

SUPPLY CHAIN RISK ASSESSMENT

Next Steps

Guidance Document on steps to take after receiving the verification level



**RAINFOREST
ALLIANCE**



CONTENT

Purpose of this document	3
FOR THE SITE(S) THAT RECEIVED VERIFICATION LEVEL A.....	4
Step 1: Completing the self-assessment.....	4
Step 2: Signing or uploading the License Agreement (2020 version) in RACP	6
Step 3: Request your endorsement.....	7
FOR THE SITE(S) THAT RECEIVED VERIFICATION LEVELS B-E:	8
Step 1: Complete and submit the self-assessment	8
Step 2: Complete the first tab 'Application Form' of the Certification Application Form (CAF).....	10
Step 3: Reach out to an Authorized Certification Body (CB)	11
Step 4: Sign or upload the License Agreement (2020 version) in RACP	11
Q&A	12
1 – Supply Chain risk Assessment (SCRA) results	12
2 - Self-assessment.....	13
3 - Rainforest Alliance Certification Platform (RACP)	14
4- Certification	15



PURPOSE OF THIS DOCUMENT

This document is provided to you once you received your Supply Chain Risk Assessment (SCRA) verification level, which has been calculated by the Rainforest Alliance based on the provided information in your account on the Rainforest Alliance Certification Platform (RACP).

There are 2 outcomes of verification level:

- Level A: This means your company **does not** need to undergo an audit to become certified against our [2020 Sustainable Agriculture Standard](#)
- Level B-E: This means your company **does** need to undergo an audit to become certified against our [2020 Sustainable Agriculture Standard](#)

Please follow the next steps according to the provided verification level.

For more information on the Supply Chain Risk Assessment, please find the FAQ (Frequently Asked Questions) section at the bottom of our [Supply Chain Company Guidance website](#).

For any further questions, please reach out to customersuccess@ra.org



FOR THE SITE(S) THAT RECEIVED VERIFICATION LEVEL A

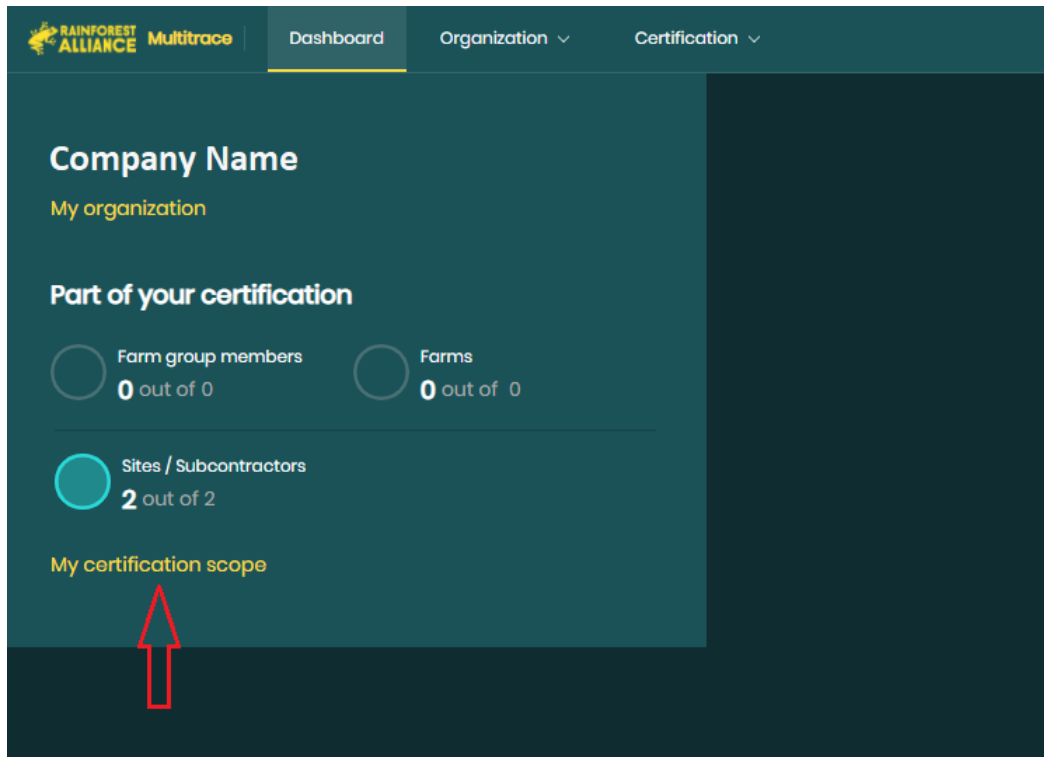
To proceed with your endorsement process, please make sure to complete the following steps:

- Complete and submit your self-assessment
- Sign or upload the License Agreement (2020 version) in RACP
- Request endorsement

These steps will now be explained in more detail below.

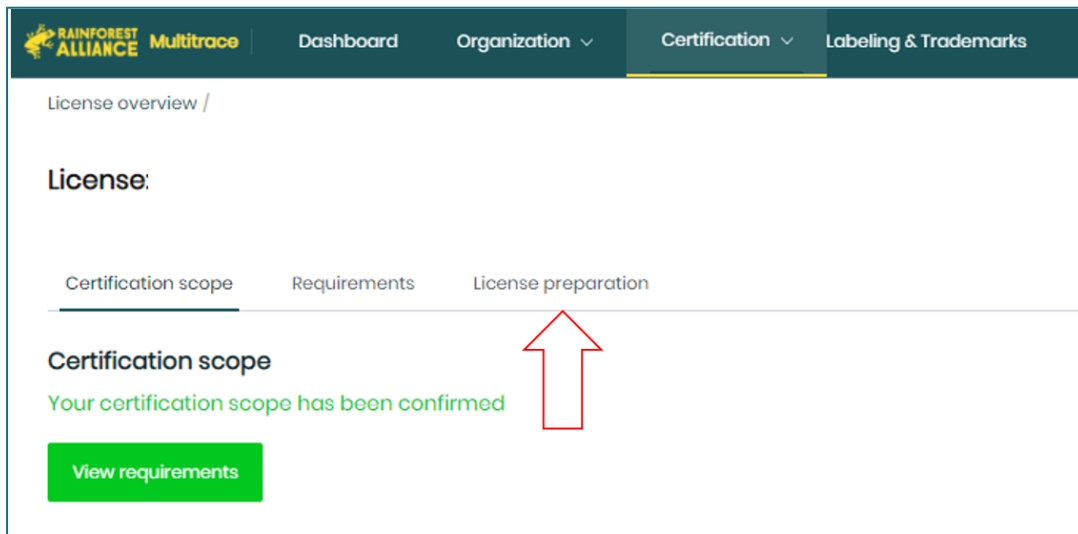
STEP 1: COMPLETING THE SELF-ASSESSMENT

Please complete the self-assessment by logging into the [Rainforest Alliance Certification Platform \(RACP\)](#) and click on 'My certification scope' on your dashboard

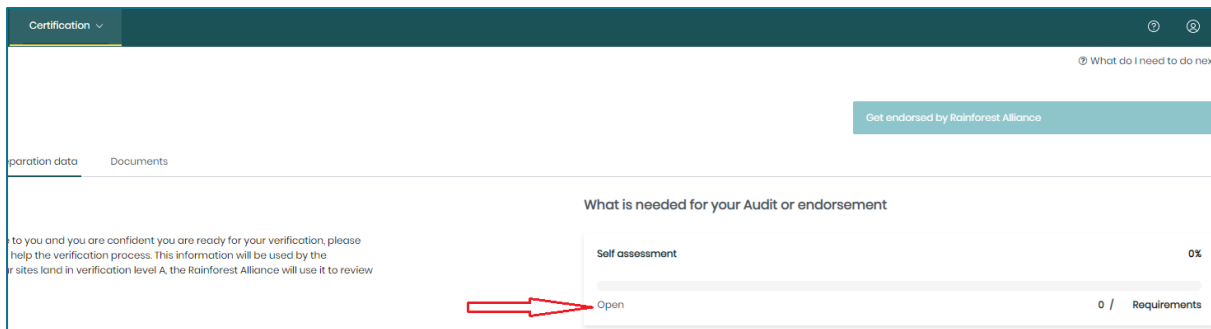




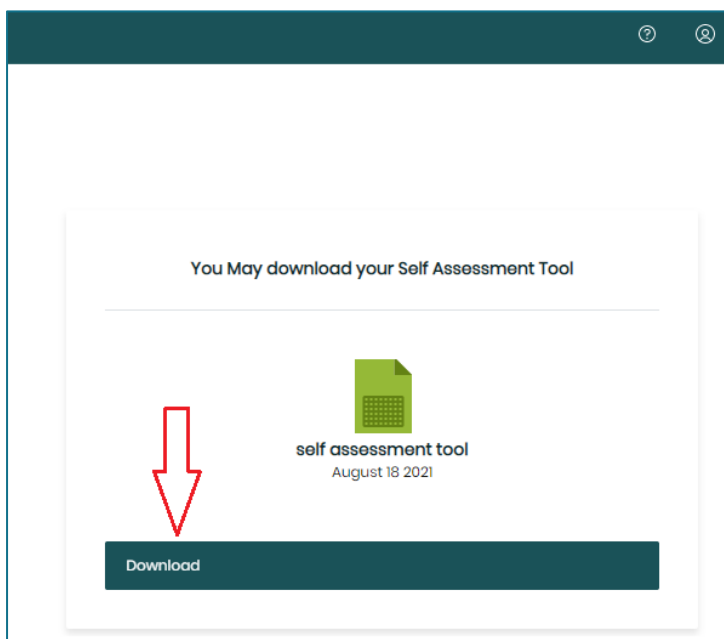
Then please click on the “License preparation” tab.



Under the section ‘self-assessment’, click on ‘Open’ to access the document.



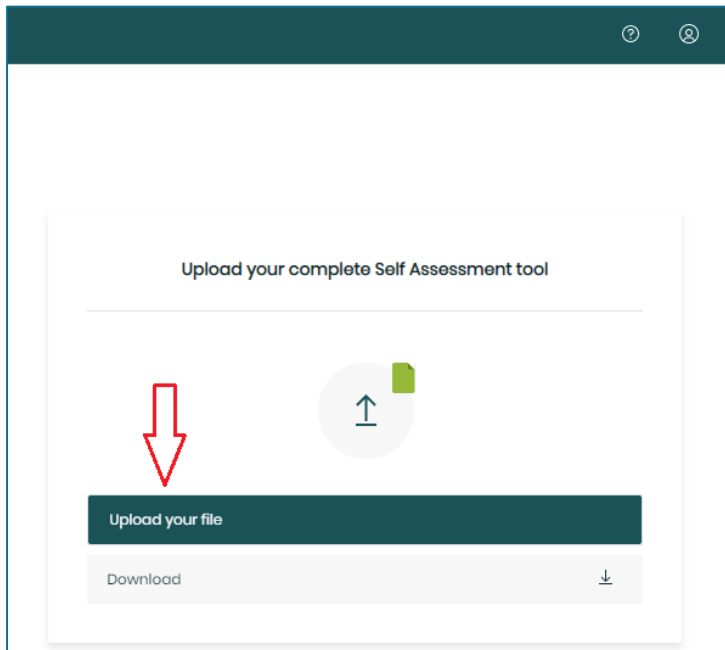
While on the left side you will find the instructions on how to go through the self-assessment, you can download the file on the right side. The downloaded self-assessment only contains the applicable requirements to your organization based on the information provided during the registration.





For further guidance on how to interpret the requirements, please read our [General Guide for the implementation of the Rainforest Alliance Sustainable Agriculture Standard](#).

Once you are confident you comply with the applicable requirements and have addressed or closed any non-conformities you identified, please upload the self-assessment in the Rainforest Alliance Certification Platform by clicking on 'Upload your file'.



STEP 2: SIGNING OR UPLOADING THE LICENSE AGREEMENT (2020 VERSION) IN RACP

Please make sure that you have a valid License Agreement (2020 version) in the Rainforest Alliance Certification platform. If your company already has a valid License Agreement (2020 version), please upload it to the Rainforest Alliance Certification Platform by selecting the option "I already have a License Agreement (2020 version)". If this is the case, you will find the valid License Agreement (2020 version) under the tab "Legal Agreements" in [Marketplace](#) on the left-hand side.

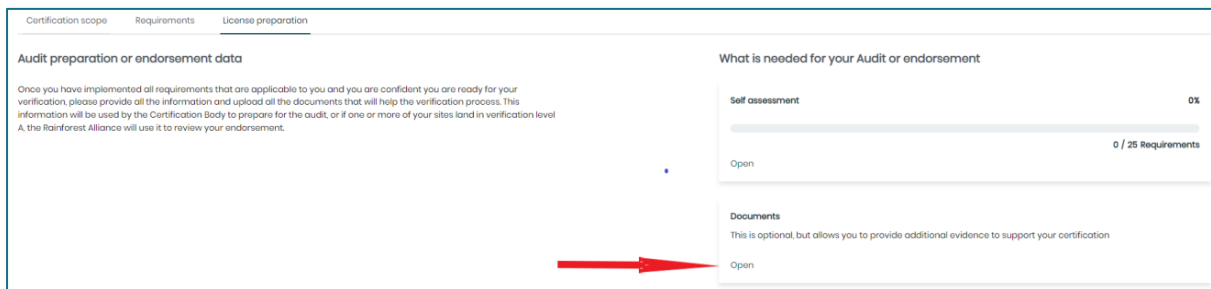
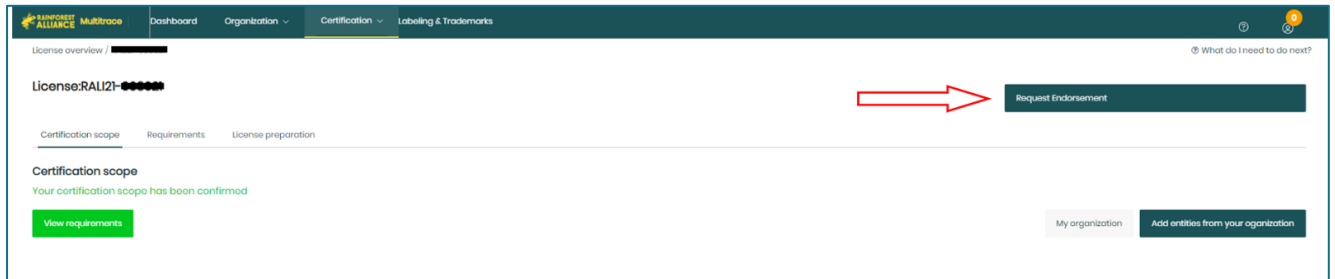
If you have not signed a License Agreement (2020 version) yet, please request and sign this in the Rainforest Alliance Certification platform. You can sign it with DocuSign in the system directly.

You can find the different steps about signing or uploading the License Agreement (2020 version) from page 18 of the [MultiTrace User Manual](#).



STEP 3: REQUEST YOUR ENDORSEMENT

Please click on the button 'Request endorsement' which you can find in the section of your certification scope. Although the button will be visible through the process, the button 'request Endorsement' is only active and clickable when you have a valid License Agreement (2020 version) and have uploaded your self-assessment in the Rainforest Alliance Certification Platform. The button "Request Endorsement" only applies for the sites that have received level A.



Once all required information has been reviewed, the Rainforest Alliance will either reach out to you for further clarifications or to issue your **Endorsement Certificate**. When your endorsement certificate has been issued, you will receive an email notifying you of this change. Your certificate will be visible under the section "**Documents**" in the "License preparation" tab.



FOR THE SITE(S) THAT RECEIVED VERIFICATION LEVELS B-E:

To proceed with your certification and auditing process, please make sure to complete the following steps:

- Complete and submit the self-assessment
- Complete the first tab "Application Form" of the [Certification Application Form](#) (CAF).
- Reach out to an [authorized certification body](#)
- Sign or upload the License Agreement (2020 version) in RACP

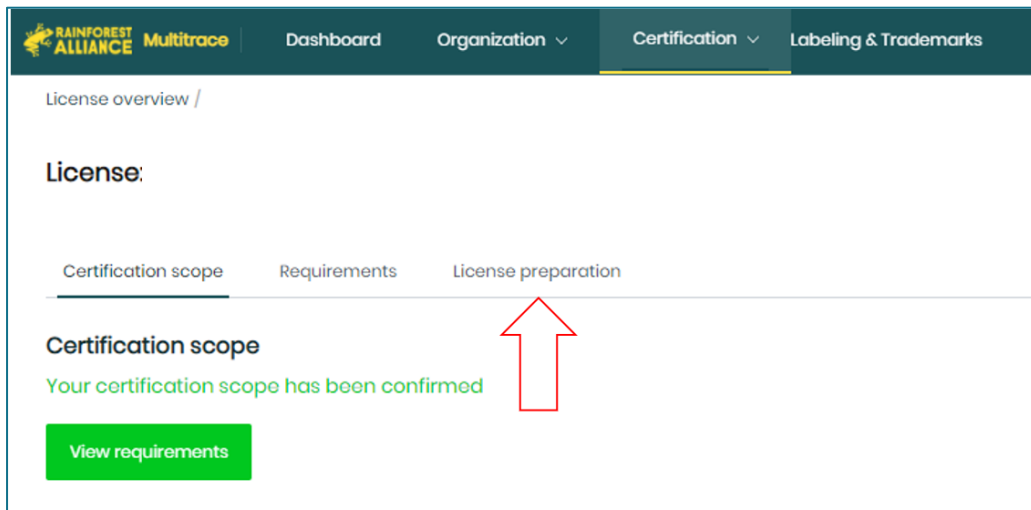
STEP 1: COMPLETE AND SUBMIT THE SELF-ASSESSMENT

Please complete the self-assessment by logging into the [Rainforest Alliance Certification platform \(RACP\)](#) and click on 'My certification scope' on your dashboard

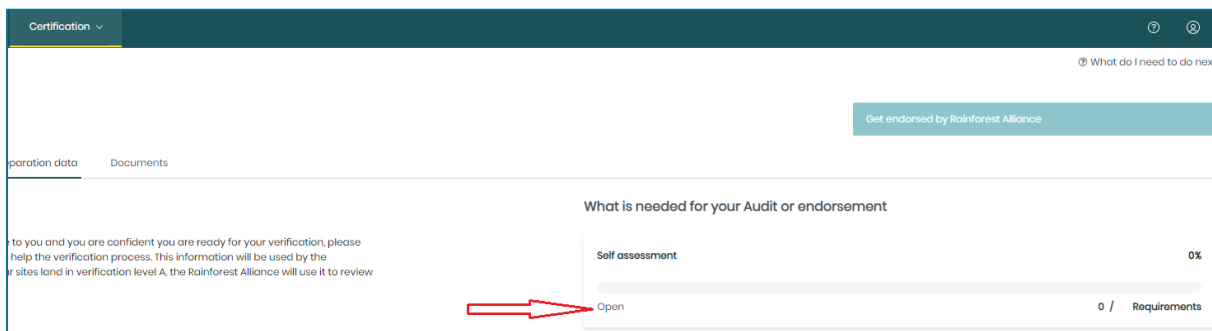
The screenshot shows the Rainforest Alliance Multitrace dashboard. The top navigation bar includes the logo, 'Dashboard', 'Organization', and 'Certification'. The main content area is titled 'Company Name' and 'My organization'. Under 'Part of your certification', there are three progress indicators: 'Farm group members' (0 out of 0), 'Farms' (0 out of 0), and 'Sites / Subcontractors' (2 out of 2). A red arrow points to the 'My certification scope' link at the bottom of the dashboard.



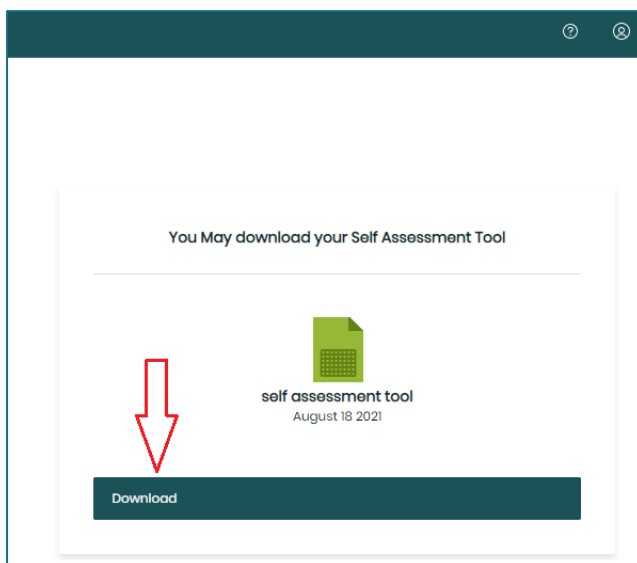
Click on the "License preparation" tab.



Under the section 'self-assessment', click on 'Open'.



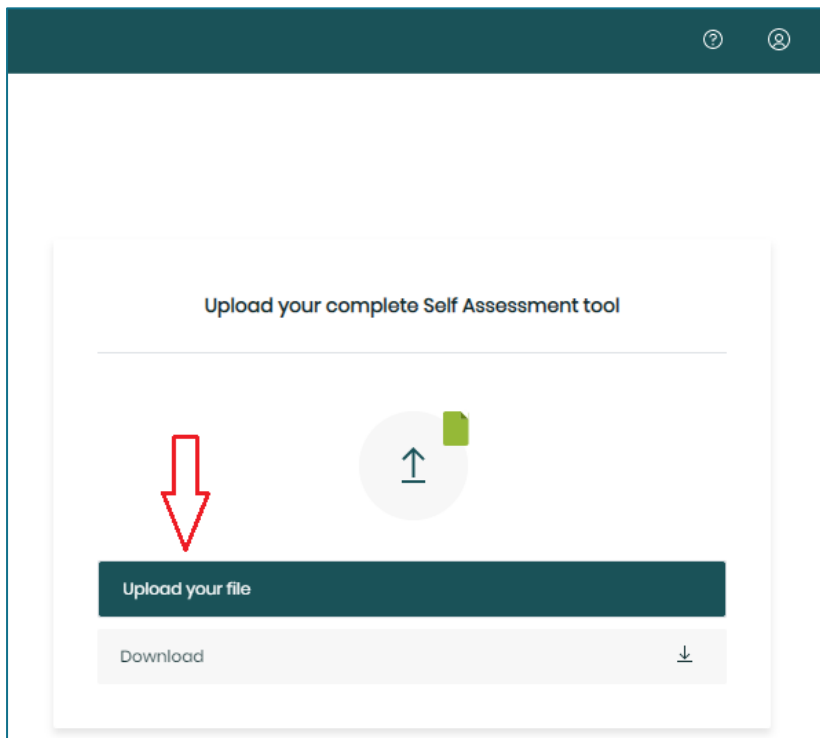
While on the left side you will find the instructions on how to go through the self-assessment, you can download the file on the right side. The downloaded self-assessment only contains the applicable requirements to your organization based on the information provided during the registration.





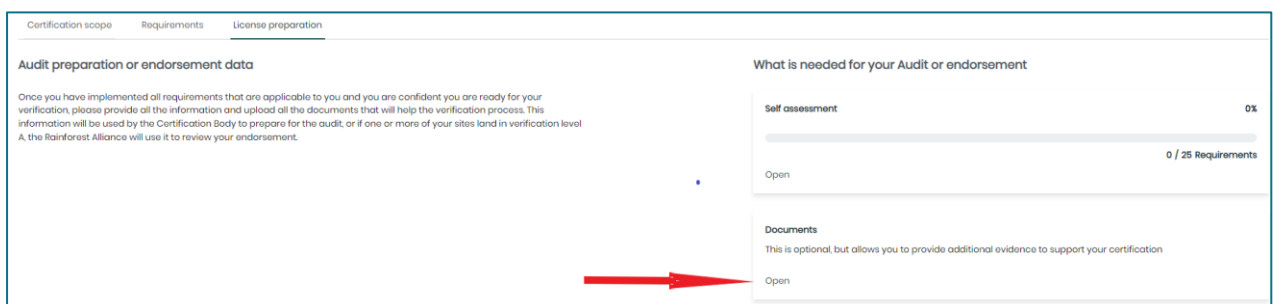
For further guidance on how to interpret the requirements, please read our [General Guide for the implementation of the Rainforest Alliance Sustainable Agriculture Standard](#).

Once you are confident you comply with the applicable requirements and have addressed or closed any non-conformities you identified, upload the self-assessment in the Rainforest Alliance Certification Platform by clicking on 'Upload your file'. You must also send a copy of the completed self-assessment to the CB at least four weeks before the first day of the planned audit.



STEP 2: COMPLETE THE FIRST TAB 'APPLICATION FORM' OF THE CERTIFICATION APPLICATION FORM (CAF).

Please download the Certification Application Form (CAF) [here](#), and select the SA-F-GA-5-V1.2 CAF Supply Chain.xlsx version for supply chain actors. Once complete, please upload the CAF into the RACP under the section "Documents". You can find this section by clicking on "My certification scope" on your dashboard, selecting the "License Preparation" tab and clicking on 'Open' below the section 'Documents'.





STEP 3: REACH OUT TO AN AUTHORIZED CERTIFICATION BODY (CB)

Please choose a certification body from our list of authorized Certification Bodies (CB) [here](#). Make sure to send your SCRA results, the completed self-assessment and CAF to your CB of choice for them to provide you a quote and contract.

The list and contact details of authorized CBs in your region is also available in the platform under the tab 'License preparation' and 'Your certification body'.

The screenshot shows a web interface with three tabs: 'Certification scope', 'Requirements', and 'License preparation'. The 'License preparation' tab is active. On the left, under 'Audit preparation or endorsement data', there is a paragraph of text. On the right, under 'What is needed for your Audit or endorsement', there is a section titled 'Your certification body' with the instruction 'Choose a certification body which is needed for auditing'. Below this instruction, there is a button labeled 'Open' and a status indicator 'Not yet done'. A red arrow points to the 'Open' button.

Audit preparation: please make sure to send a copy of the completed self-assessment to the CB at least four weeks before the first day of the planned audit.

STEP 4: SIGN OR UPLOAD THE LICENSE AGREEMENT (2020 VERSION) IN RACP

Please make sure that you have a valid License Agreement (2020 version) in the Rainforest Alliance Certification platform. If your company already has a valid License Agreement (2020 version), please upload it to the Rainforest Alliance Certification Platform by selecting the option "I already have a valid License Agreement (2020 version)". If this is the case, you will find the valid License Agreement (2020 version) under the tab "Legal Agreements" in Marketplace.

If you have not signed a License Agreement (2020 version) yet, please request and sign this in the Rainforest Alliance Certification platform. You can sign it with DocuSign directly in the system.

You can find the different steps about signing or uploading the License Agreement (2020 version) from page 18 of the [MultiTrace User Manual](#).



Q&A

Under this section you will find some frequently asked questions. The Q&A is divided per topic: SCRA results, the self-assessment, the Rainforest Alliance Certification Platform, and the certification.

1 – SUPPLY CHAIN RISK ASSESSMENT (SCRA) RESULTS

- How come some of my sites are audit exempted, and some require an audit?**
 Rather than a blanket approach to certification, Rainforest Alliance takes a risk-based approach to make the assurance process more efficient. Each site within your certification profile is reviewed based on the activities that occur at that location. This allows us to pinpoint where the risks lie within your supply chain and avoid requiring excessive audits where it is not needed.
- I received level B-E, how does my audit schedule look like?**
 The overview below gives an indication of your audit schedule depending on your verification level.

Verification level	Verification method			
	Year 0 Transition Year	Year 1	Year 2	Year 3
A (lowest)	Rainforest Alliance Review	Rainforest Alliance Review	Rainforest Alliance Automated Check	Rainforest Alliance Automated Check
B	CB Remote Transition Audit	CB Remote Certification Audit	Rainforest Alliance Review	Rainforest Alliance Automated Check
C	CB Remote Transition Audit	CB On-Site Certification Audit	CB Remote Surveillance Audit	Rainforest Alliance Review
D	CB Remote Transition Audit	CB On-Site Certification Audit	CB On-Site Surveillance Audit	CB Remote Surveillance Audit
E (highest)	CB Remote Transition Audit	CB On-Site Certification Audit	CB On-Site Surveillance Audit	CB On-Site Surveillance Audit

Please note that the transition year ends on June 30th, 2022. This means that if you schedule an audit after this date, you will undergo the full-scale audit (year 1) instead of the remote transition audit (year 0).

- I was never audited for one of the legacy programs, and I am now required to undergo an audit to become certified, how come?**
 The new Rainforest Alliance Certification Program is more comprehensive than the previous certification program and it is common that many certificate holder's verification levels may change. Several factors are considered when determining a verification level such as site location, site volumes per crop, the activity at the site, whether only Rainforest Alliance Certified product is handled, whether the site is a first buyer of a product, etc. The increased assurance of the program may result in a higher verification level, however, all audits for the transition year (July 1st, 2021 - June 30th, 2022) are remote desk audits.



2 - SELF-ASSESSMENT

- **Is there any guidance material available to fill out the self-assessment?**
Two documents are available to help you fill in the self-assessment. The [implementation guide sustainable agriculture standard](#) provides clarifications to interpret the requirements and the evidence required for compliance. Secondly, the [auditor verification protocol](#) can be consulted. This gives an idea of what documentation and policies are required and what would be reviewed during an audit.
- **If I have questions about my applicable requirements, who can I reach out to?**
Please reach out to our Customer Success Team at customersuccess@ra.org.
- **How do I need to fill in the self-assessment?**
Please fill in column D with “conformity” or “non-conformity” depending on your situation. Then, please elaborate in column E what your findings are, and how you feel you are complying with this requirement. If you are not complying, please fill in columns F – I explaining what steps and measures have been taken to solve this non-conformity. Please feel free to reference internal documents, which can then be uploaded to the RACP under the section “Documents” for our certification team to review.
- **Are all the requirements in the self-assessment applicable for my company?**
The self-assessment is contextualized and personalized for your company based on the information you provided during your registration. The requirements included in your self-assessment are thus all applicable to your company.
- **My company operates under a multi-site, how should I fill in the self-assessment?**
Under a multi-site certificate, the central management location is responsible for the implementation of the standard at the various locations. This means that the central management location might have additional requirements which are not included for other locations. One example of this is requirement 1.4.1 (internal inspections). This requires that a management system needs to be in place to carry out internal inspections of each site included in the scope of their certificate. The information gathered during the internal inspections then feed into the self-assessment for the full certificate.

Each location should be able to provide the multi-site administrator with a report of how they are able to comply with the requirements that are applicable to that location. This information is then used by the central management location to fill in the self-assessment.

Under a multi-site, only the central management location is required to fill in the self-assessment, detailing the compliance of all sites in scope. If you wish to see the requirements for each site specifically, you can download this by clicking on the button “View requirements” and then on the download button on the page “My certification scope”.



3 - RAINFOREST ALLIANCE CERTIFICATION PLATFORM (RACP)

- **Where can I download the Certification Application Form (CAF)?**

The Certification Application Form (CAF), can be downloaded from our [website](#).

- **I want to upload additional documents which support my self-assessment, where can I do that?**

You can upload additional documents which you believe are supporting your self-assessment under the section 'Documents'. This can be accessed from the same "License preparation" tab as your self-assessment.

The screenshot shows the 'License preparation' tab in the RACP interface. It is divided into two main sections: 'Audit preparation or endorsement data' on the left and 'What is needed for your Audit or endorsement' on the right. The 'Audit preparation' section contains instructions for providing information for verification. The 'What is needed' section has two sub-sections: 'Self assessment' (0% complete, 0 / 25 Requirements) and 'Documents' (This is optional, but allows you to provide additional evidence to support your certification). A red arrow points to the 'Documents' section.

- **My license status says "in preparation". What does this mean?**

The license status 'In preparation' means that you do not have a valid license in the new certification platform yet. This might mean that your company is required to complete a couple of steps, that the Rainforest Alliance is calculating your verification levels, is processing your self-assessment or that your company is still undergoing the audit process. If you are unsure about the next steps, please contact us at customersuccess@ra.org

- **Where can I find my Rainforest Alliance endorsement certificate in the system?**

You can find your endorsement certificate under the section 'Documents'. To access this page from your dashboard, please click on the yellow button 'My certification scope' and click on the tab 'License preparation'.

- **I need to sign the License Agreement (2020 version); how do I do this?**

You can find the detailed explanations on how to sign the License Agreement (2020 version) in RACP in the [user manual](#), from page 18 onwards.

- **I have already signed the License Agreement (2020 version) in Marketplace; do I need to sign it again in RACP?**

No, if you have a valid License Agreement (2020 version) signed with us previously, you can simply upload the countersigned (= also signed by the Rainforest Alliance) document to the RACP directly. You can find the detailed explanations on how to upload the License Agreement (2020 version) in RACP in the [user manual](#), from page 18 onwards.



4- CERTIFICATION

- **How long will it take before I receive my endorsement certificate?**

Provided that you have performed all the steps described above, our certification team will review your self-assessment within three weeks.

- **How long will it take before I receive my CB issued certificate?**

The certification process of audited companies is described in detail in our [Certification and Auditing Rules](#), section 1.4 *Certification Process* (see page 35). In this document you will see the steps to be taken by the different actors involved in the certification process of a Certificate Holder (CH) as well as the different timelines.

- **How long is my transition certificate valid for?**

A transition certificate or license obtained during the transition year is valid for one year regardless of whether it was obtained after an audit, or after a Rainforest Alliance review. The transition year will end 30th June, 2022.

After the transition year, CB issued certificates and endorsements issued by Rainforest Alliance are valid for three years but require the Certificate Holder to reconfirm the scope annually and submit a self-assessment yearly to ensure the certificate or endorsement remains valid.

- **What is the difference between year 0 and year 1 audits?**

During the transition year (= year 0, running until the 30th June, 2022) all audits are remote audits. However, starting from July 1st, 2022, full scale audits (on-site) will take place, column year 0 will then not be applicable anymore.

- **What is the difference between a Rainforest Alliance review and a Rainforest Alliance automated check?**

The Rainforest Alliance review is a remote method of verification conducted by the Rainforest Alliance that evaluates compliance to the Rainforest Alliance Standard requirements through collected evidence submitted by the Certificate Holder. This would include reviewing the self-assessment, non-conformance history (if applicable), and may require contact with the company for any clarifying information.

The Rainforest Alliance automated check is a system-based method of verification conducted by the Rainforest Alliance Certification Platform that evaluates basic compliance to the Rainforest Alliance program through the collection of data such as up-to-date traceability, submitted seal approvals and valid license agreements.

- **Under the UTZ program I used to have a certificate for each crop, has this changed for the new program?**

For the legacy programs you would obtain a certificate (or license) for each specific crop. For the Rainforest Alliance 2020 program we have moved from this approach, and instead decided to choose a site approach. This means that you will now receive a certificate covering the different crops per site, or in case of a multi-site covering the different sites.