



Inclusive Green Growth Guiding Tool for **SMALL- 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 Green print 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 *Small-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 multistakeholder 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 Green print 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, develop IGG workplans, and compare annual results against their IGG workplans.
- **Reporting** – Partners will submit their annual assessment reports to SAGCOT by 31st December annually.
- 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 Small-Scale Producers

Small-scale producer organizations operate generally with the following key characteristics:

- Farm size up to 10 ha
- Predominant family labour
- Predominantly low use of technology
- Investments capital is up to TZS 50 million

Requirements for Small Scale Producers

Inclusivity Principle	
Core Requirements	Applicable Laws
<p><u>Equal Opportunities and Non-Discrimination:</u> Small producer organizations linked to SAGCOT shall be non-discriminatory.</p>	<ul style="list-style-type: none"> - 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>Conflict Management:</u> Conflict management mechanisms shall be defined in the organization's articles of association/constitution.</p>	<ul style="list-style-type: none"> - Employment and Labour Relations Act No. 6 2004. - Constitution of the organization. - Cooperative Societies Act, 2013 No. 6 of 2013.
<p><u>Decision Making:</u> Shall be democratic and participatory as provided in their constitution.</p>	<ul style="list-style-type: none"> - Cooperative Societies Act, 2013 No. 6 of 2013. - Constitution of the organization.
<p><u>Labour and Employment Laws:</u> Producers shall abide by 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

<u>Child Labour:</u> Producers shall refrain from the use of child or forced labour	<ul style="list-style-type: none"> - National Employment Policy & Labour Laws - Law of the Child Act No. 21, 2009
<u>Social Security Statutory re-quirement:</u> Producers should comply statutory payment to the government_	<ul style="list-style-type: none"> - National Social Security Fund Act, 1997 - Workers Compensation Act (Cap 263 Revised Edition of 2015)

Sustainable Business Principle	
Core Requirements	Applicable Laws
<u>Good governance:</u> Producers shall endeavour to demonstrate high level of good governance including transparency, accountability and integrity with stakeholders and partners as appropriate.	<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
<u>Legal Status:</u> Small scale producer organizations shall be formalized through registration as individual, an association or a cooperative in line with the applicable national policies and legislation.	<ul style="list-style-type: none"> - The Public Private Partnership (Amendment) Act, (Cap. 103) 2014. - Cooperative Development Policy, 2002. - Cooperative Societies Act, 2013 (No. 6 of 2013). - The Business Activities Registration Act, 2017.
<u>Management Structure:</u> Criteria for the selection of leaders shall be clearly defined in the constitution of the producer organization and shall be in accordance with the national laws and regulations.	<ul style="list-style-type: none"> - Public Private Partnership (Amendment) Act, 2014 No. 3 of 2014.
<u>Ownership:</u> The small producer organization shall be membership-based.	<ul style="list-style-type: none"> - Cooperative Development Policy, 2002. - Cooperative Societies Act, 2013 (No. 6 of 2013).
<u>Operational Procedures:</u> Small producers shall establish operational procedures that are in line with national regulations and will guide operations of the organization.	<ul style="list-style-type: none"> - Cooperative Development Policy, 2002. - Cooperative Societies Act, 2013 No. 6 of 2013. - The Business Activities Registration Act, 2017.
<u>Access to Markets:</u> All members shall have equal access to market opportunities.	<ul style="list-style-type: none"> - SAGCOT IGG Principle and partnership principle

<p><u>Financial Support:</u> Members shall have equal access to financial support opportunities coming through the association.</p>	<ul style="list-style-type: none"> - SAGCOT Partnership Principles. - Cooperative Societies Act, 2013 No. 6 of 2013;
<p><u>Compliance with Financial Laws and Regulations:</u> Associations or individual shall comply with required financial management rules and regulations as per the laws of Tanzania.</p>	<ul style="list-style-type: none"> - Cooperative Societies Act, 2013 No. 6 of 2013.
<p><u>Management of Resources:</u> Common resources shall be managed in a transparent and democratic manner for the benefit of all members.</p>	<ul style="list-style-type: none"> - Cooperative Societies Act, 2013 No. 6 of 2013. - National Land Act No. 4 of 1999. - Village land Act No. 5 of 1999. - <i>Land use planning Act of 2007</i>

Environmental Sustainability Principle	
Core Requirements	Applicable Laws
<p><u>Knowledge and Skills on Environmental Management:</u> Members of the organization are aware, knowledgeable and comply with laws, rules, regulations, strategies and guidelines related to environmental management.</p>	<ul style="list-style-type: none"> - National Environmental policy of 2021 - EMA, 2004 and subsequent Regulations. - Water Resources Management Act 2009. - Water Quality Standards 2007 and respective local by-laws. - Tanzania Wildlife Conservation Act, 2013. - Forest Act 2002. - By-laws of Community Natural Resources/Environment Committees.
<p><u>Sustainable Agricultural Practices:</u> Members of the associations/individual are aware and 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 Regulations, 2011; - 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> Members of the organization/Individual are aware and apply appropriate measures on use and management of agrochemicals.</p>	<ul style="list-style-type: none"> - Fertilizers Regulations, 2011. - Pesticide Control Regulations 1984. - Environmental Management Act, 2004; - The Occupation Health and Safety Act, 2003

<p><u>Waste Management:</u> Members of the organization/individual are aware and apply appropriate waste management practices.</p>	<ul style="list-style-type: none"> - EMA, 2004 and subsequent Regulations. - Pesticide Control Regulations 1984. - Water Resources Management Act, 2009. - Local by-laws.
<p><u>Conservation Agriculture and Soil Fertility Management:</u> Members of the organization/individual are aware and apply appropriate soil fertility management and conservation agriculture.</p>	<ul style="list-style-type: none"> - Fertilizers Regulations, 2011. - EMA, 2004 and subsequent Regulations. - Climate Smart Agriculture Guideline 2017. - Agriculture Sector Environmental Action Plan, 2012 - Tanzania Agriculture Climate Resilience Plan (ACRP), 2014
<p><u>Use of Environmentally-Friendly Energy Sources:</u> Members of the organization/individual utilize energy sources that have minimal impacts to the environment.</p>	<ul style="list-style-type: none"> - Sustainable energy for all (SE4ALL) UN Guideline. - Tanzania SE4ALL Action Agenda 2015. - Energy policy, 2015 - Clean cooking strategy, 2024
<p><u>Water Resources Management/Water Use Efficiency on Farms:</u> Members of the organization/Individual are aware and apply appropriate water efficient technologies and practices.</p>	<ul style="list-style-type: none"> - EMA, 2004 and subsequent Regulations. - National Water Policy, 2002 - Water Resources Management Act, 2009. - Local by laws. - Climate Smart Agriculture Guideline, 2017. - National Irrigation Act, 2013. - Agriculture Sector Environmental Action Plan, 2012 - Tanzania Agriculture Climate Resilience Plan (ACRP), 2014
<p><u>Pollution control Management (Water, Air, Noise and Soil):</u> Members of the organization/Individual are aware and apply appropriate measures to control pollution.</p>	<ul style="list-style-type: none"> - EMA, 2004 and subsequent Regulations. - National Water Policy, 2002 - Water Resources Management Act, 2009. - Pesticide Control Regulations 1984.

<p><u><i>Adoption and Application of Technologies:</i></u></p> <p>Adherence to Climate smart agriculture technologies and use of Nature based Solutions: 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. - EMA, 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. - Nationally Determined Contributions 2021 - Agriculture Sector Environmental Action Plan, 2012 - Tanzania Agriculture Climate Resilience Plan (ACRP), 2014
<p><u><i>Climate Adaptation and Mitigation:</i></u></p> <p>Investment shall adhere to CSA practices. These practices include: 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

*The listed laws and examples above are just some of available laws, regulations and practices.

Highlights of IGG good practices for small scale producers

Mainstreaming sustainability: 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.

Integrating IGG Process into Business: 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.

Vulnerable People and Non-Discrimination: 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+.

Adoption of Technologies: Promote technologies that efficiently use energy, water, and other resources

Business Plan: Have a business plan in place and implement it for business sustainability

Capacity Enhancement: Enhance human resources capacity through training programmes

Voluntary certification: Promote voluntary certification such as organic farming and eco-labelling for environmental sustainability, quality produce and access to premium markets

The association/individual should endeavor to have a development plan focusing on the short and long term economic and sustainable growth of its members/individual. The following are suggested areas that could be covered under the plan for enhancing organizational/individual growth:

- Annual work plans with clearly defined activities, deliverables and growth targets
- Common resource management policy/strategy (Assets & Finance)
- Access to affordable loans and grants
- Equal access to reliable local and export market through compliance and certification
- Market linkage through contract farming
- Access to information (e.g., production inputs, good agricultural practices, markets and funding)
- Development of By-laws on safeguarding water, soil and waste management
- Knowledge management through coaching and mentorship Progress reports (Quarterly/Annually) reflecting implementation of the organization's work plan/strategy.

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	What is the ownership status of the investment (Cooperative, Association, Individual? etc.)	
2	How many members does your business/organization have?	
2.1	How many are Male?	
2.2	How many are Female?	
2.3	How many are youth? (defined as “young men and women from the age group of 18 to 35”)	
3	How many members’ own land?	
3.1	How many are Male?	

3.2	How many are Female?	
3.3	How many are youth? (defined as “young men and women from the age group of 18 to 35”)	
4	How many members rent land?	
4.1	How many are Male?	
4.2	How many are Female?	
4.3	How many are youth? (defined as “young men and women from the age group of 18 to 35”)	
5	How many employees does the investment have?	
5.1	How many are Male?	
5.2	How many are Female?	
5.3	How many are youth? (defined as “young men and women from the age group of 18 to 35”)	
5.4	How many seasonal/temporary workers do you hire?	
6	What is your organizational structure?	
6.1	How many Board members do you have, if any?	
6.2	How many are Male?	
6.3	How many are Female?	
6.4	How many are youth? (defined as “young men and women from the age group of 18 to 35”)	

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

1. 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 focal 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:

Compliance with the Inclusivity Principle (30 points)

Labour and Employment Policy

1. Do your employees have formal contracts? How many with formal contracts are male, female, or youth? If not, explain why not.
2. Do you pay for their statutory deductions?
3. Do you have internal mechanisms to support employment of women and disadvantaged people?

Very Poor	Poor	Fair	Good	Exceeding
No contracts	No formal contracts. No statutory deductions paid	Most employees have formal contracts. Some statutory deductions paid.	All employees have formal contracts. Statutory deductions are paid.	All employees have formal contracts. Statutory deductions are paid. Internal mechanisms in place to support employment of women, disadvantaged people and people with disabilities.

Gender Equality and Non-Discrimination policy

1. Does the organization have a non-discrimination policy particularly one that addresses prevention of sexual harassment, exploitation, and abuse based on gender (i.e., PSHEA policy)? What about non-discrimination policy for age, religion or tribe?
2. Are the workers/members aware of the policy?
3. Are you an equal opportunity employer?
4. How do you ensure equal employment opportunities?
5. Is there a clearly laid-out procedure that ensures that all workers/suppliers are fairly treated and that members treat their workers fairly?
6. Is there a clear understanding on sexual harassment among staff/workers/suppliers in the organization?
7. For membership organizations only: is there a gender focal point? What efforts being made to ensure equal representation within the organization?

Very Poor	Poor	Fair	Good	Exceeding
<p>No non-discrimination policy; no procedures nor organizational commitment for fair treatment of employees/workers/ members 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/workers/members may not be fully aware of policy.</p>	<p>Non-discrimination policy that addresses all categories, and workers/ members aware of the policy. Fair treatment procedures in place, though maybe not well known. Understanding on sexual harassment though more training may be needed</p>	<p>Non-discrimination policy that addresses all categories, and workers and members aware of the policy. Fair treatment procedures in place, clear and understood. Clear understanding on sexual harassment with regular awareness raising/trainings on all of the above</p> <p>For membership organizations: Gender focal point identified. Gender disaggregated data collected, and effort made for appropriate representation within the workforce.</p>

Land tenure

1. Are you aware of National Land related Policies, Laws and Regulations? (mention)
2. Do you/your members have secure land tenure?
3. How do you resolve land tenure issues around your investment? (If any)

Very Poor	Poor	Fair	Good	Exceeding
No awareness of national land policies, laws and regulations. No land tenure security.	Little awareness of national land policies, laws and regulations. Land tenure not secure for organization, or only secure for very few members.	Some awareness of national land policies, laws and regulations. Land tenure not secure for the organization / for most members.	Awareness of national land policies, laws, and regulations. Land tenure secure for the organization / for most members. Efforts to resolve land tenure issues around the investment.	Awareness of national land policies, laws, and regulations. Land tenure secure for the organization / for all members. Formal process/system to resolve land tenure issues around the investment. Open channels of communication about land tenure issues.

RESOURCES:

- This guidebook has tools that help businesses to recognize and protect community land users and land rights. https://ripl.landesa.org/model_guidebooks/1#how_to. It includes this risk assessment and management framework <https://www.landesa.org/what-we-do/land-assess-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://riplandesa.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

Business Sustainability Principle (30 Points)

Good governance, Ownership and Management of the organization/investments

For all:

1. Is your organization/business legally registered? (If not, explain why)
2. Does the investment have a formal management structure?
3. Do you have small farm/smallholder insurance coverage for this investment?

For membership organizations only:

1. How are members involved in decision-making and feedback mechanisms in your organizations? (Regular meetings with staff, information sharing, suggestion box, etc.)
2. Do you have a committee or mechanism for resolving conflicts and managing disputes?
3. Do you conduct capacity building programmes for members? (e.g., for Good Agricultural Practices, business skills, gender inclusion etc.)
4. Does the organization have in place a policy for the management of common resources?
5. Do you support/facilitate members getting small farm/smallholder insurance coverage?

Very Poor	Poor	Fair	Good	Exceeding
<p>Not legally registered; no formal management structure. No policy for managing common resources</p>	<p>Organization is legally registered, no formal management structure.</p> <p>For membership organizations No policy for managing common resources. No regular communication with members.</p>	<p>Legally registered; Informal management structure exists.</p> <p>For membership organizations: Limited communication with members. Informal management of common resources.</p>	<p>Legally registered; Formal management structure exists. Insurance in place.</p> <p>For membership organizations: Policy for managing common resources exists. Regular management meetings, open communication lines. Mechanism for conflict resolution / dispute management in place. Members are able to provide feedback and suggestions are reviewed and considered</p>	<p>Legally registered; Formal management structure exists. Insurance in place.</p> <p>For membership organizations: Policy for managing common resources exists and is managed transparently. Evidence of effective governance and accountability through regular management meetings and decisions being implemented. Committees and management mechanisms in place to resolve disputes or conflicts, oversee finances, etc. Insurance coverage is supported/facilitated for members.</p>

RESOURCES:

- Though focused on smallholders in Asia, this Global GAP manual on Good Agricultural Practices has useful sections on farm management. Manual on Good Agricultural Practices. 2016. <https://resources.peopleinneed.net/documents/119-apo-manual-on-gap-2016.pdf>

Operational procedures

For individual small producers:

1. Do you have set ways of working that are clear and explained to your team and that cover:
 - a. Health and Safety?
 - b. Good environmental practice?
 - c. Please describe what these cover
 - d. Any others? Please mention.
2. Do you maintain a business plan/workplan?

For membership organizations:

1. Does your organization have operational manuals and policies that are shared with members and followed by the membership organization? Examples are listed below (note not all may be relevant to the investment):
 - a. Anti-bribery/corruption (including management of conflicts of interests)
 - b. Risk Management
 - c. Health and safety
 - d. Duty of Care/Security
 - e. Environmental Policy
 - f. Quality assurance

Please make a note of all manuals and policies in place.

Very Poor	Poor	Fair	Good	Exceeding
<p>For individual small producers:</p> <p>No defined ways of working</p> <p>For membership organizations:</p> <p>No written manuals or operational polices</p>	<p>For individual small producers:</p> <p>Informal ways of working in place.</p> <p>For membership organizations:</p> <p>Some document-ed operational guidance, but not early revisited and updated.</p>	<p>For individual small producers:</p> <p>Informal ways of working in place and can be described by manager/owner.</p> <p>Some evidence of basic business planning/work planning</p> <p>For membership organizations:</p> <p>At least a health and safety policy are regularly revisited and updated. Members not very aware of procedures.</p>	<p>For individual small producers:</p> <p>Clear ways of working in place (covering at least Health and Safety and good environmental practice) and all staff are aware.</p> <p>A basic business plan and work plan is in place and followed.</p> <p>For membership organizations:</p> <p>All policies and manuals relevant to the investment are in place, maintained and shared with members (including an environmental policy). Most staff/members are aware of policies relating to their work although training may be infrequent.</p>	<p>For individual small producers:</p> <p>Clear and written ways of working in place and are updated annually (covering at least Health and Safety and good environmental practice) All staff are aware.</p> <p>A written business plan and work plan is in place and followed.</p> <p>For membership organizations:</p> <p>All policies and manuals relevant to the investment are in place and maintained, including an environmental policy, and can evidence current best practice. Staff/ members are trained regularly (at least annually) on those relevant to their role. Feed-back welcomed for constant improvement.</p>

Compliance with financial laws and regulations

1. Does the investment undertake annual audits as per the laws of Tanzania and file financial reports to the appropriate authorities?
2. Do you have a financial policy?
3. Do you keep financial records?
4. For membership organizations, do you regularly communicate your audited financial reports to members?

Very Poor	Poor	Fair	Good	Exceeding
<p>Not keeping or filing financial records and no guiding policy in place</p>	<p>N/A</p>	<p>Financial records are maintained and filed with the authorities, and a basic policy is adhered to, but some improvements necessary. Incomplete audit history. Record-keeping not systematic.</p> <p>For membership organizations:</p> <p>No communication to members of organization's finances</p>	<p>Financial records are maintained and filed with the authorities. Regular external audits take place. A financial policy may exist though may not be well-known. Systematic record-keeping.</p> <p>For membership organizations:</p> <p>Some communication to members of organization's finances</p>	<p>Financial records are maintained and filed with the authorities, and a clear financial policy is adhered to, updated regularly, and is well-known and understood by staff. Systematic record-keeping.</p> <p>For membership organizations:</p> <p>Regular external audits take place.</p> <p>Clear regular communications to members of organization's finances</p>

Certification by regulatory authorities

1. Are you aware of the regulatory authorities governing your investment? (Mention)
2. Are you certified with any certification authority? If so, (Mention)
3. Are you regularly assessed by certification/regulatory authorities. How often?
4. Are there any ongoing disputes with regulatory authorities relevant to this investment? (Explain)

Very Poor	Poor	Fair	Good	Exceeding
No knowledge of which regulatory authorities govern the investment. Or no contact with or certification by regulatory authorities	Aware of relevant authorities but not yet registered or certified (e.g., because quality or management improvements are required before-hand, or disputes need to be resolved)	Aware of relevant authorities and registration is in progress, no disputes or quality issues	Certified/Registered with relevant authorities, no disputes or quality issues.	Certified/Registered with relevant authorities, no disputes or quality issues. Regular contact/assessment visits take place

Environmental Sustainability Principle (40 Points)

Environmental awareness

1. Are you/your members aware of bylaws related to environmental management? (Mention)
2. Are you/your members aware about good or best environmental practices? (Mention)

Very Poor	Poor	Fair	Good	Exceeding
Organization or Members not aware of bylaws related to environment. For membership organizations: Not aware of whether or not members are aware of bylaws	Organization aware of some bylaws For membership organizations: Some members aware of bylaws related to environmental management	Organization aware of most bylaws For membership organizations: Most members aware of bylaws related to environmental management	Organization/ Members aware of bylaws and some good practice related to environmental management	Organization/Member very aware of bylaws and good / best practice related to environmental management

Environmental Management action

1. Do you/your members avoid natural habitat conversion (native/natural forests, water catchments, wetlands and protected areas) for farming/building? Do you/your members respect riparian buffer zones?
2. Do you/your members apply conservation farming practices? (Mention)
3. Do you/your members farming practices protect water resources / forest reserves/ protected areas? How?
4. How do you/your members manage soil health?
5. How do you/your members conserve natural resources or ecosystems?

Very Poor	Poor	Fair	Good	Exceeding
<p>Organization converts natural habitat without consideration of impacts. No conservation farming practices or protection of water resources/ forest reserves/ protected areas.</p>	<p>Some attempt to avoid natural habitat conversion. Some interest in conservation farming practices but not clear on how to implement</p>	<p>Avoid habitat conversion where possible. Some effort to manage soil health. Interested to apply conservation farming practices or water/forest protection</p>	<p>Avoid habitat conversion where possible. Mitigate and restore where necessary. Respect riparian buffers. Apply multiple conservation farming practice, including at least 1 water resource conservation practice and 1 soil conservation practice.</p>	<p>Avoid habitat conversion where possible. Mitigate, restore, and offset habitat conversion where necessary. Respect riparian buffers. Apply multiple conservation farming practices in comprehensive manner to maintain soil health, maximize water use efficiency, and conservation natural systems in and around the investment.</p>

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

Inputs

1. Is protective gear used during pesticide application? if NOT, why not?
2. How do you control pests and diseases?
3. How do you manage agro-chemical wastes (inorganic fertilizer & pesticides) at your production site? (Explain)

Very Poor	Poor	Fair	Good	Exceeding
<p>No protective gear worn during pesticide application. Only synthetic agro-chemicals used. No knowledge of specific farm conditions in application.</p>	<p>No or limited protective gear used during pesticide application. Inputs applied with bare minimum knowledge of specific farm conditions. No measures taken to manage agro-chemical waste.</p>	<p>Protective gear usually used. Limited knowledge of specific farm conditions informs input application. Some measures taken to manage agro-chemical waste.</p>	<p>Parts of Integrated Pest Management and Integrated Nutrient Management systems used. Inputs applied with knowledge of specific farm conditions. Measures taken to manage agro-chemical waste. Protective gear used during pesticide application.</p>	<p>Integrated Pest Management and Integrated Nutrient Management systems used. Inputs applied with knowledge of specific farm conditions; data regularly gathered and analyzed. Measures taken to manage agro-chemical waste. Pollution of surface/ground water, soil, air considered and addressed. Protective gear used during pesticide application.</p>

Waste management

1. Do you have a waste management plan?
2. Are staff/workers aware of, understand and implement the plan?
3. Do you reduce/minimize waste? How?
4. Do you re-use waste? How?
5. Do you recycle waste? How?

Very Poor	Poor	Fair	Good	Exceeding
<p>No waste management plan</p> <p>No attempt to reduce/minimize waste; no re-use of waste; no recycling of waste.</p>	<p>No waste management plan</p> <p>Limited efforts to either reduce, reuse, or recycle waste.</p>	<p>Very basic waste management plan</p> <p>Organization sometimes reduces, reuses, and/or recycles waste, but not consistently (for umbrella organizations, not among most members)</p>	<p>Waste management plan that addresses minimizing, reusing, recycling waste.</p> <p>Organization / most members reduce, reuse, and recycle waste.</p> <p>For membership organizations: Some effort at awareness creation)</p>	<p>Good Waste management plan that addresses minimizing, reusing, recycling waste.</p> <p>Organizations/ members consistently and systematically reduce, reuse, and recycle waste. Partners actively sought to close by-product loop. Policy in place and consistent improvement</p> <p>For membership organizations:</p> <p>Provide support to members in awareness creation and implementation – e.g., supporting development of waste receptacles</p>

Climate Adaptation, Mitigation and Nature-based Solutions

1. Do you have access to and use reliable weather information? How?
2. Do you understand the likely challenges related to climate change? How vulnerable is your investment to climate changes?
3. Are you familiar with climate smart agricultural practices/technologies? Do you implement any? (Mention).
4. Do you consider low carbon technologies in your energy use (e.g., biogas, solar) or transport decisions?
5. How many member households use improved cook stoves?
6. **BONUS (+1)** What is your level of understanding of Nature-based Solutions (NbS), and have they been considered for implementation?

Very Poor	Poor	Fair	Good	Exceeding
No access to reliable weather info.	No access to reliable weather info. Interest in climate smart agriculture, but not yet implementing. Need more info/knowledge/capacity.	Access to some weather info. Unclear reliability. Familiar with some climate smart agricultural practices but experiencing challenges implementing.	Access to reliable weather info. Implement some climate smart agricultural practices. Trying to use and exploring low carbon technologies, as practical. Interested in Nature-based Solutions opportunities.	Access to reliable weather info. Implement multiple climate smart agricultural (CSA) practices. Use low carbon technologies to maximum extent feasible. BONUS (+1) – management and staff understand what Nature-based Solutions are and how they can contribute to human well-being

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>

3. Scoring of the Assessment – Use excel for actual scores

Section	Compliance and Good Practice Criteria	Points/Weight
	INCLUSIVITY/SOCIAL SUSTAINABILITY PRINCIPLE	
	Labour and employment policy	10
	Gender equality and Non-Discrimination	10
	Land tenure	10
	SUBTOTAL	30
	BUSINESS SUSTAINABILITY PRINCIPLE	
	Good governance, Ownership and Management of the organization/investments	6
	Operational Procedures	10
	Compliance with financial laws and regulations	7
	Certification by regulatory authorities	7
	SUBTOTAL	30
	ENVIRONMENTAL MANAGEMENT PRINCIPLE	
	Environmental awareness	5
	Environmental Management Action	15
	Inputs	6
	Waste management	6
	Climate Adaptation, Mitigation and Nature-based Solutions	8
	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 20%	Poor (20-39%)	Average (40-59%)	Good (60-79%)	Very Good (80-100%)
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