



The Equitable Food Initiative Additional Diligence Protocols

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Responsibility for these Requirements

The EFI Standards Committee has responsibility for this document and will periodically review and update it.

Users should verify that they are using the latest copy by checking on the EFI website at:

www.equitablefood.org.

Versions Issued

Version No.	Date	Description of Amendment
v1.0	June 1 st , 2018	First public-facing version

About the Equitable Food Initiative (EFI)

EFI is a non-profit skill-building and certification organization that brings growers, farmworkers, retailers, and consumers together to create a safer, more equitable food system. This unique approach sets standards for labor practices, food safety and pest management while engaging workers at all levels to address issues and challenges in the produce industry.

Our Mission Statement

To bring together growers, farmworkers, retailers and consumers to transform agriculture and the lives of farmworkers.

We Believe:

- That being a farmworker is a valuable and honorable profession.
- The skills and contributions of farmworkers create a healthier work environment and produce safer food.
- The future of agriculture lies within the collaboration among growers, farmworkers, retailers and consumers.
- By transforming agriculture, we will transform lives.

1 The Context

The EFI program, through workforce development and certification, aspires to develop and verify a work culture on EFI-certified farms that is based on the ability of management and workers to collaborate. This collaboration is meant to ensure that the work environment is dignified, safe, and productive, and that risks associated with foodborne contamination and pesticide use are reduced.

Audits to the EFI Standards are designed to identify where this collaborative culture, and associated management systems, meet or don't meet an appropriate performance threshold. In the spirit of continuous improvement, there is a defined corrective action process that is triggered whenever a nonconformity to an EFI Standard is found. This is detailed in Section 3.12 of the EFI Certification Program Summary.

However, there are some nonconformities that, by their nature, point to conditions that are antithetical to the work environment and risk-reduction practices required on an EFI farm. For instance, a trafficked worker may feel significantly compromised in his or her ability to bring to the attention of management a critical food safety risk and may experience other direct and serious harm. Also included in this class of nonconformities are instances where the rigor of the audit or certification processes is intentionally sabotaged; for example, a farm provides falsified documents to an auditor. Such nonconformities fall into a category of Triggering Conditions that require application of the Additional Diligence Protocols. When a Triggering Condition in this category has been identified on a farm, EFI may elect to apply additional diligence to the auditing and certification processes. This is to ensure that the related nonconformities are fully understood, articulated, and remedied and do not represent unacceptable risks to workers, employers, the brand and stakeholders of EFI, and the assurances given to consumers.

2 Triggering Conditions for Additional Diligence Protocols

2.1 The discovery of any of the following conditions can trigger the Additional Diligence Protocols:

- 2.1.1 Providing deceptive or false records to auditors or the coaching of workers to provide false information
- 2.1.2 Bribery or attempted bribery of any individual or organization working on behalf of EFI, including auditors, facilitators, staff, and contractors
- 2.1.3 Instances of retaliation, harassment, physical, or sexual abuse
- 2.1.4 Forced, bonded, indentured, slave, or trafficked labor
- 2.1.5 Illegal child labor
- 2.1.6 Imminent threat to the life or health of workers
- 2.1.7 Product contamination that could cause a serious risk to public health

3 The Additional Diligence Protocols

- 3.1 The Grower will be given an opportunity to engage in a corrective action process specifically designed to address the severity of the nonconformities.
- 3.2 EFI's Executive Director (ED) must approve every corrective action plan related to a Triggering Condition ahead of implementation.
 - 3.2.1 The corrective action process may require extensive changes and remedies to an audited location as a condition for certification or continued certification.
- 3.3 The farm will not be considered for certification until corrective actions can be verified by the ED as fully and effectively implemented.
- 3.4 The decision to grant or deny certification will be made by the ED.
- 3.5 In a case where the farm is EFI certified, the decision to maintain, suspend, or withdraw the current certification will be made by the ED.

4 External Communication of Additional Diligence Protocols

- 4.1 If the Grower distributes its products, or is expected to distribute its products, through another organization that has executed an EFI Certification Program Participation Agreement, EFI reserves the right to inform that organization:
 - 4.1.1 That the Additional Diligence Protocols have been triggered;
 - 4.1.2 Of the specifics of the audit findings; and
 - 4.1.3 Of updates on the corrective action process.
- 4.2 EFI Buying Partners (as defined by the Commodity Schedule and List of Buying Partners) will only be provided with the certification status of a Grower. These statuses are limited to:
 - 4.2.1 Certified
 - 4.2.2 Denied Certification
 - 4.2.3 Withdrew after audit with open nonconformities
 - 4.2.4 Certification Suspended
 - 4.2.5 Certification Withdrawn
- 4.3 If a Triggering Condition is being resolved through a corrective action process acceptable to EFI, EFI will not inform external parties of the Triggering Condition. If the farm declines to engage in or complete a corrective action process, EFI's ED can choose to share with authorities and other outside parties information related to the Triggering Condition and the corrective action process.