



Retailers & Foodservice Companies in the Rainforest Alliance 2020 Certification Program

Certification & Traceability

March 2022

AGENDA

1. Private Label brand owners included in certification & traceability
2. Who needs to register for certification and for trademark approval
3. When & how to register [Click register text](#)
4. Standard Requirements & Verification Process
5. Registration process & systems

1 – Private Label Brand Owners included in Certification & Traceability

Extending Certification to Retail & Foodservice Companies

- **WHY:** Including **all** supply chain actors, including private label brand owners, is improving the **assurance** as well as **credibility** of the program.
- **BENEFITS:** share **data** on investments and impact on farm level, share better insights into sustainability risks for specific supply chains, and improve assurance around a broad range of responsible sourcing areas.
- **Shared Responsibility across the supply chain** is an important element of the new program. It is **based on transparency on improvements and costs linked to sustainable development.**

2 – Who needs to register for certification and for trademark approval

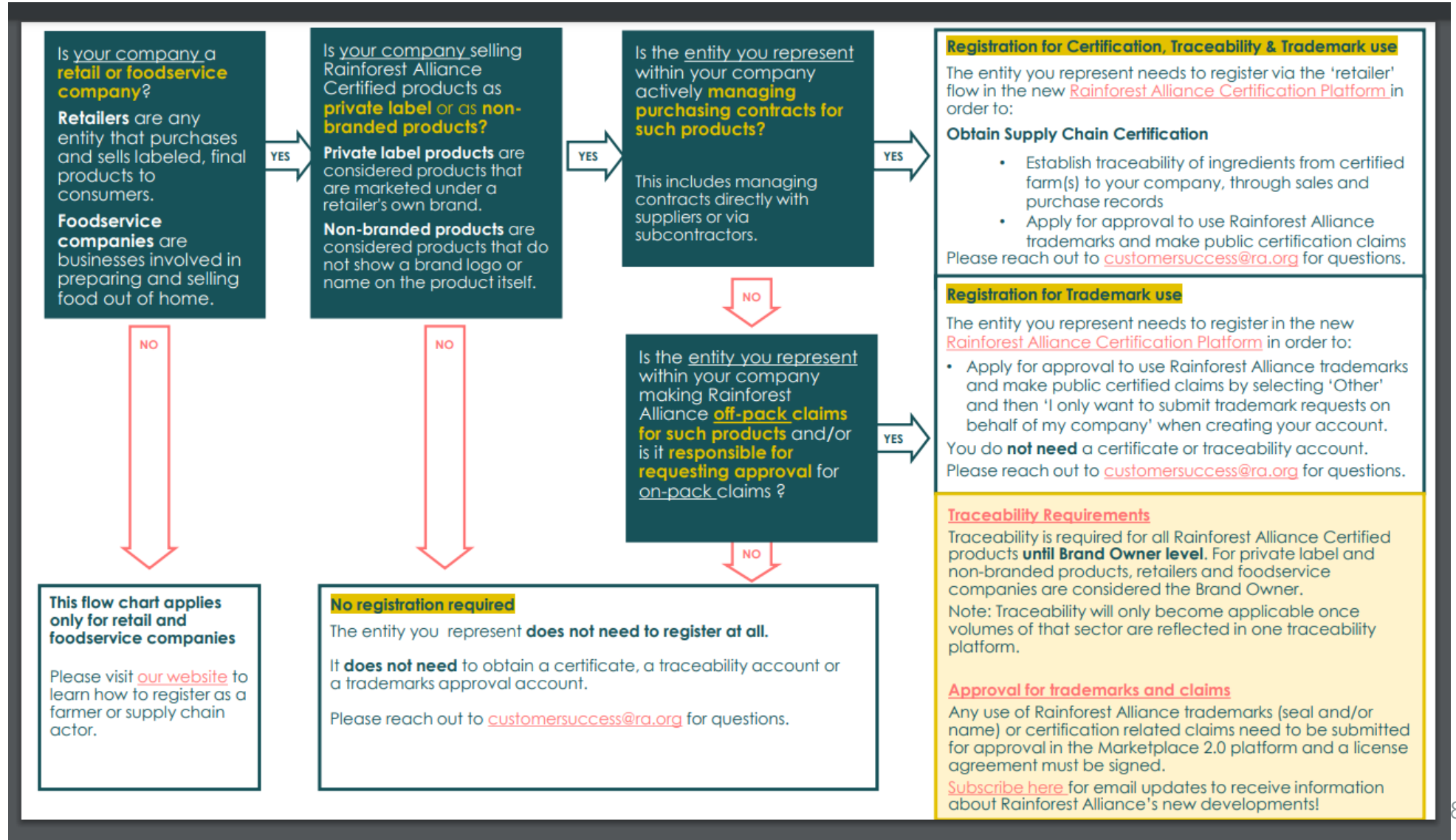
Who needs to register for certification

- Retail and foodservice companies **actively involved** in purchasing Rainforest Alliance Certified **private label products** need to register for certification.
- This may be the Headquarter, but could also (additionally) be buying companies, national subsidiaries or any other entities.
- Actively purchasing means they are managing contracts with suppliers/ private label manufacturers.
- Entities may register individually or, if based in the same geographic region, may register jointly via a multi-site certificate with a shared administration.

Who needs to register for trademark approval only

- In some cases, entities are selling Rainforest Alliance Certified private label products.
- But they do not manage the purchasing contracts themselves. Those entities do not need to register for certification.
- They may register for trademark approval only if they wish to use the RA seal or claims.

Decision Tree: Who needs to register



3 – Standard Requirements & Assurance

Verification Levels for Retail & Foodservice Companies

Companies receive a Verification Level from Rainforest Alliance, based on the information provided during the registration process.

For retail and foodservice companies this is usually Level A or Level B.

** additional activities such as processing or trading could result in a greater risk designation.*

Level A – No audit with a Certification Body required

- An '**endorsement certificate**' is issued by Rainforest Alliance after a desk review. No audit required.

Level B – Desk Audit with a Certification Body required – once per 3 years

- If **requirements linked to Sustainability Differential or Sustainability Investment** apply for a company, they fall in Level B.
- This would be the case for brand owners of Rainforest Alliance Certified black or green tea. Or for importers of fresh fruit/banana.

Verification Levels for Retail & Foodservice Companies

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

Supply Chain Risk Assessment (SCRA)

The following data is collected from organizations when creating their profile in MultiTrace. This data forms part of the SCRA and allows to assess the risk and determine the verification level:

- Site location, specifically country
- Site activity (i.e. trading, processing, warehousing, packing, retailer/brand owner)
- Crops handled or purchased at a site
- Whether the physical handling of product occurs at a site
- Whether only Rainforest Alliance products are handled at a site
- Site volumes per crop
- Site role (i.e. administrator)
- Whether a site is a first buyer
- The type of claim a site is making
- Whether a site has a specific combination of valid certificates to other Chain of Custody/Supply Chain schemes (i.e. organic, fair trade, GFS, ISO, Etc.)

Standard Requirements for Retailers

15 requirements can potentially apply for retail and foodservice companies.

Always apply:

- 1.1.4 - Due Diligence
- 1.2.3 - List of subcontractors and suppliers
- 1.4.1 - Internal inspection (only if part of a multi-site certificate)
- 1.4.2 - Self-assessment
- 1.5.1 - Grievance mechanism
- 2.2.2 - Traceability

Potentially apply: On Rainforest Alliance trademarks and claims

- 2.1.3 - Use of Rainforest Alliance trademarks and claims
- 2.2.4 - Approval process for use of Rainforest Alliance claims and seal

Potentially apply: On Shared Responsibility

- 3.2.3-3.2.7, 3.3.4-3.3.5 - SD/SI Requirements per sector

Further info: - Retail
Website

<https://www.rainforest-alliance.org/business/certification/which-retailers-should-get-rainforest-alliance-certified/>

Traceability Requirements

Traceability ends at Brand Owner level in line with traceability requirements.

Therefore, all private label volumes & non-branded volumes need to be reported in the respective traceability platforms from supplier to brand owner.

What do suppliers need to do

- Create outgoing transactions to the private label brand owner
- For labeling approval requests: Indicate who is the brand owner

What do private label brand owners need to do

- Confirm incoming transactions from their suppliers (it is possible to use an automated confirmation functionality)
- Keep invoices on file, so they can be linked to transactions
- Volumes do not need to be redeemed from the traceability account

4 – When & How to Register

When & Where to Register

Timelines

- Retailers and foodservice companies holding an UTZ or Rainforest Alliance 2015 license need to obtain a new Rainforest Alliance license **before their current license expires.**
- Retailers and foodservice companies without an UTZ or Rainforest Alliance 2015 license that are already selling Rainforest Alliance certified products under their own brands, are required to **obtain a new license before December 31, 2022.**
- We recommend to **allow up to six months** to obtain a license. **Register no later than June 30, 2022.**

How to register

- Companies may register via the [Rainforest Alliance Certification Platform \(RACP\)](#)
- [Demo](#) of the process is available for support

Next Steps

Timelines

- **Registration**
 - [Open, recommended from 1 April](#)
 - June 30, 2022: Recommend to finalize registration
 - December 31, 2022: Deadline for obtaining certificate
- **Contact suppliers** to inform them of your registration and the traceability options being used – Segregation, Identify Preserved, Mass Balance
- Support – customersuccess@ra.org or reach out to your Account Manager



Demonstration Registration

How to Register in the RACP (RA Certification Platform)

5 Steps of the Registration Process for Certification

1

Submit your registration request

- Access the [Rainforest Alliance Certification Platform \(RACP\)](#)
- Select Retailer from the options and confirm the requirement for certification
- Provide basic information about your organization and any current UTZ and/or RA IDs
- Accept the Terms & Conditions and submit your participation
- In a couple of days, you receive an activation email. If not approved, your request is rejected or pending and you are informed about the reason

2

Provide organization information

- Follow the link in the activation mail and create a password
- Read the information about the steps to follow and the options for your certification
- Continue to the RACP dashboard and start setting up your organization
- Select 'Add sites / subcontractor' and provide all requested information
- On the summary page, check your input and add the entity / entities to your organization

3

Prepare your certification scope

- Open the certification scope and add your site(s), incl. crops and activities
- When prompted, provide more information about your site(s) per location
- Verify that you have accurately added all sites that need to be included in your scope of certification
- With all entities added, you can confirm your certification scope

4

Confirm your certification scope

- Every entity in the certification scope will be certified when compliant with the applicable requirements
- Confirm the scope and answer any question when prompted
- Review or download the applicable requirements
- Select the 'Calculate my verification levels' button to get your Supply Chain Risk Assessment results and next steps
- Once the Rainforest Alliance has reviewed your profile, you will be contacted with your risk results and next steps

5

Sign/Upload a Legal Agreement

- Open the tab 'Organization > Legal' and if applicable, add the legal hierarchy by linking organizations to continue
- Please note the Rainforest Alliance uses the DocuSign signature process. If not allowed in your country, please print, manually sign and upload the legal agreement
- Once signed, submit the legal agreement by using the button 'Send to the Rainforest Alliance'
- The Rainforest Alliance will then review your submission
- You can see your legal agreement status at any time in the Legal Agreement status overview



Wrap up

Wrap up

- Recording of this session can be found on the [events page](#)
- Timelines
 - Register from 1 April 2022
 - Recommended to finalize registration 30 June 2022
 - Deadline for obtaining certificate 31 December 2022
- [Link to guidance materials](#)
- Support – customersuccess@ra.org



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