

# POLICY FOR CERTIFICATION PROCESSES

## Operation Identification and social risk mitigation in Brazil

Version 1.1 April 2020 – N° 1/2020  
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**RAINFOREST  
ALLIANCE**



### **More information?**

For more information about the Rainforest Alliance, visit [www.rainforest-alliance.org](http://www.rainforest-alliance.org) or, for specific interpretation issues about this document contact [certification@ra.org](mailto:certification@ra.org).

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## POLICY N° 1/2020

<b>Issue date:</b>	<b>Binding date:</b>	<b>Expiring Date:</b>
January 17th 2020, revised April 6th 2020.	January 17th, 2020	Until further notice
<b>Developed by:</b>		<b>Approved by:</b>
Senior S&A Officer		S&A Latin America Manager
<b>Linked to (code and name of documents, if applicable):</b>		
a) UTZ Certification Protocol for Brazil v1.1. b) Rules for Planning and Conducting Audits of Rainforest Alliance v. April 2018.		
<b>Replaces:</b>		
-		
<b>Clause or criterion number and text:</b>		
Not applicable once it entails additional requirements.		
<b>Applicable to:</b>	<b>Audit types:</b>	
Certification Bodies	All audits for UTZ and Rainforest Alliance programs carried out as of the binding date, including the ones related to contracts and agreements set between CBs and (prospect) Certificate Holders prior to the biding date.	
<b>Regions:</b>		
Brazil		
<b>Crops:</b>	<b>Organization types:</b>	
All crops.	RA and UTZ Certificate Holders.	

### INTRODUCTION

The Rainforest Alliance is a growing network of people who are inspired and committed to working together to achieve our mission of conserving biodiversity and ensuring sustainable livelihoods. Since January 2018, the UTZ Certification program is also part of Rainforest Alliance, as part of such network.

Brazil is a country of continental dimensions and singular agricultural characteristics, nevertheless, also has legal bodies and entities with unique mechanisms of addressing social issues. The aim of such policy is to bring closer the UTZ and Rainforest Alliance certification processes to mechanisms of legal properties and employers' identification and the addressing of social issues such as labor rights violations and analogous conditions to slavery labor.

Above all, offer more data transparency and accuracy in relation to certified unities in Brazil, supporting the mitigation of social and environmental issues critical to certification processes.



## 1. Member application to Certification processes.

- 1.1. As set in section 2.1.3.2 of *UTZ Certification Protocol for Brazil v.1.1* and section 5.2 of the *Rules of Planning and Conducting Audits of Rainforest Alliance*, all applications of potential members to certification UTZ and RA and the applications of members already certified claiming recertification must be initiated through a certification application. Such an application must be mandatorily done through the Integrated Application form provided by Rainforest Alliance, where all information must be filled out.
- 1.2. The Application Form is the property of Rainforest Alliance and is intended to obtain information about certification processes contextualized to Brazilian reality, as such it is the CB's responsibility to guarantee the form is filled out and completed before initiating the quotation and contract development processes for a (prospect) certificate holder.
- 1.3. After the acceptance of the (prospect) certificate holder's application for certification or recertification, there must be a contract between the (prospect) certificate holder and the Certification Body, as set forth in the section 2.3.1.3 of *UTZ Certification Protocol for Brazil v.1.1* and the section 5.2.d of the *Rules of Planning and Conducting Audits of Rainforest Alliance*. The contracts for certification and recertification services for UTZ **and** RA programs must:
  - a) Inform the (prospect) certificate holder in a clause that the contract is subject to the rules and determinations of the bidding documents of the pertinent certification process (*UTZ Certification Protocol for Brazil*, in case of UTZ Certification; *Rules for Certification and Rules for Planning and Conducting Audits of Rainforest Alliance*, for RA Certification) in their most recent versions. This means that in case there are modifications in these documents, the contract and quotation also are altered to be in conformity with the latest version of these binding documents.
  - b) Include in the contract in one or more clauses all items determined in the section 2.3.1.3 of the *UTZ Certification Protocol for Brazil v.1.1*, **including** for Rainforest Alliance certification. Specifically inform the (prospect) certificate holder that human rights violations and his/her inclusion in such violation databases may lead to decertification.
  - c) Include in the contract the quotation related to it as an attachment. The quotation must mandatorily consider the items of section 2.3.1.3 of the *UTZ Certification Protocol for Brazil v.1.1*, **including** for Rainforest Alliance certification.
  - d) Inform in the contract that conducting the audit service does not guarantee the issuing of certification, and that the audit constitutes one part of the certification process and not its totality. The contract must also inform the (prospect) certificate holder that the whole certification process is reviewed by Rainforest Alliance, who has rights to deny certification if violations to the certification binding documents are identified.
- 1.4. All documents related to the quotation and the contract must be developed for each certification cycle, dated and signed by the (prospect) certificate holder and/or its legal responsible. Standardized contracts are accepted provided that they refer to a specific (prospect) certificate holder and certification scope.
  - a) Non-dated or non-signed documents will be considered invalid, as this is non-compliant with the Binding Documents of UTZ and RA certification processes.
  - b) The acceptance of the quotation by the (prospect) certificate holder is not understood by Rainforest Alliance as a contract.
- 1.5. As per ISO 17065, the CBs must establish actions to mitigate the risks to impartiality of its auditors. The contracts for the certification processes must:
  - a) Be solely between the CB and the (prospect) certificate member as parties;



- b) Have the payment for all audit services, including logistic costs of the auditor, conducted by the (prospect) certificate member directly to the CB, thus not being acceptable no payment, of any nature, done directly to auditors;
- c) Installments and payment division in pre and post audits are allowed, provided that nor the remuneration of the auditor, nor the reimbursement of his/her expenses, nor the certification decision are depending on these payments;
- d) The CB has the right to suspend a certificate of a certificate holder in case is holding a debt on the payment for the referred audit service.

## 2. Audit preparation in the context of social risks mitigation

- 2.1. The audit preparation and audit planning process for the Rainforest Alliance program must consider and contain, additionally to what is requested in the *Rules for Planning and Conducting Audits*:
  - a) Registrations and evidences that the CB has conducted a preliminary investigation of the situation of the (prospect) certification holder in relation to administrative and labor court prosecutions, to compose the risk analysis for the audit. Such evidence can be complemented by a statement from the CB indicating which consultations have been carried out and the result of such consultations.
  - b) Evidences of consultation of databases such as the Employer Registration that identifies employers that have submitted workers to conditions analogous to slavery (Dirty List); IBAMA Seizure List and other official databases which the CB understands as relevant to the certification process; The CB must attach a statement indicating which databases were consulted and the result of such consultations.
  - c) A statement by the legal representative of the (prospect) certificate holder in which he/she declares all ongoing court prosecutions (including labor) in which the (prospect) certificate holder is involved. Such information must be true, Proven fraud or omission of information will result in decertification.
- 2.2. The audit preparation and audit planning process for the UTZ program must consider and contain, additional to what is determined in the *UTZ Certification Protocol for Brazil v1.1*, the same items contained in the subitems of section 2.1 of this policy.
- 2.3. The statements issued by the CB regarding items 2.1.a and 2.1.b may be developed based on the internal Quality System of the certification body, if they present minimally the requested information in the referred items. The statement of item 2.1.c referred to the legal responsible of the unity is responsibility of such, whereby the CB must assess if the statement is sufficient for the purpose of this policy.

## 3. Official Identification of Certified Holders (1)

- 3.1. The identification of certified unities must be done considering the following data for individual and multi-site certification:
  - a) CPF Number of legal responsible and his/her name;
  - b) CNPJ number of the certified unity and its official registration name;
  - c) Environmental Rural Registration (CAR) of all sites which compose the certification process.
- 3.2. For Group certification, the same data must be inserted in the Group Member Registry (UTZ) or Group Member List (RA).
  - a) CPF Number of legal responsible and his/her name in the Member Identification column.
  - b) Environmental Rural Registration (CAR) in the Governmental ID column.
- 3.3. For **UTZ** certification processes, this information must also be mandatorily narrated in the audit checklist along with the narration of evidence for the Control Point I.A.1 for



individual certification scope, or G.A.1 for group certification scope. In these Control Points also mandatorily there must be a GPS coordinate of each certified unit, plus a central Internal Management System location in case of group certification.

- 3.4. For Rainforest Alliance certification processes, the items a and b must be mentioned in the Audit Report/Public Summary in the section 'Farm Details', where the legal name must contain the CNPJ and official name of the unity additionally to the name to be shown at the certificate; and the CPF contained along with the name of the legal representative. Item c must be included in the section 2.2 Scope for all sites that compose the certified unit **and** in the compliance evidence of criterion 1.1 along with the GPS coordinates of the unit.
- 3.5. Related to the registration name in the Certification Program platforms Salesforce (Rainforest Alliance) and MultiTrace (UTZ), the naming standard of Certificate Holders must be:
  - a) the name of the farm followed by the name of the producer or producer group. For example, the name of the certificate should be FARM NAME – Producer Name; and in an event the farm has more than one owner considering multi-site certification, it should be FARM NAME – Main Owner name & others.
  - b) In the case of groups, the name in the certificate can be the trade name by which the Producer Group identifies itself. In case an exporter or trader financially supports the certification of a producer group, its name can also be displayed in the certificate.
  - c) It is CB's responsibility to guarantee the certificate naming is in line to the determinations of this policy.

#### **4. Necessary documents for license/certification requests.**

- 4.1. The license request for UTZ certification program must be done in MultiTrace traceability system, and at *License Request* tab in the section *Additional Documents* it is mandatory to send the following documents:
  - a) Integrated Application Form, fully filled out;
  - b) Commercial proposal or quotation signed and dated by the member;
  - c) Dated and signed contract between CB and member, with the disposals of this policy and the *UTZ Certification Protocol for Brasil v1.1*;
  - d) Statements/evidences of the investigations determined in the items 2.1.a and 2.1.b of this policy;
  - e) The risk analysis for the audit, as formalized by the internal quality system of the Certification Body (it may be considered the tab 3 of the Integrated Application Form);
  - f) Audit plan (it may be considered the tab 4 of the Integrated Application Form);
  - g) Audit Length Calculation with filled out values determining the audit timing (it may be considered the tab 2 of the Integrated Application Form);
  - h) Registrations of opening and closing meeting;
  - i) For combined audits: Certification Body statement indicating which certification schemes were covered in the combined audit and how the calculation time methodology was considered, as set forth in the *UTZ Certification Protocol for Brasil v1.1*.
- 4.2. The license request for Rainforest Alliance certification program must be done in Salesforce traceability system, and at *Engagement Attachments* in the section *Attachments* it is mandatory to send the following documents:
  - a) Integrated Application Form, fully filled out;
  - b) Commercial proposal or quotation signed and dated by the member;
  - c) Dated and signed contract between CB and member, with the disposals of this policy;



- d) Statements/evidences of the investigations determined in the items 2.1.a and 2.1.b of this policy;
- e) The risk analysis for the audit, as formalized by the internal quality system of the Certification Body (it may be considered tab 3 of the Integrated Application Form);
- f) Audit plan (it may be considered tab 4 of the Integrated Application Form);
- g) Audit Length Calculation with filled out values determining the audit timing (it may be considered the tab 2 of the Integrated Application Form);
- h) Registrations of opening and closing meeting;
- i) Checklist used in the audit;
- j) Audit Report (Public and Confidential versions in pdf and excel format);
- k) Group Member List (if applicable, it may be used the tabs 1.a and 1.b of the Integrated Application Form).

4.3. All documents must be sent so that Rainforest Alliance be able to analyze the conformity of all certification processes carried out in Brazil. The absence of any of these documents will result in the denial of the certification request/grant.

4.4. In case any of the documents present non-conformities as to what is determined in the Bidding Documents of UTZ and/or Rainforest Alliance programs or the applicable policies and instructions, the certification processes may be considered invalid resulting in suspension, decertification or non-certification as set forth by the respective bidding documents of UTZ and RA certification programs.

## 5. Communication between the Certification Bodies and Rainforest Alliance.

- 5.1. The official communication channel between Certification Bodies and Rainforest Alliance is the mail [certification@ra.org](mailto:certification@ra.org), for both UTZ and Rainforest Alliance certification processes. This is the proper channel to clear doubts about certification processes, system operations and general clarifications needed.
- 5.2. The mails must mandatorily have as title in the following format: BRAZIL – Member ID (UTZ or RA) – Subject. All e-mail communications may be written in Portuguese or English, as preferred, since the S&A team in Brazil will be replying to these communications.

## FOLLOW UPS

- I. The CB's Scheme Manager for Rainforest Alliance is responsible to convey the contents of this policy to the relevant departments and people of his/her organization.
- II. The Certification Body must send to Rainforest Alliance all the documents template used for UTZ and/or RA certification activities, to be analyzed and approved.
  - a. In case it is accredited for UTZ certification, the CB must observe the UTZ Certification Protocol for Brazil v1.1. in section 2.3.1, at least sending what is determined in the item 4.1. of this policy.
  - b. In case it is accredited for RA certification, the CB must observe the Rules for Certification Rainforest Alliance and the sections 5, 6, 7 and of the Rules for Planning and Conducting Audits of Rainforest Alliance; at least sending what is determined in the item 4.2. of this policy.
- III. The Certification Body must make all necessary changes to the documents and send them for analysis by February 29<sup>th</sup> 2020.
- IV. The Rainforest Alliance will inform the CB about its approval decision no later than two weeks following receipt of the documents.



- V. In the case where Rainforest Alliance indicates need of changes in the sent documents, and in the case the CB has already established commercial contacts with (prospect) certificate holders, the CB is responsible to update the relevant documentation to these certification processes before submitting them for analysis.