

COCOA VALUE CHAIN TRACEABILITY RECORD

Beyond the Bar – Trace: Standardized ESG Reporting Form

2025-11-03

i Purpose of This Form

This standardized traceability form serves as the **primary data collection instrument** for the cocoa value chain. By completing this form at each stage of the supply chain, actors create a comprehensive, auditable record that meets EUDR requirements while establishing a de facto ESG reporting standard for the cocoa sector.

Key principle: *Transparency through standardization - one form, one format, one truth.*

1 TRANSACTION IDENTIFICATION

Form Reference Number: _____ (Auto-generated UUID)

Transaction Date: _____ Time: _____

Stage in Value Chain: [] Farm Production [] Cooperative Collection [] Processing/Fermentation [] Export [] Import (EU Border) [] Manufacturing

Previous Form Reference (if applicable): _____

2 SECTION 1: ACTOR IDENTIFICATION

2.1 1.1 Current Custodian (Person/Organization Completing This Form)

Full Legal Name: _____

Registration Number: _____ Country: _____

Physical Address: _____

GPS Coordinates of Facility/Farm: Lat: _____ Long: _____

Contact Person: _____ Phone: _____

Email: _____

Certification(s) Held: [] Fairtrade (Cert. #: _____) [] Rainforest Alliance (Cert. #: _____) [] Organic (Cert. #: _____) [] UTZ (Cert. #: _____)
[] Other: _____ (Cert. #: _____)

2.2 1.2 Previous Custodian (Transferred From)

Full Legal Name: _____

Registration Number: _____ Country: _____

Transaction Reference: _____

3 SECTION 2: PRODUCT INFORMATION

3.1 2.1 Product Description

Product Type: Fresh cocoa pods Wet beans Fermented beans Dried beans Semi-processed (liquor/butter/powder) Other: _____

Quantity: _____ kg (net weight)

Number of Bags/Containers: _____

Batch/Lot Number: _____

Quality Grade: Grade 1 Grade 2 Grade 3 Substandard

Moisture Content: _____ % (if dried beans)

3.2 2.2 Origin Traceability

Country of Production: _____

Region/District: _____

Specific Production Plot GPS Coordinates (if known):

Plot ID	Latitude	Longitude	Area (hectares)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

If aggregated from multiple farms, attach: Farm roster with GPS coordinates

Percentage of this batch traceable to plot level: _____ %

4 SECTION 3: ENVIRONMENTAL COMPLIANCE (EUDR)

4.1 3.1 Deforestation-Free Verification

Declaration: I certify that the cocoa in this batch was produced on land that was **not deforested after 31 December 2020.**

[] Verified through satellite monitoring [] Verified through ground survey [] Verified through third-party audit []
Self-declaration (farmer statement)

Verification Date: _____

Verification Report Reference: _____

Verifying Organization/Person: _____

4.2 3.2 Legal Compliance

Declaration: I certify that this cocoa was produced in accordance with the laws of the country of production, including:

[X] Land use rights [X] Labor laws [X] Environmental protection regulations [X] Tax and customs requirements

Land Tenure Status: [] Owned by farmer [] Leased (expiry date: _____) [] Customary rights [] Cooperative land

Land Title/Lease Document Reference: _____

4.3 3.3 Protected Areas Check

Is production area within or adjacent to a protected area? [] Yes [] No

If Yes: - **Protected Area Name:** _____ - **Buffer Zone Compliance:** []
Compliant [] Under review - **Permit Reference (if required):** _____

5 SECTION 4: SOCIAL COMPLIANCE (ESG)

5.1 4.1 Labor Practices

Total Workers Involved in Production: _____

Labor Composition: - Family labor: _____ persons - Permanent hired labor: _____ persons - Seasonal hired labor: _____ persons

Child Labor Declaration:

I certify that NO child labor (below 15 years) was used in the production of this cocoa.

[] Confirmed - No children below 15 worked on this batch [] Confirmed - Children 15-18 only engaged in age-appropriate tasks with educational access

Verification Method: [] Farm visit and age verification [] Child Labor Monitoring System (CLMS) check [] Community oversight [] Third-party audit

Audit Reference (if applicable): _____

5.2 4.2 Fair Labor Practices

Were all workers paid at least the legal minimum wage? [] Yes [] No [] N/A

Were working hours compliant with national labor law? [] Yes [] No

Was Personal Protective Equipment provided where necessary? [] Yes [] No [] N/A

5.3 4.3 Gender & Inclusion

Women's participation: - Women workers: _____ persons (_____%) - Women in decision-making roles: _____ persons

Payment equity: [] Equal pay for equal work confirmed [] Under review

6 SECTION 5: ECONOMIC DATA (VALUE CHAIN TRANSPARENCY)

6.1 5.1 Pricing Information

Price Paid for This Batch: _____ (Currency: _____)

Price per Kilogram: _____ (Currency: _____)

Pricing Basis: Local market rate Fixed contract price Premium + base price (Premium: _____ %)
 Fair Trade minimum price

Premium Details (if applicable): - Organic premium: _____ (Currency: _____) - Sustainability premium: _____ (Currency: _____) - Quality premium: _____ (Currency: _____)

6.2 5.2 Payment Terms

Payment Method: Cash Bank transfer Mobile money In-kind Credit/Advance against future delivery

Payment Timing: Immediate (at transaction) Within 7 days Within 30 days Deferred (specify: _____)

Payment Status: Paid in full Partial payment Payment pending

Transaction Receipt/Invoice Number: _____

6.3 5.3 Cost Breakdown (Optional but Recommended)

Cost Category	Amount (Currency: _____)
Production costs	_____
Harvest labor	_____
Transport	_____
Processing/Fermentation	_____
Storage	_____
Certification fees	_____
Cooperative fees	_____
TOTAL	_____

7 SECTION 6: PRODUCTION PRACTICES (SUSTAINABILITY)

7.1 6.1 Agricultural Practices

Farming System: Monoculture cocoa Agroforestry with shade trees Intercropping with: _____
 Organic certified Regenerative agriculture practices

Shade Tree Density (trees/hectare): _____

Tree Species Used for Shade: _____

7.2 6.2 Inputs Used

Fertilizers: None Organic compost Synthetic fertilizer (Type: _____, Quantity: _____ kg/ha)

Pesticides: None Organic/botanical pesticides (Type: _____) Synthetic pesticides (Type: _____, Quantity: _____ L/ha)

Herbicides: Yes (Type: _____) No

IPM (Integrated Pest Management) Practices: Yes No

7.3 6.3 Post-Harvest Processing

Fermentation Method: Heap fermentation (Duration: _____ days) Box fermentation (Duration: _____ days) Basket fermentation (Duration: _____ days) No fermentation

Drying Method: Sun drying on mats/platforms Solar dryer Mechanical dryer Mixed method

Quality Control Performed: Cut test (% defects: _____) Moisture test (Result: _____%) Fermentation test Visual inspection

8 SECTION 7: CHAIN OF CUSTODY DOCUMENTATION

8.1 7.1 Transport Information

Transport Date: _____ Departure Time: _____

Departure Point: _____

Destination: _____

Transport Method: Truck (License plate: _____) Container (Container #: _____)
 Ship (Vessel name: _____) Other: _____

Driver/Transporter Name: _____

Estimated Arrival: _____

8.2 7.2 Transfer Documentation

Delivery Note Number: _____

Weighing Certificate: Attached Not applicable

Phytosanitary Certificate (if export): Attached (Cert. #: _____)

Export Permit/License (if applicable): _____

Bill of Lading (if shipped): _____

8.3 7.3 Next Custodian

Full Legal Name: _____

Registration Number: _____ Country: _____

Facility Address: _____

Expected Receiving Date: _____

9 SECTION 8: CERTIFICATION & AUDIT TRAIL

9.1 8.1 Third-Party Verification

Was this batch inspected by a third party? Yes No

If Yes: - Inspecting Organization: _____ - Inspector Name: _____

Inspection Report Reference: _____ - Result: Compliant Non-compliant
with observations

9.2 8.2 Digital Verification

Blockchain/Digital Ledger Entry: Yes No

Transaction Hash (if applicable): _____

QR Code Link: _____

Satellite Imagery Reference: _____

- Imagery Date: _____
- Resolution: _____ meters
- Source: Sentinel-2 Planet Labs Other: _____

9.3 8.3 Audit Access

This form and supporting documentation are available for audit by: National competent authorities
 EU enforcement authorities Independent auditors Certification bodies Consumer/NGO verification
(anonymized)

10 SECTION 9: RISK ASSESSMENT

10.1 9.1 Self-Assessment Checklist

Risk Factor	Status	Comments
Deforestation risk in area	[] Low [] Medium [] High	_____
Child labor risk in community	[] Low [] Medium [] High	_____
Land tenure disputes	[] Low [] Medium [] High	_____
Armed conflict/instability	[] Low [] Medium [] High	_____
Corruption in supply chain	[] Low [] Medium [] High	_____
Traceability breakdown risk	[] Low [] Medium [] High	_____

10.2 9.2 Due Diligence Actions

If ANY risk factors marked “High”, describe mitigation actions taken:

Follow-up Inspection Planned: [] Yes (Date: _____) [] No

11 SECTION 10: DECLARATIONS & SIGNATURES

11.1 10.1 Data Accuracy Declaration

I declare that:

- All information provided in this form is **accurate and complete** to the best of my knowledge
- All supporting documentation referenced is **genuine and unaltered**
- I understand that providing false information may result in **legal penalties**, loss of certification, and **exclusion from the supply chain**
- I consent to this data being **shared with downstream supply chain actors and regulatory authorities** for verification purposes
- I have the **legal authority** to transfer custody of this cocoa batch

11.2 10.2 EUDR Compliance Declaration

I specifically declare that:

The cocoa described in this form is DEFORRESTATION-FREE as defined in EU Regulation 2023/1115, and was produced on land that was **not deforested after 31 December 2020**.

The cocoa was produced in accordance with the laws of the country of production, including but not limited to laws on land use, labor rights, environmental protection, and human rights.

11.3 10.3 Signature

Name (Print): _____

Position/Title: _____

Organization: _____

Signature: _____

Date: _____

Organization Stamp: _____

11.4 10.4 Receiving Party Acknowledgment (To be completed by next custodian)

I acknowledge receipt of the cocoa batch described above.

Quantity Received: _____ kg (Any discrepancy: _____ kg)

Condition on Arrival: [] Good [] Acceptable [] Damaged/Issue noted

Issue Description (if any): _____

Name (Print): _____

Signature: _____

Date: _____

12 SECTION 11: ATTACHMENTS CHECKLIST

The following supporting documents are attached or referenced:

- [] GPS coordinate map of production plots [] Land title/lease documents [] Farmer roster (if aggregated batch)
 - [] Satellite imagery verification [] Third-party audit report [] Certification certificates (copies) [] Child Labor Monitoring System (CLMS) report [] Transport/shipping documents [] Weighing certificates [] Phytosanitary certificate [] Export license [] Quality test results [] Payment receipts [] Previous form in chain (if applicable)
-

13 APPENDIX: DATA USAGE & PRIVACY

13.1 For Supply Chain Actors

This standardized form creates a **linked data chain** from farm to final product. Each form references the previous form, creating an unbreakable audit trail.

13.2 For Farmers & Cooperatives

- You **own your data** - it cannot be used for commercial purposes without your consent
- Your personal information is protected and only shared with verified supply chain partners
- Aggregated, anonymized data may be used for sector-wide analysis
- You can request access to all forms related to your cocoa

13.3 For Buyers & Manufacturers

- This form provides **EUDR-compliant due diligence** documentation
- Data can be exported directly to the EU Information System
- Risk assessment section enables **proportionate due diligence**
- Standardization reduces compliance costs across suppliers

13.4 For Regulators

- Standardized format enables **automated compliance checking**
- GPS coordinates allow **satellite verification** of deforestation claims
- Linked forms create **full traceability** from farm to EU border
- Digital signatures and timestamps create **tamper-evident records**

13.5 For the Sector

By using this form universally, the cocoa sector inadvertently creates:

- **A de facto ESG reporting standard** aligned with EUDR, CSRD, and emerging regulations
- **Interoperable data** that can be shared across proprietary systems
- **Comparable metrics** for benchmarking sustainability performance
- **Reduced duplication** - one form serves multiple compliance needs
- **Capacity building** - smallholders learn to document practices systematically