



## SPECIFIC CERTIFICATION PROCEDURE

### SCOPE : RAINFOREST ALLIANCE STANDARD (COFFEE & COCOA)

This document supplements the provisions of the international BMS accessible via the link below.



Revision	Nature des modifications	Approbation	Date
	Update according to new RA Standard	E Gouvernel	01/02/2021

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## 2. SCOPE

This procedure supplements the provisions of the quality system of Bureau Veritas Certification in terms of certification According to “Rainforest Alliance sustainable agriculture standard supply chain requirements” named “RA Standard” in this procedure.

This procedure establishes the certification rules of RA Standard and specific certification rules applicable during the transition period from UTZ scheme to and the RA Standard.

RA standard certification is managed in geographical area Europe and Asia

Local BV offices perform following steps

- Commercial actions
- Auditing
- Invoicing

Certification team manages directly:

- Offer validation
- Certification decision
- Auditors training and qualification

Scheme Manager is: **Philippe Nourrit**

Certifying assistant: **Anne Wintrebert**

Both constitute the certification team.

## 3. TRANSITION RULES

*The applicable document corresponding to this transition period is the “Rainforest Alliance Transition Rules V.1 from the 30/06/2020.”*

This chapter concern certificate Holders (CHs) that are now certified under either current UTZ or Rainforest Alliance standards and wish to transition to the Rainforest Alliance 2020 Standard and certificate holders who have been certified in the existing UTZ or Rainforest Alliance certification programs but do not currently have a valid certificate (i.e. have gaps in their certification).

All other CHs that wish to get certified against the Rainforest Alliance 2020 Standard shall follow the Rainforest Alliance 2020 Certification Program and Auditing Rules.

In order to transition to RA 2020 certification Program CHs shall follow the transition steps below (*figure 1*) and register on RA platform as required (*figure 2*).

### 2.1 Transition from current UTZ certificate to RA 2020 certification program

The Transition Period starts on July 1, 2020 and ends on December 31, 2022. (*figure 3*)

Consequently,

All audits starting before July 1, 2021, shall be based on the current version of the UTZ certification programs.

Audits based on the current version of the UTZ Certification Programs shall not be carried out after June 30, 2021.

That is the reason why time extensions of current certificates, where necessary, shall be requested and granted as per the latest version of the current UTZ certification programs through the Certification Bodies that issued them.

CHs that are not eligible for endorsement and require a Transition Period Audit may apply for an extension of their current endorsement/audit-exempt license until December 31, 2021 to give them time to prepare for their Transition Period Audit.

If the CH's certificate expires after July 1, 2021, they shall transition directly to the Rainforest Alliance 2020 Certification Program without further re-certifying under the current UTZ Certification Program in 2021.

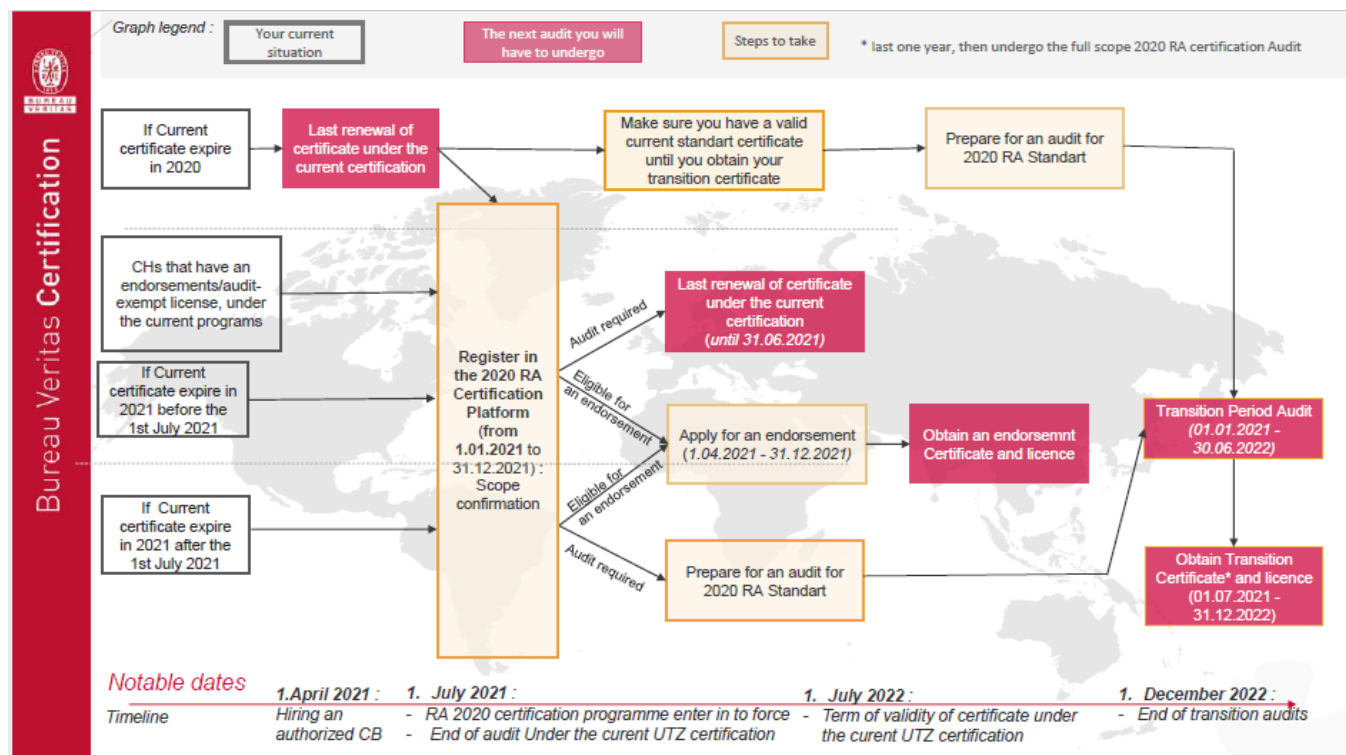
Should a Transitioning CH have more than one current UTZ certificate, they shall follow the above rules for each of these certificates to ensure its continued certification.

Once the CHs receive a Transition Certificate, which is valid for one year, the existing certificate will be cancelled.

On July 1, 2022, the CB will cancel all Current certificates issued by the CB that fall under transition Rule 76 and have not been cancelled yet. AND on December 1, 2022, the CB shall cancel all Current certificates issued by it that fall under the exception to transition Rule 76 and have not been cancelled yet.

In the event of this cancellation, the CB inform the CH at least 3 months in advance of the impending cancellation of the Current certificates. On the day of the cancellation the CB send the CH a formal letter in which the cancellation is being communicated.

**Figure 1 : Transition steps for transitioning certificate holders**



**Figure 2 : Registration time line for certificate holders (source : RA)**

Partner group	Registration window
Farm Certificate Holders	01/02/2021 - 31/12/2021
Supply Chain Certificate Holders, except retailers	15/03/2021 - 31/12/2021
Retailers	12/04/2021 - 31/12/2021

**Figure 3 : Transition window (source : RA Transition rules)**

Transition Windows		Section	2020					2021					2022					2023																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																								
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## 2.2 Transition audits

CHs have to undergo a Transition Period Audit between July 1, 2021 and June 30, 2022.

Every Transition Audit shall be planned and announced in the Rainforest Alliance certification platform as per the Rainforest Alliance 2020 Certification and Auditing Rules.

For Transitioning CHs, BVC shall consider for the Transition Period Audit plan the data obtained from the Current certification of the CH and provided by Rainforest Alliance (in case a different CB conducted the audit).

The Transition Certificate shall not be issued until the license review process by the Rainforest Alliance is complete and the Rainforest Alliance has granted a Transition License in the Rainforest Alliance Certification/Traceability Platform. This certificate is valid one year.

## 2.3 Entry in to force of RA 2020 Standard requirements

When certifying, extending licenses, and reporting under the Current standards, the Current Certification Programs apply, modified by the Transition Rules where relevant.

When certifying, extending licenses, and reporting under the Rainforest Alliance 2020 Certification Program, the Rainforest Alliance 2020 Standard requirements, Certification and Auditing Rules, Rules for CBs, and all other Certification Program documents and tools apply modified by the Transition Rules where relevant.

To be noticed: For the Supply Chain all requirements are applicable as the entry in to force of the RA 2020 certification Program.

## 4. Contract with certificate holders

Commercial officers use RA contract Template (latest version in SharePoint site)

Clients are not charged for:

a. services, e.g. audits, not delivered due to change in the Rainforest Alliance Certification Program and Certification and Auditing Rules or

b. services, e.g. audits, already contracted but not relevant anymore due to change in the Rainforest Alliance Certification Program and Certification and Auditing Rules (unless the CH asks for these services explicitly).

Contract for the Rainforest Alliance 2020 Certification Program are signed with BVC only if:

- the CH has selected the CB in the Rainforest Alliance certification platform,
- and BVC has been authorized for the Rainforest Alliance 2020 Certification Program,
- the CB authorization scope covers the CH's certification scope (e.g. country, farming).

*Especially for the transition period, the CH shall hire a Certification Body for the Transition Period Audit and new contract have to be signed: Transition Period Audits shall only be recognized by the Rainforest Alliance if they are conducted by Certification Bodies authorized for the 2020 Certification Program and specifically for the country, scope, product, and other criteria that apply to the CH in question. The only source of information on CBs authorized for a specific CH's scope is the Rainforest Alliance Certification Platform.*

Every contract signed for the Rainforest Alliance 2020 Certification Program, are confirmed in the Rainforest Alliance certification platform.

*This is including the Transition Period*

## 5. Audit planning and unannounced audits

All detailed information that the CH has provided, and required for the audit planning process will be made available for BVC in the Rainforest Alliance 2020 certification platform.

BVC shall perform the number of unannounced and/or semi-announced audits as required in the new Rainforest Alliance Certification Rules starting January 1, 2022.

*The number of surprise/unannounced/short-notice audits to be performed by CBs under the Current UTZ/Rainforest Alliance Certification Programs is modified during the Transition Period as follows:*

*a. The CBs authorized to perform Current UTZ audits shall perform 50% or more of the number of required surprise audits in 2020 based on the number of certificates they have issued in 2019.*

*b. The CBs authorized to perform Current UTZ audits shall perform 30% or more of the number of required surprise audits in 2021 based on the number of certificates they have issued in 2020.*

## 6. Human Resources

Team Qualification requirements for the RA Standard are:

TEAM	RA Requirement
Scheme Manager	<ul style="list-style-type: none"> <li>Fluent in written and oral skills English; suitable for reporting to the Rainforest Alliance</li> <li>Knowledge of relevant information systems and tools necessary to carry out quality monitoring activities on the certification process. Such as, but not limited to, Microsoft Excel, Rainforest Alliance Learning Network, and Rainforest Alliance CB Management platform.)</li> </ul>
All personnel (including Certifying assistant)	<ul style="list-style-type: none"> <li>Personal Registration in the corresponding CB database within the Rainforest Alliance CB Management platform.</li> <li>Participate in a minimum 2-hour basic course related to planning and implementation of an audit process, based on ISO 19011 requirements</li> </ul>
Certifier	<ul style="list-style-type: none"> <li>Knowledge of relevant information systems and tools necessary to carry out quality monitoring activities on the certification process. Such as (but not limited to) Microsoft Excel, Rainforest Alliance Learning Network, and Rainforest Alliance CB Management platform.</li> <li>In-depth knowledge of applicable national and local laws and regulations as well as how to interpret their application during the audit.</li> <li>18 months or 5 reviews as quality or monitoring and evaluation reviewer for Voluntary Sustainability standards</li> <li>Successful completion of a certified ISO 9001:2015 lead auditor course OR certified ISO 22000:2015 lead auditor course OR certified ISO 19011:2018.</li> <li>Successful completion of basic or advanced social auditor training such as (but not limited to) SA8000:2014, SMETA, ETI. OR At least 3 years of experience working as a Certifier in social audits OR Lead Auditor in social audits.</li> <li>Experience in auditing social standards (at least 5 relevant certification audits as a Lead Auditor in the past 4 years), such as (but not limited to) Fairtrade, GRASP, SA8000, SMETA OR being an APSCA Certified Social Compliance Auditor</li> <li>Successful completion of a minimum four-year post-high school (postsecondary school) training in Corporate social responsibility, agriculture, horticulture, or a food-related discipline whose primary focus is any combination of an industrial process, quality control, food safety or hygiene, traceability. OR At least 5 years of experience working as a certifier in the mentioned fields OR At least 5 years of work experience in corporate social responsibility, agriculture, horticulture, or the food industry</li> <li>Experience in auditing the applicable commodity systems (at least 10 relevant audits as a Lead Auditor in this commodity/s in the past 3 years).</li> <li>Experience in auditing supply chain standards (at least 10 relevant certification audits as a Lead Auditor in the past 3 years). Such as (but not limited to) Fairtrade, ASC/MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001(scope 1 or 3), ISO 22000 (scope B or C), RSPO.</li> <li>Experience in auditing social standards (at least 5 relevant certification audits as a Lead Auditor in the past 4 years), such as (but not limited to) Fairtrade, GRASP, SA8000, SMETA OR being an APSCA Certified Social Compliance Auditor</li> </ul>

TEAM	RA Requirement
Trainee	<ul style="list-style-type: none"> <li>• Successful completion of face-to-face<sup>7</sup> training on auditing principles and the auditing process.</li> <li>• Have a four-year college degree in fields with a primary focus in any combination of industrial processes, corporate social responsibility, quality control, food safety or hygiene, traceability, or supply chains<sup>8</sup>. OR At least 3 years of relevant working experience in the mentioned fields.</li> </ul>
Auditor	<ul style="list-style-type: none"> <li>• In-depth knowledge of applicable national and local laws and regulations as well as how to interpret their application during the audit.</li> <li>• Experience in auditing social standards. Participated in at least 2 relevant certification audits as an auditor or trainee in the last 4 years). Such as (but not limited to) Fairtrade, GRASP, SA8000, SMETA. OR Successful completion of basic or advanced social auditor training such as (but not limited to) SA8000:2014, SMETA, ETI. being an APSCA Certified Social Compliance Auditor</li> <li>• Experience in auditing supply chain standards. Participated in at minimum 5 relevant certification audits as an auditor or trainee in the last 3 years. Such as (but not limited to) ASC/ MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001(scope 1 or 3), ISO 22000 (scope B or C), RSPO</li> </ul>
Lead Auditor	<ul style="list-style-type: none"> <li>• Successful completion of an ISO 9001:2015 lead auditor course AND ISO 19011:2018 lead auditor course.</li> <li>• Demonstrable knowledge of the production and processing systems of the applicable commodity(s) OR Experience in auditing these commodity systems (at least 10 relevant audits as auditor or trainee)</li> <li>• Experience in auditing supply chain standards. At least 15 relevant certification audits as an auditor in the last 3 years. Such as, but not limited to; ASC/ MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001(scope 1 or 3), ISO 22000 (scope B or C), RSPO</li> </ul>
Instructor	<ul style="list-style-type: none"> <li>• Successful completion of a certified ISO 9001:2015 lead auditor course OR certified ISO 22000:2015 lead auditor course OR certified ISO 19011:2018.</li> <li>• A minimum of 2 years carrying out training for auditors on good auditing practices and environmental and/or social standards. Such as (but not limited to) GLOBALGAP, national standards (relevant scopes), Organic, Fairtrade, GRASP, ISO 14001, RAINFOREST ALLIANCE, Fairtrade, GRASP, SA800, SMETA.</li> <li>• Have a minimum of 40 relevant certification audits in auditing sustainability standards as a (Lead) Auditor.</li> </ul>
Technical expert	Master's Degree or equivalent in the field of study for which he/she is providing support as a technical expert. OR A University degree in related fields, combined with specialized experience, may be considered instead of a master's degree.
Translator and interpreter	<ul style="list-style-type: none"> <li>• Fluency in speaking and reading the language(s) being interpreted /used by managers/administration/workers and the audit team.</li> <li>• Understand the meaning and requirements of informed consent during an audit process.</li> <li>• Skilled at communicating and building rapport with vulnerable and minority groups.</li> <li>• Technical aptitude regarding the relevant technical vocabulary</li> </ul>

## Initial Qualification

Initial qualification is recorded in a form: RA Auditor Assessment&Approval.docx

Applicant people, fill in this form, and validate final provisions, including self-validation.

Applicant people do the same with “RA Confidentiality and Non-Conflict of Interest Statement” Form

Scheme Manager reviews application form and validate it by signing pdf version

NB: same documents for non-auditor people (Reviewer, Interpreter, Technical experts), Scheme manager will comment not applicable parts according to their required qualification

2 forms are uploaded in BV SIEBEL Tool for internal registration

2 forms and evidence are uploaded in MTT platform to grant approval and recognition validated requests



## Qualification Follow up

### Feedback process

In case of auditor weaknesses detected during certification review process, an immediate and effective feedback will be given by email to the auditors to correct detected issues and foster performance and quality improvements.

### Supervision plan

Evaluation of the competency and performance of all auditors:

- 1 yearly Report evaluation by auditor, managed by Scheme Manager
- Including RA Learning Network updates

Evaluation of the competency and performance of certification team:

- 1 certification file by year

RA Scheme is included in annual scheduling of internal audits; RA internal audit will be performed once by 4 years (corresponding to accreditation cycles)

**Annual performance evaluation** and Review of compliance with the Rainforest Alliance Assurance Rules:

All CB personnel shall get a personal evaluation each year on their competences following a list of competence and performance criteria; this is done in annual meeting with manager

RA Confidentiality and Non-Conflict of Interest Statement is reviewed on an annual basis during this management meeting;

This review is recorded in HR tools. For external auditors the record shall be updated at least every six months

## Anticorruption provision

BV code of Ethic includes clear statements against corruption, examples of unacceptable situations, sanctions policy, a mechanism for anonymous reporting, and the code is publicly available on the CB's website.

In such cases, BVC will inform the Rainforest Alliance immediately when a case of fraud or corruption is detected or under investigation.

In that cases of detected corruption situations, BVC could:

- repeat an audit, free of charges, to give back a correct audit report to the client
- return any goods that were received or reimbursing money received in corruption situation



## 7. CERTIFICATION PROCESS

STEPS	DESCRIPTION
Sales	<p>All commercial material is available in SharePoint</p> <p>Web site give information to clients</p> <p>Commercial Officers collect information from client to prepare draft offer</p>
Contract review	<ol style="list-style-type: none"> <li>1. Application form</li> <li>2. Contract template</li> </ol> <p>Docs are sent by mail to Scheme Manager</p> <p>Scheme Manager performs review and validation</p> <p>Approbation is given by email and authorizes to send offer to client</p>
Scheduling	<p>Commercial officer keeps signed contracts, which are available on demand from certification team</p> <p>Contract is created in operational IT Tool, and audit is scheduled</p> <p>Scheduler officer checks that auditor shall not audit the same CH for more than two consecutive years.</p> <p>Scheduler officer checks that auditor did not performed any RA pre assessment for the client</p> <p>For Investigation Audits, scheduler officer checks that auditor did not participate in the last audit of the CH</p>
Evaluation audit	<p>Self-appointment by auditor</p> <p>Auditors requires self-assessment from the CH</p> <p>Evaluation audit by auditor</p> <p>NC follow up by auditor</p> <p>Final report sent to certification team : Check list + Summary report</p>
Report review	<p>Review by Reviewer</p> <p>Reviewer can ask complementary info to auditor</p> <p>Draft certificate</p> <p>Set up in MTT platform</p>
Certification decision	<p>Certifier validates certification</p> <p>Reviewer implement request in MTT platform</p> <p>Reviewer send certificate to client (BV France) or to commercial officer BV local</p>

Note on application's review:

A review of the requests is made by the scheme manager, including at least the verification of the approval of Bureau Veritas Certification, the availability of the Customer Relationship Manager, the availability of stakeholders (auditors) as well as any other necessary element depending the customer's request (deadlines, place of intervention, language, etc.); The review of the application must make it possible to ensure that all the requirements for the certification have been understood by the applicant and that Bureau Veritas Certification is able to provide the service.

## 8. DISSEMINATING INFORMATION AND OFFICIAL CERTIFICATION DOCUMENTS

### 9.1 Provision of applicable documents

For the internal collaborators, all applicable documents are published on a specified SharePoint and are made available to all relevant personnel.

For certificate Holder, all Information about the Rainforest Alliance Certification Program are available on a dedicated website: <https://www.bureauveritas.fr/besoin/certification-utz> .

Each Local BV owns one specific website dealing with the RA certification Program in local language, those websites should contain a link to the French website noted above.

### 9.2 Dissemination of information

All Information about the Rainforest Alliance Certification Program, including its official standards, rules, policies and other certification will be disseminate by BVC certification Team by forwarding email to interne collaborators and to Local BV **within 2 business days** from the date communicated by the Rainforest Alliance.

If necessary, the applicable documents on the SharePoint site will be updated as well.

Each Local BV is in charge of disseminating the information to their clients as soon as they received it from Bureau veritas certification France.

Furthermore, all Information about the Rainforest Alliance Certification Program, including its official standards, rules, policies and other certification will be updated on the official website (<https://www.bureauveritas.fr/besoin/certification-utz> . ) within 2 business days from the date communicated by the Rainforest Alliance.

## 9. CONTROL OF DOCUMENTS AND RECORD

See the current general interne procedure available on :

<https://bureauveritas.sharepoint.com/teams/BMSFrance>.

In addition, all Rainforest Alliance records and documents shall be maintained for **minimum five years**.

## 10. COMPLAINTS AND APPEALS

Complaints and appeals from clients dealing with the quality of Bureau VERITAS services are managed according the “complaints an appeals” procedure.

This procedure covers the following subjects:

- Complaint: this is a customer complaint relating to the services of Bureau Veritas Certification but not calling into question a certification decision (see Appeal).
- Appeal: challenge of a certification decision made by an organization concerned by said certification, within the framework of the Bureau Veritas Certification Quality System; the terminology of "appeal" applies to cases of appeal to the administrative court provided for by certain agrifood certification programs.
- Complaint: third party complaint; it can be accreditation bodies, accreditation bodies, administrations, users / consumers / customers of certified bodies / products / services.

Complaints and appeals can be submitted online either via an online form on the following specific website : <https://www.bureauveritas.fr/Appels-r%C3%A9clamations-Bureau-Veritas-Certification> ; or on local RA website which include at least an email address, a local or national telephone number that can be attended by BV personnel during working hours, and a postal address.

Bureau veritas Certification shall **respond within 10 calendar** days to the persons submitting Rainforest Alliance grievances and inquiries to acknowledge their submissions, and to provide them with information about the next steps in the process and when they can expect an outcome.

Bureau veritas Certification shall keep these persons informed of major findings and provide them with a summary of the outcome of the process when there is a final decision or result. If the submission did not include contact information for responding, then BVC should complete the process and record the information in the Rainforest Alliance Assurance Platform.

Bureau veritas Certification will have **30 calendar days to resolve a grievance** (including making a certification decision in the case an investigation audit is conducted). If additional time is needed, Rainforest Alliance must be informed timely.

Appeals shall not be solved by changing the certification scope in order to eliminate a problem in the scope of the certification granted.