

Cocoa Horizons Methodology - v 25

Code	Area	Subtitle	Expected requirement on Farm and Group level	Applicable (F=farm, G= Farmer group, P=Program/origin )	Implementation guidance	Leading KPI	min. Y1 Target	min. Y2 - Y5 Target	Min. Y10 Target
GAP1	Good Agriculture Practice	Cocoa Farm Development Plan (FBP) and business training	A key enabler to lift farmers out of poverty is the Farm Business Plan (FBP). The FBP is also center piece for implementing of certain elements of the standard.  The FBP shall have the objective to lift the farmer out of poverty 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. For farmers who already are out of poverty, the FBP serves to further improve their livelihood.  Subsequently, a FBP shall be established for any registered farmer within 12 months after registration. For each farmer a cocoa Farm Business Plan (FBP) is established as follows:	G, F	Start of the counter for the standard including FBP is 1.Sept 2018. Origins who commence COH later on will define their starting date as Sept 1st of the relevant year. First step for each origin is to design a roll-out plan. The plan ensures that 10% farmers have an FBP by 30 months / 28.Feb 2020 and that all farmers have an FBP by 60 months / 1.Sept. The plan further indicates a ramp-up plan to reach 100% farmers having an FBP by 1.Sept 2023. Both paper and electronic tools are valid.	# FBP	0% but needs roll-out plan	10% by 30 moths 100% by 60 months	
GAP2	Good Agriculture Practice	Cocoa Farm Development Plan (FBP) and business training	The recommendations that the FBP makes for the farmer respect the requirements in this standard. Thus the recommendations of the FBP also should address: - 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 - Requirements related to pesticide application (e.g. buffer zones) - Requirements related to soil management, including practices to avoid soil erosion by using soil conservation techniques and including minimizing run-off and siltation of watercourses - Biodiversity conservation measures (e.g. compensation & buffer areas, wildlife corridors, planting of shade trees) - Waste management (storage, disposal etc.)	G	For example, if pesticide application is recommended, it shall comply with the requirements here. The content / scope of the FBP will gradually evolve to cover all relevant aspects to lift farmers out of poverty and to reach other impact targets like zero child labor and forest-positive. The initial FBPs may not cover all aspects. Guidance on FBP content and implementation is provided in the implementation manual.	# FBP	0% but needs roll-out plan	10% by 30 moths 100% by 60 months	
GAP3	Good Agriculture Practice	Cocoa Farm Development Plan (FBP) and business training	At group level, registered farmers are provided with business training and support including technical, logistical, infrastructure related and financial knowledge and information, taking into account the level of education of the registered farmers.	G	From year 2 onwards. This is linked to FBP roll-out. This may mean that business training and support is provided at the group level, and not individually, through the coach.	# FBP	0% but needs roll-out plan	10% by 30 moths 100% by 60 months	
GAP4	Good Agriculture Practice	Cocoa Farm Development Plan (FBP) and business training	Farmers get support in setting-up or getting access to a basic system for documenting information and expenditures to build their financial history.	G	BC tracks information on behalf of each farmer: Farmers' financial history is ideally registered in BC's data system Katchilé. In its basic form, for farmers who have an FBP should have access to a savings account that records savings and credit history. Farmer groups record the sales on behalf of the farmers through traceability system. Furthermore, Farm Services records each farmer's purchase of productivity or replanting packages is recorded.	# FBP	0% but needs roll-out plan	10% by 30 moths 100% by 60 months	
GAP5	Good Agriculture Practice	Cocoa Farm Development Plan (FBP) and business training	In order to facilitate the implementation of the FBP, farmers are provided with - support to determine the need for financing. - Access to savings and credit scheme for selected Group Members - Access to productivity packages - Access to tools and inputs	G	The FBP is the tool to identify the credit need, financial viability and the ability to pay back credit of the farmers. Also, the services that are required to implement the FBP should be made available for farmers who have an FBP, e.g. Make available Productivity Packages, Savings & credit account if FBP implementation requires PP on credit. Engagement with input suppliers and financial institutes to seek financing for registered farmers is documented.	# of repeat loans from farmers with FBPs over x timeframe (split by gender) • Repayment rates from farmers with FBPs over x term (split by gender)	n.a.	each origin defines their performance targets	
GAP6	Good Agriculture Practice	New farm establishment	Farmers are provided with information on national regulations and rural and agricultural development plans.	P	Training is the main conduit to inform the farmers. BC ensures that training curricula conform to national regulations. SOP on replanting ensures that rural and agricultural development plans, e.g. Zoning and No-go areas, are respected.	not applicable			
GAP7	Good Agriculture Practice	New farm establishment	Farmers who acquire new fields or plant new cocoa plots are advised on the suitability of the intended field(s) for production of cocoa. Planting of new cocoa farms in the frame of a technological package offered to the farmer group shall be subject to approval by the farmer group (e.g. cooperative).	G	This requirement is applied chiefly in the frame of Replanting Packages that are made available to farmers in the frame of the FBP. Farmers who do plant new farms without our support cannot be captured, but all farmers have access to training on suitability of plots for cocoa. For registered and newly joining cocoa farmers, in the course of the FBP establishment, the suitability of the cocoa farm is evaluated and communicated to the farmer in the FBP. The SOP for RP comprises a suitability evaluation for cocoa production. This can be expanded to non-cocoa farms in the frame of diversification packages. The SOP further ensure that the credit application from the farmer is signed by the cooperative.	# Replanting packages	Cdl/Gh/Cam immediately	New origins: as of year 2	
GAP8	Good Agriculture Practice	Planting material	Farmers are supported to get access to cocoa plant material that comes from a verified, competent source and receive recommendations for its use.	G	This requirement is applied chiefly in the frame of Replanting Packages that are made available to farmers in the frame of the FBP. Farm Services provide access to Replanting packages. SOP for replanting packages ensure that the cocoa planting material comes from a verified, competent source, e.g. as per national regulations where these exist. If seedlings are distributed outside Replanting Packages (e.g. from community nurseries with support from COH, or via women agroforestry programs), training programs for the nurseries cover the necessity to use the right planting material.	# Replanting packages	Cdl/Gh/Cam immediately	New origins: as of year 2	
GAP9	Good Agriculture Practice	Planting material	Farmers must foster species diversity on-farm according to their context. This means that program support and farmer decision during management change must prioritize solutions that augment biodiversity and foster synergies with livelihoods and productivity targets. Farmers are supported to get access to shade tree seedlings via forestry authority or nurseries. This support may be limited to farmers who are able to integrate new shade trees, e.g. by availability of suitable parts of the farm or engaged in replanting / diversification.	G	Management change means when the farmer replants his cocoa farm or establishes a new cocoa farm. At this stage, farm biodiversity can be best prioritized and controlled. Therefore, integration of shade trees and establishment of buffer zones is embedded in Replanting Packages. Access to shade trees is defined as providing access to Replanting Packages in the frame of the Farm Services Replanting packages comprise shade tree seedlings via forestry authority or nurseries. Farmers who do plant new farms without our support or integrate shade trees into existing plantations cannot be captured, but all farmers have access to GAP training on shade and shade trees in cocoa plantations.	# Replanting packages	Cdl/Gh/Cam immediately	New origins: as of year 2	
GAP10	Good Agriculture Practice	Planting material	Farmers are made aware of GAP related to planting (e.g. use of planting material, soil fertility management, (re)planting and grafting techniques).	F	GAP on replanting (and grafting where this is allowed) is covered in the GAP training to which all registered farmers have access. The training curriculum on planting follows the conditions and regulations of the relevant, local regulatory body. The training curriculum is updated regularly based on latest findings on best practices and adoption potential.	% adoption of GAP	n.a.	GAP training on replanting from y2 onwards	
GAP11	Good Agriculture Practice	Maintenance of cocoa trees	Farmers are made aware of GAP related to maintenance and rehabilitation of cocoa trees.	F	GAP on maintenance and rehabilitation is covered in the GAP training to which all registered farmers have access. The training curriculum on cocoa maintenance and rehabilitation follows the conditions and regulations of the relevant, local regulatory body. The training curriculum is updated regularly based on latest findings on best practices and adoption potential.	% adoption of GAP	GAP training on topic in first year		

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GAP12	Good Agriculture Practice	Soil management	Farmers are made aware of GAP related to soil management, nutrient balance and replenishment. Farmers, or agronomy advisors who make decisions about fertilizer choice, source, application rate and placement must be trained 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) .	F	GAP on soil management and fertilization is covered in the GAP training to which all registered farmers have access. The training curriculum follows the conditions and regulations of the relevant, local regulatory body. Established soil maps and fertilizer recommendations are used to the training curriculum is updated regularly based on latest findings on best practices and adoption potential by an expert knowledgeable in the matter of cocoa fertilization and nutrient loss management, e.g. by the Head of Agronomy. Productivity packages are a privileged way to ensure that a correct fertilizer at the correct rate is employed by the farmer, and that nutrient losses are avoided.	% adoption of GAP	GAP training on topic in first year		
GAP13	Good Agriculture Practice	Soil management	Farmers are made aware of the necessity to keep a vegetation or mulch cover 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. Peat soils must not be subject to high stocking rates, or other management practices that lead to high GHG peat soil emissions.	F	GAP on mulching and organic farm waste management is covered in the GAP training to which all registered farmers have access. The training curriculum follows the conditions and regulations of the relevant, local regulatory body. The training curriculum is updated regularly based on latest findings on best practices and adoption potential, notably with regard to pollinators and organic matter management.	% adoption of GAP	Training Y1		
GAP14	Good Agriculture Practice	Soil management	Farmers are supported to get access to high quality fertilizer which is free of contaminants. If the farmer organization makes available fertilizers to farmers, these are below tolerance limits.	G	This requirement is applied chiefly in the frame of Productivity Packages that are made available to farmers in the frame of the FBP. Farm Services provide access to Productivity packages. SOP for productivity packages ensure that fertilizers is of high quality and free from contaminants. For example, RFP to fertilizer companies should comprise disclosure on contaminants and quality specs. Where tolerance limits are established or applicable, SOP for PP specifies that only fertilizers that are below the thresholds are sourced and sold to farmers through Farm Services.	# productivity packages	Cdl/Gh/ Cam immediately	New origins: as of year 2	
GAP15	Good Agriculture Practice	Soil management	Soil sampling is realized to ensure that fertilizer is applied to balance input and output of nutrients (nutrient replacement) if: (1) soil testing is reliable and affordable, (2) farm-specific fertilizer is available and cost-effective	P	Currently, farm specific fertilizers and soil testing are not readily available for smallholder farmers in West Africa. Therefore, fertilizers that are part on PP and RPs are based on national soil map of the country, and on fertilizer recommendations made by authorities, e.g. the soil map project that IDH, CNRA and CCC have developed together and then published fertilizer recommendations. PP specs follow national recommendations on fertilizer use. If no national recommendation, program arranges for soil analysis and fertilizer recommendation latest in years 6-10 after program start.	not applicable			soil analysis done
GAP16	Good Agriculture Practice	Soil management	Farmers are made aware on soil erosion prevention. Technological packages on planting and diversification shall include design elements to avoid soil erosion.	F	GAP on soil erosion is covered in the GAP training to which all registered farmers have access. The training curriculum is updated regularly based on latest findings on best practices and adoption potential. Replanting packages or diversification packages comprise plantation designs that avoid soil erosion, e.g. contour planting, direction of trash rows in new plantations, drainage designs.	# Farmers trained	Training Y1	RP design	
GAP17	Good Agriculture Practice	Integrated Pest Management	Integrated Pest Management (IPM) measures are instructed to farmers and technological packages made available to farmers are based on the principles of IPM, notably prevention, observation, monitoring and intervention and include for example: - 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	G, F	There are several ways IPM requirements are implemented. 1) IPM is covered in the GAP training to which all registered farmers have access. The training curriculum is updated regularly based on latest findings on best practices and adoption potential. 2) The design of productivity packages is based on principles of IPM as described in the requirement. For example, Farm Services should ensure that pesticides are rotated over the years. 3) Professionals, such as sprayers, are trained by the COH program in pest and disease recognition and other IPM elements. 4) FBP incorporates recommendations to prevent pest and disease.	% adoption of GAP	Training Y1	PP design, sprayers, FBP	
GAP18	Good Agriculture Practice	Pest and disease management	The agrochemicals which are used are authorized and approved for use on cocoa. The choice of agrochemicals is based on suitability for the crop and target organism, resistance management programs, advice on the label to protect vulnerable ecosystems and organisms, and hazards to human health	P	Each origin has a list of chemicals / pesticides that are allowed based on national approval process. 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.	# farmers trained and # productivity packages	List updated and training y1	PP design	
GAP19	Good Agriculture Practice	Pest and disease management	Where needed, access to officially registered agrochemicals is assured.	G	Access to official registered chemicals is possible for the farmer thanks to access to Productivity Packages. The PP design incorporates officially registered agrochemicals.	# productivity packages	Cdl/Gh/ Cam immediately	New origins: as of year 2	
GAP20	Good Agriculture Practice	Pest and disease management	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) are not used.	P	Each origin has a list of chemicals / pesticides that are allowed based on national approval process. 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.	not applicable			
GAP21	Good Agriculture Practice	Pest and disease management	Hazard reduction: WHO1a CPPs: Active ingredients classified as WHO 1a, or listed in Montreal Protocol (this includes methyl bromide) or the Stockholm Convention on Persistent Organic Pollutants are NEVER used on the farm.	P	Each origin has a list of chemicals / pesticides that are allowed based on national approval process. 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.	not applicable			
GAP22	Good Agriculture Practice	Pest and disease management	Hazard reduction: WHO1b CPPs: Active ingredients classified as WHO1b or the Basel or Rotterdam Conventions shall be phased out of use within 3 years, after date of implementation. In each of the 3 years, there must be documented evidence of research into alternatives, a phase out plan or actual reduction in use.	P	Each origin has a list of chemicals / pesticides that are allowed based on national approval process. The list is managed in a way that WHO 1b CPPs are phased out or use justified. 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.	not applicable			
GAP23	Good Agriculture Practice	Pest and disease management	Expired agrochemicals are not used by farmers.	G, F	There are several ways this requirements is implemented. 1) GAP training to which all registered farmers have access , covers not using expired chemicals. 2) SOP productivity packages cover that expired pesticides are not sold to farmers. 3) Professionals, such as sprayers, are trained by the COH program on that requirement.	# farmers trained	Training Y1		
GAP24	Good Agriculture Practice	Pest and disease management	Workers are competent in handling and storing agrochemicals.	G, F	Workers in the context smallholder farmers means sprayers, who are trained by the COH program on competence of handling and storing agrochemicals. Smallholder farmers do not apply agrochemicals by themselves regularly. Origin countries set up an accreditation system for sprayers where competence is tested. Farmers also have access to handling and storing practices for agrochemicals during training.	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
GAP25	Good Agriculture Practice	Pest and disease management	Agrochemical containers are properly closed during storage and transportation in order to prevent spillage.	G, F	There are several ways this requirements is implemented. 1) GAP training curriculum to which all registered farmers have access , covers storage and transportation of agrochemicals guidelines. 2) SOP for productivity packages : RFP to input suppliers comprises specs for safe packaging of agrochemicals. 3) Professionals, such as sprayers, are also trained by the COH program on that requirement.	not applicable			

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GAP26	Good Agriculture Practice	Pest and disease management	Spraying equipment is maintained and calibrated in order to minimize waste and excessive applications of chemicals. Correct functioning of spraying equipment is verified at least once a year.	G, F	There are several ways this requirements is implemented. 1) GAP training curriculum to which all registered farmers have access , covers the need to calibrate spraying equipment for the best result and avoiding contamination of people or environment. 2) SOP for productivity packages : RFP to input suppliers comprises requirement to offer calibration service to accredited sprayers. If Farm services sources spraying equipment, sales contract should cover calibration as a service for at least 3 years. 3) Professionals, such as sprayers, are also trained by the COH program on that requirement. Knowledge on calibration is part of the accreditation program. If sprayers or cooperatives are provided with access to spraying machines, e.g. facilitation of credit to buy one, the contract shall comprise requirements on maintaining and calibrating the equipment	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
GAP27	Good Agriculture Practice	Pest and disease management	Instructions for use of agrochemicals are followed: Suitable equipment is used. Dosage, timing and intervals of application as respected as specified on product label and instructions for use.	G, F	Workers in the context smallholder farmers means Sprayers, who are trained and accredited by the COH program on competence of using agrochemicals as per instructions on dosage and timing, with suitable equipment etc. Smallholder farmers do not apply agrochemicals by themselves regularly. Origin countries set up an accreditation system for sprayers where competence is tested. Farmers also have access to best practices for agrochemical use during training.	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
GAP28	Good Agriculture Practice	Pest and disease management	A distance of at least 10 m to water bodies is kept when spraying agro-chemicals. Farms with existing cocoa trees in this buffer zone may keep these, but agrochemicals shall not be applied within the buffer zone. The vegetation in the buffer zone shall not include plants that are detrimental to cocoa trees.	G, F	Workers in the context smallholder farmers means Sprayers, who are trained and accredited by the COH program on preserving riparian zones from contamination with agrochemicals. Origin countries set up an accreditation system for sprayers where competence on this practice is tested. Smallholder farmers do not apply agrochemicals by themselves regularly. Farmers also have access to best practices for agrochemical use during training, including not spraying buffer zones. SOP for Replanting leaves 10m buffer zones from rivers that are not planted with cocoa.	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
GAP29	Good Agriculture Practice	Pest and disease management	Dedicated storage facilities for agrochemical are established with ventilation, light, a system for collecting spillages and warning signs.	G	In the frame of Productivity packages, farmer groups shall provide dedicated storage facilities that suffice the requirements of operational health and safety for the temporary storage of agrochemicals, such as separate rooms, suitably constructed boxes or cupboards. For this purpose, cooperatives or communities can be supported to establish such storage facilities, and farmers trained to use such facilities, and protect their families from contamination. Suppliers of agrochemicals should contribute to training farmer groups and providing warning signs.	not applicable			
GAP30	Good Agriculture Practice	Pest and disease management	Applications of agrochemicals are recorded. For illiterate farmers it is sufficient to name the products used and/or show the product label, and know the period or timing and quantity of application.	G, F	BC tracks information on behalf of each farmer: Farm Services records each farmer's purchase of <b>productivity or replanting packages is recorded</b> which comprises application of agrochemicals. Furthermore, 10% of all farmers are surveyed each year on agrochemical use.	not applicable			
GAP31	Good Agriculture Practice	Health and Safety Use of agrochemicals	Young people (under 18 years old), pregnant and nursing mothers and people with respiratory illnesses do not handle or apply agrochemicals or be exposed to CPP contaminated PPE.	G, F	There are several ways this requirements is implemented. 1) GAP training curriculum to which all registered farmers have access , covers the topic of who is allowed to spray agrochemicals, and the special protection that should be given to women, sick people and children because they are more vulnerable to chemicals. 2) Professionals, such as sprayers, are selected to not be within that group before they attend training by the COH program. Health checks on accredited sprayers are performed to establish their fitness for the job.	not applicable			
GAP32	Good Agriculture Practice	Health and Safety Use of agrochemicals	Operators only handle or apply CPPs if they have received basic training in how to protect themselves, their family, bystanders, the local community and the environment from harm, including equipment handling and maintenance, procedures and PPE for minimizing exposure of the operators, bystanders, the environment and non-target areas, and the value of correct application methodology. All farmers and workers who apply fertilizers must be trained in the procedures and PPE to use to minimize risks to themselves and the environment, and any machinery calibrations and maintenance appropriate.	G, F	Smallholder farmers do not apply agrochemicals by themselves regularly, instead they employ Sprayers, who are trained and accredited by the COH program. The training covers all required aspect on safe and effective use and handling of agrochemicals, including storage, transport, use of protective gear and safeguarding the environment and bystanders. Origin countries set up an accreditation system for sprayers where competence of sprayers are tested. Farmers also have access to training on procedures and use of PPE.	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
GAP33	Good Agriculture Practice	Health and Safety Use of agrochemicals	Agrochemicals and equipment are handled and stored in a secure location separated from living quarters, food or feed. Only authorized persons have access. Manufacturer's specifications for handling are respected.	G, F	In the frame of Productivity packages, farmer groups shall provide dedicated storage facilities that suffice the requirements of operational health and safety for the temporary storage of agrochemicals, such as separate rooms, suitably constructed boxes or cupboards. For this purpose, cooperatives or communities can be supported to establish such storage facilities, and farmers trained to use such facilities, and protect their families from contamination. Suppliers of agrochemicals should contribute to training farmer groups and providing warning signs.	not applicable			
GAP34	Good Agriculture Practice	Health and Safety Use of agrochemicals	Warning signs are placed after applying agrochemicals and measures are in place to ensure re-entry times and pre-harvest intervals are respected.	G, F	This is chiefly the responsibility of Sprayers that are trained by COH, but farmers get trained, too. In the frame of Productivity packages, suppliers of agrochemicals should contribute to make warning signs available.	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
GAP35	Good Agriculture Practice	Health and Safety Use of agrochemicals	Personal protection equipment (PPE) is provided to and used by all agricultural workers who handle and apply agrochemicals. Protective equipment (PPE) is provided to the employees of the farmer group free of charge.	G, F	Sprayers that are trained and accredited by COH have access to a free PPE. The PPE may be stored at the Farmer Group, but reasonably within reach of the sprayer who are trained to use it.	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
GAP36	Good Agriculture Practice	Waste management Use of agrochemicals	Storage, handling and disposal of empty agrochemical containers and expired agrochemicals are carried out 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.	G, F	SOP on PP: we should have a target on take-back of empty containers by input suppliers when we make available. Incentive system can be supported to encourage return of used containers at farmer group level.	Targets for % farmer groups that part of recovery system for used agrochemical containers	Y1 - feasibility study	Y2 - 3 : Pilot recycling system	Y4 - 5: roll out
GAP37	Good Agriculture Practice	Harvest and fermentation	Farmers are aware of GAP with regard to - harvest techniques and appropriate use of harvesting tools - good pod-breaking techniques - good fermentation techniques	F	Farmer training on GAP for harvest and post-harvest practices that results in good quality cocoa. Quality control during traceable cocoa buying as per government regulations	% adoption of GAP	Training Y1		
GAP38	Good Agriculture Practice	Drying, packaging and storage	Cocoa sun-drying is conducted on a clean and prepared surface, without direct contact with roads, soil or contamination by smoke.	F	Farmer training on GAP for harvest and post-harvest practices that results in good quality cocoa. Quality control during traceable cocoa buying as per government regulations. Where contamination with smoke is an issue, e.g. in Cameroon or Brazil, the commercial system to buy cocoa incentivizes the production of non-smoky beans (that is already in place in both countries).	not applicable			

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GAP39	Good Agriculture Practice	Drying, packaging and storage	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.	F	Farmers receive cocoa bags from farmer groups to bring their cocoa beans to market. In Côte d'Ivoire and Ghana, bags are made available to farmers from government provisioning services via cooperatives and traders. Farmer training on GAP for harvest and post-harvest practices that results in good quality cocoa.	not applicable			
GAP40	Good Agriculture Practice	Drying, packaging and storage	Packed cocoa beans are stored in appropriate conditions, including pest control measures, and beans are collected at optimal intervals.	G	Storage of cocoa beans should follow recommendations from national regulatory bodies, such as CCC and COCOBOD. Training concerned staff is done with the curriculum for warehouse / store keepers of farmer groups the comprise these elements	not applicable			
GAP41	Good Agriculture Practice	Diversification of production	Farmers are encouraged to diversify their income sources and when applicable, their crops. Farm Business Plans cover farm diversification options.	G	In the course of establishing the FBP, the income of the entire farm is looked at, and diversification of income will be part of the productivity packages offered to farmers via Farm Services. Farm services should offer diversification options in the first 5 years after having started COH.	# FBP	0% but needs roll-out plan	10% by 30 months 100% by 60 months	
ENV42	Environment	Protection of water bodies	A buffer zone of native vegetation is kept along the borders of seasonal and permanent water bodies to reduce erosion, limit contamination from pesticides and fertilizers, and protect wildlife habitats. Farms with existing cocoa trees in this buffer zone may keep these. The vegetation in the buffer zone shall not include plants that are detrimental to cocoa trees.	F	This requirement is applied chiefly in the frame of Replanting Packages that are made available to farmers in the frame of the FBP. Farm Services provide access to Replanting packages. SOP for replanting packages ensure that buffer zones are established, if not yet existing, when cocoa farms are replanted or new farms established. Training programs, to which all registered farmers have access, cover the necessity to have buffer zones and the value they create for communities, e.g. safe drinking water.	not applicable			
ENV43	Environment	Protection of water bodies	Farmers are made aware of requirements for water protection (e.g. buffer zones between cocoa fields and water bodies, how to avoid contamination of surface and underground water by agrochemicals, no discharge of sewage, wastewater, pesticides, empty pesticide containers or other contaminants into fresh water bodies).	F	There are several ways this requirements is implemented. 1) GAP training curriculum to which all registered farmers have access , covers the topic of water protection and the benefit derived from this by the communities, e.g. safe drinking water. 2) Professionals, such as sprayers, also trained on protection of water, and accreditation exams should cover the topic on how to avoid contamination of water bodies with pesticides.	not applicable			
ENV44	Environment	Protection of ecosystem and wildlife	Threatened and endangered species in the production area are identified. An ecosystem and wild life protection plan is developed, which defines the biodiversity conservation areas, buffer zones and wild life corridors. This plan is developed in consultation with the local communities. Implementation of the plan and the impact of farming activities on biodiversity and wild life are monitored at least every 3 years. The management plan is adapted if necessary for improvement.	P	Identification of endangered species, and the basic plan for their conservation, through national or regional conservation lists and plans from government and non-governmental organizations. The minimum expectation is that national implementation structure and the farmer groups have access to this plan. Based on these plans, at program or origin level, there is a recommended list of measures to contribute to protect threatened or endangered wildlife which is specific on the location of the farmer group. COH will usually employ an external expert to develop this list every 3 years. Curricula for training farmers and farming communities on wildlife protection is based on these national plans and lists.	Existence of a national plan covering the protection of ecosystem and wildlife	plan		
ENV45	Environment	Protection of ecosystem and wildlife	Farmers are aware of threatened and endangered wildlife species in the production area and how to protect them.	G	Curricula for training farmers and farming communities includes sensitization on wildlife protection, in particular concerning threatened and endangered species in the production area. (see above on work by external expert). Training content is specific to the proximity of threatened and endangered species.	not applicable			
ENV46	Environment	Protection of ecosystem and wildlife	The hunting, fishing or gathering of rare, threatened or endangered species on the farm is prohibited. Farmers and workers are informed about these species and that destroying important habitats on-farm (or off-farm because of farming activities) is not allowed.	G, F	Curricula for training farmers and farming communities includes sensitization on wildlife protection, in particular concerning threatened and endangered species in the production area. (see above on work by external expert). Training content is specific to the proximity of threatened and endangered species.	not applicable			
ENV47	Environment	Protection of ecosystem and wildlife	No farming activities take place in national parks, wildlife refuges, forestry reserves, buffer zones, water bodies and other public or private conservation areas. No NEW planting (conversion to agriculture) or draining on tropical peat soils (of any depth).	P,G	The approach chosen by the Cocoa and Forest Initiative is way leading in protecting forests. The measures applied under CFI are the ones applied by COH. 1) The respect of this requirement is done by mapping of cocoa farms and comparing farm locations to official maps of protected areas. Farmers who are found to farm in National Parks are excluded from COH. For farms within other protected areas, notably Forestry Reserves, the policy devised under CFI is used.  Where peat soils exist, SOP for Replanting Packages ensure that the feasibility step excludes planting cocoa on peat soils.	# of farmers fully mapped	10% (for new origins)	Y5 100%	
ENV48	Environment	Protection of ecosystem and wildlife	The conversion of High Conservation Value/High Ecological Value/High Carbon Stock areas (forests, grasslands or wetlands) to farmland is prohibited. All natural ecosystems are conserved. Forested land may not have been converted to non-forested land in the five-year period prior to the start of the process or after January 1, 2005, whichever date is earlier.	P,G	The approach chosen by the Cocoa and Forest Initiative is way leading in protecting forests. The measures applied under CFI are the ones applied by COH. National conservation plans should identify the HCV/HEV/HCS areas. To that effect, using the farm mapping data, a deforestation risk assessment is done at the national level .  This information is used to 1) Decide on supporting Replanting Packages for farmers. If the replanting leads to conversion of HCV/HEV/HCS areas, it shall not be supported. 2) update curricula on farmer training on protection of HCV/HEV/HCS areas. Farmer training comprises the topics of forest laws, law enforcement, and forest protection. 3) Decision on any specific measures to address high risk areas	# of farmers fully mapped	10% (for new origins)	Y5 100%	
ENV49	Environment	Protection of ecosystem and wildlife	The Farmer Group shall ensure that no large native trees that existed prior to the establishment of the farm are felled or burned in existing farms or when establishing new farms.	F	The long-term approach is to create tangible value for the farmer; therefore, the program or national program should implement a system whereby carbon credits for such large trees can be monetized. In the mean time, 1) farmer training on cocoa establishment and maintenance 2) SOP for Replanting packages to ensure that large native trees are kept when replanting. PENDING EVALUATION OF FEASIBILITY: WE CAN ALSO REPLANT AFTER CUTTING A TREE	not applicable			
ENV50	Environment	Protection of ecosystem and wildlife	Farmers are encouraged to plant forest tree species, timber trees, fruit trees and shrubs by use of diverse and native tree species. Farmers are aware of the importance of shade trees. Shade trees are planted on the farms where necessary and feasible. Producers are not allowed to introduce or plant invasive alien species on their farms.	G, F	This requirement is applied chiefly in the frame of Replanting Packages that are made available to farmers in the frame of the FBP. Farm Services provide access to Replanting packages. SOP for replanting packages ensure that shade trees are integrated in the new farm in systematic fashion. Such packages shall not comprise invasive, alien species. Farmers are further encouraged to associate fruit trees or shrubs that they like. If shade tree seedlings are distributed outside Replanting Packages (e.g. from community nurseries with support from COH, or via women agroforestry programs), diverse and native tree species are encouraged.	# Replanting packages	Cdl/Gh/ Cam immediately	New origins: as of year 2	
ENV51	Environment	Protection of ecosystem and wildlife	Documentation of newly planted trees is assured in the frame of cocoa replanting.	G, F	BC tracks information on behalf of each farmer: Farm Services records each farmer's purchase of <b>replanting packages</b> which comprises planting of new shade trees. At least on paper basis (e.g. delivery record), the type and number of trees are recorded. The program supports collective action to register trees with the authorities (e.g. Forestry Commission in Ghana).	# Replanting packages	Cdl/Gh/ Cam immediately	New origins: as of year 2	
ENV52	Environment	Protection of ecosystem and wildlife	Any use of timber or fuel wood is managed sustainably, that is, use-rate does not exceed growth and replacement-rate. Where communal land includes forest, trees, and/or community woodlots, these must be managed sustainably.	G, F	The program promotes integration of trees in new planting whose trimmings can be used for fuel wood and improved cook stoves to reduce fuel wood use.	not applicable			
ENV53	Environment	Protection of ecosystem and wildlife	No land is cleared by burning the vegetation. Harvest residues are not burnt.	F	It is important that carbon is incorporated in the soil to increase water retention. This is part of training curricula to which all farmers have access. Furthermore, SOP for replanting packages and for diversification comprise "no burning" practices for vegetation or harvest residues.	# farmers trained	Training Y1		
ENV54	Environment	Waste management	Farmers and workers are made aware of good waste management practices.	F	The management of organic and inorganic waste are part of a training module to which all farmers have access.	# farmers trained	Training Y1		

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Code	Area	Subtitle	Expected requirement on Farm and Group level	Applicable (F=farm, G= Farmer group, P=Programm/origin )	Implementation guidance	Leading KPI	min. Y1 Target	min. Y2 - Y5 Target	Min. Y10 Target
ENV55	Environment	Waste management	A plan is made for waste management. The plan considers major risks, recycling options and value generation. Waste streams are identified. Emphasis: management of organic material on-farm, avoid burning and return carbon to the soils	P	The national plan is made per origin on waste management. Recycling options are identified, with emphasis on using organic matter on-farm to improve soil carbon and water retention. Waste stream from empty pesticide bottles sold via productivity packages should be dealt with priority, as we can influence this Training curricula on waste management is updated using that plan.	not applicable			
ENV56	Environment	Waste management	The waste management plan is implemented.	G	The expectation is that training on good waste management based on local realities is done within the first year, whereas a recycling system for pesticide containers sold via FS is setup latest by year 5.	not applicable	Training	Recycling of pest containers in place	
ENV57	Environment	Waste management	Waste is disposed appropriately and responsibly. - in designated areas. - No open-air burn of any waste is carried out by the farmer. - Inappropriate materials (such as untreated sewage, medical or veterinary waste, oil, CPPs, CPP packing or containers) are not disposed of on your land unless specifically allowed by law and it is safe to use the affected land for food production. - If there are national regulations for the safe disposal of different types of hazardous waste, these shall be complied with	P	The national plan, that is made per origin on waste management, is considering these requirements for application in training curricula and recycling process for pesticide containers.	# farmers trained	Training Y1		
ENV58	Environment	Waste management	Composting of organic material is carried out in a designated area.	F	For smallholder farmers, composting harvest residues in the cocoa farm is good practice.	not applicable			
ENV59	Environment	GHG	Farmer groups report data / KPIs required for estimating carbon sequestration. Farmer groups are required to estimate sequestration and emissions of greenhouse gases from the farms.	G	COH will deploy and implement carbon sequestration measurement methodology developed by Forever Chocolate on behalf of the Farmer Groups. It is expected that systemic data collection starts in years 2-5. Data collection should be based on existing data streams, such as those stemming from sale of technological packages to farmers, or adoption measurements.	not applicable			
ENV60	Environment	GHG	Producers - farmer groups - communities will be encouraged and incentivized to take measures to reduce any net emissions of greenhouse gases from the management unit. The use of renewable energy on farms should be increased, where it is available and affordable.	F,G	Promotion of green technology and renewable energy sources is part of training curricula that all farmers have access to. For example, improved cooking stoves can be made available to farming communities.	not applicable			
ENV61	Environment	GHG	No soil shall be taken from local nature reserves, riverbanks or land set aside for conservation, for use on the farm (e.g. for use in nurseries). The use of peat is avoided and replaced with more sustainable alternatives.	F,G	In the context of smallholder cocoa farming, soil use is chiefly occurring in nurseries. Specialists who are trained in setting up community nurseries are made aware that the substrate they use for the nursery shall not come from nature reserves and riverbanks. Currently, there is no peat use in substrates used in nurseries.	not applicable			
SOC62	Social aspects	Human rights	Farmers and their workers are aware of human rights.	F	Farmers are trained on human rights in the course of their training sessions in FFS	# farmers trained	Training Y1		
SOC63	Social aspects	Gender equality and women's empowerment	An inventory of gender-related issues is made.	G	The World Cocoa Foundation is working on an inventory of gender related issues, and promotes strategies on gender related issues in the cocoa sector.	not applicable			
SOC64	Social aspects	Gender equality and women's empowerment	Both women and men within the organization and on the farms are aware of gender-related issues, using best practice approaches.	G, F	Farmers are trained on gender related issues in the course of the training modules on human rights.	# Farmers trained	Training Y1		
SOC65	Social aspects	Gender equality and women's empowerment	All training courses are offered to men and women members of the organization, including the spouses of registered farmers.	G	Voluntary attendance of spouses is encouraged during FFS and other training sessions. New modules that are relevant for both parents are developed, e.g. On skilful parenting.	not applicable			
SOC66	Social aspects	Gender equality and women's empowerment	When training courses are offered, women's participation is stimulated, including the spouses of registered farmers.	G	As a rule, Farm Field School trainings are open to women and spouses of farmers to attend. Trainers who run FFS are sensitized to encourage women farmers and spouses of farmers to attend trainings. The curriculum should evolve to comprise themes that are of high interest to women, such as food crops, family and reproductive health, children, safety, etc. For example, we have developed a curriculum on plantain, and are piloting one on skilful parenting.	% women participants in training	Y1 farmer training		
SOC67	Social aspects	Children's rights	A risk inventory of children's rights issues is available.	P	UNICEF has conducted an inventory of child rights issues for the cocoa sector, with focus on Côte d'Ivoire. This inventory is used globally and by the origins to inform child rights actions. Furthermore, each community is assessed to determine risk profile for child labor.	# communities with child labor risk assessed	100% by 2020 for existing origins		
SOC68	Social aspects	Children's rights	A policy to respect children's rights is in place.	P	BC has a children's rights policy at the global level.	not applicable			
SOC69	Social aspects	Children's rights	Farmers, their workers and the children of farmers workers are aware of children's rights.	F	Farmer and their household members are sensitized on children's rights, covering decent living, child protection, child education and child survival, through the Cocoa Horizons Truck roadshows, or action of the community structure. Graphical representation of child rights are integrated in the Farmer Passbook	not applicable			
SOC70	Social aspects	Children's rights	Action is taken when concerns arise regarding abuse, exploitation or harming of children, including activities related to farm and organization.	G	The community structures that are in charge of child labor monitoring and remediation systems have as part of their mandate to take actions, preventive or corrective / remedial, when child labor cases are identified.	# WFCL cases identified and remediated	roll-out plan done	50% of communities	100% of communities
SOC71	Social aspects	Children's rights	The protection and safety of children is ensured in business activities, including activities related to farm and Farmer Group.	G	This is a business principle that is embedded in several processes. Farmer groups sign the Charter on Child Labor. Farmer group executives participate in training on child rights and child labor, on how to make the workplace safe for children and relevant employment practices. Community structures, such Child Protection Committees, are trained on the protection and safety of children.	Farmer group sign the CL charter	100%		
SOC72	Social aspects	Children's rights	Education and school attendance for all children and vocational training for children of a legal working age are actively promoted.	G	1) During the basic census, which is applied to all farmers, households who have children not going to school are identified. Analysis of this data allows targeting communities or specific households to encourage school attendance. 2) Such analysis data can be used during sensitization work done by community structures, such School Management Committees. 3)In the frame of child labor related activities, community structures households can support households to send their children to school, e.g. with birth certificates, school kits or scholarships.	% of households that have children attending school	Y1 100% census coverage		
SOC73	Social aspects	Children's rights	Vocational training, apprenticeship and employment are encouraged in agriculture for youth above the minimum working age, particularly in sustainable cocoa farming (excluding hazardous tasks).	G	Promotion of vocational training and accessing opportunities is a key factor to combat child labor. Community structures have the mandate to support vocational training, e.g. via networking and scholarships. When specialists are trained by the program, youth above the minimum working age have access.	not applicable	0% but needs roll-out plan		
SOC74	Social aspects	Child labour and worst forms of child labour	A person within the Farmer group management structure is appointed, who is competent in child labor issues, with the responsibility to manage the risk of child labor where it exists and contribute to its elimination.	G	The org chart of the farmer group identifies the person in charge of child labor. This person is trained in the aspects of child labor root causes, risks, identification methods, prevention and remediation.	# of cooperatives compliant ; Sample of 30% of Farmer Groups	100%		
SOC75	Social aspects	Child labour and worst forms of child labour	A child labor policy is in place. It is communicated in the organization and made publicly available.	G	The key part of the COH child labor policy is the Forever Chocolate commitment to zero child labor by 2025. Communication on the policy communication is through the Supplier code and the Child Labor Charter that the Farmer Groups sign.	not applicable			
SOC76	Social aspects	Child labour and worst forms of child labour	A risk assessment is made identifying the possible risks related to child labor in the organization and in the communities where its members live.	P	The risk assessment of child labor is done on behalf of the cocoa sector by International Cocoa Initiative (ICI). ICI updates the risk assessment regularly based on CLMRS' that it operates, and makes recommendations to governments and cocoa sector players. In addition, the program makes inventories of socioeconomic infrastructure that are relevant to child rights and child labor per community, ie. schools, health centers, water sources etc. (community infrastructure survey)	not applicable			

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SOC77	Social aspects	Child labour and worst forms of child labour	Based on the risk inventory, actions are undertaken to prevent, identify, monitor and remediate child labor and the worst forms of child labor related to the activities of the organization and its members. 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, using best practice approaches.	G	The program supports the creation of community structures that have a mandate on community development, education and child labor. Such structures can be Child Protection Committees, Local Development Committees or School Management Committees. The structures are enabled and capacitated to eradicate child labor by prevention, identification and remediation, including a community development plan aimed to prevent child labor. A set of rules is established that allow the community structures to apply for funding in a competitive way. Integration with local and national government structures is required. Community structures report on child labor cases and remediation activities.	# of Community Action plans	roll-out plan done	50% of communities	100% of communities
SOC78	Social aspects	Child labour and worst forms of child labour	Registered farmers and agricultural workers are competent on child labor issues.	F	The community structures that are in charge of child labor monitoring and remediation systems have as part of their mandate to sensitize farmer communities on the root causes of child labor, its forms and how to prevent it.	not applicable			
SOC79	Social aspects	Child labour and worst forms of child labour	Necessary efforts are undertaken so that children of farmers and of rural workers within the Farmer Group have birth certificates or other legal identity documentation, and to encourage that children within the organization are registered at birth.	G	The community structures that are in charge of child labor monitoring and remediation systems have as part of their mandate to sensitize farmer communities on the civil requirement to register their children at birth, to enable them to attend school and have a career. The system that the community structure puts in place can support children without a birth certificate to obtain one.	No. of education-related interventions incl. provision of birth certificates			
SOC80	Social aspects	Child labour and worst forms of child labour	Suspected cases of conditional worst forms of child labor (hazardous work) are identified and a remediation plan is developed and implemented.	G	The community structures that are in charge of child labor monitoring and remediation systems are trained and equipped to identify and remediate conditional WFCL.	Number of communities with a CLMRS – equivalent process in place	roll-out plan done	50% of communities	100% of communities
SOC81	Social aspects	Child labour and worst forms of child labour	A list of applicable hazardous activities is publicly displayed. Information about the prohibition of hazardous work for children, within the organization, among the agricultural workers, and towards the children of agricultural workers.	G	A poster is displayed at the cocoa collection points, and the hazardous activities are also displayed in graphic form in the Farmer Passbook.	not applicable			
SOC82	Social aspects	Child labour and worst forms of child labour	Suspected cases of unconditional worst forms of child labor (including child trafficking, bonded labor, and slave labor) are immediately reported to the relevant authorities.	G	The community structures that are in charge of child labor monitoring and remediation systems are trained and are aware of the necessity to refer unconditional child labor cases to government institutions.	# WFCL cases identified and remediated			
SOC83	Social aspects	Employment and contractual relations	Each registered farmer prepares an inventory of all agricultural workers on his/her farm, including regular hired workers, seasonal, subcontracted, migrant and family labor. Sex and age of workers should be recorded. Under no circumstances will a farm employ individuals under the age of 15 or under the local legal minimum age for work or mandatory schooling.	G, F	1) Cooperatives are trained and follow employment policy to register workers ages. 2) Farmer census covers aspects of workers laborers / passbook 3) For farms larger than 10ha, a worker inventory is prepared at least 1 a year.	# farmers with complete census	10% farmers with complete census		
SOC84	Social aspects	Employment and contractual relations	Regular hired workers of the Farmer Group are provided with written contracts, specifying labor conditions and payment arrangements, in a language and format that workers can understand.	G	This is applicable for farmer group employees such as the manager, accountant, warehouse keeper, driver, ADG. Cooperatives are trained and follow employment policy to ensure that regular workers have a written contract. Farm services employment conditions shall respect this requirements.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y2 100%	
SOC85	Social aspects	Employment and contractual relations	All seasonal workers shall receive the working conditions and workers' rights equivalent of regular hired workers, and their contractual agreements shall be respected, within the Farmer group and farmers are made aware of working conditions and worker's rights of their seasonal workers	G, F	This is applied at several levels: 1) for farmer group employees such as the loaders: Cooperatives are trained and follow employment policy to ensure that their contracts and employment conditions are respected . 2) Farm services employment conditions shall respect this requirements. 3) Farmers are trained on employment conditions of seasonal workers.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y2 100%	
SOC86	Social aspects	Employment and contractual relations	Registered farmers provide sharecroppers and caretakers with written contracts, specifying labor conditions and payment arrangements, in a format and language that they can understand.	G, F	Farmers are trained on employment conditions and payment arrangements on sharecropping and caretaking. Farmer contract / Farmer Passbook comprises respecting labor regulations.	# farmers with complete census	10% farmers with complete census		
SOC87	Social aspects	Employment and contractual relations	Maternity leave for regular hired workers shall be granted.	G	This is applicable for farmer group employees such as the manager, accountant, warehouse keeper, driver, ADG. Cooperatives are trained and follow employment policy to ensure that regular workers are granted maternity leave. Farm services employment conditions shall respect this requirements.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y1 100%	
SOC88	Social aspects	Employment and contractual relations	A risk assessment is in place to assess the risk of trafficking and forced labor when the organization or its members recruit workers.	P	At a global level, an assessment tool is developed and applied at origin level, primarily at farmer group level.	not applicable			
SOC89	Social aspects	Employment and contractual relations	No worker is employed by force or compulsion.	G	This is applicable for all farmer group employees. Cooperatives are trained and follow employment policy to ensure that no forced labor is used. Internal audit verifies key indicators of forced labor with cooperative employees. Abuses are reported to authorities as per prevailing law.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y1 100%	
SOC90	Social aspects	Employment and contractual relations	No identity documents are withheld from rural workers agricultural workers nor from employees of the organization.	G	This is applicable for all farmer group employees. Cooperatives are trained and follow employment policy to ensure that these requirements are applied. Internal audit verifies key indicators of employment conditions.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y1 100%	
SOC91	Social aspects	Employment and contractual relations	In the case of wage labor, wages are paid on a regular basis. The frequency and level of wage payments is clearly communicated at the beginning of employment.	G	This is applicable for all farmer group employees. Cooperatives are trained and follow employment policy to ensure that these requirements are applied. Internal audit verifies key indicators of employment conditions.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y1 100%	
SOC92	Social aspects	Employment and contractual relations	A procedure is in place for submitting and addressing complaints and raising concerns. This procedure is accessible for: - Farmer group staff, - farmers - farmers' workers, - buyers and suppliers, and - anyone who wishes to file a complaint  The farmer group staff and farmers are informed of the complaint procedure at the time of hiring/joining the group.	F,G	Farmer groups have a complaints mechanism in place (letter box, appointing a representative for workers, toll free line). Farmer contracts specify the availability of the complaints mechanism. By default, the Barry Callebaut integrity platform is available to all people mentioned in the requirements.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y1 100%	
SOC93	Social aspects	Working hours and working conditions	The goals and requirements set out in the International Labor Organization Conventions on hours of work and overtime are met so that the regular working week does not exceed 48 hours, and overtime does not exceed 12 hours. 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. Workers must have the right to time off work, for medical appointments and counselling for themselves and their dependents.	G	This is applicable for all farmer group employees. Cooperatives are trained and follow employment policy to ensure that these requirements are applied. Internal audit verifies key indicators of employment conditions.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y1 100%	
SOC94	Social aspects	Freedom of association and collective bargaining	Agricultural workers and employees of the organization have the right to freely organize into associations and farmer groups.	P	These rights are assured by the national legislation.	# of cooperatives compliant ; Sample of 30% of Farmer Groups		Y1 100%	
SOC95	Social aspects	Freedom of association and collective bargaining	There is no obstruction to the right of rural 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.	P	These rights are assured by the national legislation.	not applicable			

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SOC96	Social aspects	Occupational health and safety	An inventory is made of occupational health and safety risks within the Farmer Group and on the farms.	P	The inventory of occupational safety and health is done at the national level, using information from existing national plans e.g. At ministry level. The risk assessment is part of the national OSH plan	Existence of the national OSH plan	inventory done		
SOC97	Social aspects	Occupational health and safety	An action plan is made to address the issues identified in the inventory on occupational health and safety. The action plan ensures that there is access to First Aid sufficient to respond to emergencies. Injury, emergencies, fire, noise and dust are addressed.	P	The national plan is made per origin on occupational safety and health. The principal risk and prevention measures for work related health and safety aspects are analyzed, also based on existing plans from the Ministry of Labor.	Existence of the national OSH plan	Plan developed		
SOC98	Social aspects	Occupational health and safety	The action plan is implemented.	G	Training curricula of farmers and farmer groups are updated using that plan. For farm related work, OSH on use of chemicals is a priority, see also implementation guidance on use of agrochemicals. Farmer groups identify where workers and farmers can access first aid, usually at the nearest government health post. First aid training is made available to farmers for exposure to agrochemicals.	not applicable	Training of FG & farmers	Action plan partially implemented	Action plan fully implemented
SOC99	Social aspects	Occupational health and safety	Agricultural workers are informed about and protected against occupational health and safety risks in their agricultural work. This information is provided clearly and visibly in the working environment of the organization, in a language they understand and with pictograms.	G, F	OSH risks and prevention measures are displayed: 1) in farmer group premises such as warehouses 2) in farmer passbooks	# of cooperatives compliant ; Sample of 30% of Farmer Groups	Y1 100%		
SOC100	Social aspects	Occupational health and safety	Health and safety competence of agricultural workers operating in hazardous conditions is assured.	G, F	This concerns chiefly Sprayers who have been trained by the COH program. Accreditation exams serves to assure these Sprayers competences on OSH.	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
SOC101	Social aspects	Occupational health and safety	Necessary protective equipment is provided to the Farmer Group's employees free of charge.	G	See requirement on Sprayers: if they are employees of the farmer group. Other equipment as identified in the risk assessment, e.g. for operating dangerous equipment, or availability of dust mask for work in dusty conditions.	# of cooperatives compliant ; Sample of 30% of Farmer Groups	Y1 100%		
SOC102	Social aspects	Occupational health and safety	Necessary protective equipment is provided to and used by all seasonal workers operating in hazardous conditions.	G	See requirement on Sprayers: they have access to a PPE when spraying agrochemicals.	# farmers / accredited sprayer	Accreditation established; sprayer training	Accreditation of sprayers operational	
SOC103	Social aspects	Occupational health and safety	Farm workers must be able to bring potable water, washing water and soap (in order to wash hands before eating) to work, or the farm must provide these. For plantations: Workers will have 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.	F	Smallholder farmers will bring water along during work, or access through water source near the farm. Sanitization is done on hygiene practices such as hand washing before eating. Accredited sprayers are trained on the appropriate use of water for drinking and for washing themselves and their equipment.	not applicable			
SOC104	Social aspects	Prevention of discrimination, harassment and abuse	The principle of non-discrimination and the rights of the individual are respected and initiatives are taken 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.	G	Farmer groups capacity building covers principles and good practice to avoid discrimination, harassment and abuse. For example during hiring or promotion of new staff, or workers' contracts. Recruitment processes for productivity and replanting services respect these principles.	# Farmer groups (cooperatives, branches, districts)	Group informed	Group capacity building	
SOC105	Social aspects	Prevention of discrimination, harassment and abuse	No workers are subjected to corporal punishment, mental or physical coercion, or verbal abuse.	G	Farmer groups capacity building covers principles and good practice to avoid discrimination, harassment and abuse. Recruitment processes for productivity and replanting services respect these principles.	# Farmer groups (cooperatives, branches, districts)	Group informed	Group capacity building	
SOC106	Social aspects	Prevention of discrimination, harassment and abuse	Men and women receive equal opportunities and equal remuneration for equal work.	G	This requirement is implemented via HR policy of Farmer group, Direct Sourcing and Origin sustainability services	# of cooperatives compliant ; Sample of 30% of Farmer Groups	Y1 100%		
SOC107	Social aspects	Prevention of discrimination, harassment and abuse	An action plan is implemented to eradicate all forms of harassment and abuse, including a gender sensitive grievance procedure incorporating equal access for men and women. Within the grievance procedure there is no retribution or punishment for reporting an injustice.	P	The action plan at the national level comprises the following elements: 1) Farmer groups capacity building covers principles and good practice to avoid discrimination, harassment and abuse. 2) Recruitment processes for productivity and replanting services respect these principles. 3) Grievance mechanism (see SOC105)	# Farmer groups (cooperatives, branches, districts)	Group informed	Group capacity building	
SOC108	Social aspects	Social protection systems	Social security is provided to the organization's employees, and if so required the organization meets its financial obligations to this end.	G	Farmer groups capacity building covers principles and good practice respecting labor law of the country. Permanent employees must be subscribed to the national social security system and the worker contract contain clauses to that effect.	# Farmer groups (cooperatives, branches, districts)	Group informed	Group capacity building	
SOC109	Social aspects	Land rights	The right to use the land is demonstrated 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.	G, F	For smallholder farmers in West and Central Africa, traditional land rights confer them ownership of the farm without further need of proof. During farmer census, the status of the land ownership is recorded, and all cocoa farms are mapped. If there is an opportunity, the mapping data can serve to establish property titles. For larger farms (>10ha), demonstration of the land right is required.	# of farmers fully mapped	10% (for new origins)	Y5 100%	
SOC110	Social aspects	Land rights	Large scale land projects require FPIC (free prior and informed consent) of local populations. The handling of customary or use rights of such land is clarified in this process.	G	For smallholder farmers in West and Central Africa who expand their farming area or replant, FPIC is not a requirement due to the small area affected. For replanting of cocoa at clustered, larger scale covering at least 50 ha , FPIC must be conducted with the communities to safeguard interests and avoid conflicts that endanger the replanting.	not applicable	become applied with >50 ha RP in one commu		
SOC111	Social aspects	Basic needs	Initiatives are undertaken 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.	G, F	The program supports the creation of community structures that have a mandate on community development, education and child labor. The structures are enabled and capacitated to raise awareness of rights of workers, farmers and their families.	not applicable	roll-out plan done	50% of communities	100% of communities
TRA112	Training	Training of group staff	The following training is provided to the Farmer group staff by dedicated BC trainers, based on a training program and curriculum mentioned below. Focused regular update trainings are realized. Training records (minutes and participants lists including gender and signatures) are kept. The following subjects are covered: - Sprayers: application of pesticides - Pruners: Requirements for pruning - Group staff involved in relevant processes, such as an administrator or warehouse keeper: - Traceability - Quality - Social aspects including child protection - Business Skills - Environmental protection	P, G	Origin countries cover these training requirements in their training plans. Relevant trainees are usually identified by the Farmer Groups, while the training itself is organized at a national level by competent BC staff, or external experts.	# Farmer Group staff trained	Start FG staff training y1		

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Code	Area	Subtitle	Expected requirement on Farm and Group level	Applicable (F=farm, G= Farmer group, P=Programm/origin )	Implementation guidance	Leading KPI	min. Y1 Target	min. Y2 - Y5 Target	Min. Y10 Target
TRA113	Training	Tasks and accreditation of farmers trainers	Farmer Trainers present in each Farmer Group are responsible for the following tasks: - Data collection & farmer registration (and codification) - Training of farmers via Farmer Field Schools.  Farmer Trainers are proposed by the Farmer Group based upon the following criteria: - Able to read and write - Resident of village - Being a Group Member or a relative of a Group Member - Speaks local languages.  All proposed Farmers Trainers are trained and evaluated by dedicated BC staff: - Training is provided to farmers trainers as part of the Farmer Trainer Accreditation. - A test is devised to check the knowledge of Farmer Trainers. Selected Farmer Trainers are subjected to a test. - The test results are evaluated against a target pass-rate. Farmer Trainers who pass the mark are accredited. - After evaluation the best Farmer Trainers are chosen  This process is documented (minutes, signed participants list and evaluation results).	G	Farmer groups are usually the ones who propose farmer trainers. They select farmer trainers based on criteria here suggested. Trainer selection is validated at country level based on information submitted by the Farmer group, and / or interviews. Training is organized usually a central level for each origin. Training is done by external experts or BC staff. Farmer trainers are accredited as described in the criteria.	# Farmer Group staff trained	Start FG staff training y1		
TRA114	Training	Training of farmers trainers	An annual training program is established. This program is accompanied by the training curriculum modules and a time table. This program states the number of modules and the frequency of farmer training.  Training is provided to farmers trainers based on the training program and curriculum. Focused annual update trainings are realized. The following subjects are covered:	P,G	The training program is done at country level and is part of the National Plan. The program identifies the trainers and curricula that are used. An accreditation system is established for farmer trainers. Regional Training Workshop of Training of Trainers is organized at country level. Dedicated BC staff responsible for the organization of Regional Training Workshops ensures that minutes and signed participants lists of each training of trainers are available. Training curricula are developed by internal or external experts for the topic at either global or country level.	# Farmer Group staff trained	Start FG staff training y1		
TRA114a	Training	Training of farmers trainers	- Adult Education	G	included in the curriculum for farmer trainers / coaches only	not applicable			
TRA114b	Training	Training of farmers trainers	- Good Agricultural Practices: Planting, maintenance of cocoa trees, Soil fertility/protection, IPM and application of pesticides, Harvesting, pod-breaking, fermentation, Drying, packaging, storage, Resilience and diversification of production	G	included in the curriculum for farmers	not applicable			
TRA114c	Training	Training of farmers trainers	- Farming as a business	G	included in the curriculum for farmer trainers / coaches only	not applicable			
TRA114d	Training	Training of farmers trainers	- Protection of the Environment	G	included in the curriculum for farmers	not applicable			
TRA114f	Training	Training of farmers trainers	- Health & Safety	G	included in the curriculum for farmers and sprayers	not applicable			
TRA114g	Training	Training of farmers trainers	- Application of agrochemicals	G	included in the curriculum for farmers and sprayers	not applicable			
TRA114h	Training	Training of farmers trainers	- Traceability	G	included in the curriculum for farmers	not applicable			
TRA114i	Training	Training of farmers trainers	- Quality	G	included in the curriculum for farmers	not applicable			
TRA114j	Training	Training of farmers trainers	- Social aspects including child protection: Human rights, Gender-related issues, Children's rights and child labor, Workers rights and labor conditions, Right to the freedom of association	G	included in the curriculum for farmers	not applicable			
TRA114k	Training	Training of farmers trainers	- Creating awareness of the potential impact of climate change and how to assist registered farmers adapting to new climatological conditions (if applicable)	G	not yet available	not applicable			
TRA115	Training	Training of farmers and their workers	Dedicated BC staff is responsible for the training of farmers Two methods are used for training: 1. Farmer Field Schools 2. Individual Group Member training  The following training is provided to farmers and their workers based on an annual training program and curriculum. Focused annual update trainings are realized. Training records (minutes and participants lists including gender and signatures) are kept. The following subjects are covered as detailed in the following chapters: - Protection of the Environment - Good Agricultural Practices - Health & Safety - Quality, Traceability - Social aspects including child protection  Once the Farm Business Plan (FBP) shall be set up: Business training	G	Based on national training plan, farmer trainers train farmers in Farmer Field Schools or equivalent settings. The aim is that a farmer has free access to basic and advanced training modules over 2-3 years. The farmer is first assessed on knowledge on training topics, in order to identify gaps. The farmer then attends to trainings particularly useful to address the gaps. After about 2 years, the farmer graduates through another evaluation, and obtains a diploma stating performance. Farmers who perform very well during the first assessment can obtain a diploma straight away. A farmer in training is expected to enroll for farm services based on his/her FBP. At least after 3 years, a farmer does no longer have free, systematic access to training, except new content or specific needs occur.	# Farmers graduated	Training Y1		
TRA116	Training	Coaching	Farmers are provided with coaching that enables them to implement the FBP. Coaching includes as a minimum one on-farm coaching session per 12 months.  - Business training and support including technical, logistical, infrastructure related and financial knowledge and information and expenditures to build their financial history - Coaching on adoption and implementation of the cocoa Farm Business Plan Coaching includes a minimum include one on-farm coaching session per 12 months.	G, F	Coaching is part of the FBP and the consequent PP and RP. The SOP for coaching specifies more details.	# Farmer Group staff trained	Start FG staff training y1		
TRA117	Training	Training on environment	Training content on protection of the environment	G, F	included in the curriculum for farmers	not applicable			
TRA117a	Training	Training on environment	- how to identify, protect water bodies (e.g. buffer zones between cocoa fields and water bodies, how to avoid contamination of surface and underground water by agrochemicals, no discharge of sewage, wastewater, pesticides, empty pesticide containers or other contaminants into fresh water bodies)	G, F	included in the curriculum for farmers	not applicable			
TRA117b	Training	Training on environment	- how to protect the ecosystem, threatened and endangered species and their habitats (The hunting, fishing or gathering of rare, threatened or endangered species on the farm is prohibited. Farmers and workers are informed about these species and that destroying important habitats on-farm (or off-farm because of farming activities) is not allowed).	G, F	included in the curriculum for farmers and farmer groups	not applicable			
TRA117c	Training	Training on environment	- forest protection and protection of vegetation on unproductive land, prohibition of land burning and of farming activities in national parks, wildlife refuges, forestry reserves, buffer zones, water bodies and other public or private conservation areas.	G, F	included in the curriculum for farmers and farmer groups	not applicable			
TRA117d	Training	Training on environment	- planting of shade trees, forest tree species, timber trees, fruit trees and shrubs	G, F	included in the curriculum for farmers	not applicable			
TRA117f	Training	Training on environment	- waste management (waste disposal in designated areas, no open-air burn of any waste, correct disposal of empty pesticide containers, expired agrochemicals etc.)	G, F	included in the curriculum for farmers	not applicable			



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TRA118	Training	Training on GAP – Planting	Training content of GAP - planting	G, F	Part of farmer training curriculum	not applicable			
TRA118a	Training	Training on GAP – Planting	- use of adequate planting material	G, F	Part of farmer training curriculum	not applicable			
TRA118b	Training	Training on GAP – Planting	- (re)planting, rejuvenation/ rehabilitation	G, F	Part of farmer training curriculum	not applicable			
TRA118c	Training	Training on GAP – Planting	- grafting techniques	G, F	Grafting is currently not permitted in GH and Ivory Coast, therefore no training done on that topic in these two origins. In Cameroon and other origins where grafting is allowed, training on grafting can start in year 2 or 3.	not applicable			
TRA119	Training	Training on GAP – maintenance of cocoa trees	Training content on GAP – maintenance of cocoa trees - Maintenance and rehabilitation of trees	G, F	Part of farmer training curriculum	not applicable			
TRA120	Training	Training on GAP - Soil fertility/protection	Training on GAP - Soil fertility/protection	G, F	The training curriculum on this topic is updated and used to train farmers.	not applicable			
TRA120a	Training	Training on GAP - Soil fertility/protection	- soil fertility management, nutrient balance and replenishment and how to minimize nutrient losses. - Proper application of fertilizers	G, F	Part of farmer training curriculum	not applicable			
TRA120b	Training	Training on GAP - Soil fertility/protection	- practices to avoid soil erosion. Training to include managing locally relevant risks of soil loss and degradation (erosion, loss of structure, contamination, loss of soil Organic Matter), and management systems appropriate for preventing or correcting problems.	G, F	included in the curriculum for farmers	not applicable			
TRA120c	Training	Training on GAP - Soil fertility/protection	- to leave mulch cover and healthy organic waste such as disease-free pod husks and pruning debris, seeds and fruits in the farm.to increase microbial activity	G, F	included in the curriculum for farmers	not applicable			
TRA120d	Training	Training on GAP - Soil fertility/protection	- composting	G, F	included in the curriculum for farmers	not applicable			
TRA121	Training	GAP – IPM and application of pesticides	All persons who are involved in or concerned by agrochemical treatments are trained according to the following subjects:	G, F	Part of sprayer training curriculum	not applicable			
TRA121a	Training	GAP – IPM and application of pesticides	- Integrated pest and disease management (IPM measures)	G, F	included in the curriculum for farmers and sprayers	not applicable			
TRA121b	Training	GAP – IPM and application of pesticides	- how to reduce use of pesticides	G, F	included in the curriculum for farmers and sprayers	not applicable			
TRA121c	Training	GAP – IPM and application of pesticides	- choice of agrochemicals including list of prohibited products	G, F	included in the curriculum for farmers and sprayers	not applicable			
TRA121d	Training	GAP – IPM and application of pesticides	- correct application of agrochemicals, including no-spray zones, how to minimize exposure of the operators, bystanders, the environment and non-target areas	G, F	The training curriculum on this topic is updated and used to train farmers.	not applicable			
TRA121f	Training	GAP – IPM and application of pesticides	- who is allowed to apply agrochemicals	G, F	The training curriculum on this topic is updated and used to train farmers.	not applicable			
TRA121g	Training	GAP – IPM and application of pesticides	- use of appropriate personal protective equipment (PPE) - Emergency procedures, first aid and medical attention for cases involving poisoning with CPP	G, F	included in the curriculum for farmers and sprayers	not applicable			
TRA121h	Training	GAP – IPM and application of pesticides	- dosage, timing, intervals of application	G, F	Part of sprayer training curriculum	not applicable			
TRA121i	Training	GAP – IPM and application of pesticides	- protection of family, bystanders, the local community and the environment	G, F	The training curriculum on this topic is updated and used to train farmers.	not applicable			
TRA121j	Training	GAP – IPM and application of pesticides	- re-entry time and pre-harvest intervals	G, F	The training curriculum on this topic is updated and used to train farmers.	not applicable			
TRA121k	Training	GAP – IPM and application of pesticides	- maintenance and calibration of spraying equipment	G, F	Part of sprayer training curriculum	not applicable			
TRA121l	Training	GAP – IPM and application of pesticides	- proper closing of bottles during storage and transportation in order to prevent spillage - storage in a secure location separated from living quarters, food or feed, where only authorized persons have access.	G, F	The training curriculum on this topic is updated and used to train farmers.	not applicable			
TRA121m	Training	GAP – IPM and application of pesticides	- safe storage, handling and disposal of empty agrochemical containers and expired agrochemicals - triple washing of empty containers before disposal, no re-use of agrochemical containers and no open-air burning	G, F	Part of sprayer training curriculum	not applicable			
TRA122	Training	GAP – Harvesting, pod-breaking,	GAP – Harvesting, pod-breaking, fermentation	G, F	The training curriculum on this topic is updated and used to train farmers.	not applicable			
TRA122a	Training	GAP – Harvesting, pod-breaking,	- good harvest techniques (including identification of ripe pods ready for harvest and	G, F	Part of sprayer training curriculum	not applicable			
TRA122b	Training	GAP – Harvesting, pod-breaking,	- identification of diseased, mummified or insect-damaged pods to be discarded	G, F	Part of farmer training curriculum	not applicable			
TRA122c	Training	GAP – Harvesting, pod-breaking,	- good pod-breaking techniques	G, F	Part of farmer training curriculum	not applicable			
TRA122d	Training	GAP – Harvesting, pod-breaking,	- good fermentation techniques	G, F	Part of farmer training curriculum	not applicable			
TRA123	Training	GAP – Drying, packaging, storage	GAP – Drying, packaging, storage	G, F	The training curriculum on this topic is updated and used to train farmers.	not applicable			
TRA124a	Training	GAP – Drying, packaging, storage	- appropriate drying techniques, avoiding direct contact with roads and soil	G, F	Part of farmer training curriculum	not applicable			
TRA125b	Training	GAP – Drying, packaging, storage	- sun-drying on a clean and prepared surface, without direct contact with roads and soil	G, F	Part of farmer training curriculum	not applicable			
TRA126c	Training	GAP – Drying, packaging, storage	- proper packaging and storage techniques and materials	G, F	Part of farmer training curriculum	not applicable			
TRA127	Training	GAP – Resilience and diversification of production	- diversification of crops, including use of shade trees	G, F	Part of farmer training curriculum	not applicable			
TRA128	Training	GAP – Resilience and diversification of production	Climate change - the potential impact of climate change and how to adapt to new climatological conditions (if applicable)	G, F	Curricula for farmer and farmer training need to be updated from time to time for emerging realities of climate change.	not applicable		2019/20 curriculae updated	
TRA129	Training	Social criteria	Social criteria	G, F	Part of farmer and cooperatives staff training curriculum	not applicable			
TRA129a	Training	Social criteria	- Human rights	G, F	Part of farmer and cooperatives staff training curriculum	not applicable			
TRA129b	Training	Social criteria	- Gender-related issues	G, F	Part of farmer and cooperatives staff training curriculum	not applicable			
TRA129c	Training	Social criteria	- Children’s rights and child labor	G, F	Part of farmer and cooperatives staff training curriculum	not applicable			

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TRA129d	Training	Social criteria	- Workers rights and labor conditions	G, F	Part of farmer and cooperatives staff training curriculum	not applicable			
TRA129f	Training	Social criteria	- Right to the freedom of association	G, F	Part of farmer and cooperatives staff training curriculum	not applicable			
MGT130	Management & Performance	Cocoa sustainability management system	Cocoa sustainability management system Requirements for a Farmer Group: Every Farmer Group signs the following documents: <ul style="list-style-type: none"> <li>- The Supplier Code.</li> <li>- The COCOA HORIZONS Convention.</li> <li>- The Child Labor Charter.</li> <li>- A Declaration on protected forests.</li> </ul> Every Farmer Group has an effective internal management system following minimum requirements: <ul style="list-style-type: none"> <li>- Organizational Chart</li> <li>- Governance Procedure Manual: <ul style="list-style-type: none"> <li>a) Approval of new Group Members</li> <li>b) Obligations of the Farmer Group and the Group Members</li> <li>c) Premium payment to Group Members.</li> </ul> </li> <li>- Group Member register according to program requirements.</li> </ul>	G	When a farmer group joins COH, the group leadership is informed & trained about the policies of COH. The content of these policies is aligned with this standard and formalized in the 4 documents cited. These are updated from time to time, usually at a global level, and then farmer groups must sign a new copy. Each farmer group is supported to establish an IMS that meets the minimum requirements.	# of cooperatives compliant ; Sample of 30% of Farmer Groups	Y1 100%		
MGT131	Management & Performance	Registration of farmers	Requirements for a Group Member: A Group Member is a farmer that is registered at the Farmer Group. Each Group Member must sign a COCOA HORIZONS Contract which stipulates the obligations of the Farmer Group and the Group Member according to this methodology. <p>Farmer Groups can register new group members up to December each fiscal year.</p>	G	0 All farmers obtain a Farmer Passbook that contains 1. Farmer ID 2. Sales logbook 3. Non-sales record ( training, kits, credits) 4. Farmer contract including compliance information on GAP, OSH, protection of the environment, human rights. 5. Grievance mechanism / integrity line number. All farmers must sign the contract in the passbook and newly joining farmers must sign it before December each fiscal year. The content of the passbook and in particular the farmer contract, is reviewed from time to time at country level and translated into local language.	# of farmers registered	100% farmers supplyin g are register ed		
MGT131a	Management & Performance	Registration of farmers	Prior to registration, farmers are informed of: <ul style="list-style-type: none"> <li>a) the objectives and scope of cocoa suitable management systems and this standard;</li> </ul>	G	In the process of on-boarding a new farmer group, all the farmers are invited to sensitization and information session animated for ex. by the coach, where the farmer contract is presented and discussed. Furthermore the farmer passbook that each farmer obtains contains the basic information	not applicable			
MGT131b	Management & Performance	Registration of farmers	b) the Farm Business Plan (FBP) process;	G	In the process of on-boarding a new farmer group, all the farmers are invited to sensitization and information session where the farmer contract is presented and discussed. Furthermore the farmer passbook that each farmer obtains contains the basic information	not applicable			
MGT131c	Management & Performance	Registration of farmers	c) the cocoa sustainability activities of both parties for fulfilling the requirements of this chapter, including the: <ul style="list-style-type: none"> <li>1) services to be provided by the organization to the farmer when registered;</li> <li>2) requirements to be fulfilled by the farmer after registration; including social, environmental, and economic requirements specified in this standard;</li> </ul>	G	In the process of on-boarding a new farmer group, all the farmers are invited to sensitization and information session where the farmer contract is presented and discussed. Furthermore the farmer passbook that each farmer obtains contains the basic information	not applicable			
MGT131d	Management & Performance	Registration of farmers	d) generic estimates of the costs and benefits to be realized by a farmer as a result of fulfilling the requirements of this standard;	G	In the course of informing the farmer, content on generic FBP should be presented, on the status quo situation of farmers versus a future having adopted the FBP; also services that are free for the farmers such as training, access to financial and farm services, community development, coaching, and the FBP should be highlighted.	not applicable			
MGT131e	Management & Performance	Registration of farmers	e) the information expected to be shared, including rationales for sharing it: <ul style="list-style-type: none"> <li>1) all information which shall be collected during the registration process and GAP analysis processes;</li> <li>2) how confidential information about farmers and their activities is treated;</li> <li>3) the potential risks of sharing personal information;</li> <li>4) the right of farmers to access their information;</li> <li>5) the use of their data by other stakeholders;</li> </ul>	G	Before farmers respond to the general survey / data collection, they provided their FPIC (Free prior and informed consent) for personal data. The origin programs with help from the legal counsels are informed on personal data protection and follow the local regulations, e.g. with regard to the content of the FPIC that farmers sign, and storing, sharing of data.	not applicable			
MGT131f	Management & Performance	Registration of farmers	f) that registered farmers will be subject to both internal and external auditing;	G	Covered in contract.	not applicable			
MGT131g	Management & Performance	Registration of farmers	g) 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;	G	Farmers are informed about the farmer premium they will receive, as well as on the resources which the farmer group has available to implement the program, e.g.. Staff cost paid by COH, premium paid to cooperative.	not applicable			
MGT131h	Management & Performance	Registration of farmers	h) the conditions and the mechanism by which the registered farmers can take ownership of the Farmer Group without compromising the organization's performance, including the cocoa sustainability management system, if so desired by the majority of registered farmers;	G	For both cooperatives and private farmer groups, the national laws specify how such mechanism can be operated by farmers.	not applicable			
MGT131i	Management & Performance	Registration of farmers	i) other relevant opportunities and risks.	G	This is covered in the farmer contract and during initialization meetings with farmers.	not applicable			
MGT132	Management & Performance	Registration of farmers - Documentation	Registration of farmers - Documentation	G	0 Farmer passbook	not applicable			
MGT132a	Management & Performance	Registration of farmers - Documentation	The registered farmer is aware of the conditions for leaving the organization.	G	This is specified in the farmer contract and copied in the farmers Passbook. As a rule, a farmer is free to leave the farmer group.	not applicable			
MGT132b	Management & Performance	Registration of farmers - Documentation	A contract specifying the responsibilities of the farmer and the Farmer group is signed by both parties (or thumbprint). The date of registration of each individual farmer is documented.	G, F	All farmers obtain a Farmer Passbook that contains amongst other the Farmer contract including compliance information on GAP, OSH, protection of the environment, human rights.	not applicable			
MGT132c	Management & Performance	Registration of farmers - Documentation	For each registered farmer, the following information is available and maintained, including the signature (or thumbprint) of the registered farmer: <ul style="list-style-type: none"> <li>a) name;</li> <li>b) identification document (ID) (if available);</li> <li>c) date of birth or estimated date and birth, if not known;</li> <li>d) gender;</li> <li>e) household composition, including names, date of birth and education status;</li> <li>f) number, gender and age of permanent laborers; including laborers from the household;</li> <li>g) children of household, including gender, date of birth, name of parents and school enrolment;</li> <li>h) 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;</li> <li>i) number and location of cocoa fields (using the most effective form of measurement available to the organization according to national practices);</li> <li>j) previous crop year's production;</li> <li>k) 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.</li> </ul>	G	The farmers census and mapping that covers several of these aspects. Some are currently only covered by the sample-based survey of 10% of the farmers, notably the areas on household composition.	not applicable			
MGT132d	Management & Performance	Registration of farmers - Documentation	The organization provides a justification for any other personal information collected and the farmers are aware of the justification and the potential risks of sharing personal information.	G	This is covered in the FPIC process described above in MGT131	not applicable			

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MGT133	Management & Performance	Confirmation of registration of farmers	Confirmation of registration of farmers		0 Current practice is that a farmer once registered stays registered until either party resigns from the contract.	not applicable			
MGT133a	Management & Performance	Confirmation of registration of farmers	The farmers registration is extended or terminated within the first year of registration.	G	Farmer's registration is automatically confirmed and renewed until other procedures come in vigor or the contract is terminated by either party.	not applicable			
MGT133b	Management & Performance	Confirmation of registration of farmers	It is assured that: a) the farmer's FBP will be established in line with relevant GAP criteria ; b) the information specified above (Sensitization process) is up-to-date, and is supplied to the farmers. Documentation includes the signature (or thumbprint) of the registered farmer.	G	For each crop season starting in September each year, farmer registration is terminated latest by December, to ensure that integrity of the product flow is intact. Farmer registration occurs with signing of a farmer contract during these first 4 months. Farmers will go through basic and advanced training before completing an FBP. Farmer information is automatically updated via the annual Farmer census.	not applicable			
MGT134	Management & Performance	Data ownership	Data ownership		0 The origin programs with help from the legal counsels are informed on personal data protection and follow the local regulations, e.g. with regard to the content of the FPIC that farmers sign, and storing, sharing of data.	not applicable			
MGT134a	Management & Performance	Data ownership	Farmers maintain ownership of their individual data. In case of leaving the organization, it is assured that his/her personal data are deleted within 2 years. When a farmer wishes to be registered within one other organization, the farmers receive all his/her data on a suitable format by the organization.	G	These rights are conferred and communicated to the farmer in the contract or the FPIC form.	not applicable			
MGT134b	Management & Performance	Data ownership	The Farmer group shares personal information only when documented approval has been gained from the individual as a part of the registration process.	G	These rights are conferred and communicated to the farmer in the contract or the FPIC form.	not applicable			
MGT134c	Management & Performance	Data ownership	Upon request of relevant parties, information is available for performance monitoring and verification of conformity with this standard.	F	These rights are described and communicated to the farmer in the contract or the FPIC form. Farmer data is usually handled at a COH program level to enable reporting and performance evaluation, e.g. using Katchilé.	not applicable			
MGT135	Management & Performance	Leadership and commitment	Leadership and commitment		0 title - see details in sub points	not applicable			
MGT135a	Management & Performance	Leadership and commitment	The Farmer Group demonstrates commitment with respect to the cocoa sustainability management system by ensuring that applicable statutory and regulatory requirements are determined, understood and constantly met.	G	In a first instance, Farmer groups commit to the cocoa sustainability program by signing the 4 key documents (convention, supplier code, child labor convention and declaration on forests. At a company level, the standard ensures that local regulations are respected.	not applicable			
MGT135b	Management & Performance	Leadership and commitment	The program assigns the responsibility and authority to (an) individual(s) for: a) ensuring that costs of implementation of the requirements in this standard 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;	G	This is handled at the program / country level, where annual budgets are approved and followed-up in line with company processes.	not applicable			
MGT135c	Management & Performance	Leadership and commitment	b) ensuring registered farmers are adequately assisted to fulfil the requirements of this standard; this includes ensuring that transparent procedures are put in place and maintained for accounting and record keeping in relation to any financial transactions, e.g. distribution and receipt of any registered farmer premiums.	G	This is handled by the farmer group, which issues the necessary documentation for farmer premium payment, which is part of the third party verification.	not applicable			
MGT136	Management & Performance	Organizational roles and farmers representation	Organizational roles and farmers representation		0 title - see details in sub points	not applicable			
MGT136a	Management & Performance	Organizational roles and farmers representation	Top management shall be inclusive of registered farmer representation in accordance with the requirements specified in 136d. The process used to appoint top management promotes the inclusion of women and is documented and understood throughout the organization.	G	Farmer representation in Farmer Group Top management is applicable for cooperatives, and shall follow the rules of cooperative Memorandum of Association. Farmer groups, direct sourcing organization and origin sustainability organization have a hiring policy that are inclusive for women.	not applicable			
MGT136b	Management & Performance	Organizational roles and farmers representation	An organizational processes is established and maintained to ensure non-discrimination of the hiring and selection of all staff, 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.	G	This applies to the farmer group and is handled via HR policies for hiring and promotion. Capacity building for cooperatives covers these aspects.	# of cooperatives compliant ; Sample of 30% of Farmer Groups	Y1 100%		
MGT136c	Management & Performance	Organizational roles and farmers representation	The selection process for management, other paid positions and any leadership posts within the organization is open, and the inclusion of women for selecting management is encouraged.	G	This applies to the farmer group and is handled via HR policies for hiring and promotion. Capacity building for cooperatives covers these aspects.	not applicable			
MGT136d	Management & Performance	Organizational roles and farmers representation	If applicable, a body of democratically elected registered farmer representatives participate in management. The body shall be established within the first year of claimed conformity to this document. Documented procedures for free and fair elections must be established. Elections periodically take place with intervals of no less than every three years.	G	This is applicable for cooperatives and national laws regarding cooperative constitution and cooperative live shall be respected. Private sector type direct sourcing operations are not expected to have a democratically elected farmer representative.	not applicable			
MGT136f	Management & Performance	Organizational roles and farmers representation	Suppliers must ensure that there are regular meetings for farmers and/or farmer groups to discuss not only quality, price and delivery dates, but also to discuss cocoa sustainability issues and understand how any problems the farmers are facing might be overcome.	G	Where there are several farmer groups in a country (Ivory Coast, Cam), an annual meeting is organized with farmer group representatives to inform them about the oncoming cocoa season. Topics as specified are covered. The annual meeting also serves as a sounding board for emerging challenges of farmers and farmer groups. For cooperative, the annual general assembly serves the purpose of this requirement. Direct sourcing operations that are not cooperative organize meetings to discuss these topics at appropriate levels.	# of cooperatives compliant ; Sample of 30% of Farmer Groups	Y1 100%		
MGT137	Management & Performance	Training and coaching	Training and coaching Education, Training and coaching are provided to registered farmers to meet the requirements specified this standard - cocoa farm plan management, i.e. developing and maintaining the Farm Business Plans (FBPs), including measuring farmer performance against their individual Farm Business Plans (FBPs); - managing risks of child labor and forced labor where it exists and contributing to its elimination;	P,G	The training program is done at country level and is part of the National Plan. The program identifies the trainers and curricula that are used. An accreditation system is established for famer trainers. Regional Training Workshop of Training of Trainers is organized at country level. Dedicated BC staff responsible for the organization of Regional Training Workshops ensures that minutes and signed participants lists of each training of trainers are available. Training curricula are developed by internal or external experts for the topic at either global or country level.	# Farmer Group staff trained	Start FG staff training y1		
MGT138	Management & Performance	Resources, cost identification and recovery mechanisms	Resources, cost identification and recovery mechanisms		0 title - see details in sub points	not applicable			
MGT138a	Management & Performance	Resources, cost identification and recovery mechanisms	The organization determines and provides the resources needed for the establishment, implementation, maintenance and continual improvement of the cocoa sustainability management system in a clear and transparent way.	P	This is handled at the global level through multiyear forecasts and annual budget processes that are based on targets of the leading KPIs of this standard. Resources such HR, financial and infrastructure are planned e.g. For training and service provision.	not applicable			

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Code	Area	Subtitle	Expected requirement on Farm and Group level	Applicable (F=farm, G= Farmer group, P=Program/origin )	Implementation guidance	Leading KPI	min. Y1 Target	min. Y2 - Y5 Target	Min. Y10 Target
MGT138b	Management & Performance	Resources, cost identification and recovery mechanisms	The organization assesses its organizational capacity and prepares a documented plan, to build capacity in order to meet the requirements of this standard. The assessment is documented and covers: a) which resources needed can be obtained from external providers; b) the financing for start-up costs of implementation to be negotiated with first buyers or other interested parties; c) the financing for registered farmer premiums to be negotiated with first buyers. d) the capabilities of, and constrains on, existing internal resources; e) the means of individual registered farmers to reach their cocoa sustainability objectives and the resources needed.	P	Global COH planning process. This is handled at the global level based on a sales forecasts and expected revenue streams are established and through multiyear forecasts. Annual budget processes that are based on targets of the leading KPIs of this standard. Resources such HR, financial and infrastructure are planned e.g. for training and service provision.	not applicable			
MGT138c	Management & Performance	Resources, cost identification and recovery mechanisms	The Program shall monitor and communicate to its members the market demands for sustainable cocoa and develop a plan and provide resources to strive for market up-take for sustainable cocoa produced by the organization is available.	P	This is implemented at a global program level where COH demand and sourcing are matched, long term projections and annual plans are made.	not applicable			
MGT138d	Management & Performance	Resources, cost identification and recovery mechanisms	The Farmer group shall respect the cocoa sourcing agreements it has with the buyer and it shall 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.	G	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.	# of cooperatives compliant ; Sample of 30% of Farmer Groups	Y1 100%		
MGT138e	Management & Performance	Resources, cost identification and recovery mechanisms	The organization shall support registered farmers' access to external provision (e.g.: training services, approved planting materials, quality inputs) that are relevant to meeting the requirements of this document. The organization should strive to provide these at competitive prices without compromising quality. The organization shall support registered farmers' access to external provision at competitive prices (e.g. training services, planting materials, inputs) that are relevant to meeting the requirements of this document.	G	The collective purchasing of e.g. Inputs for the Productivity or Replanting Packages, or for PPE, is handled at the origin level, for example by Farm Services division or by a competent procurement department. Terms of purchase can be specified in SOP for PP and RP and follow the procurement policy of the relevant organization.	not applicable			
MGT138f	Management & Performance	Resources, cost identification and recovery mechanisms	The Farmer Organization shall facilitate collective purchasing of external provision provided this is the most cost-effective option for registered farmers and if the majority of registered farmers expressed interest. The organization shall respect purchase contracts (e.g. payment terms) and agreements with farmers (timing, cash management)	G	The collective purchasing of e.g. Inputs for the Productivity or Replanting Packages, or for PPE, is handled at the origin level, for example by Farm Services division or by a competent procurement department. Terms of purchase can be specified in SOP for PP and RP and follow the procurement policy of the relevant organization.	not applicable			
MGT138g	Management & Performance	Resources, cost identification and recovery mechanisms	The Farmer Group shall 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.	P	This is delegated chiefly at the origin level, not at Farmer group level. Notably, the National Plan identifies the government resources and programs that it can draw from. For example, the number of seedlings or seeds received from government agencies, or referral of unconditional child labor cases to competent government institutions.	Existence of national plan on government resources	Cdi, GH	Cam and other origins	
MGT139	Management & Performance	Competence	Competence		0 title - see details in sub points	not applicable			
MGT139a	Management & Performance	Competence	The Farmer group identifies the competencies necessary to support itself and its registered farmers in meeting requirements of this standard. It is ensured that persons working under its control meet these competencies and will document any actions that have been taken to acquire or increase the necessary competencies.	G	Each Farmer group has an org-chart on record that identifies the key persons responsible for implementing the COH program. Competencies of these key persons are strengthened by trainings at the origin level. Such training is recorded.	# of cooperatives compliant ; Sample of 30% of Farmer Groups	Y1 100%		
MGT139b	Management & Performance	Competence	b) ensure that these persons are competent on the basis of appropriate education, training, or experience; e.g. ensure that persons being assigned management roles are competent in basic management and business practices and ensure that person(s) authorized to conduct the cocoa farm diagnostic and develop the cocoa Farm Business Plan (FBP) with the registered farmer are competent in sustainable farming practices; c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; e.g. establish consulting capacity to coach registered farmers in good agricultural practice and management of their sustainability improvement; d) retain appropriate documented information as evidence of competence.	P,G	Farmer group and origin level staff who are in charge of implementing the sustainability activities of the COH program are selected to fit the requirements of their position, and if needed are offered training courses to expand their knowledge and competences. Policies for hiring of dedicated farmer group staff such as ADG or Field Officers exist at national level.	not applicable			
MGT140	Management & Performance	Documented information	Documented information The Farmer Group creates, updates and controls actual and complete documents (internal and external, e.g. farmers register) that relate to the fulfillment of the requirements specified in this standard (documented information determined by the organization as being necessary for the effectiveness of the cocoa sustainability management system).	P,G	The data platform used to store and update records on farmers, farmer groups and cocoa supply is done a global level using the Katchilé solution. Farmer groups keep copies of such records and registers	not applicable			
MGT141	Management & Performance	Annual work plan	Annual work plan		0 Title - see details in sub points	not applicable			
MGT141a	Management & Performance	Annual work plan	An annual work plan is established, which explains how processes shall be implemented in order to meet the cocoa sustainability objectives and the relevant parts of the Farm Business Plans (FBPs). The annual work plan considers medium and long term plans and shall: a) be suitable for the organization; b) be generated once per year and monitored c) be aligned with the cocoa sustainability policy d) be aligned with the cocoa sustainability objectives e) consider the requirements of this document; f) provide detailed explanations for activities which will occur over the following 12 months.	P	At a global and origin level, a plan is made for each year (Sept - Aug) that covers volumes, sourcing footprint, activities on GAP, ENV, SOC chapters, as well Farmer Group capacity building, farmer training, FBP, PP, RP and community work, and more generally a activities under the COH program. The annual plan gives targets for KPIs or deliverables, defines a budget and responsibilities, and a time plan for activities. The main documentation form of this plan is the origin budget for COH.	not applicable	all origins	all origins	all origins
MGT141b	Management & Performance	Annual work plan	The organization develops, monitors and reports activities against annual work plans to support the implementation requirements of this standard.	G	The COH update reports (half yearly) serve that purpose. Part of its content is verified by PWC.	not applicable			
MGT141c	Management & Performance	Communication	Communication For communication with regard to the cocoa sustainability management system, it is determined what will be communicated, when to communicate, with whom to communicate, how to communicate, who will communicate.	G	The COH update reports (half yearly) serve that purpose. Part of its content is verified by PWC. During the annual meeting with Farmer Groups, the principal results of the last year's report are shared.	not applicable			
MGT142	Management & Performance	Traceability	Traceability		0 Title - see details in sub points	not applicable			

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Code	Area	Subtitle	Expected requirement on Farm and Group level	Applicable (F=farm, G= Farmer group, P=Program/origin )	Implementation guidance	Leading KPI	min. Y1 Target	min. Y2 - Y5 Target	Min. Y10 Target
MGT142a	Management & Performance	Traceability	When a registered farmer has separate farms of which one or more is not within the scope of the cocoa sustainability management system, the registered farmer segregates the sustainably produced cocoa that conform to the requirements of this standard.	G	Not applicable for current operations in Ivory Coast, GH and Cam. The smallholder farmers who are in the COH program in these countries have all farms registered under this program.	Volume of COH cocoa	Not applicable		
MGT142b	Management & Performance	Traceability	Documented information on the sustainably produced cocoa is delivered at all logistical stages within the Farmer Group (e.g. post-harvest activities, collection, transport and storage, etc.) and includes the following information: 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.	G	Training of Farmer Group staff: Dedicated BC staff annually train the Farmer Group staff on operating an effective traceability system. Minutes and participant lists with signatures are available. Traceability Manual: BC provides Farmer Group with a template for the traceability manual to ensure uniform system across Farmer Groups. Farmer Groups adopt this template and make minor amendments where required.	Volume of COH cocoa	100%	100%	100%
MGT142c	Management & Performance	Traceability	Each storage facility/warehouse of the Farmer Group segregates the sustainably produced cocoa that conform to the requirements of this standard. A stock management procedure documents the following to manage the intake and outtake of sustainably produced cocoa: 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.	G	Training of Farmer Group staff: Dedicated BC staff annually train the Farmer Group staff on operating an effective traceability system. Minutes and participant lists with signatures are available. Traceability Manual: BC provides Farmer Group with a template for the traceability manual to ensure uniform system across Farmer Groups. Farmer Groups adopt this template and make minor amendments where required. Traceability flow: • The Farmer Group performs a quality check and verifies the weight per Farmer Receipt against their own measurement. • Once accepted the cocoa volume is entered onto the "Register" and stored. • When there is sufficient cocoa in stock, the Farmer Group delivers a consignment to BC buying site. This consignment is accompanied by the "Bill of Lading" (i.e. "Connaissance") and the "Farmer List" (i.e. "Fiche d'accompagnement"), which details volume of the delivery per Group Member. • Upon arrival of consignment at BC buying site, the cocoa is registered and weighed. • Subject to independent quality checks performed by BC and by an agency assigned by the Government, the cocoa is accepted and stored at BC buying site. • Dedicated BC staff create a Reception Slip (i.e. "Bordereau de Reception"), which confirms volume and quality received and is signed off by the Farmer Group, BC and Government.	Volume of COH cocoa	100%	100%	100%
MGT142d	Management & Performance	Traceability	The records of the Farmer Group and the receipt of registered farmers document the following information: a) registered farmer name and ID; b) Farmer Group name; c) quantity, weight; d) sale date; e) price; f) sales record number; g) buyer information.	G	• The cocoa of Group Members is delivered to the Farmer Group accompanied by a Farmer Receipt (i.e. Reçu d'Achat) and/or in the Farmer Passbook. • Once accepted the cocoa volume is entered onto the "Register" and stored.	Volume of COH cocoa	100%	100%	100%
MGT143	Management & Performance	Performance Monitoring	Performance Monitoring A documented monitoring system is in place to allow the organization to control conformity to the followings: 1) actual production against estimated production; 2) that registered farmers are implementing good agricultural practices which they have been trained in; 3) what is required to be monitored and measured in this standard, e.g. progress on action plans specified in chapter "Social"	P	How this requirement is fulfilled is described in more detail in the Assurance process documentation. There are 4 main sources of information to measure performance: 100% of farmers with census and 10% with a detailed census, sample of 200 farmers for GAP adoption monitoring, 1/3 of farmer groups are subjected to internal audit, and 100% of cocoa volumes for traceability data. All is subjected to external verification process.	not applicable			
MGT144	Management & Performance	Analysis and evaluation	Analysis and evaluation Results of monitoring, measurement and internal audits are documented and evaluated annually. The result of analysis are used to evaluate: - conformity and identify non-conformities to the requirements of this standard; - performance and effectiveness of the cocoa sustainability management system; - effective implementation of planning; - effectiveness of action to address opportunities and risks; - performance of external providers; - the revenue and costs incurred relative to the budget; - need for improvements to the cocoa sustainability management system.  Appropriate documented information is retained as evidence of the analysis.	P, G	At a program level, based on the annual results, action plans for the next period / year are reviewed and updated to course correct on target achievement and redress non-conformities.	not applicable			
MGT145	Management & Performance	Internal audit	Internal audit (conformity check) Internal audits are conducted according to an audit program at planned intervals of not more than 12 month to provide information on whether the cocoa sustainability management system: 1) conforms to: a) the organization's own requirements for its cocoa sustainability management system and the cocoa sustainability objectives; b) the requirements of this standard; 2) is effectively implemented and maintained.	G	How this requirement is fulfilled is described in more detail in the Assurance process documentation. Internal audit and comparison of achievements versus targets are based on 4 main sources of information to measure performance: 100% of farmers with census and 10% with a detailed census, sample of 200 farmers for GAP adoption monitoring, 1/3 of farmer groups are subjected to internal audit, and 100% of cocoa volumes for traceability data. All is subjected to external verification process. Annually, the training curricula and SOP of program components, e.g. PP, RP and farmer training, are controlled to match against requirements of this standard.	not applicable			
MGT145a	Management & Performance	Internal audit	Internal audits should include field visit in cocoa fields that have been selected based on a risk-based concept. Also, Farm Business Plans (FBPs) are subject to coaching visits within the first 12 months and again within the next 12 months of their existence to update on progress.	G	There are two farmer level audits: adoption measurements on around 200 farmers, and the 10% sample of complete census. The 10% sample is random sampled to avoid any bias. In addition, farmers who have started implementing the FBP receive coaching visits to support the implementation of the FBP.	not applicable			
MGT146	Management & Performance	Management review	Management review	P,G	Title - see details in sub points	not applicable			
MGT146a	Management & Performance	Management review	The program's cocoa sustainability management system is reviewed at planned intervals, to ensure its continuing suitability, adequacy, and effectiveness.	P	At a program level, based on the annual results, action plans for the next period / year are reviewed and updated to course correct on target achievement and redress non-conformities. This also comprises the performance of the parts of the management system : organizational structure, M&E system, assurance processes, internal control. Changes of management system are reflected in the budget and annual plans.	not applicable			
MGT146b	Management & Performance	Management review	The organization shall take into account the need for further support of registered farmers, as well as feedback received from the registered farmers after having shared the results from the review.	P,G	Program changes take into account results from reviews on supported needed for farmers and communities to reach targets. Feedback from farmers usually reaches the program through farmer groups. These provide their feed-back at least once per year during the pre-season meeting.	not applicable			

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MGT146c	Management & Performance	Management review	The outputs of the management review shall include decisions and actions related to: a) improvement opportunities b) need for further support to registered farmers; c) need for changes to the cocoa sustainability management system; d) resource needs.  Documented information is kept as evidence of the results of management reviews.	P	At a program level, based on the annual results, action plans for the next period / year are reviewed. The updated action plan and budget cover the 4 areas specified in the requirements.	not applicable			
MGT147	Management & Performance	Nonconformity and corrective action	Nonconformity and corrective action	P,G	title - see details in sub points	not applicable			
MGT147a	Management & Performance	Nonconformity and corrective action	Nonconformity and corrective action When a nonconformity occurs, the Farmer group shall react to the nonconformity, as applicable, by either: 1) take action to control and correct it; 2) deal with the consequences. The organization evaluates the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: - analyzing the nonconformity; - determining the causes of the nonconformity; - determining if similar nonconformities exist, or could potentially occur - The necessary measures are implemented. - The effectiveness of corrective actions is reviewed. - The opportunities and risks determined during planning are updated if applicable. - Changes to the cocoa sustainability management system and to the traceability are made if necessary.  If a corrective action can only be carried out by an individual (for example a registered farmer the organization shall ensure that this individual understands his/her responsibilities in relation to carrying out corrective actions which address a nonconformity.	P,G	1)When a farmer group or individual farmers significantly violates human rights, laws or is involved in destruction of environment, the farmer group shall be warned and requested to implement corrective actions. If the farmer group or farmer fail to improve after having been warned, it should be excluded from the program. 2) For non-conformities and shortfalls on target achievements, farmer groups are responsible for addressing these.	not applicable			
MGT147b	Management & Performance	Nonconformity and corrective action	Documented information is kept as evidence of: - the nature of the nonconformities and any subsequent actions taken - the results of any corrective action - validation of the effectiveness of the corrective action by an authorized person	G	In cases of exclusion of farmers or farmer groups for reasons of major violations as described above, thorough documentation of the process shall be kept.	not applicable			
PRE149	Transparency of Premium Flows	Premium Entitlement	It is ensured, that all farmers receive the Horizons Premium for the Horizons cocoa delivered and accepted.	F, G	The premium due to each farmer is computed and a suitable document established to pay the premium to the farmers (list, receipt). Each farmer is paid the premium due to him / her against a signature / thumbprint. The effectiveness of payout to farmers is verified.	not applicable			
PRE150	Transparency of Premium Flows	Premium Entitlement	Premiums to farmers are based on volume of beans sourced from that farmer.	F, G	Farmers volumes are recorded through the traceability system, and the farmer group calculates the total volume of cocoa delivered by each farmer, usually 1x year.	not applicable			
PRE151	Transparency of Premium Flows	Premium use	Premium payments are used in five ways: 1. Payment of premiums to Group Members and Farmer Groups. 2. Productivity projects related to Training of Group Members and Farmer Groups, establishing FBPs, other targeted productivity activities, and implementing traceability. 3. Community projects related to the elimination of child labor, supporting community structures on Children's 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	P	Budgets are established on an annual basis for each origin and at a global level.	not applicable			
PRE152	Transparency of Premium Flows	Premium use	It is ensured, that at least 50% of the premium paid to Group Members & Farmer Groups will go to the Group Members.	F, G	Farmer groups are informed about the premium level each year i.e.. with the sourcing contract. Farmer groups contract's specify that at least 50% of the cash premium paid to them must be paid to the farmers.	not applicable			
PRE153	Transparency of Premium Flows	Premium communication	The exact premium distribution is communicated to Farmer Groups and Group Members at the start of each crop.	F, G	Farmer groups sign a contract with their buyer on the premium level, e.g. as part of the season volume contract for COH offtake. In turn, based on this contract, the farmer groups inform the farmers on the premium level. This can be done during meetings or by a written notice at purchasing point.	Share of premium paid to farmers	Share corresponds to x% as in require		
PRE154	Transparency of Premium Flows	Premium credit management	It is ensured, that premiums are spent within 2 seasons following the season they've been earned with a measurement of the FY ending (31 August) to determine the amount of premium over/underspent for that season.	P	How this Chain of Custody requirement is implemented is explained more in the relevant manual on claims + credits management.	not applicable			