

RAINFOREST ALLIANCE POLICY

Chain of Custody audits for Australia and New Zealand

Issue Date:	Binding date:	Expiration date:																					
October 23, 2017	October 23, 2017	Until further notice																					
Developed by:		Approved by:																					
<ul style="list-style-type: none"> Rainforest Alliance 		<ul style="list-style-type: none"> Senior Manager, Standards 																					
Linked to (code and name of documents, if applicable):																							
<ul style="list-style-type: none"> Rainforest Alliance Chain of Custody Standard, July 2015 																							
Reference clause or criterion number and text:																							
<p>Clause 2.f, Chain of Custody Policy (July 2015). Depending on its risk category, POs may achieve CoC approval through a:</p> <ul style="list-style-type: none"> i. CoC endorsement: very low risk category, or ii. CoC certificate: low, medium, and high risk categories. <p>Table A. Assurance tasks associated with each risk category.</p> <table border="1"> <thead> <tr> <th>RISK CATEGORY</th> <th>Certification Audit</th> <th>1st Annual Audit</th> <th>2nd Annual Audit</th> </tr> </thead> <tbody> <tr> <td>Very low risk</td> <td colspan="3">No audit</td> </tr> <tr> <td>Low risk</td> <td>On-site audit</td> <td>No audit</td> <td>No audit</td> </tr> <tr> <td>Medium risk</td> <td>On-site audit</td> <td>Desk audit</td> <td>No audit</td> </tr> <tr> <td>High risk</td> <td>On-site audit</td> <td>On-site audit</td> <td>Desk audit</td> </tr> </tbody> </table>				RISK CATEGORY	Certification Audit	1 st Annual Audit	2 nd Annual Audit	Very low risk	No audit			Low risk	On-site audit	No audit	No audit	Medium risk	On-site audit	Desk audit	No audit	High risk	On-site audit	On-site audit	Desk audit
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This policy is applicable to:																							
RA authorized certification bodies and Chain of Custody participating operators.																							
Regions:																							
Australia and New Zealand																							
Crops:		Type of organizations:																					
N/A		Chain of Custody participating operators																					

1. INTRODUCTION

Rainforest Alliance is a growing network of people who are inspired and committed to working together to achieve our mission of conserving biodiversity and ensuring sustainable livelihoods. For more information about Rainforest Alliance, visit its website: <http://www.rainforest-alliance.org>.

Rainforest Alliance (RA) owns the Chain of Custody System.

2. DESK COC AUDITS FOR AUSTRALIA AND NEW ZEALAND

2.1 JUSTIFICATION

Currently, there are no Rainforest Alliance authorized certification bodies (CBs) based in Australia or New Zealand at this time. Certification bodies located closer to these two countries, have to travel a very long distance, which would increase the audit costs for Chain of Custody audits significantly.

2.2 RAINFOREST ALLIANCE POLICY

- a) Rainforest Alliance authorizes CBs to carry out remote (desk) CoC audits, in place of on site audits for CoC Participating Operators, substituting Clause 2.f of the Chain of Custody Policy (July 2015).
- b) CoC POs that voluntarily are willing to pay for an on-site CoC audit are allowed to do so.
- c) This Policy may be reviewed every six months from the date of issue and once auditor capacity is established in the region Rainforest Alliance may reconsider requiring on-site audits to be conducted for medium and high risk participating operators.