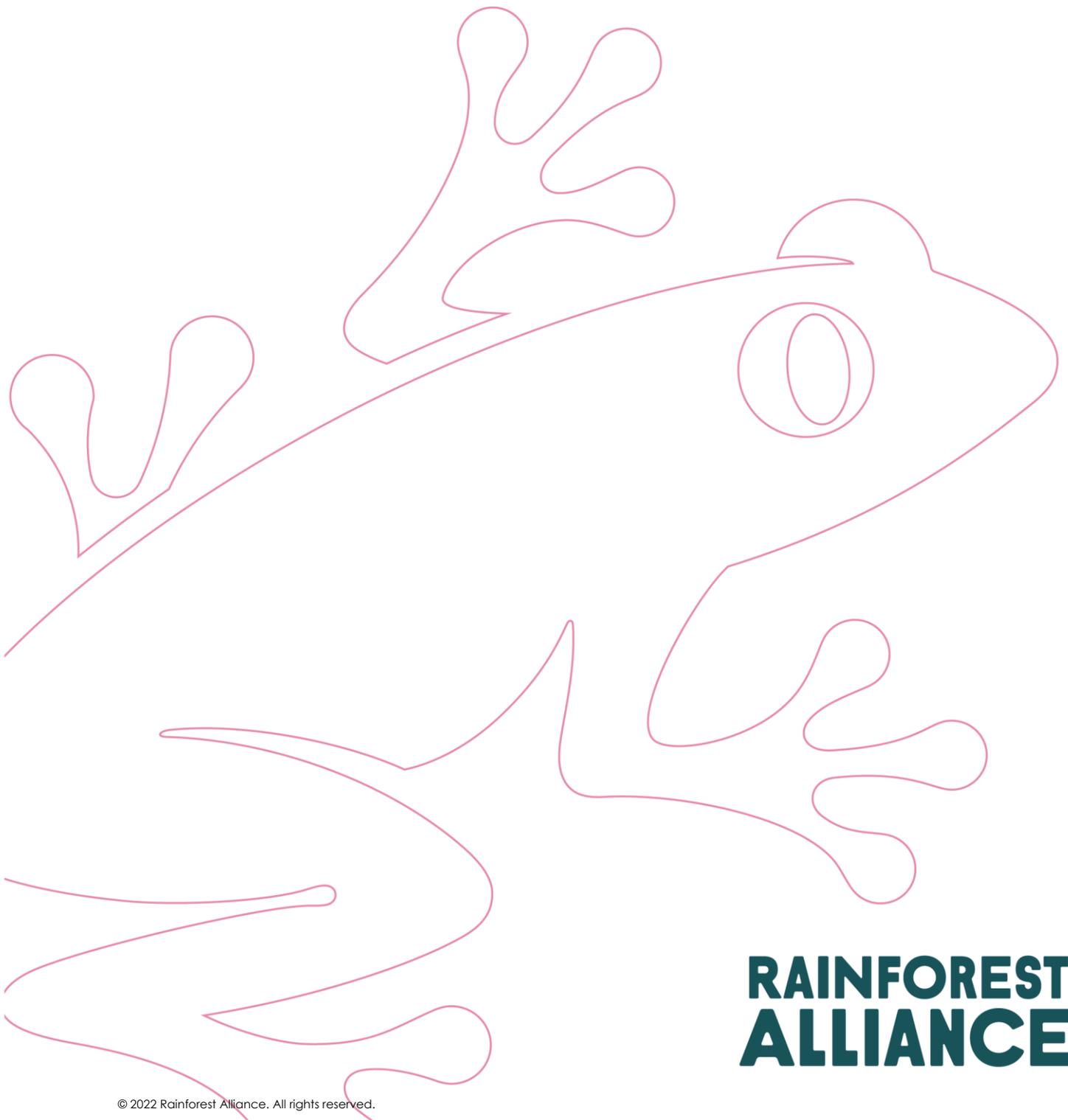# RAINFOREST ALLIANCE POLICY

For Geodata Collection and Analysis in China

Version 1.0

RAINFOREST ALLIANCE

The Rainforest Alliance is creating a more sustainable world by using social and market forces to protect nature and improve the lives of farmers and forest communities.

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More information?

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SA-S-SD-19 Annex Chapter 1: Management (Previous Annex S17)				
SA-S-SD-24 Annex Chapter 6: Environment (Previous Annexes S12 and S15)				
SA-G-SD-5 Guidance D: Geolocation Data Requirements and Risk maps				
SA-R-GA-1 2020 Certification and Auditing Rules				
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1. GLOSSARY AND ABBREVIATIONS

CH   Certificate Holder
CB   Certification Body
GMR   Group Member Registry
CAF   Certification Application Form
RACP   Rainforest Alliance Certification Platform
KML   Keyhole Markup Language
KMZ   Keyhole Markup language Zipped
WDPA   World Database of Protected Areas

2. INTRODUCTION

The Rainforest Alliance (RA) is a growing network of people inspired and committed to work together in order to achieve our mission to conserve biodiversity and ensure sustainable livelihoods. In June 2020, the Rainforest Alliance published its 2020 Certification Program. The Sustainable Agriculture Standard, along with its assurance and technology systems, are designed to deliver more value to the two million farmers and thousands of businesses that use Rainforest Alliance certification to drive more sustainable agricultural production and responsible supply chains. The Rainforest Alliance 2020 program enters into force, replacing the legacy UTZ and RA programs, starting 1st July 2021.

Accurate geolocation data is essential to ensure compliance with the 2020 Rainforest Alliance Sustainable Agricultural Standard (referred to as "the Standard" in this document). Deforestation and production in Protected Areas are core in the Rainforest Alliance certification system, and appropriate assurance mechanisms are necessary to meet this need.

The current Geolocation Data Security Requirements of China do not allow any detailed geodata information to be shared outside of China. This Policy therefore allows for the Geodata Collection and Analysis of information to remain in China, but still enables Rainforest Alliance Certificate Holders (CHs) and Certification Bodies (CBs) to be compliant with the requirements of the Standard.

3. APPLICABILITY AND RESPONSIBILITY

3.1 RESPONSIBILITIES FOR CERTIFICATE HOLDERS

a. CHs are required to collect and provide geolocation data to CBs as indicated in this Policy and in compliance with the Standard requirements and Certification and Auding Rules;
b. CHs are also required to use the risk assessment result as indicated in the **Certification and Auditing Rules AR5** and **AR6** and Chapter 5.3 of this document;

3.2 RESPONSIBILITIES FOR CERTIFICATION BODIES

a. CBs are required to conduct validation checks of geolocation data and conduct the risk assessment;
b. CBs are also required to use the risk assessment result as indicated in the **Certification and Auditing Rules AR5** and **AR6** and Chapter 5.3 of this document;
c. CBs need to report to RA the risk levels of the farm units on deforestation and encroachment into protected area.

4. GEOLOCATION DATA COLLECTION REQUIREMENTS

4.1 LOCATION POINTS AND POLYGONS

CHs are encouraged to collect the location points and polygons through the mobile application on a smart phone named "Field Working Wizard", following the Geolocation Data Collection Requirements in **Annex Chapter 1: Management.** Further information on how to collect location point data and draw polygons are available in **Guidance for Geodata Collection Tool in China.**

4.2 DATA REPORTING

Once the geolocation data is collected, CHs must provide the required files to both CBs and RA. Table 1 below indicates the accepted types of files and accepted formats that need to be in place at CH level to comply with the requirements of the Standard.

Standard requirement	Applicable To	Files to be submitted to CB	Files to be submitted to RA
1.2.12 (100% of geolocation data at farm level)	• Group management	• Annex 13: Group Member Registry (GMR) (using the columns for latitude and longitude). • Polygons in KMZ/KML	• Annex 13: Group Member Registry (GMR) without any geolocation data.
1.2.13	• Large farm & individual farm	• Polygons in KMZ/KML	• NA
1.2.14 (L1) (100% of geolocation data at farm unit level)	• Group management	• Annex 13: Group Member Registry (GMR) (using the columns for latitude and longitude). • Polygons in KMZ/KML	• Annex 13: Group Member Registry (GMR) without any geolocation data.
1.2.15 (L2)	• Group management	• Polygons in KMZ/KML	• NA

Table 1. Accepted files on geolocation data to both CB and RA

When preparing for the first audit, the CH must upload GMR without any geolocation data to the Rainforest Alliance Certification Platform (RACP).

The detailed requirements to be submitted as per the standard requirements are indicated in **Annex Chapter 1: Management**.

5. GEODATA REVIEW AND RISK ASSESSMENT

CHs are required to submit the Group Member Registry (Annex S13) and other documents as required by Rainforest Alliance. CBs will conduct the validation check on the geodata provided by CHs. If errors are found, CHs will be required to correct the errors. Once the data is approved, CBs will conduct the geodata risk assessment and share the results with CHs and Rainforest Alliance.

5.1 DATA VALIDATION

Validation check will be conducted by CBs through the Validation Tool of QGIS following the **Guidance on the QGIS RA Risk Assessment.** CHs are responsible for correcting the errors identified through QGIS.

5.2 RISK ASSESSMENT AND OUTPUTS

Once the data validation is completed, CBs will conduct the risk assessment through the Risk Tool of QGIS following the **Guidance on the QGIS RA Risk Assessment**.

The geodata risk assessment creates the following three results:
- Deforestation risk map
- Encroachment into protected area risk map
- Geodata risk table
  i.   In this table one can find the risk level assigned for both risks (deforestation and Encroachment into protected areas) for each provided point (farm unit).

5.3 USE OF THE RISK ASSESSMENT RESULT

Once the risk assessment is completed, CBs shall share the 3 outputs of the risk assessment with CHs. CHs shall assess the risk levels for its farm units and processing area related to 6.1.1 and 6.1.2. CHs are expected to use the risk assessment results to support the implementation of the Standard requirements by implementing appropriate mitigation actions as required by the Certification and Auditing Rules. Risk management measures that need to be implemented to address the risks of deforestation and encroachment into PAs must be included in the CH's own **Risk Assessment** and **Management Plan**.

CBs shall use the assessment result for preparing and executing the audit in line with the requirement indicated in the **Certification and Auditing Rules AR5 and AR6**. If there is any risk of deforestation and encroachment into PAs identified as medium/high risk after the risk assessment, CBs should put the relevant information as findings in the checklist, no matter the risk leads to a NC or not, which means 1) if there is no NC for 6.1.1 or 6.1.2, CB should indicate the concrete findings for the conformity, this also includes the mitigation actions taken by CH to mitigate the risk identified; 2) if NC is raised for 6.1.1 or 6.1.2, CB shall provide the findings and closed with corrective action according to the Certification Rules. During the license review process, CBs must submit the CAF with the correct risk level and the Geodata Risk Table without coordinates to Rainforest Alliance.