Retailers & Foodservice Companies in the Rainforest Alliance 2020 Certification Program
1 – Introduction
AGENDA

1. Introduction
2. The Rainforest Alliance 2020 Certification Program
3. Who needs to register for certification
4. The registration process to get certified
5. Seal use and approvals
6. Traceability
7. Next steps & support

Q&A
2 – The Rainforest Alliance 2020 certification program
Unlocking investments

Building alliances

Rainforest Alliance’s interventions

Certification
Landscape Management
Advocacy
Supply Chain Services

Livelihoods
Human Rights
Climate
Forests
Extending Certification to Retail & Foodservice Companies

• Why do we do this?
  Including supply chain actors up until the end of the chain, is improving the **assurance** as well as **credibility** of the program.

• **Shared responsibility across the supply chain** is an important element of the new program. It is based on transparency throughout the supply chain.

• **What are the benefits for you as retailer?**
  • Improved **assurance** around responsible sourcing areas
  • Opportunities to receive and share **data** on your responsible sourcing investments and impact on country or farm level
  • **Claims and marketing** opportunities.
Rainforest Alliance certification supports due diligence

Proposed European due diligence legislation requirements include:

- Risk management system
- HR policy statement
- In-house responsibility

- Risk analyses

- Prevention and mitigation of potential adverse impacts
  - Remediation Measures

- Complaints procedure

- Documentation & communication

- Monitoring

Due Diligence Frameworks and Management Tools

Risk Assessment Tools

Risk Management and Mitigation Tools

Grievance Mechanisms and supporting guidance

Data and Communication Tools

Assurance and Verification

Note: Certification is an aid – not a substitute – for due diligence.
WORKING TOGETHER FOR A BETTER FUTURE
3 - Who needs to register for certification?

Who specifically is required to register for certification?
Who is required to register for trademark approval?
Before we begin…

CERTIFICATION ≠ AUDIT?
Which of your companies should register?

Registering for Certification & Traceability

We invite companies that actively purchase Rainforest Alliance Certified private label products to register for certification.

Actively purchasing means: management over the contracts with local suppliers/private label manufacturers, not done by international purchasing.

Registering for Trademark Approval only

Companies that do not purchase Rainforest Alliance certified private label products (companies that DO NOT manage purchasing contracts) don’t have to get certified. They can register for trademark approval if they want to make on-pack or off-pack claims about their Rainforest Alliance Certified products.

If you are not sure what situation applies to you, please contact our customer success team at customersuccess@ra.org
4 - The registration process to get certified

When should you register?
How should you register?
What does the registration process looks like?
When & How should you Register?

What are important timelines to be aware of?

• We encourage companies to register now and start your certification process, we ask all retailers to do so before the end of 2022.

Here we show you the main steps of the registration process*

• Step 1: Start your registration and submit a registration request
• Step 2: Supply chain risk assessment
  ◐ Create a Certification profile
  ◐ Provide additional information to your certification profile based on the characteristics of the sites you added
  ◐ Confirm certification scope
  ◐ View and download applicable standard requirements
• Step 3: Calculate verification levels
• Step 4: Perform self-assessment
• Step 5: Sign/send your legal agreement

* Video tutorials on the registration process will be available late October 2022
Now let's start the registration progress together
Submit your registration request

- Access the Rainforest Alliance Certification Platform (RACP)
- Select your preferred language
- Create your account: Select “Retailer” from the options and confirm the request to become certified.
- Account registration: 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 including a link to continue your registration.
- If not approved, your request is rejected or pending and you are informed about the reason.
Registration guidance

This is step 2 of the Registration Process for Certification

Supply chain risk assessment: Create certification profile, confirm scope, view standard requirements

• Follow the link in the activation mail and create a password
• Continue to the RACP dashboard and start setting up your “Certification Profile”
• Provide additional information for each site/entity you want to get certified. (crops, activities, volumes and other questions).
• Confirm your certification scope and view requirements
• View and download standard requirements for each of your sites

Add a site/subcontractor

You need to add information on your site.

Details

- Site name
- Is this a subcontractor?
- Street name and number
- Address line 2
- Postal code/ZIP Code

Certification scope

Commodities

Verification

Notification
Registration guidance

This is step 3 of the Registration Process for Certification

• 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
• Your verification levels will indicate if your sites qualify for endorsement, where no remote audit is required. Or it might be that any of your sites in your profile need an audit, for instance if you also perform other activities then just retail. In that case, the next steps will indicate what that audit should look like.

Calculate your verification levels

<table>
<thead>
<tr>
<th>Certification scope</th>
<th>Requirements</th>
<th>License preparation</th>
</tr>
</thead>
<tbody>
<tr>
<td>SITE 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SITE 2</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Your certification scope has been confirmed

Sites / subcontractors

- Inreacoffe2
- Site: Retail
- Commodities: Coffee
- Ready for calculation

Start verification

When and how will I get my verification levels?

You will receive an email from supplychain@ci.org and notifications in eCIP once your verification levels have been calculated. Please see our current response times below.

- Audits in Rainforest Alliance Certification Platform (eCIP) once your verification levels have been calculated.
- Please see our current response times below.

What will my verification levels tell me?

Your verification levels will indicate which of the sites in your profile need an audit, what that audit should look like, and if any of your sites qualify for endorsement, where no remote audit is required. It might be that any of your sites in your profile need an audit, for instance if you also perform other activities then just retail. In that case, the next steps will indicate what that audit should look like.

What if I have questions?

If you have questions while your verification levels are being calculated, please reach out to sustainability@ci.org or our Rainforest Alliance 2020 certification and auditing rules.
This is step 3 of the Registration Process for Certification

Verification level for Retail & Foodservice Companies.

- A verification level indicates the potential risks of an organization’s operations on individual site level and the type and frequency of verification a companies needs to comply with Rainforest Alliance requirements.
- A verification level is determined based on the information you have provided us in the registration process.

Most likely, retail and foodservice companies will receive a Verification Level A. This means that an ‘endorsement certificate’ is issued by Rainforest Alliance without need for a remote audit by a certification body.

Verification Level A – endorsement process. NO audit needed
This is step 3 of the Registration Process for Certification

Other verification levels – Possible certification audit every 3 year

An entity or location of a retail or foodservice company will generally fall into other verification levels if:

- If a company has activities other than retail in its certification scope, depending on the activity (e.g. processing).
- If a company is directly responsible for the commitment and payment of Sustainability Differential (SD) or Sustainability Investments (SI), e.g. because it is directly importing fresh fruits.

In this case, companies need to contact a Certification Body and receive a remote audit. Following the audit, the CB will provide an audit report in the system and issue the certificate.
Registration guidance

This is step 3 of the Registration Process for Certification

Verification level B for TEA brand ownership does not apply anymore

Previously it was communicated that retailers and food service companies that are brand owner for made tea would receive a Verification Level B and therefore needed a remote audit. This has changed: brand ownership for tea retailers and food service companies no longer leads to Verification level B. With that decision, retailers and foodservice companies no longer need a remote audit only because of tea brand ownership.

In case you already received a verification level B because you are a retail brand owner for tea, we ask you to contact supplychaincert@ra.org to update your profile.
Registration guidance

This is step 4 of the Registration Process for Certification

**Perform self-assessment**

• Go to the tab license preparation
• Download your self-assessment
• Fill-out your self-assessment
• Upload it to the RACP

The self-assessment is a requirement of the standard. Annually, Management downloads the self-assessment from the Rainforest Alliance Certification Platform (RACP), carries out an evaluation of the company’s compliance against the requirements of the standard.
Only 1 more step to go...
Registration guidance

This is step 5 of the Registration Process for Certification

Sign/Upload a Legal Agreement

- If your company has a valid License Agreement (version 2020), a copy will be found in your pre-merger Marketplace account under "Legal Agreements".
- Set up your legal hierarchy. Go to the "Legal" tab. If your company is the HQ and is responsible for other entities that registered separately, you can link these children entities by clicking 'Link organizations'. If your company is a child organization that should be covered by the License Agreement of your HQ, link your organization to your HQ by clicking 'Link yourself to parent organization'.
- Click on "Request your legal agreement" and select "Yes, I have an existing License Agreement (2020 Version)", upload it and complete the process.
- If a company has already a valid LA 2020, it can request to add your entity as a sublicensee. To do so, the HQ would go to the Legal tab, click on "View License Agreement", click on "Add sublicensee" and follow the steps. The request will then be reviewed.

Please note that your company will not be able to receive a valid license until it has a valid legal agreement in the RACP.
This is step 5 of the Registration Process for Certification

Sign/Upload a Legal Agreement

If your company does not have a valid LA (Version 2020) already: Sign an LA 2020

- Request an LA 2020 in the RACP using the steps shown here. Go to the "Legal" tab on the RACP and first set up your legal hierarchy (see steps in previous slide).

- If you want to link any other organization to your LA 2020, you'll have a chance to add them during the process when you see the question "Who do you want to cover with your Legal Agreement?"

- If you want to add sublicenses after your LA 2020 is valid, go to the Legal tab, click on "View License Agreement", click on "Add Sublicensee" and follow the steps. Your request will then be reviewed.
5 – Next steps & Support

Summary
Next Steps & Support

What are your next steps?

1. Just press the button to access the Rainforest Alliance Certification Platform (RACP) and start by submitting a registration request.

2. Follow all remaining registration steps:
   - Create a certification profile, add additional information to your profile, confirm scope, view requirements, calculate your verification level, download and complete your self-assessment.

3. Final step, the License agreement: If you already have a fully executed License Agreement 2020, upload it. Otherwise, request and sign a License Agreement 2020 on the RACP.
Next Steps & Support

Do you need support?

For general questions regarding the systems and the registration process, please feel free to reach out to customersuccess@ra.org.

If you have a local Rainforest Alliance account manager, feel free to reach out to this person. At the Rainforest Alliance we are dedicated to connect you with the experts in the Rainforest Alliance organization and support you in your markets with local implementation.

We are here to help!
6 – Seal use and approvals
OHH no.. I still have 20 000 packages printed with the old seal in stock. Can I still use my old packages with the old seal?
Guidance on seal use and approvals

Mandatory requirement 2020 certification program: 'Approval for seal use for on- and off product communication is available (requirement 2.2.4)'

You need to request approval for on- and off-pack material through Marketplace. You should perform a request when:

• Material mentions the Rainforest Alliance name
• Material uses the Rainforest Alliance seal
• Material is public facing (B2C)
Guidance on seal use and approvals

Don't forget that:

• The seal use is optional
• If the seal is used, adding the URL ra.org (or rainforest-alliance.org) is mandatory.
• For multi-ingredient products the crop name (i.e. coffee, cocoa) is required
• B2B material (non-public facing) do not need to be submitted for Rainforest Alliance approval anymore.

• Approval is obtained in accordance with the Rainforest Alliance Labelling and Trademarks Policy and Seal Graphic Guidelines.

For promotional materials/ packaging, we hereby guide you to our Messaging Templates.
6– Traceability
Retailers and traceability

• In most cases, engaging in traceability up to retail level has become **optional**.
• Traceability is only mandatory for retailers that are required to commit and pay SD and SI. Those are:
  • Retailers directly importing fruit
  • Retailers that are the first buyer of products
  • Retailers that want to themselves commit and pay SD and SI for their tea volumes, instead of their packers.
• If companies want to make specific volume or percentage based claims about their Rainforest Alliance Certified products (e.g. “80% of our coffee is Rainforest Alliance Certified”), traceability will also be required.
• Retailers can decide to opt-in on traceability for the benefits it offers: e.g. verification of the origin of your products, access to traceability reporting and possibility to make results-based sourcing claims.
• Private label manufacturers of retailers that don’t request traceability can just redeem volumes from the traceability platform. Retailers that do engage in traceability need to request their suppliers to transact volumes to them in the traceability system.
• Making traceability optional does not affect certification requirements.
Retail tea brand owners and traceability

• Traceability will end with the packer (private label manufacturer) of the tea product. The packer will be required to commit, confirm and pay the SD/SI contribution to the Farm Certificate Holder (via the Rainforest Alliance payment facility) and redeem the volumes.

• If retailers wish to opt-in to traceability for their private label tea, they will be required to take over the SD/SI commitment, confirm and redeem volumes from the traceability platform and pay SD/SI through the Rainforest Alliance payment facility.
Questions?