

RAINFOREST ALLIANCE

GUIDANCE

GUIDANCE TO DEFINE IF AN ORGANIZATION
IS IN SCOPE OF CERTIFICATION

Version 1



**RAINFOREST
ALLIANCE**



Translation Disclaimer

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More information?

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

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All crops in the scope of the Rainforest Alliance certification system; please see Certification Rules.		Farm and Supply Chain certification	

This guidance document is non-binding. This means that this document provides important information to help readers understand, interpret and implement the requirements set out in the documents listed in the section "linked to" above. However, following the guidance in this document is not mandatory.



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OBJECTIVE OF THIS DOCUMENT

The objective of this document is to support organizations in determining whether they need to register and get certified under the 2020 Rainforest Alliance Certification Program **prior** to the organization registering in the Rainforest Alliance Certification Platform (RACP).

Several factors influence whether an organization is in **scope of certification**. The following guidance therefore helps organizations understand in which case registration and/or certification is applicable.

1. WHEN IS AN ORGANIZATION IN SCOPE OF CERTIFICATION?

The factors that influence whether an organization needs to go through registration and get certified (i.e., is in scope of certification) depend on the types of activities an organization is involved in.

In general, an organization is **in scope of certification** if **any** of the following apply:

- They are involved in farming activities
- They are involved in physical handling of certified products (e.g., packing, processing)
- They take legal ownership of certified products (e.g., trading)

In general, an organization is **out of scope of certification** if **any** of the following apply:

- They store or transport certified products without making any modification to the product or the packaging (transport, most warehousing). For more information on which warehouses are in/out of scope of certification please refer to the table further below.
- They handle/distribute a final consumer product between the final product manufacturer and retailer and do not make any modifications to the final consumer product. Retailers may still be in scope of certification depending on their activities. Please see further below when this might be the case.

Organizations that are out of scope of certification do **not need to register in the RACP or get certified**. They also do not need to keep traceability of certified products.

Some **brand owners** are also **in scope of certification** if the following apply:

- They are involved in the manufacturing, processing, packing or otherwise handling of the finished consumer products sold under their own brand.

Brand owners in scope of certification must register in the RACP and obtain a certificate. For further details please refer to this [decision tree](#).

Some **retailers** are **in scope of certification** if both of the following apply:

- They are involved in selling Rainforest Alliance Certified products as private label or as non-branded products (in this case the retailer is considered a brand owner)
- They actively manage purchasing contracts for certified volumes

Retailers in scope of certification must register in the RACP and obtain a certificate. For further details please refer to this [decision tree](#).

The table below provides examples of these activities and indicates when organizations that perform them are required to register and get certified. **Please note**, if these activities are outsourced to other organizations such as **subcontractors, intermediaries, or service providers**, registration and certification may be done by the contracting organization on behalf of the



contracted organization, or by the provider directly. More information on this can be found in the section 'Which entities can be included in my certification scope' below.

If you don't see the activities performed by your organization on the table below, please reach out to customersuccess@ra.org for further guidance.

Type of Organization	Activities	<u>Registration required</u>	Certification required
Farm Organization	Farming <i>All farming activities used for agricultural production as well as processing activities of certified volumes on farm level.</i>		
	<u>Example:</u> Coffee beans being grown on a coffee plantation.	Yes	Yes
Supply Chain Actor	Packing <i>The action or process of putting products into a package. Packing takes place at different stages in the supply chain and includes final consumer product packing.</i>		
	<u>Example 1:</u> A packer receives green coffee in jute bags. The jute bags are opened, and green coffee is re-bagged into bigger bags.	Yes	Yes
	<u>Example 2:</u> A packer receives an already packed chocolate and puts it in an outer box (or bigger pack) on which he applies the seal.	Yes	Yes
	Trading (e.g., importing, exporting) <i>The process of purchasing and selling certified product without modifying or physically touching the certified product.</i>		
	<u>Example 1:</u> A cocoa exporter buying and selling cocoa powder.	Yes	Yes
	<u>Example 2:</u> A coffee exporter buying and selling green coffee.	Yes	Yes
	Intracompany finance entities <i>An entity solely responsible for the payment of the Rainforest Alliance Certified product that is underneath the same legal structure with the actual certificate holder. The payment entity does not make purchasing contracts and decisions with regards to the Rainforest Alliance Certified product.</i>		
<u>Example:</u> Organization X has multiple sites in one region, site A handles all purchase and sale contracts and dictates volumes of Rainforest Alliance certified product purchased. Site B facilitates the payment on behalf of site A to suppliers. In this case site B does not require certification.	No	No	



	<p>Processing The process of physically altering certified product resulting in a different output from the input. (e.g., manufacturing, roasting, blending)</p> <p><u>Example:</u> A cake manufacturer mixing cocoa power with other ingredients to make product cakes (B2B, B2C).</p>		
		Yes	Yes
	<p>Warehousing The process of storing certified product without making any modifications to it. This can happen at various stages in the supply chain and thus involve non-final or final consumer products.</p> <p><u>Example 1:</u> A warehouse that stores green coffee until it is purchased by another organization (product destination not known).</p> <p><u>Example 2:</u> A warehouse that stores green coffee but the buyer for that coffee is already known prior to its arrival at the warehouse.</p> <p><u>Example 3:</u> A warehouse that stores final labeled coffee products ready for consumption.</p>		
		Yes	Yes
		No	No
		No	No
	<p>Transportation only Any organization that only engages in transporting, e.g., trucking, flying, boat, etc. the certified product, without making any modifications to it.</p> <p><u>Example:</u> Logistics organization that drives green coffee bags from the farm to the trader's warehouse.</p>		
		No	No
	<p>Final product distributor Any organization that purchases and sells already packaged and labeled final products ready for consumption.</p> <p><u>Example:</u> Organization receives already-packaged and labeled products (e.g., chocolate bars) from the final manufacturer and transports them to a retailer.</p>		
		No	No
	<p>Retail entity Any organization that purchases and sells labelled, final products to consumers.</p>	Please refer to decision tree	Please refer to decision tree
	<p>Brand owner Any organization that sells B2B or B2C any final consumer products under its own brand. This may include private label brands/store brands owned by retail companies.</p>	Please refer to decision tree	Please refer to decision tree
	<p>Designing artwork for package of certified product</p> <p><u>Example:</u> A graphic design agency hired by an organization to submit artwork on their behalf.</p>		
Design Agency¹		No	No



¹ If a design agency wishes to submit trademark requests on behalf of another organization, it will have to be added and linked to the organization's Marketplace 2.0 account. Please note that the organization the design agency will submit for must first register in the Rainforest Alliance Certification Platform for our Rainforest Alliance 2020 Certification Program. Then, a new Rainforest Alliance account for the organization will be automatically created on Marketplace and the design agency will be able to be added.

2. TYPES OF CERTIFICATION: FARM AND SUPPLY CHAIN

Certified organizations can be organizations that perform farming activities and/or supply chain activities. Any organization that is certified in the Rainforest Alliance Certification Program and holds a valid certificate is called a certificate holder (CH).

- Any organization that performs **farming activities** is considered a **farm** certificate holder (CH), – whether they also perform other supply chain activities such as processing etc.
- Any organization that does **not perform any farming activities but** takes legal and/or physical possession of certified volumes throughout the supply chain is considered a **supply chain** certificate holder (CH).

Farm Certification

Any organization that performs **farming activities** is considered a **farm** CH. If the organization has several sites, some of which engage in farming, and some in processing or other activities, the organization is always considered a farm CH because their activities include farming.

The table below provides the definitions of the different types of farm CHs:

Farm CHs	
Farm scope, single farm	A single farm that owns or manages one farm location with an independent organizational structure, whereby management and all activities take place at a single physical location.
Farm scope, group of farms	A group of organized farms (group members) that implements a common management system. The group can be organized as an association or cooperative or be managed by a farm or other supply chain actor such as an exporter or another entity.
Farm scope, multi-farm	Two or more farm locations owned or rented by one entity whose operations and farming practices are managed centrally, regardless of certification.

An organization that is processing product **for** a farm must be certified. There are two options to get certified:

- a) The organization is included in the farm certification. This means that the farm CH adds the processing organization as a site to its certification scope. In this case the farm CH takes responsibility for the compliance of the processing site with all applicable requirements (In this case the organization applies for farm certification).
- b) The processing organization can get its own certification and would therefore have to register separately. The responsibility for compliance with the applicable requirements is then solely with that organization (In this case, the processing organization applies for supply chain certification- see below).



Supply Chain Certification

Any organization that does **not perform any farming activities** is considered a **supply chain CH**. Supply chain certification will apply to any organization/actor taking legal and/or physical possession of certified volumes throughout the supply chain, starting with the first actor legally owning (i.e. purchasing) the certified volume after a farm CH.

The table below provides the definitions of the different types of supply chain CHs:

Supply Chain CHs	
Supply chain scope, single site	An organization that does not have farming in the scope of its Rainforest Alliance certification and has an identified central location that is the only site within the operation.
Supply chain scope, multi-site	An organization that does not have farming in the scope of its Rainforest Alliance certification and has an identified central location under which one or more sites are operating.

3. CERTIFICATION SCOPE

The Certification Scope of an organization refers to the crops, activities, sites, and entities a CH wishes to certify. If the organization is in scope of certification, it needs to register in the RACP and provide information on all crops, activities, sites, and entities that are to be certified to define the organization's certification scope. The certification scope determines which farm and/or supply chain requirements of the 2020 Rainforest Alliance Standard are applicable.

4. WHICH ENTITIES CAN BE INCLUDED IN THE CERTIFICATION SCOPE?

An organization can include different entities in their certification scope. The types of entities that can be included in a CH's certification scope are:

- Sites
- Subcontractors
- Farms
- Intermediaries
- Service providers

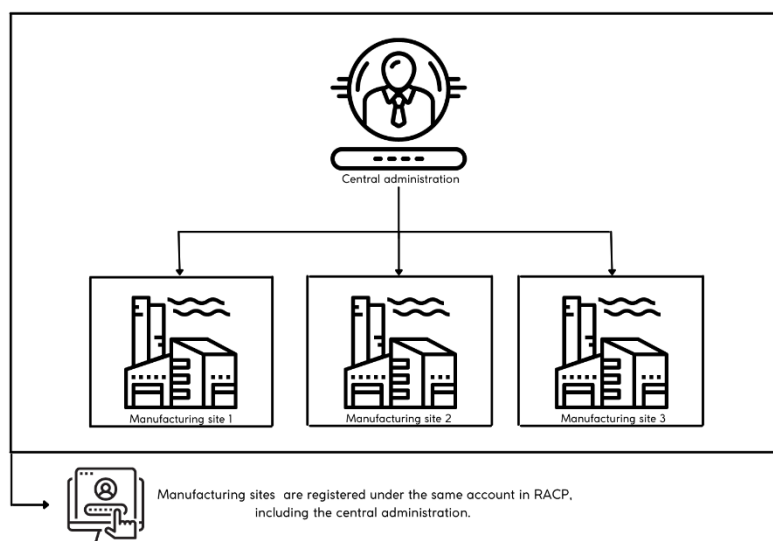
The CH is responsible for ensuring the compliance with all applicable requirements with the 2020 Rainforest Alliance Standard and 2020 Certification and Auditing Rules for all entities included in their certification scope ([2020 Certification and Auditing Rules, Rule 1.1.8](#)). This means that the CH's central administrator will be required to take full responsibility for registering all relevant sites, subcontractors, farms, intermediaries and service providers in their RACP account and ensuring their compliance with the applicable requirements. In this case these entities are not required to register or get certified separately.



4.1. SITES

If an organization has an identified central location with one or more sites operating underneath (also referred to as multi-site), all the sites can be registered in one account in the RACP. This means that the different sites will not have to register individually or go through a separate registration process. In this case the multi-site administrator must add each individual site as an entity within the organizational profile of the registered organization in the RACP.

It is important to note, that for a multi-site certification (at supply chain level) only sites falling in the [same geographical region](#) can be included in the same certification scope. For example, a site in the United States cannot be included in the certification scope of a multi-site with only sites located in Europe. The verification level is calculated for each individual site using a Supply Chain Risk Assessment (SCRA). Based on the results of the SCRA, each site will either receive an endorsement or will be required to undergo an audit to finish the certification procedure.



4.2. SUBCONTRACTORS

Subcontractors (see [definition](#)) can either

- be included in the certification scope of one or several CHs or
- obtain their own certificate.

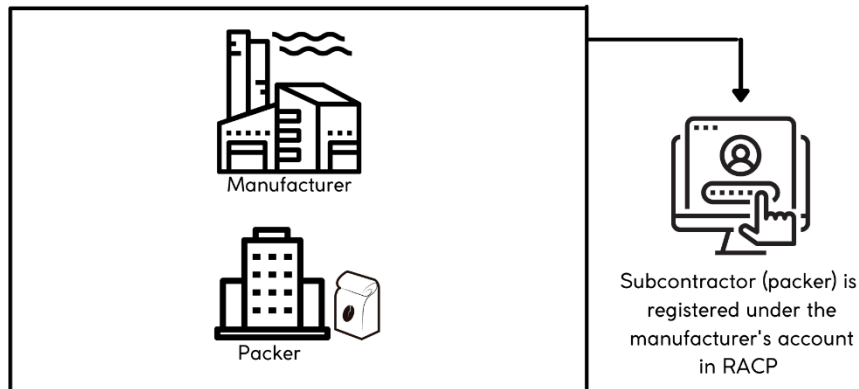
Example: A packer receiving green coffee in jute bags, re-opening them to put the green coffee into bigger bags. In this case, the packer could decide to either a) be included in the certification scope of each of the CHs it is contracted by, or b) obtain its own certificate.

Option a: The subcontractor is included in the certification scope of one or several CHs.

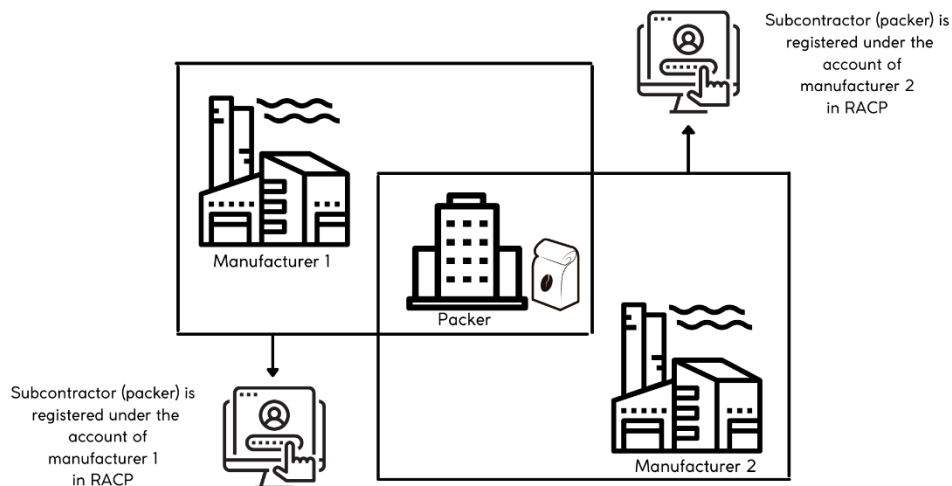
The subcontractor does not need to register and become certified individually. They only need to be included in the certification account in the RACP of the CH(s) who contract them. In this case the subcontractor will be certified as part of the CH(s)' certificate but will not receive its own certificate.



Subcontractor included in the certification scope of one CH:

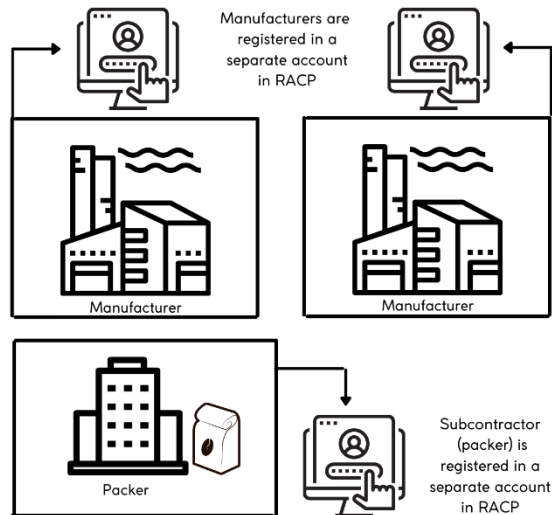


Subcontractor included in the certification scope of several CHs:



Option b: The subcontractor obtains individual certification

A subcontractor may choose to get certified individually by registering in the RACP and defining its certification scope based on the activities it performs. This means the subcontractor will also have to go through the registration independently, receive its own certification account, and obtain its own certificate. Certain transaction responsibilities may also apply. Since the subcontractor is independently certified under the Rainforest Alliance Certification Program, it does not need to be included in the certification scope of any CH it offers services to. This option is recommended for subcontractors that perform activities for several CHs, since it can reduce the number of audits they are required to undergo.



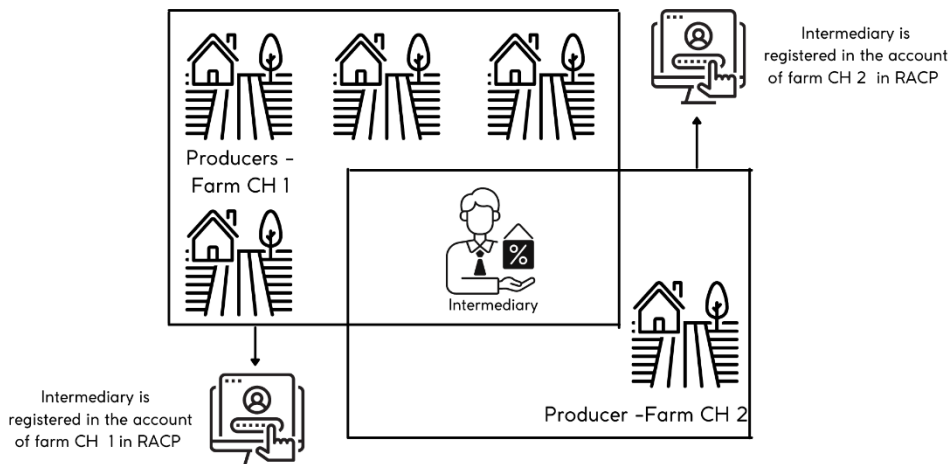
4.3. FARMS

For a definition of what entails a farm organization, please see [here](#).

Entities that can be included by a farm CH are all entities mentioned under section A, B, D and E.

4.4. INTERMEDIARY

Intermediaries (see [definition](#)) can only be part of farm certification and can be included in the certification scope of one or several farm CHs. Example: Small traders such as "pisteurs" in Cote d'Ivoire or "manavs" in Turkey, who source from different producers to supply farm CHs. In this case, the intermediary (e.g., a pisteur in Cote d'Ivoire) only needs to be covered by the certification of the farm CH/CHs and does not need to register and become certified individually.

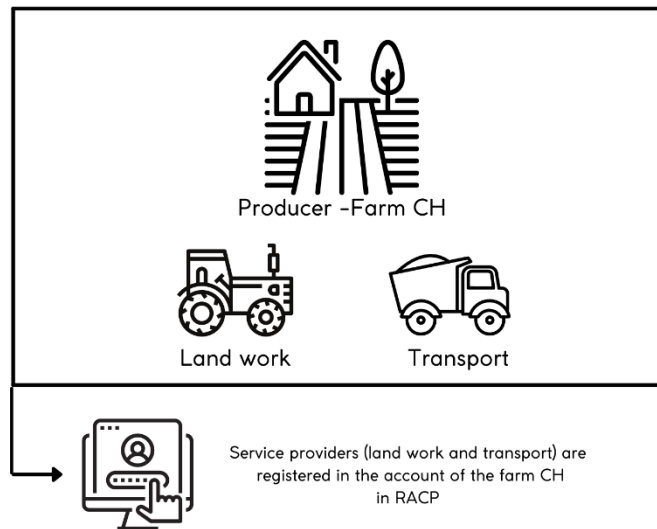




4.5. SERVICE PROVIDER (INCLUDING LABOR PROVIDERS)

Service providers (see [definition](#)) cannot be certified independently and must therefore be included in the certification scope of the farm CHs to whom they provide services. This means, the service provider then only needs to be added in the RACP under the certification account of the farm CH/CHs but does not need to register and become certified individually.

Service providers included in the certification scope of one farm CH:



Service providers included in the certification scope of several farm CHs:

