○ The Certificate holder has an up-to-date record of all <u>subcontractors</u> that do processing, storing, packaging, labeling products, or any other operation on the certified product.</li> <li>○ There is documentation showing how the compliance of the <u>subcontractors</u> is verified.</li> <li>○ Farms that buy from other farms ensure the availability of a record of suppliers and copies of their certificates.</li> <li>○ All <u>subcontractors</u> must be reported in the traceability platform, so that the certificate holder can identify the applicable requirements.</li> <li>○ For independently certified <u>subcontractors</u> and suppliers, copies of their certificates or the reference numbers of those should be available.</li> <li>○ For those not independently certified, the certificate holder ensures the compliance of <u>subcontractors</u> and/or suppliers by monitoring that procedures and practices comply with the standard, for example, by means of an audit.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ List of suppliers of certified products, including reference to certificate number or copy of the certificate and validity date.</li> <li>✓ List of subcontractors, and proof of compliance to certification rules. Two options are available:               <ol style="list-style-type: none"> <li>1) They are included in the scope of the CH's certification</li> <li>2) They have obtained compliance independently (certificate)</li> </ol> </li> </ul>
Annexes and other references 	

1.2.4	GROUP MEMBERS REGISTRY
Guidance on applicability 	
Purpose 	Group Management keeps up-to-date records of group members to accurately describe their production and compliance with standard requirements.



<p>Implementation guidance</p> 	<p>There is a template that can be used for group member's registry.</p> <ul style="list-style-type: none"> <li>Group Management and group staff have a system in place to: <ul style="list-style-type: none"> <li>Register members.</li> <li>Keep the information up-to-date.</li> <li>Verify the quality of the data, for example, by doing spot checks.</li> <li>Ensure that group staff has the competencies and resources to cross-check the data collected.</li> </ul> </li> <li>Where possible, the registry of <u>group members</u> is digitalized to improve data management, monitoring, and data quality. For members that have more than one farm unit, it is possible to keep data of workers as one entry in the group member's registry</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The Group Management has a system in place to record and monitor the registry of members.</li> <li>✓ Data registry is kept up-to-date, accurate and underlying documentation is retained.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see Annex S13: Group Member Registry Please see Guidance Document P: How to use the Group Member Registry</p>

1.2.5	LIST OF PERMANENT AND TEMPORARY WORKERS
<p>Guidance on applicability</p> 	 <ul style="list-style-type: none"> <li>Group members with only family labor or who hire fewer than 5 workers, are not required to collect all the specified data. For these group members requirement 1.2.6 applies.</li> <li>For supply chain certification, this requirement is only applicable to those certificate holders that present a high risk in social topics and therefore, must comply with the requirements in chapter 5.</li> </ul>
<p>Purpose</p> 	<p>An up-to-date record of workers is kept to <u>help Management monitor and address</u> human rights and labor rights risks such as age, working conditions, living conditions.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>The certificate holder has a list of permanent and <u>temporary workers</u>. The list includes: <ul style="list-style-type: none"> <li>Full name, <u>gender</u>, year of birth, employment start and end date (s), and <u>wages</u></li> <li>Data on <u>housing</u> as specified in this requirement where applicable.</li> <li>Data on <u>young workers</u> as specified in the requirement where applicable.</li> </ul> </li> <li>The certificate holder has a system in place to: <ul style="list-style-type: none"> <li>Ensure that records are updated regularly, including in periods when there is an influx of hired <u>workers</u>.</li> </ul> </li> <li>Where possible the registry of <u>workers</u> is digitalized to improve the quality of data management.</li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ An up-to-date list of permanent and temporary workers</li> <li>✓ Data registry is complete and supporting documents kept.</li> </ul>
<p>Annexes and other references</p> 	

<b>1.2.6</b>	<b>LIST OF PERMANENT AND TEMPORARY WORKERS</b>
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<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>An up-to-date record of workers is kept to help producers and management monitor and address human rights and labor rights risks such, e.g., age, working conditions, living conditions.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Small farms within a group shall have an up-to-date list of <u>permanent</u> and <u>temporary workers</u> with their name, gender, year of birth, and wages.</li> <li>• The list of workers does not need to be digitalized, and in the case of illiterate group members, it is sufficient if the small group member gives the information orally about the workers they hire.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Updated list of permanent and temporary workers,</li> <li>✓ records of the oral information given concerning the workers in case of illiterate group members.</li> </ul>
<p>Annexes and other references</p> 	



1.2.7	INFORMATION TO WORKERS AND GROUP MEMBERS IN THEIR PREDOMINANT LANGUAGE
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>All <u>workers/members</u> should be able to understand the information received from management.</p>
<p>Implementation guidance</p> 	<p>The certificate holder:</p> <ul style="list-style-type: none"> <li>• Identifies the <u>workers'</u> or group members' ethnicity and local dialects to ensure workers can understand the information. This is particularly important in contexts where there is a high diversity of languages.</li> <li>• Identifies what information must be communicated to <u>group members</u> or workers and the specific language needed.</li> <li>• Identifies appropriate ways to communicate to the different groups in ways they will understand (e.g., using speakers of local languages, translated documents, pictures etc.).</li> <li>• Keep records of communications with workers.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ List of communication channels, forms, and documents used to communicate with workers and group members.</li> </ul>
<p>Annexes and other references</p> 	



1.2.8	AGREEMENT BETWEEN GROUP AND GROUP MEMBER
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p><u>Group</u> members are aware of their rights and duties when joining the certification program.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The <u>Group Management</u> ensures : <ul style="list-style-type: none"> <li>○ An agreement between the Group and each member which specifies the rights and obligations to join the Rainforest Alliance certification program.</li> <li>○ The agreement is signed by both Group Management and the member (members who cannot sign may mark the agreement with a fingerprint).</li> <li>○ A copy of the agreement is provided to each group member.</li> <li>○ Original signed agreements are archived safely and can be retrieved easily.</li> <li>○ Explanations on the agreement are provided to members where needed.</li> </ul> </li> <li>• The <u>Group members</u>: <ul style="list-style-type: none"> <li>○ Should be able to explain their obligations and rights, including that:</li> <li>○ By signing the agreement, they accept having internal inspections, external audits, and sanctions in case of non-compliance.</li> <li>○ They guarantee that any product sold as <u>certified</u> comes only from their farm.</li> <li>○ They are aware of their right to appeal decisions made by Group Management in cases where they believe the decisions are not justified (e.g., in case of exclusion from the group) and will use the <u>grievance</u> procedure for this purpose</li> </ul> </li> <li>• Each member keeps a copy of the agreement and can show it during the audit.</li> <li>• In cases where farm owners have sharecroppers or caretakers of the farm, it is important that both parties understand rights and obligations and can explain these.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ A signed (or marked) agreement is filed at the management office.</li> <li>✓ A copy of the agreement with the group member</li> <li>✓ The group members can explain the content of the agreement.</li> </ul>
<p>Annexes and other references</p> 	



1.2.9	RECORD KEEPING FOR FARM AND SUPPLY CHAIN ACTORS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Good record keeping serves management to keep traceability and integrity of the product</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Certificate holders ensure that records for certification purposes and compliance are kept for at least four years.</li> <li>• A filing system has been set up, and measures are taken to prevent digital files from being lost.</li> <li>• The importance of record-keeping is stressed in communication with members.</li> <li>• The record-keeping system is sufficient to keep accurate records of the relevant processes, workflows, and complexity of the certificate's holder's management system.</li> <li>• The CH supports members with tools to keep records. For example, by providing booklets, calendars made of durable material.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records for certification purposes and compliance of the last 4 years are available at the IMS level</li> <li>✓ Group members keep accurate records for the last 4 years</li> </ul>
<p>Annexes and other references</p> 	



1.2.10	MAPS OF FARM (LARGE FARMS) AND FARM AREAS (GROUP OF SMALL FARMS)
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>A better understanding of the <u>farm</u> location and surroundings to support traceability and management of environmental risks</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• For groups with <u>small farms</u>, Group Management has an up-to-date map showing: <ul style="list-style-type: none"> <li>○ The production zones and the farm area where members are located.</li> <li>○ Processing facilities, human habitation areas, schools, medical centres/first aid sites.</li> <li>○ <u>Natural ecosystems</u> (including water bodies and <u>forests</u>, and other existing <u>natural vegetation</u>, <u>riparian buffer zones</u>, <u>agroforestry</u> shade cover, <u>protected areas</u>).</li> <li>○ Risk areas identified in the Farm <u>risk assessment</u> (1.3.1).</li> </ul> </li> <li>• Group Management of Large groups may develop more than one map to reflect the diversity in terms of production zones.</li> <li>• Large farms within a group and individually certified farms have an up-to-date map of the farm with: <ul style="list-style-type: none"> <li>○ All <u>farm units</u>.</li> <li>○ Processing facilities, human habitation areas, schools, medical centers/first aid sites.</li> <li>○ <u>Natural ecosystems</u> (including water bodies and <u>forests</u>, and other existing <u>natural vegetation</u>, <u>riparian buffer zones</u>, <u>agroforestry</u> shade cover, <u>protected areas</u>).</li> <li>○ <u>Risk</u> areas identified in the <u>Farm risk assessment</u> (1.3.1).</li> </ul> </li> <li>• The maps: <ul style="list-style-type: none"> <li>○ Cannot be developed using a sketch.</li> <li>○ Are up-to-date, meaning they correspond with the reality</li> <li>○ Should mention the dates when the map was made, and the last time it was revised.</li> <li>○ Include the legend and a north arrow to show the true magnetic north.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Map exists and mentions the latest update</li> <li>✓ Map is sufficiently detailed and comprehensible</li> </ul>
<p>Annexes and other references</p> 	<p>Please see the <i>Guidance Document C: Step By Step Guide On How To Create A Farm Map</i></p>



1.2.11	SKETCHES OF FARMS
<p>Guidance on applicability</p> 	 <p>This requirement is only applicable to small farms in a group. For large farms in a group, the requirement 1.2.10 applies.</p>
<p>Purpose</p> 	<p>A better understanding of the farm location and surroundings to support traceability and management of environmental risks</p>
<p>Implementation guidance</p> 	<p>Group members have a sketch of the farm available.</p> <ul style="list-style-type: none"> <li>• The sketch: <ul style="list-style-type: none"> <li>○ Includes the <u>certified</u> crop area. If different areas of the farm have been planted at different times such as for the purpose of renovating the planting material, this should be made visible.</li> <li>○ Includes <u>forests</u>, water bodies and buildings within the farm and its surroundings.</li> <li>○ It is updated when significant changes occur. For example: if there are changes in the certified area, or the group member decides to sell or acquire land, this should be depicted in the sketch.</li> <li>○ Includes a short legend of what can be seen in the drawing and a north arrow to show the true magnetic north.</li> </ul> </li> </ul> <p>Group members may use a base-map of the region from a public source satellite, google, governmental institutions, among other sources, to develop their sketches.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Sketch exists and mentions the latest update</li> <li>✓ Sketch is sufficiently detailed and comprehensible</li> </ul>
<p>Annexes and other references</p> 	

1.2.12	GEOLOCATION DATA FOR 100% OF FARMS IN A GROUP AND POLYGONS FOR (10%) OF FARMS
<p>Guidance on applicability</p> 	 <p>This requirement is not applicable for Large farms in a group and individually certified farms. For those, a polygon must be available according to 1.2.13.</p>
<p>Purpose</p> 	<p>Accurate Geolocation data is available for 100% of the farms, and at least 10% of the farms have polygons to improve the quality of data for traceability and management of environmental risks</p>



<p>Implementation guidance</p> 	<p>The Group Management:</p> <ul style="list-style-type: none"><li>• Provides 100% <u>geolocation data</u> of farms as follows:<ul style="list-style-type: none"><li>○ 90% of the provided data should be in the form of points taken at the center of the largest <u>farm unit</u> with the <u>certified</u> crop for each group member.</li><li>○ For at least 10% of the farms, the geolocation data shall be provided in the form of a GPS <u>polygon</u> of the biggest farm units. The 10% is calculated from the total number of farms and not the farm units. <i>E.g., in a group of 200 farmers, the CH shall collect GPS points for 180 farmers (collecting the data in the largest farm unit with the certified crop), and Polygons for 20 farmers (Making the polygons of their biggest farm units).</i></li></ul></li><li>• The geolocation data shall be collected as follows:<ul style="list-style-type: none"><li>○ The coordinates are taken in the center of the farm unit.</li><li>○ The coordinates are reported in latitude and longitude coordinates.</li><li>○ The coordinates are in decimal degrees format with 4 decimals (i.e. Latitude: 9.7611; Longitude: -84.1872).</li><li>○ The decimal degree coordinates have the correct (+/-) sign.</li><li>○ The decimal point is represented by a dot and not a comma (i.e. 4.3546 and not 4,3546).</li><li>○ The coordinates are stored in number format and do not include any non-numerical characters such as the degrees symbol (°).</li></ul></li></ul> <p>Certificate holders can follow the step by step guidance for collecting geolocation data in <i>Guidance D: Geolocation Data requirements and Risk map</i></p> <p>Group Management submits the geolocation data with the Group member Registry in the Rainforest Alliance certification platform at least 5 weeks before the audit takes place.</p> <p>With these data, Rainforest Alliance develops the risk maps that are used during the certification process. The maps inform both the auditor and the certificate holder about the risks of having members in deforested areas (see 6.1.1), and the risk of encroachment into a protected area (6.1.2).</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"><li>✓ Data exist and are available in the required format requested by the Rainforest Alliance.</li><li>✓ Members and inspectors understand the difference between farm and farm unit(s) when collecting geospatial data.</li><li>✓ The member and inspectors also know how to identify the largest farm unit.</li></ul>
<p>Annexes and other references</p> 	<p>Please see guidance document D: Geolocation Data requirements and Risk maps</p>



1.2.13	GEOLOCATION DATA FOR LARGE FARMS IN A GROUP AND INDIVIDUALLY CERTIFIED FARMS
<p>Guidance on applicability</p> 	 <p>This requirement does not apply to small farms in a group. For small farms in a group, requirement 1.12 and the Mandatory improvement requirements are 1.2.14 L1 and 1.2.15 L2.</p>
<p>Purpose</p> 	<p>Geolocation data for all farm units is in the form of a polygon to improve the quality of data for traceability and management of environmental risks</p>
<p>Implementation guidance</p> 	<p>For Large farms in a group and farms certified independently, geolocation data must be provided in the form of a <u>polygon</u>.</p> <ul style="list-style-type: none"> <li>• The certificate holder ensures that the <u>polygon</u> includes all farm units. This means all agricultural and non-agricultural land with buildings, facilities, water bodies, and other features.</li> <li>• It is possible to make the maps with GPS devices like Google Maps, Google Earth, BaseCamp (Garmin free software), or any standard GIS where boundaries can be seen on satellite imagery.</li> <li>• If satellite imagery is used, it is recommended to double-check the accuracy of the data collecting reference location points in the field and use them to draw the farm/farm unit <u>polygons</u>. In addition, quality checks of data shall be in place to guarantee accuracy and ensure data provided to Rainforest Alliance coincides with the actual farm/farm units.</li> </ul> <p>Certificate holders can follow the step by step guidance for collecting geolocation data in <i>Guidance D: Geolocation Data requirements and Risk maps</i></p> <p>Certificate holders submit up-to-date <u>polygons</u> of the large farms in the Rainforest Alliance certification platform before the audit takes place.</p> <p>With these data, Rainforest Alliance develops the risk maps used during the certification process to inform the auditor and the certificate holder about the risks of having members in deforested areas (see 6.1.1) and the risk of encroachment into a protected area (6.1.2).</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Polygon Data is available in the required format requested by Rainforest Alliance.</li> <li>✓ Members and inspectors (if applicable) can explain the process for collecting polygon data at the farm unit level.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see guidance document D: Geolocation Data requirements and Risk maps</p>



1.2.14 L1	GEOLOCATION DATA FOR 100% OF FARM UNITS AND POLYGONS FOR (30%) OF FARMS
<p>Guidance on applicability</p> 	 <p>This requirement is not applicable for Large farms in a group and individually certified farms. For them, a polygon shall always be available.</p>
<p>Purpose</p> 	<p>Group Management improves data collection over time. At L1 (3years), 100% of geodata for all farm units is available, and at least 30% is in the form of polygons. Group Management needs to show yearly progress.</p>
<p>Implementation guidance</p> 	<p>Group Management continues to improve the collection of geolocation data over time. To reach L1 in 3 years, 100% of farm units have geolocation, and at least 30% have this data in the form of a <u>polygon</u>. The 30% is calculated from the total number of farm units and not the 30% of the farms.</p> <ul style="list-style-type: none"> <li>• Certificate holders may spread the collection of polygon data over the years leading up to the certification audit.</li> <li>• Group Management shall: <ul style="list-style-type: none"> <li>○ Include in their management plan how to reach target in year 3.</li> <li>○ Monitor implementation of geolocation data collection.</li> <li>○ Calculate yearly the % of <u>farm units</u> with polygons after the internal inspections.</li> <li>○ Submit accurate geolocation data during registration and before the certification and surveillance audit.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Implementation is included in the management plan</li> <li>✓ Data exist and are available in the required format requested by the Rainforest Alliance.</li> </ul>
<p>Annexes and other references</p> 	

1.2.15 L2	POLYGONS FOR 100% OF THE FARM UNITS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Group Management improves data collection over time. At L2 (6years) 100% of geodata is available for all farm units in the form of polygons. Group Management needs to show yearly progress.</p>



<p>Implementation guidance</p> 	<p>Group Management ensures that 100% of the <u>farm units</u>' geolocation data is in the form of a <u>polygon</u>.</p> <ul style="list-style-type: none"> <li>• Certificate holders may spread the collection of the <u>polygon</u> data over the years reaching the target of 100% in year 6.</li> <li>• Group Management: <ul style="list-style-type: none"> <li>○ Demonstrates yearly progress on the indicators, corresponding to the target 100% of the <u>farm units</u> to be reached in year 6.</li> <li>○ Calculates yearly the % of farm units with <u>polygons</u> after the internal inspections.</li> <li>○ Submits clear data during registration and before the certification and surveillance audit.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Data exist and are available in the required format requested by the Rainforest Alliance.</p>
<p>Annexes and other references</p> 	

1.2.16	TRAINING OF WORKERS IN THE IMPLEMENTATION OF THE SC MANAGEMENT PLAN
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Responsible staff and <u>workers</u> receive adequate training to support the effective implementation of the supply chain management system.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The certificate holder: <ul style="list-style-type: none"> <li>○ Identifies the necessary knowledge and skills needed per staff/worker category to implement the Supply chain management plan.</li> <li>○ Ensures that all relevant personnel is sufficiently trained to carry out their duties.</li> <li>○ Keeps a list of <u>workers</u> who have been trained. The list should contain the names, functions, and descriptions of the function and the corresponding topics in which workers have been trained.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documented list of staff involved with the handling of the Rainforest Alliance certified product.</li> <li>✓ Training records and materials that document the training of relevant staff in applicable parts of the management system.</li> <li>✓ Staff can demonstrate that they received training and apply relevant skills and knowledge to their tasks.</li> </ul>



<p>Annexes and other references</p> 	
<p><b>1.2.17</b></p>	<p><b>LIST OF SITES TO BE INCLUDED ON THE SCOPE OF MULTI-SITES</b></p>
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p><u>Multi-site</u> administrators keep records of all sites included in their certificate or consent forms for sites not under common ownership to manage compliance across multiple sites better</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The <u>multi-site</u> administrator maintains a list of the different <u>sites</u> that form part of the certificate, including subcontracted units.</li> <li>• The list includes for each site:             <ul style="list-style-type: none"> <li>○ Risk assessment result,</li> <li>○ Addresses,</li> <li>○ <u>Scope</u> of activities,</li> <li>○ <u>Workers</u> are responsible for the implementation of supply chain requirements at that site.</li> </ul> </li> <li>• When applicable, the <u>multi-site</u> administrator shall have consent forms for <u>sites</u> not under common ownership.</li> <li>• The consent forms shall indicate:             <ul style="list-style-type: none"> <li>○ The rights and obligations to comply with the standard,</li> <li>○ The <u>scope</u> of work.</li> </ul> </li> <li>• All required documentation for the different <u>sites</u> is up-to-date and available in a central location.</li> <li>• It is recommended that the <u>multi-site</u> administrator ensures an effective communication flow with all workers responsible for the implementation of the standard in the different <u>sites</u> to monitor compliance and identify any deviation from what is required in a timely manner.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ A record of the list of sites in the scope of the certificate is kept.</li> <li>✓ The list includes all the required information.</li> <li>✓ Consent forms are available for sites not under common ownership.</li> </ul>
<p>Annexes and other references</p> 	



1.3 RISK ASSESSMENT AND MANAGEMENT PLAN	
1.3.1	RISK ASSESSMENT
<p>Guidance on applicability</p> 	 <ul style="list-style-type: none"> <li>• For groups, it is the Group Management who is responsible to carry out the <u>risk assessment</u> on behalf of the small farms in the Group.</li> <li>• For Large farms in the Group, a <u>risk assessment</u> for each farm is required.</li> <li>• For large groups, it is recommended to carry out the <u>risk assessment</u> with input from the diverse regions and contexts to ensure the assessment covers all <u>risks</u> and effective mitigation measures are identified.</li> </ul>
<p>Purpose</p> 	<p>Management identifies and assesses risks and defines measures to address these risks to comply with the standard and improve sustainability performance.</p>
<p>Implementation guidance</p> 	<p>The <u>Risk Assessment</u> tool is obligatory for all certificate holders. However, the measures suggested by the tool are not. These are meant to guide how best to reduce risks. This means certificate holders may use the mitigation measures indicated in the tool or any strategy they deem to be effective to address the identified <u>risks</u>.</p> <ul style="list-style-type: none"> <li>• Certificate holders shall             <ul style="list-style-type: none"> <li>• Perform a <u>risk assessment</u> at least every three years.</li> <li>• Include in the <u>Management Plan</u> all mitigation measures they consider best to reduce the <u>risks</u>.</li> </ul> </li> <li>• It is recommended that management:</li> <li>• Keeps a list of documents and evidence used to prepare the risk assessment.</li> <li>• Involve a dedicated and experienced team to carry out the assessment.</li> <li>• Collects the views of group member , workers, and other stakeholders to make sure different views on the potential <u>risks</u> are included.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The risk assessment has been completed and filed.</li> <li>✓ Supporting documents or records can be shown.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see Annex S3: Risk Assessment Tool</p>



1.3.2	MANAGEMENT PLAN
<p>Guidance on applicability</p> 	 <ul style="list-style-type: none"> <li>The Group Management is responsible for developing the <u>Management Plan</u> for the group members with small farms. This can be a common plan for all small farm's members. However, it is expected that an individual <u>Management Plan</u> is developed for large farms in a group.</li> </ul>
<p>Purpose</p> 	<p>The Management Plan supports management to achieve compliance with the standard and improve sustainability performance by setting targets, identifying necessary activities, planning their implementation and monitoring progress.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>Certificate holders make a <u>Management Plan</u> and update it every year.</li> <li>The <u>Management Plan</u> includes actions identified in: <ul style="list-style-type: none"> <li>The <u>Risk Assessment</u> (1.3.1) E.g., if a farm identifies the risk of erosion, the mitigation measure could be to protect the soil by using cover crops.</li> <li>The self-assessment (1.4.4) E.g. if a lack of PPE for the workers who apply pesticides is detected, an action to purchase PPEs should be included.</li> </ul> </li> <li>For groups, the <u>Management Plan</u> also includes actions identified from: <ul style="list-style-type: none"> <li>The analysis of the gaps in the Capacity Assessment Tool (1.1.1). E.g., if the Group identified a lack of staff to provide trainings, an action to organize a 'train the trainer' should be included to increase the number of trainers.</li> <li>The internal inspections (1.4.1). E.g., if internal inspections show that the percentage of geolocation data has not been reached in time, an action could be to train more people to collect GPS data or make more GPS equipment available.</li> </ul> </li> <li>The <u>Management Plan</u> contains: <ul style="list-style-type: none"> <li>Goals.</li> <li>Actions to achieve the goals.</li> <li>Responsible person(s)/ staff who will implement the actions.</li> <li>Deadline by which the action should be completed.</li> <li>Budget to cover the costs of implementing the actions.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ An up-to-date Management Plan exists.</li> <li>✓ The results of the Risk Assessment, the self-assessment and the Management Capacity Assessment tool are reflected in the plan.</li> <li>✓ Results from Internal inspection reports are reflected in the plan.</li> <li>✓ Monitoring report on progress on implementation of the Management Plan made at least annually.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see Guidance Document B: Template of <u>Management Plan</u></p>



1.3.3	PROVISION OF SERVICES TO GROUP MEMBERS
Guidance on applicability 	
Purpose 	Management offers capacity building and additional technical inputs to members to increase compliance with the standard
Implementation guidance 	<ul style="list-style-type: none"> <li>• The <u>Group Management</u> shall:               <ul style="list-style-type: none"> <li>○ Identify which services are needed based on the <u>Management plan</u> (1.3.2).</li> <li>○ Provide services to their <u>members</u>. This includes training, awareness-raising activities, or any other services. e.g., if according to the <u>Management Plan</u>, there is a need to improve the natural vegetation cover, a service to members may be the provision of native tree species or a nursing facility.</li> <li>○ Document the services that are given to their <u>members</u>.</li> <li>○ Report on the indicators as specified in the requirement.</li> </ul> </li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Records of the training and other services provided to the members.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>* # of training activities provided to members.</li> <li>• Topics of the training activities.</li> <li>• # and % of <u>members</u> attending training activities (M/F).</li> <li>• # and type of services (other than training) provided to <u>members</u>.</li> </ul>
Annexes and other references 	

1.3.4	PROVISION OF SERVICES TO WORKERS
Guidance on applicability 	 <p>This requirement is applicable for individual farms certified independently and Large farms in a group.</p>
Purpose 	Management offers capacity building and any other types of services to workers to improve their working and living conditions and ensure compliance with the standard.
Implementation guidance 	<ul style="list-style-type: none"> <li>• Management:               <ul style="list-style-type: none"> <li>○ Identifies which services are needed based on the Management plan (1.3.2).</li> <li>○ Services can include technical training or awareness-raising activities on topics like living conditions, health etc., or other services e.g., school transport, education materials, housing improvements, food support, etc.</li> <li>○ Document the services that are provided to the <u>workers</u>.</li> </ul> </li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of trainings and other services provided to workers.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• # of training activities provided to <u>workers</u>.</li> <li>• Topics of the training activities.</li> <li>• # and % of <u>workers</u> attending training activities (M/F).</li> <li>• # and type of services (other than training) provided to <u>workers</u>.</li> </ul>
<p>Annexes and other references</p> 	

1.3.5	IN-DEPTH CLIMATE CHANGE FARM RISK ASSESSMENT
<p>Guidance on applicability</p> 	 <ul style="list-style-type: none"> <li>• Group Management carries out the assessment on behalf of the small group members. This can be a general assessment for all small farms, or regional assessments if local contexts differ greatly.</li> <li>• For Large farms in the Group, an individual assessment is required.</li> </ul>
<p>Purpose</p> 	<p>To identify current and future risks to sustainable production due to climate change, and determine the best mitigation actions to reduce these impacts and increase farm resilience.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>○ When this self-selected requirement is chosen the Certificate holder must identify the likely impacts of <u>climate change</u> on the farm using the in-depth climate change <u>risk assessment</u> (Annex S3). The risk assessment guides the CH to assess the level of exposure to different risks, the likely level of impact of these risks, and the farm's adaptation capacity.</li> <li>○ The CH analyses the results of the climate change risk assessment, and identifies mitigation actions to reduce these risks.</li> <li>○ These required mitigation measures are included in the Management Plan</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ In-depth climate change risk assessment completed.</li> <li>✓ Mitigation measures included in the Management Plan.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see Annex S3: Risk Assessment Tool</p>



1.3.6	TRAINING AND SUPPORT ON FINANCIAL KNOWLEDGE
Guidance on applicability 	
Purpose 	The group provides services to support producers to manage the financial sustainability of their farm and improve their livelihood.
Implementation guidance 	<ul style="list-style-type: none"> <li>• <b>Group Management:</b> <ul style="list-style-type: none"> <li>○ Identifies what type of support services <u>members</u> need on financial issues.</li> <li>○ Includes actions to provide these services in the Management Plan (1.3.2).</li> <li>○ Provides training to members on finance, business management and understanding production costs and net income, according to their needs.</li> <li>○ Supports members with access to finance, for instance linking them to micro-finance groups, support to open a bank account, or take out a loan for farm investments.</li> <li>○ Keeps documentation of services delivered, and reports on the number of members who received training and financial services as per the indicators at least annually.</li> </ul> </li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Actions mentioned in the management plan.</li> <li>✓ Records kept of the number of training or support given; content and number of beneficiaries (M/F).</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• # of <u>group members</u> attending training on finance and business management (M/F).</li> <li>• # of <u>group members</u> that have access to financial services (M/F).</li> </ul>
Annexes and other references 	

1.3.7	INCOME DIVERSIFICATION
Guidance on applicability 	
Purpose 	Management promotes and raises awareness on income diversification to support sustainable livelihoods and a living income for producers.



<p>Implementation guidance</p> 	<p><u>Group Management</u> supports <u>members</u> to diversify their income, by looking at potential value-added activities like processing and marketing of farm products, but it can also be other type of activities.</p> <ul style="list-style-type: none"> <li>• <u>Group Management</u> shall: <ul style="list-style-type: none"> <li>○ Analyse and discuss with <u>members</u>, which activities could bring additional income considering their local circumstances e.g., growing additional crops, processing of products or other value addition, improving access to markets/buyers etc.</li> <li>○ Support <u>members</u> in the decision making regarding the diversification strategies. For instance, by supporting them to form committees to develop their plans.</li> <li>○ Include agreed actions to support income diversification in the Management Plan. These may include facilitating access to knowledge, inputs, services and markets or establishing processing activities. For example, by providing information about relevant, accessible training organizations, market groups or governmental initiatives which are most suitable to members and their <u>households</u>.</li> <li>○ Report on the services provided, and the number of <u>group members</u> (female and male) that diversify their income.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The Management Plan describes how this service will be implemented,</li> <li>✓ Records kept of number and type of activities implemented and the number of male and female participants.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• # and gender of <u>group members</u> that diversify their income through at least one of the following</li> <li>• other income-generating activity (specified per type).</li> <li>• upgrading of the product (e.g., wet processing).</li> </ul>
<p>Annexes and other references</p> 	

#### 1.4 INTERNAL INSPECTION AND SELF-ASSESSMENT

1.4.1	INTERNAL INSPECTIONS
<p>Guidance on applicability</p> 	 <p>Applicable for service providers of farm certificate holders, not for those of supply chain certificate holders.</p>
<p>Purpose</p> 	<p>An efficient management is in place to ensure sites/group members are in compliance with the relevant Standard requirements</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• An <u>Internal Inspection</u> system shall be in place by the Group Management (in the case of groups) and site administrator (in the case of supply chain certificate holders).</li> <li>• Certificate holders ensure that: <ul style="list-style-type: none"> <li>○ There are procedures in place describing the objectives and activities of the <u>internal inspection</u> system and its team.</li> </ul> </li> </ul>



	<ul style="list-style-type: none"> <li>○ Inspections are performed by qualified staff, and there is enough capacity available to cover the sites/<u>group</u> dimension as required in (1.4.2).</li> <li>○ There are sufficient tools and instruments so that inspectors can perform their activities systematically.</li> <li>○ There is a mechanism in place to avoid a potential conflict of interest of inspectors.</li> <li>○ Internal inspectors use the risk assessment and the previous years internal inspection results, and check issues identified in these reports when inspecting farms/sites.</li> <li>○ <u>Internal inspections</u> of <u>members/sites</u> are followed up to ensure issues found have been addressed.</li> <li>○ Record keeping system is robust, and records are centralized and accessible by the <u>members/sites</u>.</li> <li>○ There is a monitoring system to guarantee the quality of <u>internal inspections</u>, proper identification, implementation of corrective actions, and verification of data quality.</li> </ul> <ul style="list-style-type: none"> <li>● The Internal Inspection system: <ul style="list-style-type: none"> <li>○ Ensures that 100% of the <u>group members</u> (for <u>farms</u>) and sites (for multi-site supply chain certificate holders) are inspected. This is also the case in multi-sites.</li> <li>○ If covered in the scope of certification, internal inspections include <u>subcontractors</u>, <u>intermediaries</u>, <u>service providers</u> (service providers only in the case of farm CHs) in the certification scope.</li> <li>○ Follows the recommended scope. This is to: <ul style="list-style-type: none"> <li>▪ Inspect all requirements of the standard in the first year of certification.</li> <li>▪ Focus the <u>inspection</u> on the requirements resulting from the <u>risk assessment</u> analysis, the previous- years' <u>internal inspections</u>, and audit results in the consecutive years.</li> </ul> </li> <li>○ For groups only, the <u>internal inspection</u> system shall have a rotation cycle to ensure that at least every 3 years, all farm units are inspected. When this is not possible because the <u>farm unit</u> is too remote, a rotation system of 6 years is used. Remote farm units refer to farms that take at least one day to reach on foot, vehicle or by any other means.</li> </ul> </li> <li>● In groups with more than 10.000 members, the Internal Management System must be digitalized for all <u>group members</u>.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Internal inspections are conducted for all sites/members every year.</li> <li>✓ The scope and rotation system of internal inspection is respected.</li> </ul>
<p>Annexes and other references</p> 	



1.4.2	SELF-ASSESSMENT
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Certificate Holders assesses their own compliance with the Standard requirements to assist management to improve compliance and prepare for audits.</p>
<p>Implementation guidance</p> 	<p>Management carries out a self-assessment to evaluate their compliance with the standard and all other relevant entities like subcontractors, intermediaries, service providers, and processing sites they are responsible for.</p> <p>The self-assessment is conducted annually, and should be based on evidence collected through internal inspections, previous audit reports, and the capacity assessment to provide credible and consistent assessment results.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Self-assessment completed.</li> <li>✓ Results of the internal inspections, capacity assessment and internal inspections of subcontractors, intermediaries, service providers and processing sites are available, and were considered for the self-assessment.</li> </ul>
<p>Annexes and other references</p> 	

1.4.3	APPROVAL AND SANCTION SYSTEM
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Groups and supply chain CH have a transparent procedure to manage and document the compliance with certification requirements for all <u>group members/sites</u>.</p>



<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Group Management and Supply chain CH with multi-sites have a system to approve or sanction members/sites based on their compliance record.</li> <li>• The system includes: <ul style="list-style-type: none"> <li>○ A manager or committee responsible for managing the approvals and/or sanctions. The manager or committee is impartial, and there is no conflict of interest of any committee member.</li> <li>○ A written approval and sanction procedure which includes (but is not limited to) the mechanism for member/site approval, the procedure to close any non-compliances and implement corrective actions, the types of sanctions in accordance to the type of severity, etc.</li> <li>○ A mechanism to follow-up on <u>group members/sites'</u> improvement and corrective measures to close non-conformities to ensure improvements made are documented, and considered in the approvals and sanctions process.</li> <li>○ Decisions are based on the internal inspection reports and/or complaints brought forward.</li> <li>○ Decisions on approvals and sanctions are recorded, and included in the internal inspection report. Decisions are communicated in writing to the member/site, signed and followed-up where necessary using the agreed procedure.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ An appointed approval and sanction committee or approval and sanction manager is in place.</li> <li>✓ A written approval and sanction procedure is published, implemented, and communicated to the members.</li> <li>✓ Records of decisions are kept.</li> </ul>
<p>Annexes and other references</p> 	

1.4.4	RATIO BETWEEN THE NUMBER OF INTERNAL INSPECTORS AND FARMS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To ensure that there is a sufficient number of properly trained inspectors to effectively monitor compliance with standard requirements.</p>



<p>Implementation guidance</p> 	<p>Group Management ensures:</p> <ul style="list-style-type: none"> <li>○ There is one inspector for every 250 <u>farms</u> and a system to plan inspections</li> <li>○ To monitor that inspectors do not inspect more than 6 <u>farms</u> a day.</li> <li>○ To provide proper training to inspectors to ensure they have appropriate skills and resources to conduct inspections.</li> <li>○ Evaluate the performance of internal inspectors regularly, and provide additional training where necessary.</li> <li>○ Have a procedure in place to avoid any conflict of interest of internal inspectors (e.g., not inspecting farms of family members etc.).</li> </ul> <ul style="list-style-type: none"> <li>● Inspector trainings should:             <ul style="list-style-type: none"> <li>○ Be provided by a qualified person e.g., a person who has experience doing internal inspections/audits, and with the necessary knowledge and skills on the crop subject.</li> <li>○ Consider internationally agreed good auditing practices such as in ISO 19011 and social auditing skills.</li> <li>○ Include accompanied audits to acquire experience; examples of how to cross-check evidence, review data etc.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ List of internal inspectors.</li> <li>✓ Internal inspection schedules.</li> <li>✓ Internal inspector training certificates or other evidence of trainings fulfilled.</li> </ul>
<p>Annexes and other references</p> 	

<b>1.4.5 L1</b>	<b>DIGITALIZING INTERNAL INSPECTIONS FOR 30% OF THE MEMBERS</b>
<p>Guidance on applicability</p> 	 <p>In the case of groups with more than 10.000 <u>members</u>, the Internal Management System shall always be <u>digitalized</u> for all <u>group members</u> since the first year of certification (see 1.2.11)</p>
<p>Purpose</p> 	<p>To improve record-keeping, facilitate the analysis and exchange of data to better monitor performance of producers, and identify needs for support for improvement.</p>



<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The <u>group manager</u> allocates resources to ensure that 30% of the internal inspection data is collected through a device.</li> <li>• <u>Group Management</u> shall:             <ul style="list-style-type: none"> <li>○ Identify the number of devices needed based on the total number of farms and inspectors available.</li> <li>○ Assure there is sufficient budget to purchase and maintain devices and relevant software.</li> <li>○ Establish a clear plan or schedule to ensure inspectors have access to the devices when they conduct inspections.</li> <li>○ Properly train inspectors to use the tool/digital format and input data accurately.</li> <li>○ Check that inspectors use the device correctly to record accurate information during internal inspections.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The internal inspection data is collected for at least 30% of the group members in a digitized format.</li> <li>✓ Check on the quality and completeness is done regularly .</li> </ul>
<p>Annexes and other references</p> 	

1.4.6 L2	DIGITALIZING INTERNAL INSPECTIONS FOR 100% OF THE MEMBERS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To improve record-keeping, facilitate the analysis and exchange of data to better monitor performance of producers, and identify needs for support for improvement.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>○ The group manager allocates resources to ensure that at least 90% of the internal inspection data is collected through a device.</li> <li>○ Group Management shall:             <ul style="list-style-type: none"> <li>○ Identify the number of devices needed based on the total number of farms and inspectors available.</li> <li>○ Assure there is sufficient budget to purchase and maintain devices and relevant softwares</li> <li>○ Establish a clear plan or schedule to ensure inspectors have access to the devices when they conduct inspections</li> <li>○ Properly train inspectors to use the tool/digital format, and input data accurately</li> <li>○ Check that inspectors use the device correctly to record accurate information during internal inspections.</li> </ul> </li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"><li>✓ The internal inspection data is collected for at least 90% of the group members in a <u>digitized</u> format.</li><li>✓ Check on the quality and completeness is done regularly.</li></ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"><li>• % of <u>group members</u> whose internal inspection data are collected and used by the <u>Group Management</u> in a <u>digitized</u> format.</li></ul>
<p>Annexes and other references</p> 	



1.5 GRIEVANCE MECHANISM	
1.5.1	GRIEVANCE MECHANISM
<p>Guidance on applicability</p> 	 <p>For groups, Group Management is responsible for having the <u>remediation mechanism</u> on behalf of the members with small farms.</p>
<p>Purpose</p> 	<p>To have an accessible and effective <u>grievance</u> mechanism in place to address complaints coming from workers, members (groups) and/or stakeholders.</p>
<p>Implementation guidance</p> 	<p>The <u>grievance mechanism</u> is meant to gather complaints of those being negatively affected by specific business activities and/or operations of any nature.</p> <ul style="list-style-type: none"> <li>• The certificate holder: <ul style="list-style-type: none"> <li>o Sets up a <u>grievance</u> committee or appoint a responsible person with decision making power and understanding of dealing with <u>grievances</u>. The committee or appointed person should be impartial and gender sensitive.</li> <li>o Communicate with members/<u>workers</u> how to use the <u>grievance mechanism</u></li> <li>o Ensure the grievance mechanism is accessible in the local language, and in appropriate formats for those who cannot read or do not have access to the internet or telephones.</li> <li>o Ensures anonymity and safety of persons who submit <u>grievances</u>. Anonymous grievances are also accepted and followed-up.</li> <li>o Keep clear documentation of all grievances and the actions taken to address them.</li> <li>o Implement the steps of the <u>Remediation</u> protocol (Annex S4), to solve complaints/give follow up to grievances expressed. Steps include <ul style="list-style-type: none"> <li>▪ Immediate safeguarding of the victim, making sure to always guaranteeing confidentiality.</li> <li>▪ Analysis of the case to check the situation is fully understood.</li> <li>▪ Appropriate involvement of the Gender Committee, Assess and Address committee and other stakeholders who need to be involved in remediating the grievance.</li> </ul> </li> <li>o Implement corrections in a timely manner e.g., within 12 weeks. <ul style="list-style-type: none"> <li>▪ Explore if financial compensation such as repayment in the cases of unpaid wages, unpaid overtime or illegal wage deductions are needed.</li> <li>▪ In case of sexual harassment charges consider termination of contract and/or referral to state criminal investigation entities.</li> </ul> </li> <li>o Monitors the implementation of the corrections to ensure the grievance is properly resolved.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ There is a Grievance committee with decision making power.</li> <li>✓ Records kept on complaints made and follow up given.</li> </ul>



<p>Annexes and other references</p> 	<p>Annex S4. <u>Remediation Protocol</u> Guidance Document E: <u>Grievance Mechanism</u></p>
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## 1.6 GENDER EQUALITY

### 1.6.1 GENDER EQUALITY

<p>Purpose</p> 	<p>Promote <u>gender equality</u> and women's empowerment to strengthen the protection of human rights, and support the equal contribution and benefits of all members and workers to sustainable agriculture</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The certificate holder:             <ul style="list-style-type: none"> <li>○ Has a written statement expressing their commitment to promote <u>gender equality</u>.</li> <li>○ Sets up a committee or appoint a responsible person to identify gender issues, raise awareness on gender equality, and sets up improvement actions. The committee should include at least one woman and one person from <u>management</u>.</li> <li>○ Organizes training for the committee members/responsible person on <u>gender equality</u> and women's empowerment.</li> <li>○ Communicates to all members, workers and other stakeholders on the role and membership of the gender committee.</li> </ul> </li> <li>• It is also possible to combine the Gender committee with another committee, for instance the Assess and Address committee (5.1.1), or the Grievance committee (1.5.1).</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Written commitment to promoting <u>gender equality</u>.</li> <li>✓ Committee appointed and records of their work kept.</li> <li>✓ Communication to <u>members/workers</u> about the committee.</li> <li>✓ Training records of the committee <u>members</u>.</li> </ul>
<p>Guidance on applicability</p>	
<p>Annexes and other references</p> 	<p>Guidance Document F: <u>Gender Equality</u></p>

### 1.6.2 MECHANISM TO IDENTIFY AND ADDRESS GENDER ISSUES

<p>Guidance on applicability</p> 	 <ul style="list-style-type: none"> <li>• The Group Management is responsible for the implementation of the mitigation measures for small farm members. For Large farms in a <u>group</u>, specific <u>gender equality</u> mitigation measures are implemented.</li> </ul>
<p>Purpose</p>	<p>Formal mechanisms are in place to identify, address and monitor <u>gender</u>-related issues, and promote <u>gender equality</u> and women's empowerment.</p>



	
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>The certificate holder:             <ul style="list-style-type: none"> <li>Uses the basic <u>Risk Assessment (1.3.1)</u> to determine risks related to gender inequality <u>risk</u> (e.g., a <u>gender gap</u>)</li> <li>Identifies actions to address or minimize the risks and includes these actions in the <u>Management Plan</u> (Farm requirement 1.3.2, and supply chain requirement 1.1.3).</li> <li>Monitors the implementation of these actions.</li> <li>Organizes training or awareness-raising activities on gender equality at least once a year. The Rainforest Alliance online training module on gender can be used.</li> <li>Collaborates with the '<u>assess</u> and address committee' or gender committee when taking actions on cases related to gender-based violence and gender-based <u>discrimination</u>.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Risk Assessment available and actions determined.</li> <li>✓ Records demonstrating training and awareness-raising activities and remediation of cases (if issues have aroused).</li> </ul>
<p>Guidance on applicability</p>	<ul style="list-style-type: none"> <li>The Group Management is responsible for the implementation of the mitigation measures for small farm members. For Large farms in a <u>group</u>, specific <u>gender equality</u> mitigation measures are implemented.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see Annex S3: Risk Assessment Tool Please see Annex S4: Remediation Protocol</p>

1.6.3	IN-DEPTH FARM RISK ASSESSMENT
<p>Guidance on applicability</p> 	 <ul style="list-style-type: none"> <li>The <u>gender in-depth Risk Assessment</u> is carried out by the Group Management on behalf of the small farms in the Group.</li> <li>For the Large farms in a group, an individual <u>in-depth Risk Assessment</u> must be conducted.</li> </ul>
<p>Purpose</p> 	<p>From year 1: An in-depth <u>gender assessment</u> is done every three years to improve the quality of actions to promote <u>gender equality</u> and women's empowerment.</p>
<p>Implementation guidance</p> 	<p>The tool supports identifying gaps between opportunities for women and men regarding access to inputs, resources, services, opportunities, benefits, and decision-making spaces. In case a gap is identified, the tool provides a set of questions that help identify the root causes, and proposes a list of possible mitigation measures with their corresponding indicators in order to address that gap. Select measures that are applicable in the local context.</p> <ul style="list-style-type: none"> <li>Carry out the gender assessment using the gender in-depth Risk at least every three years, and select minimally three gender indicators from the <u>Risk Assessment</u> tool.</li> </ul>



	<ul style="list-style-type: none"> <li>• Include measures to address the detected risks in the <u>Management Plan</u>.</li> <li>• The assessment shall be repeated every three years.</li> <li>• Monitor implementation of the actions and report yearly to management.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Risk Assessment and measures determined.</li> <li>✓ Monitoring report(s) of the implementation of the mitigation measures.</li> </ul>
<i>Annexes and other references</i> 	Please see Annex S3: Risk Assessment Tool

## 1.7 YOUNG FARMERS

1.7.1	YOUNG FARMERS PARTICIPATION
<i>Guidance on applicability</i> 	
<i>Purpose</i> 	Increase the participation of young farmers at all levels of the organization.
<i>Implementation guidance</i> 	<p>This involves</p> <ul style="list-style-type: none"> <li>• Identify possible motivational factors that would attract young persons to farming and management activities. E.g., by directly discussing with young people their interests.</li> <li>• Define targets.</li> <li>• Organize events, fairs, contests where young people can participate to reach your targets.</li> <li>• Support their skills development, for example, by providing specific training on numeracy skills and literacy, or provide scholarships.</li> <li>• Promote farming as a profession at schools, technical vocational institutes, during community sessions or existing youth platforms.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Records kept of activities planned and implemented.</li> <li>✓ Monitoring data of progress made.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>• # and % of <u>group members</u> that are <u>young farmers</u> (under 35 years)</li> <li>• # and % of participants in training that are young persons (under 35 years)</li> <li>• # and % of young trainers (under 35 years)</li> <li>• # and % of young internal inspectors (under 35 years)</li> <li>• # and % of young farmers with access to land (under 35 years)</li> <li>• # and % of young persons (under 35 years) in management positions</li> </ul>
<i>Annexes and other references</i> 	

CHAPTER 2

# TRACEABILITY



2.1 TRACEABILITY	
2.1.1	ESTIMATION OF CERTIFIED PRODUCTION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Group members'/farms' yield estimation methodology provides a credible and accurate basis for traceability of certified products.</p>
<p>Implementation guidance</p> 	<p>Management:</p> <ul style="list-style-type: none"> <li>• Uses a credible methodology for yield estimation of a representative sample of farms or farm units. The credible methodology includes a correct description of how the estimated certified volume is calculated for each farmer. This should be done by: <ul style="list-style-type: none"> <li>○ using local average or potential yields from official data and/or,</li> <li>○ basing data on the previous year(s) harvested volumes,</li> <li>○ adjusting the estimates based on analyses of the cropping systems, density, crop stages, age of the plantations, weather conditions, etc.</li> <li>○ taking account of practices to improve productivity such as use of inputs and Integrated Pest Management practices.</li> </ul> </li> <li>• Estimates once a year the total certified production and the certified production for each member, ensuring that the volume is estimated in kg/ha, or in the case of flowers in stems/ha.</li> <li>• Monitors that the methodology works effectively, and ensures accurate data. E.g., by cross-checking estimates with a real production of a sample of farmers.</li> <li>• Documents the estimated certified production volume, considering potential yield losses that may occur. E.g., during transportation or because of bad quality.</li> <li>• Develops strategies to avoid significant deviations in the quality and accuracy of yield estimation of certified volumes between farms or from year to year. This is particularly relevant in the case of group certification. Examples of strategies may include [but are not limited] to <ul style="list-style-type: none"> <li>○ nominating trained farmers to support other farmers to make accurate yield estimation so as not to rely solely on the results of internal inspections.</li> <li>○ Ensures members communicate any necessary adaptation of the estimated certified volume to management on time.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records on production volumes.</li> <li>✓ Documentation on methodology used.</li> </ul> <p><b>Indicator:</b> Estimated certified production volume (kg or stems).</p>
<p>Annexes and other references</p> 	<p>Please see Guidance Document G: Yield estimation</p>



2.1.2	TRACEABILITY AND VOLUMES AT FARM LEVEL
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Accurate records are maintained for production.</p>
<p>Implementation guidance</p> 	<p>Management ensures to:</p> <ul style="list-style-type: none"> <li>• Take stock of the total volumes of certified production harvested.</li> <li>• Check the harvested volumes, and compare them with the estimated volumes.</li> <li>• When estimated production and actual production differ by more than 15%, check why this has occurred, and provide a clear justification and evidence for the difference. For example, <ul style="list-style-type: none"> <li>◦ if production is better this year because of climatic conditions, rainfall or temperature records can be shown as evidence.</li> <li>◦ If production has increased because of the use of fertilizer, this can be demonstrated with purchase documents of those inputs.</li> </ul> </li> <li>• Keep detailed records of products purchased, produced, sold, processed and in stock to check that records at farm level, at collection points, warehouses, and processing units are accurate.</li> <li>• Calculate the yearly balance of products purchased, produced, sold, processed and in stock, making sure that this includes lost volumes and volumes not sold as Rainforest Alliance Certified.</li> <li>• Monitor that farmers keep records of the total harvested volume, the harvest and post-harvest losses, and the products sold as conventional or under other schemes.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Annual Records of volumes harvested, products purchased, produced, sold, processed and in stock.</li> <li>✓ Evidence that records on stock volumes coincide with what is physically on stock in warehouses, collection points, etc.</li> <li>✓ Evidence that estimated volume and actual production is accurate, and justifications in case the production differs by more than 15%.</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• Total harvested production of the certified crop (kg or stems).</li> </ul>
<p>Annexes and other references</p> 	



2.1.3	PRODUCT SEGREGATION
Guidance on applicability 	 <p>This is not applicable to those SC CHs working under the traceability type mass balance (MB).</p>
Purpose 	<p>Certified product is segregated from non-certified products to maintain traceability of certified product throughout the supply chain.</p>
Implementation guidance 	<p>The certificate holder organizes that:</p> <ul style="list-style-type: none"> <li>• <u>Certified</u> products can always be identified as <u>certified</u>; this means during reception, processing, mixing, storing, packaging, delivery, transport, and release. This can either be by physical segregation where it is kept separate from non-certified products and/or visual identification (tags, colour coding, etc.).</li> <li>• There are procedures and records for keeping certified product segregated during harvesting, reception, processing, mixing, storing, packaging, labeling, delivery, transport, and resale.</li> <li>• Management is responsible for ensuring that subcontracted units segregate the <u>certified</u> product when harvesting, transporting, processing, storing, packaging, and /or labeling, and records are available for verification.</li> <li>• Management is responsible for ensuring that personnel responsible for keeping records and handling the <u>certified</u> products are competent, understand and follow the procedures for visual segregation and documentation of certified product and possess the necessary skills and knowledge to guarantee the integrity of the product.</li> </ul>
Evidence and indicators 	<ul style="list-style-type: none"> <li>✓ Visual segregation (through physical separation or visual means of identification) of non-certified products at all stages.</li> </ul>
Annexes and other references 	

2.1.4	PRODUCT FLOW
Guidance on applicability 	
Purpose 	<p>There is a clear description of the product flow of the certified product identifying all actors within the certificate scope to ensure that all relevant activities respect traceability requirements.</p>



<p>Implementation guidance</p> 	<p>The product flow map helps management to identify points in the supply chain in which the integrity of the product could be at risk.</p> <ul style="list-style-type: none"> <li>• <u>Management</u> should:             <ul style="list-style-type: none"> <li>○ Have a map of the product flow from the group members (for farms) and/or sites up to the final location of the certificate scope.</li> <li>○ Make sure the product flow map is sufficiently detailed to identify all the different actors within the scope of the CH that handle or store the certified product. This includes all different collection points, transporters, processing units, warehouses, etc.</li> <li>○ Include all the intermediaries/subcontractors that are part of the <u>certificate scope</u>, both in the product flow map.</li> <li>○ <u>Management</u> can develop several product flows when a group or multi-site operation is too complex to simplify in one general product flow.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Product flow with all actors and activities carried out on the product to the final location included in the scope of the certificate.</p>
<p>Annexes and other references</p> 	

2.1.5	TRACEABILITY FOR GROUPS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Records are kept to allow management to trace certified products all the way from the farm through the supply chain.</p>



<p>Implementation guidance</p> 	<p>Group management has systems and procedures in place to ensure that certified products are both segregated and traceable.</p> <ul style="list-style-type: none"> <li>• The group management has : <ul style="list-style-type: none"> <li>○ Clear procedures and a record-keeping system for purchase, sale and delivery receipts that allow it to trace the products that the group sells as certified back to the certified farm where they were produced</li> <li>○ Competent personnel who are responsible to make sure that traceability is maintained in every stage of production and product handling. This includes internal staff, personnel responsible for transport, warehouse, collection, or certified products, and any other actor under the certificate scope.</li> <li>○ A system to ensure collectors or <u>intermediaries</u> accurately verify which producers the volumes come from when they are collected or delivered to the packing houses or processing units.</li> <li>○ A system in place to carry out regular verifications to ensure the traceability system is robust, and the integrity of products is maintained. This includes undertaking 'volumes balance' exercises, and/or checking documentation back to producing farms to ensure volumes have been recorded appropriately at all stages, and that harvest and post-harvest losses are considered.</li> </ul> </li> <li>• The group management: <ul style="list-style-type: none"> <li>○ Provides a copy of each product delivery receipt to the group members or <u>intermediary</u> specifying: name of group member, group member ID, date, product type, product status (certified or not) and volume.</li> <li>○ Keeps purchase, sales and delivery documents linked to physical deliveries of the certified, multi-certified, and non-certified products, including when <u>intermediaries</u> are used.</li> <li>○ Ensures that purchase and sales documents for the group include group member, date, product type, (percentage of) certified volume, and, if relevant, the traceability level.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Traceability procedures and record keeping system.</li> <li>✓ Copy of product delivery kept at each group member level.</li> <li>✓ Documentation to link physical deliveries of produce including purchase and sales documents from certified, multi-certified and non-certified products.</li> </ul>
<p>Annexes and other references</p> 	



2.1.6	TOTAL SALES MATCH PURCHASE OF CERTIFIED PRODUCTS
Guidance on applicability 	
Purpose 	To ensure that there the sales of certified product reflect the actual volume of certified product available and there is no overselling
Implementation guidance 	Management <ul style="list-style-type: none"> <li>• Has systems and procedures in place to ensure that certified product sales do not exceed the volume of available certified product. The procedure captures:               <ul style="list-style-type: none"> <li>○ <u>Certified</u> volumes produced including volumes in stock from present or previous year's certified harvest (in case of farms).</li> <li>○ Volumes purchased as Rainforest Alliance.</li> <li>○ Volumes sold as Rainforest Alliance Certified, volumes sold under other certification schemes, and volumes of non-certified products (if applicable).</li> <li>○ Volumes lost due to post-harvest losses, transport damage or other causes.</li> </ul> </li> <li>• Monitors the volumes for all sites in scope (including subcontractors).</li> <li>• Verifies that the overall calculation of purchase and sales matches purchase and sales documents linked to physical deliveries.</li> <li>• Keeps documentation to demonstrate volumes reported in the traceability platform (2.2.1 and 2.2.3) match the physical traceability.</li> </ul>
Evidence and Indicators 	✓ Documentation on systems and procedures ensuring that certified products sold match the certified products purchased (considering volumes on stock, sold and lost due to post harvest handling).
Annexes and other references 	

2.1.7	NO DOUBLE SELLING
Guidance on applicability 	
Purpose 	Certified volumes are only sold once to avoid any double counting of volumes in the certified supply chain and traceability platform.



<p>Evidence and Indicators</p> 	<p><u>Double selling</u> is defined as “The practice of selling the same volume produced or purchased as Rainforest Alliance certified twice, once as Rainforest Alliance Certified, and once as conventional or under another certification.”</p> <p>Double selling occurs when a volume (e.g., 20 MT) initially produced under the Rainforest Alliance standard and another certification program (e.g., organic) is sold as 20MT of Rainforest Alliance Certified to one buyer AND 20MT as organic to another buyer.</p> <p>Certified products can be sold as multi-certified (with other certification program claims) only if the product was initially produced under more than just the Rainforest Alliance certification program, and if this multi-certified volume is sold to one buyer under one contract.</p> <ul style="list-style-type: none"> <li>• Management must have systems and procedures in place to ensure that certified products are not double sold. This includes:             <ul style="list-style-type: none"> <li>○ Procedures to ensure that Rainforest Alliance Certified volumes sold as other certification schemes are subtracted accordingly from paper and online volume accounting. This also includes the management of volumes in the Rainforest Alliance traceability platform as per requirement 2.2.3.</li> <li>○ Keeping records and all required documentation to prove that there has been no double selling of volumes. This includes documentation of product produced, handled, and sold under other schemes, and as conventional.</li> </ul> </li> </ul>
	<ul style="list-style-type: none"> <li>✓ Procedure to keep the administration of volumes up to date, also in the Rainforest Alliance traceability platform including steps to manage sales of multi-certified volumes.</li> <li>✓ Transaction records.</li> <li>✓ Documentation of volumes sold not as Rainforest Alliance Certified to cross-check traceability.</li> </ul>
<p>Annexes and other references</p> 	

2.1.8	SALES RECORDS AT GROUP MEMBER LEVEL
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Group members keep records of sales so traceability of certified products can be verified.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Ensure <u>group members</u> keep receipts of their sales containing the group member's name, <u>group member ID</u>, date, product type, and volume.</li> <li>• Make sure the <u>group member ID</u> on the receipt corresponds to the list of approved certified <u>group members</u>.</li> <li>• Ensure that receipts indicate clearly what has been sold as Rainforest Alliance certified, conventional, or certified under any other scheme.</li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Sales receipts of Rainforest Alliance products with the corresponding data, and sales receipts of products sold as conventional and under any other scheme.</li> <li>✓ Documentation to cross-check that sales receipts (Volumes/IDs) correspond to volumes of <u>group member</u> members delivered (e.g., reception documents at processing unit, collection point).</li> </ul>
<p>Annexes and other references</p> 	

2.1.9	CONVERSION FACTORS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Those <u>converting</u> certified product must be able to show that the applied <u>conversion</u> ratio used is based on a correct methodology that reflects real <u>conversion</u> ratios to avoid inflation of certified volumes.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH documents and demonstrates the methodology with which conversion factors for certified products are being calculated. That ratio shall be the one used in the traceability platform.</li> <li>• Supply chain and farm CHs who convert products under the traceability type <u>identity preserved</u> and <u>segregation</u> may use the conversion ratio that can be demonstrated in real conversions. For those traceability types, the Rainforest Alliance has pre-set a range for different product types. If actual conversion ratios result to be beyond the pre-set range, the certificate holder may request a different conversion ratio to be installed for their purposes. In these cases, the CH shall notify the Rainforest Alliance to customize the predefined ratio for their purposes if they can demonstrate that the real <u>conversion</u> ratio moves beyond the defined range.</li> <li>• For conversions of products under the <u>mass balance</u> traceability type, the Rainforest Alliance defines a conversion rate that must be used (in Annex S6).</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The methodology for calculation of conversion factors is accurate.</li> <li>✓ The ratios resulting from the calculation correspond to conversion ratios in real conversions</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S6: Traceability</p>



2.1.10	CALIBRATION OF WEIGHING EQUIPMENT
Guidance on applicability 	
Purpose 	Calibration is used to minimize inconsistencies and inaccuracies of certified volumes moving through the certified supply chain, ensure volumes are not over or under estimated, and that producers receive payment for the correct volumes delivered.
Implementation guidance 	The CH <u>calibrates</u> at least annually all equipment used to define the <u>certified</u> product's weight or volume. Equipment includes weighing scales at collection points, in warehouses or processing facilities, etc. <ul style="list-style-type: none"> <li>• Calibration has to be done;               <ul style="list-style-type: none"> <li>○ Annually,</li> <li>○ By a trained person. It can be an internal staff (with proper qualification), or an external service provider.</li> <li>○ Using a method that can demonstrate accurate results.</li> </ul> </li> <li>• Records of the calibration shall be available to demonstrate compliance.</li> </ul>
Evidence and Indicators 	✓ Records on equipment calibration.
Annexes and other references 	

2.1.11	VOLUME SUMMARY OF CERTIFIED PRODUCTS
Guidance on applicability 	
Purpose 	Inventory of all Rainforest Alliance Certified products is made and maintained to keep documentation of volumes purchased, sold, processed, <u>lost</u> , in stock, etc. up-to-date



<p>Implementation guidance</p> 	<p>Supply chain CH shall:</p> <ul style="list-style-type: none"> <li>• Provide a volume summary of <u>certified</u> products for the previous 12 months. This volume summary includes inputs and outputs as follows: <ul style="list-style-type: none"> <li>○ All incoming volumes whether the CH takes legal ownership of them or not.</li> <li>○ Outgoing volumes, including volumes sold or re-shipped again.</li> <li>○ Volumes which are <u>lost</u>, e.g., when products are damaged to the extent that they cannot be used or sold anymore.</li> <li>○ Volumes in stock.</li> <li>○ Volumes that are being processed.</li> </ul> </li> <li>• The supply chain CH has a procedure in place to regularly update the inventory to reflect incoming and outgoing volumes over at least the past 12 months.</li> <li>• Physical volumes in stock coincide with what is listed in the inventory, and what is reported in the Rainforest Alliance traceability platform.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Volume summary information over the past 12 months.</li> </ul>
<p>Annexes and other references</p> 	

2.1.12	CLAIMS, TRACEABILITY LEVELS AND PERCENTAGE OF CERTIFIED CONTENT
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To trace the Rainforest Alliance product throughout the supply chain by accurately documenting certification-related information when legal ownership of certified product changes.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• When there is a change in legal ownership and/or physical possession of the certified product, the CH includes in the documentation (e.g., Bill of Lading, dock receipts, commercial invoices): <ul style="list-style-type: none"> <li>○ <i>The <u>traceability type</u></i>: traceability types are identity preserved (IP), segregation (SG), or mass balance (MB). The latter is available for cocoa, hazelnuts, palm oil, coconut oil, orange juice and flowers.</li> <li>○ <i>The <u>percentage of certified content</u></i> (when applicable). This is in the case of multi-ingredient products, e.g., coconut oil in which a % of the shipped product can be certified content; 30MT of certified coconut oil and 70MT conventional coconut oil, the certified content: 30%.</li> </ul> </li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Rainforest Alliance claim, traceability type, and percentage are documented during the change in legal ownership/physical possession of the Rainforest Alliance certified product.</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S6. Traceability</p> <p>Rainforest Alliance Labeling and Trademark Policy <a href="https://www.rainforest-alliance.org/business/wp-content/uploads/2020/05/Rainforest-Alliance-Labeling-and-Trademarks-Policy.pdf">https://www.rainforest-alliance.org/business/wp-content/uploads/2020/05/Rainforest-Alliance-Labeling-and-Trademarks-Policy.pdf</a></p>

<p><b>2.1.13</b></p>	<p><b>SUPPORTING DOCUMENTATION TO ENSURE CLAIMS MADE COMPLY WITH THE RAINFOREST ALLIANCE POLICY</b></p>
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<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To ensure that any claim made related to the Rainforest Alliance is credible, and can be backed up by reliable documentation.</p>
<p>Implementation guidance</p> 	<p>“Relevant <u>claim</u>” refers to claims that are possible in the context of Rainforest Alliance’s work, results-based claims, sourcing claims, and any other type of claim that can be made under the Rainforest Alliance Labeling and Trademarks policy.</p> <ul style="list-style-type: none"> <li>• The CH :             <ul style="list-style-type: none"> <li>○ Keeps all documentation (e.g., labeling approvals, incoming and outgoing documentation, on-site procedures, etc.) to demonstrate that any claim in relation to the Rainforest Alliance can be substantiated. This includes claims in off-pack communication (e.g., sourcing claims on a website or in publicity).</li> <li>○ Complies with the labeling requirements outlined in the Rainforest Alliance Labeling and Trademarks policy when seal is used on pack, and have valid approval for seal use (see requirement 2.2.4).</li> <li>○ Complies with relevant supply chain requirements, or specific program-rules, when making <u>claims</u> other than the regular certification <u>claim</u> with its seal use (e.g., Living Wage contributions.) .</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Labeling with the correct content/information.</li> <li>✓ Impact reports, records on incoming and outgoing product.</li> </ul>
<p>Annexes and other references</p> 	<p>Rainforest Alliance Labeling and Trademarks Policy</p>



2.2 TRACEABILITY IN THE ONLINE PLATFORM	
2.2.1	TRANSACTIONS UPDATED IN THE TRACEABILITY PLATFORM
Guidance on applicability 	
Purpose 	Movement and transformation of certified volumes are reflected in the traceability platform in a timely manner to allow for accurate verification and reporting of certified volumes product.
Implementation guidance 	<ul style="list-style-type: none"> <li>The CH records all transactions in the <u>traceability platform</u> making sure they correspond with the physical shipment(s). 'Shipment' is interpreted as when legal ownership of certified product changes.</li> <li>The different activities that are performed on the certified product must be updated two weeks after the end of the calendar quarter within which they were made. CHs have a period of two weeks to record those transactions after the end of the quarter in which the physical shipment took place.</li> <li>The transactions that can be recorded in the Rainforest Alliance traceability platform include sales transactions, confirmed transactions, volume conversions, redeeming.  <i>E.g., When a coffee producer sells 100 TM of green coffee to the buyer, the producer shall make a sales transaction for the 100 TM of volume sold. The buyer of that product (the roaster) shall 'confirm the volume transaction' and when processed, the volume of Green coffee shall be converted into Roasted coffee by this CH by using the 'volume conversion'. When the roasted coffee is finally sold, CH performs the function 'redeem' to book out the volumes from the platform.</i> </li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Sales reports in the traceability platform are updated at latest two weeks after the end of the quarter within which the shipment took place.</li> </ul>
Annexes and other references 	Please see Annex S6: <u>Traceability</u>
2.2.2	MANAGING INCOMING TRANSACTIONS
Guidance on applicability 	
Purpose	Buyers take responsibility for ensuring the accuracy of information in the Rainforest Alliance traceability platform by ensuring that transactions entered in the traceability platform match documented records for certified products purchased.



<p>Implementation guidance</p>	<ul style="list-style-type: none"> <li>• Buyers of certified products have a procedure to:             <ul style="list-style-type: none"> <li>○ Verify regularly that the transaction details entered in the traceability platform (e.g., traceability type, traceability codes, etc.) correspond to purchase receipts for certified products purchased from suppliers.</li> <li>○ Edit or request suppliers to edit any transaction that is not accurate.</li> <li>○ Review and confirm the transaction in the traceability platform within 7 days after the seller reports the transactions in the <u>traceability platform</u>.</li> <li>○ Actively engage with supplier on any outstanding transactions of volume already purchased, but not yet recorded in the traceability platform.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p>	<ul style="list-style-type: none"> <li>✓ Procedure to verify that invoices for certified products purchased match the transactions recorded in the <u>traceability platform</u>.</li> </ul>
<p>Annexes and other references</p>	<p>Please see Annex S6: <u>Traceability</u></p>

2.2.3	REMOVAL OF VOLUMES SOLD AS CONVENTIONAL OR OTHER SCHEMES
<p>Guidance on applicability</p>	
<p>Purpose</p>	<p>Volume information in the traceability platform is kept up-to-date, and corresponds with physically available volume to avoid overstatement of available volumes.</p>
<p>Implementation guidance</p>	<ul style="list-style-type: none"> <li>✓ Management:             <ul style="list-style-type: none"> <li>○ Has a procedure in place to remove from the traceability platform any volumes that were purchased (and received through the traceability platform) as Rainforest Alliance Certified, but that were lost or that were not sold as Rainforest Alliance Certified (e.g., sold as conventional, or sold under another certification scheme).</li> <li>○ Ensures that any product either lost or sold not as Rainforest Alliance Certified is removed from the traceability platform within two weeks after the end of the quarter in which the loss of volume occurred, or the sales took place.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p>	<ul style="list-style-type: none"> <li>✓ Certified volumes sold without a Rainforest Alliance claim are removed from the traceability platform within two weeks after the end of the quarter in which the sales took place.</li> <li>✓ Certified volumes lost are removed from the traceability platform.</li> </ul>



<p>Annexes and other references</p> 	<p>Please see Annex S6: Traceability</p>
<p><b>2.2.4</b></p>	<p><b>USE AND APPROVAL OF THE RAINFOREST ALLIANCE MARKS</b></p>
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Ensure that all public-facing trademark use (on- and off-pack) is following the Rainforest Alliance Labeling and Trademarks Policy, and has prior approval from the Rainforest Alliance.</p>
<p>Implementation guidance</p> 	<p>Management ensures that:</p> <ul style="list-style-type: none"> <li>• The process for obtaining approval to use the Rainforest Alliance Trademarks (when applicable) is followed. This includes: <ul style="list-style-type: none"> <li>○ Registering in the online platform Marketplace 2.0.</li> <li>○ Requesting a Licence Agreement to receive the official Rainforest Alliance Certification (RAC) seal file for placement in materials.</li> <li>○ Adapting the materials when Rainforest Alliance requires this, to ensure that they are compliant with the labeling policy and Rainforest Alliance Certification (RAC) seal graphic guidelines.</li> <li>○ Use the official seal according to the Labeling and Trademark Policy.</li> <li>○ Renew the approval validity at least every two years for those marketing materials that the CH wants to continue using without any changes.</li> </ul> </li> <li>• If requested, provide evidence to Rainforest Alliance to further support claims that are made.</li> <li>• Ensure labeling approval documents are available or that copies or access to the approval is given to the sites responsible for the labeling (e.g., packaging units subcontracted by the CH)</li> </ul> <p>For further information about the use and approval of the Rainforest Alliance Marks, please see the Rainforest Alliance Labeling and Trademarks policy.</p>
<p>Evidence and Indicators</p> 	<p>✓ Trademark approvals are available.</p>
<p>Annexes and other references</p> 	<p>Rainforest Alliance Labeling and Trademarks Policy. <a href="https://www.rainforest-alliance.org/business/wp-content/uploads/2020/05/Rainforest-Alliance-Labeling-and-Trademarks-Policy.pdf">https://www.rainforest-alliance.org/business/wp-content/uploads/2020/05/Rainforest-Alliance-Labeling-and-Trademarks-Policy.pdf</a></p>



2.2.5	COMBINE SHIPMENTS IN ONE TRANSACTION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Ensure that the traceability of certified products is maintained when companies combine multiple shipments into one transaction in the traceability platform for administrative Purposes.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"><li>• Multiple shipments can be combined into one transaction instead of issuing different transactions for each physical shipment.</li><li>• The CH provides sufficient information to identify the physical shipments included in the transaction. Such information includes, volume, traceability type, traceability, shipment records such as unique shipment codification numbers and date of shipment.</li></ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"><li>✓ Shipments that have been combined into one single transaction within still are distinguishable from one another.</li><li>✓ Requested information (volume, traceability type, traceability, shipment records) is available for each shipment</li></ul>
<p>Annexes and other references</p> 	



2.2.6	MANDATE TO MANAGE THE TRACEABILITY PLATFORM ON BEHALF OF THE FARM CH
<p>Guidance on applicability</p> 	 <p>This is only applicable for supply chain CHs that manage the traceability platform on behalf of a farm CH.</p>
<p>Purpose</p> 	<p>Ensure consent by the farm CH In cases in which the farm CH's traceability platform is managed by a SC CH</p>
<p>Implementation guidance</p> 	<p>Rainforest Alliance encourages farm CHs to manage the <u>traceability platform</u> themselves, but also recognizes that in some cases, it might be easier to give the management rights of the traceability platform to a supply chain actor/buyer. If this applies, the following principles shall be in place:</p> <ul style="list-style-type: none"> <li>• The supply chain CH has prior, written consent that confirms that the farm CH grants them the mandate to manage the traceability platform on their behalf.</li> <li>• The written confirmation/letter of consent: <ul style="list-style-type: none"> <li>○ Includes the rights and obligations of both parties.</li> <li>○ Is signed by both parties.</li> <li>○ Is written in a clear and easily understood language for both parties.</li> <li>○ Includes clauses that specify the consequences in the event of the misuse of the traceability platform, and in case of non-conformities against traceability requirements.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ written confirmation of the mandate to use traceability platform on behalf of the Farm CH is acknowledged by both parties. E.g., letter of consent signed by both parties</p>
<p>Annexes and other references</p> 	



2.2.7	COMPLIANCE OF SUPPLY CHAIN CHs WITH MANDATE TO MANAGE TRACEABILITY PLATFORM OF A FARM CH
<p>Guidance on applicability</p> 	 <p>This is only applicable for supply chain CHs that manage the traceability platform on behalf of a farm CH.</p>
<p>Purpose</p> 	<p>To ensure that companies mandated to manage the traceability of a farm CH comply with Rainforest Alliance traceability rules.</p>
<p>Implementation guidance</p> 	<p>Supply chain CHs with the mandate to manage the <u>traceability platform</u> of a farm CH are expected to:</p> <ul style="list-style-type: none"> <li>• Understand their obligations to comply with the Rainforest Alliance requirements (applicable to the farm CH) for traceability platform use.</li> <li>• Have procedures in place to demonstrate that all activities in the traceability platform are in compliance with relevant Standard requirements.</li> <li>• Have a system in place to verify that the documentation supporting the traceability transactions in the platform correspond to those performed by the Farm CH.</li> <li>• Maintain records, documentation, and evidence available for the Farm CH in case they request it.</li> <li>• Report any deviation or traceability issue to the farm CH to ensure that any possible deviation is corrected.</li> </ul> <p>Non-conformities may be issued to a SC CH mandated to manage transactions for a farm CH in the Rainforest Alliance traceability platform if non-conformities with farm-related traceability requirements are observed during an audit of either the Farm CH or the SC CH.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documentation on activity verification system.</li> <li>✓ Report(s) on deviations.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see Annex S6: Traceability</p>



2.3 MASS BALANCE	
2.3.1	CONVERSIONS UNDER THE MB
<p>Guidance on applicability</p> 	 <p>This is only applicable to CHs that use the mass balance. The mass balance traceability type available for cocoa, hazelnuts, palm oil and coconut oil, and orange juice and flowers.</p> <p>For farm CHs, mass balance is available in the following sectors: Hazelnuts, palm oil, coconut oil.</p>
<p>Purpose</p> 	<p>To maintain the credibility of traceability of certified by ensuring that volume credits under the mass balance traceability type reflect processing that has actually taken place or could take place in reality.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>CHs that use mass balance volumes ensure that volume <u>credits</u> are only converted for a process that can actually occur in reality. This means: <ul style="list-style-type: none"> <li>Volume <u>credits</u> are converted only in the "forward" direction and only using conversion ratios that are plausible/possible. <i>E.g., cocoa beans may be converted to cocoa powder or butter using the standard conversion ratios (as listed in Annex S6). However, cocoa powder cannot be converted to cocoa butter as this process does not reflect a conversion that would be possible.</i></li> </ul> </li> <li>The staff in charge of recording any possible volume <u>credit</u> conversion is knowledgeable and can demonstrate the appropriate use of the traceability platform and volumes converted to reflect the reality.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documentation on volume credits and conversion rates used.</li> </ul>
<p>Guidance on applicability</p>	
<p>Annexes and other references</p> 	<p>Please see Annex S6: Traceability</p>
2.3.2	MB PRODUCTS AND THE RAINFOREST ALLIANCE SEAL



<p>Guidance on applicability</p> 	 <p>This is only applicable to CHs that use the mass balance. The mass balance traceability type available for cocoa, hazelnuts, palm oil and coconut oil, and orange juice and flowers.</p> <p>For farm CHs, mass balance is available in the following sectors: Hazelnuts, palm oil, coconut oil</p>
<p>Purpose</p> 	<p>To ensure that 100% of conventional volume claimed as certified is covered through certified volume credits.</p>
<p>Implementation guidance</p> 	<p>CHs that sell mass balance (MB) products ensure to:</p> <ul style="list-style-type: none"> <li>Cover 100% of the volume sold as MB with purchased certified volumes. This means the Rainforest Alliance seal can only be used in a mass balance product if purchases of Rainforest Alliance certified inputs are equivalent to 100% of the labelled ingredient of the product/SKU (stock keeping unit). <ul style="list-style-type: none"> <li>E.g. 100% of the certifiable ingredient is covered by 100% of MB credits. Therefore, the total content of a chocolate bar needs to be covered through the equivalent amount of certified pure cocoa product, respecting the forward conversion rules as in 2.3.1.</li> <li>If the chocolate bar contains conventional cocoa butter and conventional cocoa mass, MB credits resulting from the purchase of either certified cocoa beans or cocoa mass can be used to claim the conventional cocoa mass in the product and certified cocoa beans. Cocoa mass or cocoa butter credits can be used to claim the conventional cocoa butter.</li> </ul> </li> <li>Keep records of the product specs to show the volume of product sold as the mass balance is equivalent to 100% of the ingredient in the recipe. <ul style="list-style-type: none"> <li>E.g. A factory that produces chocolate bars of 100g each, (80g cocoa content + 20g other ingredients) shall demonstrate with every product specification and processing records, that 100% of the cocoa content used in the recipe of the chocolate bar is covered through an equivalent volume purchased as MB cocoa.</li> </ul> </li> </ul> <p>In the case of products containing other certified ingredients it must be ensured that also these products comply with the minimum certified content threshold indicated in the Rainforest Alliance Labeling and Trademark Policy.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ <u>MB</u> calculations and records to demonstrate volumes coincide with certified volumes purchased to cover them.</li> </ul>
<p>Annexes and other references</p> 	<ul style="list-style-type: none"> <li><a href="https://www.rainforest-alliance.org/business/wp-content/uploads/2020/05/Rainforest-Alliance-Labeling-and-Trademarks-Policy.pdf">https://www.rainforest-alliance.org/business/wp-content/uploads/2020/05/Rainforest-Alliance-Labeling-and-Trademarks-Policy.pdf</a></li> </ul>



2.3.3	MB AND ORIGIN INFORMATION
<p>Guidance on applicability</p> 	 <p>This is only applicable to the CH that use MB, and currently only required for the cocoa sector, when the cocoa has an origin footprint displayed in the traceability platform.</p>
<p>Purpose</p> 	<p>Mass balance credits must reflect the actual origin of volumes to ensure that investment in sustainable production flows to the country of origin.</p>
<p>Implementation guidance</p> 	<p>The origin matching requirements are only applicable in the cocoa sector. It is required for all cocoa that has an origin footprint displayed in the traceability platform.</p> <p>For CH's handling MB cocoa beans and nibs, the CH shall:</p> <ul style="list-style-type: none"> <li>• Ensure that 100% of cocoa beans and nibs purchased from another supply chain CH match 100% origin on transaction level.</li> <li>• Include origin information to country level for the certified cocoa sold.</li> <li>• Include origin information to country level for all certified and conventional cocoa beans and nibs inputs.</li> </ul> <p>For CH's handling MB cocoa liquor, the CH:</p> <ul style="list-style-type: none"> <li>• Ensures that certified cocoa liquor sold to another supply chain CH match the origin for a 12-month period on an aggregated level.</li> <li>• Includes in the sales documentation origin information to country level for certified and non-certified cocoa inputs.</li> <li>• Determines the annual recipe for origin matching of certified MB liquor following the specifications in the Annex S6.</li> <li>• Compares the annual recipe and the origins for aggregate certified liquor sales to ensure that at least 80% of the volume match up.</li> <li>• Ensures that if origin matching is less than 80% for the 12-month period, the volume gap is compensated within the next 3 months.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Physical origins of MB inputs match the annual recipe.</li> <li>✓ Recipes include origin information for products that fall in scope for origin matching.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see Annex S6: Traceability</p>



2.3.4	MINIMUM PERCENTAGES IN MB
Guidance on applicability 	 <p>This is only applicable to the CH that use MB, and currently only required for the cocoa sector.</p>
	<p>Mass balance credits must reflect the actual origin of volumes to ensure that investment in sustainable production flows to the country of origin.</p>
Implementation guidance 	<p>The origin matching requirements are only applicable in the cocoa sector. The CH:</p> <ul style="list-style-type: none"> <li>• Compares the breakdown of liquor transactions per origin in the Rainforest Alliance traceability platform with the annual recipe calculated by the company, and calculates the percentage of the origin matching.</li> <li>• Ensures that at least 80% of the volume sold in the traceability platform matches with the origins identified in the annual recipe.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Products sold as certified shall meet the minimum percentage requirements for origin information as per crop specific annexes.</li> </ul>
Annexes and other references 	<p>Please see Annex S6: Traceability</p>

2.3.5	SCOPE FOR MASS BALANCE APPLICABILITY
Guidance on applicability 	 <p>This is only applicable to CHs that use mass balance. Mass balance traceability is available for cocoa, hazelnuts, palm oil and coconut oil and orange juice products currently. MB is available for Farm CHs in the following sectors: Hazelnuts, palm oil, coconut oil.</p>
Purpose 	<p>To allow for more transparent credit management and verification by limiting credit trading without the physical shipment of corresponding product to within the scope of one certificate.</p>
Implementation guidance 	<p>CHs that sell MB products ensure that credit trading is limited to within their certificate scope. This means ensuring that:</p> <ul style="list-style-type: none"> <li>• When credits are exchanged from one to another CH, those are accompanied by physical shipment of the corresponding product. Credit exchange without physical shipment can only be done from one to another site within a multi-site certificate. Multi-site certificates are issued within a pre-defined geographical scope. <i>For example, a global company with operations in Ghana, Ivory Coast, and Ecuador will need</i></li> </ul>



	<p>to have (at least) two certificates as the sites do not belong to one geographical scope. As a result, they can only exchange the credits accumulated from the Ghanaian and Ivorian units (if covered in one multi-site certificate) because they are both within the same geographical scope (Africa). In this example, the company cannot exchange the credits of the Ecuadorian operation because it is out of the geographical scope, and must have its separate certificate.</p> <ul style="list-style-type: none"><li>• Physical shipments are available to accompany credit transfers to other CHs (this is also the case for companies operating globally, as global companies will likely have several certificates for the different geographies their sites are based in).</li></ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"><li>✓ Shipment records</li></ul>
<p>Annexes and other references</p> 	<ul style="list-style-type: none"><li>• (<a href="https://www.rainforest-alliance.org/business/geographical-scopes-rainforest-alliance-2020-certification-program/">https://www.rainforest-alliance.org/business/geographical-scopes-rainforest-alliance-2020-certification-program/</a>)</li></ul>

CHAPTER 3

# INCOME AND SHARED RESPONSABILITY



3.1 PRODUCTION COSTS AND LIVING INCOME	
3.1.1	NET INCOME ASSESSMENT
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Determine the <u>cost</u> of <u>production</u> in order to assess the net income of producers as a baseline for measuring improvements towards a living income.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"><li>• The <u>group management</u> determines the production costs by looking at e.g., fertilizers and agrochemicals, costs for hiring workers, equipment.</li><li>• Determine the net income for a sample of <u>group</u> members. (gross income – production costs = net income). For example, in a group with large and small farms, both should be included, if there is diversity in terms of inputs used, number of laborers etc. This will make the sample representative.</li><li>• Gross income is calculated based on the total certified harvested volume and the price paid to the group member. Then the net income can be calculated and shared with members.</li><li>• Organize discussions or workshops to determine how income improvement can be reached.</li></ul>
<p>Evidence and Indicators</p> 	<p>✓ Records of the calculations and communication with members.</p> <p><b>Indicator:</b> Production costs per kg of harvested product</p>
<p>Annexes and other references</p> 	



3.1.2	LIVING INCOME BENCHMARK
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Measure the difference between the producers' current net income and the <u>Living Income</u> benchmark to be able to set targets and measure progress towards achieving a living income.</p>
<p>Implementation guidance</p> 	<p>The calculated net income can be compared with the income indicated in the <u>Living Income</u> Benchmark using the <u>Living Income</u> Tool. This is a tool that has been developed by Rainforest Alliance to allow certificate holders to estimate the producer's net income and identify the gap between that and the <u>living income</u> benchmark to their country.</p> <p><u>Steps to be taken by group management:</u></p> <ul style="list-style-type: none"> <li>• Have data available for the five variables: country, year, administrative division (when available i.e., Ghana and Ivory Coast), total harvested volume and gender. This can be based on a representative sample of farmers.</li> <li>• Identify the gap between farmer's income and the <u>living income</u> benchmark in their country by comparing the results of the assessment with the graphs in the dashboards.</li> <li>• Discuss strategies that may be possible to include in the <u>Management Plan</u> to move towards a <u>Living Income</u>.</li> <li>• Monitor progress on <u>Living Income</u> metrics over time.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ <u>Living income</u> assessment</li> <li>✓ Records on identified gap</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• The total net income as assessed against the Living Income Benchmark</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S5: <u>Living Income</u> Tool and Methodology            Guidance Q: How to use the Living Income Tool            (Please note: the tool is currently available for the Cocoa Sector in Ghana and Ivory Coast)</p>



3.2 SUSTAINABILITY DIFFERENTIAL	
3.2.1	SUSTAINABILITY DIFFERENTIAL FOR GROUPS
Guidance on applicability 	
Purpose 	There is transparency about annual payment of the full amount of <u>Sustainability Differential to members</u>
Implementation guidance 	<p>The <u>Sustainability Differential (SD)</u> is a mandatory monetary amount paid by buyers of the Rainforest Alliance certified product, on top of the market price and irrespective of any other (quality) premiums and differentials to reward sustainable production. Buyers have the obligation (requirement 3.2.3) to transfer this amount to farm CHs which (in the case of groups) will be redistributed in full to the <u>group members</u>.</p> <p>Therefore, <u>group management</u> keeps records of prices paid by their buyers as well as SD (per volume) in order to calculate payment to <u>group members</u> on a pro-rata basis. Payments are done annually and in cash, or any other monetary means agreed with member(s).</p> <p>Management shall keep members informed about amounts received and payment dates.</p> <p>None of the SD payment received can be used for any management purpose.</p>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Proof of payment of the <u>SD</u> to <u>group members</u></li> <li>✓ Proof of communication of the <u>SD</u> to <u>group members</u>.</li> </ul> <p><b>Indicators:</b></p> <p>Amount of Rainforest Alliance Sustainability Differential received:</p> <ul style="list-style-type: none"> <li>• Total amount received at group management level</li> <li>• Amount received by volume at group member level</li> </ul>
Annexes and other references 	Annex S14: Shared Responsibility



3.2.2	SUSTAINABILITY DIFFERENTIAL IN LARGE FARMS AND INDIVIDUALLY CERTIFIED FARMS
Guidance on applicability 	
Purpose 	There is transparency on the use of the <u>Sustainability Differential</u> to benefit workers.
Implementation guidance 	The <u>management</u> of large <u>farms</u> (either individually certified or belonging to a group) shall: <ul style="list-style-type: none"> <li>• Consult worker representatives to identify priority areas for spending the <u>SD</u>. This can be on wages, working conditions, health and safety conditions, and housing.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Documentation on consultation with workers to identify the priority areas <u>SD</u> should be spent on.</li> <li>✓ Documentation of the <u>SD</u> received.</li> <li>✓ Records of <u>SD</u> expenditures.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• Amount of Rainforest Alliance Sustainability Differential received (total and by volume)</li> <li>• Distribution of the Sustainability Differential as % of the total amount received on the topics: a) wages; b) working conditions; c) health and safety; d) housing</li> </ul>
Annexes and other references 	Annex S14: Shared Responsibility

3.2.3	PAYMENT OF SUSTAINABILITY DIFFERENTIAL
Guidance on applicability 	
Purpose 	Complete payment of the <u>Sustainability Differential</u> ( <u>SD</u> ) is made by the buyer responsible for payment of SD.



<p>Implementation guidance</p> 	<p>The <u>Sustainability Differential</u> is a monetary payment on top of the market price, quality premiums or other differentials.</p> <p>Payment shall be done directly to the supplier of Rainforest Alliance certified products. This cannot be done in-kind.</p> <p>Buyers who are required to pay the <u>Sustainability Differential</u> are described in Annex S14. In some sectors this is the first buyer while in others it is the brand owner.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Proof of payment of the <u>SD</u> to suppliers.</li> <li>✓ Proof of calculation of the amount.</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S14: Shared Responsibility</p>

3.2.4	CONTRACT WITH TERMS AND CONDITIONS ON THE SD AMOUNT
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To ensure there is a transparent contractual agreement governing the amount and terms of <u>SD</u> payment between the buyer and seller of the certified product (payer and recipient of <u>SD</u>, respectively).</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The agreement includes: <ul style="list-style-type: none"> <li>○ The amount of <u>SD</u> agreed to be paid (respecting minimum amounts, if applicable),</li> <li>○ The clause indicating that the <u>SD</u> amount does not include other premiums (i.e., quality premium),</li> <li>○ The period/cycle the <u>SD</u> payment relates to (e.g., Harvest October 2021),</li> <li>○ The timing of payment (respecting 3.2.5),</li> <li>○ The method of payment to ensure this payment if not made in-kind,</li> <li>○ The currency in which the <u>SD</u> will be paid.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The signed agreement</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S14: Shared Responsibility</p>



3.2.5	SD PAYMENT TIMEFRAME
Guidance on applicability 	
Purpose 	To ensure that <u>SD</u> is paid in a timely fashion so that producers benefit from it every year.
Implementation guidance 	Payment shall be made at least annually unless otherwise specified in the Annex S14.
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Records kept of shipment dates.</li> <li>✓ Proof of payment.</li> </ul>
Annexes and other references 	Annex S14: Shared Responsibility

3.2.6	SD REPORTED IN THE TRACEABILITY PLATFORM
Guidance on applicability 	
Purpose 	To capture complete and accurate data, and Increase transparency on Sustainability Differential payments.
Implementation guidance 	<ul style="list-style-type: none"> <li>• Buyers report the SD amount paid in the traceability platform.</li> <li>• The amount paid is confirmed no later than 3 months after the actual payment was made.</li> <li>• Buyers are recommended to allocate staff to manage the SD payment, incl. record keeping and reporting in the platform.</li> <li>• Farms shall enter the SD amount (3.2.4) in the field 'SD agreed to be paid', and the amount received shall be confirmed in the field 'SD confirmed paid'.</li> <li>• In case the amount paid differs from what was agreed an explanation needs to be provided in the text field.</li> </ul> <p>The SC CH can access an overview of farm CH suppliers in their traceability platform, including the aggregated amount of "SD agreed to be paid" for all transactions received from that farm CH. Payment can also be done combining several volume transactions. Equally so, "SD confirmed paid" can be done at an aggregated level.</p>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Updated <u>traceability platform</u> with data on the <u>SD</u> payment(s).</li> <li>✓ Proof of payment.</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S14: Shared Responsibility</p>

3.2.7	MINIMUM SD PRICES SET PER SECTOR
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To ensure that for crops where a minimum SD is set, payments cannot be lower than this amount.</p>
<p>Implementation guidance</p> 	<p>The Rainforest Alliance reserves the right to introduce minimum <u>Sustainability Differentials</u> per sector. These are mentioned in Annex S14.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Proof of payment.</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S14: Shared Responsibility</p>



3.3 SUSTAINABILITY INVESTMENTS	
3.3.1	SUSTAINABILITY INVESTMENT
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Develop an annual investment plan so that management understands the investments required to improve sustainability performance, and can set priorities for the use of sustainability investment contributions from buyers.</p>
<p>Implementation guidance</p> 	<p>The <u>Sustainability Investments</u> are cash or in-kind investments from buyers of Rainforest Alliance Certified products to farm certificate holders for the specific purpose of helping them meet the Farm Requirements of the Sustainable Agriculture Standard. These investments include those that are required for producers to fulfil core and improvement requirements as well as the cost of achieving certification (i.e. implementation of the Digital Internal Management System and audit costs).</p> <p><u>Management</u> makes an investment plan based on the self- assessment, internal inspection and audit reports. A template is provided by RA.</p> <p><u>Management</u> has_a system in place to document the monetary and the in-kind Sustainability Investment received from buyers throughout the season.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ <u>Investment plan</u></li> <li>✓ Supporting documentation of SI received from buyers</li> <li>✓ <u>Supporting documentation of investments made</u></li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• Investment needs specified per category in the Rainforest Alliance defined investment categories</li> <li>• Sustainability Investments received from buyers</li> <li>• Distribution of the Sustainability Investments against the pre-defined investment categories, as % of the total amount received</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S16: Sustainability Investment Plan Template</p>



3.3.2 L1	CONSULTATION ON SI WITH GROUP MEMBERS AND BUYERS
Guidance on applicability 	
Purpose 	The content of the investment plan is defined jointly by <u>management</u> and <u>group members</u> so that the needs and priorities of group members are taken into account.
Implementation guidance 	Organize yearly consultation sessions with member representatives to determine the content of the plan.  Another consultation round is with buyers to jointly define their contributions to the plan.  The consultations can be done in a workshop, by carrying out interviews or surveys for instance.
Evidence and Indicators 	Evidence of the consultation with <u>group members</u> and buyers.
Annexes and other references 	

3.3.3 L1	CONSULTATION ON SI WITH WORKERS
Guidance on applicability 	
Purpose 	The content of the <u>investment plan</u> is defined with <u>worker</u> representatives.
Implementation guidance 	Organize yearly consultation sessions with worker representatives to define the content of the plan.  Another consultation round is with buyers to jointly define their contribution to the plan.  The consultations can for instance be done in a workshop, by carrying out interviews or by doing surveys.
Evidence and Indicators	✓ Evidence of the consultation with <u>workers</u> and buyers.



<p>Annexes and other references</p>	

3.3.4	SI PAYMENT
<p>Guidance on applicability</p>	<p>Applicable to supply chain CHs and farm CH if they are purchasing certified product directly from other farms.</p>
<p>Purpose</p>	<p><u>Sustainability investments</u> are paid in a timely way so the buyers' contribution is available to support implementation of the annual investment plan.</p>
<p>Implementation guidance</p>	<p>When entering contractual agreements on the purchase of certified products, in addition to agreeing on the amount of the Sustainability Differential to be paid, the farm and supply chain CHs must also agree on the type, value and terms of the <u>Sustainability Investments (SI)</u>.</p> <p>An investment need can be for example the improvement of toilet facilities to close a non-compliance with requirement 5.6.7.</p> <p>The buyer of the <u>certified</u> product shall pay the <u>Sustainability Investment</u> at least annually, in cash or in kind. Payment is made no later than 12 months after shipment of the <u>certified</u> product from farm certificate holder to the <u>first buyer</u>.</p> <p>The farm CH must be able to clearly distinguish the amount received as Sustainability Investment and/or the Sustainability Differential.</p>
<p>Evidence and Indicators</p>	<ul style="list-style-type: none"> <li>✓ Evidence of the SI payment (cash SI) or delivery of services (in-kind SI)</li> </ul>
<p>Annexes and other references</p>	



3.3.5	SI RECORDED IN THE TRACEABILITY PLATFORM
<p>Guidance on applicability</p> 	 <p>Applicable to supply chain CHs and farm CH if they are purchasing certified product directly from other farms.</p>
<p>Purpose</p> 	<p>To capture complete and accurate data, and Increase transparency on Sustainability Investment payments.</p>
<p>Implementation guidance</p> 	<p>The supply chain CH shall:</p> <ul style="list-style-type: none"> <li>• Record the confirmation of the SI payment in the traceability platform no later than 3 months after the actual payment was made.</li> <li>• Estimate the value of the in-kind SI and report it in the traceability platform.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Proof of payments.</li> <li>✓ SI data updated in the <u>traceability platform</u> (yearly).</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S14: Shared Responsibility</p>



### 3.4 SUPPLY CHAIN CONTRIBUTIONS FOR LIVING WAGE PAYMENT

3.4.1	WAGE IMPROVEMENT PLANS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Companies' contributions to the improvement of farm workers' wages are aligned with the wage improvement plans made by farm CHs.</p>
<p>Implementation guidance</p> 	<p>The <u>supply chain</u> certificate holder has a copy of the farm CH's latest wage improvement plan.</p> <p>Based on this plan, strategies are identified to support those wage improvements and by when.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Copies of the Wage improvement plan(s) of the farm(s)CHs.</li> <li>✓ Records of the contributions made.</li> </ul>
<p>Annexes and other references</p> 	

### 3.4.2 MODALITIES OF THE LIVING WAGE PAYMENT

<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>The modalities of the company's Living Wage Payment contributions are established in consultation, and agreed with the farm certificate holder in line with their wage improvement plan.</p>
<p>Implementation guidance</p> 	<p>The supply chain CH discusses and agrees with the farm in writing how and by when they will contribute to the farm's wage improvement plan.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Evidence of engagement.</li> <li>✓ The signed agreement.</li> </ul>



<p>Annexes and other references</p> 	
<p><b>3.4.3</b></p>	<p><b>ACTUAL LIVING WAGE PAYMENT CONTRIBUTION</b></p>
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Company's Living Wage Payment contributions are paid as agreed with the farm CH.</p>
<p>Implementation guidance</p> 	<p>Living Wage payment contributions can be in cash or in-kind, depending on the agreements made with the farm CH, and based on their wage improvement plan.</p>
<p>Evidence and Indicators</p> 	<p>✓ Proof of payment.</p>
<p>Annexes and other references</p> 	



3.4.4	RECORDS OF THE LIVING WAGE PAYMENT CONTRIBUTION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Provide transparency around how companies' contributions contribute to wage improvements at the farm level</p>
<p>Implementation guidance</p> 	
<p>Evidence and Indicators</p> 	<p>✓ Proof of payment.</p>
<p>Annexes and other references</p> 	



## CHAPTER 4

# FARMING



4.1 PLANTING AND ROTATION	
4.1.1	SELECTION OF PLAN VARIETIES FOR PLANTING, GRAFTING, AND RENOVATION
<p>Guidance on applicability</p> 	 <p>Group management is responsible for using the Farm Risk Assessment results to identify the most appropriate planting material. In meetings they can inform their members on the advantages and importance of using those varieties to improve crop resistance and productivity. It can also be supported with nursing facilities, etc.</p>
<p>Purpose</p> 	<p>Plant varieties are selected to mitigate risks of climate change, and support good crop productivity and quality to increase the resilience and profitability of producers.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH identifies the type of varieties most suitable for their regions in terms of their quality, productivity, resistance to <u>pests</u> and diseases, and climate. It is recommended to base the selection on the outcome of the Climate Change in-depth Farm <u>Risk Assessment</u>. E.g., selecting drought-tolerant varieties in dry areas, resistant varieties against soil borne diseases in humid regions, etc.</li> <li>• Ensure that planting material is free of pests and diseases.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Outcome of the Farm Risk Assessment.</li> <li>✓ Other documentation used to decide on plant selection.</li> </ul>
<p>Annexes and other references</p> 	



4.1.2	ESTABLISHMENT OF CROPPING SYSTEMS FOR NEW PLANTINGS
<p>Guidance on applicability</p> 	 <p>Every group member and individual farm received explanations on the importance of a well-established cropping system for new plantings. Farmers can demonstrate how they use diversification and intercropping (when possible) to improve soil quality.</p>
<p>Purpose</p> 	<p>Crop systems are managed to avoid negative impacts on the environment, optimize productivity, and diversify production/ha.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Producers ensure a well-established cropping system for the new plantings.</li> <li>• The CH: <ul style="list-style-type: none"> <li>○ Identifies the requirements of the variety used for the new plantings. E.g., the amount of light, shade, water, nutrients needed for the crop.</li> <li>○ Uses planting density appropriate for crop development.</li> <li>○ Considers the geographical, ecological, and agronomic conditions when selecting the cropping system. E.g., the topography, altitude, type of soil,</li> <li>○ Considers diversification and intercropping. E.g., combine crops that favor the development of beneficial micro-organisms, the nutrient cycles, the natural regulation of pests, a higher content of organic matter, better retention of water in areas where this is needed.</li> <li>○ Monitors the development of the new plantings and its impact on the diversification of production.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records kept on decision making and implementation of new plantings.</li> </ul>
<p>Annexes and other references</p> 	



4.1.3 L1 MEASURES TO PREVENT PEST AND DISEASES AND BREAK THEIR BIOLOGICAL CYCLE	
Guidance on applicability 	
Purpose 	Implement measures to prevent outbreaks of pests and diseases before they occur to support improved crop management and productivity.
Implementation guidance 	<ul style="list-style-type: none"> <li>• Producers identify measures to prevent pests and diseases, support soil health and improve weed management.</li> <li>• Suggestions are:               <ul style="list-style-type: none"> <li>○ Intercropping, as mentioned in Integrated Pest Management. It stimulates the presence of natural enemies and promotes allelopathic effects.</li> <li>○ Crop <u>rotation when working with</u> annual crops as it breaks pest cycles, especially soil borne diseases.</li> <li>○ Leave the field without any crop for a season to break pest cycles.</li> </ul> </li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Documentation on measures in place.</li> </ul>
Annexes and other references 	Please see <i>Guidance Document H: IPM strategy</i>

4.2 PRUNING AND RENOVATION OF TREE CROPS	
4.2.1	PRUNING CYCLE IMPLEMENTATION
Guidance on applicability 	
Purpose 	Pruning is used as a way to maintain good growing conditions, and optimize crop production
Implementation guidance 	<ul style="list-style-type: none"> <li>• Management shall implement a <u>pruning</u> cycle as specified in the standard including:               <ul style="list-style-type: none"> <li>○ <u>Pruning</u> for formation: e.g., removal of undesired branching to stimulate the productive parts, and sustained high yield.</li> <li>○ <u>Pruning</u> of maintenance: e.g., sanitation of trees, elimination of non-desired plant parts such as shoots and suckers, thinning, and heading.</li> <li>○ <u>Rejuvenation</u>: to be performed gradually or extensively.</li> </ul> </li> <li>• The pruning cycle differs depending on climatic conditions and crop variety. With some crops it also depends on the product to be sold.</li> <li>• Group management supports members by providing tools, training or any other technical support to optimize pruning.</li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records on pruning kept.</li> <li>✓ Records on pruning instructions kept (where relevant).</li> </ul>
<p>Annexes and other references</p> 	<p>Please see <i>Guidance Document I: Pruning</i></p>

4.2.2	MONITORING OF GROUP MEMBER'S PRUNING PRACTICE
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Pruning is used as a way to maintain good growing conditions, and optimize crop production.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Small farms carry out <u>pruning</u> according to requirement 4.2.1.</li> <li>• <u>Group</u> management is responsible for:             <ul style="list-style-type: none"> <li>○ Calculating the number of group members need to <u>prune</u> correctly.</li> <li>○ Internal inspections are used to do the calculation.</li> <li>○ Make a plan, monitor progress, and report on it.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Pruning records / monitoring records</li> </ul> <p><b>Indicators:</b> % of group members that prune according to crop needs agro-ecological conditions and applicable pruning guidelines</p>
<p>Annexes and other references</p> 	



4.2.3	RENOVATION																									
<p>Guidance on applicability</p> 																										
<p>Purpose</p> 	<p>Crops are renovated regularly to maintain the best productivity and quality level.</p>																									
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>Producers shall <u>renovate</u> the certified crop when needed, for instance, when plantations are too old, or some diseases require uprooting of the plants to avoid further spread of the disease or simply to improve productivity, e.g., by using more resistant varieties.</li> <li><u>Renovation</u> can be done in a total area or gradually, for example, gap-filling and grafting.</li> <li><u>(Group)</u> management is tasked to:             <ul style="list-style-type: none"> <li>Define where <u>renovation is needed</u>.</li> <li>Use internal inspection results to calculate the percentage of members applying <u>renovation</u>.</li> </ul> </li> </ul> <table border="1" data-bbox="576 936 1385 1281"> <thead> <tr> <th colspan="5">Scoring table renovation</th> </tr> <tr> <th>Score</th> <th>Good</th> <th>Good</th> <th>Good</th> <th>Poor</th> </tr> </thead> <tbody> <tr> <td>Description</td> <td>Few old trees</td> <td>Old trees but farmer is maintaining them with good pruning</td> <td>Old trees but farmer is replanting</td> <td>Old trees with little replanting and little maintenance pruning</td> </tr> <tr> <td>Scoring during internal inspection</td> <td>&lt; 20 % of old age crop trees</td> <td>Old age trees &gt;20% and farmer scores GOOD on pruning</td> <td>Old age trees &gt;20% and farmer has &gt;35% seedlings/ young age trees</td> <td>Old age trees &gt;20% and farmer has &lt;35% seedlings/ young age trees</td> </tr> <tr> <td>Group member applying adequate renovation practices YES/NO</td> <td>YES</td> <td>YES</td> <td>YES</td> <td>NO</td> </tr> </tbody> </table> <ul style="list-style-type: none"> <li>Monitor progress, and report on the renovation results.</li> </ul>	Scoring table renovation					Score	Good	Good	Good	Poor	Description	Few old trees	Old trees but farmer is maintaining them with good pruning	Old trees but farmer is replanting	Old trees with little replanting and little maintenance pruning	Scoring during internal inspection	< 20 % of old age crop trees	Old age trees >20% and farmer scores GOOD on pruning	Old age trees >20% and farmer has >35% seedlings/ young age trees	Old age trees >20% and farmer has <35% seedlings/ young age trees	Group member applying adequate renovation practices YES/NO	YES	YES	YES	NO
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Group member applying adequate renovation practices YES/NO	YES	YES	YES	NO																						
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>Records on renovation kept.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>For small farms: % of group members that applied renovation practices for the certified crop</li> <li>For large farms: % of farm area with certified crops where renovation practices are implemented</li> </ul>																									
<p>Annexes and other references</p> 																										



4.3 GENETICALLY MODIFIED ORGANISMS (GMOs)	
4.3.1	NO GMOs IN CERTIFIED CROPS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Avoid the use of genetically modified organisms (GMO) to avoid any possible negative impacts of <u>GMO</u> crops on the environment or human health.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• CH checks that seeds and any other genetic material used for crops under the Rainforest Alliance certificate scope are free of transgenic materials.</li> <li>• Producers can cultivate <u>GMO</u> crops within their property limits as long as these are not included in the certification scope.</li> <li>• If farmers have <u>GMO</u> crops, management has an overview of these farm units by indicating them in the farm map.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Certificates for planting material used.</li> <li>✓ Documents like purchasing invoices for seeds or other propagation material.</li> <li>✓ Farm map.</li> </ul>
<p>Annexes and other references</p> 	



4.3.2	NO GMOs in THE FARM
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Avoid the use of genetically modified organisms (GMO) on the farm to avoid any risk of contamination of certified crops, and ensure all crops produced are GMO free.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• CH ensures that seeds and any other genetic material used in the farm are free of transgenic materials.</li> <li>• For groups, this means:             <ul style="list-style-type: none"> <li>○ Proactively remind members that all farm units need to comply with this requirement, not only the certified crop.</li> <li>○ Inform about the possible risk of <u>GMO</u> crops/planting materials that are available in the region.</li> <li>○ Provide information on where to source non-<u>GMO</u>'s seedlings/planting material, e.g., sharing catalogues of trustful suppliers.</li> <li>○ Ensure members keep documentation of all planting material used in the farms.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documentation that planting material is non-GMO e.g., certificates or receipts showing the material's origin.</li> <li>✓ Examples of information shared with group members.</li> </ul>
<p>Annexes and other references</p> 	



4.4 SOIL FERTILITY AND CONSERVATION	
4.4.1	SOIL ASSESSMENT
<p>Guidance on applicability</p> 	 <p>For groups, the <u>assessment</u> is carried out for a representative sample of areas. The Square Root formula is suggested to use to calculate the sample size of group members</p> <p>For Large farms in a group and individually certified farms, assessments must be done in each farm, and for a representative sample of areas.</p>
<p>Purpose</p> 	<p>The assessment helps producers understand how and where to improve the soil fertility, and include relevant actions in the management plan.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Once every three years a <u>soil assessment</u> for a representative sample of areas is done.</li> <li>• The assessment includes (if relevant): <ul style="list-style-type: none"> <li>○ Areas with an increased risk for erosion, e.g., slopy areas, areas open to strong winds.</li> <li>○ Understanding the soil structure (e.g., if the <u>soils</u> are clay, sandy, loamy).</li> <li>○ Identify soil depth and <u>soil</u> horizons , e.g., if there is a relatively thin layer of <u>topsoil</u>, low content of organic matter.</li> <li>○ Identify areas where the <u>soil</u> is very compact, and where limitations due to flooding and drainage conditions may prevail.</li> <li>○ Moisture and water level in the <u>soil</u>.</li> <li>○ Drainage conditions, meaning identify areas with excessive water that may affect the crop.</li> <li>○ Identification of areas with visual symptoms of nutrient deficiency, e.g., areas with discoloration or premature dying of leaves.</li> </ul> </li> <li>• For determining the representative sample it is recommended to: <ul style="list-style-type: none"> <li>○ For individual farms with relatively uniform soil and topography a random sampling method can be used.</li> <li>○ For groups with members located in different zones, variable <u>soil</u> and topography, it is recommended to first select soil/crop zones based on relevant <u>soil</u> factors as mentioned above.</li> </ul> </li> </ul> <p>Next step would be to use random sampling per zone or use benchmark locations. For the second option, select 1 or 2 representative acres, and then sample the same area each year. Or select 1-3 benchmark locations when there is many <u>soil</u> variation and topography.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ <u>Soil assessment</u>.</li> <li>✓ Recommendations documented.</li> </ul>
<p>Annexes and other references</p> 	



4.4.2	SOIL MANAGEMENT MEASURES
<p>Guidance on applicability</p> 	 <p>For groups, Group Management assists farmers in understanding how productivity can be made sustainable when explaining the status of his/her soils' and in particular problematic areas.</p>
<p>Purpose</p> 	<p>The soil assessment is used to identify necessary improvements, and relevant actions are included in the <u>Management Plan</u> to maintain the best growing conditions, and enhance productivity.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• <u>Management</u> identifies measures to improve soil fertility.</li> <li>• Consider measures to build up soil organic matter, increase on-farm nutrient recycling, and optimize soil moisture.</li> <li>• Check if measures are affordable and accessible before including them in the <u>Management Plan</u>.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of measures identified.</li> <li>✓ Management Plan.</li> </ul>
<p>Annexes and other references</p> 	<p><i>Guidance document J: Soil Fertility and conservation.</i></p>

4.4.3	SOIL TESTS AND/OR (VISUAL) LEAF TESTS
<p>Guidance on applicability</p> 	 <p>A 'representative sample' considers the diverse soil types, and any other factor that may require particular attention.</p> <ul style="list-style-type: none"> <li>○ For individual farms with relatively uniform soil and topography a few samples throughout the entire field may be taken using a random sampling method.</li> <li>○ For groups with variable soil and topography, group management identifies soil/crop management zones based on the soil assessment 4.4.1</li> </ul>
<p>Purpose</p> 	<p>Regular tests are conducted to keep information up-to-date, and support producers to take appropriate actions to maintain the best growing conditions, and enhance productivity.</p>



<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Management carries out soil tests and/or (visual) leaf tests, including macronutrients and organic matter.</li> <li>• Tests are done: <ul style="list-style-type: none"> <li>○ On a representative sample of areas.</li> <li>○ Once a year for annual crops (such as pineapples).</li> <li>○ Every 3 years for perennial crops (such as cocoa, tea, coffee).</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of the soil and/or leaf tests.</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance document J: Soil Fertility and conservation.</p>

4.4.4	USE OF ORGANIC FERTILIZERS AND BY-PRODUCTS AVAILABLE
<p>Guidance on applicability</p> 	 <p>For group members, it is their responsibility to demonstrate compliance with this requirement. Thus, records of the composting should be available at the level of group members.</p>
<p>Purpose</p> 	<p>Support nutrient cycling on the farm to make effective use of agricultural waste materials, and reduce the need for agrochemicals as fertilizers.</p>
<p>Implementation guidance</p> 	<p>When available, priority is given to by-products, including organic fertilizers produced on the farm. The main idea is to encourage closing the nutrient cycle: E.g., in coffee, the coffee husks may be used to produce bocashi. In cocoa, the cocoa pods may be used to prepare compost. When producers have livestock in another farm unit, the manure from that unit may be converted into organic fertilizer.</p> <p>When this is not enough to reach the desired nutrient levels organic fertilizers from outside the farm, such as compost, humus, bocashi, or inorganic fertilizers can be used.</p> <p>When animal manure is used, producers shall ensure that:</p> <ul style="list-style-type: none"> <li>• It is hot composted before using it as fertilizer. This means manure has gone through a process where microbial activity is optimized by, for example, keeping the right ratio between Carbon sources (e.g., straw, leaves) and the Nitrogen provided by the manure. This ensures that the compost pile has the necessary humidity for microbes to decompose the organic matter, and provides required aeration to achieve the high temperatures necessary for the rapid decomposition of the compost.</li> <li>• It is stored 25 meters away from any water body, even if it is composted.</li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Fertilization records and task records.</li> <li>✓ Task records on manure composting and storage.</li> <li>✓ Storage is at least 25 mts away from water bodies.</li> </ul>
<p>Annexes and other references</p> 	

<b>4.4.5 L1</b>	<b>MEASURES TO AVOID SOIL EROSION</b>
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<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To avoid erosion, and improve soil quality to provide the best conditions for crop health and productivity.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Producers use cover crops or mulching, for instance, to avoid that the production area is left exposed.</li> <li>• It is recommended to monitor areas with steep slopes, fragile soils, and other risks of high erosion by looking at the map required in (1.2.10) and results of the risk assessment (1.3.1)</li> <li>• Identify ways to prevent heating of the topsoil, avoid accelerated decomposition of organic matter, assure optimum soil climatic conditions for microbiological activity in the topsoil, maintain CEC and other qualitative soil characteristics, fix atmospheric Nitrogen for slow release to the crops and maintain good water retention capacity.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of measures taken.</li> </ul>
<p>Annexes and other references</p> 	



4.4.6L1	APPLICATION OF FERTILIZERS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To ensure that fertiliser use is as efficient and effective as possible, avoid waste of <u>fertilizer</u>, and protect against contamination of surface water (eutrophication).</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Producers demonstrate that the application of <u>fertilizers</u> is in accordance with the crop needs. E.g., right dosage and time of application, considering the crop nutrient uptake.</li> <li>• Producers implement the soil management measures included in the Management Plan (4.4.2), which are based on the results of the soil assessment (4.4.1), and soil and or leaf tests (4.4.3).</li> <li>• <u>Fertilizers</u> are applied in a way to minimize contamination of the environment. This refers to minimizing lixiviation or leaching, meaning incorporating the fertilizer in the soil instead of applying it superficially, controlling the soil pH, etc.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of dosage applied and timing of fertilization</li> </ul>
<p>Annexes and other references</p> 	



4.4.7	MONITORING THE USE OF INORGANIC FERTILIZERS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>To make sure that fertilizers are applied efficiently and according to crop needs.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"><li>To monitor the use of inorganic <u>fertilizers</u> the CH shall quantify the volumes of N, P, K used per hectare, and compare them with crop needs and productivity records.</li></ul>
<p>Evidence and Indicators</p> 	<p>✓ Records / Monitoring data of the inorganic fertilizer used</p> <p><b>Indicator:</b> Volume of N, P and K per ha (Kg/ha, per year or per cropping cycle)</p> <p>In groups of small farms, the indicator can be monitored for a representative sample of farms.</p>
<p>Annexes and other references</p> 	



4.5 INTEGRATED PEST MANAGEMENT (IPM)	
4.5.1	IPM STRATEGY
<p>Guidance on applicability</p> 	 <p>Group management is responsible for developing the IPM Strategy for its members, and supporting them in the implementation.</p>
<p>Purpose</p> 	<p>Establishment of an IPM strategy that reduces yield losses by pests, reduces the use of pesticides and increases profitability.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH develops an <u>IPM Strategy</u> for the whole farm including warehouses and processing facilities at farm level.</li> <li>• The IPM strategy: <ul style="list-style-type: none"> <li>○ Is based on three main principles: prevention, monitoring of pests and intervention (with non-chemical measures as the first line of defence).</li> <li>○ Is developed by a competent professional, e.g., a licensed agronomist or technician with proven experience in IPM.</li> <li>○ Is developed based on the local context, climate conditions, pest monitoring results, and results of the previous <u>IPM</u> actions, and pesticides application records.</li> <li>○ Is annually updated.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ IPM Strategy Records of the professional who developed the IPM strategy.</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance document H: <u>IPM strategy</u></p>



4.5.2	MONITORING OF PEST AND NATURAL ENEMIES
<p>Guidance on applicability</p> 	 <p>For Large farms in a group and individually certified farms: records of monitoring are kept separately. For groups: the group management keeps records for a representative sample of producers. The Square Root formula is suggested to calculate the sample size of group members to collect the required data.</p>
<p>Purpose</p> 	<p>To assess the presence and severity of <u>pest</u> infestations and <u>natural enemies</u> to <u>support the development of an effective</u> IPM strategy.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Producers shall regularly monitor pests, and their principal natural enemies. This means CH shall:             <ul style="list-style-type: none"> <li>○ Identify the main crop <u>pests</u>, and their principal <u>natural enemies</u>, by using crop guides, pictures, or apps available to identify the <u>natural enemies</u> or any other resource to identify natural enemies.</li> </ul> </li> </ul> <p>Advice is to focus on those that can be observed and monitored without elaborated procedures, e.g., parasitoids, predators that can be observed in the field.</p> <ul style="list-style-type: none"> <li>○ Monitor regularly, especially during times when the crop is susceptible, or during weather conditions that have been identified to promote <u>pest</u>, disease and weed outbreaks.</li> <li>○ Always use the same scouting pattern and sampling method appropriate for the <u>pest</u> (stage).</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Monitoring records of pests and principal natural enemies.</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance document H: IPM strategy</p>



4.5.3	AGROCHEMICAL APPLICATIONS AS LAST RESORT
<p>Guidance on applicability</p> 	 <p>Record keeping of thresholds, non-chemical, and chemical controls are kept at the level of individual members of a group and individually certified farms.</p> <p>For Small farms in a group, record keeping is done for a representative sample of producers. The Square Root formula is suggested to calculate the sample size of group members to collect the required data.</p>
<p>Purpose</p> 	<p>Pesticides are used as the last resort to control pests and disease after other non-chemical methods have proved unsuccessful</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Producers shall: <ul style="list-style-type: none"> <li>○ Use biological, physical, and other non-chemical control methods for pest prevention and control as first option.</li> <li>○ Document their effectiveness.</li> <li>○ Identify threshold levels of pests. This includes the Economic Injury Level (EIL), and the Economic Threshold level (ET). The first one refers to the point where the value of the crop lost will be greater than the expense of a control method. The second one refers to the pest density at which control measures should be implemented to prevent it from reaching the Economic-injury Level.</li> <li>○ Use agrochemical applications when threshold levels of pests are reached.</li> </ul> </li> <li>• When agrochemicals are used, producers shall: <ul style="list-style-type: none"> <li>○ Ensure that the advice for the application is done by a competent technician, meaning a professional with proven skills, knowledge, and experience on IPM, or an official national organization</li> <li>○ Use the agrochemicals with the lowest possible toxicity and highest selectiveness available. Apply only on the impacted plants and areas. Except when this is technically possible, e.g., in the case of nematode control. Rotate the active ingredient to avoid and reduce resistance by changing the chemical family of the pesticide (e.g., not always applying pyrethroids but rotating with pesticides with other modes of action).</li> </ul> </li> <li>• Avoid calendar spraying, and use it only when recommended by a competent technician, or official national organization.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documented prevention and non-chemical methods in place.</li> <li>✓ Where relevant documented advice from a competent technician, or official national organization.</li> <li>✓ Records on thresholds.</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance document H: IPM strategy</p>



4.5.4	TRAINING ON IPM
Guidance on applicability 	
Purpose 	All people involved in pest management activities understand the concept and principles of IPM, so they are able to apply them effectively.
Implementation guidance 	<ul style="list-style-type: none"> <li>• The CH provides training on <u>IPM</u> to producers and <u>workers</u> involved in <u>pest</u> management activities.</li> <li>• When pest control is subcontracted, the CH checks the competence of the personnel in charge of pest management activities.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Training records or evidence of competence of workers involved in pest management (including subcontractors)</li> </ul>
Annexes and other references 	

4.5.5 L1	IPM STRATEGY IMPLEMENTED IN SMALL FARMS
Guidance on applicability 	
Purpose 	<u>IPM</u> strategy is developed and implemented on all farms to support optimal productivity, and reduce the use of agrochemicals over time.
Implementation guidance 	Smallholder members implement the <u>IPM</u> strategy on the whole farm. This means small farm members shall follow the prevention, monitoring, and intervention measures as described in the IPM strategy (4.5.1).
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ IMP activity records.</li> </ul>
Annexes and other references 	



4.5.6 L2	NATURAL ECOSYSTEMS TO INCREASE HABITAT FOR NATURAL ENEMIES
<p>Guidance on applicability</p>	
<p>Purpose</p> 	<p>Biodiversity is conserved on farms, and there are enough places where natural enemies of pests can live and thrive to support integrated pest management practices.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"><li>• The CH implements practices to increase habitat for <u>natural enemies</u>.</li><li>• Examples are insectaries, planting bird/bat/pollinator attracting trees and shrubs, converting low-lying areas to small ponds with vegetation and enhancing riparian areas and vegetation.</li><li>• The CH monitors developments.</li></ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"><li>✓ Activity records.</li><li>✓ Data on presence of natural enemies.</li></ul>
<p>Annexes and other references</p> 	



4.5.7	MONITORING OF PESTICIDES
<p>Guidance on applicability</p> 	 <p><u>For groups:</u> Internal inspectors may use a representative sample of farms to collect these data. The Square Root formula is suggested to determine the sample size.</p> <p><u>For large /individual farms:</u> From the agrochemical's application records, management calculates the average of each <u>active ingredient</u> per ha or kg (in liters/ha or kg/production, per year, or per cropping cycle).</p>
<p>Purpose</p> 	<p>Collect accurate data to track the use of pesticides as a basis for reducing its use over time.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Management shall: <ul style="list-style-type: none"> <li>◦ Monitor the <u>pesticides</u> used on the whole farm (including processing facilities) yearly.</li> <li>◦ Calculate the use of active <u>ingredient</u> per ha. This refers to the volume of active compound or chemical that triggers in the pest the specific toxic effect (excluding all other substances that can assist).</li> <li>◦ On the packaging of the product, or on the MSDS, the percentage of active ingredient is indicated. Based on this percentage and the use of the product, the application per hectare can be calculated. <i>E.g. if a product contains 40% active ingredient, and 5 kg is used per hectare, and applied 2 times in the year, the use per ha per year is <math>0.40 \times 5 \times 2 = 4</math> kg/ha/year.</i></li> <li>◦ Use the data to reduce their use over time.</li> </ul> </li> <li>• Producers may increase the use of <u>pesticides</u>, which does not imply a non-compliance against this requirement, e.g., when there is an outbreak of a pest.</li> <li>• If <u>active ingredients</u> are used, listed in the 'Exceptional use policy' or Risk mitigation list, the internal inspector need to record this.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Monitoring data on the use of active ingredient/ha of pesticides.</li> <li>✓ Monitoring data on the use of Exceptional Use List and Risk Mitigation List.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• Active ingredients per ha (a.i. kg/ha, per year or per cropping cycle).</li> <li>• Active ingredients used that are listed in the Exceptional Use list and Risk Mitigation list.</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S7: Pesticides Management</p>



4.6 AGROCHEMICALS MANAGEMENT	
4.6.1	PROHIBITED PESTICIDES
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Prohibit the use of highly hazardous agrochemicals to avoid all possible negative impacts on the environment and human health.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH verifies that pesticides included in the IPM strategy are:               <ul style="list-style-type: none"> <li>○ Adequately registered in their country.</li> <li>○ Allowed by applicable law.</li> <li>○ Not listed in the Rainforest Alliance. Prohibited list, and the Obsolete list (Annex S7), by checking the active ingredient and CAS No.</li> </ul> </li> <li>• All pesticides used in the farm during production, post-harvest, and processing areas within the scope of the farm certificate, comply with this requirement. This also includes subcontracted pesticide service providers.</li> <li>• Chemical substances used for livestock or pets are not included in the scope of this standard.</li> <li>• All pesticides used are bought from authorized vendors, in original and sealed packaging. Authorized vendors mean sellers that are approved/accredited or legally registered to sell pesticides.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ List of applied agrochemicals.</li> <li>✓ Purchase records / invoices.</li> </ul>
<p>Annexes and other references</p> 	<p><i>Annex S7: Pesticides Management</i></p>



4.6.2	USE OF PESTICIDES INCLUDED IN THE RISK MITIGATION LIST
<p>Guidance on applicability</p> 	 <p>The requirements on Integrated Pest Management (IPM), and pesticides, apply to the whole farm. This means that pesticides applied on other crops grown within the farm also need to comply with this requirement.</p>
<p>Purpose</p> 	<p><u>Pesticide</u> risks are reduced through the full implementation of risk mitigation practices.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• CHs shall: <ul style="list-style-type: none"> <li>○ Identify if <u>pesticides</u> are listed in the Risk Mitigation list (see Annex S7) by checking the active ingredient and CAS No. This is particularly important as the active ingredient can be easily confused with another because they are often spelled very similarly. For example, Lamda Cyhalothrin is not the same as Beta Cyhalothrin.</li> <li>○ Ensure that when these <u>pesticides</u> are applied, they are used in accordance with the IPM strategy, and follow the related risk mitigation measures described in Annex S7..</li> <li>○ Monitor the use of <u>pesticides</u>.</li> </ul> </li> <li>• In cases where the application of prohibited substances is mandatory by local authorities or applicable law, the CH shall provide evidence of this, and apply for the exceptional use of prohibited pesticides with RA. The CH shall report on the exempted pesticide's actual use as indicated in the Exceptional use policy.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of pesticide application.</li> <li>✓ IPM and Risk mitigation list.</li> </ul>
<p>Annexes and other references</p> 	<p><i>Annex S7: Pesticides Management</i>  <i>Policy on Exceptional use of FAO/WHO highly hazardous pesticides</i></p>



4.6.3	TRAINING ON PESTICIDES HANDLING AND USE OF PPE
<p>Guidance on applicability</p> 	 <p>The requirements for Integrated Pest Management and pesticides apply to the whole farm and all crops.</p>
<p>Purpose</p> 	<p>Ensure that persons handling and applying <u>pesticides</u> know how to prepare and handle <u>pesticides correctly</u>, and use all necessary <u>personal protective equipment</u> to avoid negative impacts on human health and the environment.</p>
<p>Implementation guidance</p>	<ul style="list-style-type: none"> <li>• CHs ensure to: <ul style="list-style-type: none"> <li>○ Provide annual training to persons handling pesticides to ensure they are skilled in preparing and applying pesticides.</li> <li>○ Provide PPE as prescribed in the product's label or MSDS to all workers free of charge.</li> <li>○ Provide <u>basic protective clothing</u> and additional items according to the potential risk, and recommended by a competent technician. The basic PPE is coveralls over a long-sleeved shirt, long pants, socks, stout shoes, chemically resistant gloves, protection for eyes (e.g., face mask or goggles), and respiratory protection.</li> <li>○ Provide Respirators with an organic vapor (OV) cartridge or canister with any N, R, P, or 100 series filter to those workers handling pesticides listed as having 'bystander risk' in the List of Risk Mitigation Pesticides (see Annex S7)</li> <li>○ Have procedures in place to ensure PPE is washed after use.</li> <li>○ Ensure that PPE is stored safely directly after use and does not enter the worker's housing.</li> </ul> </li> <li>• The PPE is: <ul style="list-style-type: none"> <li>○ In good condition. This means any damaged or worn equipment is replaced or repaired.</li> <li>○ Washed and stored safely.</li> <li>○ Disposed of when it is a single-use item.</li> </ul> </li> <li>• It is highly recommended to provide adequate PPE (at least gloves) to those workers whose daily job may represent an increased risk of exposure to agrochemicals. However, they are not pesticide handlers, for example, workers in charge of washing PPE and cloths on a Large farm.</li> </ul> <p>The CH shall identify strategies to encourage the use of PPE, especially in the context where wearing PPE is a challenge, e.g., instruct workers to apply agrochemicals early in the morning or late in the afternoon when the weather is not so hot, or raise awareness for workers and their families on the long-term effects of exposure to pesticides like cancer and other health issues.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Training records of personnel handling pesticides.</li> <li>✓ Evidence that PPE is provided free of charge.</li> <li>✓ Records of PPE use instructions.</li> </ul> <p>Procedures how to wash PPE after use, and store them.</p>
<p>Annexes and other references</p> 	



4.6.4	PROVISION OF SITE TO BATHE, CHANGE AND WASH CLOTHES AFTER APPLICATION
Guidance on applicability 	 <p>The requirements for Integrated Pest Management and pesticides apply to the whole farm and all crops.</p>
Purpose 	<p>Ensure that <u>pesticides</u> handlers wash off agrochemical residues after application to avoid negative health effects.</p>
Implementation guidance 	<ul style="list-style-type: none"> <li>• CHs ensure:               <ul style="list-style-type: none"> <li>○ that all <u>pesticide</u> handlers shower and change their clothes after finishing the application. This is to avoid they have residues on them after work, and that other people get exposed to pesticides.</li> <li>○ To offer a site with privacy, water, and soap for the pesticide handlers to take a shower.</li> </ul> </li> <li>• Where possible, the CH shall provide a bathing facility instead of just water. When the producer is the <u>pesticide</u> handler, he/she shall wash the PPE, and take a shower after finishing the application. PPE shall be safely stored (as indicated in 4.6.3).</li> </ul>
Evidence and Indicators 	<p>Have a site available with water, soap, and privacy.</p>
Annexes and other references 	

4.6.5	PESTICIDES APPLICATION, REI AND PHI
Guidance on applicability 	 <p>The requirements for Integrated Pest Management and pesticides apply to the whole farm and all crops.</p>
Purpose 	<p>Ensure that <u>pesticides</u> are applied according to the manufacturer's recommendations, and/or as recommended by an official national organization to reduce the negative impacts of <u>pesticides</u> on the environment and human health.</p>
Implementation guidance 	<p><u>Pesticide</u> handlers:</p> <ul style="list-style-type: none"> <li>• Understand information and recommendations indicated on the <u>pesticide</u> label, <u>MSDS</u>, security tags. When a recommendation has been given by an official national organization or competent <u>technician</u>, this recommendation is also followed.</li> <li>• Use the right dosage and equipment, and apply when there are appropriate weather conditions, e.g., when it is not too hot or windy.</li> <li>• Transport <u>pesticides</u> safely. This means the risks of accidents are minimized.</li> </ul> <p>CH ensures that the preparation and application of <u>pesticides</u> comply with the standard:</p> <ul style="list-style-type: none"> <li>• Have trained and <u>competent</u> people as indicated in 4.6.3.</li> </ul>

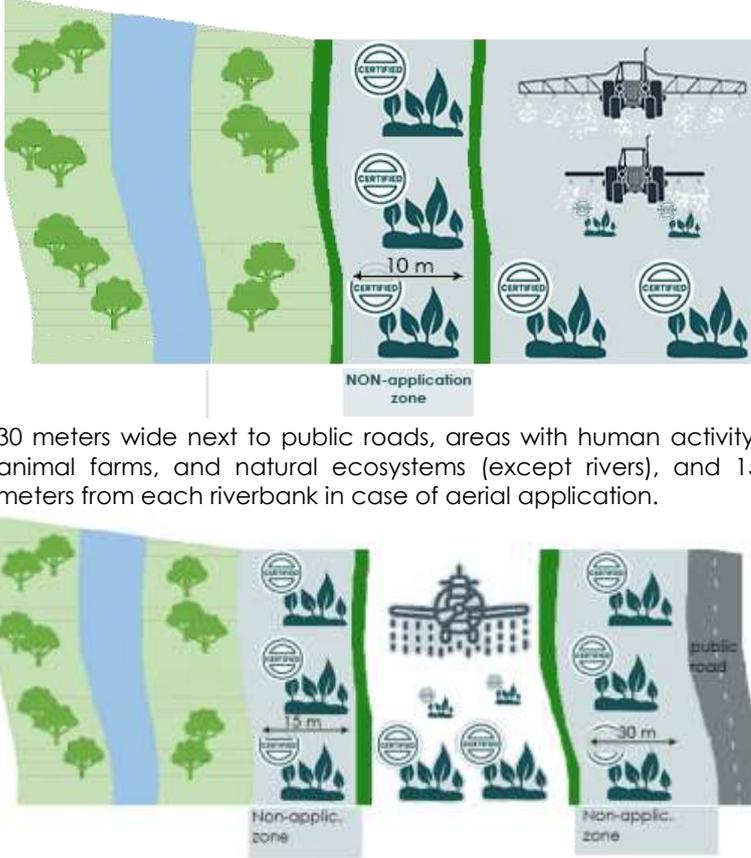


	<ul style="list-style-type: none"> <li>• Have appropriate equipment in place, including the PPE as required in 4.6.3.</li> <li>• Respect the <u>Restricted Entry Intervals</u>, meaning <u>ensure</u> that persons do not enter a field after an application before it is safe to do so without protective equipment. Practice examples are: <ul style="list-style-type: none"> <li>○ Identification of the people that may be at risk of <u>pesticide</u> exposure.</li> <li>○ Communication strategies to alert the community about the risk of pesticides exposure considering the cultural context of neighbouring communities, the language(s), or dialect(s). You may use radio programs, signs, talks, letters or announcements indicating the date/time when people and communities are no longer at risk after the date of application.</li> <li>○ Warning signs are in place to inform people about the risks. Warning information should include dates, times of applications, pesticide types, and the Re-Entry Intervals (REI).</li> <li>○ When signs are not sufficient, complementary mechanisms such as security barriers and personnel to prevent access to application areas are used.</li> </ul> </li> <li>• The CH monitors the <u>pre-harvest intervals (PHI)</u>. This is the interval of time between the last application of <u>pesticide</u>, and the permitted harvest of the treated crop. This is important because it directly influences the MRL levels of the product (see requirement 4.7.2).</li> <li>• For large farms, the mechanism can include: <ul style="list-style-type: none"> <li>○ Assigning a person responsible for monitoring if the <u>pre-harvest intervals are respected</u>, especially in sectors where there is continuous harvest, e.g., tea.</li> <li>○ Having procedures in place for workers to identify the plots to be harvested, e.g., using signs.</li> </ul> </li> <li>• <u>Pre-harvest intervals</u> are also respected when a product will be stored for a long time after it is harvested.</li> </ul>
<p><i>Evidence and Indicators</i></p> 	<ul style="list-style-type: none"> <li>✓ Pesticide application records.</li> <li>✓ Warning signs in local language.</li> <li>✓ Communication records.</li> </ul>
<p><i>Annexes and other references</i></p> 	<p>Pesticides Material Safety Data Sheets can be consulted at <a href="http://www.msds.com">www.msds.com</a> (available in English and French)</p>



4.6.6	MECHANISM TO AVOID CONTAMINATION BY PESTICIDES
<p>Guidance on applicability</p> 	 <p>The requirements for Integrated Pest Management and pesticides apply to the whole farm and all crops.</p>
<p>Purpose</p> 	<p>Reduce any potential negative impacts of <u>pesticide</u> application to non-targeted areas.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• CHs avoid contamination by <u>pesticides</u> by e.g., establishing non-crop <u>vegetative barriers</u>, <u>non-application zones</u>, or any other effective mechanism.</li> <li>• Combinations of mechanisms are possible e.g., if the vegetative barrier is not fully effective while it grows, a non-application zone can be implemented.</li> <li>• When using <u>Vegetative barriers</u>, the barriers shall be at least:             <ul style="list-style-type: none"> <li>○ As high as the crop or, in the case of ground-based pesticide applications, the height of the spray equipment's application valves over the ground, whichever is higher.</li> <li>○ Composed of plants that maintain their foliage all year, but which are permeable to airflow, allowing the barrier to capture pesticide drops.</li> </ul> </li> <li>• When using <u>Non-application zones</u>, which refer to the areas where no pesticide is applied, the following distances shall be kept:             <ul style="list-style-type: none"> <li>○ 5 meters, if applied by mechanical, hand-assisted and targeted application methods, such as knapsack <u>sprayers</u>, banding, baiting, specific granule placement, soil or plant injection, seed treatments, and weed wiping.</li> </ul> </li> </ul> <div data-bbox="646 1220 1404 1635" data-label="Diagram"> </div> <ul style="list-style-type: none"> <li>○ 10 meters, if applied by broadcast or pressurized <u>spray</u> application methods, such as motorized <u>sprayers</u> or <u>spray</u> booms, air blast <u>sprayers</u>, or foggers (Ultra Low Volume fogging machines) depending on the equipment's technical specifications.</li> </ul>



	 <p>NON-application zone</p> <ul style="list-style-type: none"> <li>30 meters wide next to public roads, areas with human activity, animal farms, and natural ecosystems (except rivers), and 15 meters from each riverbank in case of aerial application.</li> </ul> <p>Non-applic. zone</p> <p>Non-applic. zone</p>
<p>Evidence and Indicators</p> 	<p>✓ Monitoring records of spray drift reduction mechanism.</p>
<p>Annexes and other references</p> 	

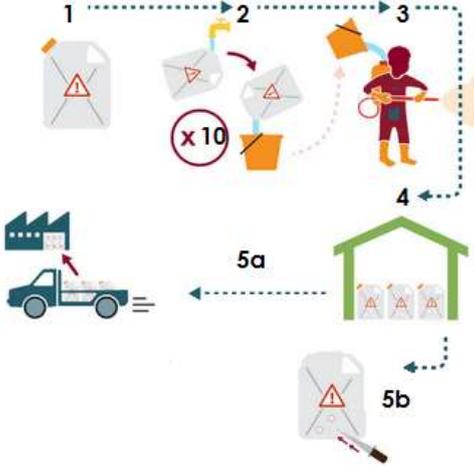


4.6.7	AERIAL APPLICATION OF PESTICIDES
<p>Guidance on applicability</p> 	 <p>The requirements for Integrated Pest Management and pesticides apply to the whole farm and all crops. In case the national legislation framework provides an equivalent safety level as described in this requirement, Rainforest Alliance may allow the use of this national framework.</p>
<p>Purpose</p> 	<p>Avoid and mitigate possible negative effects on the environment or human health of aerial applications of pesticides.</p>
<p>Implementation guidance</p> 	<p>Aerial applications of pesticides shall comply with applicable law or with the Rainforest Alliance requirements, whichever is stricter. Intention is to mitigate negative impacts of the applications on communities and the environment. The CH shall:</p> <ul style="list-style-type: none"> <li>• Have a procedure to avoid the use of banned pesticides according to 4.5.3. Pesticides classified as WHO 1 and 1b are explicitly mentioned as these shall not be used in aerial applications.</li> <li>• Ensure that no application of agrochemicals is done on areas outside the legal limits of the farm, public roads, areas with human activity, animal farms, and natural ecosystems (including aquatic ecosystems).</li> <li>• Establish vegetative barriers or non-application zones (4.6.6).</li> <li>• Ensures the aerial vehicle (drone, helicopter, plane) is equipped as per the requirements of the Annex S7.</li> <li>• Have a technician in charge with professional expertise, skills, experience and credentials in aerial application of pesticides. In countries where the technician must be licensed or certified, this is done accordingly.</li> <li>• Checks the requirements and operational reports of the aerial vehicle at the airport, facilities or administration offices in charge of the aerial fumigation.</li> <li>• Have a flight plan complying with the maximum of 5 meters flight altitude above the crop or vegetative barriers canopy.</li> <li>• Calibrates the equipment every six months under the corresponding technical supervision.</li> <li>• Have a visible signaling systems or effective warning mechanisms to notify and protect the people likely to be affected by the aerial application.</li> <li>• Schedule applications considering local conditions like wind, temperature, no inversion phenomenon etc.</li> <li>• Ensure to cover with vegetation or other effective physical means the primary or secondary drains with permanent water.</li> <li>• Keep the necessary records e.g., the polygon generated with the GPS flight track (format KML).</li> <li>• Comply with specifications given for drones.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Application records.</p>
<p>Annexes and other references</p> 	<p>Annex S7: Pesticides Management</p>



4.6.8	PESTICIDES RECORD KEEPING
<p>Guidance on applicability</p> 	 <p>Record keeping of pesticides application must be done for all pesticides used on all crops in the farm.</p>
<p>Purpose</p> 	<p>Pesticide applications records are maintained to support the development of strategies to reduce pesticide use and to monitor Minimum Residue Levels (MRL's).</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The producers keep records on pesticide applications done on all crops and farm units.</li> <li>• The name of the pesticide shall be reported as product brand name and active ingredient. When a pesticide contains more than one active ingredient, all active ingredients are recorded.</li> <li>• <u>Group management</u> supports record-keeping for group members where this is needed. For example, group management can develop iconographic booklets or calendars whereby producers can easily indicate the product applied by choosing the catalogue photo of approved products, and indicate in their farm sketch the location where application took place and mark the picture of the <u>pest</u> they are targeting.</li> <li>• <u>Group management</u> used the records to calculate the amount of active ingredient applied per ha of crop as a basis for measuring MRLs.</li> <li>• Records are available for at least four years, as specified in 1.2.9.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of agrochemical applications.</li> </ul>
<p>Annexes and other references</p> 	



4.6.9	EMPTY PESTICIDES CONTAINERS
Guidance on applicability	
Purpose 	Ensure that empty <u>pesticide</u> containers are disposed of safely, and that prohibited, <u>obsolete</u> , and expired pesticides are managed safely to avoid negative impacts on the environment and human health.
Implementation guidance 	<ul style="list-style-type: none"> <li>CH manages the empty <u>pesticide</u> containers as follows:               <ul style="list-style-type: none"> <li>Wash the containers and application equipment 3 times.</li> <li>Use the surplus mix, diluted with 10 times the amount of clean water, and apply evenly on the field subject to the pesticide application.</li> <li>Keep pesticide containers in a locked storage area until safely disposed of through a formal collection and recycling program, or return the containers to the supplier if they accept the containers.</li> </ul> </li> </ul> <p>This also applies to prohibited, obsolete, and expired pesticides.</p> <ul style="list-style-type: none"> <li>When no formal collection or recycling system is available, the containers are cut or perforated to prevent other uses.</li> <li>After containers have been cut or perforated, they can be brought to specific landfill sandpits, or destroyed using high-temperature incineration according to what is allowed under national legislation. These can be government licensed incinerators.</li> </ul>  <ul style="list-style-type: none"> <li>For <u>groups</u>, it is recommended to establish a collection system for all group members to properly dispose of <u>pesticide</u> containers.</li> <li>For <u>large farms</u>, it is recommended to discuss with the agrochemical dealers and sector platforms to share responsibility on how to dispose of containers, based on the mutual benefit for the business. Another recommendation is to check if suppliers may support the collection of containers when products are purchased from them.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Empty containers management procedure.</li> <li>✓ Records kept of disposal.</li> <li>✓ Pesticide storage records.</li> </ul>
Annexes and other references	FAO/WHO, Rome/Geneva.2008, see <a href="http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/Containers08.pdf">http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/Containers08.pdf</a>



<b>4.6.10</b>	<b>AGROCHEMICAL AND APPLICATION EQUIPMENT STORAGE FOR GROUP MEMBERS</b>
<i>Guidance on applicability</i> 	
<i>Purpose</i> 	<p>Ensure that pesticides and pesticide application equipment are stored correctly to minimize negative impacts to the environment and human health.</p>
<i>Implementation guidance</i> 	<ul style="list-style-type: none"> <li>• Group members shall store the application equipment following the label instructions, and in a way that minimizes negative impact on the environment and humans.</li> <li>• Group management supports farmers, and advises them how to store agrochemicals and application equipment. Storage locations should be:             <ul style="list-style-type: none"> <li>○ Dry, clean, and well-ventilated. This is important because many agrochemicals are volatile, which poses a risk for the person who mixes and handles them.</li> <li>○ Made with non-absorbent materials, e.g., shelves covered in plastic, metal, or any other non-absorbent material. This is important to avoid agrochemicals remaining on the surfaces in case of chemical spills.</li> <li>○ Safely locked and accessible only by trained handlers.</li> <li>○ Not accessible to children. This is important in situations where the storage place is inside the producer's house.</li> <li>○ Separated from the crop, food products, and packaging materials.</li> </ul> </li> </ul> <div style="text-align: center;"> </div> <ul style="list-style-type: none"> <li>• In the countries where national authorities regulate agrochemicals' storage for smallholder farmers and specify more stringent conditions, these stricter rules should be implemented. Applicable laws stricter than the standard are always to be followed.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Storage instructions for members.</li> <li>✓ Monitoring data.</li> </ul>
<i>Annexes and other references</i> 	



4.6.11	AGROCHEMICALS AND APPLICATION EQUIPMENT STORAGE FOR LARGE FARMS, GROUP'S CENTRAL FACILITIES AND INDIVIDUALLY CERTIFIED CH
<p>Guidance on applicability</p> 	 <p>This requirement is not applicable for small farms in a group as they need to comply with 4.6.10. However, large farms in a group do need to comply with this requirement. Applicable for groups with central storage facility(ies).</p>
<p>Purpose</p> 	<p>Ensure that pesticides and pesticide application equipment are stored correctly to minimize negative impacts on the environment and human health.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Large farms in a group, individually certified farms, and groups with central <u>agrochemical</u> storage facilities shall store the application equipment in accordance with the label instructions, and in a way that minimizes negative impact on the environment and humans.</li> <li>• The facilities shall be:             <ul style="list-style-type: none"> <li>○ Dry, clean, well ventilated and with a secure roof and impermeable floor.</li> <li>○ Safely locked and accessible only by trained handlers.</li> <li>○ Separated from crops, food products, or packaging material.</li> <li>○ Contain an <u>emergency</u> spill kit. This includes sufficient absorbent material, e.g., activated charcoal, sawdust, or any other chemical absorbent.</li> <li>○ With visible and understandable safety warning signs and pictograms as it is a hazardous area. All hazards and hazardous areas are identified by warning signs that indicate the type of hazard and any necessary precautionary measures.</li> <li>○ With an eye-washing area, and <u>emergency</u> shower.</li> </ul> </li> <li>• All workers need to understand warning signs and pictograms.</li> <li>• There has to be an emergency procedure.             <ul style="list-style-type: none"> <li>▪ Clear steps on what to do in case of an emergency.</li> <li>▪ Clear steps on what to do in case of an agrochemical spill related to the agrochemicals stored in the facility, and the respective hazards indicated in the product label or MSDS.</li> <li>▪ <u>Emergency</u> phone numbers available, and made visible in the area: e.g., fire department, poison control centers, ambulances, hospitals, national response centers, and chemical manufacturers.</li> <li>▪ The <u>emergency</u> procedure is updated and revised based on the risks associated with the type of pesticides used, and volumes stored.</li> </ul> </li> <li>• In the countries where national authorities regulate agrochemicals' storage, specifying more conditions, these stricter rules shall be implemented</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Instructions for agrochemicals storage space.</li> <li>✓ Monitoring data.</li> </ul>
<p>Annexes and other references</p>	



	
<b>4.6.12</b>	<b>PESTICIDE STOCK INVENTORY</b>
<i>Guidance on applicability</i> 	 <p>For groups this is only applicable for centralized stock.</p>
<i>Purpose</i> 	<p>The inventory supports the management of <u>pesticides</u> to ensure they are used and handled safely.</p>
<i>Implementation guidance</i> 	<ul style="list-style-type: none"> <li>• Large farms in a group, individually certified farms, and groups with centralized agrochemical stock have an up-to-date <u>pesticide</u> stock inventory.</li> <li>• The responsible person in charge of the inventory makes sure that:             <ul style="list-style-type: none"> <li>◦ The inventory provides a guide on the <u>pesticides</u> that are stored, their <u>active ingredient</u>, and whether or not they are in the risk mitigation list.</li> <li>◦ Records include the date of purchase, name of the <u>pesticide</u> (with product brand name), <u>active ingredient(s)</u>, volumes and expiration date.</li> <li>◦ <u>Pesticides</u> from the Risk Mitigation list are identified.</li> </ul> </li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Agrochemical stock inventory.</li> </ul>
<i>Annexes and other references</i> 	



4.6.13 L1	CALIBRATION AND MAINTENANCE OF AGROCHEMICAL EQUIPMENT
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Pesticide application equipment must be calibrated and maintained to ensure the correct application of pesticides.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Producers keep the equipment for mixing and applying agrochemicals well-maintained and calibrated.</li> <li>• Maintenance of equipment ensures that nozzles and valves are in a good state, and adequate for the type of agrochemical used.</li> <li>• The equipment is calibrated before use for a different type of agrochemical.. If the formulation and application rates are the same as the previous agrochemical, the equipment does not have to be calibrated again.</li> <li>• Calibration may be done by the producer or worker with knowledge and skills, or by an external service provider.</li> <li>• If there is a department for storing and repairing equipment, that department provides information on equipment calibration and maintenance.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records on maintenance and calibration.</li> </ul>
<p>Annexes and other references</p> 	



4.6.14	CENTRALIZED PESTICIDE SPRAYING
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Group management uses properly trained spraying teams to carry out pesticide spraying at farm level to ensure appropriate application, and reduce exposure risk for members.</p>
<p>Implementation guidance</p> 	<p>Specialized spraying teams may be group members that are trained for this task, or a service provider specialized in these operations.</p> <p>In countries where service providers for agrochemicals are officially registered, the CH shall follow the national recommendations regarding the spraying service providers.</p>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"><li>✓ Records of the spraying team in place.</li><li>✓ Records of spraying (schedule, location and spray team members).</li></ul>
<p>Annexes and other references</p> 	



## 4.7 HARVEST AND POSTHARVEST PRACTICES

4.7.1	OPTIMIZATION OF QUALITY AND QUANTITY DURING HARVEST AND POST-HARVEST
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Ensure the best possible quality of the product both <u>pre-</u> and <u>post-harvest</u> to avoid loss of crops and income for producers.</p>
<p>Implementation guidance</p> 	<p>Producers optimize the quality and quantity of the product during harvest and <u>post-harvest</u> handling. Since this is so specific per crop, context and market requirements, the 2020 Rainforest Alliance Sustainable Agriculture standard cannot cover all crop specific requirements. It is, however, recommended to:</p> <ul style="list-style-type: none"> <li>• Harvest products at the right time and interval to optimize quality, e.g., in pineapple the harvesting index according to varieties and markets is a key tool; for cocoa, harvesting should occur when the pods are fully ripe, to ensure enough sugar content for optimal fermentation. In tea, transporting the produce to the processing site as soon as possible is key to maintain the quality of the tea leaves and avoid leaf damage.</li> <li>• Avoid damages to the product when harvesting. E.g., in cocoa, the fruits should be cut without cutting off the fruit buds, as they produce new flowers.</li> <li>• Prevent damage due to humidity, for instance by covering the product during transportation when it rains.</li> <li>• Store products in a cool, dry, dark, and well ventilated place. This is important to prevent humidity, and proliferation of micro-organisms that may affect the quality.</li> <li>• Maintain and clean the tools, machinery and equipment used during harvest and <u>post-harvest</u>, e.g., harvesting baskets, containers, harvesting equipment such as scissors, mechanical harvesting devices, or any other tool used for this purpose. This is particularly important to avoid cross-contamination with other potential contaminants.</li> <li>• Use packaging materials that are suitable, and approved for food products.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Harvest and post-harvesting instructions.</p>
<p>Annexes and other references</p> 	



4.7.2 L1	RESPECTING MRLS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Producers implement measures to respect <u>Maximum Residue Levels (MRLs)</u> to reduce potential negative impacts on human health, and market demand for certified products</p>
<p>Implementation guidance</p> 	<p>Large farms in a group, group management, and individually certified farms respect the <u>MRLs</u> set by the production country, and by the destination country (when this is regulated). Recommended measures are e.g.:</p> <ul style="list-style-type: none"> <li>• Identify the buyers' requirements regarding <u>MRLs</u> by having the most up-to-date list of <u>MRLs</u> of the production country, and the destination country of the product (when these exist).</li> <li>• Monitor that agrochemicals are applied following the label instructions, and pre-harvest intervals are respected.</li> </ul> <p>Any other agrochemical used post-harvest, e.g., during pest control in warehouses and storage facilities that may influence the <u>MRLs</u>, should also be monitored for proper handling.</p> <ul style="list-style-type: none"> <li>• Identify contaminants that may influence the <u>MRLs</u> in your context. E.g., anthraquinone in tea, that may come from packaging material or from entering in contact with substances during the drying process.</li> <li>• Make sure that <u>MRLs</u> are not above of what is allowed. See also 4.6 and 4.7.</li> <li>• Monitoring of <u>MRLs</u> can be done by crosschecking the agrochemical application records with the harvesting records, or by carrying out specific <u>MRL</u> tests. This is particularly important for sectors where challenges to meet <u>MRL</u> prevail e.g., tea. Tests should preferably be done by an accredited lab.</li> <li>• Carrying out lab tests is not mandatory.</li> <li>• Have a procedure in place to use in case <u>MRLs</u> are exceeded, including e.g. recalling of product when this is already being handled by another party, and informing the buyer.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of measures taken to respect MRL's.</li> </ul>
<p>Annexes and other references</p> 	

CHAPTER 5

# SOCIAL



5.1 ASSESS-AND-ADDRESS CHILD LABOR, FORCED LABOR, DISCRIMINATION, WORKPLACE VIOLENCE AND HARASSMENT	
5.1.1	ASSESS AND ADDRESS COMMITMENT AND COMMUNICATION
<p>Guidance on applicability</p> 	 <p>For Large farms in a group, and individually certified farms, the committee shall be composed of a <u>management</u> representative and a <u>worker</u> representative. Fellow workers should nominate the worker representative(s) through an election/voting or other process.</p> <p>The same committee composition applies to the Supply Chain Certificate holders that present a high risk in social topics according to the Risk Assessment results.</p> <p>For farm <u>groups</u>, the <u>group management</u> may decide to have a committee or just one responsible person (a management representative). If it is a committee, it shall be composed of a <u>group management</u> representative and a group member representative, ideally selected by the fellow group members.</p>
<p>Purpose</p> 	<p>A well-functioning system is in place to manage any issues regarding <u>child labor, forced labor, discrimination, and workplace violence and harassment</u>.</p>
<p>Implementation guidance</p> 	<p>Child labor, forced labor, discrimination, and workplace violence and harassment are neither tolerated on Rainforest Alliance farms or in Rainforest Alliance certified supply chains.</p> <p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Set up an Assess and Address Committee or appoint a person to be in charge. The conformation of the committee/person depends on the type of certificate holder (see Guidance on applicability below).</li> <li>• Ensure that the person or committee: <ul style="list-style-type: none"> <li>○ Is trained on the 4 issues and relevant national regulations. The CH may use the Rainforest Alliance online Assess and Address training module for this purpose.</li> <li>○ Is aware of its duties.</li> <li>○ Is impartial, accessible, and trusted by members and/or workers.</li> <li>○ Liaise with the Grievance Committee (1.5) where these issues may be raised, and with the Gender Committee for the cases of sexual harassment (1.6.1) and other forms of gender discrimination.</li> </ul> </li> <li>• Organize awareness-raising activities on the four issues with management and group staff at least annually.</li> <li>• Inform workers/group members in writing about the no-tolerance policy by always displaying the information in a central location.</li> <li>• The Assess and Address Committee members may also serve on other Committees required under the Rainforest Alliance standard. E.g., the Grievance Committee (1.5.1), or the Gender Equality Committee (1.6.1).</li> <li>• All these Committees together form the Assess and Address system.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>• Records of person or committee appointed.</li> <li>• Training records.</li> <li>• Communication records.</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance Document L: Assess and Address Sample Management Commitment Template (included in Document L)</p>



5.1.2	ASSESS AND ADDRESS RISK MITIGATION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Mitigation measures are identified and implemented to reduce identified risks of <u>child labor, forced labor, discrimination, and workplace violence and harassment</u>.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>✓ Carry out a <u>risk assessment</u> to know their risks as specified in requirement 1.3.1.</li> <li>✓ Identify mitigation measures either considering the ones mentioned in Annex S3, or defined by the CH themselves if more appropriate to their context.</li> <li>✓ Include those measures in the <u>Management Plan</u> (see requirement 1.3.2 for farms, and 1.1.3 for supply chain actors).</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documented risk assessment.</li> <li>✓ Identified mitigation measures are included into the <u>Management Plan</u>.</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S3: Risk Assessment Tool</p>

5.1.3	MONITORING OF THE ASSESS AND ADDRESS SYSTEM
<p>Guidance on applicability</p> 	 <p>The group management is responsible for the overall monitoring system, but can ask other actors to be part of the process. Monitoring intensity is based on the level of risk identified by the Rainforest Alliance Risk Maps. For Large farms in a group, the monitoring system must be implemented at the level of each individual farm.</p>
<p>Purpose</p> 	<p>Ongoing, effective monitoring takes place on risks, cases, and remediation to ensure that risk mitigation measures are implemented and cases of <u>child labor, forced labor, discrimination, and workplace violence and harassment</u> are remediated effectively.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH develops a monitoring system to guarantee that the Assess and Address system is effective, meaning that issues of child labor, forced labor, discrimination, and workplace violence and harassment are detected, and mitigation measures are implemented.</li> <li>• The monitoring system should include: <ul style="list-style-type: none"> <li>○ Proper identification of vulnerable people and groups, and issues that may occur (child labor, forced labor, discrimination, or workplace violence/harassment).</li> <li>○ Regular checks in the workplace are done to assure that mitigation measures are implemented and effective.</li> <li>○ Interviews with workers, community members, and others.</li> </ul> </li> </ul>



	<ul style="list-style-type: none"> <li>○ Documentation and reporting on cases respecting confidentiality.</li> <li>● The intensity of the monitoring system is based on the risk level, and the issue at hand. E.g., if a high risk of child labor is identified, more monitoring is done to identify child labor cases by checking the age of workers on a regular basis etc.</li> <li>● A well-functioning monitoring system avoids detection of severe cases during external audits.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documentation of monitoring system (checks conducted, interviews, meeting minutes etc.).</li> <li>✓ Records of remediation activities including type of issue, gender, age.</li> </ul> <p><b>Indicator:</b> The number of potential cases identified by the monitoring system and referred to the <u>grievance mechanism</u> (by <u>gender</u>, age, and type of issue)</p>
<p>Annexes and other references</p> 	<p>Guidance Document R: Assess-and-Address Monitoring Tool</p>

5.1.4	ASSESS AND ADDRESS REMEDIATION PROCESS
<p>Guidance on applicability</p> 	 <p>The group <u>management</u> is responsible for the monitoring system on behalf of all group members. For Large farms in a group, the monitoring system must be implemented at the level of each individual Large farm.</p>
<p>Purpose</p> 	<p>The process to <u>remediate</u> cases is included in <u>management plan</u>, so it can be properly resourced and implemented, and known cases are remediated and documented to ensure that the process is functioning effectively.</p>
<p>Implementation guidance</p> 	<p><u>Remediation</u> is the process of correcting a wrong or grievance. The <u>remediation</u> process begins when a case is detected either through the grievance mechanism, the Assess and Address Committee monitoring, an audit or media report.</p> <ul style="list-style-type: none"> <li>● The <u>management</u> representative/committee shall: <ul style="list-style-type: none"> <li>○ Have a <u>remediation plan</u> to respond quickly when a case is identified.</li> <li>○ Include the <u>Remediation</u> plan in the <u>Management plan</u>.</li> <li>○ Protect the safety and confidentiality of the victims throughout the process.</li> </ul> </li> <li>● The <u>remediation</u> plan: <ul style="list-style-type: none"> <li>○ Includes internal and external actors who should be involved to address the identified issue(s). This can be an NGO, or national institution working on the issue at hand.</li> <li>○ Includes actions to remedy the situation, and indicates who is responsible for the action. Depending on the nature and severity of each case this can be one or more persons and/or actions.</li> <li>○ Includes a timeframe for each remediation step, meaning the immediate response (within 1-2 days), the severity test (within 4 weeks), implementation of the correction which includes the response and communication (within 4 and 6 weeks respectively), the development of a corrective action plan (within 12 weeks), the remediation (within 52 weeks).</li> </ul> </li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The <u>Management Plan</u>.</li> <li>✓ Records of cases reported.</li> <li>✓ Records of remediation activities (e.g., meeting minutes, action plans, communications to actors involved, referral to law enforcement when appropriate, new policies put in place etc.).</li> </ul> <p><b>Indicator:</b> Number and percentage of confirmed child labor, forced labor, discrimination and workplace violence and harassment cases remediated per the Remediation Protocol (by <u>gender</u>, age, and type of issue)</p>
<p>Annexes and other references</p> 	<p>Annex S4: Remediation Protocol</p>

**5.1.5 L1 IN-DEPTH-RISK ASSESSMENT ON CHILD LABOR AND/OR FORCED LABOR, DISCRIMINATION, WORKPLACE VIOLENCE AND HARASSMENT**

<p>Guidance on applicability</p> 	 <p>The Rainforest Alliance. has developed sector Risk Maps for <u>Child Labor</u> and <u>Forced Labor</u> with 2 risk levels (low, medium/high) per country/crop combination. The maps are made available to CHs and CBs. The certificate holder is expected to implement the improvement requirements for the topic(s) of medium/high risk.</p> <p>Mandatory requirements for discrimination, and workplace violence and harassment are always applicable to Large farms and individually certified farms.</p>
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<p>Purpose</p> 	<p>A more in-depth risk assessment is carried out to provide a more complete picture of the risks, and support the identification of a more comprehensive set of measures to mitigate the risks of <u>child labor, forced labor, discrimination, and workplace violence and harassment</u></p>
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<p>Implementation guidance</p> 	<p>Examples:</p> <ul style="list-style-type: none"> <li>• An in-depth Risk Assessment is done in year 1 of certification when a CH is in a country, and working in a sector that is identified as having a medium/high risk for <u>child labor and forced labor</u>. The Assess and Address Committee / management representative is responsible for this task.</li> <li>• The Assess and Address Committee of Large farms within a group and individually certified farms, shall always carry out an in-depth Risk Assessment in year 1 of certification to determine their risk with regards to <u>discrimination, and workplace violence and harassment</u>.</li> <li>• If a large farm in a group has high risk of <u>child labor</u> according to the Risk Maps, the in-depth assessment shall also be done on <u>child labor</u> and <u>forced labor</u>.</li> <li>• The Committee/management representative shall:</li> </ul>
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	<ul style="list-style-type: none"> <li>○ Reflect on the type of mitigation measures suggested by the tool, and include those mitigation measures that are found most appropriate in the local context in the <u>Management Plan</u> (1.3.2).</li> <li>○ Implement them accordingly.</li> <li>○ Repeat the assessment at least every three years.</li> </ul> <ul style="list-style-type: none"> <li>● It is recommended to consider repeating the assessment more frequently as the <u>Management Plan</u> needs to be updated annually.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documentation of the Assess and Address farm risk assessment.</li> <li>✓ Mitigation measures in the <u>Management Plan</u>.</li> <li>✓ Implementation records / Monitoring data.</li> </ul>
<p>Annexes and other references</p> 	Annex S3: Farm Risk Assessment Tool (in-depth section)

<b>5.1.6 L1</b>	<b>TRAINING/AWARENESS RAISING ON CHILD LABOR</b>
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<p>Guidance on applicability</p> 	 <p>The Improvement requirements must be implemented for <u>child labor</u> and <u>forced labor</u> when the Rainforest Alliance has determined these issues to be medium/high risk in a particular country or sector.</p> <p>The improvement requirements for discrimination and <u>workplace violence</u> and <u>harassment</u> are always exclusively applicable to large farms, and individually certified farms.</p>
<p>Purpose</p> 	<p><u>Group members</u> and <u>workers</u> are trained so they understand the issues, and know how to identify and respond appropriately to <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, <u>workplace harassment</u> and <u>violence</u>.</p>
<p>Implementation guidance</p> 	<p>Management representative/committee shall:</p> <ul style="list-style-type: none"> <li>● Provide training and/or carry out awareness raising activities on the topics identified in the corresponding risk assessments.</li> <li>● Training and awareness raising is provided to all <u>group members</u>.</li> <li>● For large <u>farms</u> in a group, or individually certified <u>farms</u>, training and awareness raising shall always include the topics <u>discrimination</u> and <u>workplace violence and harassment</u>.</li> <li>● Training is provided to all <u>workers</u>, meaning both temporary and permanent <u>workers</u>.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The training records containing at least date, topic, summary, length, name of instructor and name/signature or mark of trainees.</li> </ul>
<p>Annexes and other references</p> 	



5.1.7L1	ENCOURAGEMENT OF SCHOOL ATTENDANCE
<p>Guidance on applicability</p> 	 <p>The Improvement requirements must be implemented for <u>child labor</u> and <u>forced labor</u> when the Rainforest Alliance has determined these issues to be medium/high risks in a particular country or sector.</p> <p>The improvement requirements for <u>discrimination</u> and <u>workplace violence</u> and <u>harassment</u> are always exclusively applicable to large farms, and individually certified farms.</p>
<p>Purpose</p> 	<p><u>Children</u> living on certified farms have access to education, and are less likely to engage in <u>child labor</u>.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Management encourages school attendance of minimally school-going age children of group staff, group <u>members</u> and <u>workers</u>.</li> <li>• It is recommended to also promote pre-school and further education.</li> <li>• Examples of actions are awareness raising sessions, specific support for vulnerable members, and advocacy with local education offices to improve access to school and quality of education.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of communication and other encouragement activities.</li> <li>✓ Monitoring data on school attendance.</li> </ul>
<p>Annexes and other references</p> 	



5.1.8	ASSESSMENT OF THE ASSESS AND ADDRESS SYSTEM												
<p>Guidance on applicability</p> 	 <p>For Large farms in a group, the <u>Assess and address</u> system must be implemented at the level of each individual large farm.</p>												
<p>Purpose</p> 	<p>Management assures a good functioning of the <u>Assess and Address</u> system to ensure that risks are mitigated, cases are identified and remediated effectively.</p>												
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• To assess if the <u>Assess and Address</u> system is functioning properly, the CH shall:             <ul style="list-style-type: none"> <li>○ identify their score or step per system element (effective mitigation measures, effective training, etc.). See table below.</li> </ul> </li> </ul> <table border="1" data-bbox="488 663 1294 831"> <thead> <tr> <th>Functioning of A&amp;A system – data collection with tool</th> <th>Data to report (from tool)</th> </tr> </thead> <tbody> <tr> <td>A. Effective mitigation measures</td> <td>Step 1 – 4</td> </tr> <tr> <td>B. Effective training on relevant A&amp;A issues</td> <td>Step 1 – 4</td> </tr> <tr> <td>C. Effective cooperation with external actors</td> <td>Step 1 – 4</td> </tr> <tr> <td>D. Effective monitoring of the A&amp;A system</td> <td>Step 1 – 4</td> </tr> <tr> <td>E. Effective internal collaboration on A&amp;A issues</td> <td>Step 1 – 4</td> </tr> </tbody> </table> <p><i>E.g., for the effective training on relevant Assess and Address issues, the CH analyses if they are in step 1, 2, 3 or 4 by identifying who has been trained on Asses and Address issues. If training has been given to some, but not to all workers/farmers, then the CH is in step 1. If they have given training to all workers/farmers then the CH is in step 2, and so on. The data - in this case on training – come from the monitoring data. The assessment is done yearly.</i></p>	Functioning of A&A system – data collection with tool	Data to report (from tool)	A. Effective mitigation measures	Step 1 – 4	B. Effective training on relevant A&A issues	Step 1 – 4	C. Effective cooperation with external actors	Step 1 – 4	D. Effective monitoring of the A&A system	Step 1 – 4	E. Effective internal collaboration on A&A issues	Step 1 – 4
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D. Effective monitoring of the A&A system	Step 1 – 4												
E. Effective internal collaboration on A&A issues	Step 1 – 4												
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Monitoring data like implementation records, minutes of meetings, training records, internal audits etc.</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• Scores on the assess and address system elements.</li> </ul>												
<p>Annexes and other references</p> 	<p>See the Rainforest Alliance Standard Indicator protocol</p>												



5.2 FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING	
5.2.1	FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING
<p>Guidance on applicability</p> 	 <p>This requirement is also applicable to the <u>workers</u> of small farms with an average of ≥ 5 hired <u>workers</u>, and supply chain actors.</p>
<p>Purpose</p> 	<p>Empower workers on certified farms, and ensure their human rights and labour rights are protected including their right to form a union and/or workers' representation of choice, take part in collective bargaining, without interference or any form of hindrance by the management.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Have a written policy stating the commitment of the CH to respect the rights of all employees to form, and/or join a trade union of their choice, to support union representatives to carry out their activities, and to respect the collective bargaining process.</li> <li>• Display the policy in the workplace. E.g., using a poster in areas like a canteen where all <u>workers</u> can see it.</li> <li>• The policy is written in a language the <u>workers</u> understand.</li> <li>• Inform <u>workers</u> on these rights before starting employment.</li> <li>• Ensure not to place any requirement in a written or verbal contract restricting these rights.</li> <li>• Stimulate <u>workers</u> to exercise the right to form or join a union or <u>worker's organization</u>, and take part in collective bargaining.</li> <li>• Ensure that the workers organization/union makes decisions with full independence from the farm or group management. For example, representatives are not unilaterally appointed by human resources or supervised by management when executing their union duties.</li> <li>• Enrolment or participation in <u>worker organizations</u> is voluntary, and <u>workers</u> cannot be forced to join such organizations.</li> </ul> <ul style="list-style-type: none"> <li>• The right of workers to establish organizations of their own choice implies that in practice there could be more than one worker's organization per enterprise.</li> <li>• In circumstances where the law restricts <u>freedom of association</u> and collective bargaining (e.g., in countries like China and Vietnam), <u>workers</u> may develop parallel means for independent and free association.</li> <li>• Lack of worker organization or union is thus no grounds for management to refuse to enter in dialogue with workers.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ The policy (referring to ILO Core Conventions).</li> <li>✓ Communication examples.</li> <li>✓ CBAs.</li> </ul>
<p>Annexes and other references</p> 	



5.2.2	NO DISCRIMINATION OR RETALIATION OF WORKERS
<p>Guidance on applicability</p> 	 <p>This requirement is also applicable to the <u>workers</u> of small farms with average of ≥ 5 hired workers and supply chain actors.</p>
<p>Purpose</p> 	<p>Workers human rights and labour rights are protected', and they are not subject to discrimination or retaliation due to past or present activities, or affiliation with a workers' organization, union membership, or any other form of worker representation.</p>
<p>Implementation guidance</p> 	<p>Management:</p> <ul style="list-style-type: none"> <li>• Maintains a neutral relationship with all unions.</li> <li>• Shall not <u>discriminate</u> or <u>retaliate workers</u> for their past or present <u>worker's</u> organization/union membership or activities.</li> <li>• Respects all union activities, including the election process, decision making and administration etc.</li> <li>• Does not appoint 'worker representatives', sponsor, finance or control through coercion or other means the worker organization or union's workings.</li> <li>• Keeps records of termination of employment, including the reason for termination, and <u>workers'</u> affiliation with a union or <u>worker's</u> organization.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Employment records incl. reasons for termination of contract.</p>
<p>Annexes and other references</p> 	



5.2.3	MANAGEMENT FACILITATES WORKERS ASSOCIATION'S FUNCTION
<p>Guidance on applicability</p> 	 <p>This requirement is also applicable to the <u>workers</u> of small farms with average of <math>\geq</math> 5 hired workers and supply chain actors.</p>
<p>Purpose</p> 	<p>Management respects workers' rights, and facilitates worker representatives to fulfil their functions, and establishes a genuine dialogue with <u>workers'</u> organizations.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH shall: <ul style="list-style-type: none"> <li>○ Be open to hearing concerns and requests from the <u>worker's organization</u> and/or trade union.</li> <li>○ Provide worker's organizations / union access to notice boards or any other means of communication to inform workers on their activities.</li> <li>○ Follow-up on agreed actions.</li> <li>○ Provide <u>workers representatives</u> with reasonable paid time off from work to carry out their functions and attend meetings.</li> <li>○ Provide the facilities like meeting space, means of communication and childcare when this is required by the <u>workers' representative</u>.</li> </ul> </li> <li>• When deciding whether an adjustment made is reasonable (such as time allowance, and provision of facilities), the farm management must consider: <ul style="list-style-type: none"> <li>○ Time needed for attending meetings (per meeting and frequency of meetings, travel time).</li> <li>○ The cost.</li> <li>○ The organization's size and resources.</li> </ul> </li> <li>• <u>Workers' representatives'</u> time off to fulfil their duties should be compensated in accordance with national legislation. The compensation should: <ul style="list-style-type: none"> <li>○ Reflect the standard pay rate of these <u>workers</u> for the time they are absent from work. It can never be below the applicable minimum wage or collective bargaining agreement rates.</li> <li>○ If pay rates vary per worker according to tasks, an average pay rate should be calculated and agreed with the <u>worker</u>.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of the meetings with the worker organizations and/or trade unions (minutes).</li> <li>✓ Compensation agreements.</li> <li>✓ Payslips of worker representatives.</li> <li>✓ Communication examples.</li> </ul>
<p>Annexes and other references</p> 	



5.2.4 L1	PROACTIVE COMMUNICATION ON FREEDOM OF ASSOCIATION
<p>Guidance on applicability</p> 	 <p>This requirement is also applicable to the workers of small farms with average of <math>\geq 5</math> hired workers and supply chain actors.</p>
<p>Purpose</p> 	<p>Workers (including management) are informed of their rights to freely associate, and the right of collective bargaining, to better enable them to exercise their rights.</p>
<p>Implementation guidance</p> 	<p>Management shall:</p> <ul style="list-style-type: none"> <li>• Know the applicable law regulation regarding <u>freedom of association</u>.</li> <li>• Inform all workers on <u>freedom of association</u> and the right to collective bargaining by organizing a meeting, or any other means.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Communication records (e.g. training records, minutes of a meeting).</p>
<p>Annexes and other references</p> 	



5.3 WAGES AND CONTRACTS	
5.3.1	CONTRACTS FOR WORKERS EMPLOYED FOR MORE THAN THREE CONSECUTIVE MONTHS.
<p>Guidance on applicability</p> 	 <p>This requirement is also applicable to small farms with an average of <math>\geq 5</math> hired <u>workers</u> and supply chain certificate holders.</p>
<p>Purpose</p> 	<p><u>Employment</u> relationship, terms and conditions are agreed upon and recorded so workers are aware of their rights and obligations.</p>
<p>Implementation guidance</p> 	<ol style="list-style-type: none"> <li>1. The certificate holder shall:           <ul style="list-style-type: none"> <li>o Ensure that all permanent <u>workers</u>, and workers employed for more than 3 months, have a signed contract.</li> <li>o The contract includes the employment terms and conditions as agreed, and a copy of the contract at the time of signing is handed to the <u>worker</u>.</li> <li>o Ensure that permanent and <u>temporary workers</u> employed for fewer than three months have at least an oral contract. In case of an oral contract the terms of employment and agreed conditions are shared with the worker through a voice recording, an SMS or WhatsApp text message for instance.</li> <li>o Contract elements are for instance duties, location, hours, pay rate, payment method.</li> <li>o Contracts shall be written in a language the worker understands.</li> </ul> </li> </ol>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Signed written contracts or records of verbal contracts.</li> <li>✓ Contract elements.</li> </ul>
<p>Annexes and other references</p> 	
5.3.2 NO EMPLOYMENT OF TEMPORARY WORKERS FOR PERMANENT OR ONGOING TASKS	
<p>Guidance on applicability</p> 	 <p>This requirement is also applicable to small farms with average of <math>\geq 5</math> hired workers and supply chain certificate holders</p>
<p>Purpose</p> 	<p>Ensure that workers receive all the rights and benefits that they are entitled to for tasks that are equivalent to permanent employment.</p>
<p>Implementation guidance</p> 	<p><u>Temporary workers</u> are those with a contract or expected work period less than 12 months. Seasonal workers are considered <u>temporary workers</u>.</p> <ul style="list-style-type: none"> <li>• The CH shall not employ <u>temporary workers</u> for permanent or ongoing tasks to avoid paying these workers what they would be entitled to if they had a permanent contract.</li> <li>• Examples of arrangements to reduce <u>workers'</u> benefits are mechanisms to repeatedly hire <u>workers</u> on a short-term basis for permanent tasks ("hire-fire"), tenant farm arrangements, or the formation of professional service or consultancy structures. Hire-fire situations refer to hiring only for the period that allows dismissal and re-hire the workers again.</li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Job descriptions for permanent and temporary tasks-positions.</li> <li>✓ Employment records.</li> </ul>
<p>Annexes and other references</p> 	

<b>5.3.3</b>	<b>MINIMUM WAGE FOR LARGE FARMS IN A GROUP, INDIVIDUALLY CERTIFIED FARMS AND SUPPLY CHAIN CH</b>
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<p>Guidance on applicability</p> 	 <p>This requirement is applicable to large farms in a group, individually certified farms, and supply chain actors' <u>workers</u>. For small farms in a group and group management staff, the requirement 5.3.4 applies.</p>
<p>Purpose</p> 	<p><u>Workers</u> receive minimum wage or CBA, whichever is higher to respect their labour rights, and support adequate income levels.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH shall pay at least the applicable minimum wage, or the wage negotiated in a CBA, whichever is higher.</li> <li>• The legal minimum wage refers to the highest official minimum wage defined and published by the respective government authority for a specific task or occupation.</li> <li>• For production quota or <u>piece work</u>, a worker shall receive at least the minimum wage based on a 48-hour working week. For example, if the national legal working hours limit is lower (40 hours), the CH shall pay the minimum wage based on those 40 hours.</li> <li>• Salaries are adjusted based on inflation (if the minimum wage is not adjusted nationally)</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Wage records including agreed piece rates and quota.</li> <li>✓ Pay slips.</li> <li>✓ CBA and/or nationally agreed minimum wage.</li> </ul>
<p>Annexes and other references</p> 	



5.3.4	MINIMUM WAGE FOR SMALL FARMS' WORKERS AND GROUP STAFF
<p>Guidance on applicability</p> 	 <p>This requirement applies to small farms in a group and group staff. For Large farms, individually certified farms, and supply chain actors, the requirement 5.3.3 applies.</p>
<p>Purpose</p> 	<p><u>Workers</u> receive minimum wage or CBA, whichever is higher, to respect their labour rights, and support adequate income levels.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• Group management ensures that <u>workers</u> of the small farms and group staff receive at least the applicable minimum wage, or the wage negotiated in a CBA, whichever is higher.</li> <li>• The legal minimum wage refers to the highest official minimum wage defined and published by the respective government authority for a specific task or occupation.</li> <li>• For production quota or <u>piece work</u>, a worker shall receive at least the minimum wage based on a 48-hour working week. If the national legal working hours limit is lower (e.g. 40 hours), the CH shall pay the minimum wage based on those 40 hours.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Wage records including agreed piece rates and quota.</li> <li>✓ Pay slips.</li> <li>✓ CBA and/or nationally agreed minimum wage.</li> </ul>
<p>Annexes and other references</p> 	
5.3.5	DEDUCTIONS FROM WAGES
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Ensure that workers receive the payment they are entitled to, and deductions are made legally, transparently and only under certain conditions.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH shall: <ul style="list-style-type: none"> <li>○ Provide payslips with details on wages paid, and deductions made. In cases where the <u>worker</u> is unable to read, a verbal explanation shall be given.</li> <li>○ Records are kept of hours worked (per worker) including overtime, pay rate applicable for these hours.</li> <li>○ In case of piece rates or production work, records are kept per worker on his/her production and corresponding pay.</li> <li>○ Records are kept on specific deductions like an advance payment received or repayment of a loan.</li> </ul> </li> <li>• If the applicable law or CBA permits remuneration to be paid in-kind, the CH shall calculate the value of the in-kind items on fair terms so that it realistically reflects the market price. The in-kind payment may never exceed 30% of the wages.</li> <li>• Deductions for work related tools, equipment or gear are not allowed unless permitted by law.</li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Pay slips or any other pay record.</li> <li>✓ Records on the in-kind benefits given to workers including price calculations.</li> <li>✓ Written or verbal consent records on specific, voluntary wage deductions.</li> </ul>
<p>Annexes and other references</p> 	

<b>5.3.6</b>	<b>WORKERS PAYMENT AT LEAST MONTHLY</b>
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<p>Guidance on applicability</p>  	 <p>This requirement is applicable to Large farms in a group, group staff, individually certified farms, and supply chain actors. For small farms with an average of <math>\geq 5</math> hired <u>workers</u>, the requirement 5.3.7 applies.</p>
<p>Purpose</p> 	<p><u>Workers</u> are paid in full and at <u>regular</u> intervals.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH:             <ul style="list-style-type: none"> <li>○ Pays <u>workers regularly</u> as agreed in the contract (written or verbal), but at least monthly.</li> <li>○ Payslips shall be provided and signed by the worker.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Payslips/payroll records signed by the worker.</li> <li>✓ Production records per worker.</li> <li>✓ Work time registration.</li> </ul>
<p>Annexes and other references</p> 	



5.3.7	REGULAR PAYMENT FOR WORKERS OF SMALL FARMS
<p>Guidance on applicability</p> 	 <p>This requirement is applicable only for those <u>workers</u> of the Small farms in a group with average of <math>\geq 5</math> hired workers.</p>
<p>Purpose</p> 	<p>Workers are paid in full and in regular intervals</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH:           <ul style="list-style-type: none"> <li>◦ Pays <u>workers</u> regularly as agreed in the contract (written or verbal), but at least monthly.</li> <li>◦ Payslips are provided and signed by the worker.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Payslips/payroll records signed by the worker.</li> <li>✓ Production records per worker.</li> <li>✓ Work time registration.</li> </ul>
<p>Annexes and other references</p> 	

5.3.8	WORK REMUNERATED WITHOUT DISCRIMINATION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Workers' rights are respected, and they are remunerated equally for equal work without <u>discrimination</u>.</p>
<p>Implementation guidance</p> 	<p>The CH shall ensure that:</p> <ul style="list-style-type: none"> <li>• All actors involved in the farm's activities are treated equally. There is no distinction, exclusion, or preference made when employing people nor when work is planned.</li> <li>• There are no discriminatory practices such as unequal pay for equal work, unequal access to better-paid jobs and management positions, compulsory pregnancy tests when hiring women, or at any other moment in the work process.</li> <li>• Other actors such as visitors, external auditors, representatives of local authorities are not subject to <u>discrimination</u>.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Contracts and wage records.</li> <li>✓ Recruitment records.</li> <li>✓ Job evaluations.</li> </ul>
<p>Annexes and other references</p> 	



5.3.9	LABOR PROVIDERS
<p>Guidance on applicability</p> 	 <p>This requirement does not apply to small farms in a group. For these types of farms, 5.3.10 applies.</p> <p>Group management shall keep all relevant documentation of the Large farm group members, or ensure that the manager of the large farm keeps the necessary records to demonstrate compliance.</p>
<p>Purpose</p> 	<p>Certificate holders ensure that the rights of workers hired through labor providers are respected.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Have a written contract with labor providers (when applicable). <ul style="list-style-type: none"> <li>○ Pay <u>recruitment fees</u>/costs to the labor provider, and make sure that workers have not done so. Recruitment costs are for example costs for required medical exams, travel to the interview or administrative costs related to work permits.</li> <li>○ Verify that labor providers are licensed to operate in the agricultural sector, or certified by the competent national authority (see 1.4.1).</li> <li>○ Monitor that labor providers comply with the applicable worker related <u>requirements</u> when the labor providers contracts the worker(s) instead of the CH e.g., requirements 5.3 (Wages and Contracts) and 5.5 (Working Conditions).</li> <li>○ Verify that labor providers are not engaged in fraudulent or coercive recruiting practices such as delaying wages, holding worker's identity documents, or practices that result in debt bondage.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Written contracts with labor providers.</li> <li>✓ Labor providers' certificate/license verification documentation.</li> <li>✓ Recruitment fee payment records.</li> <li>✓ Evaluation records of labor provider(s).</li> </ul>
<p>Annexes and other references</p> 	<p>For guidance on a recruitment fee/cost, see <a href="https://www.ilo.org/wcmsp5/groups/public/---ed_protect/---protrav/---migrant/documents/publication/wcms_536755.pdf">https://www.ilo.org/wcmsp5/groups/public/---ed_protect/---protrav/---migrant/documents/publication/wcms_536755.pdf</a>.</p>



5.3.10	LABOR PROVIDERS USED BY SMALL FARMS
Guidance on applicability 	 <p>This requirement is applicable to small farms in a group.</p> <p>For group management, Large farms in a group or individually certified farms, the requirement 5.3.9 applies.</p>
Purpose 	<p>Producers ensure that the rights of workers hired through labor providers are respected.</p>
Implementation guidance 	<p>The producer shall:</p> <ul style="list-style-type: none"> <li>• Keep records of the labor providers' registration, including the name, contact details, and registration number.</li> <li>• Ensure that labor providers comply with applicable <u>worker</u> related <u>requirements</u> 5.3 and 5.5 of this standard.</li> <li>• Verify that labor providers are not engaged in fraudulent or coercive recruiting practices such as e.g., delaying wages, holding <u>worker's</u> identity documents, or having debt bondage.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Written contracts with labor providers.</li> <li>✓ Labor providers' certificate/license verification documentation.</li> <li>✓ Recruitment fee payment records.</li> <li>✓ Evaluation records of labor provider(s).</li> </ul>
Annexes and other references 	<p>For guidance on a recruitment fee/cost, see <a href="https://www.ilo.org/wcmsp5/groups/public/---ed_protect/---protrav/---migrant/documents/publication/wcms_536755.pdf">https://www.ilo.org/wcmsp5/groups/public/---ed_protect/---protrav/---migrant/documents/publication/wcms_536755.pdf</a></p>

5.3.11 L1	CONTRACTS FOR WORKERS OF SMALL FARMS (> 3 Consecutive MONTHS)
Guidance on applicability 	
Purpose 	<p>At least verbal contracts are in place so workers are aware of their rights and obligations.</p>
Implementation guidance 	<ul style="list-style-type: none"> <li>• The producer shall ensure to:               <ul style="list-style-type: none"> <li>○ Provide a contract to all <u>permanent</u> and <u>temporary workers</u> who are employed for more than three consecutive months.</li> <li>○ This can be a verbal contract.</li> <li>○ Explain the contract conditions to workers before formalizing the arrangement (job duties, working hours, pay rate and method of calculation, <u>overtime</u> hours, and in-kind benefits) .</li> </ul> </li> <li>• Three consecutive months does not necessarily mean a whole month of work as it is also applicable to arrangements of one day a week or 1 hour a week during 3 months.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Records of the (verbal) contracts.</li> <li>✓ Recruitment policy.</li> </ul>
Annexes and other references	



<b>5.3.12 L1 WRITTEN CONTRACTS FOR WORKERS (&gt; 1 CONSECUTIVE MONTH)</b>	
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Written contracts for <u>workers</u> employed for more than 1 month are in place so workers are aware of their rights and obligations.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH shall: <ul style="list-style-type: none"> <li>○ Provide a written contract to all <u>permanent</u> and <u>temporary workers</u> who are employed for more than one consecutive month. Contract details are indicated in 5.3.1.</li> <li>○ Hand a copy of the contract to the <u>worker</u> at the time of signing.</li> <li>○ Written in a language the <u>worker</u> understands. This is particularly important where there is a high diversity of migrant <u>workers</u>.</li> <li>○ Signed by both the employer and the <u>worker</u>.</li> </ul> </li> <li>• One consecutive month does not necessarily mean a whole month of work as it is also applicable to a <u>worker</u> that works one day a week or 1 hour a week for 1 month.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records of the contracts.</li> <li>✓ Recruitment policy.</li> </ul>
<p>Annexes and other references</p> 	



5.4 LIVING WAGE	
5.4.1	ASSESSMENT OF WAGES AGAINST THE LIVING WAGE BENCHMARK
<p>Guidance on applicability</p> 	 <p>This is not applicable to small farms in a group.</p>
<p>Purpose</p> 	<p>Total remuneration for all types of workers is assessed against the <u>Living Wage</u> benchmark to calculate the gap between wages paid and the applicable benchmark.</p>
<p>Implementation guidance</p> 	<p>The living <u>wage</u> is the total remuneration (<u>wages</u> plus monetary and in-kind benefits) received for a standard workweek, in a particular place, sufficient to afford a decent living standard for the worker and his or her family. Rainforest Alliance does not require for LW payment, but for the assessment of the salary gap, and to make improvements towards achieving the <u>Living Wage</u> and beyond.</p> <p>To carry out the assessment the CH needs to:</p> <ul style="list-style-type: none"> <li>○ Fill in the Salary Matrix Tool. This tool helps to calculate the prevailing <u>wages</u> and automatically calculates the gap to a <u>living wage</u>.</li> <li>○ Collect data from payslips and farm records on farms to fill in the Salary Matrix tool.</li> <li>○ It is advised that the Finance manager or Human Resource manager is assigned to fill in the tool as access to confidential workers' data is required.</li> <li>○ Use the approved LW benchmark provided by the Rainforest Alliance to make the right calculation. For countries where no Living Wage benchmark is provided, the applicable minimum wage or the wage negotiated in a Collective Bargaining Agreement (CBA), whichever is higher should be used until a benchmark becomes available.</li> <li>○ The tool report indicates the number of <u>workers</u> earning below the <u>living wage</u>, and the corresponding <u>living wage</u> gap per type of worker, etc.</li> <li>○ Report the results in the traceability platform and use them as input to develop a Wage improvement plan in consultation with workers (5.4.2).</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Completed Salary matrix tool with all worker's wages.</li> <li>✓ Wage improvement plan.</li> <li>✓ Consultation records.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• # and % of workers (per gender) whose wage plus in-kind-benefits are below Living Wage benchmark provided by the Rainforest Alliance</li> <li>• Average size of Living Wage gap (% of LW)</li> <li>• Average size of Living Wage gap for men and women (% of LW)</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S8: Salary Matrix tool  Annex S9: Methodology for Measuring Remuneration and Gaps with a <u>Living Wage</u>  Annex S10: Living Wage Benchmarks per Country</p>



5.4.2	WAGE IMPROVEMENT PLAN
<p>Guidance on applicability</p> 	 <p>This is not applicable to small farms in a group.</p>
<p>Purpose</p> 	<p>A plan is developed to ensure that progress is made to achieving a living wage for all workers in a realistic way, and that progress can be measured.</p>
<p>Implementation guidance</p> 	<p>If total remuneration for any type of <u>worker</u> is below the <u>living wage benchmark</u> (5.4.1), the CH, in consultation with workers' representatives, drafts a wage improvement plan to progress towards the applicable benchmark.</p> <p>The Wage improvement plan:</p> <ul style="list-style-type: none"> <li>• Includes the targets, actions to take, timeline for progress towards applicable benchmark, and a responsible person to oversee the implementation.</li> <li>• Is developed in consultation with the <u>workers'</u> representatives to stimulate social dialogue, and allow both workers and CHs to understand better the challenges and opportunities to improve wages and working conditions.</li> <li>• Is discussed with buyers, and agree on the investments needed to reach the targets.</li> <li>• At a minimum, it ensures that the wages are adjusted yearly for inflation based on the national inflation rate.</li> <li>• Producers use the indicator data to reflect yearly on the progress, and to adapt the activities in case no or little progress is shown.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Wage improvement plan.</li> <li>✓ Documentation on the consultation process with workers. representatives and buyers.</li> <li>✓ Salary matrix tool filled in.</li> <li>✓ Agreement on investments.</li> </ul>
<p>Annexes and other references</p> 	



5.4.3	AGREEMENT ON MODALITIES AND TIMELINES FOR THE WAGE IMPROVEMENT PLAN
<p>Guidance on applicability</p> 	 <p>This is not applicable for small <u>farms</u> in a group.</p>
<p>Purpose</p> 	<p>Ensure that the plan to ensure progress to achieving a living wage for all workers is realistic, and that progress can be measured transparently.</p>
<p>Implementation guidance</p> 	<p>Farm management will:</p> <ul style="list-style-type: none"> <li>• Set targets to progress towards the living wage benchmark for any wages below the benchmark.</li> <li>• Discuss the wage improvement plan (5.4.2) with the supply chain certificate holder, and come to a written agreement on the ways of payment and the timelines. Rainforest Alliance does not prescribe a timeframe because this depends on the local context.</li> <li>• Report on the implementation of the wage improvement plan to the supply chain certificate holder and Rainforest Alliance.</li> </ul> <p>The supply chain certificate holder who shares responsibility to raise wages shall:</p> <ul style="list-style-type: none"> <li>• Be open to discuss the Wage improvement plan with the <u>Farm</u> certificate holder from which certified product is sourced (Supply Chain Standard 3.4.4).</li> <li>• Reach agreement on their contribution, being a direct financial contribution or another type of investment, to raise workers' cash or in-kind benefits.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Agreement with Supply Chain CH contribution to the wage improvement plan.</li> <li>✓ Records on receipt of contribution.</li> <li>✓ Progress reports (wage improvement plan).</li> </ul>
<p>Annexes and other references</p> 	

5.4.4	WAGE IMPROVEMENT PLAN IMPLEMENTATION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Ensure that the Wage improvement plan results in measurable progress, and total remuneration improves in line with the plan to reach a Living Wage (or go beyond it ).</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH shall:             <ul style="list-style-type: none"> <li>○ Implement the wage improvement plan.</li> <li>○ Make sure that the total remuneration of workers (cash, wages, monetary benefits, in-kind benefits) is increasing annually towards and beyond the applicable Living Wage benchmark.</li> <li>○ Report to Rainforest Alliance on the <u>living wage</u> progress.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p>	<ul style="list-style-type: none"> <li>✓ Wage improvement plan.</li> <li>✓ Implementation records.</li> </ul>



	<p>✓ Payslips, payrolls.</p> <p><b>Indicators:</b></p> <ul style="list-style-type: none"><li>• # and % of workers (per gender) whose wage plus in-kind-benefits are below Living Wage benchmark provided by the Rainforest Alliance</li><li>• Average size of Living Wage gap (% of LW)</li><li>• Average size of Living Wage gap for men and women (% of LW)</li></ul>
<p><i>Annexes and other references</i></p> 	



5.5 WORKING CONDITIONS	
5.5.1	REGULAR WORKING HOURS
Guidance on applicability 	
Purpose 	Workers' rights are respected by ensuring they work reasonable working hours.
Implementation guidance 	<p><u>Regular working hours</u> are the number of hours that can be legally worked during the day, week, month and /or year, excluding overtime. Rainforest Alliance uses 8 hours a day and 48 hours per week, with a 30 min break after 6 consecutive hours of work, and at least 1 full day of rest after 6 days consecutive days of work.</p> <ul style="list-style-type: none"> <li>• The CH shall have a procedure to record the number of hours worked per day, per worker (both regular and overtime).</li> <li>• Inform all staff and workers on regular working hours, time off and overtime to avoid misunderstandings.</li> <li>• Make sure that subcontractors also comply with this requirement.</li> <li>• The CH ensures that the regular work hours of guards do not exceed fifty-six hours per week on average per year.</li> <li>• It is recommended to develop clear schedules for shifts, including a back-up plan to cover for absent team members' in case of sickness.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Records of working hours (e.g., timesheets, swipe card records, etc.).</li> <li>✓ Records of breaks (at least 30 minutes of rest after 6 consecutive hours of work).</li> </ul>
Annexes and other references 	
5.5.2	OVERTIME
Guidance on applicability 	 <p>For group certification, this requirement is applicable to workers of the group members with Large farms, and to the Small farms with an average of <math>\geq 5</math> hired workers.</p> <p>In groups of small farms, it is not required to provide transport home after work, neither to record the number of regular hours and <u>overtime</u> hours of each group member worker.</p>
Purpose 	<p><u>Overtime</u> is voluntary and only permitted under certain circumstances to protect workers from working excessive <u>hours</u>.</p>
Implementation guidance 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Have a procedure on overtime and indicate this in workers' contracts. The procedure shall follow the applicable law or arrangements negotiated in a CBA.</li> <li>• Request overtime in a timely manner. When not regulated by law, the notice period should be at least 24 hours so that the CH can find other workers who can do the overtime work in case this is needed.</li> </ul>



	<ul style="list-style-type: none"> <li>• Ensure that overtime is paid according to the applicable law or CBA (whichever is higher), or 1,5 times the regular wage level if no law or CBA is in place.</li> <li>• Monitor incident rates during overtime, and adjust schedules when health and safety risks are high/increasing during these times.</li> <li>• Provide safe transport to workers who do overtime (except for group member workers).</li> <li>• Ensure that workers do not work more than 60 hours per week except for tea, coffee, bananas, fresh fruits, flower farms. In these sectors, overtime is allowed under exceptional circumstances like the risk of losing harvest and only when the local labor law allows. In these cases, the CH shall demonstrate that overtime:             <ul style="list-style-type: none"> <li>○ Is maximum 12 weeks per year. For example, if a worker works during 2 peak harvests, those separate periods must be no longer than 12 weeks in total.</li> <li>○ Is a maximum of 24 hours total per week</li> <li>○ Is done for a maximum of 21 consecutive days.</li> </ul> </li> <li>• Provide at least a 30-minute break after 6 consecutive hours of work, and 10 consecutive hours of rest per 24-hour period.</li> <li>• Keep records of the number of regular hours and overtime hours of each worker.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Records of regular and overtime working hours per worker (e.g., timesheets, swipe card records).</p>
<p>Annexes and other references</p> 	

5.5.3	MATERNITY RIGHTS
<p>Guidance on applicability</p> 	 <p>Paid maternity leave is not applicable to <u>workers</u> of small farms in a group with less than 5 hired workers.</p>
<p>Purpose</p> 	<p>Maternity rights are respected, to protect the health and wellbeing of the mother, unborn child, and infant.</p>
<p>Implementation guidance</p> 	<p>For <u>permanent workers</u>, the CH shall:</p> <ul style="list-style-type: none"> <li>• Pay maternity leave and benefits to the pregnant workers in accordance with applicable law. In countries where there is no law, the CH shall pay the maternity leave of at least 12 weeks.</li> <li>• From these 12 weeks, the CH ensures that women <u>workers</u> take at least six weeks off after giving birth.</li> <li>• Female workers can return to their job after maternity leave with the same terms and conditions, and without <u>discrimination</u>, loss of seniority, or deductions of wages.</li> <li>• Provide flexible working schedules and worksite arrangements for the pregnant worker.</li> </ul> <p>For <u>workers</u> (permanent and temporary) who are nursing, the CH shall:</p> <ul style="list-style-type: none"> <li>• Offer flexible working schedules and worksite arrangements, including the nursing space.</li> <li>• Ensure that the nursing space has a chair and a flat surface for pumping equipment (if needed), shielded from view, and free from intrusion by the public and co-<u>workers</u>.</li> </ul>



	<ul style="list-style-type: none"> <li>• A nursing room can be a space adapted for this purpose as long as it complies with the requirements mentioned earlier and is not a toilet.</li> <li>• Nursing space must be provided even if there is only one female worker needing it.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Pay slips of pregnant permanent workers demonstrating the payment of paid leave of at least 12 weeks.</li> <li>✓ Job records of female workers.</li> <li>✓ Work schedules.</li> <li>✓ Nursing room or space adapted according to the requirement.</li> </ul>
<i>Annexes and other references</i> 	

5.5.4	CONDITIONS FOR WORKER'S CHILDREN AT WORKPLACE
<i>Guidance on applicability</i> 	<p>Applicable to all certificate holders and all types of workers, including the workers of the Small farms in a group.</p>
<i>Purpose</i> 	<p>Ensure that <u>workers' children</u> at the workplace have a safe environment and conditions.</p>
<i>Implementation guidance</i> 	<ul style="list-style-type: none"> <li>• <u>Workers' children</u> may, when necessary, accompany their parents to the workplace. They cannot be exposed to for instance agrochemicals, dangerous tools and machinery, animal bites or extreme heat, and are always supervised by adults .</li> <li>• If applicable law does not allow <u>children</u> to accompany their parents to the work-place, this law overrules the Standard requirement.</li> <li>• <u>Children</u> need to be in a safe place while their parents are working. This safe place can be indoors as well as outdoors, for instance a pre-school or summer school provided for by the farm/certificate holder or the municipality. If applicable law has further defined safe spaces, this definition needs to be implemented.</li> <li>• <u>Children</u> younger than 12 are not allowed to perform work of any kind.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Records of children accompanying workers.</li> <li>✓ Allocated space for children.</li> <li>✓ Supervisor records.</li> </ul>
<i>Annexes and other references</i> 	Annex S1 Glossary



5.6 HEALTH AND SAFETY	
5.6.1	OCCUPATIONAL HEALTH AND SAFETY RISK ANALYSIS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Occupational <u>health and safety</u> risks are identified, and measures to address those risks are implemented.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Assess the occupational <u>health and safety</u> (OHS) risks within the premises, as well as the likelihood and severity of potential incidents.</li> <li>• The OHS risk analysis shall be conducted by an individual with demonstrated professional expertise, experience, and credentials in occupational health and safety.</li> <li>• Analyse the results of the risk analysis, and identify which measures need to be taken to improve the situation / avoid incidents to happen. Measures can be a training, adjusted procedures or equipment.</li> <li>• Include the OHS measures in the <u>Management Plan</u>.</li> <li>• Record OHS incidents (specified for men and women), including those related to agrochemical use, even if they are mild incidents. E.g., mild intoxication and symptoms such as nausea or dizziness can indicate that PPE's and related procedures are not working properly, and need to be checked.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Occupational Health and Safety risk assessment conducted by a professional.</li> <li>✓ CV of the professional.</li> <li>✓ OHS measures developed.</li> <li>✓ Records of the OHS incidents.</li> </ul>
<p>Annexes and other references</p> 	
5.6.2	FIRST AID
<p>Guidance on applicability</p> 	 <p>This requirement is applicable to the workers of the small farms (with average of <math>\geq 5</math> hired workers), Large farms, group staff and individually certified farms.</p> <p>For small farms in a group with less than <math>\leq 5</math> hired workers, the requirement 5.6.3 applies.</p>
<p>Purpose</p> 	<p>First aid is available to protect workers' health and wellbeing in the workplace.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Have first aid boxes available to all workers for treatment of work-related injuries, and place them in a central location.</li> <li>• Regularly check that available medicines are not expired.</li> <li>• Have one or more trained persons in first aid present during working hours, depending on the size of the farm.</li> </ul>



	<ul style="list-style-type: none"> <li>• Inform workers about where and to who they should go in case of an emergency. This can be done through posters indicating the location of the first aid kit, emergency phone number etc.</li> <li>• Provide first aid free of charge, including transport to and the treatment in a hospital for work-related injuries.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Records on first aid boxes and stock taking.</li> <li>✓ Records on emergency health care given.</li> <li>✓ Training records and work schedule of first aid employees.</li> <li>✓ Communication records.</li> </ul>
<i>Annexes and other references</i> 	

<b>5.6.3</b>	<b>ACCESSIBILITY OF FIRST AID</b>
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<i>Guidance on applicability</i> 	
<i>Purpose</i> 	<p>First aid is accessible to protect worker's health and wellbeing while working on farms.</p>
<i>Implementation guidance</i> 	<p>Group members shall inform their workers where to go when they need first aid. This could be the first aid trained person at the central group facility (5.6.2) or any other location within reach.</p>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Instructions for workers.</li> </ul>
<i>Annexes and other references</i> 	



5.6.4	ACCESS TO SAFE DRINKING WATER
<p>Guidance on applicability</p> 	 <p>This requirement is not applicable for Small farms in a group. For those farms, the requirement 5.6.5 applies.</p>
<p>Purpose</p> 	<p>Access to safe drinking water is provided to protect workers' health and wellbeing.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Provide workers access to sufficient and safe drinking water in a way that prevents contamination e.g., in clean utensils.</li> <li>• Sufficient drinking water means at least 20Lt/person/day (so it is enough for drinking, cooking, showering, etc) and within 1km/30 minutes round-trip, so that it is also accessible to the workers.</li> <li>• Safe drinking water means: <ul style="list-style-type: none"> <li>◦ Giving access to public water systems (e.g. water provided by the county, municipality), or;</li> <li>◦ access to water that complies with the drinking water parameters set by local law, or in the absence of local law, water that complies with the WHO parameters.</li> </ul> </li> <li>• Water tests are done prior to the external audit.</li> <li>• Water tests are only needed if water is provided directly by the farm or group management. If potable water is provided by public systems, the responsibility for safe drinking water lies within the public drinking water administration.</li> </ul> <p>In addition, the CH shall:</p> <ul style="list-style-type: none"> <li>• Implement practices to protect water sources, and maintain water distribution mechanisms to avoid contamination e.g., replacing broken pipes or broken hoses, protection against animals, or avoiding chemical or biological hazards that may contaminate the water.</li> <li>• Protect stored water against contamination by using a lid.</li> <li>• Replace water stored in jars/containers at least every 24 hours to prevent the water becoming stagnant.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Identification of sources of drinking water.</li> <li>✓ Test results.</li> </ul>
<p>Annexes and other references</p> 	



5.6.5	ACCESS TO DRINKING WATER FOR SMALL FARMS
<p>Guidance on applicability</p> 	 <p>Applicable in case that small farms do not have access to safe public drinking water.</p>
<p>Purpose</p> 	<p>Access to safe drinking water is promoted to protect group members' health and wellbeing.</p>
<p>Implementation guidance</p> 	<p>The Group management shall:</p> <ul style="list-style-type: none"> <li>• Train group members on potable water treatments when they do not have access to <u>safe public drinking water</u>.</li> <li>• The training includes               <ul style="list-style-type: none"> <li>○ Examples of suitable water treatments like boiling, filtering, or chlorinating water.</li> <li>○ Practices to prevent water contamination such as using a lid on jars or containers, store water away from agrochemicals and avoid that animals can drink from it.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Training records.</p>
<p>Annexes and other references</p> 	



5.6.6	ACCES TO SAFE DRINKING WATER
Guidance on applicability 	
Purpose 	Access to safe drinking water is provided to protect workers' health and wellbeing while working on farms.
Implementation guidance 	<ul style="list-style-type: none"> <li>• The group member shall provide safe and sufficient drinking water. This means either:               <ul style="list-style-type: none"> <li>○ Water from a public drinking water system.</li> <li>○ Water that has been treated through boiling, filtering or chlorinating (5.6.5).</li> <li>○ Sufficient drinking water means at least 20Lt/person/day (so it is enough for drinking, cooking, showering, etc.), and within 1km/30 minutes round-trip, so that it is also accessible to the workers.</li> </ul> </li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Water provision records or examples.</li> </ul>
Annexes and other references 	

5.6.7	TOILETS AND HANDWASHING STATIONS
Guidance on applicability 	 <p>This is not applicable for workers for the Small farms in a group.</p>
Purpose 	Clean and functioning sanitation for workers is provided to protect workers' health and wellbeing in the workplace.
Implementation guidance 	<ul style="list-style-type: none"> <li>• Management identifies the number of toilets needed in their operations, considering the number of workers and workplaces, meaning minimally 1 unit per 15 persons.</li> <li>• Based on the identification the CH shall:               <ul style="list-style-type: none"> <li>○ Make handwashing stations available.</li> <li>○ Organize maintenance of the toilet facilities to keep them clean and functional. This may require:                   <ul style="list-style-type: none"> <li>▪ Provision of garbage disposal containers for the toilet paper or any other material to be disposed.</li> <li>▪ Cleaning schedules.</li> </ul> </li> <li>○ Regular checks and repairs where needed. Provide safety and privacy of vulnerable groups by at least having well-lit and lockable facilities, and divided by gender (urinals separated from toilets used by female workers).</li> <li>○ Facilities are divided by gender in the case of 10 or more workers.</li> <li>○ Ensures access to the toilets to workers whenever they need to use them.</li> </ul> </li> </ul>



	<ul style="list-style-type: none"> <li>It is recommended to promote, when considered relevant, hygiene and good habits among workers.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Number of toilets and handwashing stations.</li> <li>✓ Urinals are separated from toilets used by females.</li> <li>✓ Cleaning schedules.</li> <li>✓ Records on maintenance / repairs.</li> </ul>
<i>Annexes and other references</i> 	

<b>5.6.8</b>	<b>ACCESS TO PRIMARY HEALTH CARE</b>
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<i>Guidance on applicability</i> 	<p>This is not applicable for workers for the Small farms in a group.</p>
<i>Purpose</i> 	<p>Access to primary health care is provided to protect workers' health and wellbeing.</p>
<i>Implementation guidance</i> 	<p>The CH shall provide information to workers (permanent and temporary) on:</p> <ul style="list-style-type: none"> <li>Health topics related to their general well-being, and workplace health and safety. This can be done by organizing trainings or meetings, provide flyers or place posters in the workplace.</li> <li>Medical leave policies so that workers understand what to do in case of falling sick, and any other procedure to access primary health care.</li> <li>Availability of primary, maternal and reproductive health services in the community so that workers know where to get advice or treatment.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Information materials.</li> <li>✓ Medical leave policy.</li> </ul>
<i>Annexes and other references</i> 	



5.6.9	USE OF PPE
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Workers health and safety is protected by providing them with the right Personal Protective Equipment (PPE) for their work.</p>
<p>Implementation guidance</p> 	<p>Hazardous situations are circumstances and/or locations that can potentially cause negative health effects on a person(s) including, but not limited to, the use of machines, hazardous materials such as pesticides etc.</p> <ul style="list-style-type: none"> <li>• The CH shall: <ul style="list-style-type: none"> <li>○ Identify who works in hazardous situations based on the OHS risk assessment (5.6.1).</li> <li>○ Identify what type of PPE is required.</li> <li>○ Provide training to the identified persons, and hand them PPE free of charge (4.6.3).</li> <li>○ Monitor the use of PPE.</li> <li>○ Damaged or worn equipment is replaced or repaired, and gloves, boots, masks and respirators fit the user's body.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ List of persons who work under hazardous conditions.</li> <li>✓ List of PPE provided.</li> <li>✓ Training records.</li> </ul>
<p>Annexes and other references</p> 	<p>Examples of recommended PPE can be found in: <a href="http://www.pesticidewise.com">http://www.pesticidewise.com</a>  <a href="http://dresscode.bayer.com/">http://dresscode.bayer.com/</a></p>

5.6.10	TOOLS IN GOOD CONDITION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Tools are kept in good condition so workers have a safe environment to work in.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Provide tools to workers that are in good condition. This means tools that function adequately, and do not represent a risk when using them (e.g., broken cables. Non-encased electrical circuits).</li> <li>• Check that there are no worn out or bare cables, improvised installations that could cause short circuit or a fire.</li> <li>• Check the tools brought by workers to ensure its safe usage.</li> <li>• Give instructions on safety and warning signs in a language that workers can easily understand or use pictograms.</li> <li>• Train workers on safe handling of tools and machinery.</li> <li>• In countries where it is required by law that workers operating machinery have a specific license, a copy of those records is kept by the certificate holder to demonstrate compliance.</li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Maintenance records of tools and machines.</li> <li>✓ Training records.</li> <li>✓ Safety and warning signs.</li> <li>✓ Licenses.</li> </ul>
<p>Annexes and other references</p> 	

<b>5.6.11</b>	<b>PREGNANT WOMEN NOT AT RISK</b>
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<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>The health and safety of Pregnant women is protected.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Identify the high-risk activities for pregnant and nursing women by using the OHS risk assessment (5.6.1) Examples are moving heavy boxes, working in spaces very close by the agrochemical handling facilities, washing clothes used by pesticides applicators, packing products in processing facilities with high volatile flavours etc.</li> <li>• Inform female workers on high-risk activities.</li> <li>• Re-assign pregnant and nursing women to low-risk activities/jobs.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Identification of high-risk activities for pregnant and nursing women.</li> <li>✓ Personnel records / re-assignments listed.</li> </ul>
<p>Annexes and other references</p> 	



5.6.12	IMMINENT DANGER SITUATIONS
Guidance on applicability 	
Purpose 	Workers are able to move out of any situation that poses an imminent danger to their health or safety to protect their health and security.
Implementation guidance 	The CH shall: <ul style="list-style-type: none"> <li>Clearly communicate to workers that in case of imminent danger, they can leave without any permission. Imminent danger is when a situation is reasonably expected to cause death or serious physical harm.</li> <li>This rule needs to be stated in worker contracts, and explained to them during recruitment.</li> <li>Have an emergency protocol, and make it visual by using posters at the work place.</li> <li>In contexts with a high percentage of migrant workers the communication shall be done in the predominant language.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Emergency protocol.</li> <li>✓ Communication records.</li> </ul>
Annexes and other references 	

5.6.13	CLEAN AND SAFE WORKSHOPS, STORAGE AREAS AND PROCESSING FACILITIES
Guidance on applicability 	 <p>For groups, this requirement is applicable for workshops, storage areas and central processing facilities, not for each small farm member's facilities. For Large farms in a group, this requirement applies.</p>
Purpose 	Accident and emergency procedures are in place to protect the health and safety of workers.
Implementation guidance 	The CH shall: <ul style="list-style-type: none"> <li>Have a clear written accident and emergency procedure that includes marked fire exits and evaluation maps.</li> <li>Carry out one emergency drill per year at a minimum.</li> <li>Inform workers about the accident and emergency procedure. This can be done e.g., during the workers basic training on occupational health and safety (5.6.15), or as part of the employee's introduction programs.</li> <li>Organize sufficient light and ventilation in the workshops, storage areas, and processing facilities. This is particularly important in the storage rooms where agrochemicals or other hazardous substances are stored as there is a risk people inhale these substances.</li> <li>Provide firefighting equipment, and equipment to remediate spillage of materials (e.g., charcoal, sand). This should be available in all processing units/sites/workshops.</li> </ul>



	<ul style="list-style-type: none"> <li>• Provide training to workers on how to use the firefighting equipment. This is important because in case of an accident any worker should be able to know how to operate the firefighting equipment.</li> </ul> <p>The CH shall ensure that workshops, storage areas, and processing facilities are safe. This means:</p> <ul style="list-style-type: none"> <li>• Only authorized personnel have access to workshops, storage, or processing facilities</li> <li>• There are no water leaks, damaged floors, damaged or worn-out structures, or any infrastructure that would increase the possibility of accidents.</li> <li>• Floors have a one percent slope, and there is a retention wall in the different entrances to prevent spilled liquids from escaping the storage area.</li> <li>• All hazards and hazardous areas are identified by warning signs that indicate the type of hazard, and any necessary precautionary measures.</li> <li>• Fuels and other flammable substances, Personal Protective Equipment, or food are not stored with pesticides, fertilizers, or other hazardous materials.</li> <li>• Chemical containers and application equipment are stored in dry, well ventilated conditions, and protected from sunlight and extreme temperatures.</li> <li>• Containers larger than one gallon (3.8 liters) are not stored on top of each other.</li> <li>• Materials are stored according to the manufacturers or suppliers' recommendations to minimize the risk of breakage or spillage.</li> <li>• Liquids are kept on shelves covered in plastic, metal or another non-absorbent material.</li> <li>• Material Safety Data Sheets (for each stored chemical) are kept in the storage facility.</li> </ul>
<p><i>Evidence and Indicators</i></p> 	<ul style="list-style-type: none"> <li>✓ Facilities are according to criteria.</li> <li>✓ Authorized personnel identified.</li> <li>✓ Accident and emergency procedure.</li> <li>✓ Records of emergency drills.</li> </ul>
<p><i>Annexes and other references</i></p> 	



5.6.14	CLEAN AND SAFE EATING SPACES
<p>Guidance on applicability</p> 	 <p>For groups, this requirement is applicable for workshops, storage areas and central processing facilities, not for each small farm member's facilities. For Large farms in a group, this requirement applies.</p>
<p>Purpose</p> 	<p>Workers have a safe place to eat which is protected from weather conditions, to ensure their health and safety.</p>
<p>Implementation guidance</p> 	<p>The CH organizes clean and safe eating spaces for all workers (temporary and permanent). This means:</p> <ul style="list-style-type: none"> <li>• Areas without the risk of food poisoning or contamination.</li> <li>• Not an area or space where chemical substances are handled.</li> <li>• A space that is protected from rain and sun, for instance by having a roof, tent, sunscreens or any other material to cover the space.</li> <li>• This is also applicable to workers in the field.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Clearly identified areas.</li> <li>✓ Protection against sun and rain.</li> </ul>
<p>Annexes and other references</p> 	

5.6.15	TRAINING ON OCCUPATIONAL HEALTH AND SAFETY
<p>Guidance on applicability</p> 	 <p>For groups, this requirement is applicable for group staff, not for each small farm member. For Large farms in a group, this requirement applies.</p>
<p>Purpose</p> 	<p>Workers know what to do in any situation that poses a risk to their occupational health, safety, and hygiene.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Provide basic training on occupational health, safety, and hygiene</li> <li>• The training: <ul style="list-style-type: none"> <li>○ Includes all relevant topics as identified in the OHS risk assessment (5.6.1)</li> <li>○ Can be given by an external person or by trained internal staff.</li> <li>○ Can be given face to face, or with distance learning, e-learning.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Training records.</li> <li>✓ Trainer registration.</li> <li>✓ Training content.</li> </ul>
<p>Annexes and other references</p> 	



5.6.16	<b>MEDICAL EXAMINATION FOR WORKERS WHO HANDLE HAZARDOUS AGROCHEMICALS</b>
<p>Guidance on applicability</p> 	 <p>For groups, this requirement is applicable for group staff, not for each small farm member. For Large farms in a group, this requirement applies.</p>
<p>Purpose</p> 	<p>Protect the health of the workers who are at increased health risk due to their exposure to hazardous agrochemicals.</p>
<p>Implementation guidance</p> 	<p>The CH shall:</p> <ul style="list-style-type: none"> <li>• Identify the workers who regularly handle hazardous agrochemicals. These can include for instance: <ul style="list-style-type: none"> <li>○ Workers in charge of loading and unloading agrochemicals.</li> <li>○ Staff in charge of organizing and making an inventory of inputs.</li> <li>○ Personnel in charge of washing PPE and clothes that have been worn by workers applying pesticides.</li> </ul> </li> <li>• Provide access to medical examination at least once a year for the identified workers. In operations where there is a higher risk of exposure to hazardous agrochemicals, it is recommended to do the check-up more regularly.</li> <li>• The results are shared with the worker.</li> <li>• Provide cholinesterase tests to all workers with regular exposure to organophosphates or carbamate pesticides.</li> <li>• Instructions for the cholinesterase test are: <ul style="list-style-type: none"> <li>○ Collect baseline data of workers, asking them if they have worked with organophosphates and carbamates before. This can be asked when hiring them.</li> <li>○ Do the tests one month after the first day of applying organophosphate or carbamate.</li> <li>○ Acceptable cholinesterase level is baseline result minus 25.</li> <li>○ Identify the frequency of testing based on the results, and the frequency of exposure of each worker.</li> <li>○ Check the local law on testing frequency and procedures.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records on workers handling hazardous agrochemicals.</li> <li>✓ Records on medical examinations.</li> <li>✓ For workers that are exposed to organophosphates or carbamate pesticides, the examination includes cholinesterase testing.</li> </ul>
<p>Annexes and other references</p> 	

5.6.17 L1	<b>OCCUPATIONAL HEALTH AND SAFETY COMMITTEE</b>
<p>Guidance on applicability</p> 	 <p>This requirement is applicable to groups that hire more than 20 workers as 'group staff'. For groups with less workers this requirement does not apply.  For large farms in a group and individually certified farms, this requirement applies.</p>
<p>Purpose</p> 	<p>Establish a committee with responsibility to ensure the workers' health and safety for working environments with a high number of workers, to provide a higher level of health and safety oversight.</p>



<p>Implementation guidance</p> 	<p>Management shall:</p> <ul style="list-style-type: none"> <li>• Establish an Occupational Health and Safety (OHS) Committee responsible to address occupational health and safety (OHS).</li> <li>• Ensure the Committee participates or carries out regular OHS reviews. The review is to identify OHS risks, and checks if the procedures and practices in place are sufficient.</li> <li>• Consider taking over the review findings and decisions to update the OHS risk assessment (5.6.1).</li> </ul> <p>The Committee shall:</p> <ul style="list-style-type: none"> <li>• Reflect the composition of the workforce, meaning all types of workers are represented.</li> <li>• Be selected by the workers.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Composition of the OHS Committee.</li> <li>✓ Election records.</li> <li>✓ Review records and OHS meeting records.</li> </ul>
<p>Annexes and other references</p> 	

**5.6.18 L2 RE-ASSIGNMENT OF JOBS/ACTIVITIES WHEN TEMPORARY HEALTH CONDITIONS**

<p>Guidance on applicability</p> 	 <p>This is not applicable for Small farms in a group.</p>
<p>Purpose</p> 	<p>Ensuring that workers with temporary health conditions/limitations are provided with appropriate alternate activities, are not disadvantaged in compensation or by penalty.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• When workers are faced with temporary health problems or limitations, the CH re-assigns them to another job or activity. A re-assignment is not subject to deductions, or reductions in remuneration.</li> <li>• Allow workers to discuss the re-assignment with their managers or supervisors without fear for penalties or a decrease in compensation.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Worker health records.</li> <li>✓ Job reassignment list / work planning overviews.</li> </ul>
<p>Annexes and other references</p> 	



5.7 HOUSING AND LIVING CONDITIONS	
5.7.1	LIVING CONDITIONS FOR WORKERS AND THEIR FAMILIES
<p>Guidance on applicability</p> 	 <p>This requirement is only applicable to Large farms in a group or individually certified farms. The requirement 5.7.3 applies in the case of groups with small farms.</p>
<p>Purpose</p> 	<p>Protect the human rights of workers and their families by ensuring safe, clean, and decent housing and living conditions.</p>
<p>Implementation guidance</p> 	<p>When providing living quarters to workers and their families, management:</p> <ul style="list-style-type: none"> <li>• Identifies per season who / how many workers need housing.</li> <li>• Compares the relevant laws and Collective Bargaining Agreements with the Rainforest Alliance housing requirement to identify which one is stricter, and complies with the stricter ruling.</li> <li>• Checks if additional actions are needed like organizing more living quarters or upgrading the facilities. The actions should be included in the <u>Management Plan</u>.</li> </ul> <p>Clarifications:</p> <ul style="list-style-type: none"> <li>✓ Workers cannot build extensions without authorization.</li> <li>✓ If non-workers or their families live on-site, this requirement does not apply to their housing. These can be, for instance, retired workers who have the right to remain living on the farm premises.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Worker lists including data on who receives housing.</li> <li>✓ Maintenance records.</li> <li>✓ Registration of complaints received and handled by administration/management.</li> </ul>
<p>Annexes and other references</p> 	<p><i>Guidance Document K: Housing and Living Conditions</i></p>
5.7.2	CHILDREN GO TO SCHOOL
<p>Guidance on applicability</p> 	 <p>This requirement is only applicable to Large farms in a group and individually certified farms.</p>
<p>Purpose</p> 	<p>Protect the human rights of children living on certified farms by ensuring their access to education</p>
<p>Implementation guidance</p> 	<p>Management:</p> <ul style="list-style-type: none"> <li>• Identifies which children live on-site, and where they can go to school.</li> <li>• The school has to be at a safe walking distance, meaning 0-3 km or a max of 30 min for children between 5-10 years old, and 0-5 km or a max of 1 hour for children of 10-15 years old.</li> <li>• In case children must walk through dense forests, cross a river without a safe bridge or deserted areas, it is recommended not to let them travel alone.</li> <li>• Facilitates transportation when there is no safe walking distance to the school. E.g., by arranging transportation routes in the community, giving workers time to transport their children in their own vehicles, or any other way feasible.</li> </ul>



	<ul style="list-style-type: none"> <li>Organizes on-site schooling when sending children to schools in the communities is not an option. Schooling has to be of a recognized and equivalent level as the education offered in an official, public school approved by the national authorities.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Number of children in school-going age.</li> <li>✓ Identified schools or on-site schooling arrangement.</li> </ul>
<i>Annexes and other references</i> 	<i>Guidance Document K: Housing and Living Conditions</i> Guidance on Safe transport: <a href="https://www.who.int/roadsafety/decade_of_action/plan/en/">https://www.who.int/roadsafety/decade_of_action/plan/en/</a>

<b>5.7.3</b>	<b>LIVING QUARTERS PROVIDED BY SMALL FARMS AND GROUP MANAGEMENT</b>
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<i>Guidance on applicability</i> 	<p>Applicable if workers and their families are housed or lodged on-site.</p>
<i>Purpose</i> 	Protect the human rights of workers and their families living on-site by ensuring they have safe, clean, and decent living conditions.
<i>Implementation guidance</i> 	When providing living quarters to workers and their families, it must be a safe accommodation. <ul style="list-style-type: none"> <li>When group accommodation is organized, evacuation routes are marked for the workers in case of an emergency.</li> <li>Living quarters need to have access to drinking water, following the specifications of safe drinking water (5.6.4 for group members and 5.6.5 for group management).</li> <li>Living quarters need to have adequate sanitary and washing facilities. This means:               <ul style="list-style-type: none"> <li>Clean pit latrines, clean toilets, and/or urinals.</li> <li>Separate washing facilities which should be constructed of easily cleanable materials.</li> <li>Facilities can be locked to avoid the risk of sexual harassment.</li> </ul> </li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Worker records.</li> <li>✓ On-site living quarters.</li> <li>✓ Sanitary and washing facilities.</li> </ul>
<i>Annexes and other references</i> 	<i>Guidance Document K: Housing and Living Conditions</i>



5.7.4 L1	IMPROVEMENT IN ON-SITE LIVING CONDITIONS FOR HOUSING OF LARGE FARMS AND INDIVIDUALLY CERTIFIED FARMS
<p>Guidance on applicability</p> 	 <p>This requirement is only applicable to Large farms in a group, and individually certified farms. For groups with small farms, the requirement 5.7.5 L1 applies.</p>
<p>Purpose</p> 	<p>Living conditions for workers improved.</p>
<p>Implementation guidance</p> 	<p>Next step is organizing improvements to the on-site living conditions of their workers as compared to the Core requirements of 5.7.1 and 5.7.2. Improvement examples are:</p> <ul style="list-style-type: none"> <li>• Providing natural ventilation to avoid smoke stagnation indoors.</li> <li>• Separate cooking areas from bedrooms.</li> <li>• Convert the latrines into ventilated improved Pit (VIP) latrines or connect toilets to a sewage system.</li> <li>• Bed bunks with no more than two levels in group accommodations.</li> <li>• Create more living space in group accommodations and/or create a separate eating / leisure area.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Improvement records / building records.</p>
<p>Annexes and other references</p> 	
5.7.5 L1	ON-SITE HOUSING FOR WORKERS SMALL FARMS AND GROUP MANAGEMENT STAFF
<p>Guidance on applicability</p> 	 <p>This requirement is only applicable for the small farms and group management and their workers. For large farms and individually certified farms the requirement 5.7.4 L1 applies.</p>
<p>Purpose</p> 	<p>Living conditions for workers living on-site are improved.</p>
<p>Implementation guidance</p> 	<p>Next step is making improvements in the on-site housing including:</p> <ul style="list-style-type: none"> <li>• Cooking areas with smoke ventilation to avoid smoke stagnations.</li> <li>• Preventing pests by keeping areas cleaned, setting up traps to reduce the presence of rodents, use mosquito nets in the windows to avoid undesirable insects, etc.</li> <li>• Food storage areas protected from moisture and pests, and separated from storage of chemicals and other potential hazards.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Improvement records / building records.</p>



<p>Annexes and other references</p> 	
<p><b>5.7.6 L2 IMPROVEMENT IN ON-SITE LIVING CONDITIONS FOR HOUSING OF LARGE FARMS AND INDIVIDUALLY CERTIFIED FARMS</b></p>	
<p>Guidance on applicability</p> 	 <p>This requirement is applicable to Large farms in a group and individually certified.</p>
<p>Purpose</p> 	<p>The living conditions of workers that need to be accommodated on-site are continuously improved to better protect the health, safety and well-being of workers and their families.</p>
<p>Implementation guidance</p> 	<p>Next step is making improvements in the on-site living conditions of their workers. This means housing facilities have:</p> <ul style="list-style-type: none"> <li>• Sealed floors, meaning floors made of clay properly sealed and levelled, floors made with cement, stone, tile or wood.</li> <li>• At least one toilet, one shower, and one laundry sink per 6 persons, and in case of group accommodation at least one toilet per 6 persons.</li> <li>• Areas for drying clothes</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Improvement records / building records.</p>
<p>Annexes and other references</p> 	



5.7.7 L1	IMPROVEMENT ON OFF-PROPERTY ACCOMODATION FOR TEMPORARY WORKERS
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Ensure the quality, and make necessary improvements to the conditions of accommodation of temporary workers that are not accommodated on the property of the CH.</p>
<p>Implementation guidance</p> 	<p>When a group or farm management works with off-property accommodation for temporary workers, they must:</p> <ul style="list-style-type: none"><li>• Check compliance with housing requirements established by Rainforest Alliance.</li><li>• In case improvements are needed, discuss this with the landlord and support getting the improvements done.</li></ul>
<p>Evidence and Indicators</p> 	<p>✓ Records on off-property housing accommodation including quality checks.</p>
<p>Annexes and other references</p> 	



5.8 COMMUNITIES	
5.8.1	RIGHTS OF INDIGENOUS PEOPLES AND LOCAL COMMUNITIES
Guidance on applicability 	 <ul style="list-style-type: none"> <li>• The FPIC process must be followed when the CH is planning to initiate new projects or activities as identified in Annex S11, Section 3.1.</li> <li>• Farms holding a valid Rainforest Alliance certificate as of June 1st, 2020 and are not planning to initiate any projects or activities applicable for FPIC are considered to have complied with this core requirement, by virtue of having complied with core criterion 4.20 of the 2017 Rainforest Alliance, Sustainable Agriculture Standard.</li> </ul>
Purpose 	Respect the legal and customary rights of indigenous people and local communities.
Implementation guidance 	Managers must: <ul style="list-style-type: none"> <li>• Respect legal and customary rights of indigenous peoples and local communities.</li> <li>• Check if any grievances or complaints were brought forward by indigenous people and/or local communities (1.5.1).</li> <li>• Determine if a Free, Prior and Informed Consent (FPIC) process is required. This means identifying if the project/activity could have a negative effect on the rights, land, resources, territories, livelihoods, or food security of indigenous peoples or local communities. This could be reduced access to water sources, or losing access to land.</li> <li>• If an FPIC process is required, all 6 steps shall be followed (Scoping, research, consultation, negotiation, agreement and implementation).</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Grievance mechanism / grievances received.</li> <li>✓ Activity plan including records on FPIC requirement check.</li> <li>✓ If applicable: records on the FPIC process.</li> </ul>
Annexes and other references 	Please see Annex S11: Free, prior And Informed Consent (FPIC) Processes - section 4 describes the 6 steps
5.8.2	LEGITIMATE RIGHT TO USE LAND
Guidance on applicability 	 <p>This is applicable for Large farms in a group and individually certified farms.</p>
Purpose 	Certified production occurs on land that is used legally and legitimately for this purpose, and is free of any illegal land use practices, conflicts or disputes.



<p>Implementation guidance</p> 	<p>Farm and group management must:</p> <ul style="list-style-type: none"> <li>• Demonstrate that the certified farms are legally owned by them, or were no longer used for agriculture production. This can be done by either having a legal ownership document, leasehold, or any other legal document or traditional or customary use rights documentation.</li> <li>• Demonstrate that there are/were no land conflicts when starting the farm operations. In the event of land rights disputes (concerning past dispossession, forced abandonment, or illegal action), this conflict must be solved by following the FPIC process.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Land titles/title deeds, lease contracts or documentation of traditional or customary use rights.</li> <li>✓ Land is classified/approved for agriculture.</li> <li>✓ If appropriate documentation on FPIC process.</li> </ul>
<p>Annexes and other references</p> 	<p>Please see Annex S11: Free, prior And Informed Consent (FPIC) Processes</p>

<b>5.8.3 L1</b>	<b>ACTIVE ENGAGEMENT WITH COMMUNITIES</b>
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<p>Guidance on applicability</p> 	 <p>This is applicable for Large farms in a group and individually certified farms.</p>
<p>Purpose</p> 	<p>Management is aware of the concerns and interests of communities' who are potentially affected by farm operations, maintain open communication with them and consults with them on issues that may affect them, for example through the FPIC process.</p>
<p>Implementation guidance</p> 	<p>Management:</p> <ul style="list-style-type: none"> <li>• Checks if there have been concerns/grievances filed against the CH by the local community.</li> <li>• Stays in touch with communities within or adjacent to the farm to hear their concerns and understand their interests. This can be done by inviting the community to open farm days or by visiting community activities such as town hall meetings or local events.</li> <li>• Inform the communities about the farm operations including the possibility to file complaints, by using posters, local radio stations, etc.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Communication records.</li> <li>✓ Grievance records.</li> </ul>
<p>Annexes and other references</p> 	

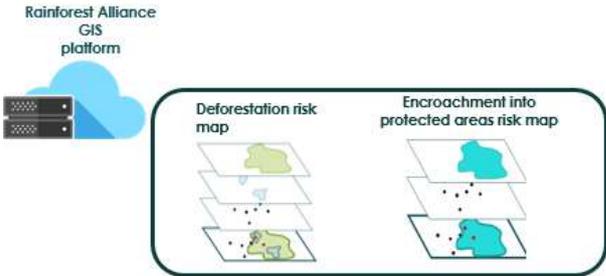


5.8.4 L2	SUPPORTING COMMUNITIES
<p>Guidance on applicability</p> 	 <p>This is applicable for Large farms in a group and individually certified farms.</p>
<p>Purpose</p> 	<p>Management supports resilience and sustainable practices to benefit both farm and communities.</p>
<p>Implementation guidance</p> 	<p>Management:</p> <ul style="list-style-type: none"> <li>• Analyses the concerns and priorities of the communities identified in 5.8.4 L1, and includes possible actions to address those concerns in the <u>Management Plan</u>.</li> <li>• Concerns and priorities can be related to farm operations or community needs. E.g., If it is found that composting done on the farm is affecting the air quality for the community, a different composting method will be sought and implemented. Another possibility is to share technical expertise with the community by lending staff to an environmental project, or buy supplies for the local school.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Records of support given (minutes, invoices, time sheets of staff).</p>
<p>Annexes and other references</p> 	

CHAPTER 6

# ENVIRONMENT



6.1 FOREST, OTHER NATURAL ECOSYSTEMS, AND PROTECTED AREAS	
6.1.1	NO DEFORESTATION OF NATURAL FORESTS AND OTHER NATURAL ECOSYSTEMS.
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Support the protection of forests and other natural ecosystems, and ensure there has been no conversion of natural forest or other natural ecosystems after January first, 2014.</p>
<p>Implementation guidance</p> 	<p>This requirement focuses on the no-conversion of natural forests and other natural ecosystems. A <u>natural ecosystem</u> is an ecosystem that substantially resembles, in terms of species, composition, structure, and ecological function, one that is, or would be found in a given area in the absence of major human impacts. More details on natural ecosystems can be found in the Glossary.</p> <p>Rainforest Alliance has developed risk maps to identify where conversion/deforestation of natural forests has occurred. The 2 risks maps are the <u>Deforestation risk map</u> and <u>Encroachment into protected areas risk map</u>.</p> <div style="text-align: center;">  </div> <p>The CH will:</p> <ul style="list-style-type: none"> <li>• Use these maps to identify whether deforestation or conversion of <u>natural forest</u>, and other <u>natural ecosystems</u>, have occurred after January 1st, 2014.</li> <li>• Verify prior to purchase of new land, new production areas, and new infrastructure that no conversion of natural ecosystems has taken place.</li> <li>• For group/multi-farm and multi-site CHs, it is recommended to check with geospatial data the compliance of new members, before accepting them to join the group, meaning check for signs of recent deforestation.</li> <li>• Liaise, when possible, with local environmental NGOs and/or government departments to keep information up-to-date on possible risks of deforestation in the community.</li> <li>• For locations with medium to high or high risk, management shows efforts to minimize risks by organizing activities, trainings and awareness raising.</li> </ul> <p>Announced minor conversions:</p> <ul style="list-style-type: none"> <li>• A minor exception applicable to the conversion of natural ecosystems may be permitted when it concerns expanding essential infrastructure like roads, irrigation infrastructure, or processing operations. This is only up to 1% of the total certified land area, and no more than 10 ha whatever implies less conversion.</li> <li>• The 1% threshold is the cumulative total allowable area from the first date of application for certification.</li> </ul>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Data on conversions done.</li> <li>✓ Data on planned minor conversions.</li> </ul>
<p>Annexes and other references</p> 	<p>Annex: S12: Additional Details on requirements for no-conversion Guidance document M: Natural Ecosystems and Vegetation</p>

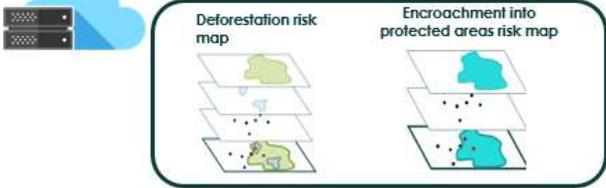
<b>6.1.2</b>	<b>NO ENCROACHMENT IN PROTECTED AREAS</b>
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<p>Guidance on applicability</p> 	
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<p>Purpose</p> 	<p>Support the protection of forests, and other natural ecosystems, by ensuring that no production of certified produce occurs in protected forests.</p>
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<p>Implementation guidance</p> 	<p>Two risk maps will be available for the CHs (<u>Deforestation risk maps</u> and <u>Encroachment into protected areas risk maps</u>).</p>
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Rainforest Alliance GIS platform



Rainforest Alliance uses information on encroachment with data provided by governments or from the word database on protected areas to identify **Go** and **No-go** areas.

The CH:

- Considers the results of the Rainforest Alliance risk maps to assess if in reality
  - Farms/group members are in the '**No-go**' areas, and
  - Farms/group members in the '**Go**' area' meet the conditions under which production is allowed.
- In the case of groups with high risk, inform all producers that conversion and encroachment is not allowed.
- If possible, draft a memorandum of understanding with the members for this purpose.
- For group/multi-farm and multi-site, monitor that new members or new sites comply with this requirement before joining the group, and that non-conformant members, meaning members in the '**No go**' areas, are excluded from the certification scope. This can be done during internal audits.

Exceptions:

- Exceptions to the requirement will be considered only when there is a national law applicable. International laws, to which nations have acceded, are also considered as applicable law.



	<ul style="list-style-type: none"> <li>• In those cases where production or processing has occurred in protected areas, or their officially designated <u>buffer zones</u>, the CH must:             <ul style="list-style-type: none"> <li>○ Keep evidence to proof that production is allowed under applicable law, e.g., official permits or the <u>Management Plan</u> for protected areas.</li> <li>○ Monitor that the conditions stipulated in the national law are followed.</li> <li>○ Make sure that conversion/deforestation has not occurred in those areas since January 1st, 2014. Even if encroachment is allowed under the applicable law, compliance with requirement 6.1.1 that no deforestation of <u>natural forests</u> and <u>natural ecosystems</u> occurred since January 2014 stays valid.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Maps indicating production, buffer zones and/or processing.</li> <li>✓ Where relevant permits showing compliance with applicable law.</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance document M: Natural Ecosystems and Vegetation</p>

6.1.3	HIGH CONSERVATION VALUES (HCVs) FOR LARGE FARMS IN A GROUP AND INDIVIDUALLY CERTIFIED FARMS
<p>Guidance on applicability</p>  	 <p>This requirement is applicable to large farms in a group and individually certified farms. For small farms belonging to a group the requirement 6.1.4 L1 applies.</p>
<p>Purpose</p> 	<p>Protect the natural environment and biodiversity by identifying risks to High Conservation Value Areas, and taking measures to reduce risks.</p>
<p>Implementation guidance</p> 	<p>Based on the results of the <u>risk assessment tool</u> (requirement 1.3.1) mitigation measures are included in the <u>Management Plan</u> to enhance High Conservation Values (HCVs).</p> <ul style="list-style-type: none"> <li>• For management it is important to:             <ul style="list-style-type: none"> <li>○ Identify any ecologically valuable area near their farm or group of farms. This can be done using tools such as Global Forest Watch, UNESCO World Heritage site, Ramsar site, key biodiversity areas, and Intact Forest Landscapes.</li> <li>○ Implement the actions to protect important animal and/or plant life present.</li> <li>○ Monitor the agreed actions more closely than regularly done, when the farm has identified a high risk for negative impact on HCVs.</li> <li>○ If a farm presents risk to HCV's, and is larger than 10,000 ha, the farm/group needs to do a full HCV assessment with an HCV licensed advisor.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Results Risk assessment tool.</li> <li>✓ Mitigation measures included in Management Plan.</li> <li>✓ Monitoring data.</li> </ul>
<p>Annexes and other references</p>	<p>Please see Annex S3: Risk Assessment Tool Guidance document M: Natural Ecosystems and Vegetation</p>



<b>6.1.4 L1</b>	<b>HIGH CONSERVATION VALUES FOR GROUPS</b>
<p>Guidance on applicability</p>	<p>This requirement applies to Groups with Small Farms. For individually certified farms and Large farms within a group the requirement 6.1.3 applies.</p>
<p>Purpose</p>	<p>Identify, implement and monitor the progress of mitigation measures to address identified risks to HCV areas.</p>
<p>Implementation guidance</p>	<p>This is a level 1 requirement for groups, meaning that by the end of year 3 group management needs to have:</p> <ul style="list-style-type: none"> <li>• Identified any ecologically valuable area near their farm or group of farms. This can be done using tools such as Global Forest Watch, UNESCO World Heritage site, Ramsar site, key biodiversity areas, and Intact Forest Landscapes.</li> <li>• Included the mitigation measures in their <u>Management Plan</u> to minimize and mitigate threats on negatively impacting HCVs.</li> <li>• Monitored developments closely, e.g., by implementing regular visits to those areas, and not only depend on the internal inspections.</li> <li>• Groups with producers in different landscapes/geographical scopes within a country, need to do an assessment at cluster level, within the geographical scope.</li> </ul>
<p>Evidence and Indicators</p>	<ul style="list-style-type: none"> <li>✓ Results Risk assessment tool.</li> <li>✓ Mitigation measures in the Management Plan.</li> <li>✓ Planning sheets.</li> <li>✓ Monitoring data.</li> </ul>
<p>Annexes and other references</p>	<p>Please see <i>Annex S3: Risk Assessment Tool</i>  <i>Guidance document M: Natural Ecosystems and Vegetation</i></p>



6.2 CONSERVATION AND ENHANCEMENT OF NATURAL ECOSYSTEMS AND VEGETATION	
6.2.1	PLAN TO CONSERVE NATURAL ECOSYSTEMS
Guidance on applicability 	
Purpose 	Producers identify natural ecosystems on the farm and develop a plan to assess, manage, and conserve them.
Implementation guidance 	Management: <ul style="list-style-type: none"> <li>• Demonstrates they have a good overview of the natural ecosystems, and this is updated, and depicted in the Farm map (1.2.10).</li> <li>• Develops a plan to conserve natural ecosystems based on the analysis of the farm map (1.2.10), and results of the Risk Assessment (1.3.1).</li> <li>• Includes the planned actions in the <u>Management Plan</u> (1.3.2), and updates the plan annually.</li> <li>• The actions depend on the type of ecosystem.               <ul style="list-style-type: none"> <li>◦ E.g., for forest that resemble natural forest, actions may include planting additional species, increasing the canopy cover when this is not yet optimal, management of overabundance of vines or lianas, etc.</li> <li>◦ For wetlands, the actions may include planting additional native ground cover (grasses, shrubs, trees).</li> <li>◦ For ecosystem areas that are connected by landscape corridors, actions may include planning vegetation corridors.</li> </ul> </li> </ul> Monitors the implementation of the plan.
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ The plan is based on the map (1.2.10), or sketch (1.2.11), and the outcome of the natural ecosystem section of the Risk assessment tool.</li> </ul> Monitoring data.
Annexes and other references 	Annex S3: Rainforest Alliance Farm Risk Assessment Tool Guidance document M: Natural Ecosystems and Vegetation

6.2.2	MAINTAINANCE OF REMNANT FOREST TREES
Guidance on applicability 	
Purpose 	Producers maintain and sustainably manage natural vegetation on the farm.
Implementation guidance 	<u>Remnant Forest Trees</u> are those trees on the farm that were part of the original natural ecosystem on the land, and have a high value for biodiversity. They are usually older and larger than other trees that have been planted and managed within the agricultural or agroforestry system. <ul style="list-style-type: none"> <li>• Producers keep remnant forest trees in the farm, except when they pose a hazard to people or infrastructure.</li> <li>• In countries where the local authority requires a permit to cut down remnant forest trees, this permit shall be obtained.</li> </ul>



	<ul style="list-style-type: none"> <li>• If not regulated by law, the CH shows evidence that cutting the trees down was needed as accidents happened when trees fell during a storm.</li> <li>• For other native trees on the farm, producers shall manage them sustainably, meaning the quantity and quality of the trees is preserved.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Data on remnant forest trees.</li> <li>✓ Permits or accident reports for trees cut.</li> <li>✓ Data on other native trees.</li> </ul>
<i>Annexes and other references</i> 	<ul style="list-style-type: none"> <li>✓</li> </ul>

<b>6.2.3</b>	<b>MONITORING NATURAL VEGETATION COVER</b>
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<i>Guidance on applicability</i> 	
<i>Purpose</i> 	Producers increase natural vegetation on the farm to enhance biodiversity conservation.
<i>Implementation guidance</i> 	<p><u>Natural vegetation</u> cover includes natural ecosystems, planted natural vegetation, and trees within agroforestry systems. It can be separate or set-aside conservation land, or incorporated in the crop land in the form of agroforestry cover.</p> <p>Management:</p> <ul style="list-style-type: none"> <li>• Carries out an assessment of the % of on the farm or group of farms using a credible methodology.</li> <li>• Sets targets if the % is not yet achieved. This is done considering the main type of crop present in the farm (whether shade tolerant and non-shade tolerant) as follows:             <ul style="list-style-type: none"> <li>○ 10% of total area under natural vegetation in case of non-shade tolerant crops. E.g., banana, pineapple, oranges, etc.</li> <li>○ 15% of total area under natural vegetation in case of <u>shade-tolerant crops</u>. E.g., Coffee, cacao, tea.</li> </ul> </li> <li>• The actions include e.g.,             <ul style="list-style-type: none"> <li>▪ Restoration of riparian zones.</li> <li>▪ Restoration of marginally productive cultivated areas to natural ecosystems.</li> <li>▪ Incorporation of non-crop natural trees as border plantings, and barriers around housing and infrastructure, live fences, shade trees, and permanent agroforestry systems.</li> <li>▪ Connecting areas with natural ecosystems.</li> </ul> </li> <li>• Combinations are allowed for instance the 10% can be achieved by having 5% of total area with riparian buffer and 5 % with a conservation area within the farm.</li> </ul> <p>For groups this assessment is best done during internal inspections. Inspectors estimate the area that is under natural vegetation cover in ha or in %. The group management shall aggregate the data, and calculate the indicator for the whole group.</p>



<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Assessment report.</li> <li>✓ Targets and action plan.</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• % of total farm area under natural vegetation cover.</li> </ul>
<p>Annexes and other references</p> 	<p>Annex S15: Details on Off-site Conservation of Natural Vegetation</p> <ul style="list-style-type: none"> <li>✓</li> </ul>

<b>6.2.4 L2</b>	<b>NATURAL VEGETATION COVER</b>
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<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Producers achieve at least 10% or 15% (crop dependent) of natural vegetation on the farm or group of farms.</p>
<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• For year 6, the <u>natural vegetation</u> cover percentages for all farms are:             <ul style="list-style-type: none"> <li>○ 10% of total area under natural vegetation in case of non-shade tolerant crops. E.g., banana, pineapple, oranges, etc.</li> <li>○ 15% of total area under natural vegetation in case of <u>shade-tolerant crops</u>. E.g., Coffee, cacao, tea.</li> </ul> </li> <li>• The threshold can be achieved using the different options as indicated in 6.2.3:             <ul style="list-style-type: none"> <li>○ Riparian buffers, which are areas of permanent vegetation adjacent to an aquatic ecosystem where producers shall not have crops or cattle.</li> <li>○ Conservation areas within the farm, where a piece of land/farm unit is kept for conservation purposes.</li> <li>○ Natural vegetation in agroforestry systems. Conservation and restoration areas outside the certified farm for those CHs whose existing vegetative cover does not reach those percentages despite careful planning and implementation.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Monitoring data on natural vegetation cover.</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• 10% of the total area for farms growing non-shade tolerant crops</li> <li>• 15% of the total area for farms growing shade-tolerant crops</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance document M: Natural Ecosystems and Vegetation Annex S15: Details on Off-site Conservation of Natural Vegetation</p>



6.2.5	AGROFORESTRY SYSTEMS																				
Guidance on applicability 																					
Purpose 	Producers manage agroforestry systems to optimize productivity, and support ecosystem services and biodiversity.																				
Implementation guidance 	<p>Producers with <u>shade-tolerant crops</u> shall:</p> <ul style="list-style-type: none"> <li>Estimate and document the % of shade coverage within the agroforestry systems, as well as the number of different native trees species, using a credible methodology such as:             <ul style="list-style-type: none"> <li>Smartphone apps that use pictures for assessing the percentage.</li> <li>Comparing tree density with data on specific tree species.</li> <li>Satellite images.</li> <li>Densitometers/spectrometers.</li> </ul> </li> <li>Estimation is done when the tree foliage is most dense (e.g., during the rainy season, and never after pruning the shade canopy).</li> <li>Use the following table which specifies Rainforest Alliance optimal shade coverage parameters for canopy cover and diversity of native tree species.</li> </ul> <table border="1" data-bbox="533 965 1281 1317"> <thead> <tr> <th>Shade Tolerant Crop</th> <th>Regions</th> <th>Min. Canopy Cover (%)</th> <th>Min. No. of native tree species per hectare</th> </tr> </thead> <tbody> <tr> <td>Coffee</td> <td>Africa, Asia, Latin America, and the Caribbean</td> <td>40%</td> <td>12</td> </tr> <tr> <td>Cocoa</td> <td>West Africa, East Africa, South East Asia, Latin America, and the Caribbean</td> <td>40%</td> <td>5</td> </tr> <tr> <td>Clove, Vanilla</td> <td>East Africa</td> <td>40%</td> <td>12</td> </tr> <tr> <td>Pepper</td> <td>South Asia</td> <td>20%</td> <td>12</td> </tr> </tbody> </table> <p>These parameters can be superseded by national guidelines, based on recommendations of national research institutes or government agencies.</p> <p>For groups:</p> <ul style="list-style-type: none"> <li>Internal inspectors observe the field, and estimates the area that is under natural vegetation cover in ha or in %.</li> <li>Group management aggregates the data, and calculates the indicator for the whole group. This may be done by using ranges to categorize producers, and facilitate the data collection.</li> <li>Report the category where most of the group members are found.</li> </ul>	Shade Tolerant Crop	Regions	Min. Canopy Cover (%)	Min. No. of native tree species per hectare	Coffee	Africa, Asia, Latin America, and the Caribbean	40%	12	Cocoa	West Africa, East Africa, South East Asia, Latin America, and the Caribbean	40%	5	Clove, Vanilla	East Africa	40%	12	Pepper	South Asia	20%	12
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Clove, Vanilla	East Africa	40%	12																		
Pepper	South Asia	20%	12																		
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Data on the % of natural vegetation and the calculation thereof.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>% shade cover averaged over the portion of the farm, or group of farms, growing shade-tolerant crops.</li> <li>Average number of shade tree species per hectare growing shade-tolerant crops.</li> </ul>																				
Annexes and other references	Shade coverage and species diversity reference parameters. <i>Guidance document M: Natural Ecosystems and Vegetation</i>																				

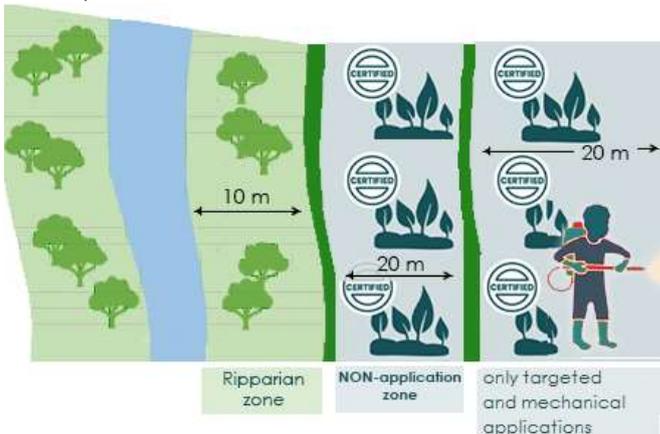


<b>6.2.6</b>	<b>INCREASE IN NATURAL VEGETATION</b>
<i>Guidance on applicability</i> 	
<i>Purpose</i> 	Producer increases natural vegetation on the farm beyond the required minimum % to enhance biodiversity.
<i>Implementation guidance</i> 	<ul style="list-style-type: none"> <li>• The CH achieves and increases in % of <u>natural vegetation</u> above 10% (for non-shade tolerant crops) and 15% (for shade-tolerant crops).</li> <li>• The threshold can be achieved with all different options as indicated in 6.2.3:             <ul style="list-style-type: none"> <li>○ Riparian buffers, which are areas of permanent vegetation adjacent to an aquatic ecosystem where producers shall not have crops or cattle.</li> <li>○ Conservation areas within the farm, where a piece of land/farm unit is kept for conservation purposes.</li> <li>○ Natural vegetation in agroforestry systems where shade trees may be considered if there is diversity in terms of species and strata diversity.</li> <li>○ Conservation and restoration areas outside the certified farm for those CH whose existing vegetative cover does not reach those percentages despite careful planning and implementation.</li> </ul> </li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Measurement data.</li> <li>✓ Monitoring data on actions.</li> </ul> <p><b>Indicator:</b> % of total farm area under natural vegetation cover.</p>
<i>Annexes and other references</i> 	<i>Guidance document M: Natural Ecosystems and Vegetation</i>



6.3 RIPARIAN BUFFERS	
6.3.1	MANTAINANCE OF RIPARIAN BUFFER ZONES
<p>Guidance on applicability</p> 	 <p>If farms do not have aquatic ecosystems in the surroundings or limits of their farm, the requirement does not apply.</p>
<p>Purpose</p> 	<p>Riparian Buffers (areas of natural vegetation between a waterbody and production areas) are conserved to protect water sources, and enhance biodiversity.</p>
<p>Implementation guidance</p> 	<p>Riparian buffers are wide swaths of natural vegetation between the edge of a waterbody, and the areas used for production or processing.</p> <p>Producers maintain existing <u>riparian buffer</u> adjacent to aquatic ecosystems, by allowing these areas to grow undisturbed in order to serve as a buffer between the active areas of the farm and the water body or water source. This means keeping riparian buffers adjacent to:</p> <ul style="list-style-type: none"> <li>• All naturally occurring streams, rivers, pools, ponds, lakes, and/or lagoons.</li> <li>• Seasonal streams that flow continuously for at least two months in most years.</li> <li>• Seasonal streams that flow intermittently, and are at least 1 meter wide.</li> <li>• Streams and rivers that have been altered by sedimentation, polluted runoff, bank erosion, thermal pollution, or impoundments less than 1 meter high, are still considered aquatic natural ecosystems.</li> <li>• All naturally occurring wetlands, where the natural hydrological conditions result in either or both of the following conditions: <ul style="list-style-type: none"> <li>○ Soils are waterlogged for most of the year;</li> <li>○ The land is periodically or permanently inundated by shallow water, including floodplains, wet areas bordering ponds, streams, or the ocean.</li> </ul> </li> </ul> <p>The CH does not need to maintain riparian buffers adjacent to:</p> <ul style="list-style-type: none"> <li>• Artificial pools, water treatment lagoons, and irrigation ponds unless: <ul style="list-style-type: none"> <li>○ these water bodies have been colonized by an endangered species; and/or</li> <li>○ the water body was constructed to provide fish or wildlife habitat.</li> </ul> </li> <li>• Areas that have been made seasonally or perennially wet due to human activity (such as drainage ditches, irrigation ponds, reservoirs, effluent holding ponds, aquaculture ponds, rice paddies, or gravel pits), unless: <ul style="list-style-type: none"> <li>○ these water bodies have been colonized by an endangered species; and/or</li> <li>○ the wetland was created by humans to provide wetland habitat.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Monitoring data on riparian buffers.</p>
<p>Annexes and other references</p> 	



6.3.2	RIPARIAN BUFFERS AND NON-APPLICATION ZONES TO SAFEGUARD DRINKING WATER SOURCES
<p>Guidance on applicability</p> 	 <p>This requirement is applicable for small farms. This means that the non-application zone must be respected independently on the size of the small farm.</p>
<p>Purpose</p> 	<p>Drinking water sources are protected from potential contamination from agrochemicals by defining zones around them where vegetation is conserved, and where agrochemicals are not applied.</p>
<p>Implementation guidance</p> 	<p>Producers located closer than 50 m to a river, lake or any other water body that is frequently used as the main source of drinking water maintain, or establish a riparian buffer that is at least 10 m wide.</p> <p>This means:</p> <ul style="list-style-type: none"> <li>• If there is already a <u>riparian buffer</u> of 10 m wide, the producer just keeps it, and no further action is required to comply with this requirement.</li> <li>• If the existing riparian buffer is &lt; than 10 m, the producer establishes a wider buffer by planting native trees, and leaving the land to regenerate naturally.</li> </ul> <p>In addition, the producer establishes:</p> <ul style="list-style-type: none"> <li>• An additional <u>non-application zone of 20 m</u> from the riparian buffer. This means in total an area of 30 m wide from the river where no application of pesticides is carried out (10 m wide riparian buffer zone + 20 m non-application zone).</li> <li>• An <u>additional zone of 20 m</u> where, if pesticides are applied, only mechanical, hand assisted, and targeted applications are used in order to reduce the spray drift.</li> </ul> <p>In this area, it is recommended</p> <ul style="list-style-type: none"> <li>○ Not to atomize pesticides, but rather apply them with direct contact to the plant part or weed (e.g., injection into trunk or brush or drench application).</li> <li>○ Avoid application when it is windy, hot and dry, through the monitoring of weather conditions, and moderate the drop size, nozzle pressure and flow rates.</li> </ul>  <ul style="list-style-type: none"> <li>• It is recommended to mark these zones, as to ensure that workers can visually identify where they cannot apply pesticides, and where they should do it only with mechanical, hand assisted and targeted applications to reduce drift.</li> </ul>
<p>Evidence and Indicators</p>	<ul style="list-style-type: none"> <li>✓ Monitoring data / farm map.</li> <li>✓ Instructions for producers / workers.</li> </ul>



<p>Annexes and other references</p>	

<b>6.3.3 L1</b>	<b>IMPROVEMENT OF RIPARIAN BUFERS</b>
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<p>Guidance on applicability</p>	
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<p>Purpose</p>	<p>Aquatic ecosystems are protected from potential negative impacts of farm activities by improving riparian buffers.</p>
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<p>Implementation guidance</p>	<p>In the requirement 6.3.1 producers maintain the existing riparian buffers. In this requirement, producers show improvements in regard to riparian buffers, and establish riparian buffers as follows:</p> <ul style="list-style-type: none"> <li>• 5 m along both sides of water courses between 1-5 m wide. However, if the producer has less than 2 hectares, the width of the riparian buffer can be of 2 m along both sides of water courses between 1-5 m wide.</li> <li>• 8 m along both sides of water courses between 5-10 m wide and around springs, wetlands, and other water bodies.</li> <li>• 15 m along both sides of rivers wider than 10 m wide.</li> </ul> <div data-bbox="491 1160 1262 1579" data-label="Diagram"> </div> <p>The producer leaves riparian buffers adjacent to:</p> <ul style="list-style-type: none"> <li>• All naturally occurring streams, rivers, pools, ponds, lakes, and /or lagoons.</li> <li>• Seasonal streams that flow continuously for at least two months in most years.</li> <li>• Seasonal streams that flow intermittently and are at least 1 meter wide.</li> <li>• Streams and rivers that have been altered by sedimentation, polluted runoff, bank erosion, thermal pollution, or impoundments less than 1 meter high, which are still considered aquatic natural ecosystems.</li> <li>• All naturally occurring wetlands, where the natural hydrological conditions result in either or both of the following conditions:             <ul style="list-style-type: none"> <li>◦ Soils are waterlogged for most of the year,</li> </ul> </li> </ul>
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	<ul style="list-style-type: none"><li>○ The land is periodically or permanently inundated by shallow water, including floodplains, wet areas bordering ponds, streams, or the ocean.</li><li>• No additional non-application zones are required if riparian buffers are fully established, because these are only required when farms are located near a source of drinking water (see 6.3.2).</li></ul>
<i>Evidence and Indicators</i> 	✓ Monitoring data / farm map.
<i>Annexes and other references</i> 	



6.4 PROTECTION OF WILDLIFE AND BIODIVERSITY	
6.4.1	THREATENED ANIMALS AND PLANTS ARE NOT HUNTED OR COLLECTED
<p>Guidance on applicability</p> 	 <p>Small farms may hunt non-threatened animals for non-commercial use only. E.g. a small farm producer that hunts an iguana for self-consumption and the iguana is not listed in the List of endangered species, complies with the Rainforest Alliance Standard.</p>
<p>Purpose</p> 	<p>Threatened animals and plants are not hunted or collected to protect wildlife and biodiversity.</p>
<p>Implementation guidance</p> 	<p>Producers:</p> <ul style="list-style-type: none"> <li>• Identify the <u>threatened animals and plants</u> by: <ul style="list-style-type: none"> <li>◦ Using the list of national endanger species in the national law (when available), and/or</li> <li>◦ Searching for the endangered species in the IUCN Red List of Threatened Species as Critically Endangered, Endangered or Vulnerable, and/or</li> <li>◦ Searching in the Appendices I, II, or III of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)</li> </ul> </li> <li>• Inform workers, worker's family members, neighbours or external people that hunting, killing, fishing, collection or trafficking of threatened animals and plants is forbidden in the farm(s) and sites under the scope of the CH. This may be done by issuing a policy about this, placing posters in the farm, reminding workers during relevant meetings, etc.</li> <li>• Inform workers, worker's family members, neighbours or external people that hunting any other animals (even if it is not a threatened species) is forbidden in the farm(s), and sites under the scope of the CH.</li> <li>• If farms can be accessed by external people through their borders or public roads, the prohibition of hunting is explicitly signalled in these areas.</li> <li>• If farm properties are vulnerable to poaching (illegal hunting), the farm takes actions to prevent it. Actions can include signals, fences, and surveillance systems.</li> <li>• Exceptions for hunting any other animals apply in the case of: <ul style="list-style-type: none"> <li>◦ <u>Wildlife pests</u> on the farm. E.g., in some countries wild rodents are problematic for crops, and can be hunted and consumed as a source of protein. In these cases the CH follows IPM practices, such as the use of traps (mechanical control) as a first option of pest control.</li> <li>◦ <u>Small farms</u> hunting for non-commercial purposes, meaning for self-consumption.</li> </ul> </li> <li>• Producers never use explosives for hunting.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ List of threatened animals and plants.</li> <li>✓ Information / materials for workers, producers and their families.</li> <li>✓ Where relevant signals, fences.</li> </ul>
<p>Annexes and other references</p> 	<p>IUCN LIST: <a href="http://www.iucnredlist.org">www.iucnredlist.org</a>  CITES <u>Appendices I, II and III</u> to the Convention are lists of species afforded different levels or types of protection from over-exploitation:  <a href="https://cites.org/sites/default/files/eng/app/2020/E-Appendices-2020-08-28.pdf">https://cites.org/sites/default/files/eng/app/2020/E-Appendices-2020-08-28.pdf</a></p>



6.4.2	WILDLIFE IS NOT HOLD IN CAPTIVITY
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Producers do not hold wildlife in captivity. If animals are held in captivity, they are ensure conditions that follow the five freedoms of animal welfare.</p>
<p>Implementation guidance</p> 	<p>Rainforest Alliance requires that producers do not hold wildlife in captivity. Few national laws protect wild animals from captivity. One example of this practice is the use of civet cats to produce a particular type of coffee.</p> <ul style="list-style-type: none"> <li>• If captive wild animals were present on the farm before the earliest certification date, the CH sends the wild animals to professional shelters.</li> <li>• If this is not possible, the CH may keep the wild animal only for non-commercial purposes for the remaining of their lives if the animal is treated following the <u>five freedoms of animal welfare</u> (Farm Animal Welfare Committee, 19992; 1993). <ul style="list-style-type: none"> <li>○ Good feeding: The animal is free from hunger, thirst, and malnutrition because it has ready access to drinking water and a suitable diet.</li> <li>○ Good housing: The animal is free from physical and thermal discomfort because it has access to shelter from the elements and a comfortable resting area.</li> <li>○ Good health: The animal is free from pain, injury, and disease, thanks to suitable prevention and/or rapid diagnosis and treatment.</li> <li>○ Appropriate behaviour: The animal can express most of its normal behavioural patterns because it has sufficient space, proper facilities, and the company of other animals of its kind.</li> <li>○ Protection from fear and distress: The animal does not experience fear or distress, because the conditions needed to prevent mental suffering have been ensured.</li> </ul> </li> <li>• Exception for holding animals in captivity applies in case of farms that are part of a legally established program to receive and rehabilitate wildlife. In these cases, if animals are to be released, then applicable law and regulations are complied with.</li> </ul>
<p>Evidence and Indicators</p> 	<p>Records on wildlife.</p>
<p>Annexes and other references</p> 	



6.4.3	INVASIVE SPECIES NOT INTRODUCED OR RELEASED INTENTIONALLY
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Producers do not introduce invasive species, and control the spread of invasive species on the farm to protect natural ecosystems and wildlife.</p>
<p>Implementation guidance</p> 	<p>Group management supports its members in identifying invasive plant species in their region. E.g., providing training or information in the form of manuals /guides for better identification of the species.</p> <p>Invasive species refer to a plant (or animal) 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.</p> <ul style="list-style-type: none"> <li>• Producers: <ul style="list-style-type: none"> <li>○ Get informed about potential invasive species in their area to make sure that they do not intentionally introduce or release them in their farm(s). For this standard, invasive species are the ones referenced by <u>IUCN/SSC Invasive Species Specialist Group (ISSG)</u> as 100 of the World's Worst Invasive Alien Species.</li> <li>○ Inform workers about invasive species, and they understand the implications of bringing invasive species to the farm, especially workers living on-site. One example is <i>Lantana Camara</i>, which is used as an ornamental plant in many countries.</li> <li>○ Make sure that when existing invasive species are removed from the farm, they are not disposed in aquatic ecosystems to avoid further spreading.</li> </ul> </li> <li>• Crop or livestock species are not considered invasive species.</li> <li>• Intentional introduction does not refer to the arrival of the species due to natural processes of succession, for example a pioneer species that settles in an area of young and secondary growth, or that is treated as fallow land.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ List of potential invasive species Information material.</p>
<p>Annexes and other references</p> 	<p><a href="http://www.issg.org/worst100_species.html">http://www.issg.org/worst100_species.html</a></p>



6.4.4	WILDLIFE ANIMALS ARE NOT USED FOR HARVESTING AND/OR PROCESSING CROPS
Guidance on applicability 	
Purpose 	Wildlife is protected by ensuring that wild animals (e.g., those that are not domesticated) are not used for harvesting and/or processing of crops.
Implementation guidance 	<ul style="list-style-type: none"> <li>• <u>Wildlife</u> animals (e.g., luwak for coffee) are not used for processing of any crop.</li> <li>• Wildlife animals (e.g., monkeys for coconut) are not used for harvesting of any crop.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>• Monitoring data / internal inspections.</li> </ul>
Annexes and other references 	<ul style="list-style-type: none"> <li>•</li> </ul>

6.4.5	PREVENTION OF SOIL EROSION
Guidance on applicability 	
Purpose 	Soil erosion is avoided by implementing soil conservation practices to enhance productivity, and protect natural ecosystems.
Implementation guidance 	<p>Since soil is such an important component of sustainable farming, Rainforest Alliance requires that soil conservation practices are implemented on the whole farm, and not only on the production area (4.4.2 on soil conservation, and mandatory improvement requirement 4.4.5 L1).</p> <p>Producers:</p> <ul style="list-style-type: none"> <li>• Identify soils affected by or susceptible to erosion. This may be part of the soil assessment (4.4.2).</li> <li>• implement practices to reduce erosion e.g., planting cover crops, using green manure, mulching, implementing terracing or any other practice to reduce erosion.</li> </ul>



<p>Evidence and Indicators</p> 	<p>✓ Soil assessment data.</p>
<p>Annexes and other references</p> 	<p>Guidance Document J: Soil Fertility and Conservation</p>

<b>6.4.6</b>	<b>NO USE OF FIRE FOR CLEARING FIELDS</b>
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<p>Guidance on applicability</p> 	
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<p>Purpose</p> 	<p>Fire is not used to clear fields, to protect soil quality and enhance biodiversity.</p>
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<p>Implementation guidance</p> 	<ul style="list-style-type: none"> <li>• The CH demonstrates, and records that no fire is used for preparing or clearing fields unless it is justified in the IPM plan, for example in the case of pests that need to be controlled during the egg stage, by burning field margins where eggs are laid.</li> <li>• Soil microbiotas also play an important role in the ecosystem. when fire is used, soil microbiotas is killed, and organic matter is affected and in long term nutrient content of the soil is negatively impacted.</li> <li>• When fire is used for IPM reasons, the CH:             <ul style="list-style-type: none"> <li>○ Demonstrates that it is included in the IPM strategy (4.5.1).</li> <li>○ Checks that PPE is appropriate for firefighting activities, and is available at free cost as required in (4.6.3).</li> <li>○ Checks if firefighting water is available, and a delivery system is in place, and well-maintained. When this is not the case, other substances need to be available, such as suppressants or surfactants.</li> <li>○ Monitors wind speed and direction to avoid any uncontrolled fire.</li> </ul> </li> <li>• The use of fire for harvesting is not allowed.</li> </ul> <p>Producers may use fire for cooking directly on the ground, as it is out of this requirement's scope.</p>
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<p>Evidence and Indicators</p> 	<p>✓ Records on preparing or cleaning fields.</p> <p>IPM plan.</p>
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<p>Annexes and other references</p> 	<p>Guidance Document J: Soil Fertility and Conservation</p>
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6.4.7 L1	MINIMIZE HUMAN-WILDLIFE CONFLICTS
Guidance on applicability 	
Purpose 	Reduce the risk of human of human-wildlife conflicts, and potential harm to wildlife or to producers and workers by implementing appropriate measures.
Implementation guidance 	Large farms and individually certified farms: <ul style="list-style-type: none"> <li>• Identify all potential risks of confrontation or attacks by wild animals. For instance, the risk of wild cats attacking cattle, elephants moving through tea plantations, coyotes in coffee plantations or the presence of venomous and non-venomous snakes</li> <li>• Implement procedures and emergency responses specifying what to do in case of animal sighting, confrontations or attacks</li> <li>• Minimize potential human-wildlife conflicts by               <ul style="list-style-type: none"> <li>○ Fencing the property.</li> <li>○ Implementing corridors to provide safe paths for animals to access water sources without causing disturbance in the farm.</li> <li>○ Using natural extracts such as chilli powder to repel wild animals like racoons, monkeys, etc.</li> </ul> </li> <li>• Train workers on the procedures and measures.</li> <li>• Monitor the implementation and adjust when needed.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Risk assessment data.</li> <li>✓ Information / training records.</li> <li>✓ Emergency response records.</li> </ul>
Annexes and other references 	

6.4.8 L1	MINIMIZE HUMAN-WILDLIFE CONFLICTS FOR GROUPS
Guidance on applicability 	
Purpose 	Reduce the risk of human of human-wild life conflicts, and potential harm to wildlife or to producers and workers by implementing appropriate measures.
Implementation guidance 	Group management: <ul style="list-style-type: none"> <li>• Identifies all potential risks of confrontation or attacks by wild animals. For instance, the risk of wild cats attacking cattle, elephants moving through tea plantations, coyotes in coffee plantations or the presence of venomous and non-venomous snakes.</li> <li>• Implements measures to minimize potential human-wildlife conflicts, by               <ul style="list-style-type: none"> <li>○ Fencing the property.</li> <li>○ Implementing corridors to provide safe paths for animals to access water sources, without causing disturbance in the farm.</li> <li>○ Using natural extracts such as chilli powder to repel wild animals like racoons, monkeys, etc.</li> </ul> </li> <li>• Include the topic and discuss the strategies during group member meetings, or gatherings, so that effective measures are in place.</li> </ul>



	<ul style="list-style-type: none"> <li>• Monitor the implementation, listen to members' suggestions, and adjust where needed.</li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Risk assessment data.</li> <li>✓ Information material, minutes.</li> <li>✓ Emergency response records.</li> </ul>
<i>Annexes and other references</i> 	

<b>6.4.9 L1</b>	<b>MEASURES TO CONTAIN AND REDUCE EXISTING INVASIVE SPECIES</b>
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<i>Guidance on applicability</i> 	
<i>Purpose</i> 	Producers actively control and work to minimise the presence of invasive species on the farm to protect natural ecosystems and wildlife.
<i>Implementation guidance</i> 	<p>This is an improvement requirement of 6.4.3. as producers are tasks to also contain and reduce existing invasive species. Invasive species are not native to a given place, and the introduction causes or is likely to cause economic harm, environmental harm or harm to human health.</p> <p>Producers:</p> <ul style="list-style-type: none"> <li>• Get informed about the existing invasive species in their area to make sure they can identify them. For this standard, invasive species are the ones referenced by <u>IUCN/SSC Invasive Species Specialist Group (ISSG) as 100 of the World's Worst Invasive Alien Species.</u></li> <li>• Get advice, if needed, from relevant organizations to identify ways to contain and reduce the invasive species, or check the recommended management in the IUCN/SSC website.</li> <li>• Implement actions to contain, and reduce existing invasive species by:             <ul style="list-style-type: none"> <li>○ Continuing to prevent the introduction, making sure that workers and people visiting the farm/site do not introduce the invasive species.</li> <li>○ Eradicating or controlling the invasive species following the IPM strategy. E.g., in the case of a fast-growing aquatic invasive species, control strategies shall address both watershed management, to reduce nutrient supply, and direct weed control.</li> <li>○ Avoid spreading by not disposing parts of the plant in aquatic ecosystems.</li> </ul> </li> </ul>
<i>Evidence and Indicators</i> 	<ul style="list-style-type: none"> <li>✓ Records on invasive species.</li> <li>✓ IPM plan.</li> <li>✓ Monitoring data.</li> </ul>
<i>Annexes and other references</i> 	<a href="http://www.issg.org/worst100_species.html">http://www.issg.org/worst100_species.html</a>



6.5 WATER MANAGEMENT AND CONSERVATION	
6.5.1	COMPLIANCE WITH APPLICABLE LAW FOR THE WITHDRAWAL OF SURFACE WATER OR GROUNDWATER
<p>Guidance on applicability</p> 	 <p>Requirement 6.5.2 is meant for Large farms, groups and individually certified farms to have a license or permit/or pending request for the withdrawal of surface or groundwater.</p>
<p>Purpose</p> 	<p>Producers comply with applicable law for water extraction so that they sustainably use and conserve natural resources.</p>
<p>Implementation guidance</p> 	<p>This requirement focuses on the compliance with applicable law for the withdrawal of surface or ground water for agricultural, domestic or processing purposes.</p> <p>The CH:</p> <ul style="list-style-type: none"> <li>• Knows the applicable law.</li> <li>• Works according to the law.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Records on applicable law.</li> <li>✓ Permits.</li> </ul>
<p>Annexes and other references</p> 	



6.5.2	LICENSE OR PERMITS FOR WITHDRAWAL OF WATER
Guidance on applicability 	 <p>This requirement is only applicable to large farms and individually certified farms. For groups the requirement 6.5.1 applies.</p>
Purpose 	<p>Producers have the required permit for water extraction so that they sustainably use and conserve natural resources.</p>
Implementation guidance 	<p>Producers need to:</p> <ul style="list-style-type: none"> <li>• Know the applicable laws for the withdrawal of surface or groundwater, and have obtained all permits, and authorizations required by applicable law.</li> <li>• In cases where applicable law, local authorities and procedures may be slow, overly complicated or inexistent, compliance with the law can be proven by documentation showing they have an application in process to obtain a permit to extract water.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Records on applicable law.</li> <li>✓ Permits or documentation on permits being processed.</li> </ul>
Annexes and other references 	

6.5.3	MAINTANANCE OF IRRIGATION AND WATER DISTRIBUTION SYSTEMS
Guidance on applicability 	 <p>The group management is responsible for the implementation of this requirement for all group members.</p>
Purpose 	<p>Conserve natural resources by ensuring water distribution systems are regularly maintained to reduce water loss from irrigation and water distribution systems.</p>
Implementation guidance 	<p>The CH:</p> <ul style="list-style-type: none"> <li>• Implements and schedules maintenance activities for all irrigation and water distribution systems. Avoiding or repairing leaks, broken pipes, valves that do not close properly or systems where water is being wasted etc.</li> <li>• Keeps all channels and alleys clean in the case of irrigation by gravity.</li> </ul>
Evidence and Indicators 	<ul style="list-style-type: none"> <li>✓ Maintenance records.</li> </ul>
Annexes and other references 	



6.5.4	MANAGEMENT OF IRRIGATION AND WATER DISTRIBUTION SYSTEMS
<p>Guidance on applicability</p> 	 <p>It is the responsibility of the group management that all members comply with this requirement.</p>
<p>Purpose</p> 	<p>Irrigation and water distribution systems are managed efficiently to conserve natural resources, and optimize crop productivity.</p>
<p>Implementation guidance</p> 	<p>Management:</p> <ul style="list-style-type: none"> <li>• Oversees irrigation and water distribution systems considering crop evapotranspiration data, soil conditions, and rainfall patterns.</li> <li>• Calculates the water used for irrigation in total and per unit of product to optimize crop productivity. This can be done as follows:             <ul style="list-style-type: none"> <li>○ Estimate the amount of water used per day or per crop cycle depending on the system (drip irrigation, sprinkles, manual irrigation with water from river or underground water), using the same methodology throughout the calculations.</li> <li>○ Keep records of the harvested production per cultivated hectare (kg / ha) (e.g., for banana boxes/ha or for coffee kg cherry/ha or kg of cherries/ ha. etc.).</li> <li>○ Determine the amount of water used (L) per unit of production(kg) (L/unit) based on amount of water used for irrigation (L/ha) and the harvested production per cultivated hectare (e.g., 100 L of water / kg of dry coffee beans).</li> </ul> </li> <li>• Monitor water use for irrigation carefully and adjust where possible.</li> </ul>
<p>Evidence and Indicators</p> 	<p>✓ Water use records.</p> <p><b>Indicator:</b> Water use for irrigation in total and per unit of product (L, L/kg).</p>
<p>Annexes and other references</p> 	



6.5.5	MEASURES TO REDUCE THE USE OF PROCESSING WATER
<p>Guidance on applicability</p> 	 <p>This requirement is not applicable for processing units of small farms in a group. It is applicable for large farms and central processing facilities, e.g., coffee milling central units of the group.</p>
<p>Purpose</p> 	<p>Water use for processing is reduced to conserve water resources, and ensure they are used sustainably.</p>
<p>Implementation guidance</p> 	<p>The CH:</p> <ul style="list-style-type: none"> <li>• Calculates the water used for processing. This can be done as follows: <ul style="list-style-type: none"> <li>○ Estimate the inlet water flow in Litres/second taking a sample using simple methods like checking how many litres can be filled in a bucket in 10 seconds (e.g., 5 Lt were collected in those 10 seconds) extrapolate to the amount of time used to process the product. E.g., if it takes 5 min to process 10 Kg of coffee, then the total volume of water used for those 10 Kg (considering the 5Lt/10sec) is 150 Lt, or an equivalent of 15Lt/Kg of coffee.</li> <li>○ It is recommended to repeat this 5-10 times to come to an average estimation of the amount of water used for processing per kg of product processed.</li> <li>○ For processing facilities that use water storage tanks: measure the difference between the level of water prior to processing and after processing.</li> </ul> </li> <li>• Implement measures to reduce volume of processing water per unit of product. Examples are: <ul style="list-style-type: none"> <li>○ Water re-use and recycling in processing operations.</li> <li>○ Installation of more water efficient processing equipment</li> </ul> </li> <li>• Monitor water use, and adjust where possible.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Calculation records.</li> <li>✓ Water use records.</li> </ul> <p><b>Indicator:</b> Water use for processing in total and per unit of the final product leaving the farm (L, L/Kg).</p>
<p>Annexes and other references</p> 	



6.5.6	RAINWATER HARVESTING
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Conserve water resources, and increase water availability for irrigation purposes by collecting and storing rainwater.</p>
<p>Implementation guidance</p> 	<p>Rainwater Harvesting is a technology used for collecting water from the surface on which it falls and store it for later use.</p> <p>To comply with this requirement, the CH:</p> <ul style="list-style-type: none"> <li>• Identifies an appropriate system considering the local conditions.</li> <li>• Informs producers on the importance of rainwater harvesting especially during dry season, and how to implement such systems in their own farms.</li> <li>• Implements rainwater harvesting methods to be used for irrigation and/or input application e.g., in the tank for pesticides application.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Producers have rainwater harvesting infrastructure.</li> <li>✓ Records on irrigation and/or input application purposes.</li> </ul>
<p>Annexes and other references</p> 	<p><i>Guidelines and Manual for Rainwater Harvesting in Maldives, 2009.</i>  <a href="http://extwprlegs1.fao.org/docs/pdf/mdv189834.pdf">http://extwprlegs1.fao.org/docs/pdf/mdv189834.pdf</a></p>



6.5.7	PARTICIPATION IN LOCAL WATERSHED INITIATIVE
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Producers participate in a local watershed committee or initiative, and take actions to conserve local watersheds to support the conservation of natural resources in the wider environment in which the farm operates.</p>
<p>Implementation guidance</p> 	<p>The CH:</p> <ul style="list-style-type: none"> <li>• Participates in local watershed committees or initiatives to restore the watershed's health like awareness raising campaigns of the community.</li> <li>• Takes actions to maintain, or restore the watershed's health as part of the collective process e.g.,             <ul style="list-style-type: none"> <li>○ Supporting reforestation programs in upper watersheds.</li> <li>○ Organizing open farm visit days, where community members can learn about sustainable practices to conserve water bodies.</li> <li>○ Organizing activities or providing training/technical advice to the watershed committee members on topics like wastewater treatment, good agricultural practices to reduce pesticides drifts to water bodies, etc.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Minutes of local watershed committee meetings.</li> <li>✓ Awareness raising and/or training materials.</li> </ul>
<p>Annexes and other references</p> 	



6.6 WASTEWATER MANAGEMENT											
6.6.1	WASTEWATER FROM PROCESSING OPERATIONS										
<p>Guidance on applicability</p> 	 <p>For farm groups, the tests are done at group-managed (collective) processing facilities, and at a representative sample of member processing operations, including the different types of treatment systems.</p>										
<p>Purpose</p> 	<p>Wastewater from processing is tested, and treated appropriately, to ensure that local water sources are not polluted.</p>										
<p>Implementation guidance</p> 	<p><u>Wastewater</u> from processing operations is water that has been adversely affected in quality by industrial processes, and originating from processing operations. These include mills (such as coffee wet mills, palm oil mills, sugar cane mills), washing operations (such as fruit or vegetable or milking facilities), or packing plants (such as juice or puree factories).</p> <p>Producers:</p> <ul style="list-style-type: none"> <li>identify and implement a method to treat wastewater from processing operations before applying it to land (6.6.3), or to aquatic ecosystems. Methods include, but are not limited to: <ul style="list-style-type: none"> <li>Anaerobic lagoons.</li> <li>Biofiltration wetland.</li> <li>Fixed-dome mini reactor.</li> <li>Tubular biodigester.</li> </ul> </li> <li>test the <u>wastewater</u> at all discharge points during the representative period(s) of operation to check that only water that meets the wastewater parameters is discharged into aquatic ecosystems. Tests are done as follows: <ul style="list-style-type: none"> <li>Take a representative sample of processing operations.</li> <li>Make sure the sample includes the different types of treatment systems.</li> <li>In case there are many treatment systems and many types of these, random samples are taken from the different types.</li> </ul> </li> </ul> <p>The Rainforest Alliance parameters for wastewater discharge into aquatic ecosystems are:</p> <table border="1"> <thead> <tr> <th>Wastewater Quality Parameter</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Biochemical Oxygen Demand (BOD<sub>5</sub>)</td> <td>&lt; 750 mg/l</td> </tr> <tr> <td>Total suspended solids</td> <td>&lt; 50 mg/l</td> </tr> <tr> <td>Grease and oils</td> <td>&lt; 50 mg/l</td> </tr> <tr> <td>pH</td> <td>Between 5.5 and 9.0</td> </tr> </tbody> </table>	Wastewater Quality Parameter	Value	Biochemical Oxygen Demand (BOD <sub>5</sub> )	< 750 mg/l	Total suspended solids	< 50 mg/l	Grease and oils	< 50 mg/l	pH	Between 5.5 and 9.0
Wastewater Quality Parameter	Value										
Biochemical Oxygen Demand (BOD <sub>5</sub> )	< 750 mg/l										
Total suspended solids	< 50 mg/l										
Grease and oils	< 50 mg/l										
pH	Between 5.5 and 9.0										
<p>Evidence and Indicators</p> 	<p>✓ Wastewater test records.</p>										
<p>Annexes and other references</p> 	<p>UTZ Manual for the construction of wastewater treatment system</p>										



6.6.2	HUMAN SEWAGE, SLUDGE AND SEWAGE WATER
<p>Guidance on applicability</p> 	 <p>Large farms, individually certified farms and central group facilities must carry out water tests to monitor that water quality parameters meet the legal wastewater quality under the applicable national law or meet the Rainforest Alliance wastewater parameters. Whichever is stricter.</p> <p>Small farms do not need to carry out wastewater tests.</p>
<p>Purpose</p> 	<p>Human sewage, sludge, and sewage water is not used for production and/or processing activities nor discharged into aquatic ecosystems to avoid contamination of water sources and negative impacts on human health and the environment.</p>
<p>Implementation guidance</p> 	<p>Producers:</p> <ul style="list-style-type: none"> <li>• Implement measures to avoid using <u>sewage</u> water in production, processing activities, or being discharged into aquatic ecosystems unless it is treated. Measures include: <ul style="list-style-type: none"> <li>○ Toilets never discharge directly into aquatic ecosystems or drains that lead directly to aquatic ecosystems or represent high risks of contamination.</li> <li>○ Stables do not drain or deposit cattle's faeces or urine into aquatic ecosystems.</li> <li>○ Worker's toilets/pit latrines, including those at on-site living quarters, are not discharged directly into aquatic ecosystems.</li> </ul> </li> <li>• Implement a sewage treatment system such as: <ul style="list-style-type: none"> <li>○ Septic tanks. The treatment capacity of septic tanks handles the volume of wastewater received.</li> <li>○ Or seepage pits, but not in highly permeable soil conditions or with permanently or seasonally high-water tables.</li> <li>○ Or seepage trenches or evapotranspiration beds only for heavy clays or soils with other impermeable layers that impede drainage.</li> </ul> </li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Monitoring data on sewage water discharge and/or treatment.</li> <li>✓ Documentation on treatment system.</li> </ul>
<p>Annexes and other references</p> 	
6.6.3	WASTEWATER TREATMENT BEFORE USING IT FOR IRRIGATION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Ensure that wastewater from processing operation has been treated prior to usage for irrigation purposes to avoid risks of contamination of crops, dangers to human health, and the environment.</p>



Implementation guidance



The CH:

- Identifies and implements a method to treat wastewater from processing operations before applying it to land. Methods can be:
  - Tubular biodigester.
  - Anaerobic lagoons.
  - Biofiltration wetland.
  - Fixed-dome mini reactor.
- Designated wastewater treatment systems according to the processing operation and wastewater characteristics.
- Consider the type of soil to prevent percolation when wastewater treatments are implemented directly in the soil e.g., with a biofiltration wetland system.
- Make sure wastewater complies with the national law parameters and/or the Rainforest Alliance parameter, whichever is stricter especially when wastewater is discharged in very sandy or highly permeable soils, where slopes exceed 8 or where the water table is seasonally or permanently high.

The Rainforest Alliance parameters for wastewater discharge into aquatic ecosystems are:

Wastewater Quality Parameter	Value
Biochemical Oxygen Demand (BOD <sub>5</sub> )	< 750 mg/l
Total suspended solids	< 50 mg/l
Grease and oils	< 50 mg/l
pH	Between 5.5 and 9.0

- When wastewater is used for irrigation the CH:
  - Implements measures to prevent percolation into groundwater. This includes e.g.,
    - Analysis and documentation of the irrigated area soils type and characteristics.
    - The slope percentages.
    - The average water table levels in the different seasons .
  - When the irrigated crops are meant for fresh consumption compliance with Rainforest Alliance Industrial wastewater parameters for irrigation is needed. Water analysis testing is done during representative periods of operations.
  - When wastewater is used for irrigating crops not destined for fresh consumption, water analysis is not needed if additional conditions in the Rainforest Alliance are met.

The Rainforest Alliance wastewater parameters for irrigation are:

Wastewater Quality Parameter	Value
Intestinal nematodes (arithmetic mean No. of eggs per liter)	<1
Faecal coliforms (geometric mean No. per 100 ml)	≤ 1000

- Rainwater that falls directly into treatment systems (such as ponds) is not considered dilution of wastewater.

Evidence and Indicators



- ✓ Wastewater parameters documentation.
- ✓ Irrigation records.

Annexes and other references





6.7 WASTE MANAGEMENT	
6.7.1	WASTE DISPOSAL
Guidance on applicability 	
Purpose 	Reduce health or safety risks to people, animals, and natural ecosystems by managing, treating and disposing of waste in designated areas.
Implementation guidance 	The CH ensures that: <ul style="list-style-type: none"> <li>• Waste is stored and disposed of only in designated areas.</li> <li>• Waste storage, treatment and disposal practices do not pose health or safety risks to producers, workers, other people, or natural ecosystems.</li> <li>• Non-organic waste is not left on the land.</li> <li>• Waste is never disposed of in natural ecosystems or aquatic ecosystems.</li> </ul>
Evidence and Indicators 	✓ Waste storage and disposal records.
Annexes and other references 	
6.7.2	NO BURNING OF WASTE
Guidance on applicability 	
Purpose 	Avoid air pollution, potential contamination of crops and natural ecosystems, and negative impacts on human health resulting from burning waste which can be highly toxic.
Implementation guidance 	The CH is not allowed to burn <u>waste</u> , except in incinerators. These are specially designed to avoid contamination.
Evidence and Indicators 	✓ Monitoring data on waste management.
Annexes and other references 	



6.7.3 L1	WASTE RECYCLING
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Reduce waste, and increase re-usage of waste products, particularly by transforming organic wastes into organic fertilizers which then are applied to crops.</p>
<p>Implementation guidance</p> 	<p>The CH:</p> <ul style="list-style-type: none"><li>• Informs and/or trains workers how to separate different types of <u>waste</u> from the source of origin. Regular waste management trainings or awareness raising events can be used.</li><li>• Facilitates the recycling of waste, e.g., by providing containers for waste disposal per waste category (organic, plastic, other).</li><li>• Composts organic waste and uses it as organic fertilizer (to comply with 4.4.4), or as input for other processes like feeding animals.</li></ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"><li>✓ Waste management records.</li><li>✓ Disposal bins.</li><li>✓ Information and/or training materials.</li></ul>
<p>Annexes and other references</p> 	



6.8 ENERGY EFFICIENCY	
6.8.1	INCREASING ENERGY EFFICIENCY
<p>Guidance on applicability</p> 	 <p>This requirement is not applicable for small farms in a group. Large farms and individually certified farms must comply with this requirement. Groups with a central processing facility must comply with the requirement if they have energy use for processing.</p>
<p>Purpose</p> 	<p>Assess the different types of energy use sources on the farm, and quantify energy use to identify where energy efficiency can be improved and GHG emissions can be reduced.</p>
<p>Implementation guidance</p> 	<p>This requirement does not require producers to change from non-renewable to renewable energy. It focuses on assessing the different types of energy use sources, to allow producers to analyse their current energy efficiency.</p> <p>The CH:</p> <ul style="list-style-type: none"> <li>• Categorizes the type of energy sources as stationary and mobile. <ul style="list-style-type: none"> <li>◦ Stationary includes boilers, dryers, and any other stationary equipment.</li> <li>◦ Mobile refers to machinery or equipment such as tractors, boom sprayers, etc.</li> </ul> </li> <li>• Categorizes the type of energy source as renewable and non-renewable.</li> <li>• Analyse the feasibility of reducing dependency of non-renewable energy sources used for production and processing.</li> <li>• Quantifies the total energy consumption per year after harvest.</li> <li>• Compares the total energy consumed with the total produced to analyse the efficiency.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Quantification and supporting documents of the types of energy sources and associated machinery used for production and processing.</li> <li>✓ Records on measures taken.</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance Document N: Energy Efficiency</p>
6.8.2	TARGETS FOR INCREASING ENERGY EFFICIENCY
<p>Guidance on applicability</p> 	 <p>This requirement is not applicable for small farms in a group. Large farms and individually certified farms must comply with this requirement. Groups with a central processing facility must comply with the requirement if they have energy use for processing.</p>
<p>Purpose</p> 	<p>Set realistic targets to increase energy efficiency and reduce GHG emissions.</p>
<p>Implementation guidance</p>	<p>Management:</p> <ul style="list-style-type: none"> <li>• Sets targets for reducing dependency on non-renewable energy sources, and for increasing efficiency in energy use.</li> <li>• Assesses the feasibility of different measures to increase energy efficiency, and includes those which are realistic and achievable in the energy efficiency plan and the Management Plan.</li> </ul>



	<ul style="list-style-type: none"> <li>• Monitors the energy efficiency plan yearly using the farm energy calculation, and documents progress.</li> <li>• Analyses the monitoring results to identify if measures need to be adapted to achieve the targets.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documentation on targets set.</li> <li>✓ Monitoring data.</li> </ul>
<p>Annexes and other references</p> 	<p>Guidance Document N: Energy Efficiency</p>

6.8.3 L1	BIOMASS ENERGY
<p>Guidance on applicability</p> 	 <p>In groups of small farms the group management is responsible for the implementation of this requirement.</p>
<p>Purpose</p> 	<p>Minimize negative effects on natural resources when using biomass energy.</p>
<p>Implementation guidance</p> 	<p>When biomass is used for processing operations and/or domestic use, management implements practices to minimize the direct and indirect effects on natural ecosystems.</p> <p>Practice examples are:</p> <ul style="list-style-type: none"> <li>○ When biomass is bought e.g., charcoal, check that it is coming from a sustainable source, meaning not associated with the destruction of forests or other natural ecosystems.</li> <li>○ Increase the availability of biomass energy on or around the farm (e.g., planting trees) as a way of compensating the biomass used in the farm/site.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Purchase records.</li> <li>✓ Monitoring data.</li> </ul>
<p>Annexes and other references</p> 	



6.9 GREENHOUSE GASES REDUCTION	
6.9.1	GREENHOUSE GASES REDUCTION
<p>Guidance on applicability</p> 	
<p>Purpose</p> 	<p>Assess GHG emissions on the farm, and establish emissions reduction targets.</p>
<p>Implementation guidance</p> 	<p>The CH:</p> <ul style="list-style-type: none"> <li>Keeps records and documents all sources of greenhouse gases from farm production and processing, at least fossil fuel and electricity, land use change, agriculture waste, wastewater, and fertilizer.</li> <li>Quantifies greenhouse gas emissions and removals from farm activities, by using the recommended Cool Farm Tool (CFT).</li> <li>Sets targets on GHG reduction, and implements strategies to meet those targets.</li> <li>Monitors the GHS annually.</li> </ul>
<p>Evidence and Indicators</p> 	<ul style="list-style-type: none"> <li>✓ Documentation on Net Greenhouse Gases (GHG) emissions from main sources in production and processing operations.</li> <li>✓ Documentation on targets for GHG reduction.</li> <li>✓ Monitoring data.</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>- Total annual net GHG emissions from the above indicated sources (tons of CO<sub>2</sub>e).</li> </ul> <p>Net GHG emissions from the above indicated sources per unit of the final product (tons of CO<sub>2</sub>e per unit).</p>
<p>Annexes and other references</p> 	<p>Guidance Document O: GHG Emission Reductions</p>