

# **RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD**

## **FARM REQUIREMENTS**

**RAINFOREST  
ALLIANCE**

**JUNE 2020**  
Version 1



# ABOUT THE 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.

## Translation Disclaimer

Any question related to the precise meaning of the information contained in the translation, should refer to the English official 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?

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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Until further notice

## Developed by

Rainforest Alliance Department Standards & Assurance

## Approved by

Chief Supply Chain Officer, on behalf of Standards Committee and Board

## Linked to (code and name of documents, if applicable)

SA-S-SD-2-V1, Rainforest Alliance Sustainable Agriculture Standard, Supply Chain Requirements

## Replaces

UTZ Core Code of Conduct for group and multi-group certification Version 1.1, 2015  
UTZ Core Code of Conduct for individual and multi-site certification, Version 1.1, 2015  
and corresponding modules  
Rainforest Alliance Sustainable Agriculture Standard for farms and groups involved in crop and cattle production, Version 1.2, 2017

## Clause or requirement number and text (if applicable)

Not applicable

## Applicable to

Farm certificate holders

## Country/Region

All

## Crops

Tree crops (such as coffee and cocoa) tea, fruits (such as bananas, coconuts and pineapples), nuts (such as hazelnuts) and cut flowers. Vegetables and palm: subject to confirmation.

## Type of organizations

Small and large farms

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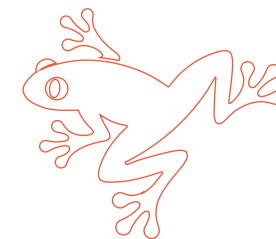
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L Assess-and-Address	
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# INTRODUCTION

## OUR VISION



### REIMAGINING CERTIFICATION

The merger of the Rainforest Alliance and UTZ in 2018 was a natural moment for us to combine our experience and develop a strong, forward-looking approach to certification that is fit for the challenges now facing sustainable agriculture and related supply chains.

‘Reimagining certification’ is our long-term vision, based on a set of core principles: continuous improvement; data-powered; risk-based assurance; contextualization; and shared responsibility.

### 2020 SUSTAINABLE AGRICULTURE STANDARD: FARM REQUIREMENTS

The need for sustainable agriculture has never been greater. By providing a practical framework for sustainable agriculture, and a targeted set of innovations, the Farm Requirements can help farmers produce better crops, adapt to climate change, increase their productivity, set goals to achieve their sustainability performance and target investments to address their greatest risks. The Farm Requirements are designed to support certificate holders to maximize the positive social, environmental, and economic impact of agriculture, while offering farmers an enhanced framework to improve their livelihoods and protect the landscapes where they live and work.

As the first step towards our Reimagining Certification vision, the Farm Requirements of the Sustainable Agriculture Standard introduces a number of innovations, such as a contextualized package of requirements adapted to the circumstances of each certificate holder, strengthened risk assessment to identify and manage sustainability risks, and shared responsibility requirements to reward farmers for sustainable production and target investment to achieve sustainability goals. A detailed exploration of these innovations can be found in the ‘2020 Sustainable Agriculture Standard – Introduction’ document available from the Rainforest Alliance website.

The Farm Requirements and Supply Chain Requirements together form the Rainforest Alliance Sustainable Agriculture Standard. Requirements that can be applicable to Farm certificate holders, are taken up in the Farm Requirements document. Requirements that can be applicable to Supply Chain certificate holders, are taken up in the Supply Chain Requirements document. This means the numbering in each of these two documents can show gaps.

### STANDARD DEVELOPMENT

The Rainforest Alliance is a full member of ISEAL. The 2020 Sustainable Agriculture Standard has been developed, for the relevant parts, in accordance with the ISEAL Standard-Setting Code of Good Practice, ensuring that the documents are relevant, transparent, and reflecting a balance of stakeholder interests.



# 2020 CERTIFICATION PROGRAM

The Rainforest Alliance 2020 Certification Program provides the foundation for our approach to reimagining certification. The new standard, assurance system and related data and

technology systems are designed to deliver more value to the many people and businesses around the world that use Rainforest Alliance certification as an essential tool to support sustainable

agricultural production and supply chains. Our 2020 Certification Program is made up of three principal components that are designed to work closely with each other:



## SUSTAINABLE AGRICULTURE STANDARD



## ASSURANCE SYSTEM



## DATA SYSTEMS AND TOOLS

### FARM REQUIREMENTS



### SUPPLY CHAIN REQUIREMENTS



#### Annexes (binding):

Compliance with the content of the annexes is required in order to be certified.

#### Guidances (non-binding):

Documents to help users understand, interpret and implement the requirements, but are not binding for audits.

- **Certification Rules** to set out how auditors evaluate compliance with the farm and supply chain requirements;
- **Auditing Rules** to ensure that Certification Bodies consistently deliver Rainforest Alliance audits of the highest quality;
- **Rules for Authorizing Certification Bodies** to determine which organizations can carry out audits against the new Rainforest Alliance standard
- **Requirements for Certification Bodies' Personnel**

Certificate holders at Farm and Supply Chain level will register for membership, manage audit processes and record sales transactions of certified products in a new IT platform.

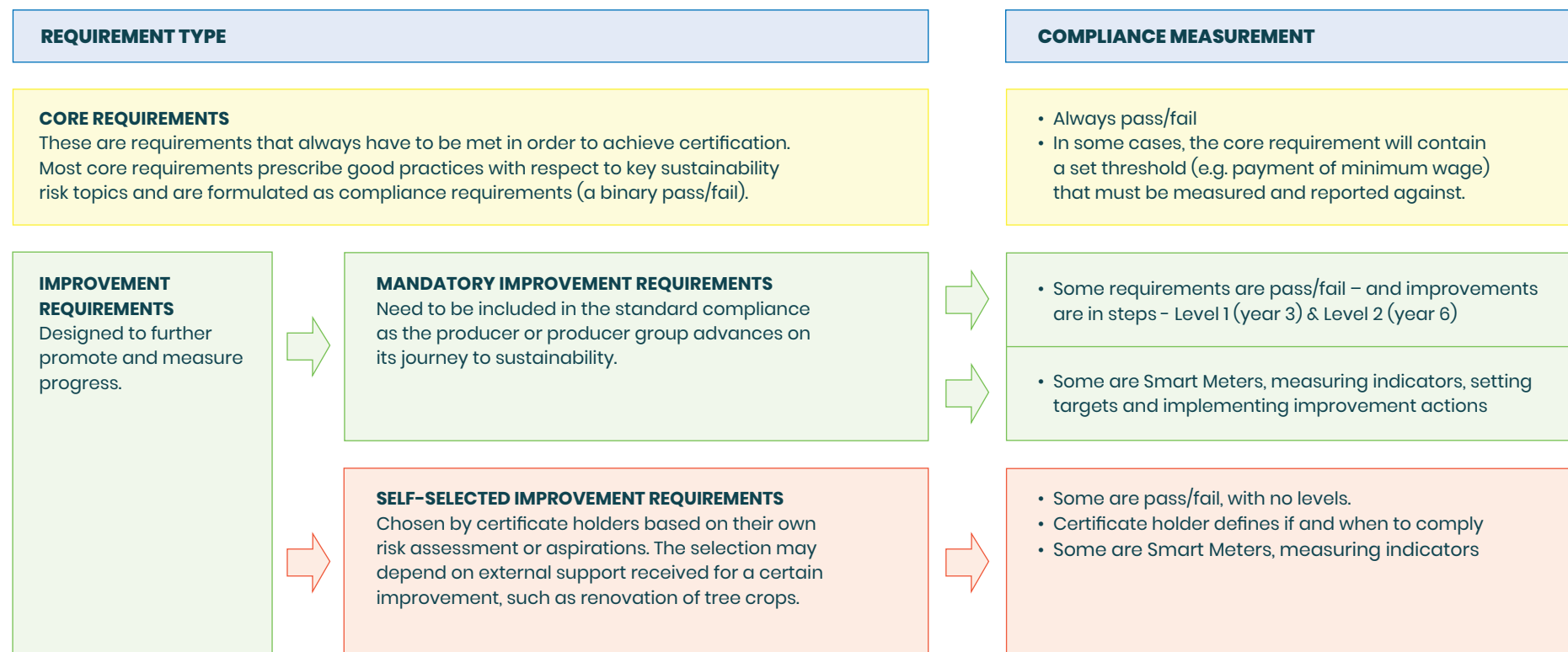
New IT-based tools will progressively be made available to farmers, certificate holders and supply chain actors to better track and manage sustainability performance against the requirements of the Sustainable Agriculture Standard.

# STRUCTURE OF THE FARM REQUIREMENTS

Our certification program is designed for producers who are committed to sustainable agriculture, and continuous improvement is a fundamental tenet of sustainability: the farm requirements aim to serve these aims. In addition

to prescribing practices, the focus is on enabling and measuring improvements towards sustainability outcomes. The Farm Requirements include three different types of requirements – core, mandatory improvements, and self-selected

requirements. All topics have pass/fail requirements. On top of this, a number of new 'Smart Meters' have been added.



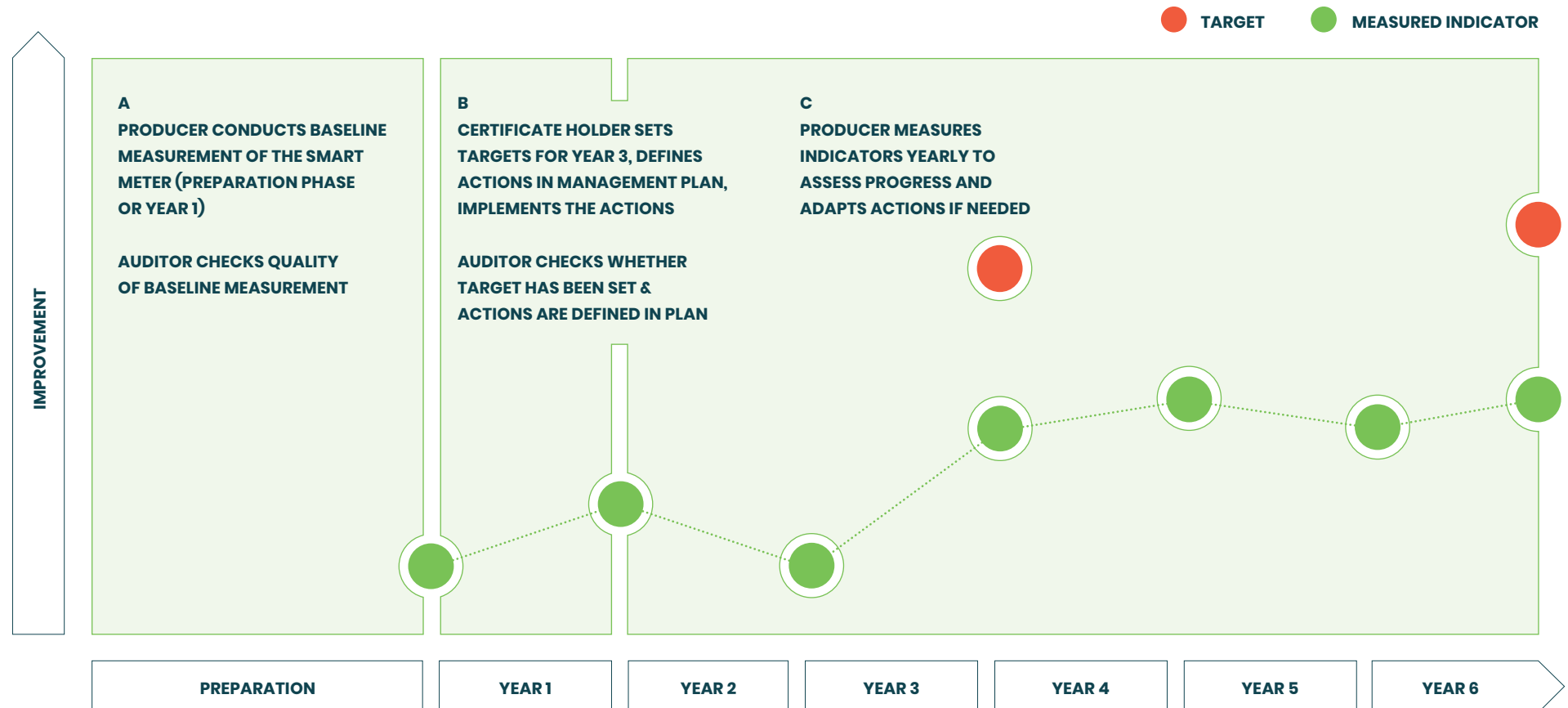
# CORE REQUIREMENTS AND UNDERSTANDING SMART METERS

The foundation of this document can be found in its core requirements, which address fundamental areas of sustainable agriculture. These always have to be met in order to achieve certification, similar to the critical or mandatory criteria of the previous Rainforest Alliance and UTZ standards. The core requirements prescribe good practices

with respect to key sustainability topics and are formulated as pass/fail requirements, sometimes containing a set threshold. Also there are mandatory improvement requirements with a pass/fail approach.

However, our Reimagining Certification vision aims to go beyond the traditional 'pass/fail' approach of

sustainability standards, and towards promoting continuous improvement, through insights from data, and a more accurate measurement of progress. To this end, we have introduced a new approach to requirements – Smart Meters.



### How Smart Meters work

Smart Meters aim to give farmers a structured way to incorporate continuous improvement on context-specific data.

Smart Meters do not have predefined targets set by the Rainforest Alliance. Instead, the producers themselves set the targets for these indicators and define the adequate actions to take to realize these improvements.

Producers conduct a baseline assessment and define targets for these indicators in year 0 or year 1 (depending on the requirement), plan and implement actions to achieve the targets, and then monitor progress towards the targets. Producers use the indicator data to reflect yearly on the progress, and to adapt the activities in case no or little progress is shown. This provides producers with a feedback loop so that they can continuously improve their practices.

### Auditing of Smart Meter Data

- For the mandatory smart meter indicators: the quality of the data and the actions undertaken will be verified through the assurance process. The measured level of the indicator data will not influence the certification decision. However, if no data have been collected, or if the quality of the data is very low, this may have consequences for certification. The Rainforest Alliance will use the indicator data for learning purposes, and to establish the context and crop specific optimum levels for these indicators, to be used by the certificate holders as a reference for their improvements.
- For the self-selected smart meter improvements, data on the smart meters that have been verified, may be published certificate holder on their profile or in other external communication if they wish.

The certification body checks whether the baseline and subsequent yearly measurements have been conducted and then will verify the quality of the data. The surveillance audits check whether the yearly monitoring and use of the data for learning takes place. The objective of these surveillance audits regarding the smart meter requirements is to provide feedback to the certificate holders on the quality and the use of the data for learning and improving

### Certificate Holder profiles

A certificate holder profile for farms and groups is another innovation that will be used to communicate sustainability performance and improvements. Certificate Holder profiles will be shaped by data and indicators from the standard, and will allow producers to demonstrate their results, challenges, and improvements. The profile can become a valuable tool to drive continuous improvement, empower producers, build demand for certified product, and channel supply chain investments.



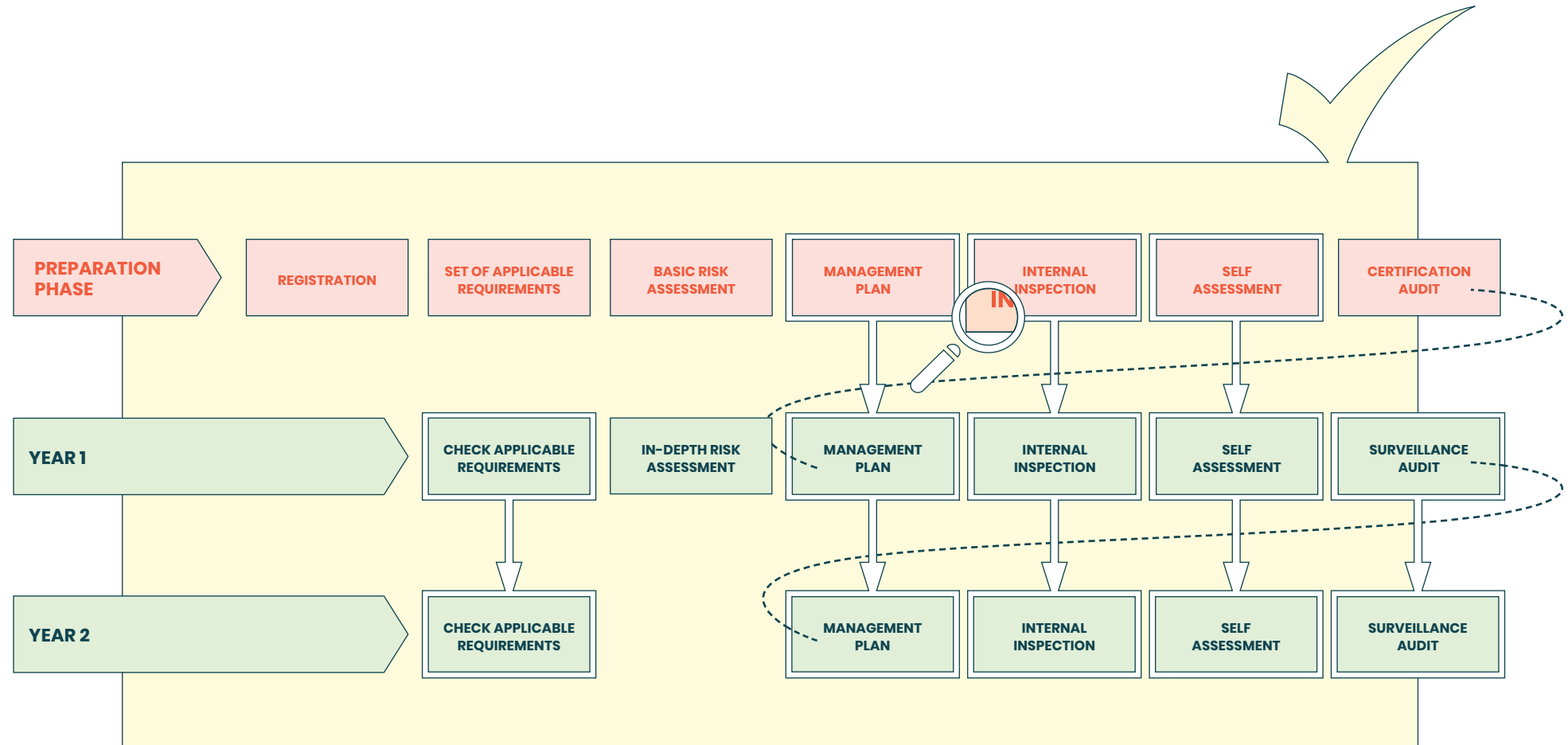
# OVERVIEW OF THE REQUIREMENTS

1. Management		
1.1	Management	Smart Meter
1.2	Administration	
1.3	Risk Assessment and Management Plan	
1.4	Internal Inspection and Self-Assessment	
1.5	Grievance Mechanism	
1.6	Gender Equality	Smart Meter
1.7	Young Farmers and Workers	Self-selected
2. Traceability		
2.1	Traceability	
2.2	Traceability in the Online Platform	
2.3	Mass Balance	
3. Income and shared responsibility		
3.1	Production Costs and Living Income	Self-selected
3.2	Sustainability Differential	
3.3	Sustainability Investments	
4. Farming		
4.1	Planting and Rotation	
4.2	Pruning and Renovation of Tree Crops	Smart Meter
4.3	Genetically Modified Organisms (GMOs)	
4.4	Soil Fertility and Conservation	Smart Meter
4.5	Integrated Pest Management (IPM)	Smart Meter
4.6	Agrochemicals Management	
4.7	Harvest and Post-Harvest Practices	

5. Social		
5.1	Assess-and-Address Child Labor, Forced Labor, Discrimination, Workplace Violence and Harassment	Smart Meter
5.2	Freedom of Association and Collective Bargaining	
5.3	Wages and Contracts	
5.4	Living Wage	Smart Meter
5.5	Working Conditions	
5.6	Health and Safety	
5.7	Housing and Living Conditions	
5.8	Communities	
6. Environment		
6.1	Forests, other Natural Ecosystems and Protected Areas	
6.2	Conservation and Enhancement of Natural Ecosystems and Vegetation	Smart Meter
6.3	Riparian Buffers	
6.4	Protection of Wildlife and Biodiversity	
6.5	Water Management and Conservation	Smart Meter
6.6	Wastewater Management	
6.7	Waste Management	
6.8	Energy Efficiency	Smart Meter
6.9	Greenhouse Gas Reduction	Self-selected

# THE CERTIFICATION PROCESS

Users of the Farm Requirements go through a number of key steps on the certification journey.



### **Applicability & Contextualization Framework**

The first step towards Rainforest Alliance certification is registration in Rainforest Alliance's Multitrace system. This is done by farms and groups of farms that are interested in becoming certified, and also by farms that have already been certified in the earlier UTZ and Rainforest Alliance programs.

Once they have been registered, they will receive a digital contextualized standard, which can also be downloaded for offline use. This means they will receive a list of applicable requirements based on the risk profile for their country and the type of certificate. For example, a group of small cocoa farmers, who are seeking to achieve Rainforest Alliance certification, will receive the requirements that apply to "Small Farms" and to "Group Management", but will not receive the requirements applicable for large farms.

They will see both the core requirements to comply with for the first certification audit, as well as the mandatory Smart Meters and improvement requirements to comply with over time. The self-selected requirements will be included in this overview as optional requirements.

The Rainforest Alliance provides a customized package with the training guidance, the Risk Assessment Tool and the Management Capacity Assessment Tool (for groups).

### **Preparation**

The preparation period, also referred to as year 0, starts with the producer conducting a preparatory assessment, which includes an initial assessment of risks, gaps and baseline.

The basic Farm risk assessment provides insight into the more pressing aspects that producers can focus on in order to achieve certification, and in the gaps that need to be bridged to reach compliance with the standard. The Management Capacity Assessment Tool will be used by groups of small farms to identify the areas to strengthen management capacities.

These preparatory assessments and other sources of information, such as maps of farm units, are used as input to draft an initial Management Plan, describing the actions to be taken to reach compliance with the core requirements of the standard. Subsequently, the producer will conduct internal inspections to assess compliance of group members with the standard (in the case of a group), and to conduct the baseline for the applicable smart meters. Before the external audit takes place, the groups and individual farms need to conduct a self-assessment to evaluate the compliance with the standard.

*Note:* the different parts of the risk assessment, including the basic and in-depth Farm risk assessment, the gender and climate risk assessment, are all included in one tool: the Farm Risk Assessment Tool.

## Audits

Rainforest Alliance farm certification operates on a three-yearly cycle. It begins with the preparation phase, and year 1 starts after the first positive certification audit.

### a. Certification Audits

After this preparation phase, the producer has the first certification audit carried out by an independent audit organization. If the audit is passed, the first year of certification starts. For the first certification audit all certificate holders must comply with all core requirements applicable to their category (smallholder or large, individual or group).

The in-depth Farm risk assessment will be the first action. This includes an in-depth gender assessment, as well as an in-depth assessment of the risks on child labor, forced labor, discrimination and workplace violence and harassment. For group certification, this in-depth assess-and-address assessment is mandatory if there is a medium/high risk of child labor or forced labor.

This in-depth farm risk assessment also includes a climate change risk assessment as a self-selected improvement requirement.

The internal inspections will be conducted yearly, with a focus on the topics identified in the farm risk assessment, the results of earlier inspections, and the data gathering for the smart meters.

### b. Surveillance Audits

In the two years between Certification Audits, Surveillance Audits are carried out. These audits have a number of objectives:

- To verify whether the management system of the organization is still ensuring compliance of all activities falling under its responsibility
- To monitor progress on improvements.

Using the indicators, producers can show the progress made. In the event that a producer has not managed to make progress, they can explain the causes of this situation and the activities undertaken to work on this improvement. If they are not able to show this effort, this will lead to a non-conformity or decertification.

### Scope of the requirements

The scope of the Farm requirements is the whole farm.

Chapter 2, Farming focuses on the certified crop, except for the requirements on Integrated Pest Management and pesticides which apply to the whole farm.

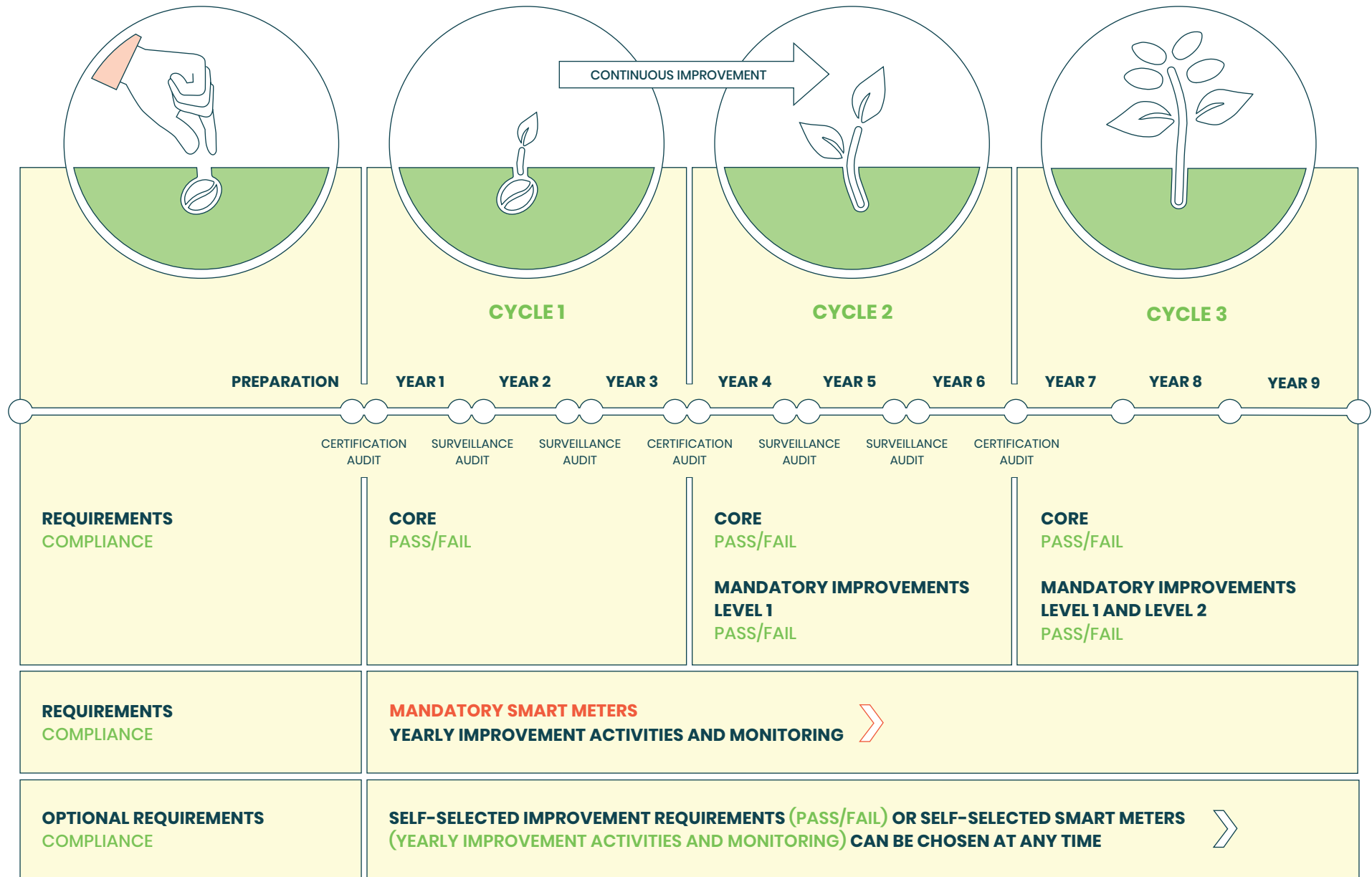
## Small farms

For this standard the following description of small farms is used:

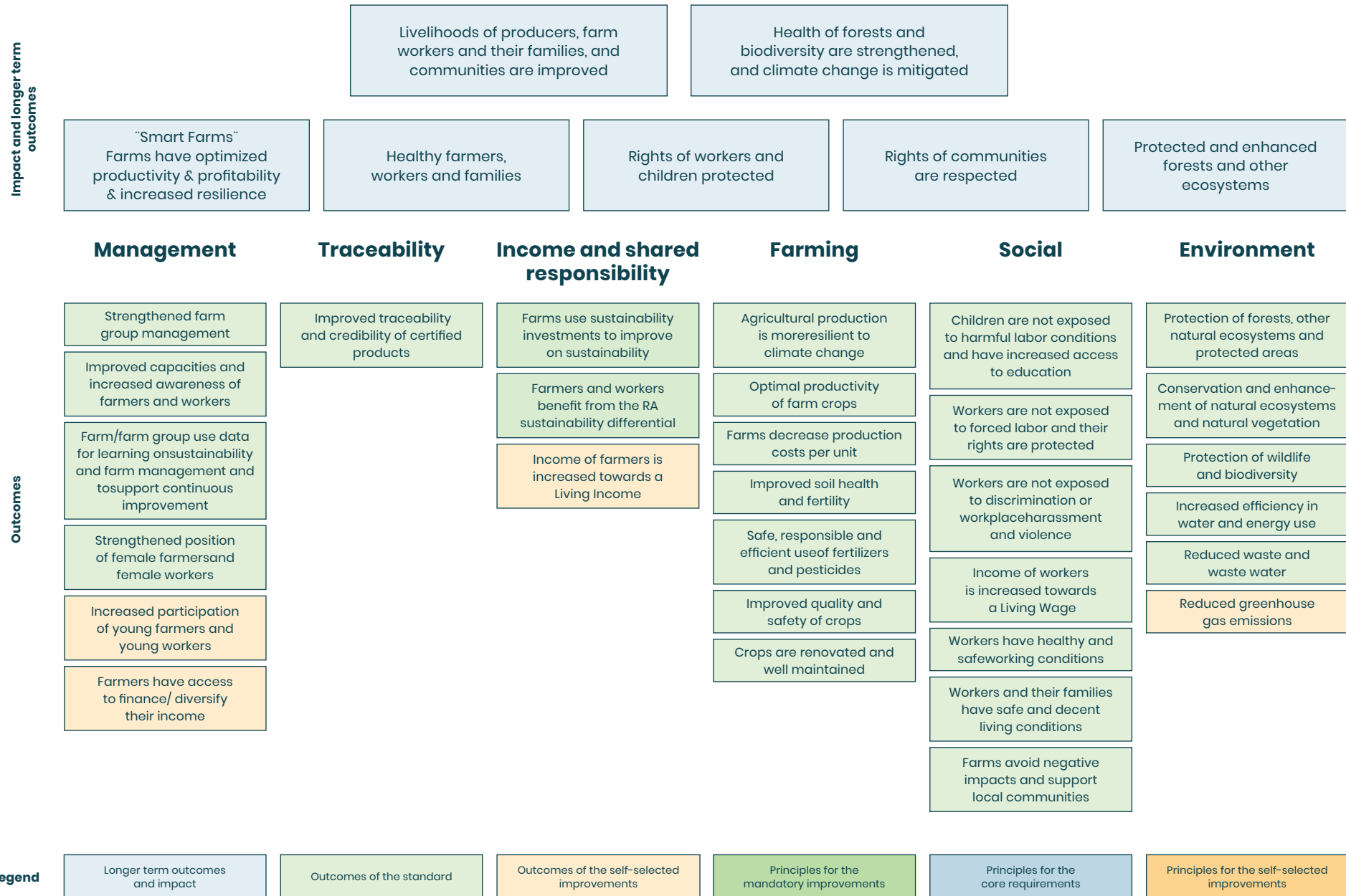
Small farms are small-scale agricultural producers that primarily rely on family or household labor or workforce exchange with other members of the community. They might hire temporary workers for seasonal tasks or even hire (few) permanent workers. Small farmers are usually organized in a group to be certified and rely on the group management for record development and record keeping.

Small farms that hire five or more full-time workers on a yearly basis, need to comply with additional requirements.

# OVERVIEW OF THE IMPROVEMENT PROCESS



# EXPECTED OUTCOMES



# USING THIS DOCUMENT

## Navigating around the Farm Requirements

The Sustainable Agriculture Standard Farm Requirements document is divided into six chapters, each centered around a specific area – farm management, traceability, shared responsibility, farming practices, social and environment. The requirements in each chapter are presented in tables like the one below.

Topic name	<b>1.1 MANAGEMENT</b>					
Core requirement: has to be complied with always	No.	Core requirements	Group certification			Ind. cert.
			S-farms	L-farms	Group mgt.	S/L
	1.1.1	(Text requirement)		✓	✓	
Mandatory Smart Meter: measured each year, from year one onwards	No.	Mandatory Smart Meter				
	1.1.2	(Text requirement)			✓	✓
Mandatory Improvement: has to be complied with from the indicated time	No.	Mandatory Improvement				
	1.1.3	(Text requirement)	✓		✓	
Improvement Level: Level 1 (L1) after three years of certification. Level 2 (L2) after six years of certification	L1					
Self-selected: Not required. Can be chosen at any time	No.	Self-selected Requirements				
	1.1.4	(Text requirement)	✓	✓	✓	

**Small farms:**  
Each member of a group has to comply with these requirements

**Large farms:**  
Each large farm in the group has to comply with these requirements

**Group management:**  
Group management is responsible for implementation of these requirements for the group members

**Individual certification:**  
small or large farms that are certified individually have to comply with these requirements

Definitions of underlined terms are explained in Annex 1, Glossary

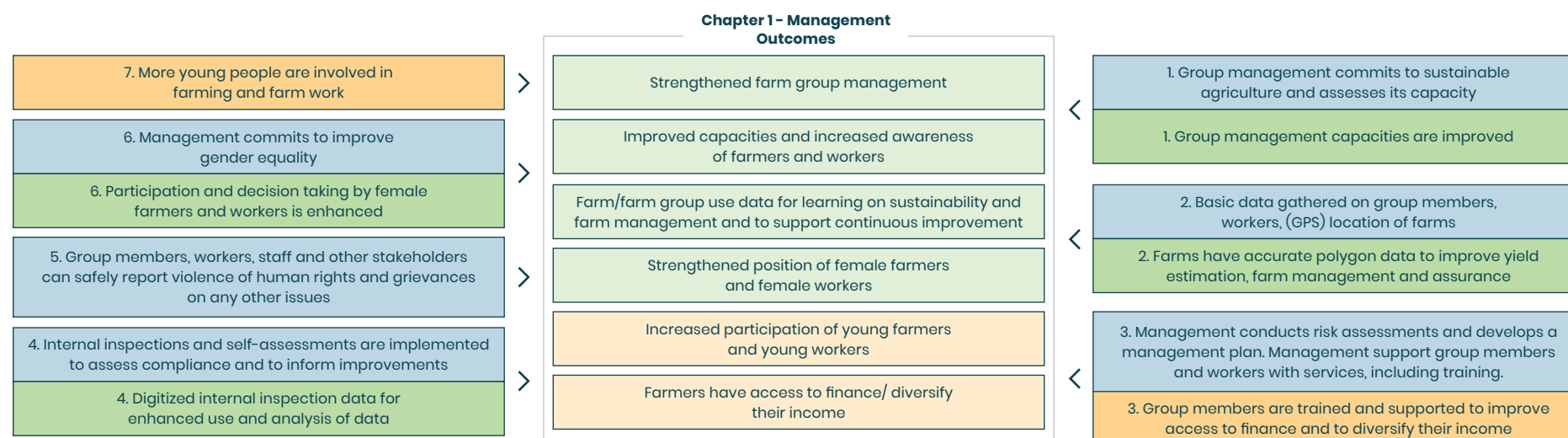
# CHAPTER 1: MANAGEMENT






Farming is not just a way of life but is also a business, and successful business needs management. The Rainforest Alliance wants to see certified farms managed in an efficient, transparent, inclusive and economically viable manner. Here, it is essential that farms and groups implement an integrated planning and management system, with processes and systems for continuous improvement. Good planning and management contribute to farm productivity and efficiency, and to reduced environmental impact. Increased efficiency in the use of land, water, fertilizers, and pesticides also supports climate change adaptation and mitigation (Climate Smart Agriculture).


To help achieve this outcome, the Management chapter includes topics related to management capacity, farm and group administration, data management, sustainability assessment and management planning. Requirements on these topics follow a process of assessment, planning, implementation, evaluation and adjustment. Based on the risk assessment, specific mitigation and adaptation practices are defined. Farm and group administrators play a key role in facilitating this planning process. This chapter also includes requirements on the collection of geolocation data to assure traceability of certified products; that they do not come from deforested area nor from protected areas in


which production is strictly forbidden. Collection of polygons provide more accurate data on farm size, which in turn can also support farm management for instance by facilitating analysis for volume estimation. Finally, this chapter includes the cross-cutting themes of gender and youth participation. The inclusion of these topics in the management chapter recognizes the fundamental importance of these issues, and that they apply to multiple dimensions of farm and group activity. Rather than requiring a certain level of gender or youth participation, the standard encourages farm-specific and context-specific targets and activities to reach member's appropriate goals.







1.1 MANAGEMENT					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.1.1	<p><u>Group management</u> demonstrates a commitment to sustainable agriculture by dedicating adequate resources and staff to the implementation of the Rainforest Alliance Sustainable Agriculture Standard.</p> <p>Group management assesses at least every three years its management capacity to ensure compliance with the standard and the ability to make sustainability performance changes. Group management uses the Management Capacity Assessment Tool that includes the following topics:</p> <ul style="list-style-type: none"> <li>• Group organization and management structure</li> <li>• Strategic management</li> <li>• Financial management</li> <li>• Member engagement and membership planning</li> <li>• Member training and services provision</li> <li>• Sales and marketing</li> <li>• Internal Management System (IMS)</li> </ul> <p>Group management scores a minimum of one point on each of the seven topics of the Management Capacity Assessment Tool.</p> <div>  <p>Please see Annex 2: Management Capacity Assessment Tool</p> </div> <div>  <p>Please see Guidance Document A: How to use the Management Capacity Assessment Tool</p> </div>			✓	
<b>No.</b>	<b>Mandatory Smart Meter</b>				
1.1.2	<p><u>Group management</u> improves its management capacities, and includes actions in the <u>Management Plan</u>.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• Scores on each of the topics of the Management Capacity Assessment Tool.</li> </ul> <div>  <p>Please see Guidance Document B: Template of Management Plan</p> </div>			✓	



1.2 ADMINISTRATION					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.1	<p>Management complies with <u>applicable laws</u> and collective bargaining agreements (CBA) within the scope of the Rainforest Alliance Sustainable Agriculture Standard.</p> <p>In the case that an applicable law or CBA is stricter than a criterion in the standard, such law or CBA will prevail unless such law has become obsolete. In the case that an applicable law or CBA is less strict than a criterion in the standard, the criterion in the standard will prevail, unless the criterion explicitly allows for such law or CBA to apply.</p>	✓	✓	✓	✓
1.2.2	Mechanisms are in place to ensure that <u>service providers</u> comply with applicable requirements of the Rainforest Alliance Sustainable Agriculture Standard.		✓	✓	✓
1.2.3	<p>There is a list of current <u>subcontractors</u> and suppliers of certified product that confirms their compliance to certification rules prior to or at the moment of an activity.</p> <p>For farms, this list of suppliers refers only to other farms they buy from.</p>		✓	✓	✓
1.2.4	<p>An up to date registry of <u>group members</u> is kept, containing for each group member (landowner or farm operator, e.g. <u>sharecropper</u>):</p> <ul style="list-style-type: none"> <li>• Full name</li> <li>• National ID Number</li> <li>• Group member identification number</li> <li>• <u>Gender</u></li> <li>• Year of birth</li> <li>• Location</li> <li>• Phone number</li> <li>• <u>Household</u> size</li> <li>• GPS point of the largest <u>farm unit</u></li> <li>• Number of farm units</li> <li>• Total farm area</li> <li>• Certified crop area</li> <li>• Previous year's total harvest of certified crop</li> <li>• Previous year 's harvest of certified crop delivered to the group</li> <li>• Present year's total harvest estimation of certified crop</li> <li>• Number of <u>permanent workers</u></li> <li>• Estimated number of <u>temporary workers</u> per year</li> <li>• Participation in other certification programs</li> <li>• The first year of certification</li> </ul> <p> Please see Guidance Document C: Group Member Registry</p>			✓	


No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.5	<p>An up to date list of permanent and <u>temporary workers</u> is kept, containing for each <u>worker</u>:</p> <ul style="list-style-type: none"> <li>• Full name</li> <li>• <u>Gender</u></li> <li>• Year of birth</li> <li>• Start and end date(s) of employment</li> <li>• Wages</li> </ul> <p>For workers for whom <u>housing</u> is provided, the registry additionally contains:</p> <ul style="list-style-type: none"> <li>• Housing address</li> <li>• Number of family members</li> <li>• Year of birth of family members</li> </ul> <p>For <u>young workers</u> (15 – 17 years), the registry additionally contains:</p> <ul style="list-style-type: none"> <li>• <u>Housing</u> address</li> <li>• Name and address of parent(s) or legal guardian(s)</li> <li>• School registration (if applicable)</li> <li>• Type of work or tasks</li> <li>• The number of daily and weekly working hours</li> </ul> <div>  <i>Please see Guidance Document D: Worker Registration</i> </div>	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
1.2.6	<p>An up to date list of <u>permanent</u> and <u>temporary workers</u> is kept, containing for each <u>worker</u>:</p> <ul style="list-style-type: none"> <li>• Full name</li> <li>• <u>Gender</u></li> <li>• Year of birth</li> <li>• Wages</li> </ul> <p>Illiterate <u>group members</u> can give the above information orally.</p>	✓			
1.2.7	Management ensures that wherever the Rainforest Alliance Sustainable Agriculture Standard requires to inform <u>workers</u> or <u>group members</u> , the information is given in the predominant language(s) of the workers or group members.		✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.2.8	<p>A signed (or marked) agreement is in place between the group and each group member, 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 certified 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> </ul> <p>Each group member understands the agreement. Agreements are centrally archived and a copy is available for each group member.</p>			✓	
1.2.9	Records for certification purposes and compliance are kept for at least four years.	✓	✓	✓	✓
1.2.10	<p>An up to date map of the farm (large farms) or the farm area (group of <u>small farms</u>) is available, including:</p> <ul style="list-style-type: none"> <li>• Farms/ farm units / production zones</li> <li>• Processing facilities</li> <li>• Human habitation areas</li> <li>• Schools</li> <li>• Medical centers/first aid sites</li> <li>• <u>Natural ecosystems</u>, including water bodies and <u>forests</u>, and other existing <u>natural vegetation</u></li> <li>• <u>Riparian buffer zones</u></li> <li>• <u>Agroforestry</u> shade cover</li> <li>• <u>Protected areas</u></li> </ul> <p>The map also includes <u>risk</u> areas identified in the <u>Farm risk assessment</u> (see 1.3.1). The date of the latest update is displayed on the map.</p>  Please see Guidance Document E: Maps		✓	✓	✓
1.2.11	<p>A sketch of the farm is available, including:</p> <ul style="list-style-type: none"> <li>• The production area of certified crop</li> <li>• Forests</li> <li>• Water bodies</li> <li>• Buildings</li> </ul>	✓			
1.2.12	<p>Geolocation data is available for 100% of the farms. At least 10% is in the form of <u>polygons</u>. In the case of a farm with multiple <u>farm units</u>, the geolocation is provided for the largest farm unit with the certified crop.</p>  Please see Guidance Document F: GPS and Polygons			✓	
1.2.13	A <u>polygon</u> is available of the farm, including all <u>farm units</u> .		✓		✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Mandatory Improvement				
<b>1.2.14</b> <b>L1</b>	<p><u>Geolocation</u> data is available for 100% of all <u>farm units</u>. At least 30% is in the form of <u>polygons</u>.</p> <p>Yearly progress on the indicators needs to be shown, corresponding to the target to reach at the end of year three.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• % of farm units with geolocation data</li> <li>• % of farm units with polygons</li> </ul>			✓	
<b>1.2.15</b> <b>L2</b>	<p><u>Polygons</u> are available for 100% of the <u>farm units</u>.</p> <p>Yearly progress on the indicators needs to be shown, corresponding to the target to reach at the end of year six.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• % of farm units with geolocation data</li> <li>• % of farm units with polygons</li> </ul>			✓	

### 1.3 RISK ASSESSMENT AND MANAGEMENT PLAN

No.	Core requirements	Applicable to			
		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.3.1	<p>Management conducts a <u>risk assessment</u> in relation to the requirements in this standard, by using the Farm Risk Assessment Tool, at least every three years.</p>  <p><i>Please see Annex 3: Farm Risk Assessment Tool</i></p>		✓	✓	✓
1.3.2	<p>Management makes a <u>Management Plan</u> that includes the goals and actions based on the Farm Risk Assessment (1.3.1) and self-assessment (1.4.4). For groups, the Management Plan is additionally based on the Management Capacity Assessment Tool (1.1.1) and internal inspection (1.4.1).</p> <p>The Management Plan is updated yearly.</p>  <p><i>Please see Guidance Document B: Template of Management Plan</i></p>		✓	✓	✓
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> <ul style="list-style-type: none"> <li>• # of training activities provided to members</li> <li>• Topics of the training activities</li> <li>• # and % of members attending training activities (M/F)</li> <li>• # and type of services (other than training) provided to members</li> </ul>			✓	
1.3.4	<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> <ul style="list-style-type: none"> <li>• # of training activities provided to workers</li> <li>• Topics of the training activities</li> <li>• # and % of workers attending training activities (M/F)</li> <li>• # and type of services (other than training) provided to workers</li> </ul>		✓		✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
<b>No.</b>	<b>Self-Selected Improvement</b>				
<b>1.3.5</b>	<p>Based on the outcomes of the basic Farm Risk Assessment (1.3.1), Management carries out the in-depth climate change in-depth Farm Risk Assessment to assess in more detail climate threats and corresponding mitigation measures tailored to the regional context.</p>  <i>Please see Annex 3: Farm Risk Assessment Tool</i>		✓	✓	✓
<b>1.3.6</b>	<p>Management supports group members with</p> <ul style="list-style-type: none"> <li>• Training on finance, business management and understanding production costs and net income</li> <li>• Facilitating access to financial services (e.g., bank account, mobile payment, loans for farm investments)</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• # of group members attending training on finance and business management (M/F)</li> <li>• # of group members that have access to financial services (M/F)</li> </ul>			✓	
<b>1.3.7</b>	<p>Management supports <u>group members</u>:</p> <ul style="list-style-type: none"> <li>• To make informed decisions on adequate income diversification strategies</li> <li>• Facilitating access to needed knowledge, inputs, services, markets to enable the implementation of the income diversification strategies</li> <li>• Extending support to the <u>household</u> and/or <u>community</u></li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• # and <u>gender</u> of group members that diversify their income through at least one of the following: <ul style="list-style-type: none"> <li>• other income generating activity (specified per type)</li> <li>• upgrading of the product (e.g. wet processing)</li> </ul> </li> </ul>			✓	


## 1.4 INTERNAL INSPECTION AND SELF-ASSESSMENT




No.	Core requirements	Applicable to			
		Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.4.1	<p>An internal inspection system is in place to assess compliance of <u>group members</u> (for farms) and <u>sites</u> (for supply chain actors) with the Rainforest Alliance Sustainable Agriculture Standard. The system includes:</p> <ul style="list-style-type: none"> <li>Yearly inspection of each group member/site</li> <li>Scope in the first year of certification of a group member/site is: all requirements of the Rainforest Alliance standard</li> <li>Scope during consecutive years: based on <u>risk assessment</u>, on the previous year's internal inspection and on audit results</li> </ul> <p>For Farm scope only:</p> <ul style="list-style-type: none"> <li>A <u>rotation</u> system so that each <u>farm unit</u> is inspected at least every 3 years. In case of remote farm units, this is done at least every 6 years</li> </ul>			✓	
1.4.2	<p>The ratio between the number of internal inspectors and <u>farms</u> has to be at least one internal inspector to 250 farms. An internal inspector cannot inspect more than 6 farms per day.</p> <p>Internal inspectors have been trained, evaluated based on the training content, and have acquired skills on good internal inspection practices.</p>			✓	
1.4.3	<p>An approval and sanction system is in place in relation to the compliance of <u>group members</u> / <u>sites</u> with the Rainforest Alliance Sustainable Agriculture Standard. The system includes:</p> <ul style="list-style-type: none"> <li>A written approval and sanction procedure</li> <li>An approval and sanction manager or committee</li> <li>A mechanism to follow up on group members' improvement and corrective measures</li> <li>A decision on each group member's/site's certification status that is signed and documented and included in the final internal inspection report</li> </ul>			✓	
1.4.4	<p>Management yearly carries out a <u>self-assessment</u> to evaluate the compliance with the Rainforest Alliance Agricultural Standard.</p> <p>For groups, the self-assessment includes the internal inspections of the group members and the self-assessment of the group management against the applicable requirements.</p> <p>The self-assessment is made available to the external auditor.</p>			✓	✓



No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Mandatory Improvement				
<b>1.4.5</b> <b>L1</b>	Internal inspection data is collected through a device (e.g. phone, tablet, etc.), and used in a <u>digitized</u> format for at least 30% of the <u>group members</u> .  <b>Indicator:</b> <ul style="list-style-type: none"><li>• % of group members whose internal inspection data are collected and used by the <u>group management</u> in a digitized format.</li></ul>			✓	
<b>1.4.6</b> <b>L2</b>	Internal inspection data is collected through a device (e.g. phone, tablet, etc.), and used in a <u>digitized</u> format for at least 90% of the group members.  <b>Indicator:</b> <ul style="list-style-type: none"><li>• % of group members whose internal inspection data are collected and used by the <u>group management</u> in a digitized format.</li></ul>			✓	

## 1.5 GRIEVANCE MECHANISM

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.5.1	<p>A <u>grievance mechanism</u> is in place that enables individuals, workers, communities and/or civil society, including whistle-blowers to raise their complaints of being negatively affected by specific business activities and/or operations of any nature, including technical, social, or economic nature. The grievance mechanism may be provided directly through collaboration with other companies, or through an industry program or institutionalized mechanism and in accordance with the UNGPs. The grievance mechanism should be accessible, in local languages and also for those who cannot read or do not have access to internet. The grievance mechanism should include at least the following elements:</p> <ul style="list-style-type: none"> <li>• A grievance committee with decision making power, with knowledge about the <u>grievances</u>, that is impartial, accessible, and <u>gender</u> sensitive</li> <li>• Grievance committee is formed by at least one member/<u>worker representative</u></li> <li>• The grievance mechanism has appropriate submission channels, for internal and external stakeholders, including workers, members, staff, buyers, suppliers, <u>indigenous peoples</u> and <u>communities</u></li> <li>• Anonymous grievances are accepted and <u>confidentiality</u> is respected</li> <li>• Human and labor rights grievances are <u>remediated</u> in accordance with the Remediation Protocol, and collaboration with the <u>Assess-and-Address</u> Committee and/or the Gender Committee/Person as appropriate, depending on the case</li> <li>• Grievances and agreed follow up actions are documented, and shared with the persons involved within a reasonable timeframe</li> <li>• Submitters of grievances are protected against employment/membership termination, retribution or threats as a consequence of utilizing the grievance mechanism</li> </ul> <p>Assess-and-Address Committee: see 5.1.1 Gender Committee/Person: see 1.6.1</p> <p> Please see Annex 4: Remediation Protocol</p>		✓	✓	✓

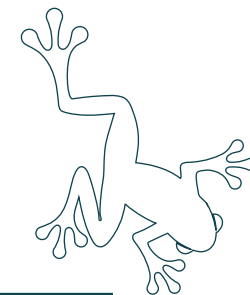
1.6 GENDER EQUALITY					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.6.1	<p>Management commits to promoting <u>gender equality</u> by:</p> <ul style="list-style-type: none"> <li>A written statement that is communicated to <u>group members/workers</u></li> <li>Appointing a committee that is responsible for the implementation, monitoring, and evaluation of measures that promote gender equality and women's empowerment. Management can choose to appoint a responsible person instead of a committee, except in the case of large farms</li> </ul> <p>The responsible committee/person:</p> <ul style="list-style-type: none"> <li>Is knowledgeable about gender equality and women's empowerment</li> <li>In case of a committee, includes at least one woman and at least one person from management</li> <li>Is known, accessible and trusted by the group members/workers</li> </ul> <p> <i>Guidance Document G: Gender Equality</i></p>		✓	✓	✓
1.6.2	<p>The responsible committee/person performs the following activities:</p> <ul style="list-style-type: none"> <li>Implements <u>gender equality</u> mitigation measures following the basic <u>Farm Risk Assessment</u> or the Supply Chain Risk Assessment and includes these measures in the <u>Management Plan</u></li> <li>Raises awareness on gender equality and women's empowerment with management and (group) staff at least annually</li> <li>Is involved in remediation cases concerning gender-based violence and gender based <u>discrimination</u> in accordance with the Remediation Protocol</li> </ul> <p>Farm scope: Risk Assessment: see 1.3.1 Management Plan: see 1.3.2 Supply Chain scope: Management Plan: see 1.1.3</p> <p> <i>Please see Annex 3: Farm Risk Assessment Tool</i></p> <p> <i>Please see Annex 4: Remediation Protocol</i></p>		✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Mandatory Smart Meter				
1.6.3	<p>From year one onwards, the responsible committee/person:</p> <ul style="list-style-type: none"> <li>• Implements the <u>gender in-depth Farm Risk Assessment Tool</u> and repeats this at least every three years</li> <li>• Prioritizes at least three indicators from the gender in-depth Farm Risk Assessment Tool with their respective mitigation measures</li> <li>• Incorporates the prioritized mitigation measures in the <u>Management Plan</u></li> <li>• Implements, monitors, and reports yearly to management on the mitigation measures and the indicators</li> </ul> <div>  <i>Please see Annex 3: Farm Risk Assessment Tool</i> </div>		✓	✓	✓

## 1.7 YOUNG FARMERS AND WORKERS

No.	Self-Selected Smart Meter	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
1.7.1	<p>Management promotes the participation and development of young persons (&lt; 35 years) in farming and management activities.</p> <ul style="list-style-type: none"> <li>• It motivates their involvement in farming activities</li> <li>• It supports their skills development, including literacy and numeracy skills</li> <li>• It encourages their participation in training and in decision making</li> <li>• It promotes them to become farmers</li> </ul> <p>Management defines targets for (a selection of) the proposed indicators and monitors yearly the progress on these targets, disaggregated by gender.</p> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• # and % of group members that are <u>young farmers</u> (under 35 years)</li> <li>• # and % of participants in training that are young persons (under 35 years)</li> <li>• # and % of young trainers (under 35 years)</li> <li>• # and % of young internal inspectors (under 35 years)</li> <li>• # and % of young farmers with access to land (under 35 years)</li> <li>• # and % of young persons (under 35 years) in management positions</li> </ul>		✓	✓	✓

# CHAPTER 2: TRACEABILITY



A successful, credible sustainable agriculture certification program must be able to provide its users with the confidence that certified products are indeed produced according to the standard. This requires a robust, transparent system to track products from the farmer along the supply chain.

The requirements in this chapter provide producers with a framework to accurately and credibly record the quantities of certified production within their operations, their segregation from non-certified products, sales transactions, conversion methods, and trademark use.


1. An accurate estimation, segregation and documentation of the production improves the market access and the traceability of the certified products




## Chapter 2 – Traceability

Improved traceability and credibility of certified products


## 2.1 TRACEABILITY

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.1.1	<p>The total certified production and the certified production for each group member (in kg, in stems for flowers) is estimated once a year. It is based on a credible methodology for yield estimation (in kg/ha, stems/ha for flowers) of a representative sample of farms or <u>farm units</u>. The methodology and calculation are documented.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>Estimated certified production volume (kg or stems)</li> </ul> <p> Please see Guidance Document H: Yield estimation</p>		✓	✓	✓
2.1.2	<p>Management takes stock annually of:</p> <ul style="list-style-type: none"> <li>The total harvested certified production (in kg, in stems for flowers)</li> <li>The balance of products purchased, produced, sold and in stock</li> </ul> <p>In case the difference between estimated production and actual production is &gt;15 %, a reasonable justification is given, and measures are taken to prevent such differences to occur. For groups, the differences is checked and justified both on the group level and for the individual members.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>Total harvested production of the certified crop (kg or stems)</li> </ul>	✓	✓	✓	✓
2.1.3	Certified products are visually segregated from non-certified products at all stages, including transport, storage and processing.			✓	✓


No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.1.4	Management has mapped the product flow from the <u>group members</u> (for farms)/ <u>sites</u> (for supply chain actors) up to the final location of the certificate scope, including all intermediaries (collection points, transport, processing units, warehouses, etc.) and activities carried out on the product.			✓	
2.1.5	<p>Products that the group sells as certified can be traced back to the certified farm(s) where these were produced.</p> <p>Group management ensures that group members receive a receipt for each delivery from the group member to the group or an <u>intermediary</u>, specifying name of group member, group member ID, date, product type and volume.</p> <p>Group management keeps purchase and sales documents linked to physical deliveries from the certified, multi-certified and non-certified products, and group management ensures that all intermediaries do the same. The purchase and sale documents include the group member, date, product type, (percentage of) certified volume and, if relevant, traceability level.</p>			✓	
2.1.6	There is no double selling of volumes; products sold as conventional product or sold under another scheme or sustainability initiative are not also sold as Rainforest Alliance Certified.			✓	✓
2.1.7	<u>Group members</u> keep sales receipts, including name of group member, group member ID, date, product type, and volume.	✓	✓		
2.1.8	<p>The correct methodology for the calculation of <u>conversion</u> factors is demonstrated and documented for each certified product.</p> <p> Please see Annex 6: Traceability and Shared Responsibility</p>		✓	✓	✓
2.1.9	Equipment used to define the weight or volume of the certified product is calibrated annually.		✓	✓	✓



## 2.2 TRACEABILITY IN THE ONLINE PLATFORM

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.2.1	<p>Sales transactions of certified products are recorded in the Rainforest Alliance <a href="#">traceability platform</a> at the latest two weeks after the end of the quarter within which the shipment took place.</p> <p> Please see Annex 6: Traceability and Shared Responsibility</p>			✓	✓
2.2.2	<p>Total sales of certified products do not exceed the total production (where applicable), purchase of certified products plus remaining stock balance from the previous year.</p>			✓	✓
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.</p> <p> Please see Annex 6: Traceability and Shared Responsibility</p>			✓	✓
2.2.4	<p>In case of public facing trademark use, an approval is obtained in accordance with the Rainforest Alliance 2020 Labelling &amp; Trademarks Policy for on- and off product trademarks prior to use.</p>			✓	✓

### 2.3 MASS BALANCE Applicable to farms producing crops for which mass balance is permitted. Please see Annex 6: Traceability and Shared Responsibility

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.3.1	Volume <u>credits</u> are only converted for a process that can occur in reality, product conversion cannot go backwards to a previous product.			✓	✓
2.3.2	The volume of product sold as <u>mass balance</u> is 100% covered by volumes purchased as certified.			✓	✓
2.3.3	Purchase and sales documentation for products sold as certified includes origin information to country level for certified and non-certified product inputs.			✓	✓
2.3.4	Products sold as certified shall meet the minimum percentage requirements for origin information as per crop specific annexes.  <i>Please see Annex 6: Traceability and Shared Responsibility</i>			✓	✓
2.3.6	A process is in place to ensure that sales of certified product exceeding purchases are covered with sufficient purchases of certified input within two weeks after the end of the quarter in which certified volume balance was exceeded.			✓	✓

# CHAPTER 3:

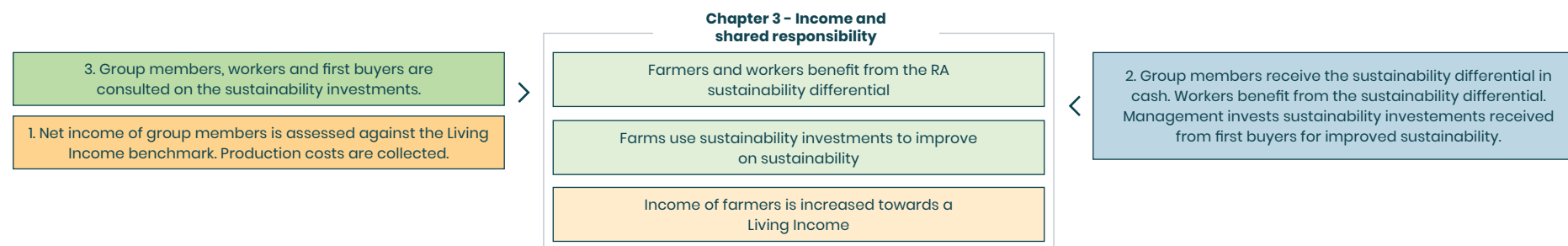
## INCOME AND SHARED RESPONSIBILITY




The Rainforest Alliance aims to make sustainability the norm in the sectors in which it operates. This entails a fundamental transformation of the operating principles of the supply chain in the given sector – moving to a system where sustainability in agricultural production is valued and priced as a material service over and above the cost of the commodity and the investments needed to advance sustainability practices at origin are borne by market and producer.

These aims can be found within two elements of the 2020 Sustainable Agriculture Standard. The first is the Sustainability Differential, a mandatory cash payment paid to producers over and above the market price for the sale of certified crop. The second is Sustainability Investments which are made by market actors to contribute to the investments needed to drive sustainability progress at origin.

This chapter starts with two self-selected requirements on production costs and living income to enhance the profitability and income of farmers. The concept of living income recognizes the goal that farmers are able to improve their business profitability and at least earn an income to allow their families and households to have a decent standard of living.




### 3.1 PRODUCTION COSTS AND LIVING INCOME

No.	Self-Selected Improvement	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
3.1.1	<p><u>Group management</u> collects data on the key determinants of the production costs (e.g. costs of <u>fertilizer</u>, <u>agrochemicals</u>, paid labor, equipment) and calculates the net income from the certified crop for a sample of group members (i.e. gross income – production costs = net income). The group management shares the analyzed data with the group members.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>Production costs per kg of harvested product</li> </ul>			✓	
3.1.2	<p>The total net income for group member <u>households</u> is assessed against the <u>Living Income</u> Benchmark. The assessment is done by using the Living Income Tool.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>The total net income as assessed against the Living Income Benchmark</li> </ul> <p> Please see Annex 5: Living Income Tool and Methodology</p>			✓	

## 3.2 SUSTAINABILITY DIFFERENTIAL

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
3.2.1	<p><u>Group management</u> transfers the full amount of the Rainforest Alliance <u>Sustainability Differential</u> in cash or monetary payment to group members:</p> <ul style="list-style-type: none"> <li>• Pro-rata, based on volumes delivered</li> <li>• In a timely and convenient manner, at least before the next crop season, or at least once a year in case of continuous harvest</li> </ul> <p><u>Group management</u> at least annually:</p> <ul style="list-style-type: none"> <li>• Documents prices paid by individual first buyers, and the Rainforest Alliance Sustainability Differential received per MT (per individual first buyer, not including other premiums, such as quality premiums or crop and country specific premiums such as the Living Income Differential)</li> <li>• Communicates to group members the price and Sustainability Differential received for the certified crop</li> <li>• Documents the payment of the Rainforest Alliance sustainability differential to the group members</li> </ul> <p><b>Indicators:</b> Amount of Rainforest Alliance Sustainability Differential received:</p> <ul style="list-style-type: none"> <li>• Total amount received at group management level</li> <li>• Amount received per kg at group member level</li> </ul>			✓	
3.2.2	<p><u>Farm management</u> uses the Rainforest Alliance <u>Sustainability Differential</u> to benefit workers. Farm management consults with a representation of workers on sustainability priorities and the allocation of the sustainability differential.</p> <p>Farm management documents at least annually:</p> <ul style="list-style-type: none"> <li>• The Rainforest Alliance <u>Sustainability Differential</u> received per MT (per individual first buyer, not including other premiums, such as quality premiums)</li> <li>• How the Sustainability Differential has been spent according to the categories: wages, working conditions, <u>health and safety</u>, <u>housing</u>, other</li> </ul> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• Amount of Rainforest Alliance Sustainability Differential received (total amount received, and per MT)</li> <li>• Distribution of the Sustainability Differential as % of the total amount received on the topics: a) wages; b) working conditions; c) health and safety; d) housing; e) other (to be specified)</li> </ul>		✓		✓

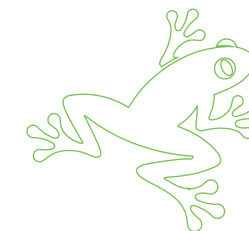
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
Applicable to farms and supply chain actors if purchasing certified product from other farms.					
3.2.3	The buyer of certified products ensures that the seller receives the <u>Sustainability Differential</u> in the form of a cash payment on top of the market price, quality premiums or other differentials.			✓	✓
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.  Please see Annex 6: Traceability and Shared Responsibility			✓	✓
3.2.5	The Sustainability Differential is paid within 3 months after change of physical ownership from farm certificate holder to the first buyer.			✓	✓
3.2.6	Sustainability Differential payments are recorded in the <u>traceability platform</u> once per quarter.			✓	✓
3.2.7	The Sustainability Differential paid amounts to at least the prescribed minimum.			✓	✓

### 3.3 SUSTAINABILITY INVESTMENTS

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
<b>3.3.1</b>	<p>Management defines the investments needed to improve sustainability in an <u>investment plan</u>.</p> <p>The management uses the following sources to inform their investment needs:</p> <ul style="list-style-type: none"> <li>• Audit reports (NCs and improvement areas)</li> <li>• <u>Self-assessments</u></li> <li>• <u>Internal inspections</u></li> <li>• <u>Management Plan</u></li> </ul> <p>Management documents the in-kind and cash 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: In-kind and cash contributions received per investment category</li> </ul> <p> Please see Annex 6: Traceability and Shared Responsibility</p>		✓	✓	✓
<b>No.</b>	<b>Mandatory Improvement</b>				
<b>3.3.2</b> <b>L1</b>	<u>Group management</u> consults yearly with a representation of <u>group members</u> to jointly define the contents of the <u>investment plan</u> . Group management consults yearly with first buyers on the contents of the investment plan and their contributions to this plan.			✓	
<b>3.3.3</b> <b>L1</b>	<u>Farm management</u> consults yearly with a representation of <u>workers</u> to jointly define the contents of the <u>investment plan</u> . Farm management consults yearly with <u>first buyers</u> on the contents of the investment plan and their contributions to this plan.				✓

# CHAPTER 4:

## FARMING



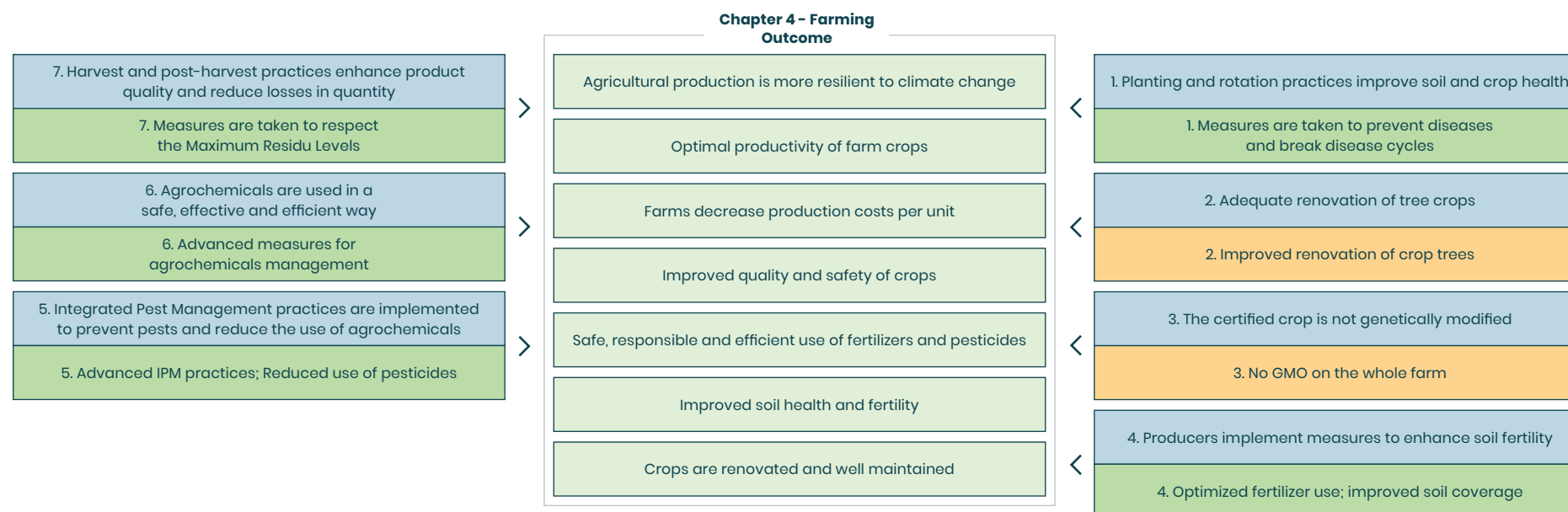
This chapter focuses on the outcomes of sustainable agriculture, crop productivity and profitability, and natural resources and ecosystem services. Included amongst these outcomes are the goals of Climate Smart Agriculture and food security: farms and groups mitigate and adapt to climate change and increase their resiliency by implementing sustainable practices and diversifying when possible.

The topics in the farming practices chapter work together to achieve these outcomes. Agronomic activities related to sustainable production practices, soil fertility and conservation, integrated


pest management, and safe agrochemicals management support the outcome of sustainable productivity and profitability, as well as natural resource conservation and ecosystem services. Here the requirements encourage locally-relevant and context-specific practices to ensure that inputs and natural resources are used efficiently, natural cycles are optimized to increase climate change resilience, soil fertility and health is enhanced, pollinators are attracted, water retention and management is improved, pesticides are minimized, and further negative effects on the environment are reduced.


Finally, crop profitability is supported by post-harvest practices, where farms and groups achieve improved crop quality to meet market demand.

Implementation of criteria in this chapter forms part of the foundation of a broader set of sustainable agriculture activities, so when combined with other field, market, and advocacy interventions, can support impacts at the sectoral and regional level.






4.1 PLANTING AND ROTATION					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.1.1	<p>Plant varieties for planting, grafting and <u>renovation</u> are selected based on quality, <u>productivity</u>, resistance to <u>pests</u> and diseases and on suitability for the climate during the lifetime of the plants. This is done as per the findings of the <u>Farm Risk Assessment</u> (1.3.5) regarding climate if this is carried out.</p> <p>Planting materials are free of pests and diseases.</p>	✓	✓	✓	✓
4.1.2	<p>New plantings have a well-established cropping system which takes into account e.g.</p> <ul style="list-style-type: none"> <li>• Requirements of the variety used</li> <li>• Geographical, ecological and agronomic conditions</li> <li>• Diversification and intercropping crops with different rooting depths and soil uses to enhance soil quality and health</li> <li>• Planting density</li> </ul>	✓	✓		✓
No.	Mandatory Improvement				
4.1.3 LI	<p>Producers implement measures to prevent pests and diseases and to break their biological cycles, to support soil health and to improve weed management. Such measures can include intercropping, and measures taken in between crop cycles, such as crop <u>rotation</u> or leaving the land fallow.</p> <div>  <i>Please see Guidance Document I: IPM Strategy</i> </div>	✓	✓		✓


4.2 PRUNING AND RENOVATION OF TREE CROPS					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.2.1	<p>Management implements a <u>pruning</u> cycle for adequate formation, maintenance and <u>rejuvenation</u> pruning according to crop needs, agro-ecological conditions and applicable pruning guidelines.</p> <p>Group management supports group members to implement this <u>pruning</u> cycle.</p> <div>  <i>Please see Guidance Document J: Pruning</i> </div>		✓	✓	✓
<b>No.</b>	<b>Mandatory Smart Meter</b>				
4.2.2	<p>Producers carry out <u>pruning</u> according to the requirement in 4.2.1</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>% of <u>group members</u> that adequately prune according to crop needs, agro-ecological conditions and applicable pruning guidelines</li> </ul>	✓			
<b>No.</b>	<b>Self-selected Smart Meter</b>				
4.2.3	<p>Producers renovate the certified crop when needed according to age, disease or other causes, to maintain productivity. This includes replanting production area, gap filling and grafting.</p> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>For small farms: % of group members that applied renovation practices for the certified crop</li> <li>For large farms: % of farm area with certified crops where renovation practices are implemented</li> </ul>	✓	✓	✓	✓


4.3 GENETICALLY MODIFIED ORGANISMS (GMOs)					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.3.1	The certified crop is not genetically modified (GMO).	✓	✓	✓	✓
No.	Self-selected Improvement				
4.3.2	There are no genetically modified (GMO) crops on the farm.	✓	✓	✓	✓



## 4.4 SOIL FERTILITY AND CONSERVATION

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.4.1	<p>Management conducts a <u>soil assessment</u> for a representative sample of areas, and updates this at least once every three years. The soil assessment includes, if relevant:</p> <ul style="list-style-type: none"> <li>• Erosion prone areas and slope</li> <li>• Soil structure</li> <li>• Soil depth and soil horizons</li> <li>• Densification of compaction areas</li> <li>• Soil moisture and water level in the soil</li> <li>• Drainage conditions</li> <li>• Identification of areas with visual symptoms of nutrient deficiency</li> </ul>		✓	✓	✓
4.4.2	<p>Based on the <u>soil assessment</u>, management identifies soil management measures and includes these in the <u>Management Plan</u> to build up soil organic matter, increase on-farm nutrient recycling, and optimize soil moisture.</p>  <p><i>Please see Guidance Document K: Soil Matrix</i></p>		✓	✓	✓
4.4.3	<p>Management carries out regular soil tests and/or (visual) leaf tests, including macronutrients and organic matter, for a representative sample of areas. For perennial crops this is done at least once every three years and for annual crops at least once per year.</p>		✓	✓	✓
4.4.4	<p>Producers use organic <u>fertilizers</u> and by-products available at farm level first, and supplement by inorganic fertilizer if nutrients are still lacking.</p> <p>To minimize risk, animal manure is hot <u>composted</u> before use as a fertilizer. Producers store animal manure and compost at least 25 meters away from any water body.</p>	✓	✓		✓


No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Mandatory Improvement				
4.4.5 LI	The soil of the production area is not left exposed, it is protected by measures such as cover crops, crop residues or mulch.	✓	✓		✓
4.4.6 LI	Fertilizers are applied in such a way that nutrients become available when and where crops need them, and contamination of the environment is minimized.	✓	✓		✓
No.	Mandatory Smart Meter				
4.4.7	Producers monitor and optimize the use of inorganic fertilizers.  <b>Indicator:</b> • Volume of N, P and K per ha (kg/ha, per year or per cropping cycle)  In groups of small farms, the indicator can be monitored for a representative sample of farms.	✓	✓		✓

4.5 INTEGRATED PEST MANAGEMENT (IPM)					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.5.1	<p>Management implements the <u>IPM strategy</u> as developed by a <u>competent professional</u> and implements relevant Rainforest Alliance IPM policies. The IPM strategy includes the prevention, monitoring and intervention measures for the scope of the whole farm, including processing facilities. The IPM strategy is based on climate conditions, pest monitoring results, implemented IPM actions and <u>pesticides</u> application records. The IPM strategy is annually updated.</p> <p> Please see Guidance Document I: IPM Strategy</p>		✓	✓	✓
4.5.2	<p>Producers regularly monitor <u>pests</u> and their principal <u>natural enemies</u>.</p> <p>Records of the monitoring are kept by large farms and by group management for a representative sample of producers. Records include date, location, type of pest and or beneficial insects.</p>	✓	✓	✓	✓
4.5.3	<p>When threshold levels of <u>pests</u> are reached, producers firstly try biological, physical, and other non-chemical control methods, and document this. When such methods are proven not to be effective, producers can do <u>agrochemical</u> applications, as advised by a <u>competent technician</u> and/or upon the advice or instruction by an official national organization.</p> <p>When agrochemicals are used:</p> <ul style="list-style-type: none"> <li>• Agrochemicals with the lowest possible toxicity and highest selectiveness are used</li> <li>• Applications are made only on the impacted plants and areas</li> <li>• <u>Active ingredients</u> are rotated to avoid and reduce resistance</li> <li>• Calendar spraying is avoided, and only allowed when recommended by a competent technician or official national organization</li> </ul>	✓	✓		✓
4.5.4	Producers and <u>workers</u> that are involved in <u>pest</u> management activities are trained about the <u>IPM</u> strategy.	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Mandatory Improvement				
4.5.5 LI	Producers have implemented the <u>IPM</u> strategy.	✓	✓		✓
4.5.6 LI	Producers enhance <u>natural ecosystems</u> near crop production areas to increase habitat for <u>natural enemies</u> . Examples are: insectaries, planting bird/bat/pollinator attracting trees and shrubs, converting low-lying areas to small ponds with vegetation and enhancing riparian areas and vegetation.	✓	✓	✓	✓
No.	Mandatory Smart Meter				
4.5.7	<p>Producers monitor and reduce the use of <u>pesticides</u>.</p> <p><b>Indicator</b></p> <ul style="list-style-type: none"><li>• <u>Active ingredients</u> per ha (a.i. kg/ha, per year or per cropping cycle)</li><li>• Active ingredients used that are listed in the Exceptional Use list and Risk Mitigation list</li></ul> <p>In groups of small farms, the indicator can be monitored for a representative sample of farms.</p> <div> <i>Please see Annex 7: Pesticides Management</i></div>	✓	✓	✓	✓








4.6 AGROCHEMICALS MANAGEMENT					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.6.1	<p>No <u>agrochemicals</u> are used that are:</p> <ul style="list-style-type: none"> <li>• On the Rainforest Alliance Prohibited List</li> <li>• Prohibited by <u>applicable law</u></li> <li>• Not legally registered in the country where the farm is located</li> </ul> <p>Producers use only agrochemicals sold by authorized vendors, in original and sealed packaging.</p> <p>Applicable to <u>group management</u> in case the group management has a purchasing task.</p> <p> Please see Annex 7: Pesticides Management</p>	✓	✓	✓	✓
4.6.2	<p>If producers use pesticides included on the Risk Mitigation list, all respective risk mitigation practices, as described in Annex 7, Pesticides Management, are implemented.</p> <p> Please see Annex 7: Pesticides Management</p>	✓	✓	✓	✓
4.6.3	<p>Persons handling <u>pesticides</u> are skilled in the preparation and application of pesticides, and receive annual training. Persons handling pesticides use the <u>Personal Protective Equipment (PPE)</u> as prescribed in the product's label or <u>Material Safety Data Sheet (MSDS)</u>. If there is no information, <u>basic protective clothing</u> with additional items are worn according to the potential risk and as recommended by a <u>competent technician</u>. The PPE is in good condition. Directly after use, PPE is washed and stored safely and does not enter the <u>workers' housing</u>. Single-use items are disposed of after one use.</p> <p>PPE is provided to workers free of charge.</p> <p><u>Farm/group management</u> has a system to record, monitor and enforce the use of PPE.</p>	✓	✓	✓	✓
4.6.4	<p>Persons handling <u>pesticides</u> bathe, change and wash clothes after application.</p> <p><u>Management</u> provides the <u>agrochemical</u> handlers at least a site that provides privacy, water and soap, and, when feasible bathing facilities.</p>	✓	✓	✓	✓



No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.6.5	<p>Pesticides are prepared and applied according to the label, <u>MSDS</u> or security tag, or as recommended by an official national organization or a <u>competent technician</u>, especially with regards to:</p> <ul style="list-style-type: none"> <li>• Safe transport to area of application</li> <li>• Respecting the correct dosage</li> <li>• Using appropriate equipment and techniques</li> <li>• appropriate weather conditions</li> <li>• Respecting <u>restricted entry intervals (REI)</u>, including warning signs in local language and informing potentially affected persons or communities in advance</li> </ul> <p>When there is no other information, minimum restricted entry interval is 48 hours for WHO class II products and 12 hours for other products. When two or more products with different <u>restricted entry intervals</u> are used at the same time, the longest interval applies.</p> <p>Volume and dosage calculation methods are reviewed and refined to reduce the surplus mix and pesticide overuse.</p> <p><u>Pre-harvest intervals</u> of pesticides as stipulated in the product's MSDS, label or security tag or regulation by official organization are complied with. When two or more products with different pre-harvest intervals are used at the same time, the longest interval applies.</p>	✓	✓	✓	✓
4.6.6	<p>Mechanisms are established and maintained to avoid contamination by pesticides, through <u>spray drift</u> or other pathways, from treated areas to other areas including all aquatic and terrestrial <u>natural ecosystems</u> and infrastructure.</p> <p>Such mechanisms include non-crop <u>vegetative barriers</u>, <u>non-application zones</u> or other effective mechanisms.</p>	✓	✓	✓	✓
4.6.7	<p>Aerial application is only allowed under the conditions as outlined in Annex 7: Pesticides Management.</p> <p> Please see Annex 7: Pesticides Management</p>	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.6.8	<p>Pesticide applications are recorded. Records include:</p> <ul style="list-style-type: none"> <li>• Product brand name and <u>active ingredient(s)</u></li> <li>• Date and time of application</li> <li>• Location and area (size) of application</li> <li>• Dosage and volume</li> <li>• Crop</li> <li>• Name(s) of applicator(s)</li> <li>• Target <u>pest</u></li> </ul> <p><u>Group management</u> facilitates record keeping for <u>group members</u> when needed.</p>	✓	✓	✓	✓
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. The surplus mix is diluted 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. Containers may be re-used only for the original contents and only when labelled accordingly.</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>	✓	✓	✓	✓
4.6.10	<p><u>Agrochemicals</u> and application equipment are stored in accordance with the label instructions and in a way that minimizes negative impact on the environment and human health. Agrochemicals are stored in their original containers or packaging.</p> <p>Facilities for storing agrochemicals and application equipment are:</p> <ul style="list-style-type: none"> <li>• Dry, clean, well-ventilated</li> <li>• Made from non-absorbent material</li> <li>• Safely locked and accessible only by trained handlers</li> <li>• Not accessible to <u>children</u></li> <li>• Separated from crop, food products, and packaging materials</li> </ul>	✓			

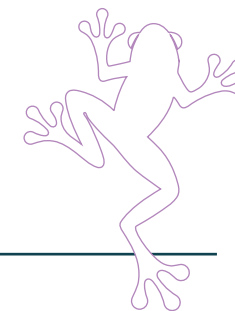
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.6.11	<p>Agrochemicals and application equipment are stored in accordance with the label instructions and in a way that minimizes negative impact on the environment and human health. Agrochemicals are stored in their original containers or packaging.</p> <p>Facilities for storing agrochemicals and application equipment are:</p> <ul style="list-style-type: none"> <li>• Dry, clean, well ventilated and with a sound roof and impermeable floor</li> <li>• Safely locked and accessible only by trained handlers</li> <li>• Separated from crops, food products or packaging material</li> <li>• With an <u>emergency</u> spill kit</li> <li>• With visible and understandable safety warning signs and pictograms</li> <li>• With an emergency procedure, eye-washing area and an emergency shower</li> </ul>		✓	✓	✓
4.6.12	<p>An up-to-date <u>pesticide</u> stock inventory is available and maintained. The inventory includes:</p> <ul style="list-style-type: none"> <li>• Date of purchase</li> <li>• Product brand name and <u>active ingredient</u>, including an indication of chemicals that are on the Risk Mitigation list</li> <li>• Volume</li> <li>• Date of expiration</li> </ul> <p>For groups this is only applicable for centralized stock.</p>		✓	✓	✓
<b>No.</b>	<b>Mandatory Improvement</b>				
4.6.13 LI	The equipment for mixing and applying <u>pesticides</u> is calibrated, after each maintenance, and at least annually and before using it for a different type of pesticide.	✓	✓	✓	✓
<b>No.</b>	<b>Self-selected Improvement</b>				
4.6.14	Spraying is carried out by centralized, specialized spraying teams.			✓	

4.7 HARVEST AND POST-HARVEST PRACTICES					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
4.7.1	<p>Producers conserve and optimize quality and quantity of product during harvest and <u>post-harvest</u> handling, including: loading, processing, packing, transportation, and storage.</p> <p>This includes:</p> <ul style="list-style-type: none"><li>• Products are harvested at the right time and interval to optimize quality</li><li>• Harvesting damages to the plant are minimized for future production</li><li>• Contamination by foreign matter, cleaning products and <u>agrochemicals</u>, microbes and <u>pests</u> is prevented</li><li>• Damage due to humidity is prevented</li><li>• Products are stored in a cool, dry, well ventilated and dark place</li><li>• Maintenance and cleaning of harvest and postharvest tools, machinery and equipment</li><li>• Packaging materials are used that are suitable and approved for food products</li></ul>				
No.	Mandatory Improvement				
4.7.2 L1	<p>Producers take measures to respect the <u>maximum residue levels (MRLs)</u> set by the production country and known destination countries of the product. The measures include e.g:</p> <ul style="list-style-type: none"><li>• Strict observance of label instructions of <u>agrochemicals</u> used post-harvest</li><li>• Obtain information on the residues in the product, through own tests or information through buyers</li><li>• Actions in case MRLs are exceeded</li><li>• Communication to the buyer if MRLs are exceeded</li></ul>				

# CHAPTER 5:

## SOCIAL

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The Farm Requirements' Social chapter seeks to empower producers and workers to realize better working and living conditions for themselves and their families; to promote equality and respect for all with special attention to vulnerable groups such as migrants, children, youth and women; and to strengthen human and labor rights protections on certified farms.

Sustainable agriculture is intrinsically linked with the livelihoods of millions of producers, families, and their communities. To support sustainable livelihoods, the Rainforest Alliance Sustainable Agriculture Standard establishes requirements related to all fundamental human and labor rights, living wage, health and safety, and decent living and working conditions. Farms and groups are required to respect legal and customary rights of indigenous peoples. These requirements align with the UN Guiding Principles on Business and Human Rights (UNGPs), relevant ILO conventions, and other multi-stakeholder concepts such as living wage, developed in coordination with the Global Living Wage Coalition.

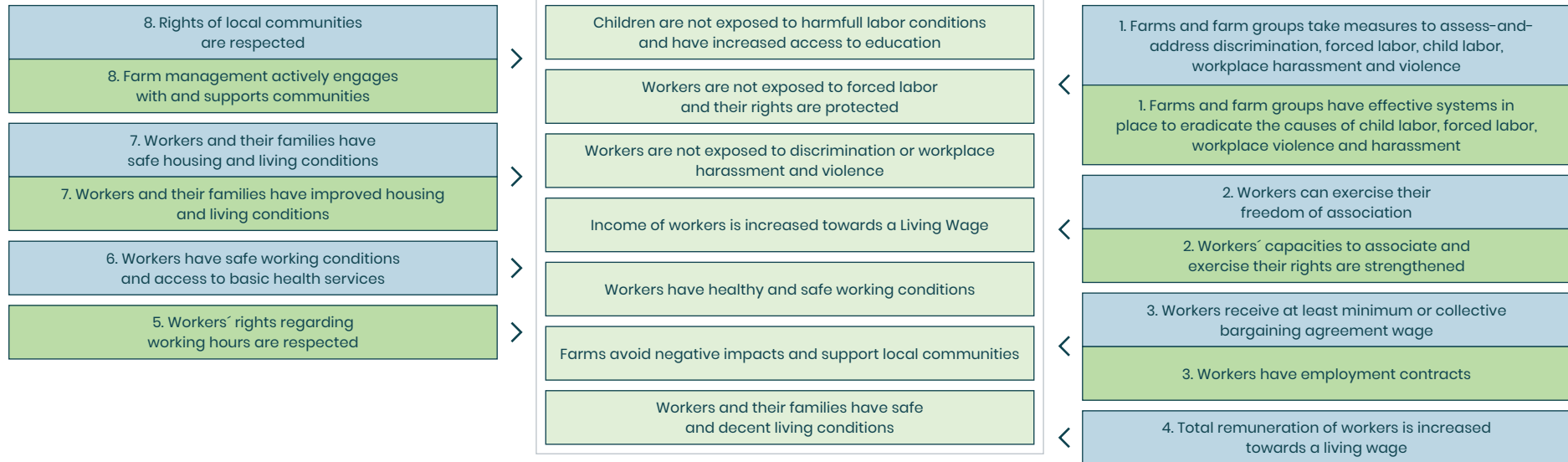
There is no place in Rainforest Alliance certified farms for human rights violations such as child labor, forced labor, discrimination or workplace violence and harassment. For these four types of violations, our certification system will adopt an

"Assess-and-Address" model, which goes much further than a simple prohibition approach in its ability to drive change. Given the high risk of such violations in some agricultural supply chains, we will require farms and groups to put a rigorous system in place, that includes doing a risk assessment and implementing related mitigation measures, conducting regular self-monitoring, and remediating any known cases of such violations. Certification Bodies have discretion to suspend and/or withdraw certificates in severe cases, including violations of applicable criminal law, as described in Certification/Auditing Rules. This approach is further detailed in criterion 5.1 and related annexes.

Furthermore, the certification system aims to enable agricultural workers and their families to achieve a decent standard of living and earn a living wage. To this end, the standard enforces respect for workers' rights to collective bargaining and freedom of association, healthy and safe living & working conditions and access to health care. Although the system aims to contribute to better wages for workers by requiring that the minimum wage is paid and that there is progress towards a living wage, the Rainforest Alliance recognizes the limitation of producers to unilaterally solve the problem of low wages. In accordance with the UN Guiding Principles on

Business and Human Rights, our approach is to bring transparency on prevailing wages in agricultural production, commit certificate holders to continuous improvement and dialogue, and encourage companies to exercise shared supply chain responsibility to prevent and mitigate adverse impacts with regard to insufficient wages.

## Chapter 5 - Social Outcome



## 5.1 ASSESS-AND-ADDRESS CHILD LABOR, FORCED LABOR, DISCRIMINATION, WORKPLACE VIOLENCE AND HARASSMENT

Child labor, forced labor, discrimination and workplace violence and harassment are not tolerated on Rainforest Alliance certified farms. The assess-and-address system requires certificate holders have specific measures in place to monitor and mitigate risks related to child labor, forced labor, discrimination, workplace violence and harassment. When cases are identified on Rainforest Alliance certified farms or on farms that apply for certification, they must be remediated. Certification Bodies have discretion to suspend and/or withdraw certificates in severe cases, as described in the Certification/Auditing Rules, including violations of applicable criminal law.


The four Core requirements must be implemented for all four issues: child labor, forced labor, discrimination and workplace violence and harassment. The Improvement requirements must be implemented for child labor and forced labor when the Rainforest Alliance has determined these issues to be medium/high risks in a particular country or sector. The improvement requirements for discrimination and workplace violence and harassment are always exclusively applicable to large farms and individually certified farms.


Child labor, forced labor, discrimination, and violence/harassment are as defined in Annex 1: Glossary. These definitions are based on relevant ILO standards, including:

- C. 138, Minimum Age Convention
- C. 182, Worst Forms of Child Labor Convention
- C. 29, Forced Labor Convention
- C. 105, Abolition of Forced Labor Convention
- C. 100, Equal Remuneration Convention
- C. 111, Discrimination (Employment and Occupation) Convention
- C. 190, Violence and Harassment Convention
- Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW)




No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.1.1	<p>Commitment:</p> <p>Management commits to <u>assess-and-address</u> child labor, forced labor, discrimination and workplace violence and harassment by:</p> <ul style="list-style-type: none"><li>Appointing a management representative who is accountable for the assess-and-address system</li><li>For large farms, individually certified farms and supply chain actors: giving a mandate to a committee comprised of the appointed management representative and <u>workers representative(s)</u> to manage the assess-and-address system The <u>worker representative(s)</u> is/are selected by workers.</li><li>For <u>group management</u>: giving a mandate to a committee comprised of the appointed management representative and a group member representative to manage the assess-and-address system. Group management can choose to appoint a management representative only instead of a committee</li></ul> <p>The committee members are:</p> <ul style="list-style-type: none"><li>Knowledgeable about child labor, forced labor, discrimination and workplace violence and harassment</li><li>Impartial, accessible and trusted by <u>workers/group members</u></li></ul> <p>Communication:</p> <ul style="list-style-type: none"><li>Management representative/committee: coordinates with management, the grievance committee and the gender person/committee</li><li>Raises awareness of these four issues with management and (group) staff at least annually;</li><li>Informs workers/group members in writing 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. This information is visibly displayed at central locations at all times</li></ul> <div> Please see Guidance Document L: assess-and-address</div>				
5.1.2	<p>Risk mitigation:</p> <p>The management representative/committee includes in the <u>Management Plan</u> the mitigation measures as identified in the basic <u>Farm Risk Assessment</u> or the <u>Supply Chain Risk Assessment</u> and implements corresponding measures.</p> <p>The basic Farm Risk Assessment is repeated at least every three years. The Supply Chain Risk Assessment is repeated annually.</p> <p>Farm Scope:</p> <ul style="list-style-type: none"><li>Management Plan: see 1.3.2</li><li>Farm Risk Assessment: see 1.3.1</li></ul> <p>Supply Chain scope:</p> <ul style="list-style-type: none"><li>Management Plan: see 1.1.3</li></ul> <div> Please see Annex 3: Farm Risk Assessment Tool</div>				



No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.1.3	<p>Monitoring:</p> <p>The management representative/ committee</p> <ul style="list-style-type: none"> <li>Monitors risks and the implementation of risk mitigation measures</li> <li>Reports potential cases of <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u> and <u>workplace violence and harassment</u> to the management and to the Grievance Committee</li> <li>Monitors <u>remediation</u> activities (see 5.1.4)</li> </ul> <p>The intensity of the monitoring system is adjusted to the risk level and the issue.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>The number of potential cases identified by the monitoring system and referred to the <u>Grievance Mechanism</u> (by <u>gender</u>, age, and type of issue)</li> </ul>		✓	✓	✓
5.1.4	<p>Remediation:</p> <p>The management representative/committee sets out in the <u>Management Plan</u> how to remediate cases of <u>child labor</u>, <u>forced labor</u>, <u>discrimination</u>, <u>workplace violence and harassment</u>. Confirmed cases are remediated and documented following the Rainforest Alliance Remediation Protocol. Safety and <u>confidentiality</u> of the victims are protected throughout the process.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>Number and percentage of confirmed child labor, forced labor, discrimination and workplace violence and harassment cases remediated per the Remediation Protocol (by <u>gender</u>, age, and type of issue)</li> </ul> <div>  <p>Please see Annex 4: Remediation Protocol</p> </div>		✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
<b>No.</b>	<b>Mandatory Improvement</b> (Applicable in case of medium/high risk for child labor and/or forced labor. Large and individually certified farms always implement the improvements for discrimination and workplace violence and harassment)				
<b>5.1.5</b> <b>L1</b>	<p>In year 1 of certification, the management representative/ committee:</p> <ul style="list-style-type: none"> <li>• Applies the assess-and-address in-depth Farm Risk Assessment</li> <li>• Includes the corresponding mitigation measures in the <u>Management Plan</u> (1.3.2)</li> <li>• Implements these measures</li> </ul> <p>The assess-and-address in-depth Farm Risk Assessment is repeated at least every three years.</p>  <p><i>Please see Annex 3: Farm Risk Assessment Tool</i></p>		✓	✓	✓
<b>5.1.6</b> <b>L1</b>	Management representative/ committee provides training/awareness raising on <u>child labor</u> , <u>forced labor</u> , <u>discrimination</u> , and <u>workplace violence and harassment</u> to all <u>group members</u> ( <u>small farms</u> ) or workers (of large farms or individually certified farms).		✓	✓	✓
<b>5.1.7</b> <b>L1</b>	Management actively encourages the school attendance of <u>children of (group) staff</u> , <u>group members</u> , and group member <u>workers</u> .			✓	
<b>No.</b>	<b>Mandatory Smart Meter</b> (Applicable in case of medium/high risk for child labor and/or forced labor. Large and individually certified farms always implement the improvements for discrimination and workplace violence and harassment)				
<b>5.1.8</b>	<p>The management assures a good functioning of the <u>assess-and-address</u> system. For this purpose, from year one onwards, a yearly assessment of the assess-and-address system for the relevant issue(s) is conducted, based on the following five elements:</p> <ul style="list-style-type: none"> <li>• Effective implementation of mitigation measures</li> <li>• Effective training on relevant assess-and-address topics</li> <li>• Effective cooperation with external actors</li> <li>• Effective monitoring of the monitor the assess-and-address system</li> <li>• Effective internal collaboration on assess-and-address topics</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• Scores on the assess-and-address system elements</li> </ul>		✓	✓	✓



5.2 FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.2.1	<p>Workers have the right to form and join a union or <u>workers' organization</u> of their own choice and to take part in collective bargaining, without prior authorization from the employer, and in accordance with national law. Workers' representatives are elected democratically among workers in regular, free elections.</p> <p>Management informs workers on these rights through a written policy in a language they understand, before the start of employment. The written policy on <u>freedom of association</u> and collective bargaining is visibly displayed at all times in the workplace.</p> <p>Where the right to freedom of association and collective bargaining is restricted under law, management does not hinder the development of parallel means for independent and free association, bargaining and dialogue with management.</p> <p><b>ILO Convention, Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)</b></p>	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.2.2	<p>Workers are not subject to <u>discrimination</u> or <u>retaliation</u> for reasons of past or present workers' organization or union membership or activities. Management does not punish, bribe or otherwise influence union members or workers' representatives. Records are kept of terminations of employment, including the reason for termination and workers' affiliation with a union or workers' organization. Management does not interfere in the internal affairs of workers' organizations and/or unions, nor in elections or duties related to membership of such organizations.</p> <p><b>ILO Convention, Right to Organise and Collective Bargaining Convention, 1949 (No. 98)</b></p>	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.2.3	<p>Management provides <u>workers' representatives</u> reasonable paid time off from work to carry out their representation functions and attend meetings.</p> <p>Where needed, management provides the worker representatives with reasonable facilities including meeting space, means of communication and <u>child care</u>.</p> <p>Management gives <u>worker organization</u> and/or trade union access to a notice board to communicate information about their activities.</p> <p>Management establishes genuine dialogue with freely chosen <u>workers' representatives</u> to collectively raise and address working conditions and terms of employment.</p> <p>Management keeps records of the minutes from meetings with worker organizations and / or trade unions.</p> <p><b>ILO Convention, Workers' Representatives Convention, 1971 (No. 135)</b></p>	Applicable in case of average ≥ 5 hired workers	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Mandatory Improvement				
5.2.4 LI	All <u>workers</u> , including management, receive once every three years information on <u>freedom of association</u> and the effective recognition of the right to collective bargaining.	Applicable in case of average ≥ 5 hired workers			

5.3 WAGES AND CONTRACTS					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
<b>5.3.1</b>	<p><u>Permanent</u> and <u>temporary workers</u> who are employed for more than three consecutive months have a written <u>employment contract</u> signed by both parties. The <u>worker</u> receives a copy of the contract at the time of signing. Permanent and temporary workers employed for fewer than three months must have at least verbal contracts in place.</p> <p>Verbal instead of written contracts are acceptable only if they create legally binding employment relationships under <u>applicable law</u>. The employer keeps records of verbal contracts that include all terms listed below and inform workers of these terms.</p> <p>Written/verbal contracts include at minimum:</p> <ul style="list-style-type: none"> <li>• Job duties</li> <li>• Location of the job</li> <li>• Working hours</li> <li>• Pay rate and/or method of calculation</li> <li>• <u>Overtime</u> pay rate</li> <li>• Frequency or schedule of payment</li> <li>• Deductions, benefits provided such as in-kind benefits</li> <li>• Paid leave</li> <li>• Medical leave and protections in case of illness, disability or accident</li> <li>• Notice period (if any) for contract termination</li> </ul>	Applicable in case of average ≥ 5 hired workers	✓	✓	✓

5.3 WAGES AND CONTRACTS					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.3.2	Management does not engage in arrangements or practices designed to eliminate or reduce <u>workers'</u> pay and/or benefits such as employing <u>temporary workers</u> for permanent or ongoing tasks.	Applicable in case of average $\geq 5$ hired workers	✓	✓	✓
5.3.3	<u>Workers</u> receive at least the applicable minimum wage or the wage negotiated in a Collective Bargaining Agreement (CBA), whichever is higher. For production, quota or <u>piece work</u> , the payment must be at least the minimum wage based on a 48-hour working week or national legal working hours limit, whichever is lower. In countries where the minimum wage is not adjusted yearly or regulated in a CBA, it is adjusted yearly for inflation based on the national inflation rate.		✓		✓
5.3.4	<u>Workers</u> receive at least the applicable minimum wage or the wage negotiated in a Collective Bargaining Agreement (CBA), whichever is higher. For production, quota or <u>piece work</u> , the payment must be at least the minimum wage based on a 48-hour working week or national legal working hours limit, whichever is lower.	✓		✓	
5.3.5	Deductions from wages are permitted only if provided by national law or CBA. Voluntary wage deductions such as advance payments, union membership, or loans can only be made with written or verbal consent from the <u>worker</u> . Wage deductions as a disciplinary measure are not allowed. Deductions for work related to tools, equipment or gear are not allowed unless those are permitted by law.  In-kind benefits must be in accordance with national law, however, they cannot exceed 30% of the total remuneration.	✓	✓	✓	✓
5.3.6	<u>Workers</u> are paid regularly at scheduled intervals agreed both by the worker and the employer, but must be at least monthly.  Records are maintained, per worker, of hours worked ( <u>regular</u> and <u>overtime</u> ) and/or volume produced (if applicable), calculation of wages and deductions, and wages paid. Workers are provided pay slips with each payment containing this information.		✓	✓	✓
5.3.7	<u>Workers</u> are paid regularly at scheduled intervals agreed both by the worker and the employer, but must be at least monthly.  <u>Group members</u> maintain records, per worker, of hours worked ( <u>regular</u> and <u>overtime</u> ) and/or volume produced, calculation of wages, in-kind benefits and deductions. The record is signed by each worker when he/she receives payment.	Applicable in case of average $\geq 5$ hired workers			

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.3.8	Work of equal value is remunerated with equal pay without <u>discrimination</u> e.g. on <u>gender</u> or type of <u>worker</u> , ethnicity, age, color, religion, political opinion, nationality, social origin or others.	✓	✓	✓	✓
5.3.9	<p>If labor providers are used, management has a written contract and documented oversight mechanisms in place ensuring that the labor provider is:</p> <ul style="list-style-type: none"> <li>Licensed or certified by the competent national authority, if available; compliant with applicable legal requirements</li> <li>Not engaged in fraudulent or coercive recruiting practices</li> <li>Compliant with all worker related requirements of this standard</li> </ul> <p>All <u>recruitment fees</u> are paid by the <u>management</u>, not by workers.</p>		✓	✓	✓
5.3.10	<p>If labor providers are used, name, contact and, if labor provider is officially registered, official registration number of the labor provider is recorded.</p> <p>All <u>recruitment fees</u> are paid by the farm, not by <u>workers</u>.</p>	✓			
<b>No.</b>	<b>Mandatory Improvement</b>				
5.3.11 L1	<p><u>Permanent</u> and <u>temporary workers</u> who are employed for more than three consecutive months have at least a verbal contract in place.</p> <p>The <u>group member</u> keeps records of verbal contracts and informs <u>workers</u> of these terms:</p> <ul style="list-style-type: none"> <li>Job duties</li> <li>Working hours</li> <li>Pay rate and method of calculation</li> <li><u>Overtime</u> hours</li> <li>In-kind benefits</li> </ul>	✓			
5.3.12 L1	<p><u>Permanent</u> and <u>temporary workers</u> who are employed for more than one consecutive month have a written contract signed by both the employer and the <u>worker</u>, in a language the worker understands. The worker receives a copy of the contract at the time of signing.</p> <p>All other requirements of 5.3.1 apply.</p>	Applicable in case of average ≥ 5 hired workers	✓	✓	✓

5.4 LIVING WAGE					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.4.1	<p>The total remuneration (wages plus cash 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). The management uses the Rainforest Alliance Salary Matrix Tool to accurately fill in data for workers' wages.</p> <p> Please see Annex 8: Salary Matrix Tool</p> <p> Please see Annex 9: Methodology for Measuring Remuneration and Gaps with a Living Wage Please see Annex 10: Benchmarks per country</p>		✓	✓	✓
5.4.2	<p>If the total remuneration is below the applied <u>benchmark</u> for any type of <u>worker</u>, management, in consultation with workers' representatives, implements a wage improvement plan to progress towards the applicable benchmark, including targets, actions, timeline and responsible persons. At a minimum, wages are adjusted yearly for inflation based on the national inflation rate.</p>		✓	✓	✓
5.4.3	<p>In case a supply chain actor (SCA) is sharing responsibility to raise wages to the level of a <u>Living Wage</u> or beyond, by making a (direct financial or another type of investment) contribution, the <u>farm management</u> agrees with the SCA in writing on the related modalities and timelines of the wage improvement plan (5.4.2) linked to that contribution for the period for which it is provided. The farm management reports progress on the implementation of the wage improvement plan to the SCA and RA. Relevant documentation to support progress on payment of higher level of wages to workers is collected and made available for verification by an independent auditor.</p>		✓	✓	✓
No.	Mandatory Smart Meter				
5.4.4	<p>Total remuneration of <u>workers</u> (cash, wages, monetary benefits, in-kind benefits) is increasing towards and beyond the applicable wage benchmark following the targets in the wage improvement plan.</p> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>The lowest wage paid, including in-kind-benefits, indicated as a percentage of the <u>Living Wage</u> benchmark provided by the Rainforest Alliance</li> <li># and % of workers (per <u>gender</u> and type of worker) whose wage plus in-kind-benefits are below Living Wage benchmark provided by the Rainforest Alliance</li> </ul>		✓	✓	✓

5.5 WORKING CONDITIONS					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.5.1	<p><u>Workers</u> do not work more than eight <u>regular working hours</u> per day and 48 regular working hours per week. In addition, workers have at least a 30-minute break after a maximum of six consecutive hours of work and are granted at least one full day of rest after a maximum of six consecutive days of work.</p> <p>The regular work hours of guards do not exceed fifty-six hours per week on average per year.</p> <p><b>ILO Convention, Hours of Work (Industry) Convention, 1919 (No. 1)</b> <b>ILO Convention, Hours of Work (Commerce and Offices) Convention, 1930 (No. 30)</b></p>				
5.5.2	<p>Overtime work is voluntary and only permitted if:</p> <p><b>a</b> It is requested in a timely manner</p> <p><b>b</b> It is paid according to national law or CBA, whichever is higher. If there is no law or CBA, it is paid at least 1,5 times the regular wage level</p> <p><b>c</b> The overtime work does not impose an increased <u>health and safety risk</u>. <u>Accident</u> rates during overtime periods are monitored and overtime is reduced, if <u>accident</u> rates are higher during overtime work periods than during periods of <u>regular work hours</u></p> <p><b>d</b> <u>Workers</u> have safe transport home after work*</p> <p><b>e</b> The total working week does not exceed 60 hours per week. Exceptional circumstances only applicable for farms: see h)</p> <p><b>f</b> Workers have at least a 30-minute break after maximum six consecutive hours of work and have a minimum of 10 consecutive hours of rest per 24 hour-period</p> <p><b>g</b> A record of the number of regular hours and overtime hours of each worker is kept*</p> <p><b>h</b> Applicable only to tea, coffee, bananas, fresh fruits, flower farms: In exceptional circumstances, where there is a risk of losing harvest due to e.g. overproduction, damage to infrastructure, for a maximum period of 12 weeks per year, the overtime may be up to 24 hours total per week, and workers may work a maximum of 21 consecutive days</p> <p>*In groups of small farms this is not applicable to group member workers</p> <p><b>ILO Convention, Hours of Work (Industry) Convention, 1919 (No. 1)</b> <b>ILO Convention, Hours of Work (Commerce and Offices) Convention, 1930 (No. 30)</b> <b>ILO Code of Practice on Safety and Health in Agriculture, 2010</b> <b>International Labor Conference, 107th Session, General Study concerning instruments on working time, 2018</b></p>	<p>Applicable in case of average ≥ 5 hired workers</p>			



No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.5.3	<p>Pregnant <u>permanent workers</u> are entitled to paid maternity leave of at least 14 weeks, of which maximum six weeks before the expected due date and at least six weeks after giving birth, and receive maternity rights and benefits. They can return to their job after maternity leave on the same terms and conditions and without <u>discrimination</u>, loss of seniority or deduction of wages.</p> <p><u>Workers</u> who are pregnant, nursing or have recently given birth are offered flexible working schedules and work site arrangements. Breastfeeding women have two additional 30-minute breaks per day and a space for breastfeeding to nurture the <u>child</u>. This nursing space must be:</p> <ul style="list-style-type: none"> <li>• Functional for expressing milk (at a minimum, has a chair and a flat surface for pumping equipment, if needed)</li> <li>• Shielded from view</li> <li>• Free from intrusion by the public and co-workers</li> <li>• Available whenever a mother needs to pump or express milk</li> <li>• Not a toilet</li> </ul> <p><b>ILO Convention, Maternity Protection Convention, 1952 (No. 183)</b></p>	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.5.4	<p><u>Workers' children</u> younger than the applicable minimum working age coming with their parents to the workplace:</p> <ul style="list-style-type: none"> <li>• Are provided with a safe place to stay according to their age</li> <li>• Are under the supervision of adults at all times</li> </ul> <p><b>ILO Code of Practice on Safety and Health in Agriculture, 2010</b></p>	✓	✓	✓	✓


5.6 HEALTH AND SAFETY					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.6.1	<p>A <u>competent professional</u> conducts an analysis of the occupational health and safety risks. Corresponding health and safety measures are included in the <u>Management Plan</u> and implemented, considering at least the following;</p> <ul style="list-style-type: none"> <li>• Risk analysis</li> <li>• Compliance with regulations</li> <li>• Training of workers</li> <li>• Procedures and equipment to ensure health and safety</li> </ul> <p>The number and type of occupational health and safety incidents are recorded (specified for men and women) and include incidents related to <u>agrochemical</u> use.</p> <p>For groups of small farms this is done for their own facilities.</p> <p><b>ILO Convention, Occupational Safety and Health Convention, 1981 (No. 155)</b></p>		✓	✓	✓
5.6.2	<p>First aid boxes are available to <u>workers</u> for the treatment of work-related injuries, and <u>emergency</u> health care is provided free of charge including transport to and treatment in a hospital.</p> <p>The boxes are placed at the central locations of production, processing, and maintenance sites. For an emergency, appropriate measures, including showers and eyewashes, are present.</p> <p>Trained first aid employees are present during working hours. The workers are informed where and to who they should go to for first aid in case of an emergency.</p>	Applicable in case of average ≥ 5 hired workers	✓	✓	✓
5.6.3	<u>Group members</u> and <u>workers</u> know where to go in case of an <u>emergency</u> .	✓			
5.6.4	<p><u>Workers</u> have access to sufficient and safe <u>drinking water</u> at all times through one of the following means:</p> <ul style="list-style-type: none"> <li>• A public drinking water system, or</li> <li>• Drinking water provided by the management, compliant with drinking water parameters as set by local law or the WHO, based on testing preceding each Rainforest Alliance certification audit and any time that water contamination <u>risks</u> have occurred or been identified</li> </ul> <p>Drinking water sources are protected and, water distribution mechanisms are maintained to avoid contamination. Stored water is protected against contamination by a lid and is refreshed by fresh drinking water at least every 24 hours.</p>		✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.6.5	For small farms, in case of no access to <u>safe public drinking water</u> , management implements and documents a training program to instruct <u>group members</u> on potable water treatments through boiling, filtering, or chlorinating and on the prevention of water contamination.			✓	
5.6.6	<u>Workers</u> always have access to safe and sufficient drinking water.	✓			
5.6.7	Sufficient, clean, and functioning toilets and handwashing stations are provided in or close by agricultural production, processing, maintenance, office sites, and <u>workers' housing</u> .  Facilities are divided by <u>gender</u> in the case of 10 or more workers. Urinals are separated from toilets used by females. Safety and privacy of <u>vulnerable groups</u> are ensured, by at least well-lit and lockable facilities. Workers are allowed to frequent these facilities when needed.		✓	✓	✓
5.6.8	<u>Workers</u> receive information on health topics, medical leave policies and availability of primary, maternal and reproductive health services in the <u>community</u> .		✓	✓	✓
5.6.9	Persons that work in <u>hazardous</u> situations (e.g. under challenging terrains, with machines or with <u>hazardous materials</u> ) use appropriate <u>Personal Protective Equipment (PPE)</u> . These persons are trained in the use of the PPE and have access to the PPE free of charge.	✓	✓	✓	✓
5.6.10	All tools used by the workers are in good working condition.  Machines have clear instructions on safe usage that can be understood by the <u>workers</u> , and dangerous parts are guarded or encased. Workers using such machines are appropriately trained, and if required by law, workers operating machinery have the applicable licenses.  Machinery and other equipment are stored safely when not in use.	✓	✓	✓	✓
5.6.11	Female workers who are pregnant, nursing, or have recently given birth are not assigned to activities that pose a risk to the woman's, fetus's, or infant's health. In cases of job reassignment, there is no reduction in remuneration. Management does not request pregnancy tests.		✓	✓	✓
5.6.12	<u>Workers</u> may leave situations with <u>imminent danger</u> without seeking employer's permission and without being penalized.	✓	✓	✓	✓


No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.6.13	<p>Workshops, storage areas, and processing facilities are safe, clean with sufficient light and ventilation.</p> <p>A clear and written accident and <u>emergency</u> procedure is in place. It includes marked fire exits, evacuation maps, at least one emergency drill per year. Management informs <u>workers</u> about this procedure.</p> <p>There is firefighting equipment and equipment to remediate spillage of materials. Workers are trained on how to use this equipment.</p> <p>Only authorized personnel have access to workshops, storage, or processing facilities.</p>		✓	✓	✓
5.6.14	<u>Workers</u> in workshops, storage and process facilities have clean and safe eating spaces that provide protection against sun and rain. Workers in the field can take their meal protected from sun and rain.		✓	✓	✓
5.6.15	<u>Workers</u> receive basic training on occupational health, safety, and hygiene. Hygiene instructions are visibly displayed at central locations.		✓	✓	✓
5.6.16	Workers who regularly handle hazardous <u>agrochemicals</u> receive a medical examination at least once a year. In case of regular exposure to organophosphates or carbamate <u>pesticides</u> , the examination includes cholinesterase testing. Workers have access to the results of their medical examination.		✓	✓	✓
<b>No.</b>	<b>Mandatory Improvement</b>				
5.6.17 L1	An <u>Occupational Health and Safety (OHS)</u> committee is chosen by <u>workers</u> for <u>farms/ group management</u> with 20 or more workers, reflecting the composition of the workforce. The committee participates in or carries out regular OHS reviews, and its findings and decisions are considered in the updating and implementation of the findings of the <u>health and safety</u> risk analysis.		✓	✓	✓
5.6.18 L2	Workers who cannot carry out their job because of temporary health conditions, including but not limited to pregnancy, nursing, or physical disabilities, are temporarily reassigned to a different task without a penalty or a decrease in compensation.		✓	✓	✓

## 5.7 HOUSING AND LIVING CONDITIONS

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.7.1	<p><u>Workers</u> and their families that are housed or lodged on-site have safe, clean, and decent living quarters considering local conditions. This includes at least:</p> <p>Location and construction:</p> <ul style="list-style-type: none"> <li>• Safe construction; build on non-hazardous location, structure protecting against extreme weather conditions, consisting at least out of dry floor, permanent walls and a good state of repair</li> <li>• <u>Protection</u> against weather conditions</li> <li>• Workers/ families are informed about <u>emergency</u> evacuation plans</li> <li>• Measures are taken to reduce the effect of extreme climate conditions such as flooding</li> <li>• Fire Safety: collective <u>housing</u> has marked fire exits, firefighting equipment, and instructions</li> <li>• Avoid housing on sites subject to air pollution and surface runoff</li> </ul> <p>Health and Hygiene:</p> <ul style="list-style-type: none"> <li>• Availability of enough and <u>safe drinking water</u>; at least 20 liters per adult and within 1km/30 minutes round-trip</li> </ul> <p>Adequate <u>sanitary</u> and washing facilities:</p> <p>The number of toilets range from 1 unit to 6-15 persons, for urinals, at least 1 unit to 15 persons.</p> <p>The number of handwash facilities range from 1 unit to 6-15 persons. Handwash facilities must consist of a tap and a basin.</p> <p>The number of shower/bathroom facilities range from 1 unit to 6-15 persons.</p> <ul style="list-style-type: none"> <li>• Safety and privacy of <u>vulnerable groups</u> are ensured, at least by well-lit and lockable facilities. Sanitary facilities are located within the same buildings, or at a safe distance from the buildings (from 30 to 60 meters from rooms/ dormitories) and provided separately for men and women</li> <li>• Adequate closed-<u>sewage</u> or pit latrines, sanitation and garbage disposal facilities are in place. Cooking areas with smoke ventilation</li> <li>• Enough lighting (daylight and artificial)</li> <li>• Dry floors; raised from ground level, either of cement, stone, tile, wood, or clay (the latter only if sealed and levelled)</li> <li>• <u>Pest</u> control; absence of rats, mice, insects, and vermin, or conditions that favor their populations that could cause disease or carry parasites that function as vectors of diseases.</li> </ul> <p><i>Continued on next page &gt;</i></p>				
			✓		✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.7.1	<p>Comfort and Decency:</p> <ul style="list-style-type: none"> <li>Families of <u>permanent workers</u> with <u>children</u> have separate rooms from the non-family members workers</li> <li>Workers' children live together with their parents and are not separated</li> <li>Workers' children living on-site are in a safe place and under the supervision of an adult during working hours</li> <li>Group accommodations for individual workers have separate rooms and separate facilities that can be locked for women and men. There is a minimum space between beds of 1 meter. Where deck bunks are used, there must be enough clear space between the bunks of the bed, at least 0.7 meters</li> <li>For the storage of personal belongings for workers are provided, varying from providing an individual cupboard for each worker or 1 meter of shelf unit</li> <li>Electricity (in-house or nearby) if available in the area</li> </ul> <p><b>ILO Recommendation, Workers' Housing Recommendation, 1961 (No. 115)</b>  <b>ILO Code of Practice on Safety and Health in Agriculture, 2010</b></p> <p> Please see Guidance Document M: Housing and Living Conditions</p>		✓		✓
5.7.2	<p>Children living on-site and of school-going age go to school. Children either:</p> <ul style="list-style-type: none"> <li>Go to a school at safe walking distance</li> <li>Go to a school at reasonable traveling distance, with availability of safe transport</li> <li>Have on-site schooling of a recognized and equivalent level.</li> </ul>		✓		✓
5.7.3	<p><u>Workers</u> and their families that are housed or lodged on-site have safe, clean and decent living quarters considering local conditions and the possibilities of each producer, and include:</p> <ul style="list-style-type: none"> <li>Safe accommodation; build on non-hazardous location, structure protecting against extreme weather conditions, consisting at least out of dry floor, permanent walls and a good state of repair</li> <li>Marked evacuation routes for group accommodations</li> <li>Protection against air pollution and surface runoff. Adequate sewage, sanitation and garbage disposal facilities are in place</li> <li>Access to <u>safe drinking water</u></li> <li>Adequate <u>sanitary</u> and washing facilities. Safety and privacy of <u>vulnerable groups</u> is ensured, at least by well-lit and lockable facilities</li> </ul> <p><b>ILO Recommendation, Workers' Housing Recommendation, 1961 (No. 115)</b></p>	✓		✓	

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Mandatory Improvement				
<b>5.7.4</b> <b>L1</b>	On-site living conditions have improved by: <ul style="list-style-type: none"> <li>• Durable building materials</li> <li>• Indoor toilets; connections to <u>sewage</u> system if present</li> <li>• Increased living space for group accommodations</li> <li>• Cooking facilities</li> <li>• Beds are not arranged in more than two levels</li> <li>• Natural ventilation that ensures movement of air in all conditions of weather and climate</li> <li>• Workers have covered or comfortable areas according to their customs during meals and break times</li> </ul>		✓		✓
<b>5.7.5</b> <b>L1</b>	On-site housing includes: <ul style="list-style-type: none"> <li>• Cooking areas with smoke ventilation</li> <li>• Dry floors</li> <li>• <u>Pest</u> control</li> </ul>	✓		✓	
<b>5.7.6</b> <b>L2</b>	On-site living conditions have improved by: <ul style="list-style-type: none"> <li>• Sealed floors</li> <li>• Rooms indicate the maximum allowed number of inhabitants</li> <li>• Frequent inspections are held to ensure that the accommodation is safe and clean, inspection reports are documented</li> <li>• Areas for drying clothes</li> <li>• At least one toilet, one shower, and one laundry sink per family</li> <li>• Group accommodation has at least one toilet per six persons</li> </ul>		✓		✓
<b>5.7.7</b> <b>L1</b>	In case <u>temporary workers</u> are accommodated in <u>off-property housing</u> , the group and/or farm management makes arrangements or works together with the relevant property owners or settlement/municipal authorities for safe, clean and decent living conditions considering local conditions.		✓	✓	✓

5.8 COMMUNITIES					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
5.8.1	<p>Management respects legal and customary rights of <u>indigenous peoples and local communities</u>. Activities diminishing the land or resource use rights or collective interests of indigenous peoples and local communities, including <u>High Conservation Values (HCVs) 5 or 6</u>, are conducted only after having received <u>free, prior and informed consent (FPIC)</u> following the Rainforest Alliance FPIC annex.</p> <p> Please see Annex II: Free, Prior and Informed Consent (FPIC) Processes</p>		✓		✓
5.8.2	<p>The producer has legal and legitimate right to use the land. Upon request, this right is substantiated by ownership, leasehold, or other legal documents or by documentation of traditional or customary use rights.</p> <p>In the event that <u>indigenous peoples and local communities</u>, current or former local residents, or other stakeholders validly dispute the right to use the land – including in relation to past dispossession, forced abandonment, or illegal action – legitimate right may be demonstrated if a conflict resolution and remediation process has been documented, implemented and accepted by the affected parties, including relevant authorities in the case of past illegal action.</p> <p>If the dispute involves <u>indigenous peoples and local communities</u>, large farms and individually certified farms follow an FPIC process in accordance with the Rainforest Alliance FPIC Annex to attain the required conflict resolution and remediation.</p>	✓	✓	✓	✓
No.	Mandatory Improvement				
5.8.3 L1	Management engages with <u>communities</u> within or adjacent to the farm that are likely to be affected by the farm's operations to identify their concerns and interests related to these operations and informs them about the possibility to file complaints in accordance with 1.5.1.		✓		✓
5.8.4 L2	Management supports <u>communities</u> within or adjacent to the farm to address the needs and priorities identified (5.8.3), e.g. support for local schools, medical care or helping to address environmental problems.		✓		✓



# CHAPTER 6:

## ENVIRONMENT



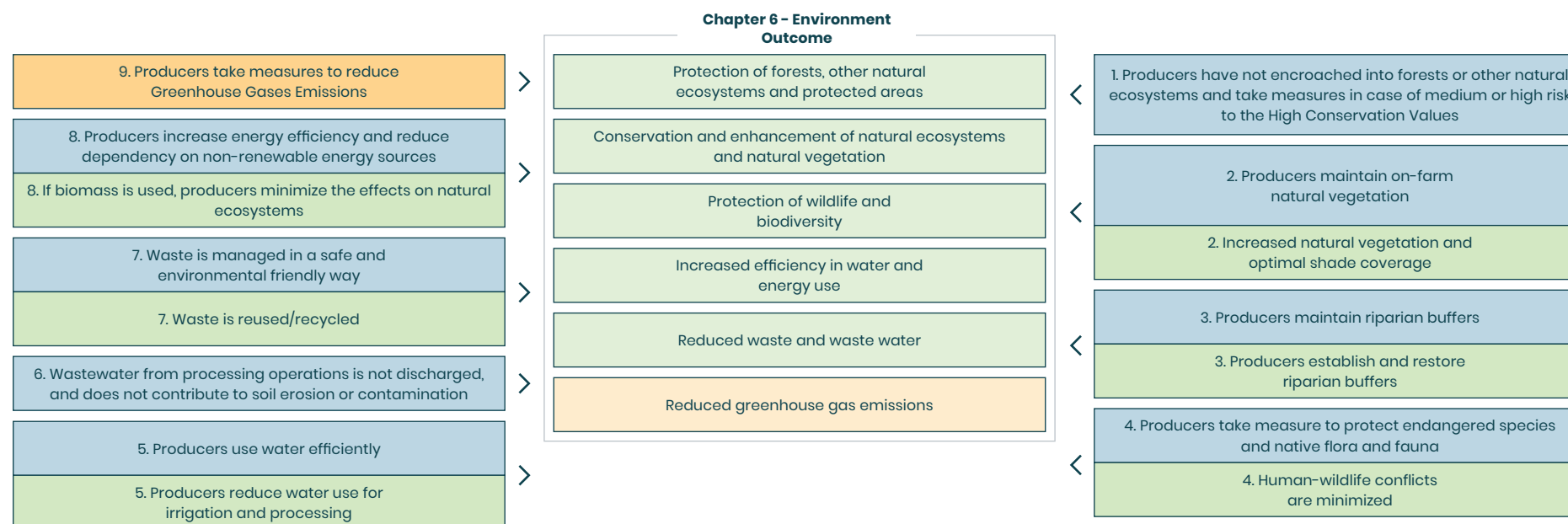
Agriculture can have positive or negative effects on the natural environment, depending on how it is managed. This chapter outlines pathways for certified farms to have a positive impact on the planet, and its forests, biodiversity, water and climate. By complying with the core criteria of the Farm Requirements, farms also comply with the High Conservation Values approach as set by the HCV Network.




The first topic in this chapter supports the outcome that farms and groups do not contribute to deforestation, forest degradation and destruction of other natural ecosystems, and that they



conserve, maintain, and restore natural ecosystems and their services. The topic of wildlife and biodiversity supports the outcome that farms and groups avoid degradation of natural habitats, contribute to improving biodiversity, and help to prevent the extinction of threatened species. For the topics of water, waste, and energy, farms and groups reduce pollution, treat wastewater and minimize release of hazardous pollutants, and reduce waste and energy through prevention, reduction, recycling and reuse. A self-selected topic is added for farms and groups taking the step towards measurements of greenhouse gas reductions.

Finally, throughout this chapter and the farming practices chapter, the Farm Requirements work towards the outcome of farms and groups adopting climate adaptation and resilience techniques, and supporting climate change mitigation.

Once again, the Rainforest Alliance recognizes that farm certification fits into a larger picture of landscape conservation, where multiple strategies are needed to create lasting impact for biodiversity and planet. The content of this chapter marks a starting from which certified farms and groups can support this goal.



6.1 FORESTS, OTHER NATURAL ECOSYSTEMS AND PROTECTED AREAS					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.1.1	<p>From January 1st 2014 onward, <u>natural forests</u> and other <u>natural ecosystems</u> have not been <u>converted</u> into agricultural production or other land uses.</p> <p> Please see Annex 12: Additional Details on requirements for no-conversion</p>	✓	✓		✓
6.1.2	<p>Production or processing does not occur in <u>protected areas</u> or their officially designated <u>buffer zones</u>, except where it complies with <u>applicable law</u>.</p>	✓	✓		✓
6.1.3	<p>Management includes the mitigation measures from the Farm Risk Assessment Tool in 1.3.1 with regard to <u>High Conservation Values</u> in the <u>Management Plan</u> (1.3.2). Management implements these measures.</p> <p> Please see Annex 3: Farm Risk Assessment Tool</p>		✓		✓
Mandatory Improvement					
6.1.4 LI	<p>Management includes the mitigation measures from the Farm Risk Assessment Tool in 1.3.1 with regard to <u>High Conservation Values</u> in the <u>Management Plan</u> (1.3.2). Management implements these measures.</p> <p> Please see Annex 3: Farm Risk Assessment Tool</p>			✓	

6.2 CONSERVATION AND ENHANCEMENT OF NATURAL ECOSYSTEMS AND VEGETATION					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.2.1	<p>Management develops and implements a plan to conserve natural ecosystems. The plan is based on the map required in 1.2.9 and the <u>natural ecosystems</u> section of the Risk Assessment Tool in 1.3.1 and is updated annually.</p> <p> Please see Annex 3: Farm Risk Assessment Tool</p> <p> Please see Guidance Document N: Natural ecosystems and vegetation</p>		✓	✓	✓
6.2.2	<p>Farms maintain all remnant forest trees, except when these pose <u>hazards</u> to people or infrastructure. Other native trees on the farm and their harvesting are sustainably managed in a way that the same quantity and quality of trees is maintained on the farm.</p>	✓	✓	✓	✓
No.	Mandatory Smart Meter				
6.2.3	<p>Producers maintain and management monitors <u>natural vegetation</u> cover and reports annually on the indicator from year one onwards.</p> <p>If there is less than 10% of the total area under natural vegetation cover or less than 15% for farms growing <u>shade-tolerant</u> crops, management sets targets and takes actions for farms to reach these thresholds as required in 6.2.4.</p> <p>Natural vegetation is vegetation made up predominantly of native or locally adapted species, resembling in species composition and structure the vegetation that occurs or would occur in the absence of human interference. Natural vegetation can include one or more of the following (not exclusive):</p> <ul style="list-style-type: none"> <li>• <u>Riparian buffers</u></li> <li>• <u>Conservation</u> areas within the farm</li> <li>• Natural vegetation in <u>agroforestry</u> systems</li> <li>• Border plantings, live fences and barriers around <u>housing</u> and infrastructure, or in other ways</li> <li>• Conservation and restoration areas outside the certified farm that effectively provide for long-term protection of the subject areas (for at least 25 years) and yield additional conservation value and protection status relative to the status quo</li> </ul> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• % of total farm area under natural vegetation cover</li> </ul>	✓	✓	✓	✓

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Mandatory Improvement				
6.2.4 L2	<p>There is <u>natural vegetation</u> cover</p> <ul style="list-style-type: none"> <li>On at least 10% of the total area for farms growing non-shade tolerant crops</li> <li>On at least 15% of the total area for farms growing <u>shade-tolerant crops</u></li> </ul>	✓	✓	✓	✓
No.	Self-selected Smart Meter				
6.2.5	<p>Farms with <u>shade-tolerant crops</u> work towards <u>agroforestry</u> systems with optimal shade coverage and species diversity according to the <u>Shade coverage and species diversity reference parameters</u>.</p> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>% shade cover averaged over the portion of the farm or group of farms growing shade-tolerant crops</li> <li>average number of shade tree species per hectare growing shade-tolerant crops</li> </ul>	✓	✓		✓
6.2.6	<p>Farms increase the areas under <u>natural vegetation</u> beyond the amounts required by criterion 6.2.3.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>% of total farm area under natural vegetation cover</li> </ul>	✓	✓	✓	✓

6.3 RIPARIAN BUFFERS					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.3.1	Farms maintain existing <u>riparian buffers</u> adjacent to <u>aquatic ecosystems</u> .	✓	✓		✓
6.3.2	Producers maintain the following additional <u>safeguards for the protection of drinking water</u> in case the farm is located closer than 50 m to a source of drinking water.  Around the source: <ul style="list-style-type: none"> <li>• Maintain or establish a <u>riparian buffer</u> &gt; 10 m</li> <li>• Maintain a pesticides non-application zone &gt; 20 m</li> <li>• Maintain an additional zone &gt; 40 m, in which pesticides are only applied through mechanical, hand-assisted or targeted application</li> </ul>	✓	✓		✓
No.	Mandatory Improvement				
6.3.3	<u>Aquatic ecosystems</u> are surrounded by <u>riparian buffers</u> with the following riparian buffer width parameters: <ul style="list-style-type: none"> <li>• 5 meters horizontal width along both sides of water courses between 1 – 5 m wide. For farms &lt; 2 ha, the width of the buffer may be reduced to 2 meters at both sides</li> <li>• 8 horizontal width along both sides of water courses between 5-10 m wide, and around springs, wetlands, and other water bodies</li> <li>• 15 m horizontal width along both sides of rivers wider than 10 m wide</li> </ul>	✓	✓		✓

## 6.4 PROTECTION OF WILDLIFE AND BIODIVERSITY

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.4.1	Threatened animals and plants are not <u>hunted</u> , killed, fished, collected or trafficked. Additionally, producers and workers do not hunt other animals, with the following exceptions: <ul style="list-style-type: none"> <li>Producers of <u>small farms</u> may hunt non-threatened animals for non-commercial use only</li> <li>Producers may hunt vertebrate <u>wildlife pests</u> on the farm only following the farm's <u>integrated pest management (IPM)</u> plan, and only as a measure of last resort.</li> </ul> <p>Explosives or toxic substances are never used for hunting, fishing, or control of wildlife pests.</p>	✓	✓	✓	✓
6.4.2	Producers do not hold <u>wildlife</u> in captivity. Captive wild animals that were present on the farm before the earliest certification date are sent to professional shelters or may be held only for non-commercial purposes for the remainder of their lives. Captive wild animals and farm animals are treated following the <u>five freedoms of animal welfare</u> .	✓	✓		✓
6.4.3	Producers do not intentionally introduce or release invasive species. Producers do not dispose of existing <u>invasive species</u> or their parts in <u>aquatic ecosystems</u> .	✓	✓		✓
6.4.4	Producers do not use <u>wildlife</u> for processing or harvesting of any crop (e.g. luwak for coffee, monkeys for coconut, etc).	✓	✓		✓
6.4.5	Erosion by water and wind is reduced through practices such as re-vegetation of steep areas and terracing.	✓	✓		✓
6.4.6	Fire is not used for preparing or cleaning fields, except when specifically justified in the <u>IPM</u> plan.	✓	✓		✓
<b>No.</b>	<b>Mandatory Improvement</b>				
6.4.7 L1	Producers minimize human- <u>wildlife</u> conflicts that affect <u>workers</u> , wildlife, crops, or farm assets with locally appropriate mitigation measures. Measures can include siting of infrastructure, fencing and corridors but should not unnecessarily restrict wildlife mobility or access to water or other resources. Workers are trained in procedures and <u>emergency</u> responses for addressing crop damage or wildlife attacks.		✓		✓
6.4.8 L1	<u>Group management</u> supports producers to minimize human- <u>wildlife</u> conflicts that affect producers, <u>workers</u> , wildlife, crops, or farm assets with locally appropriate mitigation measures. Measures can include siting of infrastructure, fencing, and corridors but should not unnecessarily restrict wildlife mobility or access to resources like water.			✓	
6.4.9 L1	Producers take measures to contain and reduce existing <u>invasive species</u> .	✓	✓	✓	✓


6.5 WATER MANAGEMENT AND CONSERVATION					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.5.1	Producers comply with the <u>applicable law</u> for the withdrawal of surface or groundwater for agricultural, domestic or processing purposes.	✓	✓	✓	✓
6.5.2	If required, producers have a license or permit (or a pending request) for the withdrawal of surface or groundwater for agricultural, domestic, or processing purposes.		✓		✓
6.5.3	Irrigation and water distribution systems are maintained to optimize crop productivity while minimizing water waste, erosion, and salinization.		✓	✓	✓
No.	Mandatory Smart Meter				
6.5.4	<p>Irrigation and water distribution systems are managed to optimize crop productivity considering at least the following factors:</p> <ul style="list-style-type: none"> <li>• Crop evapotranspiration at different growth stages</li> <li>• Soil conditions</li> <li>• Rainfall pattern</li> </ul> <p>Producers record the amount of water used for irrigation from year one onwards.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• Water use for irrigation in total and per unit of product (L, L/kg)</li> </ul>		✓	✓	✓
6.5.5	<p>Management takes measures to reduce the use of processing water per unit of product. Water use and reduction are monitored and documented from year one onwards.</p> <p><b>Indicator:</b></p> <ul style="list-style-type: none"> <li>• Water use for processing in total and per unit of the final product leaving the farm (L, L/kg)</li> </ul>		✓	<p>✓</p> <p>For central processing facilities</p>	✓
No.	Self-Selected improvements				
6.5.6	Producers use <u>rainwater harvesting</u> for irrigation and/or input application purposes.	✓	✓	✓	✓
6.5.7	Producers participate in a local watershed committee or initiative and take action to help maintain or restore the watershed's health as part of this collective process. The nature of the participation and actions taken are documented.	✓	✓	✓	✓


6.6 WASTEWATER MANAGEMENT					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.6.1	<p>Tests for processing <u>wastewater</u> are conducted at all discharge points during the representative period(s) of operation, and results are documented.</p> <p>For farm groups, this is done at all group-managed (collective) processing facilities and at a representative sample of member processing operations including the different types of treatment systems.</p> <p><u>Wastewater from processing operations</u> discharged into <u>aquatic ecosystems</u> meets legal wastewater quality parameters. In absence of these, it meets the <u>wastewater parameters</u>.</p> <p><u>Wastewater from processing operations</u> may not be mixed with clean water to meet the parameters.</p>		✓	✓	✓
6.6.2	<p>Human <u>sewage</u>, sludge, and sewage water is not used for production and/or processing activities.</p> <p>Sewage is not discharged into <u>aquatic ecosystems</u> unless it has been treated.</p> <p>Treated discharge is demonstrated to meet legal wastewater quality parameters or, in the absence of these, the <u>wastewater parameters</u> (not applicable to smallholders).</p>	✓	✓	✓	✓
6.6.3	<p><u>Wastewater from processing operations</u> is not applied to land unless it has undergone treatment to remove particulates and toxins.</p> <p>If treated <u>wastewater</u> is used for irrigation, in addition to the <u>wastewater parameters</u>, it must comply with the wastewater parameters for irrigation..</p>	✓	✓	✓	✓



6.7 WASTE MANAGEMENT					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.7.1	<u>Waste</u> 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 <u>designated areas</u> and not disposed of in natural or <u>aquatic ecosystems</u> . Non-organic waste is not left on the land.	✓	✓	✓	✓
6.7.2	Producers do not burn <u>waste</u> , except in incinerators technically designed for the specific type of waste.	✓	✓	✓	✓
No.	Mandatory Improvement				
6.7.3 L1	Producers segregate and recycle <u>waste</u> based on available waste management, recycling and disposal options. Organic waste is <u>composted</u> , processed for use as organic or used as input for other processes.		✓	✓	✓

## 6.8 ENERGY EFFICIENCY

No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
6.8.1	<p>Management takes measures to increase energy efficiency and reduce dependency on non-renewable energy sources used for production and processing.</p> <p>The types of energy sources and associated machinery used for production and processing are quantified and documented.</p>  <p><i>Please see Guidance Document O: Energy Efficiency</i></p>		✓	✓ Applicable if groups have energy use for processing	✓
<b>No. Mandatory Smart Meter</b>					
6.8.2	<p>Management sets targets for increased efficiency in energy use and for reduced dependency on non-renewable energy sources. The progress is monitored and reported yearly.</p> <p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• Amounts of renewable and non-renewable energy used, by type (e.g., volume of fuel, KWh electricity, quantity of biomass energy)</li> <li>• Total energy use</li> <li>• Total energy use per kg of product</li> </ul>		✓	✓ Applicable if groups have energy use for processing	✓
<b>No. Mandatory Improvement</b>					
6.8.3	<p>If biomass energy is used for processing operations and/or domestic use, producers minimize the direct and indirect effects of biomass use on <u>natural ecosystems</u> through actions such as:</p> <ul style="list-style-type: none"> <li>• Planting trees to increase the availability of biomass energy on or around the farm</li> <li>• When biomass is purchased, sources not associated with the destruction of <u>forests</u> or other <u>natural ecosystems</u> are sought.</li> </ul>		✓	✓	✓

6.9 GREENHOUSE GASES REDUCTION					
No.	Core requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
No.	Self-Selected Smart Meter				
6.9.1	<p>Producers document net <u>Greenhouse Gases</u> (GHG) emissions from main sources in production and processing operations. This includes emissions from use of fossil fuels and electricity, <u>fertilizer</u>, <u>waste</u> and <u>wastewater</u> and land use change.</p> <p>Producers establish GHG reduction targets, develop and implement a strategy to meet these targets, and monitor annually against these targets.</p> <p><b>Indicators:</b></p> <ul style="list-style-type: none"><li>• Total annual net GHG emissions from the above indicated sources (tons of CO<sub>2</sub>e)</li><li>• Net GHG emissions from the above indicated sources per unit of the final product (tons of CO<sub>2</sub>e per unit)</li></ul> <div> <i>Please see Guidance Document P: GHG Emission Reductions</i></div>		