Long before the recent surge in food prices, three of the largest food producers in the world, Danone, Nestlé and Unilever, recognized that sustainability is critical to secure a constant, growing, and safe supply of agricultural raw materials. The companies came together in 2002 to found The Sustainable Agriculture Initiative (SAI) Platform—a non-profit organization dedicated to actively supporting the development of sustainable global agriculture practices involving all stakeholders of the food supply chain.

The SAI Platform today includes 21 corporate members, with estimated sales of USD 300 billion, which actively work to promote sustainable agriculture as a productive, competitive and efficient way of producing agricultural products, while at the same time protecting and improving the natural environment and social/economic conditions of local communities.

www.saiplatform.org

Written by Intertek Sustainability Solutions

Intertek Sustainability Solutions (ISS) works with businesses to seamlessly integrate CSR and Sustainability with their brand and operations. We are proficient in delivering solutions dealing with immediate environmental and social concerns, but our ultimate value for clients has proven to be our ability to develop a portfolio of initiatives that align social and environmental performance with business imperatives for maximum Return on Sustainability Investment (RSI).

Specifically, we:
- Design sustainability strategy, tailored to client needs and utilizing a variety of techniques – such as corporate risk/opportunity profiling, benchmarking, gap analysis and assessment of sustainability reporting and communications efficacy.
- Deploy cost-effective and materially-relevant sustainability programs for our clients, including audits and inspections of client and supplier facilities, certifications of compliance with a variety sustainability schemes and standards, as well as training, capacity building, remediation and continuous improvement programs.
- Provide key industry-leading CSR/Sustainability solutions and tools.
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INTRODUCTION

The Agriculture Standards Benchmark Study was commissioned by SAI Platform with the aim of investigating and comparing some of the most influential agricultural production standards worldwide. The objective of the study is to give SAI Platform members further insight into the various agriculture schemes in order to facilitate sustainable sourcing. This study can be utilized in a procurement context as a tool for answering initial questions that arise as one seeks the best and most appropriate method to ensure sustainably produced agricultural raw materials.

• DEMONSTRATION OF GOOD GOVERNANCE: How does each standard compare in terms of their development in an inclusive basis and the degree to which they are properly managed and controlled?

Some standards are more transparent than others with regard to the Governance and Regulation criteria evaluated for this study. Having a proper level of public transparency in this area provides a solid foundation for demonstrating effectiveness and longevity in support of the growing need for first-rate agriculture standard programs.

• DEMONSTRATION OF GOOD PRACTICES: How does each standard compare in employing good practical elements that work to enhance the performance of the farm?

The Systems Enhancement Criteria evaluated in this study are based solely against the criteria laid out in the standards themselves. It does not include every aspect or encompass the entire range or broad intentions of offerings that may be available through each scheme.

• EQUITABLE STANDARDS: How does each standard relate to the framework of the SAI Platform Principles?

The SAI Platform Principles Comparison is based on the principles/criteria that compose the content of each of the standards. It is directly related to the guidelines or requirements laid out for the suppliers to adhere to.

• AVAILABLE MODELS: Is the agriculture standard a certification or verification scheme, or simply a framework?

The different schemes compared in the benchmark study have not been developed with the same intentions and with the same national / regional applicability. The different schemes address either whole farm approaches or crop-specific procedures; tackle mainly issues of food safety or even particular production schemes such as organic. The rationale for including a wide variety of scheme types is that many suppliers participate in multiple programs, none of which covers the full SAI Platform scope in itself. Since suppliers have to work with a combination of various modules, it is useful to compare the different types of standards amongst each other.
The first part of this study utilizes color coding to provide the reader with a high level graphic overview of the criteria evaluated. It gives the user a chance to assess each of the standards at a glance. This is followed by a more in-depth written analysis of each of the standards, further explaining why the standard was judged in the corresponding manner.

The research approach for this study was divided into two phases.

- **PHASE 1 Desk Research**: research was restricted to the discovery of evidence in the public domain. This includes public websites and published documents that outline the content of each of the standard’s main principles and criteria. An initial report was issued in March 2009.

- **PHASE 2 Field Research**: all of the scheme owners were contacted for comments and an opportunity to address any information unable to verify during the desk research phase. Further evidence was collected in May 2009 through electronic correspondence and/or phone calls with the following schemes.

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<tr>
<th>Scheme</th>
<th>4C</th>
<th>AFS</th>
<th>Basel Criteria</th>
<th>BRC</th>
<th>Canada EFP</th>
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Participation in the field research phase does not constitute any endorsement from the scheme on the contents of this study. Note that some schemes have several different standards or sets of tools which should also be taken into consideration by the user in their decision making process. This study only covers the specific standards listed in the master document of standards reviewed.

The final list of twenty-four schemes reviewed in this study was formulated by mutual discussion within a volunteer SAI Platform members work group. Procurement officers may have different views of what are the most important standards for their organization, and we acknowledge that at a local or regional level there certainly may be more influential and appropriate standards.

NOTE: This benchmark study is not an endorsement of any standard. It is meant only to help members through the myriad of available agriculture schemes and provide some guidance for mutual recognition and convergence.
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The following outlines the methodology and audit protocol for undertaking the benchmark study.

I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

1) Multi-stakeholder Process | Criteria: Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders. Green coding is reserved for those schemes who are fully transparent with publicly available documentation and stakeholder information.
   - Review of participants to confirm representation of interested stakeholders
   - Review of any documented evidence of stakeholder participation such as operating procedures, meeting information, draft revision notes
   - Review of any public consultation during the development of the standard and into the present

2) Good Governance | Criteria: Scheme is well maintained by a representative and transparent board. Green coding is reserved for those schemes who are fully transparent with publicly available documentation and board member information.
   - Review of board member information to verify board representation in the management of the standard
   - Review of any documented evidence of good board management such as rules of participation, operating procedures, statutes and bylaws, meeting minutes or articles of association

3) Conflict of Interest & Dispute Resolution | Criteria: There is a clear and transparent process by which conflicts of interests and disputes can be resolved. Green coding is reserved for those schemes who are fully transparent with publicly available documentation.
   - Review of documented conflict of interest and dispute resolution procedures in effect

4) Accreditation (if applicable) | Criteria: For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.
   - Review of any documented accreditation procedures and ISO Standard requirements
   - Review of training requirements for associated auditors

5) Logos & Claims (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo
   - Review any documented evidence of rules about use of claims and logos

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm.

6) Management Systems | Criteria: The standard's principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.
   - Review content of Standards or Guidelines for information on management systems

7) Continuous Improvement | Criteria: The standard's principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.
   - Review content of Standards or Guidelines for information on continuous improvement

8) Capacity Building/Training | Criteria: The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.
   - Review content of Standards or Guidelines for information on capacity building or training elements
5) **Stakeholder engagement** | The standard's principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

*Review content of Standards or Guidelines for information stakeholder engagement*

**Legend:**
- ~Overview chart    : Criteria element is fully met with rigorous detail
- ~Overview chart    : Criteria element is partially met and/or lacking in in-depth public information
- ~Overview chart    : Criteria element is not met
- ~Overview chart    : Criteria element is not applicable to the scheme

### II. ANALYSIS OF STANDARD CONTENT

**SAI PLATFORM PRINCIPLES** | Evaluate the rigour of the element of the standards against the SAI Platform Principles.

Refer to the published document “SAI Platform Sustainable Potato and Vegetable Principles and Practices. Working Document. 06/07/05” for a detailed view of the SAI Platform Principles

<table>
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<tr>
<th>Sustainable farming system</th>
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</table>
| 1) Site selection and management | Elements: site history; risk assessment of surrounding area; soil mapping  
| 2) Planting material | Elements: variety, seed quality, crop husbandry, genetically modified plants  
| 3) Integrated Crop Management | Elements: Rotation practices; cultivation techniques; nutrient management; fertilizers; sludge; integrated pest management; agrochemicals  
| 4) Sustainability management system | Elements: continuous improvement; management responsibilities; record keeping; training  
| 5) Access to information and support services | Elements: regular advice from experts  

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<tr>
<th>Economic Sustainability</th>
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| 6) Safety, quality and transparency | Elements: safety, quality, post-harvest treatment, residue levels, stocking maintenance  
| 7) Financial structure | Elements: long-term financial stability, cost-benefit structure  
| 8) Relation to the market | Elements: Trading channels, negotiations, marketing  
| 9) Diversification | Elements: Diversifying into other crops or non-farming activities  

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<th>Social Sustainability</th>
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| 10) Labour conditions | Elements: ILO Conventions; worker safety, wages, working hours, discrimination, forced labor, freedom of association, child labor  
| 11) Training | Elements: training of workers  
| 12) Strengthening local economy | Elements: contributing to livelihood of producers and local communities  

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<tr>
<th>Environmental Sustainability</th>
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| 13) Soil conservation | Elements: cultivation techniques; soil structure and fertility  
| 14) Water conservation | Elements: water use/quality management; irrigation; wastewater management  
| 15) Biodiversity conservation | Elements: endangered species; diversity of flora/fauna; protection; restoration  
| 16) Integrated waste and crop by-product management | Elements: use of crop by-products; waste recycling  
| 17) Energy conservation | Elements: renewable sources of energy; reduce air pollution; global warming; fuel usage  
| 18) Air conservation | Elements: preserving/improving quality of air  

**Legend:**
- ~Overview chart    : Standard element is aligned with the intent of the SAI Platform Principle  
- ~Overview chart    : Standard element is less rigorous than the SAI Platform Principle  
- ~Overview chart    : Standard does not contain the SAI Platform Principle  

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Agriculture Standards Benchmark Study | 2009
## Governance & Regulation of the Scheme

Criteria element is fully met with rigorous detail
Criteria element is partially met and/or lacking in in-depth public information
Criteria element is not met
Criteria element is not applicable to the scheme

See page 6 for full benchmark content and coverage protocol

### Standards

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<th>Conflict of Interest &amp; Dispute Resolution</th>
<th>Management Systems</th>
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<th>Food Safety</th>
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<th>Conflict of Interest &amp; Dispute Resolution</th>
<th>Management Systems</th>
<th>Capacity Building</th>
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### SAI PLATFORM PRINCIPLES COMPARISON

#### Standards

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<th>Economic Sustainability</th>
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I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- AFS has shared ownership among a variety of UK organizations such as the National Farmers' Union, the Ulster Farmers' Union, the Agriculture and Horticulture Levy Board, Dairy UK and the British Retail Consortium. Standards were developed with feedback from consumers, experts and specialist committees. Public information on documented multi-stakeholder involvement such as participant names and procedures is lacking. However, there is a technical advisory committee established for every commodity sector with protocols for review and updating of the standards. AFS has available upon request a formal written consultation process for when material changes are proposed.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- Assured Food Standards is managed by a board of directors. The interests represented on the board relate to a variety of parties in the food industry and independent experts. Detailed personal information on individual board members is available online. Documented public information on how the board is managed is lacking. However, AFS does have an internal board constitution which lays out the board’s responsibility for strategy and to ensure a range of stakeholders relevant to the sector.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- AFS does not have publically documented policies and procedures for conflict of interest and dispute resolution. However, all participating members are asked to follow EN4501 procedures for resolution of disputes and AFS does include information on appeals in its internal Scheme Membership Rules.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- AFS manages and approves the certification bodies that inspect the producers and processors according to the AFS Standards. Certification bodies are chosen from those accredited against EN4501 from the United Kingdom Accreditation Service. Accreditation by UKAS demonstrates the competence, impartiality and performance capability of all third-party evaluators.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- The Red Tractor logo licensed by AFS is protected by trademark and users must follow the rigorous design and user guidelines that are publically available on the AFS website.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- AFS Generic Protocol Standards promotes record keeping in general. It does not have detailed requirements on the development and implementation of an overall rigorous management system. It does include a requirement for food safety management based on a HACCP system.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- AFS Generic Protocol Standards has a standard required component for annual internal audits. It is lacking in rigorous guidance and detail on monitoring and objective setting through which improvements can be tracked over time.
CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- AFS Generic Protocol Standards has training requirements integrated throughout the standard covering aspects such as fertilizer usage & application, personal hygiene, agrochemical handling and first aid. It requires training record keeping.

STAKEHOLDER ENGAGEMENT | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- AFS Generic Protocol Standards has some elements that reference engaging local communities such as emergency planning and environmental management.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Site selection and management; Planting material; Integrated Crop Management; Sustainability management system; Access to information and support services
- None
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ECONOMIC SUSTAINABILITY

- Safety, quality and transparency
- None
- Financial structure; Relation to the market; Diversification

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY

- Training
- Labour conditions
- Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle:
- Labour conditions | AFS Generic Protocol Standards has extensive coverage for the health and safety of workers and emergency planning. There is also some limited recommendations regarding wages, hours, unions and workers age. It is lacking in rigorous detail and guidance. There are no references to softer issues like discrimination or harassment or ILO Conventions.

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation; Water conservation; Integrated waste and crop by-product management; Energy conservation; Biodiversity conservation
- None
- Air conservation

Comments on elements that are less rigorous than SAI Platform Principle: N/A
DETAILED BENCHMARK ANALYSIS

I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- EISA represents a variety of seven European national associations. Public information on documented multi-stakeholder involvement such as participant names and procedures is lacking. However, upon request, EISA can provide full and associate members who participated in the development of the Framework and represent a wide range of organizations and companies throughout the food chain. The EISA Framework was also presented and discussed during two major European Events. Discussions included a variety of additional stakeholders from the EU commission, trade associations and farmers.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- Documented public information on how the board is managed is lacking. However, the EISA Framework is managed by an Executive Committee which meets several times per year on a regular basis. During these meetings, the Framework is intensively discussed, finalized and approved by all EISA members. The General Assembly discusses and approves the full document after finalization.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- EISA does not have a formal procedure for conflict of interest and dispute resolution. However, EISA members do engage in open discussions until a compromise and an agreement is found which will be supported by all EISA members.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Not Applicable. EISA is meant as framework guidance only.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- Not Applicable. EISA is meant as framework guidance only.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard's principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- Management systems are an integral part of the entire EISA framework and the EISA principles have a chapter dedicated to organization management and planning. It includes rigorous guidance on planning, internal auditing and policy making.

CONTINUOUS IMPROVEMENT | The standard's principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The EISA principles guide the farms to identify short and long term objectives of their business, develop an internal audit program and implement regular internal benchmarking for continuous improvement.

CAPACITY BUILDING/TRAINING | The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- EISA principles have elements dedicated to the development and implementation of a formal employee training plan.
**STAKEHOLDER ENGAGEMENT** | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- EISA principles support open and active involvement of the farmer in his local community. Elements include using local labour where possible, creating added value and local relationships, utilizing demonstration farms to build up community relations and awareness about integrated farming, and communicating more about the farm’s environmental policy.

### II. SAI PLATFORM PRINCIPLES COMPARISON

| A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles |
| B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done. |

| SUMMARY: SUSTAINABLE FARMING SYSTEM |
| Site selection and management; Integrated Crop Management; Sustainability management system; Access to information and support services |
| None |
| Planting material |

Comments on elements that are less rigorous than SAI Platform Principle: N/A

| SUMMARY: ECONOMIC SUSTAINABILITY |
| Safety, quality and transparency; Relation to the market |
| None |
| Financial Structure; Diversification |

Comments on elements that are less rigorous than SAI Platform Principle: N/A

| SUMMARY: SOCIAL SUSTAINABILITY |
| Training; Strengthening local economy |
| Labour conditions |
| None |

Comments on elements that are less rigorous than SAI Platform Principle: 
- Labour conditions | EISA Principles have a chapter dedicated human and social capital. It covers labor elements such as working hours, wages & benefits, housing and overall worker health and safety. It does not cover other elements such as discrimination, harassment, child labor, forced labor or freedom of association. It does not reference ILO declarations. |

| SUMMARY: ENVIRONMENTAL SUSTAINABILITY |
| Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation |
| None |
| None |

Comments on elements that are less rigorous than SAI Platform Principle: N/A
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The Eastern Canada Soil and Water Conservation Centre’s Environment Farm Plan Workbook was reviewed and refined by a Technical Advisory Team composed of agricultural producers, agronomists, engineers, agrienvironmental club coordinators, EFP delivery agents and representatives of environmental organizations from New Brunswick, Prince Edward Island, and Newfoundland and Labrador. Public information on documented multi-stakeholder involvement such as participant names and procedures is lacking. However, upon request, the EFP can provide well documented output of an initial Workbook Review Workshop in 2002 that clearly outlines stakeholder participants and summary of discussions and improvements to the content of the workbook. Follow-up progress reports were also issued. Additional workshops and peer reviews take place regularly.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The Environmental Farm Plan workbook and associated software is organized by the non-profit Eastern Canada Soil and Water Conservation Centre. The non-profit centered has an Advisory Board with member profiles. Documented public information on how the board is managed is lacking. However, EFP does have in place technical advisory teams consisting of a variety of interested stakeholders who are assigned for each workbook section and hold review sessions.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- The Eastern Canada Soil and Water Conservation Centre does not have available a process for conflict of interest & dispute resolution.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Not Applicable. The Environmental Farm Plan Program is a software based self-assessment workbook that is completed by the supplier.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- Not Applicable. The EFP Program is not a labeling program.

B. SYSTEMS ENHANCEMENT CRITERIA

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- The EFP Workbook has references to general record keeping suggestions. There is not a detailed requirement for the development or implementation of a full management system.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The EFP Workbook is designed as an internal self-assessment with the development of a detailed action plan booklet as a way for the farm to determine what the problems are and improve immediately or over time.
CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- The EFP Workbook has no references to employee training beyond basic pesticide training.

STAKEHOLDER ENGAGEMENT | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc. through community or farm activities and proactive external communication.

- The EFP Workbook has minor references to maintaining good communication with communicating with neighbors in overall farmstead management.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Integrated Crop Management; Access to information and support services
- Planting material; Sustainability management system
- Site selection and management

Comments on elements that are less rigorous than SAI Platform Principle:
- Planting material | The EFP Workbook has some reference to seed, crop and variety selection adapting to local climates within its Pest Management Chapter. It does cover genetically modified crops.
- Management Systems | The EFP Workbook has references to general record keeping suggestions. There is not a dedicated requirement for the development of a full management system.

SUMMARY: ECONOMIC SUSTAINABILITY

- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY

- None

Comments on elements that are less rigorous than SAI Platform Principle:
- Labour conditions | The EFP Workbook references emergency planning & worker’s health and safety of personal protective equipment usage. It does not cover other worker right elements such as working hours, wages & benefits, discrimination, harassment, freedom of association, child labor, forced labor and other forms of general worker health & safety.
- Training | The EFP Workbook references employee training for pesticide use only
- Strengthening local economy | The EFP Workbook has minor references to maintaining good communication with communicating with neighbors in overall farmstead management

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A
A. GOVERNANCE & REGULATION OF THE SCHEME

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- Fairtrade has a very clear documented and public standards setting protocol for every new or revised standard which guides stakeholders’ contribution to the content of the standard. It includes a broad consultation phase following the requirements of the ISEAL Code of Good Practice in standard setting. Stakeholders include producers, labeling initiatives members and the general public. Information on contributors is available online.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- Fairtrade has a well documented structure for a Board of Directors and a specialized Standards Committee to maintain the scheme and ensures the views of all relevant stakeholders are taken into account. The Board is represented by traders, producers and representatives from the labeling initiatives and other relevant experts. Member information is available online.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- Fairtrade has a publically available and thorough standard operating procedure for complaints against Fairtrade Standards.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Certification of Fairtrade Standards is managed by FLO-CERT, an independent certification company. The system, scope, cost, disputes and requirements for certification are publically available and thorough. Auditor training courses are conducted.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- Fairtrade has a worldwide association of Labeling Initiatives to license the Fairtrade Certification Mark. Guidelines/manuals for using the mark and issuing certifications are public and clearly indicated.

B. SYSTEMS ENHANCEMENT CRITERIA

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- Elements of a proper management system are integrated throughout the Generic Fairtrade Standards including management responsibility, internal control systems and requirements for record keeping.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- Generic Fairtrade Standards promote performance objective setting and corrective measures. Organizations are required to have a way of monitoring, measuring or evaluating how producers are complying with the standard.

CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- Generic Fairtrade Standards reference basic level of employee training. Although not referenced in the standards, Fairtrade does offer voluntary on-site assistance and guidance on understanding and meeting the requirements, including corrective actions. It also offers some specialized and focused trainings.
STAKEHOLDER ENGAGEMENT | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

• Generic Fairtrade Standards reference some basic level of engaging external stakeholders for the benefit of the local community and worker’s well being, it does not have rigorous requirements or guidance on engaging external stakeholders.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Site selection and management
- Planting material
- Integrated Crop Management
- Sustainability management system

None

Access to information and support services

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ECONOMIC SUSTAINABILITY

- Financial structure
- Relation to the market
- Diversification

None

Safety, quality and transparency

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY

- Labour conditions
- Strengthening local economy

None

Training

Comments on elements that are less rigorous than SAI Platform Principle:

• Training | Limited training elements are integrated into the Generic Fairtrade Standards within a specific component such as education on social rights and health & safety. It does not cover training for general aspects of farming or other life skills. Note that the Fairtrade Hired Labour Standard (not included in this study) does deal with workers trainings.

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation
- Water conservation
- Biodiversity conservation
- Integrated waste and crop by-product management
- Energy conservation
- Air conservation

Comments on elements that are less rigorous than SAI Platform Principle:

• Energy Conservation | Producers are “encouraged” to minimize the use of energy especially from non-renewable sources within the general expectations of Environmental Development. However, Generic Fairtrade Standards do not have a specific element or guidance dedicated to Energy Conservation.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- Food Alliance publishes new or adapted standards once a year and the Board of Directors and Stewardship Council has authority over the standards. The member information is available online and represents a cross-section of food and agricultural interests and expertise. Public information on documented formal procedures and output of broader stakeholder involvement is lacking.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The Board of Directors and Stewardship Council member information is available online and represents a cross-section of food and agricultural interests and expertise. Documented public information on how the board is managed is lacking. However, Food Alliance does have internal documents that define the structure, roles and responsibilities of the teams. Board by-laws are also available by request.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- Food Alliance has an internal conflict of interest policy statement for its board members. For producers, Food Alliance has an appeals program in place for certification disputes with an online request form. Publicly documented procedures and requirements are lacking.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Food Alliance, via its ISO certified partner organization, International Certification Services (ICS), engages private contractors to perform on-site evaluations of applicants to the Food Alliance certification program. New site inspectors are trained by Food Alliance and/or ICS staff and mentored by current site inspectors. There are no detailed documented procedures for accreditation for certification or auditor requirements.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- The Food Alliance certification seal is used for identification and promotion of Food Alliance Certified products. Information about proper logo and/or claim usage is detailed in a document entitled “Certification Claims Guide”.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- Food Alliance inspection tool has minor references to management plans and policies within the various elements. It does not have a direct requirement in the development and implementation of a comprehensive management system.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- Food Alliance inspection tool requires that farms be committed to continually improving management practices by, upon renewal of certification, farms and ranches must show progress in fulfilling the improvement goals. It is lacking in rigorous guidance and detail through which how improvements can be tracked over time.

CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- Food Alliance inspection tool has limited criteria for work force development and new skills training for workers. It is lacking in rigorous overall requirements or guidance in capacity building/training.
STAKEHOLDER ENGAGEMENT | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

• Food Alliance inspection tool does not include any elements that reference engaging external stakeholders.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Integrated Crop Management; Access to information and support services
- Sustainability management system
- Site selection and management; Planting material

Comments on elements that are less rigorous than SAI Platform Principle:

• Management Systems | Food Alliance inspection tool has minor references to management plans and policies within the various elements; however it does not directly require the development of a comprehensive management system.

SUMMARY: ECONOMIC SUSTAINABILITY

- Safety, quality and transparency
- None
- Financial structure; Relation to the market; Diversification

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY

- Labour conditions; Training
- None
- Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation; Water conservation; Biodiversity conservation
- None
- Integrated waste and crop by-product management; Energy conservation; Air conservation

Comments on elements that are less rigorous than SAI Platform Principle: N/A
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The standards development process is clearly outlined in the publically available “Proc e edures for the setting and revision of GLOBALGAP Standards,” which outlines the process for standard setting that include multiple stakeholders’ involvement. Global G.A.P. actively engages with many different stakeholders around the globe, including retailers, local suppliers and technical experts to feed into the standard development. There is an interactive webpage for the public to directly comment on each standard.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The standard is maintained by a Board and special committees representative of both retailers and suppliers. Information on Board and Committee Members is published online. The activities and responsibilities of the board are documented. The standard receives rigorous review and undergoes improvements on a 3 to 4 year cycle to ensure the most up-to-date market developments.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- The General Regulations document describes the basic steps to ensure separation of activities which could cause a conflict of interest and ensure the integrity of the certifying body. And, it outlines complaint handling requirements for producer groups.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Certification is managed by a Certification Body Committee. Global G.A.P. signs service agreements with independent Certified Bodies (CBs) which act as independent auditing companies. There is well documented Certification Body Rules within the General Regulations that outlines the certification body approval process, ISO standards requirements, and inspector or auditor qualifications.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- Rules for use of EurepGAP and Global Gap trademark and logos are outlined within the Standard Document under the section General Regulations. The logo is only permitted for use in a producers packhouse or warehouse. Global G.A.P. also operates a database of all certified producers worldwide where information about particular certified producers can be validated directly online.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- Global G.A.P. criteria requirements for Producer Groups require the application of a quality management system across the whole group in order to ensure uniform compliance with the Global G.A.P. standard requirements within all production locations. It outlines management structure, document control and record keeping.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- Global G.A.P. has for criteria internal self-assessments and corrective actions. It lacks rigorous guidance and detail on monitoring and objective setting through which improvements can be tracked and improved over time.
DETAILED BENCHMARK ANALYSIS

CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- Global G.A.P. criteria have basic training requirements as related to worker health and safety. It does not have a rigorous overall requirements or guidance in capacity building or training.

STAKEHOLDER ENGAGEMENT | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- Global G.A.P. criteria do not include any elements that reference engaging external stakeholders.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Site selection and management; Planting material; Integrated Crop Management; Sustainability management system; Access to information and support services

None

None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ECONOMIC SUSTAINABILITY

- Safety, quality and transparency

None

Financial structure; Relation to the market; Diversification

None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY

- Training

Labour conditions

Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle:

- Labour conditions | The control point criteria for labor conditions within the Global G.A.P. criteria are primarily centered around the worker’s health and safety. It does not cover elements such as freedom of association, child labor, discrimination & harassment, wages & benefits. It also does not reference ILO declarations.

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management;

Energy conservation; Air conservation

None

Comments on elements that are less rigorous than SAI Platform Principle:

- Energy conservation | Global G.A.P. criteria have one “recommended” control point for monitoring of energy use only.

- Air conservation | Global G.A.P. criteria references air contamination as part of its waste and pollution action plan.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- No consultation with stakeholders was carried out during the production of the Guidelines. After the publication of the 3rd edition, a meeting with representatives of the organizations who endorse the program was held in 2005. Regular contact is maintained with the endorsed organizations to solve any emerging questions. Their suggestions for alterations or improvements are taken into consideration. There are no documented procedures.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The IOBC has established a commission to oversee the development and updating of the scheme. However, there is limited information on the structure and composition of the commission except for 5 published names. There are no published protocols on the commission's operations or how it is managed.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- IOBC does not have in place documented procedures for conflict of interest and dispute resolution.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Not applicable. IOBC is a verification scheme.
- Special note on verification: IOBC moves the responsibility of requirements for verification of individual farms to the applying organization, which is to employ their own monitoring process. The inspection body must be approved by IOBC and following accepted ISO norms. There are guidelines for the inspection body to follow in regards to procedures and checklists used.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- Not applicable. IOBC is not a labeling program.
- Special note: Approved organizations are given an endorsement certificate and have the right to use the endorsement in public.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard's principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- IOBC principles include basic references to an overall “systems” approach to integrated farming. There are no specific elements with guidance and requirements directly addressing the implementation of a full management system.

CONTINUOUS IMPROVEMENT | The standard's principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The IOBC principles reference the development and operation of an internal evaluation system that monitors the achievements of its member farms. It is lacking in rigorous guidance and detail for monitoring and objective setting through which improvements can be tracked over time. Note that IOBC has developed a tool named SESAME to help organizations check the quality of the performance of each individual farm and of the whole organization.
DETAILED BENCHMARK ANALYSIS

CAPACITY BUILDING/TRAINING | The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- IOBC has limited references to training throughout the standard. It is lacking in rigorous detail and guidance on capacity building and training requirements.

STAKEHOLDER ENGAGEMENT | The standard's principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- IOBC has a general principle that states agriculture should meet the needs of the entire society, including maintenance of local cultural traditions. However, it does not go into detail or reference collaboration and dialogue within their community.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM
- Site selection and management; Planting material; Integrated Crop Management; Access to information and support services
- Sustainability management system

Comments on elements that are less rigorous than SAI Platform Principle:
- Management systems | IOBC principles include references to an overall “systems” approach to integrated farming. However, there are no specific elements with guidance and requirements addressing management systems directly on the farm level.

SUMMARY: ECONOMIC SUSTAINABILITY
- Safety, quality and transparency; Financial structure; Relation to the market

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY
- Training
- Labour conditions; Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle:
- Labour conditions | Social quality is a pillar of the IOBC principles. The standard defines social quality as in compliance with the basic rights, health and welfare of the workers as defined by the ILO. However, it does not go into specific details.
- Strengthening local economy | IOBC has a general principle for agriculture to meet the needs of the entire society, including maintenance of local cultural traditions. It does not go into further detail for collaboration and dialogue within their community.

SUMMARY: ENVIRONMENTAL SUSTAINABILITY
- Soil conservation; Water conservation; Biodiversity conservation
- Integrated waste and crop by-product management
- Energy conservation; Air conservation

Comments on elements that are less rigorous than SAI Platform Principle:
- Integrated waste and crop by-product management | IOBC has one element that references the safe disposal of pesticides and chemical waste. However, there is no detailed guidance or direct reference for reuse and recycle of waste and reduction of pollution.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorosity of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The LEAF Marque Standards were developed and reviewed by a technical advisory committee (TAC). The TAC has industry and regulatory representation and also NGOs that have more specific environmental and biodiversity input to the standard. Organization names are available in the preamble of the standards themselves. Public information on documented procedures for multi-stakeholder involvement is lacking. However, LEAF states that the TAC does meet quarterly to discuss issues surrounding the standard. Rules for joining LEAF and the TAC’s Terms of Reference are available upon request.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The LEAF Marque governing body is an Advisory Board made up of some thirty members representing national government departments, farmers, supermarkets, conservation, environmental and consumer groups, educational establishments and industry bodies. The managing body is an Executive Committee which is responsible for the overall management of LEAF and receives support and guidance from the Advisory Board. Documented public information on board member profiles or how the board is managed is lacking. However, LEAF does have in place internal Articles of Association.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- LEAF has in place a brief appeals and complaints explanation within its certification rules. For full procedures, the suppliers must go through the original certification body.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Certification bodies are chosen from those accredited against EN45011 from the United Kingdom Accreditation Service. Accreditation by UKAS demonstrates the competence, impartiality and performance capability of evaluators. LEAF also has internal documents for certification body requirements and auditor training.

- Note that when going for accreditation to the LEAF Marque Standard, it is a prerequisite to have in place baseline schemes of Assured Food Standards or Global Gap.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- LEAF has in place comprehensive guidelines for use of the LEAF Marque Logo.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- The LEAF Marque Standard has very comprehensive management systems requirements including written policies, objective setting and tracking, annual reviews and management support.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The LEAF Marque Standard requires the developing of a documented plan that sets out short-term and long-term objectives for performance improvement. Targets, with a timescale, must be set to improve and enhance the environment.
DETAILED BENCHMARK ANALYSIS

CAPACITY BUILDING/TRAINING | The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- The LEAF Marque Standard has limited training requirements as it relates to accurate application techniques for pesticides and nutrients.

STAKEHOLDER ENGAGEMENT | The standard's principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- The LEAF Marque Standard has a requirement for stakeholder engagement including regular communication and participation with local community initiatives that lead to a balanced and positive approach to farming.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES

| Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles |

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Site selection and management; Integrated Crop Management; Sustainability management system; Access to information and support services
- Planting material
- None

Comments on elements that are less rigorous than SAI Platform Principle:
- Planting material | LEAF Marque Standard does reference planting material within its element on Wildlife and Landscape in relation to using native seedlings.

SUMMARY: ECONOMIC SUSTAINABILITY

- Safety, quality and transparency
- Relation to the market
- Financial structure; Diversification

Comments on elements that are less rigorous than SAI Platform Principle:
- Relation to the market | LEAF Marque Standard has an element for understanding and delivery of customers’ requirements in order to better meet market needs. It does not address pricing or trading channels.

SUMMARY: SOCIAL SUSTAINABILITY

- Strengthening local economy
- Training
- Labour conditions

Comments on elements that are less rigorous than SAI Platform Principle:
- Training | LEAF Marque requires some training as it relates to accurate application techniques for pesticides and nutrients. It does not refer to basic training for worker health & safety.

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation; Water conservation; Energy conservation; Biodiversity conservation; Integrated waste and crop by-product management
- Air conservation
- None

Comments on elements that are less rigorous than SAI Platform Principle:
- Air conservation | The LEAF Marque Standard references air pollution within general “pollution control” requirements. There is not a dedicated element for air conservation.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

• Protected Harvest grew out of a collaboration of the World Wildlife Fund, the Wisconsin Potato and Vegetable Growers Association, and the University of Wisconsin. Public information on documented multi-stakeholder involvement such as participant names and procedures is lacking. However, Protected Harvest does have in place internal policy recommendations on the composition and operation of its advisory committees.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

• In-depth profile information is provided for members of the Board of Directors for Protected Harvest that includes a cross sector representation of trade organizations, NGO, scientists and consultants. Documented public information on how the board is managed is lacking. However, by-laws for board management are outlined and available by request.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

• Protected Harvest does not have public information available in regards to their process for conflict of interest & dispute resolution for members/producers. However, they do have in place an internal Board Policy to insure that business conducted by the Protected Harvest Board is above reproach in all aspects of Board activity.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

• Protected Harvest utilizes third-party certification firms that are also licensed to do organic inspections through the USDA program and/or firms with ISO certification for auditing to ISO 14001. Accreditation certification procedures are not readily available. Protected Harvest has a written policy in place for evaluating inspectors.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

• Logos can be downloaded online. Protected Harvest requires all users of the logo to sign a license agreement that outlines the rules for use of the registered trademark.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

• The Protected Harvest potato checklist has brief references to items such as record keeping and management plans for pesticide applications. There is not a dedicated requirement for the development and implementation of a full management system.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

• Protected Harvest potato checklist does not include any elements that reference continuous improvement.
### CAPACITY BUILDING/TRAINING
The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- Protected Harvest potato checklist does not include any elements that reference capacity building or training.

### STAKEHOLDER ENGAGEMENT
The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- Protected Harvest potato checklist does not include any elements that reference engaging external stakeholders.

## II. SAI PLATFORM PRINCIPLES COMPARISON

### A. COVERAGE: SAI PLATFORM PRINCIPLES
Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

### B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

### SUMMARY: SUSTAINABLE FARMING SYSTEM
- Integrated Crop Management; Access to information and support services
- Planting material; Sustainability management system
- Site selection and management

Comments on elements that are less rigorous than SAI Platform Principle:
- Planting material | The Protected Harvest potato checklist has one question in this area for planting of certified seeds. It is lacking in rigorous detail.
- Management Systems | The Protected Harvest potato checklist has references to items such as record keeping and management plans for pesticide applications. There is not a dedicated requirement for the development of a full management system.

### SUMMARY: ECONOMIC SUSTAINABILITY
- None
- None
- Safety, quality and transparency; Financial structure; Relation to the market; Diversification

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### SUMMARY: SOCIAL SUSTAINABILITY
- None
- None
- Labour conditions; Training; Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### SUMMARY: ENVIRONMENTAL SUSTAINABILITY
- Soil conservation; Biodiversity conservation
- Water conservation
- Energy conservation; Air conservation; Integrated waste and crop by-product management

Comments on elements that are less rigorous than SAI Platform Principle:
- Water conservation | The Protected Harvest potato checklist has one question related to irrigation management strategy. It is lacking in rigorous detail and guidance.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The SAN Standard was developed by a coalition of leading conservation groups across Latin America. Information on members is available online.
- The standards development process is clearly outlined in the publically available Standards & Policy Development Handbook, which complies with the Code of Good Practice of the International Social and Environmental Accreditation and Labeling (ISEAL) Alliance. It includes detailed protocols on consultation, development and revisions.
- Instructional information is available online for public comments and suggestions. A timeline of public consultation and stakeholder workshops is available for viewing.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The SAN Board of Directors and subsequent International Standards Committee functions and responsibilities for maintaining the standards are clearly outlined in the Standards & Policy Development Handbook. Board member information is available online and is represented by a coalition of group members and technical experts.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- Rainforest Alliance has a compliances and appeals process with online forms. Documented procedures and protocols for conflict of resolution is available through the certification body.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Certification of farms for the Rainforest Alliance Seal is carried out by an independent certification company, Sustainable Farm Certification, Intl. There is a separate website dedicated to certification and quality policies and have in place documented internal accreditation procedures. The organization is ISO certified.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- Rainforest Alliance has a comprehensive “Use of Seal Guidelines” available to members.

B. SYSTEMS ENHANCEMENT CRITERIA

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- SAN Standard has a very thorough section on the requirements of a social and environmental management system that includes a set of policies and procedures for producers in planning and executing operations in order to comply with the standard.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The SAN Standard requires internal and external evaluation to support continuous improvement on the farm. The farms are asked to implement short and long term objectives and goals with a timeline for implementation.
II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES

Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles.

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Site selection and management; Integrated Crop Management; Sustainability management system; Access to information and support services
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ECONOMIC SUSTAINABILITY

- None
- Safety, quality and transparency
- Financial structure; Relation to the market; Diversification

Comments on elements that are less rigorous than SAI Platform Principle:
- Safety, quality and transparency | SAN Standard does not directly address product quality and traceability. However, it has similar requirements to post-harvest pesticide use.

SUMMARY: SOCIAL SUSTAINABILITY

- Labour conditions; Training; Strengthening local economy
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management
- Air conservation
- Energy conservation

Comments on elements that are less rigorous than SAI Platform Principle:
- Air conservation | SAN Standard references protection from harmful air emissions within the standard’s annex.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The development process for SCS-001 is managed by the Leonardo Academy using ANSI process for standard setting. Detailed protocols are publicly available within the ANSI Standards Development Constitution that outlines due process and consensus criteria.
- Four stakeholder “interest groups” are targeted for feedback, including producers, users, environmentalists and general interest. Working group meeting notes and public question & answer series are available online.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- As SCS-001 is still in the draft stage, there is not a “Board” established. However, Leonardo Academy does manage an official Standards Committee made up of equal representation from all identified stakeholder groups who are responsible for developing, maintaining, approving and achieving consensus on the standard. Protocol and participation information is available online. Various subcommittees work on issue and sector specific issues.
- Leonardo Academy publically discloses membership of both the Standards Committee and subcommittees.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- Complaints are processed in a specific manner as stated in the Leonardo Academy ANSI Standards Development Constitution. Responses to appeals are available online.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- SCS has in place documented requirements for qualification for accredited auditing bodies, including consistency with requirements found in both ISO/IEC Guide 65 and ISO-14042. It references the ANSI process which has its own accreditation service and operating guidelines. Given the draft nature of the SCS-001, more information on accreditation is still being developed.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- SCS has published detailed regulations regarding entitlements for public claims reflecting the certification status, including the use of certification logos.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- SCS-001 Standard has a prerequisite requirement for the establishment and maintenance of an Agricultural Production Plan and provides good guidance. It requires the producers to have a written document that describes the protocols and procedures used by the producer in carrying out its daily functions. Good record keeping practices are also a prerequisite.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- SCS-001 Standard requires output monitoring and requires objective setting within the management systems plan. It requires the publication of a management report which summarizes internal audit findings related to implementation of the producer’s agriculture production plan.
CAPACITY BUILDING/TRAINING | The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- SCS-001 Standard has a formal training element required for managers and workers in the implementation of the Agricultural Production Plan's for each of the elements. Information is intended to help the producers in meeting all the elements of the standard.

STAKEHOLDER ENGAGEMENT | The standard's principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- SCS-001 has comprehensive elements for community benefits require engaging external stakeholders in the community regarding potential impact to their well-being as well as training and education.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM
- Site selection and management; Planting material; Integrated Crop Management; Sustainability management system
- Access to information and support services

Comments on elements that are less rigorous than SAI Platform Principle:
- Access to information and support services | SCS-001 Standard references farms to seek outside advice in certain areas such as for protection of high ecological value areas and determining plant nutrition requirements.

SUMMARY: ECONOMIC SUSTAINABILITY
- Safety, quality and transparency; Financial structure; Diversification

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY
- Labour conditions; Training; Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ENVIRONMENTAL SUSTAINABILITY
- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation

Comments on elements that are less rigorous than SAI Platform Principle: N/A
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- As part of cooperation between WWF Switzerland and the Swiss retailer Coop, the Basel Criteria for Responsible Soy Production was developed with the guidance of a consultancy, ProForest. The Basel Criteria Code of Conduct has an appendix that lists the contributing organizations to the code. There are no processes or procedures in place to ensure the standard was developed through a multi-stakeholder approach.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The organizations involved in this scheme do not provide information on the governance structure for the Basel Criteria. ProfForerst is a consultant only and their own governance policies are not relevant to the Basel Criteria.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- The Basel Criteria does not have a process in place for conflict of interest and dispute resolution

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Not applicable. Basel Criteria is a verification scheme. There are some certification schemes based on the Basel Criteria including CERT ID’s Pro Terra standard and GrünPass.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- Not applicable. The Basel Criteria is not a labeling program.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- The Basel Criteria has references to systems for areas such as understanding local laws and product traceability. There is no direct requirement or guidance for the development and implementation of an overall management system.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The Basel Criteria has a dedicated chapter for continuous improvement that requires the development of a plan of action for improvement and criteria for implementing the actions in the plan.

CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- The Basel Criteria does have an element that calls for basic worker training. It does not have rigorous requirements or guidance on overall capacity building and training.
II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES

| Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles | Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done. |

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### SUMMARY: SUSTAINABLE FARMING SYSTEM

- Site selection and management
- Planting material
- Integrated Crop Management
- Sustainability management system
- Access to information and support services

Comments on elements that are less rigorous than SAI Platform Principle:
- Management Systems | The Basel Criteria has references to systems in areas such as understanding local laws and product traceability. There is no direct requirement with guidance for the development and implementation of an overall management system.

### SUMMARY: ECONOMIC SUSTAINABILITY

- Safety, quality and transparency
- None
- Financial structure; Relation to the market; Diversification

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### SUMMARY: SOCIAL SUSTAINABILITY

- Labour conditions; Training; Strengthening local economy
- None
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management
- Energy conservation; Air conservation
- None

Comments on elements that are less rigorous than SAI Platform Principle:
- Energy conservation | The Basel criteria references energy use within the context of an overall environmental impact assessment requirement. It does not provide detail or guidance on energy conservation.
- Air conservation | The Basel criteria references impacts on air within the context of an overall environmental impact assessment requirement. It does not provide detail or guidance on air conservation.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- 4C is an open membership association. Members are coffee producers, trade and industry, civil society organizations, public institutions, research organizations and individuals. The 4C Association builds on a participatory decision making process. The structure is supported by specific and documented statutes that outline participation procedures for all members.
- In addition, 4C has structured a series of Forums that provide an active platform on a local level for the exchange of information, practical experience and views on 4C and its implementation and concepts. By-laws are available online.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The 4C Association has a series of clearly documented structures for the management of the scheme starting with the General Assembly made up of all members. It consists of a producer’s chamber, a trade and industry chamber and a civil society chamber. In addition, there is a Council, Executive Board, Technical Committee, Secretariat and Mediation Board. Each are represented by the various association members. By laws and roles for each are available for public review.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- 4C has documented procedures in cases of dispute with the creation of a Mediation Board constituted by the 4C council. Detailed procedures are publicly available.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Not applicable. 4C is a verification scheme.
- Special note on verification: The association has published a procedures document entitled “4C Verification Scheme” with information on its verification process. The document has in a place processes for a systems review of the verifiers to ensure credibility. Auditor requirements and skills training are documented. List of approved inspection bodies and rates are available and should have an accreditation against ISO/IEC Guides. 4C is also becoming a member of the ISEAL Alliance.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- Not applicable. 4C is not a labeling program.
- Special Note: The concept of 4C verification can be publically reflected in a membership statement.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- 4C briefly references the development of individual management plans as a means of supporting improvements. However, it does not go into rigorous detail or guidance in the requirements of a proper management system.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- 4C has embedded a spirit of continuous improvement through the scheme. This commitment is outlined in the Rules of Participation. It includes monitoring and frequent measurements against the 4C code and reporting of results of the improvement process.
DETAILED BENCHMARK ANALYSIS

CAPACITY BUILDING/TRAINING | The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- 4C has a formal capacity and skills development element within the 4C commitments. It includes areas for proper training, overall skills development and technical assistance.

STAKEHOLDER ENGAGEMENT | The standard's principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- 4C has fostered a spirit of close cooperation among stakeholders in the supply chain such as the development of localized forums and supporting institutions.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

Access to information and support services
Planting material; Integrated Crop Management; Sustainability management system
Site selection and management

Comments on elements that are less rigorous than SAI Platform Principle:
- Planting material | 4C forbids the use of genetically modified crops. It does not address other elements like seed quality, rootstock or dressings.
- Integrated Crop Management | 4C has an element for agrochemicals and use of pesticides and nutrients in crop management. It does not address rotation & cultivation practices, sludge or pest management.
- Sustainability management system | 4C briefly references the development of individual management plans as a means of supporting improvements. However, it does not go into rigorous detail or guidance in the requirements of a proper management system.

SUMMARY: ECONOMIC SUSTAINABILITY

Safety, quality and transparency; Financial structure; Relation to the market
None
Diversification

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY

Labour conditions; Training
None
Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

None
Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation
Air conservation

Comments on elements that are less rigorous than SAI Platform Principle:
- Soil conservation | 4C has an element for soil fertility that calls for soil conservation practices. However, it is lacking in rigorous detail and guidance.
- Water conservation | 4C has an element for water that calls for water conservation practices. However, it is lacking in rigorous detail and guidance.
- Biodiversity conservation | 4C has an element for that calls for biodiversity. However, it is lacking in rigorous detail and guidance.
- Integrated waste and crop by-product management | 4C has an element for waste that calls for water conservation and wastewater practices. However, it is lacking in rigorous detail and guidance.
- Energy conservation | 4C has an element for energy that calls for use of renewable energy. However, it is lacking in rigorous detail and guidance.
A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The RSPO Principles and Criteria were drafted with various stakeholders that include oil palm growers, palm oil processors and traders, consumer goods manufacturers, retailers, banks/investors, environmental/nature conservation NGOs and social/developmental NGOs. To manage the process, RSPO set up a documented “Framework for Drafting Criteria for Sustainable Palm Oil” which includes a layout of the composition of the criteria working group to ensure broad stakeholder interest. A timeline of the working group plans and draft versions are available for review. A public consultation period was also included.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- RSPO has a governance structure upon which management and procedures are clearly documented in public Statutes and By-Laws. Meeting information and meeting minutes are available for public review. Full profile information on executive board members is available online with allocation of seats based on membership requirements.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- RSPO has set up a Grievance Panel and maintains the full grievance procedures available for public review. It offers a comprehensive platform to address complaints against all RSPO Members.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- RSPO has a published document for Supply Chain Certification Systems that covers procedures for setting up a credible and practical system for the certification and subsequent trade of RSPO certified palm oil. It contains accreditation and approval requirements for certification bodies which include ISO/IEC Guide 65 and ISO 17011:2004. It also covers auditor requirements, audit procedures and methodology. The RSPO has approved third-party certification bodies, a listing of which is posted on the RSPO website.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- RSPO has published Guidelines on Communications & Claims. This document contains rules for all communication related to the production, procurement and use of RSPO certified materials.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard's principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- RSPO emphasizes management systems within its principles. Criteria include the development of operating procedures and checkpoints for ensuring implementation of the procedures.
### Continuous Improvement

The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- RSPO has a criteria element for continuous improvement that requires growers to regularly monitor and review their activities in order to demonstrate improvement over time. Guidance on action plan development is given.

### Capacity Building/Training

The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- RSPO has a dedicated criteria for the development of a formal training program. It provides guidance and has a record keeping requirement.

### Stakeholder Engagement

The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- RSPO has multiple criteria that focus on stakeholder engagement such as land use rights, compensation, social impact assessments, communication with communities, transparent negotiations and overall contribution to sustainable development of local communities.

## II. SAI Platform Principles Comparison

### A. Coverage: SAI Platform Principles

<table>
<thead>
<tr>
<th>Principle</th>
<th>RSPO</th>
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<tbody>
<tr>
<td>Site selection and management</td>
<td>Yes</td>
</tr>
<tr>
<td>Integrated Crop Management</td>
<td>Yes</td>
</tr>
<tr>
<td>Sustainability management system</td>
<td>Yes</td>
</tr>
<tr>
<td>Planting material</td>
<td>No</td>
</tr>
<tr>
<td>Access to information and support services</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### B. Level of Rigour

Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

### Summary: Sustainable Farming System

- Site selection and management
- Integrated Crop Management
- Sustainability management system

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### Summary: Economic Sustainability

- Financial structure
- Relation to the market
- Safety, quality and transparency; Diversification

Comments on elements that are less rigorous than SAI Platform Principle: N/A

- Relation to the market | RSPO addresses relation to the market as it relates to the interaction with smallholders and local business such as being open and transparent with pricing. It does not cover aspects like producers coming together for better trading opportunities.

### Summary: Social Sustainability

- Labour conditions; Training; Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### Summary: Environmental Sustainability

- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation
- Air conservation

Comments on elements that are less rigorous than SAI Platform Principle: N/A
### I. CORE CRITERIA EVALUATION

#### A. GOVERNANCE & REGULATION OF THE SCHEME

**MULTI-STAKEHOLDER PROCESS** | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The RTRS Principles and Criteria are still currently in the development stage. The RTRS has appointed a Principle, Criteria and Verification Mechanism Developing Group that was responsible for the creation of the standards. The Development Group effort is facilitated by ProForest, a management consultancy. The Development Group is composed by representatives from Producers, Industry, Trade & Finance and Civil Society. List of participating members is publicly available. In addition, RTRS has a formal Public Consultation process where interested individuals can submit comments and suggested criteria on the Concept of Responsible Soy.

**GOOD GOVERNANCE** | Scheme is well maintained by a representative and transparent board

- The RTRS scheme is managed by a General Assembly and its main decision making body within an Executive Board. Both are represented in an equally balanced way by Producers, Industry, Trade & Finance and Civil Society Organizations. Detailed member profile information on the organizations and personnel is publicly available. In addition, detailed information is provided about other interested groups in the General Assembly, such as public institutions, research organizations and individuals, who are non-voting RTRS members

- RTRS publishes well documented Statutes that define how the organization is managed, by-laws that lay out the structure mechanism, rights and duties of the General Assembly and the Executive Board and detailed meeting minutes of monthly conference calls and meetings.

**CONFLICT OF INTEREST & DISPUTE RESOLUTION** | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- For conflict resolution, RTRS has a regulatory framework expressed in its by-laws including a mediation committee formed by the 3 vice-presidents. RTRS also has set a procedure for dispute resolution related to the application and breaches of its Code of Conduct.

#### B. SYSTEMS ENHANCEMENT CRITERIA

**MANAGEMENT SYSTEMS** | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- RTRS Principles and Criteria has references to review internal farm monitoring systems for compliance and the need for management plans. There is not a direct requirement or guidance for the development and implementation of an overall management system.

**CONTINUOUS IMPROVEMENT** | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- RTRS Principles and Criteria have a dedicated criterion for supplies’ commitment to continuous improvement with respect to the standard. Baseline monitoring indicators should be established, reviewed and action taken when necessary.
DETAILED BENCHMARK ANALYSIS

CAPACITY BUILDING/TRAINING | The standard's principles/criteria encourage or give guidance to the user to the process of equipping employees with the understanding, skills, and access to information, knowledge, and training that enables them to perform more effectively in meeting the standards of the scheme.

- RTRS Principles and Criteria has limited training requirements within its standard for elements such as worker’s rights, health & safety and local population training programs.

STAKEHOLDER ENGAGEMENT | The standard's principles/criteria encourage or give guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc. through community or farm activities and proactive external communication.

- RTRS Principles and Criteria has several dedicated criteria for community engagement including legal use of rights to land, open and transparent engagement with interested parties, affect of expansion of soy bean areas on local communities, grievance procedures with local communities and employment and training of the local population.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Site selection and management; Integrated Crop Management
- Planting material; Sustainability management system; Access to information and support services
- None

Comments on elements that are less rigorous than SAI Platform Principle:

- Planting material | RTRS Principles and Criteria has criteria for the control of the origin of seeds as a prevention of new diseases. It does not cover crop husbandry or genetically modified plants.
- Sustainability management system | RTRS Principles and Criteria has references to review internal farm monitoring systems for compliance and the need for management plans. There is not a dedicated requirement for the development of a full management system with policies and procedures for overall farm sustainability.
- Access to information and support services | RTRS Principles and Criteria briefly references seeking professional recommendations in some areas. It is lacking in rigorous detail.

SUMMARY: ECONOMIC SUSTAINABILITY

- None
- None
- Safety, quality and transparency; Financial structure; Relation to the market; Diversification

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY

- Labour conditions; Training; Strengthening local economy
- None
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Air conservation
- None
- Energy conservation

Comments on elements that are less rigorous than SAI Platform Principle: N/A
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders

- The UTZ Certified Code of Conduct is evaluated and revised every year through an internal and external revision procedure, using as input the experiences of producers, agronomists and certifiers working with the code. UTZ Certified consults with stakeholders throughout the coffee industry through direct written input and regional workshops and with the EurepGap technical standards committee. Participants include producers, traders and NGOs. Public information on documented multi-stakeholder involvement such as participant names and procedures is lacking. However, UTZ Certified has recently joined the ISEAL Alliance in order to put in place a proper internal UTZ code development/stakeholder participation procedure document.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- UTZ Certified has an independent board with representatives from coffee growers, coffee traders and roasters, and NGOs. UTZ Certified has brief profile information on board members available online. Documented public information on how the board is managed is lacking. However, UTZ Certified does have in place formal internal operating procedures and board responsibilities.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- UTZ Certified has a clearly outlined compliant handling procedure for any person to file a complaint to the Headquarters office.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- A list of UTZ Certified approved independent certification bodies is publicly provided and chosen on the basis of their ISO 65 accreditation. UTZ Certified does maintain detailed Certification Protocols for accreditation and auditor training.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- The use of the UTZ Certified logo and all communication about UTZ Certified are clearly outlined in the document “UTZ Certified Logo Use Requirements.” It is available to members only.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- UTZ Certified code of conduct for coffee has a dedicated element for management systems and record keeping that outlines requirements for the farm to maintain.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- UTZ Certified code structure for coffee is based on a four year improvement structure and inclusion of risk based approaches and management plans. It also requires at least one self inspection per year along with corrective action.
### CAPACITY BUILDING/TRAINING
The standard's principles/criteria encourage or give guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- UTZ Certified code of conduct for coffee has training requirements engrained within various areas such as use of fertilizers, integrated pest managements and worker health & safety. It does require recording keeping.

### STAKEHOLDER ENGAGEMENT
The standard's principles/criteria encourage or give guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- UTZ Certified code of conduct for coffee does not include any elements that reference engaging external stakeholders

### II. SAI PLATFORM PRINCIPLES COMPARISON

#### A. COVERAGE: SAI PLATFORM PRINCIPLES
Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

#### B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

### SUMMARY: SUSTAINABLE FARMING SYSTEM
- Site selection and management; Planting material; Integrated Crop Management; Sustainability management system; Access to information and support services
- None
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### SUMMARY: ECONOMIC SUSTAINABILITY
- Safety, quality and transparency
- Diversification
- Financial structure; Relation to the market

Comments on elements that are less rigorous than SAI Platform Principle:
- Diversification | UTZ certified code of conduct for coffee has a limited recommendation for the producer to assess the possibility of diversification.

### SUMMARY: SOCIAL SUSTAINABILITY
- Labour conditions; Training
- None
- Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle: N/A

### SUMMARY: ENVIRONMENTAL SUSTAINABILITY
- Soil conservation; Water conservation; Biodiversity conservation; Energy conservation
- Integrated waste and crop by-product management
- Air conservation

Comments on elements that are less rigorous than SAI Platform Principle:
- Integrated waste and crop by-product management | UTZ certified code of conduct for coffee has a minor level requirement to implement a system of reducing or recycling waste. More detailed guidance is available in a separate UTZ implementation manual made available to producers.
**I. CORE CRITERIA EVALUATION**

**A. GOVERNANCE & REGULATION OF THE SCHEME** | Evaluate the rigorousness of how the scheme is run

<table>
<thead>
<tr>
<th>Criteria element is fully met with rigorous detail</th>
<th>Criteria element is partially met and/or lacking in-depth public information</th>
<th>Criteria element is not met</th>
<th>Criteria element is not applicable to the scheme</th>
</tr>
</thead>
</table>

**MULTI-STAKEHOLDER PROCESS** | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The scheme was developed by delegates from EU member states through the shared institution of the European Commission. Documents outlining feedback from public consultations in 2003 and 2004 are available online. The European Commission also includes external specialized experts in the monitoring and development of policy. Reports from the experts, including participants' names, are available online.

**GOOD GOVERNANCE** | Scheme is well maintained by a representative and transparent board

- Legislation and revisions of the regulations are maintained through the Standing Committee on Organic Farming, which is made up of representatives from the EU member states. Participants and meeting reports from the Standing Committee on Organic Farming are available publicly.

**CONFLICT OF INTEREST & DISPUTE RESOLUTION** | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- Conflict of interest and dispute resolution is carried out by individual authority bodies assigned by Member States. Individual process and procedures may vary.

**ACCREDITATION** (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- For the EU Organic Scheme, the overall supervision activity by the EU is carried out through Article 27 of Council Regulation (EC) No 834/2007 that specifies the conditions required for the delegated authority body including accreditation to EN45011 or ISO Guide 65. It is up to Member States within the E.U. to set up a system of controls specific for accreditation and monitoring of certification bodies.

**LOGOS & CLAIMS** (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- EU Organic Scheme has thorough publically available regulations that outline the use of the EU-logo, labeling requirements and rules for conformity of the logo.

**B. SYSTEMS ENHANCEMENT CRITERIA** | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

**MANAGEMENT SYSTEMS** | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- Regulation EU 834/2007 has a reference to develop a management system for general agriculture needs. It does not include any specific requirements or practices for implementing a full management system.

**CONTINUOUS IMPROVEMENT** | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- Regulation EU 834/2007 does not include any elements that reference continuous improvement.

**CAPACITY BUILDING/TRAINING** | The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- Regulation EU 834/2007 does not include any elements that reference capacity building or training.
II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES

Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- None
- Planting material; Integrated Crop Management; Sustainability management system
- Site selection and management; Access to information and support services

Comments on elements that are less rigorous than SAI Platform Principle:
- Planting material | EU 834/2007 has regulations that refer to the requirements of use of organic seed and prohibition of genetically modified materials. It does not directly address seed variety, traceability or crop husbandry.
- Integrated Crop Management | EU 834/2007 has regulations that reference cultivation, fertilization and pest disease. However, the regulation lacks rigorous recommendations and practices.
- Sustainability management system | Regulation EU 834/2007 has a general objective to establish a management system for agriculture without emphasizing requirements or guidance for implementation of such a system.

SUMMARY: ECONOMIC SUSTAINABILITY

- None
- Safety, quality and transparency
- Financial structure; Relation to the market; Diversification

Comments on elements that are less rigorous than SAI Platform Principle:
- Safety, quality and transparency | EU 834/2007 has regulations that reference the exclusion of fertilizers unless authorized for use in organic farming. It does not have more specific requirements and level of rigour for overall safety, quality and transparency.

SUMMARY: SOCIAL SUSTAINABILITY

- None
- Labour conditions; Training; Strengthening local economy

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation
- Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation
- None

Comments on elements that are less rigorous than SAI Platform Principle:
- Water conservation | Regulation EU 834/2007 has only a general objective to establish a management system that makes responsible use of water. The regulation does not directly address specific requirements for water conservation or the management of wastewater.
- Biodiversity conservation | EU 834/2007 has regulations that address aquatic biodiversity and overall ecological balance. However, the regulation lacks rigorous recommendations and practices for biodiversity conservation.
- Integrated waste and crop by-product management | EU 834/2007 has a regulation that addresses renewable resources and recycling of wastes and by-products. However, the regulation lacks rigorous recommendations and practices for waste reduction and renewable resource use.
- Energy conservation | Regulation EU 834/2007 has only a general objective to establish a management system that makes responsible use of energy. The scheme does not directly address specific requirements for energy conservation.
- Air conservation | Regulation EU 834/2007 has only a general objective to establish a management system that makes responsible use of air. The regulation does not directly address specific requirements for air conservation.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The Standards Committee is responsible for the development and revision of the IFOAM norms in consultation with a broad group of members and other stakeholders. The revision process is clearly outlined online and a public consultation process is in place. The Policy and Procedure for the Revision of the IFOAM Basic Standards (Policy 20) can be downloaded and viewed by the public.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board.

- IFOAM has in place a series of well established committees and groups responsible for developing, maintaining and implementing the standards that report to the Executive Board and overall General Assembly. The duties, accountability and structure are well outlined within their documented Terms of Reference.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- IFOAM has in place a documented Appeals Process as well as Compliance and Enforcement procedures available for public review.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- IFOAM has in place a documented accreditation criteria that establishes the requirements for certification bodies following ISO standards. IFOAM accreditation is carried out by the International Organic Accreditation Service Inc. IOAS has in place assessment rules and training requirements for auditors.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- The IFOAM Organic Guarantee System enables organic certifiers to become “IFOAM Accredited” and to label their products with the IFOAM Seal. The use of the IFOAM Seal is clearly outlined in the documented Policy for Use of the IFOAM Name, Logo and Seal.

B. SYSTEMS ENHANCEMENT CRITERIA

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- The IFOAM Norms promote the idea of systems in general to promote sustainable organic agriculture. It does not require in detail for suppliers to implement particular management system applications like roles, policies, reporting, self-assessments, etc.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The IFOAM Norms do not include any elements that reference continuous improvement.

CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- The IFOAM Norms not include any elements that reference capacity building or training.
STAKEHOLDER ENGAGEMENT | The standard's principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- The IFOAM Norms do not include any elements that reference engaging external stakeholders.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM
- Site selection and management
- Planting material
- Integrated Crop Management
- Sustainability management system
- Access to information and support services

Comments on shared elements:
- Sustainability management system | The IFOAM Norms have a general reference to systems within their recommendations.

SUMMARY: ECONOMIC SUSTAINABILITY
- Safety, quality and transparency
- Diversification
- None
- Financial structure
- Relation to the market

Comments on shared elements: N/A

SUMMARY: SOCIAL SUSTAINABILITY
- Labour conditions
- None
- Training
- Strengthening local economy

Comments on shared elements: N/A

SUMMARY: ENVIRONMENTAL SUSTAINABILITY
- Biodiversity conservation
- Soil conservation
- Water conservation
- Integrated waste and crop by-product management
- Energy conservation
- Air conservation

Comments on shared elements:
- Integrated waste and crop by-product management | The IFOAM Norms references the control and release of harmful waste and by-products as part of the environmental impact review.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- A National Organic Standards Board (NOSB) was created to advise the U.S. Secretary of Agriculture in setting the standards on which the USDA's National Organic Program is based. The NOSB consists of farmers, handlers, retailers, scientists, consumer advocates, environmentalists, and accredited certifying agents who sit on various committees. Detailed member information is available online. The board drafts recommendations based on needs of the industry with public and industry input. Meeting information, agendas and conference call summaries are on publically available.
- All public comments and board recommendations are made public on the website.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board

- The standards are governed by the National Organic Standards Board (NOSB) and various committees. Criteria and process for application for membership is public. In addition, there is a very extensive published policy and procedures manual for the NOSB.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- The National Organic Program has in place a documented Appeals Process as well as Compliance and Enforcement procedures available for public review.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- The NOP has a published document for “General Accreditation Policies and Procedures” in addition to the detailed requirements within the NOP standard itself that provides instruction, general policies and procedures for accreditation of organic certification bodies under the authority of the Department of Agriculture (USDA). It includes references to ISO documents as well as auditor requirements and internal evaluations.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- The National Organic Program has in place documented labeling requirements for organic goods and management of the USDA Seal.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard's principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- The NOP references the development of an 'organic production or handling system' that includes items like practices and procedures to be performed and record keeping. But, it does not outline requirements for the implementation of a full management system.

CONTINUOUS IMPROVEMENT | The standard's principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The NOP Standard does not include any elements that reference continuous improvement.
CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- The NOP Standard does not include any elements that reference capacity building or training.

STAKEHOLDER ENGAGEMENT | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- The NOP Standard does not include any elements that reference engaging external stakeholders.

II. SAI PLATFORM PRINCIPLES COMPARISON

A. COVERAGE: SAI PLATFORM PRINCIPLES | Review standards of each scheme to determine if the scope covers the 18 SAI Platform Principles

B. Review details of each associated principle to ascertain level of rigour as compared to the SAI Platform Principles. Level of Rigour is defined as to the detail of the intention of the element, guidance included and what “must” be done vs. what is “recommended” to be done.

SUMMARY: SUSTAINABLE FARMING SYSTEM

- Site selection and management; Planting material; Integrated Crop Management; Sustainability management system
- None
- Access to information and support services

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ECONOMIC SUSTAINABILITY

- Safety, quality and transparency; Financial structure; Relation to the market; Diversification
- None
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: SOCIAL SUSTAINABILITY

- Labour conditions; Training; Strengthening local economy
- None
- None

Comments on elements that are less rigorous than SAI Platform Principle: N/A

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

- Soil conservation
- Water conservation
- Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation

Comments on elements that are less rigorous than SAI Platform Principle:

- Water conservation | The NOP standard briefly references water quality in the context of overall organic farming goals. The standard does not provide detail nor address specific requirements for water conservation or wastewater management.

ORGANIC
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- Publically documented written procedures for stakeholder input are lacking. However, working groups were formed to produce the initial drafts of the standards; a list of the key representatives on the groups can be found at the back of the standard. The draft standard was then circulated to over 350 organizations worldwide. A list of changes to the revised edition is kept public.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board.

- Documented public information on how the scheme is managed is lacking. Although not publically outlined, the management and governance of the standards is overseen by two committees who advise the BRC management team on all aspects of the management, content and operation of the standards. The Governance and Strategy committee sets strategy and direction for the standards. Technical Advisory Committees provide specific technical guidance on standard content, interpretation, operational management, auditor competency and compliance issues. The Technical Advisory Committees are made up of representatives from all stakeholder groups i.e. Retailers/Food Service Companies, Manufacturers/Producers, Certification Bodies and Accreditation Bodies. Terms of Reference for the committees are also available upon request.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved.

- The BRC has a public documented entitled “BRC005: Global Standards Referral Process”, which outlines the referral/complaint process to provide a process for reporting and investigation of issues relating to certificated sites or complaints against the performance of a Certification Body.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- The BRC scheme has information on accreditation & certification requirements both within its Global Standard document and the publically available document entitled “BRC Requirement Document for Certification Bodies”. It includes full procedures for becoming a certification body and requires ISO Guide 65 (EN45011). Elements include audit company performance monitoring, contractual obligations, and auditor qualification, training and experience.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo.

- The BRC has a published a document entitled “Global Standards Directory Logo Guidelines” that clearly outlines the logo design and user guidelines.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- BRC standard for food safety is a systems based audit with rigorous requirements and guidance for full implementation of a management system including senior management commitment, defining of roles and responsibilities, management policies and procedures, internal audits, corrective action and documentation control.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- BRC standard for food safety gives full guidance for continuous improvement requirements including establishing a monitoring system with performance indicators and the setting of objectives that are established, documented, monitored and reviewed. Corrective action and prevention is also included.
CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

• BRC standard for food safety has a dedicated training requirement for raw material handling, preparation, processing, packing and storage areas. There are additional training requirements integrated within the various elements as it relates to food safety.

STAKEHOLDER ENGAGEMENT | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

• BRC standard for food safety does not include any elements that reference engaging external stakeholders.

II. SAI PLATFORM PRINCIPLES COMPARISON

SPECIAL NOTE: Food Safety Standards have been set up for a different purpose than the SAI Platform Principles. Therefore, the elements are represented as “black” to acknowledge their neutral state for benchmarking purposes. The following includes comments on where there are some forms of overlap between the two.

SUMMARY: SUSTAINABLE FARMING SYSTEM

None
None
Site selection & management; Planting material; Integrated Crop Management; Sustainability management system; Access to information & support services

Comments on shared elements:
• Site selection and management | BRC has risk assessment requirements for the contamination or pollution of surrounding area as it relates to food safety.
• Integrated Crop Management | BRC has requirements for pest control and chemical product contamination control. It does not include any references to crop rotation, cultivation methods or fertilization.
• Access to information and support services | BRC references documenting details of external agencies providing advice and support within its management systems element.
• Sustainability management system | BRC is a systems based audit with rigorous requirements and guidance for a full implementation of a management system including senior management commitment, roles and responsibilities, management policies and procedures, internal audits, corrective action and documentation control.

SUMMARY: ECONOMIC SUSTAINABILITY

None
None
Safety, quality and transparency; Financial structure; Relation to the market; Diversification

Comments on shared elements:
• Site selection and Safety, quality & transparency | BRC is a food safety certification program where safety, quality and transparency are fundamental.

SUMMARY: SOCIAL SUSTAINABILITY

None
None
Labour conditions; Training; Strengthening local economy

Comments on shared elements:
• Labour conditions | BRC addresses some forms of protective clothing, personal hygiene and housekeeping as it relates to food quality. It does not directly address the health and safety of the affects of the workers themselves. No direct references to labor rights are included.
• Training | BRC has a training requirement for raw material handling, preparation, processing, packing and storage areas. The scope of the training is limited to food safety and does not reference worker safety.

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

None
None
Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation

Comments on shared elements:
• Water conservation | BRC references water quality to reduce risk of contamination of raw materials. It does not include elements on water conservation or wastewater management.
• Air conservation | BRC has a requirement for air filtration equipment as a way to prevent contamination. It does not cover air conservation or greenhouse gases.
• Integrated waste and crop by-product management | BRC has elements for waste and waster disposal.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The Canadian Horticultural Council Food Safety Committee (CHC) has established an On-Farm Food Safety Working Group for the development of a manual for each of the crop groupings as well as all technical documents that comprise the standard. The groups are comprised of CHC staff, technical experts, members and grower/packer representatives. Drafts were also submitted to representatives from the federal and provincial governments for review. Contributors to the development are available upon request. The CHC outlines its transparency process for member involvement online.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board.

- The scheme is maintained by The Canadian Horticultural Council Food Safety Committee, associated Commodity Working Groups and technical review steering committee. The steering committee is responsible for the program development process and subsequent updates. The committee’s background, goals and roles are outlined. The working group is made up of representatives from industry associations involved in production, storage and packing of crops; buyers and end-users; technical expert consultants and CHC Staff. Committee and working group member lists and terms of reference are available upon request. CHC has an internal OFFS Program Management Manual.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- The Canadian Horticultural Council Food Safety Committee’s policies and procedures relative to conflict of interest and complaints and appeals are contained in the internal OFFS Program Management Manual. The certification body also has its own complaints and appeals management system.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- Program compliance functions are outsourced to a separate ISO-accredited firm, QMI-SAI Global Assurance Services, designated as the Certification Body for audit and certification of producers and packers using the CHC OFFS standard. The OFFS Program Management Manual includes protocols for accreditation including certification body roles and responsibilities, requirements, ISO standards, auditor training and oversight.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- OFFS publically provides rules for “Use of Logos and CHC On-Farm Food Safety (OFFS) Program Certification Mark”.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- The potato OFFS manual itself does not directly give guidance in the development and implementation of a rigorous internal management system although record keeping is essential for overall completion of the manual requirements. The OFFS program as a whole is a HACCP-based food safety management system.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The potato OFFS manual is designed to be a complete internal self-assessment tool that requires regular updates and annual internal reviews. Deviations must be identified and corrected and records of any corrective actions must be maintained.
## DETAILED BENCHMARK ANALYSIS

### CAPACITY BUILDING/TRAINING
- The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.
  - The potato OFFS manual has detailed requirements for documented employee training program as related to food safety on the job.

### STAKEHOLDER ENGAGEMENT
- The standard's principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.
  - The potato OFFS manual does not include any elements that reference engaging external stakeholders.

## II. SAI PLATFORM PRINCIPLES COMPARISON

**SPECIAL NOTE:** Food Safety Standards have been set up for a different purpose than the SAI Platform Principles. Therefore, the elements are represented as “black” to acknowledge their neutral state for benchmarking purposes. The following includes comments on where there are some forms of overlap between the two.

### SUMMARY: SUSTAINABLE FARMING SYSTEM
- None
- None
- Site selection & management; Planting material; Integrated Crop Management; Sustainability management system; Access to information & support services

#### Comments on shared elements:
- **Site selection and management** | The potato OFFS manual requires production sites to be assessed for any biological chemical or physical hazards due to previous use.
- **Planting material** | The potato OFFS manual has elements regarding commodity starter products such as the purchasing, preparation and storage of seed potatoes in order to minimize chemical contamination.
- **Integrated Crop Management** | The potato OFFS manual has elements for the proper purchase, application and storage of 1.) commercial fertilizers, pulp sludge and soil amendments; 2.) manure, compost, mulch and other by-products; 3.) agrochemicals. It also has elements for pest control.
- **Management Systems** | The potato OFFS manual does not directly give guidance in the development and implementation of a rigorous internal management system although record keeping is essential for overall completion of the manual requirements.

### SUMMARY: ECONOMIC SUSTAINABILITY
- None
- None
- Safety, quality and transparency; Financial structure; Relation to the market; Diversification

#### Comments on shared elements:
- **Site selection and Safety, quality & transparency** | The potato OFFS manual is a food safety manual where safety, quality and transparency are fundamental. It also has specific elements for harvesting.

### SUMMARY: SOCIAL SUSTAINABILITY
- None
- None
- Labour conditions; Training; Strengthening local economy

#### Comments on shared elements:
- **Labour conditions** | The potato OFFS manual addresses some forms of protective clothing and personal hygiene, as it relates to food quality only. It has a minor reference to labor elements such as separation of the lunch room area and access to first aid. It does not directly address elements of workers’ rights.
- **Training** | The potato OFFS manual has detailed requirement for a documented employee training program related to food safety on the job. The scope of the training is for food safety and does not reference worker safety.

### SUMMARY: ENVIRONMENTAL SUSTAINABILITY
- None
- None
- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation

#### Comments on shared elements:
- **Water conservation** | The potato OFFS manual has two elements related to water quality to reduce the risk of biological or chemical contamination. Proper disposal of production wastewater and waste from toilets and hand washing facilities is also referenced. It does not include elements on water conservation.
- **Integrated waste and crop by-product management** | The potato OFFS manual has an element for waste management and disposal as a means to prevent biological, chemical or physical contamination of the premises.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The IFS Standard was initially developed by the German retail federation, with each subsequent version incorporating further stakeholders. The development process flow for new versions is available that outlines methods for including various stakeholders’ input through questionnaire design. Tracked revisions from subsequent versions are outlined. There is no on-going public review system as the standard is not a public document.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board.

- The Scheme is managed by the IFS board and subsequent working groups. The structure and responsibilities is briefly outlined. Limited member profiles are available. It is lacking in detailed documentation on the board’s operational protocols or meeting information.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- The IFS Standard has brief appeals and complaints procedure within the non-public Standards document. There is lacking a formal procedures document. No information is provided on the public website.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- The IFS Standards document contains detailed requirements for accreditation bodies, certification bodies and auditors. Certification bodies must confirm to EN45011 and be frequently assessed. IFS approves auditors through a written and oral examination.
- The list of approved IFS certification bodies is available on the website. Audit information is all tracked through an online database.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- The IFS Standard Document outlines rules for the ownership and usage of the IFS logo.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- The IFS Standard has detailed requirements for a management system including documented procedures and instructions concerning its implementation. It covers full management commitment, record keeping and document control.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- The IFS Standard requires that systems be continuously improved over time through investigation of the causes of non-conformity and implementing corrective actions. There is a dedicated chapter for measurement, analysis and improvements using internal audits, inspections, process control and analysis.
### CAPACITY BUILDING/TRAINING
The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- The IFS Standard requires the implementation of a documented training program, with records, in respect to the product requirements and the trainings needs of the employees as it relates to food safety.

### STAKEHOLDER ENGAGEMENT
The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- IFS Standard does not include any elements that reference engaging external stakeholders.

### II. SAI PLATFORM PRINCIPLES COMPARISON

SPECIAL NOTE: Food Safety Standards have been set up for a different purpose than the SAI Platform Principles. Therefore, the elements are represented as “black” to acknowledge their neutral state for benchmarking purposes. The following includes comments on where there are some forms of overlap between the two.

#### SUMMARY: SUSTAINABLE FARMING SYSTEM

| Site selection and management; Planting material; Integrated Crop Management; |

Comments on shared elements:

- Site selection and management | IFS Standard has detailed requirements for choice of location as it relates to avoiding an adverse impact on product safety and product quality.
- Planting material | IFS Standard has requirements for genetically modified organisms. It does not include other planting materials like seeds or rootstock selection.
- Integrated Crop Management | IFS Standard has requirements for appropriate storage facilities for chemicals, pest monitoring and pest control for food safety. It does not include any references to crop rotation, cultivation methods or fertilization.
- Sustainability management system | IFS Standard has detailed requirements for a management system including documented procedures and instructions concerning its implementation, full management commitment, full record keeping and document control.

#### SUMMARY: ECONOMIC SUSTAINABILITY

| Safety, quality and transparency; Financial structure; Relation to the market; Diversification |

Comments on shared elements:

- Site selection and Safety, quality & transparency | IFS Standard is a food safety certification program where safety, quality and transparency are fundamental. It does not reference post-harvest treatments or pesticide use.

#### SUMMARY: SOCIAL SUSTAINABILITY

| Labour conditions; Training; Strengthening local economy |

Comments on shared elements:

- Labour conditions | IFS address some forms of protective clothing, personal hygiene and housekeeping as it relates to food quality only. It does not directly address the health and safety of the affects of the workers themselves. No direct references to labor rights are included.
- Training | IFS Standard has a requirement for documented training program for employees. The scope of the training is limited to food safety and does not reference worker safety.

#### SUMMARY: ENVIRONMENTAL SUSTAINABILITY

| Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation |

Comments on shared elements:

- Water conservation | IFS Standard references the quality of the water supply used in production to reduce the risk of contamination. It does not include elements on water conservation or wastewater management.
- Air conservation | IFS Standard has a requirement for air filtration equipment as a way to prevent contamination. It does not cover air conservation or greenhouse gases.
- Integrated waste and crop by-product management | IFS Standard has an element for waste management and disposal.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- QS does not have a documented process for the inclusion of multi-stakeholders available for review. There is no public evidence of the contributions of various stakeholders in the development and revisions of the scheme.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board.

- QS has established a board made of up shareholders in associations and organizations across the food industry and an advisory board. Information on the organization structure is available in the General Regulations Guideline. However, documented protocols and board activities are not available for review.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved.

- The QS-System has a sanctions board in place to manage any violations against the QS system agreement. Protocol and procedure information is found in the General Regulations Guideline.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- QS requires that inspection bodies to be accredited to EN 45001 / ISO 17025. The number and type of inspection bodies is reviewed and managed by QS. Complete documentation on the requirements of certification bodies is available including auditor requirements, internal reviews and training.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo.

- QS has a documented procedure for when the QS logo is issued to a passing organization as proof of production according to the criteria laid out in the QS Requirements. Information on the use of the logo is available within the General Regulations Guideline.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard's principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- QS Requirements focuses on record keeping and systems for control of documentation either through automatic data logging or handwritten records. There is less emphasis on the development and implementation of policies and procedures and management commitment for a full management system implementation.

CONTINUOUS IMPROVEMENT | The standard's principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- QC Requirements include a component on self assessment and resolution of non-conformities. It is lacking in rigorous guidance and detail for objective setting and monitoring of the results for continuous improvement over time.

CAPACITY BUILDING/TRAINING | The standard's principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- Appropriate training designed in order to help meet the QS requirements of food safety is a key component of the program.


II. SAI PLATFORM PRINCIPLES COMPARISON

SPECIAL NOTE: Food Safety Standards have been set up for a different purpose than the SAI Platform Principles. Therefore, the elements are represented as “black” to acknowledge their neutral state for benchmarking purposes. The following includes comments on where there are some forms of overlap between the two.

**SUMMARY: SUSTAINABLE FARMING SYSTEM**

- None
- None
- Site selection & management; Planting material; Integrated Crop Management; Sustainability management system; Access to information & support services

Comments on shared elements:
- Site selection and management, Planting material, Integrated Crop Management | QS has audit checklists specifically for fruits and vegetables that does contain similar elements such as assessing surrounding areas, seed selection and crop management.
- Sustainability management system | QS does call for the implementation of a management system for food safety
- Access to information and support services | QS references accessing outside experts when needed.

**SUMMARY: ECONOMIC SUSTAINABILITY**

- None
- None
- Safety, quality and transparency; Financial structure; Relation to the market; Diversification

Comments on shared elements:
- Safety, quality and transparency | QS is a food safety certification program where safety, quality and transparency are fundamental.

**SUMMARY: SOCIAL SUSTAINABILITY**

- None
- None
- Labour conditions; Training; Strengthening local economy

Comments on shared elements:
- Labour conditions | QS address general hygiene requirements as it relates to food quality only. It does not directly address the health and safety of the affects of the workers themselves. No direct references to labor rights are included.
- Training | The scope of the training for QS is limited to food safety and does not reference worker safety

**SUMMARY: ENVIRONMENTAL SUSTAINABILITY**

- None
- None
- Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation

Comments on shared elements:
- Water conservation | QS has detailed testing requirements for the quality of water with minor references to optimization of irrigation. It does not include guidelines for overall water conservation or wastewater management.
- Soil conservation & Integrated waste and crop by-product management | The QS audit for fruits and vegetables has some elements for soil conservation and waste disposal.
I. CORE CRITERIA EVALUATION

A. GOVERNANCE & REGULATION OF THE SCHEME | Evaluate the rigorousness of how the scheme is run

MULTI-STAKEHOLDER PROCESS | Scheme was developed via a transparent multi-stakeholder process which fully reflects the view of all interested stakeholders.

- The SQF Code is maintained by a SQF Technical Committee drawn from a field of technical experts that are representative of the global food industry. Member profile information is available. Previous versions are kept for public view. However, the SQF Institute does not provide public information on how the SQF Codes were initially developed or the process/procedures for how revisions are made to ensure inclusion of various stakeholders’ input. There is no process in place for accepting public consultation.

GOOD GOVERNANCE | Scheme is well maintained by a representative and transparent board.

- The Scheme has a SQF Technical Committee set up to review the SQF Codes and supporting documents, propose changes where necessary and to provide overall advice and guidance on their application. Member profile is available. There is no public documentation on the committee’s operational protocols or meeting information.

CONFLICT OF INTEREST & DISPUTE RESOLUTION | There is a clear and transparent process by which conflicts of interests and disputes can be resolved

- The SQF 2000 Code has an element that briefly outlines the requirements for appeals, complaints and disputes. It does not have a formal procedures document.

ACCREDITATION (if applicable) | For certification schemes, the competency, authority and credibility of the Accreditation Body is reliable and meets the requirements of relevant ISO standards.

- The SQF 2000 Code outlines the requirements for accreditation and certification bodies, requiring international standard ISO/IEC 17011 & ISO/IEC Guide 65. In addition, there is comprehensive supporting documentation that details criteria for certification bodies and what qualifications auditors need to meet.
- The SQF Institute maintains an online database with details of SQF certification bodies, auditors, consultants and trainers as well as captures audit results on each supplier.

LOGOS & CLAIMS (if applicable) | The Scheme has clear structure and rules for any claims made or the use of any logo

- There is extensive supporting documentation within “SQF2000 Certification Trade Mark Rules for Use” that provides detailed requirements for trademark use.

B. SYSTEMS ENHANCEMENT CRITERIA | Evaluate the inclusion of criteria elements within the scheme that go beyond the standard principles to enhance the performance of the farm

MANAGEMENT SYSTEMS | The standard’s principles/criteria encourages or provides guidelines on the elements of an internal management system and its implementation, and discusses relevant policies and procedures involved.

- SQF is a quality management certification program. It has very rigorous requirements on management systems including dedicated chapters for management commitment including policy statements, full reporting structure, manuals, management review and business continuity planning. It also has detailed document control and record keeping requirements at level 3.

CONTINUOUS IMPROVEMENT | The standard’s principles/criteria encourages or gives guidance to the user, through either internal audits or process benchmarking, in setting objectives and monitoring the results through which performance can be constantly improved over time.

- SQF 2000 has required internal verification and validation activities for the producers. Critical limits and control measures must be defined and monitored. Records of any corrective actions must be maintained.
DETAILED BENCHMARK ANALYSIS

CAPACITY BUILDING/TRAINING | The standard’s principles/criteria encourages or gives guidance to the user to the process of equipping employees with the understanding, skills and access to information, knowledge and training that enables them to perform more effectively in meeting the standards of the scheme.

- SQF has a detailed requirement for a documented employee training program for personnel to ensure the effective implementation of the SQF 2000 system. It also includes documented management responsibility for assessing training needs and specific registration requirements of the training records.

STAKEHOLDER ENGAGEMENT | The standard’s principles/criteria encourages or gives guidance to the user to engage external stakeholders such as nearby communities, non-governmental organizations, local government, etc through community or farm activities and proactive external communication.

- SQF 2000 does not include any elements that reference engaging external stakeholders.

II. SAI PLATFORM PRINCIPLES COMPARISON

SPECIAL NOTE: Food Safety Standards have been set up for a different purpose than the SAI Platform Principles. Therefore, the elements are represented as “black” to acknowledge their neutral state for benchmarking purposes. The following includes comments on where there are some forms of overlap between the two.

SUMMARY: SUSTAINABLE FARMING SYSTEM

None

None

Site selection & management; Planting material; Integrated Crop Management; Sustainability management system; Access to information & support services

Comments on shared elements:
- Site selection and management | SQF 2000 has site management requirements as it relates to maintaining safe and hygienic operations.
- Integrated Crop Management | SQF 2000 has elements regarding storage of hazardous chemicals and integrated pest management. It does not include any references to crop rotation, cultivation methods or fertilization.
- Management Systems | SQF 2000 is a quality management certification program with rigorous requirements on implementation of a management system.

SUMMARY: ECONOMIC SUSTAINABILITY

None

None

Safety, quality and transparency; Financial structure; Relation to the market; Diversification

Comments on shared elements:
- Site selection and Safety, quality & transparency | SQF 2000 is a food safety certification program where safety, quality and transparency are fundamental. It does not reference post-harvest treatments or pesticide use.

SUMMARY: SOCIAL SUSTAINABILITY

None

None

Labour conditions; Training; Strengthening local economy

Comments on shared elements:
- Labour conditions | SQF 2000 addresses some forms of protective clothing, personal hygiene, staff amenities, and housekeeping as it relates to food quality only. It has a minor reference to labor conditions in the proper size of the lunch room area and access to first aid. It does not address other elements of workers’ rights.
- Training | SQF 2000 has a requirement for a documented training program for personnel. The scope of the training is for food safety and does not reference worker safety.

SUMMARY: ENVIRONMENTAL SUSTAINABILITY

None

None

Soil conservation; Water conservation; Biodiversity conservation; Integrated waste and crop by-product management; Energy conservation; Air conservation

Comments on shared elements:
- Water conservation | SQF 2000 has elements for monitoring water microbiology and quality as it relates to product safety and contamination. It does not include elements on water conservation or wastewater management.
- Air conservation | SQF has a requirement for proper air ventilation as a way to prevent air-borne contamination. It does not cover air conservation or greenhouse gases.
- Integrated waste and crop by-product management | SQF has an element for waste management and disposal.
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