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Sustainable cocoa — Part 1: Requirements for Cocoa Farmer as an Entity/Farmer Group/Cooperative — Management Systems and Performance

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National foreword

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This Draft Uganda Standard, DUS DARS 1000-1:2020, *Sustainable cocoa — Part 1: Requirements for Cocoa Farmer as an Entity/Farmer Group/Cooperative — Management Systems and Performance*, is identical with and has been reproduced from an East African Standard, EAS 1000-1:2020, *Sustainable cocoa — Part 1: Requirements for Cocoa Farmer as an Entity/Farmer Group/Cooperative — Management Systems and Performance*, and is being proposed for adoption as a Uganda Standard.

The committee responsible for this document is Technical Committee UNBS/TC 2, *Food and agriculture*.

Wherever the words, "East African Standard " appear, they should be replaced by "Uganda Standard."

Sustainable cocoa — Part 1: Requirements for Cocoa Farmer as an Entity/Farmer Group/Cooperative — Management Systems and Performance



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Foreword

The African Organization for Standardization (ARSO) is an African intergovernmental organization established by the United Nations Economic Commission for Africa (UNECA) and the Organization of African Unity (AU) in 1977. One of the fundamental mandates of ARSO is to develop and harmonize African Standards (ARS) for the purpose of enhancing Africa's internal trading capacity, increase Africa's product and service competitiveness globally and uplift the welfare of African communities. The work of preparing African Standards is normally carried out through ARSO technical committees. Each Member State interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, Regional Economic Communities (RECs), governmental and non-governmental organizations, in liaison with ARSO, also take part in the work.

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Introduction

The purpose of this African Standard is to promote and maintain a framework for the production of sustainable cocoa beans based on the principle of continuous improvement. To achieve the objective, the following requirements are included in the African standards: (1) Promoting, structuring and supporting Farmers/ farmer organization efficiently; (2) Improving farmer's income and resilience of their livelihoods; (3) Addressing cocoa quality; (4) Addressing traceability from the farm to export; (5) Addressing worst forms of child labour; (6) Addressing deforestation and climate change.

Although a diverse range of Recognised Entities can apply this Standard to their activities, it is important that Farmer as an entity/Farmer Group/Cooperative be key delivery mechanism for a sustainable cocoa economy, and that such Recognised Entities be robust, professional and truly representative of the registered cocoa farmers they serve. Farmer as an entity/Farmer Group/Cooperative should be able to have access to markets, better access to financing and capacity building programs so that they can improve their incomes, thus their living conditions. It is expected that interested parties work together to help them achieve this. Also, this document is to empower cocoa farmers to make informed choices about economic, social and environmental impacts of activities and investments planned on their farms through the Cocoa Farm Development Plan (CFDP). For cocoa to be farmed sustainably, it is necessary for improvements to be achieved and maintained across all three pillars.

This African Standard series 1000 is designed to be relevant to interested parties within the cocoa sector and is in three parts as follows:

Standard	Title	Object/Application
ARS 1000-1	Requirements for Cocoa Farmer as an Entity/Farmer Group/Cooperative Management Systems and Performance	This Standard is intended to structure the management system of the registered farmer, Farmer as an Entity/Farmer Group/Cooperative to enhance performance in the production of sustainable cocoa and their livelihood. The requirements include economic, social and environmental aspects.
ARS 1000-2	Requirements for Cocoa Quality and Traceability	This Standard is intended to be used by all stakeholders in the cocoa value chain to promote and maintain the quality of cocoa beans and establish traceability of cocoa from the farm to the point of Export.
ARS1000-3	Requirements for Cocoa Certification Scheme	This Standard is intended for certification bodies involved in auditing cocoa farms as well as for registered farmers wishing to be audited by a third party certification body in order to make claims of conformity. This Standard also addresses requirements to the Regulator/Legal Entity and Supervisory Council.

Sustainably produced cocoa beans are obtained by fulfilling the requirements in ARS 1000-1 and ARS 1000-2 Standards. Farmers as an Entities/Farmer Group/Cooperative shall be certified by a third party approved by the Regulator/Legal Entity to demonstrate compliance to these two Standards.

In this Standard:

- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.

Information marked “NOTE” is for guidance in understanding or clarifying the associated requirement.

Sustainable cocoa — Part 1: Requirements for Cocoa Farmer as an Entity/Farmer Group/Cooperative — Management systems and Performance

1 Scope

This African Standard specifies the requirements for Cocoa Farmer as an Entity/Farmer Group/Cooperative to comply with Management Systems and for performance relating to structuring the management of Farmer as an Entity/Farmer Group/Cooperative to enhance performance and meet the economic, social and environmental pillars for sustainable cocoa bean (*Theobroma cacao Linnæus*) production.

2 Normative references

There are no normative references.

3 Terms and definitions

For the purpose of this Standard the following definitions apply.

3.1

agricultural worker

person engaged in agriculture, whether as a wage earner or a self-employed person such as a tenant or sharecropper

3.2

annual work plan

set of defined activities over a period of one year which are interconnected and contribute to the same broader aim or objective

3.3

audit

systematic, independent and documented process for obtaining **objective evidence** and evaluating it objectively to determine the extent to which the audit criteria are fulfilled. An audit could be internal or external

Note 1 : An internal audit is conducted by the Recognised Entity itself or by an external party on its behalf.

Note 2: External audits include those generally called second and third party audits. Second party audits are conducted by parties having an interest in the organization, such as customers or by other persons on their behalf. Third party audits are conducted by external, independent auditing organizations.

3.4

audit criteria

set of policies, procedures or requirements used as a reference against which audit evidence is compared.

Note 1: If the audit criteria are legal (including statutory or regulatory) requirements, the terms "compliant" or "noncompliant" are often used in an **audit finding**.

Note 2: Within the meaning of ISO 19011 [3].

3.5

audit findings

results of the evaluation of the collected **audit evidence** against **audit criteria**

Note 1: Audit findings indicate conformity or nonconformity.

Note 2: Audit findings can lead to the identification of opportunities for improvement or recording good practices.

Note 3: If the audit criteria are selected from legal or other requirements, the audit finding is termed compliance or non-compliance.

Note 4 : Within the meaning of ISO 19011 [3]

3.6

audit evidence

records, statements of fact or other information which are relevant to the **audit criteria** and verifiable

Note 1: Audit evidence can be qualitative or quantitative.

Note 2 : Within the meaning of ISO 10911 [3].

3.7

child

human being below the age of 18 years

Note 1: As defined in the United Nations Convention on the Rights of the Child and referred to in the ILO Convention 182 [9].

Note 2: National applicable statutory or regulatory requirements may define a different age limit for a child.

3.8

child labour

work that deprives children of their childhood, their potential and their dignity, and that is harmful to their physical and mental development.

Note 1 : Child labour specifically refers to work, hazardous or not, that is mentally, physically, socially or morally dangerous and harmful to children, and interferes with their schooling by depriving them of the opportunity to attend school, or obliging them to leave school prematurely, or requiring them to attempt to combine school attendance with excessively long and heavy work.

Note 2 : Child labour is differentiated from child/light work.

Note 3 : Child labour is described in the ILO Convention 138 [13].

3.9

child/light work

work performed by children that is appropriate for their age and level of maturity and which does not affect their health and personal development or interfere with their schooling.

Note : Child/light work includes activities such as helping their parents around the home or assisting in non-hazardous activities on a cocoa farm outside school hours and/or during school holidays. Child/light work encompasses the kind of activities that contribute to children's development and to the welfare of their families; they provide them with skills and experience, and help to prepare them to be productive members of society.

3.10

coaching

further specialist training or support to an individual farmer or group of farmers as appropriate

3.11

cocoa

cocoa beans or derived products.

3.12

cocoa bean

seed of the cocoa tree (*Theobroma cacao* Linnaeus), commercially, and for the purposes of this African Standard, the term refers to the whole seed, which has been fermented and dried.

3.13

cocoa farm

one or several cocoa fields

3.14

cocoa farm development plan (CFDP)

documented information to guide individual registered farmers, using a stepwise approach, towards sustainable cocoa farm management.

3.15

cocoa field

parcel of land on which cocoa trees are planted in clearly definable and homogeneous areas intended for cocoa production

Note 1: Parameters for homogeneous areas can be planting materials, good agricultural practices, soil fertility and farm conditions such as age and density of the trees.

Note 2 : A cocoa field can include other crops additional to cocoa trees.

3.16

competence

ability to apply knowledge and skills to achieve intended results

Note : Demonstrated competence is sometimes referred to as qualification.

3.17

conformity

fulfillment of a requirement.

3.18

continual improvement

recurring activity to enhance performance

Note : The process of establishing objectives and finding opportunities for improvement is a continual process through the use of assessment and audit, analysis of data, management reviews or other means.

3.19

corrective action

action to eliminate the cause of a nonconformity and to prevent recurrence

Note 1 : There can be more than one cause for a nonconformity.

Note 2: Corrective action is taken to prevent recurrence whereas preventive action is taken to prevent occurrence.

3.20

cost recovery mechanisms

contractual agreements allowing first buyers or external interested parties to recoup their investment in the start-up costs of implementation over a period of time with the premium, to allow Farmer as an Entity/Farmer Group/Cooperative to receive a fair percentage of the premium

EXAMPLE: Cost recovery mechanisms may include long-term relationships or agreements for right of first refusal.

3.21

customer

person or entity that could or does receive a product or a service that is intended for or required by this person or entity

EXAMPLE: Consumer, client, end-user, retailer or receiver of product or service from an internal process, beneficiary or purchaser.

3.22

documented information

information required to be controlled and maintained by a Recognised Entity and the medium on which it is contained.

Note 1: Documented information can be in any format and media and from any source.

Note 2: Documented information can refer to:

- the Management Systems including related processes;
- information created in order for the Recognised Entity to operate (documentation);
- evidence of results achieved (records).

3.23**ecosystem**

dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit

3.24**effectiveness**

extent to which planned activities are realized and planned results are achieved

3.25**farmer**

individual that owns a farm.

Note: This includes a tenant, but excludes a sharecropper who works on a farm on behalf of the farm owner.

3.26**farmer as an entity/Farmer Group/Cooperative [recognised entity]**

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives.

3.27 farmer premium

funds payment to a registered farmer for sustainably produced cocoa in addition to the actual price for equivalent cocoa.

Note 1: Premium is paid in cash or bank transfer or any legal accepted form of payment.

Note 2: Premium is an additional money paid by the first buyer of a certified sustainable cocoa product to compensate the farmer for effort made to be in compliance with ARSO standards.

Note 3: Farmer as an Entity, /Farmer Groups /Cooperatives also benefit from this premium.

3.28**fertilizer**

material of natural or synthetic origin (other than liming materials) that is applied to soils or to plant tissues (usually leaves) to supply one or more plant nutrients essential to the growth and productivity of plants.

Note 1: This covers

- a) organic fertilizer and inorganic fertilizer;
- b) soil applied and foliar fertilizer;
- c) single and compound fertilizer.

Note 2: It does not cover the function of organic material to increase or maintain the microbial soil life necessary to facilitate nutrient uptake.

3.29**forced labour**

work that is performed involuntarily and under the menace of any penalty

Note: Forced labour refers to situations in which persons are coerced to work through the use of violence or intimidation or by subtler means such as manipulated debt, retention of identity papers or threats of denunciation to immigration authorities.

3.30**gender**

socially constructed characteristics of women and men

Note: Socially constructed characteristics include norms, roles and relationships of and between groups of women and men.

3.31**habitat**

natural home or environment of an animal, plant or other organism

3.32

“hazardous conditions” [hazardous work]

work carried out in dangerous or unhealthy conditions that could result in injuries and/or illness as a consequence of poor safety and health conditions and working arrangements.

Note 1: Some injuries or ill health can result in permanent disability.

Note 2: Often health problems caused by working in unhealthy environments may not develop or show up until several years after the exposure to the unhealthy conditions.

Note 3: Dangerous work is work that affects the safety and health of the worker.

Note 4: Each party to ILO Convention 182 on the worst forms of child labour adopts a national list of hazardous activities for children

3.33

hired worker

agricultural worker employed for agricultural activities and paid for the execution of these activities.

Note 1: A hired worker is distinct from a family labourer.

Note 2: This may also include paid working groups.

3.34

human rights

set of equal and inalienable rights of all members of the human family

Note: Human rights are specified in the Universal Declaration of Human Rights (1948), the International Convention on Economic Social and Cultural Rights (1966), as well as other conventions, treaties and national laws.

3.35

integrated pest and disease management

approach that emphasises the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural pest and disease control mechanisms

Note 1: Natural pest and disease control mechanisms can be such as biological control, habitat manipulation, modification of cultural practices, and use of resistant varieties

Note 2: Integrated pest and disease management is a consideration of all available plant protection methods and subsequent integration of appropriate measures that discourage the development of populations of harmful organisms and keep the use of plant protection products and other forms of intervention to levels that are economically and ecologically justified and reduce or minimise risks to human health and the environment. As described in the University of California State-wide Integrated Pest Management Project, 1997[27] and Directive 2009/128/EC [5].

3.36

management

coordinated activities to direct and control a Recognized Entity.

Note: Management can include establishing policies and objectives and processes to achieve these objectives.

3.37

management systems

set of interrelated or interacting elements of recognised entity to establish policies and objectives and processes to achieve those objectives.

Note 1: A Management System can address a single discipline or several disciplines, e.g. sustainability management or food safety management or both or more.

Note 2: The scope of a Management System may include the whole of the Recognised Entity, specific and identified functions of the Recognised Entity, specific and identified sections of the Recognised Entity, or one or more functions across a group of Recognised Entity.

3.38

measurement

process to determine a value

**3.39
monitoring**

determining the status of a system, a process or an activity

Note: To determine the status, there is a need to check, supervise or critically observe.

**3.40
objective**

result to be achieved

Note 1: An objective can be strategic, tactical, or operational.

Note 2: Objectives can relate to different disciplines (such as financial, health and safety, and environmental objectives) and can apply at different levels (such as strategic, organization-wide, project, product, service and process).

Note 3: An objective can be expressed in other ways, e.g. as an intended result, a purpose, an operational criterion, as a cocoa sustainability objective, or by the use of other words with similar meaning (e.g. aim, goal, or target).

**3.41
performance**

measurable result

Note 1: Performance can relate either to quantitative or qualitative findings.

Note 2: Performance can relate to the management of activities, processes, products, services, systems or recognised entity.

**3.42
policy**

orientations and direction of a recognised entity, as formally expressed by its top management.

**3.43
process**

set of interrelated or interacting activities which transforms inputs into outputs

Note 1: Inputs to a process are generally the outputs of other processes.

Note 2: Processes in a Recognised Entity are generally planned and carried out under controlled conditions to add value.

**3.44
primary forest**

forest that has never been logged or cut and has developed following natural disturbances and under natural processes, regardless of its age

**3.45
protected area**

clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values

**3.46
registered farmer**

individual cocoa farmer or who is part of a Farmer Group/Cooperative and is recognized by the Regulator/Legal Entity.

**3.47
regular hired worker**

agricultural worker employed over several periods of time by the same farmer/employer to perform agricultural activities

**3.48
risk inventory**

identification of risks that might occur within the local context of the Recognized Entity.

Note 1: Risks may be specified according to the topic of the risk inventory.

Note 2: The local context includes the activities of the organization and registered farmers.

**3.49
requirement**

need or expectation that is stated, generally implied or obligatory

Note 1: "Generally implied" means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.

Note 2: A specified requirement is one that is stated, for example in documented information.

**3.50
resilience**

capacity of people or recognised entity to anticipate, prepare for, respond and adapt to and recover from changes, stresses and shocks

**3.51
risk**
effect of uncertainty on objectives

Note 1: An effect is a deviation from the expected — positive or negative.

Note 2: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

**3.52
secondary forest**
forest that has been logged and has recovered naturally or artificially

Note: It also includes degraded forest that has lost its nature (the structure, function, species composition or productivity normally associated with a natural forest) through human activities.

**3.53
stakeholder**
person or entity that can affect or be affected by a decision or activity

**3.54
start-up costs of implementation**
up-front investment (i.e. marginal costs to the Recognised Entity)

Note: This is distinct from recurring operational costs.

**3.55
supplier**
person or entity that provides a product or a service

EXAMPLE: Producer, distributor, retailer or vendor of a product or a service.

Note 1: A provider can be internal or external to the entity.

Note 2: In a contractual situation, a supplier is sometimes called a "contractor".

**3.56
sustainability**
state of a system, including economic, social and environmental aspects, in which the needs of the present are met without compromising the ability of future generations to meet their own needs

Note: In the ARS 1000 series, "sustainability" is referred to as an objective rather than a requirement.

**3.57
system**
set of interrelated or interacting elements

**3.58
temporary hired worker**

agricultural worker employed for a defined period of time to perform agricultural activities during this period

3.59

top management

leadership of recognised entity. Person or group of people who directs and controls an entity at the highest level.

Note 1: Top management has the power to delegate authority and provide resources within the recognised entity.

Note 2: If the scope of the Management Systems covers only part of a Recognised Entity, then top management refers to those who direct and control that part of the Recognised Entity.

3.60

traceability

ability to follow the physical movement of sustainably produced cocoa through specified stage(s) of production, marketing and processing.

3.61

wage worker

person who works for a public or private employer and receives remuneration in wages, salary, commission, piece-rates or pay in kind

3.62

worst forms of child labour

worst forms of child labour that are conditional and have to be defined locally, through the nationally defined list of hazardous work

Note: Hazardous work in the context of the worst forms of child labour is work that, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children. According to ILO Convention 182 the precise nature of those tasks that are prohibited are defined and reviewed by each country.

3.63

youth

time of life covering late childhood and early adulthood.

Note: There is no legal definition of the term nor any exact age range to qualify this period of life. The definition of youth varies from country to country.

3.64

homologated fertilizer

fertilizer which is authorised for usage by an approved authority.

3.65

regulator/legal entity

organization responsible for the development and maintenance of a specific Certification Scheme and the approval of Certification Bodies to implement the Certification Scheme.

3.66

farmer group

an association consisting of legally registered cocoa farmers/ producers

3.67

cooperatives

An independent grouping of persons who have come together voluntarily to meet their common economic, social and cultural wants and needs, through a jointly owned and managed entity in which power is vested democratically and according to cooperative principles. The cooperative society may, in addition to its co-operators who are its main users, deal with non-cooperating users within the limits set by the articles of association. The cooperative society shall be set up and run in accordance with universally recognized cooperative principles, namely:

- voluntary and open membership;
- the democratic power vested in the co-operators;
- the economic participation of the co-operators;
- autonomy and independence;
- education, training and information;
- co-operation between organisations with a co-operative nature;
- voluntary commitment to the community;

Any discrimination based on sex or ethnic, religious or political affiliation is prohibited.

Note : Within the meaning of the OHADA Uniform Act of December 15th, 2010 relating to the rights of Cooperative Societies (Articles 4,5,6) [22].

3.68

farmer as an entity

a farmer with enough resources to stand on their own to meet the standard requirements.

3.69

Household

A group of related or unrelated persons who recognize the authority of an individual called the head of household living together in the same dwelling, in the same compound, and whose resources are pooled in whole or in part to meet living expenses and who usually eat meals together.

3.70

Agroforestry

The well thought-out inclusion, in space and time, of trees in agricultural and/or livestock farming systems, which only grows with a degree of intensification of the agro-pastoral system and which is linked to the appearance of a finite area where intensive practices no longer allow for production sufficient to meet the needs of the population.

3.71

objective evidence

data supporting the existence or verity of something

Note 1 : Objective evidence can be obtained through observation, measurement, test or by other means.

Note 2 : Objective evidence for the purpose of the audit criteria generally consist of records, statements of fact or other information which are relevant to the audit criteria and which are verifiable .

3.72

Nonconformity

non-fulfilment of a requirement

4 General requirements

4.1 Understanding the Farmer /Farmer Group/Cooperative as Entities and its context

The Farmer /Farmer Group/Cooperative as Entities shall:

- a) Determine issues that are relevant to their existence and affect their ability to achieve the intended result of sustainable cocoa production;
- b) Identify any threat to their capacity to improve their livelihoods and resilience.

4.2 Registration of the Farmer as an Entity and farmers in Farmer Group/Cooperative

4.2.1 Specific communication to Farmer as an Entity (sensitization process)

Prior to the registration, the Regulator/Legal Entity shall inform the Farmer as an Entity of:

- a) the objectives and scope of this Standard ;
- b) the cocoa sustainability activities for fulfilling the requirements specified in this Standard including:
 - 1) the services to be provided when registered;
 - 2) the requirements to be fulfilled after registration:
 - the CFDP process (Annex A);
 - the economic, social and environmental requirements specified in this document.
 - 3) the audit process (internal and external audit)
- c) generic estimates of the costs of implementation to produce sustainable cocoa and benefits to be realized as a result of fulfilling the requirements specified in this document;
- d) the information expected to be kept in trust by the Regulator/Legal Entity, including the process of accessing it with a copy given to the Farmer as an Entity in confidence:
 - 1) all information collected during the registration process and cocoa farm diagnostic processes;
 - 2) how confidential information is treated;
 - 3) the potential risks of sharing personal information;
 - 4) the right to access information;
 - 5) the use of data by any interested parties.

Note 1: Any legal entity or private individual intending to gather information on Farmers / Farmer groups / Cooperatives covered by this Standard comply with the applicable legislation on data collection, processing and protection. This data may be submitted to the Regulator. /Legal Entity.

- e) The financial agreements of the Recognized Entity with the buyers or other interested parties, if applicable.

Note 2 : Financial agreements include farmer premiums and the costs of implementation, including cost recovery mechanisms.

After registration, the farmer as an entity will in turn sensitize all hired workers of requirements of this Standard.

Evidence of this awareness effort shall be maintained in the form of documented information.

4.2.2 Specific communication to farmers considering registration

Prior to the registration of farmers to become part of the Farmer Group/Cooperative, the Recognised Entity shall inform farmers of:

- a) the objectives and scope of this document;
- b) the cocoa sustainability activities of both parties for fulfilling the requirements specified in this document including:
 - 1) the services to be provided by the Recognised Entity to the farmer when registered;
 - 2) the requirements to be fulfilled by the farmer after registration:
 - the CFDP process (Annex A);
 - the economic, social and environmental requirements specified in this document.
 - 3) the audit process (internal and external audit).
- c) generic estimates of the costs of implementation to produce sustainable cocoa and benefits to be realized by the registered farmer as a result of fulfilling the requirements specified in this Standard;
- d) the information expected to be kept in trust by the Regulator/Legal Entity including the process of accessing it with a copy given to the Farmer Group/Cooperative in confidence:

- 1) all information collected during the registration process and cocoa farm diagnostic processes;
- 2) how confidential information about farmers and their activities is treated;
- 3) the potential risks of sharing personal information;
- 4) the right of farmers to access their information;
- 5) the use of their data by other interested parties

Note 1: Any legal entity or private individual who intends to collect information on producers/groups of producers/cooperatives falling within the scope of this Standard comply with the applicable legislation on data collection, processing and protection. This data may be submitted to the Regulator/Legal Entity.

- e) The financial agreements of the Recognised Entity with the buyers or other interested parties, if applicable.

Note 2 : Financial agreements include farmer premiums and the costs of implementation, including cost recovery mechanisms.

4.2.3 Registration of farmer and Recognized Entity

4.2.3.1 Process

The Farmer Group/Cooperative shall register the farmers to become part of the Recognised Entity. The Regulator/ Legal Entity shall register the Farmer Group/Cooperative or the Farmer as recognised entities. The Recognised Entity shall document:

- a) that the registered farmer has been made aware of information specified at the time of registration;
- b) that the registered farmer has been made aware of the conditions for leaving the recognised entity;
- c) the date of registration of each individual farmer;
- d) that a contract has been signed between the Recognised Entity and the registered farmer;
- e) that the Farmer as an Entity and the farmer shall establish CFDP with the help of an agronomist and/or of the Farmer Group/Cooperative.

If needed, the Farmer Group/Cooperative shall ensure that the registered farmer is assisted by a witness who is competent in reading and writing.

The Recognized Entities shall:

- a) have ownership of the Management Systems they use;
- b) be owner of the Management Systems' data;
- c) access the Management Systems and the data within them, regardless of commercial relationships with any parties, e.g traders;

The Management Systems cannot be used to tie Recognized Entities to one commercial partner. The data and reports resulting from these Systems can be shared by the Recognized Entity with any actor including other commercial partners.

4.2.3.2 Information

The following information shall be obtained and maintained annually for each registered farmer by the Farmer Group/Cooperative and the Farmer as an Entity with copy kept with the Regulator/ Legal Entity:

- a) Name;

- b) Identification document (ID), if available;
- c) Date of birth or estimated date of birth, if not known;
- d) Gender;
- e) Household composition, including names, date of birth and education status;
- f) Number, gender and age of salaried agricultural workers;
- g) children in the household, including gender, date of birth, full names of parents, details of school attendance, (school's name, location, class, reason for nonattendance, if applicable), kinship with the registered farmer;
- h) Size of the cocoa farm (using the most effective form of measurement available to the recognized entity) and the percentage of its land that is planted with cocoa trees;
- i) Number and location of cocoa fields;
- j) Previous crop year's production;
- k) Legal ownership rights over the land, if applicable.
- l) date of creation of cocoa farm and declaration of establishment of new cocoa farms
- m) other crops being grown in the cocoa farm
- n) other information which is necessary

Note 1: The Regulator/ Legal Entity store the data for a minimum of ten years (10)

Note 2: The Regulator/ Legal Entity, before sharing farmers' personal data, first ask for authorization from the Farmer as an Entity /Farmer Group /Cooperative..

Documentation shall include the registered farmer's signature. Where a signature is not possible, a thumbprint should be accepted.

5 Leadership

5.1 Leadership and commitment

Top management of the Farmer as an entity/Farmer Group/Cooperative shall demonstrate leadership and commitment with respect to this document by:

- a) ensuring that there are clear roles and responsibilities to promote internal planning and implementation of this document;
- b) taking accountability for the effective management of their system;
- c) ensuring that the management policy and objectives are established to direct the recognised entities;
- d) ensuring that the resources needed for the Management System are available;
- e) promoting improvement;
- f) ensuring that applicable statutory and regulatory requirements are determined, understood and consistently met.

Note: The Farmer as an Entity/Farmer Group/Cooperative should be developed into a Recognised Entity. License Buying Company (LBC//buyer is excluded from operating as Recognised Entity. Foreign organization/person is excluded from operating as Recognised Entity in the cocoa sector.

5.2 Policy

5.2.1 Management policy

Top management shall establish, implement and maintain a management policy that meet the recognised entity's responsibility to respect and protect human rights and the environment.

5.2.2 Policy's communication

The management policy shall be:

- a) available as documented information;
- b) communicated, understood and applied within the recognised entity;
- c) available to interested parties (actors), as appropriate.

5.3 Organizational roles, responsibilities and authorities

5.3.1 Top management shall ensure that the responsibilities and authorities for relevant roles are assigned communicated within and understood throughout the recognised entity.

5.3.2 Top management shall ensure that assignment of leadership positions within the recognised entity and roles within the Management Systems shall be non-discriminatory including, but not limited to, discrimination on the basis of race, gender, personal relationships, disability, health, marital status, age, HIV/AIDS status, religion, political opinion, language, property, ethnicity, or social origin.

5.3.3 The selection process for management, other paid positions and any leadership posts within the Farmer as an Entity/Farmer Group/Cooperative shall be open to and encourage women and youth participation.

5.3.4 Top management shall assign the responsibility and authority to an individual(s) for:

- a) ensuring that the Farmer as an Entity/Farmer Group/Cooperative Management Systems conforms to the requirements of this Standard;
- b) ensuring the education, training and coaching of hired workers/registered farmers, to meet the requirements specified in this document, including commitments specified in individual cocoa farm development plan (CFDPs);
- c) reporting on the performance of the Farmer as an Entity/Farmer Group/Cooperative Management Systems and on opportunities for improvements to top management;
- d) managing the risks of child labour and forced labour where it exists and contributing to its elimination;
- e) ensuring hired workers/registered farmers are adequately assisted to fulfil the requirements specified in this document.
- f) managing sustainability risks, ensuring that clear and relevant objectives are articulated in the PDC and monitoring the attainment of these objectives.

Dependent on the size, complexity and geographical disparity of the Farmer as an Entity/Farmer Group/Cooperative, multiple roles may be managed by the same individual and roles may also be duplicated across multiple persons.

5.3.5 An organogram, illustrating the farmer as an entity/Farmer Group/Cooperative's management structure, shall be made available throughout the organization.

Note: The Regulator/Legal Entity monitors compliance through the relevant certification bodies.

6 Planning for Farmer as an Entity/Farmer Group/Cooperative Management Systems

6.1 Risk and opportunities

When planning for the Farmer as an Entity/Farmer Group/Cooperative Management Systems, the Farmer as an Entity/Farmer Group/Cooperative shall determine risks to the Systems and put in measures to address the risks. They shall also look out for opportunities for improvement and implement them.

6.2 Management objectives

The management objectives shall be consistent with the management policy and shall be communicated to all levels.

7 Support for Farmer as an Entity/Farmer Group/ Cooperative Management Systems

7.1 Resources

7.1.1 General

The Farmer as an Entity/Farmer Group/Cooperative shall determine and provide the resources (e.g. financial and human resources, infrastructure and inputs) needed for the establishment, implementation, maintenance and continual improvement of the Farmer as an Entity/Farmer Group/Cooperative Management Systems in a clear and transparent way.

Note 1 : Financing can be negotiated for the start-up costs of implementation.

Note 2 : Every support/financing to the farmer/Farmer Group/Cooperative with repayment plan is notified to the Regulator/Legal Entity and the farmer as an entity, farmer group and entity.

Note 3 : The Entities that can finance start-up costs of the implementation of the Standard are among others , e.g. buyers, financial institutions, regulatory bodies.

7.1.2 Cost identification and recovery mechanisms

The Farmer as an Entity/Farmer Group/Cooperative shall provide a clear costs identification table for the start-up cost of implementation and recurring cost to achieve and maintain conformance to this document at organizational level as well as at the level of the individual registered farmer. The Farmer as an Entity/Farmer Group/Cooperative should use guidance for estimating the start-up and recurring costs; a documentation scheme is given in Annex B.

The start-up cost of implementation shall be recovered over a period of time through a percentage of the premium obtained from the sale of sustainably produced cocoa beans. The recovery mechanisms should be transparent, fair and provide the Farmer as an Entity/Farmer Group/Cooperative and registered farmers with a repayment plan assuring them a decent percentage of the premium.

Note 1: Financing can be negotiated for the start-up costs of implementation.

Note 2 : Every support/financing to the Farmer as an Entity/Farmer Group/Cooperative and registered farmers with repayment plan is approved by the Regulator/Legal Entity.

Note 3 : Both the start-up and the recurring costs of implementation of the Standards should be reimbursed from the premium depending on the financial capacity of the farmer through Farmer Group /Cooperative.

7.2 Competence

The Farmer as an Entity/Farmer Group/Cooperative shall:

- a) determine the necessary competence of person(s) doing work under its control that affects its performance and the effectiveness of the Management Systems;
- b) ensure that the person(s) authorized to conduct the cocoa farm diagnostic and establish the Cocoa Farm Development Plan with the registered farmer has the requisite educational background and is competent in sustainable farming practices;
- c) retain appropriate documented information as evidence of competence.

7.3 Sensitization

The Farmer as Entity/Farmer Group/Cooperative shall ensure that the relevant persons carrying out work under it's control are sensitized on :

- a) the cocoa sustainability policy;
- b) the relevant sustainability goals ;
- c) the importance of their contribution to the efficiency of the management system, including the beneficial effects of an improvement in cocoa sustainability performance ;
- d) the repercussions of non-compliance with the requirements of the management system;
- e) any relevant information specified as a knowledge requirement in the Standard.

7.4 Communication

The Farmer as an Entity/Farmer Group/Cooperative shall at least communicate throughout all levels of the organization, the annual work plan.

The Farmer as an Entity/Farmer Group/Cooperative shall put in place mechanisms for obtaining feedback, including complaints and grievances from the registered farmers or hired/temporary agricultural workers if applicable.

7.5 Documented information

7.5.1 General

The Farmer as an Entity/Farmer Group/Cooperative Management Systems shall include:

- a) documented information necessary for the effectiveness of producing sustainable cocoa as per this document;
- b) documented information of the first date of conformity with the requirements specified in this document.

The Farmer as an Entity/Farmer Group/Cooperative shall ensure proper documentation and dissemination of information all issues relating to sustainable cocoa farming.

7.5.2 Control of documented information

Documented information required by this document shall be controlled to ensure:

- a) it is available, complete and suitable for use, where and when it is needed;
- b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity);
- c) appropriate distribution, access, retrieval and use;
- d) appropriate storage and preservation;
- e) control of changes (e.g. version control);
- f) appropriate retention and disposition.

Documented information of external origin determined by the Farmer as an Entity/Farmer Group/Cooperative to be necessary for the planning and operation of the Farmer Group Management Systems, including information on matters relating to cocoa production, shall be identified, as appropriate, and its internal usage controlled.

Note 1 : Access can imply a decision regarding the permission to view the documented information only.

Note 2 : Training and mentoring are offered to farmers/ Farmer Group/Cooperative on all documented information.

8 Operational activities

8.1 Annual work plan for the Farmer as an Entity/Farmer Group/Cooperative

The Farmer as an Entity/Farmer Group/Cooperative shall develop an annual work plan that explains how the processes shall be implemented in order to meet the management objectives and the Cocoa Farm Development Plan (CFDPs). The annual work plan shall:

- a) be generated once a year and monitored;
- b) be aligned with the management policy;
- c) be aligned with the management objectives;
- d) consider the requirements of this document.

Note 1: In developing a work plan, the workload on the Farmer as an Entity/ Farmer Groups / Cooperative is first be considered.

Note 2: The developed work plan is practical and conforms to the common practices of the Farmer as an Entity/ Farmer Groups/Cooperatives.

Note 3: Training and mentoring are provided for the Farmer as an Entity/ Farmer Group/Cooperative on the work plan.

8.2 Cocoa Farm Development Plan (CFDP)

The Cocoa Farm Development Plan (CFDP) shall be established to support registered farmers and the Farmer as an Entity to make informed and responsible choices on the management of their farms.

The Farmer Group/Cooperative shall establish, in cooperation and consultation with the registered farmer, CFDP(s) related to the cocoa fields that are within the scope of the system and each CFDP shall be documented.

Annex A provides an overview of the process for establishing the CFDP.

The CFDPs shall fulfill the requirements specified in Annex D. Additional guidance is given in Annex E.

The CFDPs shall include:

- a) a cost and investment assessment of fulfilling the CFDP;
- b) an assessment of financial opportunities and risks for the Farmer as an Entity and registered farmer, including any financial agreements established between the registered farmer and the Farmer Group/Cooperative.

8.2.1 Cocoa Farm Development Plan (CFDP) Diagnosis

8.2.1.1 Farmer Group/Cooperative

Registered farmers shall participate in the cocoa farm diagnosis within the first 12 months of registration and before the initial certification audit and agree to the observations being made. The cocoa farm diagnosis shall fulfil the requirements specified in Annex C. The Farmer Group/Cooperative and the registered farmers use the findings documented in the cocoa farm diagnosis to build the cocoa farm development plan (CFDP). This plan is specifically tailored to each farm and allows the registered farmer and the Farmer Group/Cooperative to measure progress against previously identified targets for improvement.

The registered farmer shall be informed of the various options for managing the cocoa farm to the desired business level. The options shall at least address opportunities for rehabilitation or renovation of the farm as appropriate. The registered farmer shall decide on the activities and investments to be included and documented in the CFDP (see Annex B and C).

8.2.1.2 Farmer as an Entity

The Farmer as an Entity shall participate in the cocoa farm diagnosis with an Agronomist within the first 12 months of registration and before the initial certification audit and agree to the observations being made. The cocoa farm diagnosis shall fulfil the requirements specified in Annex C. The Farmer as an Entity with the Agronomist uses the findings documented in the cocoa farm diagnosis to build his cocoa farm development plan (CFDP). This plan is specifically tailored to each farm and allows the Farmer as an Entity to measure progress against previously identified targets for improvement.

The Agronomist shall inform the Farmer as an Entity of the various options for managing the cocoa farm to the desired business level. The options shall at least address opportunities for rehabilitation or renovation of the farm as appropriate. The Farmer as an Entity shall decide on the activities and investments to be included and documented in the CFDP (see Annex B and C).

8.2.2 Implementing CFDP

The Farmer as an Entity/Farmer Group/Cooperative shall provide the registered farmers or hired workers where applicable with coaching that enables them to implement the CFDPs. Coaching shall as a minimum include one on-farm coaching session per year.

8.2.3 Assessing the CFDP

The Farmer as an Entity/Farmer Group/Cooperative and each registered farmer or hired workers where applicable shall assess the cocoa farm development performance against their CFDP. The cocoa observation points applied for the farm diagnosis shall be included in the assessment. Based on the assessment, the Farmer as an Entity/Farmer Group/Cooperative and the registered farmer shall determine, agree on and document improvements and any actions needed to fulfill the CFDP and/or modify its content.

Note 1: The Regulator/Legal entity put in mechanisms to assist the Farmer as an Entity/Farmer Group/Cooperative to achieve their objectives.

Note 2: Evaluation is performed by the Farmer Group/Cooperative to assess the performance of the farmers.

Note 3: Evaluation is also performed by the Regulator/Legal Entity to assess the performance of the Farmer as an Entity.

9 Performance evaluation

9.1 Monitoring and measurement

The Farmer as an Entity/Farmer Group/Cooperative shall determine:

- a) what needs to be monitored and measured for individual registered farmers, including:
 - 1) actual production against estimated production;
 - 2) implementation of good agricultural practices, which they have been trained in.
- b) the methods for monitoring and measurement;
- c) who shall perform the monitoring and measurement;
- d) when the monitoring and measuring shall be performed;
- e) when the results from monitoring and measurement shall be analyzed and evaluated.

The Farmer as an Entity/Farmer Group/Cooperative shall monitor and measure the progress in implementing the annual plan.

Top management shall review the Farmer as an Entity/Farmer Group/Cooperative's annual plan Management Systems, at least once in twelve (12) months, to ensure its continuing suitability, adequacy, and effectiveness.

The Farmer Group/Cooperative shall monitor and measure the progress in implementing the CFDP of the farmers. The Farmer as an Entity shall also monitor the progress in implementing his CFDP's in all his fields.

The Farmer as an Entity/Farmer Group/Cooperative shall retain appropriate documented information as evidence of the results and put in the necessary corrective measures to address any non-conformance.

9.2 Internal audit

The Farmer as an Entity/Farmer Group/Cooperative shall conduct internal audits at least once in twelve (12) months to show the effectiveness of the Management System, the continuous improvement of the implementation of the requirements in relation with the annual plan including the CFDP.

The Farmer as an Entity/Farmer Group/Cooperative shall:

- a) establish and implement internal audit plan(s) and program(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the management objectives, the importance of the processes concerned,

changes impacting the Farmer as an Entity/Farmer Group/Cooperative, and the results of previous audits;

- b) ensure that the results of the internal audits are reported to top management;
- c) take appropriate corrective actions within a reasonable timeframe;
- d) retain documented information as evidence of the implementation of the internal audit;
- e) identify opportunities for improvement

9.3 Management review

9.3.1 General

Top management shall review the Farmer as an Entity/Farmer Group/Cooperative's annual plan Management System, at least once in twelve (12) months, to ensure its continuing suitability, adequacy, and effectiveness.

The management review shall be planned and carried out taking into consideration:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the Farmer as an Entity/Farmer Group/Cooperative's Management Systems;
- c) information on the performance and effectiveness of the Management System, including:
 - 1) the extent to which management objectives have been met;
 - 2) the extent to which the CFDPs have been implemented;
 - 3) nonconformities and corrective actions;
 - 4) monitoring and measurement results;
 - 5) audit results;
 - 6) feedback from customers and other relevant interested parties, if any;
- d) adequacy of resources;
- e) the effectiveness of actions taken to pursue opportunities and manage threats;
- f) opportunities for improvement.

9.3.2 Outputs

The outputs of the management review shall include decisions and actions related to:

- a) opportunities for improvement;
- b) any need for support to hired workers/registered farmers;

- c) resource needs.

The Farmer as an Entity/Farmer Group/Cooperative shall retain documented information as evidence of management reviews.

9.3.3 Feedback to the Farmer as an Entity/Farmer Group/Cooperative

The Farmer as an Entity/Farmer Group/Cooperative shall put in place measures that the hired workers/registered farmers can use to provide feedback to the recognized entity. These measures shall include a complaints and grievance procedure.

10 Improvement for Management Systems

The Farmer as an Entity/Farmer Group/Cooperative shall determine and select opportunities for improvement, generate and specify relevant performance objectives and implement necessary actions.

The Farmer as an Entity/Farmer Group/Cooperative shall continually improve the suitability, adequacy, and effectiveness of its Management System.

11 Requirements related to economic aspects

11.1 General

The requirements for economic aspects aim to:

- a) increase the sustainable production of cocoa beans in a cost-efficient manner;
- b) improve farmer income and livelihoods, including improving the productivity of cocoa farming, considering the diversification of production and income, strengthening resilience in the face of climate change, and facilitating access to markets for cocoa farmers;
- c) support improved standards of living and social conditions of populations engaged in cocoa farming.

Note 1: The Regulator /Legal Entity establishes a policy on production of sustainable cocoa

Note 2: The Regulator/Legal Entity as well as the Farmer as an Entity/Farmer Groups/Cooperative are invited to look for the market for sustainable cocoa.

From an economic perspective, while there are benefits to increasing yields and better managing cocoa quality (to decrease losses due to poor farming practices or pests and diseases), improvements entail additional efforts and investments for the Farmer as an Entity/Farmer Group/Cooperative and the registered farmer.

Training, coaching and other support activities provided by Farmer Group/Cooperative can be perceived as a benefit for farmers, but it is necessary to establish whether this support results in improved performance, i.e. improved productivity/quality or time-management at farm level.

The Farmer as an entity/ farmer Group/Cooperative shall establish key indicators to measure their performance over time.

11.2 Capacity building on accounting and enabling access to financial credits

- a) The Farmer Group/Cooperative should provide registered farmers with business training, taking into account the level of competence and education of the registered farmers.
- b) The Farmer Group/Cooperative should assist registered farmers in setting-up a basic system for documenting information and expenditures to build their financial history.
- c) The Farmer Group/Cooperative should liaise with registered farmers and determine the need for financing. The Farmer Group/Cooperative shall document its interaction with input suppliers and financial institutions to seek financing for registered farmers.
- d) The Farmer as an Entity should provide himself and his staff with business training, taking into account the level of competence and education of his staff. The Farmer as an Entity shall document his interaction with input suppliers and financial institutions when seeking financing for his farms.
- e) Sensitization and capacity building has to be done after the first year of setting up

Note: The requirement number 11.2 in this Standard is implemented three (3) years after the first date of conformance.

11.3 Farm agronomic performance and good agricultural practices**11.3.1 New farm establishment**

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that hired workers/registered farmers are provided with information on applicable requirements on rural and agricultural development plans.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall advise hired workers/registered farmers on the suitability of production of cocoa beans on the intended field(s).

11.3.2 Planting material

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure hired workers/registered farmers have access to, and receive recommendations for the use of, planting material that comes from a verified and competent source.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure the competence of hired workers/registered farmers on good agricultural practices related to planting material.

11.3.3 Soil management

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that hired workers/ registered farmers leave healthy organic waste, such as pruning debris, empty pod husks, and any other organic material, that are disease-free, at the farm(s).
- b) The Farmer as an Entity/Farmer Group/Cooperative, where needed, should ensure that hired workers/registered farmers have access to homologated fertilizer
- c) The Farmer as an Entity/Farmer Group/Cooperative shall promote practices to avoid soil erosion.

- d) For proper soil management, the Farmer as an Entity/ Farmer Groups /Cooperatives are encouraged to do soil analysis prior to application of fertilizer.

11.3.4 Maintenance of cocoa trees

The Farmer as an Entity/Farmer Group/Cooperative shall ensure the competence of hired workers/registered farmers on the maintenance and rehabilitation of cocoa and shade trees.

11.3.5 Use of agrochemicals

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that only suitable and proper equipment is used for the application of agrochemicals.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure safe use of spraying equipment.
- c) The Farmer as an Entity/Farmer Group/Cooperative shall, where needed, ensure access to agrochemicals authorized for use on sustainable cocoa.
- d) The Farmer as an Entity/Farmer Group/Cooperative and hired workers/registered farmers shall commit to provisions for pest and disease control, using an integrated pest and disease management approach.

11.3.6 Harvest

The Farmer as an Entity/Farmer Group/Cooperative shall ensure the competence of hired workers/ registered farmers on good harvest techniques, including the identification of ripe pods ready for harvest, and the identification of diseased, mummified or insect-damaged pods to be discarded.

11.3.7 Post-harvest — Pod-breaking

The Farmer as an Entity/Farmer Group/Cooperative shall ensure the competence of hired workers/registered farmers on good pod-breaking techniques.

11.3.8 Post-harvest — Fermentation

The Farmer as an Entity/Farmer Group/Cooperative shall ensure the competence of hired workers/registered farmers on appropriate fermentation techniques.

11.3.9 Post-harvest—Drying

- a) Where beans are dried at farm or Farmer Group/Cooperative level, the Farmer as an Entity/Farmer Group/Cooperative shall ensure that the beans are dried on raised platforms and at least 100 meters away from a source of fire, filling station, maize and cereal mills, cement and coal tare depots.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that sun-drying is conducted on drying mats such as raffia palm, bamboo, oil palm mat , banana leaves amongst others that ensures good hygienic practice .
- c) If cocoa beans are dried artificially, the Farmer as an Entity/Farmer Group/Cooperative shall ensure that dryers are well maintained and that contamination from smoke and fuel is avoided.

11.3.10 Post-harvest — Packing and storage of cocoa beans

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure the competence of hired workers/registered farmers on proper packing and storage techniques and materials.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that appropriate sacks and bags are used for packing and storage of cocoa beans (e.g. using materials that are clean, strong and non-toxic).
- c) Where applicable, the Farmer as an Entity/Farmer Group/Cooperative shall ensure approved sacks and bags are made available to hired workers/ registered farmers.
- d) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that cocoa beans are bagged and stored under appropriate conditions, including pest control measures.

11.3.11 Resilience and diversification of production

- a) The Farmer Group/Cooperative shall raise awareness on the use of diversified crops.
- b) The Farmer Group/Cooperative shall ensure means of recording the outcome of crop diversification programs at the registered farmer level.
- c) The Farmer Group/Cooperative shall conduct an inventory of the risks and potential impacts of climate change on the registered farmers' production of cocoa.
- d) The Farmer Group/Cooperative shall raise awareness among registered farmers of the potential impact of climate change.
- e) The Farmer Group/Cooperative shall provide training and other support to assist registered farmers adapt to new climatologically conditions where applicable.
- f) The Farmer as an Entity shall be aware of the use of diversified crops and implement (b) to (d). He shall provide training and other support to assist hired workers adapt to new climatologically conditions where applicable.

Note: Farmers can add additional activity to their cocoa farm to earn extra income.

12 Requirements related to social aspects**12.1 General**

The requirements for social aspects aim to:

- a) respect human rights, avoid infringement of the human rights of others and address adverse human rights impacts where necessary;
- b) support the eradication of forced labour, child labour and the worst forms of child labour;
- c) support improved standards of living, social conditions and working and labour conditions, including health and safety of populations engaged in the cocoa sector.

12.2 Human rights policy

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that a risk inventory is made of human rights issues.

- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that hired workers/registered farmers are aware of human rights.
- c) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that no adverse human rights impacts shall be caused or contributed by the Farmer as an entity/Farmer Group/Cooperative's activities. The Farmer as an entity/Farmer Group/Cooperative shall ensure that any such impacts that occur will be addressed.
- d) The Farmer as an Entity/Farmer Group/Cooperative shall establish, implement and maintain a human rights policy adapted to the context of the Farmer as an Entity/Farmer Group/Cooperative. The human rights policy should include human rights due diligence process to identify, prevent, mitigate and report on how the Recognized Entity addresses its human rights impacts and processes to remedy any negative impacts of the the Recognized Entity or its contribution to them.

Note 1: The requirement number 12.2d in this Standard is to be implemented six (6) years after the first date of conformance.

Note 2: A dedicated officer is to be appointed by the Regulator /Legal Entity who is responsible for Human Rights issues.

12.3 Prevention of discrimination, harassment and abuse

The Farmer as an Entity/Farmer Group/Cooperative shall ensure that the principle of non-discrimination and the rights of the individual shall be respected and that initiatives are taken to contribute to the elimination of discrimination if observed, including, but not limited to, discrimination on the basis of race, colour, gender, personal relationships, disability, health, marital status, age, HIV/AIDS status, religion, political opinion, language, property, ethnicity or social origin.

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that no hired worker/registered farmer shall be subjected to corporal punishment, mental or physical coercion, or verbal abuse.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall discuss with its employees, hired workers/registered farmers what constitutes harassment and abuse, and explain that these practices are not acceptable. All employees, hired workers/registered farmers shall be informed about the laws protecting individuals against discrimination, harassment and abuse.
- c) The Farmer as an Entity/Farmer Group/Cooperative shall draft and implement an action plan to eradicate all forms of harassment and abuse, including a gender sensitive grievance procedure with equal access for women and men. Within the grievance procedure there shall be no retribution or punishment for reporting an injustice.
- d) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that meetings take place among its employees, hired workers/registered farmers and their spouses at least once a year to evaluate activities to prevent harassment and abuse. Meetings, participants and main results shall be documented and shared.
- e) The Farmer as an Entity/Farmer Group/Cooperative shall actively promote the social inclusion of disadvantaged/minority groups within its activities.

12.4 Gender equality and women and youth empowerment

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that a risk inventory is made of gender-related issues.

- b) The Farmer as an Entity/Farmer Group/Cooperative shall draw up a gender and youth action plan based on the results of the gender stocktaking exercise.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall implement the gender/youth action plan.
- c) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that top management is knowledgeable in gender-related issues.
- d) Using best practice approaches, the Farmer as an Entity/Farmer Group/Cooperative shall ensure hired workers/registered farmers, management and the employees, both women, men and youth, are aware of gender-related issues.
- e) When training courses are offered, the Farmer as an Entity/Farmer Group/Cooperative shall ensure equal access for women, men and youth, including the spouses of hired workers/registered farmers.
- f) When training courses are offered, the Farmer as an Entity/Farmer Group/Cooperative shall ensure that women and youth's participation is stimulated, including the spouses of hired workers/registered farmers.
- g) The Farmer as an Entity/Farmer Group/Cooperative shall work towards ensuring that women and men receive equal opportunities and equal remuneration for equal work.

Note: The Farmer as an Entity/Farmer Group/Cooperative develops an affirmative action plan that rewards women and youth for owning farm land.

12.5 Children's rights

- a) The Farmer as an Entity/Farmer Group/Cooperative shall comply with the Regulator/Legal Entity's policy on the children's rights and commit to respecting children's rights.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that a risk inventory is made of children's rights issues.
- c) The Farmer as an entity/Farmer Group/Cooperative shall ensure agricultural workers are knowledgeable on children's rights, and shall ensure that children of agricultural workers are aware of children's rights.
- d) The Farmer as an Entity/Farmer Group/Cooperative shall take necessary action(s) when concerns arise regarding abuse, exploitation or harming of children, including activities taking place on the farm(s) and within the Farmer Group/Cooperative.
- e) The Farmer as an entity/Farmer Group/Cooperative shall ensure the protection and safety of children in its business activities, including activities taking place on the farm(s) and within the Farmer Group/Cooperative.
- f) The Farmer as an entity/Farmer Group/Cooperative shall, within its powers, actively promote education and school attendance for all children and vocational training for children of a legal working age.

- g) The Farmer as an entity/Farmer Group/Cooperative shall ensure hired workers/registered farmers and employees are knowledgeable on children's rights.
- h) The Farmer as an entity/Farmer Group/Cooperative shall, within its powers, encourage vocational training, apprenticeship and employment (excluding hazardous tasks) in agriculture for youth above the legal working age, particularly in sustainable cocoa production.

12.6 Child labour and worst forms of child labour

- a) The Farmer as an Entity/Farmer Group/Cooperative should comply with the regulator's policy on child labour including a clear commitment against child labour. It should communicate this policy within the organization and among agricultural workers and make it publicly available.
- b) The Farmer as an entity/Farmer Group/Cooperative shall publicly display a list of applicable hazardous activities and disseminate information about the prohibition of hazardous work for children within the Farmer Group/Cooperative and among hired workers/registered farmers and their children.
- c) The Farmer as a Farmers' Entity / Group/Cooperative must immediately report suspected cases of unconditional worst forms of child labour (i.e. child trafficking, bonded labour and forced labour) to the responsible authorities.
- d) The Farmer as an entity/Farmer Group/Cooperative shall undertake a risk inventory to identify, the possible risks related to child labour on farms and among the Farmer Group/Cooperative and in the communities where its hired workers/registered farmers live.
- e) Based on the risk inventory, the Farmer as an entity/Farmer Group/Cooperative shall undertake actions to prevent, identify monitor and remediate child labour and the worst forms of child labour related to the activities on the farms and among the Farmer Group/Cooperative, its registered farmers and its hired workers.

Note: "Child/light work", "child labour", and "the worst forms of child labour" are different terms.

12.7 Employment and contractual relations

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that each registered farmer keeps records of all workers on his/her farm.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall establish and implement a policy on forced labour and shall ensure that no one is engaged to work under compulsion.
- c) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that no identity document(s) is withheld from hired workers/registered farmers or from employees.
- d) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that, in the case of wage workers, wages shall be paid on a regular basis. The frequency and level of wage payments shall be clearly communicated at the beginning of employment.
- e) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that regular hired workers are provided with written contracts or oral contracts with a witness specifying labour conditions and payment arrangements, in a language and format they can understand, within the Farmer Group/Cooperative.

- f) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that temporary hired workers shall receive the working conditions and workers' rights equivalent of regular hired workers, and their contractual agreements shall be respected, within the Farmer Group/Cooperative.

12.8 Occupational health and safety

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that an inventory is made of occupational health and safety risks within the Farmer Group/Cooperative and at farm level.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that an action plan is made to address the issues identified in the inventory on occupational health and safety.
- c) The Farmer as an Entity/Farmer Group/Cooperative shall implement the action plan on occupational health and safety.
- d) The Farmer as an Entity/ Farmer Group/Cooperative shall ensure that necessary protective equipment is provided free of charge, without deduction of wages and used by all hired workers/registered farmers operating in hazardous conditions.
- e) The Farmer as an Entity/Farmer Group/Cooperative shall ensure the health and safety competence of hired workers/registered farmers operating in hazardous conditions.
- f) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that all hired workers/registered farmers are informed about and protected against occupational health and safety risks in their agricultural work. This information shall be provided clearly and visibly within the working environment of the Recognized Entity, in language(s) they understand and with pictograms.

Note: The requirement number 12.8 in this Standard is to be implemented within the first six (6) years after the first date of conformance to this Standard.

12.9 Social security systems

- a) Where applicable, the benefits of available social security / welfare schemes shall be provided to the employees of the Farmer as an Entity/Farmer Group/Cooperative.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that all regular hired workers have access to the benefits of a provident fund or pension scheme, if available.

Note: The requirement number 12.9 in this Standard is to be implemented within the first six (6) years after the first date of conformance to this Standard.

12.10 Freedom of association and collective bargaining policy

- a) The workers of the Farmer as an Entity/ Farmer Group/Cooperative may freely join and establish workers' organisations, both internal (such as workers' representations) and external (such as labour unions), as well as participate in collective bargaining agreements on working conditions.
- b) If national law prohibits trade unions, workers may at least elect their representatives to discuss working conditions with the farmer as an Entity/ farmer Group/Cooperative.
- c) The workers of the Farmer as an Entity/ Farmer Group/Cooperative shall not suffer retaliation, discrimination or other adverse consequences if its members establish or join an organization or engage in collective bargaining.

- d) The Farmer as an Entity/Farmer Group /Cooperative informs the workers, either through individual letters or through wide distribution, of:
- their right to establish and join a workers' organization,
 - their right to participate in collective bargaining, and
 - A guarantee that he or she will not suffer retaliation, discrimination or other adverse consequences if he or she were to use any of these rights.

13 Requirements related to environmental aspects

13.1 General

From an environmental perspective, the aim is to minimize negative impact and optimize positive impact on the environment.

The requirements for environmental aspects aim to:

- a) support water conservation, the avoidance of water waste, and the avoidance of the contamination of surface and underground water;
- b) support the responsible use of agrochemicals and good waste management;
- c) preserve plant and animal habitats, protect wildlife and maintain a varied ecosystem;
- d) prevent deforestation and combat climate change.

13.2 Protection of water bodies

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that a distance of at least 10 meters from cultivated cocoa trees to water bodies is maintained. Existing cocoa trees in this zone may be retained, but agrochemicals shall not be applied within this zone.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that hired workers/registered workers are knowledgeable about water protection requirements, taking into account the local context.
- c) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that no untreated sewage or untreated wastewater is discharged into fresh water bodies.

Note: National legislation can apply when establishing new farms and/or in relation to the distances from cultivated cocoa trees to water bodies and vegetation belts.

13.3 Requirements for administration and safe storage of agrochemicals

The Farmer as an Entity/Farmer Group/Cooperative shall ensure that warning signs are placed during and after the application of agrochemicals that indicate the time of application, the time before re-entering and the recommended days until harvest.

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure the competence of the person or people handling and storing agrochemicals.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that only authorized agrochemicals are applied. The application shall be performed safely, and by reference to the

product usage information provided by the supplier and the user manual for the delivery mechanism (e.g. sprayer). .

- c) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that instructions for the use of agrochemicals are strictly followed by calibrating and using suitable equipment for applying the prescribed dosage, timing and intervals of application of agrochemicals as specified on the labelling of the product and its instructions for use.
- d) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that documented information on agrochemical application (e.g. farmer booklet) is retained.
- e) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that no expired agrochemicals are used.
- f) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that children, pregnant women, breastfeeding women and people with respiratory illnesses do not handle agrochemicals.
- g) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that handling and storage (keeping) of chemicals are separated from living areas to maintain the integrity and safety of persons.
- h) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that agrochemical containers are properly closed during storage and transportation to prevent spillage.
- i) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that dedicated storage facilities for agrochemicals are established with ventilation, light and a system for collecting spillages.
- j) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that agrochemical containers are kept away from non-authorized persons, animals and items to be consumed.
- k) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that empty agrochemical containers are triple rinsed and perforated, and that storage, handling and disposal are carried out in an appropriate way.

Note: National regulations can be applicable in the definition of “appropriate” regarding the storage, handling and disposal of agrochemical containers.

13.4 Ecosystem protection

- a) The Farmer as an Entity/Farmer Group/Cooperative shall support efforts to combat climate change and its effects by promoting agroforestry through the planting of forest tree species, fruit trees and shrubs on the farm(s), by use of diverse and native tree species, if applicable in the national context.
- b) The Farmer as Entity/Farmer Group/Cooperative shall ensure there shall be no farming in protected areas, such as national parks, wildlife refuges, forestry reserves and other public or private conservation areas, unless the national context allows it.
- c) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that no deforestation or degradation of primary forests has occurred as at the date of first release of this African Standard.
- d) The Farmer as an Entity/Farmer Group/Cooperative shall ensure no deforestation or degradation of secondary forest occurs, unless a legal land title, landowner permission and/or customary land rights (whichever are applicable) are available, and government permits are available.

- e) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that no large native trees that existed prior to the establishment of the farm are felled or burned in existing farms or when establishing new farms.

Note 1: The Farmer as Entity/Farmer Group/Cooperative should ensure that no large native trees, that existed prior to the establishment of the farm, are removed in existing farms or when establishing new farms., except when these pose hazards to people, infrastructure or to the health of the cocoa farm by hosting specific diseases, and where the removal of these specific trees is allowed/recommended by national authorities.

- f) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that no land is cleared by burning the vegetation. The Farmer Group/Cooperative may use light machines and/or simple tools, such as machetes (cutlasses), hoes, axes, to clear land.
- g) The Farmer as an entity/Farmer Group/Cooperative shall, in accordance with forestry authorities, ensure mapping (or drawing) of existing large native trees with the aim to provide clarity over ownership of the trees, if applicable.
- h) The Farmer as an entity/Farmer Group/Cooperative shall reduce water and wind erosion by taking adequate measures, including ensuring that a vegetation or mulch cover is kept on the cocoa farmlands in order to avoid bare soil.
- i) The Farmer as an entity/Farmer Group/Cooperative shall ensure that no adverse ecological practices are carried out, such as the draining of water bodies or hunting of threatened or endangered animals.
- j) The Farmer as an entity/Farmer as an entity/Farmer Group/Cooperative shall establish an inventory of existing plant and wildlife species on the farm(s).

Note 2: National legislation can apply regarding ecosystem protection.

13.5 Waste management

- a) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that hired workers/registered farmers are competent on waste management practices pertaining to cocoa production.
- b) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that composting of any organic material is carried out in a designated area.
- c) The Farmer Group/Cooperative shall ensure that waste is only stored and disposed of in designated areas. In the absence of appropriate disposal facilities, non-organic waste may only be burnt in a well-ventilated area away from people, animals and crops.
- d) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that expired agrochemicals are treated as hazardous waste.
- e) The Farmer as an Entity/Farmer Group/Cooperative shall ensure that empty agrochemical containers are not used for any other purposes.

Annex A
(normative)

Process for establishing the Cocoa Farm Development Plan (CFDP)

Table A — Overview of the process for establishing the CFDP

What?	When?	By whom?	How?	Purpose and result?
Sensitization on the African standards (see 4.2.1 and 4.2.2 of this document)	Before farmer's registration.	Farmer group, Cooperative, Regulator/ Legal Entity.	Through workshops and any other farm group meetings	Ensuring that the individual farmer understands the objectives of the standards as well as his role and responsibilities once he adheres to the standards to produce sustainable cocoa
Generic Estimated costs of setting up in conformance with this document.	Before individual farmer's registration.	The farmer as an entity/Farmer group/ Cooperative, Regulator/ legal entity in collaboration with farmers who wish to register.	Through an interview and preferably a visit to the farm.	The Farmer as an Entity/ Farmer Group/ Cooperative, Regulator/Legal Entity should provide individual farmers with an indication of the estimated level of costs and the estimated timeframe for the major areas of investment (e.g. replanting, fertilizer) for their farms. The Farmer as an Entity/ Farmer Group, Cooperative, Regulator / Legal Entity should collect via interview the data points identified in Annex C for this purpose, although they may rely on only several of these for producing these estimates of costs
				Assumption: higher yields will be achieved when adhering to this document
Hiring an Agronomist in charge of the diagnosis and Cocoa Farm Development Plan (CFDP)	Once the Farmer is registered.	Farmer as an Entity/Farmer Group/ Cooperative	Through competitive engagement process	The Agronomist will be in charge of training Trainer of Trainees (TOT), farmers, and coaching the farmers to implement and maintain requirements of this document.in the farm.
Training the Agronomist on diagnosis and CFDP.	Once the Agronomist has been hired.	The Regulator/ legal entity.	Through capacity building development using workshops.	To enhance standardization of training and ensure equity in development of the Agronomists and the implementation of CFDP.
Making Cocoa farm diagnosis/ baseline assessment (see 8.2 and Annex C).	Within the first 12 months of registration of farmer and before the application to the initial audit for bronze certification.	The Agronomist within the recognised entity in collaboration with registered farmers.	On-farm observation and interview in addition to data acquired during the farmer registration process, including necessary interventions and costs to fulfil the CFDP.	To establish the CFDPs for all registered farmers and farmers as entities as well as activities planned to improve the farms and to deliver sustainable cocoa. To deliver the real estimate of costs (investments) versus benefits (returns in cash) regarding cocoa farming within the framework of this document
Implementing the CFDP (see 8.2 and Annex D)	Short-term: After the first initial certification audit for Bronze Certification and before the first surveillance audit	The Agronomist with registered farmers.	Implement the requirements in this document, and Annex D in ARS 1000 part 3 Adjustment depending on	The Agronomist and the registered farmer shall determine, any actions needed to meet and maintain targets/requirements and modify, if needed, the content of CFDP accordingly.

What?	When?	By whom?	How?	Purpose and result?
	(2 years and a half).		targets set and completion date.	Before the 1st surveillance audit, the Farmer Group shall have established a minimum of 20 % CFDP for the registered farmers.
	Mid-term: After the 1 st surveillance audit and before the 2 nd surveillance audit (7 years and a half.)	The Agronomist with registered farmers.	Implement the requirements in this document and , Annex D in ARS 1000 -3 Adjustment depending on targets set and completion date.	The Agronomist and the registered farmer shall determine, any actions needed to meet and maintain targets/requirements and modify, if needed, the content of CFDP accordingly. Within seven (7, 2) years and a half after the first claim of conformance to this Standard, a CFDP shall be established for all farmers. (7 years and a half after obtaining the Bronze and Silver certifications).
Assessing the CFDP.	a) During the first initial certification audit : Bronze certification (12 months after the registration of the farmer) b) During the 1 st surveillance audit (2 years and a half after obtaining the Bronze Certificate) c) During the recertification audit: Silver certificate, 5 years after obtaining the Bronze certification. d) During the 2 nd surveillance audit (7,5 years after obtaining the Bronze Certificate) e) During the recertification audit: Gold certificate (10 years after obtaining the Bronze certificate).	Auditors hired by the Farmer as an Entity/Farmer Group/Cooperative.	Through the audit process in compliance with the requirements of ARS 1000 -3.	to help farmers improve their farms and operate in compliance with all the standards (ARS1000 -1, ARS 1000 -2, and ARS 1000-3) to ensure that the registered farmers work as business professionals by the end of a complete audit cycle (11 years after farmer registration).

Annex B
(informative)

Guidance for estimating start-up and recurring costs

Table B.1 — Guideline for estimating start-up and recurring costs

Action	Budget line item	Start-up costs				Recurring operational costs		
		First buyer	Recognized Entity	Farmer	Regulator	First buyer	Recognized Entity	Farmer
Payment of premium	Farmer premiums	X				X		
Salaries of persons in charge of managing sustainable cocoa	internal sustainability manager / Month		X				X	
	Farmer trainer	X	x					
	Agronomist		X				X	
	Secretary or coordinator		X					
Logistics	Monthly fuel Coordinator						X	
	Farmer trainer	X						
	Agronomist							
	Motorcycles	X						
	Helmet		X					
	Boots		X					
	Cutlass		X					
	Vehicle						X	
	First Aid Kit						X	
	GPS-CFDP	X	x		x			
	Data collection	X	x		x			
	Office computer	X	x		x			
	Office printer	X	x		x			
Training costs	Office space	X	x		x			
	Office furniture	X	x		x			
	WI-FI connection	X	x		x			
	Training Top Management on management system				X			
	Training Agronomist on Standards				X			
	Training recognized entities on Standards				X			
	Training farmers on Good Agricultural Practices (GAP)				X			

Action	Budget line item	Start-up costs				Recurring operational costs		
		First buyer	Recognized Entity	Farmer	Regulator	First buyer	Recognized Entity	Farmer
	Training recognized entities on Entrepreneurship including laws and principles				X			
Cost of traceability system		X	X		X			
Audit costs			X				x	
Inputs	Fertilizer		X				x	
	Pesticide application		X				x	
Social aspects	Monitoring and remediation of child labour and worst form of child labor		X				x	
Environmental aspects	Agroforestry		X				x	
Operational costs of Farmer as an Entity/ Farmer Group /Cooperative	Director salary						X	
	Depot keeper/ Purchasing clerks salary						X	
	Inspector/Analyzer salary						X	
	Security salary						X	
	Stevedore/Carriers						X	
	Collection truck driver						X	
	Collection truck maintenance						X	
	Warehousing						X	
	Discharge vehicle rental						X	
	6 wheels						X	
	10 wheels						X	
	Trailer truck						X	
	Tax						X	
	Electricity bill						X	
	Water bill						X	
	Fuel						X	
	Office supplies						X	
	Office Accommodation						X	

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Action	Budget line item	Start-up costs				Recurring operational costs		
		First buyer	Recognized Entity	Farmer	Regulator	First buyer	Recognized Entity	Farmer
	Communication costs						X	
	Postal service cost including post office box						X	
	Cooperative creation costs						X	

Note: Start up and recurrent costs to be met as per individual country requirement

Annex C (normative)

Information on individual farms for cocoa farm diagnosis

The cocoa farm diagnostic shall deliver a base-line diagnostic on all cocoa fields of a farm in order to determine which interventions are needed on the different cocoa fields to reach the targeted yield. The cocoa farm diagnostic shall at a minimum include observations on the elements listed in Table C.1 and C.2.

Table C.1 — Farm, registered farmer and family socio-economic profiles

Category	Data points	How to collect information
Registered farmer and family profile	Registered farmer's name, date of birth, gender, education level	Interview and/or registration data
	Spouse's name, date of birth, gender, education level	Interview and/or registration data
	Number of children and other household members, including date of birth and gender; number of children in school	Interview and/or registration data
	Farm or farmer code in the Recognized Entity's administration	Interview and/or registration data
	Whether member of a Farmer Group	Interview and/or registration data
	Whether a sharecropper or owner	Interview and/or registration data
	Location and contact details (address, telephone number)	Interview and/or registration data
Registered farmer and family socio-economic profile	Cocoa production, cost of production, gross and net income of production from 1, 2 and 3 years ago	Interview and/or registration data
	Non-cocoa (other) sources of income for the whole family (cocoa farming, other crops, paid work)	Interview and/or registration data
	Family living expenses, including schooling	Interview and/or registration data
	Banking arrangements (bank account, mobile money)	Interview and/or registration data
	Number of workers, total cost	Interview and/or registration data
	Number of family workers, gender, total cost	Interview and/or registration data
	Number of temporary workers, gender, total cost	Interview and/or registration data

Category	Data points	How to collect information
Farm profile	Year of farm creation	Interview and/or registration data
	Distance to forest land	Interview and/or registration data
	Land use total (including different crops)	Interview and/or registration data
	Land used for cocoa with GPS polygon	Interview and/or registration data
	Land used for other crops	Interview and/or registration data
	Fallow land	Interview and/or registration data
	Land used for cocoa with homogeneous conditions (cocoa field)	Farm visit
	Source of planting materials	Interview and/or registration data

Table C.2 — Information on individual farms for cocoa farm diagnosis and monitoring

Adoption observations		Good	Medium	Bad	Mechanism to monitor
Plant material		1. Planting material: Genetic potential			Interview and observation
Farm condition		2. Tree age			Interview and observation
		3. Tree density			Observation
		4. Tree health			Observation
		5. Debilitating disease (good=none)			Observation
Good Agricultural Practices (GAP)		6. Pruning			Observation
		7. Pest and disease			Observation
		8. Farm sanitation			Observation
		9. Suckering/chupon removal			Observation
		10.. Weeding			Observation
		11.. Harvesting			Observation
		12. Shade management			Observation
Soil		13. Soil condition			Observation/tests
		14. Soil PH			Tests
		15. Organic matter			Observation
		16. Fertilizer formulation			Interview through extension
		17. Fertilizer application			Interview

Annex D (normative)

Implementation and content of the Cocoa Farm Development Plan (CFDP)

The Recognised Entity shall fulfil the requirements specified in Table D.1 and D.2 for the cocoa farm development plan (CFDP) and its implementation.

Table D.1 — Implementation plan for the CFDP

Objective	Implementation plan	How to collect information
From diagnosis to implementation of the CFDP	The Recognized Entity shall establish an estimate of the farm yield with the registered farmer.	Discussion
	The Recognized Entity shall advise the registered farmer on the CFDP per cocoa field, including cost of planting material, inputs and labour, based on cocoa farm diagnostic observations.	Calculations
	The Recognized Entity together with the registered farmer shall evaluate options for prioritization of cocoa fields, recognizing financial and labour capacity.	Discussion
	The Recognized Entity together with the registered farmer shall establish the final CFDP on all cocoa fields, taking into account agronomic reality, cost and estimated net income per year.	Discussion

Table D.2 — Criteria for the CFDP

Item	Criteria
Cocoa field	The Recognized Entity together with the registered farmer shall divide the farm into cocoa fields (homogeneous plots) and take representative samples to develop CFDP for the entire farm.
Year by year implementation plan	The Recognized Entity shall ensure that the CFDP takes into account farm and family economics to guide the farmer in his/her financial decision making.
Month by month implementation plan	The Recognized Entity shall ensure that the CFDP delivers a month-to-month activity plan to guide the farmer in the implementation of his/her CFDP.
Ensure social family obligations	The Recognized Entity shall ensure that the CFDP delivers information to guide registered farmers in their investments, ensuring that they are aware of risks of over-investment that could lead to inability to meet social family or financial needs.
Maximum timeline	The Recognized Entity together with the registered farmer shall establish the timeline for lifting the whole farm to the targeted yield. This timeline shall be no more than 10 years. The Recognized Entity shall ensure that all agreed interventions in the CFDP are implemented for all plots within 10 years.
Monitoring	The Recognized Entity shall ensure that the implementation and improvement of the CFDP is monitored and documented through the cocoa farm diagnostic observations.

Annex E
(informative)**Cocoa Farm Development Plan (CFDP)— Guidance for registered farmers****Table E.1 — Cocoa Farm Development Plan— Guidance for registered farmers**

Data points	CFDP — how to collect the information	Detailed cocoa farm diagnostic for CFDP — how to collect the information
Current farm status and what is needed to meet the level specified in this Standard.	Overview to provide clarity for registered farmer with regards to inputs and interventions needed.	Detailed overview for registered farmer with regards to inputs and interventions needed.
Efforts and inputs needed to reach the level specified in this Standard.	Estimate of inputs needed (plant material, fertilizer, labour, etc.) to reach the level specified in this Standard.	Detailed overview of inputs needed (plant material, fertilizer, labour, etc.) to reach the high level specified in this Standard and where to obtain the inputs.
General understanding of investment needed to reach the level specified in this Standard.	Estimate of cost incurred (plant material, fertilizer, labour etc.) to reach the level specified in this Standard.	Detailed overview of cost incurred (planting material, fertilizer, labour, etc. to reach the high level specified in this standard.
General understanding of timeline needed to adjust farm rehabilitation to financial capacity.	Estimate of time needed to reach the level specified in this Standard depending on capacity for investment.	Detailed plan for gradual farm improvement to reach the level specified in this Standard on capacity for investment...
Registered farmer knowledge.	Understanding of effort, cost and time needed to reach the level specified in this Standard.	Year-by-year estimate of effort, cost and time needed to reach the high level specified in this Standard including yearly targets for monitoring.

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