



EXPLANATION ON THE GEODATA VALIDATION AND RISK ASSESSMENT PROCESS

This document gives further explanation to group Certificate Holders (CHs) on:

1. How to complete the applicable information in [tab 3 of the GMR on geolocation data](#)
2. How to upload the GMR in the Rainforest Alliance Certification Platform (RACP) and
3. How the deforestation and encroachment risk assessments are received and what to do with them

This information is also useful for Certification Bodies (CBs) to better understand the process so that they can also give further support to their clients.

1. Group Member Registry

INFORMATION ABOUT THE FARM UNITS IN EACH FARM					Data validation - automatic				
1. Internal Group Member ID* (from Group Member tab)	2. Farm Unit ID*	3. Farm unit area (ha)*	4. Latitude (DD format)**	5. Longitude (DD format)**	1. Internal Group Member ID present in sheet 1. Group Member	Latitude check	Longitude check	Is this the largest farm unit	Group member
			Attention It is obligatory to provide one GPS point for the largest farm unit of each group member! Please use a number format, 4 or more decimals. XX.XXXX or XX.XXXXX If you use the wrong format, the columns on the right will be marked in red.						

Figure 1. GMR tab 3 example

For the GMR to be analysed as quickly as possible, Tab number 3 (Farm unit) needs to have all of the following data filled in correctly:

- Internal Group Member ID (column A):**
 - a. The same Internal Group Member ID must be used in tab 1 & tab 3 of the GMR
 - b. Column A (Internal Group Member ID) in tab 3 may contain duplicate Internal Group Member IDs only in the case that 1 farmer has more than 1 farm unit). You may add additional rows to tab 3 to allow for this scenario
- Farm Unit ID:**
 - a. These are the unique IDs of the farm units and will link these farm units with the Internal Group Member ID in tab 1
 - b. The Farm unit ID is used in the validation and risk assessment process to ensure every point has a unique value
 - c. Therefore, each farm unit must have a unique ID
- Farm unit area (ha):**
 - a. This provides an estimation of the size of the farm unit and helps to determine the risk levels for both deforestation and encroachment
 - b. Must be provided in a number format
- Latitude (DD format) & Longitude (DD format) :**
 - a. These coordinates determine the location of the farm unit
 - b. The coordinates must meet the following criteria:
 - Documented in number format
 - Only number characteristics (not allowed to included spaces, degree symbol (°), quotation mark (") or any other character



- Containing at least four (4) decimals
- Containing a maximum of six (6) decimals
- No duplicates

It is important to check in the GMR columns G (latitude) and H (longitude) for the automatic “Data validation” (which can be seen in the top row of the GMR). Here you can see if there are any errors in the coordinates provided. When this is:

- **Red** = Validation is incorrect, the coordinates need quality improvement (i.e. you have not followed the steps above and there are mistakes e.g. duplicates, not enough or too little decimal points, using letters instead of numbers, etc) . You will receive your GMR back without any results, and you will receive a notification e-mail requesting to improve the data.
- **Green** = Validation is correct, the coordinates provided are correct. RA will continue conducting the risk assessment.

You can only submit your GMR in the RACP when all columns are shown in **green**, i.e., the validation from your end is correct.

Note: Some GMRs are being submitted with “END” at the bottom (see figure below) of tab 3. Please DO NOT do this! By putting any text in column C, D and E of tab 3, this will re-format the columns to text instead of numerical and thereby again delay the validation of the GMR, because you will get an error email and will have to correct and resubmit.

1413	ZOU219	ZOU219 P1	2.79				OUI	OUATTARA MOUSSA
1414	End	End	End	End	End	End	End	End
1415								
1416								
1417								
1418								

Figure 2. DO NOT add "END" ("END" should be removed in this example).

2. GMR Upload in the RACP

For the CH to be able to upload the GMR in the RACP, they need to be registered. To upload the GMR, please follow the GMR upload instructions attached.

Once the CH has successfully uploaded their GMR in the RACP, the validation and risk assessment process can start. RA will conduct a validation check to see if the GMR that has been provided consists of quality data. If not, an e-mail will be sent to improve the data until the quality is good enough to conduct the risk assessment. This validation check has no impact on the certification status of the group CH. However, without the results of the risk assessment, an audit cannot be conducted. We therefore highly recommend submitting tab 3 of the GMR with quality data to avoid numerous back and forth which will delay the audit planning.

This check will only be conducted twice by RA. If the GMR is not uploaded correctly after the second time, the risk assessment will be concluded with incorrect data. Please note, RA will allow a 5% tolerance overlap for the transition year only. Your CB will then need to verify this during the audit (additional time and cost) and shall ask you to remove any farms from the group during or after the audit, if the information cannot be verified, by raising an NC against requirement 1.2.12. Once you



have received communication from RA that the risk assessment is concluded, you must share the **validation assessment with your CB**

During the transition period, an NC raised against requirement 1.2.12 can be closed with an action plan that goes beyond the 10-week period for NC closure, provided that the actions have been started during the 10-week correction period and will be completed by the first audit of the certification cycle. This is not applicable for cocoa CHs in Ghana, Côte d'Ivoire, Cameroon, or Nigeria. [This is referred to in the Policy on changes to the certification and auditing rules for audits in the transition year.](#)

3. How the CH receives the risk assessments

After the validation check the risk assessment is conducted by RA. This risk assessment provides 3 outputs, namely;

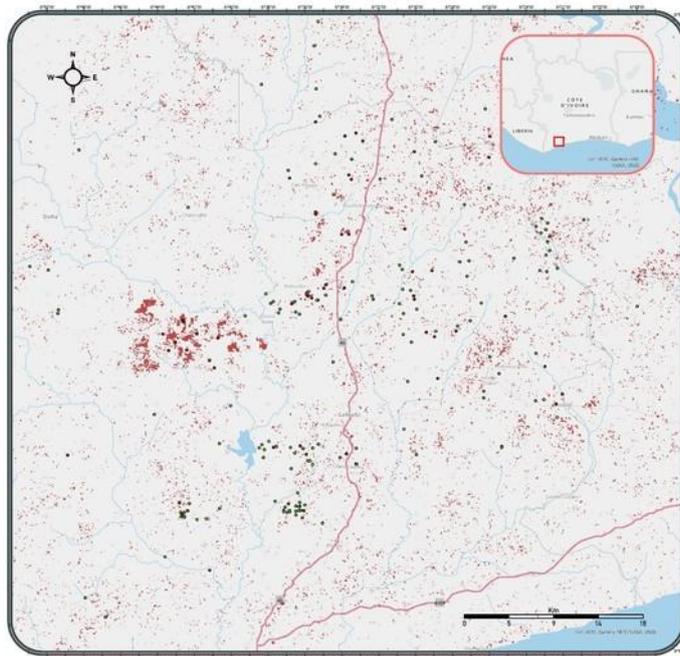
- i. Geodata Risk table (Geodata_Risktable_RA_[organization ID]). Example:

	D	E	F	G	H	I	J	K	L	M
	Field1	InternalGroupMemberID	farmunitid	area	latitude	longitude	CHnumber	CHnumber_1	risk_def	risk_PA
1										
2		0 Member1	Farmunit1	0.7419	6.595311	-5.834559	RA_00001234567	RA_00001234567	low	low
3		1 Member2	Farmunit2	0.6634	6.579444	-5.841601	RA_00001234567	RA_00001234567	high	low
4		2 Member3	Farmunit3	1.0879	6.5984334	-5.835766	RA_00001234567	RA_00001234567	low	low
5		3 Member4	Farmunit4	1.1209	6.584257	-5.844998	RA_00001234567	RA_00001234567	low	low
6		4 Member5	Farmunit5	2.8287	6.607585	-5.807191	RA_00001234567	RA_00001234567	medium	low
7		5 Member6	Farmunit6	2.0915	6.6049041	-5.791971	RA_00001234567	RA_00001234567	low	low
8		6 Member7	Farmunit7	1.4077	6.57442045	-5.8526616	RA_00001234567	RA_00001234567	high	low
9		7 Member8	Farmunit8	1.514	6.549364	-5.838442	RA_00001234567	RA_00001234567	low	low
10		8 Member9	Farmunit9	1.8453	6.536829	-5.851402	RA_00001234567	RA_00001234567	low	low
11		9 Member10	Farmunit10	1.511	6.599207	-5.838123	RA_00001234567	RA_00001234567	low	low
12		10 Member11	Farmunit11	3.07	6.596754	-5.843611	RA_00001234567	RA_00001234567	high	low
13		11 Member12	Farmunit12	5.5815	6.537479	-5.839972	RA_00001234567	RA_00001234567	high	low
14		12 Member13	Farmunit13	1.592	6.585763	-5.848896	RA_00001234567	RA_00001234567	high	low
15		13 Member14	Farmunit14	1.501	6.5692071	-5.854033	RA_00001234567	RA_00001234567	high	low
16		14 Member15	Farmunit15	1.9342	6.585498	-5.848138	RA_00001234567	RA_00001234567	low	low
17		15 Member16	Farmunit16	1.908	6.6137728	-5.819633	RA_00001234567	RA_00001234567	high	low

- ii. Deforestation risk map (GeoPDF_df_RA_[organization ID]). Example:



Deforestation Risk Assessment Indication
Member ID:



Legend

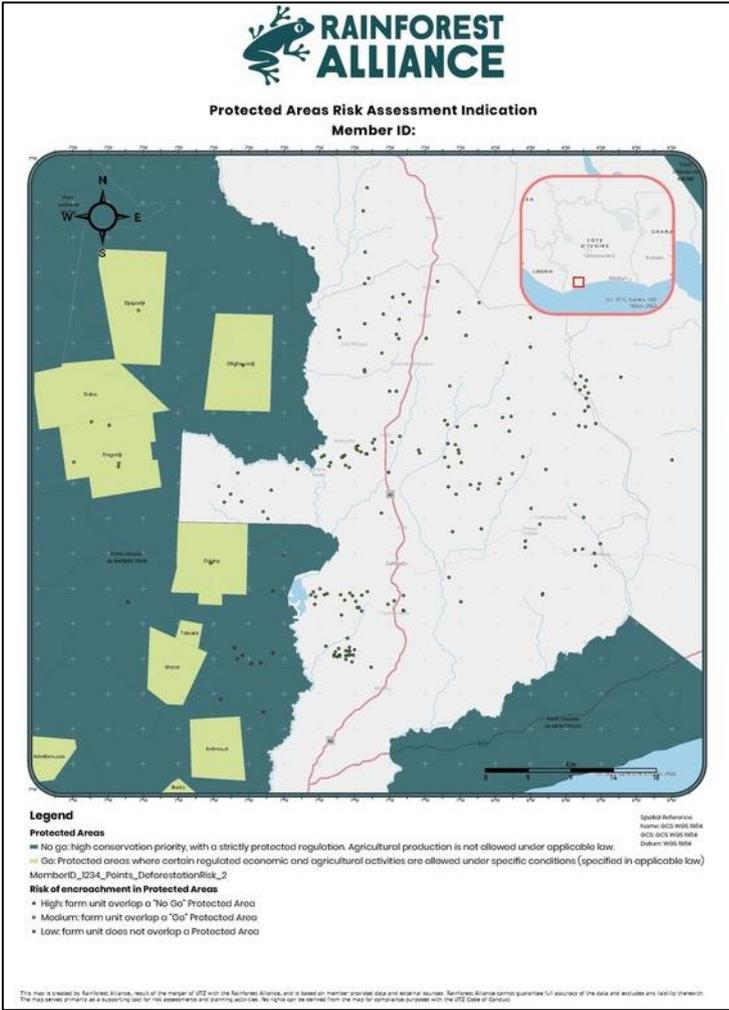
Risk level indication of deforestation

- High risk of non-compliance with deforestation area control points: farm with a partial overlap (1,2%) or total overlap in forested areas with tree cover loss
- Medium risk of non-compliance with deforestation area control points: farm with a partial overlap (1,2%) in forested areas with tree cover loss
- Low risk of non-compliance with deforestation area control points: farms does not overlap forested areas with tree cover loss
- deforestation area

Spatial Reference
Name: ICG 1984 SRS4
SRS: ICG 1984 SRS4
Datum: WGS 1984

This map is created by Rainforest Alliance, result of the merger of JPE with the Rainforest Alliance, and is based on member provided data and external sources. Rainforest Alliance cannot guarantee full accuracy of the data and excludes any liability thereon. The map serves primarily as a supporting tool for risk assessment and planning activities. No rights can be derived from the map for comparison purposes with the JPE Code of Conduct.

iii. Encroachment into protected area risk map (GeoPDF_pa_RA_[organization ID]). Example:



For more information on how to make the best use of these GeoPDFs, please check the [GeoPDF guidance document](#).

When the risk assessments are uploaded in the RACP, the CH will receive a notification e-mail stating the files are uploaded. The CH can then go into their RACP account and download the files and share with their CB. The CB needs this information to complete the Certification Application Form (CAF) and plan the audit.

RAINFOREST ALLIANCE Multitrace Dashboard Organization Certification

License overview / RALI21-004024

License:RALI21-004024

Certification scope Requirements Self-Assessment **Documents** Upload GMR

Documents

Here you can upload any additional documents that you haven't provided yet in the audit preparation data tab. You can upload documents that the Rainforest Alliance or your Certification Body request you to upload, but you can also upload documents for your own purposes.

Upload documents

File name	Upload date
Risk_Mappdf	12-07-2021

Feedback



4. Audit rules

CBs are not expected to conduct the same analysis on geolocation data or polygon data. RA will provide the results to the CH and they are required to share the data with the CB.

Groups:

When the data in the GMR is still incorrect (bad quality) after the second validation check, RA will continue the risk assessment with this bad quality (incorrect) data. CBs need to use the validation table to verify which farm units contain errors. When 5% or more of the farm units with a geolocation (points) have overlap with another farm unit, Farm unit location are found to be outside the country or in a big waterbody the CB shall raise an NC and the specific farm units must be removed from the group. When the amount of farm units with overlap are below 5%, the CB does not have to raise a NC on requirement 1.2.12.

Until future notice the polygon upload functionality is not yet available.

Small Farms (Groups):

When the risk level is not yet available to the CB, the CB shall put deforestation and encroachment as high risk in the CAF and plan the audit accordingly (unless the CB has specific evidence to make this risk lower, which will need to be verified during the audit). The audit shall be conducted according to the certification and auditing rules.

Large farms (Group & individual):

It is not currently possible for polygons to be provided in the RACP. A solution is currently being worked on and this will be communicated in the coming weeks. In the meantime, the CB is expected to check whether the polygons provided are according requirement 1.2.12 and 1.2.13. The polygons will not be assigned with risk levels and CBs should assign their own risk level before the audit.

- During the audit preparation, polygons can be uploaded together with the protected areas of the country in a geodata tool (e.g., [Google My Maps](#)) to verify whether the polygons are located in a protected area or not.
- During the audit CBs/auditors are expected to check on the deforestation requirement (6.1.1) according to the certification and auditing rules.
- During the audit CBs/auditors are expected to check on the encroachment into protected area requirement (6.1.2) according to the certification and auditing rules.