

RAINFOREST ALLIANCE POLICY:

Simplification Policy

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

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A-01-S-B-FA V1.4 Rainforest Alliance Sustainable Agriculture Standard, Farm Requirements A-02-S-B-SC V1.4 Rainforest Alliance Sustainable Agriculture Standard, Supply Chain Requirements A-16-SRCL-B-FA V1.0 Rainforest Alliance Auditing Rules for Farms A-18-SRCL-B-SC V1.0 Rainforest Alliance Auditing Rules for Supply Chain		
Replaces		
Not applicable		

Applicable to
Farm and Supply Chain Certificate Holders, and Certification Bodies

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

More information

For more information about the Rainforest Alliance, visit www.rainforest-alliance.org, contact info@ra.org or contact the Rainforest Alliance Amsterdam Office, De Ruijterkade 6, 1013AA Amsterdam, The Netherlands.

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1. Introduction

Version 1.4 of the Rainforest Alliance Sustainable Agriculture Standard (SAS) introduces significant simplifications for farm and supply chain certificate holders (CHs). This policy allows producers and companies to take advantage of some of these changes immediately, even before v1.4 becomes binding. The simplifications provided by this policy are applicable to all certificate holders with an audit or endorsement date from the binding date of this document, as well as those currently in the process of addressing non-conformities.

Current policies linked to requirements that remain mandatory are active until the binding date of SAS version 1.4.

2. Reduction of Internal Inspections for Farm Groups

Requirement 1.4.1 of the Rainforest Alliance SAS Farm Requirements requires farm groups to “[have] an internal inspection system in place to annually assess compliance of all actors within the scope of certification”. In version 1.4, this requirement has been updated to include that the following:

- after the first certification audit, the internal inspection covers 100% of large farms in a group and all new producers of the group
- at least 35% of smallholder farms part of a group
- all smallholder farms are inspected during the certification cycle.

This policy allows farm group certificate holders to immediately implement the reduction in internal inspections in preparation for their upcoming audits. Farm group CHs undergoing surveillance audits after the binding date of this policy may now benefit from an internal inspection rate of 35% for smallholder farms and 100% for large farms.

3. Non-mandatory Requirements

As a result of this policy, the requirements from SAS v1.3 that are not part of v1.4 do not need to be complied with or assessed by certification bodies during an audit. Certificate holders do not need to close non-conformities on those requirements. Requirements that are no longer in v1.4 of the Rainforest Alliance SAS are not mandatory. These changes have been reflected in the Rainforest Alliance Certification Platform (RACP) in the self-assessment and audit checklist, as well as in Annex 1 of this document. The relevant requirements are marked as “not mandatory” in the RACP.

Certificate holders may choose to follow the simplifications offered in this policy or may continue to be audited on these optional requirements. Certificate holders do not need to close non-conformities on these requirements that are no longer mandatory.

4. Auditing the Simplification Policy

CHs with an audit starting on or after the binding date of this document have the option of implementing the simplification policy in their audit or endorsement. CBs shall give all interested CHs the opportunity to be audited in accordance with the simplification policy. The CB shall confirm with the CH before the opening meeting if the CH wants to be assessed on non-mandatory requirements. CHs with non-conformities on the requirements in Annex 1 do not need

to close those non-conformities and can be granted a certification decision based on compliance only with the v1.3 requirements that are now designated as mandatory.

If a CH had their audit prior to the binding date of this policy but is still in the process of closing non-conformities, the CB shall remove the non-conformities related to the now designated non-mandatory requirements (see Annex 1). Similarly, if a CH had their audit on or after the binding date with the previous version of the checklist, the CB reviewer shall remove the relevant non-conformities from the audit report and closure process.

If a CH wishes to still be assessed on the non-mandatory requirements, the CB shall record the non-conformities as usual. The non-mandatory requirements do not need to be closed in order for a positive certification decision to be granted.

Annex 1.

Table 1. Non-Mandatory Requirements for Farm CHs

Chapter	Type	Not Mandatory
Chapter 1	Core	1.2.11 1.4.4
	Smart Meter	1.1.2 1.6.3
	Mandatory Improvement	1.2.14 1.2.15 1.4.5 1.4.6
	Self-Selected Requirement	1.3.5 1.3.6 1.3.7 1.7.1
Chapter 3	Mandatory improvement	3.3.2 3.3.3
	Self-Selected Requirement	3.1.1 3.1.2
Chapter 4	Mandatory improvement	4.5.5 4.5.8
	Smart meter	4.5.7
	Self-selected requirement	4.2.3 4.3.2 4.6.14
Chapter 5	Core	5.4.2 5.4.3
	Smart meter	5.4.4
	Mandatory improvement	5.2.4 5.3.11 5.3.12 5.6.18 5.7.5 5.7.6 5.7.7 5.8.4
	Self-selected requirement	5.3.13 5.4.5
Chapter 6	Smart meter	6.8.2
	Mandatory improvement	6.1.4 6.4.7 6.4.8 6.4.9 6.8.3
	Self-selected smart meter	6.2.5 6.2.6 6.9.1

Table 2. Non-Mandatory Requirements for Supply Chain Actors

Chapter	Not Mandatory
Chapter 1	1.2.2 1.2.5 1.2.17 1.4.2 1.6.1 1.6.2
Chapter 2	2.1.10 2.2.5 2.2.7
Chapter 3	3.4.1 3.4.2 3.4.3 3.4.4
Chapter 5	5.2.1 5.2.2 5.2.3 5.3.1 5.3.2 5.3.3 5.3.5 5.3.6 5.3.8 5.3.10 5.5.1 5.5.2 5.5.3 5.6.1 5.6.2 5.6.4 5.6.7 5.6.8 5.6.9 5.6.10 5.6.11 5.6.12 5.6.13 5.6.14 5.6.15 5.6.16
Chapter 6	6.6.1 6.6.2 6.6.3