

Cocoa Horizons Standard and Methodology 3.2

This standard and methodology document serves as the basis for the Cocoa Horizons environmental, social and economic program pillars. It is intended for use by implementation partners or in independent assessments and benchmarking exercises by third parties.

Pillar - ECONOMIC				
Sub-Pillar - Farm Business Plan				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 01	FBP established	<p>Farmers Groups develop a Farm Business Plan (FBP) for their Farmers, based on a diagnostic of their farm.</p> <p>The FBP is customized to farmers' reality and aims to lift farmers out of poverty or further improve their livelihood by means of influencing cocoa production, income diversification including diversified agricultural production, cost reduction (e.g. optimization of input and labor usage) and financial instruments.</p> <p>The FBP shall:</p> <ul style="list-style-type: none"> > divide the farm into cocoa fields (homogeneous plots) and take representative samples to develop the FBP for the entire farm > ensure that the FBP takes into account farm and family economics to guide the farmer in his/her financial decision making > ensure that the FBP delivers a month-to-month activity plan to guide farmers in the implementation of their FBP > ensure that the FBP delivers information to guide 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 > establish, together with Farmers, the timeline for lifting the whole farm to the targeted yield over 10 years. 	<p>Implementers ensure that Farmer Groups support Farmers to develop a Farm Business Plan fulfilling all aspects mentioned. The FBP is established, together with Farmers, by an agronomist or an accredited professional but approved by an agronomist, to guarantee its pertinence and quality.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the delivery of inputs and services to farmers. This structure may therefore contribute to the FBP development together with Farmers.</p>	Farmer Groups
GAP 02	FBP implemented	<p>Farmer Groups support Farmers in their FBP implementation with follow up coaching visits to ensure that all agreed interventions are implemented for all plots according to the agreed timeline.</p> <p>Farmer Groups monitor and document the implementation and improvement of the FBP through the cocoa farm diagnostic observations.</p>	<p>Implementers ensure that Farmer Groups follow up and support Farmers to implement the FBP with up to 5 visits per year on the farm depending on the farmer seniority and need.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the delivery of inputs and services to farmers. This structure may therefore provide coaching visits to farmers.</p>	Farmer Groups
GAP 03	FBP holistic	<p>Farmer Groups provide recommendations to farmers through the FBP in respect with this standard, addressing:</p> <ul style="list-style-type: none"> - Cocoa rehabilitation plans - Provisions for the replenishment and replacement of soil nutrients so that nutrient levels in the soil are adequate and balanced - Provisions for pest and disease control (doses, timing and application intervals), using an integrated pest and disease management approach. - A pesticide reduction plan - Correct pesticide application (e.g. buffer zones) - Adequate soil management (e.g. soil erosion, run-off and siltation of watercourses prevention) - Biodiversity conservation measures (e.g. compensation & buffer areas, wildlife corridors, planting of shade trees) - Agroforestry system when pertinent - Waste management (storage, disposal etc.) 	<p>Implementers ensure that Farmer Groups connect the different impact activities implemented with the Farm Business Plan process to ensure consistency and progress against the various criteria of this standard. This mainly applies to the graduation and training system promoting farmer's adoption of best practices, but also the provision of inputs and services by Farmer Groups.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the delivery of inputs and services to farmers, supporting the implementation of the various best practices listed and their follow up through coaching visits.</p>	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

GAP 04	Farming as business training	Farmers have business knowledge and informatio; including technical, logistical, infrastructural and financial aspects.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on business management. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups support the continuous capacity building of farmers through the coaching visits included in the Farm Business Plan follow up.</p>	Farmers
GAP 05	Income diversification	Farmer Groups support Farmers to mitigate their income fluctuation risk, and to diversify their income sources and crops when they wish to.	<p>Implementers ensure that Farmer Groups integrate income diversification in the farm diagnosis and Farm Business Plan process, offering options to mitigate cocoa income volatility such as diversification and saving mechanism.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure the integration of income diversification in their processes and offering.</p>	Farmer Groups
GAP 06	Farm administration system	Farmer Groups support Farmers to have access to a basic system for documenting information and expenditures to build their financial history.	<p>Implementers ensure that Farmer Groups:</p> <ul style="list-style-type: none"> > record the cocoa sales on behalf of the farmers through the traceability system. > provide a tool supporting Farmers to register their financial history in the frame of the Farm Business Plan. When applicable, Farmer Groups record farmer's purchase of productivity or replanting packages. <p>Implementers may support Farmer Groups by enabling access to Farm Services for the delivery of inputs and services to farmers, which records farmer's financial history.</p>	Farmer Groups
GAP 07	FBP financial model	Farmer Groups support Farmers to determine the need and viability for financing and to access financing services.	<p>Implementers ensure Farmer Groups have the necessary (FBP) tool to identify Farmers' credit need, financial viability and ability to pay back credit.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the delivery of inputs and services to farmers, such as the development of the Farm Business Plan based on the economic reality of farmers and the access to financial institutions for loans.</p>	Farmer Groups
GAP 08	FBP package	<p>Farmer Groups support Farmers to implement their FBP through the provision of:</p> <ul style="list-style-type: none"> - Access to savings and credit scheme - Access to services (professional labor or coaching) - Access to tools and inputs 	<p>Implementers ensure that Farmer Groups and their farmers have access to the necessary services and inputs that are required to implement the FBP. For example, most Productivity Packages are a combination of agro inputs and coaching which can be bought on credit through the Farmer Group.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the delivery of inputs and services to farmers.</p>	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - ECONOMIC				
Sub-Pillar - Farm establishment				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 09	Land title	Farmers demonstrate their right to use the land by ownership, leasehold, or by documentation of traditional use rights. Where agriculture is allowed and traditional land rights are recognized, smallholder farmers are exempt to demonstrate their land rights.	<p>Farmer Groups record the land ownership's status of their farmers and map all their cocoa plots in order to support farmers to establish property titles. Farmer Groups ensure that farmers with farms larger than 10ha have land documentation.</p> <p>Implementers further support Farmers to establish property titles at a competitive cost via land documentation projects when possible.</p>	Farmers
GAP 10	New farm establishment regulation	Farmer Groups provide information on national regulations and rural and agricultural development plans to their Farmers willing to establish new farms.	<p>Implementers ensure that Farmer Groups are informing their farmers on national regulations, through training and other communication channels, especially when they emit the wish to establish new farms.</p> <p>Implementers ensure that rural and agricultural development plans, e.g. zoning and no-go areas, are respected in the execution of the FBP (design and implementation).</p>	Farmer Groups
GAP 11	New farm establishment support	Farmer Groups advise Farmers who acquire new fields or plant new cocoa plots, on the suitability of the intended field(s) for production of cocoa.	<p>Implementers ensure that Farmer Groups assess the suitability of the intended field(s) for cocoa production and advise farmers consequently, preventing any establishment on peat soils.</p> <p>Implementers ensure that the provision of replanting packages, by themselves, their partner or Farmer Groups directly, respects such process.</p>	Farmer Groups
GAP 12	Quality planting material	Farmer Groups give Farmers access to cocoa planting material that is free from pests and diseases and which comes from a verified and competent source to ensure its quality, productivity, resistance to pests and diseases and suitability for the climate.	<p>Implementers ensure that Farmer Groups provide access to cocoa planting material from a verified, competent source, e.g. as per national regulations where these exist.</p> <p>When feasible and relevant, Implementers support Farmer Groups or Communities to set up their own cocoa nursery, ensuring the staff is trained on high quality cocoa seedling production and selection.</p>	Farmer Groups
GAP 13	Shade trees	Farmers foster species diversity of shade trees in their plots according to their context to augment biodiversity in synergy with livelihoods and productivity targets.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers are aware of the importance of biodiversity and it's synergy with cocoa farming when it comes to shade trees. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups promote agroforestry and shade tree diversity by providing Farmers with access to diversified shade tree seedlings via forest authority or nurseries that have been selected for their benefits and compatibility with cocoa.</p>	Farmers



Cocoa Horizons Standard and Methodology 3.2

GAP 14	Correct planting technique	<p>When establishing new cropping system, Farmers are considering the following factors:</p> <ul style="list-style-type: none"> > Planting material's characteristics > Geographical, ecological and agronomic conditions > Diversification and intercropping crops with different rooting depths and soil uses to enhance soil quality and health > Planting density 	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on correct planting techniques, following the conditions and regulations of the relevant local regulatory body. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups support Farmers establishment or renovation of coco plots by providing them the correct recommendations and related products through the Farm Business Plan process.</p>	Farmers
GAP 15	Cocoa tree management	Farmers are aware of good practices related to maintenance and rehabilitation of cocoa trees.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on correct cocoa tree management techniques. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups support farmers in maintaining their farm by providing access to professionalized service or setting up informal labor groups.</p>	Farmers

Cocoa Horizons Standard and Methodology 3.2

Pillar - ECONOMIC				
Sub-Pillar - Soil fertility				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 16	Soil management training	<p>Farmers are aware of GAP related to soil management, nutrient balance and replenishment.</p> <p>Farmers, or agronomy advisors who make decisions about fertilizer choice, source, application rate and placement are competent in making calculations based around soil and crop characteristics and managing the risk of losses of Nitrogen and Phosphorous to the environment from different types of nutrients and application methods (e.g. to reduce volatilization losses).</p>	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on correct planting techniques. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups support Farmer's fertilization plans by providing them the correct recommendations and related products through the Farm Business Plan process.</p> <p>Implementers ensure that Farmer Groups training curriculum is updated regularly based on latest findings on best practices by an expert knowledgeable in the matter.</p> <p>Implementers ensure that Farmer Groups support Farmer's fertilization plans by providing them the right services and inputs.</p>	Farmers
GAP 17	Vegetative cover	<p>Farmers keep the soil covered by vegetation or mulch on the farmlands to avoid bare soil. Organic waste such as free pod husks and pruning debris, seeds and fruits should be left in the farm. Organic waste should be arranged also in a manner to stimulate pollinisation of cocoa flowers, simplify work and limit disease propagation.</p>	<p>Mulching and soil cover are key practices promoted for regenerative agriculture to prevent soil erosion and enhance its fertility.</p> <p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on the benefits of vegetative cover. Farmer Groups provide training to farmers, if needed.</p>	Farmers
GAP 18	Composting	<p>Farmers are composting organic material in a designated area.</p>	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on composting, especially for harvest residues, to improve the soil structure and fertility. Farmer Groups provide training to farmers, if needed.</p>	Farmers
GAP 19	Fertilizer Access	<p>Farmer Groups provide Farmers with access to homologated fertilizer, free of contaminants, and selected for their cost efficiency in cocoa farming.</p>	<p>When feasible and relevant, Implementers support Farmer Groups to select and negotiate with suppliers of fertilizer in order to provide high quality fertilizer at a competitive price for Farmers.</p>	Farmer Groups
GAP 20	Fertilization recommendation	<p>Farmers apply fertilizers based on soil analysis to ensure the balance in between input and output of nutrients (nutrient replacement) if:</p> <ol style="list-style-type: none"> (1) soil testing is reliable and affordable, (2) farm-specific fertilizer is available and cost-effective 	<p>Farmer Groups support Farmers to develop a fertilization plan based on soil analysis through the Farm Business Plan process. When soil testing is not readily available in the country, Farmer Groups follow the fertilizer recommendations made by the relevant authorities.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the delivery of fertilizers adapted to cocoa cultivation and the design of fertilization plans based on soil analysis.</p>	Farmers



Cocoa Horizons Standard and Methodology 3.2

GAP 21	Soil erosion training	Farmers prevent soil erosion.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on soil erosion prevention as a key component of regenerative agriculture. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups support Farmers planting, renovating or diversifying their cocoa plots with technological packages including design elements to avoid soil erosion.</p>	Farmers
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Cocoa Horizons Standard and Methodology 3.2

Pillar - ECONOMIC				
Sub-Pillar - Agrochemical management				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 22	IPM training	<p>Farmers are adopting Integrated Pest Management (IPM) measures including prevention, observation, monitoring and intervention aiming for:</p> <ul style="list-style-type: none"> - Prevention by implementing good agricultural practices - Monitoring of pests and diseases - Application of tolerance levels - Use of non-chemical alternatives such as mechanical weed control and use of biological control (e.g. natural enemies) - Use of pesticides as a last option - Rotation strategies to avoid that pests become resistant to pesticides - Preventive spraying is avoided 	<p>Integrated Pest Management is a key component of our approach on regenerative agriculture to limit the use of agrochemicals to its strict minimum.</p> <p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on Integrated Pest Management and its basic principles. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups support Farmer's implementation of their Integrated Pest Management by providing recommendation and access to non chemical alternatives. When providing products to Farmers, Farmer Groups keep records of which products have been used and ensure their rotation.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision and application of control measures for pests and diseases.</p>	Farmers

Cocoa Horizons Standard and Methodology 3.2

Pillar - ECONOMIC				
Sub-Pillar - Agrochemical selection				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 23	Agrochemical access	Where needed, Farmers have access to officially registered agrochemicals.	<p>Access to official registered chemicals is possible for the farmer thanks to access to Productivity Packages. The PP design incorporates officially registered agrochemicals.</p> <p>Farmer Groups support Farmer's implementation of their Farmer Business Plan by providing access to officially registered agrochemicals.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of officially registered agrochemicals selected for their efficiency and lower toxicity to the environment.</p>	Farmers
GAP 24	Agrochemical recommendation	<p>Farmers are applying agrochemicals which are authorized and approved for use on cocoa.</p> <p>The choice of agrochemicals is based on suitability for the crop and target organism, resistance management programmes, advice on the label to protect vulnerable ecosystems and organisms, and hazards to human health</p>	<p>Farmer Groups respect a list of agrochemicals which are approved by national and international regulations and recommended by Implementers for their effectiveness in cocoa and lower environmental toxicity. This list is used as reference for (1) recommending pesticides to farmers during training on crop protection, (2) incorporation of pesticides in productivity packages and (3) training of professional sprayers, when needed and applicable.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision and application of agrochemicals which are approved and effective for use on cocoa.</p>	Farmers
GAP 25	Banned Agrochemical	Farmers prevent the use of pesticides containing active ingredients classified "highly hazardous" by the FAO or banned by the European Union as specified by Annex I of Regulation 649/2012/EC (EC use limitation "b" = ban).	<p>Farmer Groups respect a list of agrochemicals which are approved by national and international regulations and recommended by Implementers for their effectiveness in cocoa and lower environmental toxicity. Banned chemicals are not on that list. This list is used as reference for (1) recommending pesticides to farmers during training on crop protection, (2) incorporation of pesticides in productivity packages and (3) training of professional sprayers, when needed and applicable.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision and application of agrochemicals which are approved and effective for use on cocoa.</p>	Farmers

Cocoa Horizons Standard and Methodology 3.2

GAP 26	Hazard Agrochemical	Farmers prevent the use of any product containing active ingredients classified as WHO 1a, or listed in Montreal Protocol (this includes methyl bromide) or the Stockholm Convention on Persistent Organic Pollutants.	<p>Farmer Groups respect a list of agrochemicals which are approved by national and international regulations and recommended by Implementers for their effectiveness in cocoa and lower environmental toxicity. Banned chemicals are not on that list. This list is used as reference for (1) recommending pesticides to farmers during training on crop protection, (2) incorporation of pesticides in productivity packages and (3) training of professional sprayers, when needed and applicable.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision and application of agrochemicals which are approved and effective for use on cocoa.</p>	Farmers
GAP 27	Greener Agrochemical	Farmer Groups promote the reduction and phasing out of products containing active ingredients classified as WHO1b, or stated in the Basel or Rotterdam Conventions by scientifically proven and effective alternatives.	<p>Implementers ensure that Farmer Groups are looking for suitable alternatives and promoting biofertilizers and organic solutions for pest and disease control to support the reduction and phasing out of such products in their Farmer Services offering.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision and application of biofertilizers and organic solutions.</p>	Farmer Groups
GAP 28	Expired Agrochemical	Farmers prevent the use of expired agrochemicals.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agrochemical application. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups make sure that the products they may provide can be used before reaching their expiration date.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure products are applied before the expiration date.</p>	Farmers

Cocoa Horizons Standard and Methodology 3.2

Pillar - ECONOMIC				
Sub-Pillar - Agrochemical handling				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 29	Agrochemical handling skills	Farmers and Farmer Groups ensure they or their workers are competent in handling and storing agrochemicals.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agrochemical handling and storing. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which store or handle agrochemicals, to provide Farm Service to their Farmers for instance, have competent workers in charge of such tasks.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure their workers are competent on handling and storing agrochemicals.</p>	Farmers & Farmer Groups
GAP 30	Agrochemical adequate personnel	Farmers and Farmer Groups prevent young people (under 18 years old), pregnant and nursing mothers, and people with respiratory illnesses from performing activities related to agrochemicals, including contaminated equipment.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on sensitive people who should be protected from any contact with agrochemicals. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which provide agrochemical's application protect this sensitive group from any exposure.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure this sensitive group is protected from any exposure.</p>	Farmers & Farmer Groups
GAP 31	Agrochemical spillage prevention	Farmers and Farmer Groups ensure that agrochemical containers are properly closed during storage and transportation in order to prevent spillage.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agrochemical handling and storing. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which store or handle agrochemicals, to provide Farm Service to their Farmers for instance, have competent workers in charge of such tasks.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure their workers are competent on handling and storing agrochemicals.</p>	Farmers & Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - ECONOMIC				
Sub-Pillar - Agrochemical application				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 32	Agrochemical equipment calibration	Farmers and Farmer Groups maintain and calibrate their spraying equipment in order to minimize waste and excessive applications of chemicals. The correct functioning of spraying equipment is verified at least once a year.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agrochemical application including equipment maintenance and calibration. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which provide agrochemical application have an accreditation program for their sprayers including equipment calibration and maintenance.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure the accreditation of sprayers.</p>	Farmers & Farmer Groups
GAP 33	Agrochemical correct application	Farmers and Farmer Groups ensure that the suitable equipment, dosage, timing and intervals of application are respected as specified on product label and instructions for use.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agrochemical application including product label and instructions. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which provide agrochemical application have an accreditation program for their sprayers including the respect of product instructions for application.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure the accreditation of sprayers.</p>	Farmers & Farmer Groups
GAP 34	Application warning	Farmers put in place measures such as warning signs after applying agrochemicals to ensure re-entry times and pre-harvest intervals are respected.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agrochemical application including re-entry time and pre-harvest intervals. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which provide agrochemicals or application services have an accreditation program for their sprayers including the use of warning signs to inform on re-entry times and pre-harvest intervals.</p>	Farmers



Cocoa Horizons Standard and Methodology 3.2

GAP 35	Agrochemical storage	Farmers and Farmer Groups establish dedicated storage facilities for agrochemical with ventilation, light, a system for collecting spillages and warning signs.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on storage facilities for agrochemicals. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which provide agrochemicals have dedicated storage facilities restricted to authorized personnel.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure agrochemicals are stored in dedicated facilities.</p>	Farmers & Farmer Groups
GAP 36	Agrochemical application records	Farmers and Farmer Groups record the applications of agrochemicals.	<p>Farmer Groups support Farmers to record their agrochemical application.</p> <p>Implementers ensure that Farmer Groups which provide agrochemical's application keep and share records of the applications with the Farmers.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure record keeping and sharing.</p>	Farmers & Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - ECONOMIC				
Sub-Pillar - Agrochemical safety				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 37	PPE training	Farmers and Farmer Groups ensure they or their workers who apply agrochemicals are knowledgeable on the procedures and Personal Protective Equipment to use, in order to minimize risks to themselves, their family, bystanders and the environment.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on protective measures and equipment. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which provide agrochemical's application have an accreditation program for their sprayers including the use of protective measures and personal equipment.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure the accreditation of sprayers.</p>	Farmers & Farmer Groups
GAP 38	PPE storage	Farmers and Farmer Groups handle and store their equipment used for agrochemical application in a secure location separated from living quarters, food or feed. Only authorized persons have access. Manufacturer's specifications for handling are respected.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on the handling and storage of agrochemical related equipment. Farmer Groups provide training to farmers, if needed. Implementers ensure that Farmer Groups which provide agrochemicals or application services have an adequate storage facility restricted to authorized personnel.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure the handling and storage of products in an adequate facility.</p>	Farmers & Farmer Groups
GAP 39	PPE sprayer access	Farmers and Farmer Groups workers who handle and apply agrochemical use Personal Protective Equipment (PPE). Protective equipment (PPE) is provided to workers free of charge.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agrochemical handling, including the need for Personal Protective Equipment. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that sprayers contracted or managed by Farmer Groups have access to a free PPE and are trained on their use. The PPE may be stored at the Farmer Group, but reasonably within reach of the sprayer.</p>	Farmers & Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

<p>GAP 40</p>	<p>Agrochemical container disposal</p>	<p>Farmers and Farmer Groups are carrying out the storage, handling and disposal of empty agrochemical containers and expired agrochemicals in an appropriate way. Empty agrochemical containers are triple washed and disposed of safely. They are not used for any other purposes, including re-use for human or animal food or water.</p>	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on expired agrochemical and container disposal. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups put in place a system to facilitate the appropriate collection and disposal of empty containers from Farmers.</p> <p>Implementers ensure that Farmer Groups which provide agrochemical's services take care of the disposal of the agrochemical containers.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure the collection and disposal of agrochemical containers.</p>	<p>Farmers & Farmer Groups</p>
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Cocoa Horizons Standard and Methodology 3.2

Pillar - ECONOMIC				
Sub-Pillar - Post harvesting				
Reference	Title	Criteria	Implementation Guidelines	Target Group
GAP 41	Harvest & fermentation	Farmers are adopting good practices and appropriate equipment with regard to harvest, pod-breaking and fermentation.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on harvesting and post-harvest techniques. Farmer Groups provide training to farmers, if needed. Farmer Groups may provide Farmers with access to the appropriate equipment such as harvesting tools.</p> <p>Farmer Groups ensure the appropriate quality controls and traceability the purchase of cocoa as per government regulations and Barry Callebaut requirements.</p> <p>Implementers ensure Farmer Groups are implementing the required quality controls and traceability procedures, and may support Farmer Groups in selecting and purchasing cost effective and qualitative harvesting equipment.</p>	Farmers
GAP 42	Drying	Farmers are sun-drying cocoa on a clean and prepared surface, without direct contact with roads, soil or contamination by smoke.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on sun-drying techniques, including how to protect cocoa beans from contamination. Farmer Groups provide training to farmers, if needed.</p> <p>Where contamination with smoke is an issue, e.g. in Cameroon or Brazil, Farmer Groups (or the national commercial system) incentivize the production of non-smoky beans.</p>	Farmers
GAP 43	Cocoa beans bags	Farmers use appropriate bags for packaging and storage of cocoa beans (e.g. using materials that are clean, strong, and non-toxic). Bags are made available to farmers if needed.	Farmer Groups provide appropriate cocoa bags to farmers and ensure through a graduation process or via monitoring, that farmers have knowledge on cocoa beans packing and storage. Farmer Groups provide training to farmers, if needed.	Farmers
GAP 44	Cocoa storage	Farmers and Farmer Groups store packed cocoa beans in appropriate conditions, including pest control measures.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on cocoa beans storage, especially when Farmers store the cocoa temporarily. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups which organize the collection of cocoa beans from Farmers, pick up the cocoa at optimal intervals.</p> <p>Implementers ensure that Farmer Groups store the cocoa appropriately, keeping its quality and respecting the recommendations from national regulatory bodies, and train the respective staff if needed.</p>	Farmers & Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

Pillar - SOCIAL				
Sub-Pillar - Human Rights Committee				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 01	Human Rights Protection commitment	Farmer Groups respect, protect and fulfill Human Rights and fundamental freedoms, within the context of their activities and that of their members. They avoid causing or contributing to adverse Human Rights impacts such as child labor and forced labor, following UNGP and OECD guidelines.	Implementers ensure that Farmer Groups sign the Cocoa Horizons Convention which includes their commitment to protect Human Rights and combat child labour. Implementers ensure that Farmer group's executives are knowledgeable on Human Rights and support the implementation related practices.	Farmer Groups
SOC 02	Human Rights Committee / Responsible	Farmer Groups appoint a Human Rights Committee or Responsible (depending on size) to identify, assess and address adverse Human Rights impacts, such as child labor, child protection, forced labor or other Human Rights concerns, with which they and their members are involved within the context of their business activities. The Responsible or Committee should also prevent or mitigate adverse Human Rights impacts that are directly linked to their business operations. The committee (when applicable) should be composed of at least three people, with a representation from the management, workers and women (at least 33%). The Committee or Responsible is impartial, trusted by the farmers and workers and knowledgeable about Human Rights and child rights and gender equality. The committee or responsible is to identify, assess and address adverse Human Rights impacts, implement a grievance mechanism to ensure appropriate and effective remedy and raise awareness on Human Rights and child rights among the Group and farming community. They work in close collaboration with relevant government authorities and agencies, NGOs and existing child protection structures and other relevant stakeholders in the communities.	Implementers ensure Farmer Groups set up and manage a Human Rights Committee/responsible fulfilling the requirements. Implementers ensure Farmer Groups' Human Rights Committee/responsible implement activities to mitigate, identify and remediate Human Rights violations. Such activities include the monitoring and remediation of child labor and forced labor, a grievance mechanism and awareness raising campaigns. Implementers may execute some of these activities directly, on behalf of Farmer Groups, while building the committee's/responsible's capacity to be the central point of coordination. Implementers monitor the effectiveness of such committees on a yearly basis.	Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

Pillar - SOCIAL				
Sub-Pillar - Human Rights Policy implementation				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 03	Human Rights policy	Farmer Groups have a Human Rights policy in place following national labor laws and ILO conventions (e.g ILO Conventions No 29, 87, 98, 100, 105, 111). The policy should be known to all Farmer Group staff and Farmers in local language and key messages on each topic displayed at central locations.	Implementers ensure Farmer Groups develop and communicate their Human Rights policy to Farmers and staff, in collaboration with the Human Rights committee / responsible.	Farmer Groups
SOC 04	Human Rights awareness	Farmers and their workers are aware of Human Rights, including at minimum basic labour rights and child rights, including forced and child labour.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on Human Rights and Child Rights. Farmer Groups provide training to farmers, when knowledge gaps have been identified and/or Human Rights risks have been identified as high.	Farmers
SOC 05	Subcontracting	Farmer Groups require their service providers and subcontractors to comply with Barry Callebaut Supplier Code of Conduct	Implementers ensure that their and Farmer Groups' service providers and subcontractors comply with BCs Supplier code of conduct.	Farmer Groups
SOC 06	Labor Brokers	If labor brokers or recruitment agencies are used, Farmer Group management has a written contract and documented oversight mechanisms in place ensuring that the labor provider is: Licensed or certified by the competent national authority, if available Compliant with applicable legal requirements Not engaged in fraudulent or coercive recruiting practices Compliant with all worker related requirements of this standard All recruitment fees are paid by the Farmer Group management, not by workers.	Implementers ensure Farmer Groups develop professional labor groups to provide labor for services to their Farmers. When contracting via third parties for this purpose requirements need to be met.	Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

Pillar - SOCIAL				
Sub-Pillar - Identify & address system				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 07	Grievance mechanism	Farmer Groups provide access to a grievance mechanism that enables individuals, workers, communities and/or civil society, including whistle-blowers to raise their complaints of being negatively affected by specific business activities and/or operations of any nature, including technical, social, or economic nature.	Implementers ensure that Farmer Groups have a grievance mechanism in place (e.g letter box, appointing a representative for workers, toll free line, ect). Farmer contracts specify the availability of the grievance mechanism. Farmer Groups should have credible whistleblowing policies and systems that are appropriately resourced for effective responses and ensure that employees and workers are protected from retaliation.	Farmer Groups
SOC 08	forced labor risk assessment	Farmer Groups' Human Rights Committee/Responsible assesses the risk of trafficking and forced labor.	Implementers ensure Farmer Groups' Human Rights Committee/Responsible execute a risk assessment in relation to forced labor, and this is regularly updated.	Farmer Groups
SOC 09	Worker Registration list	<p>Farmers (and Farmer Groups) keep an up to date list of permanent and temporary workers, containing for each worker:</p> <ul style="list-style-type: none"> > Full name > Gender > Year of birth > Start and end date(s) of employment > Wages <p>For workers for whom housing is provided, the registry additionally contains:</p> <ul style="list-style-type: none"> > Housing address > Number of family members > Year of birth of family members <p>For young workers (15 – 17 years), the registry additionally contains:</p> <ul style="list-style-type: none"> > Housing address > Name and address of parent(s) or legal guardian(s) > School registration (if applicable) > Type of work or tasks > The number of daily and weekly working hours 	<p>Farmer Groups collect information on farmer's workers via a worker's survey.</p> <p>Implementers ensure that Farmer Groups train their employees and implement employment policy to register workers appropriately.</p>	Farmers & Farmer Groups
Pillar - SOCIAL				
Sub-Pillar - Human Rights				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 10	No forced labor	<p>NON NEGOTIABLE*</p> <p>Farmers and Farmer Groups protect workers from all forms of forced, bonded or involuntary labor and human trafficking.</p> <p>*This criteria is non negotiable, meaning that cases identified must be remediated by local government services or relevant expert agencies, if needed with support of the Farmer Group. In cases of confirmed forced labor, the Farmers or Farmer Groups will be excluded from the program.</p>	<p>Farmer Groups assess and address the risk of forced labor via a Human Rights Committee/Responsible.</p> <p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on forced labor and know that workers should be treated with respect and dignity, and are aware that the use of violence, threats and harassment are unacceptable. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups have a recruitment policy and a grievance mechanism trusted by workers to protect employees against all forms of forced, bonded or involuntary labor and human trafficking. Abuses should be reported immediately to the authorities.</p>	Farmers & Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

SOC 11	No document retention	Farmers and Farmer Groups ensure that no identity document or other personal documentation is withheld from workers or employees.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on forced labor, including the interdiction to retain identity documents. Farmer Groups provide training to farmers, if needed. Implementers ensure that Farmer Groups have this criteria included in their employment policy. This includes the option to deposit their documents for safekeeping, but a copy of the document and a receipt should be issued and the worker must have access to the documents upon request.	Farmers & Farmer Groups
SOC 12	No discrimination	Farmers and Farmer Groups respect the principle of non-discrimination and the rights of the individual and take initiatives to contribute to the elimination of discrimination if observed, including, but not limited to, discrimination on the basis of race, color, gender, personal relationships, disability, marital status, age, HIV/AIDS status, religion, political opinion, language, property, nationality, ethnicity, or social origin.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on equity and diversity, including the principle of non-discrimination. Farmer Groups provide training to farmers, if needed. Implementers ensure that Farmer Groups have policies and mitigation measures in place to avoid discrimination, especially during staff recruitment or promotion.	Farmers & Farmer Groups
SOC 13	No harassment & abuse	Farmers and Farmer Groups treat all employees and workers with dignity and respect, protecting them from the use of physical punishment, threats of violence, verbal, physical, mental, sexual or any other form of abuse or harassment.	Farmer Groups assess and address the risk of Human Rights violation, via a Human Rights Committee, responsible to raise awareness and promote the grievance mechanism among the farming community. Implementers ensure that Farmer Groups have employment policies and a grievance mechanism implemented to ensure no worker is subjected to corporal punishment, mental or physical coercion, or verbal abuse.	Farmers & Farmer Groups
SOC 14	Freedom of association	Farmers and Farmer Groups protect the right of agricultural workers and employees of the organization to freely organize into associations and Farmer Groups.	Farmer Groups assess and address the risk of Human Rights violation, via a Human Rights Committee / Responsible to raise awareness and promote a trusted grievance mechanism among the farming community. Implementers ensure that Farmer Groups have employment policies and a grievance mechanism implemented to protect the freedom of association.	Farmers & Farmer Groups
SOC 15	Freedom of collective bargaining	Farmers and Farmer Groups protect the right of workers and farmers to voluntarily negotiate by means of collective agreements with employers, employers' organizations, buyers, and other institutions or associations, with a view to the regulation of terms and conditions of employment and/or other financial and non-financial benefits.	Farmer Groups assess and address the risk of Human Rights violation, via a Human Rights Committee/responsible to raise awareness and promote a trusted grievance mechanism among the farming community. Implementers ensure that Farmer Groups have employment policies and a trusted grievance mechanism implemented to protect the freedom of association.	Farmers & Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

SOC 16	Workers basic needs provision	Farmers and Farmer Groups ensure their employees and workers are able to bring potable water, washing water and soap (in order to wash hands before eating) to work, and if not, provide these. Farmer Groups provide their employees and workers with free access to potable water, hand-washing facilities and shelter for breaks and mealtimes. Workers in or near buildings must have access to clean toilets, hand washing with soap, and food storage facilities.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on basic needs for their workers. Farmer Groups provide training to farmers, if needed. Implementers ensure that Farmer Groups are providing for the basic needs of their workers.	Farmers & Farmer Groups
SOC 17	Basic needs review	Farmer Groups undertake initiatives to raise awareness and understanding of the rights of workers, farmers and their families in regards to basic needs. A minimum of 1 meeting per year is organized. Meeting(s), participants and main results are documented and shared.	Implementers ensure that the Human Rights Committees of Farmer Groups organize at least one meeting per year to raise awareness on the rights to basic needs and access to the grievance mechanism.	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - SOCIAL				
Sub-Pillar - Gender equality				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 18	Gender equality	Farmer Groups provide men and women with equal opportunities and equal remuneration for equal work.	Implementers ensure that Farmer Groups have an employment policy which ensures that men and women receive equal opportunities and remuneration.	Farmer Groups
SOC 19	Gender improvement inventory	Farmer Groups have an inventory of issues related to gender inequality	Implementers ensure that Farmer Groups include gender aspects in their Human Rights risk assessment, management plan and policies.	Farmer Groups
SOC 20	Gender awareness	Both women, men and youth within the Farmer Groups and Farmers are aware of gender-related issues in cocoa farming.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on gender-related issues. Farmer Groups provide training to farmers in the course of the training modules on Human Rights, if needed.	Farmers & Farmer Groups
SOC 21	Woman training inclusion	Farmer Groups are offering all their training courses to both men and women members of the organization, including the spouses of registered farmers.	Implementers ensure that Farmer Groups encourage attendance of female farmers and spouses for any training or coaching session. Farmer Groups register the gender of training participants.	Farmer Groups
SOC 22	Leadership gender inclusion	Farmer Groups encourage the inclusion of women in the selection process for management, other paid positions and any leadership posts within the organization.	Implementers ensure that Farmer Groups have Human Resources policies promoting the recruitment or promotion of women at key positions.	Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

Pillar - SOCIAL				
Sub-Pillar - Child Protection Policy				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 23	Children rights protection	<p>NON NEGOTIABLE* Farmers and Farmer Groups provide for, or co-operate through, legitimate processes in the remediation of child labor cases where the farmer or farmer group has identified that they have caused or contributed to this situation.</p> <p>*This criteria is non negotiable, meaning that cases identified must be remediated. If the child labor case has not been adequately addressed 24 months after the first support activity, the related child labor cases are referred to local government support services. The farmer is excluded from the program if the principles of "do no harm" and "best interest of the child" can not be respected with the involvement of the relevant child protection stakeholders."</p>	<p>Farmer Groups develop and implement a child protection policy, whereby its implementation is overseen by an appointed responsible or committee. The implementation should include activities to prevent, assess and address the risk of child labor, including a grievance mechanism and referral pathways.</p> <p>Implementers ensure Farmer Groups develop and implement their child protection policy, aligned with the Cocoa Horizons policy. Any worst forms of child labor (e.g. trafficking or slavery) should be reported immediately to the authorities.</p>	Farmers & Farmer Groups
SOC 24	Child Labor Responsible	Farmer Groups appoint a person, who is competent in child rights and child safeguarding from their management structure, with the responsibility to manage the risk of child labor where it has been identified as high risk and contribute to its elimination. It can fall under the responsibilities of a Human Rights Committee member or the Human Rights Responsible.	Implementers ensure that Farmer Groups have identified the persons in charge of child labor safeguarding and, if needed, support their training in the aspects of child labor root causes, risks, identification methods, prevention and remediation, including child safeguarding principles.	Farmer Groups
SOC 25	Safeguarding policies	Farmer Groups have developed, adopted and disseminated safeguarding policies for child and adults, which includes child-friendly engagement and interview techniques.	<p>Implementers ensure that Farmer Groups sign the Cocoa Horizons Convention.</p> <p>Implementers ensure that Farmer Groups develop, adopt and disseminate their policies, aligned with the Cocoa Horizons Policy on Safeguarding. This includes the training of all field staff (in-depth) and all management staff (high level) on:</p> <ul style="list-style-type: none"> - Child and adult safeguarding, including child-friendly engagement and interview techniques - Human Rights, including child rights, child labor, forced labor, gender - Identification of different forms of harm and their signs - How to conduct observations and report Human Rights violations 	Farmer Groups
SOC 26	Child labor risk assessment	Farmer Groups carry out a Human Rights due diligence as appropriate to their size, the nature and context of operations and the severity of the risks of adverse Human Rights impacts, child labor and forced labor, following OECD guidelines.	<p>Implementers ensure Farmer Groups assess the risk of child labor based on an inventory of children's right issues and leveraging the basic information collected for each farmer.</p> <p>In addition, implementers ensure an up-to-date registry of all Cocoa Horizons communities is maintained to be used for the risk assessment, with data on:</p> <ul style="list-style-type: none"> > Basic information on the status and functionality of infrastructures such as health centers, roads, water points, schools, child protection structures, electricity, mobile coverage > The activity of Non Governmental Organization in each of the communities 	Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

<p>SOC 27</p>	<p>Child Labor Monitoring and Remediation</p>	<p>Based on the risk assessment and inventory, Farmer Groups undertake actions to prevent, identify, monitor and remediate child labor and the worst forms of child labor related to the activities of the Farmer Group and its Farmers. The frequency of monitoring shall be based on the risk inventory, and specified in the child labor policy, and shall take place at household and farm level.</p>	<p>Implementers support Farmer Groups to identify Human Rights concerns in their supply chain and report in through their grievance mechanism and to collaborate with child protection structures to identify child protection issues and child labor at community level.</p> <p>Implementers support Farmer Groups to follow up and remediate cases identified and take ownership of such a process. Remediation activities should be effective and impactful meaning that it should get the child out of child labor for the long term.</p> <p>In parallel and based on the results of the risk assessment, Implementers support Farmer Groups to implement preventive activities, through the creation and/or support of community structures that promote child rights and improve child well being. Such structures can be Child Protection Committees, Local Development Committees or School Management Committees.</p> <p>Implementers ensure that the process integrates local and national government structures, and a reporting on child labor cases and remediation activities by</p>	<p>Farmer Groups</p>
<p>SOC 28</p>	<p>Child labor / Child protection community structure</p>	<p>Cocoa Horizons communities are taking actions when concerns arise regarding abuse, exploitation or harming of children.</p>	<p>Implementers and Farmer Groups ensure the community structures that are in charge of child protection deal with cases related to the Farmer Group's supply chain.</p> <p>Implementers ensure Farmer Groups implement preventive activities such as Village Saving and Loan Association (VSLA), Income Generative Activities (IGAs) and Community Action Plan (CAP), combined with a child protection and women empowerment focus, in communities where a high risk of child labor has been identified.</p>	<p>Communities</p>

Cocoa Horizons Standard and Methodology 3.2

SOC 29	Unconditional WFCL (Worst Forms of Child Labor) referral	Farmer Groups report immediately suspected cases of unconditional worst forms of child labor (including child trafficking, bonded labor, and slave labor) to the relevant authorities following the Farmer Groups' referral protocol.	Implementers ensure that Farmer Groups and the community structures that are in charge of child labor and child protection monitoring and remediation systems are trained and are aware of the necessity to refer unconditional child labor cases to government institutions. Implementers ensure there is a referral protocol or develop one together with the Farmer Group.	Farmer Groups
SOC 30	Children's right awareness	Farmers, their workers and their children are aware of Human Rights, child's rights and child labor.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on Human Rights and children's rights. Farmer Groups provide training to farmers, if needed. Farmer Groups sensitize farming communities on Human Rights and children's rights through community events, such as the Cocoa Horizons roadshow.	Farmers
SOC 31	Hazardous types of child labor awareness	Farmer Groups publicly communicate a list of applicable hazardous activities, including information about the prohibition of hazardous work for children, within the organization, among the agricultural workers, and towards the children of agricultural workers.	Implementers ensure that Farmer Groups communicate on their child labor policy publicly, in the form of posters at cocoa collection points for instance.	Farmer Groups
SOC 32	School attendance promotion	Farmers and Farmer Groups actively promote education and school attendance for all children, and vocational training for children of a legal working age.	Farmer Groups promote education and school attendance through training and sensitization events. Implementers ensure that Farmer Groups are targeting the communities with high risk or identified cases of child labor for training or sensitization events and support to the community structures. School attendance is further promoted by prevention and remediation activities and should be described in the Farmer Group's mitigation plan. Where relevant and feasible, Implementers may support Farmer Groups to improve the quality of education in targeted communities.	Farmers & Farmer Groups
SOC 33	Vocational training	Farmer Groups promote vocational training, apprenticeship and employment in agriculture for youth above the minimum working age (excluding hazardous tasks).	Implementers ensure that Farmer Groups integrate vocational training and apprenticeship in their preventive and corrective actions against child labor. Implementers further ensure Farmer Groups which provide labor services to employ youth above the minimum working age for adequate activities. Implementers may support Farmer Groups by enabling access to Farm Services for the provision of labor services, in which case they promote the employment of youth from the community.	Farmer Groups
SOC 34	Birth certificates	Farmer Groups support their Farmers and workers so that their children have birth certificates or other legal identity documentation.	Implementers ensure that Farmer Groups integrate the provision of birth certification as a remediation measure and may support the process when relevant and feasible.	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - SOCIAL				
Sub-Pillar - Contracting				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 35	Written contract	<p>Farmer Groups have a written employment contract with permanent and temporary workers in a language they understand and who are employed for more than three consecutive months, signed by both parties.</p> <p>The worker receives a written copy of the contract at the time of signing. Permanent and temporary workers employed for fewer than three months must have at least verbal contracts in place.</p> <p>Verbal instead of written contracts are acceptable only if they create legally binding employment relationships under applicable law. The employer keeps records of verbal contracts that include all terms listed below and informs workers of these terms.</p> <p>Written/verbal contracts include at minimum:</p> <ul style="list-style-type: none"> Job duties Location of the job Working hours Pay rate and/or method of calculation Overtime pay rate Frequency or schedule of payment Deductions, benefits provided such as in-kind benefits Paid leave Medical leave and protections in case of illness, disability or accident Notice period (if any) for contract termination 	<p>Implementers ensure that Farmer Groups develop and implement an employment policy including the establishment of written/verbal contracts. If needed, Implementers provide capacity building on such processes and tools.</p>	Farmer Groups
SOC 36	Sharecroppers & caretakers contract	<p>Farmers provide sharecroppers and caretakers with written contracts, specifying labor conditions and payment arrangements, in a format and language that they can understand.</p>	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers who employ sharecroppers and caretakers have knowledge on employment conditions and payment arrangements. Farmer Groups provide training to farmers, if needed.</p>	Farmers
SOC 37	Seasonal workers conditions	<p>Farmers and Farmer Groups provide to all seasonal workers the working conditions and workers' rights equivalent to permanent workers.</p>	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on employment conditions. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups develop and implement an employment policy providing the adequate working conditions. If needed, Implementers provide capacity building on employment conditions.</p> <p>Implementers ensure that Farmer Groups provide access to confidential and safe grievance mechanisms that are trusted by workers.</p>	Farmers & Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - SOCIAL				
Sub-Pillar - Employment terms				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 38	Regular wage payment	In the case of wage labor, Farmer Groups pay wages on a regular basis. The frequency of payments and wage levels are clearly stated at the beginning of employment in the employment contract.	Implementers ensure that the Farmer Groups have wage payment modalities included in their employment policy.	Farmer Groups
SOC 39	Working hours	Farmer Groups comply with applicable laws and the International Labor Organization Conventions with respect to the number of working hours per day and the number of days worked in a week. Regular working weeks shall be limited to 48 hours and overtime to 12 hours maximum. Other than during periods of operational intensity e.g. harvest, the sum of regular and overtime hours in a week does not exceed 60 hours. All overtime work by workers is on a voluntary basis. Farmer Groups enable workers to time off work, for medical appointments and counselling for themselves and their dependents.	Implementers ensure that Farmer Groups have employment policies covering working hours and ensure there is a trusted grievance mechanism.	Farmer Groups
SOC 40	Maternity leave	Farmer Groups grant maternity leave for regular hired workers with pay or with comparable social benefits without loss of former employment, seniority or social allowances and provide special protection to women during pregnancy in types of work proved to be harmful to them.	Implementers ensure that Farmer Groups have employment policies that cover maternity leave, protection of pregnant women and implement a gender sensitive grievance mechanism.	Farmer Groups
SOC 41	Social security	Farmer Groups provide social security to their employees, and if so required meet their financial obligations to this end.	Implementers ensure that Farmer Groups are aware of the principles and good practices respecting labor law of the country, including the obligation to subscribe permanent employees to the national social security system and the integration of clauses in the worker's contract to that effect. Implementers ensure that Farmer Groups include the social security rights into their employment policy and into contracts with their employees.	Farmer Groups
SOC 42	Pension Fund	Farmer Groups ensure that all regular hired workers have access to the benefits of a provident fund or pension scheme, if available.	Implementers ensure that Farmer Groups are aware of the different pension schemes available to their employees and grant them access.	Farmer Groups
Pillar - SOCIAL				
Sub-Pillar - Operational Health & Safety				
Reference	Title	Criteria	Implementation Guidelines	Target Group
SOC 43	OHS (Occupational Health and Safety) mitigation plan	Farmers and Farmer Groups have an inventory of occupational health and safety risks related to their operations and implement an action plan to address the issues identified. The action plan ensures that there is access to First Aid sufficient to respond to emergencies such as injury, fire, noise or dust.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on the salient Human Rights risks on the farms as well as first aid in case of immediate danger, especially regarding exposure to agrochemicals. Farmer Groups provide training to farmers, if needed. Implementers support Farmer Groups on this process by leveraging existing plans from the Ministry of Labor and analyzing the principal risk and prevention measures for work related health and safety.	Farmers & Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

SOC 44	OHS (Occupational Health and Safety) worker protection	Farmers and Farmer Groups ensure workers are informed about and protected against occupational health and safety risks in their agricultural work, especially when they are operating in Hazardous conditions. This information is provided clearly and visibly in the working environment of the organization, in a language they understand and with pictograms.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on Occupational Health and Safety, especially regarding exposure to agrochemicals when relevant. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups are displaying Occupational Health and Safety risks and prevention measures in their premises such as their warehouses.</p>	Farmers & Farmer Groups
SOC 45	PPE (Personal Protective Equipment) provided	Farmer Groups provide the necessary protective equipment free of charge and ensure their employees and workers use it.	Implementers ensure that Farmer Group provide protective equipment, train and supervise employees and seasonal workers in their use.	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - ENVIRONMENT				
Sub-Pillar - Ecosystem and wildlife protection				
Reference	Title	Criteria	Implementation Guidelines	Target Group
ENV 01	Water buffer zone	Farmers maintain a 10 meter buffer zone made of native vegetation along the borders of seasonal and permanent water bodies to reduce erosion, limit contamination from agrochemicals, and protect wildlife habitats. Farmers with existing cocoa trees in this buffer zone may keep these in a mixed agroforestry system where agrochemicals are not applied. The vegetation in the buffer zone shall not include plants that are detrimental to cocoa trees.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on buffer zones, free from any agrochemical application. Farmer Groups provide training to farmers, if needed.</p> <p>When supporting farmers to have access to cocoa seedlings, Farmer Groups ensure that buffer zones are maintained and, if not yet existing, established.</p> <p>Implementers ensure that Farmer Groups which provide agrochemical application have an accreditation program for their sprayers, including the respect of buffer zones during application.</p> <p>Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure the accreditation of sprayers.</p>	Farmers
ENV 02	Water bodies protection	<p>Farmers are protecting water bodies by adopting practices such as the management of wastewater and other solid or liquid contaminants.</p> <p><i>Practices such as the creation of buffer zones between cocoa fields and water bodies, careful agrochemical handling and empty container disposal are covered by other criteria.</i></p>	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on water protection. Farmer Groups provide training to farmers, if needed.</p> <p>In the case where Farmer Groups provide spraying services, they ensure that sprayers are also trained on water protection and accredited through an evaluation.</p>	Farmers
ENV 03	Ecosystem and wildlife protection	Farmer Groups develop and implement an ecosystem and wildlife protection plan, which defines the biodiversity conservation areas, buffer zones and wildlife corridors. This plan is developed in consultation with the local communities, identifying threatened and endangered species. The implementation of the plan and the impact of farming activities on biodiversity and wildlife are monitored at least every 3 years. The management plan is adapted if necessary for improvement.	<p>Implementers ensure that Farmer Groups develop and implement an ecosystem and wildlife protection plan based on the national or regional conservation lists and plans provided by the government and non-governmental organizations.</p> <p>When feasible and relevant, Implementers may support or implement biodiversity conservation projects such as the establishment of wildlife corridors or the restoration of degraded ecosystems.</p>	Farmer Groups
ENV 04	Threatened species awareness	Farmers are aware of threatened and endangered wildlife species in the production area and how to protect them.	<p>Farmer Groups ensure the sensitization of farming communities on wildlife protection, in particular concerning threatened and endangered species in the production area.</p> <p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on water protection. Farmer Groups provide training to farmers, if needed.</p>	Farmers



Cocoa Horizons Standard and Methodology 3.2

ENV 05	Threatened species hunting	Farmers prevent any hunting, fishing or gathering of rare, threatened or endangered species on their farm. Farmers inform their workers about these species and that destroying important habitats on-farm (or off-farm because of farming activities) is not allowed.	<p>Farmer Groups ensure the sensitization of farming communities on wildlife protection, in particular concerning threatened and endangered species in the production area.</p> <p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on water protection. Farmer Groups provide training to farmers, if needed.</p>	Farmers
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Cocoa Horizons Standard and Methodology 3.2

Pillar - ENVIRONMENT				
Sub-Pillar - Prevention and remediation of tree cover loss				
Reference	Title	Criteria	Implementation Guidelines	Target Group
ENV 06	Conservation areas	<p>NON NEGOTIABLE*</p> <p>Farmers are not carrying out any farming activities in national parks, wildlife refuges, forestry reserves, temporary or permanent water bodies and other public or private protected areas, except where it complies with applicable law.</p> <p>*This criteria is non negotiable, meaning that any infringement will lead to the exclusion of the related farmers from the program.</p>	<p>Farmer Groups ensure that no cocoa is being sourced from illegal areas by implementing traceability procedures in line with Barry Callebaut guidelines, including the mapping all the plots from the registered farmers. Farmers with any farm located in non-compliant areas, or with a deforestation event confirmed after 31 December 2020, are excluded from the program and their cocoa not purchased or not mixed with compliant cocoa.</p> <p>Implementers ensure that Farmer Groups effectively exclude and inform the respective farmers of their exclusion from the program, and segregate their cocoa.</p>	Farmers
ENV 07	No deforestation	<p>NON NEGOTIABLE*</p> <p>Farmers prevent the conversion of forest to other land use independently of whether human-induced or not. No deforestation has happened since 31st of December 2020.</p> <p>As per FAO definition, a forest consists of any land spanning more than 0,5 hectares with trees higher than 5 meters and a canopy cover of more than 10%, or trees able to reach those thresholds in situ, excluding land that is predominantly under agricultural or urban land use.</p> <p>*This criteria is non negotiable, meaning that any infringement will lead to the exclusion of the related farmers from the program.</p>	<p>Farmer Groups ensure that no cocoa is being sourced from illegal or deforested areas by implementing traceability procedures in line with Barry Callebaut guidelines, including the boundary mapping of all the plots from registered farmers and yield controls. Farmers with any farm located in non-compliant areas, or with a deforestation event confirmed after 31 December 2020, are excluded from the program and their cocoa not purchased or not mixed with compliant cocoa.</p> <p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on forest laws and protection. Farmer Groups provide training to farmers, if needed.</p> <p>Implementers ensure that Farmer Groups effectively exclude and inform the non-compliant farmers of their exclusion from the program, and segregate their cocoa.</p>	Farmers
ENV 08	Environmental degradation remediation	<p>Farmers remediate of previous environmental degradations, such as tree cover loss, that may have occurred on their farms since 2005.</p>	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on forest value and benefits. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups implement environmental or climate smart activities, such as Agroforestry or the conversion to green energy , with farmers who have degraded secondary forests since 2005 (and before 2020), putting priority on the most recent events..</p> <p>Implementers may support Farmer Groups at a landscape level via reforestation and forest protection effort.</p>	Farmers

Cocoa Horizons Standard and Methodology 3.2

ENV 09	Large remnant tree protection	Farmers protect large native trees that existed prior to the establishment of the farm, preventing them from being felled or burned in existing farms or when establishing new farms.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on the value and benefits of large remnant native trees. Farmer Groups provide training to farmers, if needed.</p> <p>Farmer Groups ensure that farmers who have felled such large native trees prior the registration to the program are remediating their negative impact by replanting such trees as part of a monitored agroforestry system.</p> <p>As a preventive measure, Farmer Groups furthermore implement environmental or climate smart activities, such as agroforestry, with farmers in deforestation hotspots in priority.</p>	Farmers
ENV 10	Non cocoa tree planting	Farmers are aware of the importance of shade trees and plant forest tree species, timber trees, fruit trees and shrubs by using diverse and native tree species, where necessary and feasible. Farmers prevent the introduction of invasive alien species on their farms.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agroforestry and the value and benefits of shade tree's diversity, as a key component of regenerative agriculture. Farmer Groups provide training to farmers, if needed.</p> <p>When supporting farmers to have access to cocoa or non-cocoa seedlings, Farmer Groups ensure that diverse and native shade trees are integrated in an agroforestry model, preventing the propagation of invasive and alien species.</p>	Farmers
ENV 11	Tree registration	Farmers ensure the documentation of newly planted trees in the frame of agroforestry or cocoa replanting.	<p>Farmer Groups record the type and number of cocoa and non-cocoa trees distributed to each Farmer. Farmer Groups also realize an inventory of existing trees for farmers interested in agroforestry.</p> <p>Farmer Groups may support the registration of cocoa and non-cocoa trees with the authorities.</p>	Farmers
ENV 12	Timber use	Farmers manage wood for timber or fuel sustainably, ensuring the use-rate does not exceed growth and replacement-rate. Where communal land includes forest, trees, and/or community woodlots, these must be managed sustainably.	<p>Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on agroforestry and the management of tree stock. Farmer Groups provide training to farmers, if needed.</p> <p>When supporting farmers to have access to non-cocoa seedlings, Farmer Groups develop an agroforestry model, based on the inventory of existing trees, integrating wood trees with diverse growth rates to provide a sustainable source of timber wood for Farmers.</p> <p>Farmer Groups and Implementers may further support Farmers to have a sustainable wood consumption by providing access to improved cookstoves.</p>	Farmers

Cocoa Horizons Standard and Methodology 3.2

Pillar - ENVIRONMENT				
Sub-Pillar - Waste management				
Reference	Title	Criteria	Implementation Guidelines	Target Group
ENV 13	No burning	Farmers prevent the use of fire for land clearing or harvest residues burning.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on soil health and the value and benefits of composting, a key component of regenerative agriculture. Farmer Groups provide training to farmers, if needed.	Farmers
ENV 14	Waste management	Farmers and Farmer Groups are implementing good waste management practices such as: - the composting of any organic material in a designated area - the storage and disposal of non-organic waste 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 - the treatment of expired agrochemicals as hazardous waste - the management of empty agrochemical containers to prevent their use for any other purposes	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on good waste management practices. Farmer Groups provide training to farmers, if needed. Implementers support Farmer Groups to implement a waste management plan considering major risks, recycling options and value generation.	Farmers & Farmer Groups
Pillar - ENVIRONMENT				
Sub-Pillar - Carbon emission management				
Reference	Title	Criteria	Implementation Guidelines	Target Group
ENV 15	Carbon monitoring	Farmer Groups estimate and report the sequestration and emissions of greenhouse gases from the farms registered into the program.	Implementers support and ensure Farmer Groups estimate and report the sequestration and emissions of greenhouse gases from the farms registered into the program.	Farmer Groups
ENV 16	Carbon emission reduction	Farmers and Farmer Groups take measures to reduce any net emissions of greenhouse gases they are generating, by favorizing renewable energy when available and affordable.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on climate change. Farmer Groups provide training to farmers, if needed. Implementers encourage and incentivize Farmers and Farmer Groups to adopt green technology and use renewable energy. Implementers and Farmer Groups may further support the reduction of carbon emission through specific activities such as the implementation of agroforestry systems.	Farmers & Farmer Groups
ENV 17	No soil extraction	Farmers and Farmer Groups prevent any offtake of soil from local nature reserves, riverbanks or land set aside for conservation (e.g. for use in nurseries). The use of peat is avoided and replaced with more sustainable alternatives.	Farmer Groups ensure through a graduation process or via monitoring, that farmers have knowledge on how to appropriately get soil for their use, such as the establishment of a tree nursery, while preserving ecosystems. Farmer Groups provide training to farmers, if needed. When relevant, implementers ensure Farmer Groups are sourcing soil appropriately, ensuring the protection of ecosystems and preventing the use of peat.	Farmers & Farmer Groups
Pillar - MANAGEMENT				
Sub-Pillar - Farmer Group registration				
Reference	Title	Criteria	Implementation Guidelines	Target Group

Cocoa Horizons Standard and Methodology 3.2

MGT 01	Farmer Group registration	Farmer Groups commits to the Cocoa Horizons requirements for Farmer Groups and sign the following documents: - The Supplier Code of Conduct - The Cocoa Horizons Convention, including a commitment to respect, protect and fulfil Human Rights and fundamental freedoms combat child and forced labor and to protect forests.	Implementers ensure that Farmer Group's leadership understands and commits to follow Cocoa Horizons policies. The content of these policies is aligned with this standard and formalized in the 2 documents cited. These are updated from time to time, usually at a global level, and then Farmer Groups must sign a new copy.	Farmer Groups
MGT 02	Farmer Group internal management system	Farmer Groups have an effective internal management system with the following minimum requirements: - Organizational Chart - Governance Procedure Manual: a) Approval of new Farmers b) Obligations of the Farmer Group and the Farmers c) Premium payment to Farmers - Farmers' register according to the program requirements	Implementers ensure Farmer Groups establish an Internal Management System that meets the minimum requirements.	Farmer Groups
MGT 03	Farmer Groups statutory and regulatory compliance	Farmer Groups ensure that applicable statutory and regulatory requirements are determined, understood and constantly met.	Implementers ensure that Farmer Groups are respecting all applicable statutory and regulatory requirements.	Farmer Groups
MGT 04	Accounting responsible	Farmer Groups assign the responsibility and authority to (an) individual(s) for ensuring that costs of the program's implementation are clearly calculated, and transparent procedures are established, implemented and maintained for the accounting and record-keeping of the costs of implementation, including external provision.	Implementers ensure that Farmer Groups have the appropriate structure to manage the program implementation, including the control of its costs.	Farmer Groups
MGT 05	Operations' responsible	Farmer Groups assign the responsibility and authority to (an) individual(s) for the program operations, ensuring that registered farmers are adequately assisted to progress against this standard.	Implementers ensure that Farmer Groups have the appropriate management structure to manage the program implementation, including the execution of activities.	Farmer Groups
Pillar - MANAGEMENT				
Sub-Pillar - Farmer registration				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 06	Farmer's registration	Farmer Groups have a signed (or marked) agreement with all their farmers registered under the program, specifying the rights and obligations of each party, including at least: > The farmer's engagement to improve its performance against this methodology > The farmer's right to leave the program at any time and automatic registration's renewal otherwise > The farmer's obligation to accept both internal inspections, external audits and sanctions > The farmer's guarantee that any product sold as Cocoa Horizons comes solely from their farm > The farmer's right to appeal decisions made by the group management by using the grievance procedure	In countries where the literacy rate is low such as West African countries, Farmer Groups may fulfill such requirements by performing and registering an onboarding session where Farmers are informed of their rights and obligations and confirm their consent. Implementers ensure that Farmer Groups register Farmers correctly and document the date of registration of each individual Farmer.	Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

<p>MGT 07</p>	<p>Communication on program expectations</p>	<p>Farmer Groups inform farmers, prior to their registration, on the program activities including:</p> <ul style="list-style-type: none"> > the objectives and scope of cocoa sustainability management systems and this standard > the Farm Business Plan (FBP) process > the services to be provided by the program (either through the Farmer Group or by the Implementer directly) to the farmer when registered; > the engagement from Farmers after registration to participate in social, environmental, and economic activities, especially for non-negotiables where remediation is required. > generic estimates of the costs and benefits to be realized by Farmers as a result of participating in the program > the information expected to be shared, including rationales for sharing it > that registered farmers will be subject to both internal and external audit; > transparency on all agreements made by the Farmer Group with first buyers or other interested parties for farmer premiums or for financing the costs of implementation, including cost recovery mechanisms; > other relevant opportunities and risks. 	<p>Implementers ensure Farmer Groups design and implement their management plan</p>	<p>Farmer Groups</p>
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Cocoa Horizons Standard and Methodology 3.2

Pillar - MANAGEMENT				
Sub-Pillar - Data & record keeping requirements				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 08	Farmer basic data	<p>Farmer Groups register and maintain the following information for each registered farmer, including their signature (or thumbprint):</p> <ul style="list-style-type: none"> > Full name; > National identification document (ID) (if available); > Program identification number / code > Date of birth or estimated date and birth, if not known; > Gender; > Phone number (if available) > Household location (community, district and GPS) > Household composition, including names, date of birth, gender and education status; > Number, gender and age of permanent laborers; including laborers from the household; > Children of household, including gender, date of birth, full name of parents, details of school attendance, and kinship with the registered farmer; > Size of the cocoa farm (using the most effective form of measurement available to the organization) and the percentage of its land that is planted with cocoa; > Number and location of cocoa fields (using the most effective form of measurement available to the organization according to national practices); > Previous crop year's total production and deliveries to the farmer group; > Legal ownership rights over the land if applicable or if not applicable, a record of the testimony of the farmer and/or land owner of rights relating to the land. > Sustainability program participation and year of entry in Cocoa Horizons 	<p>Implementers ensure Farmer Groups collect and maintain this information annually via the census and farm mapping. For new farmers this information shall be collected before the end of the fiscal year (from September to August).</p>	Farmer Groups
MGT 09	Additional information justification	<p>Farmer Groups provide a justification for any other personal information collected and ensure farmers are aware of the justification and the potential risks of sharing personal information.</p>	<p>Implementers ensure that Farmer Groups collect only necessary information for the implementation and monitoring of the program and provide such justifications to the Farmers.</p> <p>Implementers ensure that Farmer Groups collect Farmer's consent after informing them of the potential risks of sharing personal data.</p>	Farmer Groups
MGT 10	Farmers data ownership	<p>Farmer Groups ensure that Farmers maintain ownership of their individual data. In case of leaving the organization, it is assured that their personal data are deleted within 2 years.</p> <p>When a farmer wishes to be registered within one other organization, the farmers receive all his/her data in a suitable format by the organization.</p>	<p>Farmer Groups ask for Farmer's consent each time they are collecting information, after having explained the reason why such information is collected and the risks of sharing personal data.</p> <p>Implementers ensure that Farmer Groups have a process for sharing or deleting such information upon Farmer's request.</p>	Farmer Groups
MGT 11	Data individual approval	<p>The Farmer group shares personal information only when documented approval has been gained from the individual as a part of the registration process.</p>	<p>Farmer Groups ask for Farmer's consent each time they are collecting information, after having explained the reason why such information is collected and the risks of sharing personal data.</p>	Farmer Groups
MGT 12	Data use	<p>Upon request of relevant parties, Farmer Groups provide the necessary information for performance monitoring and verification of conformity with this standard.</p>	<p>Implementers ensure that Farmer Groups have a data management system enabling them to share appropriate data and evidence when needed.</p>	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - MANAGEMENT				
Sub-Pillar - Annual Work Plan and monitoring				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 13	Annual Work Plan	<p>Farmer Groups develop a detailed annual work plan that sets out their goals and activities towards continuous improvement against this standard, Farm Business Plan implementation, and risk mitigation.</p> <ul style="list-style-type: none"> > This plan is based on their capacity assessment, risk assessments (deforestation, forced labor and child labor), internal and external audit results, and any grievance or feedback received. > It is in conformity with the Farmer Group's own requirements and objectives > It is endorsed and enforced by the management and the various committees such as the Human Rights committee. > It provides detailed explanations and roadmaps for activities which will occur over the following 12 months. 	<p>Implementers ensure that Farmer Groups develop, implement and monitor an annual work plan, based on their yearly performance review and aligned with the Implementers' Work Plan which has been validated by the Foundation.</p> <p>Implementers sign with the Foundation a Work Plan for each year that describes the activities they will implement, support or supervise from September to August in the various Farmer Groups they are responsible for. This Work Plan defines the targets, roadmap, budget and responsibility of the Implementer for each activity.</p>	Farmer Groups
MGT 14	Program activity monitoring	Farmer Groups develop, monitor and report activities against Annual Work Plans to support the implementation requirements of this standard.	Implementers ensure Farmer Groups have a monitoring system to drive operations and report on achievements.	Farmer Groups
MGT 15	Program registers	Farmer Groups create, update and control actual and complete documents (internal and external, e.g. farmers register) that relate to the progress against this standard. Such documents are kept for at least 4 years.	Implementers ensure that Farmer Groups have an efficient monitoring system, enabling them to keep records on activities and progress for at least 4 years.	Farmer Groups
MGT 16	Impact monitoring	<p>Farmer Groups have a documented monitoring system in place, based on field observations and interviews, to ensure the remediation of non negotiables and to follow progress on:</p> <ol style="list-style-type: none"> 1) the actual production against estimated production 2) the implementation of good practices (agricultural, management, social and environmental) and the impact of sensitization, training and coaching 3) the progress and impact of all activities implemented for the program 	<p>Implementers ensure that Farmer Groups have a monitoring system supporting the remediation of non-negotiables, the tracking of progress against this standard and the evaluation of the efficiency and impact of their activities.</p> <p>Implementers ensure that Farmer Groups have documented evidence in order to enable the assurance process of the program by a third party.</p>	Farmer Groups
Pillar - MANAGEMENT				
Sub-Pillar - Performance Review				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 17	Performance review	<p>Farmer Groups evaluate the performance and effectiveness of their cocoa sustainability management system annually based on the results of their internal monitoring and external audits, with particular attention to:</p> <ul style="list-style-type: none"> - the implementation of good practices and remediation of non-negotiables - the effective implementation of planning and progress against work plan goals - the effectiveness of actions to address opportunities and risks - the performance of external providers, if applicable - the revenue and costs incurred relative to the budget - the need for improvements to the cocoa sustainability management system 	<p>Implementers ensure that Farmer Groups leverage their monitoring system to assess the challenges and their ability to tackle them. Such analysis is used in the design of the following year's Work Plan.</p> <p>Implementers audit Farmer Groups' progress against this standard and their ability to remediate non-negotiables and implement the program's activities.</p>	Farmer Groups
MGT 18	Farmers input	Farmer Groups take into account the need for further support of their Farmers, as well as feedback or complaints received from Farmers, customers and other relevant interested parties, after having shared the results from the performance review.	Implementers ensure that Farmer Groups have a system to collect and integrate the feedback or complaints received in their performance review and design of the following annual Work Plan	Farmer Groups



Cocoa Horizons Standard and Methodology 3.2

MGT 19	Performance review output	Farmer Groups document and communicate to Farmers and interested parties the output of the management review, including decision and actions related to: > improvement opportunities > need for further support to registered farmers > need for changes to the cocoa sustainability management system > resource needs	Implementers ensure that Farmer Groups document and communicate the output of their performance review.	Farmer Groups
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Cocoa Horizons Standard and Methodology 3.2

Pillar - MANAGEMENT				
Sub-Pillar - Communication & consultancy				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 20	Communication plan	Farmer Groups have a communication strategy and plan defining what will be communicated, when to communicate, with whom to communicate, how to communicate and who will communicate.	Implementers ensure Farmer Groups have a communication strategy and plan to report on their progress against this standard to relevant stakeholders.	Farmer Groups
MGT 21	Regular meetings	Farmer Groups have regular meetings with farmers to discuss not only commercial matters (quality, price and delivery dates), but also cocoa sustainability issues in order to understand how the challenges that Farmers are facing might be overcome.	Implementers ensure that Farmer Groups organize meetings to discuss these topics at appropriate levels. For the cooperative, the annual general assembly should serve this purpose. Implementers may also support Farmer Groups to collect feedback (satisfaction and improvement needs) from Farmer to prepare or further consolidate such discussion.	Farmer Groups
MGT 22	Community project consent	Farmer Groups collect FPIC (free prior and informed consent) of local populations for large scale land projects. Customary or use rights by indigenous peoples' and local communities' to these lands, territories and resources is identified and respected in this process.	Implementers ensure that Farmer Groups collect FPIC for large scale land projects such as the establishment of land documentation, the implementation of agroforestry or the restoration of ecosystems, at large scale in a community, covering more than 50ha or reaching more than 25 farmers.	Farmer Groups
Pillar - MANAGEMENT				
Sub-Pillar - Farmer group staff capacity building				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 23	Competencies need identification	Farmer Groups identify the competencies necessary to support itself and its registered farmers in progressing against this standard. They have a transparent management structure assessing their capacity considering: > the status of actions from previous management reviews > changes in external and internal issues that are relevant to Farmers > their performance and effectiveness regarding: the achievement of management objectives the implementation of policies and effectiveness of internal committees, especially when it comes to Human Rights and grievance mechanism the implementation of the Farm Business Plan process the management and remediation of non negotiables the monitoring and measurement of results the results of external audits the feedback from customers and other relevant interested parties, if any > the adequacy of resources > the effectiveness of actions taken to pursue opportunities and manage threats > opportunities for improvement.	Implementers ensure that Farmer Groups assess their capacity in light of their performance to implement Cocoa Horizons activities and support Farmers to progress against this standard.	Farmer Groups
MGT 24	Group staff training	Farmer Groups have a training program which is regularly updated to ensure that the staff involved in relevant processes, such as administrators or warehouse keepers, are competent. The training program should cover at least: - Traceability - Cocoa Quality - Social aspects including child protection - Business Skills - Environmental protection	Implementers ensure that Farmer Groups have a training program and regularly assess the performance of their staff.	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

MGT 25	Farmer trainer recruitment	Farmer Groups have a recruitment and management process to select and monitor their staff responsible for the execution of sustainable activities required to improve against this standard, such as: > Data collection and farmer registration > Assessment of economic, social and environmental performance > Training or coaching of farmers > Design and follow up of the Farm Business Plan > Identification of child labor and follow up of remediation activities This process includes at least an accreditation and performance evaluation system.	Implementers ensure that Farmer Groups implement adequate recruitment, capacity building and performance monitoring processes for their field staff.	Farmer Groups
MGT 26	Annual training program	Farmer Groups develop a training strategy to ensure Farmer's progress against this standard, including a graduation system or monitoring to identify and remediate any knowledge gap on the following topics: > Farming as a business > Traceability > Quality > Good Agricultural Practices > Application of agrochemicals > Health & Safety > Social aspects with a focus on Human and Children Rights > Protection of the Environment > Climate change and Agroforestry	Implementers ensure that Farmer Groups have a training strategy aligned with the Cocoa Horizons program standard and principles, including a system to graduate or at least monitor Farmer knowledge gaps. Implementers ensure the training curriculum and methodology is adjusted on a frequent basis based on the previous years' monitoring results	Farmer Groups
MGT 27	Training methodology	Farmer Groups revise their training strategy on a frequent basis to foster the adoption of best practice. The best training format is selected considering local culture and behaviors and depending on the session's objectives such as awareness creation, knowledge transmission, emotional engagement, or social commitment.	Implementers ensure Farmer Groups adjust their training curriculum and methodology, on a frequent basis, leveraging the previous years' monitoring results. Implementers support Farmer Groups to implement the best pedagogical approach to foster adoption of best practice and ensure new farmers are trained on all (needed) topics within 2 years.	Farmer Groups
MGT 28	Farmer coaching	Farmer Groups provide up to 5 coaching visits per year to follow up Farmers' Farm Business Plan implementation.	Implementers ensure that Farmer Groups provide up to 5 coaching visits to Farmer which have developed a Farm Business Plan in order to further build Farmer capacity and skills, and follow up on all agreed interventions within the Farm Business Plan process. Implementers build the capacity and verify Farmer Groups, or implement such activities on their behalf.	Farmer Groups

Pillar - MANAGEMENT

Sub-Pillar - Farmer group competitiveness

Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 29	Resource management	Farmer Groups determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the cocoa sustainability management system in a clear and transparent way.	Implementers ensure that Farmer Groups provide the resources needed for the implementation and continuous improvement of the cocoa sustainability management system.	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

MGT 30	Organizational capacity building	Farmer Groups assess their organizational capacity and prepare a documented plan, to build capacity in order to meet the requirements of this standard. The assessment is documented and covers: > which resources needed can be obtained from external providers; > the financing for start-up costs of implementation to be negotiated with first buyers or other interested parties; > the financing for registered farmer premiums to be negotiated with first buyers. > the capabilities of, and constraints on, existing internal resources; > the means of individual registered farmers to reach their cocoa sustainability objectives and the resources needed.	Implementers ensure that Farmer Groups have an organizational capacity roadmap identifying the capacities, financial and operational, which need to be increased or externalized.	Farmer Groups
MGT 31	Cocoa market intelligence	Farmer Groups monitor and communicate to its Farmers the market demands for sustainable cocoa under the different programs or certifications.	Implementers ensure Farmer Groups are aware of market demands for the different programs and certification, providing such information if needed. They also ensure that Farmer Groups communicate this information back to Farmers.	Farmer Groups
MGT 32	Sourcing regulation	Farmer Groups respect the cocoa sourcing agreements they have with the buyer and respect the national regulations on internal cocoa marketing, notably the respect of a minimum farm gate price if one is defined, of cocoa quality, of weighing equipment and packaging materials.	Implementers ensure that Farmer Groups are informed and trained on the national regulations that apply for marketing of their cocoa. The contract between the buyer and the Farmer Group shall respect these regulations as well. Farmer Groups are expected to comply with commercial laws on weighing and quality, and if this is required, have their equipment checked by the competent authority.	Farmer Groups
MGT 33	Service provider competitiveness	Farmer Groups support registered farmers' access to external provision (e.g. financial services, professional labor, planting material, or inputs) that are relevant to the implementation of the Farm Business Plan, at competitive prices without compromising quality.	Implementers ensure that Farmer Groups are providing services and inputs at competitive prices without compromising quality. This is usually achieved via collective purchasing but also commercial partnership's management. Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they strive to offer the best products and services at competitive prices.	Farmer Groups
MGT 34	Collective purchasing	Farmer Groups facilitate collective purchasing of external provision provided this is the most cost-effective option for Farmers and if the majority of Farmers expressed interest. Farmer Groups respect purchase contracts (e.g. payment terms) and agreements with farmers (timing, cash management)	Implementers ensure that Farmer Groups assess the potential of collective purchasing and farmer's interest, and if relevant, manage such activity professionally. Implementers may support Farmer Groups by enabling access to Farm Services for the provision of inputs and services, in which case they ensure the respect of purchase contracts and agreements with Farmers.	Farmer Groups
MGT 35	Government support access	Farmer Groups identify, raise awareness and facilitate access to government support relevant to the implementation of this standard. This may cover access to planting material and subsidized inputs, income diversification support, social welfare, wellbeing of children and women, protection of the environment, biodiversity, reforestation etc.	Implementers ensure that Farmer Groups seek for Government support, notably when resources and programs are made available as part of national plans. Implementers further support Farmer Groups to gain access from Government support, especially when they are less accessible for individual Farmer Groups due to scale, financial contribution or institutional partnerships.	Farmer Groups
Pillar - MANAGEMENT				
Sub-Pillar - Non negotiables management				

Cocoa Horizons Standard and Methodology 3.2

Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 36	Non negotiable remediation	Farmer Groups develop, implement and follow up activities to remediate any non-negotiable issue according to a time bound plan based on a cause and severity analysis.	Implementers audit, on an annual basis, Farmer Groups on their ability to remediate non-negotiables respecting a time bound plan and addressing root causes.	Farmer Groups
MGT 37	Non negotiable Field checks	Farmer Groups follow up the remediation of non-negotiables through field visits and interviews to ensure the issues are remediated within the time bound plan agreed or, if necessary, follow up the exclusion process.	Implementers ensure that Farmer Groups implement and follow up the remediation activities through field checks, and if needed the exclusion of Farmers from the program.	Farmer Groups
MGT 38	Non negotiable prevention	Farmer Groups evaluate on a yearly basis the need for action to eliminate the causes of nonconformity regarding non negotiable criteria by: > analyzing the nonconformity > determining the causes of the nonconformity > determining if similar nonconformities exist, or could potentially occur > assessing if the necessary measures are implemented > reviewing the effectiveness of corrective actions > updating the opportunities and risks defined in the Work Plan > adjusting the cocoa sustainability management system if necessary	Implementers ensure Farmer Groups review their processes in light of the challenges identified regarding non negotiables to prevent their further occurrence.	Farmer Groups
MGT 39	Non negotiable Exclusion process	Farmer Groups document all the information on nonconformities related to non negotiable, including: > the identification, and when relevant the confirmation of the nonconformity > the remediation process and its follow up checks > the validation of the remediation by an authorized person > the exclusion process of the Farmer, when relevant	Implementers ensure Farmer Groups document all information on non negotiables, from identification to remediation or exclusion. Implementers ensure Farmer Groups have an efficient and transparent exclusion process, providing remediation opportunities to Farmers and clear communications to all persons involved throughout the process.	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - MANAGEMENT				
Sub-Pillar - Traceability				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 40	Cocoa segregation	<p>NON NEGOTIABLE* Farmer Groups segregate the cocoa produced by Farmers registered in the Cocoa Horizons program.</p> <p>*This criteria is non negotiable, meaning that any infringement will have to be remediated following a time bound plan or lead to the exclusion of the related Farmer Groups from the program. Any fraudulent claiming of cocoa will lead to the exclusion of the related Farmer Group.</p>	Implementers ensure that Farmer Groups have processes in place to verify the origin of the cocoa, including mapping of farmer's plot and volume control, to assess the risk of deforestation (after December 2020) and to keep the beans from registered Farmers segregated.	Farmer Groups
MGT 41	Chain of custody documentation	<p>Farmer Groups maintain documented information on the sustainably produced cocoa at all logistical stages within the Farmer Group (e.g. post-harvest activities, collection, transport and storage. etc.) and includes the following information:</p> <p>a) transport identification, e.g. waybill number connaissance, voucher; b) pick up location/name; c) name and identification (ID) of the delivering registered farmer; d) name of the organization, quantity (quantity of bags; gross/net weight); e) carrier's information including delivery date and vehicle registration plate, delivery location/name.</p>	Implementers ensure that Farmer Groups have an effective traceability system and maintain traceability documentation throughout the process they are responsible for.	Farmer Groups
MGT 42	Bean segregation	<p>Farmer Groups have a stock management procedure which documents the intake and outtake of sustainably produced cocoa with the following information:</p> <p>a) weight of volumes coming in and out; b) release weight net/gross; c) registered farmer name(s); d) number of bags (if applicable); e) unique sale parcel number; f) transport date; g) names of buyer and seller; h) storage facility name; i) transport reference (truck registration plate, B/L); j) physical handling (fermenting, drying, blending/mixing, cleaning, bagging) including type of reconditioning, net weight prior and after reconditioning, reason why they would differ, procedure of management of reconditioned cocoa in relation to the segregation of conforming cocoa.</p>	Implementers ensure that Farmer Groups have an adequate stock management procedure in place for the sustainably produced cocoa with complete documentation.	Farmer Groups
MGT 43	Farmer receipt	<p>Farmer Groups record and provide Farmers with a delivery receipt containing at least the following information:</p> <ul style="list-style-type: none"> > registered farmer name and ID > Farmer Group name > quantity, weight > sale date > price and premium > sales record number > buyer information 	Implementers ensure that Farmer Groups have an effective traceability system providing delivery receipt to Farmers with all the necessary information.	Farmer Groups

Cocoa Horizons Standard and Methodology 3.2

Pillar - MANAGEMENT				
Sub-Pillar - Cash premium				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 44	Premium payment	Farmer Groups ensure that Farmers receive the Horizons Premium for the Horizons cocoa delivered and accepted. Farmer Groups transfer the Cocoa Horizons cash premium to Farmers for the volume delivered and accepted under the program, as agreed by the Foundation.	Implementers ensure that Farmer Groups pay the cash premium to Farmers, in full as agreed by the Foundation and specified in the annual Work Plan. The amount is calculated based on Farmer's deliveries which have been approved as Cocoa Horizons and for which a receipt has been emitted.	Farmer Groups
MGT 45	Volume control	Farmer Groups verify, at least once per year, that the total amount of cocoa delivered by Farmers is aligned with their potential production and perform field checks if necessary. Farmers who can't prove the over production of cocoa are excluded from the program following the exclusion procedure.	Implementers ensure that Farmer Groups have an efficient traceability system enabling the control of deliveries against the potential estimated through the mapping of all farms and productivity measurements, at least at the regional level. Implementers ensure that Farmer Groups follow the exclusion process if needed.	Farmer Groups
MGT 46	Cash premium communication	Farmer Groups communicate the cash premium in local currency per tons of cocoa that Farmers are entitled to as defined by the Foundation, at the start of each crop.	Implementers ensure that Farmer Groups communicate the amount of cash premium Farmers will receive at the start of each crop once sourcing contracts have been finalized.	Farmer Groups
MGT 47	Farmer Group premium transparency	Farmer Groups which receive an additional cash premium from the Foundation for the execution of program activities, on top of the one for Farmers, communicate how this premium has been used on a yearly basis to Farmers and the Foundation	Implementers ensure that Farmer Groups plan, analyse and communicate how the part of the cash premium allocated to Farmer Groups is used to implement activities.	Farmer Groups
Pillar - MANAGEMENT				
Sub-Pillar - Cooperative organization				
Reference	Title	Criteria	Implementation Guidelines	Target Group
MGT 48	Board election	Farmer Groups established as a cooperative have a documented and disseminated process to appoint top management which ensures the representation of Farmers and promotes the inclusion of women.	Implementers ensure that Farmer Groups follow the rules of cooperative Memorandum of Association, including the representation of Farmers in the top management. Implementers ensure that the top management election process is documented and disseminated, promoting the inclusion of women.	Farmer Groups (cooperative only)
MGT 49	Non-discrimination in cooperatives	Farmer Groups established as a cooperative establish and maintain an organizational processes to ensure non-discrimination, including, but not limited to, discrimination on the basis of race, color, gender, personal relationships, disability, health, marital status, age, HIV/AIDS status, religion, political opinion, language, property, nationality, ethnicity, or social origin.	Implementers ensure Farmer Groups established as cooperatives have non-discrimination policies, including for the hiring, selection and promotion of staff for any position, but also the registration of cooperatives members.	Farmer Groups (cooperative only)
MGT 50	Democratic election	Farmer Groups established as cooperatives constitute their management through free, fair and democratic elections ensuring that Farmers' representatives participate in management. Such a process is known to all cooperative members to enable their participation in the election and is taking place at least every 3 years.	Implementers ensure that Farmer Groups established as cooperatives have a free and fair democratic election process every 3 years for their management.	Farmer Groups (cooperative only)
Pillar - PROGRAM				
Sub-Pillar - Program Management by Foundation				
Reference	Title	Criteria	Implementation Guidelines	Target Group

Cocoa Horizons Standard and Methodology 3.2

PRO 1	Foundation annual review	The Foundation reviews this standard and methodology (set of activities supported by the program to ensure impact and progress of Farmers and Farmer Groups against the standard) on a yearly basis to ensure its continuing suitability, adequacy, and effectiveness to achieve the Foundation's goals.	The Foundation establishes yearly Work Plans with Implementers based on its roadmap to achieve its goals and aligned with the methodology. Work Plans activities are adjusted based on the country specificities, the previous year results and new strategies to course correct on targets' achievement and non-negotiables' remediation.	Foundation
PRO 2	Stakeholders input	The Foundation takes into account the interests of all the program's stakeholders, including Farmers, Farmer Groups, Implementers, customers and donors.	The Foundation gathers feedback from Farmers and Farmer Groups through Farmer Groups or Implementers but also via satisfaction surveys according to a need assessment based on the program monitoring and the implementation of new activities, targeting pertinent topics and areas. The Foundation monitors closely the interest of customers through demand of Cocoa Horizons and discussions with major customers and donors. The adequacy of the program to answer the relevant sustainable aspects is further revised through the research for co-funding opportunities.	Foundation
PRO 3	Demand & program scaling	The Foundation ensures an accurate and smooth scaling of the program and Horizons' beans sourcing matching customers demands.	This is implemented at a global program level where Cocoa Horizons demand and sourcing are matched, long term projections and annual plans are made. The Foundation monitors market demand for sustainable cocoa and strives to establish long term agreements with its customers to accurately estimate future demand and a smooth program scaling. In case of unexpected strong growth in demand the Foundation may sell credits (in advance of their generation) up to 30% of its current sourcing capacity.	Foundation
PRO 4	Foundation review output	The Foundation communicates the output of its review to the Foundation's board and includes decisions and actions related to: a) the improvement of program activities b) the performance and selection of Implementers c) the need for additional financing and co-funding opportunities	The Foundation evaluates the program and implementers' performance on a yearly basis in order to review the program's activities and priorities, the implementers' efficiency and capacity and the funds' needs and opportunities. The Foundation communicates the results of its review to the Foundation's board.	Foundation
Pillar - PROGRAM				
Sub-Pillar - Transparency of premium flow				
Reference	Title	Criteria	Implementation Guidelines	Target Group
PRO 5	Foundation's fund allocation	The Foundation use customer's contribution to Cocoa Horizons (through the customer premium) in five ways: 1. Payment of premiums to Farmers and Farmer Groups 2. Productivity projects related to the capacity building of Farmers and Farmer Groups, the implementation of Farm Business Plans, the support of Farmer Services activities, income diversification activities and the implementing traceability 3. Community projects related to the elimination of child labor and forced labor, supporting community structures on Children's rights, Human Rights and women's Empowerment 4. Conservation of nature, including mapping of farms, participating in plans to halt deforestation, and carbon sequestration at farm or community level 5. Administration, including assurance	The Foundation establishes budgets on an annual basis, for each origin and implementers, and consolidated at a global level. The Foundation's financial results are audited by a 3rd party verifier and communicated on a yearly basis.	Foundation



Cocoa Horizons Standard and Methodology 3.2

PRO 6	Cash premium share for farmer	The Foundation defines the share of cash premium that goes to Farmers and Farmers Groups for their support in implementing the program's activities.	The Foundation defines the share of cash premium for Farmer Groups in the annual Work Plan with each Implementer. This is audited by a third party verifier at Implementer, Farmer Group and Farmer levels.	Foundation
PRO 7	Foundation underspend management	The Foundation ensures that the funds received from customers (through the customer premium) are spent within 2 seasons following the season they've been earned.	The Foundation analyses the financial balance at the end of the fiscal year (from September to August) and communicates on the amount and future use of potential underspend generated.	Foundation