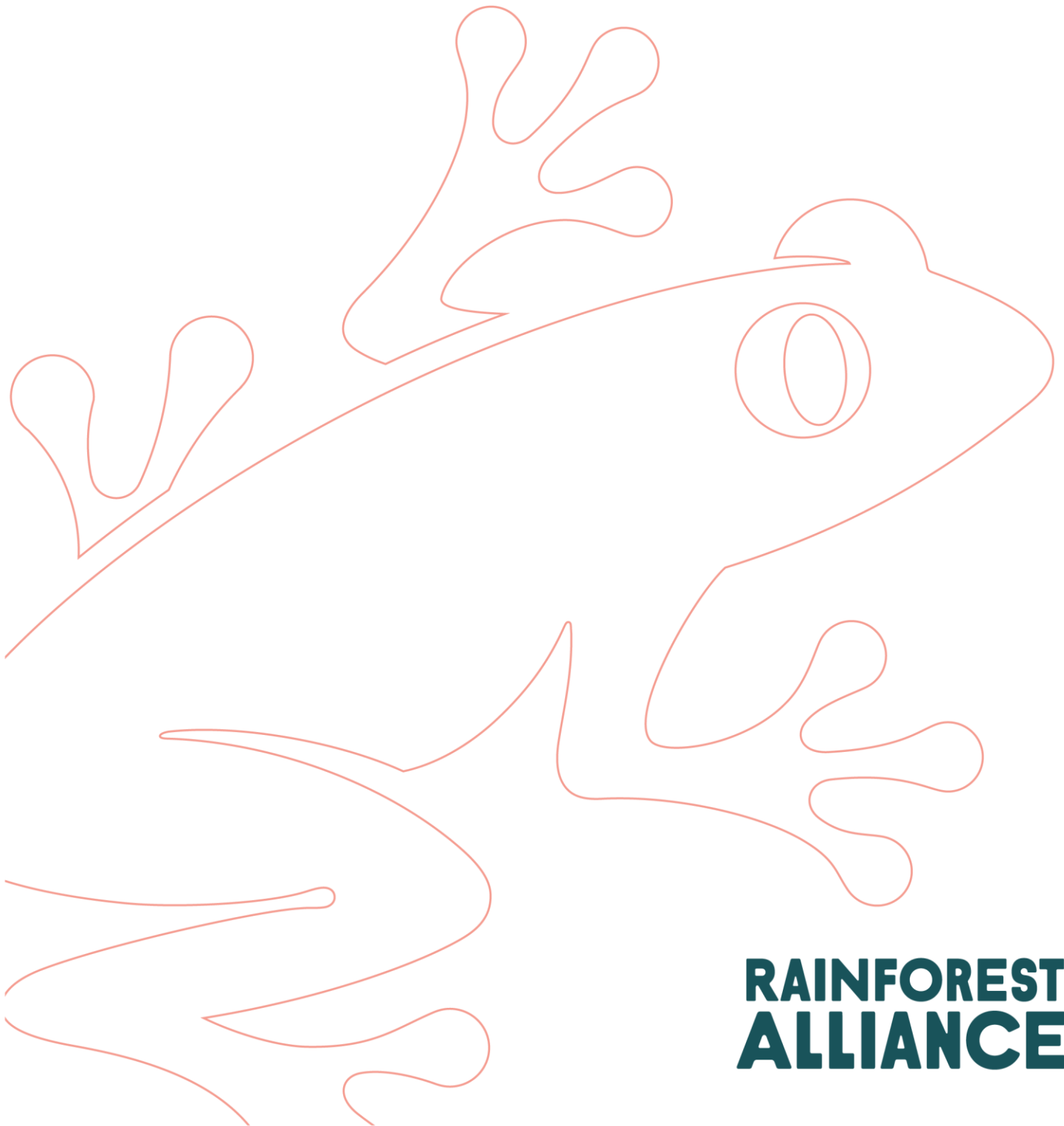


# ANNEX 6

## Traceability and Shared Responsibility

*Version 1*

*Date: June 2020*



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### More information?

For more information about the Rainforest Alliance, visit [www.rainforest-alliance.org](http://www.rainforest-alliance.org) or contact [info@ra.org](mailto:info@ra.org)

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## INTRODUCTION

*This document includes additional rules on traceability, crop-specific supply chain information as well as interpretation of the shared responsibility topic that complement the requirements outlined in the Rainforest Alliance 2020 Sustainable Agriculture Standard. Content of this document is binding and compliance against this Annex will be verified in context of Rainforest Alliance certification.*

## SECTION 1: IMPLEMENTING TRACEABILITY

### SCOPE FOR TRACEABILITY

As outlined in the Certification Rules, scope for certification includes the following activities:

- Farming
- Processing, incl. manufacturing
- Trading
- Warehousing
- Packing
- Consumer end product packing
- Retail

In correspondence to the certification scope, traceability encompasses all of the above activities performed by certified organizations.

### TRACEABILITY PLATFORM ACTIVITIES

#### Scope for reporting transactions/activities

##### **What is reported?**

All business-to-business sales of any product (pure and non-pure) claimed as Rainforest Alliance Certified\* must be reported through the Rainforest Alliance traceability platform, starting from the farm certificate holder up to the last transaction where finished products are sold to retail/brand and claims are made. This includes product sales/purchases retroactively claimed as certified. Any conversion leading to change in volume and/or output product (see section 2 on possible conversions) performed on the certified product also needs to be reported in the traceability platform.

Traceability ends with the certified product being redeemed from the traceability platform. Certified products shall be redeemed in line with the scope introduced under section 1.1. If product is sold as non-certified and/or lost, traceability ends with the certified product volume being removed from the traceability platform.

*\*RA products for which online traceability is covered: coffee, cocoa, tea, bananas, oranges, hazelnuts, palm oil, coconut oil*

##### **Who is reporting?**

Certificate holders buying or selling certified products must report transactions; sellers declare their sales in the traceability platform while buyers can confirm incoming sales transactions from their suppliers or initiate a sale transaction through the purchase function.

Subcontractors performing processing activities that result in a change of volume (see section 2 on possible conversions) also need to report transactions; either themselves or through the certificate holder that is subcontracting them.

To summarize the above, this means that responsibility for maintaining traceability is required from legal owners of certified products and organizations subcontracted to process certified products. A subcontracted organization that does not own nor process certified product, does therefore not need to but can maintain traceability.

Supply chain actors that are mandated by farms to perform activities in the traceability platform on their behalf comply with relevant farm and supply chain requirements as well as all traceability-related rules outlined in this document.

### **How to report?**

The sale is recorded in the RA traceability platform by issuing a transaction to the buyer. It is also possible for the buyer to initiate a purchase. The transactions confirm the quantity, product details, as well as any transactional references provided by the buyer and/or seller.

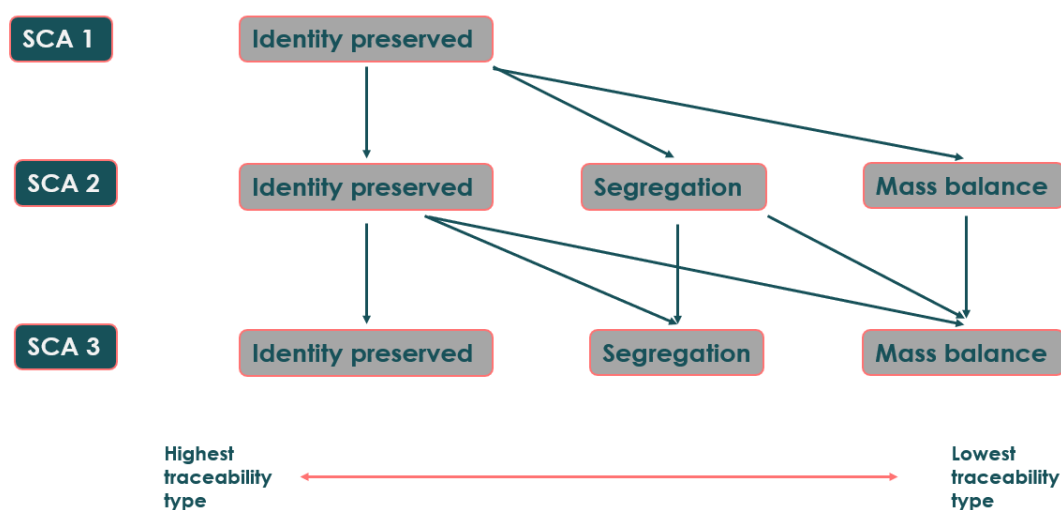
### **When to report?**

When product is sold as certified or a statement is made about the certification status of the product, certificate holders must perform a transaction. Any farm and supply chain actor in scope of traceability have the responsibility to report transactions in compliance with the timeframes outlined in the Standard requirements ((see requirement 2.2.1). Transaction dates are automatically checked against active license of buyer and seller as transactions can only be confirmed if both parties have an active license. Retroactive claims are possible however need to follow the timelines within which transactions are to be reported as outlined in the Rainforest Alliance Sustainable Agricultural Standard.

## **TRACEABILITY TYPES**

Currently, the following traceability types are available in certified supply chains, listed from "highest" to "lowest" traceability type: traceable to a certificate holder/identity preserved (IP), segregated (SG) and mass balance (MB). Further explanation about the traceability types can be found below.

"Upgrading" one traceability type to another is not allowed. For example, it is not possible to generate an output with traceability type IP when the input was SG. However, it is permitted to "downgrade" from a higher traceability type to a lower one, from SG to MB, for example.



### Traceable back to certificate holder/identity preserved

Traceability option where it is possible to trace the Rainforest Alliance Certified product or ingredient to one specific certified farm or group. This option is also known as we identity preserved. There is no mixing neither with non-certified products nor different farms. This is the highest traceability type.

### Segregation

There is no mixing with non-certified products of the same ingredient – the whole content is certified although it can come from different certified sources/farms, including different countries of origin.

### Mass balance

#### Scope

Mass balance traceability is available for cocoa, hazelnuts, palm oil and coconut oil and orange juice products at this time. Mass balance is applicable only after the ownership is transferred from the farm certificate holder to the first supply chain actor\* (via the issuance of the first transaction).

#### Credit validity

Existing Mass Balance credits (from premerger volumes) are valid for three years from October 1<sup>st</sup> 2020. Mass balance credits created under the 2020 Rainforest Alliance Sustainable Agriculture Standard will be valid for two years from the first sale from farm/group certificate holder to first supply chain actor\* and the two-year validity will be renewed upon each sale outside of a certificate.

#### Origin matching

Origin matching for materials or products is required if the seller wishes to make a claim regarding the country of origin of that product on pack or in sales, marketing, or promotional materials.

For cocoa, rules for origin matching mass balance are currently under development. This section will be updated accordingly.

*\*with the exception of hazelnut, palm oil and coconut oil*

## CONVERSION RATES

The table below sets out the conversion rates as they shall be used in sectors for which mass balance is an approved traceability level. For sectors in which traceability levels other than mass balance are applied, supply chain actors shall comply with requirement 2.1.8 of the Rainforest Alliance Standard which requires the supply chain actor to document and demonstrate the methodology with which conversion factors for certified products are being calculated. Supply chain actors may use any conversion ratio within a pre-set bandwidth by the Rainforest Alliance as long as the ratio resulting from a supply chain actor's actual conversion is evidenced as the correct one through a calculation. That ratio shall be the one used in the traceability platform. If actual conversion ratios result to be beyond the pre-set bandwidths, a supply chain actor may request a different conversion ratio to be installed for their purposes.

Crop/Sector	1 <sup>st</sup> conversion	2 <sup>nd</sup> conversion	3 <sup>rd</sup> conversion	4 <sup>th</sup> conversion
<b>Cocoa</b>				
beans to liquor	1:0.82			
beans to nibs	1:0.82			
nibs to liquor		1:1		
liquor to butter and powder			1:0.5:0.5	NA
<b>Hazelnut</b>				
in shell to kernel	1:0.5			
kernel to roasted kernel		1:0.94	NA	NA
kernel to processed kernel (e.g. blanched, chopped, sliced, etc.)		1:1		
roasted kernel to roasted processed kernel			1:1	
<b>Coconut</b>				
fresh fruit to copra	1:0.25			
copra to crude coconut oil		1:0.62		
crude coconut oil to refined coconut oil			1:0.96	
refined coconut oil to coconut stearin			100:20	
refined coconut oil to coconut olein			100:80	
coconut olein to double fraction olein				100:65
coconut olein to mid fraction stearin				100:35
coconut stearin to double fraction stearin				100:35
coconut stearin to mid-fraction olein				100:65
<b>Palm Oil</b>				
Fresh Fruit Bunches (FFB) to Crude Palm Oil	100:20			
Fresh Fruit Bunches (FFB) to Palm Kernels	100:5			
Crude Palm Oil to Refined Palm Oil		100:95		
Crude Palm Oil to PFAD		100:5		
Palm Kernel to Palm Kernel Oil		100:45		
Palm Kernels to Palm Kernel Expeller		100:55		
Palm Oil to Olein			100:80	



Palm Oil to Stearin			100:20	
Olein to Double Fraction Olein				100:65
Olein to Mid Fraction Stearin				100:35
Stearin to Mid Fraction Olein				100:65
Stearin to Double Fraction Stearin				100:35
Palm Kernel Oil to Refined Palm Kernel Oil		100:95		
Palm Kernel Oil to PKFAD		100:5		
Refined Palm Kernel Oil to PK Olein			100:65	
Refined Palm Kernel Oil to PK Stearin			100:35	
<b>Oranges</b>				
fresh fruit to soluble solids	Kg of SS = (X Boxes of fresh fruit / Y Boxes per ton of FCOJ at 66 Brix) × 1000 × 66%			
soluble solids to juice (FCOJ)		1:1		
soluble solids to juice (NFC)		1:1		
juice to reconstituted juice			1:1	

## SECTION 2: SUPPLY CHAIN SCOPE

### SET UP OF SUPPLY CHAIN

#### Coffee

Level	Input product	Certified activity	Output product	Traceability level
FARM CH	N/A	Farming	Green coffee	IP
FARM CH	Coffee cherries	Dry Processing	Dried cherries	IP, SG
FARM CH	Coffee cherries	Wet Processing	Parchment	IP, SG
FARM CH	Dried cherries	Milling Dry Cherries	Green coffee	IP, SG
FARM CH	Parchment	Milling Parchment	Green coffee	IP, SG
FARM CH	Green coffee	Monsooning	Monsooned coffee	IP, SG
SC CH (e.g. decaffeinator)	Green coffee	Decaffeinating	Decaffeinated coffee	IP, SG
SC CH (e.g. roaster)	Green coffee	Roasting Green Coffee	Roasted coffee	IP, SG
SC CH (e.g. roaster)	Decaffeinated coffee	Roasting Decaffeinated Coffee	Roasted decaffeinated coffee	IP, SG
SC CH (e.g. roaster)	Monsooned coffee	Roasting monsooned Coffee	Roasted monsooned coffee	IP, SG
SC CH (e.g. processor)	Green coffee	Green coffee extract processing	Green coffee extract	IP, SG
SC CH (e.g. processor)	Roasted coffee	Extract processing	Roasted coffee extract	IP, SG
SC CH (e.g. packer)	Roasted coffee	Packing	Packed coffee	IP, SG
SC CH (e.g. bottler)	Roasted coffee	Bottling	Bottled coffee (Non-pure)	IP, SG

#### Cocoa

Level	Input product	Certified activity	Output product	Traceability level
FARM CH	N/A	Farming	Cocoa beans	IP
SC CH (e.g. trader)	Cocoa beans	Trading	Cocoa beans	IP, SG, MB
SC CH (e.g. trader)	Cocoa beans	Grinding	Cocoa liquor	IP, SG, MB
SC CH (e.g. processor)	Cocoa beans	Grinding	Cocoa nibs	IP, SG, MB
SC CH (e.g. processor)	Cocoa nibs	Grinding	Cocoa liquor	IP, SG, MB

SC CH (e.g. processor)	Cocoa liquor	Pressing	Cocoa butter and powder	IP, SG, MB
SC CH (e.g. processor)	Any of the above	Manufacturing	Unfinished chocolate product (Non-pure)	IP, SG, MB
SC CH (e.g. manufacturer)	Any of the above	Consumer end product manufacturing	Finished chocolate product (Non-pure)	IP, SG, MB

## Tea

Level	Input product	Certified activity	Output product	Traceability level
FARM CH	N/A	Farming	Green leave	IP
FARM CH	Green leaf	Green leaf processing	Made tea	IP
SC CH (e.g. bulker)	Made tea	Bulking	Made tea	IP, SG
SC CH (e.g. blender)	Made tea	Blending	Blended tea	IP, SG
SC CH (e.g. decaffeinator)	Made tea	Decaffeinating	Decaffeinated tea	IP, SG
SC CH (e.g. processor)	Made tea	Extract Processing	Tea extract- powder	IP, SG
SC CH (e.g. processor)	Made tea	Extract Processing	Tea extract- liquid	IP, SG
SC CH (e.g. processor)	Green leaf	Green leaf extract processing	Green leaf extract	IP, SG
SC CH (e.g. processor)	Any of the above	Flavoring	Flavored tea (Non-pure)	IP, SG
SC CH (e.g. packer)	Any of the above	Manufacturing	Packed tea (Pure & Non-pure)	IP, SG
SC CH (e.g. bottler)	Any of the above	Bottling	Ready to drink tea (Non-pure)	IP, SG

## Rooibos

Level	Input product	Certified activity	Output product	Traceability level
FARM CH	N/A	Farming	Rooibos	IP
FARM CH	Wet rooibos	Drying	Dried rooibos	IP

SC CH (e.g. processor)	Dried rooibos	Processing	Processed rooibos	IP, SG
SC CH (e.g. blender)	Processed rooibos	Blending	Blended rooibos	IP, SG
SC CH (e.g. processor)	Any of the above	Flavoring	Flavored rooibos (Non-Pure)	IP, SG
SC CH (e.g. packer)	Any of the above	Manufacturing	Packed rooibos (Pure & Non-pure)	IP, SG
SC CH (e.g. bottler)	Any of the above	Bottling	Ready to drink rooibos (Non-pure)	IP, SG

## Fruits

Level	Input product	Certified activity	Output product	Traceability level
FARM CH	N/A	Farming	Fresh Fruit	IP
SC CH (e.g. exporter)	Fresh Fruit	Trading	Fresh Fruit	IP, SG
SC CH (e.g. processor)	Fresh Fruit	Processing	Juice- NFC	IP, SG, MB
SC CH (e.g. processor)	Fresh Fruit	Processing	Juice-Concentrate	IP, SG, MB
SC CH (e.g. processor)	Fresh Fruit	Processing	Puree	IP, SG, MB
SC CH (e.g. processor)	Fresh Fruit	Canning	Canned fruit	IP, SG
SC CH (e.g. dryer)	Fresh Fruit	Drying	Dried Fruit	IP, SG
SC CH (e.g. bottler)	Juice-Concentrate	Bottling	Reconstituted Juice (Non-pure)	IP, SG, MB
SC CH (e.g. processor)	Fresh fruit	Processing	Frozen fruit	IP, SG

## Hazelnuts

Level	Input product	Certified activity	Output product	Traceability level
FARM CH	N/A	Farming	In shell hazelnut	IP, SG, MB
SC CH (e.g. processor)	In shell hazelnut	Cracking	Hazelnut kernel	IP, SG, MB
SC CH (e.g. processor)	Hazelnut kernel	Roasting	Roasted hazelnut kernel	IP, SG, MB
SC CH (e.g. processor)	Hazelnut kernel	Processing	Processed hazelnut kernel (e.g. blanched, chopped, sliced, etc.)	IP, SG, MB
SC CH (e.g. manufacturer)	Roasted hazelnut kernel	Processing	Roasted processed hazelnut (e.g. blanched, chopped, sliced, etc.)	IP, SG, MB
SC CH (e.g. manufacturer)	Any of the above	Consumer-end hazelnut product manufacturing	Consumer-end hazelnut product (non-pure)	IP, SG, MB

## Palm oil

Level	Input product	Certified activity	Output product	Traceability level
Farm CH	N/A	Farming	Fresh Fruit Bunches (FFB)	IP, SG, MB
SC CH: mill	Fresh Fruit Bunches (FFB)	Extraction	Crude Palm Oil	IP, SG, MB
SC CH: mill	Fresh Fruit Bunches (FFB)	Processing	Palm Kernels	IP, SG, MB
SC CH: crusher	Palm Kernels	Crushing	Palm Kernel Oil	IP, SG, MB
SC CH (e.g. refiner)	Crude Palm Oil	Refining	Refined Palm Oil	IP, SG, MB
SC CH (e.g. refiner)	Crude Palm Oil	Refining	PFAD	IP, SG, MB
SC CH (e.g. refiner)	Crude Palm Kernel Oil	Refining	Refined Palm Kernel Oil	IP, SG, MB
SC CH (e.g. refiner)	Crude Palm Kernel Oil	Refining	PKFAD	IP, SG, MB
SC CH	Palm Oil	Processing	Olein, Stearine	IP, SG, MB
SC CH	Palm Kernel Oil	Processing	Palm Kernel Olein, Palm Kernel Stearine	IP, SG, MB
SC CH	Stearine	Fractionation	Double Fraction Stearine	IP, SG, MB
SC CH	Stearine	Fractionation	Mid Fraction Stearine	IP, SG, MB
SC CH	Olein	Fractionation	Double Fraction Olein	IP, SG, MB
SC CH	Olein	Fractionation	Mid Fraction Olein	IP, SG, MB

## Coconut oil

Level	Input product	Certified activity	Output product	Traceability level
FARM CH	N/A	Farming	Coconuts	IP, SG, MB
FARM CH	Fresh fruit	Drying	Copra	IP, SG, MB
SC CH (e.g. processor)	Copra	Crushing	Crude Coconut Oil	IP, SG, MB
SC CH (e.g. processor)	Crude Coconut Oil	Refining	Refined Coconut Oil	IP, SG, MB
SC CH (e.g. processor)	Refined Coconut Oil	Processing	Coconut stearin	IP, SG, MB
SC CH (e.g. processor)	Refined Coconut Oil	Processing	Coconut olein	IP, SG, MB
SC CH (e.g. processor)	Coconut olein	Fractionation	Double fraction olein	IP, SG, MB
SC CH (e.g. processor)	Coconut olein	Fractionation	Mid fraction olein	IP, SG, MB
SC CH (e.g. processor)	Coconut stearin	Fractionation	Double fraction stearin	IP, SG, MB
SC CH (e.g. processor)	Coconut stearin	Fractionation	Mid fraction stearin	IP, SG, MB

## Herbs and spices (includes vanilla, ginger, cinnamon)

Level	Input product	Certified activity	Output product	Traceability level
FARM CH	N/A	Farming	Fresh herbs and spices	IP
FARM CH	Fresh herbs and spices	Post-harvest processing	Processed fresh herbs and spices	IP, SG
SC CH (e.g. processor)	Fresh herbs and spices	Processing (SCA)	Processed fresh herbs and spices	IP, SG
SC CH (e.g. processor)	Fresh herbs and spices	Packing	Packed fresh herbs and spices	IP, SG
FARM CH (e.g. processor)	Fresh herbs and spices	Drying	Dried herbs and spices	IP, SG
SC CH (e.g. processor)	Dried herbs and spices	Packing	Packed dried herbs and spices	IP, SG
SC CH (e.g. processor)	Dried herbs and spices	Blending	Blended herbs and spices	IP, SG
SC CH (e.g. processor)	Blended herbs and spices	Packing	Packed blended herbs and spices	IP, SG
SC CH (e.g. processor)	Dried herbs and spices	Drying	Herbal tea (single)	IP, SG
SC CH (e.g. processor)	Herbal tea	Packing	Packed herbal tea (single)	IP, SG
SC CH (e.g. processor)	Herbal tea	Blending	Blended herbal tea	IP, SG
SC CH (e.g. processor)	Blended herbal tea	Packing	Packed blended herbal tea	IP, SG

SC CH (e.g. processor)	Fresh herbs and spices	Extracting process	Extract	IP, SG
SC CH (e.g. processor)	Dried herbs and spices	Extracting process	Extract	IP, SG

## SECTION 3: IMPLEMENTING SUSTAINABILITY DIFFERENTIAL AND INVESTMENT PAYMENTS PER CROP

### INTRODUCTION

The requirements for Sustainability Differential and Sustainability Investments are listed in the supply chain requirements of the Rainforest Alliance 2020 Sustainable Agriculture Standard. As applicability of the requirements as well as interpretation of those might differ from one to another sector and/or supply chain actor, more details are provided in the section below.

### INTERPRETATION OF SUPPLY CHAIN REQUIREMENTS

#### Sustainability Differential

##### Who pays the Sustainability Differential?

Referencing requirement 3.2.3: *"The buyer of certified products ensures that the seller receives the Sustainability Differential in the form of a cash payment on top of the market price, quality premiums or other differentials."*

Crop/Sector	1 <sup>st</sup> Buyer	Other	Brand Owner
Coffee	Yes	NA	NA
Cocoa	Yes	NA	NA
Tea	TBD	TBD	TBD
Banana	Yes	NA	NA
Fruits	Yes	NA	NA
Hazelnut	Yes	NA	NA
Coconut Oil	Yes	NA	NA
Herbs and Spices	Yes	NA	NA
Vanilla	Yes	NA	NA

NOTE: in case farms purchase from other farms and there is change of ownership, the farms purchasing certified product are the first buyer.

##### What is the minimum Sustainability Differential level?

The Rainforest Alliance reserves the right to introduce minimum Sustainability Differentials per sector. For those sectors in which a minimum Sustainability Differential prevails, relevant information shall be stated in this Annex and the certificate holder responsible for payment of the Sustainability Differential shall comply with it according to requirement 3.2.7: *"The Sustainability Differential paid amounts to at least the prescribed minimum."*

##### How and when is the Sustainability Differential paid?

With reference to the requirement 3.2.4: *"Buyer and seller have a contract in place in which the Sustainability Differential amount payable and the terms and conditions are agreed upon. The Sustainability Differential is clearly distinguished from price, quality premiums and other differentials."*, it is additionally mandatory for the contract to contain explicit information on the amount of the Sustainability Differential as well as the terms and conditions of payment. The latter refers to period/cycle the Sustainability Differential payment relates to, the expected time of payment as well as any other terms.

With regards to the pending decision about which supply chain actor would be the one required to pay the Sustainability Differential in the tea sector, the interpretation of requirement 3.2.5: *"The Sustainability Differential is paid within 3 months after change of physical ownership from farm certificate holder to the first buyer"* may differ for supply chain actors in the tea sector. This section will be updated accordingly once the decision is made.



### How and when is the Sustainability Differential reported?

While Standard requirement 3.2.6 demands that “Sustainability Differential payments are recorded in the traceability platform once per quarter.”, there shall be the possibility for supply chain actors to receive a report of all confirmed incoming transactions per supplier to record payment and evidence at an aggregated basis per supplier once per quarter.

### Sustainability Investments

Supply chain actors comply with requirement 3.3.4: “The buyer of certified products ensures that the farm certificate holder receives the Sustainability Investment. Sustainability Investments align with the needs identified in the investment plan of the farm certificate holder” and 3.3.5: “An annual report of investments made to farms is compiled and available. The investments:

- Align with the investment needs identified in the investment plan of the farm certificate holder  
Are substantiated with proof of payment
- Are recorded in the traceability platform at an annual basis”

In sum, this means that investments made by supply chain actors shall be channeled to any of the investment needs highlighted by the farm certificate holders. Investment needs and therefore investments of supply chain actors shall be captured in the following categories: 1) Management, 2) Traceability, 3) Shared Responsibility, 4) Farming, 5) Social, 6) Environment, 7) Audit costs, 8) Other (training, printing, IMS maintenance, e.g.). Within each category, the farm will be able to specify any more details to the investment needs, e.g. more activities with young farmers under the category Management.

Templates for drawing up the investment plan shall be provided by the Rainforest Alliance and used by farm certificate holders.

### Who pays the Sustainability Investments?

Crop/Sector	1 <sup>st</sup> Buyer	Other	Brand Owner
Coffee	Yes	NA	NA
Cocoa	Yes	NA	NA
Tea	TBD	TBD	TBD
Fruits	Yes	NA	NA
Banana	Yes	NA	NA
Hazelnut	Yes	NA	NA
Coconut Oil	Yes	NA	NA
Herbs and Spices	Yes	NA	NA
Vanilla	Yes	NA	NA

### How to report Sustainability Investments?

Templates for reporting the Sustainability Investments shall be provided by the Rainforest Alliance and used by the organizations mandated to comply with the Standard requirement on Sustainability Investment payments.