

**GHANA  
STANDARD**

**GS IG  
1: 2023**  
First Edition 2023

**National Implementation Guide for GS ARS 1000 — Part 1:  
Requirements for Cocoa Farmer as an Entity/Farmer Group/ Farmer  
Cooperative — Management Systems and Performance**

Reference No. GS 1:2023(E) ICS  
67.140.30

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## **Preface**

Conformity to the requirements of ARS 1001 is necessary for instituting and implementing a management system for achieving continuous production of sustainable and traceable cocoa. This system is vital for the acceptance of the cocoa beans the farm produces, both the national and international market, as sustainably produced and to be sold as such. In Ghana as well as within the African Region, the implementation of management systems for a food produce commodity is a relatively new concept especially for primary production companies. With the adoption of these regional standards, ARS 1001:2021 series, by Ghana as the national standards for the implementation of sustainable and traceable cocoa production (STMS) in cocoa farms, these documents are intended to provide guidance on the requirements of the ARS 1001 series of standards and recommendation on how the requirements of the standards should be implemented throughout the local cocoa industry.

## **Acknowledgements**

This document was developed by a Technical Working Group comprising key stakeholders and experts including the Ghana Cocoa Board (COCOBOD), Ghana Standards Authority (GSA), farmers, World Cocoa Foundation (WCF), Fairtrade International and Mondelez Ghana. We acknowledge their time and dedication to the development of this document. Special acknowledgement goes to the management of Ghana Cocoa Board for funding the development process.

## **Introduction**

### **1. Cocoa plant, varieties grown in Ghana**

Cocoa, *Theobroma cacao* L, is an essential crop in the provision of raw materials, food, employment, income, poverty reduction [1] and also serves as a support to the multibillion global chocolate industry. Cocoa thrives well in areas with rainfall between 1100mm and 3000mm per annum but for optimum production, preference is given to areas with rainfall between 1500mm-2000mm and a dry season of not more than three months with less than 100mm rain per month. In addition, cocoa requires maximum temperatures ranging between 30-32°C and minimum 18-21°C with relative humidity of 100% at night and about 70-80% during the day. Cocoa is successfully grown in the forested areas of Ghana. Types of cocoa grown in Ghana are the forastero (Eg. Amelonado), criollo, Trinitario and the hybrid.

Forastero cocoa has its origin from high Amazonia (Peru, Ecuador and Colombia) and the Amazon basin (Brazil) and is commonly used for selection of breeding varieties. The criollo which has its origin from Mexico, Nicaragua, Guatemala, Colombia, Venezuela and Indonesia possesses pleasant aroma but is vulnerable to diseases. The trinitario which originated from Trinidad and Venezuela is an intermediate between Forastero and Criollo and also known to be highly susceptible to black pod disease. Hybrid cocoa presents several advantages over other cocoa types. Hybrid cocoa yields more pods per tree; has more than two harvest seasons in a year (compared with "Amelonado"); and has a shorter gestation period of three years as opposed to at least five years for older cocoa varieties. The introduction of the hybrid cocoa in Ghana is one of the numerous agricultural innovations to improve

yield for sustainable cocoa production. The average yield of cocoa in Ghana is about 400 kilograms per hectare which falls below the expected optimal production level.

In Ghana, majority of the farmers operate individually as owners of the farms, with few operating collectively as cooperative or contract farming. Cocoa production serves as a major source of livelihood for most rural dwellers in the ten (10) cocoa growing regions of the country in the provision of income to sustain farm families. The dry cocoa beans produced are sold to Ghana Cocoa Board through the Licensed Buying Companies (LBC's). Private partners play instrumental role in the cocoa value chain including service provision, input credit and global market accessibility through certification for sustainable cocoa production. In Ghana, the cocoa industry is regulated by Ghana Cocoa Board; the only government institution mandated by law to monitor and control the activities of actors in the cocoa value chain.

## **2. Farming practices and challenges**

The contribution of Africa to the chocolate industry is well emphasized as about 70% of production is generated from the continent. This remarkable contribution had its source from smallholders that strive for daily improvement of livelihoods in their bid for sustainable production.

Ghana became the leading cocoa producer and exporter of dried cocoa beans from 1939 to mid-1960 [3] but currently is the second in the world's cocoa production and export after Cote D'Ivoire. The cocoa sector plays a major role in the development of the economy of Ghana as the sector contributes over 30 percent of the overall foreign earnings and also has the potential of reducing poverty and income insecurity in the country [4, 5]. To improve productivity of cocoa, adherence to good agronomic practices such as pruning, integrated soil fertility and pest management, timely weeding, timely harvesting and proper fermentation is required.

The assessment of global cocoa economy between 2011/2012 and 2022/2023 identified steady decline in cocoa stock [2]. The cocoa sector just like the other sectors has some challenges that if not addressed are likely to militate against the realization of the sectors objectives. Factors that affect cocoa production include low cocoa productivity, declining soil fertility, pests and diseases, unavailability of inputs, high cost of inputs, planting of low yielding varieties, outdated production systems, inefficient marketing systems, poor farm management practices, adverse effects of weather, low adoption of innovations and agronomic practices, technology and knowledge transfer as well as inadequate extension and advisory services.

The production of cocoa is largely dominated by smallholders who operate at very low levels of productivity due to limited resources. In the past, most of the increases in agricultural production were achieved through the expansion of cultivated land and intensive use of labour, rather than the use of improved farming technologies. As agricultural land becomes scarce due to increased population growth coupled with the rise in environmental problems, and the

migration of economically active rural dwellers to the urban areas, the adoption of innovative farm technologies, for instance, hybrid seeds and new farm practices to increase output, has become necessary. Nevertheless, where there is the introduction of new crop varieties, the expectation of increased output has not been fully achieved since adoption remained slow across farmers. Pests and diseases have emerged to threaten cocoa production as well as sustainability to the farmer, environment and industry [6, 7]. Pests and diseases could reduce crop yield from 20 to 86% in West Africa [8].

Another challenge to the sustainability of Ghana's cocoa is agricultural land use conflict between cocoa farming and gold mining. Gold mining has taken precedence over cocoa farming due to the higher and quick returns to gold mining as land use [9]. The competition for agricultural land between cocoa farmers and illegal miners remains a challenge to the cocoa sector as land used for cocoa are converted by illegal miners for mining purposes. The influx of miners in the cocoa growing communities has also resulted in the shift in labour from the agricultural sector to the mining sector leading to high cost of labour which adversely affects cocoa farmers. The pollution of water bodies in farming communities results in difficulty in nursery establishment and spraying of pesticides on farms.

The land tenure in most cocoa growing areas may not favour cocoa farmers as farms are mostly held under tenure arrangements as customary land owner's cocoa farms and tenant cocoa farms. One of the challenges that confronts cocoa production is the low adoption of good agronomic practices on the part of cocoa farmers. Information related to good agronomic practices such as pruning, weeding, integrated pest management, fertilizer application, harvesting and fermentation are propagated by Extension Agents of Cocoa Health and Extension Division. Cocoa farmers are educated and trained in good agronomic practices from land preparation to harvesting and drying which are categorized into training modules for the operational year. This serves as a means to improve Ghana's premium quality cocoa through sustainable production systems.

Child labour being one of the relevant social issues is a major concern to Ghana Cocoa Board as farmers are sensitized through the various extension media platforms.

Ghana Cocoa Board has rolled out productivity enhancement programmes namely: mass pruning, cocoa rehabilitation programme for the control of cocoa swollen shoot virus disease, irrigation, cocoa disease and pest control and fertilizer subsidy. In addition, farmers are also trained in climate smart agriculture to ensure resiliency and adaptation in the face of climate change.

To ensure farmers livelihood enhancement in the cocoa sector, there is the need to strengthen coordination of sustainable livelihood programmes among stakeholders. Developing Africa standards for cocoa would ensure the production of sustainable cocoa through improved farming systems, quality and traceable cocoa. This would complement the efforts of stakeholders in addressing the challenges in the cocoa sector.

### **3. Why the need for ARS series?**

The ARSO Standard is being implemented to promote the production of sustainable cocoa beans in response to demands from consuming countries for sustainably produced cocoa. The Standards therefore addresses the three pillars of sustainability, namely: economic, social and environmental. The standards therefore address challenges such as: deforestation, climate change, worst forms of child labour, building farmers' capacity to run their farms as businesses to improve their livelihoods and ensuring the traceability and quality of cocoa produced. The Standard is practicalized with a country implementation guide that takes cognizance of traditions, cultures, land tenure systems & laws of the relevant country.

The ARSO series have been developed with the welfare of the cocoa farmer at the Centre, to protect their ownership and access to land for farming, build their capacity as an entrepreneur to access financial options that are available and protect and improve their incomes and livelihoods.

The Standards further recognizes the regulatory power of Ghana Cocoa Board as a legal entity responsible for the development of the Implementation Guide and approval of Certification bodies to implement the Certification Scheme.

### **4. Development of the ARS series**

The ARS 1001 series was developed from the ISO 34101 series which stipulated requirements for the production of sustainable and traceable cocoa at the international level. It was noted however that there were critical issues bordering on the different farming practices for different regions of the world. Since Africa comprises the world's largest cocoa producers, it was necessary to initiate the development of home-grown standards which would address unique issues that face cocoa farmers in Africa. Both series of standards are extensive in addressing various aspects of cocoa farming and trade. Compliance to the standards will be the optimal approach to assuring sustainable quality in cocoa production. The standards outline the controls required to manage risks that may impact on the quality of cocoa beans as well as tools to help the cocoa farmers to improve upon their operations, become more profitable and ensure customer satisfaction.

In 2019, shortly after the publication of ISO 34101 series, the governments of Ghana and Cote d'Ivoire formed a joint presidential technical committee to tease out critical issues for the proper implementation of these standards in the African context. The Ghana Cocoa Board and Conseil du Café- Cacao engaged a consultant to prepare working draft documents in this regard. They presented a proposal to ARSO Secretariat for the development of regional standards for sustainably produced cocoa and requirements for its equivalent certification scheme.

In January 2020 the process commenced for the development of regional standards for sustainable and traceable cocoa production in Africa. It was agreed by ARSO TMC that all countries within the region involved in cocoa

production will be engaged in the work of the Technical Committee. In June 2021, the documents were approved and published by ARSO.

### **Purpose And Scope**

The purpose of this document is for use as a guideline for establishing and implementing a cocoa farming management system that ensures production of sustainable and traceable cocoa beans. It also gives guidance to certification bodies and scheme owners on implementing a certification scheme and auditing the cocoa farm management system to ensure compliance to regulatory and other quality requirements.

### **References**

The following references are the source material used in the development of this implementation guide:

- ARS 1001-1 Sustainable cocoa — Part 1: Requirements for Cocoa Farmer as an Entity/Farmer Group/ Farmer Cooperative — Management systems and Performance
- ARS 1001-2 Sustainable cocoa — Part 2: Requirements for Cocoa Quality and Traceability
- ARS 1001-3 Sustainable cocoa — Part 3: Requirements for Cocoa Certification Scheme

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# National Implementation Guide for GS ARS 1000 — Part 1: Requirements for Cocoa Farmer as an Entity/Farmer Group/ Farmer Cooperative — Management Systems and Performance

## ARS 1000-1

### 1 Scope

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

### 2 Normative references

There are no normative references.

### 3 Terms and definitions

For the purpose of this Standard the following terms and definitions apply.

#### 3.1

##### **abuse**

abuse against a person who is treated with violence, contempt or indignity.

#### 3.2

##### **agricultural worker**

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

#### 3.3

##### **agroforestry**

agroforestry is the interaction of agriculture and trees, including the agricultural use of trees. This comprises trees on farms and in agricultural landscapes, farming in forests and along forest margins and tree-crop production, including cocoa, coffee, rubber and oil palm. Interactions between trees and other components of agriculture may be important at a range of scales: in fields (where trees and crops are grown together), on farms (where trees may provide fodder for livestock, fuel, food, shelter or income from products including timber) and landscapes (where agricultural and forest land uses combine in determining the provision of ecosystem services).

#### 3.4

##### **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 (3.55).

#### 3.5

##### **audit**

systematic, independent and documented process for obtaining objective evidence (3.7) and evaluating it objectively to determine the extent to which the audit criteria (3.6) 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.

Note2: External audits include those generally called second- and third-party audits. Second party audits are conducted by parties having an interest in the Recognized Entity, such as customers or by other persons on their behalf. Third party audits are conducted by external, independent auditing bodies.

**3.6****audit criteria**

set of policies (3.58), procedures or requirements (3.66) used as a reference against which audit evidence (3.7) 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].

**3.7****audit evidence**

records, statements of fact or other information which are relevant to the audit criteria (3.6) and verifiable.

Note 1: Audit evidence can be qualitative or quantitative.

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

**3.8****audit findings**

results of the evaluation of the collected audit evidence (3.7) against audit criteria (3.6).

Note 1: Audit findings indicate conformity (3.19) or nonconformity (3.54).

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].

**3.9 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.

**3.10****child labour**

work that deprives children (3.9) 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].

**3.11****child/light work**

work performed by children (3.9) 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.

**3.12 coaching**

further specialist training or support to an individual farmer or group of farmers (3.34) as appropriate

**3.13 cocoa**

cocoa beans (3.14) or derived products.

**3.14****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.

**3.15****cocoa farm**

one or several cocoa fields

**3.16****cocoa farm development plan (CFDP)**

documented information (3.26) to guide registered farmers (3.63), using a stepwise approach, towards sustainable cocoa farm (3.15) management (3.49).

**3.17****cocoa field**

parcel of land owned by a specific farmer (3.30) on which cocoa trees are planted in clearly delineated and homogeneous areas for cocoa (3.13) 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.

**3.18****competence**

ability to apply knowledge and skills to achieve intended results

Note: Demonstrated competence is sometimes referred to as qualification.

**3.19 conformity**

fulfilment of a requirement (3.66).

**3.20****continual improvement**

recurring activity to enhance performance

Note: The process of establishing objectives (3.7) and finding opportunities for improvement (3.20) is a continual process through the use of assessment and audit (3.8), analysis of data, management reviews or other means.

**3.21****corrective action**

action to eliminate the cause of a nonconformity (3.54) and to prevent recurrence.

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

Note 2: Corrective action (3.21) is taken to prevent recurrence whereas preventive action is taken to prevent occurrence.

**3.22****cost recovery mechanisms**

contractual arrangements allowing first buyers (3.37) or internal and external parties concerned to recover all or part of their investment in terms of initial start-up costs of implementation (3.72) over a period of time from the farmer premium (3.35), to enable the Farmer as an Entity/Group of Farmers/Farmer Cooperative (3.32) to receive a fair percentage of the said farmer premium (3.35). EXAMPLE: Cost recovery mechanisms may include long-term relationships or agreements for right of first refusal.

Note: Fair percentage of the premium refers to the fair sharing rate, in proportion to what is due to each, allowing the Recognized Entity to cover the costs of implementation, according to the expected recovery mechanism.

**3.23****client**

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

**3.24****deforestation**

conversion of forest to other land uses regardless of whether it is man-made (3.51) or not.

**3.25 discrimination**

any distinction, exclusion or preference made on the basis of race, colour, ethnicity, gender, religion, political opinion, national or social origin, etc., which has the effect of nullifying or impairing equality of opportunity or treatment in respect of employment or occupation.

Note: Discriminatory practices include, among others, unequal pay for equivalent work, unequal access to better paid jobs and positions of responsibility, mandatory pregnancy tests during hiring procedures or at any point in the work process.

**3.26****documented information**

information required to be controlled and maintained by a Recognised Entity (3.62) 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).

**3.27****ecosystem**

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

**3.28****effectiveness**

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

**3.29****endangered species**

wild species that is in imminent danger of becoming extinct from the country or planet earth. Applies to any species at risk of extinction in the short or medium term.

**3.30****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.

**3.31****farmer as an entity**

a farmer with enough resources to stand on their own to meet the standard requirements (3.66).

**3.32****farmer as an entity/farmer group/farmer cooperative (Recognized Entity)**

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives (3.55).

Note: The concept of Recognized Entity includes farmer cooperative, individual cocoa farmer (3.31) and farmer group (3.34)

**3.33****farmer's cooperative**

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:

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

Any discrimination (3.25) based on sex or ethnic, religious or political affiliation is prohibited.

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

**3.34****farmer group**

an association consisting of legally registered cocoa farmers/ producers.

**3.35****farmer premium**

funds payment to a registered farmer (3.63) for sustainably produced cocoa in addition to the actual price for equivalent cocoa.

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

Note 2: Farmer premium is 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: The Recognized Entity also benefits from this farmer premium.

**3.36****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 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.

**3.37****first buyer**

initial player in the supply chain that purchases sustainable cocoa from the certificate holder .

**3.38****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

**3.39****forest degradation**

reduction in tree biomass density due to natural or human-induced causes such as logging, forest fires, windfalls and other events.

**3.40****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.

**3.41****habitat**

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

**3.42****harassment:**

a series of repeated hostile acts aimed at psychologically and/or physically weakening the victim.

**3.43****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 (3.9)

**3.44****hired agricultural worker**

agricultural worker (3.2) employed for agricultural activities and paid for the execution of these activities.

Note 1: A hired worker (3.44) is distinct from a family labourer.

Note 2: This may also include paid working groups.

**3.45****homologated fertilizer**

fertilizer (3.36) which is authorised for usage by an approved authority.

**3.46****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.

**3.47****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.

**3.48****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].

### **3.49 management**

coordinated activities to direct and control a Recognized Entity (3.63).

Note: Management (3.50) can include establishing policies (3.59) and objectives (3.56) and processes (3.61) to achieve these objectives.

### **3.50 management systems**

set of interrelated or interacting elements of recognised entity (3.63) to establish policies (3.59) and objectives (3.56) and processes (3.61) 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.

### **3.51 man-made**

phenomena that may be the result of the presence or agency of a human being.

### **3.52 measurement**

process to determine a value

### **3.53 monitoring**

determining the status of a system (3.76), a process (3.61) or an activity.

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

### **3.54 nonconformity**

non-fulfilment of a requirement (3.67).

### **3.55 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, Recognized Entity-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).

### **3.56 objective evidence**

data supporting the existence or verity of something

Note 1: Objective evidence can be obtained through observation, measurement, and 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.

### **3.57 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.



**3.58****policy**

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

**3.59****primary forest**

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

**3.60****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.

**3.61****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.

**3.62****recognised entity (farmer as an entity/farmer group/farmer cooperative)**

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives (3.56).

Note: The concept of Recognized Entity includes farmer cooperative, individual cocoa farmer (3.31) and farmer group (3.34)

**3.63****registered farmer**

individual cocoa farmer or who is part of a Farmer Group (3.34)/Farmer Cooperative (3.33) and is recognized by the Regulator/Legal Entity (3.66).

**3.64****regular hired worker**

agricultural worker (3.2) employed over several periods of time by the same farmer/employer to perform agricultural activities.

**3.65****regulator/legal entity**

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

**3.66****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 Recognized Entity 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.

**3.67****resilience**

capacity of people or recognised entity (3.63) to anticipate, prepare for, respond and adapt to and recover from changes, stresses and shocks.

**3.68****risk**

effect of uncertainty on objectives (3.56).

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.

### 3.69

#### **risk inventory**

identification of risks (3.69) that might occur within the local context of the Recognized Entity (3.63).

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

Note 2: The local context includes the activities of the Recognized Entity (3.63) and registered farmers (3.64).

### 3.70

#### **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.

### 3.71

#### **stakeholder**

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

### 3.72

#### **start-up costs of implementation**

up-front investment (i.e. marginal costs to the Recognised Entity (3.63)).

Note: This is distinct from recurring operational costs.

### 3.73

#### **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".

### 3.74

#### **sustainability**

state of a system (3.75), 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.

### 3.75

#### **system**

set of interrelated or interacting elements.

### 3.76

#### **temporary hired worker**

agricultural worker (3.2) employed for a defined period of time to perform agricultural activities during this period.

### 3.77

#### **threatened species**

species declared threatened if it meets at least one of these precise criteria (habitat loss, significant population decline, genetic erosion, overhunting or over-fishing, etc.) defined by the IUCN.

### 3.78

#### **top management**

leadership of recognised entity (3.63). 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.

### 3.79

#### traceability

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

### 3.80

#### wage worker

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

### 3.81

#### worst forms of child labour

worst forms of child labour (3.10) according to ILO Convention 182 are:

- a) all forms of slavery or practices similar to slavery, such as the sale, trafficking of children (3.9), debt bondage and serfdom or compulsory labour, including forced or compulsory recruitment of children for use in armed conflict;
- b) the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances;
- c) the use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs as defined in the relevant international treaties;
- d) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (hazardous work).

Note: Worst forms of child labour a), b) and c) are known as the unconditional forms of child labour and are prohibited without regard to the age of the child, the nature of tasks executed, the conditions and circumstances in which those tasks are executed, etc. Worst forms of child labour that are conditional and have to be defined locally, through the nationally defined list of hazardous work, are captured under d).

### 3.82 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.

#### Guidance

For implementation in Ghana, in addition to the definitions provided in the ARS 1000 series, the following definition(s) apply:

### 3.83

#### forest

a piece of land with a minimum area of 1 hectares, with a minimum tree crown cover of 15% or with existing tree species having the potential of attaining more than 15% crown cover, with trees which have the potential or have reached a minimum height of 5.0 meters at maturity in situ

#### ARS 1000-1

### 4 General requirements

#### 4.1 Understanding Cocoa Farmer as an Entity/Farmer Group/Farmer Cooperative and its context

Cocoa Farmers /Farmer Groups/Farmer Cooperatives 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.

#### Guidance

Different entities can implement this family of standards and apply for certification thereof. A farmer with enough resources to stand on his/her own to meet the ARS 1000 requirements qualifies as an entity. A group of farmers or

farmer cooperative can organize themselves as an entity and obtain the necessary structures and facilities in order to meet the requirements of ARS 1000 and/or apply for certification.

In all cases the entity must determine how to achieve the requirements outlined in the document and what challenges they may encounter while implementing them. The entity must have the required resources to achieve sustainable cocoa production.

### **Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

### **ARS 1000-1**

#### **4.2 Registration of Cocoa Farmer as Entity and individual farmers to become members of Farmer Group/Farmer 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) how confidential information is treated;
  - 2) 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.

### **Guidance**

Before a farmer, farmer group or cooperative is registered and recognized as an entity by the Regulator, for the purposes of the implementation of ARS 1000, COCOBOD shall ensure that the farmer, or the leadership of the

farmer group or cooperative is sensitized and has understood what the objectives of the ARS 1000 standards are, as well as their role, responsibilities and benefits.

#### **Year of Application**

Registration of the Farmer as an Entity/Farmer Group/Cooperative

#### **ARS 1000-1**

#### **4.2.2 Specific communication to farmers considering registration**

Prior to the registration of farmers to become member of the Recognized Entity, 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 Recognized 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/ Farmer 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.

#### **Guidance**

Before a farmer is registered as a member of a recognized farmer group or cooperative for the purposes of the implementation of ARS 1000, the leadership of the farmer group or cooperative shall ensure that the farmer is sensitized and has understood what the objectives of the ARS 1000 standards are, as well as his/her role, responsibilities and benefits.

#### **Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****4.2.3 Registration of farmer and Recognized Entity****4.2.3.1 Process**

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

- a) the registered farmer has been made aware of information specified at the time of registration;
- b) the registered farmer has been made aware of the conditions for leaving the recognised entity;

**Guidance**

the farmer group or cooperative shall keep documented information on the date of sensitization, participating farmers, content of sensitization, name, designation and signature of resource person, in fulfilment of items a & b above.

**Year of Application**

Year 1

**ARS 1000-1****4.2.3.1 Process**

- c) the date of registration of each individual farmer;
- d) a contract has been signed between the Recognised Entity and the registered farmer;
- e) the Farmer as an Entity and the farmer shall establish CFDP with the help of an agronomist and/or of the Farmer Group/ Farmer Cooperative.

**Guidance**

Farmer groups and cooperatives shall keep copies of CFDP and contracts that will include date of registration for each farmer in fulfilment of c – e above.

**Year of Application**

Year 1

**ARS 1000-1****4.2.3.1 Process**

If needed, the Farmer Group/Farmer 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 processes and procedures of the Management System they use;
- b) be owner of the Management Systems' data;
- c) access the Management System and the data within them, regardless of commercial relationships with any parties, e.g. traders;

The data and reports resulting from these Systems can be shared by the Recognized Entity with any actor including other commercial partners.

**Guidance**

The Regulator has vested interest in the use of recognized entity's data with third parties. The Regulator will provide a list of data set which can be shared without permission.

The recognized entity shall be responsible for how the third party uses the data. The Regulator shall respond within 30 calendar days from the date of receipt of the notification. The Regulator shall indicate the format for notifications such as datasets, purpose, intended recipient, etc.

### **Year of Application**

Year 1

### **ARS 1000-1**

#### **4.2.3.2 Information**

The following information shall be obtained and maintained annually for each registered farmer by Recognized 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 living in the household, including gender, date of birth, full names of parents, details of school attendance at the point of registration, (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, if applicable
- m) other crops being grown in the cocoa farm
- n) other information which is necessary

Note 1: The Regulator/ Legal Entity should 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 Recognized Entity.

Note 3: Farmers retain ownership of their individual data. If a farmer leaves the Recognized Entity, this latter shall delete his/her data within two years. In the event that a farmer wishes to become a registered farmer within another Recognized Entity, the Recognized Entity shall provide all of his/her data in a suitable format to the farmer

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

### **Guidance**

In consideration of the fact that by law COCOBOD is the sole seller of Ghana cocoa beans, and is responsible for developing a reliable mandatory national traceability system, the Regulator will obtain and maintain basic data of all recognized entities. The data of each recognised entity with the Regulator shall be used as basic data to develop tailor made database with additional data of interest to the entity.

The additional data can be regularly updated by the recognised entity. The Regulator has vested interest in the use of recognized entity's data (basic and additional) with third parties. The entity shall notify the regulator, before sharing the data with a third party. Where the Regulator determines that the sharing of specific data will have no adverse effect on the national interest, the entity may proceed to share the data.

The recognized entity shall be responsible for how the third party uses the data. The Regulator shall respond within 30 calendar days from the date of receipt of the notification. The Regulator shall indicate the format for notifications such as datasets, purpose, intended recipient, etc.

Structure and mechanism for notification for data sharing to be developed by the Regulator

A third party can access the data of specific recognized entity/entities upon request to the Regulator and the Regulator shall obtain the consent of the recognized entity, except for situations of national interest.

#### **Year of Application**

Year 1

#### **ARS 1000-1**

##### **4.3 Establishing the scope of the cocoa sustainability management system**

a) The Recognized Entity shall set the boundaries and applicability for the cocoa sustainability management system so as to establish its scope.

b) When the Recognized Entity establishes such a scope, it shall consider:

- i. the external and internal issues referred to in 4.1;
- ii. the requirements of the relevant stakeholders referred to in 4.2.

c) The scope of the cocoa sustainability management system implemented by the Recognized Entity shall be available and maintained as documented information.

d) The Recognized Entity shall identify which cocoa farm(s) fall within that scope:

I. In the case where the registered farmer has cocoa farms that are geographically separated from each other, it shall be specified which cocoa farm(s) fall within the scope and which do not.

II. If they are not separated, all cocoa farms will have to be included in the scope. The Recognized Entity shall apply all requirements of the ARS 1000-1 and ARS 1000-2 series of standards according to the level of certification as part of the established scope of the cocoa sustainability management system.

e) The declaration of conformity to the series 1000 Standard, in particular ARS 1000-1 and 1000-2 are only acceptable if any requirements termed to be inapplicable do not have any impact on the Recognized Entity's capability or responsibility to ensure the conformity of sustainably produced cocoa.

#### **Guidance**

In establishing the scope of the Cocoa Sustainability Management System, the recognized entity shall document the list of districts, societies and farmers registered to participate in the implementation of the ARS 1000 standards and the specific farms of registered farmers.

#### **Year of Application**

Year 1

#### **ARS 1000-1**

##### **5 Leadership**

##### **5.1 Leadership and commitment**

Top management of the Recognized Entity 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 Standard
- b) taking accountability for the effective management of their system;
- c) ensuring that the management policy and objectives are established to direct the Recognized 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.
- g) The Farmer as an Entity/Farmer Group/Farmer Cooperative shall become a Recognized Entity. The License Buying Company (LBC)/Purchaser is not allowed to be a Recognized Entity. Foreign organizations are excluded from operating as a Recognized Entity in the cocoa sector.

#### **Guidance**

The successful implementation of the management system that produces sustainable cocoa depends on the effective commitment of top management. They provide directional leadership for the organization through establishment of policies and guidelines for the farm's operations and continual improvement, providing resources for workers and promoting accountability. They are also responsible for ensuring that the entity meets all regulatory requirements within their operational jurisdiction.

There should be a written management policy approved by the members of the farmer group or cooperative.

#### **Year of Application**

Year 5

#### **ARS 1000-1**

### **5.2 Policy**

#### **5.2.1 Management policy**

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

#### **Guidance**

Top management is made up of persons who are involved in final decision making of the entity such as the board/executives of a cooperative or farmer group. They are responsible for providing all the necessary structures and resources to ensure that the recognized entity can meet the requirements of this standard.

Management policy that meets the Recognized Entity's responsibility to respect and protect human rights and the environment may be embedded in the management policy stated in 5.1 above.

#### **Year of Application**

Year 5

#### **ARS 1000-1**

### **5.2.2 Policy's communication**

The management policy shall be:

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

**Guidance**

The recognized entity shall provide a documented plan and keep documented information on the date of sensitization, participating farmers, content of sensitization, name, designation and signature of resource person, in fulfilment of item b above.

**Year of Application**

Year 5

**ARS 1000-1****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 Recognized Entity.

**5.3.2** Top management shall ensure that assignment of leadership positions within the Recognized Entity and roles within the Management System 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 Recognized Entity 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 Recognized Entity's Management System 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 Standard, including commitments specified in individual cocoa farm development plan (CFDPs);
- c) reporting on the performance of the Recognized Entity's Management System 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 PDCA and monitoring the attainment of these objectives.

Dependent on the size, complexity and geographical disparity of the Recognized Entity, 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 Recognized Entity's management structure, shall be made available throughout the Recognized Entity.

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

**Guidance**

In addition to the organogram, the recognized entity shall have a list of roles, description of the roles, names of responsible persons. These shall be communicated within and understood throughout the Recognized Entity. The recognized entity shall keep documented information on the date of sensitization, content, participants' name & signature/thumbprint, resource person's name, designation & signature, in fulfilment of item 5.3.1 above. The organization shall have a documented recruitment policy in fulfilment of item 5.3.2 and 5.3.3. This recruitment policy may be embedded in the management policy in 5.1

The recognized entity shall have a capacity building plan and keep documented information on the date of capacity building sessions, content, participants' name & signature/thumbprint, resource person's name, designation & signature, in fulfilment of item 5.3.4 (b) above.

**Year of Application**

Year 5

**ARS 1000-1**

**6 Planning for Recognized Entity Management System**

**Guidance**

The Recognized entity should have Internal Management System (IMS) in place to ensure continual improvement through the principle of the Plan, Do, Check, Act cycle. The general principles of a functioning IMS are:

- A documented description of the IMS (manual approved by the General Assembly)
- A documented management structure
- Person responsible for the IMS
- An internal regulation to ensure compliance
- Identified internal inspectors
- Training of the person responsible and the internal inspectors
- Annual inspections and reports, and feedback to the members
- Use of internal sanctions
- Regularly updated members list
- Use of risk assessment to address risks and threats to the integrity of the IMS

The Roles and responsibilities of each team member within the IMS should be clearly indicated and their capacity built.

Evidence of implementation includes:

- Records of training and attendance for IMS team. (Documented information on the date of training, list of participants, content of sensitization, name, designation and signature of resource person)
- IMS Manual
- Targets set by Recognized entity
- Assessment report by Leadership

**Year of Application**

Year 5

**ARS 1000-1**

**6.1 Risk and opportunities**

When planning for the Recognized Entity's Management System, the Recognized Entity shall determine risks to the System and put in measures to address the risks. They shall also look out for opportunities for improvement and implement them.

**Guidance**

The recognized entity shall determine risks to its management system and opportunities for improvement using an appropriate tool. An example of such a tool can be found in Appendix 1.

**Year of Application**

Year 5

**ARS 1000-1**

**6.2 Management objectives**

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

**Guidance**

The management policy developed in fulfilment of clause 5.1 (c) and 5.2.2 (b).

**Year of Application**

Year 5

**ARS 1000-1****7 Support for Recognized Entity's Management System****7.1 Resources****7.1.1 General**

The Recognized Entity 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 Recognized Entity's Management System in a clear and transparent way.

The services and costs of buyers or other interested parties must be negotiated without this constituting a condition of purchase.

Note 1: The services concerned are those listed in Annex B of this Standard.

Note 2: Financing can be negotiated for the start-up costs of implementation.

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.

**Guidance**

Recognized entities shall have written agreements with buyers and others who wish to provide support/services to farmers. Such agreements shall not tie purchases of the entity's produce to support/services rendered. Agreements shall be approved by farmers in the group or cooperative such as through the General Assembly. Copies of such agreements shall be lodged with the Regulator. Protocols governing such agreements shall be documented in the recognized entity's management policy.

The regulator should put in a system that will enable the investor to recover the cost of investment.

**Year of Application**

Year 5

**ARS 1000-1****7.1.2 Cost identification and recovery mechanisms**

The Recognized Entity shall provide a clear costs identification table for the start-up cost of implementation and recurring cost to achieve and maintain conformance to this Standard at Recognized Entity's level as well as at the level of the registered farmer. The Recognized Entity shall use the guidance document provided in Annex B for estimating the start-up and recurring costs

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

shall be transparent, fair and provide the Recognized Entity 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: Any support/financing to the Recognized Entity with a repayment mechanism is documented, transparent and subject to audit 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 the Recognized Entity.

**Guidance**

The farmer group or cooperative should seek and gain agreement from their members through General Assembly for any repayment plans, prior to submission of the agreement by the recognised entity, to the regulator for approval within 30 days of receipt by the Regulator.

Whatever agreement is reached between the Recognized entity and buyer should be well communicated to the farmers.

**Year of Application**

Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****7.2 Competence**

The Recognized Entity shall:

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

**Guidance**

Person(s) authorized to conduct the cocoa farm diagnosis and establish the Cocoa Farm Development Plan shall be literate with a minimum of 5 years' experience for a mere literate or senior high graduate with minimum of 1 year experience.

The Recognized Entity, as part of its capacity building policy, should ensure that identified or hired staff are trained for cocoa farm diagnosis and CFDP development.

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****7.3 Sensitization**

The Recognized Entity shall ensure that the relevant persons carrying out work under its 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.

**Guidance**

The recognized entity shall keep documented information on the date of sensitization sessions, content, participants' name & signature/thumbprint, resource person's name, designation & signature, in fulfilment of 7.3 above.

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****7.4 Communication**

The Recognized Entity shall at least communicate throughout all levels of the Recognized Entity, the annual work plan.

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

**Guidance**

Recognized entity shall develop annual workplans and have a feedback mechanism including hotlines, focal persons for receiving complaints, complaint form (including means for anonymous complaints), log book, grievance committee, grievance resolution, etc. Workplans and feedback mechanism should be communicated throughout the entity and records of such communication kept.

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****7.5 Documented information****7.5.1 General**

The Recognized Entity's Management System 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 Recognized Entity shall ensure proper documentation and dissemination of information on all issues relating to sustainable cocoa farming.

**Guidance**

A list of required information to be disseminated and records kept is in Appendix 2.

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****7.5.2 Control of documented information**

Documented information required by this Standard 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 Recognized Entity to be necessary for the planning and operation of the Farmer Group Management System, 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 Recognized Entity on all documented information.

**Guidance**

The entity shall designate a focal person for document control. The entity shall document its procedure in fulfilment of 7.5.2 (a) – (f). The recognized entity shall provide training to focal person and all persons who have access to and handle documented information. The date of training sessions, content, participants' name & signature/thumbprint, resource person's name, designation & signature, shall be documented.

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****8 Operational activities****8.1 Annual work plan for the Recognized Entity**

The Recognized Entity 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 Recognized Entity is first to be considered.

Note 2: The developed work plan is practical and conforms to the common practices of the Recognized Entity.

Note 3: Training and mentoring on the work plan are provided to the Recognized Entity.

**Guidance**

The work plan should include all activities relevant for the recognized entity to achieve compliance to the standard. The recognized entity shall keep documented information on the date of sensitization sessions on the workplan, content, participants' name & signature/thumbprint, resource person's name, designation & signature, in fulfilment of 8.1 above.

**Year of Application**

Year 5

**ARS 1000-1****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/ Farmer 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 fulfil 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/Farmer Cooperative.

**8.2.1 Cocoa Farm Development Plan (CFDP) Diagnosis****8.2.1.1 Farmer Group/ Farmer 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/ Farmer 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/Farmer 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. These options relate to good agricultural practices within or outside the framework of the rehabilitation or replanting of the farm. The registered farmer shall decide on the activities and investments to be included and documented in the CFDP (see Annex B and C).

**Guidance**

For diagnosis of soil condition, observation is an acceptable mechanism for assessing soil condition. Based on poor or declining yield history, soil test should be carried out. (See item 13, Table C.2, Annex C)

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1**

**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. These options relate to good agricultural practices within or outside the framework of the rehabilitation or replanting of the farm. 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).

**Guidance**

For diagnosis of soil condition, observation is an acceptable mechanism for assessing soil condition. Based on poor or declining yield history, soil test should be carried out. (See item 13, Table C.2, Annex C)

**Year of Application**

During 12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1**

**8.2.2 Implementing CFDP**

The Recognized Entity 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.

**Guidance**

The recognized entity shall keep documented information on the date of coaching sessions, content, participants' name & signature/thumbprint, resource person's name, designation & signature, in fulfilment of 8.2.2 above. Each farmer shall begin implementation of their CFDP after initial certification. On-farm coaching shall be audited during re-certification in year 5.

**Year of Application**

Year 1

**ARS 1000-1**

**8.2.3 Assessing the CFDP**

The Recognized Entity and each registered farmer or hired workers, where applicable, shall assess the cocoa farm development performance against their CFDP. The observation points applied for the audit of cocoa farms should be included in the audit. Based on the assessment, the Recognized Entity and the registered farmer shall determine, agree on and document improvements and any actions needed to fulfil the CFDP and/or modify its content.

Note 1: The Regulator/Legal entity put in mechanisms to assist the Recognized Entity to achieve their objectives.

Note 2: Evaluation is performed by the Farmer Group/Farmer 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.

#### Guidance

During annual internal audits, assessment of the performance of the cocoa farm development can be carried out. The recognized entity should provide resources for addressing generic challenges identified among members of farmer groups or cooperatives.

#### Year of Application

Year 1

#### ARS 1000-1

### 9 Performance evaluation

#### 9.1 Monitoring and measurement

The Farmer as an Entity shall determine:

- a) what needs to be monitored and measured for 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 Recognized Entity shall monitor and measure the progress in implementing the annual plan.

Top management shall review the Recognized Entity annual plan Management System, at least once in twelve (12) months, to ensure its continuing suitability, adequacy, and effectiveness.

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

#### Guidance

The recognized entity should monitor and measure the activities and targets set out in the annual workplan.

The leadership of the Recognized entity should set targets on implementation of the management system to assess progress made on annual basis drawing lessons from internal and external audits as well as the implementation of Cocoa Farm Development Plans. The recognized entity should as part of its annual workplan indicate when such assessment would be conducted together with the timelines for the releasing of the monitoring report. The Leadership of the organization should report the progress made to the General Assembly.

Evidence of monitoring and measurement may be provided through:

- Monitoring and results framework
- Training and attendance for person(s) responsible
- Monitoring report

#### Year of Application

Year 5

**ARS 1000-1****9.2 Internal audit**

The Recognized Entity 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 Recognized Entity 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 Recognized Entity and the results of previous audits;
- b) ensure that the results of the internal audits are reported to top management;
- c) Undertake the necessary corrections to eliminate detected non-conformities, and on the basis of an analysis of causes, take appropriate corrective actions within a reasonable period of time;
- d) retain documented information as evidence of the implementation of the internal audit;
- e) identify opportunities for improvement

**Guidance**

The recognized entity should develop an Internal audit checklist that would cover the requirements of the standard and conduct an audit to assess its members annually. The Recognized entity should identify and train the Internal auditor and Approval and Sanction committee on the standards, the audit checklist and other relevant topics such as cooperative management etc. The Internal auditors and Approval and Sanction committee members would sign *conflict of interest forms* to ensure that they are very objective in their assessment and also declare any form of relationship that could compromise the performance of their duty.

Farmers would be informed about the internal audit to avail themselves for the exercise and also be assured of the confidentiality of their information (should be captured on the audit forms). Every farm under the scope of the cocoa sustainability management system of the recognized entity would be audited and farmers interviewed based on the requirement checklist. After the audit and interview, farmers would be provided a feedback based on their performance and dates for implementing corrective measures of non-conformities agreed with the farmer. The farmer would then be required to sign/thumb print the internal audit forms.

The Approval and sanction committee would then review all audit forms and indicate whether they are fully approved, partially approved or not approved. The committee's report would recommend which farmers need to be closely monitored and provided additional support to address the identified NCs. The final report would then be submitted to the Leadership of the recognized entity. Evidence for complying with this requirement includes:

- Appointment letters of Internal auditors and Approval and Sanctions committee members together with their qualifications
- Training reports and attendance
- Signed conflict of interest forms
- Completed Internal audit forms
- Report of the Approval and Sanction committee highlighting the general performance, key NC's identified and steps taken to correct the identified NCs, opportunities, etc.

**Year of Application**

Before the initial certification audit of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****9.3 Management review****9.3.1 General**

Top management shall review the Recognized Entity'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 Recognized Entity's Management System;
- 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) non conformities 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.

**Guidance**

The Leadership of the recognized entity should review the performance of the entity on an annual basis and present a report to the General Assembly.

**Year of Application**

Year 5

**ARS 1000-1****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 Recognized Entity shall retain documented information as evidence of management reviews.

**Guidance**

The management review report should capture all the programmes of the recognized entity implemented within the year against the planned programmes. Specifically, it should capture compliance performance (internal and external audits), identified NCs and steps taken, income generated by the organization, projects implemented (status of each project indicated), partners and their role and specific support provided within the year as well as their feedback, opportunities, feedback to partners and commitments to continuous improvement.

Evidence could include:

- Management review report. (This should be a part of the Annual report with details on progress of the organization)
- General Assembly Minutes and Attendance

**Year of Application**

Year 5

**ARS 1000-1**

### 9.3.3 Feedback to the Recognized Entity

The Recognized Entity 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.

**Guidance**

The recognized entity should have a system that allows members/hired workers to feel safe to provide feedback to the leadership of the organization without fear of victimization. This may include the use of a suggestion box, call centres/phone call, WhatsApp, etc. Records of this feedback should be received by a dedicated staff or team and forwarded to the leadership of the Recognized entity for action, where necessary, and treated in confidence.

The Recognized entity should keep records of feedback in a register/file indicating the dates of the feedback, who received the feedback, action(s) taken and any communication to the provider of the feedback.

The leadership of the recognized entity should take steps to ensure that members are well informed about the opportunity to provide feedback on the operations of the organization and assurance provided on the confidentiality and non-victimization for providing such feedback.

Evidence of compliance includes:

- Committee/Person responsible for handling feedback (appointment)
- Grievance procedure
- Evidence of communication to members (report, attendance. etc.)
- Example of mechanism (complaint forms, WhatsApp number, call centre etc.)
- File/Register

**Year of Application**

Year 5

**ARS 1000-1**

### 10 Improvement for Management System

The Recognized Entity shall determine and select opportunities for improvement, generate and specify relevant performance objectives and implement necessary actions.

The Recognized Entity shall continually improve the suitability, adequacy, and effectiveness of its Management System.

**Guidance**

This provision can be complied with through management reviews in clause 9.3.

Evidence

- Management Review report.

**Year of Application**

Year 5

**ARS 1000-1**

### 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 Recognized Entity 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 Recognized Entity and the registered farmer.

Training, coaching and other support activities provided by Farmer Group/ Farmer 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 Recognized Entity shall establish key indicators to measure their performance over time.

#### **Guidance**

The Regulator would provide a policy and strategy for production of sustainable cocoa beans towards improving living conditions of Ghanaian farmers. The strategy would highlight steps to increase productivity including the provision of the right services and training such as pruning, spraying, cocoa farm rehabilitation, agroforestry practices coaching and where possible support farmers to access inputs, etc.

The strategy should also indicate steps to increase income through additional livelihood interventions by providing training and support to members to venture into areas such as cocoa by-products in addition to cocoa bean production.

Recognized entities need to develop their workplans in line with relevant provisions of the national sustainability policy and strategy. Workplans should be reviewed annually to assess the level of progress.

The recognized entity should provide coaching and support to its members to increase their efficiency. It would help to analyze the cost of production against the income of members and proffer the right advice. This may be achieved through farmer business schools. The recognized entity with support from the Regulator through the Farmer Business School (FBS) should provide training to registered farmers in entrepreneurial and managerial skills, taking into account their level of education and competence.

The Recognized entity may also work with partners to access market opportunities that could generate additional revenue to the benefit of members.

Evidence of compliance includes:

1. Annual Workplan
2. Report and attendance of training/communication to members
3. Management review report

#### **Year of Application**

Year 5

#### **ARS 1000-1**

##### **11.2 Capacity building on accounting and enabling access to financial credits**

- a) The Farmer Group/ Farmer 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/ Farmer 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/ Farmer Cooperative should liaise with registered farmers and determine the need for financing. The Farmer Group/ Farmer 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

#### **Guidance**

The Recognized Entity should provide training on financial management for staff and leadership of the Recognized Entity. The training should also be extended to members with focus on book keeping, savings, etc. The Recognized Entity should take steps to encourage members to keep records of their production activities through farmer business school concepts. The Recognized entity should have a system for aggregating data through these farm records and properly analyzing them.

This should help the Recognized entity approach financial institutions, service providers and input suppliers to provide services/inputs to its members. The Recognized Entity should assist registered farmers to document their engagement with inputs suppliers and financial institutions. Where possible, the Recognized entity should take steps to procure inputs in bulk and distribute to members using various payment mechanisms.

*The Regulator may provide some support through the implementation of national level programmes such as Productivity Enhancement Programmes (PEPs).*

#### **Year of Application**

Year 10

#### **ARS 1000-1**

### **11.3 Farm agronomic performance and good agricultural practices**

#### **11.3.1 New farm establishment**

a) The Recognized Entity shall ensure that hired workers/registered farmers are provided with information on applicable requirements on rural and agricultural development plans.

b) The Recognized Entity shall advise hired workers/registered farmers on the suitability of production of cocoa beans on the intended field(s).

#### **Guidance**

Such engagements should be documented as evidence of compliance and should include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.

#### **Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

#### **ARS 1000-1**

### **11.3.2 Planting material**

a) The Recognized Entity 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 Recognized Entity shall ensure the competence of hired workers/registered farmers on good agricultural practices related to planting material.

#### **Guidance**

The Recognized Entity should provide education on good agricultural practices with respect to planting materials to hired workers/registered farmers. The recognized entity should link registered farmers to approved sources of planting materials.

Such engagements should be documented as evidence of compliance and should include the date of engagement, content, participants' name & signature / thumbprint, resource person's name, designation & signature. An

alternative source of evidence may be distribution records of the recognized entity of bulk acquired planting materials from approved sources.

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1**

**11.3.3 Soil management**

- a) The Recognized Entity 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 Recognized Entity, where needed, should ensure that hired workers/registered farmers have access to homologated fertilizer.
- c) The Recognized Entity shall promote practices to avoid soil erosion.
- d) For proper soil management, the Recognized Entity are encouraged to do soil analysis prior to application of fertilizer.

**Guidance**

The Recognized entity should provide training in integrated soil fertility management to hired workers/registered farmers and also provide them with a list of approved fertilizers and sources. The Recognized entity should ensure that soil analysis is carried out including observation and yield history prior to fertilizer application. However, laboratory test of soil sample could be done when observation and yield history are not sufficient to determine soil fertility.

Evidence of compliance:

- Training should be documented as evidence of compliance and should include the date of engagement, content, participants' name & signature / thumbprint, resource person's name, designation & signature.
- List of approved fertilizers
- Soil analysis reports (observation, yield history and/or laboratory test)

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1**

**11.3.4 Maintenance of cocoa trees**

The Recognized Entity shall ensure the competence of hired workers/registered farmers on the maintenance and rehabilitation of cocoa and shade trees.

**Guidance**

It is the responsibility of the recognized entity to build the capacity of its members and workers to carryout maintenance and rehabilitation of farms. However, they may seek support from the Regulator.

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1**

**11.3.5 Use of agrochemicals**

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

**Guidance**

The recognized entity should provide hired workers/registered farmers with sources of acquisition of agrochemicals approved by the Regulator.

The Regulator should provide an updated list of approved agrochemicals annually.

The Recognized Entity should provide training in integrated pest and disease management and sensitize hired workers/registered farmers on the safe use and handling of spraying equipment and approved agrochemicals. The recognized entity may seek support from the Regulator for such training. Training should include:

- the monitoring of pests and diseases;
- alternative ways to control pests and diseases;
- preventive measures against pests and diseases;
- measures to avoid pests and diseases that build up resistance to pesticides.
- safe use and handling of spraying equipment

Evidence of compliance:

- Such training should be documented as evidence of compliance and should include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Updated list of approved agrochemicals

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****11.3.6 Harvest**

The Recognized Entity 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 Recognized Entity shall ensure the competence of hired workers/registered farmers on good pod- breaking techniques.

**11.3.8 Post-harvest — Fermentation**

The Recognized Entity 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/ Farmer Cooperative level, the Recognized Entity 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) Recognized Entity 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.

If cocoa beans are dried artificially, the Recognized Entity 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 Recognized Entity shall ensure the competence of hired workers/registered farmers on proper packing and storage techniques and materials.

b) The Recognized Entity 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 Recognized Entity shall ensure approved sacks and bags are made available to hired workers/ registered farmers. *(This requirement does not apply in Ghana.)*

d) The Recognized Entity shall ensure that cocoa beans are bagged and stored under appropriate conditions, including pest control measures.

#### Guidance

The Recognized entity should provide training in harvesting and post-harvest techniques to hired workers/registered farmers and also liaise with the Regulator for guidance.

Such training should be documented as evidence of compliance and should include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature. This may include a group photo of the training participants.

#### Year of Application

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

#### ARS 1000-1

##### 11.3.11 Resilience and diversification of production

a) The Farmer Group/ Farmer Cooperative shall raise awareness on the use of diversified crops.

b) The Farmer Group/ Farmer Cooperative shall do an assessment on the outcome of crop diversification programs at the registered farmer level

c) The Farmer Group/ Farmer 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/ Farmer Cooperative shall raise awareness among registered farmers of the potential impact of climate change.

e) The Farmer Group/ Farmer Cooperative shall provide training and other support to assist registered farmers adapt to new climatological conditions where applicable.

f) The Farmer as an Entity shall be aware of the use of diversified crops and implement 11.3.11(b) to 11.3.11(d). The Farmer as entity/Farmer group/Farmer cooperative shall provide training and other support to assist hired workers adapt to new climatological conditions where applicable.

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

#### Guidance

The recognized entity should provide training in climate smart agriculture and farm diversification. Diversification is important but it should be oriented towards either household food security or markets or both

Evidence of compliance:

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Risk Assessment (could be included in management review reports)
- Outcome of crop diversification programme (could be included in management review reports)
- Support to assist hired workers adapt to new climatological conditions. (May be captured in workplan)

#### Year of Application

Year 5

#### ARS 1000-1

##### 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.

**Guidance**

Consult and review private standards in the development of risk assessment tool. A risk assessment tool can be found in Appendix 1 for information only.

**Year of Application**

Year 1

**ARS 1000-1****12.2 Human rights policy**

- a) The Recognized Entity shall ensure that a risk inventory is made of human rights issues.
- b) The Recognized Entity shall ensure that hired workers/registered farmers are aware of human rights.
- c) The Recognized Entity shall ensure that no adverse human rights impacts shall be caused or contributed by the Farmer as an entity/Farmer Group/Farmer Cooperative's activities. The Farmer as an entity/Farmer Group/Cooperative shall ensure that any such impacts that occur will be addressed.
- d) The Recognized Entity shall establish, implement and maintain a human rights policy adapted to the context of the Recognized Entity. 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 Recognized Entity or its contribution to them.
- e) The Producer as an Entity/Group of Producers/Cooperative must promote human rights among its employees and registered producers

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

- Develop the human rights policy and the action plan, within 12 months of registering the recognized entity
- Implement the human rights policy action plan over the 5 years following the initial certification audit-

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

**Guidance**

A risk assessment tool can be found in Appendix 1 (for information only) to cover 12.3 to 12.10. The deployment of this tool during internal audits is recommended. The recognized entity should provide training and sensitization on human rights.

Evidence of compliance:

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Human rights policy

Cocoa Extension Agents / Research Officers/ Recognised Private sector agents trained in human right issues would be assigned as dedicated officers for human rights issues at the community levels. Other dedicated officers at the district, regional and national levels will be assigned to handle human rights issues.

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****12.3 Prevention of discrimination, harassment and abuse**

The Recognized Entity 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 Recognized Entity shall ensure that no hired worker/registered farmer shall be subjected to corporal punishment, mental or physical coercion, or verbal abuse.
- b) The Recognized Entity 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 Recognized Entity 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 Recognized Entity 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 Recognized Entity shall actively promote the social inclusion of disadvantaged/minority groups within its activities.

**Guidance**

The recognized entity should provide training and sensitization on prevention of discrimination, harassment and abuse.

Evidence of compliance:

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Human Rights Policy
- Action plan (including prevention of discrimination, harassment and abuse)
- Grievance procedure

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****12.4 Gender equality and women and youth empowerment**

- a) The Recognized Entity shall ensure that a risk inventory is made of gender and youth related issues.
- b) The Recognized Entity shall develop a Gender and Youth Action Plan based on the results of the Gender and Youth Stocktaking exercise.
- c) The Recognized Entity shall implement the gender/youth action plan.
- d) The Recognized Entity shall ensure that top management is knowledgeable in gender and youth related issues.
- e) The Recognized Entity shall ensure hired workers/registered farmers, management and the employees, both women, men and youth, are aware of gender-related issues.
- f) When training courses are offered, the Recognized Entity shall ensure equal access for women, men and youth, including the spouses of hired workers/registered farmers.
- g) When training courses are offered, the Recognized Entity shall ensure that women and youth's participation is stimulated, including the spouses of hired workers/registered farmers.
- h) The Recognized Entity shall work towards ensuring that women and men receive equal opportunities and equal remuneration for equal work.

Note: The Recognized Entity develops an affirmative action plan that rewards women and youth for owning farm land.

**Guidance**

See Appendix 1 for an example of a risk assessment tool.

The recognized entity should provide training and sensitization on gender equality and women and youth empowerment to its top management, hired workers and registered farmers.

Evidence of compliance:

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Human Rights Policy
- Action plan (including gender equality and women and youth empowerment)
- Grievance procedure

**Year of Application**

Year 5

**ARS 1000-1****12.5 Children's rights**

- a) The Recognized Entity shall comply with the Regulator/Legal Entity's policy on the children's rights and commit to respecting children's rights.
- b) The Recognized Entity shall ensure that a risk inventory is made of children's rights issues.
- c) The Recognized Entity 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 Recognized Entity shall take the necessary measures to prevent risks and remedy cases of child abuse, exploitation or damage, including activities that take place on one or more farms and within the Farmer Group/Farmer Cooperative.
- e) The Recognized Entity shall ensure the protection and safety of children in its activities, including activities taking place on the farm(s) and within the Farmer Group/Farmer Cooperative.
- f) The Recognized Entity 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 Recognized Entity shall ensure hired workers/registered farmers and employees are knowledgeable on children's rights.
- h) The Recognized Entity 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.

**Guidance**

See Appendix 1 for an example of a risk assessment tool.

The recognized entity should provide training and sensitization on children's rights to its top management, hired workers and registered farmers.

Evidence of compliance:

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Human Rights Policy
- Risk Assessment
- Action plan (including children's rights)
- Grievance procedure
- Issues/Incidence register

Define or explain issues and incidence register

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1**

**12.6 Child labour and worst forms of child labour**

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

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

**Guidance**

The recognized entity should have a system for identifying, monitoring and remediating cases of child labour and the worst forms of child labour. Monitoring and remediation should be done for high-risk farmers.

Risk assessment should be carried out periodically (every two and half years before a major audit is conducted for the recognized entity). See Appendix 1 for an example of a risk assessment tool.

The recognized entity should provide training and sensitization on child labour to its top management, hired workers and registered farmers.

Evidence of compliance:

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Human Rights Policy
- Risk Assessment
- Action plan (including children's rights)
- Grievance procedure
- Issues/Incidence register
- Hazardous Activities Framework (HAF) (It may be in a pictorial format)

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1**

**12.7 Employment and contractual relations**

- a) The Recognized Entity shall ensure that each registered farmer keeps records of all workers on his/her farm.
- b) The Recognized Entity shall establish and implement a policy on forced labour and shall ensure that no one is engaged to work under compulsion.

- c) The Recognized Entity shall ensure that no identity document(s) is withheld from hired workers/registered farmers or from employees.
- d) The Recognized Entity 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 Recognized Entity 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/ Farmer Cooperative.
- f) The Recognized Entity 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/Farmer Cooperative.

**Guidance**

Evidence of compliance:

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Human Rights Policy
- Records of workers on farms (Number, gender and age of salaried agricultural workers)
- Grievance procedure
- Issues/Incidence register
- Written contracts, if available. (Evidence for oral contracts can be obtained through interviews)

**Year of Application**

Year 5

**ARS 1000-1****12.8 Occupational health and safety**

- a) The Recognized Entity shall ensure that an inventory is made of occupational health and safety risks within the Farmer Group/ Farmer Cooperative and at farm level.
- b) The Recognized Entity shall ensure that an action plan is made to address the issues identified in the inventory on occupational health and safety.
- c) The Recognized Entity shall implement the action plan on occupational health and safety.
- d) The Recognized Entity 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 Recognized Entity shall ensure the health and safety competence of hired workers/registered farmers operating in hazardous conditions.
- f) The Recognized Entity 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.

**Guidance**

The Recognized entity may identify and train workers for hazardous work and provide them with personal protective equipment to work for registered farmers. Registered farmers may also identify and train their workers for hazardous work and provide them with personal protective equipment.

For hazardous work/services provided by the Regulator, personal protective equipment for the workers will be provided by the Regulator.

See Appendix 1 for an example of a risk assessment tool.

The recognized entity should provide training and sensitization on occupational health and safety to its top management, hired workers and registered farmers.

Evidence of compliance:

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Human Rights Policy
- Risk Assessment
- Action plan (including health and safety)
- Grievance procedure
- Posters and Pictograms
- PPE distribution records

**Year of Application**

Year 10

### ARS 1000-1

#### 12.9 Social security systems

- a) Where applicable, the benefits of available social security / welfare schemes shall be provided to the employees of the Recognized Entity
- b) The Recognized Entity 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.

#### Guidance

The Regulator has instituted a national cocoa farmers pension scheme. All cocoa farmers should ensure that their cocoa is sold in their names so as to benefit from the scheme.

Where the recognized entity employs fulltime staff, the entity shall comply with national regulation in paying for the social security of such staff.

Evidence of compliance:

SSNIT Clearance certificate, if available  
Pay slip of staff,

**Year of Application**

Year 10

### ARS 1000-1

#### 12.10 Freedom of association and collective bargaining policy

- a) The workers of the Recognized Entity 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 Recognized Entity.
- c) The workers of the Recognized Entity shall not suffer retaliation, discrimination or other adverse consequences if its members establish or join a Recognized Entity or engage in collective bargaining.
- d) The Recognized Entity shall inform the workers, either through individual letters or through wide distribution, of:
- i. their right to establish and join a workers' Recognize Entity,
  - ii. their right to participate in collective bargaining.

**Guidance**

Freedom of association and collective bargaining should be included in the recognized entity's policy and its registered farmers/hired workers sensitized. Sensitization should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.

Evidence of compliance:

- Human rights policy
- Grievance procedure
- Signed commitment, if available
- Letters, if available

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****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.

**Guidance**

The recognized entity should have an environmental policy. This may be included in the organizations internal management system manual. The Regulator should provide a template of environmental policy.

**Year of Application**

Year 1

**ARS 1000-1****13.2 Protection of water bodies**

- a) The Recognized Entity 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 Recognized Entity shall ensure that a distance of at least 10 meters covered by native vegetation from new cocoa trees to water bodies is maintained,
- c) The Recognized Entity shall ensure that hired workers/registered workers are knowledgeable about water protection requirements, taking into account the local context.
- d) The Recognized Entity 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.



**Guidance**

The recognized entity should ensure that registered farmers clearly demarcate the boundaries of their farms from water bodies. Demarcation may be achieved through the use of buffer strips (plastic or red fabric), planting of shrubs, etc.

The Recognized entity should take steps to plant forest tree species, shrubs and other tree species native to that environment, without the use of agrochemicals, if the buffer zone (of not less than 10 meters from a water body) is bare.

The recognized entity should provide training on protection of water bodies.

Evidence of compliance”

Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.

**Year of Application**

Year 10

**ARS 1000-1****13.3 Requirements for administration and safe storage of agrochemicals**

The Recognized Entity 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 Recognized Entity shall ensure the competence of the person or people handling and storing agrochemicals.
- b) The Recognized Entity 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 Recognized Entity 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 Recognized Entity shall ensure that documented information on agrochemical application (e.g. farmer booklet) is retained.
- e) The Recognized Entity shall ensure that no expired agrochemicals are used.
- f) The Recognized Entity shall ensure that children, pregnant women, breastfeeding women and people with respiratory illnesses do not handle agrochemicals.
- h) The Recognized Entity shall ensure that agrochemical containers are properly closed during storage and transportation to prevent spillage.
- i) The Recognized Entity shall ensure that dedicated storage facilities for agrochemicals are established with ventilation, light and a system for collecting spillages.
- j) The Recognized Entity shall ensure that agrochemical containers are kept away from non-authorized persons, animals and items to be consumed.
- k) The Recognized Entity 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.

**Guidance**

The recognized entity should provide training on safe handling, usage and storage of agrochemicals.

The Regulator shall provide a policy and procedures for safe disposal of expired agrochemicals and empty containers.

Evidence of compliance”

Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.

Authorized list of agrochemicals (name, dosage, timing, mode of applications)

Internal management system manual

Record book (name, dosage, quantity, timing, mode of applications, expiry date)

**Year of Application**

12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative

**ARS 1000-1****13.4 Ecosystem protection**

- a) The Regulator shall provide guidelines for Agroforestry and the number of multipurpose trees to be planted per hectare.
- b) The Recognized Entity 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.
- c) The Recognized Entity 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. (Not allowed in Ghana)
- d) The Recognized Entity shall ensure that no deforestation or degradation of primary forests has occurred as at the date of first release of this African Standard series 1000.
- e) The Recognized Entity 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.
- f) The Recognized Entity shall ensure that no large native trees, that existed prior to the establishment of the farm, are removed on existing farms or when establishing new farms, except when these pose hazards to people, to infrastructure or to the health of the cocoa farm by hosting specific diseases, and where the removal of these specific trees is allowed or recommended by national authorities.
- g) The Recognized Entity 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.
- h) The Recognized Entity 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.
- i) The Recognized Entity 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.
- j) The Recognized Entity shall ensure that no adverse ecological practices are carried out, such as the draining of water bodies or hunting of threatened or endangered animals.
- k) The Recognized Entity shall establish an inventory of existing plant and wildlife species on the farm(s).

Note: National legislation can apply regarding ecosystem protection.

**Guidance**

The recognized entity should provide training on ecosystem protection. The Regulator, Forestry Commission and the Wildlife Division should provide technical support for such trainings.

The Regulator would provide guidelines for Agroforestry and the number of multipurpose trees to be planted per hectare.

As well as providing guidelines for Agroforestry and the number of multipurpose trees, the Regulator would provide diversity of species to be planted per hectare.

The Recognized Entity should ensure that no deforestation or degradation of primary forests has occurred after 31 December 2020.

The Regulator and the Forestry Commission should develop a policy and guidelines on ownership and removal of trees. This may include request from registered farmers/recognized entities to the Forestry Commission to remove/cut trees, facilitated by Ghana Cocoa Board.

The Recognized entity or farmer group should not source from farmers who are farming in protected areas. The Recognized entities should exclude all farmers who grow cocoa in protected areas from their business.

Mapping of trees involves providing GPS location of each tree by the recognized entity.

Evidence of compliance”

Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.

Internal management system manual

Annual workplan

Endangered and threatened species list

Existing plant and wildlife species inventory

GPS coordinates of large native trees and planted trees by the registered farmer

**Year of Application**

Year 10

**ARS 1000-1****13.5 Waste management**

a) The Recognized Entity shall ensure that hired workers/registered farmers are competent on waste management practices pertaining to cocoa production.

b) The Recognized Entity shall ensure that composting of any organic material is carried out in a designated area.

c) The Recognized Entity 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 Recognized Entity shall ensure that expired agrochemicals are treated as hazardous waste.

e) The Recognized Entity shall ensure that empty agrochemical containers are not used for any other purposes.

**Guidance**

The recognized entity should provide training on waste management. The Regulator may provide technical support for such trainings.

The recognized entity should ensure that waste management requirements as stipulated in this Standard are captured in its internal management system.

Where incinerators are available, the recognised entities should use them in disposing of non-organic waste.

Where incinerators are not available, the recognised entity is advised to use improvised incinerators.

The regulator should ensure chemical sellers make arrangements to collect used containers for proper disposal.

Evidence of compliance"

- Training/Engagement should be documented and include the date of engagement, content, participants' name & signature/thumbprint, resource person's name, designation & signature.
- Internal management system manual
- Annual workplan
- Policy and guidelines for sanctions

The Regulator would provide a policy and procedures for safe disposal of expired agrochemicals and empty containers.

***Year of Application***

Year 5

**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 Recognized Entity, Regulator/ legal entity in collaboration with farmers who wish to register.	Through an interview and preferably a visit to the farm.	The Recognized Entity, 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 Recognized Entity, 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
Hiring an Agronomist in charge of the diagnosis and Cocoa Farm Development Plan (CFDP)	Once the Farmer is registered.	Recognized Entity	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 Recognized 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 (2 years and a half).	The Agronomist with registered farmers.	Implement the requirements in this document, and Annex D in ARS 1000 part 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.  Between obtaining Bronze level certificate and the 1 <sup>st</sup> surveillance audit, the Recognized Entity shall

What?	When?	By whom?	How?	Purpose and result?
	Mid-term:	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.	<p>have established a minimum of 20 % CFDP for the registered farmers.</p> <p>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.</p> <p>Five (5) years after obtaining Bronze level certificate: the Recognized Entity shall have established a minimum of 60% CFDP for the registered farmers.</p> <p>Two years and a half (2, 5) after the Silver recertification: the Recognized Entity shall have established a minimum of 80% CFDP for the registered farmers.</p> <p>Five (5) years after the Silver recertification: the Recognized Entity shall have established 100% CFDP for the registered farmers.</p>
Assessing the CFDP.	<ul style="list-style-type: none"> <li>a) During the first initial certification audit : Bronze certification (12 months after the registration of the farmer)</li> <li>b) During the 1<sup>st</sup> surveillance audit (2 years and a half after obtaining the Bronze Certificate</li> <li>c) During the recertification audit: Silver certificate, 5 years after obtaining the Bronze certification.</li> <li>d) During the 2<sup>nd</sup> surveillance audit (7,5 years after obtaining the Bronze Certificate)</li> <li>e) During the recertification audit: Gold certificate (10 years after obtaining the</li> </ul>	Auditors hired by the Recognized Entity	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).

## DGS IG 1: 2023

What?	When?	By whom?	How?	Purpose and result?
	Bronze certificate).			

**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						X	
	Coordinator							
	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			
Office space	X	x		x				
Office furniture	X	x		x				
WI-FI connection	X	x		x				
Training costs	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 labour	X	X		x	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		

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 from previous production at least	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 of cocoa farms 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 (Use of GPS measurement)
	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
Soil	12. Shade management				Observation
	13. Soil condition				Observation/tests
	14. Organic matter				Observation
	15. Fertilizer formulation				Interview through extension
	16. 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, labor, etc.) to reach the level specified in this Standard.	Detailed overview of inputs needed (plant material, fertilizer, labor, 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, labor etc.) to reach the level specified in this Standard.	Detailed overview of cost incurred (planting material, fertilizer, labor, 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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### APPENDIX 1 (INFORMATION)

#### RISK ASSESSMENT TOOL

The checklist below is divided into thematic risk areas, each with a list of potential risks and problems to guide you in identifying risks. The list consists of questions that can be used to identify risks and prepare an appropriate mitigation measure.

<b>SOCIAL ASPECTS</b>							
Thematic Risk Area	Potential risks and problems	Not common	Common	Very common	Not applicable	Who is harmed?	Mitigation measure
<b>Prevention of discrimination, harassment and abuse</b>	The following populations are present on or near the farm or group: Migrant workers; Specific ethnic minorities; Indigenous people; people that do not speak the dominant language in the country and region.						
	The following populations are present on or near the farm or group: Women, disabled, HIV positive.						
	Hired workers/registered farmers are subjected to corporal punishment, mental or physical coercion, or verbal abuse.						
	Management is regularly taking targeted actions to prevent violence and harassment (including sexual harassment).						
	Recognized Entity discusses with its employees, hired workers/registered farmers what constitutes harassment and abuse, and explain that these practices are not acceptable.						

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	All employees, hired workers/registered farmers are informed about the laws protecting individuals against discrimination, harassment and abuse.						
	Gender sensitive grievance procedure is available and regularly communicated to all hired workers and registered farmers						
	Meetings take place among employees, hired workers/registered farmers and their spouses to evaluate activities to prevent harassment and abuse.						
	People from certain tribes are discriminated against, for example in decision making, recruitment or income/pay.						
	Women face discrimination on the basis of their marital or reproductive status.						
	People with a disability are not recruited, even though they could perform well if work methods or work hours & pay were adjusted.						
	Some farmers or workers are discriminated against, for example in decision making, recruitment or income/pay, due to ethnicity, religion, opinion, sexual orientation, disability, health status etc.						
	Payments are only made to male heads of households.						
	Pregnancy or health tests are required as part of job applications.						
	Relying on migrant workers that face a risk of unfair expulsion, without seeking to mitigate this risk.						

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	Some workers are forced to work, e.g. due to a debt to the farmer or recruit agency, or inability of returning home.						
	Proportion of wages are withheld and paid at the end of the year.						
	Migrant workers are made to believe that if they leave employment, they will be reported to authorities or returned to their home country, even though not required by local laws or visa/work permit rules.						
	Recruiters or employers use deceptive or coercive recruitment practices. For example, workers may be led to believe that wages or benefits are significantly better than they actually are.						
	Workers need to pay high fees for documentation, health checks, transportation, clothing or other requirements as part of their recruitment.						
	Workers' identity documents are withheld by their employer.						
	Workers are deceived or threatened to accept terms of employment they do not consent to.						
	Recruitment agencies are widely used but the fairness of their practices is not monitored.						
<b>Gender equality and women and youth empowerment</b>	An updated inventory is kept of gender and youth related issues						

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	The group/farm management has already been taking actions to address gender and/or women and youth empowerment for at least more than a year						
	Female members represent at least 25% of the total number of group members						
	Women are currently equally represented (in relation to the total % of female members or workers) amongst trainers, supervisors, management staff and/or other high-level functions within the group or farm management.						
	Female workers/group members currently equally participating (compared to the total % of female members or workers) in trainings.						
	Wives of male members or other female family workers participate in training activities.						
	Lower wages for women than men.						
	Work is organized so that it causes particular difficulties for women.						
	Women or girls face physical, sexual, verbal or psychological violence, harassment or threats in the field.						
	Gender discrimination in membership, decision-making, recruitment or promotion.						
	Female workers are only given low-skilled work or access to work with little chance of promotion.						

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	Plantation/cooperative offers health services that do not serve women's needs.						
	Women candidates for work need to take a pregnancy test as a condition for recruitment.						
<b>Children's rights</b>	The Recognized Entity keeps an up-to-date risk inventory of children's rights issues						
	The Recognized Entity regularly creates awareness of children's rights among agricultural workers and children of agricultural workers.						
	The Recognized Entity quickly takes the necessary measures to prevent risks and remedy cases of child abuse, exploitation or damage, including activities that take place on one or more farms and within the Farmer Group/Farmer Cooperative						
	The Recognized Entity checks to ensure the protection and safety of children in its activities, including activities taking place on the farm(s) and within the Farmer Group/Farmer Cooperative.						
	The Recognized Entity actively promotes education and school attendance for all children and vocational training for children of a legal working age						
	The Recognized Entity creates awareness and provides training on children's rights among hired						



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	workers/registered farmers and employees.						
	The Recognized Entity encourages vocational training, apprenticeship and employment (excluding hazardous tasks) in agriculture for youth above the legal working age, particularly in sustainable cocoa production.						
	Migrant workers take their children to the farm.						
	Communities do not have a primary school within 1 hour walking distance.						
	Communities do not have or do not organize safe transport for children to go to school.						
	Children do not attend school.						
	Children mainly attend school off season.						
	Schools do not follow up on attendance of children.						
	Members do not have funds to hire workers.						
	Children help with preparation of hazardous work (for example, carrying water for pesticide application).						
	Children use sharp equipment and tools when working on the farm.						
	Children carry heavy loads.						
	Members are very reluctant to report any violation of child rights.						
	National/district level child protection agencies do not exist or have very low resources or training.						

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	National laws and action plans have other gaps or are not implemented.						
<b>Child labour and worst forms of child labour</b>	The Recognized Entity has assessable copies of the regulator’s policy on child labour						
	Recognized Entity communicates child labour policy within the entity and among agricultural workers and make it publicly available						
	Recognized Entity publicly displays a list of applicable hazardous activities among Farmer Group/Farmer Cooperative and among hired workers/registered farmers and their children						
	Recognized Entity disseminates information about the prohibition of hazardous work for children within the Farmer Group/Farmer Cooperative and among hired workers/registered farmers and their children						
	The Recognized Entity has clear guidelines on how to report suspected cases of unconditional worst forms of child labour (that is child trafficking, bonded labour and slave labour) to the relevant authorities.						
	Workers and members are not aware of differences between children helping in the farm to learn and child labour.						
	The Recognized Entity has an updated risk inventory to identify, the possible risks						

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	related to child labour on farms and among the Farmer Group/Farmer Cooperative and in the communities where its hired workers/registered farmers live.						
<b>Employment and contractual relations</b>	The Recognized Entity checks to ensure that each registered farmer keeps records of all workers on his/her farm.						
	The Recognized Entity has documented policy on forced labour						
	Workers are engaged to work under compulsion.						
	Identity document(s) are withheld from hired workers/registered farmers or from employees.						
	Wages of wage workers are paid on a regular basis.						
	The frequency and level of wage payments are clearly communicated at the beginning of employment.						
	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/ Farmer Cooperative.						
	Temporary hired workers receive the working conditions and workers' rights equivalent of regular hired workers, and their contractual agreements are						

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	respected, within the Farmer Group/Farmer Cooperative.						
<b>Occupational health and safety</b>	Updated inventory and action plan kept of occupational health and safety risks within the Farmer Group/ Farmer Cooperative and at farm level.						
	Personal protective equipment is not available.						
	Farmers/workers lack awareness of why or how to use personal protective equipment.						
	Chemicals are used or stored in unhealthy or risky ways.						
	Some work tools or methods cause injuries or frequent accidents.						
	Necessary protective equipment not provided free of charge but deducted from wages.						
	Workers are subjected to physically abusive or humiliating forms of discipline.						
	Sexual abuse or harassment happens at workplace.						
	Pregnant or nursing women are given tasks with considerable health risks.						
	Products that are hazardous to end users' health are produced, processed, transported, manufactured and/or sold.						
	Security services use excessive force or threats to protect company resources, facilities or personnel.						
	Farmers/workers receive no training on hazardous tools,						

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	chemicals and methods and health and safety in general.						
	Farming pollutes water, soil or air, causing ill-health among workers or surrounding communities.						
	Farmers and workers do not have access to clean water to drink, water to wash, and toilets.						
<b>Social security systems</b>	All regular hired workers have access to the benefits of a provident fund or pension scheme, if available.						
	Hired workers are educated on the social security systems available and potential benefits.						
	Hired workers are kept updated on their contributions to the social security scheme						
<b>Freedom of association and collective bargaining policy</b>	Wages and working conditions are not negotiated with legitimate workers' representatives.						
	Trade union members are threatened or face retaliation.						
	Security services prevent peaceful activities by the local community against the company.						
	Workers have no written contracts, as that often makes it more difficult for workers to claim their rights.						
	Some workers are forced to work, e.g. due to a debt to the farmer or recruit agency, or inability of returning home.						
	Proportion of wages are withheld and paid at the end of the year.						

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	Migrant workers are made to believe that if they leave employment, they will be reported to authorities or returned to their home country, even though not required by local laws or visa/work permit rules.						
	Recruiters or employers use deceptive or coercive recruitment practices. For example, workers may be led to believe that wages or benefits are significantly better than they actually are.						
	Workers need to pay high fees for documentation, health checks, transportation, clothing or other requirements as part of their recruitment.						
	Workers' identity documents are withheld by their employer.						
	Workers are deceived or threatened to accept terms of employment they do not consent to.						
	Recruitment agencies are widely used but the fairness of their practices is not monitored.						

### ENVIRONMENTAL ASPECTS

Thematic Risk Area	Potential risks and problems	Not common	Common	Very common	Not applicable	Who is harmed?	Mitigation measure
<b>Protection of water bodies</b>	Wasting water						
	Contaminating surface water						
	Contaminating underground water						
	Distance of cultivated cocoa trees to water bodies is less than 10 meters						

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	Distance of at least 10 meters from new cocoa trees to water bodies not covered by native vegetation						
	Hired workers/registered workers lack knowledge about water protection requirements						
	Untreated sewage or untreated wastewater is discharged into freshwater bodies						
<b>Administration and safe storage of agrochemicals</b>	Warning signs are not placed during and after the application of agrochemicals						
	Warning signs do not indicate the time of application, the time before re-entering and the recommended days until harvest						
	Incompetent persons or people handle and store agrochemicals						
	Application of unauthorized agrochemicals						
	Application of expired agrochemicals						
	Agrochemical usage information provided by the supplier and the user manual for the delivery mechanism, not read and applied.						
	Equipment used for the application of agrochemical not calibrated and/or not suitable						
	Records of agrochemical application not kept						
	Children, pregnant women, breastfeeding women, and people with respiratory illnesses handling agrochemicals						

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	Spillage of agrochemical due to improper closure of containers during storage and transportation.						
	No system for collecting spillages						
	Absence of dedicated storage facilities for agrochemicals with adequate ventilation and light						
	Agrochemicals and/or their containers accessible to non-authorized persons and animals and/or kept close to items to be consumed.						
	Empty agrochemical containers are not triple rinsed and perforated						
	Empty agrochemical containers are not stored, handled and disposed of appropriately (as recommended by the Regulator)						
<b>Ecosystem protection</b>	Farm does not have the recommended number of multipurpose trees planted per hectare						
	Farm does not have a diversity of native tree species planted						
	Farming in protected areas, such as national parks, wildlife refuges, forestry reserves and other public or private conservation areas						
	Deforestation or degradation of primary forests						
	Deforestation or degradation of secondary forest without the requisite permits						



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	Removal of large native trees, that existed prior to the establishment of the farm without requisite permits						
	Burning of vegetation to clear land						
	Mapping of trees to establish ownership.						
	Cocoa farmlands covered by vegetation or mulch						
	Draining of water bodies						
	Hunting of threatened or endangered animals						
<b>Waste management</b>	Training on waste management practices						
	Composting carried out in a designated area.						
	Waste is only stored and disposed of in designated areas						
	Expired agrochemicals are treated as hazardous waste.						
	Empty agrochemical containers are not used for any other purposes.						

**APPENDIX 2  
(INFORMATION)****SENSITIZATION, COMMUNICATION AND TRAINING LIST**

Sensitizations, communication and trainings listed below may be carried out independently or in packages. Records of such sensitizations, communication and/or trainings should be kept.

**SENSITIZATION**

1. Sensitization of the leadership of the farmer group or cooperative on the objectives of the ARS 1000 standards, as well as their role, responsibilities and benefits.
2. Sensitization of farmers on the objectives of the ARS 1000 standards, as well as his/her role, responsibilities and benefits.
3. Sensitization on management policy
4. Sensitization on the cocoa sustainability policy
5. Sensitization on the relevant sustainability goals;
6. Sensitization on the importance of contribution to the efficiency of the management system, including the beneficial effects of an improvement in cocoa sustainability performance;
7. Sensitization on the repercussions of non-compliance with the requirements of the management system;
8. Sensitization on any relevant information specified as a knowledge requirement in the Standard.
9. Sensitization on good agricultural practices with respect to planting materials to hired workers/registered farmers.
10. Sensitization of registered farmers/hired workers on freedom of association and collective bargaining.
11. Sensitization on environmental policy

**COMMUNICATION**

1. Communicate list of roles, description of the roles, names of responsible persons.
2. Communicate to the farmers whatever cost identification and recovery mechanisms agreement is reached between the Recognized entity and buyer
3. Communicate the annual work plan.
4. Communicate workplans and feedback mechanism throughout the entity.
5. Communicate internal inspection checklist that would cover the requirements of the standard
6. Communicate to farmers upcoming internal inspection/audit to avail themselves for the exercise and also be assured of the confidentiality of their information
7. Communicate to General Assembly reports of performance reviews of the entity on an annual basis.
8. Communicate to members the opportunity to provide feedback on the operations of the organization and assurance provided on the confidentiality and non-victimization for providing such feedback.
9. Communicate to hired workers/registered farmers information on applicable requirements on rural and agricultural development plans.
10. Communicate to hired workers/registered farmers the suitability of production of cocoa beans on the intended field(s).
11. Communicate availability, responsibilities and benefits of social security schemes

**TRAINING**

1. Training on Internal Management Systems
2. Training on cocoa farm diagnosis and CFDP development
3. Training of focal person and all persons who have access to and handle documented information.
4. Coaching that enables farmers to implement the CFDPs. Coaching shall as a minimum include one on- farm coaching session per year.
5. Identify and train internal inspectors and Approval and Sanction committee on the standards, the inspection checklist and other relevant topics such as cooperative management, etc
6. Coaching and support to members to increase their efficiency.
7. Training to registered farmers in entrepreneurial and managerial skills, taking into account their level of education and competence.
8. Training on financial management for staff and leadership of the Recognized Entity. The training should also be extended to members with focus on book keeping, savings, etc
9. Training in integrated soil fertility management to hired workers/registered farmers and also provide them with a list of approved fertilizers and sources
10. Training to build the capacity of members and workers to carryout maintenance and rehabilitation of farms.
11. Training in integrated pest and disease management and sensitize hired workers/registered farmers on the safe use and handling of spraying equipment and approved agrochemicals
12. Training in harvesting and post-harvest techniques to hired workers/registered farmers
13. Training in climate smart agriculture and crop diversification
14. Training and sensitization on human rights.
15. Training and sensitization on prevention of discrimination, harassment and abuse.

16. Training and sensitization on gender equality and women and youth empowerment to top management, hired workers and registered farmers.
17. Training and sensitization on children's rights to top management, hired workers and registered farmers.
18. Training and sensitization on child labour to top management, hired workers and registered farmers.
19. Training and sensitization on employment and contractual relations
20. Training and sensitization on occupational health and safety to top management, hired workers and registered farmers.
21. Identify and train workers for hazardous work and provide them with personal protective equipment
22. Training on protection of water bodies.
23. Training on ecosystem protection
24. Training on waste management