

REQUIREMENT - RA STANDARD VERSION 1.2								
PROFILE SCENARIO SELF-ASSESSMENT - TEA RETAILER NOT ENGAGING IN TRACEABILITY								
#	Requirement	Conformity/Non-conformity	Findings Description of conformity/non conformity [if any/not applicable]	Evidence of NC (only mandatory for CR) This is for CRs to include any information that shall not be included in the public summary	Root Cause of the non conformity	Correction: action to eliminate all instances of the NC throughout the life of the certificate to date	Corrective Action: long-term, sustainable solutions, which eliminate the root cause of the NC and prevent it from recurring	Closure date of non-conformity (if closed)
<b>CHAPTER 1 - Management</b>								
<b>Management</b>								
1.1.4	<p>The supply chain certificate holder has devised, adopted and disseminated one or more policies for ensuring responsible business conduct in its own operations, supply chain and other business relationships. The policies cover direct and indirect adverse impacts on human rights and the environment.</p> <ul style="list-style-type: none"> <li>The policies commit and refer to following the OECD Due Diligence Guidance for Responsible Business Conduct. References and commitments to the OECD Guidelines for Multinational Enterprises or UN Guiding Principles for Business and Human Rights are also acceptable</li> <li> Oversight and responsibility for these policies and their implementation is assigned to senior management</li> <li> The policies and its expectations are specified in engagement with suppliers and other business relationships, including contracts and other written agreements.</li> </ul> <p>A potential tool for compliance is to have a supplier code of conduct in place</p> <ul style="list-style-type: none"> <li>At a minimum, this policy requires from the supply chain certificate holder, its suppliers and other business relationships: <ul style="list-style-type: none"> <li>Compliance with applicable laws and relevant standards in relation to human rights, worker rights &amp; conditions, health &amp; safety</li> <li>Compliance with applicable laws and relevant standards in relation to environmental protection, deforestation, biodiversity, waste and wastewater management</li> </ul> </li> </ul> <p>For a model policy for responsible agricultural supply chains, consult the OECD Guidance for Responsible Agricultural Supply Chains, page 25-29/35</p>	Conformity	<p>Add link to policies/code of conduct OR upload those in the RACP.</p> <p>Policies/ Code of Conduct refers to OECD Guidelines</p>					
1.1.5	<p>Management appoints at least one management representative accountable for the following issues and forms committee(s) of responsible persons. Different issues may be combined into one committee:</p> <ul style="list-style-type: none"> <li>Grievance mechanism (see 1.5)</li> <li>Gender equality (see 1.6)</li> </ul> <p>Assess and Address child-labor, forced labor, discrimination, and workplace violence and harassment (see 5.1)</p> <p>The committee(s):</p> <ul style="list-style-type: none"> <li>Are knowledgeable about the issues and have decision making power.</li> <li>Include responsible persons representing group members for small farms or workers on large farms/supply chain operations, selected by member/workers.</li> <li>Are impartial, accessible, gender sensitive and trusted by the group members/workers and vulnerable groups.</li> <li>The committee handling gender equality issues includes at least one woman.</li> </ul> <p>In groups of small farms: there may be a responsible person instead of a committee(s) for gender and for assess-and-address.</p>	Conformity	<p>A committee of 2 responsible persons (one man, one woman) is created and available for all workers in the facility.</p>					
<b>CHAPTER 2 - Administration</b>								
1.2.2	<p>There is a list of current service providers, suppliers, intermediaries and subcontractors. Mechanisms are in place to ensure that they comply with applicable requirements of the Standard for work within the scope of certification.</p> <p>For Farms:</p> <ul style="list-style-type: none"> <li>This is valid for work in the field, work in processing, and labor provision</li> <li>Suppliers refer only to other farms they buy certified product from</li> </ul> <p>Please see Guidance Document U: Service Providers Applicability</p>	Conformity	<p>Each category manager/purchasing manager is able to extract a list of direct suppliers from their systems (per crop).</p> <p>And is able to show that the certification status of all direct suppliers are checked at least annually (e.g. via certificate required for tender/contract, or certificate upload to supplier platform, a.o. by navigating the RA CH search engine.)</p>					
<b>Internal Inspection and Self-Assessment</b>								
1.4.2	<p>Management carries out a yearly self-assessment to evaluate its own compliance, and that of all actors in its certification scope, with all relevant requirements in the Standard.</p> <p>Management uses the results of the internal inspections as set out in 1.4.1. to complete the self assessment</p>	Conformity	<p>For single site: an internal process is in place ensuring that for each site, on a yearly basis, a self-assessment is conducted by the management.</p>					
<b>CHAPTER 3 - Grievance Mechanism</b>								
1.5.1	<p>A grievance mechanism is in place that enables individuals, workers, communities, and/or civil society, including whistle-blowers, to raise complaints related to the certificate holder's business activities. Complaints can relate to any part of the Standard, including technical, social, or economic issues. The grievance mechanism may be provided by the certificate holder or by a third party. The grievance mechanism includes at least the following elements:</p> <ul style="list-style-type: none"> <li>A grievance committee (see 1.1.5)</li> </ul> <p>The grievance mechanism allows for submissions in any language and is accessible to persons who cannot read or do not have access to the internet</p> <ul style="list-style-type: none"> <li>Anonymous grievances are accepted, and confidentiality is respected</li> <li>Human and labor rights grievances are remediated in accordance with the Remediation Protocol</li> </ul> <p>Grievances and follow up actions are documented, and shared with the affected persons within a reasonable timeframe</p> <p>Submitters of grievances are protected against employment/membership termination, retribution, or threats as a consequence of using the grievance mechanism</p>	Conformity	<p>An grievance mechanism (in Spanish) is available, provided by our head office, enabling all involved stakeholders to raise any complaint, related to the standard.</p> <p>There is a free phone line available to anonymously file a grievance for people that cannot read and/or do not have access to internet.</p> <p>The mechanism fulfills all further requirements. Link to mechanism is included.</p>					
<b>CHAPTER 2 - Traceability</b>								
<b>Traceability</b>								
2.1.13	<p>There is evidence (documentation on incoming and outgoing product, on-site procedures, reports) that any Rainforest Alliance claim made is valid and complies with Rainforest Alliance Certification Program requirements.</p>	Conformity	<p>Claims made are valid, documentation available (invoices, shipping documents) identifying volumes as certified and complying with requirements.</p>					
<b>Traceability on Online Platform</b>								
2.2.2	<p>Buyers of Rainforest Alliance Certified product have a procedure in place to regularly verify that transactions in the traceability platform match invoices for certified products purchased and/or shipped.</p>	N/A	<p>As a tea retailer that is not engaging in traceability, there is no need to conform with this requirement.</p>					
2.2.4	<p>An approval is obtained as per the Rainforest Alliance Labeling and Trademarks Policy prior to the on-and-off-pack use of public-facing trademarks.</p>	Conformity	<p>We have communicated with our suppliers and it is agreed that they are required to get approval for all products they manufacture. We have access to the trademark approval portal for uploading use of the RA trademarks that are not submitted through our manufacturers.</p>					
<b>CHAPTER 3 - Income and Shared Responsibility</b>								
<b>Sustainable Differential</b>								

3.2.3	The responsible certificate holders pay the Sustainability Differential in the form of a monetary payment on top of the market price, quality premiums or other differentials. Sustainability Differential cannot be paid in kind. Note: The payment of SD and SI becomes mandatory at different dates over the next two years in the different sectors we work in. Please refer to our Timelines: Implementation of the Sustainability Differential and Investments under the 2020 Certification Program webpage for your sector-specific implementation timeline.	Conformity	As a tea retailer not engaging in traceability, we are aware we are ultimately responsible to ensure tea SD is paid. This will be facilitated by our packers, we will compensate them for this payment, since we are ultimately responsible.				
3.2.4	The responsible certificate holders have clear contractual agreements or commitments in place which specify the amount and other terms around Sustainability Differential payment. See Annex S14 for further detail on applicability. Note: The payment of SD and SI becomes mandatory at different dates over the next two years in the different sectors we work in. Please refer to our Timelines: Implementation of the Sustainability Differential and Investments under the 2020 Certification Program webpage for your sector-specific implementation timeline.	Conformity	As a tea retailer not engaging in traceability, we are aware we are ultimately responsible to ensure tea SD is paid. This will be facilitated by our packers, we will compensate them for this payment, since we are ultimately responsible. Documentation on details around compensation of payment is available.				
3.2.5	The full amount of the Sustainability Differential is paid at least annually and no later than payment terms defined for the relevant crop. Note: The payment of SD and SI becomes mandatory at different dates over the next two years in the different sectors we work in. Please refer to our Timelines: Implementation of the Sustainability Differential and Investments under the 2020 Certification Program webpage for your sector-specific implementation timeline.	Conformity	As a tea retailer not engaging in traceability, we are aware we are ultimately responsible to ensure tea SD is paid. This will be facilitated by our packers, we will compensate them for this payment, since we are ultimately responsible. Documentation on details around compensation of payment is available.				
3.2.6	Confirmation of the Sustainability Differential is recorded in the traceability platform. Note: The payment of SD and SI becomes mandatory at different dates over the next two years in the different sectors we work in. Please refer to our Timelines: Implementation of the Sustainability Differential and Investments under the 2020 Certification Program webpage for your sector-specific implementation timeline.	N/A	As a tea retailer that is not engaging in traceability, there is no need to conform with this requirement.				
3.2.7	The Sustainability Differential paid amounts to at least the prescribed minimum, for crops for which a minimum is defined. Note: The payment of SD and SI becomes mandatory at different dates over the next two years in the different sectors we work in. Please refer to our Timelines: Implementation of the Sustainability Differential and Investments under the 2020 Certification Program webpage for your sector-specific implementation timeline.	Conformity	As a tea retailer not engaging in traceability, we are aware we are ultimately responsible to ensure tea SD is paid. This will be facilitated by our packers, we will compensate them for this payment, since we are ultimately responsible.				
3.3	<b>Sustainability Investments</b>						

3.3.4	<p>The full amount of the Sustainability Investment is paid at least annually and no later than payment terms defined for the relevant crop.</p> <p>Note: The payment of SD and SI becomes mandatory at different dates over the next two years in the different sectors we work in. Please refer to our Timelines: Implementation of the Sustainability Differential and Investments under the 2020 Certification Program webpage for your sector-specific implementation timeline.</p>	Conformity	<p>As a tea retailer not engaging in traceability, we are aware we are ultimately responsible to ensure tea SI is paid. This will be facilitated by our packers, we will compensate them for this payment, since we are ultimately responsible. Documentation on details around compensation of payment available.</p>				
3.3.5	<p>Confirmation of the Sustainability Investment is recorded in the traceability platform.</p> <p>Note: The payment of SD and SI becomes mandatory at different dates over the next two years in the different sectors we work in. Please refer to our Timelines: Implementation of the Sustainability Differential and Investments under the 2020 Certification Program webpage for your sector-specific implementation timeline.</p>	N/A	<p>As a tea retailer that is not engaging in traceability, there is no need to conform with this requirement.</p>				
3.3.6	<p>The certificate holders have clear contractual agreements or commitments in place which specify the amount and other terms around Sustainability Investments. See Annex S14 for further detail on applicability.</p> <p>Note: The payment of SD and SI becomes mandatory at different dates over the next two years in the different sectors we work in. Please refer to our Timelines: Implementation of the Sustainability Differential and Investments under the 2020 Certification Program webpage for your sector-specific implementation timeline.</p>	Conformity	<p>As a tea retailer not engaging in traceability, we are aware we are ultimately responsible to ensure tea SI is paid. This will be facilitated by our packers, we will compensate them for this payment, since we are ultimately responsible. Documentation on details around compensation of payment available.</p>				