

INSTRUCTIONS AND CLARIFICATIONS FOR CERTIFIED GROUPS IN GHANA AND CÔTE D'IVOIRE ON IMPLEMENTING THE COCOA POLICY

May 2020



**RAINFOREST
ALLIANCE**



More information?

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INTRODUCTION

The Rainforest Alliance is a growing network of people who are inspired and committed to working together to achieve our mission of creating a better future for people and nature by making responsible business the new normal. Since January 2018, the UTZ Certification program is also part of Rainforest Alliance.

As part of the measures to strengthen the cocoa sector, a specific [policy](#) has been developed to further strengthen the implementation, verification and credibility of our certification programs. The policy is applicable to all certificate holders for both UTZ Code of Conduct and Rainforest Alliance Sustainable Agriculture Standards and for UTZ and Rainforest Alliance Chain of Custody standards in Côte d'Ivoire and Ghana. It is applicable for all audits conducted after 1 June 2020. **Sections 1,2 and 3 of this policy apply in Full to Côte d'Ivoire and Ghana.**

To support and guide in the implementation of this Policy, the Rainforest Alliance has developed a set of instructions and clarifications, applicable to certified groups in Côte d'Ivoire and in Ghana.

1. GOVERNMENT ISSUED ID

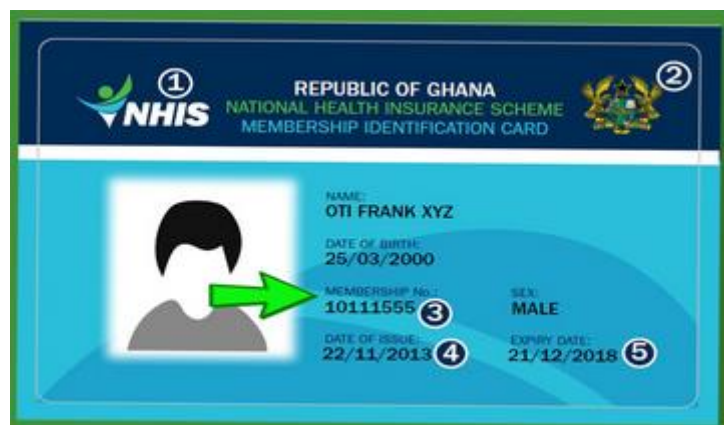
Applicable to Côte d'Ivoire and Ghana only – measures 1.3.a and 1.6.d of the Cocoa Policy

As part of the Cocoa Policy, groups are required to provide for as many producers as possible the number indicated on a specific official Identification Document - see below which ID is requested per country.

The official identification document number must be entered per certified group member in the UTZ group member registry or in the Rainforest Alliance group member list, as well on the farmer receipt for the certified cocoa (and any duplicate of the receipt kept at the IMS level). The name of the person on the official identification document must match the name of the person in the registry and the receipts.

Ghana



For groups in Ghana, we are requiring the membership number of the NHIS (National Health Insurance Scheme) Card. The membership number is the eight-digit number located on the front of the NHIS card. In the registry / member list, please indicate the digits all attached.





Côte d'Ivoire



For groups in Côte d'Ivoire, we are requiring the "numéro d'immatriculation" which can be found either on the national Identity card (Carte Nationale d'Identité) or on the voter's card (Carte d'électeur).

Carte Nationale d'Identité	Carte d'électeur
The "numéro d'immatriculation" is located right beneath "Carte Nationale d'Identité".	The "numéro d'immatriculation" is located right beneath the date of birth.
	

This number is composed of one letter and ten digits. In the Group Member Registry / Member list, please indicate the letter and number all attached.

For e.g.: the "Numéro d'immatriculation" indicated on the "Carte Nationale d'Identité" is: C 1234 5678 90. In the registry / list, it must be documented following this format: C1234567890, without any space between the characters.

For non-Ivorian producers, we are requesting the number indicated on their consular card (Carte consulaire for Burkina Faso and NINA for Mali).

Carte Consulaire Burkina Faso	Carte NINA Mali
On the Consular card of the Republic of Burkina Faso, the registration number is located on the right side of the card towards the bottom. This is always preceded by the letters BF and followed by 18 digits. In the registry / member list, please indicate the letters and digits all attached.	On the National ID card of Mali, the « Numéro d'Identification Nationale » (NINA) is located on top of the card. It is constituted of 14 digits and one letter. In the registry / member list, please indicate the letter and the digits all attached.
	



2. GPS COLLECTION FOR NEW PRODUCERS

Applicable to Côte d'Ivoire, Ghana, Cameroon and Nigeria – measures 1.4.a and 1.A.2 of the Cocoa Policy

As part of the Cocoa Policy, groups in Côte d'Ivoire and Ghana are required to provide location points for 100% of their producers. For Nigeria and Cameroon, groups are required to provide 100% of their group members' location points if they already had 50% in 2019, or to provide at least 50% if they had less than 50% of the points in 2019.

Explanation of the requirement

For new producers who were not part of the group for the 2019-2020 harvest, it is required to collect the location point in the center of the largest farm unit. Below in Annex 1 is the definition of a farm and of a farm unit. The drawing at the bottom shows an example of a farm with several farm units and where the location point should be collected.

Justification

In June 2020, the 2020 Sustainable Agriculture Standard will be published and will become mandatory in 2021. In this new standard, the core criterion for location point collection will ask Certificate Holders to collect the location point of group members in the center of their largest farm unit. This early requirement of the Cocoa Policy is to support groups in complying with the new standard already and to avoid that they are collecting locations points which won't be compliant the following year.

Required format

The location point should be in decimal degrees format with at least 4 decimals. The separation is done with dot and not a comma (i.e. 4.3546 and not 4,3546). There should be no duplicates between location points for different farms.

3. GROUP MEMBER REGISTRY

Applicable to Côte d'Ivoire and Ghana only – measures 1.3.a and 1.4.a of the Cocoa Policy

UTZ and RA groups are required to use the new Group Member Registry template provided by Rainforest Alliance. Only the columns with the symbol “ * ” in the template are mandatory. The table below is providing you explanation on the information expected in some columns of the template.

SECTION and/or Column Name	Explanation	Format expected
Farm Owner Identification Number *	This is the identification number which is given to the group member by the group	N/A
Personal Identification Number *	This is the Government Issued ID detailed in the part 1. of this document	Côte d'Ivoire: - If Numéro d'Immatriculation : “C” letter followed by ten digits (all attached, no space) - If Carte Consulaire for Burkina Faso: letters “BF” followed by 18 digits. (all attached, no space)



		<p>- If NINA Card for Mali: 14 digits followed by one letter. (all attached, no space)</p> <p>Ghana:</p> <p>- 8 digits</p>
Village District/State/Region City	You should fill in at least one of the 3 columns. You can fill in the one that is representing the most the location of the group member.	N/A
Governmental Farm Identification Number (if it exists)	This is the Identification Number for the farm given by the government. This field is optional.	N/A
GPS DATA PER GROUP MEMBER/ GPS Latitude (DD format) * GPS Longitude (DD format) *	This is the GPS location point recorded by the group.	<p>The location point should be in decimal degrees format with at least 4 decimals.</p> <p>The separation is done with dot and not a comma (i.e. 4.3546 and not 4,3546).</p> <p>There should be no duplicates between location points for different farms.</p>
UTZ TRAINING (only for UTZ group)	This field is optional and can only be filled in for UTZ groups.	N/A
FARM OPERATOR	Those fields are only to be filled in if the manager of the farm is different from the group member.	N/A
Total number of farm units *	Please refer to the Annex 1 for the definition of Farm Unit	Number
CB RECORDED DATA FOR THE AUDIT SAMPLE / GPS Latitude (DD format)* GPS Longitude (DD format)*	<p>This section is mandatory for the CB for audited group members.</p> <p>The CB should indicate the GPS coordinates of the audited group members.</p>	<p>The location point should be in decimal degrees format with at least 4 decimals.</p> <p>The separation is done with dot and not a comma (i.e. 4.3546 and not 4,3546).</p> <p>There should be no duplicates between location points for different farms.</p>
CB RECORDED DATA FOR THE AUDIT SAMPLE / Reason for inclusion in sample*	<p>This section is mandatory for the CB for audited group members.</p> <p>The CB should indicate the reason for including those group members in the audit sample.</p> <p>If the reason is linked to the Deforestation and Protected Area Risk Assessment of the Certificate Holder shared with the CB prior the audit, the CB should indicate if this</p>	<p>Deforestation Risk or,</p> <p>Risk of encroachment in Protected Areas or,</p> <p>Others</p>



	is for the risk linked to Deforestation or for the risk linked to encroachment of Protected Areas. If the reason is something else, the CB should indicate "Others".	
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4. TRACEABILITY

Applicable to Côte d'Ivoire and Ghana only, from 1 June 2020 – measures 1.6 b, 1.6 e and 1.6 f of the Cocoa Policy

Requirement 1.6 b - Product flow map required

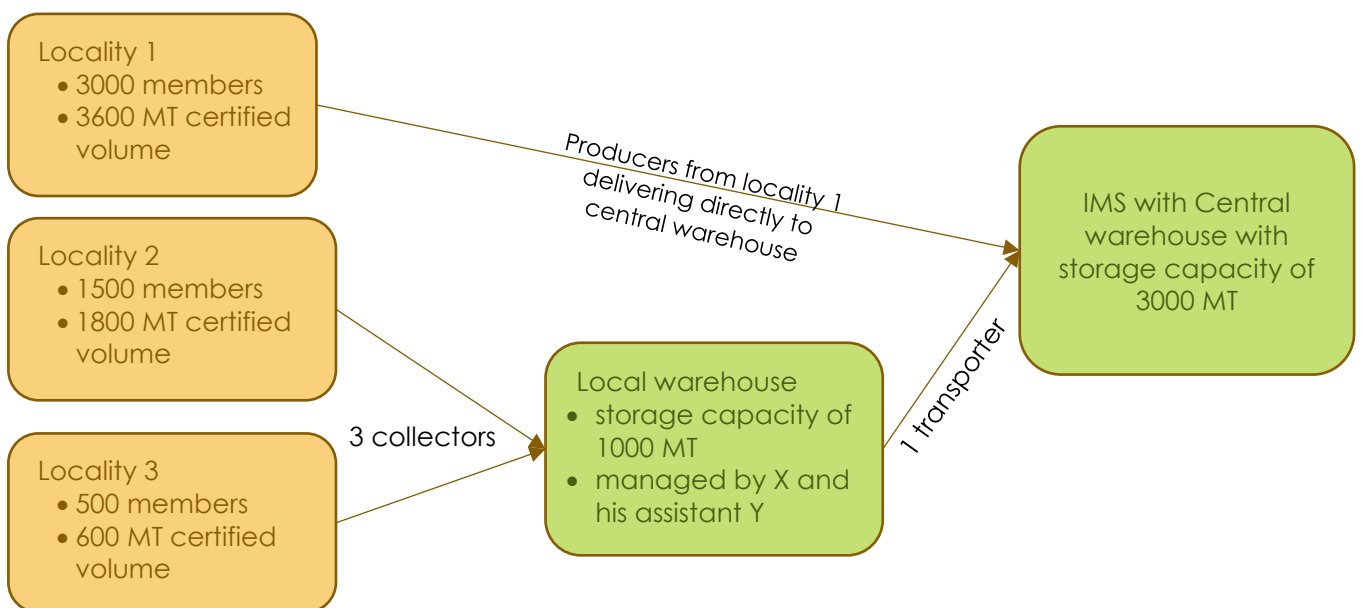
As part of requirement 1.6 b, certified groups must map out the whole product flow from group members to the group, including all intermediaries (collection points, transport, processing units, warehouses, etc.) and activities carried out on the product.

This measure is to:

- support the group in better representing and knowing where the certified cocoa comes from
- clarify how many intermediaries / subcontractors the group relies on and need to comply with the respective control points / criteria / measures
- support the auditor in understanding the structure of the group

All collectors, responsible person at the collection point, and responsible person for the transportation of the cocoa which are part of or subcontracted by the IMS must be indicated as part of the product flow map.

This below is an example of a product flow map for a certified group, sourcing from 3 different localities, and with a local warehouse for two of the localities – this group, of a total of 5000 certified producers has an estimated certified volume of 6000 MT for this certification year:





Next to this diagram, the group needs to put the name of the collectors, as well as the name of the transporter bringing the cocoa from the local to the central warehouse, and the name of the staff at the central warehouse.

At each step of the cocoa product flow, the group must indicate as well the documents used by the group to keep the traceability.

For e.g.:

- Producer level: buying receipts (or passbook in Ghana) with weight, date, certified status, name and code of the producer
- Collector level: with each cocoa collection and delivery to the warehouse, copy of the buying receipts and/or the volume of the certified cocoa per producer (with indication of the date)
- Local warehouse: weighing notebook, the buying notebook, the notebook tracing the deliveries from the local to the central warehouse...
- Central warehouse: the copies of the buying receipts, overall buying ledger, notebook tracing all deliveries from local warehouse...

The documents can vary from the ones enumerated in the example above but must allow the group to know what volume comes from which producer and when.

Requirement 1.6 e - Transactions uploaded in traceability system within one week

All certified groups must submit in their respective traceability system the transaction for the certified product within one week after the volume has been physically received and confirmed by the first buyer. This measure is applicable from 1 June 2020 to all UTZ and Rainforest Alliance certified groups.

After 30 September 2020, UTZ groups must wait until their new license corresponding to the October 2020 certification year is active again to submit their transactions within one week after the volume has been physically received and confirmed by the first buyer.

Also, all relevant commercial / legal documents pertaining to the transaction must be uploaded to the traceability system with each transaction. This is applicable from 1 June 2020.

For groups located in Côte d'Ivoire, the following three documents must be uploaded for each delivery which contributed to the total of the transaction volume submitted in GIP:

- the receipt slip of the cocoa (which confirms that the cocoa was received by the 1st buyer and which specifies the net weight accepted by the 1st buyer)
- the list of producers whose cocoa constitute the delivery

For groups located in Ghana, the following documents must be uploaded for each of the delivery which contributed to the total of the transaction volume submitted in GIP:

- Port/Siding Waybill
- Evacuation Summary (Detailing deliveries per society) i.e. each societies' contribution to the transacted volume
- Bill of lading

As many documents can be uploaded with each transaction submitted in GIP, as long as each document uploaded is not more than 20MB. To do so, the group must submit a sales announcement and make use of the "attached documents" functionality:



With regards to MarketPlace, this functionality of uploading documents with each transaction is being built in the platform and we will inform groups when it is ready. Nonetheless, on June 1 2020, Rainforest Alliance certified groups must submit the transactions in the deadline mentioned above.

requirement 1.6 f Volumes sold as conventional or under other labels removed from traceability platform within one week

Certified groups must remove from their estimated volume in their traceability platform the volumes coming from the certified group members which have been sold directly by the group as conventional or under other labels or seals. The groups must remove these volumes from the online traceability platform within one week after the volume has been physically received and confirmed by the first buyer.

For example, a group was granted a certified volume of 10 000kg on the traceability platform based on their volume estimation. The group sells 2 000kg of this volume as conventional and delivers it to the buyer on 15 July 2020. The group has until 22 July 2020 to log into their traceability platform account and remove from their certified volume the 2 000kg which was sold as conventional.

To do so, UTZ groups must make use of the “Remove” functionality in their GIP account. The link Remove can be found under the Trading & Stock tab in the group's GIP account:

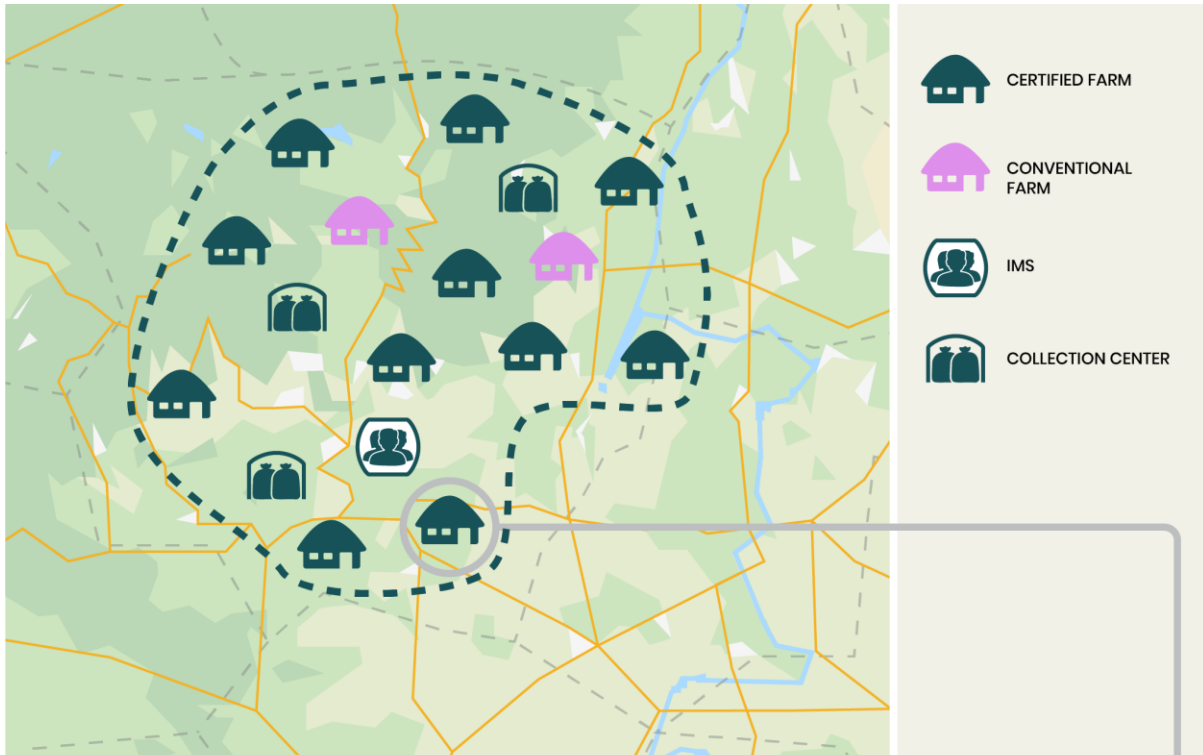
Product	Producer	Origin Country	Volume*	Buyer Ref.	Program	Trading Activities	Stock Activity
CTO Black Tea	Lauro Producer	BRAZIL	50		Segregation	Advertise on Marketplace Sell Sell via Auction	Convert Remove Trace
CTO Black Tea	Lauro Producer	BRAZIL	100		IP	Advertise on Marketplace Sell Sell via Auction	Convert Downloaded Mix Remove Trace View
CTO Black Tea	Lauro Producer	BRAZIL	5,000		IP	Advertise on Marketplace Sell Sell via Auction	Convert Downloaded Mix Remove Trace View

By clicking on the “Remove” link, the Remove form will open. The group must indicate the volume to be removed which was sold as conventional or under labels / seals and indicate why. By clicking the “OK” link, the stock of certified cocoa product will be updated accordingly.

For Rainforest Alliance groups, with regards to MarketPlace, this functionality of removing volume is being built in the platform and we will inform groups when it is ready. Nonetheless, once the functionality is ready, the group will have to remove all the volumes sold as conventional for their certification year.



ANNEX 1 - GEOGRAPHICAL SCOPE, FARM AND FARM UNIT



GEOGRAPHICAL SCOPE

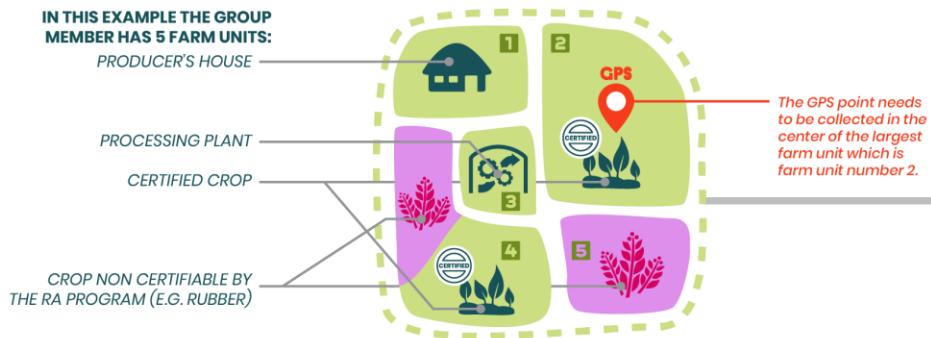


Boundary delimitation of the area including all the farms and processing facilities part of the certificate. This is represented with an envelope (a large polygon that demarks an area of interest).

FARM



All land and facilities used for agricultural production and processing activities under the geographical scope of the farm/group management. All farms and farm units falling within this geographical scope must comply with the RA standard, even when a different crop from the certified one is cultivated (e.g. farm/farm unit with a plantation of rice belonging to a producer part of a certified group for coffee that falls within the same geographical scope). A farm may also be composed of several neighboring or geographically separate units of land within one country if they are under a common management body.



FARM UNIT

Piece of continuous land composing a farm. It includes agricultural land and non-agricultural land (buildings, facilities, water bodies and others).