

# POLICY FOR TEA FARM CERTIFICATION IN KENYA

*Document SA-P-AF-24*

*Version 1*

*English*

*Binding from 1 January 2024*

*Published on 11 December 2023*



**RAINFOREST  
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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.

<b>Document Name:</b>	<b>Document code:</b>	<b>Version:</b>	<b>Language:</b>
Policy For Tea Farm Certification in Kenya	SA-P-AF-24-V1	V1	EN
<b>Date of first publication:</b>	<b>Date of revision:</b>	<b>Valid from:</b>	<b>Expires by:</b>
December 11th, 2023	N/A	January 1st, 2024	Until further notice
<b>Developed by:</b>	<b>Approved by:</b>		
Assurance	Director of Assurance		
<b>Linked to:</b>			
SA-S-SD-1-V1.3 Rainforest Alliance 2020 Sustainable Agriculture Standard, Farm Requirements SA-R-GA-1-V1.3 Rainforest Alliance Certification and Auditing rules SA-G-GA-24-V1.2 Rainforest Alliance Auditor Verification Protocol			
<b>Applicable to:</b>			
Prospective and certified tea farm entities in the Rainforest Alliance 2020 Certification Program audited against the 2020 Sustainable Agriculture Standard Farm Requirements Approved Certification Bodies			
<b>Country/Region:</b>			
Kenya			
<b>Crop:</b>	<b>Type of Certification:</b>		
Tea	Farm Certificate holders		

Policies are binding. Policies complement and/or supersede related rules or requirements for the parties they are applicable to. Rainforest Alliance reserves the right to change this policy at any time if deemed necessary.

*More information*

For more information about the Rainforest Alliance, visit [www.rainforest-alliance.org](http://www.rainforest-alliance.org), contact [info@ra.org](mailto:info@ra.org) or contact the Rainforest Alliance Amsterdam Office, De Ruijterkade 6, 1013AA Amsterdam, The Netherlands.

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## 1. Introduction

This policy has been developed to align the requirements of the Rainforest Alliance 2020 Sustainable Agriculture Standard, Farm Requirements to the context of tea farming operations in Kenya. The requirements mentioned in this policy have been framed in such a way to further assist tea producers in Kenya to implement the Rainforest Alliance Certification Program. An additional section has been added to each of the requirements to make it clear to both tea producers as well as Certification Bodies auditing these requirements what is expected to be verified during the audit. For Certification Bodies these additions must be read in conjunction with the Certification and Auditing Rules and Auditor Verification Protocol as the list of topics provided under the column 'CB verification during audit' is not necessarily exhaustive. The policy does not cover all requirements of the Rainforest Alliance 2020 Sustainable Agriculture Standard, Farm Requirements. Only requirements requiring clarity for both the country and crop context have been covered. The requirements mentioned in this policy do not replace the full intention of the requirement in the Standard but mention specific aspects for further clarification for both Certificate Holders and Certification Bodies. If a requirement of the Standard is not covered by this document, both Certificate Holders and Certification Bodies must comply with the requirements and the rules as set out in the Rainforest Alliance 2020 Sustainable Agricultural Standard, Farm Requirements V1.3 and the Rainforest Alliance Certification and Auditing Rules V1.3.

In addition to the table below providing context to a number of Requirements, there is a section on the Certification and Auditing Rules. These rules provide a clarification that supersedes the implementation of the corresponding Chapters of the Certification and Auditing Rules V1.3

For now, this policy only applies to tea farming in Kenya, and will be tested in the coming months for future improvements.



## 2. Overview of content

Requirement number	Subject	Change
1.2.2	Assessment of service providers	Simplification: The most common service providers in the Kenyan tea sector and what needs to be verified for these actors during audits
1.2.8	Group Member Agreements	Clarification: Group member agreements retention at group member level
1.3.3	Provision of training services to group members	Clarification: The trainings group management is expected to provide in the standard, and the frequency whether annually, once every 3 years or on need basis.
1.3.4	Provision of training services to workers	Clarification: The trainings management is expected to provide in the standard, and the frequency whether annually, once every 3 years or on need basis.
1.4.1	Internal inspections	Adapted: Conducting risk-based internal inspections in the certification cycle
2.2.3	Traceability in the Online Platform	Volumes not sold as Rainforest Alliance Certified and/or lost are removed from the traceability platform within two weeks before the expiry of the current license
3.3.1	Defining sustainability Investments	Clarification: Defining and filling in the new tea SI template
4.4.1	Soil Assessment	Clarification: Conducting soil assessment, additional clarification for group farm certificate holders
4.5.2	Pest monitoring	Clarification: Conducting pest monitoring for group farm certificate holders
4.6.9	Agrochemical waste management	Clarification: Managing agrochemical waste, additional clarification for group farm certificate holders
5.4.1	Filling in the salary matrix tool	Clarification: Filling in the salary matrix tool including workers under labor providers
5.4.2	Assessing workers' wages	Adapted: Collective Bargaining agreement is an acceptable evidence of wage improvement
5.5.2	Working hours and overtime	Clarification: Working hours and overtime for security guards, clarification where CBA or local law is stricter
6.7.1	Waste management: general waste	Clarification: Managing general waste, additional clarification for group farm certificate holders





### 3. Applicable Requirements for Farm Certificate Holders

#### Chapter 1: Management

1.2 Administration							
No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
1.2.2	<p>There is a list of current <u>service providers</u>, suppliers, intermediaries and <u>subcontractors</u>.</p> <p>Mechanisms are in place to ensure that they comply with applicable requirements of the Standard for work within the scope of certification.</p> <p>For Farms - This is valid for work in the field, work in processing, and Labor provision. - "Suppliers" refers only to other farms they buy certified product from.</p> <p><i>Please see Guidance Document U: Service Providers Applicability</i></p>	<p>Management must include the following actors in the certification scope and indicate them in the Certification Application Form (not exhaustive):</p> <ul style="list-style-type: none"> <li>• Service providers</li> <li>• Security firms (e.g., Intercity, G4S, KK Security)</li> <li>• Labor providers (e.g., Cyka, Manpower Services, Koroso, Hastros)</li> </ul> <p>Transporters and suppliers of green leaf are not included in the scope of service providers.</p> <p>Firewood suppliers are not included in the scope of service providers, instead CHs must comply with requirement 6.8.3 which becomes applicable in year 3 of Certification.</p> <p>After identification of each of these actors, management must conduct an assessment of all service and labor providers against the applicable requirements of the Standard, and:</p> <ul style="list-style-type: none"> <li>• Keep a copy of all assessments done</li> <li>• Show what measures were taken with that service and/or labor provider to ensure compliance if the assessment identified any non-conformities with an applicable requirement of the Standard.</li> </ul>	<p>Auditors must verify through documentation/records and interviews that:</p> <ul style="list-style-type: none"> <li>• Management has a list of service providers, suppliers, subcontractors, and intermediaries, including the type of service each of these actors delivered/were contracted for in the last year.</li> <li>• Management has conducted an assessment and monitoring of service and labor providers and that they are compliant with all applicable Standard requirements. These include but are not limited to (depending on the type of service provider): compliance with local laws, wages and contracts, working conditions, health and safety.</li> <li>• Management has records of the assessments and monitoring done with each service and labor provider. In the case that a service and/or labor provider was found to be non-compliant with any applicable requirement of the Standard, verify measures taken to rectify this.</li> </ul> <p>Refer to the AVP for more details as well as the Annex on Auditing Labor Providers in the Certification and Auditing.</p>		✓	✓	✓



<p><b>1.2.8</b></p>	<p>A signed (or marked) agreement is in place between the group and each <u>group member</u>, specifying the rights and obligations of each party including at least:</p> <ul style="list-style-type: none"><li>• The group member's obligation to comply with the Rainforest Alliance Sustainable Agriculture Standard.</li><li>• The group member's obligation to accept both internal inspections and external audits and sanctions.</li><li>• The group member's guarantee that any product sold as <u>certified</u> comes only from their farm.</li><li>• The group member's right to appeal decisions made by the <u>group management</u> by using the <u>grievance</u> procedure.</li><li>• The group member's agreement to share such member's farm data (such as geodata, volumes, area etc.) with group management and the Rainforest Alliance for use, publication and sharing within the supply chain as described in the Rainforest Alliance General Terms and Conditions and its Privacy Policy.</li></ul> <p>Each group member understands the agreement. Agreements are centrally archived, and a copy is available for each group member.</p>	<p>In addition to the bullet points already referred to in the requirement, group management must ensure that:</p> <ul style="list-style-type: none"><li>• The agreement is signed by both group management and the group members (members who cannot sign may mark the agreement with a fingerprint).</li><li>• A copy of each agreement with a group member is available on request. It is not necessary for each group member to have a physical copy of their agreement. However, if the group member specifically asked for a copy this is made available to them for their own records.</li><li>• All original signed (or marked) agreements are archived safely and can be retrieved easily.</li><li>• Each individual group member understands the contents of the agreement.</li></ul>	<p>Auditors must verify through documentation/records and interviews that:</p> <ul style="list-style-type: none"><li>• Agreements comply with all conditions specified in this requirement.</li><li>• Agreements are signed or marked with a fingerprint by both group management and group members.</li><li>• Group members fully understand the contents of the agreement, as well as that they could request a copy of the agreement.</li><li>• Group members who requested a copy of the agreement have such a copy.</li><li>• All original signed (or marked) agreements are available at the group management office</li></ul> <p>Refer to the AVP for more details</p>				
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### 1.3 Risk Assessment and Management Plan

No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
1.3.3	<p>Management provides <u>group members</u> with services based on the <u>management plan</u>. Services can include training, technical assistance, support in record keeping, access to inputs (e.g., seedlings), awareness-raising activities, etc. Management documents the services provided.</p> <p><b>Indicators:</b></p> <p># of training activities provided to members</p> <p>Topics of the training activities</p> <p># and % of members attending training activities (M/F)</p> <p># and type of services (other than training) provided to members</p>	<p>Group management must provide training to group members at the frequency determined by the applicable requirements of the Standard and include this in the management plan as follows:</p> <ul style="list-style-type: none"> <li>• 1.6.2 – annual awareness raising on gender equality and women's empowerment.</li> <li>• 4.6.3 - annual training of pesticide handlers.</li> <li>• 5.1.1 - raise awareness of child labor, forced labor, discrimination and workplace violence at least once a year.</li> <li>• 5.6.13 - one emergency drill per year.</li> </ul> <p>Group management must ensure that training is conducted as per the following requirements at least once in the 3-year certification cycle and include this in the management plan:</p> <ul style="list-style-type: none"> <li>• Chapter 1: 1.1.5, 1.4.4</li> <li>• Chapter 4: 4.2.1</li> <li>• Chapter 5: 5.1.2, 5.6.5, 5.6.8, 5.6.9, 5.6.10, 5.6.15,</li> <li>• Chapter 6: 6.4.1, 6.4.2</li> </ul> <p>Group management must determine on a need's basis the frequency of other trainings required by the Standard when this is not explicitly mentioned in the requirement. These needs must be determined by using the results of i) the internal inspections, ii) the risk assessment, and iii) the management plan. The agreed trainings and frequency thereof must be captured in the management plan.</p> <p>Any training needs and frequencies identified in the management plan must be actioned accordingly.</p>	<p>Auditors must verify through records and interviews that:</p> <ul style="list-style-type: none"> <li>• Group management has conducted trainings according to the frequency stipulated in the Standard for the following requirements: 1.6.2, 4.6.3, 5.1.1, and 5.6.13.</li> <li>• Group management has conducted training at least once in a 3-year certification cycle for the following requirements: 1.1.5, 1.4.4, 4.2.1, 5.1.2, 5.6.5, 5.6.8, 5.6.9, 5.6.10, 5.6.15, 6.4.1, 6.4.2.</li> <li>• These trainings have been included in the management plan.</li> <li>• Group management has done an analysis of all other requirements of the Standard and identified appropriate training needs and frequencies through use of i) the internal inspections, ii) the risk assessment and iii) the management plan.</li> <li>• The management plan clearly captures the training needs and frequencies identified.</li> <li>• Any actions identified in the management plan have been actioned.</li> </ul>				



<p><b>1.3.4</b></p>	<p>Management provides <u>workers</u> with services based on the <u>management plan</u>. Services can include training, awareness-raising activities, etc. Management documents the services provided.</p> <p><b>Indicator:</b></p> <p># of training activities provided to workers</p> <p>Topics of the training activities</p> <p># and % of workers attending training activities (M/F)</p> <p># and type of services (other than training) provided to workers</p>	<p>Management must provide training to workers at the frequency determined by the applicable requirements of the Standard and include this in the management plan as follows:</p> <ul style="list-style-type: none"> <li>• 1.6.2 - annual awareness raising on gender equality and women's empowerment.</li> <li>• 4.6.3 - annual training of pesticide handlers.</li> <li>• 5.1.1 - raise awareness of child labor, forced labor, discrimination and workplace violence at least once a year.</li> <li>• 5.6.13 - one emergency drill per year.</li> </ul> <p>Management must ensure that training is conducted as per the following requirements at least once in the 3-year certification cycle and include this in the management plan:</p> <ul style="list-style-type: none"> <li>• Chapter 1: 1.1.5, 1.4.4</li> <li>• Chapter 4: 4.2.1</li> <li>• Chapter 5: 5.1.2, 5.6.5, 5.6.8, 5.6.9, 5.6.10, 5.6.15,</li> <li>• Chapter 6: 6.4.1, 6.4.2</li> </ul> <p>Management must determine on a need's basis the frequency of other trainings required by the Standard when this is not explicitly mentioned in the requirement. These needs must be determined by using the results of i) the risk assessment, and ii) the management plan. The agreed trainings and frequency thereof must be captured in the management plan.</p> <p>Any training needs and frequencies identified in the management plan must be actioned accordingly.</p>	<p>Auditors must verify through records and interviews that:</p> <ul style="list-style-type: none"> <li>• Management has conducted trainings according to the frequency stipulated in the Standard for the following requirements: 1.6.2, 4.6.3, 5.1.1, and 5.6.13.</li> <li>• Management has conducted training at least once in a 3-year certification cycle for the following requirements: 1.1.5, 1.4.4, 4.2.1, 5.1.2, 5.6.5, 5.6.8, 5.6.9, 5.6.10, 5.6.15, 6.4.1, 6.4.2.</li> <li>• These trainings have been included in the management plan.</li> <li>• Management has done an analysis of all other requirements of the Standard and identified appropriate training needs and frequencies through use of i) the risk assessment and ii) the management plan.</li> <li>• The management plan clearly captures the training needs and frequencies identified.</li> <li>• Any actions identified in the management plan have been actioned.</li> </ul>				
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## 1.4 Internal Inspections and Self-Assessment

No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
1.4.1	<p>Management has an internal inspection system in place to annually assess compliance of all actors within the scope of certification.</p> <p>The system includes:</p> <ul style="list-style-type: none"> <li>• For Farms: group members' farms, processing and/or storage sites and any other actors (including subcontractors, intermediaries, service providers).</li> <li>• For Supply Chain: sites and subcontractors.</li> </ul> <p>All actors are inspected internally before each external audit:</p> <ul style="list-style-type: none"> <li>• In the first year of certification, the internal inspection covers all applicable requirements of the Standard.</li> <li>• In consecutive years, the internal inspection is based on the Risk Assessment (for farms, see 1.3.1), the previous year's internal inspection and previous external audit results.</li> </ul> <p>For farm scope only: a rotation system is in place so that each farm unit is inspected at least every three years. In case of remote farm units this is done at least every six years.</p>	<p>Group management must ensure the following for the first certification audit of the 3-year cycle:</p> <ul style="list-style-type: none"> <li>• That all actors within the scope of certification have been assessed against compliance of all applicable requirements of the Standard which includes all relevant actors mentioned in this requirement.</li> <li>• That any actor found to be non-compliant with any applicable requirement of the Standard has taken the necessary action to become compliant before being able to be included in the scope of certification.</li> <li>• That all group members' farms are inspected, however not all farm units need to be inspected in the first year. A farm unit is a piece of continuous land that is part of a farm. A farm unit can include both agricultural and non-agricultural land with buildings, facilities, water bodies, and other features. Refer to <a href="#">Annex S01: Glossary</a> for more information.</li> <li>• That farm units of a group member must be inspected at least once every 3 years, or once every 6 years in the case of remote farm units. That all group members that did not comply with the applicable requirements of the Standard have taken the necessary action to become compliant before the next external audit.</li> </ul> <p>Group management must ensure the following for the 2 surveillance audits in a 3-year certification cycle:</p> <ul style="list-style-type: none"> <li>• That a documented internal inspection plan has been developed based on the results of i) the Risk Assessment as per 1.3.1, ii) the internal inspections conducted in the first certification audit, and iii)</li> </ul>	<p>Auditors must verify through documentation/records, interviews and observation the following during the first certification audit of the 3-year cycle that:</p> <ul style="list-style-type: none"> <li>• All actors within the scope of certification have been adequately assessed against compliance of all applicable requirements of the Standard.</li> <li>• If any actor was found to be non-compliant with any applicable requirements of the Standard necessary action was taken to close this non-compliance</li> <li>• All group members' farms have been inspected against all applicable requirements of the Standard.</li> <li>• If a group member has more than 1 farm unit, the CH has a plan in place to inspect all farm units over the 3-year certification cycle. Only in cases of farm units being remote can this be spread across the 6-year cycle</li> <li>• Group management took necessary action with any group members that did not comply with the applicable requirements of the Standard</li> </ul> <p>Auditors must verify through documentation/records, interviews and observation the following during the 2 surveillance audits in the 3-year cycle that:</p> <ul style="list-style-type: none"> <li>• Group management has developed a documented internal inspection plan based on results of i) the Risk Assessment, ii) the internal inspections conducted in the first</li> </ul>				



		<p>the previous external audit which clearly identifies which actors are to be assessed and against which requirements of the Standard.</p> <ul style="list-style-type: none"><li>• Based on good performance in previous audits and group members being considered low risk, coverage of all requirements in the internal inspections may be reduced.</li><li>• Based on good performance in previous audits, less than 100% of all group members may be internally inspected<sup>1</sup>.</li><li>• Any reduction in the number of actors and/or scope of requirements assessed must be able to be justified to the external auditor.</li><li>• Internal inspections for all large group members' farms are done annually against all applicable requirements of the Standard. A large farm is defined as all farms with 10 or more permanent workers.</li><li>• That internal inspections are conducted for any new group members</li></ul>	<p>certification audit, and iii) the previous external audit, which clearly identifies which actors are to be assessed and against which requirements of the Standard.</p> <ul style="list-style-type: none"><li>• Group management can justify any reduction in the number of actors and/or scope of requirements assessed.</li><li>• All large group member farms have been inspected annually.</li><li>• Internal inspections have been conducted for any new group members.</li></ul>				
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• <sup>1</sup> Through this policy this idea is being pilot-tested, which is an adaptation of the Standard. The Rainforest Alliance reserves the right to require specific CHs to increase their internal inspection sample size based on risk.



## Chapter 2: Traceability

### 2.2 Traceability in the Online Platform

Applicable to certificate holders working in crops for which online traceability is offered within the Rainforest Alliance Certification Program.

No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
2.2.3	<p>Volumes not sold as Rainforest Alliance Certified and/or lost are removed from the traceability platform within two weeks after the end of the quarter in which the shipment took place or volume was lost.</p> <p><i>For mass balance volumes, please see SA-S-SD-20 Annex Chapter 2: Traceability for further detail on applicability</i></p>	<p>Management may remove volumes not sold as Rainforest Alliance Certified and/or lost from the traceability platform within two weeks before the expiry of the current 1-year license.</p> <p>Management must have a procedure in place to remove these volumes at least annually from the traceability platform and maintain documented evidence of these volumes throughout the year.</p>	<p>Auditors must verify through documentation/records and interviews with relevant personnel that:</p> <ul style="list-style-type: none"> <li>• Certified volumes sold without a Rainforest Alliance claim are removed from the traceability platform</li> <li>• Certified volumes that become lost (e.g. spoiled, damaged etc.) are removed from the traceability platform</li> <li>• Timing for the removal of volumes is respected i.e. at least two weeks before the expiry of the current license</li> <li>• The CH has a procedure in place to remove these volumes at least annually and has documentation recording these volumes</li> </ul>			✓	✓



## Chapter 3: Income and Shared Responsibility

3.3 Sustainability Investments							
No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
3.3.1	<p>Management at least annually defines the investments needed to improve sustainability using the Rainforest Alliance <a href="#">Sustainability Investment</a> plan template.</p> <p>The management uses the following sources to inform their investment needs:</p> <ul style="list-style-type: none"> <li>• Management plan (incl. results of Management Capacity Assessment and <a href="#">Risk Assessment</a>)</li> <li>• Audit reports</li> <li>• Internal inspections and self-assessments</li> </ul> <p>Management documents the in-kind and monetary Sustainability Investments received from buyers for this investment plan according to the Rainforest Alliance investment categories.</p> <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>Management must use the Sustainability Investment (SI) Plan Template to record the investments needed to attain or maintain compliance with the RA2020 certification standard.</p> <p>The form must be filled in before the external audit and within the timelines according to the Certification and Auditing Rules.</p> <p>The form can be accessed through this link: <a href="https://si-form.ra.org/">https://si-form.ra.org/</a></p> <p>This video can be used to assist with completion of the form: <a href="https://knowledge.rainforest-alliance.org/v1/docs/how-to-use-the-sustainability-investment-template-for-tea">https://knowledge.rainforest-alliance.org/v1/docs/how-to-use-the-sustainability-investment-template-for-tea</a>.</p> <p>Once the form has been submitted an email will be sent to the email address used on the form with the results. This pdf can be uploaded under the 'documents' tab in the RACP account.</p> <p>Additionally, the figures generated in the 'Results' section of the form must be filled into the RACP account under the 'Indicator data' tab</p>	<p>Auditors must verify through documentation/records that management has:</p> <ul style="list-style-type: none"> <li>• Filled out the Sustainability Investment (SI) Plan Template online. This can be done by asking for a copy of the email sent to them after completion.</li> <li>• Filled in the results from the form in the RACP account under the 'Indicator data' tab</li> <li>• All required fields in the SI Plan Template have been filled in and that the data is consistent, complete and correct. If this is not the case, management must resubmit the form.</li> </ul> <p>For more guidance on auditing this indicator, refer to <a href="#">Requirements and Auditing of Indicators</a></p>				✓



## Chapter 4: Farming

4.4 Soil Fertility and Conservation							
No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
4.4.1	<p>Management conducts a soil assessment for a representative sample of areas. The soil assessment includes:</p> <ul style="list-style-type: none"> <li>a. Erosion prone areas and slope</li> <li>b. Soil structure</li> <li>c. Soil depth and soil horizons</li> <li>d. Densification of compaction areas</li> <li>e. Soil moisture and water level in the soil</li> <li>f. Drainage conditions</li> <li>g. Levels of macronutrients and organic matter. This is assessed through soil tests and/or observation of visual symptoms of nutrient deficiency (leaf tests) for a representative sample of areas.</li> </ul> <p>The soil assessment is updated at least once every three years. For annual crops, point g. on Levels of macronutrients and organic matter is assessed annually.</p>	<p>All large farms in a group and individually certified farms must conduct an assessment, and for a representative sample of areas. A representative sample must include at least all the different areas for production on the farm and soils with different characteristics.</p> <p>For a group of farms, the assessment is carried out for a representative sample of areas. It is suggested to use the Square Root formula to calculate the sample size of group members to be included. For example, if there are 1000 members in the group, records must be kept for a minimum of 32 (rounded up from 31.62) members. A representative sample must include at least all farms which have different soil characteristics.</p> <p>Management must update the soil assessment at least once every 3 years. This does not mean that the entire assessment needs to be redone, rather that the plan be re-checked and updated/amended if certain aspects have changed. If there are still aspects that need to be addressed this must remain in the plan. This is the same principle used when updating the Management Plan. It is suggested that this assessment is done before the certification audit and then updated thereafter for each new 3-year certification cycle,</p>	<p>Auditors must verify through document/records, interviews and observation that:</p> <ul style="list-style-type: none"> <li>• All large farms in a group and individually certified farms have conducted an assessment on a representative sample of areas.</li> <li>• For a group of farms an assessment has been done on an adequate sample of group member farms.</li> <li>• In both cases the sample is representative of all the different areas of production and includes all soils with different characteristics.</li> <li>• In both cases the soil assessment is updated at least once every 3 years, and preferably before each new 3-year certification audit.</li> </ul>				
					✓	✓	✓



## 4.5 Integrated Pest Management (IPM)

No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
4.5.2	<p>Producers regularly monitor and record <u>pests</u>.</p> <p>Monitoring records are kept by large farms and by group management for a representative sample of producers.</p> <p>Records include date, location and type of pest.</p>	<p>For groups of farms, group management must keep records for a representative sample of group members. It is suggested to use the Square Root formula to calculate the size of a representative sample of group members. For example, if there are 1000 members in the group, records must be kept for a minimum of 32 (rounded up from 31.62) members.</p> <p>A representative sample must include as a minimum:</p> <ul style="list-style-type: none"> <li>• Different farm sizes,</li> <li>• All the different areas in which farms are situated, and</li> <li>• Group members that may be using different types of agrochemicals, have different shade trees and/or other crops.</li> </ul> <p>Group management must appoint responsible persons for monitoring of pests and provide them with instructions and/or trainings on the same to them.</p> <p>For both large farms and groups of farms management must develop a pest monitoring and record keeping procedure which considers at least the following:</p> <ul style="list-style-type: none"> <li>• How to identify the main crop pests by using crop guides, pictures, or apps if available,</li> <li>• The pests that can be observed and monitored without elaborated procedures,</li> <li>• How regularly monitoring must take place considering times of the year when the crop is more susceptible and weather conditions that have been identified to promote pest, disease and weed outbreaks, and</li> <li>• That the same scouting pattern and sampling method appropriate for the pest (stage) is always used.</li> </ul>	<p>Auditors must verify through documents/records and interviews that:</p> <ul style="list-style-type: none"> <li>• All large farms in a group and individually certified farms monitor and record pests.</li> <li>• For groups of farms, group management keeps records of pests for an adequately representative sample of group members.</li> <li>• For groups of farms, group management has appointed responsible persons for monitoring of pests and provided instructions and/or training to them.</li> <li>• The appointed responsible persons understand and implement the procedure and recordkeeping requirements for monitoring pests.</li> <li>• Both large farms and groups of farms have a pest monitoring and record keeping procedure which identifies as a minimum: how to identify pests, which pests can be most easily observed, frequency of monitoring and adequate scouting patterns.</li> </ul>	✓	✓	✓	✓



## 4.6 Agrochemicals Management

No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
4.6.9	<p>Empty <u>pesticides</u> containers and application equipment are washed three times, and rinsing water is used in the last batch of the mix to apply to the crop. After application of pesticides, application equipment is washed three times, and the surplus mix is disposed of in way that minimizes the negative impact on the environment and human health, by diluting it with ten times the amount of clean water and applied evenly on the field that was subject of the pesticide application.</p> <p>The empty pesticide containers are kept in a locked storage area until safely disposed of through a formal collection, and recycling program or returned to the supplier. If the supplier does not accept empty containers, they are cut or perforated to prevent other uses.</p> <p>Prohibited, <u>obsolete</u> and expired pesticides are returned to the supplier or local authority. In absence of a collection system in place, these products are labelled and stored safely and separately from other products in a locked space</p>	<p>Management has a procedure for the management of empty pesticide containers which complies with the requirements of the Standard.</p> <p>Management must communicate and follow up with workers and group members on the appropriate methods for cleaning and managing empty pesticide containers. Training of workers and/or group members that are handling pesticides is recommended.</p> <p>Management must keep records on how obsolete and expired chemicals are stored and handled.</p> <p>If the supplier does not accept empty containers, they must be cut or perforated to prevent other uses. 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.</p> <p>Local solutions available can be used to manage waste, provided it is compliant with the requirements of the Standard.</p>	<p>Auditors must verify through documents/records and interviews that:</p> <ul style="list-style-type: none"> <li>• The procedure for management of empty pesticide containers, storage and disposal follows the requirements of the Standard</li> <li>• If training has been given to workers and/or group members on how empty pesticide containers are cleaned and managed. If no training was given check how this was communicated to workers and/or group members</li> <li>• There are records on how obsolete and expired chemicals are stored and handled.</li> <li>• Workers and/or groups members understand how to correctly manage empty pesticide containers.</li> <li>• The correct procedure is being followed by workers and/or group members after the completion of their activities i.e. whether they washed equipment, disposed of surplus mix and disposed of empty containers according to the requirement.</li> <li>• Where empty pesticide containers are stored they have been perforated and cut.</li> <li>• The houses of workers and/or group members if pesticide containers are being reused</li> <li>• If around the farms the pesticide containers are being used for other purposes</li> <li>• The storeroom for storage of expired, prohibited and/or obsolete chemicals complies with the requirement of the Standard.</li> <li>• If there are any available local solutions for waste management are being used, and if so if they are complying with the requirements of the Standard.</li> </ul>	✓	✓	✓	✓



## Chapter 5: Social

5.4 Living Wage							
No.	Core requirements	Actions which need to be taken by CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
5.4.1	<p>The total remuneration (wages plus monetary and in-kind benefits) for all types of <u>workers</u>* is assessed yearly against the <u>Living Wage</u> benchmark, as approved by the Rainforest Alliance and in accordance with the Global Living Wage Coalition (GLWC).</p> <p>Management uses the Rainforest Alliance Salary Matrix Tool to accurately fill in data for workers' wages.</p> <p><i>*Excluding workers on small farms</i></p> <p>Indicators:</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 (% of LW) and women (% of LW)</li> </ul> <p>Please see SA-S-SD-23 Annex Chapter 5: Social</p>	<p>All workers (permanent and temporary) employed by the CH must be included in the Salary Matrix Tool.</p> <p>The only workers which may be excluded from the Salary Matrix Tool are those on small farms. Small farms are defined as those with fewer than 10 permanent workers.</p> <p>All workers hired through labour providers and who stay under contract (and payment) by the labor provider must not be included in the Salary Matrix Tool. However, the CH must ensure that these workers are still earning at least the minimum wage defined by the Kenyan Tea Sector.</p> <p>The Salary Matrix Tool must be filled for the previous calendar year (hence annually).</p>	<p>Auditors must verify through documents/records and interviews that:</p> <ul style="list-style-type: none"> <li>• Management has accurately filled in the Salary Matrix Tool for all applicable workers. The only workers which may be excluded are those on small farms.</li> <li>• Management has a mechanism in place to ensure that workers hired through labor providers are earning at least the minimum wage.</li> <li>• Workers hired through labor providers are earning at least the minimum wage.</li> <li>• The Salary Matrix Tool is updated for the previous calendar year and is therefore updated annually.</li> </ul> <p>Refer to the AVP for further details.</p>		✓	✓	✓



5.4.2	<p>If the total remuneration is below the applied <u>benchmark</u> for any type of <u>worker</u>, management implements a wage improvement plan to progress towards the applicable benchmark, including targets, actions, timeline and responsible persons.</p>	<p>Collective bargaining is recognized and acknowledged as a main mechanism for social dialogue and improvement of wages. If a CBA is in place, it is taken into account for the wage improvement plan.</p> <p>Management must develop a wage improvement plan based on the (financial) possibilities of the CH. The wage improvement plan must include targets, timelines and responsible persons.</p> <p>Management has a system in place to review progress against the plan annually and uses the indicator data in 5.4.1 to adapt the activities if little or no progress was possible. This means that it is not mandatory to pay the Living Wage as per the applicable Benchmark.</p> <p>The wage improvement plan covers all workers with a Living Wage gap, including workers who are non-unionized.</p>	<p>Auditors must verify through documents/records that:</p> <ul style="list-style-type: none"><li>• Management has developed a wage improvement plan.</li><li>• The wage improvement plan include targets, timelines, and responsible persons.</li><li>• Management has a system in place to review progress against the plan annually and has used the indicator data (5.4.1) to adapt activities if little or no progress is shown.</li><li>• Where remuneration for workers is below the Living Wage Benchmark, management has a wage improvement plan, and, if a CBA is in place, that this has been taken into account.</li></ul> <p>Refer to the AVP for further details.</p>				
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## Chapter 6: Environment

6.7 Waste Management							
No.	Core requirements	Additional clarification for CHs to action Actions which need to be taken by the CHs	CB verification during audit	Group certification			Ind. cert.
				S-farms	L-farms	Group mgt.	S/L
6.7.1	<p>Waste is stored, treated, and disposed of in ways that do not pose health or safety risks to people, animals or <u>natural ecosystems</u>. Waste is stored and disposed of only in designated areas and not disposed of in natural or <u>aquatic ecosystems</u>. Non-organic waste is not left on the land.</p>	<p>Management must include any activities related to waste management in the management plan and develop any policies or procedures based on the need.</p> <p>Management must create awareness with workers and/or group members on the proper methods for waste storage, treatment and disposal. This must include displayed communications on how to manage waste.</p> <p>Management must designate areas for waste disposal, treatment and storage which do not pose a risk to people, animals or the ecosystem.</p> <p>Local and innovative methods should be used for disposal of waste, for example:</p> <ul style="list-style-type: none"> <li>• Segregation and composting,</li> <li>• Collection of containers in designated areas,</li> <li>• Returning containers to suppliers</li> <li>• Liaising with county governments to explore further possibilities for waste collection.</li> </ul>	<p>Auditors must verify through documentation/records, interviews and observation that:</p> <ul style="list-style-type: none"> <li>• The management plan includes activities and procedures related to waste management.</li> <li>• Management has developed any needed policies or procedures as per the management plan</li> <li>• Management has created awareness with farmers and/or group members on the proper methods of waste storage, treatment and disposal, which includes displayed communications on how to manage waste.</li> <li>• Areas have been designated for waste disposal, treatment and storage and that they do not pose any risks for people, animals or the ecosystem.</li> <li>• Planting areas and areas surrounding buildings (offices, storage spaces, workshops, dining rooms, toilets, processing plants and houses) are free of waste. Special attention is paid as to how waste is disposed of in housing areas.</li> <li>• Farm management, group management personnel, workers and residents are aware of their waste management procedures and what means exist to store, treat and dispose of waste.</li> </ul> <p>Refer to the AVP for further details.</p>	✔	✔	✔	✔



## 4. Audit Process Rules

### 4.1 Certification Timelines

As per the current version of the Certification and Auditing Rules:

- a. Certificate Holders (CHs) and Certification Bodies (CBs) must comply with the certification timelines.
- b. If a CH has provided sufficient evidence of nonconformities (NCs) closure and this is confirmed by the CB before the maximum allowed 10 weeks after the last day of the audit, then the CB must take a certification decision within two weeks of this closure. Thereafter, the CB must submit the certification decision and the final audit report through the RACP within 1 week after the certification decision has been taken.
  - Example: CH provides sufficient evidence of NC closure 6 weeks after the audit was concluded. The CB must verify the evidence of closure and take a certification decision with 2 weeks i.e. 8 weeks after the last day of the audit. The maximum of 12 weeks allowed to take the certification decision is only applied if the CH took the maximum 10 weeks to close NCs.
- c. Regarding NCs:
  - All CHs that have received one or more NCs shall close at least all NCs with mandatory requirements following the process described under the section **Nonconformities and possible consequences**.
  - The timeline for closure of the NCs shall be defined by the CH and the CB considering the maximum of 10 weeks after the last day of the audit that is defined for the CH to provide evidence of closure to the CB.
- d. Regarding a non-certification or cancellation decision:
  - The CB or the Rainforest Alliance may decide to immediately cancel the current certificate of the CH and/or decide not to certify the CH for any of the reasons set forth in the requirements, or any other reason if necessary to protect the credibility of the Rainforest Alliance certification program.
  - Corrective actions have not been implemented satisfactorily within the timeframe described in the certification process above.
  - As per the rules highlighted above a consequence for the CH of not closing NCs within the 10-week timeframe can lead to a non-certification decision.



## 4.2 Certificate Validity

a. As per the current Certification and Auditing Rules, CHs that certify crops with a continuous harvest only, the start date of the first certificate shall be the first day of the audit that led to a positive certification decision; any consecutive certificate shall start on the day after the expiry of the previous certificate.

b. The license in the first year of the full certification cycle will start at the same time as per point a. above and end 1 year later. The 2<sup>nd</sup> license of the full certification cycle will start 1 day after the expiry of the previous license and end 1 year later. The 3<sup>rd</sup> and final license of the full certification cycle will start 1 day after the expiry of the previous license and end 1 year later on the same day that the 3-year certificate expires.

- Example: The start date of the first full certification audit is on January 15th, 2024. The 3-year certificate will have a validity from January 15, 2024 – January 14, 2027. The first license will have a validity from January 15, 2024 – 14 January 2025. The second license will have a validity from January 15, 2025 – January 14, 2026. The third and final license will have a validity from January 15, 2026 – January 14, 2027.

c. All current 3-year certificates and 1-year licenses issued will be aligned with the above.

## 4.3 Extension Requests

a. As per section on Time Extensions in the current version of the Certification and Auditing Rules, CHs can request a time-extension of their certificate and license of up to 3 months after the expiry date of their certificate and license, to the Rainforest Alliance or CB, to sell a product as Rainforest Alliance certified or to prevent a gap in certification.

b. Only 1 time extension request can be made by a CH for a maximum period of 3 months per year.

c. Any time extensions issued will be recovered from the following license so that the 3<sup>rd</sup> and final license of the 3-year certificate always ends at the same time as the 3-year certificate.

- Example: Following from the example given under 4.2 a 3-month license extension is requested during year 2 of the 3-year certification cycle. The year 1 license is therefore extended until April 13, 2025. When the CH has conducted their 2<sup>nd</sup> year audit, the new 2<sup>nd</sup> year license will be backdated to January 15, 2025, and end on January 14, 2026.