



RAINFOREST ALLIANCE TRANSITION RULES

for current UTZ and Rainforest Alliance Certificate
Holders wishing to be certified under the 2020
Rainforest Alliance Certification Program

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**RAINFOREST
ALLIANCE**



Translation Disclaimer

For any question related to the precise meaning of the information contained in the translation, please refer to the official English version for clarification. Any discrepancies or differences in meaning due to translation are not binding and have no effect for auditing or certification purposes.

More information?

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Replaces:			
This document does not replace, but provides the rules for transitioning from: <ul style="list-style-type: none">• The 2015 UTZ Certification Program with all its amendments,• The 2017 Rainforest Alliance Certification Program with all its amendments, to <ul style="list-style-type: none">• The Rainforest Alliance 2020 Certification Program			
Applicable to:			
1. Transitioning certificate holders, including: <ul style="list-style-type: none">a. Organizations and participating operators of the current Rainforest Alliance Certification Programb. Members of the current UTZ program 2. Certification Bodies authorized for the current UTZ and Rainforest Alliance Certification Programs, and their personnel			
Country/Region:			
All			
Crops:		Type of Certification:	
Tree crops (such as coffee and cocoa), tea, fruits (such as bananas, coconuts and pineapples), nuts (such as hazelnuts), herbs and spices ¹ , cut flowers, vegetables and oil palm (to be confirmed).		Transitioning certificate holders	

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¹ These rules cover all herbs and spices for certificate holders that have no farming in scope. Where farming is in scope, these rules cover chilies and pepper, as well as all herbs and spices grown on Rainforest Alliance certified farms where other certified crops are grown. For all other cases, contact certification@uebt.org



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RAINFOREST ALLIANCE MISSION

The Rainforest Alliance is creating a more sustainable world by using social and market forces to protect nature and improve the lives of farmers and forest communities.

INTRODUCTION

The Rainforest Alliance Certification 2020 Program builds on the previous UTZ and Rainforest Alliance certification programs but is not a simple update of either program. The Rainforest Alliance 2020 Certification Program is a new program with new requirements for farm and supply chain certificate holders (CHs) and Assurance and Certification rules.

The Transition Rules are intended to support CHs through a smooth and orderly transition to the Rainforest Alliance 2020 Certification Program by providing clarity as to:

- Which certification program and standard applies to a CH at any point of the transition period
- The rules governing the certification process during the transition period, including
 - o Registration
 - o Transition Period Audits
 - o Transition Period Endorsements
 - o Transition Certificates
- The validity of volumes and certificates from the current UTZ and Rainforest Alliance programs that are being phased out
- The rules applicable to a CH that is unable to transition during the Transition Period
- The rules applicable specifically to Certification Bodies during the transition period

This document modifies but does not replace the Certification Rules of all three Certification Programs² for the transition period between the current UTZ and Rainforest Alliance programs and the new 2020 Rainforest Alliance Certification Program. Therefore, it may be necessary to refer to the Certification Rules of each of these programs.

The rules set out in this document are binding for:

- All CHs that are currently certified under the Rainforest Alliance and/or UTZ certification programs and wish to remain certified under the Rainforest Alliance 2020 Certification Program. This includes both farm CHs and chain of custody/supply chain CHs.
- Certification Bodies in both the current UTZ and the Rainforest Alliance programs and in the Rainforest Alliance 2020 Certification Program
- The Rainforest Alliance

The Rainforest Alliance reserves the right to modify these rules for specific contexts. These modifications will be set out in binding policies issued by the Rainforest Alliance and communicated to all stakeholders, including publication on the Rainforest Alliance website.

² The 2015 UTZ Certification Program with all its amendments, the 2017 Rainforest Alliance Certification Program with all its amendments, and the Rainforest Alliance 2020 Certification Program.



USING THIS DOCUMENT

ABBREVIATIONS

Frequently used abbreviations in this document:

- **CB** – Certification Body
- **CH** – Certificate Holder
- **CHs** – Certificate Holders
- **Farming CHs** – Certificate Holders with farming in scope. Please note that many farming CHs also have other supply chain roles. This does not make them SC CHs, and the rules for SC CHs do not apply to them unless otherwise specified in this document.
- **SC CHs** – Certificate Holders without farming in scope, or supply chain CHs.
- **RA** – The Rainforest Alliance
- **RACP** – Rainforest Alliance 2020 Certification Platform
- **2020 Standard** – Rainforest Alliance 2020 Sustainable Agriculture Standard

HOW TO USE THIS DOCUMENT

1. For Transitioning CHs:
 - a. Read the respective Executive Summary section, depending on whether you have farming in scope or not.
 - b. Use the [Transition Tool](#) for a step-by-step guideline on how to transition, depending on your current certification and role in the supply chain
 - c. Read the Transition Rules document for specific rules of interest to you
 - d. Check specific examples of the application of the Transition Rules in [Annex TR 2](#)
 - e. Make sure to check specific policies applicable to your sectors/region on the Rainforest Alliance [website](#).
2. For CBs:
 - a. Read the respective Executive Summary sections for the types of CHs you work with.
 - b. Read the Transition Rules for Certification Bodies in [Annex TR 3](#)
 - c. Check the [Transition Tool](#) for the specific roadmaps of typical CH cases that you have in your portfolio (e.g. *cocoa groups in West Africa have mostly UTZ group certification expiring in September 2021, or hazelnut traders in Turkey have chain of custody UTZ certification without mutual recognition*)
 - d. Read the Transition Rules and use them as a reference document during their application
 - e. Check specific examples of the application of the Transition Rules in [Annex TR 2](#)
 - f. Make sure to check [specific policies](#) on sectors/regions applicable to your portfolio.



TRANSITION DEFINITIONS

The **Transition Period** starts on July 1, 2020 and ends on December 31, 2022.

This document applies to **Transitioning certificate holders** i.e. those CHs that are now certified under either of the current UTZ or Rainforest Alliance standards and wish to transition to the Rainforest Alliance 2020 Standard. Some of the Transition Rules also apply to certificate holders who have been certified in the current UTZ or Rainforest Alliance certification programs but do not currently have a valid certificate (i.e. have gaps in their certification). The table below defines in more specific terms the two CH types.

Table 1: Definition of Certificate Holder Tracks

Certificate Holder type	Definition	Applicable rules during the Transition Period
Transitioning certificate holder	CHs that either: <ul style="list-style-type: none">- have a valid certificate, license, or endorsement under either current Rainforest Alliance or UTZ Standard, including extensions, as of the date of commencing the registration process or- whose certificate/license/endorsement expired after June 30, 2020³	Transition Rules
Certificate holder with gap in certification	CHs: <ul style="list-style-type: none">- whose latest certificate, license, or endorsement under the current UTZ or Rainforest Alliance Standard expired before June 30, 2020 and was not renewed, or- that did not complete the transition process within the timelines set in the Transition Rules	Transition Rules and Certification rules ⁴

The Transition Rules **do not apply** to new certificate holders that have never had a certificate, license, or endorsement under either current UTZ or Rainforest Alliance and who wish to join the Rainforest Alliance 2020 Certification Program. Further guidance will be published for Newly Registering CHs joining the Rainforest Alliance during the Transition Period.

The Transition Rules are divided in 2 main chapters: Transition Rules for CHs with farming in scope (Farm CHs) and Transition Rules for CHs without farming in scope (SC CHs). The term Transitioning CHs refers to CHs with farming in scope (Farm CHs) in Chapter 1 and Supply Chain CHs without farming in scope (SC CHs) in Chapter 2.

GLOSSARY

For other terms used in this document, see the online glossary at [the Rainforest Alliance website](https://www.rainforest-alliance.org/en/our-standards/glossary).

³ For example, if a CH's certificate expired in April 2021 and the CH undergoes an audit in May 2021 and is still awaiting certification under the Current UTZ standard, the CH classifies as a Transitioning CH.

⁴ The Current Traceability Platform rules apply to expired licenses/certificates, e.g. on retroactive reporting/sell-off period.



LEGEND

Rule F (number): an obligatory requirement of the transition rules, to be complied with by any Transitioning CH with Farming in scope or CB certifying such a CH.

Rule SC (number): an obligatory requirement of the transition rules, to be complied with by any Transitioning Supply Chain CH, or other CH performing activities with legacy volumes, or any CB certifying such a CH.

CB Rule (number): an obligatory requirement of the transition rules, to be complied with by any CB.

Exceptions: an obligatory exception to a Rule or a CB Rule

Guidance: an explanatory section which is not a requirement but explains the intent of a requirement, gives examples, or provides further information and references.

[link](#) – blue underlined text indicates a link to a resource, document or place in the current document (e.g. an Annex or a Rule) or to an external document or resource.

Colours in graphs and tables
Current UTZ/Rainforest Alliance certification programs
Transition phase of the Rainforest Alliance 2020 certification program
1 st 3-year cycle of the full-scale Rainforest Alliance 2020 certification program
2 nd 3-year cycle of the full-scale Rainforest Alliance 2020 certification program



EXECUTIVE SUMMARY

This section presents the summary of the Transition Rules. For ease of reading, it is presented as short answers to key questions about the transition from the current Certification Programs to the Rainforest Alliance 2020 Certification Program from the point of view of certificate holders (CHs). The underlined terms in this section are defined in the [Rainforest Alliance 2020 Glossary](#).

Question (Q) 1: Who are the Transition Rules applicable to?

Answer (A): The Transition Rules are applicable to Transitioning certificate holders (CHs) – those CHs that are already certified under the current UTZ or Rainforest Alliance certification programs and wish to continue being certified under the Rainforest Alliance 2020 Certification Program. This includes all CHs, whether they have farming in scope (farms, producer groups, etc.) or are further downstream in the supply chain (traders, roasters, manufacturers, etc.). The rules also apply to Certification Bodies, whether they continue to work with the Rainforest Alliance 2020 Certification Program or not.

Applicable Section (S): [Transition definitions](#)

Q2: What is meant by the term 'Certification Program'?

A: A Certification Program is the sum of all standard requirements, assurance documents, and certification, traceability and other platforms, guidance documents, policies, training materials, etc. Therefore, this document refers to, for example, 'certification under the current UTZ Certification Program' or 'according to the Rainforest Alliance 2020 Certification Program', meaning according to the relevant rules and requirements of that Certification Program.

Q3: Which Standard requirements apply to me as a Certificate Holder and when?

A: Every transitioning Certificate Holder (CH) shall continue complying with the current UTZ/Rainforest Alliance Standard Requirements until the Rainforest Alliance 2020 Standard Requirements enter into force. For each CH this moment may be different, it depends on the date the CH signs a certification agreement with a Certification Body or obtains an Endorsement from the Rainforest Alliance. The earliest date is July 1, 2021.

For Farm CHs, only the core requirements of the Rainforest Alliance 2020 Standard will enter into force during the transition period. Smart Meters will become mandatory from July 1, 2022 onwards. For supply chain actors all Rainforest Alliance 2020 Standard Requirements become mandatory during the transition period, except a limited number of self-select requirements about contribution to living wage.

At registration in the Rainforest Alliance Certification Platform, farms/groups and companies will provide information regarding the scope of their activities. Based on this information, the Rainforest Alliance Certification Platform will provide each CH with a customized list of the applicable requirements. This means that you do not need to work out which standard requirements apply to you.

S for Farm CHs: [Entry into force of Rainforest Alliance 2020 Standard Requirements](#)

S for SC CHs: [Entry into force of Rainforest Alliance 2020 Standard Requirements](#)

Q4: I have an UTZ/Rainforest Alliance certificate. Does that mean I am certified under the Rainforest Alliance 2020 Standard?

A: No, being certified under the current UTZ or Rainforest Alliance certification programs does not mean you are or will be certified under the Rainforest Alliance 2020 Certification Program.

Your current certificate will remain valid until you obtain your Transition Certificate. If you do not transition, your current certificate will not remain valid after January 1, 2023.

S for Farm CHs: [Gaps in certification](#)

S for SC CHs: [Gaps in certification](#)



Q5: My current UTZ/Rainforest Alliance certificate is valid until 2023. Do I still need a Transition Certificate?

A: Yes, all CHs that wish to transition to the Rainforest Alliance 2020 Certification Program will have to Register in the Rainforest Alliance certification platform (RACP) and obtain a Transition Certificate before December 2022, even if under the current certification no audit would be necessary in this period. Once you receive your Transition Certificate, which is valid for one year, it will replace your existing certificate.

S for Farm CHs: [Certification Transition Rules](#)

S for SC CHs: [Certification Transition Rules](#)

Q6: How do I maintain my Rainforest Alliance certification throughout the Transition Period?

A: To maintain your certification during the Transition Period, you will need to carry out these 4 steps:

1. Maintain/renew your current UTZ and/or Rainforest Alliance certificate between July 2020 and June 2021 as usual.
2. Register in the Rainforest Alliance 2020 Certification Platform and indicate your current certification(s)
3. Obtain a one-year Transition Certificate between July 2021 and December 2022
4. Obtain a full Certificate against the Rainforest Alliance 2020 Certification Program after July 2022.

S for Farm CHs: [Transition Windows](#) and [Certification Transition Rules](#)

S for SC CHs: [Transition Timelines](#) and [Certification Transition Rules](#)

Q7: Do I still need to get audited against the current standard?

A: Most Transitioning CHs will still have to be audited against the current standard once between July 2020 and June 2021.

For each Transitioning CH, the timelines for this last audit against the current standard/current Certification Program depend on which Certification Program your organization is currently certified against, what type of certification you have, and when that certification expires. These precise timelines are described in this document to ensure the capacity of the Rainforest Alliance and the Certification Bodies to cater for all three certification programs during the Transition Period. Each CH can find out whether in 2021 it must undergo an audit against the current standard or the 2020 standard applicable to it, by consulting the [Transition Tool](#)⁵.

S for Farm CHs: [Last audits against the Current UTZ and Rainforest Alliance Standards](#)

S for SC CHs: [Last Verifications against the Current UTZ and Rainforest Alliance Standards](#).

Q8: How do I obtain a one-year Transition Certificate?

A: A one-year Transition Certificate can be obtained in two ways:

- For Farm CHs, you will have to register in the Rainforest Alliance Certification Platform and undergo a Transition Period Audit. If successful, an Authorized Certification Body will issue the Transition Certificate.
- For a Supply Chain CHs, you will have to register in the Rainforest Alliance Certification Platform and undergo a Supply Chain Risk Assessment (SCRA). If you are eligible for an endorsement under the current Rainforest Alliance or an audit-exempt license under the current UTZ Certification Programs), the Rainforest Alliance will grant an Endorsement. All other Supply Chain CHs undergo a remote Transition Period Audit. If successful, an Authorized Certification Body will issue the Transition Certificate.

S for Farm CHs: [Transition Period Certification Process](#)

S for SC CHs: [Transition Period Certification Process](#)

⁵ The tool is a 1 to 2-minute questionnaire that results in a step-by-step guidance. It can be consulted by anyone – no login is required.



Q9: I already have an account in MultiTrace/Salesforce/GIP/Marketplace. Do I need to register again for the Rainforest Alliance 2020 Certification Program?

A: Yes, all CHs have to make a new registration for the Rainforest Alliance 2020 Certification Program in the Rainforest Alliance Certification Platform. The new Certification Platform allows you to manage your accounts⁶ and certificates more easily and to keep better traceability of the certified products in the supply chain. It is important that during the registration process you indicate all your existing UTZ and/or Rainforest Alliance accounts to maintain access to your legacy volumes.

S for Farm CHs: [Registration to participate in the Rainforest Alliance 2020 Certification Program](#)

S for SC CHs: [Registration to participate in the Rainforest Alliance 2020 Certification Program](#)

Q10: Until when can I use the legacy volumes?

A: You can use these volumes as long as you maintain Rainforest Alliance Certification. Note that as per the [Rainforest Alliance Labeling and Trademarks Policy](#) the new Rainforest Alliance Seal can be used on packaging containing products certified against any of the three certification programs. This means that legacy UTZ, legacy Rainforest Alliance and new Rainforest Alliance volumes for the same commodity are equal in value.

S for SC CHs: [Validity of legacy volumes](#)

Q11: When can I obtain new Rainforest Alliance volumes under the Rainforest Alliance 2020 Certification Program?

A: This will depend on the type of CH:

- For farming CHs, the volumes assigned to you in the Transition Certificate will be new Rainforest Alliance volumes under the Rainforest Alliance 2020 Certification Program.
- For all CHs, as long as you have a valid license for a current certification program, you will be allowed to trade new Rainforest Alliance volumes, as soon as they become available in the supply chain (most likely after September 2021).

S for Farm CHs: [Transition Certificate](#)

S for SC CHs: [Activities and transactions with new Rainforest Alliance volumes](#)

Q12: Can I use the same Certification Body as before for the Transition Period Audit?

A: You will most likely be able to. However, not all Certification Bodies (CBs) will be authorized for the same scope in the Rainforest Alliance 2020 Certification Program as they are in the current Certification Programs. You will be able to see if your CB is authorized for your specific scope after you register in the Rainforest Alliance certification platform and confirm your scope. The list will also be published by the Rainforest Alliance in May 2021.

S for Farm CHs: [Contracting a Certification Body for Transition Period Audits](#)

S for SC CHs: [Contracting a Certification Body for Transition Period Audits](#)

Q13: Which CB should I turn to during the Transition Period?

A: Any extensions, changes, etc. to your current UTZ or Rainforest Alliance 2017 certificate are handled by the CB that issued it. This means that you might have to turn to different CBs for the current certificate (e.g. extensions) and the Transition Period Audit.

⁶ In this document the term "account" means the registry that a certificate holder has in a certification or traceability platform. Due to the multiple platforms involved in the transition, we refer to the current UTZ and current Rainforest Alliance accounts as "current accounts" and to the accounts for the Rainforest Alliance 2020 Certification Program as Rainforest Alliance 2020 accounts. We do not differentiate between "certification" and "traceability" accounts, as for each commodity in each certification program these may be different. All are called "accounts".



1. TRANSITION RULES FOR FARM CERTIFICATE HOLDERS

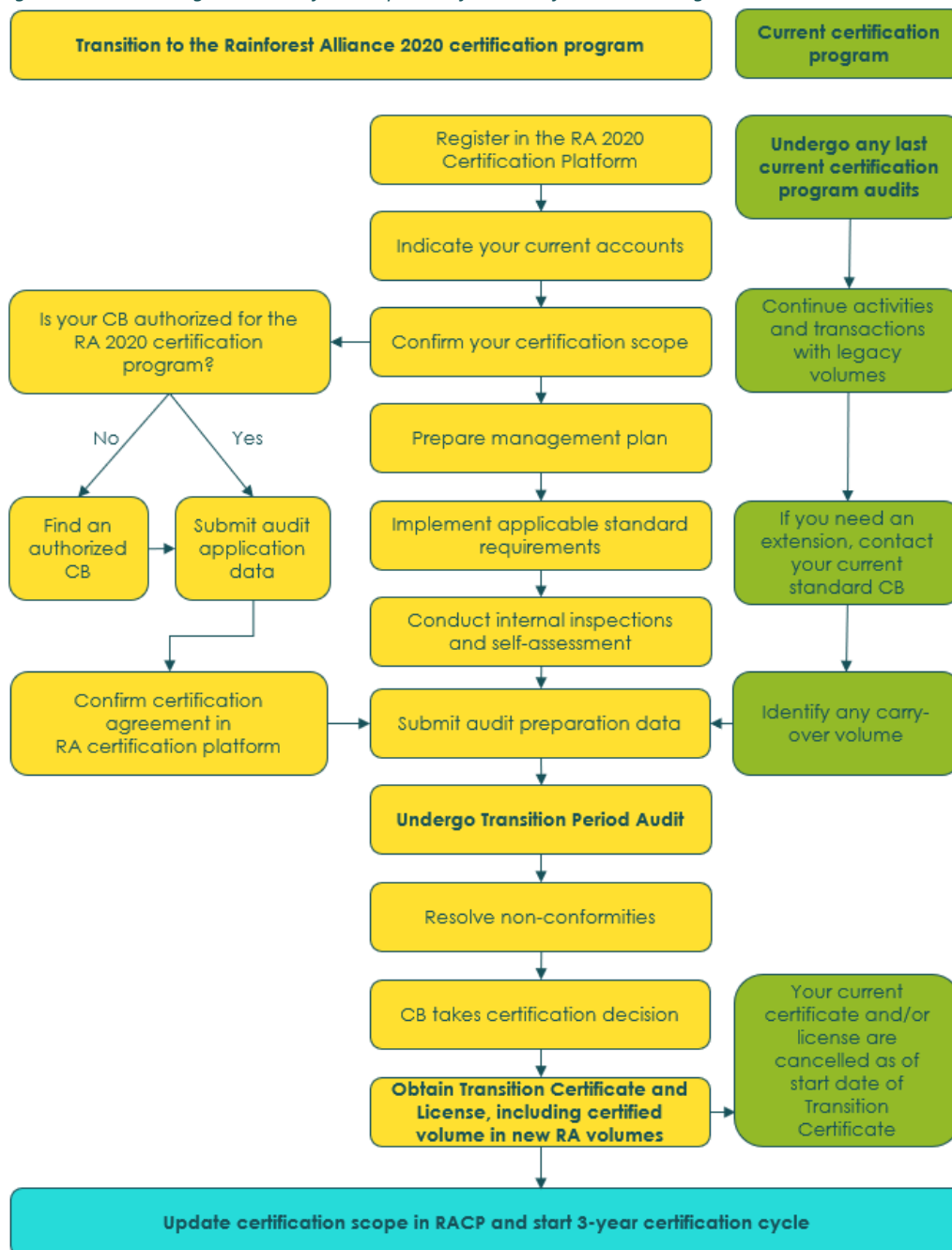
1.1. SUMMARY

This section presents in short, the certification process flow, timelines, and applicable standard requirements for Transitioning Certificate Holders with farming in scope.

CERTIFICATION PROCESS FLOW FOR TRANSITIONING FARM CHS

The following flowchart describes the certification process steps and the key deadlines for Transitioning Farm CHs. The cycle after obtaining a certificate/endorsement is covered by the [Rainforest Alliance 2020 Certification and Auditing Rules](#).

Figure 1: Transitioning Period certification process flowchart for Transitioning Farm CHs





TRANSITION WINDOWS

All Transitioning Farm CHs shall start and finish the certification steps within the transition period windows shown below. They must respect the timelines/roadmaps defined for their specific scenarios in the corresponding Certification Program documents. There are specific timelines within for the Transition Period Audits that depend on the start date of the harvest of the main crop of the CH. For more details, see section [Timelines for the Transition Period Audits](#).

Figure 2: Transition timelines from current UTZ/Rainforest Alliance Standards to the Rainforest Alliance 2020 Standard.

* These processes are described in the Rainforest Alliance 2020 Certification and Auditing Rules

Transition Windows for Farm CHs		Section	2020						2021						2022						2023										
			Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov
Current UTZ/RA Certification Programs	Current standard requirements in force	1.2	As usual						Until date of signing certification agreement																						
	Last current standard audits	1.3.1	As usual						Exception audits																						
2020 RA Certification Program - Transition Period	Standard requirements in force	1.2										Only core requirements, as of date of signing certification agreement																			
	Registrations	1.4.1								Everyone registers																					
	Contracting an authorized CB	1.4.2								Confirm in Certification Platform & comply with new standard																					
	Transition period audits	1.4.3										Depending on harvest start date																			
	Transition Period Certification	1.4.4										One year transition certificate issued																			
2020 RA Certification Program - Full Scope	Standard requirements in force	1.2														Full set of requirements															
	Profile update	CR*												Yearly profile updates																	
	Contracting an authorized CB	CR*											Contract CBs for 3-year cycle																		
	First full certification audits	1.4.5												Depending on harvest start date																	
	3-year certification cycles	CR*												3-year certification cycles begin																	



ENTRY INTO FORCE OF RAINFOREST ALLIANCE 2020 STANDARD REQUIREMENTS

In addition to the time windows above, the tables below present the moments in which different types of Standard Requirements enter into force and the type of audits required. The actual date varies per Certificate Holder, as described in [Entry into force of Rainforest Alliance 2020 Standard Requirements](#).

Table 2: Entry into force of different types of Rainforest Alliance 2020 standard requirements.

Requirement type:	Audit:	Starting July 1, 2021	Starting July 1, 2022	As per the Certification Rules		
		Transition Period Audit	Certification Audit	Surveillance audit	Surveillance audit	Re-certification audit
Farming requirements	Core requirements	✓	✓	✓	✓	✓
	Mandatory smart meters		✓	✓	✓	✓
	Mandatory improvements Level 1					✓
	Self-selected smart meters		✓	✓	✓	✓
	Self-selected improvements					✓
Supply Chain Requirements	All requirements	✓	✓	✓	✓	✓



1.2. ENTRY INTO FORCE OF RAINFOREST ALLIANCE 2020 STANDARD REQUIREMENTS

Rule F1. On July 1, 2021, the core farming requirements and all supply chain and traceability requirements of the Rainforest Alliance 2020 Sustainable Agriculture Standard enter into force.

Rule F2. Transitioning Certificate Holders shall continue complying with the current certification programs and respective standard requirements until the date they start complying with the Rainforest Alliance 2020 Sustainable Agriculture Standard, unless otherwise specified in the Rainforest Alliance 2020 Sustainable Agriculture Standard, the Transition Rules or other binding documents for specific rules and requirements.

Rule F3. Transitioning Certificate Holders shall start complying with the applicable Rainforest Alliance 2020 Certification Program as of whichever comes last of the following dates (defined as the CH's conformity date):

- July 1, 2021 or
- On the day of the signature of their certification agreement with an authorized Certification Body for the Transition Period Audit

Guidance: *If a Certificate Holder signs a certification agreement on May 1, 2021, then it shall be compliant with the Rainforest Alliance 2020 Sustainable Agriculture Standard as of July 1, 2021. If the agreement is signed on February 1, 2022, the conformity date is February 1, 2022.*

Rule F4. Other farming requirements of the Rainforest Alliance 2020 Standard enter into force as follows:

- Smart Meter requirements, whether mandatory or self-select, enter into force and shall only be audited as of July 1, 2022 or the date of signature of the certification agreement for the full-scope certification cycle, whichever comes last. (See [Table 2 above](#))
- Level 1 Improvement Requirements, whether mandatory or self-select, enter into force and shall only be audited as of July 1, 2025 or the date of signature of the certification agreement for that full-scope certification cycle, whichever comes last, unless the CH requests to be audited on them earlier. (See [Table 2 above](#))

Rule F5. Unless otherwise stipulated in a particular traceability requirement or policy, the traceability requirements of the Rainforest Alliance 2020 Standard are applicable to **new Rainforest Alliance volumes** as of the date conformity defined as of the start date of the Transition Certificate or the date of first purchase of new Rainforest Alliance volumes, whichever comes first.

Guidance: *new Rainforest Alliance volumes are those volumes originating from farms certified against the Rainforest Alliance 2020 Standard or the UEBT/RA standard at the time of harvesting those volumes. They are granted to Farm CHs within a Transition Certificate or a UEBT certificate.*

Rule F6. Unless otherwise stipulated in a particular traceability requirement or policy, the traceability requirements of the Rainforest Alliance 2020 Standard are applicable to **legacy volumes** as of the start date of the Transition Certificate.

Exceptions: The following exceptions apply:

- Shared responsibility (sustainability differential and sustainability investment) requirements do not apply to legacy volumes.
- Premium requirements apply to legacy volumes as per the current UTZ/Rainforest Alliance rules.



Guidance: legacy volumes are those volumes originating from farms certified against the current UTZ or Rainforest Alliance Standards at the time of harvesting those volumes.

Rule F7. In preparation for the Transition Period Audit, the CH shall assess its own conformity with:

- The applicable Rainforest Alliance 2020 Standard requirements as of the conformity date defined as per [Rule F3](#).
- The applicable certification program(s) requirements for those transactions and activities with legacy volumes that took place since the last current standard audit.

Guidance: Trainings and internal inspections in preparation for certification with the Rainforest Alliance 2020 Certification Program shall ensure the readiness of the CH and its members to comply with the deadlines in Rules 1, 2, 3, 5 and 6 even if these trainings and inspections take place before July 1, 2021. For example, for internal inspections in preparation for the transition period audit, conducted in May 2021, the CH shall use the checklist and requirements of the Rainforest Alliance 2020 Standard. The internal inspection assesses if the group member/IMS is or will likely be compliant with the Rainforest Alliance 2020 Standard by the conformity date as defined as per [Rule F3](#).

Rule F8. During the Transition Period Audit, the CB shall check conformity with:

- The applicable Rainforest Alliance 2020 Standard requirements as of the conformity date defined as per [Rule F3](#).
- The applicable certification program(s) requirements for those transactions and activities with legacy volumes that took place since the last current standard audit/endorsement.

Guidance: The CB shall indicate any non-conformities encountered with current UTZ/Rainforest Alliance requirements in the most similar item of the checklist for the Rainforest Alliance 2020 Certification Program. If a non-conformity does not fit any of the items on the checklist, this non-conformity can be provided separately or with consultation with the Standards and Assurance team of the Rainforest Alliance.

Rule F9. If a CH has a non-conformity with applicable requirements during the Transition Period Audit, the CH shall satisfactorily address these non-conformities, back-dating to the conformity date defined as per [Rule F3](#), and as per the [Rainforest Alliance 2020 Certification and Auditing Rules](#).

Guidance: For those non-conformities that can be corrected retroactively, such as salaries or payments, for example: if a CH signs a certification agreement with the CB on September 1, 2021 and is audited in April 2022 against the Rainforest Alliance 2020 Standard and was only in conformity on salary payments as of November 1, 2021, the CB will regard this as a non-conformity. The outstanding difference from the period between September 1, 2021 and November 1, 2021 must still be paid out to the respective workers to close the non-conformity.

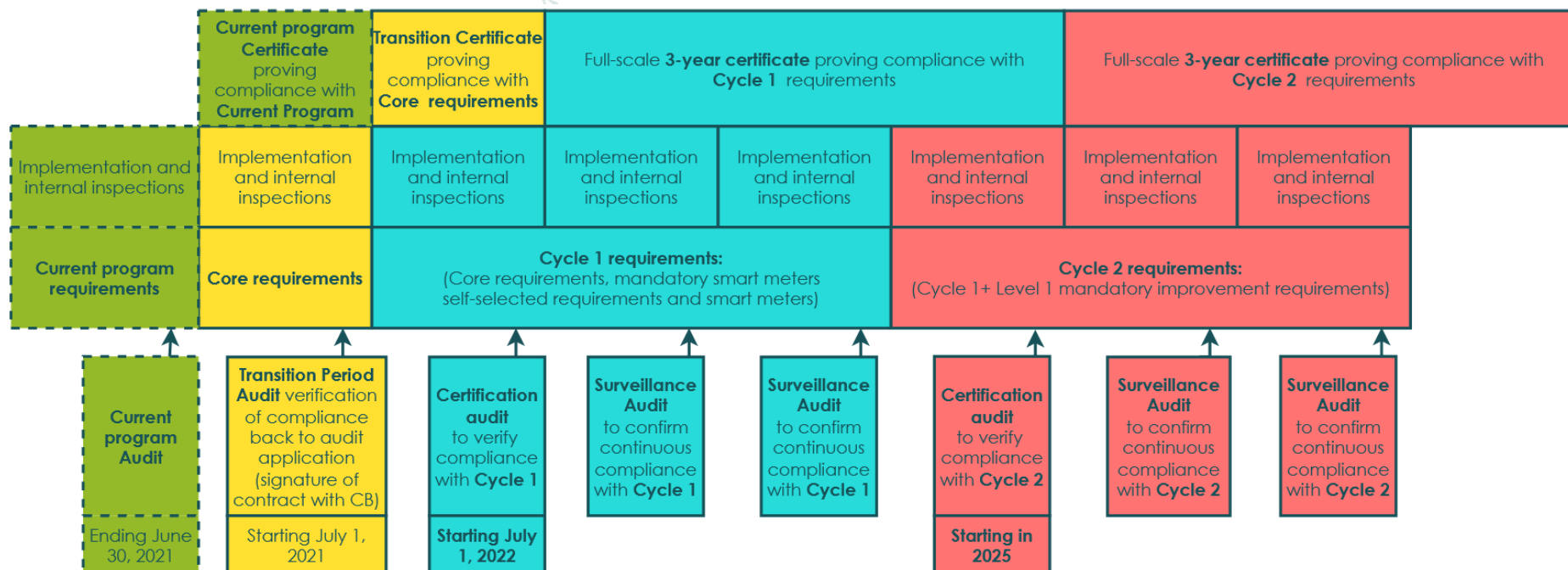


Figure 3: Timeline of implementation, inspection, compliance and certification with different programs during the transition period and beyond.

Guidance:

This figure represents the sequence of preparation (standard implementation and internal inspections), audits and certificate during the transition period and beyond. The period between 2020 and the time of the Transition Period Audit is the preparation phase for the Transition Certificate, which covers the core requirements of the Rainforest Alliance 2020 Sustainable Agriculture Standard. Once the CH has obtained a Transition Certificate, the preparation for the full-scale Rainforest Alliance 2020 certification program begins.



1.3. CERTIFICATION TRANSITION RULES

LAST AUDITS AGAINST THE CURRENT UTZ AND RAINFOREST ALLIANCE STANDARDS

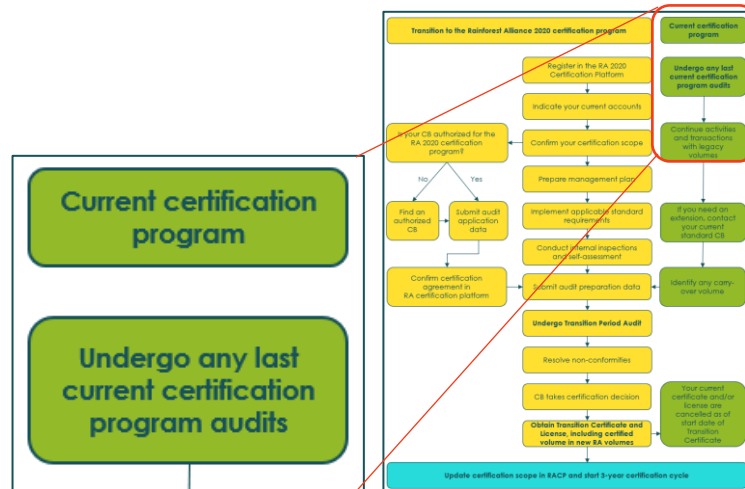


Figure 4: This is the part of the Certification Process (Figure 1) that this section corresponds to

Transitioning certificate holders are those CHs that intend to maintain their certification by shifting from the current certification programs to the Rainforest Alliance 2020 Certification Program. To ensure continued certification, (to “get on the Transitioning Certificate Holders Track”), there may be different rules applicable depending on the type of certification the CH has in the current programs. This section provides the general rules and guidance, whereas the [Transition Tool](#) translates these rules into the specific step-by-step guides for CHs to follow.

CHs that are certified against both the current UTZ and the Rainforest Alliance certification programs but for different products shall follow the current Rainforest Alliance and the current UTZ guidance for the respective products. Please note that the Rainforest Alliance may issue additional policies and/or guidance for specific crops/countries/regions, which are binding and will be communicated through the Rainforest Alliance website.

Rule F10. Audits based on the latest version of the current UTZ and/or current Rainforest Alliance certification programs lead to the respective current certificates and do not lead to a Transition Period Certificate.

Rule F11. All audits starting before July 1, 2021, shall be based on the latest⁷ version of the UTZ and/or Rainforest Alliance certification programs.

Rule F12. Audits based on the latest⁸ version of the current UTZ and/or Rainforest Alliance Certification Programs shall not be carried out after June 30, 2021. Certification decisions based on current program audits conducted past this date will not be considered valid and will not result in the issuing or renewal of a certificate.

Exceptions: surprise audits (for UTZ), follow-up audits, verification audits, investigation audits, extension/expansion audits, where applicable, of current certificates are still carried out under current standard and assurance rules until expiry of the current UTZ/Rainforest Alliance certificates.

⁸ Latest means applicable to the CH and the CB at the time of the audit as per the Current UTZ/Rainforest Alliance Certification Program.



Guidance: The last planned date of these audits may not be later than June 30, 2021. Audits may not be postponed after that date. If a CH does not get audited until then, they shall proceed with certification under the Rainforest Alliance 2020 Standard as per the timelines and conditions stipulated in the [Rainforest Alliance 2020 Certification and Auditing Rules](#). If a gap in certification occurs, the CH risks losing access to its accounts and volumes. The certification and licensing process for Current Rainforest Alliance or UTZ certification program may continue past July 1, 2021 as long as the audit process has occurred before this date.

Rule F13. Time extensions of current certificates, where necessary, shall be requested and granted through the Certification Bodies that issued them.

Rule F14. Some CH may need to undergo two audits – a current standard audit and a Transition Period Audit - in the same year, e.g. due to a delay in the 2020 audit because of the COVID 19 pandemic. In these cases, the certified volume granted by the two audits shall be for different harvests/months of the year, and no overlaps are allowed.

Rule F15. The applicable rules for certificate extensions are as follows:

- For current UTZ CHs: the latest version of the UTZ Protocol applies (a time extension of up to 4 months may be granted to a CH that has scheduled a Transition Period Audit close to or past the expiry date of their certificate).
- For current Rainforest Alliance CHs: should the CH need to schedule their Transition Period Audit close to or past the expiry date of their certificate, or past the time window for their surveillance audit, the CH may request a time extension either of the certificate or of the time period for a surveillance audit. The extension shall be requested by the CB through the Salesforce certification platform. Such an extension does not grant additional volume, it only extends the time period for the audit to take place or the validity of the certificate. See further guidance in section 0below.

1.3.1.1. FOR CHS AUDITED UNDER THE CURRENT RAINFOREST ALLIANCE CERTIFICATION PROGRAM

This section applies to CHs that are certified and require an audit under the current Rainforest Alliance Certification Program and are not certified under the current UTZ program for the same product.

Rule F16. If the CH's certificate expires in 2020, the CH shall follow the applicable current Rainforest Alliance certification process and undergo a re-certification audit, annual audit, etc. as usual to maintain its certified/endorsed status.

Guidance: Please also consider the latest version of the [Rainforest Alliance COVID-19 policy](#) on audit timelines and exceptions.

Rule F17. If the CH would like to certify the 2020 harvest in 2021, they shall undergo a current Rainforest Alliance certification or surveillance audit as per the current Rainforest Alliance certification program but with a deadline for the audit to be conducted until June 30, 2021.

Guidance: If a CH's harvest starts in October 2020, but the CH has not been able to undergo an audit for that harvest yet, for example due to the COVID-19 restrictions, they shall undergo their current Rainforest Alliance surveillance or certification audit as per the current rules and no later than June 30, 2021. This audit will cover the 2020 harvest plus any small/fly⁹ harvest

⁹ The small or fly harvest is a secondary harvest, for example the April cocoa harvest in West Africa or the "mitaca" or "traviesa" coffee harvest in some countries in Latin America. This does not apply to crops with a continuous harvest.



that occurs within the certified year. The October 2021 harvest shall be covered by the Transition Period Audit, to be conducted 3 months before to 3 months after the start of the harvest, i.e. between July 1 and December 31, 2021. Although the CH will be conducting 2 audits in one year, these two audits are for two consecutive years of harvest and the situation has occurred because of a delay in the audit for the 2020 harvest.

Please also consider the latest version of the [Rainforest Alliance COVID-19 policy](#) on audit timelines and exceptions.

Rule F18. If the CH would like to certify a harvest that starts in the first half of 2021 that they have not certified yet, they shall undergo a current Rainforest Alliance certification or surveillance audit as per the current Rainforest Alliance certification program but with a deadline for the audit to be conducted until June 30, 2021.

Guidance: If a CH's harvest starts in April 2021, the CH undergoes a current Rainforest Alliance audit latest until June 30, 2021. This audit will cover 1 year of volume, including any small/fly harvest later in the year. The CH can do a transition period audit 3 months before to 3 months after the beginning of the April 2022 harvest.

Please also consider the latest version of the [Rainforest Alliance COVID-19 policy](#) in case an audit needs to cover both the 2020 and the 2021 harvests.

Rule F19. If the following is true:

- The CH has already had an audit to certify their 2020 harvest and
- the main crop harvest start date is in the second half of the year and
- The certificate expires in the second half of the year (2021, 2022 or 2023)

then the CH does not need to undergo any further audits under the current Rainforest Alliance certification program and can directly proceed with the Transition Period Audit.

Rule F20. If the CH has already certified their 2020 harvest and their main harvest is in the second half of the year, but either:

- Their certificate expires in the first half of 2021 or
- They have a surveillance audit due for the 2021 harvest and usually conduct audits in the first half of the year

They shall not undergo a current Rainforest Alliance audit to certify the 2021 harvest. Instead, they may request an extension to their certificate or the time window for their surveillance audit through the CB that issued their current Rainforest Alliance certificate. The extension shall be granted until 3 months after the start of the harvest date. This will grant them time to conduct their Transition Period Audit as per Section [Transition Period Audits](#), but not grant any certified volume.

Guidance: If a CH usually undergoes audits in April to certify their October harvest, and they have already undergone an audit in 2020 for the October 2020 harvest, there is no need for them to undergo a surveillance or certification audit in April 2021 for the October 2021 harvest. Instead, they may obtain an extension for their Rainforest Alliance certificate/surveillance audit window and undergo their Transition Period Audit between July 1 and December 31, 2021. This way they avoid having two audits for the same harvest but maintain their certified status until they transition.

Rule F21. If a CH has a main crop with a continuous harvest (such as tea, flowers, vegetables, etc.), the following rules apply, also represented in [Figure 18](#): Last Current Rainforest Alliance audits/verifications:

- If the CH's certificate expires between January 1 and June 30 of either 2021, 2022, or 2023 the CH shall follow the applicable current Rainforest Alliance certification



process and undergo a surveillance audit/re-certification audit, as usual until June 30, 2021.

- If the CH's certificate expires between July 1 and December 31 of either 2021, 2022 or 2023, they shall transition directly to the Rainforest Alliance 2020 Certification Program without further re-certifying against the current Rainforest Alliance Standard in 2021 (after completion of their 2020 audit).

Exception: CHs certifying banana may, if they wish, continue to follow the applicable current Rainforest Alliance certification process and undergo a surveillance audit/re-certification audit, as usual until December 31, 2021. See [Banana Policy](#).

If the current Rainforest Alliance certificate expires in:	2021		2022		2023		2024	
	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec
Undergo: - last current Rainforest Alliance audit in 2020* AND - transition period audit between July and December 2021		✓		✓		✓		✓
Undergo: - last current standard audit between January and June 2021 AND - transition period audit between January and June 2022	✓		✓		✓		✓	

Figure 5: Last Current Rainforest Alliance audits/verifications

Guidance: This does not apply to cocoa, coffee or hazelnuts. For definition of continuous harvest please see the Rainforest Alliance 2020 Certification Rules.

The table above summarizes which CHs have their last Rainforest Alliance audit against the current Rainforest Alliance certification program in 2020 and which ones in 2021.

- Example 1: if a current Rainforest Alliance certificate expires in April 2022, the transitioning CH shall undergo their surveillance audit before June 30, 2021, and according to the Rainforest Alliance 2017 certification rules. The transition period audit will ideally be in the first half of 2022. The precise date would depend on the start date of the harvest.
- Example 2: if the current Rainforest Alliance certificate expires in August 2023, and the 2020 audit has been conducted as per the Rainforest Alliance 2017 certification rules, the CH need not undergo further current Rainforest Alliance audits in 2021 and may directly proceed with the Transition Period Audit after July 1, 2021.

* If the Transitioning CH has been unable to undergo the annual audit in 2020 due to the COVID 19 pandemic, the last current audit may have needed to be postponed to 2021, following the [Rainforest Alliance COVID-19 policy](#). In this case, the CH may need to undergo two audits in one year. It is not allowed to obtain certified volume for the same months in the two audits.

Additionally:

Guidance: We recommend that all CHs certified against the 2017 Rainforest Alliance Sustainable Agriculture Standard ensure that their geolocation data complies with the requirements set by the Rainforest Alliance 2020 Sustainable Agriculture Standard as soon as possible in order to prepare for the Transition Period Audit. For more guidance, please see the Farm Requirements of the Rainforest Alliance 2020 Standard, and the respective annexes and guidance.



1.3.1.2. FOR CHS AUDITED AGAINST THE CURRENT UTZ STANDARD

This section applies to Transitioning Farm CHs that are certified and require an audit under the current UTZ Certification Program and are not certified under the current Rainforest Alliance program for the same product. The Code of Conduct certificates in the current UTZ program generally start and end on the date of the start of the harvest. If this is not the case for a particular CH. Extensions may change this pattern. Therefore, it is important for this section to consider the original expiry date/harvest start date, without counting any extensions.

[Figure 6: Last Current UTZ audits](#) summarizes the rules in this section.

Rule F22. If the CH's current UTZ certificate expires in 2020 or in the first half of 2021 (between January 1, 2021 and June 30, 2021) they shall re-certify as per the applicable UTZ certification rules before transitioning to the Rainforest Alliance 2020 Certification Program, keeping in mind the last possible date of current UTZ audits is June 30, 2021.

Guidance: the relevant date is the original end date of the certificate/license, not taking into account extensions.

Rule F23. If the CH's certificate expires after July 1, 2021, they shall transition directly to the Rainforest Alliance 2020 Certification Program without further re-certifying under the current UTZ Certification Program in 2021.

Rule F24. If the CH has a continuous harvest, the last current program audit shall be performed in the semester in which the certificate expires – either second half of 2020 or the first half of 2021, latest June 30, 2021.

Rule F25. Should a Transitioning CH have more than one current UTZ certificate, they shall follow the above rules for each of these certificates to ensure its continued certification.

Guidance: It is possible to combine several crops under the same Transition Certificate, meaning that the CH may only need to undergo one Transition Period Audit. It is also possible to keep the certification scopes separate, undergoing a Transition Period Audit for each certification scope. The scope includes the farms, sites, intermediaries, and certified crops. For more details, please see the Rainforest Alliance 2020 Certification Rules.

If the current UTZ certificate expires in:	2020		2021		2022		2023	
	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec
Undergo: - Last current standard audit 3 months before/after your 2020 harvest* - Transition period audit 3 months before/after your 2021 harvest start				✓	✓	✓	✓	✓
Undergo: - Last current standard audit before June 30 2021 (Jan to June) - Transition period audit 3 months before/after your 2022 harvest start	✓	✓	✓					

Figure 6: Last Current UTZ audits

Guidance:

* If the Transitioning CH has been unable to undergo the annual audit in 2020 due to the COVID 19 pandemic, the last current audit may have needed to be postponed to 2021, following the [Rainforest Alliance COVID-19 policy](#). In this case, the CH may need to undergo



two audits in one year. It is not allowed to obtain certified volume for the same months in the two audits.

The table above summarizes which CHs have their last audit/verification against the current UTZ certification program in 2020 and which ones in 2021.

- Example 1: if a current UTZ certificate expires in April 2021, the transitioning CH shall undergo their re-certification audit before June 30, 2021, and according to the UTZ Certification Protocol. The transition period audit will ideally be in the first half of 2022, but the precise date would depend on the harvest start date. It may not be scheduled past June 30th, 2022.
- Example 2: If the current UTZ certificate expires in August 2021, and the 2020 audit has been conducted as per the UTZ certification protocol, the CH need not undergo further current UTZ audits in 2021 and may directly proceed with the Transition Period Audit. The Transition Period Audit may not start before July 1, 2021.

Additionally:

Guidance: It is recommended that all CHs certified against the current UTZ Code of Conduct start collecting applicable geolocation data as soon as possible in order to prepare for the Transition Period Audit. For more guidance, please see the Farm Requirements of the Rainforest Alliance 2020 Standard, and the applicable annexes and guidance documents.

1.3.1.3. FOR CHS CERTIFIED AGAINST BOTH CURRENT UTZ AND CURRENT RAINFOREST ALLIANCE STANDARDS

This section applies to CHs that are certified under both the current Rainforest Alliance and UTZ Certification Programs for the same product(s).

Rule F26. Should a farm or group of farms be certified both current UTZ and current Rainforest Alliance for the same product, they shall undergo a last audit for each certificate as per the rules above.

Guidance:

Example 1: if the harvest season starts in February, the current UTZ certificate expires in January 2021 and the Rainforest Alliance certificate expires in August 2021, then the CH may

- Renew its current UTZ certificate by undergoing a last UTZ audit.
- Substitute both certificates by the Transition Certificate once they transition. For that, the CH shall indicate both current UTZ member IDs and the Rainforest Alliance Certificate Code during registration for the Rainforest Alliance 2020 Certification Platform.

Example 2: If the harvest season starts in October, the UTZ certificate expires in September, and the Rainforest Alliance certificate expires in April, and its October 2020 harvest is already certified, the CH may:

- Request an extension of its current Rainforest Alliance certificate from the CB that issued it.
- Substitute both certificates by the Transition Certificate once the CH transitions. For that, the CH shall indicate both current UTZ member IDs and the Rainforest Alliance Certificate Code during registration for the Rainforest Alliance 2020 Certification Platform.



1.4. TRANSITION PERIOD CERTIFICATION PROCESS

Rule F27. Within the Transition Period, all Transitioning Farm CHs shall:

- Get registered,
- Contract an authorized Certification Body,
- Undergo a Transition Period Audit,
- Obtain a Transition Certificate and
- Obtain a Transition License

Guidance: Not obtaining the Transition Certificate within the transition period will have consequences on the validity of current UTZ/Rainforest Alliance accounts, certificates, licenses, rights and volumes, as described further in [Gaps in certification](#).

REGISTRATION TO PARTICIPATE IN THE RA 2020 CERTIFICATION PROGRAM

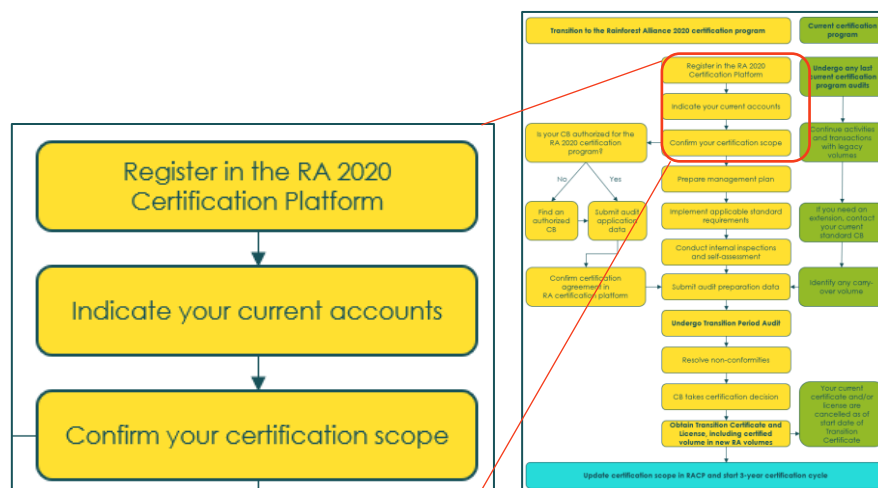


Figure 7: This is the part of the Certification Process (Figure 1) that this section corresponds to

Rule F28. All Transitioning Farm CHs shall complete their registration process in the Rainforest Alliance 2020 Certification Platform (up to and including Scope Confirmation) by December 31, 2021.

Guidance: The registration process is described in more detail in the Rainforest Alliance 2020 Certification and Auditing Rules. The registration process sets the applicable list of requirements for each CH, depending on the scope of the CH (crops, activities, organizational structure, etc.).

CHs must complete the registration process before they contract a Certification Body or proceed with their Transition Period Audit and the rest of their Transition Period Certification Process. Therefore, it is key for each Farming CH to identify in the Rainforest Alliance 2020 Certification and Auditing Rules when exactly they may undergo an audit (for most crops this



is related to the main harvest season) and plan to start their registration for the Rainforest Alliance 2020 Standard, if possible, within the following timelines:

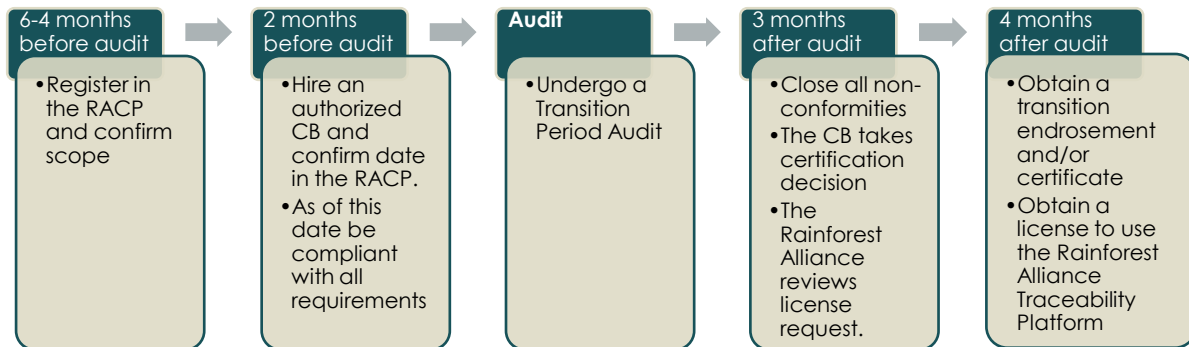


Figure 8: Certification timelines for transitioning Farming Certificate Holders

CHs may start registration from March 2021. If you are unable to begin the registration process and have received no communication from Rainforest Alliance by April 2021 please contact cs@ra.org.

Rule F29. During Registration, the CH shall indicate all current UTZ member IDs and current Rainforest Alliance certificate codes and/or Rainforest Alliance Marketplace IDs that are under the management of the group/CH.

Guidance:

- Current UTZ member IDs examples: UTZ_CO1000012345, ME01_123456
- Current Rainforest Alliance certificate code examples: CB-C-123456, END-123456
- Current Rainforest Alliance Marketplace IDs examples: RA12345

For example, if the CH has two current UTZ certificates (one for Code of Conduct and one for Chain of Custody) and one current Rainforest Alliance certificate, the CH must provide the details of all three certificates.

Rainforest Alliance needs to establish a link between the CH's new account and its existing accounts in order to ensure that each CH has continued access to its current volumes and accounts. When a CH indicates they have a current account they automatically begin on the Transitioning CHs track. Therefore, it is very important that all CHs cooperate and indicate all current UTZ Member IDs and/or Rainforest Alliance Certificate Codes. Should you have doubts or questions about your current UTZ Member IDs and/or Rainforest Alliance Certificate Codes, please check your certificate or contact your Certification Body. The correctness of the indicated current account IDs will be checked during the Transition Period Audit.

Rule F30. All current accounts that are not indicated in a Rainforest Alliance 2020 Certification Program account as of December 31, 2021 shall be discontinued and the current UTZ or Rainforest Alliance certification will be cancelled by the CB and/or by the Rainforest Alliance, as of July 1, 2022.

Guidance: This is especially important for Farm CHs who also purchase certified product from other Farm CHs (in UTZ these CHs have both a Code of Conduct and a Chain of Custody certificate).



Rule F31. Should a CH have more than one commodity member ID in the current UTZ certification program, they may decide to only register one Rainforest Alliance 2020 account for the same (set of) farms or sites or companies.

Guidance: This means that if a CH has a hazelnut account and a tea account for current UTZ, they may join both into one certification scope under the new certification program. Please refer to the Rainforest Alliance 2020 Certification Rules for more information on certification scope.

Rule F32. Should a CH have both current UTZ and current Rainforest Alliance certification and have farming in scope, they shall only register one Rainforest Alliance 2020 account for the same (set of) farms.

Guidance: This means that instead of two current accounts as they have now, the CH will have only one Rainforest Alliance 2020 account, covering all certified farms. The same farm shall not be covered by more than one Rainforest Alliance 2020 account/certificate, as stipulated in the Rainforest Alliance 2020 Certification and Auditing Rules. However, one Rainforest Alliance 2020 account may be linked to two (or more) current accounts, for example when one cooperative has both current UTZ and current Rainforest Alliance accounts.

Rule F33. It is also possible to split the farms of one current group or the sites of one multi-site company into two or more Rainforest Alliance 2020 certificates/accounts. In this case for each of these accounts the CH should indicate both current UTZ Member ID and Rainforest Alliance Certificate Code.

Rule F34. A CH shall not indicate member IDs or certificate codes to be linked to its Rainforest Alliance 2020 Standard account that are not managed directly by it (i.e. whose certificates are not issued in its name and for which it is not legally responsible).

Guidance: For example, A CH shall not indicate the member IDs or certificate codes of accounts registered to trading partners or independently certified sub-contractors.

CONTRACTING A CERTIFICATION BODY FOR TRANSITION PERIOD AUDITS

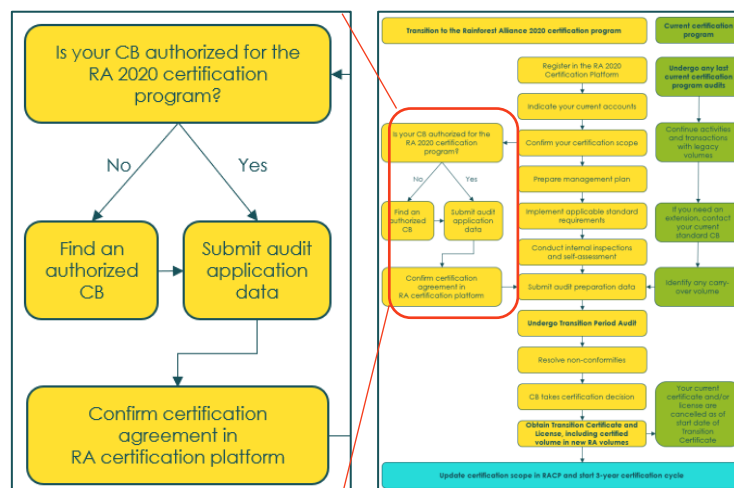


Figure 9: This is the part of the Certification Process (Figure 1) that this section corresponds to

Rule F35. Transitioning CHs shall complete the registration process up to and including Scope Confirmation before hiring a Certification Body for the Transition Period Audit.

Rule F36. Transition Period Audits shall only be recognized by the Rainforest Alliance if they are conducted by Certification Bodies authorized for the 2020 Certification Program and



specifically for the country, scope, product, and other criteria that apply to the CH in question.

Guidance: The authorization scope of Certificate Bodies for the Rainforest Alliance 2020 Certification Program may differ significantly from scope for the current UTZ and Rainforest Alliance Certification Programs. CHs should confirm their certification scope before checking which CBs are authorized to conduct their Transition Period Audit.

Rule F37. Transitioning CHs may only contract a Certification Body (CB) authorized for the Rainforest Alliance 2020 Certification Program starting May 1, 2021.

Guidance: The CB authorization process begins in July 2020 and the results will only be available after May 1, 2021. Technically, there is no end date for contracting an authorized CB. However, as all Transitioning CHs shall complete their Transition Period Audits under the Rainforest Alliance 2020 Certification Program by June 30, 2022, we recommend that all those CHs contract an authorized CB by March 31, 2022 to ensure enough time to plan and conduct the Transition Period Audit on time.

Rule F38. If a CH is not able to or does not wish to contract the same Certification Body that issued its current UTZ or Rainforest Alliance certificate to perform the Transition Period Audit, the following applies:

- The current CB is responsible for all activities related with the current certification, including time extension requests.
- The Rainforest Alliance 2020 Certification Program CB is responsible for all activities related with the Transition Period Audit and Transition Certificate.

Rule F39. Transitioning CHs shall sign an agreement with a Rainforest Alliance authorized CB and confirm that agreement in the Rainforest Alliance certification platform before a Transition Period Audit can be planned.

Guidance: The date of this agreement defines the date from which on the CH shall be compliant with the Rainforest Alliance 2020 Sustainable Agriculture Standard as per [Entry into force of Rainforest Alliance 2020 Standard Requirements](#).

TRANSITION PERIOD AUDITS

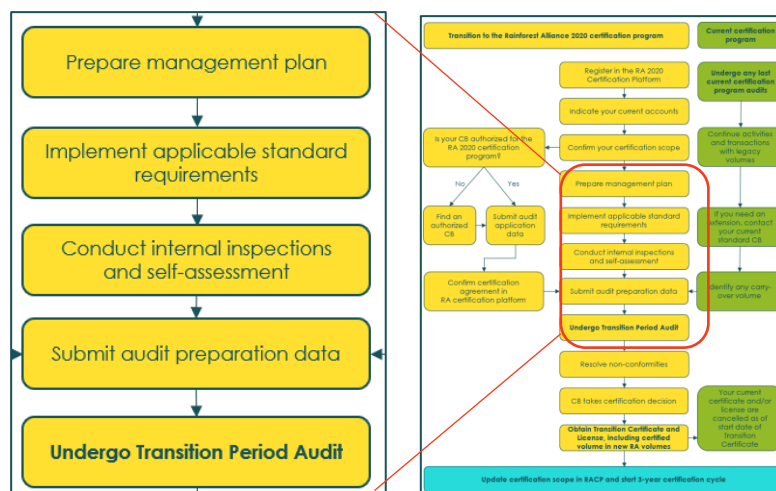


Figure 10: This is the part of the Certification Process (Figure 1) that this section corresponds to

Rule F40. All Transitioning Farm CHs shall undergo a Transition Period Audit in order to obtain a Transition Certificate.



1.4.1.1. TIMELINES FOR THE TRANSITION PERIOD AUDITS

The timelines to conduct transition period audits for Farm CHs is presented in the following graph, and in the rules in this section.

	2020		2021				2022			
	Q2	Q3	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Current standard audits										
Current certificates										
Current audit exceptions										
Transition Period Audits										
Transition Certificates										
Transition Exceptions										
Full-scale audits										

Table 3: Timelines of Transition Period and other Audits for Farm CHs

Rule F41. All Transitioning Farm CHs shall undergo a Transition Period Audit between July 1, 2021 and June 30, 2022.

Guidance: CHs are encouraged to complete their Transition Period Audit well before the expiry date (including extensions) of their current certificate or their surveillance audit deadline to avoid gaps in their certification.

Rule F42. Between July 1, 2021 and June 30, 2022, all audits shall be Transition Period audits, based on the Rainforest Alliance 2020 Standard and applicable binding documents. Exceptions: as per [Rule F12](#).

Guidance: All planned and actual Transition Period Audit dates must be in this period.

Rule F43. Transition Period Audits shall not be conducted before July 1, 2021 or after June 30, 2022.

Exceptions:

- Follow-up audits, extension audits and investigation audits related to a Transition Certificate may be conducted after June 30, 2022
- Certificate Holders in the Banana sector may conduct transition period audits until 31 December 2022 See [Banana Policy](#)

Rule F44. Transition Period Audits shall only be recognized by the Rainforest Alliance if they are reported correctly in the Rainforest Alliance Certification Platform.

Guidance: Both the CH and the CB are required to provide all information as per the Certification and Auditing Rules and/or marked as obligatory in the Rainforest Alliance Certification Platform. This includes audit preparation documents, such as a Group Member Registry and geolocation data (if applicable), audit report, license request, etc.

Guidance on the timing of the Transition Period Audit:

CHs with farming in scope should consider the following factors when planning their transition period audits:

- The transition Period Audit window between July 1, 2021 and June 30, 2022:
- The harvest season:



- (1) For crops with a **peak harvest**, such as cocoa, coffee or hazelnut, audits shall be conducted between 3 months before and 3 months after the start date of the harvest season to be certified. For example, if the harvest season starts on August 1, 2021, the Transition Period Audits may be conducted from July 1, 2021 (considering the audit window above) until November 1, 2021.

Please note that the harvest period considered may be the main or the small/fly harvest, but always of the main crop, as defined in the Rainforest Alliance 2020 Certification and Auditing Rules.

- (2) For crops with a **continuous harvest**, such as tea or flowers, the audit can be any time during the 1-year window.
- (3) This is in line with current UTZ certification protocol but is different from the current Rainforest Alliance certification rules. Therefore, during the Transition Period, CHs with farming in scope may need to adjust their auditing cycle to the harvest period. See also the section on [Last Verifications against the Current UTZ and Rainforest Alliance Standards](#) and the [Transition Tool](#).

- The expiry date of the certificate:

Ideally, the Transition Certificate is obtained before the current program certificate expires or before the end of the surveillance audit window (for current Rainforest Alliance). It will take on average **from 2 to 4 months** between the audit date and obtaining the certificate. The start date of the Transition Certificate will be the start date of the harvest, or the audit date for continuous main crop harvests.

Therefore, CHs are encouraged to **request extensions** to their certificates if needed and plan their audits, where possible, in advance of the expiry of their current certificates and extensions. Should a CH require a time extension of their current UTZ or current Rainforest Alliance certificate or their surveillance audit timeframe, they should request it from the CB that has issued their current certificate.

1.4.1.2. RULES FOR CONDUCTING TRANSITION PERIOD AUDITS

Rule F45. A Transition Period Audit may be conducted as a combined audit, but not as an integrated audit.

Guidance: Combined audits are those covering two (or more) certification programs (e.g. Rainforest Alliance and Organic), while they use two separate checklists and conduct the audit process either in parallel or in sequence. Integrated audits use one integrated checklist for the two (or more) certification programs.

Rule F46. A Transition Period Audit is conducted as a Certification Audit as per the [Rainforest Alliance 2020 Certification and Auditing Rules](#), with exceptions/clarifications as the rules in this section.

Rule F47. The transition period audits where farming is in scope shall be conducted on-site.

Rule F48. The transition period audits cover only the applicable core farming requirements including all applicable traceability requirements.

Guidance: Smart-meter and improvement requirements are not applicable during the Transition Period, see section [Entry into force of Rainforest Alliance 2020 Standard Requirements](#).

Rule F49. In case of a non-conformity with requirement 5.4.1 on Living Wage, the timeframe for completing the entire Salary Matrix may be extended until the first full-scale audit.

Guidance: A positive certification decision may be taken for the Transition Certificate without a fully completed Salary Matrix. A plan for its completion should be available within the



deadline for closing non-conformities as per the Rainforest Alliance 2020 Certification and Auditing Rules. A positive certification decision shall not be taken for the full-scale 3-year certificate if the Salary Matrix requirement was not fully complied with before the full-scale audit.

Rule F50. During the Transition Period, the Stakeholder Consultation rules are only applicable to high risk scenarios of child labor or forced labor, based on Rainforest Alliance risk maps.

Guidance: Stakeholder Consultations are defined in the Rainforest Alliance 2020 Auditing Rules and are applicable only to CHs that have requirements in the Social Chapter of the Rainforest Alliance 2020 Standard in their scope, as defined during the registration process.

Rule F51. In preparation for the Transition Period Audit, and in addition to the documents listed in the Rainforest Alliance 2020 Certification and Auditing Rules and Sustainable Agriculture Standard, the Certificate Holder shall upload in the RACP or otherwise provide to the CB the following documents for the last current audit of each linked current account, indicated in the registration process, including:

- For each of the latest UTZ certificates (as applicable):
 - o Summary audit report
 - o Audit checklist
 - o Certificate or characteristics of the audit-exempt license (certification level, validity, extensions, etc.)
 - o The final Group Member Registry on which the certificate is based
- For each of the latest Rainforest Alliance certificates:
 - o Full audit report
 - o Certificate with the following annexes, as applicable:
 - Certified volumes
 - Group Member Registry

Rule F52. During the Transition Period Audit, and on the basis of the documents provided by the CH as per [Rule F51](#), the CB shall verify all existing current Rainforest Alliance and UTZ certifications and accounts related to the CH. Should the CH have failed to indicate or have wrongly indicated a current account during registration:

- a. If there are no indications of fraud, the CB/CH shall:
 - Indicate all existing current Rainforest Alliance and UTZ accounts to its Rainforest Alliance certification platform account before they may obtain a Transition Certificate and/or
 - De-link any accounts that are not managed by the CH before they may obtain a Transition Certificate
- b. If there are indications of fraud, the CB shall
 - Take a negative certification decision and
 - Suspend all valid current certificates within 2 days of the certification decision or
 - If these are issued by another CB, notify the Rainforest Alliance Certification Team. Rainforest Alliance shall suspend the valid current certificates within 2 days of the notification.

Guidance: If a Transitioning Farm CH does not indicate its current accounts, it may not obtain any carry-over volume remaining on these accounts.



Rule F53. During a transition period audit, the auditor shall verify a representative sample of transactions for each account and each applicable platform where the transactions of legacy volumes are reported.

Guidance: For example, if the Transitioning CH has 3 current accounts, all indicated in the Rainforest Alliance 2020 certification platform at registration, the CB shall verify a representative sample of transactions for each of these 3 accounts. The reports are extracted from the applicable Rainforest Alliance traceability platform(s) where the current accounts have reported transactions since the last audit (e.g. the Good Inside Portal, Marketplace 2, MultiTrace). In case of migration of traceability platforms, one account may have reported transactions during that period in more than one platform. In this case, each of the platforms shall be sampled.

Please see also Rule F8 on dealing with non-conformities with the current standards.

Rule F54. If the CB determines during the audit that the CH has volume remaining unsold from the previous harvest/certificate, and if the CH so wishes, the CB may assign this volume as carry-over in the form of new Rainforest Alliance volumes in addition to the CH's certified volume.

Guidance: This only applies to volume produced by the CH itself and/or the group members that form part of the Transition Certificate. Should there be differences between the farm composition of the certificate, only volumes coming from those farms that are included in the Transition Certificate can be carried over.

Legacy volumes purchased from other CHs remain in the CH's current UTZ/Rainforest Alliance accounts as per the rules for CHs without farming in scope.

TRANSITION CERTIFICATE

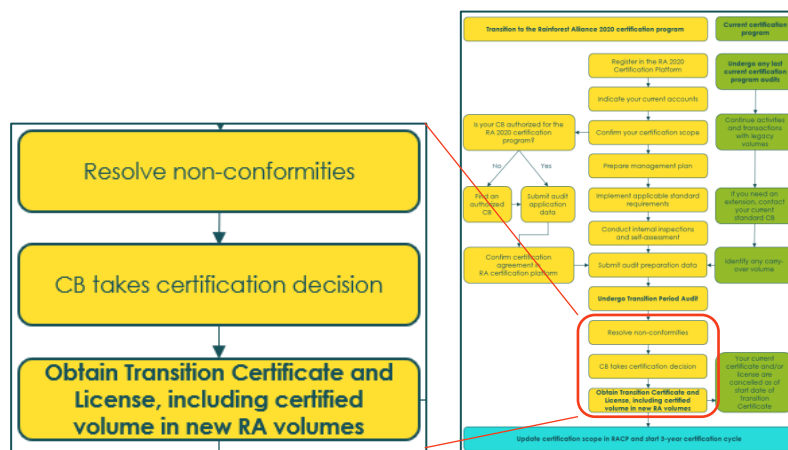


Figure 11: This is the part of the Certification Process (Figure 1) that this section corresponds to

Rule F55. A Transition Certificate may not be granted until and unless the Transitioning CH has closed all open non-conformities encountered during the Transition Period Audit, and pertaining to any of the 3 certification programs.

Guidance: For example, should the CB during the Transition Period Audit encounter a non-conformity with the traceability of legacy UTZ volumes, the CH must close this non-conformity, along with all other NCs before a Transition Certificate may be granted. Please also see [Rule F8](#) for further guidance on reporting non-conformities with the current standards.



Rule F64. The CB that the CH contracts for the First Certification Audit may be different than the one hired for the Transition Period Audit.



1.5. TRACEABILITY TRANSITION RULES

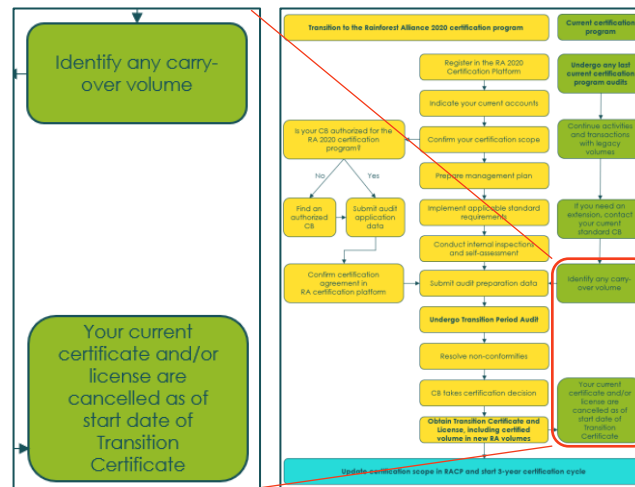


Figure 13: This is the part of the Certification Process (Figure 1) that this section corresponds to

VALIDITY OF CURRENT CERTIFICATES, LICENSES, ENDORSEMENTS

Rule F65. Certificates, licenses, and endorsements issued under the current UTZ or Rainforest Alliance Certification Programs shall not be automatically transformed into certificates under the Rainforest Alliance 2020 Certification Program.

Rule F66. All current certificates and licenses expire on the first of the following dates:

- On the deadline for their surveillance/re-certification audit, including any time extensions
- on the start date of the Transition Certificate
- December 31, 2022

Guidance: This rule applies to all current certificates, including 1-year UTZ certificates and 3-year Rainforest Alliance certificates.

- **Example 1:** if a current certificate's deadline for a surveillance/certification audit is on May 1, 2022, and the CH has not obtained a Transition Certificate or an extension until that date, the current certificate will expire on May 1, 2022
- **Example 2:** if a current certificate's audit deadline is May 1, 2022, and the CH obtains a Transition Certificate on April 1, 2022, the current certificates expires on April 1, 2022
- **Example 3:** if a transitioning CH does not obtain a Transition Certificate, their current certificate will expire latest December 31, 2022

Rule F67. A Transition Certificate shall:

- Replace the current certificate(s). The issuing CB or Rainforest Alliance shall cancel the current certificate with effective date the start date of the Transition Certificate
- Grant a license to use the Rainforest Alliance Traceability Platform for new Rainforest Alliance volumes with the same duration as the Transition Certificate (one year)

Guidance: Farm CHs that also purchase volumes from other Farm CHs: please also see the [Traceability transition rules](#) section of the SC CH chapter of this document.

Rule F68. Once a current certificate expires, is suspended, or cancelled, the volumes available on the CH's account under that certificate are no longer eligible for claims and



labels. Sell-off periods apply as per the Rainforest Alliance 2020 Standard's traceability requirements.

ACTIVITIES AND TRANSACTIONS

Rule F69. The new Rainforest Alliance Seal may be used on packages with legacy UTZ, legacy Rainforest Alliance and/or new Rainforest Alliance volumes, as long as the traceability reporting is kept up to date for each of these volumes as per the respective traceability rules.

1.5.1.1. FOR FARM CHS THAT ALSO PURCHASE VOLUMES FROM OTHER FARM CHS:

Rule F70. Physical mixing of legacy UTZ, legacy Rainforest Alliance and new Rainforest Alliance volume is allowed. If certificate holders wish to mix volumes from different schemes to manage expiry dates, reporting in the traceability system shall be set up to reflect this, matching the physical reality.

Guidance: *if a supply chain CH holds 10,000t of legacy UTZ coffee, 5,000t of legacy Rainforest Alliance coffee, and 2,000t of new Rainforest Alliance coffee in their accounts, and wish to mix these volumes physically for shipment They shall set up their account to reflect a ratio of 10:5:2 for each transaction in the traceability system so that transactions involving physically mixed volumes reflect the physical reality of product movements in the traceability system.*

Rule F71. CHs shall not convert legacy UTZ, legacy Rainforest Alliance and new Rainforest Alliance volumes into each other. A legacy UTZ volume is traceable to an UTZ certified farm and may at no point be converted into or substituted for a legacy Rainforest Alliance or new Rainforest Alliance volume. The same applies to legacy Rainforest Alliance and new Rainforest Alliance volumes.

Rule F72. The new Rainforest Alliance Seal may be used on packages with legacy UTZ, legacy Rainforest Alliance and/or new Rainforest Alliance volumes, as long as the traceability reporting is kept up to date for each of these volumes as per the respective traceability rules.

1.5.1.2. ACTIVITIES AND TRANSACTIONS WITH LEGACY VOLUMES

Rule F73. Until June 30, 2022, CHs may perform activities and transactions with legacy volumes if they:

- Possess a valid current UTZ certificate or license, or
- Possess a valid current Rainforest Alliance certificate

Rule F74. After January 1, 2023, only those CHs that have obtained a Transition Certificate and/or Rainforest Alliance 2020 Certificate may continue to perform activities and transactions with legacy volumes certified under the current UTZ or Rainforest Alliance certification programs.

Guidance: *Current accounts either:*

- *not indicated by a registered CH in the RACP or*
- *indicated by a registered CH who:*
 - o *Has not undergone an audit under the Rainforest Alliance 2020 Certification Program, or*



- *Has received a negative certification decision or a denial of their endorsement process*

will be discontinued, and the CH will not be able to access the volumes they contain.

Rule F75. Activities and transactions with legacy volumes shall follow the traceability requirements for the respective current UTZ or Rainforest Alliance certification program until the start date of the Transition Certificate. Afterwards, the Rainforest Alliance 2020 Sustainable Agriculture Standard Supply Chain Requirements apply, with the exception of the shared responsibility and premium requirements.

Guidance: See also the Section [Entry into force of Rainforest Alliance 2020 Standard Requirements](#). The start date of the transition certificate is either the start date of the harvest of the main crop, or the first date of the audit leading to the certification decision.

1.5.1.3. ACTIVITIES AND TRANSACTIONS WITH NEW RAINFOREST ALLIANCE VOLUMES

Rule F76. Farm CHs will obtain their certified volume as new Rainforest Alliance volumes upon receiving a Transition Certificate.

Rule F77. Any carry-over volume from current accounts indicated at registration may be obtained as new Rainforest Alliance volumes, as per [Rule F54](#).

1.6. GAPS IN CERTIFICATION

Rule F78. Gaps in certification due to force majeure circumstances shall be treated on a case-by-case basis or through a sector/region/global policy, and the Rainforest Alliance will decide whether to apply the rules in this section and/or which ones.

GAPS IN CURRENT UTZ/RAINFOREST ALLIANCE CERTIFICATION

If a Farm CH certified under the current Rainforest Alliance or UTZ certification programs is unable to, or fails to, renew its current Rainforest Alliance or UTZ certification after June 30, 2020 but still wishes to obtain a Transition Certificate or certification against the full-scope Rainforest Alliance 2020 Certification Program, it falls under the "Certificate Holders with Gap in Certification" track. The following rules apply:

Rule F79. The certificate and license expire when upon the next surveillance or certification audit deadline. A sell-off period may apply as per the Rainforest Alliance 2020 Certification Rules.

Rule F80. The CH may not perform or report activities and transactions with volumes on its account after December 31, 2021, even if those physically took place during the validity of its certificate/endorsement/license, until and unless they obtain Rainforest Alliance 2020 Certification.

Guidance: For supply chain CHs, the Rainforest Alliance 2020 Certification Rules on volumes purchased before the audit apply.

Rule F81. The Farm CH may not obtain any carry-over volume on its Transition Certificate.

Rule F82. In the process of obtaining a valid Transition or Full-scale certificate, the CH shall indicate all its current UTZ/Rainforest Alliance accounts.



GAPS BETWEEN THE CURRENT UTZ/RAINFOREST ALLIANCE CERTIFICATION AND THE RAINFOREST ALLIANCE 2020 CERTIFICATION

1.6.1.1. REGISTRATION DELAY

If a CH certified under the Current Rainforest Alliance or UTZ certification programs is unable to, or fails to, register in the 2020 Certification Platform before December 31, 2021, the following rules apply:

Rule F83. The CH may not perform or report activities and transactions with volumes on any of its accounts after its next surveillance/certification audit deadline or December 31, 2022, whichever comes first, even if those physically took place during the validity of its certificate/endorsement/ license. A licence to continue transactions in the Rainforest Alliance traceability platform will only be granted once the CH obtains certification in the Rainforest Alliance 2020 Certification program.

Rule F84. As of January 1, 2022, any CH that was previously certified under the current UTZ/Rainforest Alliance certification programs and has not registered in the Rainforest Alliance 2020 Certification Platform will be considered as a CH with a gap in certification. The CH shall follow the Rainforest Alliance 2020 Certification and Auditing Rules if it wishes to pursue certification against the Rainforest Alliance 2020 Certification Program.

Guidance: *The simplified Transition Rules will no longer apply to this CH and they shall comply with the full-scope Rainforest Alliance 2020 Certification Program. Audits may only start after July 1, 2022.*

Rule F85. CHs that have previously been certified with the current UTZ or Rainforest Alliance certification programs shall still indicate all their accounts registered under the current UTZ/Rainforest Alliance program in the process of obtaining a valid certificate/endorsement even after January 1, 2022,

Guidance: *It is important for a good audit process that the information on any certification history is available to Rainforest Alliance and the Certification Body. Therefore, it is important that CHs indicate their current accounts even if those have long expired. The access to any legacy volumes contained in these accounts depends on the validity of the current program licenses. Just by indicating a current program account, a CH with a gap in certification will not gain access to their legacy volumes if their license has expired.*

1.6.1.2. AUDIT DELAY

If a CH certified under the current Rainforest Alliance or UTZ certification programs and registered in the Rainforest Alliance 2020 Certification Platform is unable to, or fails to undergo a Transition Period Audit before July 2022, the following rules apply:

Rule F86. If a CH has not conducted a Transition Period Audit by the relevant audit deadline, their current license/certificate will expire. After that date, the CH may still sell any remaining legacy UTZ/Rainforest Alliance volumes, following the sell-off rules as per the Rainforest Alliance 2020 Certification Rules, but not later than December 31, 2022.

Rule F87. The CH shall update its registration profile in the Rainforest Alliance Certification Platform before proceeding with planning a Certification Audit against the full scope of the Rainforest Alliance 2020 Certification Program

Rule F88. As of July 1, 2022, the CH shall undergo a full-scale certification audit, following the Rainforest Alliance 2020 Certification and Auditing Rules if it wishes to pursue certification against the Rainforest Alliance 2020 Certification Program.

Guidance: *The simplified Transition Rules will no longer apply to this CH and they shall comply with the full-scope Rainforest Alliance 2020 Certification Program.*



1.6.1.3. CERTIFICATION DELAY

If a CH certified under the current Rainforest Alliance or UTZ certification programs is unable to, or fails to, obtain a Transition Certificate, even if it complied with the registration and audit timelines, the following rules apply:

Rule F89. The CH may not perform or report activities and transactions with current or new standard volumes on its account after January 1, 2023, even if those transactions physically took place during the validity of its current certificate(s).

Rule F90. The CH shall update its registration profile in the Rainforest Alliance Certification Platform before proceeding with planning a Certification Audit against the full scope of the Rainforest Alliance 2020 Certification Program.

Rule F91. As of July 1, 2022, the CH shall undergo a full-scale certification audit, following the Rainforest Alliance 2020 Certification and Auditing Rules if it wishes to pursue certification against the Rainforest Alliance 2020 Certification Program.

Guidance: *The simplified Transition Rules will no longer apply to this CH and they shall comply with the full-scope Rainforest Alliance 2020 Certification Program. The CH may not perform activities and transactions with legacy or new Rainforest Alliance volumes after their audit deadline and latest December 31, 2022, and until it obtains a Certificate and License under the full-scale Rainforest Alliance 2020 Certification Program.*



ANNEX TR 1. EXAMPLES OF APPLICATION OF THE TRANSITION RULES FOR FARM CHS

This section presents examples that illustrate the rules and guidance set out in this document with references to the relevant sections/rules.

EXAMPLE 1. SUCCESSFUL TRANSITION:

A Certificate Holder, BestCoffee, has farming in scope and also buys certified volumes from other farming CHs. It has a current Rainforest Alliance certificate valid until March 1, 2022, and their main harvest starts in April every year. Best Coffee undergoes a last current audit under the Rainforest Alliance 2017 certification program in February 2021 to certify its 2021 harvest.

BestCoffee starts registration in the Rainforest Alliance 2020 Certification Platform in August 2021 and in the process indicates that Current account. It completes its certification scope. ([Registration](#) to participate in the Rainforest Alliance 2020 Certification Program). The RACP provides a customized list of applicable requirements for its IMS, for the large farms in its group, and for the smallholders in its group, respectively.

The current Rainforest Alliance certificate of BestCoffee may be extended, to ensure no gaps in certification between the expiry of the current Rainforest Alliance certificate on March 1, 2022 and the start of the new certificate on the harvest start date (April 1, 2022). For that, BestCoffee turns to the CB that issued the current certificate, AbsoluteCertification ([Last audits against the Current UTZ and Rainforest Alliance Standards](#)).

AbsoluteCertification is not authorized to conduct farming audits in the Rainforest Alliance 2020 Certification Program and can therefore not conduct the Transition Period Audit of BestCoffee. Therefore, BestCoffee hires another Certification Body, DigitalCertifiers, which is authorized for its scope. BestCoffee confirms the agreement in the Rainforest Alliance Certification Platform with a date of signature December 7th, 2021. ([Contracting a Certification Body for Transition Period Audits](#)). BestCoffee needs to prove it is in compliance with the applicable Rainforest Alliance 2020 Sustainable Agriculture Standard as the date of the signature of the certification agreement ([Entry into force of Rainforest Alliance 2020 Standard Requirements](#)).

Between August and December 7th, BestCoffee also develops its management plan, implements the applicable requirements of the Rainforest Alliance 2020 Standard (core farming requirements and all applicable traceability and supply chain requirements), collects all geolocation data and conducts internal inspections. On that basis, BestCoffee fills out the self-assessment, the Group Member Registry, the geolocation data, and all other documents applicable to its certification scope ([Entry into force of Rainforest Alliance 2020 Standard Requirements](#)). BestCoffee has until 4 weeks before the audit to submit all the data for audit preparation for DigitalCertifiers to calculate the exact audit duration, select the sample of farms and facilities and workers to be audited, etc.

At that point BestCoffee may already purchase new Rainforest Alliance volumes from SeriousFarming, another farming CH that has already obtained a Transition Certificate. BestCoffee may also report processing and selling the volumes it purchased from SeriousFarming, and make claims with them, in its current Rainforest Alliance account ([Traceability transition rules](#)). The Rainforest Alliance 2020 Traceability requirements apply already.

An audit is planned for February, before the expiry of the original certificate (March 1, 2022). After BestCoffee receives DigitalCertifiers for an on-site Transition Period Audit, it closes all



non-conformities within the timelines set in the Rainforest Alliance 2020 Certification and Auditing Rules, on April 21, 2022. ([Transition Period Audits](#))

On May 23, 2022, after a review of the license request by the Rainforest Alliance, DigitalCertifiers grant BestCoffee a Transition Certificate, as of April 1, 2022, the starting date being set in alignment with the beginning of the coffee harvest season in this region. The certificate is valid for one year. ([Transition Certificate](#)) The Rainforest Alliance grants BestCoffee a license to use the Rainforest Alliance Traceability Platform. The Rainforest Alliance assigns certified new Rainforest Alliance volumes to BestCoffee in its Rainforest Alliance Traceability Platform account.

After obtaining a certificate and license, BestCoffee also gains one more year of access to its current Rainforest Alliance account and within it the legacy Rainforest Alliance volumes that it purchased from SeriousFarming in 2020, until April 1, 2023. BestCoffee can now merge the two accounts and move its legacy volumes to its new account, because the current Rainforest Alliance Account was indicated when it registered on the RACP back in August, and DigitalCertifiers validated the transactions and volumes and traceability procedures during the audit in February.

BestCoffee has to report the legacy Rainforest Alliance volumes and the new Rainforest Alliance volumes separately, although it is allowed to mix them in the same container. ([Activities and Transactions](#))

BestCoffee can now also prepare for the full-scale Certification Audit, for example by collecting Smart Meter data ([First Certification Audit](#)).

EXAMPLE 2: UNSUCCESSFUL TRANSITION:

A CH has a Current UTZ certificate valid until August 1, 2021.

This CH **does not indicate** their current account while registering in their Rainforest Alliance 2020 Certification Platform. The current certificate is not automatically transformed into a Transition Certificate. ([Rule F65](#)) The current certificate is cancelled, as of August 1, 2021. ([Rule F79](#)). If the CH decides to pursue certification against the Rainforest Alliance 2020 Standard without indicating the current accounts, the CB or Rainforest Alliance may decide to suspend that current certificate and license earlier and not allow certification against the Rainforest Alliance 2020 Standard to the CH ([Rule F52](#)).

EXAMPLE 3: NO TRANSITION:

A CH has a current Rainforest Alliance certificate valid until September 1, 2022, with a surveillance audit due February 1, 2022. This CH **does not register** in the Rainforest Alliance Certification Platform. The CH may not trade or claim its current Rainforest Alliance volumes as of February 1, 2022, except for a sell-off period as per the Rainforest Alliance 2020 Certification Rules. The current certificate is cancelled and account closed. If the CH decides to re-join the Rainforest Alliance, it may do so under the full scope of the Rainforest Alliance 2020 Certification Program.



2. TRANSITION RULES FOR SUPPLY CHAIN CERTIFICATE HOLDERS

2.1. EXECUTIVE SUMMARY

This section applies to two different types of transitioning supply chain Certificate Holders. All rules without further specification apply to both types. Where this is not the case, the specific type(s) are specified:

- Type 1: SC CHs with a valid certificate
- Type 2: SC CHs with a valid license, but no certificate or endorsement

Transition Rules for Retailers are not included in this document, as most did not have a valid certificate/license in any of the traceability platforms. For information about inclusion of retailers in the scope of the Rainforest Alliance 2020 Certification Program, please see the [dedicated section](#) on the Rainforest Alliance website.

CERTIFICATION PROCESS FLOW FOR TRANSITIONING SUPPLY CHAIN CHS

The following flowchart describes the certification process steps for Transitioning Supply Chain CHs. The cycle after obtaining a certificate/endorsement is covered by the [Rainforest Alliance 2020 Certification and Auditing Rules](#).

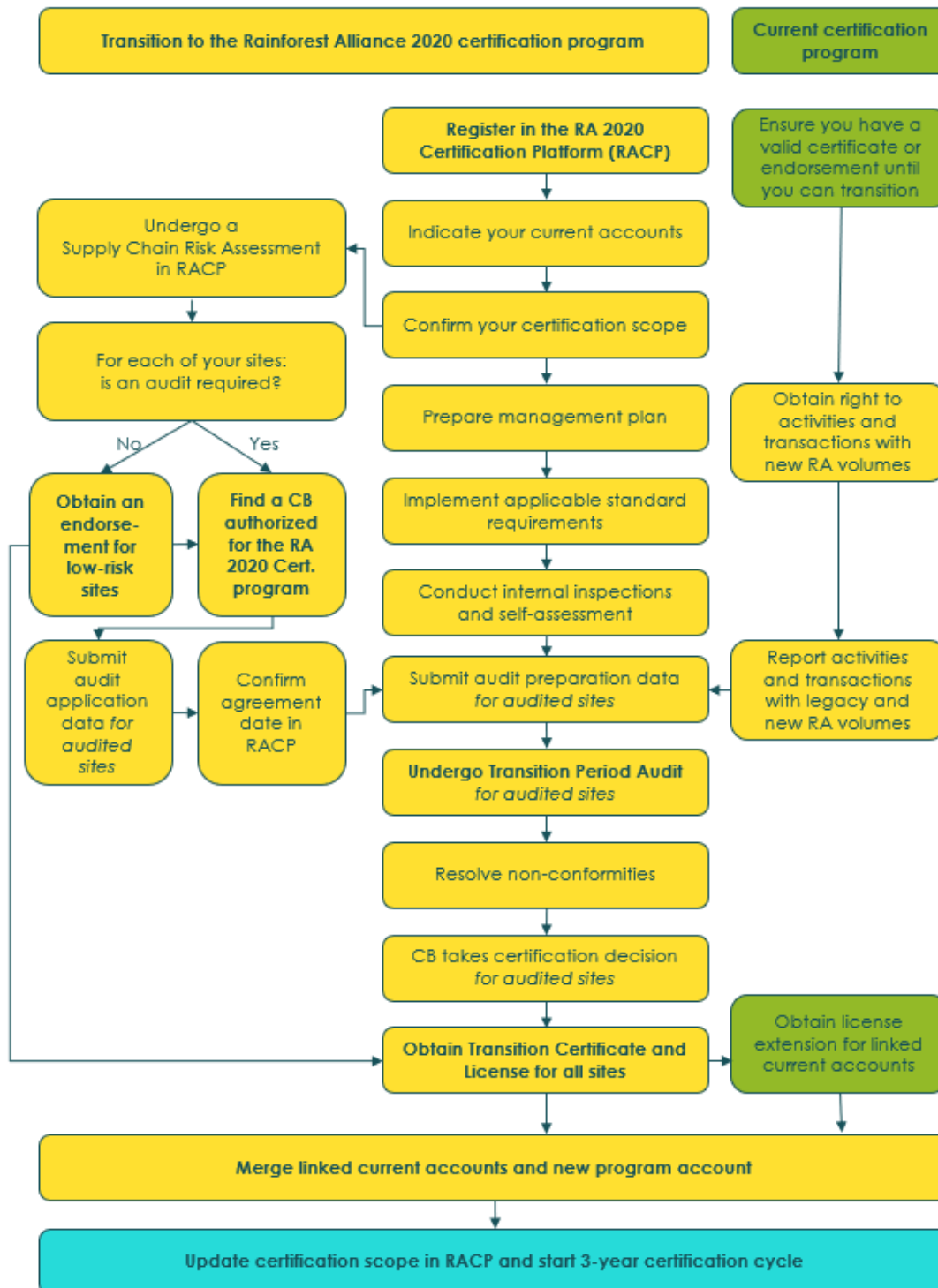


Figure 14: Transitioning Period certification process flowchart for Transitioning Supply Chain CHs



TRANSITION TIMELINES

All **supply chain and traceability requirements** of the Rainforest Alliance 2020 Sustainable Agriculture Standard enter into force as of July 1, 2021. The date as of which SC CHs shall be compliant with the requirements differs, depending on various factors. Please see Section [Entry into force of Rainforest Alliance 2020 Standard Requirements](#) for more information.

All **audits under the current certification programs** (UTZ and RA) shall be completed before June 30, 2021. Please see section [Last Verifications against the Current UTZ and Rainforest Alliance Standards](#) for more information.

All Transitioning SC CHs shall start and finish the **transition period certification steps** within the Transition Period:

- registration (including scope confirmation),
- certification agreement (if applicable)
- signature of legal agreement with Rainforest Alliance
- transition period audit (if applicable)
- obtaining Transition Certificate and License

More specifically, they shall complete the above steps before the first of the following dates:

- The date their certificate/license, including time extensions, expires
- Their next annual audit deadline, including time extensions (after July 1, 2021)
- December 31, 2022

To comply with these deadlines, all SC CHs are encouraged to complete their registration and start their endorsement or certification process at least 6 months before the deadline, following the below timelines. These timelines are based on the average time it would take a CH to undergo an audit and close all non-conformities. The process will be faster if the organization is eligible for an endorsement or is found to be in conformity with all applicable requirements during an audit.

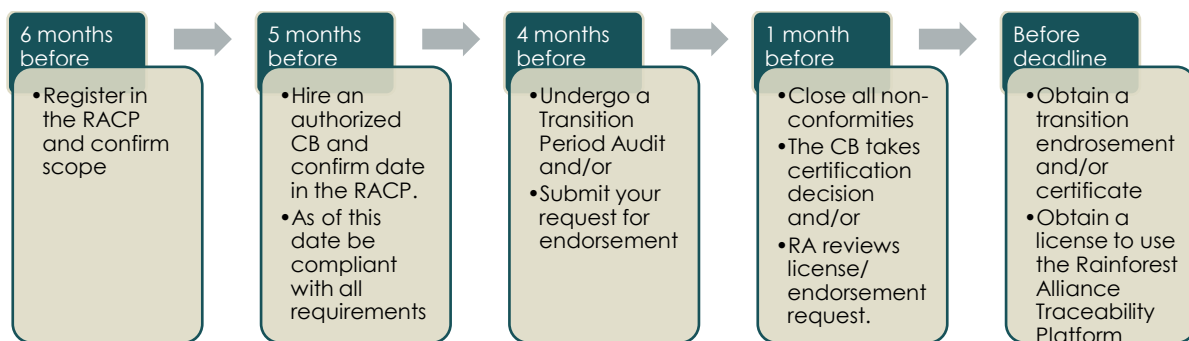


Figure 15: Certification timelines for transitioning Supply Chain Certificate Holders.

Please see section [Transition Period Certification Process](#) for more information.

SC CHs will be able to register for the 2020 Rainforest Alliance Certification Program and complete their Supply Chain Risk Assessment from May 2021. Upon completion of this process, they will be able to:

- Start an endorsement process
- Sign a certification agreement with a certification body and schedule a Transition Period Audit (if applicable) from 1 July 2021 onwards.

Transition period audits and endorsements will allow SC CHs to receive a Transition period certificate valid for one year. They must conduct a full scale certification audit before the expiry of the Transition Certificate.

For more information on these starting dates, please contact Customer Success at cs@ra.org



The figure below represents the sequence of preparation (standard implementation and self-assessment), verifications and certificates during the transition period and beyond. The period between 2020 and the time of the Transition Period Audit are the preparation phase for the Transition Certificate, which covers all applicable requirements and rules of the Rainforest Alliance 2020 Certification Program, as well as the current certification program requirements and rules up to the date conformity date as per [Rule SC3](#) below. Once the CH has obtained a Transition Certificate, the preparation for the full-scale Rainforest Alliance 2020 certification program begins.

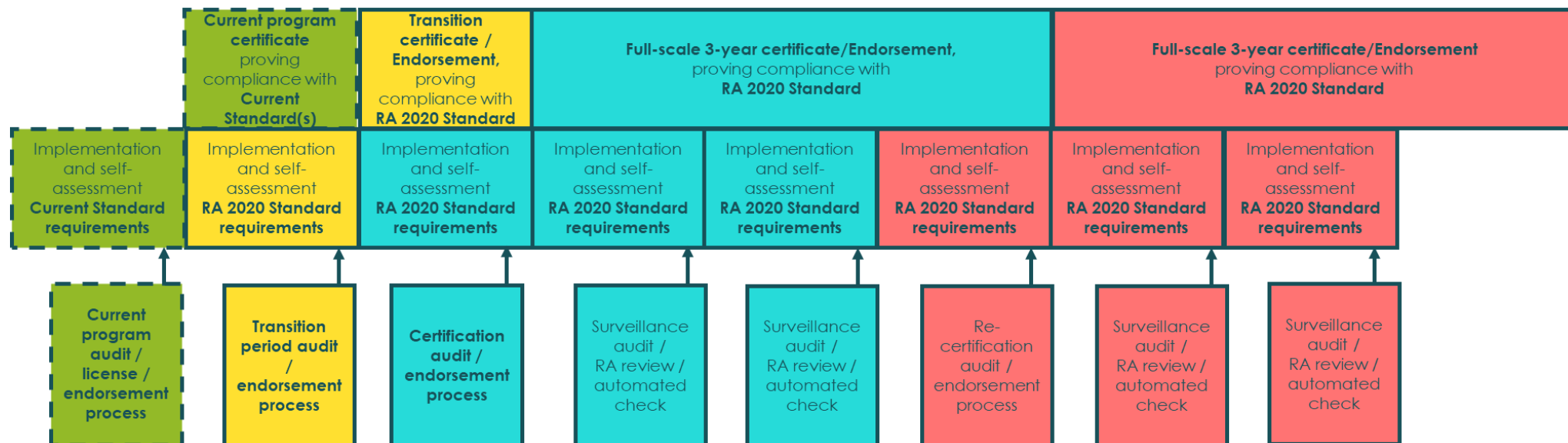


Figure 16: Timeline of implementation, inspection, compliance and certification with different programs during the transition period and beyond.



2.2. ENTRY INTO FORCE OF RAINFOREST ALLIANCE 2020 STANDARD REQUIREMENTS

Rule SC1. On July 1, 2021, all supply chain and traceability requirements of the Rainforest Alliance 2020 Sustainable Agriculture Standard enter into force.

Rule SC2. Transitioning Supply Chain Certificate Holders (SC CHs) shall continue complying with the current certification programs until the date they start complying with the Rainforest Alliance 2020 Sustainable Agriculture Standard, unless otherwise specified in the Rainforest Alliance 2020 Sustainable Agriculture Standard, the Transition Rules or other binding documents for specific rules and requirements.

Rule SC3. Transitioning Certificate Holders shall start complying with the applicable Rainforest Alliance 2020 Certification Program as of whichever comes first of the following dates (conformity date):

- For SC CHs that require an audit for any of their sites: on the day of the signature of their certification agreement with an authorized Certification Body for the Transition Period Audit or
- For Certificate Holders that are eligible for endorsement for all their sites: on the day an endorsement is issued
- The date of first purchase of new Rainforest Alliance volumes

Guidance: *If a Certificate Holder signs a certification agreement on February 1, 2022, but starts purchasing new Rainforest Alliance volumes on October 1, 2021, the conformity date as of which compliance is expected is October 1, 2021.*

Rule SC4. Unless otherwise stipulated in a particular traceability requirement or policy, or enforced by the Rainforest Alliance traceability platform, the traceability requirements of the Rainforest Alliance 2020 Standard are applicable to **new Rainforest Alliance volumes** as July 1, 2021.

Guidance: *new Rainforest Alliance volumes are those volumes originating from farms certified against the Rainforest Alliance 2020 Standard or the UEBT standard at the time of harvesting those volumes. Some*

Rule SC5. Unless otherwise stipulated in a particular traceability requirement or policy, the traceability requirements of the Rainforest Alliance 2020 Standard are applicable to **legacy volumes** as of July 1, 2021.

Exceptions: The following exceptions apply:

- Shared responsibility (sustainability differential and sustainability investment) requirements do not apply to legacy volumes.
- Premium requirements apply to legacy volumes as per the current UTZ/Rainforest Alliance rules.

Guidance: *legacy volumes are those volumes originating from farms certified against the current UTZ or Rainforest Alliance Standards at the time of harvesting those volumes.*

Rule SC6. In preparation for the Transition Period Audit or Endorsement process, the CH shall assess its own conformity with:

- The applicable Rainforest Alliance 2020 Standard requirements as of the date defined as per [Rule SC3](#).
- The applicable certification program(s) requirements for those transactions and activities with legacy volumes that took place since the last current standard audit/endorsement.



Guidance: *The implementation of the Rainforest Alliance 2020 Certification Program shall ensure the readiness of the CH and all the sites, sub-contractors, etc. in its certification scope to comply with the deadlines in Rules 1, 2, 3, 5 and 6 even if these implementation activities take place before July 1, 2021. For example, a self-assessment for the Rainforest Alliance 2020 Certification Program audit (transition period audit), conducted in May 2021, the CH shall use the checklist and requirements of the Rainforest Alliance 2020 Standard. The self-assessment checks if the site/sub-contractor is or will likely be compliant with the Rainforest Alliance 2020 Standard by the conformity date defined as per [Rule SC3](#).*

Rule SC7. During the Transition Period Audit, the CB shall check conformity with:

- The applicable Rainforest Alliance 2020 Standard requirements as of the conformity date defined as per [Rule SC3](#).
- The applicable Rainforest Alliance Traceability requirements as of July 1, 2021.

Rule SC8. If a CH has a non-conformity with applicable requirements during the Transition Period Audit, the CH shall satisfactorily address these non-conformities, back-dating to the conformity date as per [Rule SC3 above](#), and as per the [Rainforest Alliance 2020 Certification and Auditing Rules](#).

Guidance: *For those non-conformities that can be corrected retroactively, such as salaries or payments, for example: if a CH signs a certification agreement with the CB on September 1, 2021 and is audited in April 2022 against the Rainforest Alliance 2020 Standard and was only in conformity on salary payments as of November 1, 2021, the CB will regard this as a non-conformity. The outstanding difference from the period between September 1, 2021 and November 1, 2021 must still be paid out to the respective workers to close the non-conformity.*



2.3. CERTIFICATION TRANSITION RULES

LAST VERIFICATIONS AGAINST THE CURRENT UTZ AND RAINFOREST ALLIANCE STANDARDS

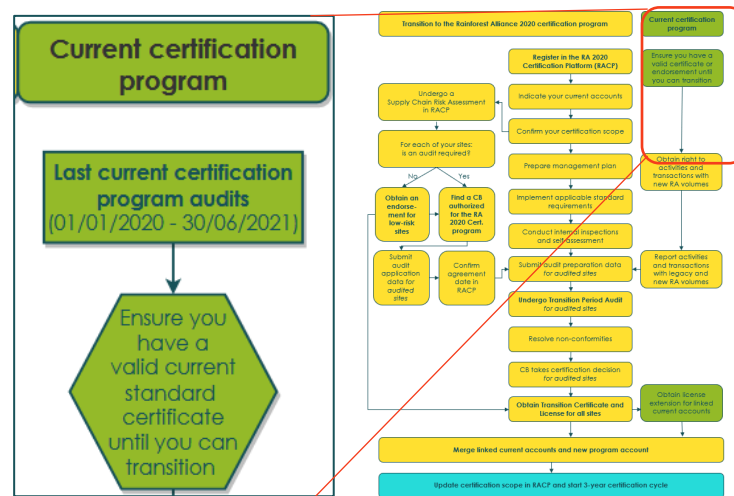


Figure 17: This is the part of the Certification Process (Figure 14) that this section corresponds to

This section applies to Type 1 Supply Chain Certificate Holders, i.e. those that currently have a valid current UTZ or current Rainforest Alliance certificate, including an endorsement or an audit-exempt license.

Type 2 Supply Chain Certificate Holders (those that have a valid license but no valid certificate) shall proceed to section [1.4 Transition Period Certification Process](#).

Type 1 Transitioning Supply Chain Certificate Holders are those CHs that intend to maintain their certification by shifting from the current certification programs to the Rainforest Alliance 2020 Certification Program. To ensure continued certification, (to “get on the Transitioning Certificate Holders Track”), there may be different rules applicable depending on the type of certification the CH has in the current programs. This section provides the general rules and guidance, whereas the [Transition Tool](#) translates these rules into the specific step-by-step guides for CHs to follow.

CHs that are certified against both the current UTZ and the current Rainforest Alliance certification programs but for different products shall follow the current Rainforest Alliance and the current UTZ guidance for the respective products. Please note that the Rainforest Alliance may issue additional policies and/or guidance for specific crops/countries/regions, which are binding and will be communicated through the Rainforest Alliance [website](#).

Rule SC9. Audits based on the latest version of the current UTZ and/or current Rainforest Alliance certification programs lead to the respective current certificates and do not lead to a Transition Period Certificate.

Rule SC10. All audits starting before July 1, 2021, shall be based on the latest¹⁰ version of the UTZ and/or Rainforest Alliance certification programs.

Rule SC11. Audits based on the latest¹¹ version of the current UTZ and/or Rainforest Alliance Certification Programs shall not be carried out after June 30, 2021. Certification decisions

¹⁰ i Further guidance will be published for Newly Registering CHs joining the Rainforest Alliance during the Transition Period.

¹¹ Latest means applicable to the CH and the CB at the time of the audit as per the Current UTZ/Rainforest Alliance Certification Program.



based on these documents will not be considered valid and will not result in the issuing or renewal of a certificate.

Exceptions:

- surprise audits, follow-up audits, verification audits, investigation audits, extension/expansion audits, where applicable, of current certificates are still carried out under current standard and assurance rules until expiry of the current UTZ/Rainforest Alliance certificates
- SC actors in the Banana sector may choose to be audited against the latest version of the Rainforest Alliance Standard until 31 December 2021 (See [Banana Policy](#))

Guidance: *The last planned date of these audits may not be later than June 30, 2021. Audits may not be postponed after that date. If a CH does not get audited until then, they shall proceed with certification under the Rainforest Alliance 2020 Standard as per the timelines and conditions stipulated in section*

[Transition Period](#) Audits. *If a gap in certification occurs, the CH risks losing access to its accounts and volumes.*

The certification and licensing process for Current Rainforest Alliance or UTZ certification program may continue past July 1, 2021 as long as the audit process has occurred before this date.

FOR SC CHS AUDITED UNDER THE CURRENT RAINFOREST ALLIANCE CERTIFICATION PROGRAM

This section defines the timeline for undergoing the last audits under the current Rainforest Alliance Certification Program for CHs that are not certified under the current UTZ program for the same product.

Rule SC12. If the CH's certificate expires in 2020, the CH shall follow the applicable current Rainforest Alliance certification process and undergo a re-certification audit, annual audit, etc. as usual to maintain its certified/endorsed status.

Guidance: *Please also consider the latest version of the [Rainforest Alliance COVID-19 policy](#) on audit timelines and exceptions.*

Rule SC13. If the CH's Chain of Custody certificate expires between January 1 and June 30 of either 2021, 2022, or 2023 the CH shall follow the applicable current Rainforest Alliance certification process and undergo a re-certification audit, annual audit, etc. as usual in 2020/2021 to maintain its certified status, keeping in mind that the last possible audit date is June 30, 2021.

Guidance: *the relevant date is the original end date of the certificate/endorsement, not taking into account extensions.*

Rule SC14. For CHs under the previous [Rule SC13](#), an extension of maximum 4 months may be requested by the CB through the Salesforce certification platform. Such an extension shall not change the scope of the certificate, nor shall it extend the time period or the timeline for conducting the last annual/re-certification audit past June 30th, 2021.

Rule SC15. If the CH falls under the scenarios in [Rule SC12](#) or [Rule SC13](#) and the applicable assurance activity according to the Rainforest Alliance Chain of Custody Policy 2015 is "no audit," the CH's current Rainforest Alliance certification status is maintained without undergoing further audits under the current Rainforest Alliance certification program in 2021.

Rule SC16. If the CH's Chain of Custody certificate expires between July 1 and December 31 of either 2021, 2022 or 2023, they shall transition directly to the Rainforest Alliance 2020 Certification Program without further re-certifying against the current Rainforest Alliance Standard in 2021.



Exception: SC actors in the Banana sector may choose to be audited against the latest version of the Rainforest Alliance Standard until 31 December 2021. (See [Banana Policy](#))

Guidance: the relevant date is the original end date of the certificate/ endorsement, not taking into account extensions. Exception: those CHs under [Rule SC12](#), whose audits have been delayed due to the COVID-19 pandemic.

Rule SC17. The Rainforest Alliance shall automatically grant CHs whose next audit/verification deadline is between July 1, 2021, and June 30, 2022 a 6-month extension to that deadline (and the validity of their certificate, if applicable).

Guidance: the purpose of this rule is to give more time for SC CHs to transition to the new program, in combination with the rule that they may trade new Rainforest Alliance volumes before obtaining a Transition Certificate. This rule applies to endorsements as well. It does not apply to licenses issued in the traceability platform, e.g. upon migration from another platform, and for which the CH has no valid certificate or endorsement.

Rule SC18. Should a Transitioning CH have more than one current Rainforest Alliance account, they shall follow the above rules for each of these accounts to ensure its continued certification.

Additionally:

Guidance: The table below summarizes which CHs have their last Rainforest Alliance audit/verification against the current Rainforest Alliance certification program in 2020 and which ones in 2021.

- Example 1: if a current Rainforest Alliance certificate expires in April 2022, the transitioning CH shall undergo their annual audit, if one is required, before June 30, 2021, and according to the current Rainforest Alliance rules.
- Example 2: if the current Rainforest Alliance certificate expires in August 2023, and the 2020 audit has been conducted as per the current Rainforest Alliance rules, the CH need not undergo further current Rainforest Alliance audits in 2021 and will obtain a 6-month extension of the deadline for its next audit.

If the current Rainforest Alliance certificate expires in:	2020	2021		2022		2023		2024	
	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec
Last current standard audit in 2020	✓		✓		✓		✓		✓
Last current standard audit in 2021 (January to June)		✓		✓		✓		✓	

Figure 18: Last Current Rainforest Alliance audits/verifications

FOR SC CHS AUDITED UNDER THE CURRENT UTZ STANDARD

This section defines the timeline for undergoing the last audits under the current UTZ Certification Program for SC CHs that are not certified under the current Rainforest Alliance program for the same product.

Rule SC19. If the SC CH's current UTZ certificate expires in 2020 or in the first half of 2021 (until June 30, 2021) they shall re-certify as per the applicable UTZ certification rules before transitioning to the Rainforest Alliance 2020 Certification Program, keeping in mind the last possible date of current UTZ audits is June 30, 2021.

Guidance: the relevant date is the original end date of the certificate/license, not taking into account extensions.



Rule SC20. For CHs under the previous [Rule SC19](#) that require an extension, the latest version of the UTZ Protocol applies: a time extension of up to 4 months may be granted. Such an extension shall not change the scope of the certificate, nor shall it extend the time period or the timeline for conducting the last annual/re-certification audit past June 30th, 2021.

Rule SC21. If the CH's certificate expires after July 1, 2021, they shall transition directly to the Rainforest Alliance 2020 Certification Program without further re-certifying under the current UTZ Certification Program in 2021.

Guidance: CHs that have a 2-year certificate and would normally not need to get audited in 2021, must still transition to the Rainforest Alliance 2020 Certification Program as per the Transition Rules to maintain their rights and volumes.

Rule SC22. CHs whose certificate expires between July 1, 2021 and June 30, 2022 shall obtain a 6-month extension automatically, granted by the Rainforest Alliance.

Guidance: the purpose of this rule is to give more time for SC CHs to transition to the new program, in combination with the rule that they may trade new Rainforest Alliance volumes before obtaining a Transition Certificate. This rule applies to Audit-exempt licenses as well. Type 2 certificate holders shall not obtain a 6-month extension.

Rule SC23. Should a Transitioning CH have more than one current UTZ certificate, they shall follow the above rules for each of these certificates to ensure its continued certification.

Additionally:

Guidance: The table below summarizes which CHs have their last audit/verification against the current UTZ certification program in 2020 and which ones in 2021. For example, if a current UTZ certificate expires in April 2021, the transitioning CH shall undergo their re-certification audit before June 30, 2021, and according to the UTZ Certification Protocol.

If the current UTZ certificate expires in August 2021, and the 2020 audit has been conducted as per the UTZ certification protocol, the CH need not undergo further current UTZ audits in 2021 and may directly proceed with the Transition Period Audit.

If the current UTZ certificate expires in:	2020		2021		2022		2023	
	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec
Last current standard audit in 2020				✓	✓	✓	✓	✓
Last current standard audit in 2021 (Jan to June)	✓	✓	✓					

Figure 19: Last Current UTZ audits/verifications

FOR CHS CERTIFIED AGAINST BOTH CURRENT UTZ AND CURRENT RAINFOREST ALLIANCE STANDARDS

This section applies to CHs that are certified under both the current Rainforest Alliance and UTZ Certification Programs for the same product(s).

Rule SC24. If a CH has both current certifications with [Mutual Recognition](#), they shall follow the rules above (sections [0](#) or [0](#)) for one of its certifications, along with the mutual recognition rules for extending the other certification.

Rule SC25. If a CH has both current certifications without [Mutual Recognition](#), they shall undergo a last audit against the current program for each certificate as per the rules in sections [0](#) and [0](#).



2.4. TRANSITION PERIOD CERTIFICATION PROCESS

Rule SC26. All Transitioning CHs shall get registered, certified and obtain a license under the Rainforest Alliance 2020 Certification Program within the Transition Period.

Guidance: Certification under the Rainforest Alliance 2020 Certification Program is mandatory even if a CH has a certificate/license/endorsement under a current UTZ/Rainforest Alliance Certification Program that does not require it to undergo an audit or renew that certificate/ license/ endorsement during the transition period. This also applies to CHs that are audit exempt under the current Certification Programs. Not obtaining the Transition Certificate within the transition period will have consequences on the validity of current UTZ/Rainforest Alliance accounts, certificates, licenses, rights and volumes, as described further in [Gaps in certification](#).

Rule SC27. All SC CHs shall obtain a Transition Certificate before the first of these dates:

- their next annual/re-certification audit deadline (taking into account extensions)
- their endorsement/license expires (taking into account extensions)
- December 31, 2022

If the CH has more than one certificate/license, the date that counts is the earliest of all.

Guidance: The following examples illustrate the rule:

Example 1: If a SC CH has a current Rainforest Alliance certificate that expires on August 15, 2023. Under the current Rainforest Alliance Chain of Custody policy, the CH is required to undergo an annual audit before August 15, 2021. According to [Rule SC17](#), the CH shall obtain a 6-month extension. Therefore, the new deadline for undergoing an annual audit is February 15, 2022. That is the deadline for the CH to obtain a Transition Certificate.

Example 2: A SC CH has a current UTZ cocoa certificate valid until February 10th, 2023, and a current UTZ hazelnut certificate valid until February 10th, 2022. According to the current UTZ protocol, the CH shall renew these certificates before their expiry date. According to [Rule SC17](#), the CH shall obtain a 6-month extension to that deadline, i.e. until August 10, 2022/2023. The deadline for obtaining a Transition Certificate for the cocoa license would therefore be December 31, 2022. However, if the CH wishes to only register one CH account for both cocoa and hazelnut for the Rainforest Alliance 2020 Certification Program, they shall obtain the Transition Certificate/Endorsement for both cocoa and hazelnut by August 10, 2022 when the first of the two expires.

Example 3: A Retailer CH has been trading UTZ certified products but has never needed to be certified under the current UTZ program. The retailer shall obtain a Transition Certificate/Endorsement before December 31, 2022.

Example 4: Upon migration, a Type 2 SC CH received a one-year license to use the current Rainforest Alliance traceability platform for tea, but has no valid certificate. The license expires on December 1, 2021. They shall obtain a Transition Certificate before December 1, 2021.



REGISTRATION TO PARTICIPATE IN THE RA 2020 CERTIFICATION PROGRAM

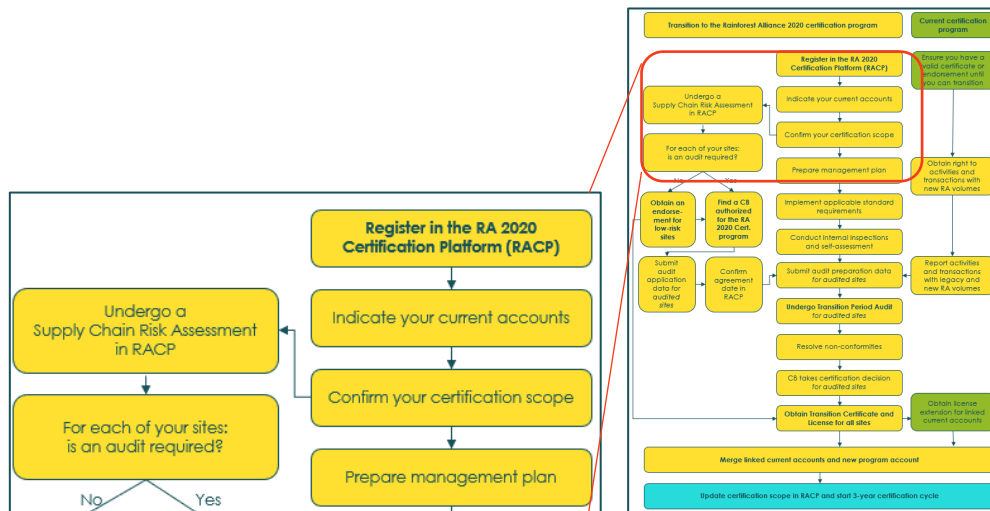


Figure 20: This is the part of the Certification Process (Figure 14) that this section corresponds to

Rule SC28. All Transitioning CHs shall complete their registration process in the Rainforest Alliance 2020 Certification Platform (up to and including Scope Confirmation) on time to obtain their Transition Certificate as per [Rule SC27](#).

Guidance: The registration process is described in more detail in the Rainforest Alliance 2020 Certification and Auditing Rules. The registration process sets the applicable list of requirements for each CH, depending on the scope of the CH (crops, activities, organizational structure, etc.). It also defines the verification level and process to follow for each CH. Therefore, the registration process allows CHs to define whether they are eligible for an endorsement under the Rainforest Alliance 2020 Certification Program or need to undergo a Transition Period Audit.

CHs must complete the registration process before they contract a Certification Body or proceed with their Transition Period Audit or proceed with their endorsement process. According to the Rainforest Alliance Certification Rules, the timeline for obtaining a certificate is on average between 2 and 4 months after the CH has submitted all its audit preparation data.

Therefore, the recommendation for SC CHs is to **register at least 5 months** before their specific deadline as per [Rule SC27](#).

For more information on certification timelines, please see the Rainforest Alliance 2020 Certification and Auditing Rules.

Rule SC29. During Registration, the CH shall indicate all current UTZ member IDs and current Rainforest Alliance certificate codes and/or Rainforest Alliance Marketplace IDs. under the management of the group/CH.

Guidance:

Current UTZ member IDs examples: UTZ_CO1000012345, ME01_123456

Current Rainforest Alliance certificate code examples: CB-C-123456, END-123456

Current Rainforest Alliance Marketplace IDs examples: RA12345

For example, if the CH has two current UTZ certificates (one for Hazelnut and one for Cocoa) and one current Rainforest Alliance certificate, the CH must provide the details of all three certificates. Please do not provide here the Member ID and/or Certificate Code of other trading partners, sister CHs, etc.

The Rainforest Alliance needs to establish a link between the CH's new account and its existing accounts in order to ensure that each CH has continued access to its current



volumes and accounts. When a CH indicates they have a current account they automatically begin on the Transitioning CHs track. Therefore, it is very important that all CHs cooperate and indicate all current UTZ Member IDs and/or Rainforest Alliance Certificate Codes. Should you have doubts or questions about your current UTZ Member IDs and/or Rainforest Alliance Certificate Codes, please check your certificate or contact your Certification Body.

The validity of the indicated current account IDs will be checked during the Transition Period Audit or during the endorsement process.

Rule SC30. All current accounts that are not indicated in a Rainforest Alliance 2020 Certification Program account as of December 31, 2022 shall be discontinued and the current UTZ or Rainforest Alliance certification will be cancelled by the CB and/or by the Rainforest Alliance, latest as of January 1, 2023.

Guidance: *if a certificate's audit deadline is April 1, 2021 and no CH has indicated this certificate as of that date, the certificate will be discontinued as of the audit deadline date. If the deadline is after December 31 2022 the certificate will be discontinued as of January 1, 2023. It is not possible to extend the certificate by undergoing a current UTZ/Rainforest Alliance audit after July 1, 2021.*

Rule SC31. Should a CH have more than one commodity member ID in the current UTZ certification program, they may decide to only register one Rainforest Alliance 2020 account for the same (set of) sites or companies.

Guidance: *This means that if a CH has a cocoa account and a hazelnut account for current UTZ, they may join both into one certification scope under the new certification program. Please refer to the Rainforest Alliance 2020 Certification Rules for more information on certification scope.*

Rule SC32. Should a CH have both current UTZ and current Rainforest Alliance certification, they shall only register one Rainforest Alliance 2020 account for the same (set of) sites or companies.

Guidance: *This means that instead of two current accounts as they have now, the CH will have only one Rainforest Alliance 2020 account, covering all certified sites. However, one Rainforest Alliance 2020 account may be linked to two (or more) current accounts, for example when one company has both current UTZ and current Rainforest Alliance accounts.*

Rule SC33. It is also possible where necessary to split the sites of one current multi-site company into two or more Rainforest Alliance 2020 certificates/accounts. In this case for each of these accounts the CH should indicate both current UTZ Member ID and Rainforest Alliance Certificate Code.

Guidance: *The Rainforest Alliance 2020 Certification Rules stipulate regions in the world within which sites of the same multi-site CH may be located. Companies that have sites in more than one region shall register as many CHs as regions they operate in.*

Rule SC34. A CH shall not indicate member IDs or certificate codes to be linked to its Rainforest Alliance 2020 Standard account that are not managed directly by it (i.e. whose certificates are not issued in its name and for which it is not legally responsible).

Guidance: *For example, A CH shall not indicate the member IDs or certificate codes of accounts registered to trading partners or independently certified sub-contractors.*

Rule SC35. During Registration for the Rainforest Alliance 2020 Certification Platform, Supply Chain CHs shall undergo a Supply Chain Risk Assessment (SCRA) for each of their sites to determine whether the CH requires a Transition Period Audit or an endorsement process in order to obtain a Transition Certificate.



Guidance: During the Transition Period, risk level A corresponds to an endorsement, all other levels (B through E) require a desk-audit. During the full-scale implementation of the program, after January 1, 2022, the levels B through E will correspond to different types of verification (on-site audit, no surveillance audit, etc.), as per the Rainforest Alliance 2020 Certification and Auditing Rules.

It is possible that some sites of a Certificate Holder are eligible for endorsement, while others require a Transition Period Audit. Please see further details in the section [Transition Certificate](#) and in the Rainforest Alliance Certification and Auditing Rules.

Rule SC36. The SCRA is performed per site. It may therefore happen that certain sites of a certificate holder are endorsed, while others require an audit. In such cases, the CH shall hire an authorized certification body and undergo a Transition Period Audit for those sites that are not endorsed.

TRANSITION PERIOD ENDORSEMENTS

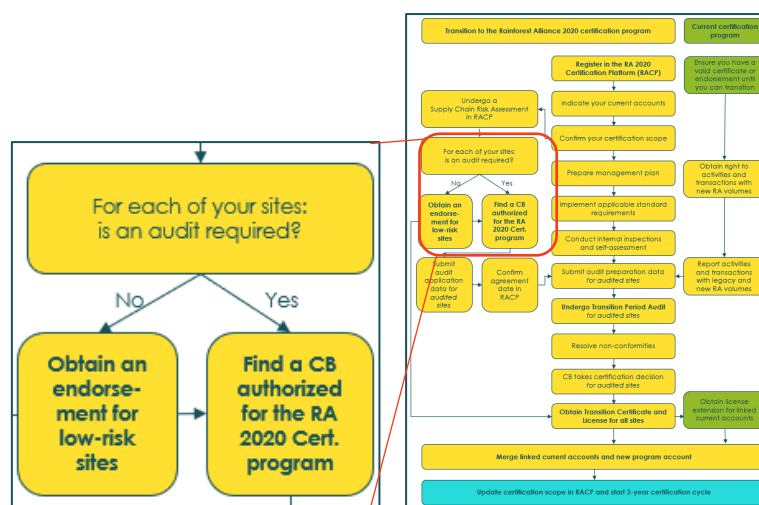


Figure 21: This is the part of the Certification Process (Figure 14) that this section corresponds to

Rule SC37. CHs may obtain a Transition Certificate through an endorsement under the following conditions:

- They do not have farming in their scope
- The SCRA Process during the Registration stage indicates a very low risk level for some or all of their sites

Guidance: Registration is a prerequisite for obtaining an endorsement, even if the CH is endorsed under the current certification program.

Rule SC38. If a CH has several sites and some of them are eligible for an endorsement and others require an audit, the CH shall request an endorsement from the Rainforest Alliance for those sites.

Guidance: For further information, please see the Rainforest Alliance 2020 Certification and Auditing Rules

Rule SC39. The Rainforest Alliance shall provide one endorsement certificate to the CH for all the sites of a CH with risk level A, with a validity pending CB's certification decision for the rest of the sites. Once the CB certificate becomes valid the endorsement certificate will have the same validity dates as the CB certificate.

Rule SC40. CHs that are eligible for a transition period endorsement of one or more of their sites will obtain one between October 1, 2021 and December 31, 2022, as long as they have registered and confirmed their scope.



Rule SC41. During the Endorsement process, the Rainforest Alliance shall verify all linked accounts of the Transitioning CH. If any inconsistencies are found, the following applies:

- a. If there are no indications of fraud, the CH shall
 - (1) Indicate all existing current UTZ and current Rainforest Alliance accounts to be linked to its Rainforest Alliance 2020 Certification Program Platform account before they may obtain a Transition Certificate and/or
 - (2) Remove the indication of any accounts that are not managed by the CH before they may obtain a Transition Certificate
- b. If there are indications of fraud, the Rainforest Alliance shall:
 - (3) Take a negative endorsement decision and
 - (4) suspend all valid current certificates within 2 days

Guidance: As per [Rule SC30](#), all accounts not indicated in the Rainforest Alliance certification platform during registration will be discontinued as of January 1, 2023. By not indicating its current UTZ and Rainforest Alliance accounts, the CH risks losing access to its legacy volumes.

CONTRACTING A CERTIFICATION BODY FOR TRANSITION PERIOD AUDITS

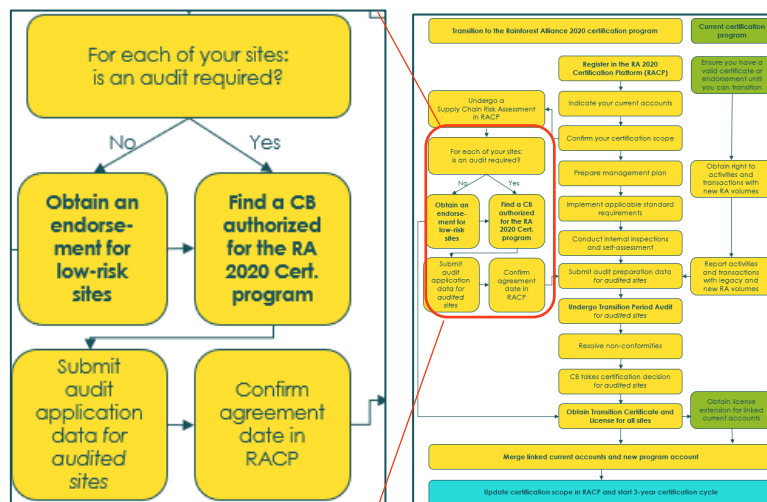


Figure 22: This is the part of the Certification Process (Figure 14) that this section corresponds to

Rule SC42. All Transitioning CHs (including licensed and retailers) that have at least one site with a risk level other than A, according to the SCRA results, shall hire an authorized Certification Body for a Transition Period Audit.

Rule SC43. Transitioning CHs shall complete the registration process up to and including Scope Confirmation before hiring a Certification Body for the Transition Period Audit.

Guidance: The Registration process allows CHs and their prospective Certification Bodies to see the full list of requirements and the verification levels for each of their sites. Some CHs may be exempt from audit altogether.

Rule SC44. Transition Period Audits shall only be recognized by the Rainforest Alliance if they are conducted by Certification Bodies authorized for the 2020 Certification Program and specifically for the country, scope, product, and other criteria that apply to the CH in question.

Guidance: The authorization scope of Certificate Bodies for the Rainforest Alliance 2020 Certification Program may differ significantly from scope for the current UTZ and Rainforest Alliance Certification Programs. The Rainforest Alliance will communicate the list of



authorized CBs and their authorization scope once the authorization process is complete, after May 2021.

Rule SC45. Transitioning CHs may only contract a Certification Body (CB) authorized for the Rainforest Alliance 2020 Certification Program once the list of authorized CBs is published by the Rainforest Alliance.

Guidance: It is expected that the authorization process finalizes before May 2021.

Technically, there is no end date for contracting an authorized CB. However, to be able to comply with [Rule SC27](#), SC CHs are advised to hire a CB no later than 4 months before their specific deadline.

For more information on certification timelines, please see the Rainforest Alliance 2020 Certification and Auditing Rules.

Rule SC46. If a CH is not able to or does not wish to contract the same Certification Body that issued its current UTZ or Rainforest Alliance certificate to perform the Transition Period Audit, the following applies:

- The current CB is responsible for all activities related with the current certification, including time extension requests.
- The Rainforest Alliance 2020 Certification Program CB is responsible for all activities related with the Transition Period Audit and Transition Certificate.

Rule SC47. Transitioning CHs shall sign an agreement with a Rainforest Alliance authorized CB and confirm that agreement in the Rainforest Alliance certification platform before a Transition Period Audit can be planned.

Guidance: The date of this agreement is the conformity date as per [Entry into force of Rainforest Alliance 2020 Standard Requirements](#).

TRANSITION PERIOD AUDITS

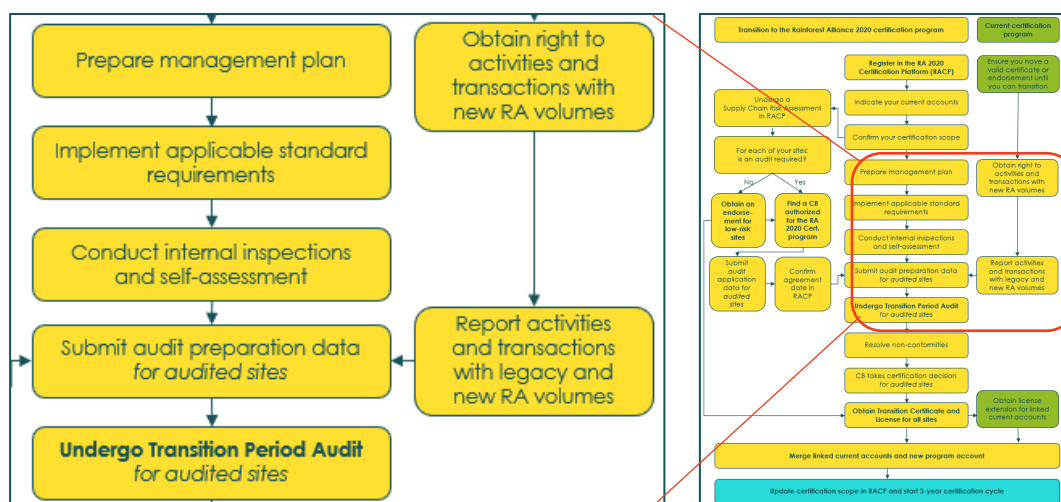


Figure 23: This is the part of the Certification Process (Figure 14) that this section corresponds to

Rule SC48. All CHs that do require an audit for at least one site according to the Rainforest Alliance Certification Platform shall undergo a Transition Period Audit in order to obtain a Transition Certificate.

Guidance: All CHs, including licensed CHs and Retailers, except those with the lowest level of risk for all their sites require a Transition Period Audit. If a CH has several sites and some of



them are eligible for an endorsement and others require an audit, the Rainforest Alliance will provide an Endorsement Certificate to the CH for the sites in level A, with a validity pending CB certification decision. Once the CB-issued certificate becomes valid, the endorsement certificate will have the same validity dates as the CB certificate.

Rule SC49. A Transition Period Audit is conducted as a Certification Audit as per the [Rainforest Alliance 2020 Certification and Auditing Rules](#), with exceptions/clarifications as per sections [2.4.1.1](#) and [2.4.1.2](#) below.

2.4.1.1. TIMELINES FOR THE TRANSITION PERIOD AUDITS

Rule SC50. All Transitioning CHs that require an audit according to the Rainforest Alliance Certification Platform shall undergo a Transition Period Audit on time before their specific deadline as per [Rule SC27](#) (their next audit deadline or December 31, 2022).

Guidance: CHs are encouraged to complete their Transition Period Audit at least **4 months** before their specific deadline to ensure enough time to obtain their certificate. For more information on certification timelines, please see the Rainforest Alliance 2020 Certification and Auditing Rules. For further guidance on the timeline of Transition Period certification, please see [Figure 15 above](#).

Rule SC51. Transition Period Audits shall not be conducted before July 1, 2021.

Rule SC52. Between July 1, 2021 and June 30, 2022, all audits shall be Transition Period audits, based on the Rainforest Alliance 2020 Standard and applicable binding documents.

Exceptions: as per [Rule SC11](#).

Rule SC53. For Transitioning Supply Chain CHs, the Transition Period Audits need not be conducted within 3 months of the first purchase of new Rainforest Alliance volumes. For CHs with gaps in certification, the Rainforest Alliance 2020 Certification Rules apply.

Guidance: For Transitioning CHs, new Rainforest Alliance volumes purchased more than 3 months before a Transition Period Audit will not be cancelled in the Rainforest Alliance Traceability Platform. CHs with gap in certification are those CHs whose latest certificate has expired before June 2020 or who did not complete the transition on time. See also section [Gaps in certification](#).

2.4.1.2. RULES FOR CONDUCTING TRANSITION PERIOD AUDITS

Rule SC54. The transition period audits shall be conducted as desk audits.

Rule SC55. In preparation for the Transition Period Audit, and in addition to the documents listed in the Rainforest Alliance 2020 Certification and Auditing Rules and Sustainable Agriculture Standard, the Certificate Holder shall upload in the RACP the following documents for the last current audit of each linked current account, indicated in the registration process, including:

- For each of the latest UTZ certificates/licenses (as applicable):
 - o Summary audit report
 - o Audit checklist
 - o Certificate or characteristics of the audit-exempt license (certification level, validity, extensions, etc.)
 - o Overview of the current UTZ traceability accounts, as they relate to the certification scope of the CH in the Rainforest Alliance 2020 Certification Program and any other accounts of said program that the CH has registered. This includes a history of any migration, moving or merging of accounts.
- For each of the latest Rainforest Alliance certificates (as applicable):
 - o Full audit report



- Certificate/endorsement characteristics (validity, scope, extensions, etc.)
- Overview of the current Rainforest Alliance traceability accounts, as they relate to the certification scope of the CH in the Rainforest Alliance 2020 Certification Program and any other accounts of said program that the CH has registered. This includes a history of any migration, moving or merging of accounts.

Rule SC56. The transition period audits shall cover, in addition to the Rainforest Alliance 2020 Certification and Auditing Rules:

- Any and all Traceability Platform accounts belonging to the CH
- The volumes and transactions therein
- The claims and labels associated with them

This applies to accounts for the current UTZ and the current Rainforest Alliance certification programs and for the Rainforest Alliance 2020 certification program.

Guidance: Please see also [Rule SC58](#) on how to audit transactions and section [Entry into force of Rainforest Alliance 2020 Standard Requirements](#) on which requirements apply to which transactions at what time.

For example, if since July 1, 2021 the transitioning CH has had transactions with new Rainforest Alliance (1) coffee and (2) ginger volumes, legacy UTZ (3) coffee volumes, and legacy Rainforest Alliance (4) coffee and (5) ginger volumes, the CB shall verify a representative sample of transactions for each of these 5 types of volumes as of July 1, 2021. The reports are extracted from the applicable Rainforest Alliance traceability platform(s) where the volumes are transacted (Marketplace 2, MultiTrace). In case of migration of traceability platforms, one account may have reported transactions during that period in more than one platform. In this case, each of the platforms shall be sampled.

Rule SC57. During the Transition Period Audit, and on the basis of the documents provided by the CH as per [Rule SC54](#), the CB shall verify all current Rainforest Alliance and UTZ certifications and accounts related to the CH. Should the CH have failed to indicate or have wrongly indicated a current account during registration:

- a. If there are no indications of fraud, the CH shall
 - Indicate all existing current Rainforest Alliance and UTZ accounts to its Rainforest Alliance certification platform account before they may obtain a Transition Certificate and/or
 - De-link any accounts that are not managed by the CH before they may obtain a Transition Certificate
- b. If there are indications of fraud, the CB shall
 - Take a negative certification decision and
 - Suspend all valid current certificates within 2 days of the certification decision or
 - If these are issued by another CB, notify the Rainforest Alliance Certification Team. Rainforest Alliance shall suspend the valid current certificates within 2 days of the notification.

Guidance: As per [Rule SC30](#), all accounts not indicated in a Rainforest Alliance certification platform account will be discontinued latest January 1, 2023. By not indicating its current accounts, the CH risks losing access to its legacy volumes.

Rule SC58. During a transition period audit, the auditor shall verify a representative sample of transactions for each legacy account and each applicable platform where the transactions of legacy volumes are reported.



Guidance: For example, if the Transitioning CH has 3 current accounts, all indicated in the Rainforest Alliance 2020 certification platform at registration, the CB shall verify a representative sample of transactions for each of these 3 accounts. The reports are extracted from the applicable Rainforest Alliance traceability platform(s) where the current accounts have reported transactions since the last audit (e.g. the Good Inside Portal, Marketplace 2, MultiTrace). In case of migration of traceability platforms, one account may have reported transactions during that period in more than one platform. In this case, each of the platforms shall be sampled.

Rule SC59. The CH shall prove it still owns any current UTZ or current Rainforest Alliance volumes that the CH has in its account(s), and if not, shall remove/trace them out of the platform.

TRANSITION CERTIFICATE

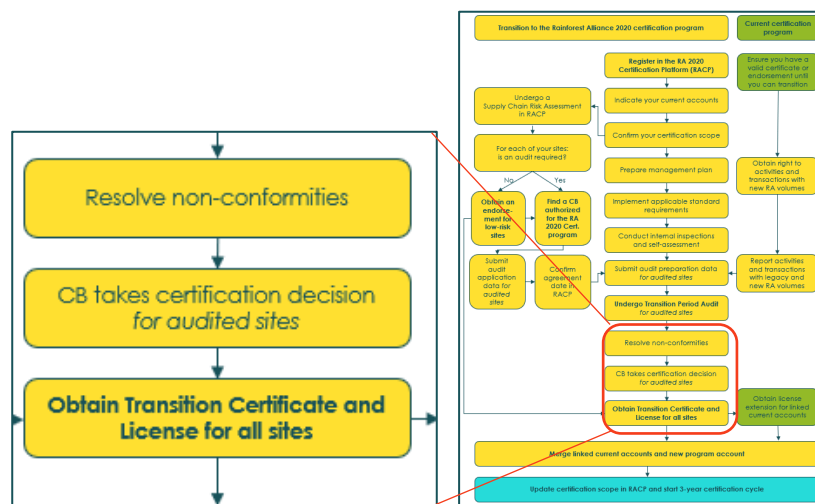


Figure 24: This is the part of the Certification Process (Figure 14) that this section corresponds to

The process of resolving non-conformities, certification decision, etc. leading to the Transition Certificate are the same as stipulated in the Rainforest Alliance 2020 Certification and Auditing Rules, with the exception of the audit scope as per section [Transition Period Audits](#)

Rule SC60. Transition Period Audits above and the rules in this section below.

Rule SC61. Transition Period Audits and Endorsement processes result, if successful, in a one-year Transition Certificate under the Rainforest Alliance 2020 Certification Program.

Rule SC62. The start date of the transition certificate shall be as follows:

- For SC CHs that have at least one audited site, the start date is the first date of the transition period audit
- For SC CHs that have no audited sites, the start date is the date of issuance of the endorsement.

A Transition Certificate may not have a start date before July 1, 2021.

Rule SC63. A Certificate Holder may obtain one or two Transition Certificates for the same certification scope:

- A CH with farming in scope will obtain only one CB-issued Transition Certificate after a successful Transition Period Audit.
- A CH for which all the sites are required to undergo an audit will obtain only one CB-issued Transition Certificate after a successful Transition Period Audit.



- A CH for which all the sites are eligible for endorsement will obtain only one endorsement Transition Certificate issued by the Rainforest Alliance.
- A multi-site CH without farming in scope that has one or more sites eligible for endorsement and one or more sites requiring an audit will obtain two certificates: an endorsement Transition Certificate issued by the Rainforest Alliance covering the endorsed sites and a Transition Certificate issued by the Certification Body covering the audited sites. Both certificates will have the same validity dates.

Guidance: Only one license is granted per Certificate Holder, meaning that the CH management can report in the traceability platform for all the sites, whether endorsed or audited. For more information, please see the Rainforest Alliance 2020 Certification and Auditing Rules.

Certification scope	Audit scope	Certificate(s)
CH with farming in scope	All sites are audited	1 CB-issued Transition Certificate covering all sites
No farming, all sites require audit	All sites are audited	1 CB-issued Transition Certificate covering all sites
No farming, all sites are endorsed	No sites are audited	1 Endorsement Transition Certificate issued by the Rainforest Alliance covering all sites
No farming, some sites require audit, others endorsed	All sites but those with risk level A are audited	1 CB-issued Transition Certificate covering audited sites AND 1 Endorsement Transition Certificate issued by the Rainforest Alliance covering the risk level A sites

Rule SC64. A Transition Certificate may not be granted until and unless the Transitioning CH has closed all open non-conformities encountered during the Transition Period Audit and/or Endorsement Process and pertaining to any of the 3 certification programs.

Guidance: For example, should the CB during the Transition Period Audit encounter a non-conformity with the traceability of legacy UTZ volumes, the CH must close this non-conformity, along with all other NCs before a Transition Certificate may be granted.

Rule SC65. The Transition Certificate(s) of a CH result(s) in one Transition License to use the Rainforest Alliance Traceability Platforms and transact new Rainforest Alliance volumes for the CH's full scope, including all sites, and with the same duration as the transition certificate.

Rule SC66. The Transition Certificate(s) of a CH result in the extension of the validity of the licenses of the current UTZ and/or Rainforest Alliance accounts, that are:

- For certified crops in the scope of the Transition Certificate
- Indicated by the CH during registration,
- Verified by the Certification Body and/or the Rainforest Alliance.

Guidance: The license to access those accounts and volumes will remain valid as long as the CH obtains and maintains certification under the Rainforest Alliance 2020 Certification Program, see [Validity of Current certificates, licenses, endorsements.](#)



Rule SC67. Only after obtaining a Transition Certificate, the CH may move the volumes it has on its current UTZ/RA accounts as per [Rule SC66](#) to its Rainforest Alliance 2020 account.

Rule SC68. The one-year Transition Certificate shall be renewed by obtaining a 3-year certificate as per the Rainforest Alliance 2020 Certification and Auditing Rules.

FIRST CERTIFICATION AUDIT



Figure 25: This is the part of the Certification Process (Figure 14) that this section corresponds to

Rule SC69. The First Certification Audit is an audit conducted under the full scope of the Rainforest Alliance 2020 Certification Program and leads to the first 3-year Certificate.

Rule SC70. Transitioning CHs shall only undergo a First Certification Audit after they have obtained a Transition Certificate.

Rule SC71. The First Certification Audit shall be conducted following the Rainforest Alliance 2020 Certification and Auditing Rules

Exceptions:

- It may only be conducted after July 1, 2022
- The auditor shall verify a representative sample of transactions for each type of legacy volumes that the CH transacts with

Rule SC72. The CH shall update its profile in the Rainforest Alliance certification platform at a maximum of 6 months before the First Certification Audit, following the Rainforest Alliance 2020 Certification and Auditing Rules.

Guidance: Should the audit be scheduled for more than 6 months after the CH has last confirmed their certification scope, the CH shall re-confirm their scope to ensure the data available for the audit is up to date.

Rule SC73. The CB that the CH contracts for the First Certification Audit may be different than the one hired for the Transition Period Audit.



2.5. TRACEABILITY TRANSITION RULES

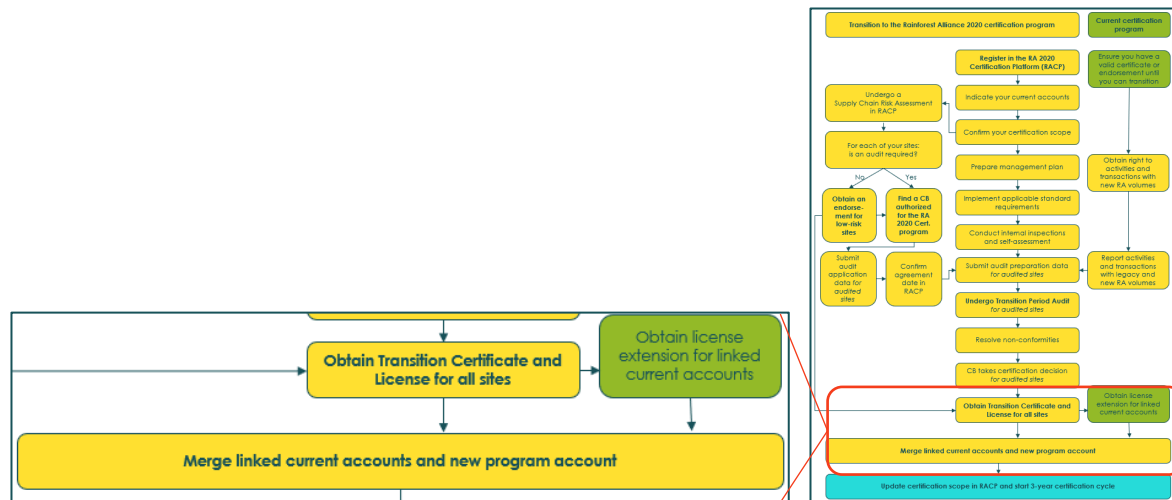


Figure 26: This is the part of the Certification Process (Figure 14) that this section corresponds to

VALIDITY OF CURRENT CERTIFICATES, LICENSES, ENDORSEMENTS

Rule SC74. Certificates, licenses, and endorsements issued under the current UTZ or Rainforest Alliance Certification Programs shall not be automatically transformed into certificates under the Rainforest Alliance 2020 Certification Program. In order to retain their rights in all three Certification Programs, certificate holders (CHs) shall obtain a valid Transition Certificate and License as per the rules in the section [Certification Transition Rules](#).

Rule SC75. All current certificates, licenses, and endorsements expire on whichever comes **first** of the following dates:

- Their expiry date, including any time extensions
- The deadline for an annual audit, including any time extensions
- the start date of the Transition Certificate
- December 31, 2022

Guidance: This rule applies to all current certificates, including 1 and 2-year UTZ certificates and 3-year Rainforest Alliance certificates.

Example 1: If a current certificate expires on May 1, 2022, and the CH has not obtained a Transition Certificate until that date, the current certificate will still expire on May 1, 2022.

Example 2: If a current UTZ certificate's end date is on April 1, 2023, and the CH does not obtain a Transition Certificate, the current UTZ certificate will expire on December 31, 2022.

Example 3: If the CH obtains a Transition Certificate starting March 15, 2022, all its current certificates will expire on March 15, 2022.

For more information, see section [Gaps in certification](#).

Rule SC76. If a CH's Transition Certificate or License is suspended, cancelled, expires or becomes in any other way invalid, (except if the certificate is substituted by a full-scale certificate) the CH may no longer claim, process, or transact with the legacy volumes it has on its Rainforest Alliance Traceability Platforms accounts.

Rule SC77. To maintain access to legacy volumes contained on linked current accounts, the CH has until the end of the validity of the Transition Certificate to move/merge these legacy volumes onto the Rainforest Alliance 2020 account these current accounts were indicated on. (see also [Rule SC66](#) and [Rule SC67](#))



Rule SC78. Should more than one CH indicate the same current account, the current account's license shall be extended/granted based on the Transition Certificate of the first of these CHs to obtain one.

Rule SC79. Once extended or renewed, a current license expires when any of these occur:

- The expiry of the Transition Certificate
- The expiry of all legacy volumes for the crops in the scope of the current license

Rule SC80. If a CH is unable to obtain a Transition Certificate on time, their volumes will the CH shall not have access to them and shall not use them for claims and labels.

Guidance: for more information, see section [Gaps in certification](#).

VALIDITY OF LEGACY VOLUMES

Rule SC81. Once a current certificate, license or endorsement expires, is suspended, or cancelled, the volumes associated with that certificate, license or endorsement are no longer eligible for claims and labels. Sell-off periods apply as per the Rainforest Alliance 2020 Standard's traceability requirements. (See also section [Validity of Current certificates, licenses, endorsements](#)).

ACTIVITIES AND TRANSACTIONS

Rule SC82. Physical mixing of legacy UTZ, legacy Rainforest Alliance and new Rainforest Alliance volume is allowed. If certificate holders wish to mix volumes from different schemes to manage expiry dates, reporting in the traceability system shall be set up to reflect this, matching the physical reality.

Guidance: *if a supply chain CH holds 10,000t of legacy UTZ coffee, 5,000t of legacy Rainforest Alliance coffee, and 2,000t of new Rainforest Alliance coffee in their accounts, and wish to mix these volumes physically for shipment They shall set up their account to reflect a ratio of 10:5:2 for each transaction in the traceability system so that transactions involving physically mixed volumes reflect the physical reality of product movements in the traceability system.*

Rule SC83. CHs shall not convert legacy UTZ, legacy Rainforest Alliance and new Rainforest Alliance volumes into each other. A legacy UTZ volume is traceable to an UTZ certified farm and may at no point be converted into or substituted for a legacy Rainforest Alliance or new Rainforest Alliance volume. The same applies to legacy Rainforest Alliance and new Rainforest Alliance volumes.

Rule SC84. The new Rainforest Alliance Seal may be used on packages with legacy UTZ, legacy Rainforest Alliance and/or new Rainforest Alliance volumes, as long as the traceability reporting is kept up to date for each of these volumes as per the respective traceability rules.



2.5.1.1. ACTIVITIES AND TRANSACTIONS WITH LEGACY VOLUMES

Rule SC85. Until December 31, 2022, CHs may perform activities and transactions with legacy volumes if they:

- Possess a valid current UTZ certificate or license, or
- Possess a valid current Rainforest Alliance certificate, license or endorsement, or
- Possess a valid Rainforest Alliance 2020 Transition Certificate or endorsement

Rule SC86. After January 1, 2023, CHs may continue to perform activities and transactions with legacy volumes certified under the current UTZ or Rainforest Alliance certification programs only if they:

- have obtained a Transition Certificate and
- have moved/merged the legacy volumes on their Rainforest Alliance 2020 account before the expiry of the validity of the Transition Certificate as per [Rule SC77](#).

Guidance: *Current accounts linked to CHs who have not obtained a Transition Certificate on time as per [Rule SC27](#) will be discontinued, and CHs will not be able to access the volumes they contain.*

Rule SC87. Activities and transactions with legacy volumes shall follow the traceability requirements for the respective current UTZ or Rainforest Alliance certification program until June 30, 2021. Afterwards, the Rainforest Alliance 2020 Sustainable Agriculture Standard Supply Chain Requirements apply, with the exception of the shared responsibility and premium requirements.

Guidance: *See also the Section [Entry into force of Rainforest Alliance 2020 Standard Requirements](#). Both the CH and the CB shall assess/verify conformity with the applicable current UTZ or Rainforest Alliance certification program requirements for those transactions and activities related to legacy volumes that took place between the last audit against the current UTZ or Rainforest Alliance standard and the transition period audit date.*

2.5.1.2. ACTIVITIES AND TRANSACTIONS WITH NEW RAINFOREST ALLIANCE VOLUMES

Rule SC88. Transitioning CHs may report activities and transactions with new Rainforest Alliance volumes in the Rainforest Alliance Traceability Platform even before they have obtained a Transition Certificate and during the validity of their current UTZ/Rainforest Alliance certificate/license/endorsement.

Rule SC89. Both legacy volumes and new Rainforest Alliance volumes in the stock of a transitioning CHs may remain on their account and will not be cancelled even if the Transition Period Audit is more than 3 months after the purchase date.

Guidance: *The Rainforest Alliance 2020 Certification and Auditing Rules stipulate a time period of maximum 3 months after the first purchase to conduct the certification audit. This rule is waived during the transition period to streamline the process for transitioning Certificate Holders.*



2.6. GAPS IN CERTIFICATION

Rule SC90. Gaps in certification due to force majeure circumstances shall be treated on a case-by-case basis or through a sector/region/global policy, and the Rainforest Alliance will decide whether to apply the rules in this section and/or which ones.

GAPS IN CURRENT UTZ/RAINFOREST ALLIANCE CERTIFICATION

If a Certificate Holder (CH) certified under the current Rainforest Alliance or UTZ certification programs is unable to, or fails to, renew its current Rainforest Alliance or UTZ certification after June 30, 2020 but still wishes to obtain a Transition Certificate or certification against the full-scope Rainforest Alliance 2020 Certification Program, it falls under the "Certificate Holders with Gap in Certification" track. The following rules apply:

Rule SC91. The CH may not perform or report activities and transactions with volumes on its account after the expiry of their license or their annual audit deadline. Sell-off periods apply as per the Rainforest Alliance 2020 Certification Rules.

GAPS BETWEEN THE CURRENT UTZ/RAINFOREST ALLIANCE CERTIFICATION AND THE RAINFOREST ALLIANCE 2020 CERTIFICATION

If a CH certified under the current Rainforest Alliance or UTZ certification programs is unable to, or fails to, obtain a Transition Certificate on time as per [Rule SC27](#), (endorsement and/or a CB-issued certificate, as applicable), the following rules apply:

Rule SC92. The CH may not perform or report activities and transactions with current or new standard volumes on its account after the certification deadline as per [Rule SC27](#), even if those transactions physically took place during the validity of its certificate/ endorsement/ license.

Guidance: *For supply chain CHs, the Rainforest Alliance 2020 Certification and Auditing Rules on volumes purchased before the audit apply.*

Rule SC93. As of July 1, 2021, the CH shall follow the Rainforest Alliance 2020 Certification and Auditing Rules if it wishes to pursue certification against the Rainforest Alliance 2020 Certification Program.

Guidance: *The simplified Transition Rules will no longer apply to this CH and they shall comply with the full-scope Rainforest Alliance 2020 Certification Program.*

Rule SC94. The CH shall update its registration profile in the Rainforest Alliance Certification Platform before proceeding with planning a Certification Audit against the full scope of the Rainforest Alliance 2020 Certification Program.

Rule SC95. The CH shall indicate any accounts it used to have in the current UTZ or the current Rainforest Alliance certification programs upon updating their registration profile.



ANNEX TR 2. EXAMPLES OF APPLICATION OF THE TRANSITION RULES FOR SC CHS

EXAMPLE 1. SUCCESSFUL TRANSITION:

A Certificate Holder, AlliChoc, is an export-import company with offices in Ghana and Belgium. It purchases certified volumes directly from farming CHs, processes the chocolate and sells it to chocolatiers around Europe. It has 3 current UTZ certificates, 2 for cocoa, valid until March 1, 2021 and one for hazelnut, valid until August 1, 2021. AlliChoc undergoes a last current audit under the UTZ certification program in February 2021 to renew its two cocoa certificates until March 1, 2022. It doesn't need to undergo any more UTZ audits for its hazelnut certificate, as that was already renewed in September 2020 ([Last Verifications against the Current UTZ and Rainforest Alliance Standards](#)).

AlliChoc obtains an automatic 6-month extension of its certificates, so the new expiry dates are February 2022 for Hazelnut and September 2022 for cocoa. Alli Cocoa wishes to combine all its Belgium operations under the same certification scope and audit. The cocoa certificate for Ghana may not be placed in the same certification scope, as it is in a different certification region, according to the Rainforest Alliance 2020 Certification Rules. For this reason, AlliChoc creates 2 certification accounts in the RACP – one for Belgium and one for Ghana. In the process indicates the respective current accounts. ([Registration to participate in the Rainforest Alliance 2020 Certification Program](#)).

AlliChoc thus has to obtain its Transition Certificate for Belgium by the first of these expiry dates – February 2022. The Ghana certificate may be extended until September 2022.

It is not a problem that its certificate for the Ghana operation is still an UTZ one during the 2021 cocoa harvest – AlliChoc is allowed to trade new Rainforest Alliance volumes on its current UTZ license ([Activities and Transactions](#)).

AlliChoc completes registration up to Scope Confirmation stage in August 2021, a good 6 months before its first UTZ certificate expires. It starts implementing the new standard and traceability requirements. The moment the new Rainforest Alliance volumes of cocoa start to flow through the supply chain, it is ready to comply with the new Traceability Requirements, both for the new Rainforest Alliance volumes, and for the legacy UTZ volumes it still has from the small harvest in April ([Entry into force of Rainforest Alliance 2020 Standard Requirements](#)).

After registration, in September 2021 AlliChoc is ready to contract a Certification Body to conduct its Transition Period Audits. Its UTZ Certification Body, AbsoluteCertification, is not authorized to conduct supply chain audits in the Rainforest Alliance 2020 Certification Program and can therefore not conduct the Transition Period Audit of AlliChoc. Therefore, AlliChoc hires another Certification Body, DigitalCertifiers, which is authorized for its scope. AlliChoc confirms the agreement in the Rainforest Alliance Certification Platform with a date of signature October 7th, 2021, still on time – 5 months before its certificate expires ([Contracting a Certification Body for Transition Period Audits](#)).

The audit is scheduled for November 25th. Between September and end of October, AlliChoc develops its management plan, implements the applicable requirements of the Rainforest Alliance 2020 Standard (as presented by the RACP), and conducts a self-assessment. AlliChoc submits all the data for audit preparation in the Rainforest Alliance Certification Platform for DigitalCertifiers to calculate the exact audit duration, select the sample of facilities and workers to be audited, etc. After DigitalCertifiers audits AlliChoc remotely, through a so-called Desk Audit. All the data is exchanged electronically, the interviews are made over the phone or videoconferences. AlliChoc has 4 non-conformities, which it closes



within the 12-week timelines set in the Rainforest Alliance 2020 Certification and Auditing Rules, on February 21, 2022 ([Transition Period Audits](#)).

On February 28, 2022, Digital Certifiers issues a certification decision and sends a license request to the Rainforest Alliance. After the request is approved on March 10th, DigitalCertifiers grant AlliChoc a Transition Certificate, as of November 25th, the first date of the audit. The certificate is valid for one year. ([Transition Certificate](#)) The Rainforest Alliance grants AlliChoc a license to use the Rainforest Alliance Traceability Platform. The Rainforest Alliance assigns certified new Rainforest Alliance volumes to AlliChoc in its Rainforest Alliance Traceability Platform account.

After obtaining a certificate and license, AlliChoc also gains one more year of access to its current Rainforest Alliance account and within it the legacy UTZ cocoa and hazelnut volumes that it has on its current UTZ account for the Belgium operations, until November 25, 2022. Because AlliChoc indicated these accounts during registration, and Digital Certifiers validated the transactions, volumes, and traceability procedures during the Transition Period Audit, AlliChoc may now transfer all these volumes onto its new account in the new Rainforest Alliance 2020 Traceability Platform. ([Activities and transactions with legacy volumes](#)).

AlliChoc can now also prepare for the Transition Period Audit in Ghana, and afterwards for its full-scale, 3-year certificate.

EXAMPLE 2: UNSUCCESSFUL TRANSITION:

A CH has a Current Rainforest Alliance certificate valid until August 1, 2022, with an annual audit due on August 1, 2021. The CH obtains an automatic 6-month extension to obtain a Transition Certificate until February 1, 2022.

This CH **does not indicate** their current account while registering in their Rainforest Alliance 2020 Certification Platform. The current certificate is not automatically transformed into a Transition Certificate. ([Rule SC74](#)) The current certificate is suspended, as of February 1, 2022. ([Rule SC91](#)). If the CH decides to pursue certification against the Rainforest Alliance 2020 Standard without indicating the current accounts, the CB or Rainforest Alliance may decide to suspend that current certificate and license earlier and not allow certification against the Rainforest Alliance 2020 Standard to the CH ([Rule SC41](#)).

EXAMPLE 3: NO TRANSITION:

A CH has a current 2-year UTZ certificate valid until September 1, 2022. This CH does not register in the Rainforest Alliance Certification Platform, and therefore cannot obtain a Transition Certificate. The CH may not trade or claim its UTZ volumes as of September 1, 2022 and the current certificate is cancelled and the account closed. If the CH decides to re-join the Rainforest Alliance, it may do so under the full scope of the Rainforest Alliance 2020 Certification Program, but it still must indicate its old UTZ certificate during registration.



ANNEX TR 3. TRANSITION RULES FOR CERTIFICATION BODIES

In addition to the Transition Rules and guidance above and the [Rainforest Alliance 2020 Certification and Auditing Rules](#) and the [Rainforest Alliance 2020 Rules for CBs](#), the following transition rules apply to CBs authorized for the current Rainforest Alliance and UTZ Certification Programs:

CB Rule 1. The following definitions apply to this annex (these are not mutually exclusive):

- a. Transitioning Certification Bodies (CBs) are those CBs that are authorized under the current UTZ and/or Rainforest Alliance Certification Program(s) and are (applying to be) authorized for the Rainforest Alliance 2020 Certification Program.
- b. Current CBs are those CBs that are authorized under the current UTZ and/or Rainforest Alliance Certification Program(s).
- c. Rainforest Alliance 2020 CBs are those CBs that are authorized under the Rainforest Alliance 2020 Certification Program.

AUTHORIZATION AND AGREEMENT WITH THE RAINFOREST ALLIANCE

CB Rule 2. To be able to conduct audits and issue Transition Certificates, a CB shall obtain authorization under the Rainforest Alliance 2020 Certification Program.

Guidance: A new authorization process for Certification Bodies applies to the Rainforest Alliance 2020 Certification Program. This means that not all current CBs will be authorized to become Rainforest Alliance 2020 CBs with the same scope as in the current UTZ or Rainforest Alliance Certification Programs. Please see the [Rainforest Alliance 2020 Rules for CBs](#) for more information.

CB Rule 3. Lack of authorization under the Rainforest Alliance 2020 Certification Program does not mean withdrawal of the authorization for the current UTZ or Rainforest Alliance Certification Programs.

Guidance: If a Certification body does not wish to or fails to obtain authorization under the Rainforest Alliance 2020 Certification Program, it is still bound by the framework agreement it has with the Rainforest Alliance for the current UTZ or Rainforest Alliance Certification Program(s).

CB Rule 4. All aspects of a current CB's current Rainforest Alliance and/or UTZ authorization (e.g. geographic scope, staff approval, badges, crops, etc.) remain valid for the current UTZ/Rainforest Alliance Certification Programs until:

- The end of validity of the last certificate the CB is responsible for, or
- The transfer is completed of the last certificate the CB is responsible for, to either Rainforest Alliance or to another CB, or
- The expiry or termination of the Current Rainforest Alliance Authorization Agreement and/or the Current UTZ Framework Agreement

The CB scope may be modified by Rainforest Alliance or the CB as per the Current UTZ/Rainforest Alliance certification program rules and authorization/framework agreements.

CB Rule 5. During the Transition Period, each Current CB shall continue to provide auditing and certification services under the Current UTZ/Rainforest Alliance Certification Programs to every CH holding a certificate issued by that CB and/or covered by a valid contract until:

- the expiry or cancellation of the certificate, or



- the CH obtains a Transition Certificate or a full-scale certification under the Rainforest Alliance 2020 Certification Program (whichever comes first), or
- the expiry or termination of the Current Rainforest Alliance Authorization Agreement and/or the Current UTZ Framework Agreement.

Guidance: *This is especially valid for certificate extensions, surprise audits, and all other contractual obligations that involve the current Rainforest Alliance and UTZ certification programs. For example, if an UTZ certificate was issued on March 1, 2021, the issuing CB is responsible for the certificate even after July 1, 2021, as per this rule, and may be asked to apply for an extension in e.g. February 2022.*

CB Rule 6. All Transitioning CBs shall prepare a plan for the implementation of their Rainforest Alliance 2020 Certification Program quality management system (taking into account the Transition Rules) before the Application Assessment and latest by September 30, 2020.

Guidance: *The Application Assessment will be based on the plan and whichever parts of the quality management system that have been implemented already.*

CB Rule 7. All Transitioning and Rainforest Alliance 2020 CBs shall implement their Rainforest Alliance 2020 Certification Program quality management system (taking into account the Transition Rules) as defined in the Application Agreement and Authorization Agreement.

Guidance: *Given the large differences between the current and the Rainforest Alliance 2020 Certification Programs, it will be necessary for most Transitioning CBs to maintain two/three parallel quality management systems for the different certification programs during the transition period.*

CB Rule 8. All current and transitioning CBs shall adapt their quality management system for the current certification program(s) to accommodate the Transition Rules latest by October 30, 2020.

Guidance: *Most transitioning CBs will have certificates issued against the current standards. Please note that the current certification rules will remain applicable to these certificates (e.g. on extensions, etc.) until the CH transitions to the Rainforest Alliance 2020 Standard or until December 31, 2022. We expect that most Transitioning CHs will transition (get audited and certified) before December 2022. It is therefore necessary for CBs to retain their quality management systems for the Current standards, adapted to the Transition Rules. An example of an adaptation is that certification/surveillance Current UTZ/Rainforest Alliance Standard audits shall not be planned or conducted after June 30, 2021.*

CURRENT UTZ/RAINFOREST ALLIANCE CERTIFICATES

CB Rule 9. Rainforest Alliance shall provide a list to each current CB of the valid current certificates issued by that CB that have been linked to a Rainforest Alliance 2020 account by October 1, 2021 and again by January 31, 2022.

CB Rule 10. Rainforest Alliance shall inform each current CB when a Transition Certificate linked to a current certificate emitted by that CB has been issued.

CB Rule 11. The current CB shall extend all current UTZ chain of custody certificates emitted by that CB by 6 months if they fall under [Rule SC22](#).

Guidance: *The Rainforest Alliance will communicate with the CBs when the licenses have been extended and when the certificate extensions shall take place.*

CB Rule 12. The current CB shall extend the audit deadline/certificate validity of all current Rainforest Alliance chain of custody certificates emitted by that CB by 6 months if they fall under [Rule SC17](#).



Guidance: *The Rainforest Alliance will communicate with the CBs when the licenses have been extended, the certificates have been modified in Salesforce, and when the certificate extensions shall take place.*

CB Rule 13. The CB shall cancel all current certificates issued by it and linked to a Rainforest Alliance 2020 Account, effective on the start date of the Transition Certificate of that account.

Guidance: *If a Current UTZ certificate expires on May 1, 2023 and is linked to a Rainforest Alliance 2020 account which obtains a Transition Certificate with a start date on April 1, 2022, the Current UTZ certificate shall be cancelled by the CB as soon as possible with effective date April 1, 2022.*

CB Rule 14. On January 1, 2023, the CB shall cancel all current certificates issued by the CB that fall under [Rule F86](#) and [Rule SC75](#) and have not been cancelled yet.

CB Rule 15. Latest by October 1, 2022, each current CB shall inform their farm certificate holders of any current certificates that have not been linked during registration and the certificates of which may therefore be cancelled upon their audit deadline.

CB Rule 16. Latest by April 1, 2022, each current CB shall inform their chain of custody certificate holders of any current accounts with chain of custody in scope that have not been linked during registration and the certificates of which may therefore be cancelled upon their audit deadline or as of January 1, 2023.

CB Rule 17. In the event of cancellation of certificates based on [Rule F86](#) or [Rule SC75](#), the CB shall inform the CH at least 3 months in advance of the impending cancellation of the Current certificates. On the day of the cancellation the CB shall send the CH a formal letter in which the cancellation is being communicated.

CB Rule 18. For each audit that happened after January 1, 2020, the CB shall ensure it has provided the following documents to the CH before April 1, 2021, or latest 1 month after the certificate/license/volume statement has been issued, whichever comes last:

- For each UTZ certificate:
 - o Summary audit report
 - o Audit checklist
 - o Certificate
 - o The final Group Member Registry on which the certificate is based (if applicable)
- For each of the latest Rainforest Alliance certificates:
 - o Full audit report
 - o Certificate with the following annexes:
 - Certified volumes (if applicable)
 - Group Member Registry (if applicable)

Guidance: *the purpose of this rule is to ensure that the CH can prepare for their Transition Period Audit by uploading these documents in the RACP during audit preparation, and that the CB to conduct the Transition Period Audit has the information necessary to prepare thoroughly for the audit.*

CONTRACTS¹² WITH CHS FOR CERTIFICATION SERVICES

CB Rule 19. Contracts signed with CHs for Current Rainforest Alliance and/or UTZ certification shall be adapted, if applicable, to the Transition Rules latest by October 30, 2020. CBs shall not charge for:

¹² Contracts here mean the contractual agreement for certification services between a CB and a CH, also called "certification agreements" in the 2020 Rainforest Alliance Certification Program.



- a. Services, e.g. audits, not delivered due to change in the Rainforest Alliance Certification Program and Certification and Auditing Rules or
- b. Services, e.g. audits, already contracted but not relevant anymore due to change in the Rainforest Alliance Certification Program and Certification and Auditing Rules (unless the CH asks for these services explicitly)

CB Rule 20. CBs shall sign a new contract for a Transition Period Audit/Certificate with a CH only if:

- a. The CH and the CB have confirmed the certification agreement in the Rainforest Alliance Certification Platform, and
- b. The CB has been authorized for the Rainforest Alliance 2020 Certification Program
- c. The CB authorization scope covers the CH's certification scope (e.g. country, farming, etc.)
- d. The CB has staff approved to conduct the Transition Period Audit and take a certification decision.

CB Rule 21. Every contract signed for the Rainforest Alliance 2020 Certification Program, including the Transition Period, shall be confirmed in the Rainforest Alliance certification platform.

CB Rule 22. Once the certification agreement has been confirmed, the CB will gain access in the Rainforest Alliance 2020 certification platform to any more detailed information that the CH has provided, required for the audit preparation process.

CB Rule 23. The Transition Certificate shall not be issued until the license review process by the Rainforest Alliance is complete and the Rainforest Alliance has granted a Transition License in the Rainforest Alliance Certification/Traceability Platform.

CB Rule 24. The number of surprise/unannounced/short-notice audits to be performed by CBs under the Current UTZ/Rainforest Alliance Certification Programs is modified during the Transition Period as follows:

- a. The CBs authorized to perform current UTZ audits shall perform 50% or more of the number of required surprise audits in 2020 based on the number of certificates they have issued in 2019.
- b. The CBs authorized to perform current UTZ audits shall perform 30% or more of the number of required surprise audits in 2021 based on the number of certificates they have issued in 2020.
- c. The CBs authorized to perform current Rainforest Alliance audits shall perform 50% of the number of required unannounced/short-notice audits in 2020 according to the Certification Rules version 2.0
- d. The CBs authorized to perform current Rainforest Alliance audits shall perform 30% of the number of required unannounced/short-notice audits in 2021 according to the Certification Rules version 2.0

Guidance: *Rounding and minimum absolute number of audit rules still apply as per the Current certification programs.*

CB Rule 25. In addition to [CB Rule 24](#), for the Rainforest Alliance 2020 Standard, authorized CBs shall perform the number of surprise audits as required in the new Rainforest Alliance Certification Rules starting January 1, 2022.



APPLICABLE STANDARD REQUIREMENTS:

CB Rule 26. When certifying, extending licenses, and reporting under the current standards, the current certification programs apply, modified by the Transition Rules where relevant.

CB Rule 27. When certifying, extending licenses, and reporting under the Rainforest Alliance 2020 Certification Program, the Rainforest Alliance 2020 Standard requirements, Certification and Auditing Rules, Rules for CBs, and all other certification program documents and tools apply modified by the Transition Rules where relevant.

CB Rule 28. For Transitioning CHs, the CB shall consider for the Transition Period Audit plan the data obtained from the current certification of the CH and provided the CH on the Rainforest Alliance Certification Platform.

Guidance: *For example, the CB should consider past non-conformities and their resolution, significant differences in yield estimates, volumes, transactions and activities performed with current volumes since the last audit, transactions and activities performed with new standard volumes before the audit.*