



Training CB Management

Agenda



Rules for CB personnel

Deadlines

Rules for CB personnel

Why do we need the Rules?

Intends to ensure that the CB personnel have the necessary competencies to perform consistent and accurate audits.

Aims to:

- Define the structure of the RA CB
- Lists the requirements relating to the approval of CB personnel and other contractors.
- Establish the responsibilities of each of the actors of the certification process.

Scope



CB personnel are required to be hired by a RA approved CB **AND** they shall be **individually approved**



All CB personnel from **July 1st, 2021** onwards should comply with **most** of these rules.

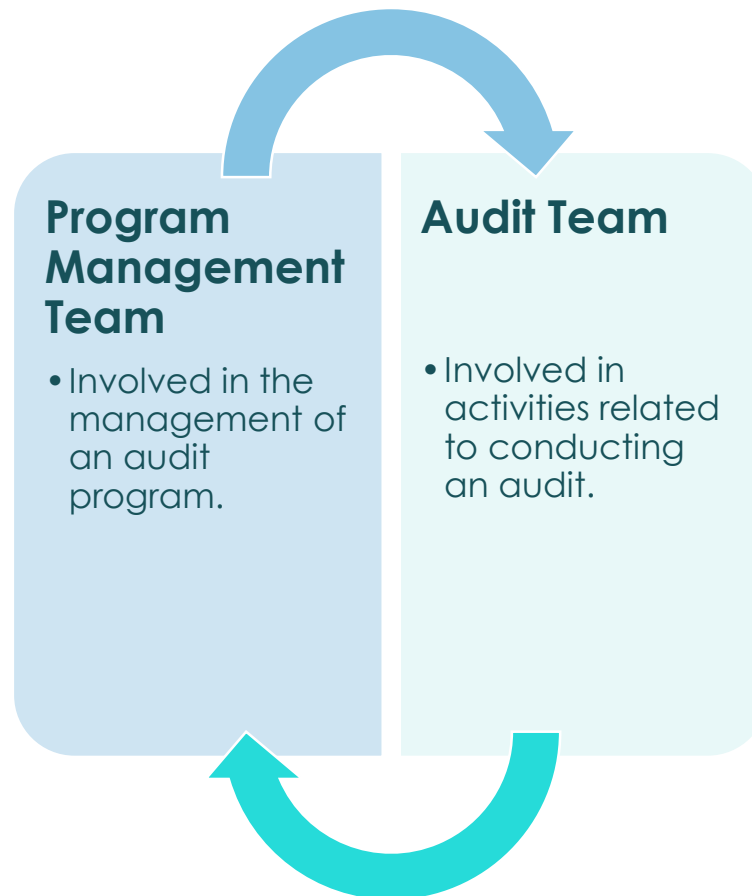


What is CB personnel?

Refers to all those hired workers, independent contractors, and consultants who hold **a legal relationship with a RA approved CB** and who are involved and/or **carry out assurance activities** within the Rainforest Alliance certification process.

CB Personnel Structure

A Rainforest Alliance authorized CB structure consists of two sub-teams:



Document structure

Section	What's in it?
2.1 CB personnel Structure	Roles and responsibilities
2.2 Personnel Approval Requirements	Requirements for all personnel
	Requirements per roles

Nature of the requirements

- **Program Management team:** **Independent** requirements
- **Audit Team:** **Scalable** roles and requirements


How to read the requirements


2.2 Personnel approval requirements

- **Requirements for all personnel** are **core** good auditing practices and are formulated as compliance criteria **(yes/no) applicable to all roles**. These are independent of CB's scope requests or approvals.
- **Requirements per roles:** a set of requirements corresponding to the Standard's **scope** that is applicable **to a given member** of personnel — Farm and/or Supply Chain Standard — **and position** within the CB structure, e.g. Scheme Manager, Auditor, etc.

2.2.1-3 Requirements for all personnel

1. Personal Registration in the corresponding CB database within the Rainforest Alliance CB Management platform.
2. Participate in a minimum **2-hour** basic course related to planning and implementation of an audit process, based on ISO 19011 requirements.

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Details	Staff	Sanctions	Offices	License Requests	Contract Member & Scheduling Audits
<div><div>Staff Name, Role</div><div><div>SchemeManager <input type="checkbox"/></div><div>Certifier <input type="checkbox"/></div><div>Auditor <input type="checkbox"/></div><div>Any Role <input checked="" type="checkbox"/></div></div><div><div>Add New Staff</div><div><div>Search</div><div>Reset</div></div></div></div>					

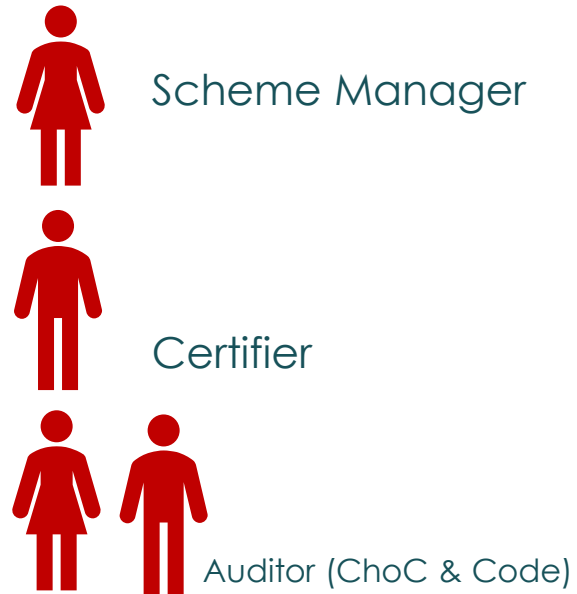
Requirements per role personnel

Auditor

Table 9: Auditor Requirements for Farm and Supply Chain scopes

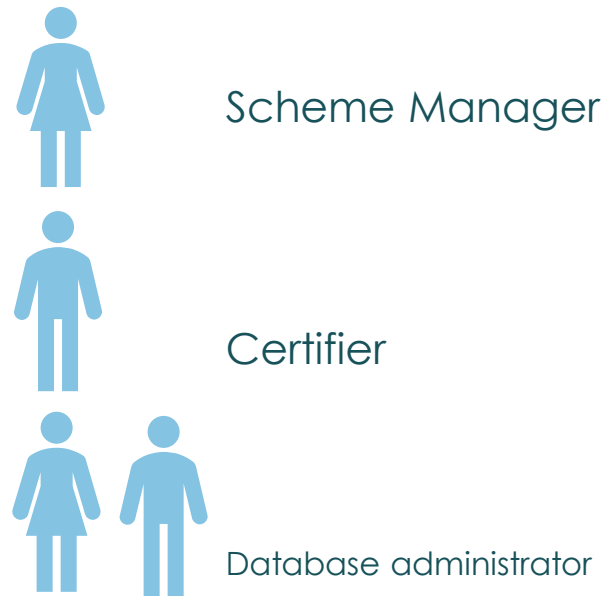
Requirements	Scope	
	Farm	Supply Chain
1 Personal registration in the Rainforest Alliance Learning Network.	X	X
2 In-depth knowledge of applicable national and local laws and regulations as well as how to interpret their application during the audit ¹³ .	X	X
3 Experience in auditing social standards . Participated in at least 3 relevant certification audits as an auditor or trainee in the last 4 years . Such as (but not limited to) Fairtrade, GRASP, SA8000, SMETA. OR 6 relevant audits as an auditor for UTZ or the 2017 Rainforest Alliance Standard in the last 4 years . OR Being an APSCA Certified Social Compliance Auditor	X	X
4 Successful completion of 24 hours basic or advanced social auditor training such as (but not limited to) SA8000:2014, SMETA, ETI. This course may be developed and provided internally by an approved CB instructor that has successfully completed a 40-hour training in the abovementioned standards or by an external training provider.	x	x
5 Experience in auditing supply chain standards . Participated in at minimum 5 relevant certification audits as an auditor or trainee in the last 3 years . Such as (but not limited to) the Rainforest Alliance, UTZ, ASC/ MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001 (scope 1 or 3), ISO 22000 (scope B or C), RSPO.		X
6 Experience in auditing GAP and/or Organic agriculture and/or environmental standards . Participated in at minimum 5 relevant certification audits as an auditor or trainee in the last 3 years . Such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, the Rainforest Alliance, Fairtrade, GRASP, ISO 1401, SA800, SMETA.	X	

Pre-merger CB structure



New CB structure

Program Management



Auditing Team



Roles – Program Management

Scheme Manager: first point of contact. Responsible for the administrative management and compliance.

Certifier: member or committee that takes the certification decision and reviews audit reports to ensure proper interpretation and reporting.

Database Administrator: manages the CB account in the Rainforest Alliance CB Management platform and ensures data quality/input in MTT.

Roles – Audit Team

Trainee: auditor candidate that has yet to attain a higher auditor classification

Auditor: conducts audits within the audit team and can be a contributing author of audit reports.

Lead Auditor : A lead auditor may lead or carry out any of the audits described in the Rainforest Alliance Certification and Auditing Rules for the scope in which they are qualified and approved.

Lead auditor for social topics

Included in audits that meet the conditions described in **Annex AR4: Auditing Social Topics** of the 2020 Rainforest Alliance Auditing Rules.

Instructor/ trainer

2.1.13 Instructors shall not conduct training for certificate holders - conflict of interest.

Technical Expert provide knowledge and technical support to the audit team.

Guidance and exceptions

Final decisions

ISO:

- We request **final version** for Certifier and Instructor. If a new standard is released after personnel registration in the RACP, a refresher training will be sufficient

Social Audit Training

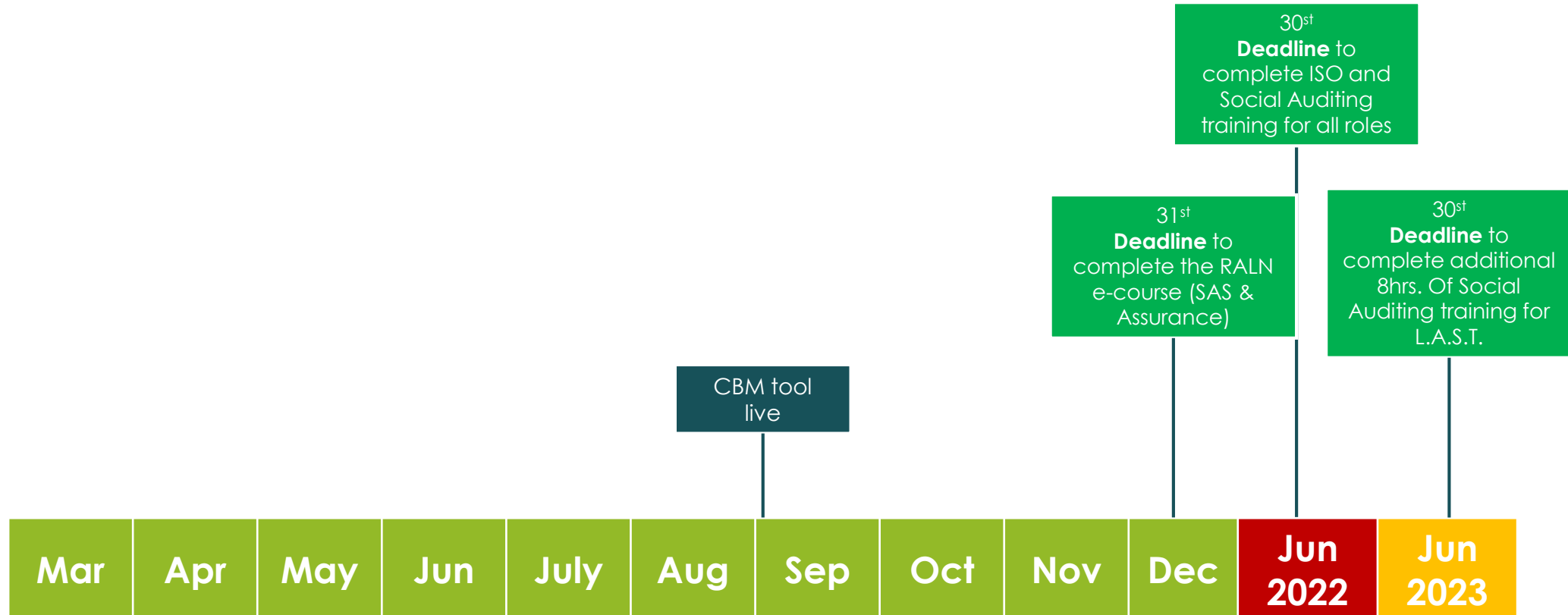
- L.A.S.T. to undergo **48 hrs.** training. 40 hours to be reached during transition year and the following 8 to be comply on the 30th of June, 2023. Hours can be reached by combining one or more training sessions.

Final decisions

CB personnel approval process

- Request: currently approved qualifications to be valid for 2020 Standard.
- Answer: this is not possible; all CB personnel to be register in the CB management tool and their qualifications to be approved vs. Chapter 2 prior to auditing the 2020 Standard

Timeline and relevant dates



Clarifications

ISO

- If a training on ISO 9001 includes ISO 19011 this will count to comply with requirement #2 for Lead Auditor

CB instructor

- **Role:** The Scheme manager is accountable for the training of all CB personnel. While the CB instructor is responsible for the training quality, even if they do not deliver the training.
- **Audit experience: requirement states** 48 hrs of relevant audits as an auditor for Voluntary Sustainability Standards. This includes all audit experience in their professional life and encloses all standards i.e. Organic, Global Gap, RA, UTZ etc.



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Clarifications

L.A.S.T

- CBs are **to make use of a L.A.S.T** when required according to Annex AR4.
- CBs **can decline audits** according ISO17065, 7.3.1. e) evaluation of own competence

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