Norms for Production, Processing and Marketing of “Bird Friendly®” Coffee

- Certified Organic Shade Grown Coffee -
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Introduction

The shade criteria for “Bird Friendly®” coffee has been developed by the Smithsonian Migratory Bird Center in the spirit of mutual interest and cooperation with others involved in coffee (producers, traders, retailers, researchers, etc.) who share concerns about this very important aspect of sustainable coffee production.

Any person or producers’ group that wishes to have their coffee certified as “Bird Friendly®” must have an organic certification.

Apart from the criteria that the coffee plantation has to fulfill to be certified as Bird Friendly® coffee, the processing or marketing center where this coffee is handled must be separated physically or in time from any other during the processes of depulping, washing and drying, storage, transport, processing and marketing; the documentation must be kept equally separate.

The prevailing international norms for organic production govern the production method, processing and marketing.

To verify compliance with the criteria for “Bird-Friendly®” coffee in all stages, that is to say, from production to marketing, a programmed inspection shall be carried out once a year. If the inspection results in the imposition of corrective measures, their supervision is done through unannounced inspections.

The criteria for granting the certification are based on complete compliance with these guidelines, that is to say, the categorization is based on a pass/fail decision.

The criteria applied in the field for “Bird Friendly®” coffee are aimed at the following:

- Guaranteeing environmental sustainability, with the aim of protecting and/or improving the ecological indicators of environmental health.
- Protecting structural as well as species biodiversity, in order to guarantee shelter and food for birds, especially migratory ones.
- Taking into consideration that coffee cultivation must be integrated into agroforestry systems.
- Keeping in mind that the forest transformed for coffee production must not be part of any protected zone or natural reserve.
- Guaranteeing that the application of production techniques must leave intact specific ecosystems and contribute to the conservation and sustainable use of natural resources.
- Permitting cultural practices involving the use of epiphytes for ceremonial or festive purposes.
- Keeping documentation describing the unit and demonstrating the management of the plantation and shade.
The name “Smithsonian” or the term “Bird Friendly®” can only be used by those operators subject to the inspection and certification system of the Smithsonian Migratory Bird Center. In addition, any reference to the National Audubon Society and shade criteria for commercial purposes is not allowed.

2. Terminology

**Arboreal or forest coverage or canopy:** Foliage above the coffee bushes

**Stratum (plural is “strata”):** Layer, or series of layers, each on top of the other, formed by the difference in the height of the trees that compose the arboreal canopy.

**Structural diversity:** Distribution and ordering of the strata in profile. The varied “architecture” of the arboreal canopy that displays differing heights of two or more strata. Ecologically, a more diverse system, with various layers, and vegetation types (trees, epiphytes, vines, old snags, etc.), provides a greater number of physical niches for organisms.

**Floristic diversity:** Mix of species or diversity of shade trees and other plants.

**Backbone species:** The most common or predominant species (sometimes a single genus represented by several species), forming the principle stratum of shade in the canopy and often a large fraction of all individual trees present.

**Native species:** Species found within the area of its natural geographical distribution.

**Bird friendly coffee:** Certified organic shade grown coffee, whose bio-physical characteristics of the shade component meet or exceed the criteria laid out below.
3. Criteria to be fulfilled by the production unit

3.1. Biophysical criteria

3.1.1. Vegetation cover

- The coffee plantation must have at least 40 percent canopy cover, even after pruning.
- The plant coverage should include different strata: the lower stratum, that is, the one that is located under the main canopy, must constitute 20 percent of the total volume of the shade foliage. The same applies for the emergent species stratum.
- The shade must be composed of various tree species, including some that are useful in other ways (providing other kinds of shade and biological richness).
- There must be sufficient arboreal foliage cover all year round to create a microclimate that protects the coffee plantation from rain and dry winds.
- Species like *Gliricidia sepium*, *Grevillea robusta*, *Erythrina spp*, *Albizia spp* and *Pinus spp* are unacceptable as backbone species.

3.1.2. Structural diversity

- The backbone species must be a minimum of 12 meters high. Pruning should be practiced in such a way so to allow the trees to attain that height.
- The shade must have some clearly visible strata: a lower stratum that occupies the space below the main canopy, and an upper stratum made of trees than are at least 15 meters high. The upper stratum must be composed of native trees.

3.1.3. Floristic diversity

- The predominant species of the backbone species (*Inga* and others) must occupy no more than 60 percent of all shade trees. The remaining 40 percent of the shade trees must belong to a minimum of 10 different species, of which each species must constitute at least 1 percent of the total shade trees present.
- The backbone species must be a native species.
- The canopy’s different tree species must be well distributed throughout the entire coffee plantation.
- The growth of epiphytic plants, such as bromeliads, orchids, and ferns, as well as that of parasitic plants and some mistletoes should be encouraged.
- Some dead limbs and trunks should be left within the coffee plantation to provide habitats for certain insects and birds.
The selection of shade tree species and pruning practices must have a minimum impact on the epiphytes, mosses and lichens. Pruning in such a way as to produce a thin, laminar appearance of the canopy is not permitted.

3.1.4. Soil management

- Soil must be covered year round, with either mulch or living cover.
- **Soil conservation practices** must be carried out on sloping terrains, and those broken and subject to intense rains.

3.1.5. Vegetational buffer zones

- **Vegetational buffer zones** must be maintained and protected next to rivers, streams and lakes, as well as zones exposed to erosion.
- A **living fence** or border strip of trees and shrubs along roadways and other borders must be maintained.
- The **buffer strips** must be at least **5 meters wide** on each side of **streams** and **10 meters wide** along **rivers**, and be composed of natural vegetation in order to provide habitat to certain animal species.

3.2. Processing

- The processing of Bird Friendly® coffee - whether done as a "natural" (dry process) or as a "mild" (washed) - must be separated from all other coffees, including those that are certified organic.
- The depulping machine must be cleaned before depulping “Bird Friendly®” coffee.

3.3. Drying

- “Bird Friendly®” coffee must be dried in lots **separate** from those of any other kind of coffee to thus guarantee its integrity and prevent any mixing.

3.4. Packaging

- Only **natural fibre packaging** that has not been previously used to keep synthetic chemical products may be employed.
3.5. Storage

- “Bird Friendly®” coffee must be stored in clean bags on wooden platforms, properly separated from any kind of coffee that is not “Bird Friendly®”.

3.6. Labelling

- The bags of coffee must be marked with the acronym “BF” to be able to identify them on sight as “Bird Friendly®”.

3.7. Transportation

- During the transport one must guarantee that the vehicle is clean and has not transported synthetic chemical products or other products that would affect physical and organoleptic integrity of the “Bird Friendly®” coffee.
- If “Bird Friendly®” coffee is transported along with any other coffee, physical separation of lots must be guaranteed.

3.8. Records

- Registers for “Bird Friendly®” coffee must be kept separate. These must include information about the quantity of shade-grown coffee harvested and sold.

3.9. Access

- The operator must allow the certification body sub-contracted by the SMBC in order to carry out the inspection of the unit to have access to the unit, facilities and accounting records, and provide all the information needed to carry out an inspection.

3.10. Obligation to provide information

- The operator must inform the certification body sub-contracted by the SMBC about any change made to the production unit.

4. Criteria to be fulfilled by the processing unit (mill, roaster) and marketing unit (importer, exporter)

4.1. Storage

- The physical separation and proper identification of the lots of “Bird Friendly®” coffee from any other type of coffee handled in the unit must be guaranteed.
4.2. Processing

- **No synthetic chemical product** shall be used for processing.
- Processing of “Bird Friendly®” coffee must be carried out in complete runs, separated physically or in time from similar operations carried out on non-“Bird Friendly®” coffee.
- If the operations to process “Bird Friendly®” coffee are not carried out frequently, the SMBC or, failing that, the certification body hired for the inspection must be informed in advance.

4.3. Packaging

- Only clean packaging that has not previously been used to keep synthetic chemicals and that does not compromise the organic, physical or organoleptic quality of the product can be used.
- Roasted coffee must only be packaged in packages destined for food products.
- Packaging must be properly sealed in order to prevent the substitution of its content.

4.4. Labelling

- Labelling must allow an immediate identification of the nature of the coffee, that is to say, its “Bird Friendly®” quality. Millers must mark the bags of “Bird Friendly®” coffee with the acronym “BF®”.

4.5. Transportation

- During transport one must guarantee that the **vehicle** is clean and has not transported synthetic chemical products that put at risk the organic, physical and organoleptic quality of the product.
- If “Bird Friendly®” coffee is transported together with any other kind of coffee, the **physical separation** of the lots must be guaranteed.

4.6. Records

- Registers providing information about the origin, nature and quantity / lot of “Bird Friendly®” coffee that enters the processing unit and about those receiving the “Bird Friendly®” coffee that leaves the unit must be kept.
- A copy of the certificate of “Bird Friendly®” coffee must be kept.
- Copy of the Bill of Lading must be kept (applies only to marketing agents)
4.7. **Access**

- The operator must allow the inspection body sub-contracted by the SMBC in order to carry out the inspection of the unit to have access to the unit, facilities and accounting records, and provide all the information needed to carry out an inspection.

4.8. **Obligation to provide information**

- The operator must inform the inspection body sub-contracted by the SMBC about any change made to the production unit.

5. **Internal Control System for collective operators**

The organization must have the following information to comply with the Internal Control System:

- Basic Description Form (3-1-1) filled out by the producer involved in the program of “Bird Friendly®” coffee
- Form “Shade Evaluation Information” (3-1-2) properly filled out.
- Internal Control Form (3-1-3)
- Formal commitment between the producer and his organization for the production of “Bird Friendly®” coffee
- Internal regulation of production of “Bird Friendly®” coffee provided by the SMBC (SMBC-BFN)
- Compendium of Infractions and Sanctions provided by the SMBC (SMBC-BFN)
- Copy of organic certificate
- Copy of “Bird Friendly®” coffee certification (7-1-1)
- Register of storage and processing of the organization’s “Bird Friendly®” coffee

As well as the required documentation, the organization must choose a person to be responsible for quality control who will be in charge of the internal monitoring processes. The monitoring processes are carried out by technicians and/or producers who have been trained in this matter. During the internal inspections both the biophysical characteristics of the shade and the handling and correct separation of the “Bird Friendly®” coffee from other coffees handled in the production unit, as well as the accounting records, are evaluated.

For the purposes of objectivity and to guarantee an independent inspection, inspectors only monitor producers who are not from their community. The inspections of the units are documented and are always carried out in the presence of the farmer subject to the monitoring.
The Internal Control System guarantees that 100 percent of the associated producers are visited once a year during the internal inspection. This makes it acceptable for the SMBC to visit 20 percent of the producers during the first year, and reduce the sample to 10 percent in subsequent years.

6. Use of the logo

The SMBC allows operators who have been certified during the campaign or the period in which the coffee was produced or processed to use licenses, certificates and marks of conformity in the advertising and/or labelling of the "Bird Friendly®" coffee.

The SMBC exercises control over the ownership, use and exhibition of licences, certificates and marks of conformity and takes the pertinent corrective measures in the case of incorrect references to the certification system or improper use of licences, certificates or marks of conformity found in any advertising material (catalogues, advertising announcements, etc.)
7. Compendium of Infractions and Sanctions

The SMBC establishes the measures to be taken depending on the sanctions in its Compendium of Infractions and Sanctions (8-1-2). Below are listed the situations in which corrective measures, withdrawal of the certification, publication of such and even legal measures will be applied.

### 7.1. Compendium of Infractions and Sanctions for Production

<table>
<thead>
<tr>
<th>INFRACTION</th>
<th>SANCTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-compliance with the biophysical factors regarding shade</td>
<td>• Denial of certification</td>
</tr>
<tr>
<td>(SMBC-BFN¹, section 3.1.)</td>
<td></td>
</tr>
</tbody>
</table>
| Inadequate separation of “Bird Friendly®” coffee from any other type of coffee, including organic, during the processes of harvesting, depulping, drying, storage, transportation and processing. (SMBC-BFN, sections 3.1, 3.3, 3.5 y 3.7) | • Admonition  
  (e.g. If the bags, even if marked with the acronym “BF”, are not gathered in heaps separated from any other kind of coffee, including organic)  
  • Repetition of the evaluation at the expense of the operator.  
  • Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria”.  
  • In the case of serious failings: Temporary suspension of the certification and with it, the right to market “Bird Friendly®” coffee, and the right to use the registered trademark “Bird Friendly®”. |
| Infraction in labeling (SMBC-BFN, section 3.6)                           | • In the case of minor infractions: admonition and obligation to provide more frequent reports to the SMBC (e.g. send samples of labeling to the SMBC)  
  • In the case of serious failings: suspension of the right to use the registered trademark “Bird Friendly®”, and temporary suspension of right to market “Bird Friendly®” coffee. |

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¹ Norms for Production, Processing and Marketing of “Bird Friendly®” Coffee - Certified Organic Shade-Grown Coffee (certified by the Smithsonian Migratory Bird Center)
Infraction in the management of records (SMBC-BFN, section 3.8)

- Written notification
  (e.g. Inadequate accounting management that nevertheless allows the product to be traceable.)
- If repeated: admonition
- In the case of minor infractions: obligation to report more frequently to the SMBC
- In the case of serious failings: Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria

Denial of access to parcels, processing facilities, drying facilities, storage areas and accounting records (SMBC-BFN, section 3.9)

- Admonition
- Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria
- Temporary suspension of right to market “Bird Friendly®” coffee as such

To fail to provide adequate notice to the SMBC of any change affecting the characteristics of the shade (SMBC-BFN, section 3.10)

(e.g. To not give notice of changes carried out in the production unit that jeopardize the compliance with the biophysical criteria for shade, such as: reducing the number of species to less than the required 10; tree-cutting in such a way that the height of the canopy is less than 12 meters; cutting and pruning that causes leaf foliage coverage to fall below 40 percent.)

- Written notification
- Production unit is expected to provide more information to the SMBC more frequently, even if no changes have been made
- If repeated: admonition
- In the case of serious failings: Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria.

Incorrect use of the logo “Bird Friendly®” (SMBC-BFN, section 6)

- Withdrawal of the certification and with it, prohibition on the selling of “Bird Friendly®” coffee.
- Notification of authorities
Suspicion of irregularities and/or infractions once the certification has been granted

(e.g. Unauthorized inclusion of any new parcel or productive area after carrying out of the inspection or prior to marketing; inconsistency between the quantities bought and sold, based on a maximum deviation of 5 percent; information indicating that trees have been chopped down after certification has been obtained; Bird Friendly® coffee is not labeled as such, preventing its identification.)

Suspicious: Temporary suspension of certification.
Repetition of the evaluation at the expense of the operator
In the case of serious failings: Withdrawal of certification and with it the marketing of “Bird Friendly®” coffee, and the right to use the registered trademark “Bird Friendly®”.

Fraud

(e.g. Selling conventional or organic coffee as “Bird Friendly®”; selling of a larger volume of “Bird Friendly®” than that certified; use of an altered, falsified or expired certificate for any commercial transaction)

Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria
Withdrawal of certification as well as prohibition on marketing of “Bird Friendly®” coffee and use of the registered trademark “Bird Friendly®”
Notification of authorities

To not apply the Internal Control System adequately (applicable only for collective operators)
(SMBC-BFN, section 5)

Written notification
If repeated: admonition
In the case of minor infractions: obligation to provide more frequent reports to the SMBC
In the case of major infractions: Withdrawal of the “Bird Friendly®” certification.

The SMBC classifies the irregularities and/or infractions according to type and gravity with reference to the Norms governing each area (production, processing and marketing) of handling of “Bird Friendly®” coffee certified by the SMBC.

The SMBC reserves the right to combine different sanctions if several irregularities and/or infractions occur.
## 7.2. Compendium of Infractions and Sanctions for Processing and Marketing

<table>
<thead>
<tr>
<th>INFRACTION</th>
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<tbody>
<tr>
<td>Inadequate separation of “Bird Friendly®” coffee from any other type of coffee, including organic, during transportation and storage</td>
<td>▪ Admonition (e.g. If the bags, even if marked with the acronym “BF”, are not gathered in heaps separated from any other kind of coffee, including organic)</td>
</tr>
<tr>
<td>(SMBC-BFN, sections 4.1, 4.5)</td>
<td>▪ Repetition of the evaluation at the expense of the operator.</td>
</tr>
<tr>
<td></td>
<td>▪ Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria”.</td>
</tr>
<tr>
<td></td>
<td>▪ In the case of serious failings: Temporary suspension of the certification and with it, the right to market “Bird Friendly®” coffee, and the right to use the registered trademark “Bird Friendly®”.</td>
</tr>
<tr>
<td>Infraction in labeling (SMBC-BFN, section 4.4)</td>
<td>▪ In the case of minor infractions: a reprimand and obligation to provide more frequent reports to the SMBC (e.g. send samples of labeling to the SMBC)</td>
</tr>
<tr>
<td></td>
<td>▪ Repetition of the evaluation at the expense of the operator.</td>
</tr>
<tr>
<td></td>
<td>▪ In the case of serious failings: suspension of the right to use the registered trademark “Bird Friendly®”, and temporary suspension of right to market “Bird Friendly®” coffee.</td>
</tr>
<tr>
<td>Infraction in the management of records (SMBC-BFN, section 4.6)</td>
<td>▪ Written notification (e.g. Inadequate accounting management that nevertheless allows the product to be traceable.)</td>
</tr>
<tr>
<td></td>
<td>▪ If repeated: admonition</td>
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<td></td>
<td>▪ In the case of minor infractions: obligation to report more frequently to the SMBC</td>
</tr>
<tr>
<td></td>
<td>▪ In the case of serious failings: Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria”</td>
</tr>
</tbody>
</table>
Denial of access to the processing and marketing units, the processing operations, warehouses and accounting records (SMBC-BFN, section 4.8)

- Admonition
- Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria
- Temporary suspension of right to market “Bird Friendly®” coffee as such, and temporary suspension of right to use the registered trademark “Bird Friendly®”.

To fail to provide adequate notice to the SMBC of any change in the operation (SMBC-BFN, section 4.7)

(e.g. To not inform of changes in the unit, such as: the introduction of new transformation processes; change of storage areas and warehouses; change of the port of export/import, etc.)

- Written notification
- Operation is expected to provide more information to the SMBC more frequently, even if no changes have been made
- If repeated: admonition
- In the case of serious failings: Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria”.

Incorrect use of the logo “Bird Friendly®” (SMBC-BFN, section 6)

- Withdrawal of the certification and with it, prohibition on the selling of “Bird Friendly®” coffee
- Notification of authorities

Suspicion of irregularities and/or infractions once the certification has been granted

(e.g. The “Bird Friendly®” coffee is not labelled as such, which does not allow it to be identified.)

- Suspicions: Temporary suspension of certification.
- Repetition of the evaluation at the expense of the operator
- In the case of serious failings: Withdrawal of certification and with it the marketing of “Bird Friendly®” coffee, and the right to use the registered trademark “Bird Friendly®”.
Fraud

(e.g. Selling conventional or organic coffee as “Bird Friendly®”; selling of a larger volume of “Bird Friendly®” than that certified; use of an altered, falsified or expired certificate for any commercial transaction)

- Elimination of any and all references which might be construed as indicating that the product meets, even partially, “Bird Friendly®” criteria
- Withdrawal of certification as well as prohibition on marketing of “Bird Friendly®” coffee and use of the registered trademark “Bird Friendly®”
- Notification of authorities

The SMBC classifies the irregularities and/or infractions according to type and gravity with reference to the Norms governing each area (production, processing and marketing) of handling of “Bird Friendly®” coffee certified by the SMBC.

The SMBC reserves the right to combine different sanctions if several irregularities and/or infractions occur.