

<p>CSQA Certificazioni Srl Via S. Gaetano, 74 - 36016 Thiene (Vi) Tel. 0445 313011 - Fax 0445 313070 csqa@csqa.it www.csqa.it</p>		Verificato da DIR	Approvato da CSI
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CSQA Certificazioni Srl

***Rainforest Alliance 2020
Certification Conditions***

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1 Fundamentals

1. This Regulation describes the working methods used by CSQA, the activity of an audit / inspection, validation, and the activity related with RA2020 certification.
2. This certification scheme is integrated into the audit / inspection structure and certification CSQA.
3. This Regulation provides for application, planning, conducting audits / inspection, validation and certification activities. Furthermore, it describes the procedures and principles for the evaluation, monitoring and relations with stakeholders.
4. CSQA will proceed with the certification of the applicant Organization only if the organization meets the requirements for certification. The organization so certified shall be authorized to use the certificate and the mark of CSQA certification and / or related trademarks. The certification decision of CSQA is based on information gathered during the evaluation process and any other relevant information.
5. CSQA and the people who work for them are required to maintain the confidentiality of the information gathered as part of its activities

Rainforest Alliance is the scheme owner and holder of the Rainforest Alliance 2020 certification scheme
The Rainforest Alliance is a 501(c)(3) Nonprofit registered in the US under EIN: 13-3377893.

2 Scope and approach

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. The approach of the scheme owner is: *We are an alliance of farmers, forest communities, companies, and consumers committed to creating a world where people and nature thrive in harmony. By bringing diverse allies together, we are making deep-rooted change on some of the most pressing social and environmental issues of our time. We're implementing proven and scalable solutions on the ground while testing innovative ways to drive change.*

3 Requirements

The 2020 Sustainable Agriculture Standard is composed by 2 parts:

1. FARM REQUIREMENTS
2. SUPPLY CHAIN REQUIREMENTS

Additionally, there are 2 supporting parts:

1. ASSURANCE
2. SUPPORTING RESOURCES

All the documents are available here <https://www.rainforest-alliance.org/business/tag/2020-certification-program/>

CSQA operates only in Italy and only for the Supply Chain. The requirements for the farms are not applicable in Italy.
CSQA can certify the supply chain actors for different products: Coffee, Cocoa, Hazelnut, Tea. Every products have a specific Traceability Level available and specific rules.

In case of updates/newsletters or other communications, CSQA has 2 business days for the dissemination of information to the certified companies from receipt of the Rainforest Alliance.

4 Control system

The control system is made up of a mandatory self-assessment of operations, independent inspection by approved certification bodies and the measures contained in the internal scheme integrity system.

Rainforest Alliance defines the verification level to every company and, based on this decision, a different quantity and quality of audit are planned.

The verification level is assigned based on risk, defined based on the following indicators:

1. certification scope;
2. Rainforest Alliance risk assessment;
3. external conformity;
4. internal conformity;

This information shall be provided by the CH through the registration and the risk assessment process in the RACP (Rainforest Alliance Certification Platform), for the platform to assign the corresponding verification level.

In the table below the type of audits are explained (source Certification and Auditing Rules v1 of 30.6.2020)

Verification level	Verification Method		
	Year 1	Year 2	Year 3
A (lowest risk)	Rainforest Alliance Review	Rainforest Alliance automated check	Rainforest Alliance automated check
B	CB remote certification audit	Rainforest Alliance Review	Rainforest Alliance automated check
C	CB certification audit	CB remote surveillance audit	Rainforest Alliance Review
D	CB certification audit	CB surveillance audit	CB remote surveillance audit
E (highest risk)	CB certification audit	CB surveillance audit	CB surveillance audit

4.1 Self-assessment by the company

The scheme participants conduct and document a self-assessment on the basis of the checklist created by Rainforest Alliance.

4.2 Independent inspection

Independent certification bodies check all scheme participants for compliance with requirements. A risk-based approach produces incentives to improve process quality in the companies. Definite deadlines for the correction of found non compliances are determined with the agreement on corrective actions.

The approval of the certification bodies, including the auditors, is granted by RA in accordance with clearly defined criteria and qualification requirements.

The rules of independent inspections are outlined in the documents published by RA and downloadable on <https://www.rainforest-alliance.org/>

In case of pre assessment (Pre audit) CSQA will choose a person who shall not perform any certification activities of the same certificate holder.

5 The Way to Scheme Partnership

5.1 Supply Chain or Farm?

Only the companies classified as Supply Chain Actors have the possibility to enter in the RA world with CSQA as Certification Body, because in Italy CSQA is approved only for the Supply Chain.

5.2 Registration of companies

The companies/scheme applicants register online in the RA platform.

All sites covered in the certification scope of a CH, shall be registered in the RACP under the certification account of the CH.

Each scheme applicant automatically receives confirmation of registration with their identification number per e-mail. With the registration, the scheme applicant will receive a verification level from A to E.

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5.3 Independent inspection

Based on the verification level, the scheme applicant through the certification agreement (Mod001 pt1 and Mod 001 pt2) commissions CSQA to conduct the independent inspection at each location in accordance with the RA rules. The complete audit report with result is entered into the RA platform by CSQA.

5.4 Approval

After the successful certification of the registered location and a final approval from RA, the scheme applicant receives a confirmation email by RA.

The scheme participant has to pay fees in line with the rules for the specific product/process step.

6 Certification options

6.1 Single site or Multisite (Supply Chain only)

Single site

An individual organization that does not have farming in the scope of its Rainforest Alliance certification, whereby central management and all activities take place at a single physical location.

Multi-site

An organization that does not have farming in the scope of its Rainforest Alliance certification and has an identified central location under which two or more sites are operating

6.2 Subcontractors and service providers

CHs may make use of subcontractors and/or service providers for certified activities. This section explains the options and the conditions that apply.

Subcontractors may be included in the Rainforest Alliance certification program under the following options:

- as part as the certification scope of one CH;
- as part of the certification scope of several CHs;
- certified independently.

For each option the conditions in the table on certification conditions for subcontractors below apply.

Service providers may be included in the Rainforest Alliance certification program under the following options:

- as part as the certification scope of one CH;
- as part of the certification scope of several CHs.

Subcontractors and/or service providers shall comply with all requirements applicable to their scope, depending on the activities carried out. For example: traceability, working conditions, application of inputs, use of seal etc...

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Option	Conditions that apply
a. <u>Subcontractors/service providers</u> included under the scope of one or more <u>CHs</u>	i. The <u>CH</u> making use of the services of the <u>subcontractor/service providers</u> shall take full responsibility of the conformity of the <u>subcontractor</u> , before they can be included into their scope. ii. In case a <u>subcontractor/service provider</u> is included in the certification scope of several <u>CHs</u> , the <u>subcontractor/service provider</u> shall be included in the verification scope and certification process of all <u>CHs</u> that use their services. iii. The <u>subcontractor/service providers</u> that is included under the scope of a <u>CH</u> that is (to be) part of the Rainforest Alliance certification program, shall have a legal or contractual link with the <u>CH</u> receiving the services. iv. The <u>subcontractor</u> shall be registered under the certification account of the <u>CH</u> making use of its services. v. Under this option the <u>subcontractor</u> shall not offer services as certified under the Rainforest Alliance program to other <u>CHs</u> independently from the <u>CH</u> certifying them under their scope.
b. <u>Subcontractors</u> certified independently (this does not count for service providers)	i. <u>Subcontractors</u> may only be independently certified as a <u>CH</u> that is (to be) part of the Rainforest Alliance certification program if the services provided are related to the certified product (e.g. processing, warehousing, transport, rebagging etc.). ii. The <u>subcontractor</u> shall be registered with its own certification account. iii. The <u>subcontractor</u> that is (to be) certified under the Rainforest Alliance certification program independently is responsible for its own conformity with all applicable requirements. iv. The <u>subcontractor</u> that is (to be) certified under the Rainforest Alliance certification program independently is regarded as any other <u>CH</u> that is (to be) certified under the Rainforest Alliance program. v. <u>Subcontractors</u> certified independently shall go through the certification process independently and thus will receive their own Certificate. vi. The <u>subcontractor</u> may offer services as certified under the Rainforest Alliance program to any client for the scope they hold a valid Certificate for.

7 Terms and Definitions

See ANNEX 1 Glossary.

This document lists all of the general terms used within the RA2020 scheme along with their definitions.

8 Related Documents

Rainforest Alliance documents <https://www.rainforest-alliance.org/business/tag/2020-certification-program/>

1. 2020 CERTIFICATION AND AUDITING RULES
2. 2020 RULES FOR CERTIFICATION BODIES
3. RAINFOREST ALLIANCE SUSTAINABLE AGRICULTURE STANDARD Supply Chain Requirements
4. RAINFOREST ALLIANCE TRANSITION RULES (for current UTZ Certificate Holders wishing to be certified under the 2020 Rainforest Alliance Certification Program)
5. ANNEX 1 Glossary
6. ANNEX 4 Rainforest Alliance Remediation Protocol
7. ANNEX 6 Traceability and Shared Responsibility

9 Independence and objectivity

In order to avoid conflicts of interest, CSQA:

- May not perform inspections for any companies with which a contractual relationship exists or to which any of its staff or auditors are related.
- May not perform inspections for any companies for whom its staff or auditors are currently providing, consultancy, training, custodial or administrative services or have done so within the last 24 months. Excluded from this are companies in which the certification body provides comparable inspection services (laboratory services, classifications

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etc.). The certification body may perform inspections in companies of this kind provided that the objectivity of the certification is ensured.

- May not maintain any relations under corporate law or interlocking of personnel with standard owners if it is to be assumed that relations and interdependence of this kind would or could jeopardise the independence of the certification body and objectivity of the certification.
- May only operate in strict accordance with rules of the Code of Conduct for the QS Scheme. May not perform any coordinator functions parallel to its activities in the QS scheme.
- May only use the checklists provided to the certification bodies by QS for the purpose of conducting QS audits and QS inspections.

Likewise, auditors commissioned by CSQA to conduct audits -

- May not conduct audits for any company with which they have a contractual or familiar relationship that would be an obstacle to conducting an independent and objective inspection. The execution of a preliminary audit to check whether the company qualifies for a certification may only be conducted once in the period prior to the implementation date stipulated by the operation on the occasion of initial licensing approval.
- May not perform audits for companies for which they are currently providing consultancy, training, supervisory or administrative services or have done so within the past 24 months.
- May not maintain any affiliations under company law or staff interrelationships with standard bodies if it can be assumed that these affiliations and interrelationships jeopardise or may jeopardise the independence and the objectivity of the audit process.
- May only use check-lists provided by RA for the purpose of conducting RA2020 audits.

10 Rainforest Alliance approval

The Rainforest Alliance performs data analysis

These analyses are part of the CH and CB monitoring activities performed by the Rainforest Alliance and may result in additional assurance activities or CB sanctions. The Rainforest Alliance shall perform monitoring activities for all license request and provide an answer to the CB within 1 week after reception of the request.

If RA needs some clarifications, the CB has to provide them within 1 week.

When RA approves the audit report, the new license starts.

11 Handling of documents

CSQA will document the results of controls in detail and without any gaps, to enable easy access at all times. Within the scope of the obligation to exercise due diligence and produce evidence, the records must be kept according to legal requirements. Records must be handled in such a manner that the confidentiality of the processes they contain and the protection of data are guaranteed at all times.

12 Customer satisfaction analysis and complaints management

Regarding the complaints management the general procedure of CSQA will be applied.

13 Access authorization and perusal of documents

QS or a person/organisation commissioned by QS can verify the activities of the certification body for the RA2020 scheme at any time, also in the form of witness audits. The organization must ensure that a witness audit can be carried out in every business to be audited.

14 Use of RA2020 certification mark

The RA2020 certification mark may only be used as prescribed in the labelling rules. All the info are available in the RA website or in marketplace.ra.org

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15 Rules for Independent Inspection

CSQA is commissioned by scheme participant with conducting independent controls. CSQA will periodically conducts audits at scheme participants. Audit results are documented in an audit report and entered into the RACP by CSQA. A successfully passed audit is the prerequisite for the certification of the scheme participant.

15.1 First certification audit / Renewal

The CB shall indicate the scheduled audit dates in the RACP 8 weeks before the first day of the audit.

All CHs in verification levels B, C, D and E (CB audit) shall provide:

1. self-assessment;
2. Workers registry;
3. Details of sites, processing units, intermediaries, subcontractors and service providers;
4. Risk assessment data.
5. A layout of the facilities/infrastructures included in the certification scope.

This information shall be available to the CB in the RACP at least 5 weeks before the first day of the scheduled audit. If the information is not complete 5 weeks before the audit, the audit shall be postponed.

During a regular audit it is verified whether a company satisfies the technical, organisational and contentual requirements necessary for participating in the QS scheme. The objective is to inspect company-specific processes and to identify opportunities for improvement. Audits are conducted using a stage-specific checklist.

Regular audits at one location may only be conducted three times in succession by the same auditor. The counting of the regular audits conducted in succession is not interrupted by the conduct of another type of QS audit (e.g. random sample audit).

15.2 Surveillance

For the surveillance audit, the schedule indicated in the RACP shall not show any dates to the CH, as the surveillance audit shall be unannounced.

If a first surveillance audit is required based on the verification level of a CH, the first surveillance audit shall always take place 9 to 15 months after the date of certification.

If a second surveillance audit is required based on the verification level of a CH, the second surveillance audit shall always take place 21 to 27 months after the date of certification.

A surveillance audit is a full-scope audit. The CB may decide to adjust the audit sample (group members, interviews, documents, sites etc.) and audit duration on-site as relevant to achieve the audit objectives.

The surveillance audit shall be performed preferably when the greatest number of higher-risk activities are performed and/or when the CB estimates that the greatest number of workers will be present.

For all CHs that have social requirements in their scope, the surveillance audit shall be either unannounced or announced a maximum of 48 hours prior to the first date of the audit.

15.3 Follow up audit

In the event that NCs have been identified during a (re) certification or surveillance audit, a follow up audit shall always take place to verify closure of the NCs.

The CB shall decide whether it is necessary to perform the follow up audit on site.

Where the CB concludes that the findings found in the audit leading to the follow up audit have not been sufficiently closed within the given timeline:

- a. the CB shall decide to suspend the certificate; or
- b. the CB shall take a non-certification or cancellation decision;
- c. the CB may request that the Rainforest Alliance prohibit certification for the CH for an indefinite period.

15.4 Investigation audit

An investigation audit shall be unannounced or announced at a maximum of 24 hours prior to the first date of the audit.

Whether an investigation audit is required shall be determined based on risks and substantial information received by the CB

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and/or the Rainforest Alliance.

An investigation may have a pre-defined limited scope to respond to the matters under investigation.

Where the investigation audit leads to confirmed findings directly related to the matters under investigation:

- the CB and/or the Rainforest Alliance may decide to suspend the certificate of the CH for an (in)definite period and/or may decide not to allow the CH to get certified again for an indefinite period;
- the CH shall cover all costs involved for performing such an audit;
- when allowed to maintain its certification, the CH shall implement all required corrective actions to respond to the findings of an investigation audit.

15.5 Extension audit

An additional audit may be mandatory for approval of a scope extension request.

The extension audit is determined based on the risk and defined in the outcome of the scope change performed by the CH in the RACP. The scope of the extension audit shall be limited to the scope of the extension. An extension audit shall take place while a CH has a valid certificate.

15.6 Audit report

The audit report contains information on the company, the audited scope as well as evaluations of the inspected requirements, the preliminary audit result and the corrective actions report. If any changes occur after the review of the audit report CSQA, CSQA has to notify the company concerned in writing and without delay.

15.7 Non conformities

The CB provide a description of NCs, in the RACP, using the Rainforest Alliance checklist. This shall be done 1 week after the last day of the audit. The timeline for closure of the NCs shall be defined by the CH and the CB considering the maximum of 12 weeks that is defined for the CB to take the certification decision.

A company that receives one or more NCs can have consequences (see the RA Certification and Auditing rules for the cases).

The CH shall submit a proposed corrective action plan to the CB that includes:

- Root cause: In order to identify the root cause of the NC, the CH shall perform a root cause analysis (RCA);

For example:

- A NC identified at one of the sites, affects the certification status of the entire multi-site
 - A NC identified at one of the group members, affects the certification status of the entire group.
 - A NC identified at one of the subgroups (when multi-group), affects the certification status of the entire multi-group.
- Correction: to correct the NC, the CH shall correct all instances of the NC throughout the life of the certificate to date.
 - Corrective action: to eliminate the root cause of the NC and prevent it from recurring. Corrective actions shall focus on long term, sustainable solutions, which eliminate the root cause of the NC;
 - In the event that the long-term solution to the root cause requires more than the maximum time allowed for closure of NC, the NC may be closed with a corrective action plan as long as the actions to be implemented are concrete, time-bound, have started and will be finalized before the end of the Certificate of the CH;
 - A time frame in which corrections and corrective actions shall be undertaken and evidence submitted to the CB. This time frame shall take into account the maximum of 12 weeks for the CB to make a certification decision.

15.8 Corrective actions

The CB shall verify that all the evidence submitted by the CH is sufficient to close the NCs. The CB may conduct an on site follow up audit if required.

The timeline for closure of the NCs shall be defined by the CH and the CB considering the maximum of 12 weeks that is defined for the CB to take the certification decision.

16 Agreement and CB transfer

16.1 Agreement with the CB

The agreement has a validity of 3 years and the CH can't change the CB during this cycle.

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16.2 Change of CB

Certificates may only be transferred from one CB to another for a new certification cycle (therefore they can only be transferred once every 3 years).

The Rainforest Alliance has the right to intervene in any certificate transfer process, including suspending or terminating the process and reversing any existing transfers within 2 weeks, if the Rainforest Alliance concludes that transfers may jeopardize the integrity of assurance and certification processes and their outcomes.

Certificates shall only be transferred to CBs approved for the geographic scope of the CH. Certificates cannot be transferred to CBs with suspended or cancelled geographic scopes, or CBs that applied for geographic scopes that have not been approved.

Transfers or certification applications to new CBs shall not be accepted for CHs that:

- have received a non-certification and/or have had their certification cancelled within the past certification cycle year;
- have requested more than one transfer in the past year;
- are seeking an extension of scope
- have their certification suspended or
- have a follow-up or investigation audit in process.

Certificate transfer requests shall be made in the RACP by the CH requesting a transfer.

The current CB shall acknowledge receipt of the transfer request sent by the organization and notify the new CB within 1 week of the request. The current CB shall indicate to the CH if there are any pending financial obligations that must be settled before the transfer can take place. If there are no pending financial obligations, then the new CB can accept the request and is free to contact the CH to begin the application and certification process.

17 Certification Rules

17.1 General Requirements

The audit team shall cover all the shifts in one audit.

- The audit team shall not audit both 2nd and 3rd shift in one audit day at one same location/site.
- If the CH uses a different shift hours pattern, the CB shall adapt its auditing activities to ensure the coverage of all key processes in all the shifts.

An auditor shall not exceed 8 hours of total audit time including shift audits in a day. This does not include the meal breaks and any other breaks.

The CB shall ensure that its personnel shall not perform any consultancy activities for any of its the Rainforest Alliance CH during the

period from 3 years prior to the first audit date to 3 years after the last audit date for any types of audit carried out for that CH.

The CB shall ensure that a lead/ support auditor does not audit the same CH for 3 or more consecutive audits, including investigation audits.

Note: A follow up audit is not counted for this requirement.

17.2 Certification Application

The CB shall develop and effectively implement a documented procedure for the certification application review process and for performing the activities prior to the audit to ensure that:

- The process is completed in a timely manner as required in the Rainforest Alliance Assurance System.
- The CB has received complete and accurate data before proceeding to the next step in the certification process.
- The audit team shall achieve the audit objectives with the given resources.

The CB shall review all the information obtained from the CH to ensure that:

- The information about the CH and its pertinent systems is sufficient for planning and conducting the certification/audit activities.
- The scope of certification and the applicant's activities are clearly defined.
- The CB has the competence, capability and resources required to conduct the requested certification activity.

Once the CB approves the application and data from RACP (RACP) that has been submitted by the CH, the CB shall ensure that the audit team has access to the approved version to prepare and execute the audit at least 3 weeks prior to the first date of the audit.

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After the audit, the CB shall update the data in the application form in RACP if changes and/or differences were identified during the audit. 17.3 Audit planning and preparation

The CB shall have a mechanism to define and document the risks of nonconformity with the Rainforest Alliance standard for each audit.

The CB shall upload the risk assessment to RACP for each audit at least 2 weeks prior to the first date of the audit.

The risk assessment performed by the CB for each audit shall consider at a minimum:

- Risk assessment performed by the CH;
- Risk maps provided by the Rainforest Alliance;
- Generic risk, risk specific to the region, country context;
- History of the CH;
- Complexity of activities within the certification scope;
- Geographic location of the CH's sites and facilities;
- Number of sites/farms;
- Number of workers;
- Processing and packing units;
- Functioning of the MS;
- Products traded and traceability levels;
- Type of crops;
- Homogeneity of the sites/farms;
- Internal and external complains;
- Results/nonconformities from the last audit;
- Risk from the CH's subcontractors/ intermediaries/ service providers/ labor providers;
- Data submitted by the CH prior to the audit such as self-assessment, CH risk assessment.

The CB's risk assessment results shall be the basis for:

- The selection and/or adjustment of the sample size/composition for different categories of samples, including but are not limited to:
 - sites/farms and other actors, such as intermediaries, subcontractors, service providers/ labor providers to be visited/interviewed;
 - workers to be interviewed;
 - documents to be reviewed;
 - processes/activities/locations to be visited/observed.
- Determining the audit team composition.
- Determining the audit duration

During the audit preparation, the CB shall verify the following:

- Formal establishment of the CH, as a cooperative or as another type of legal entity, including the actual address(es).
- Registry of the sites/ farms as in RACP.
- The policies and procedures as defined by the management system (MS) in order to function effectively, if available, including approval and sanction procedure.
- Organizational chart of the CH and roles & responsibilities of key persons.
- The product flow and map(s) of locations and facilities of the CH.

The CB shall ensure that prior to each audit, the CB makes available to the audit team the most up-to-date applicable laws and the risk assessment for the geographical scope of that audit. The audit team shall review and effectively use these resources to prepare, plan and execute the audit.

The audit team shall develop an audit plan for each audit using all the data available from the RACP, updated data received from the CH during the audit preparation process and data from other applicable sources such as stakeholder consultation, off-site investigation.

The lead auditor shall be held accountable for the quality and execution of the audit plan.

The audit team shall ensure that the plan clarifies roles and responsibilities of all members of its team as well as to clarify roles of key persons from the CH who will need to provide access and/or facilitate different audit activities.

For each audit, the detailed and final audit plan shall be uploaded into the RACP at least 3 weeks prior to the first audit date.

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Once the final audit plan is uploaded in RACP, the CB shall not change the audit dates, the audit duration and composition of the selected audit team.

For announced audits, the CB shall ensure that the CH receives the audit plan, either through the RACP or by means of the CB, no later than **2 weeks prior to the first audit date**.

The CB shall record in its own system at least the following communications:

- a. Communications from the CB to its audit team regarding the audit plan(s), including changes.
- b. Communications between the CB and the CH regarding the audit plan(s), including changes

17.4 Certification and Surveillance audit

The CB shall develop and effectively implement a documented procedure which describes how it performs certification and surveillance audits.

The CB shall perform a full audit to evaluate the effectiveness of the CH management system (MS) and conformity with applicable requirements by collecting complete and accurate data to define objective and representative evidence.

At least, the audit shall effectively:

- a. Evaluate the level of conformity of the CH regarding the applicable requirements of the Standard and its assurance system, in particular with respect to the identification of key aspects, processes, objectives and functioning of the CH's management system.
- b. Obtain sufficient information to verify and confirm that the CH has correct scope.
- c. Identify and verify applicable statutory and regulatory requirements.
- d. Verify the correct number of sites, farms, workers, including from intermediaries, subcontractors, service providers and labor providers involved in certification.
- e. Evaluate any improvements and/or changes since the last audit, if applicable.
- f. Review the documented information by the CH as well as competence of its staff and commitment and effort of the CH to ensure conformity
- g. Review the key processes at the CH to the extent required to confirm (non)conformity.
- h. Evaluate the effectiveness of the self-assessment and/or internal inspection process performed by the CH and the level of implementation of the documented management system.
- i. Review and confirm accuracy of data provided by the CH and from RACP
- j. Evaluate the effective management of intermediaries/ subcontractors/ service providers and labor providers.
- k. Evaluate the effectiveness of the CH grievance system.
- l. Evaluate maturity and development of the documented management system, including but not limited to an effective functioning of the CH management system and how it translates requirements from the Standard into positive impacts.
- m. Review results of any other external audits that include elements relevant to the scope of the audit. Examples include H&S audit by a governmental organization, labor inspection by a local authority, a social audit, an audit for another sustainability scheme.

A certification audit shall include at least the following elements:

- a. Opening meeting.
- b. Facility tour.
- c. Verification of set up and functioning of the documented management system, including but are not limited to documented policies and procedures, records keeping, staff competence and commitment, understanding and implementation of statutory and legal requirements, conformity of intermediaries, subcontractors, service providers, labor providers, internal inspection and self-assessment, HR policies and practices: recruitment/ contracting/ payroll/wages/ payment/ working hours/ promotion.
- d. Interviews with CH administrative staff, CH's management.
- e. Interviews with workers, worker's committees, representatives, workers working for intermediaries, subcontractors, service providers and labor providers and other persons involved in certification.
- f. Interviews with and/or visits to intermediaries/subcontractors/ service providers/ labor providers.
- g. Interviews with community members where appropriate.
- h. Visits to processing unit(s) and interviews with workers at such locations.
- i. Triangulation of information at the MS before the closing meeting.
- j. Determine the audit findings among audit team members.
- k. Closing meeting.