

# RAINFOREST ALLIANCE

## POLICY:

### Certificate Holder Transfers

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*English*

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The Rainforest Alliance is creating a more sustainable world by using social and market forces to protect nature and improve the lives of farmers and forest communities.

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Standards and Assurance		Director of Standards and Assurance		
<b>Linked to:</b>				
SA-R-GA-1-V1.3 Certification and Auditing Rules				
<b>Applicable to:</b>				
All Certificate Holders and Certification Bodies				
<b>Country / Region:</b>				
Global				
<b>Crop:</b>		<b>Type of Certification:</b>		
All		Farm CH, Supply Chain CH		

*Policies are binding. Policies complement and/or supersede related rules or requirements for the parties they are applicable to.*

**More information**

For more information about the Rainforest Alliance, visit [www.rainforest-alliance.org](http://www.rainforest-alliance.org), contact [info@ra.org](mailto:info@ra.org) or contact the Rainforest Alliance Amsterdam Office, De Ruijterkade 6, 1013AA Amsterdam, The Netherlands.

**Translation Disclaimer**

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

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## Certificate Holder Transfers

This policy is a clarification that supersedes the implementation of chapter 1.8 of the Certification and Auditing Rules.

### 1. General Requirements for Certificate Holder Transfers

- 1.1. Certificate Holders (CH) may only be transferred from one Certification Body (CB) to another in between certification cycles. CHs shall only be transferred once every 3 years.
- 1.2. The Rainforest Alliance has the right to intervene in any CH transfer process if it concludes that the transfer(s) may jeopardize the integrity of certification and/or assurance process(es).
- 1.3. CHs shall only be transferred to CBs approved for the scope (i.e. Farm and/or Supply Chain, crop category, and country) of the CH. CHs cannot be transferred to CBs with suspended or cancelled scopes, or CBs that applied for scopes that have not been approved.
- 1.4. If a CB has its authorization or scope cancelled, the CH will be allowed to transfer to another CB authorized for the respective scope. If there are no authorized CBs for the respective scope, the Rainforest Alliance will assign a CB until the next certification audit, for which the CH will be allowed to choose any other CB.
- 1.5. In the event of disagreement between two CBs involved in a CH transfer, the Rainforest Alliance will analyze the case and make a final decision.

### 2. Transfer Procedure

- 2.1. The CH shall contact a new (incoming) CB to request a transfer for the new certification cycle.
- 2.2. Upon receiving a transfer request, the potential incoming CB shall review the CH's scope, country(ies), Supply Chain/Farm, crop category(ies), Certification Application Form (CAF), and previous certificate, to verify that the CH is eligible to fall under the scope of the new CB.
- 2.3. The incoming CB shall contact the CH's outgoing CB to inform the outgoing CB of the transfer request.
- 2.4. The outgoing CB shall refuse a transfer request if the CH meets any of the following criteria:
  - a. Has received a non-certification and/or has had their certification cancelled within the past cycle year<sup>1</sup>
  - b. Their certificate is currently suspended
  - c. Has an investigation audit in process
  - d. Has pending financial obligations with the outgoing CB

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<sup>1</sup> If a CH that had a noncertification decision or cancellation of their certificate is returning to the certification program after **3 or more harvest periods (or 18 months in the case of continuous harvest)**, they shall restart the full certification cycle and may transfer to a different CB.



- 2.5. The outgoing CB should notify the CH, the incoming CB, and the Rainforest Alliance via [cbcert@ra.org](mailto:cbcert@ra.org) within 10 business days of the transfer request if they refuse the transfer for any of the reasons stated in 2.4
- 2.6. If a CB does not agree to a transfer in between certification cycles for reasons not stated in 2.4, the CH may file a grievance with the Rainforest Alliance detailing the valid reasons for which they would like a CB transfer (see Grievance Procedure for more details).
- 2.7. If the outgoing CB agrees to the transfer request, the incoming CB shall request the following information from the outgoing CB:
  - a. Audit reports and checklists of the previous year in the cycle
  - b. CAF from the previous year
  - c. Group Member Registry
- 2.8. The outgoing CB shall maintain responsibility for the CH's current certificate (including extensions) until its expiration date. The incoming CB must inform outgoing CB if the new certificate becomes valid before expiration date of previous certificate. The outgoing CB shall shorten the validity of the issued certificate and/or extension once the certificate from the incoming CB starts. Please note: only the outgoing CB can issue an extension on the existing license.