



Inclusive Green Growth Guiding Tool for **MEDIUM AND LARGE-SCALE PRODUCERS**



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LIST OF ABBREVIATIONS

ACRP	Agriculture Climate Resilience Plan
AIDS	Acquired Immunodeficiency Syndrome
CSA	Climate Smart Agriculture
CSR	Corporate Social Responsibility
EIA	Environmental Impact Assessment
EMA	Environmental Management Act
EMP	Environmental Management Plan
GHG	Greenhouse Gas
GRG	Green Reference Group
HIV	Human Immunodeficiency Virus
IGG	Inclusive Green Growth
IUCN	International Union for Conservation of Nature
NAPA	National Adaptation Programme of Action
NSGRP	National Strategy for Growth and Reduction of Poverty
OSHA	Occupational Safety and Health Authority
PPE	Personal Protective Equipment
SAGCOT	Southern Agricultural Growth Corridor of Tanzania
SCL	SAGCOT Centre Limited
SDGs	Sustainable Development Goals
SE4ALL	Sustainable Energy for All
TBS	Tanzania Bureau of Standards
TMDA	Tanzania Medicines and Medical Devices Authority
TPHPA	Tanzania Plant Health and Pesticides Authority
TNC	The Nature Conservancy
UNFCCC	United Nations Framework Convention on Climate Change
WWF	World Wide Fund for Nature



SECTION ONE

Introduction

The Inclusive Green Growth (IGG) tool has been developed as part of the Southern Agricultural Growth Corridor of Tanzania (SAGCOT) initiative, designed to help SAGCOT’s existing and potential investors to better understand, comply with, and adhere to Tanzania national laws and regulation as well as to improve implementation more broadly of sustainable economic, environmental, and social practices. SAGCOT is a public-private partnership initiative with the objective of transforming agriculture in Tanzania’s Southern corridor to enhance food security and ensure improved livelihoods for smallholder farmers and communities in a sustainable manner. IGG is a central operating principle of the SAGCOT Initiative as laid out in SAGCOT’s Greenprint and within the responsibilities and commitments of its key partnership principles.

Purpose

This document sets out the Inclusive Green Growth (IGG) tool component requirements for **Medium and Large-Scale Producers** of the SAGCOT partnership.

Context and Relevance

The IGG tool aims to galvanize economic growth, environmental sustainability and social inclusiveness through commercial agricultural activity, supporting SAGCOT’s strategic objectives and vision. This tool has been formulated with the view to promote responsible investment in a sustainable manner that contributes to food security, supports local communities, reduces conflict, build resilience against climate change, and strengthen networks to address system-level challenges. It is primarily meant to be used as a self-assessment tool.

To ensure consistency and synergies with other processes, the IGG tool is tailored to contribute to the realization of the goals set out under relevant International and national policies, strategies and other development frameworks that include: Tanzania Development Vision 2025; Five Year Development Plan (2021/22-2025/26); National Agriculture Policy (2013); National Investment Promotion Policy (1996); National Environmental Policy (2021); Climate Change Strategy (2021-2026); Nationally Determined Contributions 2021; and Climate Smart Agriculture Guideline (2017).

At the international level, the IGG tool takes into consideration key development frameworks such as United Nations Agenda 2030 for Sustainable Development Goals (SDGs); United Nations Framework Convention on Climate Change (UNFCCC); Multilateral Environmental Agreements; and Africa Union Agenda 2063 (The Africa We Want).

Structure

The IGG tool is comprised of two components: (1) a main section consisting of a checklist that assesses legal requirement compliance and good practice alignment, and (2) a detailed annex of specific regulatory requirements by institution along with processing times, costs, validity, required documents to be submitted, penalties for non-conformity, and agency contact details.

The main section is divided into three key thematic areas, namely inclusivity and social sustainability, sustainable business, and environmental sustainability. Each thematic area contains a number of compliance and good practice categories, each which contain, first, a series of questions for users to reflect upon and evidence, and second, a scoring table with detailed conditions. Each user should reflect on their individual situation to select the appropriate scoring category and justify and evidence why they believe they fall within that scoring category.

Stakeholders' Engagement

The Inclusive Green Growth (IGG) tool has been developed and revised by SAGCOT partners through a participatory process. Key participants have included technical partners from relevant Government Ministries, Departments and Agencies, The Nature Conservancy (TNC), World Wide Fund for Nature (WWF), International Union for Conservation of Nature (IUCN), and CARE International in Tanzania; small, medium and large-scale producers as well as agro-processors. The SAGCOT Green Reference Group (GRG) co-chaired by the Vice President's Office and Private Sector has been instrumental in this process, both at the national and cluster levels. Multiple initial versions were revised and rolled out with SAGCOT partners as well as selected outside companies to increase inclusivity and raise awareness. A multi stakeholder IGG Task Force was formed to support awareness raising, initial completion of the IGG tool with investors, and initial recommendations for improving sustainability practice.

Revision of the IGG tool for the current version was also a participatory process that involved feedback and comments from users, the technical partners who supported development of the previous version as well as other stakeholders. The Green Reference Groups at the cluster level spearheaded feedback into this process. Current and past users were interviewed on their use of the tool to better understand what aspects worked well and what needed improvement. A small selected group of users were selected to test the revised versions. A summary of their feedback to the previous version can be found in the Annex E of the updated Greenprint 2023.



SECTION TWO

Implementation

The checklist for the guiding tool has been developed in conjunction with an Excel-based version to facilitate the assessment process. Targeting existing investors, the tool enables users to evaluate their own practices.

- Assessments – SAGCOT partners are expected to conduct annual self-assessments using the checklist, to develop IGG workplans, and to compare annual results against their IGG workplans.
- Reporting – Partners are required to submit their annual assessment reports to SAGCOT by the 31st of December each year
- SAGCOT will review partner reports, looking over evidence and justification, both to confirm appropriate scoring and to identify priorities for support and improvement. Visits may be conducted with partners for more in-depth discussion and assessment.
- SAGCOT will compile a summary IGG assessment report (based on received reports) to be shared with partners. No individual partner report or related information will be shared to a third party by SAGCOT without prior consent of the partner. When a synthesized assessment report is needed for public use, SAGCOT communication policy will be applied without infringing individual partner’s rights to confidentiality.

Review of the IGG tool

- The IGG tool will be regularly revised and that revision should involve key stakeholders
- SAGCOT Centre Ltd, or a representative of SAGCOT Centre Ltd., will collate ideas for revision of the tool from existing users, partners, assessment reports and other interested stakeholders.
- The tool will be revised based on stakeholders’ input.
- The revised version of the tool will be tested among users, and a representative group of key stakeholders will review and provide comments.
- A revised version will then be circulated to GRG members for feedback for development of a final draft.



SECTION THREE

Characteristics of Medium and Large-Scale Producers

Medium Scale Producers

Medium scale producer organizations operate generally with the following key characteristics:

- In most cases they use hired labour
- Capital investments from TZS 50 Million to TZS 1 Billion
- Moderately mechanized technology
- Moderate production capacity
- Farm size from 10 to 100 hectares

Large Scale Producers

An agricultural producer organization operating in Tanzania with the following key characteristics:

- Highly mechanized farm operations;
- Farm size of more than 100 hectares;
- High dependence on hired labour;
- Capital investment more than TZS 1 Billion

Requirements for Medium and Large Scale Producers

Inclusivity Principle	
Core Requirements	Applicable laws
<p><u>Equal Opportunity and Non-Discrimination:</u> Producers shall be non-discriminatory and shall operate in line with Tanzania’s labour laws and other non-discriminatory laws.</p>	<ul style="list-style-type: none"> - The Non-Citizens Employment Regulations Act No. 1 (2015) - The Business Laws (Miscellaneous Amendments) Act, No. 3 (2012) - Tanzania Employment and Labour Relations Act No. 6 of 4 June 2004 and revised in 2018. - Guidelines for Services for People with Disabilities (in Kiswahili) of 2004 - Law of Persons with Disabilities Act (2010) - Employment Guidelines (in Kiswahili) (2011) - HIV/AIDS Act, 2008 - National Strategy for Gender Equality of 2005 - National Strategy for Growth and Reduction of Poverty 2005-2010 and 2010-2015 (NSGRP I and II)
<p><u>Labour and Employment Laws:</u> Producers shall adhere to the employment policies of Tanzania.</p>	<ul style="list-style-type: none"> - Guidelines on Auditing of Human Resources (in Kiswahili) (2009) - Employment Guidelines (in Kiswahili) (2011) - Tanzania Employment and Labour Relations Act No. 6 of 2004
<p><u>Child Labour:</u> Producers shall refrain from the use of child or forced labour</p>	<ul style="list-style-type: none"> - National Employment Policy & Labour Laws - Law of the Child Act No. 21, 2009
<p><u>Social Security Statutory Requirements:</u> Producer should comply statutory payment to the government</p>	<ul style="list-style-type: none"> - The National Social Security Fund Act, 1997 - Workers Compensation Act [Cap.263 Revised Edition of 2015]
<p><u>Investment Linkages:</u> Producers shall explore linkages that will enable growth of out-growers</p>	<ul style="list-style-type: none"> - The Law of Contract, 2002 - SAGCOT Partnership Principles
<p><u>Market Channels:</u> Producers shall explore market channels that will enable out-growers to access sustainable markets.</p>	<ul style="list-style-type: none"> - National Economic Empowerment Council Act, No. 16 of 2004

<p><u>Support to Small Producers:</u></p> <p>Producers shall endeavor to provide technical support to out-growers.</p> <p>Producers shall facilitate access to financial opportunities for out-growers</p> <p>Producers shall facilitate access to sustainable markets.</p>	<ul style="list-style-type: none"> - Law of Contract, 2002. - SAGCOT IGG Principles - SAGCOT Partnership Principles - Financial leasing Act, 2008 - The Banking and Financial Institutions-Act-2006 - Cooperatives Act, 2009
<p><u>Shared Value Investment:</u> Producers are encouraged to engage in community-driven initiatives to enhance mutual social economic wellbeing.</p>	<ul style="list-style-type: none"> - SAGCOT IGG Principles
<p><u>Business Linkage with Local Community:</u> Producers shall foster business linkages with local communities.</p>	<ul style="list-style-type: none"> - The Public Private Partnership (Amendment) Act, (Cap. 103) (2014)
<p><u>Capacity Building:</u> Producers shall engage in capacity building of small-scale producers so as to ensure quality value chains.</p>	<ul style="list-style-type: none"> - SAGCOT IGG Principles
<p><u>Local Content Guidelines:</u> Producers shall foster good relations with communities and create business linkage with small scale producers as appropriate.</p>	<ul style="list-style-type: none"> - Local Content Policy, 2015 (Oil and Gas)

Sustainable Business Principle	
Core Requirements	Applicable laws
<p><u>Good Governance:</u> Producers shall endeavor to demonstrate high level of good governance including transparency, accountability and integrity with stakeholders and partners as appropriate.</p>	<ul style="list-style-type: none"> - The Finance Act, 2018 (Tax provisions) - The Business Names (Registration) Act, Cap. 213 (2015) - National Employment Policy & Labour Laws - The Prevention and Combating of Corruption Act, 2007

<p><u>Legal Status:</u> Producers shall be a legally registered entity in accordance with applicable legislation.</p>	<ul style="list-style-type: none"> - Tanzania Investment Act 1997 (Amendment) Act 2022. - The Business Laws (Miscellaneous Amendments) Act, No. 3 (2012). - The Business Activities Registration Act, 2017. - Companies Act, 2002. CAP 212.
<p><u>Management Structures</u> Producers shall have effective management structures that are guided by the respective organizations’ constitution/memorandum and articles of association including rules, regulations and operational procedures.</p>	<ul style="list-style-type: none"> - The Business Laws (Miscellaneous Amendments) Act, No. 3 (2012) - The Business Names (Registration) Act, Cap. 213 (2015) - Company Act cap 212 - The Fair Competition (Amendment) Act, 2015
<p><u>Operational Procedures:</u> Producers shall establish operational procedures that are in line with national regulations and will guide operations of the organization.</p>	<ul style="list-style-type: none"> - Income Tax Act, 2004 revised 2006. - Industrial and Consumer Chemicals (Management and Control) Act, No.3 (2003) - The Employment and Labour Relations Act, No. 6 (2004) - Occupational Health and Safety Act No.5 of 2003 - The Business Laws (Miscellaneous Amendments) Act, No. 3 (2012) - Environmental Management Act, 2004 - The Business Activities Registration Act, 2017.
<p><u>Compliance to Financial Laws and Regulations:</u> Producers shall comply with applicable financial rules and regulations.</p>	<ul style="list-style-type: none"> - Tanzania Investment Act 1997 (Amendment) Act 2022. - The Business Laws (Miscellaneous Amendments) Act, No. 3 (2012) - The Business Names (Registration) Act, Cap. 213 (2015) - The Finance Act, 2018 (Tax provisions)
<p><u>Certification by Regulatory Authorities:</u> Producers shall adhere to requirements of Regulatory Authorities as appropriate.</p>	<ul style="list-style-type: none"> - The Tanzania Food, Drugs and Cosmetics Act, 2003. - OHS Act, 2003. - EMA 2004. - Standard Act 2009.
<p><u>Occupational Health and Safety:</u> Producers shall adhere to Occupational Health and Safety Regulatory requirements.</p>	<ul style="list-style-type: none"> - OHS Act, 2003 - EMA, 2004 and subsequent Regulations - Fire and rescue force act 2007 - Workers Compensation Act 2015

Environmental Sustainability Principle	
Core Requirements	Applicable laws
<p><u>Environmental Management Practices:</u> Producers shall have environmental management plan and apply it as appropriate.</p>	<ul style="list-style-type: none"> - National Environmental policy of 2021 - EMA (2004) and subsequent regulations - Forestry Act, 2002 - Water Resources Management Act (2009) - Local by-laws. - Land Use Planning Act, 2007. - Village Land Act, No. 4, 1999 - Tanzania Investment Act 1997 (Amendment) Act 2022.
<p><u>Sustainable Agricultural Practices:</u> Producers apply good agricultural practices to enhance productivity and environmental sustainability.</p>	<ul style="list-style-type: none"> - National Agriculture Policy, 2013 - National Irrigation Act, 2013 - Fertilizers Regulation, 2011 - Agriculture and Animal Husbandry Best Practices Guidelines, 2016. - Climate smart Agriculture Guideline, 2017 - Agriculture Sector Environmental Action Plan, 2012 - Tanzania Agriculture Climate Resilience Plan (ACRP), 2014 - Wildlife conservation Act, 2009.
<p><u>Safe use of Agro-Chemicals:</u> Producers are aware and apply appropriate use and management of agrochemicals.</p>	<ul style="list-style-type: none"> - Fertilizers Regulation, 2011, - The Plant Health Act, 2020 - The Occupation Health and Safety Act, 2003 - Environmental Management Act, 2004;
<p><u>Waste Management:</u> Producers shall have waste management strategy and plan as appropriate.</p>	<ul style="list-style-type: none"> - Environmental Management Act, 2004 - The Plant Health Act, 2020 - Water Resources Management Act, 2009 - Local bylaws

<p><u>Conservation of water Resources and Sources:</u> Producers shall endeavor to conserve water sources and water resources including the use of efficient technologies and adopting best practices</p>	<ul style="list-style-type: none"> - Environmental Management Act, 2004 and subsequent regulations, - Water Resources Management Act, 2009 - Local by-laws - National Irrigation Act, 2013 - Climate Smart Agriculture Guideline 2017. - Agriculture Sector Environmental Action Plan, 2012 - Tanzania Agriculture Climate Resilience Plan (ACRP), 2014
<p><u>Pollution Control (Water, Air, Soil and Noise):</u> Producers shall take appropriate measures to minimize risks for environmental pollution.</p>	<ul style="list-style-type: none"> - Environmental Management Act, 2004 - Climate smart agriculture guideline, 2017. - National Water Policy, 2002 - Water Resources Management Act, 2009. - Pesticide Control Regulations 1984.
<p><u>Adoption and Application of Technologies:</u> Adherence to Climate smart agriculture <u>technologies and</u> use of Nature based Solutions:</p> <p>These technologies include: soil health management practices, Integrated pest and disease management; Conservation of natural resource or ecosystem management; Use of improved inputs and equipment; and Use of reliable weather information.</p>	<ul style="list-style-type: none"> - National Climate Smart Agriculture guideline 2017. - Tanzania Plant Health and Pesticides Authority (TPHPA) Act No. 04, 2020. - Environmental Management Act, 2004 and subsequent regulations. - Water Resources Management Act, 2009. - Forestry Act, 2002. - Water Resources Management Act (2009). - Local by-laws. - Land Use Planning Act, 2007. - Agriculture Sector Environmental Action Plan, 2012 - Tanzania Agriculture Climate Resilience Plan (ACRP), 2014 - Nationally Determined Contributions 2021 -

<p><u>Climate Adaptation and Mitigation:</u></p> <p>Investment shall adhere to CSA practices.</p> <p>. These practices include:</p> <p>Integrated pest and disease management; Conservation of natural resource or ecosystem management; Use of improved inputs and equipment; and use of reliable weather information.</p>	<ul style="list-style-type: none"> - National Climate Smart Agriculture guideline 2017. - Nationally Determined Contributions 2021 - National Adaptation Programme of Action (NAPA) 2007 - Tanzania Agriculture Climate Resilience Plan (ACRP), 2014
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*The listed laws and examples above are just some of available laws, regulations and practices.

Highlights of IGG good practice for the Medium and Large-Scale Producers
<u>Mainstreaming Sustainability:</u> Promote sustainability in business culture to address profits, people, and the planet, managing long-term social and environmental risks as well as reducing negative environmental and social impacts.
<u>Integrating IGG Process into Business:</u> Conduct annual IGG self-assessment, developing an annual IGG workplan with clear and measurable targets for the year to promote continual improvement. Produce annual summarized progress report on implementation of the previous year's workplan and inform SAGCOT.
<u>Vulnerable People and Non-Discrimination:</u> Beyond promotion of employment policies that do not discriminate based on gender or disabilities, practice non-discrimination of other vulnerable groups too, including those disadvantaged who do not yet have legal protection such as persons who are HIV+.
<u>Voluntary Certification:</u> Promote voluntary certification such as organic farming and eco-labelling for environmental sustainability, quality produce and access to premium markets.
<u>Adoption of Technologies:</u> Promote technologies that efficiently use energy, water, and other resources
<u>Capacity Enhancement:</u> Enhance human resources capacity through training programmes
<u>Access to Market:</u> Facilitate access to sustainable market for outgrowers
<u>Smallholder Capacity Building:</u> Enhance technical capacity for out-growers in terms of organizational matters, extension services, technology transfer.
<u>Local Content Policy:</u> Endeavor to promote local content to foster socio-economic development of communities
<u>Insurance Facilities:</u> Subscribe to insurance schemes to cover the enterprise from price fluctuations and disasters
<u>Business Plan:</u> Have a business plan in place and implement it for business sustainability

Partner Details

<i>Organization name</i>	
<i>Investment Type/Ownership</i>	
<i>Area of operation (Region)</i>	
<i>Headquarter</i>	
<i>City/District/Municipality/Town</i>	
<i>Village/Street/Ward/Division</i>	
<i>Name Contact Person 1</i>	
<i>Title</i>	
<i>Mobile Phone</i>	
<i>E-Mail address</i>	
<i>Name Contact Person 2</i>	
<i>Title:</i>	
<i>Mobile phone:</i>	
<i>E-Mail address:</i>	

General Information

Num	Question	Response
1	<i>What is the total Number of employees?</i>	
1.1	<i>How many are Male?</i>	
1.2	<i>How many are Female?</i>	
1.3	<i>How many are youth? (defined as "young men and women from the age group of 18 to 35")</i>	
1.4	<i>How many are disabled?</i>	
2	<i>How many seasonal/temporary workers do you hire?</i>	
3	<i>How many of your employees have formal contracts? (Total number)</i>	
3.1	<i>How many Men?</i>	
3.2	<i>How many Women?</i>	
3.3	<i>How many Youth (18-35 years of age)</i>	

4	<i>If you work with outgrowers/suppliers, roughly how many do you engage with?</i>	
5	<i>What are your key challenges related to contract farming?</i>	
6	<i>What is the land ownership status of your investment?</i>	
7	<i>If your organization has a governing Board, how many Board members?</i>	
7.1	<i>How many are male?</i>	
7.2	<i>How many are female?</i>	
7.3	<i>How many are youth? (defined as "young men and women from the age group of 18 and 35")</i>	
8	<i>If you do not have a formal management structure, when will you establish one? Do you need SAGCOT support? Specify</i>	

How to rate an investment using the tool

- Provide brief justification to explain your scoring.
- If your situation falls between categories, select the category it most corresponds to and explain why you picked that scoring category.

Scoring reference:

Scores range from very poor to exceeding with very poor being the lowest level of achievement in that category while Exceeding is the highest and considered best practice.

- **Very Poor.** No awareness or actions taken. Requires substantial and urgent improvement action.
- **Poor.** Minimal action or awareness. Requires improvement action.
- **Fair.** Limited action or awareness. Minimum conditions. Some improvement should be undertaken, though less urgent.
- **Good.** Generally considered good practice; follows basic standards; while no improvement may be necessary, better practice is often desired. Companies can strive for more in order to become more sustainable and more resilient investments.
- **Exceeding.** Best IGG practice. This is the optimal IGG condition and criteria that is considered most aligned with national and international best practice.

Please indicate the designated score for each criterion in the bracket to show the level of compliance.

SECTION FOUR

Assessment Checklist

Form to be filled in for annual submission to SAGCOT Centre

Disclosure Statement

All information provided to SAGCOT as part of the assessment process will be treated as confidential and shall be used for the intended purposes only.

Consent Form for IGG submission and assessment

Assessments that are shared with SAGCOT will be treated anonymously and confidential data will not be shared. But SAGCOT will contact participating firms for annual updates.

Name of Investment:

Name of responsible person

Position / Title

I have conducted the SAGCOT Inclusive Green Growth tool assessment to the best of my/our ability and knowledge (myself, my investment team). We believe all information provided and statements made to be true. I agree willingly to participate in this assessment, whose objective has been well-explained and understood.

I agree that the information gathered in this assessment may YES NO (please circle) be shared anonymously in summary reports.

I agree that an assigned IGG Assessor on behalf of SAGCOT may visit or discuss further the results of my/our assessment YES NO (please circle)

Signature.....

Date.....

Name and Signature of IGG assessor:

Inclusivity and Social Sustainability Principle (30 points)

Labour and employment Policy

1. Does your organization have a clear and effective HR function? And can show evidence that:
 - Staff have clear formal employment contracts
 - Statutory deductions are correctly administered and recorded
 - The investment complies with the Employment and Labour Relations Act (covering annual leave, sick leave, overtime etc.)
 - There are suitable policies in place to prevent child labour
 - There are HR policies in place (including but not limited to leave and overtime, recruitment, pay, performance management)
 - There is senior oversight to the HR function
 - Employees/workers are aware of these policies and employment terms
 - BONUS (+1) - organization has a staff retention scheme and succession plan
2. HR manager provides regular (at least annual) updates and notifications to staff regarding employment policies and terms (e.g. notifying annual leave entitlement and dates) to maintain awareness.

Provide explanatory notes:

Very Poor	Poor	Fair	Good	Exceeding
<p>Does not use formal employment contracts (for the majority of staff) and does not follow any HR policies. Not compliant with national / international labour laws</p>	<p>All staff have employment contracts compliant with labour law but policies covering leave, pay, performance and recruitment, child labour are lacking or mainly lacking.</p>	<p>Employment contracts are in place, as well as basic policies covering leave, pay, performance and recruitment and child labour.</p>	<p>All employees have contracts and are aware of their terms. HR function is managed by a member of the senior team). HR policies covering all key areas of HR (including child labour) are in place and followed.</p>	<p>All employees have contracts and are aware of their terms. HR function is managed by a member of the senior team (direct report of the CEO). HR policies covering all key areas of HR (including child labour) draw on best practice for the sector and are regularly reviewed and updated. Organization open to feedback and improvement. BONUS +1 -- Staff retention scheme and succession plan in place.</p>

Gender equality and Non-Discrimination

1. Does the investment have a non-discrimination policy, particularly one that addresses prevention of sexual harassment, exploitation, and abuse (i.e., PSHEA policy)?
2. What about non-discrimination policy for age, religion or tribe?
3. Are the workers aware of the policy?
4. Are you an equal opportunity employer? (engagement of women, disadvantaged such as those with HIV-AIDs etc)
5. How do you ensure equal employment opportunities?
6. Is there a clearly laid-out procedure that ensures that all workers are fairly treated?

7. Is there a clear understanding on sexual harassment among staff/workers in the investment?

Very Poor	Poor	Fair	Good	Exceeding
<p>No non-discrimination policy; no procedures, nor organizational commitment for fair treatment of employees or regarding sexual harassment</p>	<p>Informal non-discrimination treatment although no policy in place that addresses gender, age, religion, tribe.</p>	<p>Non-discrimination policy that does not address all categories of gender, age, religion, tribe. Procedures may not be clear. Staff/members may not be fully aware of policy.</p>	<p>Non-discrimination policy that addresses all categories, and workers aware of the policy. Fair treatment procedures in place, though maybe not well known.</p> <p>Focal point exists for gender issues. Understanding on sexual harassment though more training may be needed.</p>	<p>Non-discrimination policy that addresses all categories, and workers aware of the policy. Fair treatment procedures in place, clear and understood. Gender and other discrimination focal point(s). Clear understanding on sexual harassment with regular awareness raising/trainings on all of the above.</p> <p>Organization has a policy towards active engagement of vulnerable / disabled community members which is being implemented, including women and people with HIV-AIDs</p>

Resources:

- FAO and the World Bank. 2017. How to integrate gender issues in climate-smart agriculture projects. <https://www.fao.org/publications/card/fr/c/45d93533-c024-/>

Social linkage and Conflict management

Food systems are complex, and the same action may span environmental, social, and economic impacts with different consequences to different stakeholders at different scales.

1. Are there any functional dispute management, conflict resolution, and/or grievance mechanisms in place? Do feedback channels exist for employees and communities?
2. Are employees and/or communities aware of the mechanisms and their procedures?
3. Have you considered potential impacts of your actions on other stakeholders, sectors, downstream water users, other value chain actors? How?
4. How are you communicating with other actors across the value chain and/or landscape? E.g., up and downstream of the value/supply chain and up and downstream in the catchment.
5. How do you foster relationships and resolve challenges within your organization and with surrounding communities/other actors?

Very Poor	Poor	Fair	Good	Exceeding
<p>No dispute management / conflict resolution / grievance / feedback mechanism. No consideration of organization's impact on others. No engagement with other stakeholders unless essential for business.</p>	<p>No dispute management / conflict resolution / grievance mechanism. Possible feedback opportunities exist. Limited awareness. Limited consideration of organization's impact on others. Limited engagement with other stakeholders unless directly related to business.</p>	<p>Dispute management / conflict resolution or grievance mechanism in place. Feedback opportunities exist. Some awareness among employees or communities. Irregular communication with other actors across the value chain and/or landscape unless directly related to business. Possible irregular participation in platforms, multi-stakeholder workshops, or similar initiatives on common issues/ challenges. Community engagement with some consideration of vulnerable populations.</p>	<p>Dispute management / conflict resolution / grievance mechanisms in place. Feedback mechanism too. Awareness among employees and communities, though more may be needed to clarify procedures. Consideration of investment impact on others and regular communication with related actors across the value chain and/or landscape. Regular participation in platforms, multi-stakeholder workshops, or similar initiatives on common issues/ challenges.</p>	<p>Dispute management / conflict resolution / grievance mechanisms in place and well-functioning. Feedback mechanism too. Good awareness among employees and communities. Consideration of the investment's broader impacts. Regular communication with other actors across the value chain and/or landscape. Regular active participation in platforms, multi-stakeholder workshops, or similar initiatives on common issues/ challenges. Exchanges on trade-off related challenges.</p>

Resources:

- Building capacity of communities to engage with you in this community capacity assessment: <https://ripllandesa.s3.us-west-2.amazonaws.com/supporting+materials/IGB+SR+6++Community+Capacity+Assessment.docx>
- See Grievance Mechanism under Land tenure section too.
- Gender – guide to integrating gender into agricultural value chains; developed by USAID https://agrilinks.org/sites/default/files/resource/files/gender_agriculture_value_chain_guide.pdf
- Gender - gender mainstreaming reference guide for agricultural and rural development https://www.jica.go.jp/Resource/english/our_work/thematic_issues/gender/c8h0vm000f3j6-att/gender_mainstreaming_07.pdf

Support for Small-scale producers/outgrowers contracted (engaged) by the Investment

1. Does the investment support out-growers to produce enough for commercial and their own consumption ensuring food security?
2. Does the investment actively encourage participation by Women-led outgrowers'/small suppliers?
3. Does the investment maintain basic data capturing and monitoring systems to keep track of outgrowers/small suppliers?
4. Are clear contracts or production agreements maintained with outgrowers/small suppliers that outline the terms of the arrangement?
5. Does the investment provide agricultural input to outgrowers/small suppliers and are the terms (and dispute resolution) processes clear and understood?
6. Does the investment provide technical and/or financial extension services to outgrowers/small suppliers?
7. Are clear pricing mechanisms and payment modalities in place?
8. BONUS (+1) -- The organization has a local content policy to support local businesses.

Very Poor	Poor	Fair	Good	Exceeding
The Investment purchases from outgrowers but has none of the above controls and processes in place. Meaning that outgrowers are at risk of unfair treatment and poor pricing and payment terms.	Contracts are in place for some but not consistently applied. Pricing is inconsistent and not all outgrowers receive a fair price/	Contracts are in place and a fair pricing and payment system is maintained. However, extension services and reasonably provided inputs are lacking. No targeted engagement with women outgrowers	Contracts are in place and a fair pricing and payment system is maintained. There is some provision of extension services and inputs although improvements could be made. Some targeted engagement with women outgrowers although no formal plan.	Appropriate outgrowers are selected and the Investment follows a plan to encourage women to participate. Administrative systems are of a very high standard and maintained. Terms are understood, prices are transparent. Inputs and extension services are provided by the Investment.

RESOURCES:

- Dealing with outgrowers: This report provides a useful literature review that highlights best practices. <https://riplandesas3.us-west-2.amazonaws.com/supporting+materials/IGB+SR+9+--+Outgrower+Best+Practices.pdf>
- FAO Guidance Note: [Outgrower Best Practices.docx \(fao.org\)](#)

Land tenure

1. How have you assessed, informed and engaged communities affected by your investment (land users and both formal and customary land right holders)? And have they consented freely to the investment?

Very Poor	Poor	Fair	Good	Exceeding
<p>Little to no knowledge of land issues and no assessment conducted. Land rights holders have not been informed. Little to no engagement of affected communities.</p>	<p>Assessment of land issues partly considered or initiated. May have considered tenure issues of existing land holdings. Land rights holders have not been informed. Some affected communities engaged</p>	<p>Most of assessment of land issues complete, but no or limited action plan. Considered tenure issues of existing land holdings. All land rights holders have not been informed. Some affected communities engaged</p>	<p>Assessment of land issues complete with action plan. Considered tenure issues of existing land holdings. All land rights have been identified and informed. Land users considered. Most affected communities engaged.</p>	<p>Assessment of land issues complete with action plan that's being implemented and is revisited regularly.</p> <p>Consider tenure issues of past, existing, and prospective future land holdings as well as supply chains.</p> <p>All land rights have been identified under formal and customary law, and rights holders have been informed, including vulnerable people. Communication with affected communities is on-going, well-planned, and multi-channel</p>

RESOURCES:

- This guidebook has tools that help businesses to recognize and protect community land users and land rights. https://ripl.landes.org/model_guidebooks/1#how_to. It includes this risk assessment and management framework <https://www.landes.org/what-we-do/landassess-tool/> - that provides a clear and simple set of checklists that generate a report to help agricultural companies assess and manage how they respect land rights.
- General land tenure guidance can be found here: <https://www.fao.org/3/i2801e/i2801e.pdf>
- Grievance mechanism checklist can be found here: <https://riplandes.s3.us-west-2.amazonaws.com/supporting+materials/GGB+SR+10+-+Grievance+Mechanism+Checklist.docx>

- United Nations Guiding Principles on dispute resolution: Guiding principles on Business and Human Rights. 2011. https://www.ohchr.org/sites/default/files/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf
- Operational guidance on Free, Prior and Informed Consent (June 2019/May 2020). Accountability Framework: https://accountability-framework.org/fileadmin/uploads/afi/Documents/Operational_Guidance/OG_FPIC-2020-5.pdf
- Large land-based investments can get general guiding principles here: <https://repository.uneca.org/bitstream/handle/10855/22829/b11524510.pdf?sequence=1&isAllowed=y>

Shared value investments and support for local communities

1. Do you have any policy/strategy for engaging surrounding local communities? Briefly explain.
2. How are vulnerable populations being engaged? Is gender/youth (and/or other vulnerable groups such as pastoralists) representation considered in community engagement? Do members of these groups have the capacity to engage meaningfully?
3. Do you have any community driven initiative/project with community? Briefly explain.

Very Poor	Poor	Fair	Good	Exceeding
<p>No policy/strategy for engaging local communities. No or very limited engagement with communities. No projects with communities.</p>	<p>No policy/strategy for engaging local communities. Some community engagement does take place, but more on an as-needed basis. No special consideration of vulnerable populations.</p>	<p>Policy/strategy for engaging local communities exists. Community engagement takes place with very limited consideration of vulnerable populations (e.g., only gender). Possibly engaged with community project not driven by community.</p>	<p>Clear policy/strategy for engaging surrounding local communities with active implementation. Multiple vulnerable populations considered in community engagement.</p>	<p>Clear policy/strategy for engaging surrounding local communities that is being implemented and monitored. Vulnerable populations considered in community engagement. Capacity building of communities and vulnerable populations, as necessary, to ensure effective engagement. Supports community-driven project.</p>

RESOURCES:

- Community consultations: This is a checklist to support productive, meaningful and participatory consultations. <https://ripllandesa.s3.us-west-2.amazonaws.com/supporting+materials/IGB+SR+5+--+Community+Consultation+Checklist.docx>.
- To actively engage communities long-term, communities need adequate capacity to engage effectively. <https://ripllandesa.s3.us-west-2.amazonaws.com/supporting+materials/IGB+SR+6+--+Community+Capacity+Assessment.docx>
- See grievance mechanism under Land Tenure

Business Sustainability Principle (30 points)

Good governance

1. Does the investment have a formal management structure?
2. Does the investment have an active governing board, senior management team (SMT) that meets regularly and can show evidence that it implements resolutions of the Board/SMT?

Very Poor	Poor	Fair	Good	Exceeding
Not legally registered; no formal mgmt. structure.	Organization is legally registered; no formal mgmt. structure.	Legally registered; Informal management structure exists. May have a Board/SMT, but inconsistently implements resolutions.	Legally registered; Formal management structure exists. Board/SMT exists with gender representation, and Board resolutions are implemented.	N/A

RESOURCES:

- Model contract clauses for responsible investment in agriculture. Shows legal provisions that support implementation of best practices in agriculture by IISD. <https://www.iisd.org/toolkits/responsible-investment-agriculture/>

Sustainability Commitment and Culture

1. How is your organization strategically working on sustainability internally? (e.g. mainstreaming sustainability across the different components of your organization’s engagements, top management support, Regular training of employees)
2. Do you have an annual IGG workplan? Do you revisit your annual performance report from the previous year?
3. What are your organization’s sustainability reporting procedures that ensure there is effective monitoring and adaptive management in this area?
4. Can you describe how your investment aligns with Government of Tanzania development goals/global commitments as well as SAGCOT’s mission?
5. BONUS (+1) - Is the investment working with or certified with an international voluntary standard?

Very Poor	Poor	Fair	Good	Exceeding
Sustainability not being considered within the organization	Limited interest in sustainability within the organization with no expressed commitment by top management.	<p>No expressed commitment by top management to sustainability in the business, though may be implementing some limited sustainability-related actions.</p> <p>No strategic approach and not mainstreamed.</p> <p>Occasional employee training opportunities.</p> <p>Limited to no effort to align with government / SAGCOT</p>	<p>Top management has expressed commitment to and supports sustainability aspects.</p> <p>Some strategic consideration of sustainability in the business and inclusion in workplan, but not mainstreamed in organization. IGG related improvement actions taken, though no specific IGG workplan. Employee training opportunities.</p> <p>. Some effort to align with government / SAGCOT</p>	<p>Top management has expressed commitment to and supports sustainability aspects.</p> <p>Focal point identified for sustainability issues.</p> <p>Clear strategic/work plan that integrates sustainability into the business. Annual IGG workplan. Monitoring system that revisits plans each year to adapt actions. Capacity building plan in place for staff and even affiliates.</p> <p>Strong efforts to align with government / SAGCOT.</p> <p>BONUS +1 – using another global voluntary standard.</p>

Resources:

- International Finance Corporation (IFC) provide the Business case for Sustainability. <https://www.cbd.int/financial/mainstream/ifc-businesscase.pdf>

Operational procedures

1. Does the investment have operational manuals and policies? Examples are listed below but not all may be relevant to the investment (Note that HR and diversity are covered in the Inclusivity section above)
 - Financial and Internal Controls Policy (including procurement)
 - Asset Register
 - Due diligence on sub-contractors and staff
 - Anti-bribery/corruption (including management of conflicts of interests)
 - Risk Management
 - Whistleblowing
 - Health and safety
 - Duty of Care/Security
 - Information technology/data security
 - Environmental Policy
 - Quality assurance

Please make a note of all manuals and polices in place

Very Poor	Poor	Fair	Good	Exceeding
No written manuals or operational polices	Some documented financial and operational controls and an asset register, but not regularly maintained	At least a financial controls policy, asset register, health and safety policy are maintained and followed	All policies and manuals relevant to the investment are in place and maintained including an environmental policy. Most staff are aware of policies relating to them though training may be infrequent	All policies and manuals relevant to the investment are in place and regularly revisited and updated, including an environmental policy, and can evidence current best practice. Staff are trained regularly (at least annually) on those relevant to their role. Feedback welcomed for constant improvement.

Compliance & Certification

1. Does the investment undertake annual audits as per the laws of Tanzania and file financial reports to the appropriate authorities?
2. Does the investment have relevant valid licenses and certificates to conduct its business?
3. Does the investment apply accepted accountancy reporting standards (e.g. IFRS)?
4. Does the investment have an accounting system?

Note any challenges or support needed in maintaining compliance

Very Poor	Poor	Fair	Good	Exceeding
Not compliant. No plan for compliance.	Not compliant, but plan being developed to meet compliance requirements.	Compliant on audits, reporting and licenses/certificates are in place or have been applied for, and basic accounting system	Fully compliant and with a suitable, backed up, computerized accounting system (desirable: following International Financial Reporting Standards)	N/A

Occupational Health and Safety

1. Does the investment have an occupational health and safety policy?
2. Does the investment have an occupational health and safety policy in line with OSHA requirements? (please provide certificate)
3. Are workers regularly trained on the occupational health and safety issues? (please provide certificate (s))
4. Do workers use appropriate Personal Protective Equipment (PPE)?
5. Does the investment have a First Aid Kit and Certified First Aider?
6. Are safety signs placed in areas with significant risk to health and safety of workers and the public?
7. Are workers trained in fire-fighting?
8. Do you have an emergency response plan?
9. Is there an area designated as an emergency assembly point?

Very Poor	Poor	Fair	Good	Exceeding
No occupational health and safety policy or procedures	Limited occupational health and safety policies and procedures; not clear about OSHA requirements	Occupational health and safety policy in place, although not in line with or not clear about OSHA requirements; PPE sometimes used. Basic emergency response plan	Occupational health and safety policy in line with OSHA requirements. Regular trainings of workers. PPE used.	Occupational health and safety policy in line with OSHA requirements. Regular trainings of workers. PPE used. Good signage of health & safety issues. Emergency response plan in place with regular drills. First aid and fire-fighting skills on-site.

Environmental Management Principle (40 points)

Knowledge and skills on environmental management

1. How knowledgeable are you and your organizational staff about environmental management? How do you support regenerative/restorative agriculture practices and Nature-based Solutions in your supply chain?
2. Does the investment have designated personnel for Environmental Management (EM) affairs?
3. Do you promote active learning about and build capacity on environmental management and environmentally-friendly practices within your organization? Are you engaged in peer-to-peer exchanges and knowledge-sharing with other stakeholders? (please explain how).

Very Poor	Poor	Fair	Good	Exceeding
Do not have designated personnel for environmental management, nor regularly consult with such expertise or resources	Do not have designated personnel for environmental management; occasionally seek out environmental management resources.	Access to environmental management expertise; regularly consult	Designated personnel / resources for environmental management; capacity building opportunities	Designated personnel for environmental management; capacity building on EM mainstreamed into staff development; learning culture in place including engagement in peer-to-peer networks and other knowledge-sharing platforms.

Environmental Management Action

1. Does the investment have Environmental Impact Assessment (EIA) or Environment Audit (EA) Certificate? (please provide certificates). If NO, why and what are your plans to get them?
2. Have you identified if the investment directly or indirectly results in conversion of natural habitat (native/natural forests, grasslands, wetlands)?
3. Does your investment directly or indirectly disturb or impact land of any areas classified as highly sensitive (high conservation value, World Heritage sites, wildlife corridor, etc.)?
4. Do you implement the identified mitigating actions to minimize negative impacts? (please explain)

Very Poor	Poor	Fair	Good	Exceeding
Have not conducted EIA/EA; No/few actions taken yet towards compliance.	Have not conducted EIA/EA but with plan to do so. Few actions taken yet towards compliance, but with plan to do so. No active avoidance of conversion of natural habitat.	EIA/EA conducted or in process and certificate expected. Planning on how to address weak areas. Some awareness of natural habitat and ecologically sensitive areas. Actively try to avoid conversion of natural habitat	EIA/EA conducted, and certificate secured that includes consideration of natural habitat and ecologically sensitive areas; Key actions are being taken to address environmental issues raised. Actively avoiding conversion of natural habitat, but any conversion has been mitigated, restored, and/or offset.	EIA/EA conducted, and certificate secured that includes consideration of natural habitat and ecologically sensitive areas. environmental management plan under implementation that considers climate smart agriculture, nature-based solutions, and/or regenerative practices where feasible and appropriate. Any conversion has been mitigated, restored, and/or offset

Resources:

- Summary of Tanzania EIA requirements can be found here: <https://www.elaw.org/eialaw/tanzania>; steps of the EIA procedure: <https://www.nemc.or.tz/uploads/publications/sw-1576238362-EIA%20PROCEDURE.pdf>

Safe use of Chemicals - Agro and Industrial

1. Do you have a policy/plan for handling, storage, transportation, use and disposal of agro-chemicals and wastes? (please explain).
2. Is the investment aware of prohibited chemicals? Please explain.
3. Are your associated outgrowers/small suppliers aware of Good Agricultural Practices (GAP) for each crop with respect to use of chemicals? (please explain)

Very Poor	Poor	Fair	Good	Exceeding
No awareness of prohibited chemicals/ agro-chemicals;	Some awareness of prohibited chemicals/ agro-chemicals; no actions being taken	Awareness of prohibited chemicals/ agro-chemicals; some actions being taken, but no systematic policy or plan in place.	Policy/plan exists for handling, storing, transporting, use and disposal of agro-chemicals and wastes; implementation being rolled out. Company staff and associated out-growers in process of building capacity on use of chemicals.	Policy/plan in place for handling, storing, transporting, use and disposal of agro-chemicals and wastes; implementation mainstreamed into organization's business practices; monitoring and continual learning system in place for organization and associated outgrowers/suppliers.

Resources:

- ILO. Safety and health in the use of agrochemicals. https://www.ilo.org/wcmsp5/groups/public/@ed_protect/@protrav/@safework/documents/instructionalmaterial/wcms_110196.pdf
- Training Manual for Organic Agriculture. FAO - https://www.fao.org/fileadmin/templates/nr/sustainability_pathways/docs/Compilation_techniques_organic_agriculture_rev.pdf

Waste management

1. Do you have a waste management plan that addresses animal (including manure), crop waste, toxic agricultural waste, etc.?
2. Are staff aware of, understand and implement the plan?
3. How do you store waste?
4. How do you dispose waste?

5. Do you reduce/minimize waste? How?
6. Do you re-use waste? How?
7. Do you recycle waste? How?
8. Do you actively seek out partners who may be available for exchange of by-products?

Very Poor	Poor	Fair	Good	Exceeding
No waste management plan in place. No special consideration of waste by-products.	No waste management plan in place, or in early development	Waste management plan developed but not yet being implemented. Some scattered actions.	Waste management plan in place that addresses collection, treatment, storage, use/re-use with intention to reduce, re-use, and recycle waste/by-products. Implementation in process.	Waste management plan in place and being implemented that systematically addresses collection, storage, use/re-use of waste. Active in reducing, reusing and recycling of waste/by-products. Actively seeking related partners. Learning systems in place with adaptive management.

Conservation of water Resources and Sources

1. What is your level of awareness of water issues and water risk within the water basin and at company operational levels? (i.e., physical, regulatory, and reputational water challenges including water scarcity, poorly implemented water policy, or local community conflict). What is your level of understanding about the potential impact of your investment on other water users, particularly downstream investments and users?
2. Are policies, practices in place to address these issues/risks?
3. Does the investment have and implement strategies to enhance efficient water use? Briefly explain. E.g., drip irrigation, crop rotation, choice of varieties,
4. Have water sources been identified, and what protection measures are being taken for them?

Very Poor	Poor	Fair	Good	Exceeding
Very limited awareness of water issues/ risk though may experience challenges of drought or flooding. Not engaging with other stakeholders in the catchment or along the value chain on water issues. No knowledge of water sources	Limited awareness of water issues/risk. No or very little efficient water use strategies. Limited engagement with other stakeholders in the catchment or along the value chain on water issues. Knowledge of water sources, but no actions to protect them	No systematic analysis of water issues/risk, though there is some understanding of water challenges. Some strategies to enhance efficient water use. Some engagement with other stakeholders on water issues. Knowledge of water sources; implementing limited actions to protect them.	Awareness of water issues/ risks, and some policies/practices in place to address them, including efficient water use. Some engagement with multi-stakeholders at a catchment/basin level; Knowledge of water sources as well as key suppliers and some level of engagement on protection of water sources and working with key suppliers on water issues.	Good awareness of water issues and risks and even how they may change under different climate scenarios. Policies/ practices in place to address key risks. Monitoring level of water use. Engagement with multi-stakeholders at a catchment/basin level and broader industry collaboration level. Engagement with key suppliers on water issues and incentivizing of best practice water management

Resources:

- Good explanation of water risk can be found here: <https://www.unpri.org/environmental-issues/what-is-agricultural-supply-chain-water-risk/2795.article>; WWF water risk filter: <https://riskfilter.org/water/home>.
- Investor toolkit: https://www.ceres.org/resources/toolkits/investor-water-toolkit?utm_medium=paid&utm_source=google-ad-grant&utm_campaign=water_evergreen_keywords&utm_source=google-ad-grant

Pollution Control - water, air, soil and noise

1. What measures are in place to control environmental pollution?
2. How are you ensuring that pest management systems do not have harmful impact on environment and human life?

Very Poor	Poor	Fair	Good	Exceeding
No measures in place to control environmental pollution. No consideration of how to reduce harmful impacts of pest management.	No or very limited measures in place to control environmental pollution. Not all categories considered (i.e., surface/groundwater, soil, air, noise) considered. Limited (thinking but little action) consideration of how to reduce harmful impacts of pest management.	Some measures in place to control pollution. All categories considered/assessed though all may not be addressed (i.e., surface/groundwater, soil, air, noise). Some consideration and action of how to reduce harmful impacts of pest management.	Measures actively taken to control pollution (including surface/groundwater, soil, air, noise), Pesticides, fertilizers, and other toxic chemicals. Pest management system. Non-synthetic pest management techniques explored in an Integrated Pest Management system. Integrated Nutrient Management also being explored. Some knowledge exchanges.	Comprehensive measures actively taken to control pollution (surface/groundwater, soil, air, noise); including pesticides, fertilizers, and other toxic chemicals; Strong engagement in knowledge development and sharing of locally-relevant and effective methods of Integrated Pest Management (IPM) and Integrated Nutrient Management (INM). Engagement in appropriate policy dialogues, where possible.

Adoption and Application of environmentally-friendly technologies

1. **Inputs:** Which environmentally-friendly agricultural inputs do you use (e.g., new cultivars, integrated pest management, etc.)?
2. **Soil Health Management:** How do you manage soil health? Is your investment working to prevent soil erosion and improve soil health?
3. **Information and Communication Technology (ICT):** Are you employing ICT solutions (e.g., precision agriculture)? Or other technologies? Please describe.

Very Poor	Poor	Fair	Good	Exceeding
No adoption or application of new technologies	Willingness, but very limited awareness and adoption or application to date of new technologies	Some adoption and application of new technologies across at least one category (e.g., inputs, soil health management, ICT, or other)	Good adoption and application of new technologies across 2 or more categories	Adoption of new technologies in a diverse variety of contexts along the value chain and landscape. Actively considering risk management and knowledge sharing. Incentivizing adoption of these technologies within the supply chain

Resources:

- The Sustainable Agriculture Transition. Technology options for low- and middle-income countries. July 2020. International Institute of Sustainable Development. Livia Bizikova, Sara Brewin, Richard Bridle, Tara Laan, Sophia Murphy, Lourdes Sanchez and Carin Smaller. <https://www.iisd.org/publications/sustainable-agriculture-transition-technology>.

Climate Adaptation and Mitigation

1. Climate Change

- How well do you understand climate change potential negative impacts (risks) to and sensitivity (vulnerability) of your investment?
- Do you have access to and use reliable weather/climate information?

2. Climate Adaptation

- How are you managing negative climate impacts? What actions have you done to increase the ability of your investment to cope with negative impacts of changes in climate (e.g., droughts/floods/temperature rise)? Are you aware of mechanisms to reduce shocks such as crop insurance?
- Are you engaging with other stakeholders on climate issues such as participating in landscape/regional initiatives or platforms? (mention)

3. Climate Mitigation

- v. Do you have a strategy to reduce your GHG emissions impact?
- vi. What source of energy do you mostly use? And how do you conserve energy? How have you considered or explored low carbon energy/transport options, including renewable energy options?

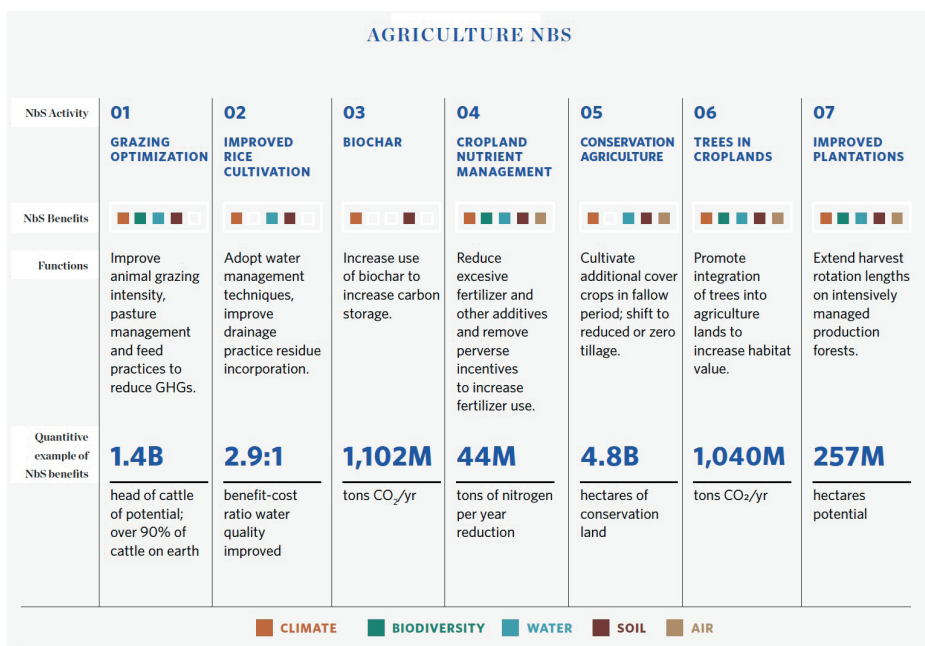
Very Poor	Poor	Fair	Good	Exceeding
<p>No awareness of climate change risks or vulnerabilities of the investment. No risk management actions to increase the investment's ability to cope with negative changes. No engagement with other stakeholders on climate issues.</p> <p>No actions to reduce GHG emissions.</p>	<p>Low understanding of climate change risks and vulnerabilities of the investment. Actions primarily reactive to climate events. No engagement with other stakeholders on climate issues.</p> <p>No actions to reduce GHG emissions</p>	<p>Some understanding of climate change risks and vulnerabilities of the investment. Actions primarily reactive and only respond to negative climate events, though some limited preparation actions may be occurring (e.g., selection of tolerant seeds).</p> <p>Limited actions to reduce GHG emissions</p>	<p>Basic understanding of climate change risks and vulnerabilities of the investment.</p> <p>Investment implementing at least several risk management actions that help anticipate, prepare for, and respond to negative climate events.</p> <p>Engagement with other stakeholders on climate issues.</p> <p>Consideration and some actions to reduce GHG emissions</p>	<p>Good understanding of climate change risks and vulnerabilities of the investment.</p> <p>Risk management plan in place and being implemented that enables anticipation, preparation for, and response to negative climate events.</p> <p>More extensive engagement with other stakeholders on climate issues, including multi-stakeholder platforms and possible initiatives. Active involvement with vulnerable groups to help build their resilience too.</p> <p>Plan in place to reduce GHG emissions. Actions taken.</p>

Resources:

- FAO. 2017. Climate smart agriculture sourcebook. <https://www.fao.org/3/i7994e/i7994e.pdf>. Module on crop production and climate change: <https://www.fao.org/climate-smart-agriculture-sourcebook/production-resources/module-b1-crops/b1-overview/en/?type=111>
- Climate adaptation good practice checklist: <https://careclimatechange.org/wp-content/uploads/2019/06/Adaptation-Good-Practice-Checklist.pdf>
- Janie Rioux, E Laval, K Karttunen, et al. Climate Smart Agriculture Guidelines for the United Republic of Tanzania. 2017. Food and Agriculture Organization. <https://www.fao.org/3/i7157e/i7157e.pdf>

Nature-based Solutions

NbS are meant to address societal challenges, improving ecosystem integrity and connectivity that lead to positive human well-being outcomes such as improving food security, reducing malnutrition, reducing poverty, improving rural development, boosting animal/human health, increasing resilience. There are four relevant scales: field, farm, landscape, country/region. See Figure 1 below for examples.



1. What is your understanding of Nature-based Solutions (NbS), and have you considered NbS in your investment? What types of NbS are you implementing?

Very Poor	Poor	Fair	Good	Exceeding
<p>Very weak to no knowledge of how nature's benefits can address societal challenges.</p> <p>No relevant actions</p>	<p>Weak knowledge of how nature's benefits can address societal challenges, though some consciousness exists; initial actions/practices identified that may link to positive human-well-being though no/limited implementation</p>	<p>Some knowledge of how nature's benefits can address societal challenges; actions/practices identified, and plan developed, though no/limited links to positive human well-being outcomes (e.g., improving ecosystem integrity and connectivity, increasing climate resilience, etc). limited implementation</p>	<p>Good knowledge of how nature's benefits can address societal challenges in some key relevant respects; actions/practices identified that link to positive human well-being outcomes (e.g., improving ecosystem integrity and connectivity, increasing climate resilience, etc). Moderate implementation</p>	<p>Good knowledge of how nature's benefits can address societal challenges; actions/practices identified, and plan developed that clearly links to positive human well-being outcomes that can be monitored (e.g., improving ecosystem integrity and connectivity, increasing climate resilience, etc). Understanding extends to smallholders who work with the investment. High level of implementation and engagement with other key stakeholders.</p>

RESOURCES:

- Nature Based Solutions – IUCN Agricultural guidance for the Global Standard for NBS (in development) – voluntary guidelines; elaborates on 8 criteria for NbS and application in the agricultural sector.
- TNC and FAO. 2021. Nature-based Solutions in agriculture: Sustainable management and conservation of land, water, and biodiversity. <https://www.fao.org/3/cb3140en/cb3140en.pdf> - this report provides a literature review of NbS in agriculture especially that support co-benefits (not just tradeoffs)

Input Suppliers

If you are an input supplier, please answer the following question instead of the ‘Environmental Management Action’ question above, and score accordingly.

1. Are you actively promoting sustainable input supply systems— (e.g., advocating for/aligning with appropriate policy and regulatory frameworks and financing models, synergies/partnerships with multistakeholder initiatives)
2. How well do you know the environmental conditions of your clients (e.g., soil health, water availability)?
3. What types of trainings and follow-up are you providing for proper use of your products?
4. Do you have special strategies to support vulnerable populations to access appropriate inputs?

Very Poor	Poor	Fair	Good	Exceeding
<p>No consideration of sustainable input supply systems.</p> <p>No knowledge of client farm conditions. No follow up.</p>	<p>Some awareness of sustainable input supply systems.</p> <p>Minimal knowledge of client farm conditions. Ask farmer about needs. Very minimal client farmers trainings and follow-up on proper use.</p>	<p>Some awareness of sustainable input supply systems.</p> <p>Some knowledge of client farm conditions. No data on individual farms but some knowledge of the landscape conditions. Minimal trainings and follow-up on proper use.</p>	<p>Awareness of sustainable input supply systems.</p> <p>Good knowledge of client farm conditions that is local data-driven. Support client farmers with trainings and follow-up on proper use.</p>	<p>Implementing sustainable input supply system approach, engaging in related policy/regulation/finance issues.</p> <p>Good knowledge of client farm conditions that is local data-driven. Extensive support for client farmers with trainings and follow-up on proper use. Designated extension personnel. Strategy to support vulnerable populations.</p>

ANNEX

Forms and Scoring

1. Comments

General Comments on the assessment:

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Specific suggestions for review of the tool/ checklist

Please indicate below any suggestions for review of the tool or the toolkit. Please be as clear as possible. Note that the review process is clearly indicated in IGG tool.

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2. Scoring of the Assessment

Note: Use excel for actual scores

Section	Compliance and Good Practice Criteria	Points/Weight
	INCLUSIVITY/SOCIAL SUSTAINABILITY PRINCIPLE	
	Labour and employment policy	6
	Gender and Non-discrimination	4
	Social linkage and conflict management	6
	Support for small-scale producers contracted (engaged) by the Investment	4
	Land tenure	6
	Shared value investments and support for local communities	4
	SUBTOTAL	30
	BUSINESS SUSTAINABILITY PRINCIPLE	
	Good governance	4
	Sustainability Commitment and Culture	5
	Operational Procedures	6
	Compliance & Certification	10
	Occupational Health and Safety	5
	SUBTOTAL	30
	ENVIRONMENTAL MANAGEMENT PRINCIPLE	
	Knowledge and skills on environmental management	6
	Environmental Management Action	10
	Safe use of Chemicals - Agro and Industrial	2
	Waste management	4
	Conservation and water resources/ sources	4
	Pollution control - water, air, soil and noise	3
	Adoption and Application of environmentally-friendly technologies	3
	Climate Adaptation and Mitigation	6
	Nature Based Solutions	2
	SUBTOTAL	40

Section	Compliance criteria	Total Points	TOTAL Point Scored	Score (%)
1	Inclusivity and Social Sustainability Principle	30		
2	Business Sustainability Principle	30		
3	Environmental Sustainability Principle	40		
Total score		100		

Key table

Very Poor Below 30%	Poor (31-50%)	Fair (51-70%)	Good (71-90%)	Exceeding (91-100%)
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