

RAINFOREST ALLIANCE POLICY

CHANGES TO CHAPTER 2: RULES FOR CB PERSONNEL AND IMPLEMENTATION DURING TRANSITION YEAR

Version 1.1



**RAINFOREST
ALLIANCE**



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.

Translation Disclaimer

For any questions 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 on auditing or certification purposes.

More information?

For more information about the Rainforest Alliance, visit www.rainforest-alliance.org or contact info@ra.org

Document Name:		Document Code:	Version:	Language:
Policy on changes to Chapter 2: rules for CB personnel in the transition year		SA-P-GA-14	V1.1	EN
Date of first publication:	Date of revision:	Valid From:	Expires by:	
December 10 th , 2021	May 3 rd , 2023	December 1 st , 2021	December 31 st , 2023	
Developed by:		Approved by:		
Global Assurance		Director of Standards and Assurance		
Linked to:				
SA-R-GA-1-V1.1. 2020 Certification and Auditing Rules (Version 1.1). SA-S-SD-1-V1.1. Rainforest Alliance Sustainable Agriculture Standard. Farm Requirements. (Version 1.1). SA-R-GA-2-V1.1. Rainforest Alliance 2020 Transition Rules SA-R-GA-2-V1.1. 2020 Rules for Certification Bodies				
Replaces:				
N/A				
Applicable to:				
CBs				
Country/Region:				
All				
Crop:		Type of Certification:		
All crops		Farm certificate holders Supply Chain certificate holders		



1. INTRODUCTION

The Rainforest Alliance Certification Program, based on the 2020 Sustainable Agriculture Standard, introduces several requirements for Certification Body (CB) personnel that will strengthen our assurance system but will need additional time and resources to be fully implemented. Therefore, the Rainforest Alliance authorizes the changes summarized in this policy, during the transition year. In addition, this document includes the minimum requirements CB Personnel must comply with to be authorized to provide certification services to their clients under the Rainforest Alliance 2020 Certification Program. **The CB personnel requirements listed in this policy replace those of Chapter 2 of the Rules for CB personnel version 1.1.**

Furthermore, this policy aims to shed light on frequently asked questions and support CB's in complying with Chapter 2: Rules for CB personnel, part of the Rules for CBs.

All changes and exceptions enclosed in this document are not retroactive and only come into force after its publication in December 2021.

2. GLOSSARY AND ABBREVIATIONS

CB	Certification Body
CH	Certificate Holder
G.A.P.	Good Auditing Practices
L.A.S.T.	Lead Auditor for Social Topics
RALN	Rainforest Alliance Learning Network
RACP	Rainforest Alliance Certification Platform

3. OBJECTIVES

Communicate the changes authorized to Chapter 2: Rules for CB personnel of the Rules for CBs, version 1.1, and guide CBs on the implementation of said chapter.

4. TRANSITION YEAR EXCEPTIONS.

- The deadline to complete training on Social Auditing and ISO is extended from 30th of September 2021 to **30th June 2022**. Additionally, for China, the Rainforest Alliance does accept certificates from the Certification and Accreditation Association (CCAA).



- Social Training duration for the approval of **Lead Auditor for Social Topics (L.A.S.T)** is reduced from 60 to **48 hours**. 40 hours must be reached during the transition year, i.e. completed by 30 June 2022 and the remaining 8 by **30th of June 2023**.
- As a result of the extension, the Rainforest Alliance will require all staff to follow the Rainforest Alliance Learning Network (RALN) online training on Chapter 5 by the **31st of December 2021**. You can find the links below.
 - The modules DO NOT substitute the social audit training requirement, but rather are a way for CB personnel to gain knowledge on social topics during the transition year.
 - If the modules are not available in your preferred language and you are unable to follow the English version, then you are not obliged to follow said modules. You are asked to follow only those modules which you can understand. However, please keep a close eye as more modules become available in more languages on a regular basis.
 - CB personnel may conduct audits while they are completing the mentioned modules, provided they meet the corresponding approval requirements.

Online Training on Chapter 5

Topic	Participants	Link	Duration (min)	Language
1.1 Management	All	https://learn.ra.org/mod/hvp/view.php?id=45332	12	Es,Fr, Pt, Gr, Tk, Vt, In, Ch, Jp
1.2 Administration	All	https://learn.ra.org/mod/hvp/view.php?id=44714	27	Es, Fr, Pt, Gr, Tk, Vt, In, Ch, Jp
1.3 Risk assessment (FARM only)	All	https://learn.ra.org/mod/hvp/view.php?id=44720	8	Es, Fr, Pt, Tk, Vt, In, Ch,
1.4 Internal inspection and self-assessment	All	https://learn.ra.org/mod/hvp/view.php?id=45009	16	Es, Fr,
1.5 Grievance mechanism	All	https://learn.ra.org/mod/hvp/view.php?id=44721	22	Es, Fr, Pt, Gr, Tk, Vt, In, Ch, Jp
1.6 Gender equality	All	https://learn.ra.org/mod/hvp/view.php?id=44718	18	Es, Fr, Pt, Gr, Tk, Vt, In, Ch, Jp
5.1 A&A	All	https://learn.ra.org/mod/hvp/view.php?id=45221	34	Es, Fr, Gr, Tk, Vt, In, Ch, Jp
5.2 FoA & CB	All	https://learn.ra.org/mod/hvp/view.php?id=45206	11	Es, Fr, Gr, Tk, Vt, In, Ch, Jp
5.3 Wages and contracts	All	https://learn.ra.org/mod/hvp/view.php?id=45219	13	Es, Fr, Gr, Tk, Vt, In, Ch, Jp
5.4 Living Wage	All	https://learn.ra.org/mod/hvp/view.php?id=45218	9	Es, Fr,Tk, Vt, In, Ch,
5.5 Working conditions	All	https://learn.ra.org/mod/hvp/view.php?id=45213	15	Es, Fr, Gr, Tk, Vt, In, Ch
5.6 Health and Safety	All	https://learn.ra.org/mod/hvp/view.php?id=45212	24	Es, Fr, Gr, Tk, Vt, In,
5.7 Housing and living conditions	All	https://learn.ra.org/mod/hvp/view.php?id=45209	13	Es, Fr, Tk, Vt, In, Ch
5.8 Communities	All	https://learn.ra.org/mod/hvp/view.php?id=45189	8	Es, Fr, Tk, Vt, Ch



5. ISO TRAINING REQUIREMENTS GUIDANCE

Certificate Validity

Rule	Guidance and applicable exceptions
<p>2.7 When requirements mention training in ISO, SAI, or any other standards and/or guidelines, the training shall cover the latest edition of the referenced document (including any amendments).</p>	<p>CB personnel are required to have the latest version of the ISO standards training. A “refresher” training will not be taken into consideration.</p> <p>A refresher training will be considered to meet the requirement if a new version of the corresponding ISO standard is released after the CB personnel has registered in the Rainforest Alliance Certification Platform (RACP) and has received training on the previous version.</p> <p>Refresher training may be developed and provided internally by an approved CB instructor or may be delivered by an external training provider.</p>

Training on ISO 19011 and non-certified ISO training

Rule	Guidance and applicable exceptions
<p>Lead Auditor Table 10, requirement #2 for farm and supply chain scopes Successful completion of an in-depth ISO 9001 lead auditor course OR ISO 22000 course OR ISO 14001 course. This course may be developed and provided internally by an approved CB instructor or may be delivered by an external training provider.</p> <p>AND In-depth ISO 19011 lead auditor course. This course may be developed and provided internally by an approved CB instructor or may be delivered by an external training provider.</p>	<p>Lead Auditors may meet this requirement if they undergo in-depth training on ISO 9001 and cover the principles from ISO 19011.</p> <p>The training can be designed and delivered by CB personnel or an external training provider with relevant experience if this individual is supervised by the CB instructor. The instructor is not obliged to deliver training on ISO standards, however, they are accountable for its quality.</p>



6. REGISTRATION

- All CB personnel must hold a Rainforest Alliance Learning Network (RALN) account before registering in the Rainforest Alliance Certification Platform (RACP). You may register [here](#).
- CB personnel registered for the legacy UTZ and 2017 Rainforest Alliance programs may register under their current role, provided they meet the corresponding 2020 Rainforest Alliance Rules for CB personnel requirements. There is no need to start registration in a more junior role.

7. TRAINING COURSES REQUIREMENTS (EXTRACT FROM CHAPTER 2 OF THE RULES FOR CBS)

- 2.3** Training courses¹ referred to in the requirements may be held face-to-face or online.
- 2.4** If a duration is not stated, then the course shall have a minimum duration of **40 hours**.
- 2.5** Every training course delivered will result in a certificate when successfully completed.
- 2.6** The certificate of the training course shall specify the course content and duration.
- 2.7** When requirements mention training in ISO, SAI, or any other standards and/or guidelines, the training shall cover the latest edition of the referenced document (including any amendments).
- 2.8** ISO Lead Auditor training courses shall cover applicable standards on quality auditing, auditing techniques, the focus of the audits (professional behavior and communication), reporting, and it shall also include a practical case study.

8. CB PERSONNEL APPROVAL REQUIREMENTS

Rules on the requirements for all personnel (extract from Chapter 2 of the Rules for CBs)

- 2.1.1** A CB structure shall consist at minimum of a scheme manager, certifier, database administrator, lead auditor, and CB instructor.
- 2.1.2** All CB Personnel roles may be carried out by hired workers, independent contractors, and consultants provided they meet the requirements set for the corresponding role and scope.
- 2.1.3** All CB personnel involved shall be assigned to one or more roles.
- 2.1.4** All CB Audit Team and Certifiers shall meet at least once a year (virtually or physically) to carry out calibration activities or sessions
- 2.2.1** CB personnel shall meet the corresponding approval requirements to be eligible for the Rainforest Alliance Certification Program CB personnel approval.
- 2.2.2** CB personnel shall always meet the List of Requirements for all Personnel.

¹ If training sessions cannot meet the requirements set forth in this document and Chapter 2 of the 2020 RA Rules for CB personnel Version 1.1, exemptions may be granted on a case by case basis by sending an email to CBmanagement@ra.org and CBtraining@ra.org.



Requirements for all personnel

These are good core auditing practices and are formulated as compliance criteria (yes/no) applicable to all roles. These are independent of CB scope requests or approvals. Rainforest Alliance's CB training defines **training** as all capacity-building activities designed on clear learning objectives that aim to bridge gaps in knowledge, skills, and/or attitudes to ensure CB personnel have consistent levels of competence and understanding of the Rainforest Alliance Certification Program.

- Unless otherwise instructed, all training sessions may be developed and provided internally (in-house) by an approved CB instructor. CB personnel or an external training provider with relevant experience may also develop and deliver training, provided they are supervised by the CB instructor.
- Training hours can be reached by combining one or more training sessions. e.g. CB personnel can follow two courses of 20 hours each and one training of 8 hours to reach the 48-hour training requirement.
- A single audit may be taken into consideration to comply with different audit experience requirements provided the audit scope is relevant for all corresponding topics such as social, G.A.P./organic, supply chain, and environmental audit experience.

Table 2: List of Requirements for all Personnel

Requirement	
1	Personal registration in the corresponding CB database within the Rainforest Alliance CB Management platform.
2	Personal registration in the Rainforest Alliance Learning Network.

Program management team

Scheme manager

Table 3: Scheme Manager Requirements for Farm and Supply Chain scopes

No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1	Fluent in written and oral skills in Spanish and/or English ; suitable for reporting to the Rainforest Alliance	No Change		X	X



No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
2	Knowledge of relevant information systems and tools necessary to carry out quality monitoring activities on the certification process. Such as, but not limited to, Microsoft Excel, the Rainforest Alliance Learning Network (RALN), the Rainforest Alliance Certification Platform (RACP), and the Rainforest Alliance CB Management platform.	No Change		X	X
3	Participate in a minimum 2-hour introductory basic training related to planning and implementing an audit/certification process. This course shall cover the main ISO 19011 guidelines and ISO 17065 principles.	This was a requirement for all personnel but now is only applicable to Scheme Manager and Database administrator		X	X

Certifier

Table 4: Certifier Requirements for Farm and Supply Chain scope

No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1	Knowledge of relevant information systems and tools necessary to carry out quality monitoring activities on the Rainforest Alliance certification process. Such as, but not limited to, Microsoft Excel, the Rainforest Alliance Learning Network (RALN), the Rainforest Alliance Certification Platform (RACP), and the Rainforest Alliance CB Management platform.	No change	At least 2 days per year of field visits ² as an observer or auditor related to social standards , such as (but not limited to) Rainforest Alliance or UTZ, Fairtrade, GRASP, SA8000, SMETA	X	X

² Remote audits are also allowed



No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
2	In-depth knowledge of applicable national and local laws and regulations as well as how to interpret their application during the audit. ³	No change		X	X
3	18 months working as a quality reviewer for Voluntary Sustainability Standards. OR Conducted 5 quality reviews of Voluntary Sustainability Standards in the last 4 years .	18 months working as a quality reviewer for Voluntary Sustainability Standards. OR Conducted 10 quality reviews of Voluntary Sustainability Standards in the last 4 years .	Successfully participated in a 6-hour face-to-face or online training or auditing refresher course on auditing social topics .	X	X
4	Successful completion of a certified ISO 9001 lead auditor course OR certified ISO 22000 lead auditor OR certified ISO 14001 course provided by an ISO accredited agency such as (but not limited to) IRCA, RABQSA, RAC, SAATCA, CRBA, ICA.	No change		X	X
5	Successful completion of 16 hours of basic or advanced social auditor training such as (but not limited to) SA8000:2014, SMETA, ETI. OR At least 3 years of experience working as a Certifier or Lead Auditor in social standards such as (but not limited to) Fairtrade, GRASP, SA8000, SMETA.	No change		X	X
6	Experience in auditing social standards (at least 6 relevant certification audits as a lead auditor in the last 4 years), such as (but not limited to) Fairtrade, GRASP, SA8000, SMETA. OR	In the last 4 years: Having participated in at least 6 audits or a minimum of 15 days of audit as a witness or lead auditor related to social standards , such as (but not limited to) Rainforest Alliance or UTZ, Fairtrade, GRASP, SA8000, SMETA.		X	X

³ Including but not limited to environmental, Labor, Human rights, Workplace & Safety law, Public Health & Safety law, Laws governing ownership and use of land, and Indigenous people's rights, if applicable.



No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
	<p>Having participated in 12 relevant audits as a supporting auditor for UTZ or 2017 Rainforest Alliance Standard in the last 4 years.</p> <p>OR Being an APSCA Certified Social Compliance Auditor.</p>	<p>OR 6 certification decisions related to social standards, such as (but not limited to) Rainforest Alliance or UTZ, Fairtrade, GRASP, SA8000, SMETA.</p> <p>OR Being an APSCA Certified Social Compliance Auditor.</p>			

Table 5: Additional Certifier Requirements for Farm scope

No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1	<p>Successful completion of post-high school (post-secondary school) training in agriculture or horticulture, natural resources, environmental sciences, social sciences, science, rural development, or similar. This shall include the understanding and application of Good Agricultural Practices (GAP).</p> <p>OR At least 5 years of experience working as a certifier or lead auditor in the mentioned fields.</p> <p>OR At least 5 years of work experience in agriculture or horticulture.</p>	No change	At least 2 days per year of field visits ⁴ as an observer or auditor related to applicable commodity category production, GAP, and/or environmental standards .	X	

⁴ Remote audits are also allowed



No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
2	<p>Demonstrate knowledge of applicable commodity production.</p> <p>OR Having participated in at least 10 relevant certification audits as a lead auditor in this commodity(s) production in the last 3 years.</p>	<p>Demonstrate knowledge of the applicable commodity category⁵ production.⁶</p> <p>OR</p> <p>In the last 4 years: Having participated in at least 10 audits or a minimum of 25 audit days as a witness or lead auditor related to the applicable commodity category production.</p> <p>OR 10 certification decisions related to applicable commodity category production audits.</p>		X	
3	<p>Experience in auditing GAP and/or organic agriculture standards. At least 10 relevant certification audits as a lead auditor in the past 3 years⁷. Such as (but not limited to) UTZ, Rainforest Alliance, GLOBAL GAP, national standards (relevant scopes), Organic.</p>	<p>In the last 4 years: Having participated in at least 10 audits or at least 25 days as a witness or lead auditor related to auditing GAP and/or organic agriculture standards, such as (but not limited to) UTZ, Rainforest Alliance, GLOBAL GAP, national standards (relevant scopes), Organic.</p> <p>OR 10 certification decisions related to GAP and/or organic agriculture standard audits, such as (but not limited to) UTZ,</p>		X	

⁵ Please see Annex 13, tab "Crop list" of the Sustainable Agriculture Standard for a complete list of the Rainforest Alliance's crop categories.

⁶ This requirement aims to ensure that the candidate has general knowledge of the commodity category to be audited. This can be proven with an internal or external training certificate, university degree, and/or course or diploma, etc.

⁷ Participation in the audit does not include witnessing or observing audits but includes being witnessed or observed as auditor-in-training.



No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
		Rainforest Alliance, GLOBAL GAP, national standards (relevant scopes), Organic.			
4	Experience in auditing environmental standards (at least 10 relevant audits as an auditor or certifier in the past 4 years) ⁸ Such as (but not limited to) UTZ, Rainforest Alliance, ISO 14001.	<p>In the last 4 years: Having participated in at least 10 audits or at least 25 days as a witness or lead auditor related to environmental standards, such as (but not limited to) UTZ, Rainforest Alliance, ISO 14001.</p> <p>OR 10 certification decisions related to environmental standards audits, such as (but not limited to) UTZ, Rainforest Alliance, ISO 14001.</p>		X	

Table 6: Additional Certifier Requirements for Supply Chain scope

No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1	Successful completion of a post-high school (postsecondary school) training in corporate social responsibility, agriculture, horticulture, or a food-related discipline whose primary focus is any combination of an industrial process, quality control, food safety, hygiene, or traceability ⁹ . OR	No Change	At least 2 days per year of field visits ¹⁰ as observer or auditor related to processing systems and/or supply chains.		x

⁸ This does not include witnessing or observing of audits but includes being witnessed or observed as auditor-in-training certifier.

⁹ Examples include industrial, manufacturing, chemical or some branches of systems engineering; food sciences, and food technology.

¹⁰ Remote audit are also allowed.



No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
	At least 5 years of experience working as a certifier or lead auditor in the mentioned fields. OR At least 5 years of work experience in corporate social responsibility, agriculture, horticulture, or the food industry.				
2	Demonstrate knowledge of applicable commodity processing systems. OR Having participated in at least 10 relevant audits as a Lead Auditor in this commodity(s) processing systems in the last 4 years .	Demonstrate knowledge of applicable commodity category processing systems. ¹¹ OR In the last 4 years: Having participated in at least 10 audits or at least 25 audit days as a witness or lead auditor on applicable commodity category processing systems . OR 10 certification decisions related to applicable commodity category processing systems' audits.			X
3	Experience in auditing supply chain standards (at least 10 relevant certification audits as a lead auditor in	In the last 4 years: Having participated in at least 10 audits or at least 25 audit days as a witness or			X

¹¹ This requirement aims to ensure that the candidate has a general knowledge of the commodity category to be audited. This can be proven with an internal or external training certificate, university degree, and/or course, diploma, etc.



No	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
	the past 3 years ¹² . Such as (but not limited to) the Rainforest Alliance, UTZ, ASC/MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), RSPO.	<p>lead auditor in supply chain standards, such as (but not limited to) the Rainforest Alliance, UTZ, ASC/MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), RSPO.</p> <p>OR</p> <p>10 certification decisions in supply chain standard audits, such as (but not limited to) the Rainforest Alliance, UTZ, ASC/MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), RSPO.</p>			

Database Administrator

Table 7: Certifier Requirements for Farm and Supply Chain scope

No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1	Knowledge of relevant information systems and tools necessary to carry out quality monitoring activities on the certification process. Such as, but not limited to, Microsoft Excel, the Rainforest Alliance Learning Network (RALN), the Rainforest Alliance Certification Platform (RACP), and the	No Change	Successfully participated in a 1-hour minimum yearly face-to-face or online refresher training on the Rainforest Alliance Certification Platform (RACP) .	X	X

¹²This does not include witnessing or observing of audits but includes being witnessed or observed as auditor-in-training certifier.



No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
	Rainforest Alliance CB Management platform.				
2	Participate in a minimum 2-hour introductory basic training related to planning and implementing an audit/certification process . This course shall cover the main ISO 19011 guidelines and ISO 17065 principles .	This was a requirement for all personnel but now is only applicable to Scheme Manager and Database administrator		X	X

Audit team categories

The audit team refers to the CB personnel who perform audits for a CB (as employees or independent contractors). The categories have a sequential logic, each building upon the previous category.

- 2.2.1** For CB personnel to proceed to the next category, they shall comply and remain compliant with the previous category requirements. This does not apply to Technical Experts who provide services and support to the audit team.

Trainee

Table 8: Trainee Requirements for Farm and Supply Chain scopes

No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1	Successful completion of face-to-face or online training on auditing principles and the Rainforest Alliance certification process.	Successful completion of a minimum of 8 hours of face-to-face or online training on auditing principles and the Rainforest Alliance certification process .	Successfully participated in a 4-hour minimum, yearly face-to-face or online refresher training on auditing principles and the Rainforest Alliance Certification process .	X	X



No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
2	<p>Successful completion of post-high school (post-secondary school) training in fields with a primary focus in, or any combination of corporate social responsibility, agriculture, horticulture, or a food-related discipline whose primary focus is any combination of an industrial process, quality control, food safety, or hygiene, traceability¹³.</p> <p>OR</p> <p>At least 3 years of relevant working experience in the mentioned fields.</p>	No Change	Having participated in at least 2 audits or at least 5 audit days as a trainee in the applicable commodity category processing systems and/or supply chain standards .		X
3	<p>Successful completion of post-high school (post-secondary school) training in fields with a primary focus in or any combination of agriculture, natural resources, environmental sciences, social sciences, rural development, or similar.</p> <p>OR</p> <p>At least 3 years of relevant working experience in the mentioned fields.</p>	<p>Successful completion of post-high school (post-secondary school) training in fields with a primary focus in or any combination of agriculture, natural resources, environmental sciences, social sciences, rural development, or similar.</p> <p>OR</p> <p>At least 3 years of relevant working experience in the mentioned fields.</p>	Having participated in at least 2 audits or at least 5 audit days as a trainee related to applicable commodity category production .	X	

¹³ Examples include industrial, manufacturing, chemical or some branches of systems engineering, food sciences, and food technology.



Auditor

Table 9: Auditor Requirements for Farm and Supply Chain scopes

No.	Current requirement	New Approval Requirement	Requirement to maintain authorization	Scope	
				Farm	Supply Chain
1	In-depth knowledge of applicable national and local laws and regulations as well as how to interpret their application during the audit ¹⁴ .	No Change	A minimum of 1 audit or 3 audit days as a trainee or auditor related to social standards , such as (but not limited to) Rainforest Alliance or UTZ, Fairtrade, GRASP, SA8000, SMETA	X	X
2	Experience in auditing social standards . Participated in at least 3 relevant certification audits as an auditor or trainee in the last 4 years). Such as (but not limited to) Fairtrade, GRASP, SA8000, SMETA. OR 6 relevant audits as an auditor for UTZ or the 2017 Rainforest Alliance Standard in the last 4 years . OR Being an APSCA Certified Social Compliance Auditor	In the last 4 years: Having participated in at least 3 audits or at least 8 audit days of audit as a trainee or auditor in social standards , such as (but not limited to) Rainforest Alliance, UTZ, Fairtrade, GRASP, SA8000, SMETA. OR Being an APSCA Certified Social Compliance Auditor		X	X

¹⁴ Including but not limited to environmental, Labor, Human rights, Workplace & safety law, Public health & safety law, Laws governing ownership and use of land, and Indigenous people's rights, if applicable.



No.	Current requirement	New Approval Requirement	Requirement to maintain authorization	Scope	
				Farm	Supply Chain
3	Successful completion of 24 hours of basic or advanced social auditor training such as (but not limited to) SA8000:2014, SMETA, ETI.		Successfully participated in a yearly refresher face-to-face or online training for a minimum of 12 hours on auditing social topics related to the Rainforest Alliance Certification program. This course may be developed and provided internally by an approved CB instructor or an external training provider.	X	X
4		Successful completion of 4 hours of training on traceability in applicable commodity category processing systems. The training should include foundational knowledge as well as practical training on applicable traceability systems.	Successfully participated in a 2-hour minimum, yearly face-to-face or online training refresher on traceability in the Rainforest Alliance Certification program .		X
5	Experience in auditing supply chain standards . Participated in a minimum of 5 relevant certification audits as an auditor or trainee in the last 3 years . Such as (but not limited to) the Rainforest Alliance, UTZ, ASC/ MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), RSPO.	<p>In the last 4 years: Having participated in at least 5 audits or at least 13 audit days as a trainee or auditor in applicable commodity category processing systems and/or supply chain standards, such as (but not limited to) the Rainforest Alliance, UTZ, ASC/ MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), RSPO.</p> <p>OR</p> <p>Having participated in at least 5 audits or at least 13 audit days as a trainee or auditor related to applicable</p>	At least 2 audits or 5 audit days per year related to applicable commodity category producing/processing, supply chains, GAP, and/or environmental standards .		X



No.	Current requirement	New Approval Requirement	Requirement to maintain authorization	Scope	
				Farm	Supply Chain
		commodity category GAP and/or organic agriculture and/or environmental standards , such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, Rainforest Alliance, Fairtrade, GRASP, ISO 1401, SA800, SMETA.			
6	Experience in auditing GAP and/or Organic agriculture and/or environmental standards . Participated in a minimum of 5 relevant certification audits as an auditor or trainee in the last 3 years . Such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, the Rainforest Alliance, Fairtrade, GRASP, ISO 1401, SA800, SMETA.	In the last 4 years: Having participated in at least 5 audits or at least 13 audit days as a trainee or auditor related to applicable commodity category, producing GAP and/or organic agriculture and/or environmental standards , such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, Rainforest Alliance, Fairtrade, GRASP, ISO 1401, SA800, SMETA.		X	



Lead auditor

Table 10: Lead Auditor Requirements for Farm and Supply Chain scopes

No.	Current requirement	New Approval Requirement	Requirement to maintain authorization	Scope	
				Farm	Supply Chain
1	Successful completion of an in-depth ISO 9001 lead auditor course OR ISO 22000 course OR ISO 14001 course. This course may be developed and provided internally by an approved CB instructor or may be delivered by an external training provider. AND	Successful completion of an in-depth 40-hour ISO 9001 lead auditor course OR ISO 22000 course OR ISO 14001 course.	Successfully participated in a 16 hour minimum yearly face-to-face or online training refresher on auditing social topics related to the Rainforest Alliance Certification program.	X	X
2	In-depth ISO 19011 lead auditor course, this course may be developed and provided internally by an approved CB instructor or may be delivered by an external training provider.	Successful completion of an in-depth 16-hour ISO 19011 lead auditor course.		X	X
3	Successful completion of 40 hours¹⁵ of basic or advanced social auditor training such as (but not limited to) SA8000, SMETA, ETI.	No Change		X	X
5	Experience in auditing social standards (at least 8 relevant audits as a supporting auditor or 4 as a lead auditor in the last 4 years . Such as (but not limited to) Fairtrade, GRASP, SA8000, SMETA. OR 16 relevant audits as a supporting auditor or 8 as a lead auditor for UTZ or the 2017 Rainforest Alliance Standard in the last 4 years . OR	In the last 4 years: Having participated in at least 8 audits or at least 20 days as a (witness) auditor in social standards , such as (but not limited to) UTZ, Rainforest Alliance, Fairtrade, GRASP, SA8000, SMETA. OR Being an APSCA Certified Social Compliance Auditor.	A minimum of 4 audits or 10 audit days as a (witness) auditor or lead auditor per year in social standards , such as (but not limited to) Rainforest Alliance, UTZ, Fairtrade, GRASP, SA8000, SMETA.	X	X

¹⁵ Hours can be reached by combining one or more training sessions. E.g. CB personnel can follow two courses of 20 hours each.



No.	Current requirement	New Approval Requirement	Requirement to maintain authorization	Scope	
				Farm	Supply Chain
	being an APSCA Certified Social Compliance Auditor.				

Table 11: Additional Lead Auditor Requirements for Farm scope

No.	Current requirement	New Approval Requirement	Requirement to maintain authorization	Scope	
				Farm	Supply Chain
1	Demonstratable knowledge of the production of the applicable commodity(s). OR Experience in auditing these commodity production systems (at least 10 relevant audits as an auditor).	Demonstrable knowledge of the production of the applicable commodity category ¹⁶ OR Having participated in at least 10 audits or at least 25 days as an auditor in the relevant commodity category production audits.	A minimum of 5 audits or 13 audit days as a (witness) auditor or lead auditor per year related to applicable commodity category processing, GAP, and/or environmental standards.	X	
2	Experience in auditing GAP and/or Organic agriculture and/or environmental standards . At least 15 relevant certification audits as an auditor in the last 3 years . Such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, the Rainforest Alliance, Fairtrade GRASP, ISO 14011, SA800, SMETA.	In the last 4 years: Having participated in at least 10 audits or at least 25 days as an auditor related to GAP and/or organic agriculture and/or environmental standards , such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, Rainforest Alliance, Fairtrade, GRASP, ISO 1401, SA800, SMETA.			X

¹⁶ Please see Annex 13, tab "Crop list" of the Sustainable Agriculture Standard for a complete list of the Rainforest Alliance's crop categories. This requirement aims to ensure that the candidate has general knowledge of the commodity category to be audited. This can be proven with an internal or external training certificate, university degree, and/or course or diploma, etc.



Table 12: Additional Lead Auditor Requirements for Supply Chain scope

No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1		Successful completion of 4 hours of training on traceability in applicable commodity category processing systems. The training should include foundational knowledge as well as practical training on applicable traceability systems.	Successfully participated in a 2-hour minimum face-to-face or online refresher training per year on traceability in the Rainforest Alliance Certification program .		X
2	Demonstratable knowledge of the processing systems of the applicable commodity(s). OR Experience in auditing these commodity systems (at least 10 relevant audits as an auditor).	Demonstratable knowledge of the production of the applicable commodity category processing systems ¹⁷ OR Having participated in at least 10 audits or at least 15 days as a (witness) auditor on applicable commodity category processing systems.	A minimum of 5 audits or 13 audit days per year as a (witness) auditor related to applicable commodity category processing and/or supply chain standards .		X
3	Experience in auditing supply chain standards . At least 15 relevant certification audits as an auditor in the last 3 years . Such as, but not limited to: the Rainforest Alliance, UTZ, ASC/ MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), RSPO.	In the last 4 years: 10 audits and at least 25 days as a (witness) auditor in supply chain standards . Such as, but not limited to: the Rainforest Alliance, UTZ, ASC/ MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), RSPO. OR			X

¹⁷ Please see Annex 13, tab "Crop list" of the Sustainable Agriculture Standard for a complete list of the Rainforest Alliance's crop categories. This requirement aims to ensure that the candidate has general knowledge of the commodity category to be audited. This can be proven with an internal or external training certificate, university degree, and/or course or diploma, etc.



No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
		Having participated in at least 10 audits or at least 25 days as a (witness) auditor related to GAP and/or organic agriculture and/or environmental standards . Such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, Rainforest Alliance, Fairtrade, GRASP, ISO 1401, SA800, SMETA.			

Lead auditor for social topics

2.2.2 In addition to the requirements set in Table 13, lead auditors for Social Topics shall meet the requirements for lead auditor listed in Tables 10, 11, and 12.

Table 13: Lead Auditor for Social Topics Requirements for Farm and Supply Chain scopes

No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1	Experience in auditing social standards (at least 16 relevant audits as a supporting auditor or 8 as a lead auditor in the last 4 years . Such as, but not limited to Fairtrade, GRASP, SA8000, SMETA. OR 20 relevant audits as a supporting auditor or 10 as a lead auditor for UTZ or the 2017	In the last 4 years: Having participated in at least 16 relevant audits as (lead) <i>auditor</i> or 40 audit days related to social standards , such as (but not limited to) Rainforest Alliance, UTZ, Fairtrade, GRASP, SA8000, SMETA.	A minimum of 5 audits or at least 13 audit days per year related to social standards , such as (but not limited to) Rainforest Alliance, UTZ, Fairtrade, GRASP, SA8000, SMETA.	X	X



No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
2	<p>Rainforest Alliance Standard in the last 4 years. AND Successful completion of 60 hours of advanced social auditor training such as (but not limited to) SA8000, SMETA, ETI. This course shall be delivered by an external training provider.</p> <p>OR Being an APSCA Certified Social Compliance Auditor.</p>	<p>Successful completion of 48 hours of advanced social auditor training such as (but not limited to) SA8000, SMETA, ETI. This course shall be delivered by an accredited external training provider or by the CB instructor or other personnel, provided that they completed an external 40-hour social auditor training such as (but not limited to) SA8000, SMETA, ETI.</p> <p>OR</p> <p>Being an APSCA Certified Social Compliance Auditor.</p>	<p>Successfully participated in a yearly refresher training of a minimum of 24 hours of face-to-face or online training on social auditing.</p>	X	X
			<p>Lead 20 interviews with Certificate Holder staff members and workers during the audit processes, including but not limited to, the Rainforest Alliance, UTZ, Fairtrade, GRASP, SA8000, SMETA.</p>	X	X

Instructor

Table 14: Instructor Requirements for Farm and Supply Chain scopes

No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
1	Have successfully completed the Rainforest Alliance CB instructor training ¹⁸ .	No Change	Successfully participated in the yearly Rainforest Alliance CB instructor training.	X	X

¹⁸ For information about dates, location and duration of this training please contact cbtraining@ra.org.



No.	Current Requirement	New Approval Requirement	Requirement to Maintain Authorization	Scope	
				Farm	Supply Chain
2	Successful completion of a certified ISO 9001 lead auditor course OR certified ISO 22000 lead auditor OR Certified ISO 14001 course provided by an ISO accredited agency such as (but not limited to) IRCA, RABQSA, RAC, SAATCA, CRBA, ICA approved.	No Change	Deliver 2 internal training sessions or at least 16 hours per year to auditors on good auditing practices, social standards, relevant commodity category producing/processing, supply chains, and/or environmental standards , such as (but not limited to) GLOBALGAP, national standards (relevant scopes), Organic, Fairtrade, GRASP, ISO 14001, UTZ, the Rainforest Alliance, Fairtrade, GRASP, SA800, SMETA.	X	X
3	A minimum of 2 years carrying out training for auditors on good auditing practices and environmental and/or social standards. Such as (but not limited to) GLOBALGAP, national standards (relevant scopes), Organic, Fairtrade, GRASP, ISO 14001, UTZ, the Rainforest Alliance, Fairtrade, GRASP, SA800, SMETA.	In their entire professional life: Deliver 8 training sessions or 24 hours training for auditors on good auditing practices and environmental and/or social standards, such as (but not limited to) GLOBALGAP, national standards (relevant scopes), Organic, Fairtrade, GRASP, ISO 14001, UTZ, the Rainforest Alliance, SA800, SMETA.		X	X
4	A minimum of 40 relevant audits as an auditor for Voluntary Sustainability Standards.	In their entire professional life: Having participated in at least 40 audits or at least 60 days as a lead or witness auditor or auditor for Voluntary Sustainability Standards	A minimum of 7 audits or 18 audit days per year as a lead or witness auditor or auditor for Voluntary Sustainability Standards .	X	X
5	Successful completion of a total 40 hours of in-depth social auditor training such as (but not limited to) SA8000, SMETA, ETI.	No Change	Successfully participated in a yearly refresher training of a minimum of 20 hours of face-to-face or online training on social auditing .	X	X



Technical Expert

Table 15: Technical Expert Requirements for Farm and Supply Chain scopes

Requirements	
1	Master's Degree or equivalent in the field of study for which he/she is providing support as a technical expert. OR A University Degree in related fields, combined with specialized experience, may be considered instead of a master's degree.