More information?

For more information about the Rainforest Alliance, visit [www.rainforest-alliance.org](http://www.rainforest-alliance.org) or, for specific interpretation issues about this document contact wacocoa@ra.org.

Translation Disclaimer

Rainforest Alliance makes every effort to ensure translation accuracy of all Rainforest Alliance sustainable agriculture certification program documents into languages other than English. Any question arising from interpretation of the document content in different languages should refer to the English official version as the reference document. Any discrepancies or differences created in the translation are not binding and have no effect for auditing or certification purposes.
<table>
<thead>
<tr>
<th>Issue Date:</th>
<th>Binding date:</th>
<th>Expiration date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>14 April 2020</td>
<td>1 June 2020</td>
<td>1 July 2021</td>
</tr>
</tbody>
</table>

**Developed by:** Rainforest Alliance  
**Approved by:** Director, Standards and Assurance

**Linked to (code and name of documents, if applicable):**

<table>
<thead>
<tr>
<th>UTZ related documents</th>
<th>Rainforest Alliance related documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>UTZ Assurance Certification protocol, version 4.3 December 2018</td>
<td>Rainforest Alliance Certification Rules, July 2017 version 1.2</td>
</tr>
<tr>
<td>Letter from April 18th, 2019 Important Notice: new requirements for UTZ and Rainforest Certificate holders in Côte d’Ivoire and Ghana</td>
<td>Rainforest Alliance Chain of Custody Policy 2015</td>
</tr>
<tr>
<td>UTZ Core Code of Conduct for group and multi-group certification, version 1.1 + cocoa module</td>
<td>Rainforest Alliance Sustainable Agriculture Standard, July 2017 version 1.2</td>
</tr>
<tr>
<td>Chain of Custody Standard + Cocoa Annex</td>
<td></td>
</tr>
</tbody>
</table>

**Replaces**

The following measures from 2019 to strengthen the Cocoa Sector in Ivory Coast and Ghana are not applicable any longer and the applicable rules from the UTZ Protocol v4.3 are applied:

- Extended timeframe for UTZ Code of Conduct audits
- Increased percentage of surprise audits for UTZ Code of Conduct from 10 to 15%.

**Applicable to:**

- Certification Bodies authorized to perform audits for Rainforest Alliance and/or UTZ
- Farm and Chain of Custody certified entities (for both UTZ and Rainforest Alliance programs)

**Regions:**

Sections 1, 2 and 3 for Ivory Coast and Ghana, Section 1A for Nigeria and Cameroon, Sections 2.5 and 2.5 to all regions globally.

**Crops:**

- Cocoa

**Type of organizations:**

- Farm and Chain of Custody entities
- Certification Bodies
INTRODUCTION

The Rainforest Alliance is a growing network of people who are inspired and committed to working together to achieve our mission of creating a better future for people and nature by making responsible business the new normal. Since January 2018, the UTZ Certification program is also part of Rainforest Alliance.

As part of Phase 2 of the Cocoa Assurance Plan for West Africa, a specific policy has been developed to further strengthen the implementation, verification and credibility of our certification programs. The policy is applicable to all certificate holders for both UTZ Code of Conduct and Rainforest Alliance Sustainable Agriculture Standards and for UTZ and Rainforest Alliance Chain of Custody standards in Ivory Coast and Ghana. It is applicable for all audits conducted after 1 June 2020. Sections 1.2 and 3 of this policy apply in Full to Ivory Coast and Ghana.

In addition, in 2020 an additional set of measures from Phase 1 of the Cocoa Assurance Plan for West Africa have been extended to Nigeria and Cameroon. Section 1A of this policy sets out the requirements that apply specifically to certificate holders in Nigeria and Cameroon.

Please note that Sections 2.5 and 2.6 of the current policy are applicable globally to Chain of Custody Certificate holders in cocoa supply chains regardless of country of operation.

The policy sets out specific implementation requirements for certificate holders at both producer and supply chain actor levels (Certification Criteria) and for reinforcing the assurance process (Assurance Process Rules).

1. PRODUCER CERTIFICATION CRITERIA: APPLICABLE TO GHANA AND IVORY COAST

RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD / UTZ CODE OF CONDUCT STANDARD

1.1. Certification – Eligibility rules

a. Certified groups shall only be certified against either the Rainforest Alliance Sustainable Agriculture Standard or the UTZ Code of Conduct Standard, not both certification programs. Groups currently certified against both standards must choose one standard and cancel the other by 30 June 2020. Certificate Holders must inform Rainforest Alliance of their choice of certification standard against which they will be audited by sending an email to wacocoa@ra.org no later than 30 June 2020. Audits and volume sales from 1 June 2020 can only be registered in the traceability platform for the selected standard (GIP for UTZ or Marketplace for Rainforest Alliance). Groups may be certified against other certification programs outside of the Rainforest Alliance and UTZ programs alongside as well if they choose to;

b. No new groups shall join either the UTZ or Rainforest Alliance certification programs; the pause on new groups implemented in 2019 is continued. Groups previously certified whose last certificate expired earlier than 1 January 2019 cannot join either of the certification programs;

c. UTZ certified groups whose certification is not currently interrupted cannot change their certification cycle from October 2020 to April 2021;

d. Certified groups shall provide proof that the group complies with relevant laws related to registration with governmental bodies;
e. Group members may not be members of more than one certified group (UTZ or RA);

f. Following a non-certification decision or a decertification decision, a producer group shall wait at least one harvest period (main/big or mid/small) after the non-certification or decertification decision is made before a new certificate may become active;

g. Any group that is non-certified or whose license/certificate is suspended or has expired or does not plan on renewing the license/certificate must remove all UTZ and/or Rainforest Alliance logos, seals or labels from their documentation or buildings within one month after the non-certification or decertification decision is made, or after the expiry date of their latest certificate.

1.2. Growth in Group Membership

   a. The total number of certified producers in a group can only grow by 10% over the whole certification year in comparison to the total number of certified producers in the previous certification year (certification audit and/or extension audit).

   b. New group members must comply with the same compliance year or performance level as other existing group members. This means that if a group is in year 3 in the UTZ Code of Conduct new members of the group will must also be in compliance with control points for year 3. For Rainforest Alliance if the group is implementing continuous improvement criteria in a specific area at performance level B new group members must also be compliant against performance level B requirements.

1.3. Group Member Registry

   a. The government issued ID of each certified producer in the group is indicated in the UTZ Group Member Registry or Rainforest Alliance Member List.

1.4. Geolocation data

   a. The location points (GPS coordinates) of 100% of producers in the group are collected and indicated in the UTZ Group Member Registry / Rainforest Alliance Member List. Location points (GPS coordinates) of new producers within the group are collected according to the Rainforest Alliance guidelines;

   b. Groups with producers in Protected Areas will not be certified unless allowed by applicable law. In Ivory Coast, applicable law refers to enclaves approved by MINEF and in Ghana, to admitted farms with polygons provided by the Forestry Commission of Ghana.

1.5. Yield estimation

   a. For UTZ groups in year 3 and above, the only credible method to determine the certified area is through GPS mapping (G.A.2).

1.6. Traceability

   a. Equipment used to define the weight or volume of the certified product is calibrated at least annually;

   b. Group management documents a product flow map from group members to the group, including all intermediaries (collection points, transport, processing units, warehouses, etc.) and activities carried out on the product.
c. Group management ensures that all intermediaries keep purchase and sales documents linked to physical deliveries from both certified and non-certified products;

d. Group members receive and keep a receipt for each delivery from the group member to the group or an intermediary, specifying name of group member, group member ID and Government Issued ID, date, product type and volume;

e. Transactions are submitted in the traceability system within one week of the physical delivery from the group to their first buyer. All relevant commercial / legal documents pertaining to the transaction must be uploaded to the traceability system at the same time.

f. Groups must remove from the traceability platform any volumes from certified group members which are sold under other labels or as conventional within one week of the physical delivery.

1.7. **Premium (Sustainability differential and investment)**

a. All groups (UTZ and Rainforest Alliance) must document and communicate to group members at least annually the premium per kg received from the sale of RA/UTZ certified produce;

b. The Group Member premium is paid in a timely and convenient manner, at least once per year. Prices, premiums, and timing of premium payment are clearly communicated and transparent to group members.

c. Group management must document and report to group members at least annually on the use of UTZ/Rainforest Alliance premium received, differentiating between
   - Investments made by group management for the implementation of the certification (external audit, internal inspections, staff trainings)
   - Investments made by group management for products and services to be used by group members
   - Cash payments to group members (sustainability differential)

d. A plan is made each year for the use of premium for the benefit of group members. The plan identifies the necessary investments to improve performance against the standard, and the proportion to be distributed in cash to group members (sustainability differential) The plan must be agreed with representation of the group members. Where possible the plan should also be agreed with first buyers

e. Group management documents all additional investments made by first buyers, over and above premium and provides evidence of the execution of these investments (infrastructure, services, etc.)

1.8. **Child Labor Prevention, Monitoring and Remediation**

a. All groups (both UTZ and Rainforest Alliance certified) must implement a documented system to prevent, monitor, and remediate child labor, and appoint community-based child labor liaison persons in line with Rainforest Alliance Guidance.
## 1. PRODUCE CERTIFICATION CRITERIA: IVORY COAST AND GHANA

### OVERVIEW OF CHANGES

<table>
<thead>
<tr>
<th>Policy measure</th>
<th>UTZ CODE OF CONDUCT STANDARD</th>
<th>RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD</th>
<th>APPLICABILITY</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.1. Certification – Eligibility rules</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 a</td>
<td>No dual certification Rainforest Alliance / UTZ</td>
<td>NEW</td>
<td>NEW</td>
</tr>
<tr>
<td>1.1 b</td>
<td>Pause on new groups</td>
<td>No change – Letter April 2019</td>
<td>No change – Letter April 2019</td>
</tr>
<tr>
<td>1.1 c</td>
<td>No change of utz certification cycle</td>
<td>NEW</td>
<td>Non-Applicable</td>
</tr>
<tr>
<td>1.1 d</td>
<td>Government registration of certified groups</td>
<td>No change – Letter April 2019</td>
<td>No change – Letter April 2019</td>
</tr>
<tr>
<td>1.1 e</td>
<td>No membership in multiple groups</td>
<td>No change – Protocol 2.4.1 Certification options</td>
<td>NEW</td>
</tr>
<tr>
<td>1.1 f</td>
<td>Waiting period for recertification</td>
<td>Adaptation to Protocol</td>
<td>NEW</td>
</tr>
<tr>
<td>1.1 g</td>
<td>Use of Rainforest Alliance / UTZ logo for groups not certified</td>
<td>NEW</td>
<td>NEW</td>
</tr>
<tr>
<td><strong>1.2. Growth in Group Membership</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 a</td>
<td>Limit in group membership growth</td>
<td>NEW</td>
<td>NEW</td>
</tr>
<tr>
<td>1.2 b</td>
<td>Minimum compliance standard for new members</td>
<td>E.g. if a group is in year 3 in the UTZ Code of Conduct new members of the group will must also be in compliance with control points for year 3.</td>
<td>E.g. if the group is implementing continuous improvement criteria in a specific area at performance level B, new group members must also be compliant against performance level B requirements.</td>
</tr>
<tr>
<td><strong>1.3. Group Member Registry</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3 a</td>
<td>Inclusion of government issued ID</td>
<td>NEW</td>
<td>NEW</td>
</tr>
<tr>
<td><strong>1.4. Geolocation Data</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.4 a</td>
<td>No change – Letter April 2019</td>
<td>No change</td>
<td>18 April 2019</td>
</tr>
</tbody>
</table>
100% GPS coverage for group members | | Ghana and Ivory Coast
1.4 b | Non-certification of groups in protected areas | No change – G.D.111 | No change – 1.6 | 18 April 2019 Ghana and Ivory Coast

**1.5. Yield Estimates**

| 1.5 a | GPS mapping required to determine certified Area | NEW – only applies to UTZ groups in year 3 and above | Non-Applicable | 1 June 2020 Ghana and Ivory Coast

**1.6. Traceability**

| 1.6 a | Annual calibration of weight/volume equipment | No change – G.A.29 | NEW | 1 June 2020 Ghana and Ivory Coast
| 1.6 b | Product flow map required | Specification for control point G.A.22 | NEW | 1 June 2020 Ghana and Ivory Coast
| 1.6 c | Intermediaries keep purchase and sales receipts for all deliveries | Specification for control point G.A.24 | Specification for criterion 1.3 | 1 June 2020 Ghana and Ivory Coast
| 1.6 d | Group members keep receipts of delivery transactions | No change – G.A.22 | Specification for criterion 1.2 | 1 June 2020 Ghana and Ivory Coast
| 1.6 e | Transactions uploaded in traceability system within one week | Specification for control point G.A.25 | NEW | 1 June 2020 Ghana and Ivory Coast
| 1.6 f | Volumes sold as conventional or under other labels removed from traceability platform in one week | Specification for control point G.A.24 | NEW | 1 June 2020 Ghana and Ivory Coast

**1.7. Premium (Sustainability Differential and Investment)**

| 1.7 a and b | Payment and communication on premium | No change – G.A.27 | NEW | 1 June 2020 Ghana and Ivory Coast
| 1.7 c | Use and reporting of premium | No change – G.A.26 and G.A.27 | NEW | 1 June 2020 Ghana and Ivory Coast
| 1.7 d use of premium - planning | CHANGE to UTZ G.A.26 from requirement for a policy for use of premium to a plan made with representation from producers | NEW | 1 June 2020 Ghana and Ivory Coast
| 1.7 e | Reporting on additional investment by first buyers | NEW | NEW | 1 June 2020 Ghana and Ivory Coast

**1.8. Child Labor Prevention, monitoring and Remediation**

| 1.8 a | Introduction of CLMRS | No Change | NEW | 1 June 2020 Ghana and Ivory Coast
### 1.A PRODUCER CERTIFICATION CRITERIA: APPLICABLE TO NIGERIA AND CAMEROON

**RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD / UTZ CODE OF CONDUCT STANDARD**

#### 1.A.1. Certification – Eligibility rules

   a. No new groups shall join either the UTZ or Rainforest Alliance certification programs. Groups previously certified whose last certificate expired earlier than 1 January 2019 cannot join either of the certification programs;

#### 1.A.2. Geolocation data

   a. The location points (GPS coordinates) of 100% of producers in the group are collected and indicated in the UTZ Group Member Registry / Rainforest Alliance Member List with groups which have a minimum of 50% GPS points collected by 1 February 2020. For groups with less than 50% GPS points collected by 1 February 2020, The location points (GPS coordinates) of at least 50% of producers in the group are collected and indicated in the UTZ Group Member Registry / Rainforest Alliance Member List. The location points (GPS coordinates) are collected according to the Rainforest Alliance guidelines;

---

<table>
<thead>
<tr>
<th>Policy measure</th>
<th>UTZ CODE OF CONDUCT STANDARD</th>
<th>RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD</th>
<th>APPLICABILITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.A.1.a Pause on new groups</td>
<td>NEW</td>
<td>NEW</td>
<td>21 February 2020</td>
</tr>
<tr>
<td>1.A.1.a 100% GPS coverage of group members for groups with at least 50% coverage as of 1 February 2020</td>
<td>NEW</td>
<td>NEW</td>
<td>21 February 2020</td>
</tr>
<tr>
<td>1.A.2.a 50% GPS of group members for groups with less than 50% coverage as of 1 February 2020</td>
<td>NEW</td>
<td>NEW</td>
<td>21 February 2020</td>
</tr>
</tbody>
</table>
2. CHAIN OF CUSTODY CERTIFICATION CRITERIA: APPLICABLE TO GHANA AND IVORY COAST

RAIN FOREST ALLIANCE CHAIN OF CUSTODY STANDARD / UTZ CHAIN OF CUSTODY STANDARD

2.1. Certification – Eligibility rules

a. All supply chain actors taking legal ownership of certified cocoa or derivative products in Ivory Coast and Ghana must be audited by an approved Certification Body to receive a license/certificate in the traceability system. No audit exemptions or endorsements will be given for Chain of Custody Supply Chain Actor operations in Ivory Coast and Ghana other than those in place for mutual recognition;

b. If a Supply Chain Actor is non-certified or decertified, the member shall wait 6 months after the certification decision is taken before a new certificate may become active.

2.2. Supply Chain Transparency

a. Supply chain actors document a product flow map from certified producer groups supplying the certified cocoa, including all intermediaries and activities carried out on the product, including volumes;

b. By June 2020, supply chain actors provide polygons for the producers which are part of their supplying certified producer groups, or confirm they don’t have this data.

2.3. Premium payment (Sustainability Differential and Shared Investment)

a. A Sustainability Differential is paid as cash / bank transfer by the first buyer to the certified groups (both UTZ and Rainforest Alliance certified group) for all product claimed as UTZ or Rainforest Alliance certified. This amount is paid per metric ton, over and above and distinct from the price of the certified product, other premiums including quality premiums and other obligatory payments such as Living Income Differential.

b. Premium (sustainability differential) payments and amounts, with evidence of payment are reported in the applicable Traceability Platform (GIP for UTZ and MarketPlace for Rainforest Alliance).

c. Premium (Sustainability Differential) is paid to groups by their 1st buyer by the end of each quarter for the applicable certified volumes declared as bought in the applicable traceability system.

2.4. Shared Investments

a. First buyers report on investments (in cash or in kind) in suppliers (certified producer groups) in the last year, beyond the payment of premium to group management. Documentation and evidence of investment distinguishes between

i. Investments made for the administration of certification (audit costs, traceability systems, etc.)

ii. Investments made for products and services to be used by group members (training, inputs, access to finance, etc.)

Rainforest Alliance will provide guidelines on the classification of investments by May 2020.

N.B. from 2021, First Buyers will be required to report investments based on an annual Investment Inventory based on an investment needs analysis with a plan created and
prioritized in a collaborative effort between the Farm Certificate Holder and the first buyer representatives.

THE FOLLOWING CHAIN OF CUSTODY CERTIFICATION CRITERIA ARE APPLICABLE GLOBALLY

2.5. Traceability

a. Origin matching is required for all bean contracts signed on or after 1 July 2020 or beans delivered on or after 1 September 2021, whichever comes first.

b. Origin matching up to at least 80% by volume is required for all cocoa derivative products with a contract signed on or after 1 July 2020 or delivered on or after 1 September 2021, whichever comes first, and up to at least 90% by volume as of 1 October 2022. If no certified volume is available from a country and this causes a product to be under the required 90% origin matching, this product cannot be sold as certified mass balance.

c. Within a multi-site Chain of Custody certificate, mass balance credit volumes may be transferred between sites within the same geographic region defined by the Rainforest Alliance with or without an accompanying legal or physical change of ownership. Within a multi-site Chain of Custody certificate, mass balance credit volumes transferred between sites in different geographic regions must be accompanied by a legal or physical change of ownership. When mass balance credit volume is transferred from one to another certificate, there must always be physical movement of beans accompanying such transaction.

2.6. Legal Agreements

a. From September 1st, 2020, all companies are expected to have a new legal agreement in place with the Rainforest Alliance. This agreement will replace existing MLAs and the trademark license in the UTZ terms and conditions.

b. All companies are required to stop manufacturing products printed with either legacy brand (UTZ flag or old RA seal) as of September 1st, 2020.

c. Any labeling or claim approvals already granted for cocoa products will expire on September 1st, 2020, and new requests will need to be submitted with the new seal artwork if the company wishes to continue making any claim.

d. A sell off period of 6 months is allowed, for companies with a valid certificate, after September 1st, 2020 for existing printed packaging or labeling to be used. These are the requirements if you want to take advantage of the sell off period applicable to legacy seal or label use.

e. The new Rainforest Alliance seal may be used, if prior approval against the new policy has been granted via the claim request process.

f. Printing of packaging with new seal can commence before September 1st, 2020 (provided approval against new labeling policy has been secured and a new MLA is signed), provided these products do not reach the shelf prior to that date.

g. Companies will cooperate with Rainforest Alliance, and where appropriate the CB, to provide evidence that, prior to and during the sell-off period, the labelled product was processed and packaged in accordance with all Rainforest Alliance system requirements.
h. A sell-off period will not be authorized or will be revoked in instances where the company has participated in fraudulent or unethical activities that may tarnish the reputation of the certification program.
## 2. CHAIN OF CUSTODY CERTIFICATION CRITERIA

<table>
<thead>
<tr>
<th>Policy measure</th>
<th>UTZ CHAIN OF CUSTODY STANDARD</th>
<th>RAINFOREST ALLIANCE CHAIN OF CUSTODY STANDARD</th>
<th>APPLICABILITY</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2.1 Certification – Eligibility Rules</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 a Mandatory audits for Chain of Custody actors in country</td>
<td>Change UTZ Certification Protocol 4.3, chapter 2.2.2: No audit exemptions for Supply Chain Actors not physically handling certified product</td>
<td>NEW, no further endorsements for very low risk companies.</td>
<td>1 June 2020 Ghana and Ivory Coast</td>
</tr>
<tr>
<td>2.1 b 6 months delay for recertification after non-certification or decertification</td>
<td>NEW</td>
<td>NEW</td>
<td>1 June 2020 Ghana and Ivory Coast</td>
</tr>
<tr>
<td><strong>2.2 Supply Chain Transparency</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 a Documentation of product flow/supply chain map and supplier volumes</td>
<td>NEW</td>
<td>NEW</td>
<td>1 June 2020 Ghana and Ivory Coast</td>
</tr>
<tr>
<td>2.2 b Documentation of product flow/supply chain map and supplier volumes</td>
<td>NEW</td>
<td>NEW</td>
<td>1 June 2020 Ghana and Ivory Coast</td>
</tr>
<tr>
<td><strong>2.3 Premium Payment (Sustainability Differential)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3 a Payment of cash premium (sustainability differential) for certified cocoa</td>
<td>No change to UTZ Chain of Custody - control point 16</td>
<td>NEW</td>
<td>1 June 2020 Ghana and Ivory Coast</td>
</tr>
<tr>
<td>2.3 b Premium (sustainability differential) payment and amount recorded in traceability system</td>
<td>No change to UTZ Chain of Custody - control point 17</td>
<td>NEW</td>
<td>1 June 2020 Ghana and Ivory Coast</td>
</tr>
<tr>
<td>2.3 c Premium (sustainability differential) paid by the end of each quarter</td>
<td>NEW</td>
<td>NEW</td>
<td>1 June 2020 Ghana and Ivory Coast</td>
</tr>
<tr>
<td><strong>2.4 Shared Investments</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4 a Reporting on investments in producer groups beyond premium</td>
<td>NEW</td>
<td>NEW</td>
<td>1 June 2020 Ghana and Ivory Coast</td>
</tr>
<tr>
<td><strong>2.5 Traceability</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.5 a and b Origin matching required</td>
<td>NEW</td>
<td>NEW</td>
<td>1 July 2020 Global</td>
</tr>
<tr>
<td>2.5 c Transfer of mass balance credit volumes between geographical regions require change of legal ownership</td>
<td>Specification - Chain of Custody and UTZ Protocol</td>
<td>NEW</td>
<td>1 July 2020 Global</td>
</tr>
<tr>
<td>2.6 Legal Agreements</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>----------------------------------------------------------</td>
<td>---</td>
<td>---</td>
<td>---------------------</td>
</tr>
<tr>
<td>2.6 a – h New arrangements for legal agreements, trademark and seal use</td>
<td>NEW</td>
<td>NEW</td>
<td>1 September 2020 Global</td>
</tr>
</tbody>
</table>
3. AUDIT PROCESS RULES: APPLICABLE TO IVORY COAST AND GHANA
ADDITIONS TO: UTZ CERTIFICATION PROTOCOL V4.3
ADDITIONS TO: RAINFOREST ALLIANCE CERTIFICATION RULES V2.0

3.1. Audit Allocation

a. For UTZ Code of Conduct certificate holders, audit allocation applies to all audits taking place after June 1st, 2020 for the October 2020 to September 2021 audit cycle. For Rainforest Alliance Sustainable Agriculture certificate holders, audit allocation applies to all recertification audits taking place after June 1st, 2020. Audit allocation does not apply to Chain of Custody certificate holders.

b. Farm Standard and Code of Conduct audits are allocated to Certification Bodies by the Rainforest Alliance according to risk. Audit sample and duration are adjusted according to Certificate Holders’ risk level for all audits taking place after June 1st, 2020.

c. Upfront Audit costs including auditors’ expenses (as a proportion of total cost) are covered in the contract between the certificate holder and the certification body and paid to the Certification Body ahead of the audit.

d. Audits shall be conducted in the period spanning from 4 months before to 4 months after the start date of the harvest.

e. The Rainforest Alliance reserves the right to ask Certificate Bodies to conduct unannounced or semi-announced audits.

f. The Rainforest Alliance reserves the right to intervene in the audit planning process and request changes to improve audit quality, if the proposed plan does not conform to Rainforest Alliance guidance in terms of audit team composition, sample size and composition or audit duration.

g. The Rainforest Alliance reserves the right to refuse an auditor proposed by a CB on the grounds of insufficient experience or proven poor performance.

3.2. Certification Body Authorization to conduct audits

a. Certification bodies ensure that the performance of their auditors is assessed annually including through in-field trainings and/or mock-audits.

b. The Rainforest Alliance reserves the right to cancel a certification body’s authorization (for the scope of cocoa in Ivory Coast and Ghana) if fraud or corruption is detected. This applies to any form of misconduct the certification body is found to have actively engaged in, promoted, failed to identify and report when detected, or failed to verify remediation properly or in a timely fashion.

c. Certification bodies pay out of pocket expenses for the conduct of the audit to the auditor in advance of the audit.

3.3. Certification Body rights and obligations to comply with the audit process

a. Auditors and Certification Bodies assess the compliance of certificate holders on child labor, deforestation, geolocation, volume estimation and traceability according to instructions provided by the Rainforest Alliance;

b. In the case of multigroup certification, the internal management system of each subgroup is audited;

c. The auditor shares the list of sampled farmers for the following day at the earliest at the end of the day before;
d. Certification Bodies must use for the audit the deforestation risk assessment to be shared by the Rainforest Alliance;

e. Certification bodies have the right to terminate the audit and not issue or renew the certificate if the certificate holder does not cooperate, or deliberately blocks the audit by hiding or not showing requested documents, rushing the audit team, or avoiding places or interviews requested by the auditor. Auditors clearly inform group management at the beginning of the audit of the possible consequences of such practices.

f. The audit report is submitted to the Rainforest Alliance Maximum one week after the last day of the audit.

g. For UTZ, surprise audits can be conducted whenever the Certification Body deems this to be necessary based on a risk assessment, provided that the certification decision for the latest audit has already been pronounced and communicated.

h. If the certification body finds that a farmer is part of several certified groups, this farmer as well as his or her estimated volume must be removed from all certified groups. If such a case is found after the certificate is delivered, the Rainforest Alliance reserves the right to require the certificate holder to do so.

3.4. Certificate Holder obligations to comply with the audit process

a. A minimum of 75% of pre-sampled producers requested to be audited by the auditor must be available during the audit.

b. For groups in Ivory Coast, auditors are given access to the SYDORÉ CCC traceability platform during the audit.

c. A minimum of 75% of audited producers are able to show their government issued ID during the audit.

d. The product flow map from the group members up to the group, including all intermediaries (collection points, transport, processing units, warehouses, etc.) and activities carried out on the product is shared with the certification body before the audit.

e. For UTZ certificate holders, certificate holders can deny a surprise audit only once and only with a concrete justification.

f. Non-conformities raised during audits must be closed by all certificate holders within 8 weeks. For Rainforest Alliance certificate holders, this covers the period between the closing meeting of the certification / surveillance audit and the date of the certification decision based on the verification audit.

g. The Rainforest Alliance reserves the right to reject a license/certification without possibility of resubmission during the current season if geolocation data is not provided in the required format and does not respect the applicable control points.

H. if non-conformities at certificate holder level are detected by the Rainforest Alliance during a shadow / parallel / investigation audit, these are considered as valid audit findings. Certificate holders will be obliged to close the non-conformities using the normal process with their allocated certification body. Serious non-conformities identified through shadow / parallel / investigation audit may result in the suspension or cancellation of the certificate holder’s certificate in line with current Rainforest Alliance and UTZ rules and policies.