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

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## Foreword

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## Introduction

The purpose of this African Standard is to promote and maintain a framework for the production of sustainable cocoa beans based on the principle of continuous improvement. To achieve the objective, the following requirements are included in the African standard series ARS 1000 : (1) Promoting, structuring and supporting Farmers/ farmer organization efficiently; (2) Improving farmer's income and resilience of their livelihoods; (3) Addressing cocoa quality; (4) Addressing traceability from the farm to export; (5) Addressing worst forms of child labour; (6) Addressing deforestation and climate change.

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

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

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

Sustainably produced cocoa beans are obtained by fulfilling the requirements in ARS 1000-1 and ARS 1000-2 Standards. The Recognized Entity shall be certified by a third party approved by the Regulator/Legal Entity to demonstrate compliance to these two Standards.

In this Standard:

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

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





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

## 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 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.

Note 2: External audits include those generally called second and third party audits.

Second party audits are conducted by parties having an interest in the 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 19011 [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 ((3.13)).

**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 made-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 (3.62).

Note: Management (3.49) can include establishing policies (3.58) and objectives (3.55) and processes (3.60) to achieve these objectives.

### **3.50 management systems**

set of interrelated or interacting elements of recognised entity (3.62) to establish policies (3.58) and objectives (3.55) and processes (3.60) 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 (3.75), a process (3.60) 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 (3.66).

### **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 (3.55).

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 (3.65).

## 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 (3.62) to anticipate, prepare for, respond and adapt to and recover from changes, stresses and shocks.

**3.68****risk**

effect of uncertainty on objectives (3.55).

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 (3.68) that might occur within the local context of the Recognized Entity (3.62).

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 (3.62) and registered farmers (3.63).

**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 (3.62)).

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 (3.62). 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.

## **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.

## **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:
  - 2) how confidential information is treated;
  - 3) the potential risks of sharing personal information;
  - 4) the right to access information;
  - 5) the use of data by any interested parties.

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

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

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

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

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

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

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

### 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;
- 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.

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.

#### 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.

### 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.

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- 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.

## 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.
- h) 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.

### 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.

### 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.

## 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 PDC 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.

## 6 Planning for Recognized Entity Management System

### 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.

## 6.2 Management objectives

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

## 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 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.

#### 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.

### 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 diagnostic and establish the Cocoa Farm Development Plan with the registered farmer has the requisite educational background and is competent in sustainable farming practices;
- c) retain appropriate documented information as evidence of competence.

### **7.3 Sensitization**

The 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.

### **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.

### **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 all issues relating to sustainable cocoa farming.

#### **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.

## 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.

### 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 fulfill the requirements specified in Annex D. Additional guidance is given in Annex E.

The CFDPs shall include:

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

#### **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).

#### **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.

#### **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 fulfill 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.

## **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.

### 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

### 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.

### **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.

### **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.

## **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.

## 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.

### 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

### 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).

### **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.

### **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.

### **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.

### **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.

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

## 11.3.11 Resilience and diversification of production

- a) The Farmer Group/ 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.

## 12 Requirements related to social aspects

### 12.1 General

The requirements for social aspects aim to:

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

### 12.2 Human rights policy

- a) The 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.

### 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.

### 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.

### 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.

## **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.

## **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.

### 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.

### 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.

### 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' Recognized Entity,
- ii. their right to participate in collective bargaining.

## **13 Requirements related to environmental aspects**

### **13.1 General**

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

The requirements for environmental aspects aim to:

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

### **13.2 Protection of water bodies**

- a) The 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.

### **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.
- g) The Recognized Entity shall ensure that handling and storage (keeping) of chemicals are separated from living areas to maintain the integrity and safety of persons.
- 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.

### 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.
- 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.

### **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.

## 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.	<p>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.</p> <p>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</p> <p>Assumption: higher yields will be achieved when adhering to this document</p>
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.	<p>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.</p> <p>To deliver the real estimate of costs (investments) versus benefits (returns in cash) regarding cocoa farming within the framework of this document</p>
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.	<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>Between obtaining Bronze level certificate and the 1<sup>st</sup> surveillance</p>

What?	When?	By whom?	How?	Purpose and result?
				audit, the Recognized Entity shall have established a minimum of 20 % CFDP for the registered farmers.
	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>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.	a) During the first initial certification audit : Bronze certification (12 months after the registration of the farmer) b) During the 1 <sup>st</sup> surveillance audit (2 years and a half after obtaining the Bronze Certificate) c) During the recertification audit: Silver certificate, 5 years after obtaining the Bronze certification. d) During the 2 <sup>nd</sup> surveillance audit (7,5 years after obtaining the Bronze Certificate) e) During the recertification audit: Gold certificate (10 years after obtaining the	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).



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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			

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Action	Budget line item	Start-up costs				Recurring operational costs		
		First buyer	Recognized Entity	Farmer	Regulator	First buyer	Recognized Entity	Farmer
	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
	Land used for other crops	Interview and/or registration data
	Fallow land	Interview and/or registration data
	Land used for cocoa with homogeneous conditions (cocoa field)	Farm visit
	Source of planting materials	Interview and/or registration data

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

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

<b>Data points</b>	<b>CFDP — how to collect the information</b>	<b>Detailed cocoa farm diagnostic for CFDP — how to collect the information</b>
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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**Sustainable cocoa — Part 2: Requirements for Cocoa Quality and Traceability**



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## Foreword

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## Introduction

With the progressive liberalization of cocoa sector in cocoa producing countries, the private sector in the international cocoa trade recognized the need to ensure that quality Standards are developed and maintained to meet trade and industry requirements. Consequently, the original International Standards on cocoa beans (ISO 1114, ISO 2291, ISO 2292), which were integrated using relevant parts to produce ISO 2451 *Cocoa beans — Specification and quality requirements*, form the basis for this document in order to ensure quality in cocoa production, trade and commerce.

Also, this African Standard contains the requirements for the traceability of sustainably produced cocoa. These requirements are necessary for improvement in the weaknesses encountered in the economic, social and environmental activities in the cocoa supply chain to ensure that integrity is maintained across the three pillars of sustainability. The traceability system for sustainably produced cocoa will assist interested parties operating within the cocoa supply chain to trace the source of cocoa beans within the value chain and assure the achievement of the defined sustainable cocoa objectives. It is intended to ensure credibility of the source of the sustainably produced cocoa in the supply chain and fulfill customer expectations of quality.

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

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

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

In this document:

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

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



## Sustainable cocoa — Part 2: Requirements for Cocoa Quality and Traceability

### 1 Scope

This African Standard specifies the requirements for quality including classification, sampling, test methods, packaging and marking of cocoa beans (*Theobroma cacao* Linnaeus). It also specifies the basic requirements for the design and implementation of one or more traceability systems within the cocoa supply chain for sustainably produced cocoa beans from farm to the point of export (Free On Board), as well as to the factory gate at the local level for grinders.

### 2 Normative references

The following referenced documents are indispensable for the application of this Standard. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ARS 1000-1, *Sustainable cocoa — Part 1 Requirements for cocoa farmer as an entity, farmer group, farmer cooperative — Management systems and performance.*

### 3 Terms and definitions

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

#### 3.1

##### **adulteration**

alteration of the composition of a lot (3.26) of cocoa by deliberate mixing-

#### 3.2

##### **audit**

systematic, independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria (3.3) are fulfilled. An audit could be internal or external.

#### 3.3

##### **audit criteria**

set of requirements used as a benchmark against which objective evidence (3.4) is compared.

#### 3.4

##### **audit evidence**

any objective document or instrument that is used to evaluate how well audit criteria (3.3) are being met.

**Note 1:** Audit evidence may be qualitative or quantitative

**Note 2:** As defined in ISO 19011.

#### 3.5

##### **bean count**

total number of whole beans per 100 g determined under specific conditions.

**Note:** The specific conditions and the test method are specified in Annex D.

### **3.6**

#### **bean cluster**

two or several beans joined together which cannot be easily separated by using the finger and thumb of both hands.

### **3.7**

#### **broken bean**

cocoa bean (3.9) of which the fragment (3.22) is missing, the remaining part being more than half of the whole bean.

### **3.8**

#### **cocoa**

cocoa beans (3.9) or derived products from cocoa.

### **3.9**

#### **cocoa bean**

commercial term designating the whole seed of the cocoa tree (*Theobroma cacao* Linnaeus) which has been fermented and dried.

### **3.10**

#### **cocoa bean fermentation**

process of spontaneous processing from the mucilaginous pulp of the accumulated fresh cocoa beans until the typical characteristics are obtained, such as swelling of the beans, odour of the mass, brown colouring of the cotyledons and drop in temperature.

### **3.11**

#### **cocoa related matter**

bean clusters (3.6), broken beans (3.7) and associated fragments (3.22) and/or pieces of shell that do not pass through the sieve (3.34).

### **3.12**

#### **cocoa supply chain**

sequence of the stages and operations involved in the movement and processing of cocoa (3.8), from cocoa farm to export of sustainable cocoa beans and/or by products.

### **3.13**

#### **cocoa supply chain actor**

person or entity that physically handles or takes legal ownership or makes claims of sustainably produced cocoa (3.8).

### **3.14**

#### **conformity**

fulfilment of a requirement.

### **3.15**

#### **contamination**

presence of a smoky, hammy or other smell not typical to cocoa, or a substance not natural to cocoa, which is revealed during the cut test (3.17) or physical inspection of a reference sample (3.32).

### **3.16**

#### **corrective action**

action to eliminate the cause of a non-conformity and to prevent recurrence

Note 1: There can be more than one cause for non-conformity.

Note 2: Corrective action (3.16) is taken to prevent recurrence whereas preventive action is taken to prevent occurrence.

## 3.17

### **cut test**

procedure by which the cotyledons of cocoa beans (3.9) are exposed for the purpose of determining the incidence of defective and or slaty beans (3.37), violet or purple beans (3.42) and or presence of contamination within a test sample (3.39).

## 3.18

### **dry cocoa**

commercial term designating cocoa beans (3.1) which have been evenly dried throughout and of which the moisture content corresponds to the requirements of this African Standard.

## 3.19

### **external audits**

audits (3.2), which 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 organizations.

## 3.20

### **flat bean**

cocoa bean (3.9) that is too thin to be cut to give a complete surface of the cotyledon

## 3.21

### **foreign matter**

any substance other than cocoa beans (3.9).

Note: Cocoa related matter, sieving, husk and placenta are to be considered as foreign matter.

## 3.22

### **fragments**

piece of cocoa bean equal to or less than half the original bean.

## 3.23

### **germinated bean**

cocoa bean (3.9) of which the seed germ has pierced the shell as evidenced either by the physical presence of the seed germ or by a hole in the shell following its detachment.

## 3.24

### **insect-damaged bean [infested bean]**

cocoa bean (3.9) damaged by insects (infested beans) of which the internal parts are found to contain insects or mites at any stage of development, or show signs of damage caused thereby, which are visible to the naked eye.

## 3.25

### **internal audit**

audit conducted by the recognised entity itself, or by an external party on its behalf.

## 3.26

### **lot**

quantity of cocoa beans (3.9) in bags or in bulk established at any point in the cocoa supply chain and from which primary samples and/or incremental samples are to be drawn for quality analysis purposes.

## 3.27

### **main crop**

Beans with a lower bean count (per 100g)/ larger size.

Note 1: Beans produced during the main crop are usually of a lower bean count (per 100 g)/larger size.

Note 2: Light/mid-crop beans produced during the light/mid harvest period of that particular origin.

Note 3: Beans produced during the light/mid-crop are usually of a higher bean count (per 100 g)/smaller size.

### **3.28**

#### **mouldy bean**

cocoa bean (3.9) on the internal parts of which mould is visible to the naked eye.

Note: Mould is not to be confused with white spot, which is a concentration of theobromine or cocoa fat.

### **3.29**

#### **one step forward and one step back**

identification from where the cocoa (3.8) came and to where the cocoa went.

### **3.30**

#### **preliminary test sample**

quarter of the reference sample (3.33) obtained by using a splitter/divider, which can be less than 600g.

### **3.31**

#### **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 an organization are generally planned and carried out under controlled conditions to add value.

### **3.32**

#### **reference sample**

representative sample prepared by successively quartering the composite sample such that a minimum of 2 kg net remains.

### **3.33**

#### **segregation**

process (3.31) that separates conforming from non-conforming cocoa.

### **3.34**

#### **sieve**

screen with round holes, the diameter of which are 5.0mm.

### **3.35**

#### **sieving**

Materials (3.36) that passes through sieve (334).

### **3.36**

#### **sieving waste**

any material, debris passing through the sieve with round holes, the diameter of which are 5.0 mm.

### **3.37**

#### **slaty bean**

cocoa bean (3.9) that shows a slaty colour on at least half of the surface of the cotyledon exposed by the cut test (3.17) irrespective of texture.



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## 3.38

### **sustainably produced cocoa**

cocoa beans (3.9) that are produced in an economically viable, environmentally sound and socially responsible manner, by the Recognized entity.

## 3.39

### **test sample**

not less than 600g of cocoa beans (3.9) drawn from the reference sample (3.32) by using a flat-bottomed shovel drawn across the middle of the reference sample. Test sample shall be obtained after sieving in accordance with the method specified in Annex B and after removing the cocoa related matter (3.11), flat beans (3.20) and foreign matter (3.21).

## 3.40

### **traceability**

ability to follow the physical movement of sustainably produced cocoa (3.38) through specified stage(s) of production, marketing and processing.

## 3.41

### **traceability system**

totality of data and operations that is capable of maintaining desired information about sustainably produced cocoa and its components through production and/or supply chain.

## 3.42

### **violet or purple bean**

cocoa bean (3.9) that shows a violet or purple colour on at least half of the surface of the cotyledon exposed by the cut test (3.17).

## **4 Requirements for the registration of cocoa supply chain actors**

As a pre-requisite for undertaking any sustainable cocoa supply chain operations, supply chain actors shall approach the Regulator/Legal Entity for the purpose of being registered.

## **5 Condition for obtaining quality cocoa beans**

The quality of cocoa beans starts from production through harvesting, processing, pod-breaking, fermentation, drying, packaging and storage in compliance to clauses 11.3.6 to 11.3.10 of ARS 1000-1.

Cocoa beans shall be fermented and dried until their moisture content no longer exceeds the percentage as specified in Table 1. Cocoa beans prepared in this manner are commercially referred to as dry cocoa.

## **6 Requirements for quality**

### **6.1 General requirements**

Lots of cocoa beans shall be:

- a) free from smoky or other smell not typical to cocoa, or a substance not natural to cocoa, free from any evidence of adulteration.

- b) virtually free from live insects, insect eggs, larvae, pupae, mites, rodents, or other types of infestation.
- c) within the range for violet or purple beans, if specified, typical for the grade or origin
- d) practically free from germinated beans,
- e) practically uniform in size and colour, good fermented, fit for production of foodstuff.

## 6.2 Specific requirements

Cocoa bean shall comply with the specific requirements stipulated in Table 1 below.

**Table 1 — Specific requirements for cocoa**

Parameter	Maximum limit	Methods of test
Cocoa related matter	3,5 % of the mass of the reference sample representing the lot	Annex C
Flat beans	1.5 % of the mass of the reference sample representing the lot.	Annex C
Foreign matter	0.75 % of the mass of the reference sample representing the lot.	Annex C
Moisture content	8% by mass	Annex F
Debris	1.5 % of the mass of the reference sample representing the lot.	Annex B
Note: Both supplier and buyer should agree on what to deliver if 1.5% standard cannot be achieved especially during light crop season.		

## 6.3 Grade determination

### 6.3.1 Classification for cocoa beans

Cocoa beans grades shall be classified in accordance with Table 2 and 3 and tested in accordance with methods prescribed in Annex E.

**Table 2 — Producing country internal classification for fermented beans**

Grade	Maximum Percentage of beans			Method of test
	Mouldy	Slaty	Insect-damaged and/or germinated	
1	3	3	3	Annex E
2	4	8	6	
Note 1: The Maximum percentage of beans". given in the last column apply to the combined total of all the defects specified in the column header.				
Note 2: National regulations apply if percentage range is different from above.				

**Table 3 — International trade classification for fermented beans**

Grade	Maximum Percentage of beans		Method of test Annex E
	Slaty	Mouldy and/or Insect-damaged	
Good fermented	5	5	
Fair fermented	10	10	
Note: The percentages given in the last column applies to the combined total of all the defects specified in the column header.			

**6.3.2 Substandard cocoa**

Fermented cocoa beans grades that exceed the grade 2 limits prescribed in Table 2 shall be regarded as substandard. Any cocoa beans that exceed the limits prescribed in Table 3 shall not be exported unless a buyer so requests for such categories.

Note: Substandard is marked "SS" for English- and Spanish-speaking countries. For French-speaking countries it is marked "HS" (hors standard).

**6.4 Bean size**

Bean size is defined by the bean count and is usually expressed by the number of beans per 100 grams.

- a) Premium size beans: bean count of 80-90;
- b) Standard size beans: bean count of 91 – 105;
- c) Medium size beans: bean count of 106 -110;
- d) Small size beans: bean count of 111 - 120;
- e) Very small size beans: bean count greater than 120.

**7 Sampling**

Sampling shall be carried out in accordance with the requirements of ISO 2292. Annex A shows flowcharts of derivative samples when sampling from bags or bulk.

For all the test methods described in Annexes B to F, the reference sample shall be prepared in accordance with the method described in ISO 2292.

**8 Packaging**

Bags for packaging shall be clean and strong enough, intended to come into contact with foodstuffs and properly sewn and sealed. Cocoa beans shall be shipped in new bags only. Bags woven from natural fibres (or liners where applicable per international contract) suited to food contact and properly sewn or sealed. Ink or paint used for marking shall be of food grade quality.

**9 Marking**

Each bag of cocoa beans shall be sewn and sealed. The sewn or sealed bag may show the following or some of these information:

- a) the producing country;
- b) the name of the product;
- c) the grade of the product

- d) crop year of the product
- e) shipping marks when applicable;
- f) any other applicable identification marks, including the types of verification (E.G ARS1000).
- g) net weight;
- h) ARS

Note 1: Bags Marked ARS contain conforming cocoa

Note 2: National regulations can apply to identification markings for the bags/seals.

## **10 Test report**

The test report is a document that records data obtained from an evaluation of specific parameters in an organized manner and describes the environmental or operating conditions.

The test report shall include at least the following:

- a) all details required for complete identification of the reference sample;
- b) the methods used and the results obtained;
- c) mention of any details of procedures not specified in this document, or regarded as optional;
- d) any circumstances that may have influenced the result.

## **11 Principles of traceability**

Traceability relates to the origin of the sustainably produced cocoa, processing history or movement of the cocoa along the supply chain, and addresses at least one step forward and one step back for each actor in the cocoa supply chain.

In agreement among the cocoa supply chain actors concerned, it may apply to more than one part of the cocoa supply chain. The cocoa supply chain actor identifies the relevant cocoa for which the objectives of its traceability system for sustainably produced cocoa apply.

Each element of a traceability system for sustainably produced cocoa is considered and justified on a case-by-case basis, taking into account the objectives to be achieved.

Traceability systems for sustainably produced cocoa shall be able to:

- a) document the history of the cocoa or locate the cocoa along the cocoa supply chain.
- b) contribute to the identification of the cause of non-conformity.
- c) improve appropriate use and reliability of information, effectiveness and efficiency of the cocoa supply chain actor.

## **12 Objectives of traceability**

The objective of traceability is to improve transparency and contribute to accountability in the supply chain. The cocoa supply chain actor shall establish specific traceability objectives at relevant functions, levels and processes needed for the traceability system.

The specific traceability objectives shall be:

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- a) measurable;
- b) monitored;
- c) communicated to relevant internal and external interested parties;
- d) updated as appropriate.

The cocoa supply chain actor shall maintain documented information on the cocoa traceability objectives.

### 13 Requirements for traceability

#### 13.1 General requirements

##### 13.1.1 Traceability system attributes

The traceability system for sustainably produced cocoa shall include:

- a) objectives, including provisions to ensure the integrity of the sustainably produced cocoa;
- b) documented information about the cocoa at every level in the cocoa supply chain, from cocoa farm to export point (Free On Board), as well as at local level for grinders;
- c) procedures needed for the effective operation of the traceability system.

##### 13.1.2 Requirements of Traceability system

The traceability system for sustainably produced cocoa shall be:

- a) verifiable ;
- b) applied consistently and equitably ;
- c) implementable ;
- d) effective and result oriented ;
- e) balanced, technical feasible and economical viable.

#### 13.2 Organizational requirements

The Regulator/Legal Entity, the Recognized entity and other cocoa supply chain actors shall demonstrate their commitment to the implementation of a traceability system for sustainably produced cocoa by:

- a) assigning a management representative with the overall responsibility for ensuring that the cocoa supply chain actor, inclusive of all operational units, fulfil the requirements of this Standard ;
- b) defining and assigning tasks and responsibilities for the effective implementation and operation of the traceability system ;
- c) providing resources necessary for the effective implementation and operation of the traceability system.

The Regulator/Legal Entity, the Recognized entity, certification body and auditors authorised by the Regulator shall determine applicable statutory and regulatory requirements relevant in relation to traceability of sustainably produced cocoa. It shall ensure that these requirements are understood and constantly met by its personnel and/or subcontractors.

The Regulator/Legal Entity, the Recognized entity and other cocoa supply chain actors shall ensure that the persons/entities performing work under their control that affects the performance and effectiveness of the traceability system are competent on the basis of appropriate education, training and/or experience.

The Regulator/Legal Entity, the Recognized Entity and actors in the cocoa supply chain must ensure that the person/entities that carry out a work under their control and which affect the performance and efficiency of the Traceability System, are competent on the basis of their education, training and/or proven experience and are free from any form of conflict of interest

### 13.3 Specific requirements

#### 13.3.1 Documentation

The Recognized entity and cocoa supply chain actors shall determine the information to be:

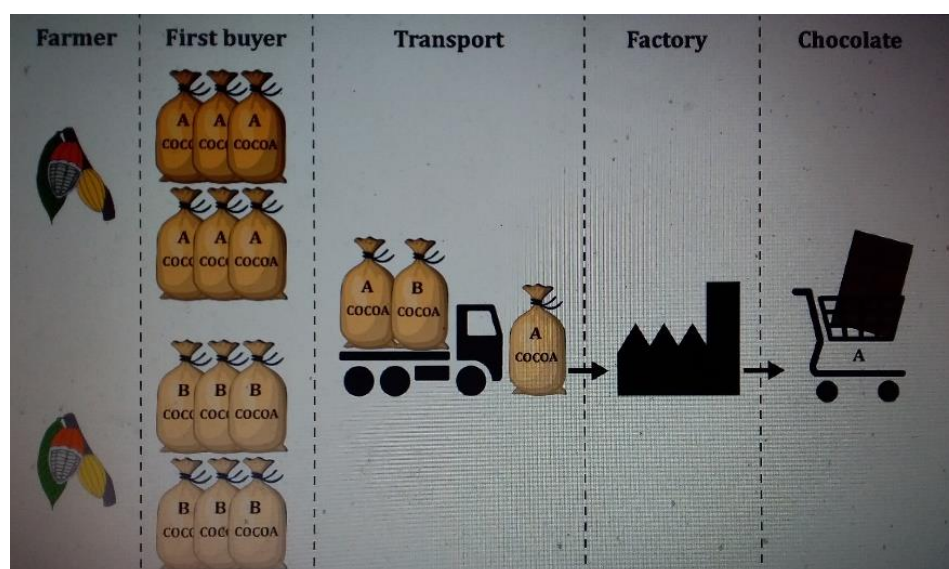
- a) obtained from its suppliers;
- b) collected concerning the cocoa and process history;
- c) provided to its customers and/or suppliers.

In the development and implementation of a traceability system for sustainably produced cocoa, the Recognized entity and cocoa supply chain actors shall take into consideration their existing operations and management systems.

## 14 Physical traceability — Cocoa segregation

The Recognized entity and stakeholders in the cocoa supply chain shall ensure and verify through procedures and documentation that conforming cocoa is separated from non- conforming cocoa from the cocoa farm to the point of export (Free On Board) (see Figure 1).

Note: Each country shall address traceability within the country implementation guidelines with regards to supply chain of conforming and non-conforming cocoa.



Key  
A conforming cocoa B non-conforming cocoa

**Figure 1 — Schematic presentation of segregation**

## 15 Monitoring and improvement

### 15.1 Monitoring

The Recognized entity and cocoa supply chain actors shall monitor the effectiveness of the traceability system for sustainably produced cocoa.

### 15.2 Internal audit

**15.2.1** The Recognized entity and cocoa supply chain actors shall conduct internal audits at planned intervals of not more than 12 months to provide information on whether the traceability system:

- a) conforms to the requirements of this document;
- b) conforms to the cocoa supply chain actor's own procedures;
- c) is effectively implemented and maintained.

**15.2.2** The Recognized entity and cocoa supply chain actors shall:

- a) establish and implement internal audit plan(s) and programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the management objectives, the importance of the processes concerned, changes impacting the farmer group, and the results of previous audits;
- b) ensure that the results of the internal audits are reported to top management;
- c) take appropriate corrective actions within a reasonable timeframe;
- d) retain documented information as evidence of the implementation of the internal audit;
- e) identify opportunities for improvement.

### 15.3 Improvement

#### 15.3.1 Non-conformity and corrective actions

##### 15.3.1.1 Non-conformity

When a non- conformity occurs, the stakeholder in the cocoa supply chain shall document the entire process of analysis and handling of the non-conformity:

- a) take notice to the non-conformity, and, as applicable-
  - 1) take action to control and correct it;
  - 2) deal with the consequences;
- b) evaluate the need for action to eliminate the cause(s) of the non-conformity, in order that it does not recur or occur elsewhere, by:
  - 1) reviewing and analysing the non-conformity;
  - 2) determining the causes of the non-conformity;
  - 3) determining if similar non-conformities exist, or could potentially occur;
- c) implement any action needed;
- d) review the effectiveness of any corrective action taken;
- e) make changes to the traceability system for sustainably produced cocoa, if necessary.

#### **15.3.1.2 Corrective actions**

- a) Corrective actions shall be appropriate to the effects of the nonconformities encountered.
- b) The Recognized entity and cocoa supply chain actors shall retain documented information as evidence of:
  - 1) the nature of the non-conformities and any subsequent actions taken;
  - 2) the results of any corrective action.

#### **15.3.2 Continual improvement**

The Recognized entity and cocoa supply chain actors shall continually improve the suitability, adequacy and effectiveness of the traceability system for sustainably produced cocoa.

### **16 Review**

The Recognized entity and cocoa supply chain actors shall review the traceability system for sustainably produced cocoa at appropriate intervals to ensure continual improvement.

This review shall include, but is not limited to, the following traceability-related aspects:

- a) audit results;
- b) changes to cocoa or processes;
- c) information provided by other cocoa supply chain actors ;
- d) corrective actions;
- e) customer feedback, including complaints;
- f) new or amended regulations affecting traceability



## Annex A (normative)

### Flowcharts

Figure A.1 shows flowcharts of derivative samples when sampling from bags or bulk. See ISO 2292 for further descriptions and requirements for the different types of samples. Figure A.2 shows a flowchart of the sequence of testing that shall be followed for the test methods specified in Annexes B to F of this document.

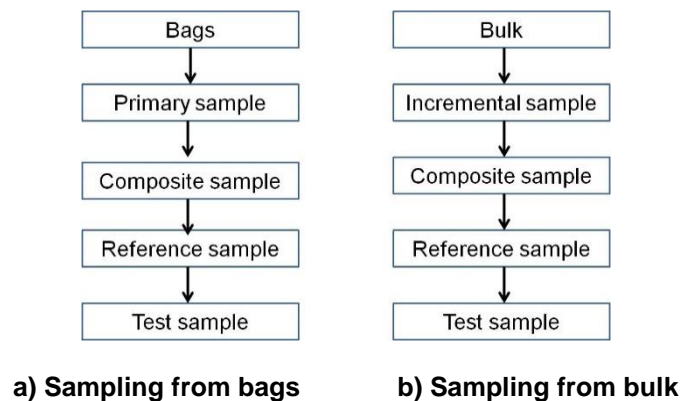


Figure A.1 — Flowcharts of derivative samples when sampling from bags or bulk

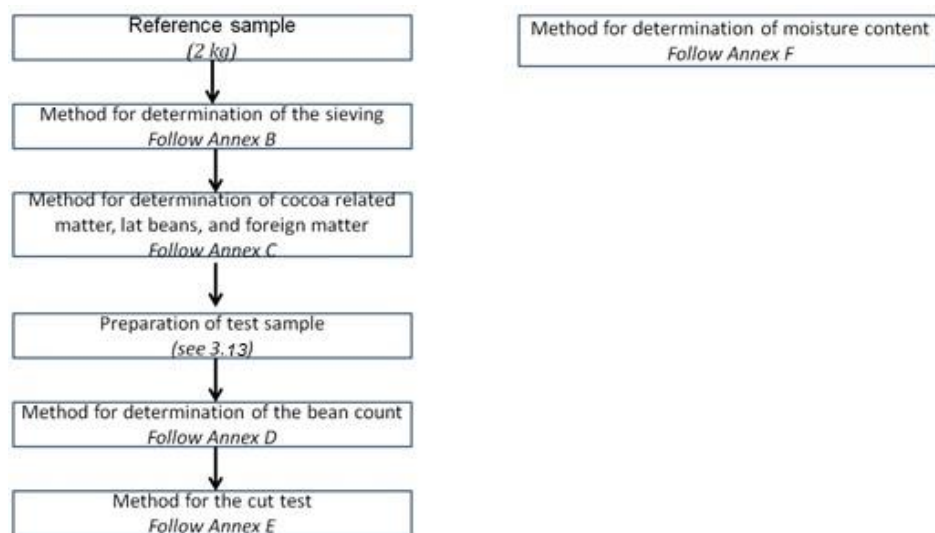


Figure A.2 — Flowchart of sequence of test methods

## **Annex B**

### **(normative)**

#### **Method for determination of the sieving note**

##### **B.1 Procedure**

Weigh the entire reference sample ( $m_{\text{TOTAL}}$ ) and then sieve through a sieve. Collect and weigh the quantity passing through the sieve, which is known as “the sieving”.

Obtain the percentage of the sieving by comparing the mass of the sieving against the total net mass of the reference sample multiplied by 100.

Once the measurement has been taken, do not re-integrate the sieving into the remainder of the reference sample (Derivative 1).

##### **B.2 Expression of result**

The rate of the sieving,  $S$  (%), is given by formula below:

$$S = \frac{m \times 100}{m_{\text{TOTAL}}}$$

where

$m$  is the mass of the sieving, in g;

$m_{\text{TOTAL}}$  is the total net mass of the reference sample, in g.

**Annex C**  
(normative)

**Method for determination of foreign matter including cocoa related matter and flat beans**

**C.1 Procedure**

Empty the remainder of the reference sample in Annex B (Derivative 1) onto a tray of sufficient size to facilitate the measurement of cocoa related matter, flat beans and foreign matter.

Separate, aggregate and weigh each category, i.e. cocoa related matter, flat beans and foreign matter, and express the mass of the quality parameter in relation to the net mass of the reference sample ( $m_{TOTAL}$ ) in Annex B multiplied by 100.

Once the measurement has been taken, do not re-integrate the matter that has been extracted for testing into the remainder of the reference sample (Derivative 2).

**C.2 Expression of result**

The quality parameter,  $P_{QUALITY}$  (%), is given by formula below:

$$P_{QUALITE} = \frac{m_{QP} \times 100}{m_{TOTAL}}$$

where

$\frac{m_{QP}}{m_{TOTAL}}$  is the mass of the quality parameter, in g;  
 $m_{TOTAL}$  is the total net mass of the reference sample, in g.

## **Annex D**

### **(normative)**

#### **Method for determination of the bean count**

##### **D.1 Procedure**

The bean count determines the average number of whole cocoa beans that weigh 100 g. After sieving in accordance with Annex B and removing cocoa related matter, flat beans and foreign matter in accordance with Annex C, empty the remainder of the reference sample (Derivative 2) onto a clean, dry, flat surface and thoroughly mix. Take a test sample of not less than 600 g cocoa beans from the reference sample by using a flat-bottomed shovel drawn across the middle of the remainder of the reference sample (Derivative 2).

##### **D.2 Determination**

Remove any cocoa related matter, flat beans and foreign matter still remaining following the procedure set out in Annex C from the test sample, and then weigh and replace by an equivalent mass of whole beans taken randomly from the remainder of the reference sample (Derivative 2). Then count the total number of beans in the test sample. The resulting number is known as the bean count.

##### **D.3 Expression of result**

The bean count,  $n_{BEAN}$ , shall be expressed as number of beans per 100 g, as given by formula below:

$$n_{BEAN} = \frac{n_{WHOLE} \times 100}{m_{WHOLE}}$$

where

$n_{WHOLE}$  is the mass of the number of whole beans;  
 $m_{WHOLE}$  is the total net mass of whole beans.

**Annex E**  
(normative)

**Method for the cut test**

**E.1 Procedure**

The cut test is conducted on the test sample of whole beans from the determination of the bean count in Annex D. Select 300 whole beans irrespective of size, shape and condition, from the test sample.

**E.2 Determination**

Open or cut these 300 beans lengthwise through the middle, so as to expose the maximum cut surface of cotyledons. Visually examine both halves of each bean in full daylight or equivalent artificial light. Count separately each defective type of bean, i.e. those that are mouldy, slaty, insect-damaged (or germinated, flat).

When a bean is defective in more than one respect, count only the defect that appears first in the list of defects expressed in their decreasing order of gravity, as specified in 6.3.1.

**E.3 Expression of result**

Express the result for each kind of defect as a percentage of the 300 beans examined.

## **Annex F**

### **(normative)**

#### **Method for determination of moisture content (oven method)**

##### **F.1 General**

This annex specifies the oven method for the determination of the moisture content of cocoa beans. The moisture content of cocoa beans is, conventionally, the loss in mass determined by the method specified in this annex, and expressed as a percentage by mass.

In addition to the oven method, there are alternative methods of moisture determination using machines or other apparatuses applying technologies such as infrared, capacitance measurement, conductivity, dielectric, nuclear magnetic resonance or neutron probe. Such machines and apparatuses may be used provided that such other technology is correlated to the oven method by a methodology published by the manufacturer together with operational instructions as to frequency and procedure for calibration thereof.

The oven method, however, is the standard reference method and other machines or apparatuses should as far as possible be correlated therewith.

##### **F.2 Principle**

After grinding, weighing and drying of cocoa beans for 16 h in a ventilated oven controlled at  $103\text{ }^{\circ}\text{C} \pm 2\text{ }^{\circ}\text{C}$ , determine the moisture content by calculating the difference in mass.

##### **F.3 Apparatus**

Usual laboratory equipment and the following:

**F.3.1 Grinder**, which allows the beans to be ground without heating.

**F.3.2 Ventilated oven**, preferably fitted with a fan, capable of being controlled at  $103\text{ }^{\circ}\text{C} \pm 2\text{ }^{\circ}\text{C}$ .

**F.3.3 Dish with lid**, of metal, resistant to attack under the conditions of the test, or of glass, with at least  $35\text{ cm}^2$  of useful surface (for example minimum diameter 70 mm) and 20 mm to 25 mm deep.

**F.3.4 Desiccator**, containing an efficient desiccant.

**F.3.5 Analytical balance**, with a readability of 1 mg.

##### **F.4 Procedure**

###### **F.4.1 General**

Grind a fraction of one quarter of the reference sample with a grinder (F.3.1) to form particles that do not exceed 5 mm, but avoiding the formation of a paste. The beans used shall be representative of the reference sample.

## F.4.2 Test portion

Weigh the previously dried empty dish with lid (F.3.3). After grinding the beans in accordance with F.4.1 quickly place in the dish a test portion of 10 g. Weigh the dish with lid, containing the grinded test portion, to the nearest 1 mg.

## F.4.3 Determination

Place the dish (F.3.3) containing the test portion on its lid in the ventilated oven (F.3.2) controlled at  $103\text{ }^{\circ}\text{C} \pm 2\text{ }^{\circ}\text{C}$ . Leave for  $16\text{ h} \pm 1\text{ h}$ , taking care not to open the oven. At the end of this period, remove the dish, cover it immediately with its lid and place it in the desiccator (F.3.4). Allow to cool to ambient temperature (approximately 30 min to 40 min after placing in the desiccator) and weigh, still covered, to the nearest 1 mg.

## F.4.4 Number of determinations

Carry out two determinations with test portions from the quartered reference sample after grinding, each on a quantity of beans that has been treated individually, i.e. grinding, taking the test portion and drying.

## F.5 Note on procedure

The grinding and weighing operations for each determination shall be carried out as rapidly as possible, and in any event within 5 min. When it is not possible to perform the weighing operation within 5 min, the test portion shall be stored in a plastic bag or air-tight container for a maximum period of 2 h. After weighing the test portion, the dish with lid may be left to stand, for example in the case of a series of weighing.

## F.6 Expression of result

### F.6.1 Method of calculation and formula

The moisture content of the reference sample, expressed as a percentage by mass, is given by Formula below:

$$\text{Moisture content (\%)} = \frac{(m_1 - m_2) \times 100}{m_1 - m_0}$$

where

$m_0$  is the mass of the empty dish with lid, in g;

$m_1$  is the mass of the dish with lid and the test portion before drying, in g;

$m_2$  is the mass of the dish with lid and the test portion after drying, in g.

Take as the result the arithmetic mean of the two determinations (see F.4.4), provided that the requirement for repeatability (see F.6.2) is satisfied. If not, repeat the determinations. Report the result to one decimal place.

### F.6.2 Repeatability

The difference between the results of two determinations, carried out simultaneously or in rapid succession by the same analyst, shall not exceed 0,3 g loss in mass per 100 g of the quartered reference sample.

## **Annex G**

(normative)

### **Storage of bagged cocoa**

Cocoa beans should be placed in warehouses constructed and used in such a way so as to maintain the moisture content as specified in 5.2.4.

The beans should be stored on gratings or deckings giving a clear space above ground of at least 7 cm for air circulation.

Measures should be taken to prevent infestation by insects, rodents and other pests.

The bags of cocoa beans should be stacked in such a way that

- a) individual grades and brands are separated by a passage at least 60 cm wide, similar to that which should be left between the bags and the walls of the warehouse
- b) disinfestation by fumigation and/or careful spraying with suitable insecticides can be carried out if necessary (see Annex H), and
- c) contamination by odours or flavours, or by dust from other products such as other foods, or by products such as oil, cement, and tar should be avoided.
- d) Sustainable cocoa must be separated from non-sustainable cocoa

Periodically during storage, immediately before shipment and on discharge outside the producing country, the moisture content of each lot should be checked.



**Annex H**  
(informative)

**Disinfestation**

The use of pesticides to control insects, rodents and other pests in cocoa is necessary. Great care should be exercised in the choice of pesticides and in the technique of their application to avoid incurring risk of tainting or the addition of toxic residues to cocoa.

Note: Importing countries have specific food safety regulations.

## Annex I (informative)

### Procedure and flowchart for preliminary quality analysis

#### 1.1 General

This annex shows a flowchart of the sequence of testing that may be followed in accordance with the test methods specified in Annexes B to F using preliminary test samples of 500 g or more, quartered from the reference sample. Annex I may be used for preliminary quality analysis to establish whether lots of cocoa beans meet the requirements of this document.

#### 1.2 Procedure

Obtain four preliminary test samples of 500 g or more by splitting/dividing the reference sample into quarter fractions using a splitter/divider. Conical divider quartering irons or other suitable dividing apparatuses are recommended for use. The preliminary test samples should be weighed; the masses of the quartered fractions may be different but should be a quarter of the total mass of the entire reference sample. At least one of the preliminary test samples should be safeguarded from drying out, which can be done by using a plastic bag or air-tight container.

Proceed with the determination of the moisture content using a fraction of the preliminary test sample (the one safeguarded from drying out) as described in Annex F (see Figure I.1). Use one of the preliminary test samples for the analyses as described in Annexes B to E as shown in Figure I.1. The remaining preliminary test samples can be used for the analysis of fat, pH and taste.

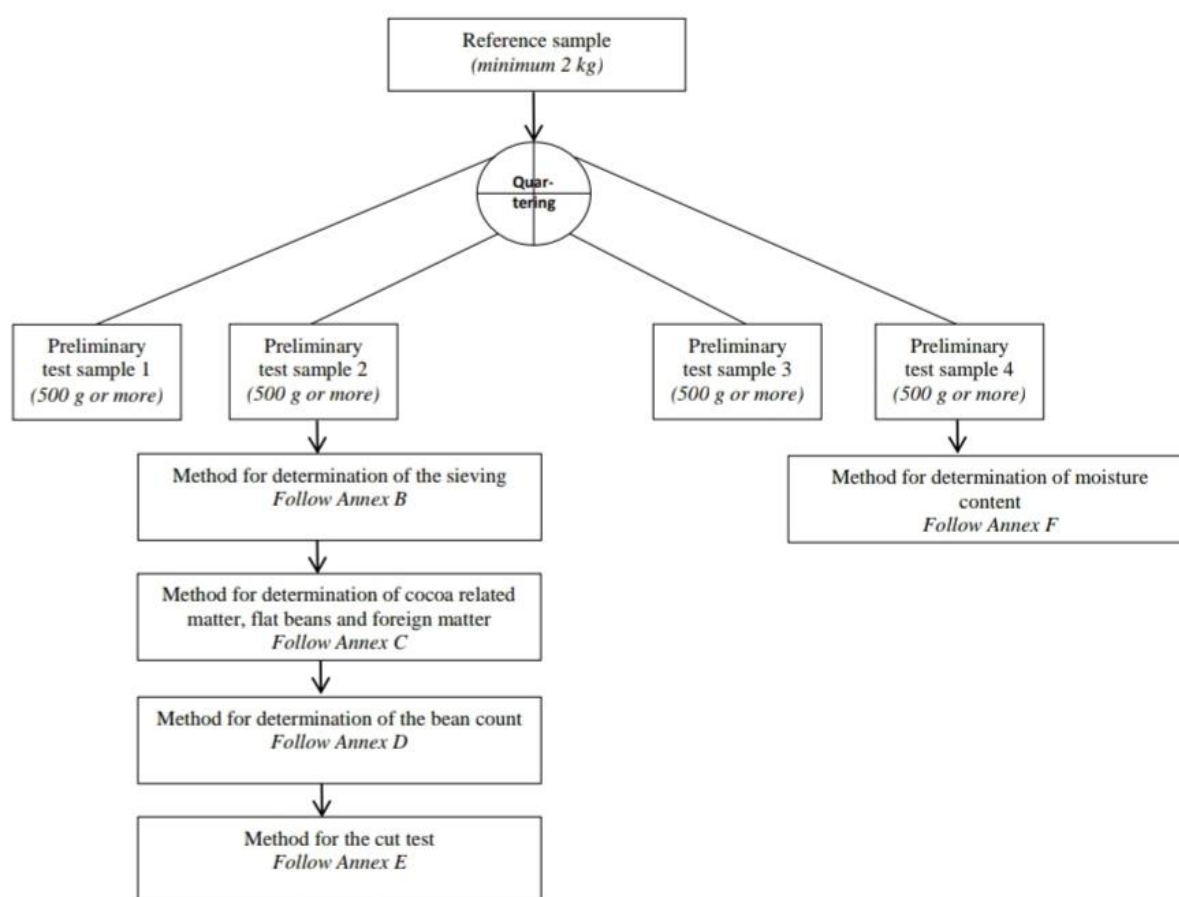


Figure I.1 — Flowchart of the sequence of testing after quartering the reference sample for preliminary quality analysis

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- [2] ISO 34101-2:2019, *Sustainable and traceable cocoa — Part 2: Requirements for performance (related to economic, social and environmental aspects)*
- [3] ISO 34101-3:2019, *Sustainable and traceable cocoa — Part 3: Requirements for traceability*
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- [8] ISO 19011, *Guidelines for auditing management systems*

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**Sustainable cocoa — Part 3: Requirements for Cocoa Certification  
Schemes**



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## Foreword

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

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Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ARSO shall not be held responsible for identifying any or all such patent rights.

This African Standard was prepared by ARSO/THC 02-6 *Technical Working Group on Coffee, Cocoa, Tea and Similar Products* under the mandate of ARSO/THC 02-6, *Technical Harmonization Committee Number 2 on Agriculture and Food Products* (ARSO/THC 02-6)

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## Introduction

This Standard, ARS 1000-3, contains Requirements for Cocoa Certification Schemes for sustainably produced cocoa. Sustainably produced cocoa beans are obtained by fulfilling the requirements in ARS 1000-1 Requirements for Cocoa Farmer as an Entity/Farmer Group/Cooperative Management Systems and Performance and ARS 1000-2 Cocoa Quality and Traceability. The Farmer as an Entity/Farmer Group/Cooperative shall be certified by a third party (Certification Bodies) to demonstrate compliance to this Standard. The third party shall be appointed by the Regulator/Legal Entity, who shall be the sole owner of the Certification Scheme.

This Standard is the third part of sustainably produced cocoa requirements.

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

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

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

In this document:

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

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



## Sustainable Cocoa — Part 3: Requirements for Cocoa Certification Schemes

### 1 Scope

This draft African Standard specifies requirements for the Cocoa Certification Scheme for sustainable cocoa, in relation to cocoa supply chain actors and for the certification of Farmer as an Entity/Farmer Group/Cooperative. It is to be used jointly with ARS 1000-1 and ARS 1000-2.

Only Certification Bodies that fulfil the requirements in this Standard shall audit Farmer as an Entity/Farmer Group/Cooperative, which produce sustainable cocoa beans. Only Farmer as an Entity/Farmer Group/Cooperative that fulfil the requirements in this Standard can make claims of sustainably produced cocoa beans.

### 2 Normative references

The following referenced documents are indispensable for the application of this Standard. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

*ARS 1000-1, Sustainable cocoa — Part 1: Requirements for cocoa farmer as entity, farmer group, cooperative — Management systems and performance*

*ARS 1000-2, Sustainable cocoa — Part 2: Requirements for cocoa quality and traceability*

### 3 Terms and definitions

For the purpose of this standard the following definitions apply.

#### 3.1 accreditation

third party attestation (3.3) related to a conformity assessment body (3.14), conveying formal demonstration of its competence, impartiality (3.17) and consistent operation in performing specific conformity assessment (3.13) activities.

(ISO/IEC 17000 -2020, 7.7)

#### 3.2 accreditation body

authoritative body that performs accreditation (3.1).

Note 1: The authority of an accreditation body can be derived from government, public authorities, contracts, market acceptance or scheme owners.

(ISO/IEC 17000: 2020, 4.7)

#### 3.3 attestation

issue of a statement, based on a decision (3.15), that fulfilment of specified requirements (3.24) has been demonstrated.

Note 1: The resulting statement, referred to in this document as a “statement of conformity”, is intended to convey the assurance that the specified requirements (3.24) have been fulfilled. Such an assurance does not, of itself, provide contractual or other legal guarantees.

Note 2: First-party attestation and third-party attestation are distinguished by the terms declaration, certification (3.5) and accreditation (3.1), but there is no corresponding term applicable to second-party attestation.

### **3.4**

#### **certificate**

document issued by a certification body (3.6) indicating that a designated object (3.19) has met the certification requirements (3.7).

### **3.5**

#### **certification**

Third-party Certificate (3.4) granted regarding a subject-matter of conformity assessment (3.13), except for accreditation (3.1).

Note : Certification is applicable to all objects of conformity assessment except for conformity assessment bodies themselves, to which accreditation (3.1) is applicable.

(ISO/IEC 17000: 2020, 7.6)

### **3.6**

#### **certification body**

authoritative body carrying out certification (3.5) activities.

### **3.7**

#### **certification requirement**

specified requirement (3.24) that is fulfilled by the client (3.9) as a condition of establishing or maintaining certification (3.5).

Note: Certification requirements are obligations imposed on the client by the certification scheme (3.8) and Regulator/Legal Entity (3.22) via the certification agreement to meet the requirements of this Standard.

### **3.8**

#### **certification scheme**

conformity assessment system related to specified products, processes, services and management systems, to which the same specified requirements (3.24), specific rules and procedures (3.21) apply.

Note 1: The term “conformity assessment system” is defined in ISO/IEC 17000:2004, 2.7.

Note 2: The rules, procedures and management for implementing product, process, service and management system certification are stipulated by the certification scheme.

### **3.9**

#### **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

### **3.10**

#### **cocoa supply chain**

sequence of the stages and operations involved in the movement and processing of cocoa, from farm to the point of exit from the factory door of the manufacturer of the final retail product

### **3.11**

#### **cocoa supply chain actor**

person or entity that physically handles, legally takes possession of, or makes claims of sustainably produced cocoa.

### **3.12**

#### **complaints**

expression of dissatisfaction, other than an appeal, filed by a person or an organisation to a Conformity Assessment Body or to an accreditation body in relation to the activities of this said body, to which a response is expected

(ISO/IEC 17000: 2020, 6.5)

# ARS 1000-3:2021

## 3.13

### **conformity assessment**

demonstration that the requirements are met.

Note 1: The conformity assessment process can lead to a negative result, i.e., by demonstrating that the requirements are not met.

Note 2: Conformity assessment includes activities carried out elsewhere in this document, such as, but not limited to testing, inspection, validation, verification (3.28), certification (3.5) and accreditation (3.1).

(ISO/IEC 17000: 2020)

## 3.14

### **conformity assessment body**

body that performs conformity assessment activities, excluding accreditation (3.1).

## 3.15

### **decision**

conclusion, based on the results of review, that fulfilment of specified requirements (3.24) has or has not been demonstrated

(ISO/IEC 17000: 2020, 7.2.)

## 3.16

### **farmer premium**

funds payment to a registered farmer 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 Entities also benefit from this farmer premium.

## 3.17

### **impartiality**

presence of objectivity

Note 1: Objectivity means that conflicts of interest do not exist, or are resolved so as not to adversely influence subsequent activities of the Certification Body.

Note 2: Other terms that are useful in conveying the element of impartiality include "independence", "freedom from conflict of interests", "freedom from bias", "lack of prejudice", "neutrality", "fairness", "open mindedness", "even-handedness", "detachment", "balance".

## 3.18

### **non-conformity**

non-compliance with a requirement.

## 3.19

### **object**

anything that can be perceived or designed. (Example: Product, service, process, person, organization, system, resource)

(ISO 9000: 2015, 3.6.1)

## 3.20

### **peer assessment**

assessment of a body against specified requirements (3.24) by representatives of other bodies in, or candidates for, an agreement group

Note 1: "Candidates" are included for the situation where a new group is being formed, at which time there would be no bodies in the group.

Note 2: The term "peer assessment" is sometimes referred to as "peer evaluation".

(ISO/IEC 17000: 2020 6.7)

### **3.21**

#### **procedure**

specified way to carry out an activity or process.

Note: procedures can be documented or not

(ISO 9000: 2015, 3.4.5.)

### **3.22**

#### **regulator/legal entity**

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

### **3.23**

#### **scope of certification**

identification of:

- the product(s), process(es), service(s), cocoa field(s) or farm(s), or management systems for which the certification is granted;
- the applicable Certification Scheme;
- the standard(s) and other normative document(s), including their date of publication, to which it is judged that the product(s), process(es), service(s) or management systems comply.

### **3.24**

#### **specified requirement**

need or expectation that is stated

Note 1: Specified requirements can be stated in normative documents such as regulations, standards and technical specifications.

Note 2: Specified requirements can be detailed or general.

(ISO/IEC 17000:2020, 5.1.)

### **3.25**

#### **supervisory council**

body established by Government or relevant authority consisting of independent members who represent interested parties.

### **3.26**

#### **surveillance audit**

systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity.

### **3.27**

#### **third-party mark of conformity**

protected mark issued by a body performing third-party conformity assessment (3.13), indicating that an object (3.19) of conformity assessment (3.13) (product, process, person, system or body) is in conformity with specified requirements (3.24).

Note 1: A protected mark is a mark legally protected against unauthorized use.

Note 2: The specified requirements are generally stated in “normative” documents such as International Standards, regional or national standards, regulations and specifications.

### **3.28**

#### **verification**

control mechanism or process with objective evidence that demonstrate that specified requirements have been met.

## 3.29

### recertification

third-party certificate granted regarding a new criterion after obtaining Bronze or Silver certificates. Recertification audit takes place every 5 years and each time relates to new criteria.

Note 1: Refer to Annex D.

## 4 Regulator/Legal Entity requirements

**4.1** The Regulator/Legal Entity shall be a legal body such as a government body or any other national structure that coordinates the cocoa sector in the cocoa producing country and develops a Cocoa Certification Scheme in which one or more Certification Bodies participate and in which the various stakeholders are involved.

**4.2** The Regulator/Legal Entity shall be independent of certified clients and cocoa chain actors and shall not influence the certification decision.

**4.3** The Regulator/Legal Entity shall identify any risks to its impartiality on an ongoing basis. If a risk to impartiality is identified, the Regulator shall be able to demonstrate how it eliminates or minimizes such risk. This shall include those risks that arise from its activities, or from its relationships, or from the relationships of its personnel.

The Top Management of the Regulator/Legal Entity shall have a policy on impartiality and demonstrate their commitment to impartiality.

Note: A relationship that threatens the impartiality of the Regulator/Legal Entity can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new clients, etc.

**4.4** The Regulator/Legal Entity shall have an independent Supervisory Council appointed by the Government. The composition of the independent Supervisory Council shall be transparent.

**4.5** The Supervisory Council shall not engage in any activities that can conflict with their independence of judgment and integrity in relation to activities of the Regulator/Legal Entity, or have functions that can influence the outcome of certification decisions.

Note: Examples of conflicts are personal involvement in complaints, appeals, finances, contracts, marketing (including branding), payment of a commission, fraud and bribery, etc.

**4.6** The responsibilities of the Supervisory Council shall include the following:

- a) ensuring the impartiality and independence of the scheme, including ensuring the scheme does not allow commercial, financial, political or other pressures to compromise impartiality;
- b) overseeing the risk management policies and processes associated with ensuring impartiality and independence;
- c) approving the operational framework of the scheme;
- d) addressing unresolved complaints and appeals, and the Regulator/Legal Entity's actions for resolving them, including recommending to the Regulator/Legal Entity further actions for resolution;
- e) reviewing and validating annually the activities report from the Regulator/Legal Entity;
- f) conduct an annual review of scheme-related activities and provide feedback to the Regulator/Legal Entity.



- 4.7 The Regulator/Legal Entity shall have a sufficient number of competent personnel to effectively perform its activities.
- 4.8 The regulator should clearly define the skills required for its staff, in particular those involved in standard setting functions and overseeing certification bodies.

## **5 Scheme development and management**

- 5.1 The Regulator/Legal Entity shall be responsible for developing and maintaining its Certification Scheme in accordance with this Standard.
- 5.2 The Regulator/Legal Entity shall set up a structure for the development, operation and management of the scheme and provide guidance when required.

Note: General Guidance for the development and operation of schemes is given in ISO/IEC 17067.

- 5.3 The Regulator/Legal Entity shall create, control and maintain adequately documented information via an "Implementation Guide" for the operation, maintenance and improvement of the scheme. The documented information shall specify the rules and the operating procedures of the scheme and, in particular, the responsibilities for governance of the scheme
- 5.4 The Regulator/Legal Entity shall evaluate and manage the risks arising from its activities.
- 5.5 The Regulator/Legal Entity shall establish requirements for the Certification Bodies involved in the certification process. These requirements shall include accreditation of Certification Bodies to ISO/IEC 17021-1 and ISO/IEC 17065 by an accreditation Body operating in accordance with ISO/IEC 17011.
- 5.6 Prior to the selection of the Certification Bodies, the Regulator/Legal Entity must make the latter aware of the principles, procedures and all parameters that will enter into the audit before the list of Certification Bodies is available.
- 5.7 The Regulator/Legal Entity shall establish criteria for the assessment of Certification Bodies and clients to the scheme. The Regulator/Legal Entity shall specify what the Certification Bodies and clients shall report to the Regulator.
- 5.8 The Regulator/Legal Entity shall have an input in the development of contracts between all parties. The rights, responsibilities and liabilities of the various parties should be defined in the contracts.
- 5.9 The Regulator/Legal Entity shall ensure consistency of audits performed by Certification Bodies. The Regulator/Legal Entity shall define what shall be considered as major nonconformities. The Regulator/Legal Entity shall establish a sanctions policy to be applied by Certification Bodies.
- 5.10 The Regulator/Legal Entity shall define procedures on actions to be taken and any sanctions to be imposed if the Certification Bodies fail to meet scheme requirements.

Note: Annex C gives guidance for risk-based control and review of Certification Bodies.

- 5.11 The Regulator/Legal Entity shall establish and maintain a traceability system in order to monitor and validate sustainable cocoa as specified in ARS 1000-2. The traceability system should allow the Regulator/Legal Entity to control the use of certificates, claims or third-party marks of conformity in accordance with this Standard.
- 5.12 The Regulator /Legal Entity shall have a procedure/ legal document for annual negotiations of farmer premiums, cost recovery mechanisms and the right of refusal between:
- a) the first buyer and the Farmer group producing cocoa bean;

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- b) the cocoa bean producing farmer group and registered farmers.

The procedure shall provide that the outcome of the negotiations is documented and confirmed by both parties, and that the payments of farmer premiums and cost recovery mechanisms are recorded and verified.

The premium shall be paid in cash or bank transfer or any legally accepted form of payment.

In the development of the above procedures or legal document for negotiation of farmer premiums, cost recovery mechanisms and the right of refusal, the Regulator/Legal Entity shall estimate and consider the costs of implementing ARS series 1000.

- 5.13** The Regulator/Legal Entity shall make arrangements to protect the confidentiality of information provided by the parties involved in the scheme.
- 5.14** The Regulator/Legal Entity shall define a process for reviewing the operation of the scheme. This review shall identify aspects requiring improvement, taking into account feedback from interested parties, including Farmer as an entity/Farmer Group/Cooperative, hired workers/registered farmers and cocoa supply chain actors. The review should include provisions for ensuring that the scheme requirements are being applied in a consistent manner.
- 5.15** The Regulator /Legal Entity shall have a procedure or a defined process for making the necessary changes in the scheme whenever changes in these documents occur, and for managing the implementation of the changes (e.g., transition period) by the Certification Bodies, clients and, where necessary, other interested parties.
- 5.16** The Regulator/Legal Entity shall engage in periodic peer review of its scheme in accordance with the principles of ISO/IEC 17040. The result of this peer review of the scheme shall be available to its Supervisory Council and also to the public.
- 5.17** The Regulator /Legal Entity shall describe the specific actions taken or planned to be taken, within a defined timeframe, to remedy any identified nonconformities from the peer assessment and to inform the Supervisory Council.
- 5.18** The Regulator/ Legal Entity shall have the financial stability and resources required to play its role in the operation of the scheme.

## 6 Publicly available information

The Regulator/Legal Entity shall ensure the following information is maintained and made publicly available in a timely manner, as appropriate:

- a) operational framework and organizational structure of the scheme;
- b) policy on impartiality and the processes associated with ensuring impartiality and independence;
- c) list of Certification Bodies that are approved to audit clients to the scheme requirements;
- d) list of accreditation bodies that have accredited the Certification Bodies mentioned above in (c);
- e) procedure for control, assessment of performance and review of activities of Certification Bodies;
- f) current list of clients, including the issuer and expiry date of their certificates;
- g) list of clients whose certificates have been withdrawn or approved;

- h) policy on premium and cost recovery negotiation(s) and its procedures;
- i) policy on sanctions for noncompliance to this African Standard for sustainable cocoa production;
- j) types of audits performed, including methodology, sampling requirements and frequency of assessment;
- k) list of certification bodies whose accreditations have been withdrawn.

## **7 Complaints and appeals to Certification Bodies and the Regulator/Legal Entity**

**7.1** The Regulator/Legal Entity shall define and make publicly available a procedure for the handling of complaints and appeals against a client, a Certification Body or the Regulator itself. At a minimum, the procedure shall provide that:

- a) complaints to be given to the certification body and the copy given to the regulator/Legal Entity for them to be informed of all that is happening.
- b) complaints about contractual obligations between a client and the Certification Body, complaints about a client, and appeals against the decision of a Certification Body shall be addressed to the Certification Body in the first instance and resolved according to the Certification Body's complaints- and appeals-handling processes (see ISO/IEC 17021-1:2015);
- c) complaints about the certification activities of a Certification Body shall be addressed to the Certification Body in the first instance and, in addition, the Certification Body shall provide a copy to the Regulator /Legal Entity upon receiving and resolving the complaint;
- d) complaints and appeals that have not been, or cannot be, resolved by the Certification Body shall be addressed to the Regulator/Legal Entity.
- e) complaints and appeals about nonconformity to the Regulator's policies, procedures and certification requirements, including complaints relating to misleading statements or potential fraud, shall be addressed directly to the Regulator/Legal Entity copy to the Supervisory Council.
- f) complaints and appeals filed by clients, certification bodies or any other stakeholder in the chain against the Regulator/Legal Entity shall be first submitted to the Regulator/Legal Entity itself, with a copy to the Supervisory Council, which shall deal with them if such complaints and appeals by clients have not been or cannot be settled by the Regulator/Legal Entity.
- g) The Regulator/Legal Entity shall facilitate complaints (from clients and the public) regarding the Regulator/Legal Entity's policies, procedures, systems and certification scheme requirements via an open and transparent platform.

**7.2** The Regulator/Legal Entity shall investigate and take appropriate action regarding any claims, including reviewing the management of its system and taking any necessary corrective action.

**7.3** The Regulator/Legal Entity shall retain documented information of all complaints and appeals, including actions undertaken to resolve them and inform the Supervisory Council at regular intervals.

**7.4** The Regulator/Legal Entity shall ensure that the submission, investigation and decision on complaints and appeals shall not result in any discriminatory actions against the complainant or appellant.

**7.5** The Regulator/Legal Entity shall provide an annual summary report to the Supervisory Council, to support its role.

## 8 Requirements for Bodies performing audits for certification

### 8.1 General

- 8.1.1** Bodies performing audits and certification shall fulfill the requirements specified in ISO/IEC 17065. Certification Bodies shall permit clients to make claims of product conformity to the Certification Scheme in conformity to this African Standard.
- 8.1.2** The Certification Body shall identify risks and provide recommendation to the Farmer as an Entity/Farmer Group/Cooperative on the remedial processes to address the identified risks. The Certification Body shall not provide consultancy services to its clients.
- 8.1.3** The Regulator/Legal Entity shall determine the information needed for the application of certification and shall inform interested parties accordingly

In case of a change of Certification Body, the client shall notify the Regulator/Legal Entity. The client shall inform the new Certification Body prior to the certification and audit of its fulfilment of requirement level and status, achievements of conformity with the requirements of this Standard, ARS 1000-1 and ARS 1000-2 within the past certification period. The new Certification Body shall verify this with the Regulator/Legal Entity.

Note: Examples of information to be shared with the new Certification Body are certification reports and internal auditing reports.

- 8.1.4** There shall be a contract between the Certification Body and the Farmer as an Entity/Farmer Group/Cooperative for the provision of certification activities, in reference to 5.7 and in accordance with the relevant requirements of this Standard. This contract shall include the scope of certification, timeframe and fees.

#### 8.1.5 The Certification Body shall determine

- a) the time needed for considering application forms from clients for certification of sustainable cocoa;
- b) the time needed to plan and accomplish a complete and effective audit of the client;
- c) information needed from the client before proceeding to audit planning.

The Certification Body shall inform clients accordingly and shall do so in a timely manner once the client has applied for certification.

The client may request the Certification Body to accept a change of scope of the certification (e.g. change in volume, numbers of registered farmers or number of sites). The Certification Body shall, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit. A Certification Body can decline an extension if the client does not provide sufficient evidence that the change in scope is justified.

### 8.2 Audit cycle for sustainable cocoa

- 8.2.1** The Certification Body shall conduct a certification audit to assess all the requirements specified in ARS 1000-1 and ARS 1000-2, as appropriate.
- 8.2.2** The Certification Body shall conduct surveillance audits after the initial certification audit per Annex D.
- 8.2.3** The Certification Body should conduct audits of certified clients at short notice or unannounced as necessary following the risk-based approach, or to investigate complaints, or in response to changes, or as follow up on suspended clients, if applicable. The unannounced audit should be done within the stages of the audit (between initial certification audit and first surveillance audits, between the first and second surveillance audit and the second surveillance audit and the

renewal audit).

**8.2.4** The Certification Body shall identify, in consultation with the Farmer as entity/Farmer Group/Cooperative, whether or not the client has a seasonal production cycle, and shall plan the certification and recertification audit accordingly to take place within four (4) months before the beginning of a harvest period.

**8.2.5** Where the initial certification audit in a seasonal production cycle leads to a positive certification decision, within four months after the beginning of the harvest period, the cocoa harvested since the beginning of this harvest shall be certified.

**8.2.6** Where the initial certification audit in a continuous production cycle leads to a positive certification decision, the cocoa harvested after the date of this decision shall be certified.

**8.2.7** Where the initial certification audit leads to a negative certification decision, the client can request for a re-audit a minimum of six (6) months after the initial certification audit.

### **8.3 Audit Procedures**

**8.3.1** The Certification body shall effectively implement a documented procedure for:

- a) predefining the audit sample;
- b) ensure that the physical audit is carried out with minimum sample sizes equal to the square root of the number of Farmers to be certified;
- c) announcing and adjusting the audit sample during the audit;
- d) reporting and recording the actual audit sample after the audit.

**8.3.2** Such a procedure of the Certification Body shall include sample sizes for at least the following:

- a) Farms to be audited;
- b) farmers to be physically visited and/or interviewed without visiting their farms
- c) employees to be interviewed
- d) workers to be interviewed at each site
- e) workers to be interviewed at farm visits
- f) procedures to be reviewed
- g) records to be reviewed
- h) intermediaries/subcontractors/service providers to be verified
- i) internal inspectors to be interviewed and witnessed

**8.3.3** The Regulator shall review and approve such procedure as deem necessary.

### **8.4 Methods to obtain information during audit**

The Certification Bodies shall use various methods for obtaining information during the audit to triangulate audit findings and/or confirm non-conformity, including but not limited to:

- a) check and interview Farmer as an Entity/Farmer Group/Cooperative;
- b) on-site audit, including observation of activities;
- c) checking of facilities;
- d) interviews with registered farmers and their workers within the Farmer as an Entity/Farmer Group/Cooperative;

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- e) confirmation of data (e.g. good agricultural practices, working conditions, nonconformities);
- f) reviews of complaints and allegations;
- g) interviews with staff of the Farmer as an Entity/Farmer Group/Cooperative;
- h) performing stakeholder engagement sessions;
- i) performing off-site investigation in high-risk cases;
- j) reviewing of policies, procedures, records pertaining to processes and activities within the certification scope;
- k) auditing subcontractors, service providers and other actors directly linked to the processes and activities within the certification scope, such as intermediaries, transportation services, processing/warehouse services.

### 8.5 Time needed for an audit

**8.5.1** For Farmer as an Entity/Farmer Group/Cooperative, the following minimum time allowances shall be respected for on-site audit activities, if necessary, more time must be allocated for:

- a) cocoa fields, a minimum of one-sixth of a man-day, excluding time needed to travel between locations;
- b) a management system, one man-day.
- c) one individual interview of employees/workers, the minimum duration is 0.25 hours;
- d) one group interview, the minimum duration is 0.5 hours;
- e) a home visit to a farmer/employee or hired worker, the minimum duration is 0.25 hours.

**8.5.2** Depending on the size, the risks, the complexity of the cocoa fields and/or the management system and/or the risks emerged from interviews and/or house visits, the Certification Body shall allocate additional audit hours accordingly.

**8.5.3** The Certification Body shall record the actual amount of time for each visit and each quality management system audit and for each interview.

Note: Reference may be made to guidelines established in ISO/IEC TS 17023 for determining the duration of management system audit and/or ISO/TS 22003 or any other established management system guideline for audit time determination (such as IAF MD 5:2015, Version 3, Determination of audit time of quality management systems and environmental management systems).

### 8.6 Timeframe for resolving nonconformities

**8.6.1** In cases where nonconformities have been identified during the initial certification audit, certification renewal or surveillance audit, both the Certification Body and the client shall agree on a timeframe, in which the corrections and corrective actions shall be undertaken, with a maximum of three (3) months for initial or renewal audit or six (6) months for surveillance audit from the date of the audit report. Unless the certificate is suspended or withdrawn, the client and its cocoa is considered certified during this timeframe, provided it is not an initial certification audit. The Certification Body shall issue a decision to a Farmer as an Entity/Farmer Group/Cooperative not more than twenty-eight (28) days after the official written notification of corrections and corrective actions of any non-conformities.

**8.6.2** If the Farmer as an Entity/ Farmer Group/ Cooperative fails to demonstrate the implementation of the correction or corrective action for any nonconformity within three (3) months from the date

of the audit report for the certification or renewal audit, the Certification Body shall not grant a certificate or recertify the Farmer as an Entity/ Farmer Group/ Cooperative. The Certification Body shall issue a decision to the Farmer as an Entity/ Farmer Group/ Cooperative not more than twenty-eight (28) days after the three (3) months from the date of the initial or renewal audit report.

- 8.6.3** If the Farmer as an Entity/ Farmer Group/Cooperative does not demonstrate the implementation of corrections and corrective actions of any nonconformity within six (6) months from the date of the audit report, the Certification Body shall withdraw the certificate. The Certification Body shall issue a decision to the Farmer as an Entity/ Farmer Group/ Cooperative not more than twenty-eight (28) days after the six (6) months from the date of the surveillance audit report.
- 8.6.4** In order to become recertified, the client shall receive a new certification audit. Certification can be restored six (6) months or more after the surveillance audit that led to the withdrawal of the certificate.
- 8.6.5** Prior to the selection of the Certification Bodies, the Regulator/Legal Entity shall make the certification bodies aware of the principles, procedures and all the parameters that will be included in the audit before any list of certification bodies is made available.
- 8.6.6** Guidelines for the audit shall therefore be signed and countersigned between the Regulator /Legal Entity and certification bodies.
- 8.6.7** Before refusing to grant certificate to a Farmer as an Entity/ Farmer Group Cooperative, the Certification Body shall engage the Regulator/Legal Entity to evaluate the circumstances leading to the refusal for possible remedy.

## **8.7 Expiration of a certificate**

When a client's certification expires, the Certification Body shall inform the clients that they cannot, from the expiration date of the certificate, claim that their cocoa is certified to the scheme specified in this Standard.

Note: The Farmer as an Entity/ Farmer Group/Cooperative should take the necessary steps to ensure the renewal of certificates four (4) months before the expiration of the certificate.

## **8.8 Re-obtaining a certificate**

In cases where a client has re-obtained certification, the Certification Body shall not allow claims that the cocoa produced under the expired certificate is certified to the scheme specified in this Standard.

## **8.9 Requirements for competence of auditors**

- 8.9.1** In addition to the requirements specified in ISO/IEC 17021-1, the Certification Body shall ensure that auditors' competences include, at least:
- a) knowledge of agronomy and skills to identify the adoption of good agricultural and environmental practices;
  - b) knowledge to determine whether a client has identified and evaluated its compliance with all applicable statutory and regulatory requirements, and its conformity with other specified requirements within the specific aspect to be audited.
  - c) knowledge of social topics that are applicable in the standard as well as relevant practices in the local context;
- 8.9.2** The auditors shall demonstrate a high level of auditing skills and practices with rich auditing experience. The auditor shall have training and auditing experience of at least:
- a) 10 audits or 40 relevant days auditing good agriculture practices/standard as an auditor;

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- b) 10 audits or 40 relevant days auditing social topics/standard as an auditor or auditor in training in a recognized program, e.g. SA 8000 Certifications;
- c) 10 audits or 40 relevant days auditing environmental topics/standard as an auditor or auditor in training in a recognized program;

The auditor shall have passed a lead auditor training (IRCA-certified or equivalent of 40 hours) for one of the following programs: ISO 9001; and may have training in ISO 14001; ISO 22000, ISO 19011.

Note 1: Legal and regulatory requirements can be expressed by the term legal requirements.

Note 2: Other requirements may include national, international and sectoral voluntary protocols for environmental reporting.

d) Personnel involved in competence evaluation shall have, as a minimum, equivalent competence to the functions being evaluated.

## 9 Claims

### General requirements

- a) Claims or third-party marks of conformity for sustainable cocoa conforming to the ARS 1000 series are optional.
- b) If the Regulator/Legal Entity allows claims or third-party marks of conformity, these shall be claims or marks of product conformity (i.e. claims or marks of sustainable cocoa), and the Regulator/Legal Entity shall control the use of claims or third-party marks of conformity.
- c) The Regulator/Legal Entity shall define a policy and procedure(s) related to misleading use of certificates, marks or claims, and for situations in which the cocoa no longer fulfils requirements.
- d) The Regulator/Legal Entity shall establish rules for the use of claims or third-party marks of conformity. These rules shall meet the requirements and conditions of this standard and shall be made publicly available.

## 10 Third-party mark of conformity

The Regulator/Legal Entity shall ensure that the application of third-party marks of conformity is in accordance with the requirements specified in ISO/IEC 17030.

## 11 Licensing and control

**11.1** Where the scheme provides for the use of certificates, third-party marks of conformity or other statements of conformity, the scheme shall control such use through a licence or other form of enforceable agreement with clients. Licences may be between two or more of the following:

- a) Regulator/Legal Entity;
- b) Certification Body;
- c) client of the Certification Body.

**11.2** Licences shall include provisions to ensure that statements of conformity are in accordance with the requirements specified in Clause 9.



**11.3** Licences shall include provisions related to the use of the certificate, third-party mark of conformity or other statement of conformity in communications about the certified product, and certification shall remain valid at all stages of the processes.

**Annex A**  
(normative)

**Check list for different stages of certification audit**

**Part 1: Requirements for Cocoa Farmer as Entity/Farmer Group/Cooperative Management Systems and Performance**

Clause	Registration of the Farmer as an Entity/Farmer Group/Cooperative	Bronze Level: Initial Certification Audit (12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative)	Silver Level: Initial Certification or Recertification Audit (5 years after Bronze certification level)	Gold Level Initial Certification or Recertification Audit (5 years after Silver certification level).	Gold Level Recertification Audit (5 Years after certification to Gold level)
4.1		X	X	X	X
4.2.1	X	X	X	X	X
4.2.2		X	X	X	X
5.1			X	X	X
5.2			X	X	X
5.3			X	X	X
6.1			X	X	X
6.2			X	X	X
7.1.1			X	X	X
7.1.2	X	X	X	X	X
7.2		X	X	X	X
7.3		X	X	X	X
7.4		X	X	X	X
8			X	X	X
8.2.1		X	X	X	
9.1			X	X	X
9.2		X	X	X	X
9.3			X	X	X
10			X	X	X
11.2				X	X
11.3.1 - 11.3.10		X	X	X	X
11.3.11			X	X	X
12.2 – 12.3, 12.5 – 12.6		X	X	X	X
12.4, 12.7			X	X	X
12.8 - 12.9				X	X
12.10		X	X	X	X
13.2				X	X
13.3 (a, b, c)		X	X	X	X
13.3 (d, e)				X	X
13.4				X	X
13.5			X	X	X
13.6			X	X	X

## Part 2: Requirements for Cocoa Quality and Traceability

Clause	Bronze Level: Initial Certification Audit (12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative)	2nd initial certification audit or recertification audit: Silver level (5 years after the Bronze level certification audit)	3rd initial certification audit or recertification audit: Gold level (5 years after the Silver level certification audit)	Renewal audit (Every 5 years after the Gold Level certification audit)
4	X	X	X	X
5	X	X	X	X
6	X	X	X	X
7	X	X	X	X
8	X	X	X	X
9	X	X	X	X
10	X	X	X	X
12	X	X	X	X
13.1	X	X	X	X
13.2		X	X	X
13.3	X	X	X	X
14	X	X	X	X
15		X	X	X
16		X	X	X
17		X	X	X

**Annex B**  
(informative)

**Sample of risks to be assessed**

**B.1 Standards-related risks**

- a) Poorly written and vague standards leading to varying interpretations.
- b) Intent of standards unclear or missing.
- c) Frequent changes to standards, interpretive guidance or assessment methodologies.
- d) Lack of leadership by the Regulator/Legal Entity on the need for standards clarification.

**B.2 Assessment process-related risks**

- a) Lack of client understanding or incentive to conform.
- b) Lack of personnel competence (skills, knowledge or attributes).
- c) Audit staff over-familiar with clients, leading to lack of impartiality.
- d) Inadequate calibration between auditors (leading to inconsistent audit results).
- e) Lack of local or relevant auditor capacity (insufficient auditors trained and fluent in the local language in a region).
- f) Inconsistent audit planning and lack of coordination.
- g) Inadequacy of sampling methodology.
- h) Lack of knowledge of cultural attitudes to conformity assessment.

**B.3 System-related risks**

- a) Price competition among Certification Bodies may result in reduced quality of conformity assessment.
- b) Clients moving between Certification Bodies in a quest for a more lenient assessment.
- c) Potential for corruption (auditors, clients, assurance provider).
- d) Lack of adequate safeguards to prevent positive or negative bias by auditors.
- e) Difficulty engaging interested parties where their input is necessary to the conformity assessment process (lack of interest, lack of resources).
- f) Misleading representation of products and services (claims and labelling issues).
- g) Inadequate complaints system.
- h) Inadequate surveillance system.
- i) Lack of follow-up of nonconformities.

## **Annex C**

(informative)

### **Risk-based control and review of Certification Bodies**

**C.1** The Regulator/Legal Entity that prescribes a risk-based approach to determine the frequency and intensity of oversight of Certification Bodies should develop a separate procedure that characterizes the risk factors and categories appropriate to oversight and that contains the same elements as described in audit frequency and intensity.

Risk factors to consider when developing a sampling protocol include:

- a) the history of the Certification Body within the Certification Scheme;
- b) the growth rate of Certification Bodies;
- c) the history of low-quality audits in evaluations by Certification Bodies (e.g. where nonconformities have been raised previously about the quality of Certification Bodies' audits);
- d) complaints.

**C.2** The Regulator/Legal Entity should ensure that the oversight audit process includes a review of the performance of Certification Bodies and auditors in the field.

**C.3** The Regulator/Legal Entity should ensure that the Certification Body oversight personnel meets at least the requirements for the Certification Body auditors and shall be independent and impartial in all the Certification Body oversight activities.

**C.4.** The Regulator/Legal Entity should ensure that its Certification Body oversight system follows and respects the applicable requirements in the ISO 17011.

**Annex D**  
(normative)

**Audit Cycle – Guidance for Farmer as Entity/Farmer Group/Cooperative and Certification Bodies**

**D.1 Types of Audit**

<b>Types of audit</b>	<b>Calendar and frequency</b>
1. Bronze Level: Initial Certification Audit	12 Months After Registration of the Farmer as an Entity/Farmer Group/Cooperative.  After Farmer registration and before the initial certification audit, twelve (12) months the farmer as entity/farmer group/cooperative shall make a diagnosis of the farm necessary to establish the CFDPs for all registered farmers.
2. Bronze Level Surveillance Audit (Risk- based audit)	2.5 years after the Bronze Level Initial Certification Audit.  Farmer Group/Cooperative shall have established a minimum of 20 % CFDP for the registered farmers.
3. Silver Level: Initial or Recertification Audit	Farmer as Entity/Farmer Group/Cooperative may choose to be initially certified to this Silver Level or do so Five (5) years after the Bronze Level Initial Certification Audit.  Farmer Group/Cooperative shall have established a minimum of 60 % CFDP for the registered farmers.
4. Silver Level Surveillance Audit (Risk- based audit)	2.5 years after the Silver Level Initial or Recertification Audit.  Farmer Group/Cooperative shall have established a minimum of 80 % CFDP for the registered farmers.
5. Gold Level: Initial or Recertification Audit	Farmer as Entity/Farmer Group/Cooperative may choose to be initially certified to this Gold Level or do so Five (5) years after the Silver Level Initial or Recertification Audit  The Farmer Group/Cooperative shall have established 100% CFDPs for the registered farmers.
6. Gold Level Surveillance Audit (Risk- based audit)	2.5 years after the Gold Level Initial or Recertification Audit
7. Renewal Audit	Every five (5) years after the Gold Level Initial or Recertification Audit. CFDP shall be maintained fully at 100% implementation in all subsequent renewal audits every five (5) years and surveillance audits two and a half years after every renewal audit.

**D.2 Certification is carried out by an Entity which can be:**

- a) A Farmer as an Entity;
- b) A Farmer Group;
- c) A Farmer Cooperative.

**D.3** Progressive levels of certification shall be awarded based on compliance with the requirements of the sustainability African Standards **ARS 1000-1** and **ARS 1000-2**. Three (03) levels of certification are established for the Farmer as entity/Farmer Group/Cooperative.

- a) Bronze level: Initial level corresponding to the satisfaction of twelve (12) requirements, i.e., 38% of the requirements of ARS 1000-1 and eleven (11) requirements, i.e., 78% of the requirements of ARS 1000-2.
- b) Silver Level: Intermediate level, corresponding to the satisfaction of twenty-nine (29) requirements, i.e., 90% of the requirements of ARS 1000-1, and eleven (11), i.e., 100% of the requirements of the ARS 1000-2 standard.
- c) Gold Level: Highest level, all requirements of ARS 1000-1 and ARS 1000-2 are met by the Farmer as Entity/Farmer Group/Cooperative.

**D.4** The audit criteria are the requirements of ARS 1000-1 and 1000-2 that the Farmer as Entity/Farmer Group/Cooperative shall carry out. In its organization and its farms.

**D.5** The ARS 1000 standards are sustainability standards that aim to enable the Farmer as Entity/Farmer Group/Cooperative to achieve the highest level of sustainability. No Farmer as Entity/Farmer Group/Cooperative can claim to remain at the initial (Bronze) or intermediate (Silver) levels.

**D.5.1** the Farmer as Entity/Farmer Group/Cooperative may apply for an intermediate (Silver) or high (Gold) level certification audit at the first certification audit.

**D.5.2** To apply for certification audit, the Farmer as Entity/Farmer Group/Cooperative does not have to wait for the maximum period of time. This can be performed at any time.

**D.5.3** New farmers entering the Farmer Groups/Cooperatives after the initial certification audit to the Bronze Level shall develop the CFDP, shall have implemented a minimum of 20% CFDP and shall be audited for the CFDP during Bronze Level surveillance audit.

**D.5.4** New farmers entering the Farmer Groups/Cooperatives after the initial or re-certification audit to the Silver and Gold Levels shall develop the CFDP, shall have implemented a minimum of 20% CFDP but shall not be audited for 100% CFDP during the surveillance audit.

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