



# RAINFOREST ALLIANCE TRANSITION RULES

for current UTZ and Rainforest Alliance Certificate  
Holders wishing to be certified under the 2020  
Rainforest Alliance Certification Program

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A large, light gray silhouette of a frog, facing right, with its arms and legs spread out, serving as a background for the lower half of the page.

**RAINFOREST  
ALLIANCE**



Issue Date:	Binding date:	Expiration date:
30/06/2020	01/07/2020	30/12/2022
<b>Developed by:</b>		<b>Approved by:</b>
Rainforest Alliance Standards & Assurance Department		Director, Standards and Assurance
<b>Linked to (code and name of documents, if applicable):</b>		
<b>Replaces:</b>		
This document does not replace, but provides the rules for transitioning from: <ul style="list-style-type: none"><li>• The 2015 UTZ Certification Program with all its amendments,</li><li>• The 2017 Rainforest Alliance Certification Program with all its amendments,</li></ul> to <ul style="list-style-type: none"><li>• The Rainforest Alliance 2020 Certification Program</li></ul>		
<b>Clause or criterion number and text (if applicable):</b>		
N/A		
<b>Applicable to:</b>		
1. Transitioning certificate holders, including: <ul style="list-style-type: none"><li>1. Organizations and participating operators of the current Rainforest Alliance Certification Program</li><li>2. Members of the current UTZ program</li></ul> 2. Certification Bodies authorized for the current UTZ and Rainforest Alliance Certification Programs, and their personnel		
3. The Rainforest Alliance		
<b>Country/Regions:</b>		
All		
<b>Crops:</b>		<b>Type of Certificate Holders:</b>
Tree crops (such as coffee, cocoa), tea, fruits (such as bananas, coconuts and pineapples), nuts (such as hazelnuts) and cut flowers.		Transitioning CHs



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## RAINFOREST ALLIANCE MISSION

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.

## INTRODUCTION

The Rainforest Alliance Certification 2020 Program builds on the previous UTZ and Rainforest Alliance Certification Programs but is not a simple update of either program. The Rainforest Alliance 2020 Certification Program is a new program including new requirements for farm and supply chain certificate holders (CHs) and Assurance and Certification rules.

The Transition Rules are intended to support CHs through a smooth and orderly transition to the Rainforest Alliance 2020 Certification Program by providing clarity as to:

- which certification program and standard applies to a CH at any point of the transition period
- the rules governing the certification process during the transition period, including
  - o Registration
  - o Transition Period Audits
  - o Transition Period Endorsements
  - o Transition Certificates
- the validity of volumes and certificates from the current UTZ and Rainforest Alliance programs that are being phased out
- the rules applicable to a CH that is unable to transition during the Transition Period
- the rules applicable specifically to Certification Bodies during the transition period

This document modifies the Certification Rules of all three Certification Programs<sup>1</sup> for the transition period between the current UTZ and Rainforest Alliance programs and the new 2020 Rainforest Alliance Certification Program. Therefore, it may be necessary to refer to the Certification Rules of each of these programs.

The rules set out in this document are binding for:

- All CHs that are currently certified under the Rainforest Alliance and/or UTZ certification programs and wish to remain certified under the Rainforest Alliance 2020 Certification Program. This includes both farm CHs and chain of custody/supply chain CHs.
- Certification Bodies in both the current UTZ and the Rainforest Alliance programs and in the Rainforest Alliance 2020 Certification Program
- The Rainforest Alliance

The Rainforest Alliance reserves the right to modify these rules for specific contexts. These modifications will be set out in binding policies issued by the Rainforest Alliance and communicated to all stakeholders, including publication on the Rainforest Alliance website.

<sup>1</sup> The 2015 UTZ Certification Program with all its amendments, the 2017 Rainforest Alliance Certification Program with all its amendments, and the Rainforest Alliance 2020 Certification Program.



## USING THIS DOCUMENT

### TERMS, DEFINITIONS AND ABBREVIATIONS

A global glossary governing all Rainforest Alliance documentation can be found [here](#).

Frequently used abbreviations in this document:

- CB – Certification Body
- CH – Certificate Holder
- CHs – Certificate Holders
- RA – Rainforest Alliance
- 2020 Standard – Rainforest Alliance 2020 Sustainable Agriculture Standard

### GLOSSARY

Find a glossary for this document online at [the Rainforest Alliance website](#).

### LEGEND

**Rule\_(number):** an obligatory requirement of the transition rules, to be complied with by any CB, Transitioning CH or other CH performing activities with legacy volumes

**CB Rule\_(number):** an obligatory requirement of the transition rules, to be complied with by any CB.

**Guidance:** an explanatory section which is not a requirement but explains the intent of a requirement, gives examples, or provides further information and references.

**link** – blue underlined text indicates a link to a resource, document or place in the current document (e.g. an Annex or a Rule.)



# 1. EXECUTIVE SUMMARY

## 1.1. SUMMARY OF THE TRANSITION RULES

This section presents the summary of the Transition Rules. For ease of reading, it is presented as short answers to key questions about the transition from the current Certification Programs to the Rainforest Alliance 2020 Certification Program from the point of view of certificate holders (CHs). The underlined terms in this section are defined in the [Rainforest Alliance 2020 Glossary](#).

### **Question (Q) 1: Who are the Transition Rules applicable to?**

Answer (A): The Transition Rules are applicable to Transitioning certificate holders (CHs) – those CHs that are already certified under the current UTZ or Rainforest Alliance Certification Programs and wish to continue being certified under the Rainforest Alliance 2020 Certification Program. This includes all CHs, whether they have farming in scope (farms, producer groups, etc.) or are further downstream in the supply chain (traders, roasters, retailers, etc.).

Applicable Section (S): [Transitioning Certificate](#) Holders

### **Q2: What is meant by the term 'Certification Program'?**

A: A Certification Program is the sum of all standard requirements, assurance documents, and certification, traceability and other platforms, guidance documents, policies, training materials, etc. Therefore, this document refers to, for example, 'certification under the current UTZ Certification Program' or 'according to the Rainforest Alliance 2020 Certification Program', meaning according to the relevant rules and requirements of that Certification Program.

### **Q3: Which Standard requirements apply to me as a Certificate Holder and when?**

A: The current UTZ/Rainforest Alliance Standard Requirements are in force until June 30, 2021. The Rainforest Alliance 2020 Standard Requirements enter into force on July 1, 2021. For CHs at farm level only core requirements of the Rainforest Alliance 2020 Standard will enter into force in July 2021. Smart Meters will become mandatory from July 1, 2022 onwards. For supply chain actors all Rainforest Alliance 2020 Standard Requirements will become mandatory from July 2021.

At registration farms/groups and companies will provide profile information regarding the scope of their activities and the level of risk in the context where they operate. Based on this information the Rainforest Alliance system will provide each applicant with a customized list of the applicable requirements. This means that you do not need to work out which standard requirements apply to you; the RA system will do this for you based on the information you provide when you register in the system

S: [Entry into force of Rainforest Alliance 2020 Standard](#) Requirements

### **Q4: I have an UTZ/Rainforest Alliance certificate. Does that mean I am certified under the Rainforest Alliance 2020 Standard?**

A: No, being certified under the current UTZ or Rainforest Alliance certification programs does not mean you are or will be certified under the Rainforest Alliance 2020 Certification Program.

Your current certificate will remain valid until you obtain your Transition Certificate. If you do not transition, your current certificate will not remain valid after July 1, 2022.

S: [Gaps in certification](#)

### **Q5: My current UTZ/Rainforest Alliance certificate is valid until 2023. Do I still need a Transition Certificate?**

A: Yes, all CHs that wish to transition to the Rainforest Alliance 2020 Certification Program will have to Register in the Rainforest Alliance certification platform (RACP) and obtain a Transition Certificate before December 2021, even if under the current certification no audit would be necessary in this period. Once you receive your Transition Certificate, which is valid for one year, your existing certificate will be cancelled.



S: [Certification Transition Rules](#)

**Q6: How do I maintain my Rainforest Alliance certification throughout the Transition Period?**

A: To maintain your certification during the Transition Period, you will need to carry out these 4 steps:

1. Maintain/renew your current UTZ and/or Rainforest Alliance certificate between July 2020 and June 2021 as usual.
2. Register in the Rainforest Alliance 2020 Certification Platform and indicate your current certification(s)
3. Obtain a one-year Transition Certificate between July 2021 and December 2022
4. Obtain a full Certificate against the Rainforest Alliance 2020 Certification Program after July 2022.

S: [Transition Windows](#) and [Certification Transition Rules](#)

**Q7: Do I still need to get audited against the current standard?**

A: Most Transitioning CHs will still have to be audited against the current standard once between July 2020 and June 2021.

For each Transitioning CH, the timelines for this last audit against the current standard/current Certification Program depend on which Certification Program your organization is currently certified against, what type of certification you have, and when that certification expires. These precise timelines are described in this document to ensure the capacity of the Rainforest Alliance and the Certification Bodies to cater for all three certification programs during the Transition Period. Each CH can find out whether in 2021 it must undergo an audit against the current standard or the 2020 standard applicable to it, by consulting the [Transition Web Tool](#).

S: [Last audits against the Current UTZ and Rainforest Alliance Standards](#).

**Q8: How do I obtain a one-year Transition Certificate?**

A: A one-year Transition Certificate can be obtained in two ways:

- For most CHs (all farming CHs), you will have to register in the Rainforest Alliance Certification Platform and undergo a Transition Period Audit. If successful, an Authorized Certification Body will issue the Transition Certificate
- For a few CHs (mostly those that have an endorsement under the current Rainforest Alliance or an audit-exempt license under the current UTZ Certification Programs), you will have to register in the Rainforest Alliance Certification Platform, undergo a Risk Assessment, and if eligible, can apply for an Endorsement. If the endorsement is granted, the Rainforest Alliance will issue the Transition Certificate. If you are not eligible for an endorsement, you will have to undergo a Transition Period Audit.

S: [Transition Period Certification Process](#)

**Q9: I already have an account in MultiTrace/Salesforce/GIP/Marketplace. Do I need to register again for the Rainforest Alliance 2020 Certification Program?**

A: Yes, all CHs have to make a new registration for the Rainforest Alliance 2020 Certification Program in the Rainforest Alliance certification platform. The new Certification Platform allows you to manage your accounts<sup>3</sup> and certificates more easily and to keep better traceability of the certified products in the supply chain. It is important that during the registration process you indicate all your existing UTZ and/or Rainforest Alliance accounts to maintain access to your legacy volumes.

S: [Registration](#)

<sup>2</sup> The tool will be available in August 2020.

<sup>3</sup> In this document the term "account" means the registry that a certificate holder has in a certification or traceability platform. Due to the multiple platforms involved in the transition, we refer to the current UTZ and current RA accounts as "current accounts" and to the accounts for the RA 2020 Certification Program as RA 2020 accounts. We do not differentiate between "certification" and "traceability" accounts, as for each commodity in each certification program these may be different. All are called "accounts".





**Q10: Until when can I use the legacy volumes?**

A: You can use these volumes as long as you maintain Rainforest Alliance Certification. The volumes certified under current Certification Programs have expiry dates and will not be deemed certified after those expiry dates. Note that as per the [Rainforest Alliance Labeling and Trademarks Policy](#) the new Rainforest Alliance Seal can be used on packaging containing products certified against any of the three certification programs.

S: [Validity of legacy volumes](#)

**Q11: When can I obtain new Rainforest Alliance volumes under the Rainforest Alliance 2020 Certification Program?**

A: This will depend on the type of CH:

- For farming CHs, the volumes assigned to you in the Transition Period Certificate will be new Rainforest Alliance volumes under the Rainforest Alliance 2020 Certification Program.
- For all CHs, after you register for the Rainforest Alliance certification platform, you can start receiving new Rainforest Alliance volumes on your account. You can only start using these volumes (process them, trade them, claim them) after you obtain a Transition Period Certificate.

S: [Activities and transactions with new Rainforest Alliance volumes](#)

**Q12: Can I use the same Certification Body as before for the Transition Period Audit?**

A: You will most likely be able to. However, not all Certification Bodies (CBs) will be authorized for the same scope in the Rainforest Alliance 2020 Certification Program as they are in the current Certification Programs. You will be able to see if your CB is authorized for your specific scope after you register in the Rainforest Alliance certification platform and confirm your scope.

S: [Contracting a Certification Body for Transition Period Audits](#)

**Q13: Which CB should I turn to during the Transition Period?**

A: Any extensions, changes, etc. to your certificate are handled by the CB that issued it. This means that you might have to turn to different CBs for the current certificate and the Transition Certificate.

S: [Last audits against the Current UTZ and Rainforest Alliance Standards](#) and [Examples of application of the transition rules](#)

## 1.2. HOW TO USE THIS DOCUMENT

1. For Transitioning CHs:
  - a. Read this Executive Summary section
  - b. Use the [Transition Web Tool<sup>4</sup>](#) to identify the transition roadmap applicable to your case
  - c. Read the Transition Rules document for specific rules of interest to you
  - d. Check specific examples of the application of the Transition Rules in [Annex 1](#)
  - e. Make sure to check specific policies applicable to your sectors/region on the Rainforest Alliance [website](#).
2. for CBs:
  - a. Read this Executive Summary section
  - b. Read the Transition Rules for Certification Bodies in [Annex 2](#)
  - c. Check the [Transition Web Tools](#) for the specific roadmaps of typical CH cases that you have in your portfolio (e.g. *cocoa groups in West Africa have mostly UTZ group certification expiring in September 2021, or hazelnut traders in Turkey have chain of custody UTZ certification without mutual recognition*)

<sup>4</sup> The tool will be available in August 2020.

<sup>5</sup> idem



- d. Read the Transition Rules and use them as a reference document during their application
- e. Make sure to check [specific policies](#) on sectors/regions applicable to your portfolio.

### **1.3. TRANSITION PERIOD**

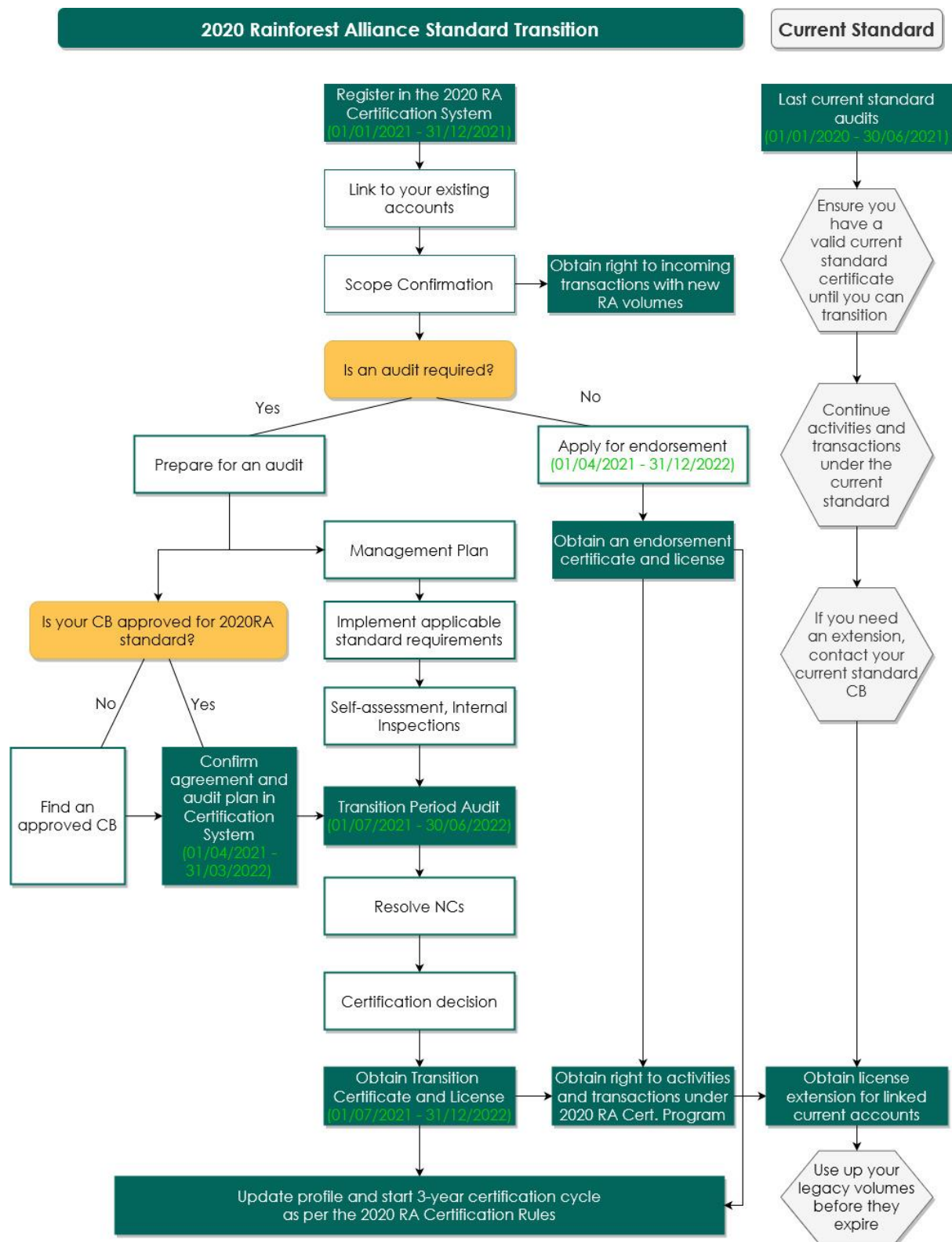
The Transition Period starts on July 1, 2020 and ends on December 31, 2022.

### **1.4. CERTIFICATION PROCESS FLOW FOR TRANSITIONING CHS**

The following flowchart describes the certification process steps and the key deadlines for Transitioning CHs. The cycle after obtaining a certificate/endorsement is covered by the Certification Rules of the Rainforest Alliance 2020 Certification Program.



Figure 1: Transitioning Period certification process flowchart for Transitioning CHs





## 1.5. TRANSITION WINDOWS

All Transitioning CHs shall start and finish the certification steps within the transition period windows shown below. They must respect the timelines/roadmaps defined for their specific scenarios in the corresponding Certification documents.

**Guidance:** For most CHs with farming in scope, all Certification Programs include rules on when audits may take place. For example, in the current UTZ certification program and the new Rainforest Alliance 2020 Certification Program, most farming CHs have to undergo audits between 3 months before and 3 months after the start of their main harvest. However, audits under the current standard can only take place up to June 30, 2021. These rules remain valid, unless otherwise stipulated in this document.

Figure 2: Transition timelines from current UTZ/Rainforest Alliance Standards to the Rainforest Alliance 2020 Standard.

\* These processes are described in the Rainforest Alliance 2020 Certification and Auditing Rules

Transition Windows		Section	2020						2021						2022						2023											
			Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Current UTZ/RA Certification Programs	Current standard requirements in force	2	As usual																													
	Last current standard audits	3.1	As usual						Exception audits																							
	Access to legacy volumes	4	As usual												Only with Transition Certificate. Legacy volumes have limited validity.																	
2020 RA Certification Program - Transition Period	Standard requirements in force	2											For farm: only core requirements																			
	Registrations	3.2.1							Everyone registers																							
	Endorsements transition period	3.2.2							Not for farming																							
	Hiring an authorized CB	3.2.3							Confirm in Certification Platform																							
	Transition period audits	3.2.4											For farm: on-site. For rest: desk audits only																			
	Transition Period Certification	3.2.5											One year transition certificate issued																			
2020 RA Certification Program - Full Scope	Standard requirements in force	2														Full set of requirements																
	Profile update	CR*													Yearly/continuous profile updates																	
	Endorsements 3-year cycle	CR*												Not for farming																		
	Contract an authorized CB	CR*												Contract CBs for 3-year cycle																		
	First full certification audits	3.2.6														As per risk assessment																
	3-year certification cycles	CR*													3-year certification cycles begin																	



## 1.6. ENTRY INTO FORCE OF RAINFOREST ALLIANCE 2020 STANDARD REQUIREMENTS

In addition to the time windows above, the tables below present the moments in which different types of Standard Requirements enter into force and the type of audits required.

Table 1: Entry into force of different types of Rainforest Alliance 2020 standard requirements.

Requirement type:	Audit:	Starting July 1, 2021	Starting July 1, 2022	As per Certification Rules		
		Transition Period Audit	Certification Audit	Surveillance audit	Surveillance audit	Re-certification audit
Farming requirements	Core requirements	✓	✓	✓	✓	✓
	Mandatory smart meters		✓	✓	✓	✓
	Mandatory improvements Level 1					✓
	Self-selected smart meters		✓	✓	✓	✓
	Self-selected improvements					✓
Supply Chain Requirements	All requirements	✓	✓	✓	✓	✓

Table 2: Types of audits required

Audit:	Starting July 1, 2021	Starting July 1, 2022	As per Certification Rules		
	Transition Period Audit	Certification Audit	Surveillance audit	Surveillance audit	Re-certification audit
Farming CHs	On-site audit	On-site audit	On-site audit	On-site audit	On-site audit
Supply chain CHs	Desk audit/ Endorsement	As per SCRA <sup>6</sup> level (Endorsement, Desk or on-site audit)	As per SCRA level (Endorsement, no audit, desk audit or on- site audit)		As per SCRA level (Endorsement, Desk or on-site audit)

<sup>6</sup> SCRA is the Supply Chain Risk Assessment, part of the Registration process, consisting of a series of questions on the basis of which the Rainforest Alliance certification platform evaluates the potential risks of a CH's operations in order to determine the type and frequency of verification required.



## 1.7. TRANSITIONING CERTIFICATE HOLDERS

This document applies to Transitioning certificate holders i.e. those CHs that are now certified under either of the current UTZ or Rainforest Alliance standards and wish to transition to the Rainforest Alliance 2020 Standard. All other CHs that wish to get certified against the Rainforest Alliance 2020 Standard shall follow the Rainforest Alliance 2020 Certification and Auditing Rules that form part of the Rainforest Alliance 2020 Certification Program. Some of the Transition Rules also apply to 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). The table below defines in more specific terms the three CH types.

*Table 3: Definition of Certificate Holder Tracks*

Certificate Holder type	Definition	Applicable rules for certification during the Transition Period
<b>Transitioning certificate holder</b>	CHs that either: <ul style="list-style-type: none"><li>- have a valid certificate, license, or endorsement under either current Rainforest Alliance or UTZ Standard, including extensions, as of the date of commencing the registration process or</li><li>- whose certificate/license/endorsement expired after June 30, 2020<sup>7</sup>.</li></ul>	Transition Rules
<b>Certificate holder with gap in certification</b>	CHs: <ul style="list-style-type: none"><li>- whose latest certificate, license, or endorsement under the current UTZ or Rainforest Alliance Standard expired before June 30, 2020 and was not renewed, or</li><li>- that did not complete the transition process within the timelines set in the Transition Rules.</li></ul>	Transition Rules and Certification rules <sup>8</sup>
<b>Newly registering certificate holders</b>	CHs that never had a certificate, license, or endorsement under either current UTZ or Rainforest Alliance standard as of the date of commencing the registration process under the Rainforest Alliance 2020 Certification Program. This includes CHs that have an UTZ member ID or a Rainforest Alliance Certificate Code, but that were never certified/licensed.	Guidance <sup>9</sup>

<sup>7</sup> For example, if a CH's certificate expired in April 2021 and the CH has undergone an audit in May 2021 and is still awaiting certification under the Current UTZ standard, the CH classifies as a Transitioning CH. If this same CH is eventually denied Current UTZ re-certification by Rainforest Alliance or the Certification Body, the CH classifies as a CH with gap in certification.

<sup>8</sup> The Current Traceability Platform rules apply to expired licenses/certificates, e.g. on retroactive reporting/sell-off period.

<sup>9</sup> Further guidance will be published for Newly Registering CHs joining the Rainforest Alliance during the Transition Period.



## 2. ENTRY INTO FORCE OF RAINFOREST ALLIANCE 2020 STANDARD REQUIREMENTS

**Rule 1.** From July 1, 2021 on, the current UTZ and Rainforest Alliance standards are superseded by the Rainforest Alliance 2020 Standard for all certificate holders (CHs).

### 2.1. FOR FARMING CHS

**Rule 2.** All CHs with farming in scope that wish to be certified under the Rainforest Alliance 2020 Standard shall conform to the core farming requirements<sup>10</sup> of the Rainforest Alliance 2020 Standard applicable to their scope as of July 1, 2021, unless otherwise specified in the Rainforest Alliance 2020 Standard or other binding documents.

**Rule 3.** Smart Meter requirements, whether mandatory or self-select, enter into force and shall only be audited as of July 1, 2022. (See [Table 1 above](#))

**Rule 4.** Level 1 Improvement Requirements, whether mandatory or self-select, enter into force and shall only be audited as of July 1, 2025 unless requested by the CH<sup>11</sup> (See [Table 1 above](#))

**Rule 5.** All CHs with farming in scope that wish to be certified under the Rainforest Alliance 2020 Standard shall conform to all supply chain and traceability requirements of the Rainforest Alliance 2020 Standard applicable to their scope as of July 1, 2021, unless otherwise specified in the Rainforest Alliance 2020 Standard or other binding documents.

### 2.2. FOR SUPPLY CHAIN CHS

**Rule 6.** All CHs without farming in scope that wish to be certified under the Rainforest Alliance 2020 Standard shall conform to all the supply chain requirements and traceability requirements of the Rainforest Alliance 2020 Standard applicable to their scope as of July 1, 2021, unless otherwise specified the Rainforest Alliance 2020 Standard or other binding documents.

**Rule 7.** If a CH has a non-conformity with applicable requirements during the Transition Period Audit, the CH shall satisfactorily address these non-conformities, back-dating to July 1, 2021 where possible (see guidance below), as per the [Rainforest Alliance 2020 Certification and Auditing Rules](#).

**Guidance:** For those non-conformities that can be corrected retroactively, such as salaries or payments, for example: if a CH is audited in April 2022 against the Rainforest Alliance 2020 Standard and was only in conformity as of November 1, 2021, the CB will regard this as a non-conformity. The outstanding difference from the period between July 1, 2021 until November 1, 2021 must still be paid out to the respective workers to close the non-conformity.

**Rule 8.** Unless otherwise stipulated in a particular traceability requirement, the traceability and shared responsibility requirements of the Rainforest Alliance 2020 Standard are applicable as of July 1, 2021 to all volumes, whether Rainforest Alliance 2020 Standard or current volumes.

**Guidance:** current volumes are those volumes originating from farms certified against the current UTZ or Rainforest Alliance Standards at the time of harvesting those volumes.

<sup>10</sup> The Rainforest Alliance 2020 Standard differentiates requirements into core, improvement and Smart Meter farming requirements. These are clearly indicated in the Standard.

<sup>11</sup> This date may vary, depending on the audit cycles of different organizations. They are applicable as of the preparation for the first re-certification audit.



**Rule 9.** In preparation for the Transition Period Audit, the CH shall assess its own conformity with:

- the applicable Rainforest Alliance 2020 Standard requirements as of July 1, 2021,
- the applicable current certification program(s) requirements for those transactions and activities with current volumes that took place between the last current standard audit/endorsement and July 1, 2021.

**Rule 10.** During the Transition Period Audit, the CB shall check conformity with all applicable Rainforest Alliance 2020 Standard requirements, including with traceability requirements applicable as follows:

- a. Before July 1, 2021 – the current<sup>12</sup> UTZ/Rainforest Alliance traceability requirements
- b. After July 1, 2021 – the Rainforest Alliance 2020 Standard traceability and shared responsibility requirements

**Guidance:** *Additional traceability checklist modules are available in the Rainforest Alliance certification platform for self-assessment and auditing Transitioning CHs.*

*Even if the internal inspections in preparation for the first Rainforest Alliance 2020 Certification Program audit are conducted before July 1, 2021, the CH shall use the checklist for the Rainforest Alliance 2020 Standard. The internal inspection assesses if the group member/IMS is or will likely be compliant with the Rainforest Alliance 2020 Standard by July 1, 2021.*

<sup>12</sup> Current means applicable to the CH and the CB at the time of the transaction.





### 3. CERTIFICATION TRANSITION RULES

#### 3.1. LAST AUDITS AGAINST THE CURRENT UTZ AND RAINFOREST ALLIANCE STANDARDS

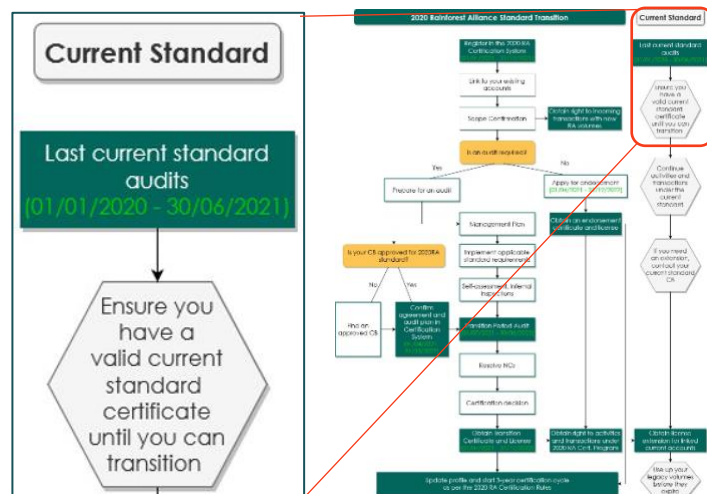


Figure 3: This is the part of the Certification Process (Figure 1) that this section corresponds to

Transitioning certificate holders are those CHs that intend to maintain their certification by shifting from the current certification programs to the Rainforest Alliance 2020 Certification Program. To ensure continued certification, (to “get on the Transitioning Certificate Holders Track”), there may be different rules applicable depending on the type of certification the CH has in the current programs. This section provides the general rules and guidance, whereas the [Transition Web Tool](#) translates these rules into the specific step-by-step guides for CHs to follow.

CHs that are certified against both the current UTZ and the Rainforest Alliance certification programs but for different products shall follow the current Rainforest Alliance and the current UTZ guidance for the respective products. Please note that the Rainforest Alliance may issue additional policies and/or guidance for specific crops/countries/regions, which are binding and will be communicated through the Rainforest Alliance [website](#).

**Rule 11.** Audits based on the latest version of the current UTZ and/or current Rainforest Alliance certification programs lead to the respective current certificates and do not lead to a Transition Period Certificate.

**Rule 12.** All audits starting before July 1, 2021, shall be based on the current<sup>13</sup> version of the UTZ and/or Rainforest Alliance certification programs.

**Rule 13.** Audits based on the current<sup>14</sup> version of the UTZ and/or Rainforest Alliance Certification Programs shall not be carried out after June 30, 2021. Certification decisions based on these documents will not be considered valid and will not result in the issuing or renewal of a certificate.

**Exceptions:** surprise audits, follow-up audits, verification audits, investigation audits, extension/expansion audits, where applicable, of current certificates are still carried out under current standard and assurance rules until expiry of the current UTZ/Rainforest Alliance certificates.

<sup>13</sup> idem

<sup>14</sup> Current means applicable to the CH and the CB at the time of the audit as per the Current UTZ/Rainforest Alliance Certification Program.



**Guidance:** The last planned date of these audits may not be later than June 30, 2021. Audits may not be postponed after that date. If a CH does not get audited until then, they shall proceed with certification under the Rainforest Alliance 2020 Standard as per the timelines and conditions stipulated in the [Rainforest Alliance 2020 Certification and Auditing Rules](#). If a gap in certification occurs, the CH risks losing access to its accounts and volumes. The certification and licensing process for Current Rainforest Alliance or UTZ certification program may continue past July 1, 2021 as long as the audit process has occurred before this date.

**Rule 14.** Time extensions of current certificates, where necessary, shall be requested and granted as per the latest version of the current UTZ and/or Rainforest Alliance certification programs through the Certification Bodies that issued them, except for the cases described in [Rule 17](#).

**Rule 15.** CHs that have an endorsements/audit-exempt license, under the current programs shall register in the Rainforest Alliance Certification Platform as soon as possible after January 1, 2021 and check whether they are eligible for an endorsement under the Rainforest Alliance 2020 Certification Program.

**Rule 16.** Eligible CHs may apply for an endorsement as of April 1, 2021 to avoid the need to renew their current endorsement/audit-exempt license.

**Rule 17.** 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.

### 3.1.1. FOR CHS AUDITED UNDER THE CURRENT RAINFOREST ALLIANCE CERTIFICATION PROGRAM

This section applies to CHs that are certified and require an audit under the current Rainforest Alliance Certification Program and are not certified under the current UTZ program for the same product.

**Rule 18.** If the CH's certificate expires in 2020, the CH shall follow the applicable current Rainforest Alliance certification process and undergo a surveillance audit, re-certification audit, annual audit, etc. as usual to maintain its certified/endorsed status.

**Rule 19.** If the CH's certificate expires between January 1 and June 30 of either 2021, 2022, or 2023 the CH shall follow the applicable current Rainforest Alliance certification process and undergo a surveillance audit, re-certification audit, annual audit, etc. as usual in 2020/2021 to maintain its certified/endorsed status, keeping in mind that the last possible audit date is June 30, 2021.

**Guidance:** the relevant date is the original end date of the certificate/endorsement, not taking into account extensions.

**Rule 20.** If the CH falls under the scenarios in [Rule 18](#) or [Rule 19](#) and the applicable assurance activity according to the Rainforest Alliance Chain of Custody Policy 2015 is "no audit," the CH's current Rainforest Alliance certification status is maintained without undergoing further Rainforest Alliance audits under the current Rainforest Alliance certification program in 2021.

**Rule 21.** If the CH's certificate expires between July 1 and December 31 of either 2021, 2022 or 2023, they shall transition directly to the Rainforest Alliance 2020 Certification Program without further re-certifying against the current Rainforest Alliance Standard in 2021.

**Guidance:** the relevant date is the original end date of the certificate/ endorsement, not taking into account extensions.



**Rule 22.** Should a Transitioning CH have more than one current Rainforest Alliance account, they shall follow the above rules for each of these accounts to ensure its continued certification.

Additionally:

**Guidance:** The table below summarizes which CHs have their last Rainforest Alliance audit/verification against the current Rainforest Alliance certification program in 2020 and which ones in 2021.

If the current Rainforest Alliance certificate expires in:	2020		2021		2022		2023	
	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec
Last current standard audit in 2020 Transition period audit in 2021 (July to December)		✓		✓		✓		✓
Last current standard audit in 2021 (January to June) Transition period audit in 2022	✓		✓		✓		✓	

Figure 4: Last Current Rainforest Alliance audits/verifications

Additionally:

**Guidance:** We recommend that all CHs certified against the 2017 Rainforest Alliance Sustainable Agriculture Standard ensure that their geolocation data complies with the requirements set by the Rainforest Alliance 2020 Sustainable Agriculture Standard as soon as possible in order to prepare for certification implementation. For more guidance, please see the Farm Requirements of the Rainforest Alliance 2020 Standard.

### 3.1.2. FOR CHS AUDITED AGAINST THE CURRENT UTZ STANDARD

This section applies to CHs that are certified and require an audit under the current UTZ Certification Program and are not certified under the current Rainforest Alliance program for the same product.

**Rule 23.** If the CH's current UTZ certificate expires in 2020 or in the first half of 2021 (between January 1, 2021 and June 30, 2021) they shall re-certify as per the applicable UTZ certification rules before transitioning to the Rainforest Alliance 2020 Certification Program, keeping in mind the last possible date of current UTZ audits is June 30, 2021.

**Guidance:** the relevant date is the original end date of the certificate/license, not taking into account extensions.

**Rule 24.** 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.

**Guidance:** CHs that have a 2-year certificate and would normally not need to get audited in 2021, must still transition to the Rainforest Alliance 2020 Certification Program as per the Transition Rules to maintain their rights and volumes.

**Rule 25.** 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.

Additionally:



**Guidance:** The table below summarizes which CHs have their last audit/verification against the current UTZ certification program in 2020 and which ones in 2021.

If the current UTZ certificate expires in:	2020		2021		2022		2023	
	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec	Jan-Jun	Jul-Dec
Last current standard audit in 2020 Transition period audit in 2021 (July to December)				✓	✓	✓	✓	✓
Last current standard audit in 2021 (Jan to June) Transition period audit in 2022	✓	✓	✓					

Figure 5: Last Current UTZ audits/verifications

Additionally:

**Guidance:** We recommend that all CHs certified against the current UTZ Code of Conduct start collecting applicable geolocation data as soon as possible in order to prepare for the implementation of the Rainforest Alliance 2020 Standard. For more guidance, please see the Farm Requirements of the Rainforest Alliance 2020 Standard.

### 3.1.3. FOR CHS CERTIFIED AGAINST BOTH CURRENT UTZ AND CURRENT RAINFOREST ALLIANCE STANDARDS

This section applies to CHs that are certified under both the current Rainforest Alliance and UTZ Certification Programs for the same product(s).

#### 3.1.3.1. CODE OF CONDUCT/FARMING CHS

**Rule 26.** Should a farm or group of farms be certified under both current UTZ and current Rainforest Alliance for the same product, they shall undergo a last audit for each certificate as per the rules in sections [3.1.1](#) and [3.1.2](#).

**Guidance:** for example, if the current UTZ certificate expires in January 2021 and the Rainforest Alliance Certificate expires in August 2021, then the CH may extend its current UTZ certificate as usual with the CB(s) that issued them and renew its current UTZ certificate by undergoing a last UTZ audit. As per [Rule 30 below](#), the CH shall indicate both current UTZ member IDs and the Rainforest Alliance Certificate Code during registration for the Rainforest Alliance 2020 Certification Platform.

#### 3.1.3.2. CHAIN OF CUSTODY CHS

**Rule 27.** If a CH has both current certification with [Mutual Recognition](#), they shall follow the rules above (sections 3.1.1 or 3.1.2.) for one of its certifications, along with the mutual recognition rules for extending the other certification.

**Guidance:** If the CH was certified with the current UTZ certification program and through mutual recognition obtained current Rainforest Alliance certification, they shall:

- Follow section 3.1.2 above to renew its current UTZ certificate
- Follow the Mutual Recognition rules to maintain its current Rainforest Alliance certificate

**Rule 28.** If a CH has both current certifications without [Mutual Recognition](#), they shall undergo a last audit against the current standard for each certificate as per the rules in sections [3.1.1](#) and [3.1.2](#).

**Guidance:** We recommend for all Chain of Custody CHs to register for the Rainforest Alliance 2020 Account as soon as possible after January 1, 2021. During the registration process, the CH will undergo a Supply Chain Risk Assessment (SCRA), which will define the verification level applicable for the Rainforest Alliance 2020 Certification Program. If according to the



*SCRA the CH is eligible for endorsement, the CH may choose to not renew its current UTZ/Rainforest Alliance Certificates in 2021, but directly obtain a Transition Certificate. For details, see the following section.*







**Rule 31.** During Registration, the CH shall indicate all current UTZ member IDs and current Rainforest Alliance certificate codes under the management of the group/CH.

**Guidance:** For example, if the CH has 2 current UTZ certificates (one for Code of Conduct and one for Chain of Custody) and one current Rainforest Alliance certificate, the CH must provide the details of all three certificates. The Member ID and/or Certificate Code of their trading partners, sister CHs, etc. may be associated later in the process, but shall not be indicated at this step of registration.

Rainforest Alliance needs to establish a link between the CH's new account and its existing accounts in order to ensure that each CH has continued access to its current volumes and accounts. When a CH indicates they have a current account they automatically begin on the Transitioning CHs track. Therefore, it is very important that all CHs cooperate and indicate all current UTZ Member IDs and/or Rainforest Alliance Certificate Codes. Should you have doubts or questions about your current UTZ Member IDs and/or Rainforest Alliance Certificate Codes, please contact your Certification Body. This will be checked during the Transition Period Audit or during the endorsement process.

**Rule 32.** Should a CH have both current UTZ and current Rainforest Alliance certification and have farming in scope, they shall only register one Rainforest Alliance 2020 account for the same (set of) farms.

**Guidance:** This means that instead of two current accounts as they have now, the CH will have only one Rainforest Alliance 2020 account, covering all certified farms. The same farm shall not be covered by more than one Rainforest Alliance 2020 account/certificate, as stipulated in the Rainforest Alliance 2020 Certification and Auditing Rules. However, one Rainforest Alliance 2020 account may be linked to two (or more) current accounts, for example when one cooperative has both current UTZ and current Rainforest Alliance accounts.

**Rule 33.** It is also possible to split the farms of one current group into two or more Rainforest Alliance 2020 certificates/accounts. In this case for each of these accounts the CH should indicate both current UTZ Member ID and Rainforest Alliance Certificate Code. A CH shall not indicate member IDs or certificate codes to be linked to its Rainforest Alliance 2020 Standard account that are not managed directly by it (i.e. whose certificates are not issued in its name and it for which is legally responsible).

**Guidance:** For example, A CH shall not indicate the member IDs or certificate codes of accounts registered to trading partners or independently certified sub-contractors.

**Rule 34.** Where the Certification Platform already provides (pre-filled) profile data based on the indicated current accounts, the CH shall actively validate this data and confirm that it agrees with the contents of its profile. Where the CH does not agree with the provided information, or where that information has changed, the CH shall update it to reflect reality. The CH is ultimately responsible for the following information on their profile:

- a. Contact details
- b. Organizational structure
- c. Indicated current accounts

**Rule 35.** All current accounts that are not indicated in a Rainforest Alliance 2020 Certification Program account as of December 31, 2021 shall be discontinued and the current UTZ or Rainforest Alliance certification will be cancelled by the CB and/or by the Rainforest Alliance, as of July 1, 2022.

**Rule 36.** During Registration for the Rainforest Alliance 2020 Certification Platform, Supply Chain CHs shall undergo a Supply Chain Risk Assessment (SCRA) to determine whether the CH requires a Transition Period Audit or an Endorsement Application in order to obtain a Transition Certificate.



**Guidance:** During the Transition Period, the SCRA will only provide two options: endorsement or desk-audit. During the full-scale implementation of the program, after January 1, 2022, the SCRA will distinguish between further types of verification, as per the Rainforest Alliance 2020 Certification and Auditing Rules.

**Rule 37.** All Farming CHs have to undergo a Transition Period Audit conducted by an Authorized Certification Body.

**Guidance:** for further rules and guidance on Transition Period Audits, see section [3.2.4 below](#).

**Rule 38.** After registration (Scope Confirmation), Transitioning CHs may receive new Rainforest Alliance volumes<sup>15</sup> on their Rainforest Alliance Traceability Platform accounts. However, these volumes may not be used for processing, sales, or claims, until the CH obtains its Transition Certificate.

### 3.2.2. TRANSITION PERIOD ENDORSEMENTS

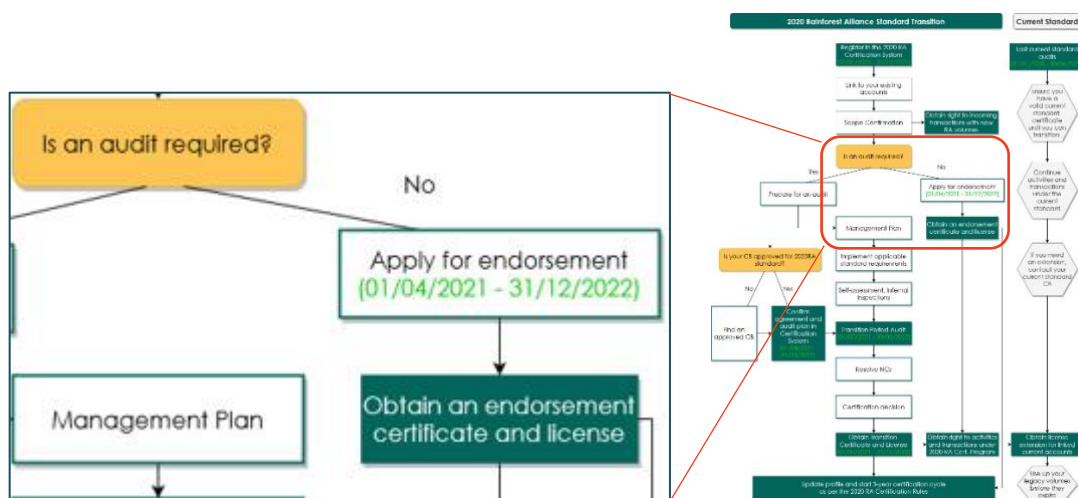


Figure 7: This is the part of the Certification Process (Figure 1) that this section corresponds to

**Rule 39.** CHs may obtain a Transition Certificate through an endorsement under the following conditions:

- They do not have farming in their scope,
- The SCRA Process during the Registration stage indicates a very low risk level and an applicable verification level of an endorsement.

**Guidance:** Registration is a prerequisite for obtaining an endorsement, even if the CH is endorsed under the current certification program.

**Rule 40.** To obtain a Transition Certificate through an endorsement, CHs shall apply for endorsement between April 1, 2021 and December 31, 2021.

**Rule 41.** During the Endorsement process, the Rainforest Alliance shall verify all linked accounts of the Transitioning CH. If any inconsistencies are found, the following applies:

- If there are no indications of fraud, the CH shall
  - indicate all existing current UTZ and current Rainforest Alliance accounts to be linked to its Rainforest Alliance 2020 Certification Program Platform account before they may obtain a Transition Certificate and/or

<sup>15</sup> New Rainforest Alliance volumes are those volumes related to crops harvested by farms certified against the 2020 Rainforest Alliance Standard, with either a Transition Certificate of a full certificate.





- remove the indication of any accounts that are not managed by the CH before they may obtain a Transition Certificate
- b. If there are indications of fraud, the Rainforest Alliance shall:
  - take a negative endorsement decision and
  - suspend all valid current certificates within 2 days.

**Guidance:** As per [Rule 35](#), all accounts not indicated in the Rainforest Alliance certification platform during registration account will be discontinued as of July 1, 2022. By not indicating its current UTZ and Rainforest Alliance accounts and Rainforest Alliance 2020 Standard account, the CH risks losing access to its legacy volumes.

**Rule 42.** A Transitioning CH may not obtain an endorsement for the Transition Period until and unless it has closed all open/pending non-conformities related to its certification under the current standard.

### 3.2.3. CONTRACTING A CERTIFICATION BODY FOR TRANSITION PERIOD AUDITS

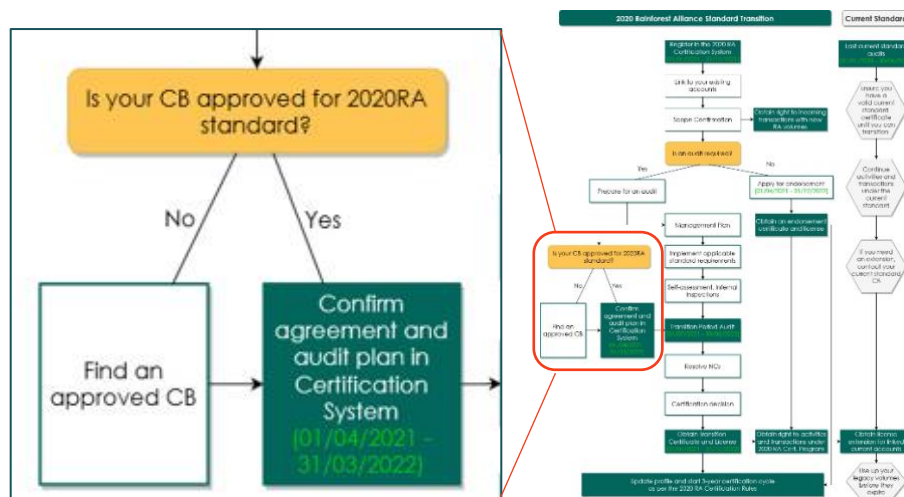


Figure 8: This is the part of the Certification Process (Figure 1) that this section corresponds to

**Rule 43.** Transitioning CHs shall complete the registration process up to and including Scope Confirmation before hiring a Certification Body for the Transition Period Audit.

**Guidance:** The Registration process allows CHs and their prospective Certification Bodies to see the full scope of requirements and the verification levels of the Transition Period Audit. Some CHs may be exempt from audit altogether (not applicable to farming CHs). The Rainforest Alliance certification platform will provide a customized list of Certification Bodies authorized for that specific scope and verification level to the CHs to choose from. Similarly, CBs will see key information about those CHs that have completed their registration and that fall under the scope of the CB's authorization.

**Rule 44.** 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.

**Guidance:** The authorization scope of Certificate Bodies for the Rainforest Alliance 2020 Certification Program may differ significantly from scope for the current UTZ and Rainforest Alliance Certification Programs. A CH will be able to check whether its usual CB has been authorized for the relevant scope after completing the 'Scope Confirmation' stage of the Registration process.

**Rule 45.** Transitioning CHs may only contract a Certification Body (CB) authorized for the Rainforest Alliance 2020 Certification Program starting April 1, 2021.



**Guidance:** The CB authorization process begins in July 2020 and the results will only be available after April 1, 2021. Technically, there is no end date for contracting an authorized CB. However, as all Transitioning CHs shall complete their Transition Period Audits under the Rainforest Alliance 2020 Certification Program by June 30, 2022, we recommend that all those CHs contract an authorized CB by February 28, 2022 to ensure enough time to plan and conduct the Transition Period Audit on time.

**Rule 46.** If a CH is not able to or does not wish to contract the same Certification Body that issued its current UTZ or Rainforest Alliance certificate to perform the Transition Period Audit, the following applies:

- The current CB is responsible for all activities related with the current certification.
- The Rainforest Alliance 2020 Certification Program CB is responsible for all activities related with the Transition Period Audit and Transition Certificate.

**Rule 47.** Transitioning CHs shall sign an agreement with a Rainforest Alliance authorized CB and confirm that agreement in the Rainforest Alliance certification platform before a Transition Period Audit can be planned.

**Guidance:** For privacy and confidentiality reasons, before confirming the agreement in the Rainforest Alliance certification platform, the CB is only able to access limited information about the CH. Confirming the agreement in the platform grants the CBs additional information, vital for the audit planning process.

### 3.2.4. TRANSITION PERIOD AUDITS

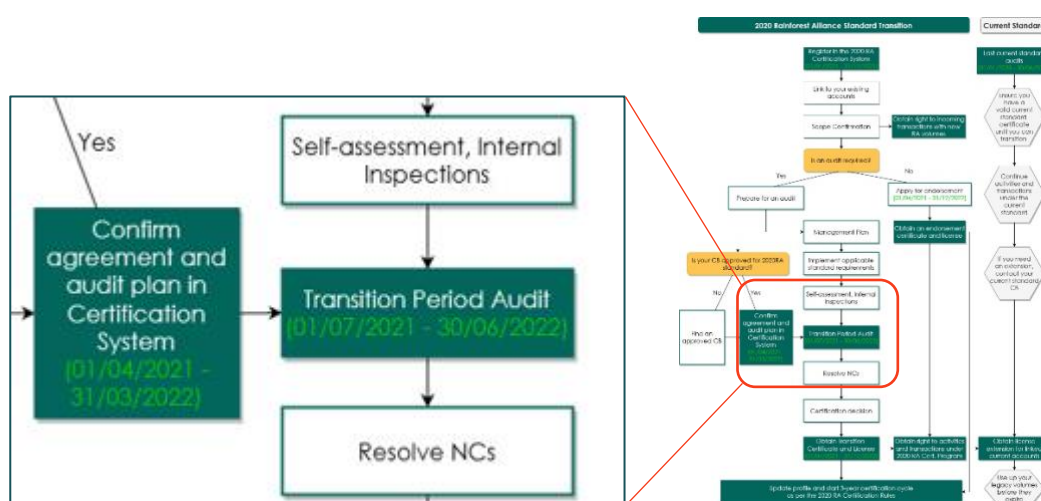


Figure 9: This is the part of the Certification Process (Figure 1) that this section corresponds to

**Rule 48.** All CHs that do not fall under [Rule 39](#) shall undergo a Transition Period Audit in order to obtain a Transition Certificate.

**Rule 49.** All Transitioning CHs that require an audit shall undergo a Transition Period Audit between July 1, 2021 and June 30, 2022.

**Guidance:** CHs are encouraged to complete their Transition Period Audit before the expiry date (including extensions) of their current certificate if that is before June 30, 2022.

**Rule 50.** Between July 1, 2021 and June 30, 2022, all audits shall be Transition Period audits, based on the Rainforest Alliance 2020 Standard and applicable binding documents. Exceptions: as per found. [Rule 13 above](#).



**Guidance:** All planned and actual Transition Period Audit dates must be in this period.

**Rule 51.** Transition Period Audits shall not be conducted before July 1, 2021 or after June 30, 2022.

**Exceptions:** Follow-up audits, extension audits and investigation audits related to a Transition Certificate may be conducted after June 30, 2022.

**Rule 52.** A Transition Period Audit may be conducted as a combined audit, but not as an integrated audit.

**Guidance:** Combined audits are those covering two (or more) certification programs (e.g. Rainforest Alliance and Organic), while they use two separate checklists and conduct the audit process either in parallel or in sequence. Integrated audits use one integrated checklist for the two (or more) certification programs.

**Rule 53.** A Transition Period Audit is conducted as a Certification Audit as per the [Rainforest Alliance 2020 Certification and Auditing Rules](#), with exceptions/clarifications as per sections [3.2.4.1](#), [3.2.4.2](#), [3.2.4.3](#) below.

#### **3.2.4.1. TRANSITION PERIOD AUDIT EXCEPTIONS FOR ALL CHS:**

**Rule 54.** During the Transition Period, the Stakeholder Consultation rules are only applicable to high risk scenarios of child labor, forced labor and freedom of association based on Rainforest Alliance risk maps.

**Guidance:** Stakeholder Consultations are defined in the Rainforest Alliance 2020 Auditing Rules and are applicable only to CHs that have requirements in the Social Chapter of the Rainforest Alliance 2020 Standard in their scope, as defined during the registration process.

**Rule 55.** Transitioning CHs shall provide the CB a transaction report for each current account indicated in the Rainforest Alliance certification platform account that is in the scope of the audit.

**Guidance:** For example, if the Transitioning CH has 3 current accounts, all indicated in the Rainforest Alliance 2020 certification platform account, they shall provide the transaction reports for each of these 3 accounts. The reports are extracted from the applicable Rainforest Alliance certification/traceability platform(s) where the current accounts are at the time of the audit preparation/audit.

**Rule 56.** In preparation for the Transition Period Audit, Rainforest Alliance shall provide to the CB access to the audit results of each linked current account, indicated in the registration process, including:

- a. Group Member Registry (if applicable)
- b. Geodata (if available)
- c. Non-conformity report
- d. Checklists (if available)
- e. Characteristics of the certificate/endorsement (certification level, validity, extensions, issuing body of the certificate and extensions, etc.)

**Rule 57.** During the Transition Period Audit, the CB shall verify the closure of any open non-conformities from the audits conducted in relation to the current UTZ and/or Rainforest Alliance certificate(s) of the CH.



**Rule 58.** During the Transition Period Audit, the CB shall verify all existing current Rainforest Alliance and UTZ certifications and accounts related to the CH. Should the CH have failed to indicate or have wrongly indicated a current account during registration:

- a. If there are no indications of fraud, the CH shall
  - indicate all existing current Rainforest Alliance and UTZ accounts to its Rainforest Alliance certification platform account before they may obtain a Transition Certificate and/or
  - De-link any accounts that are not managed by the CH before they may obtain a Transition Certificate
- b. If there are indications of fraud, the CB shall
  - take a negative certification decision and
  - Suspend all valid current certificates within 2 days of the certification decision or
  - If these are issued by another CB, notify the Rainforest Alliance Certification Team. Rainforest Alliance shall suspend the valid current certificates within 2 days of the notification.

**Guidance:** As per [Rule 35](#), all accounts not indicated in a Rainforest Alliance certification platform account will be discontinued as of July 1, 2022. By not indicating its current accounts, the CH risks losing access to its legacy volumes.

#### **3.2.4.2. TRANSITION PERIOD AUDIT EXCEPTIONS FOR CHS WITH FARMING IN SCOPE**

**Rule 59.** The transition period audits where farming is in scope shall be conducted on-site.

**Rule 60.** The transition period audits cover only the applicable core criteria of the farming requirements including all applicable traceability requirements.

**Rule 61.** A digital IMS is not required for the Transition Period Audit. Groups with more than 10,000 group members included in the group's Rainforest Alliance certification scope shall implement a digital IMS for all group members in preparation for their first Certification Audit against the Rainforest Alliance 2020 Certification Program.

**Guidance:** The Certification Rules requirement on digital IMS will not be deemed mandatory during the Transition Period Audit, but groups are welcome to digitalize earlier as they see fit. For Certification Audit see section First Certification Audit.

**Rule 62.** If the CB determines during the audit that the CH has volume remaining unsold from the previous harvest/certificate, the CB may assign this volume as carry-over if the CH so wishes.

**Guidance:** This only applies to volume produced by the CH itself and/or the group members that form part of the Transition Certificate. Should there be differences between the farm composition of the certificate, only volumes coming from those farms that are included in the Transition Certificate can be carried over. Current volumes purchased from other CHs remain in the CH's current UTZ/Rainforest Alliance accounts as per the rules for Supply Chain CHs.

#### **3.2.4.3. TRANSITION PERIOD AUDITS EXCEPTIONS FOR CHS WITHOUT FARMING IN SCOPE**

**Rule 63.** The transition period audits where farming is not in scope shall be conducted as desk audits.

**Rule 64.** The transition period audits shall cover all the applicable criteria of the Rainforest Alliance 2020 Standard.



**Rule 65.** The transition period audits shall cover, in addition to the Rainforest Alliance 2020 Certification and Auditing Rules:

- a. any and all Traceability Platform accounts belonging to the CH,
- b. the volumes and transactions therein,
- c. the claims and labels associated with them.

This applies to accounts for both for the current UTZ and Rainforest Alliance certification programs and for the Rainforest Alliance 2020 certification program.

**Guidance:** The applicable traceability requirements depend on the date of the transaction and are as per section [Entry into force of Rainforest Alliance 2020 Standard Requirements](#).

**Rule 66.** Any current UTZ or current Rainforest Alliance volumes that the CH has in its account and can prove it still owns during the Transition Period Audit (as per Rainforest Alliance 2020 Standard's traceability requirements) may remain on the respective current UTZ/Rainforest Alliance account.

**Guidance:** The license to access those accounts and volumes will remain valid as long as the CH obtains and maintains certification under the Rainforest Alliance 2020 Certification Program, see [Validity of Current certificates, licenses, endorsements](#).

### 3.2.5. TRANSITION CERTIFICATE

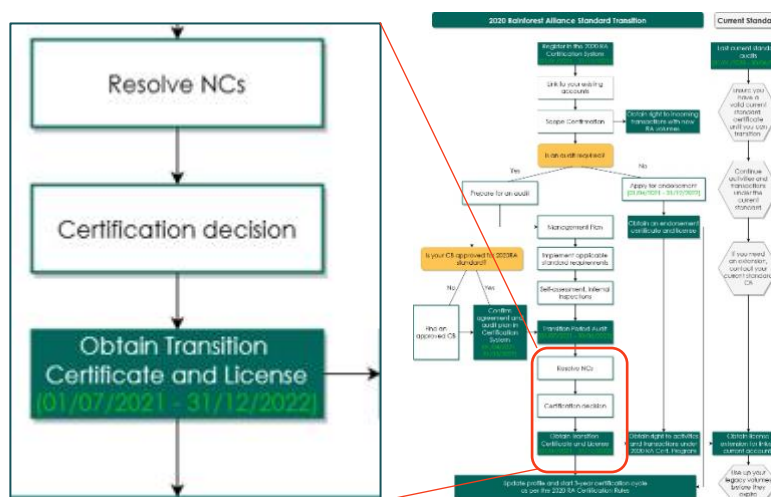


Figure 10: This is the part of the Certification Process (Figure 1) that this section corresponds to

**Rule 67.** A Transition Certificate may not be granted until and unless the Transitioning CH has closed all open/pending non-conformities related to its audits against the current UTZ or Rainforest Alliance certification.

**Rule 68.** Transition Period Audits and Endorsement applications result, if successful, in a one-year Transition Certificate under the Rainforest Alliance 2020 Certification Program.

**Rule 69.** The process of resolving non-conformities, certification decision, etc. leading to the Transition Certificate are the same as stipulated for Certification Audit and Certification in the Auditing Rules and Certification Rules, with the exception of the duration of the certificate and the audit scope as per section [Transition Period Audits above](#).

**Rule 70.** The one-year Transition Certificate shall be renewed by obtaining a 3-year certificate as per the Rainforest Alliance 2020 Certification and Auditing Rules.



### 3.2.6. FIRST CERTIFICATION AUDIT

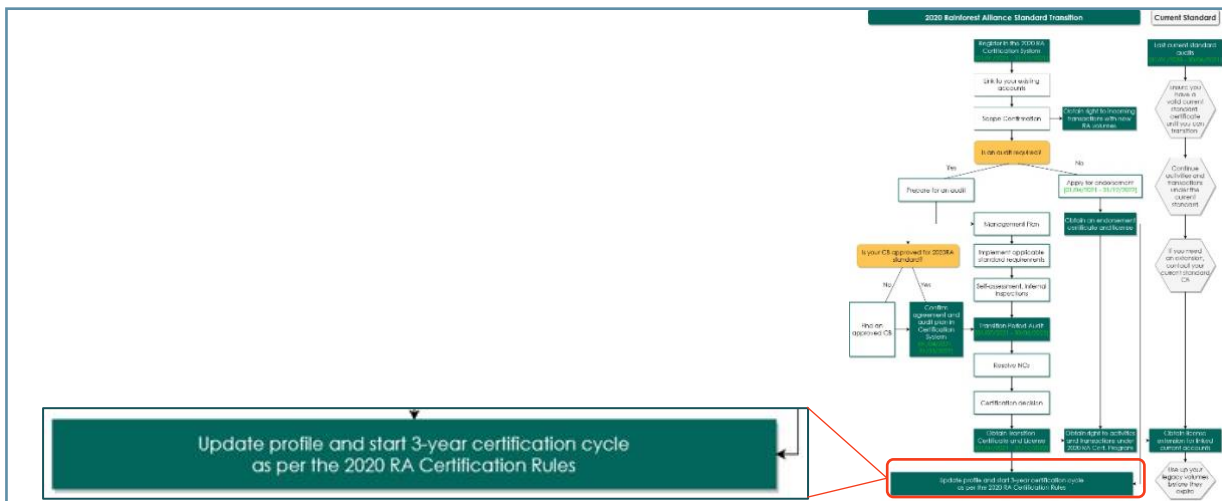


Figure 11: This is the part of the Certification Process (Figure 1) that this section corresponds to

**Rule 71.** The First Certification Audit is an audit conducted under the full scope of the Rainforest Alliance 2020 Certification Program and leads to the first 3-year Certificate.

**Guidance:** Transitioning CHs may only undergo a First Certification Audit after they have obtained a Transition Certificate.

**Rule 72.** The First Certification Audit shall be conducted following the Rainforest Alliance 2020 Certification and Auditing Rules, with the exception that it may only be conducted after July 1, 2022.

**Rule 73.** The CH shall update its profile in the Rainforest Alliance certification platform at a maximum of 6 months before the First Certification Audit, following the Rainforest Alliance 2020 Certification and Auditing Rules.

**Rule 74.** The CB that the CH contracts for the First Certification Audit may be different than the one hired for the Transition Period Audit.





## 4. TRACEABILITY TRANSITION RULES

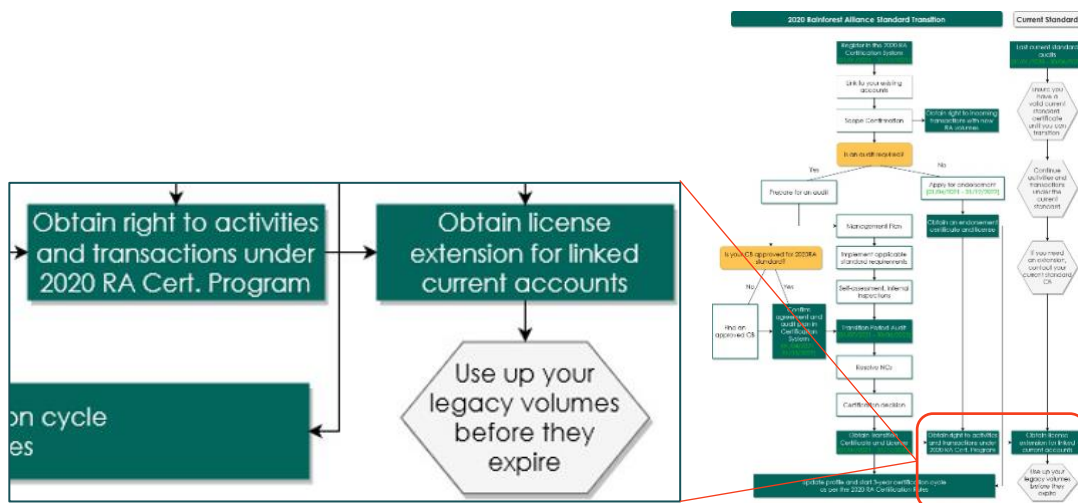


Figure 12: This is the part of the Certification Process (Figure 1) that this section corresponds to

### 4.1. VALIDITY OF CURRENT CERTIFICATES, LICENSES, ENDORSEMENTS

**Rule 75.** Certificates, licenses, and endorsements issued under the current UTZ or Rainforest Alliance Certification Programs shall not be automatically transformed into certificates under the Rainforest Alliance 2020 Certification Program. In order to retain their rights in all three Certification Programs, certificate holders (CHs) shall obtain a valid Transition Certificate and License as per the rules in the [Certification Transition Rules](#) section.

**Rule 76.** All current certificates with an end date after July 1, 2022 expire on the start date of the Transition Certificate or on July 1, 2022, whichever comes first.

**Exception:** A current certificate may be valid until maximum December 31, 2022 if a transitioning CH is in the process of certifying under the Rainforest Alliance 2020 Certification Program but does not have a new certificate yet. The conditions are:

- The current account of the CH is indicated during registration and
- The CH has undergone a Transition Period Audit before July 1, 2022 and
- No cancellation/non-certification/suspension decision has been made based on the transition audit.

**Guidance:** This rule applies to all current certificates, including 1 and 2-year UTZ certificates and 3-year Rainforest Alliance certificates. Examples: if a current certificate expires on May 1, 2022, and the CH has not obtained a Transition Certificate, the current certificate will still expire on May 1, 2022. If a current certificate's end date is on April 1, 2023, due to the transition to the new certification program it will not reach its end date. If the CH obtains a Transition Certificate starting March 15, 2022, the current certificate will expire on March 15, 2022. If the CH does not obtain a Transition Certificate, their current certificate will expire on July 1, 2022. For more information, see section [Gaps in certification](#).

**Rule 77.** A Transition Certificate shall:

- replace the current certificate(s). The issuing CB or Rainforest Alliance shall cancel the current certificate with effective date the start date of the Transition Certificate); and
- grant a license to use the Rainforest Alliance Traceability Platform for new Rainforest Alliance volumes with the same duration as the Transition Certificate (one year); and



- c. extend/grant a license that gives access to a CH's current accounts with the same duration as the Transition Certificate (one year) and
- d. grant access to the volumes contained in those current accounts linked to the Rainforest Alliance 2020 Certification Program account.

The accounts and certificates in this rule correspond to those indicated during Registration for the Rainforest Alliance 2020 Certification Process and verified by the CB or Rainforest Alliance during the transition period certification process.

**Guidance:** Rules on current volume validity are found in [Rule 81 below](#). Please note that the rights over these volumes may be modified by the applicable Rainforest Alliance 2020 Standard traceability and shared responsibility requirements.

**Rule 78.** Access to current UTZ/Rainforest Alliance volumes may not exceed the validity of the CH's Transition Certificate and License, unless the CH obtains a subsequent Rainforest Alliance 2020 Certification Program License to use the Rainforest Alliance Traceability Platform.

**Guidance:** If a CH's Transition Certificate or License is suspended, cancelled, expires or becomes in any other way invalid, the CH may no longer claim, process, or transact with the legacy volumes it has on its Rainforest Alliance Traceability Platforms accounts.

**Rule 79.** A current license expires when any of these occur:

- a. The expiry of the Transition Certificate if it is not substituted by a Rainforest Alliance 2020 Certificate
- b. The expiry of all legacy volumes for the crops in the scope of the current license

**Rule 80.** If a CH is unable to obtain a Transition Certificate on time, their volumes will remain in the Traceability Platform until their expiry date, but the CH shall not have access to them and shall not use them for claims and labels until and unless they obtain a Rainforest Alliance 2020 Certificate.

**Guidance:** for more information, see section [Gaps in certification](#)

## 4.2. VALIDITY OF LEGACY VOLUMES

**Rule 81.** Volumes certified under the current UTZ or Rainforest Alliance certification program on certified farms have the following expiration dates: to be determined.

**Rule 82.** After their expiration date, legacy Rainforest Alliance and legacy UTZ volumes are no longer eligible for claims and labels.

**Rule 83.** Once a current certificate expires, is suspended, or cancelled, the volumes available on the CH's account under that certificate are no longer eligible for claims and labels, unless certification is obtained against the Rainforest Alliance 2020 Standard. Sell-off periods apply as per the Rainforest Alliance 2020 Standard's traceability requirements.

## 4.3. ACTIVITIES AND TRANSACTIONS

### 4.3.1. ACTIVITIES AND TRANSACTIONS WITH LEGACY VOLUMES

**Rule 84.** Until June 30, 2022, CHs may perform activities and transactions with legacy volumes if they:





- a. Possess a valid current UTZ certificate or license, or
- b. Possess a valid current Rainforest Alliance certificate or endorsement, or
- c. Possess a valid Rainforest Alliance 2020 Transition Certificate or endorsement.

**Rule 85.** After July 1, 2022, only those CHs that have obtained a Transition Certificate and/or Rainforest Alliance 2020 Certificate may continue to perform activities and transactions with volumes certified under the current UTZ or Rainforest Alliance certification programs.

**Exception:** as per the Exception in [Rule 76 above](#).

**Guidance:** Current accounts linked to CHs who

- Have not undergone an audit under the Rainforest Alliance 2020 Certification Program, or
- Have not applied for an endorsement, or
- have received a negative certification decision or a denial of their endorsement application

*will be discontinued, and CHs will not be able to access the volumes they contain.*

**Rule 86.** Activities and transactions with legacy volumes shall follow the traceability requirements for the respective current UTZ or Rainforest Alliance certification program until June 30, 2021. As of July 1, 2021, the Rainforest Alliance 2020 Sustainable Agriculture Standard Supply Chain Requirements, including the traceability and shared responsibility requirements, apply.

**Guidance:** As per [Rule 9](#) and [Rule 10](#), both the CH and the CB shall assess/verify conformity with the applicable current UTZ or Rainforest Alliance certification program requirements for those transactions and activities related to legacy volumes that took place between the last audit against the current UTZ or Rainforest Alliance standard and July 1, 2021.

#### **4.3.2. ACTIVITIES AND TRANSACTIONS WITH NEW RAINFOREST ALLIANCE VOLUMES**

**Rule 87.** CHs may only report activities and transactions with new Rainforest Alliance volumes in the Rainforest Alliance Traceability Platforms after they have obtained a Transition Certificate and during the validity of that certificate.

**Exception:**

Transitioning CHs may receive incoming transactions of New Rainforest Alliance volumes from a CH already certified under the 2020 Standard after completing the registration process (up to Scope Confirmation). However, these volumes may not be processed or sold or be subject to claims until the CH has obtained a Transition Certificate.



## 5. GAPS IN CERTIFICATION

**Rule 88.** Gaps in certification due to force majeure circumstances shall be treated on a case-by-case basis, and Rainforest Alliance will decide whether to apply the rules in this section and/or which ones.

### 5.1. GAPS IN CURRENT UTZ/RAINFOREST ALLIANCE CERTIFICATION

If a Certificate Holder (CH) certified under the current Rainforest Alliance or UTZ Certification Programs is unable to, or fails to, renew its current Rainforest Alliance or UTZ certification after June 30, 2020 but still wishes to obtain a Transition Certificate or Certification against the full-scope Rainforest Alliance 2020 Certification Program, it falls under the “Certificate Holders with Gap in Certification” track. The following rules apply:

**Rule 89.** The CH may not perform or report activities and transactions with volumes on its account after December 31, 2021, even if those physically took place during the validity of its certificate/endorsement/license, until and unless they obtain Rainforest Alliance 2020 Certification.

**Guidance:** For supply chain CHs, the 2020 Rainforest Alliance Certification Rules on volumes purchased before the audit apply.

**Rule 90.** In the process of obtaining a valid certificate/endorsement even after June 30, 2022, the CH shall indicate all its current UTZ/Rainforest Alliance accounts.

### 5.2. GAPS BETWEEN THE CURRENT UTZ/RAINFOREST ALLIANCE CERTIFICATION AND THE RAINFOREST ALLIANCE 2020 CERTIFICATION

#### 5.2.1. REGISTRATION DELAY

If a CH certified under the Current Rainforest Alliance or UTZ Certification Programs is unable to, or fails to, register in the 2020 Certification Platform before December 31, 2021, the following rules apply:

**Rule 91.** The CH may not perform or report activities and transactions with volumes on its account after July 1, 2022, even if those physically took place during the validity of its certificate/endorsement/license, until and unless they obtain Rainforest Alliance 2020 Certification.

**Guidance:** For supply chain CHs, the 2020 Rainforest Alliance Certification Rules on volumes purchased before the audit apply.

**Rule 92.** As of January 1, 2022, any CH that has not registered in the Rainforest Alliance 2020 Certification Platform will be considered as a CH with a gap in certification. The CH shall follow the Rainforest Alliance 2020 Certification and Auditing Rules if it wishes to pursue certification against the Rainforest Alliance 2020 Certification Program.

**Guidance:** The simplified Transition Rules will no longer apply to this CH and they shall comply with the full-scope Rainforest Alliance 2020 Certification Program.

**Rule 93.** CHs that have previously been registered with the current UTZ or Rainforest Alliance certification programs shall still indicate all its accounts registered under the current UTZ/Rainforest Alliance program in the process of obtaining a valid certificate/endorsement even after January 1, 2022,

**Guidance:** It is important for a good audit process that the information on any certification history is available to Rainforest Alliance and the Certification Body. Therefore, it is important that CHs indicate their current accounts even if those have long expired. The access to any legacy volumes contained in these accounts depends on the validity of the current program licenses. Just by indicating a current program account, a CH with a gap in certification will not gain access to their legacy volumes if their license has expired.



### 5.2.2. AUDIT DELAY

If a CH certified under the Current Rainforest Alliance or UTZ Certification Programs and registered in the Rainforest Alliance 2020 Certification Platform is unable to, or fails to:

- apply for an endorsement by December 31, 2021 or
- get audited against the 2020 Standard before July 2022,

the following rules apply:

**Rule 94.** The CH may not perform or report activities and transactions with volumes on its account after July 1, 2022, even if those physically took place during the validity of its certificate/ endorsement/ license, until and unless they obtain a Rainforest Alliance 2020 Certification.

**Guidance:** For supply chain CHs, the 2020 Rainforest Alliance Certification Rules on volumes purchased before the audit apply.

**Rule 95.** As of July 1, 2022, the CH shall follow the Rainforest Alliance 2020 Certification and Auditing Rules if it wishes to pursue certification against the Rainforest Alliance 2020 Certification Program.

**Guidance:** The simplified Transition Rules will no longer apply to this CH and they shall comply with the full-scope Rainforest Alliance 2020 Certification Program. Certification audits under the full certification rules are only possible after July 1, 2022.

**Rule 96.** The CH shall update its registration profile in the Rainforest Alliance certification platform before proceeding with planning a Certification Audit against the full scope of the Rainforest Alliance 2020 Certification Program

### 5.2.3. CERTIFICATION DELAY

If a CH certified under the Current Rainforest Alliance or UTZ Certification Programs is unable to, or fails to, obtain a Transition Certificate, (endorsement or a CB-issued certificate, as applicable), even if it complied with the registration and audit timelines, the following rules apply:

**Rule 97.** The CH may not perform or report activities and transactions with Current or new standard volumes on its account after December 1, 2022, even if those transactions physically took place during the validity of its certificate/ endorsement/ license, until and unless they obtain Rainforest Alliance 2020 Certification.

**Guidance:** For supply chain CHs, the Rainforest Alliance 2020 Certification and Auditing Rules on volumes purchased before the audit apply.

**Rule 98.** As of July 1, 2021, the CH shall follow the Rainforest Alliance 2020 Certification and Auditing Rules if it wishes to pursue certification against the Rainforest Alliance 2020 Certification Program.

**Guidance:** The simplified Transition Rules will no longer apply to this CH and they shall comply with the full-scope Rainforest Alliance 2020 Certification Program.

**Rule 99.** The CH shall update its registration profile in the Rainforest Alliance certification platform before proceeding with planning a Certification Audit against the full scope of the Rainforest Alliance 2020 Certification Program

**Guidance:** As per Rule 85, the CH may not perform activities and transactions with Current or new standard volumes after July 1, 2022 until it obtains a Certificate and License under the full-scale Rainforest Alliance 2020 Certification Program



### 5.3. REGAINING ACCESS TO CURRENT UTZ OR RAINFOREST ALLIANCE ACCOUNTS AFTER A GAP IN CERTIFICATION

**Rule 100.** Once a CH obtains a Rainforest Alliance 2020 Certificate after a gap, they may regain license to use their current UTZ and/or Rainforest Alliance accounts under the following conditions:

- a. The CH does not have farming in scope
- b. The accounts are indicated during registration
- c. The CH has not made claims or used any labels with the current volumes in those accounts during the time it was not certified.

**Rule 101.** Once a CH obtains a Rainforest Alliance 2020 Certificate after a gap, they may use only those volumes in the current accounts for claims and labels that comply with the Rainforest Alliance 2020 Certification and Auditing Rules and the Rainforest Alliance 2020 traceability and shared responsibility requirements.



## ANNEX 1. EXAMPLES OF APPLICATION OF THE TRANSITION RULES

This section presents examples that illustrate the rules and guidance set out in this document with references to the relevant sections/rules.

### EXAMPLE 1. SUCCESSFUL TRANSITION:

A Certificate Holder, BestCoffee, has farming in scope and also buys certified volumes from other farming CHs. It has a current Rainforest Alliance certificate valid until March 1, 2022. BestCoffee starts registration in the Rainforest Alliance 2020 Certification Platform in August 2021 and in the process indicates that Current account. ([Registration](#)).

BestCoffee completes registration up to Scope Confirmation stage in September 2021. At that point BestCoffee may receive new standard volumes from SeriousFarming, another farming CH that has already obtained a Transition Certificate. However, BestCoffee may not report activities or transactions with the volumes it purchased from SeriousFarming yet, nor make any claims with them. ([Activities and Transactions](#))

The current certificate of BestCoffee may be extended, as per the current Rainforest Alliance rules, to ensure no gaps in certification. For that, BestCoffee turns to the CB that issued the Current Certificate, AbsoluteCertification. ([Last audits against the Current UTZ and Rainforest Alliance Standards](#))

AbsoluteCertification is not authorized to conduct farming audits in the Rainforest Alliance 2020 Certification Program and can therefore not conduct the Transition Period Audit of BestCoffee. Therefore, BestCoffee hires another Certification Body, DigitalCertifiers, which is authorized for its scope. BestCoffee confirms the agreement in the Rainforest Alliance certification platform in October 2021. ([Contracting a Certification Body for Transition Period Audits](#))

An audit is planned for February, before the expiry of the original certificate (March 1, 2022). ([Transition Period Audits](#))

Between October and February, BestCoffee also develops its management plan, implements the applicable requirements of the Rainforest Alliance 2020 Standard (core farming requirements and all applicable traceability and supply chain requirements), and conducts a self-assessment and internal inspections. ([Entry into force of Rainforest Alliance 2020 Standard Requirements](#))

After BestCoffee CH receives DigitalCertifiers for an on-site Transition Period Audit, it closes all non-conformities within the timelines set in the Rainforest Alliance 2020 Certification and Auditing Rules, on February 21, 2022. ([Transition Period Audits](#))

DigitalCertifiers grant BestCoffee a Transition Certificate, as of February 1, 2022, the starting date being set in alignment with the beginning of the coffee harvest season in this region. The certificate is valid for one year. ([Transition Certificate](#)) The Rainforest Alliance grants Digital Certifiers a License to use the Rainforest Alliance Traceability Platform. The Rainforest Alliance assigns certified new Rainforest Alliance volumes to BestCoffee in its Rainforest Alliance Traceability Platform account.

After obtaining a certificate and license, BestCoffee also obtains extended access to its Current account volumes by the same one year, until February 1, 2023. ([Activities and transactions with legacy volumes](#))

Best Coffee can now also report the processing and trade of the coffee it purchased from SeriousFarming, and can process, trade and claim its own certified volumes as well



according to the Rainforest Alliance 2020 traceability and shared responsibility requirements. ([Activities and transactions with new Rainforest Alliance volumes](#)). BestCoffee can now also prepare for the full-scale Certification Audit, for example by collecting Smart Meter data.

## EXAMPLE 2: UNSUCCESSFUL TRANSITION:

A CH has a Current UTZ certificate valid until August 1, 2022. This CH **does not indicate** their Current account to their Rainforest Alliance 2020 Certification Program account during registration. The Current certificate is not automatically transformed into a Transition Certificate. ([Rule 75](#)) The Current certificate is cancelled, as of July 1, 2022. ([Rule 35](#)) If the CH decides to pursue certification against the Rainforest Alliance 2020 Standard without indicating the Current certification, the CB or Rainforest Alliance may decide to suspend that Current certificate and license earlier and not allow certification against the Rainforest Alliance 2020 Standard to the CH ([Rule 41](#), [Rule 57](#)).



## ANNEX 2. TRANSITION RULES FOR CERTIFICATION BODIES

In addition to the Transition Rules and guidance above and the [Rainforest Alliance 2020 Certification and Auditing Rules](#) and the [Rainforest Alliance 2020 Rules for CBs](#) the following transition rules apply to CBs authorized for the current RA and UTZ Certification Programs:

**CB Rule 1.** The following definitions apply to this annex (these are not mutually exclusive):

- a. Transitioning Certification Bodies (CBs) are those CBs that are authorized under the current UTZ and/or Rainforest Alliance Certification Program(s) and are (applying to be) authorized for the Rainforest Alliance 2020 Certification Program.
- b. Current CBs are those CBs that are authorized under the current UTZ and/or Rainforest Alliance Certification Program(s).
- c. Rainforest Alliance 2020 CBs are those CBs that are authorized under the Rainforest Alliance 2020 Certification Program.

### APPROVAL AND AGREEMENT WITH THE RAINFOREST ALLIANCE

**CB Rule 2.** To be able to conduct audits and issue Transition Certificates, a CB shall obtain authorization under the Rainforest Alliance 2020 Certification Program.

**Guidance:** A new authorization process for Certification Bodies applies to the Rainforest Alliance 2020 Certification Program. This means that not all current CBs will be authorized to become Rainforest Alliance 2020 CBs with the same scope as in the current UTZ or Rainforest Alliance Certification Programs. Please see the [Rainforest Alliance 2020 Rules for CBs](#) for more information.

**CB Rule 3.** Lack of authorization under the Rainforest Alliance 2020 Certification Program does not mean withdrawal of the authorization for the current UTZ or Rainforest Alliance Certification Programs.

**Guidance:** If a Certification body does not wish to or fails to obtain authorization under the Rainforest Alliance 2020 Certification Program, it is still bound by the framework agreement it has with the Rainforest Alliance for the current UTZ or Rainforest Alliance Certification Program(s).

**CB Rule 4.** All aspects of a current CB's current Rainforest Alliance and/or UTZ authorization (e.g. geographic scope, staff approval, badges, crops, etc.) remain valid for the current UTZ/Rainforest Alliance Certification Programs until:

- the end of validity of the last certificate you are responsible for, or
- the transfer<sup>16</sup> is completed of the last certificate you are responsible for, to either Rainforest Alliance or to another CB, or
- the expiry or termination of the Current Rainforest Alliance Authorization Agreement and/or the Current UTZ Framework Agreement.

The CB scope may be modified by Rainforest Alliance or the CB as per the Current UTZ/Rainforest Alliance certification program rules and authorization/framework agreements.

**CB Rule 5.** As of July 1, 2021, the rules for transferring certificates stipulated in the Rainforest Alliance 2020 Certification and Auditing Rules apply to current Certificates.

**CB Rule 6.** During the Transition Period, each Current CB shall continue to provide auditing and certification services under the Current UTZ/Rainforest Alliance Certification Programs to every CH holding a certificate issued by that CB and/or covered by a valid contract until:

<sup>16</sup> For rules on transferring certificates, please refer to the 2020 Rainforest Alliance Certification Rules.





- a. the expiry or cancellation of the certificate, or
- b. the CH obtains a Transition Certificate or a full-scale certification under the Rainforest Alliance 2020 Certification Program (whichever comes first), or
- c. the expiry or termination of the Current Rainforest Alliance Authorization Agreement and/or the Current UTZ Framework Agreement.

**Guidance:** *This is especially valid for certificate extensions, surprise audits, and all other contractual obligations that involve the Current Rainforest Alliance certification programs. For example, if an UTZ certificate was issued on March 1, 2021, the issuing CB is responsible for the certificate even after July 1, 2021, as per this rule.*

**CB Rule 7.** All Transitioning CBs shall prepare a plan for the implementation of their Rainforest Alliance 2020 Certification Program quality management system (taking into account the Transition Rules) before the Application Assessment and latest by September 30, 2020.

**Guidance:** The Application Assessment will be based on the plan and whichever parts of the quality management system that have been implemented already.

**CB Rule 8.** All Transitioning and Rainforest Alliance 2020 CBs shall implement their Rainforest Alliance 2020 Certification Program quality management system (taking into account the Transition Rules) as defined in the Application Agreement and Authorization Agreement.

**Guidance:** *Given the large differences between the Current and the Rainforest Alliance 2020 Certification Programs, it will be necessary for most Transitioning CBs to maintain two/three parallel quality management systems for the different certification programs during the transition period.*

**CB Rule 9.** All Current and transitioning CBs shall adapt their quality management system for the Current Certification Program(s) to accommodate the Transition Rules latest by October 30, 2020.

**Guidance:** *Most transitioning CBs will have certificates issued against the Current Standards. Please note that the Current certification rules will remain applicable to these certificates (e.g. on extensions, etc.) until the CH transitions to the Rainforest Alliance 2020 Standard or until July 1, 2022, whichever comes first. We expect that most Transitioning CHs will transition (get audited and certified) before December 2022. It is therefore necessary for CBs to retain their quality management systems for the Current standards, adapted to the Transition Rules. An example of an adaptation is that certification/surveillance Current UTZ/Rainforest Alliance audits shall not be planned or conducted after June 30, 2021.*

## **CURRENT UTZ/RAINFOREST ALLIANCE CERTIFICATES**

**CB Rule 10.** Rainforest Alliance shall provide a list to each CB of the valid Current certificates issued by that CB that have been linked to a Rainforest Alliance 2020 account by October 1, 2021 and again by January 31, 2022.

**CB Rule 11.** Rainforest Alliance shall provide a list to each CB of valid Current certificates issued by that CB that have been linked to a Rainforest Alliance 2020 account, where the CH has chosen another CB for the Transition Period Audit/Certification.

**CB Rule 12.** Rainforest Alliance shall inform each CB that a Transition Certificate linked to a Current certificate has been issued.

**CB Rule 13.** The CB shall cancel all Current certificates issued by it and linked to a Rainforest Alliance 2020 Account, effective on the start date of the Transition Certificate of that account.

**Guidance:** *If a Current UTZ certificate expires on May 1, 2023 and is linked to a Rainforest Alliance 2020 account which obtains a Transition Certificate with a start date on April 1, 2021,*





the Current UTZ certificate shall be cancelled by the CB as soon as possible with effective date April 1, 2021.

**CB Rule 14.** On July 1, 2022, the CB shall cancel all Current certificates issued by the CB that fall under [Rule 76](#) and have not been cancelled yet.

**CB Rule 15.** On December 1, 2022, the CB shall cancel all Current certificates issued by it that fall under the exception to [Rule 76](#) and have not been cancelled yet.

**CB Rule 16.** Latest by October 15, 2021, each pre-merger CB shall inform their certificate holders of any Current accounts with chain of custody in scope that have not been linked during registration and the certificates of which may therefore be cancelled on July 1, 2021.

**CB Rule 17.** In the event of cancellation of certificates based on [Rule 76](#), the CB shall 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 shall send the CH a formal letter in which the cancellation is being communicated.

## CONTRACTS<sup>17</sup> WITH CHS FOR CERTIFICATION SERVICES

**CB Rule 18.** Contracts signed with CHs for Current Rainforest Alliance and/or UTZ certification shall be adapted, if applicable, to the Transition Rules latest by October 30, 2020. CBs shall not charge 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)

**CB Rule 19.** CBs shall sign a new contract for the Rainforest Alliance 2020 Certification Program with a CH only if:

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

**Guidance:** *The CH will only be able to select the CB in the Rainforest Alliance Certification Program if the CB's authorization scope covers the certification scope of the CH.*

**CB Rule 20.** Every contract signed for the Rainforest Alliance 2020 Certification Program, including the Transition Period, shall be confirmed in the Rainforest Alliance certification platform.

**CB Rule 21.** Once the certification agreement has been confirmed, the CB will gain access in the Rainforest Alliance 2020 certification platform to any more detailed information that the CH has provided, required for the audit planning process.

**CB Rule 22.** Every Transition Audit shall be planned and announced in the Rainforest Alliance certification platform as per the Rainforest Alliance 2020 Certification and Auditing Rules.

**CB Rule 23.** 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.

<sup>17</sup> Contracts here mean the contractual agreement for certification services between a CB and a CH, also called "certification agreements" in the 2020 Rainforest Alliance Certification Program



**CB Rule 24.** 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.
- c. The CBs authorized to perform Current Rainforest Alliance audits shall perform 50% of the number of required unannounced/short-notice audits in 2020 according to the Certification Rules version 2.0
- d. The CBs authorized to perform Current Rainforest Alliance audits shall perform 30% of the number of required unannounced/short-notice audits in 2021 according to the Certification Rules version 2.0

**Guidance:** *Rounding and minimum absolute number of audit rules still apply as per the Current certification programs.*

**CB Rule 25.** In addition to [CB Rule 23](#), for the Rainforest Alliance 2020 Standard, authorized CBs shall perform the number of unannounced and/or semi-announced audits as required in the new Rainforest Alliance Certification Rules starting January 1, 2022.

## **APPLICABLE STANDARD REQUIREMENTS:**

**CB Rule 26.** When certifying, extending licenses, and reporting under the Current standards, the Current Certification Programs apply, modified by the Transition Rules where relevant.

**CB Rule 27.** 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.

**CB Rule 28.** For Transitioning CHs, the CB 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).

**Guidance:** *For example, the CB should consider past non-conformities and their resolution, significant differences in yield estimates, volumes, transactions and activities performed with Current volumes since the last audit, transactions and activities performed with new standard volumes before the Audit.*