

RAINFOREST ALLIANCE

GUIDANCE

GUIDANCE TO DEFINE IF AN ORGANIZATION
IS IN SCOPE OF CERTIFICATION

Version 1.1



**RAINFOREST
ALLIANCE**



Translation Disclaimer

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

More information?

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

Document Name:		Document Code:	Version:	Language:
Guidance to define if an Organization is in Scope of Certification		SA-G-GA-43	V.1.1	EN
Date of first publication:	Date of revision:	Valid From:	Expires by:	
January 31, 2022	June 6 th , 2023	Immediately	Until further notice	
Developed by:		Approved by:		
Rainforest Alliance Department Standards and Assurance		Director of Standards and Assurance		
Linked to:				
2020 Rainforest Alliance Certification and Auditing Rules				
Replaces:				
N/A				
Applicable to:				
(prospective) Certificate Holders				
Country/Region:				
Global				
Crop:		Type of Certification:		
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.



Objective of this document

Several factors influence whether an organization is in **scope of certification** for the Rainforest Alliance Certification program, based on the 2020 Sustainable Agriculture Standard. This guidance supports organizations to understand whether they need to register in the Rainforest Alliance Certification Platform (RACP) and get certified under our program.

When is an organization in Scope of Certification?

Whether an organization needs to go through registration and get certified depends on the types of activities it is involved in.

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

- It is involved in farming activities
- It is involved in the physical handling of certified products, such as packing or processing
- It purchases and sells certified products (e.g. trading)

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

- It only stores or transports certified products without making any modification to the product or the packaging (transport, most warehousing).
- It distributes a final consumer-facing product and does not make any modifications to the product. In the case of retailers and brand owners, please see the table below for further clarification.

Organizations that are out of scope of certification do **not need to register in RACP or get certified**.

EXAMPLES PER ACTIVITY

The table below provides examples of different activities a company may be involved in and indicates the cases in which companies are required to register and get certified.

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

Activities	Registration & Certification required
Farm Certificate Holders	
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
Supply Chain Certificate Holders	
Packing <i>The process of putting products into a package, or repacking products in a different package. Packing takes place at different stages in the supply chain and includes final consumer-facing 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. Note: Coffee that is first sorted then packed is still considered a packing activity.	Yes
<u>Example 2</u> : A packer receives an already packed chocolate and puts it in an outer box (or bigger pack) on which it applies the seal.	Yes
<u>Example 3</u> : A packer receives avocado in boxes, removes them from the boxes and repackages them for sale to another entity.	Yes
Trading <i>The process of purchasing and selling certified product without modifying or physically handling the certified product.</i>	
<u>Example 1</u> : A cocoa exporter buying and selling cocoa powder.	Yes
<u>Example 2</u> : An importer trading branded fresh fruit.	Yes
Central Management Location <i>The central management site of a company responsible for purchasing and selling the certified product.</i>	
<u>Example 1</u> : A company has a central administration site which is the legal owner of the certified product, and is responsible for all purchasing and selling contracts, even though that site never physically receives the certified product.	Yes
<u>Example 2</u> : A coffee exporter buying and selling green coffee.	Yes
Intracompany finance entities <i>An entity within the same legal structure as the actual certificate holder, and which is solely responsible for payment of the Rainforest Alliance Certified product. 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
Banks/Financiers <i>An entity providing funds to another entity for the purchase of certified volumes.</i>	



Example 1: A financier/bank is providing funds to organization X for them to be able to trade. Apart from providing the funds, the financier/bank does not legally own the certified volumes or perform any other activities with those volumes.	No
Example 2: Similar to Example 1, but the financier/bank becomes legal owner of the certified volumes (even if just temporarily).	Yes
Processing <i>The process of physically altering certified product resulting in a different output (eg. manufacturing, roasting, blending)</i>	
Example: A cake manufacturer mixing cocoa powder with other ingredients to produce cakes (B2B or B2C).	Yes
Warehousing <i>The process of storing certified product without making any modifications to it. An entity buying and selling is not classified as a warehouse and should refer to the Trading activities above. This can happen at various stages in the supply chain and thus involve non-final or final consumer-facing products.</i>	
Example 1: A warehouse that only stores green coffee until it is purchased by another organization (whether the buyer is already known or not). No other activity is performed at that location.	No
Example 2: A warehouse that stores finished labeled coffee products ready for consumption.	No
Example 3: A warehouse/ripening facility that is only used to store bananas while they ripen. No other activity is performed.	No
Example 4: A warehouse that also performs blending, roasting or other processing activities. This would be considered a processor but may be referred to as a warehouse in some regions.	Yes
Transportation only <i>Any organization that only engages in transporting (e.g. by trucking, plane, boat, etc.) the certified product, without making any modifications to it.</i>	
Example: Logistics organization that drives green coffee bags from the farm to the trader's warehouse.	No
Final product distributor <i>Any organization that purchases and sells already packaged and labeled final consumer-facing products ready for consumption.</i>	
Example: Organization receives already -packaged and labeled products (e.g. chocolate bars) from the final manufacturer and transports them to a retailer.	No
Subcontractor <i>An organization contracted by another organization to perform activities such as packing or processing on their behalf. A subcontractor is never the legal owner of the certified product.</i>	Yes ¹

¹ Subcontractors can either register and get certified individually or be added as part of the contracting organization's certification scope, in which case the contracting organization is responsible for the subcontractor's compliance with the applicable requirements of Rainforest Alliance's 2020 Sustainable Agriculture Standard.



Brand owner <i>Rainforest Alliance Certified final consumer-facing products are sold under their own brand. The manufacturing of these products can be in the scope of the brand owner or contracted out to a manufacturer.</i>	Yes
Retailer <i>Any organization that purchases and sells already packaged and labelled, final products to consumers, as private label or non-branded products, or under their own brand.</i>	Yes (Please refer to decision tree for further detail)
Design Agency <i>An organization contracted by another organization for the design of packages of final consumer-facing products using Rainforest Alliance's certification seal.</i>	No ²

² If a design agency wishes to submit trademark requests certification claims on behalf of another organization, you will have to register in the Rainforest Alliance Certification Platform (RACP). You do not need to sign a License Agreement 2020 or be added as a sublicensee on another organization's License Agreement 2020. Please note that the organization(s) you will be linked to much first register in the Rainforest Alliance Certification Platform for our Rainforest Alliance Certification Program.