



Retailers & Foodservice Companies in the Rainforest Alliance 2020 Certification Program

18 October 2022

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

Rainforest Alliance's interventions



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



Our **Human Rights** due diligence approach aligns with international frameworks:

- International Labor Organization conventions
- UN Guiding Principles on Business and Human Rights
- OECD Guidelines for Multinational Enterprises

Our **Environmental** due diligence approach aligns with international best practice on deforestation, pesticide management, ecosystem and biodiversity protection.



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

For more details and guidance, we suggest you to look at our certification [decision tree](#)

4 - The registration process to get certified

When should you register?

How should you register?

What does the registration process look 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**





Registration guidance

This is step 1 of the Registration Process for Certification

1

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

Create your account

Through this registration process we kindly ask that you share additional details about the organization you want to become certified by the Rainforest Alliance. If you manage multiple organizations, please create separate accounts per organization

Sign up as

Farm organization

any organization that has farming activities under their direct responsibility and wants to get certified as single farm, multi-farm or group of farms.

Supply Chain Actor (except retailer)

any organization that performs the following activities: milling, trading, warehousing, packing, processing (including manufacturing). these activities are outside of the scope of the farm organization category above.

Retailer

An organization that sells, among other things, certified agriculture (processed) products to the public in stores and on the internet. A retailer is an account role which is a Supply Chain Actor that can be part of the RA Certification.

Account registration

☒ Organization details ☐ Organization address ☐ Personal details ☐ Terms and Conditions

Organization name

irenecoffee

Do you have an existing UTZ or Rainforest Alliance account?

☐ Yes
☒ No

Select your main crop that you want to register for (you can add more later)

Coffee

Cancel registration

Previous step

Continue

This is step 2 of the Registration Process for Certification

2

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

License Status : Pending

Certification scope

Confirm scope and view requirements

Sites / subcontractors

Add new site →

Name ▼	Type ↕	Location ▼ ↕	Activities ▼	Commodities ▼	verification	Notification
irenecoffee2	Site				-	You need to add information on your site
Itolofilems						

Add a site/subcontractor

A site is a location that you would like to include in your certification that purchases, handles, and/or processes Rainforest Alliance Certified product. This can also be a location subcontracted by you that you want to include in your certification.

Details Crops Activities Input output traceability Certification questions summary

Details

Site name irenecoffee2

Is this a subcontractor? No

Street name and number Please mention your street name and number

Address line 2 Please mention your address

Postal code/ZIP Code Please mention your postal code

3

- 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.

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Registration guidance

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

WHICH
COMPANIES
MIGHT NEED TO
GET AUDITED?

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.



Latest
developments
on tea brand
ownership!

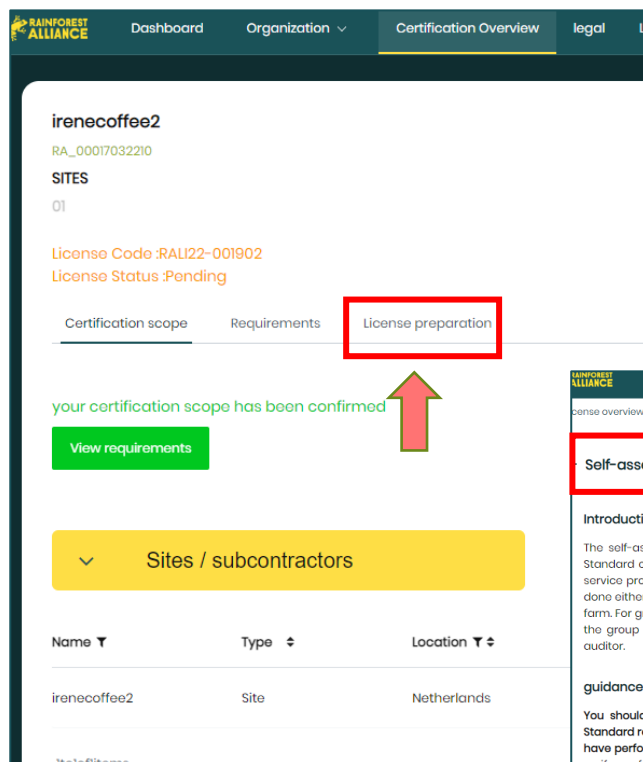
In case you already received a verification level B because you are a retail brand owner for tea, we ask you to contact supplychaincert@ra.org to update your profile.

This is step 4 of the Registration Process for Certification

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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



Dashboard Organization Certification Overview legal

irenecoffee2
RA_00017032210

SITES
01

License Code :RALI22-001902
License Status :Pending

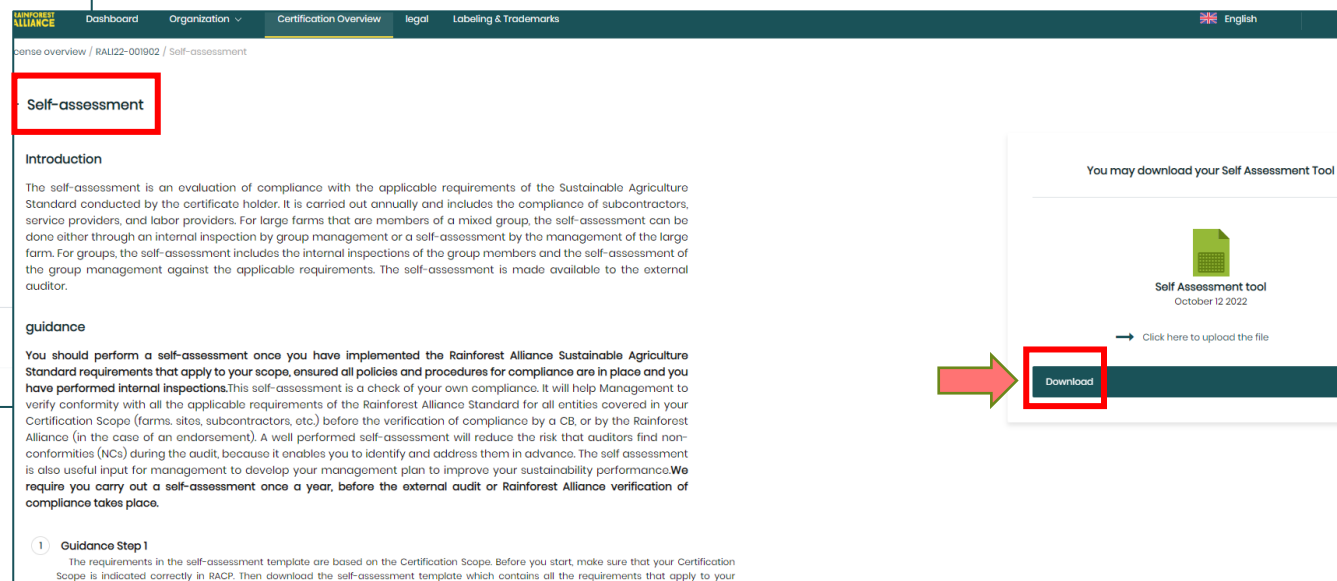
Certification scope Requirements **License preparation**

your certification scope has been confirmed

View requirements

Sites / subcontractors

Name	Type	Location
irenecoffee2	Site	Netherlands



Dashboard Organization Certification Overview legal Labeling & Trademarks English

Self-assessment

Introduction

The self-assessment is an evaluation of compliance with the applicable requirements of the Sustainable Agriculture Standard conducted by the certificate holder. It is carried out annually and includes the compliance of subcontractors, service providers, and labor providers. For large farms that are members of a mixed group, the self-assessment can be done either through an internal inspection by group management or a self-assessment by the management of the large farm. For groups, the self-assessment includes the internal inspections of the group members and the self-assessment of the group management against the applicable requirements. The self-assessment is made available to the external auditor.

guidance

You should perform a self-assessment once you have implemented the Rainforest Alliance Sustainable Agriculture Standard requirements that apply to your scope, ensured all policies and procedures for compliance are in place and you have performed internal inspections. This self-assessment is a check of your own compliance. It will help Management to verify conformity with all the applicable requirements of the Rainforest Alliance Standard for all entities covered in your Certification Scope (farms, sites, subcontractors, etc.) before the verification of compliance by a CB, or by the Rainforest Alliance (in the case of an endorsement). A well performed self-assessment will reduce the risk that auditors find non-conformities (NCs) during the audit, because it enables you to identify and address them in advance. The self assessment is also useful input for management to develop your management plan to improve your sustainability performance. We require you carry out a self-assessment once a year, before the external audit or Rainforest Alliance verification of compliance takes place.

Guidance Step 1

The requirements in the self-assessment template are based on the Certification Scope. Before you start, make sure that your Certification Scope is indicated correctly in RACP. Then download the self-assessment template which contains all the requirements that apply to your

You may download your Self Assessment Tool

Self Assessment tool
October 12 2022

Click here to upload the file

Download

Only 1 more step to go...

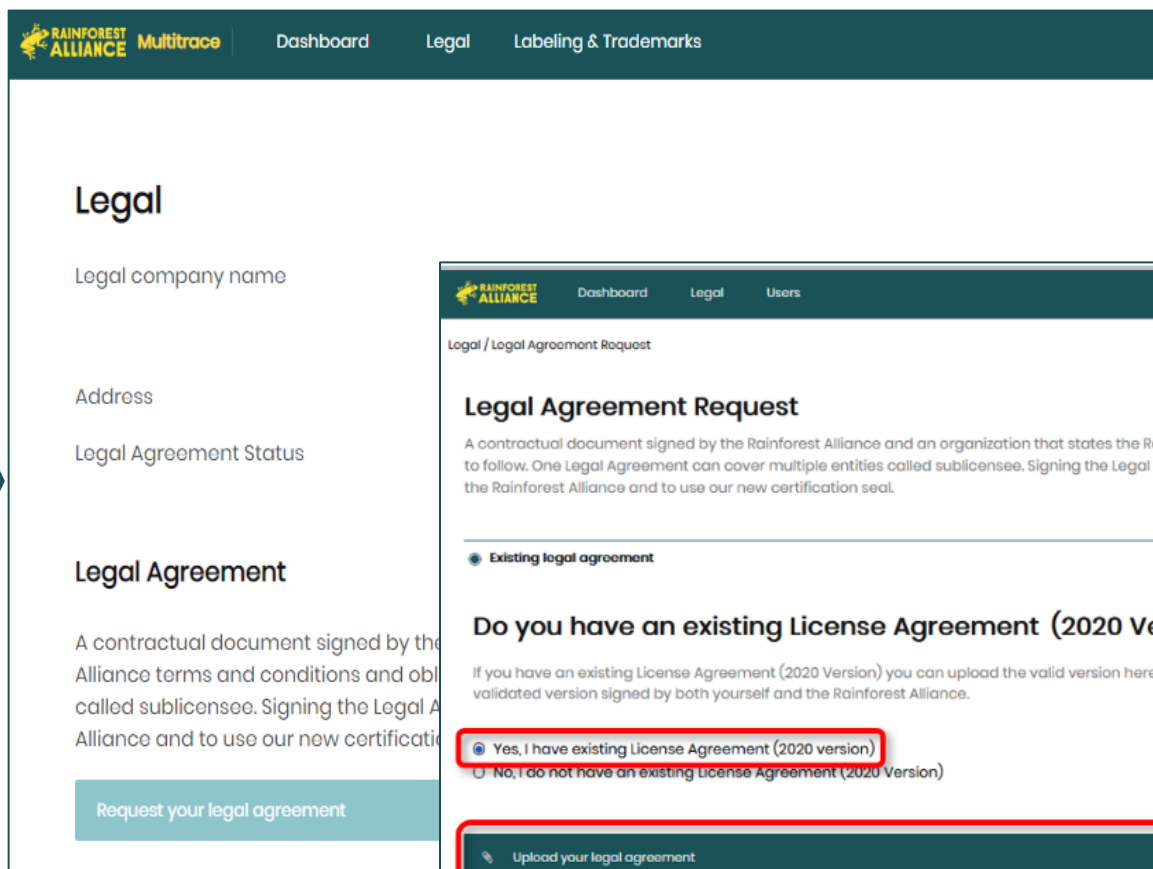


This is step 5 of the Registration Process for Certification

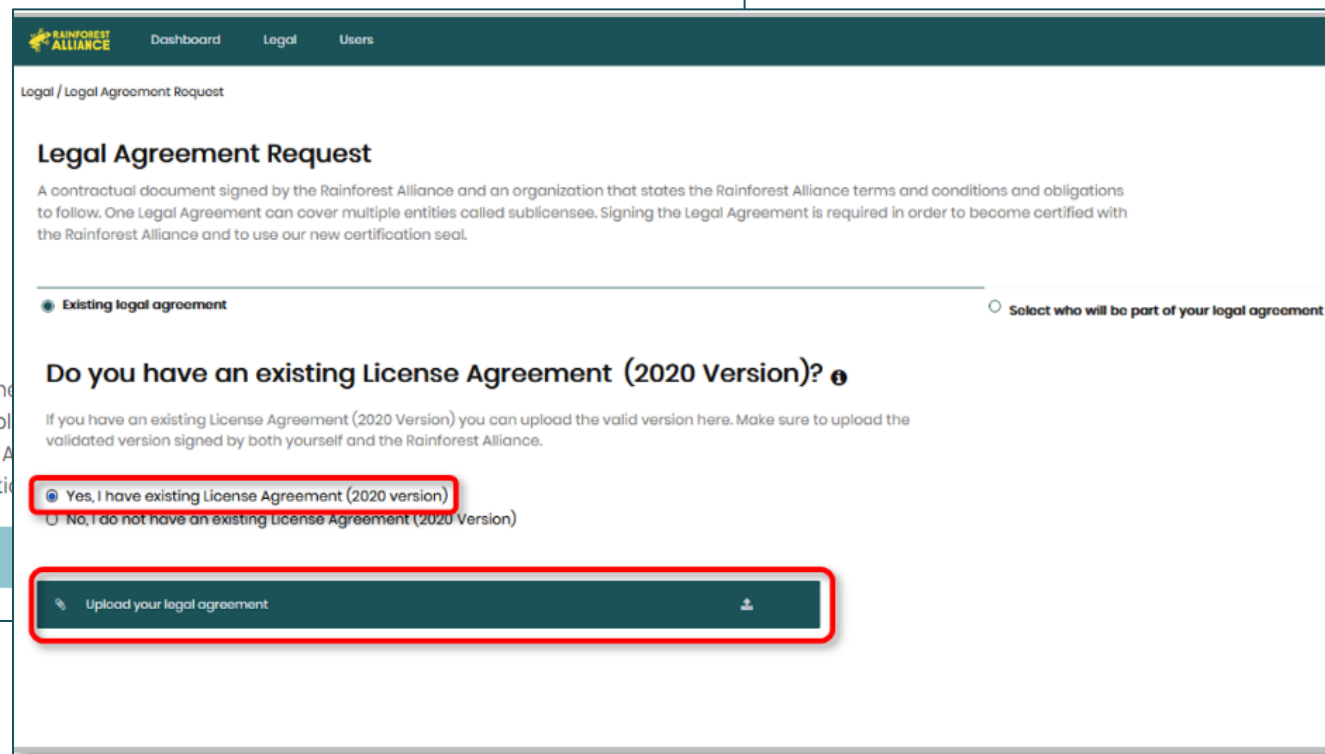
5

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.



Registration guidance

This is step 5 of the Registration Process for Certification

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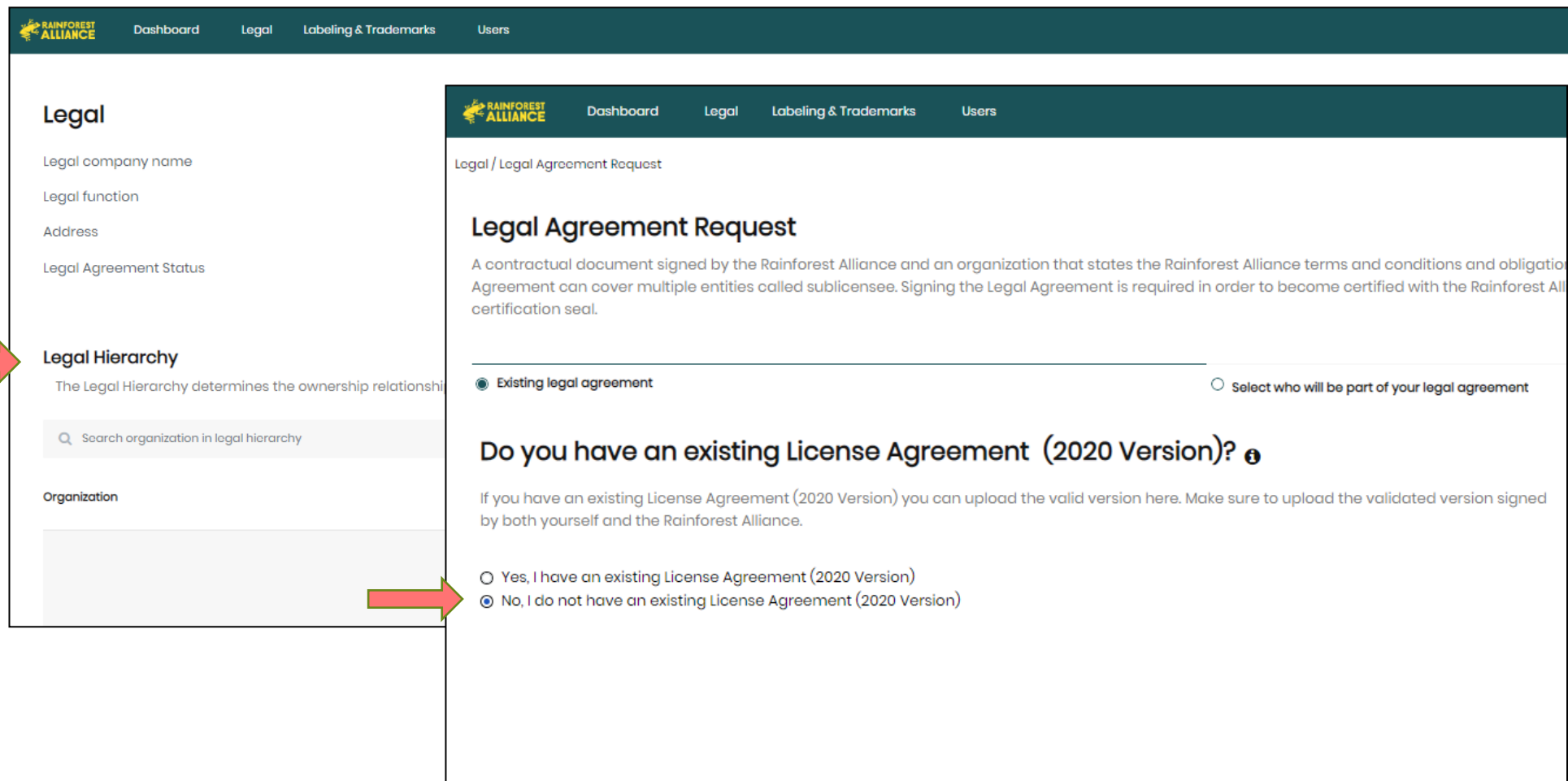
Sign/Upload a Legal Agreement

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 sublicensees** 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.



RAINFOREST ALLIANCE Dashboard Legal Labeling & Trademarks Users

Legal

Legal company name

Legal function

Address

Legal Agreement Status

Legal Hierarchy

The Legal Hierarchy determines the ownership relationship

Search organization in legal hierarchy

Organization

RAINFOREST ALLIANCE Dashboard Legal Labeling & Trademarks Users

Legal / Legal Agreement Request

Legal Agreement Request

A contractual document signed by the Rainforest Alliance and an organization that states the Rainforest Alliance terms and conditions and obligation Agreement can cover multiple entities called sublicensee. Signing the Legal Agreement is required in order to become certified with the Rainforest All certification seal.

☒ Existing legal agreement ☐ Select who will be part of your legal agreement

Do you have an existing License Agreement (2020 Version)? ⓘ

If you have an existing License Agreement (2020 Version) you can upload the valid version here. Make sure to upload the validated version signed by both yourself and the Rainforest Alliance.

☐ Yes, I have an existing License Agreement (2020 Version)

☒ No, I do not have an existing License Agreement (2020 Version)

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?**





For promotional materials/ packaging, we hereby guide you to our [Messaging Templates](#)

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)



For promotional materials/ packaging, we hereby guide you to our [Messaging Templates](#)

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](#).

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?





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ALLIANCE**

rainforest-alliance.org