

# GUIDANCE DOCUMENT L

## Assess-and-address

*Version 1.1*



**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.

### More information?

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## **OBJECTIVE**

This document is intended to help farms seeking Rainforest Alliance certification, and Rainforest Alliance-certified farms, understand and implement the assess-and-address system.

## **SCOPE**

This document covers requirement 5.1 of the Rainforest Alliance Sustainable Agriculture Standard.

## **AUDIENCE**

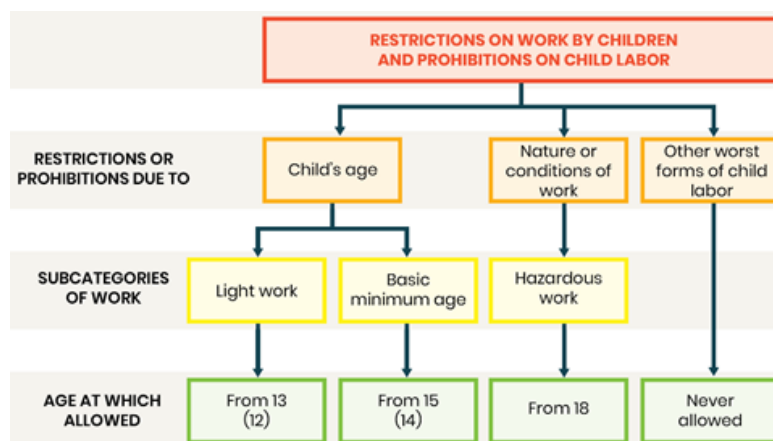
This document is intended to help Certificate Holders and farms/groups seeking certification, to understand and implement the assess-and-address system. Implementation of the assess-and-address system is lead by an Assess-and-Address Committee set up by the certificate holder, in collaboration with other actors



## UNDERSTANDING THE CONCEPTS

The following tables provide definitions and examples of child labor, forced labor, discrimination, and workplace violence/harassment. For complete definitions of these terms, see [Annex S1: Glossary](#).

What is Child Labor?	
IS Child Labor	Is <b>NOT</b> Child Labor
<ul style="list-style-type: none"> <li>Children of school-going age working during school hours.</li> <li>Children under the age of 18 years old working in hazardous conditions.</li> <li>Children below legal minimum working age are working on non-family farms. Minimum age set in national law, if higher than the Standard, will prevail.</li> <li>The unconditional worst forms of child labor include all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced or compulsory labor, including forced or compulsory recruitment of children for use in armed conflict; the use, procuring or offering of a child for prostitution, for the production of pornography or pornographic performances; the use, procuring or offering of a child for other illicit activities.</li> </ul>	<ul style="list-style-type: none"> <li>Regular employment/work: From the age of 15 (in developing economies 14) children can start general employment or work not exceeding 48 hours per week. In countries where the minimum age is higher or the number of permitted hours of work is lower, the national set minimum age and maximum hours apply. Children's work should be non-hazardous, safe and age-appropriate and not interfere with compulsory education.</li> <li>Children as young as 12 doing work for less than 14 hours a week that does not harm their health and development, and does not interfere with school.</li> <li>Age-appropriate farming activities by children on their family's small farm, that do not interfere with school and are supervised by an adult.</li> </ul>



**Figure 1** Restrictions on work by children. (ages shown in brackets are the minimum age defined by ILO provided that the work does not interfere with the child's opportunities to access education<sup>1</sup>).

<sup>1</sup> Adapted from ILO, Child Labour Guidance Tool For Business, 2015



## What is Forced Labor?

**Forced labor has 2 elements: involuntariness and coercion. Both elements must exist for a situation to be forced labor. Below are a few examples.**

### IS Forced Labour

#### Involuntariness

- Changes to working terms/conditions without worker's consent
- Forced overtime
- Involuntary prison labor or military labor
- Involuntary and excessive overtime
- Degrading working or living conditions
- Limited freedom to terminate employment
- Unpaid or extremely low-paid work

#### AND Coercion

- Violence or threats
- Physical confinement, restrictions on movement or communication
- Fines or other financial penalties
- Deprivation of food, water, toilets, or other basic needs
- Forced isolation, forced use of drugs/alcohol
- Debt bondage or manipulation of debt, advances, or loans
- Withholding or delay of wages
- Retention of identity documents or other valuables
- Threats of dismissal, deportation, legal action, or reporting to authorities

### Is NOT Forced Labour

Labour practices that are prohibited under other requirements in the Rainforest Alliance standard but which lack either the element of involuntariness or the element of coercion and are therefore not defined as forced labor. For example

- Payment of wages below the minimum wage which violates Requirement 5.3.3



### What is Discrimination?

IS Discrimination	Is <b>NOT</b> Discrimination
<ul style="list-style-type: none"> <li>• Giving preference to certain groups of people in the hiring process</li> <li>• Paying persons different wages for the same kind of job because of their gender, ethnicity, or another background.</li> <li>• Excluding certain groups of people from receiving benefits or opportunities like access to membership, training, and other services because of their background.</li> <li>• Requiring women to undergo pregnancy tests during the hiring process or any other moment.</li> </ul>	<ul style="list-style-type: none"> <li>• Providing additional support to access to work, services, and other benefits for certain groups of persons to ensure they have the same level of access as others or to meet their specific needs. Examples:               <ul style="list-style-type: none"> <li>- Special facilities for persons with disabilities to be able to access a factory</li> <li>- Translation of information material in the language of migrants</li> <li>- Installing breastfeeding rooms and other facilities for nursing mothers</li> </ul> </li> <li>• Paying persons different wages for jobs that differ in scope, level of responsibility, or for workers with different levels of experience.</li> </ul>

### What is Workplace Violence/Harassment?

IS Violence/Harassment	Is <b>NOT</b> Violence/Harassment
<ul style="list-style-type: none"> <li>• Threats, words, messages, or physical contact that lead to, or is intended to, cause harm to a person.</li> <li>• A working environment where people feel humiliated or threatened because of the way people behave:</li> <li>• Physical violence, unwelcome touching, or unnecessary proximity</li> <li>• Verbal comments and questions about a person's appearance, lifestyle, sexual orientation,</li> <li>• Offensive phone calls or messages</li> <li>• Non-Verbal actions such as whistling, making sexually suggestive gestures, or display of sexual materials</li> <li>• Sexual harassment is a type of workplace violence/ harassment for example:</li> <li>• Any sexual behavior that is offensive AND unwelcome towards the other person.</li> <li>• Requiring sexual favors in exchange for a benefit like a pay raise, promotion, or continued employment.</li> </ul>	<ul style="list-style-type: none"> <li>• Any kind of behavior that all persons involved agree with without being under any pressure.</li> <li>• Sexual behavior that has been agreed upon by all parties without the use of any pressure or power.</li> </ul>

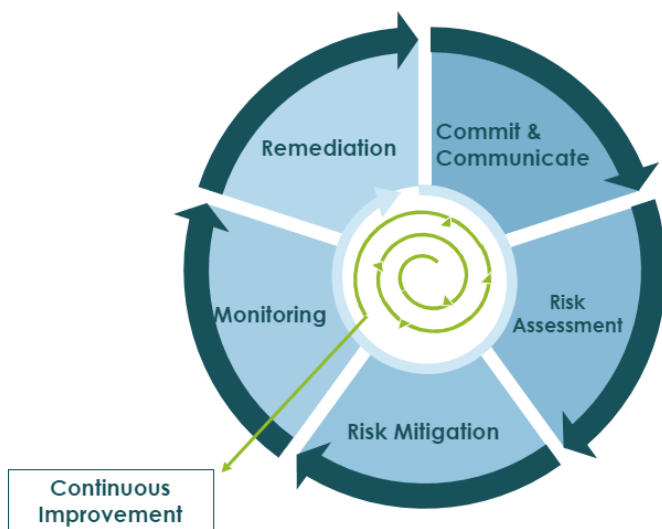


## HOW TO IMPLEMENT THE CORE REQUIREMENTS

The Rainforest Alliance assess-and-address approach is based on a cycle of continuous improvement. The assess-and-address process has 5 key steps that certificate holders need to put in place. Certificate holders should learn from their experience in implementing each of the steps to improve the process each time they go through the cycle. The five steps are:

- **Commit** to the assess-and-address approach and **communicate** how it works to all group members and workers
- Conduct a **risk assessment** to identify the specific risks to which the farm or group is exposed
- Implement **risk mitigation** measures to prevent the identified risks from happening.
- **Monitor** the actions taken and the treatment of cases to improve the way risks are addressed
- **Remediate** any cases identified to correct the wrong or the harm that has been uncovered, and make sure it doesn't happen again.

Figure 2 The Continuous Improvement Cycle of the assess-and-address approach



### How to Implement 5.1.1: Commitment and Communication

#### *Statement of Commitment*

Certificate Holders need to demonstrate their commitment to respect human rights and implement steps to prevent, monitor, identify and remediate human rights violations. One way to do this is to develop a written commitment. Although it is not mandatory to develop such a statement it is a good way for an organization to clarify why it is important to address human rights issues in this way and to inform group members, workers and other stakeholders. A sample commitment aligned with Rainforest Alliance's assess-and-address requirements is provided at the end of this Guidance document.





## Assess-and-address Committee

Requirement 5.1.1 of the Standard requires that each certificate holder sets up an assess-and-address Committee or appoints a person (for group certification, group management can choose to appoint a management representative instead of a committee) responsible for tackling discrimination, child labor, forced labor, and workplace violence and harassment.

The committee must include

- A person representing farm/group management who is accountable for the work of the committee. Human resources departments often deal with labor-related issues, and someone from human resources may therefore have the appropriate skills to serve as the management representative for assess-and-address to represent management in the assess-and-address committee.
- For large individual certified farms, the committee must include at least one worker representative. If the farm has a union or worker organization, the worker representative(s) should be chosen through that organization. If not, where possible, the worker representative(s) should be nominated by fellow workers through an election or other process.
- For group certification, the committee must include at least one member representative. The member representative(s) should be nominated by fellow members through an election or other process.

All Committee members should have a good understanding of discrimination, child labor, forced labor, and workplace violence/harassment issues in the country and local area. It is quite common for people to have different views of child labor, discrimination, and other issues, so it is key for the Committee members to build their knowledge of Rainforest Alliance definitions and concepts based on international norms. To build this understanding, committee members should, at a minimum, take the Rainforest Alliance online assess-and-address training module and understand national and local laws on these issues.

The responsibility of the committee is to implement the requirements under section 5.1 of the Standard, document actions implemented, and track and

report on the assess-and-address indicators.

If farms already have an existing committee supporting human rights and social issues, this committee can be designated as the assess-and-address committee if it meets the standard requirements. The assess-and-address Committee can also be combined or have some of the same members as other Committees required under the [Rainforest Alliance Sustainable Agriculture standard](#), such as the Grievance Committee and/or the Gender Committee. These committees must work together for the successful implementation of the standard.

Committee members do not need to be paid any additional compensation for fulfilling these roles, but they should continue to receive their normal remuneration while carrying out assess-and-address duties, including any overtime pay that may be due for work outside of normal hours. Where Committee members are not paid employees, the farm/group should cover travel and communication-related costs.

### Training

The committee must ensure that relevant staff and management of the farm/group receive training to raise their awareness of human rights issues and the assess-and-address approach.

#### 5.1.1 Evidence

The CH should at least:

- Demonstrate the management representative was appointed
- Demonstrate the existence of the committee and composition
- Demonstrate that awareness raising took place with management or group staff at least annually
- Have written communication that is visibly displaced at all times at a central place to workers/ group members clarifying that
  - Human rights violations are not tolerated.
  - Management has a system in place to assess and address cases



Such training can be arranged with an external training provider, or the committee may use other available resources such as the Rainforest Alliance assess-and-address training modules. In some countries, Rainforest Alliance Trainers are available to conduct in-person training for farms. If available, training materials from these sessions could also be used.

**Written Information**

The committee must inform workers and group members in writing that discrimination, child labor, forced labor, and violence/harassment are not tolerated in the farm/group. For large and individually certified farms, this information should be visibly displayed in the workplace at all times. This can be done using a poster or other means.

**How to Implement 5.1.2: Risk Assessment and Mitigation**



The assess-and-address system requires farms/groups to implement actions based on the specific risks to which that specific farm or group is exposed.

Farms/groups will use the Rainforest Alliance's basic Farm Risk Assessment tool to help them identify relevant risks. (Refer to [Annex S3: Risk Assessment Tool](#)). Certificate holders are expected to answer questions honestly. The

questions are not meant to assess compliance with the standard; they are meant to identify issues that could cause a non-compliance to occur and therefore need to be addressed.

Auditors will check to see that the

risk assessment was done correctly and that questions were answered honestly.

**5.1.2 Evidence**

The CH should at least:

- Completed basic risk assessment (Annex S3)
- Management Plan (requirement 1.3.2) includes the mitigation measures planned and taken

For each risk that is identified, the tool suggests risk mitigation measures the farm should take. Mitigation measures are steps to prevent problems from happening. Farms/groups can also develop their own mitigation measures which are more feasible or relevant in their local context. The mitigation measures must be integrated into the farm's/group overall management plan. The assess-and-address Committee should lead the implementation of the measures.



### How to Implement 5.1.3: Monitoring

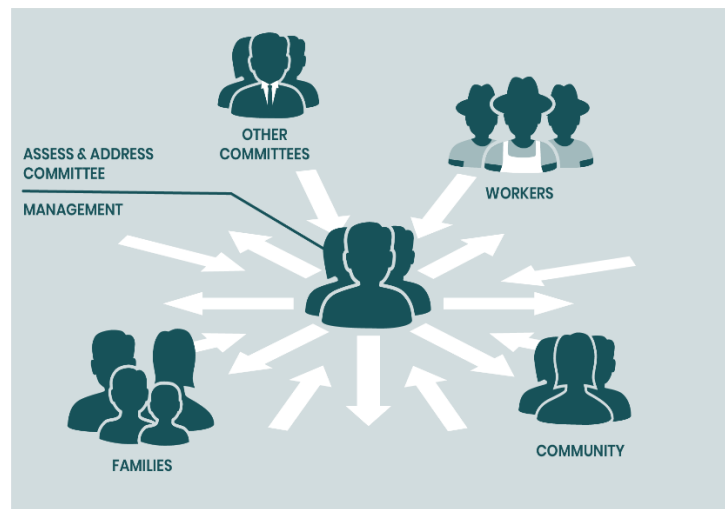
Please see the [assess-and-address monitoring guidance tool](#) which further supports Certificate Holders with implementing requirement 5.1.3. This tool contains suggested monitoring questions on each assess-and-address topic (child labor, forced labor etc) as well as on assessing the improvement the Certificate Holder is making to prevent and remediate these cases.

Assess-and-address monitoring should be coordinated by the assess-and-address committee. Monitoring serves multiple purposes:

- **Improvement:** Monitoring is used to assess progress on the actions implemented and on the impacts of those actions in addressing the risks identified. This information can be used to assess the functioning of the farm's/group's assess-and-address system and identify areas for improvement.
- **Information:** Monitoring can be used to gather up-to-date information about possible risks or cases of discrimination, child labor, forced labor, and workplace violence/harassment in the farm/group. This information can be used to identify additional measures that may be necessary.
- In addition to assessing progress and collecting information, a monitoring visit is also an opportunity for the monitors to raise awareness of workers/group members of the Rainforest Alliance standard requirements and good practices.

Monitoring involves collecting information from all relevant stakeholders who have knowledge of the risks related to human rights. It should also include collecting information from people who are involved in the implementation of assess-and-address mitigation actions and remediation processes (see below). There is no one monitoring approach that will work for all farms/groups. The approach should depend on the size of the farm/group and its specific risks, as identified by the Rainforest Alliance risk maps and the farm's own risk assessment.

**Figure 3** Stakeholders who provide information for assess-and-address monitoring



For instance, a cocoa cooperative with higher risks of child labor should take a different monitoring approach from a medium-sized pineapple plantation using only hired labor over the age of 18. (See table below.) Large farms should always closely monitor discrimination and workplace violence/harassment, while for small farms, this will be done less intensively.



## Monitoring Approaches

The Guidance R: assess-and-address Monitoring Tool *may be* used to support implementation.

The following are a few general principles for choosing a monitoring approach.

**1. Build on existing systems:** Identify if there are already established monitoring systems or programs in place that consider human rights issues in the area. These may be based in communities, schools or supply chains, or others. If possible, assess and address monitoring can be added to the work of these mechanisms. Building on existing systems is often simpler than starting a new one, makes better use of people's time, and may ensure longer-term sustainability.

**2. Define who will monitor:** The assess-and-address Representative or Committee leads the monitoring process and may be actively involved in the monitoring. However, depending on risks, other people will likely need to be engaged to collect monitoring information. These could be additional farm/group management representatives, members of other committees present on the farm, workers, farmers, community members, community leaders, youth leaders, teachers, extension officers etc.

For example, Farms that used to be certified under the UTZ program have appointed child labor liaison officers in the at-risk communities to play this role. Their role was not to "police" community members but to identify and support farmers at risk of child labor, and to help the group/farm prevent and respond to these cases. It is important these independent monitors are trusted by the community and are literate so that they can share information with the assess-and-address committee for follow-up. If external actors are engaged in monitoring, the committee will need to provide appropriate training about how to monitor. In addition, studies have shown that engaging community members yields more reliable data when these monitors are appropriately compensated. For monitors who are members of a group, compensation should be provided by the group for their time and travel.

**3. Define where to collect monitoring information:** Again, locations where relevant monitoring information can be collected depend on risks. Monitoring should focus on areas where risks are the greatest. eg.

- If child labor is a risk, monitoring systems that focus on schools and households can be more effective.
- If risks are in the area of working conditions, monitors should gather data from workers and observe workplaces.
- If a proportion of group members live in a remote area without schools, it is more likely children are involved in child labor in that area.
- If your group includes members in areas where more migrant workers are hired, that area is likely to be at greater risk of labor violations.
- If poor housing conditions pose a forced labor risk, housing should be monitored.
- For discrimination and workplace violence and harassment, focus on the presence and conditions of vulnerable groups like migrants, indigenous people, women and involve their representatives, like their leaders and women's groups.

### 5.1.3 Evidence

The CH should at least:

- Record of identified potential cases. The record has to indicate *whether the victim was:*
  - *male/female,*
  - *child/adult,*
  - *and whether it was a case of either child labor, forced labor, discrimination or workplace violence, and harassment*
- *Evidence on monitoring activities and of the scope of monitoring activities*



- 4. Define how to collect monitoring information:** Committee members and external monitors will have access to different types of information and have different opportunities to collect information. It is helpful to identify who will collect the monitoring information needed based on the opportunities they have:
- The worker representative(s) on the Assess-and-address Committee can monitor conditions in the workplace while on the job and interacting with fellow workers. They can also play an important role by raising awareness among other workers of the assess and address process and the availability of a Grievance Mechanism.
  - The management representative is in a position to check and verify documentation relevant to the monitoring, such as wage records, and bring relevant issues to the attention of decision-makers.
  - If a union or worker organization is active on-site, that organization's input on working conditions is vital to the monitoring process, as well as information coming from the farm's Grievance Mechanism.
  - The monitoring team may also choose to organize interviews (individual or group), targeted visits to observe situations, or other methods

Type of farm	Example of monitoring approach
<b>Large banana plantation with hired workers</b>	<ul style="list-style-type: none"> <li>• If there is a union or workers' organization, check with these representatives to see if workers have raised any concerns related to child labor, forced labor, discrimination, and/or violence/harassment.</li> <li>• If there is no such organization, and/or if there is an organization, but it does not include some workers, identify one or more workers from this group and ask if they, or their fellow workers, have any concerns.</li> <li>• Explain the available grievance mechanism to these workers and ask them to raise awareness about it among their peers.</li> </ul>
<b>Cocoa cooperative with thousands of smallholder members</b>	<ul style="list-style-type: none"> <li>• Committee may wish to visit a sample of members but also hire monitors in communities,</li> <li>• Obtain information from schools and parents;</li> <li>• Use lead farmers, local women's groups.</li> </ul>
<b>Medium farm with a large proportion of female workers</b>	<ul style="list-style-type: none"> <li>• Consider using Gender Committee members to do monitoring;</li> <li>• Facilitate women's groups to discuss these issues, and report back anonymously to Assess-and-address Committee.</li> </ul>

- 5. Identify how to ensure that data is accurate:** It can be very difficult to collect accurate information on human rights and worker rights issues because these issues can be sensitive. People who are experiencing abuses may not wish to report them. Information received by monitors may not be accurate. People who are causing abuses may wish to conceal them. This is why it is very important to build trust in the assess and address process so that people are more willing to be honest and open in providing information.

The Assess-and-address Committee must communicate to workers and other actors that its focus is on reducing risk and correcting problems *before* they are identified by an auditor, which could lead to the farm/group losing its certification. Hiding problems is not a good idea as most risks that are found can be corrected or remediated.



6. **Decide how to store data safely:** It is important that monitoring data is either entered in a database, through a connected portable device for information gathering or filled-out monitoring sheets that are stored somewhere safe, to protect individuals' privacy.

### Identification of risks/potential cases

If the monitoring process identifies weaknesses in the assess-and-address system – for example, very little progress on some of the mitigation measures such as age verification or labor provider oversight – this is an opportunity for the farm/group to correct that gap.

If a monitor identifies a potential case of child labor, forced labor, discrimination, or violence/harassment during your monitoring, the potential case should be referred to the Grievance Committee. A “potential case” is a situation that may violate the Rainforest Alliance Sustainable Agriculture Standard – for instance, a child who has been working during mandatory school hours or a worker who claims she has been seriously underpaid. (Refer to next section, *Response, and Remediation*, for guidance on how potential cases are handled.)

<b>Examples of Potential Cases</b>	
<b>Child labor</b>	<ul style="list-style-type: none"> <li>• A child aged 12 working on his/her family farm or on another farm during school hours</li> <li>• A child aged 17 working at night, at a dangerous height, or with dangerous machinery on his/her own farm or someone else's farm.</li> <li>• A girl aged 14 being trafficked from another country, living with a farmer to do household tasks, not being paid for her work.</li> </ul>
<b>Forced labor</b>	<ul style="list-style-type: none"> <li>• Workers owe outstanding debts to the farm/group management and/or to their labor provider.</li> <li>• Workers have reported long delays in receiving their pay.</li> <li>• Work being performed by prison labor or military labor.</li> </ul>
<b>Discrimination</b>	<ul style="list-style-type: none"> <li>• A group of a certain background dominates a certain activity.</li> <li>• Mostly workers of certain backgrounds/profiles seem to participate in trainings.</li> <li>• No presence of recently married female workers.</li> </ul>
<b>Workplace Violence/Harassment</b>	<ul style="list-style-type: none"> <li>• A high turnover rate in the department of a particular supervisor</li> <li>• A high percentage of sick leave of female workers in a particular department</li> </ul>

2

#### <sup>2</sup> Sources:

International Cocoa Initiative. Effectiveness Review of Child Labour Monitoring Systems in the Smallholder Agricultural Sector of Sub-Saharan Africa: Review of Emerging Good Practices. [https://cocoainitiative.org/wp-content/uploads/2017/05/ICI-CLMS-Effectiveness\\_15\\_May.pdf](https://cocoainitiative.org/wp-content/uploads/2017/05/ICI-CLMS-Effectiveness_15_May.pdf).

International Labor Organization. Guidelines for Developing Child Labour Monitoring Processes. [file:///C:/Users/RRigby/Downloads/ILO-IPEC\\_Child\\_Labour\\_Monitoring\\_Guidelines\\_EN%20\(2\).pdf](file:///C:/Users/RRigby/Downloads/ILO-IPEC_Child_Labour_Monitoring_Guidelines_EN%20(2).pdf)



## How to Implement 5.1.4: Remediation

Remediation is the process of correcting a wrong or a harm, after it has been uncovered, investigated, and verified by the grievance mechanism. And cases of suspected discrimination, child labor, forced labor, or violence/harassment identified need to be referred to the Grievance Mechanism for investigation and to determine the next steps to remediate the case. The [Remediation Protocol](#) (Annex S4 ) is used to determine what happens after cases are identified. Cases identified through the Grievance Mechanism, or through audits are also remedied in accordance with the Remediation Protocol.

In many cases, full remediation of a labor rights abuse cannot be done by the farm alone; collaboration with external actors is necessary. In the remediation planning process, the Assess-and-address Committee must complete the 1-page Remediation Plan as part of the Management Plan. This helps identify who is internally responsible for direct response to a severe case and for follow-up steps. It also identifies external agencies that can be contacted to support remediation. This could include women's or child protection and/or migrant workers' organizations and local social work or education departments or local authorities in case of criminal law violations. These contacts are set out in the plan for working with external actors.

The Grievance Committee will evaluate the case using the Remediation Protocol. This includes evaluating whether the case should be considered "severe." The committee will ask:

- Is the situation of the worker/child/potential whistleblower life-threatening?
- Does the issue have the potential to cause a lasting impact on the physical and/or psychological wellbeing of the worker/child?
- Is the issue systemic, meaning there are multiple cases of this issue on the farm?

### 5.1.4 Evidence

The CH should at least:

- Completed Management plan with Remediation Plan
- Record showing the data of confirmed cases of human rights violations. This data should include
  - Number and percentage
  - Sex (Male/Female)
  - Type of Human Rights Violation



- Is there evidence that the management or staff member knew that the issue was taking place, and that it violated the Rainforest Alliance Standard and/or applicable law but approved/continued the practice?

### **What is the Remediation Protocol?**

The remediation protocol describes the steps farms/groups should take when a case of discrimination, workplace violence or harassment, forced or child labor is identified.

This includes the following key steps:

- Determining the severity of the case.
  - In severe cases, where someone is in danger of violence or other risks to their lives, immediate steps to make sure the persons are safe and protected from harm.
  - In case of criminal activity, the farm or coop management will need to follow up with authorities, always handling in the best interest of the alleged victim.
  - Ensuring the affected individuals are safe from revenge
- The Grievance Committee makes its decision to determine:
  - 1) whether the grievance took place and is a breach of the Rainforest Alliance standard
  - 2) the type of remediation together with the Assess-and-address Committee, the affected person needs to agree with the proposed steps.
- Short term activities are put in place within 12 weeks, to bring the person back to his/her status before the incident took place – this could include removing a person from an abusive labor situation, pay back owed wages, correct contractual terms of a discriminated worker, support a child to go back to school;
- Long term activities are implemented within 52 weeks, that help to prevent the problem from re-occurring; these include training of staff, changing of policies and procedures that were potentially facilitating discrimination / abuse or income generating activities for poor families whose children were involved in child labor.





# HOW TO IMPLEMENT IMPROVEMENT REQUIREMENTS

## Who needs to implement improvement requirements?

The table below shows which certificate holders must implement assess-and-address improvements. For child labor and forced labor issues, producers must implement improvement requirements in countries with medium and high-risk scores in the [Rainforest Alliance Risk Maps](#). In addition, large and individually certified farms must implement improvement requirements related to workplace violence and harassment.

Rainforest Alliance Risk map Scores	Group Certificate			Individual Certificate
	Small farm	Large farm	Group management	Small/Large farm
Child Labor (Low risk)	No	No	No	No
Child Labor (Medium/high risk)	Yes	Yes	Yes	Yes
Forced labor (Low risk)	No	No	No	No
Forced labor (Medium/high risk)	Yes	Yes	Yes	Yes
Discrimination and violence/harassment	No	Yes	No	Yes

## How to Implement 5.1.5: In-Depth Risk Assessment

During the first improvement cycle, the assess-and-address committee will complete Annex S3: In-Depth Risk Assessment Tool. Farms/groups are expected to answer questions honestly. The questions are not meant to assess compliance; they are meant only to find ways to spot gaps and work on preventing human rights and worker rights abuses in the first place, as part of continuous improvement.

### 5.1.5 Evidence

The CH should at least:

- Completed in-depth risk assessment (Annex S3)
- Management Plan showing the planned and taken assess-and-address mitigation measures

On large farms particularly, the committee is expected to consult with a union/workers' organizations if one exists, and if not, with worker representatives, in completing this risk assessment. In all cases, the views of women, migrants, and/or other workers from more vulnerable groups should be consulted when completing the Tool. The results of the tool will help determine if additional mitigation measures the farm may need to include in its management plan.

## How to Implement 5.1.6: Training

During the first year of certification, the standard requires certain training to be held with workers and/or group members. Rainforest Alliance training materials may be used for this training. Certificate holders can also develop their own materials or use materials from other parties.

### 5.1.6 Evidence

The CH should at least:

- demonstrate that training/awareness-raising sessions took place and on which topics. This can include for example training material, attendance lists



## How to Implement 5.1.7: Education

### School attendance

Promoting school attendance among members' and workers' children is required for groups in medium and high-risk levels for child labor only, from year 3 onwards.

Children who go to school are less likely to be in situations of child labor and are more likely to access decent work in the future; that is why Rainforest Alliance requires Certificate Holders to actively encourage group members and workers to send their children to school. It is especially important to encourage school attendance for girls as they are often kept at home to help with work either in the household or on the farm.

Through internal inspections, groups should collect information from their members about whether their children are in school. This information will help group management or farm management to target activities to support education with their members or workers whose children don't go to school. These activities can include awareness-raising with members and workers, meetings with the education district office to advocate for more schools in the areas where children cannot access school, or meetings with organizations that can support education.

## How to Implement 5.1.8: Smart Meter

The Rainforest Alliance has adopted a "Smart Meter" approach in the 2020 Standard. Smart meters are ways to measure improvements based on targets set by farms/groups based on their own risks and circumstances. The smart meter requirement 5.1.8 is only applicable for large farms with a medium/high risk for child labor and forced labor.

For the assess-and-address Smart Meter, farms/groups can select their targets from the options below based on what they think they can realistically achieve. Auditors will check that a commitment to taking action is clearly demonstrated.

- Effective implementation of mitigation measures:
  - - o level 1: 0- 20% of measures implemented
    - o level 2: 20-50% of measures implemented
    - o level 3: 50 – 80% of measures implemented
    - o level 4: 80 - 100% of measures implemented
  - Effective training on relevant assess-and-address issues:
    - o level 1: 10- 50% of workers/farmers trained
    - o level 2: 50 – 100% of workers/farmers trained
    - o level 3: assessment on the knowledge of workers/farmers is done
    - o level 4: follow-up training is based on knowledge and awareness gaps
  - Effective cooperation with external actors:
    - o level 1: Mapping of relevant stakeholders
    - o level 2: Relations and communication with external actors, but no joint activities
    - o level 3: Cooperation with external actors, implementing incidental joint activities
    - o level 4: Longer-term relationship with external actors, to implement joint activities
  - Effective monitoring of the assess-and-address system:
    - o level 1: Some data are gathered

### 5.1.8 Evidence

The CH should at least:

- Smart Meter scores, and
- Evidence of yearly assessment of efforts/actions to improve



- level 2: Data and gathered and used to improve the effectiveness
  - level 3: Data is gathered to evaluate and improve the effectiveness of the assess-and-address system without the involvement of workers and vulnerable groups
  - level 4: data are gathered to evaluate and improve the effectiveness of the assess-and-address system in collaboration with representatives of workers and vulnerable groups.
- Effective internal collaboration on assess-and-address issues:
- level 1: The three committees are aware of each other and are in communication
  - level 2: The committees align their activities and identify how to collaborate best
  - level 3: The appropriate committees have implemented at least one full remediation case using the steps described in Remediation Protocol
  - level 4: All remediation cases are handled by the appropriate committees using the steps described in Remediation Protocol

## **ASSESS-AND-ADDRESS PLEDGE**

The below is an example of how a Certificate Holder can inform its workers/ group members that child labor, forced labor, discrimination, and workplace violence and harassment are not tolerated and that management has a system in place to assess-and-address related cases, as per standard requirement 5.1.1. The CH can adjust the below text to how it best fits their needs and context. This can then be printed and visually displayed at central locations in local languages, such as a notice board at the farm entrance.



# TEMPLATE: ASSESS-AND-ADDRESS PLEDGE

## COMMITMENT TO PROTECT HUMAN RIGHTS IN OPERATIONS AND IMPACT AREAS

[organization name]

[Organization Address]

is committed to upholding high standards on human rights in its operations and impact areas, including to prevent and address child labor, forced labor, workplace violence and harassment, and discrimination including gender inequality, wherever these are found.

We are committed to transparency and continuous improvement on human rights, with a focus on building capacity and systems to improve human rights outcomes rather than on punitive approaches which can lead to human rights violations being hidden.

To ensure the protection of human rights in all our areas of activity [organisation name] commits to the following actions:

- Establish a system to assess and address risks of child labor, forced labor, workplace violence and harassment, and discrimination, managed by competent, trusted individuals and supported by management
- Ensure all staff, workers, group members, and stakeholders are aware of our commitment to upholding human rights, understand the importance of these issues, know what actions are being taken to address the risks, and are able to access information and make complaints in a safe manner
- Regularly conduct an assessment of the human rights risks we face in our operations and implement appropriate and realistic actions to mitigate these risks and prevent human rights abuses before they occur
- Define and implement clear plans and targets and set realistic improvement goals to protect human rights across all parts of our operations.
- Ensure any cases of human rights violations are remediated effectively, that victims are protected and supported and that actions are taken to prevent similar cases from happening in the future
- Monitor human rights risks on an ongoing basis and monitor the progress and the impact of our actions to mitigate risks, address issues, and remediate cases so we can continuously improve our system and our human rights impacts
- Engage transparently and collaboratively with all relevant stakeholders to develop approaches to protect human and workers rights, tackle child labor, and support education
- Report regularly on the outcomes of our actions and collect accurate information to measure our progress on human rights issues

**PLACE/ DATE**

**SIGNATURE**

.....  
Name

.....  
Title

.....  
Email address:

.....  
Telephone: