



2.1 Traceability

Applicable to:

- Both group management and group members
- Farms under individual certification
- Supply chain certificate holders


2.1.1

Certified production is estimated once a year.

2.1.2

Harvested certified production is recorded once a year.

Yield estimate and harvest record

- Yield estimate in kg / ha (stems/ ha for flowers)
- For calculation methodology, see *Guidance Document G: **Yield estimation*** 

- Harvest record in kg / ha (stems/ ha for flowers)

Yield estimate



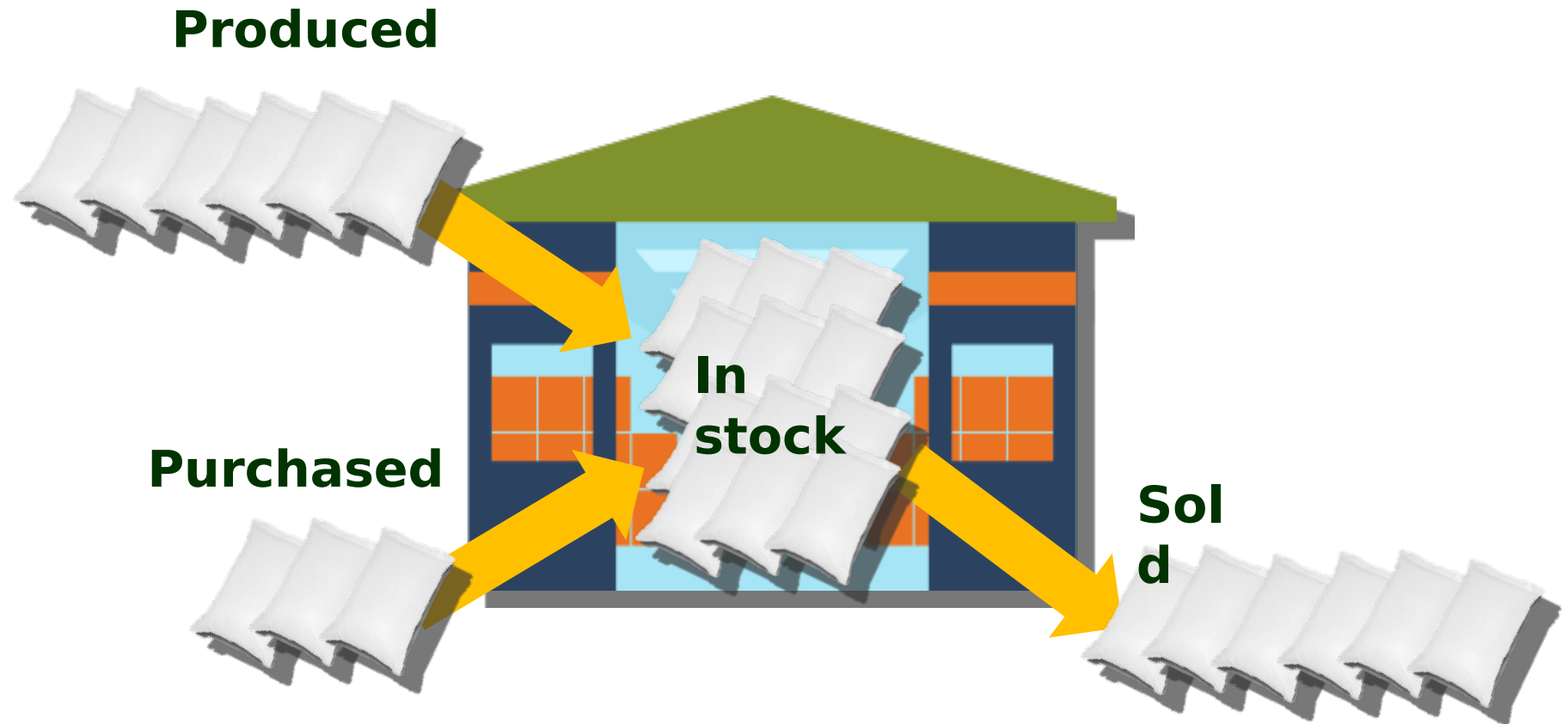
Harvest volume

**Difference must
be less than
15%.**

2.1.2

Management takes stock annually of the balance of products purchased, produced, sold and in stock.

Stock record



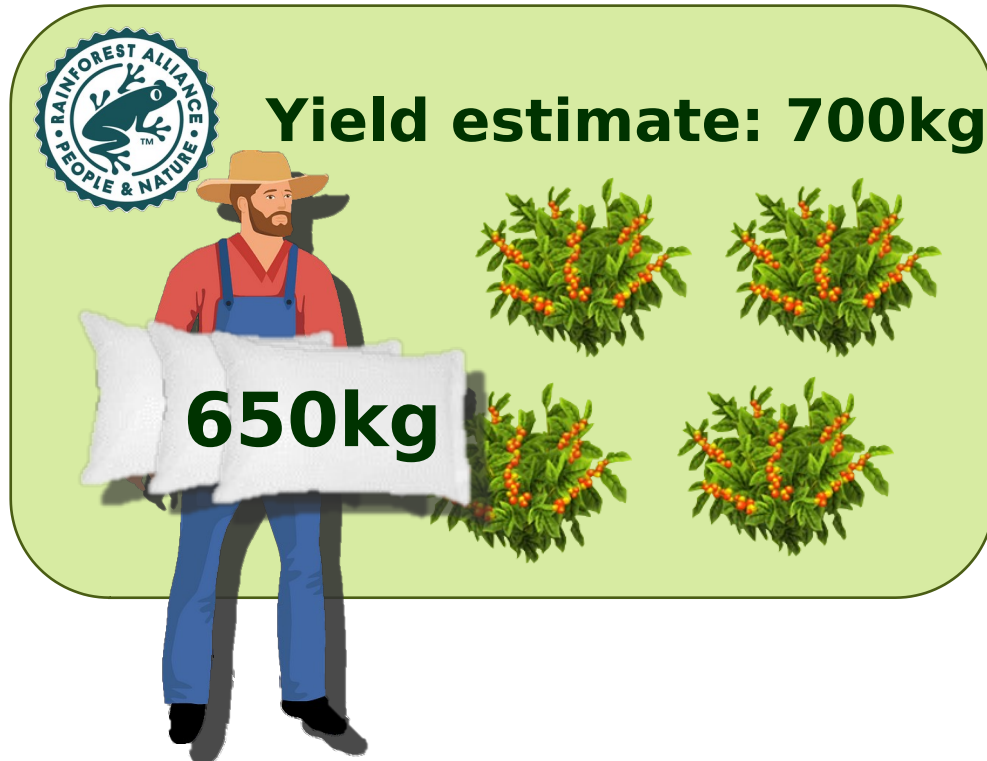
2.1.1

Certified production is estimated once a year.

2.1.2

Harvested certified production is recorded once a year.

Harvest volume check



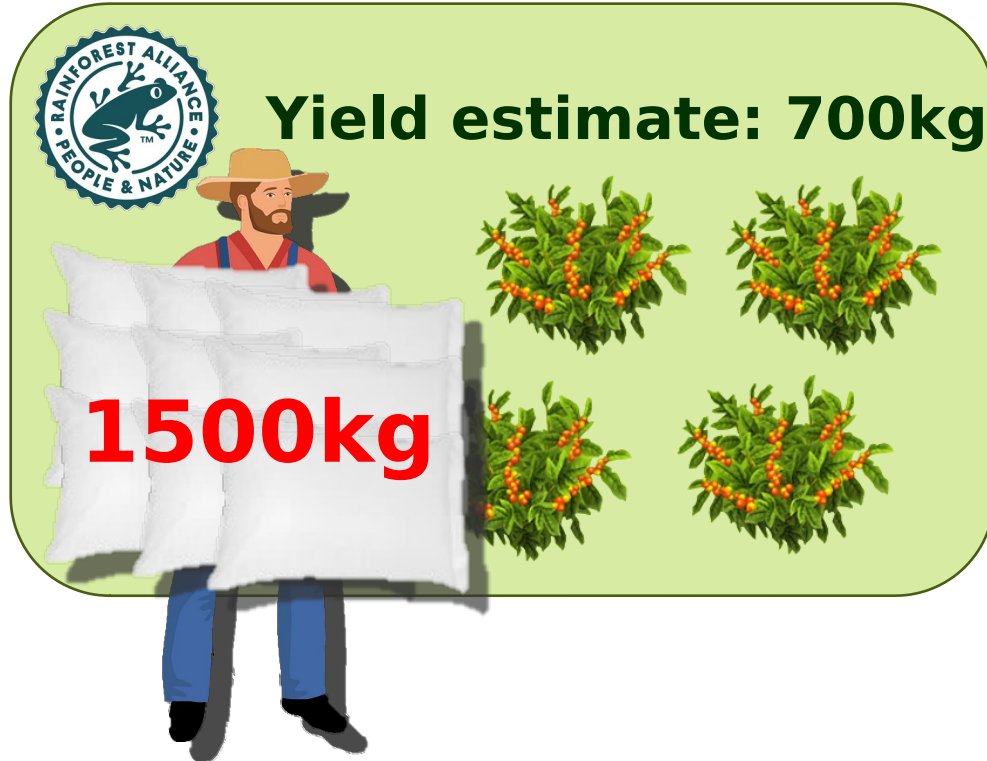
2.1.1

Certified production is estimated once a year.

2.1.2

Harvested certified production is recorded once a year.

Harvest volume check



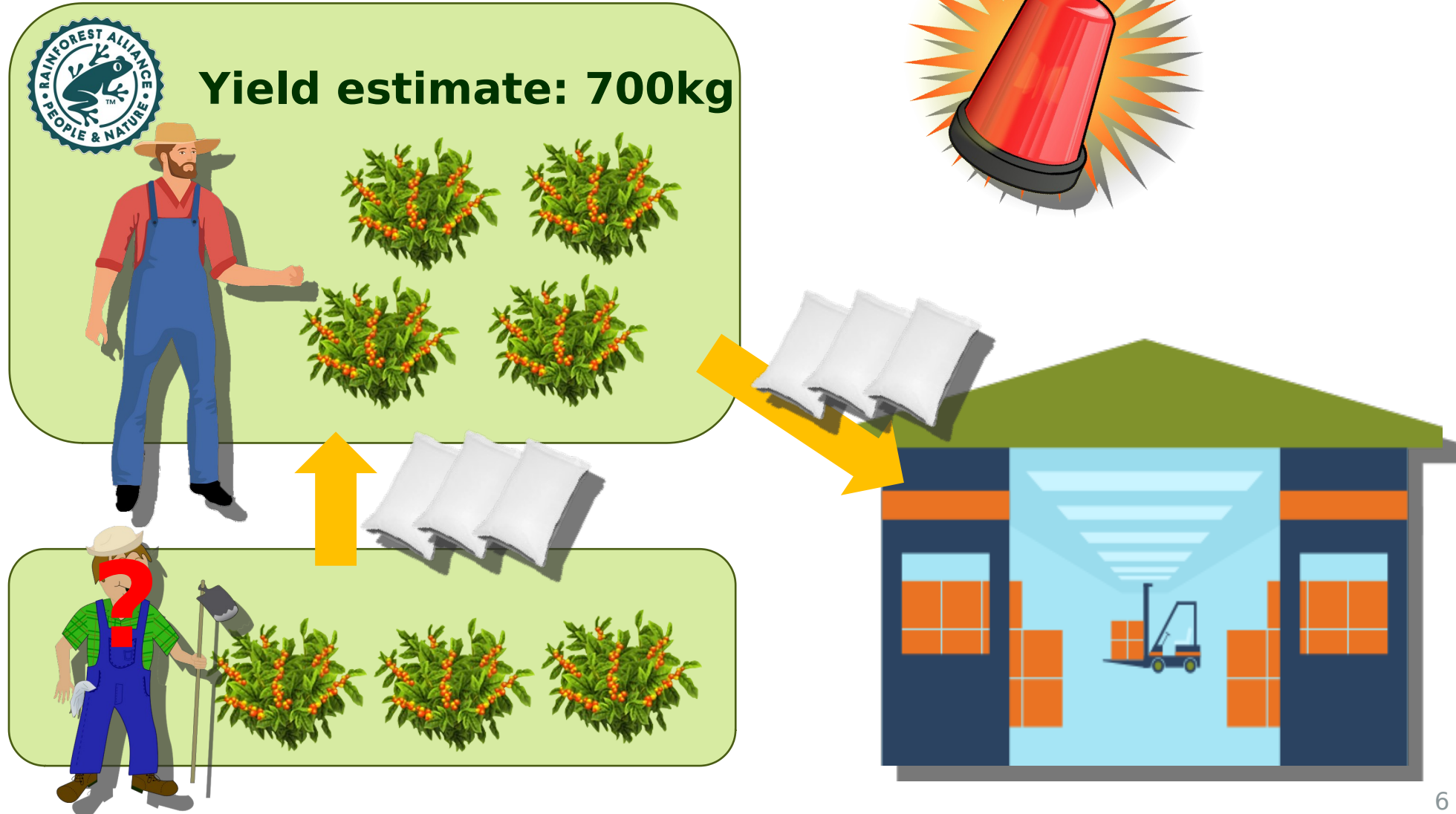
2.1.1

Certified
production is
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once a year.

2.1.2

Harvested
certified
production is
recorded
once a year.

Harvest volume check



The group management of a tea producer group calculates a yield estimate of each member every year, using a methodology in the guidance document of the Rainforest Alliance.

A member has one harvest and calculates his yield estimate of fresh leaves for 2020 which is between 1,400 and 1,600 kg.

According to the harvest record, the total harvest submitted by this member to the group in 2020 was 2,200 kg. Neither the member nor the group management can explain the reason behind this figure.

Does this group comply with the requirements 2.1.1 and



Answer:
2.1.1 - Yes
2.1.2 - No

Segregation of products

2.1.3

Certified products are visually segregated from non-certified products.



A coffee producer group has 20 members. Only 5 members are certified and the other 15 members are not certified.

The group owns one mill where all coffee from all members is processed together.

Processed coffee is stored at their warehouse together.

When a buyer requests certified coffee, they take a maximum of 25% of their stock from the warehouse and sell it as certified coffee.

Does this group comply with the requirement 2.1.3?



Answer:
No

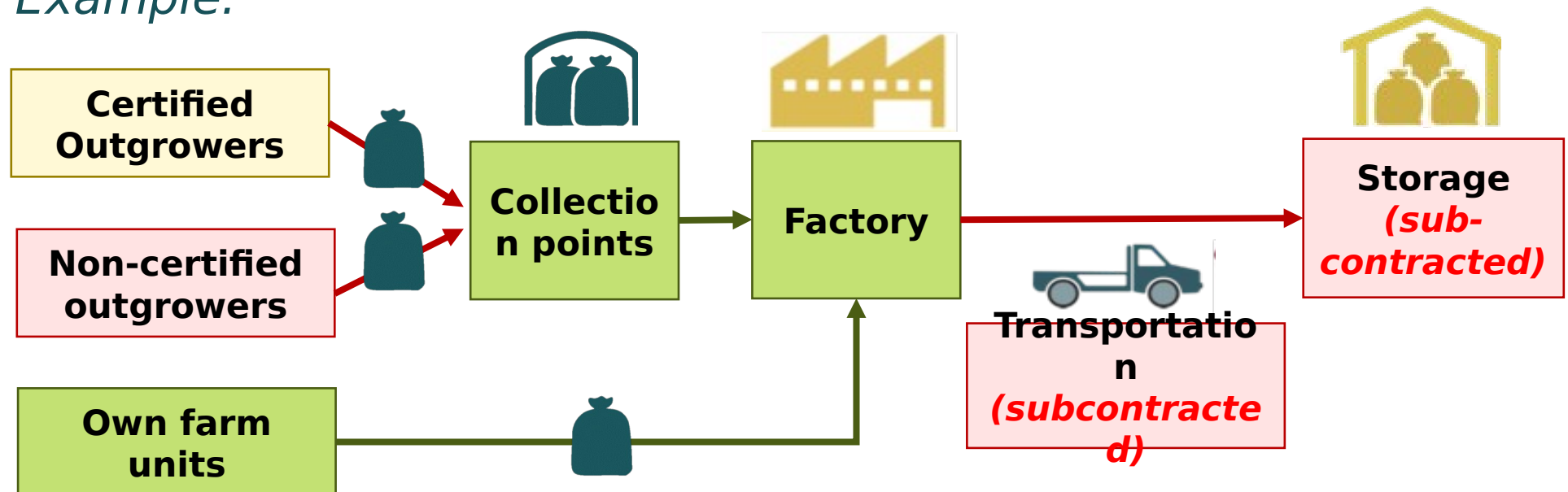
2.1.4

Management has mapped the product flow.

Product flow map

- All activities under the certificate scope
- All intermediaries for collection, transportation, processing, storing, etc.

Example:



2.1.5

Products that are sold as certified can be traced back to the certified farm(s).

Receipts

- Member's name
- Member ID
- Date
- Product type and volume



NOTA DE INGRESO
CACAO EN BABA
Jr. San Martín 514 Lamas
Telf: (042) 543389

ZONA SISA
N° 000601

SEÑOR: León Felipe Tuame ma
Código: 0000000000 DNI: 0000000000
COMITE: Comité de productores FECHA: 14/10/16

Cantidad Sacos Kg.	Peso Bruto En Baba Kg.	Factor de Conversión %	Peso Neto Seco Estimado Kg.
03	118.5	0.35	40.42

Acopio ☐ Preparado ☒
Orgánico ☐ Convencional ☒

Firma Acopiador Firma Soci@

2.1.5

Products that are sold as certified can be traced back to the certified farm(s).

Purchase and sales documents

- Product type (certified, multi-certified, non-certified) and volume
- Date

(For deliveries by group members)

- Member's name
- Member ID



NOTA DE ENTRADA		ALMACEN	FECHA	NUM.
RECIBIDO DE:	FACTURA NUM.	REMBION NUM.	TOTAL	SALDO A CUENTA
PAR. TOTA	CANTIDAD	UNIDAD	DESCRIPCION DEL ARTICULO	ORDEN DE COMPRA NUM.
1				CORTO UNITARIO
2				IMPORTE
3				
4				
5				
6				
7				
8				
9				
TOTAL				
RECIBIDO POR:	OPERO AUXILIARES:	OBSERVACIONES:		
CALCULO:	REGISTRO CONTABILIDAD:			
DISTRIBUCION: ORIGINAL → CONTABILIDAD BLANCA → ARCHIVO NUMERICO				

At a cocoa producer group, when a member delivers cocoa beans to the group, the group management records the delivery details in the recordkeeping book. The details include the member's name, the member ID, product type, and volume.

The group also keeps all the sales records in the book.

This book is the unique source of traceability information of the group.

Does this group management comply with the requirement



Answer:
No

At a coffee producer group, when a member delivers coffee to the group, a receipt is issued. A receipt includes the member's name, member ID, date, product type, and volume.

The group also keeps all purchase and sales documents of coffee, including the above information. However, many of the members misplace the receipts at home and end up losing them after some time.

Does this group management comply with the requirement 2.1.5?

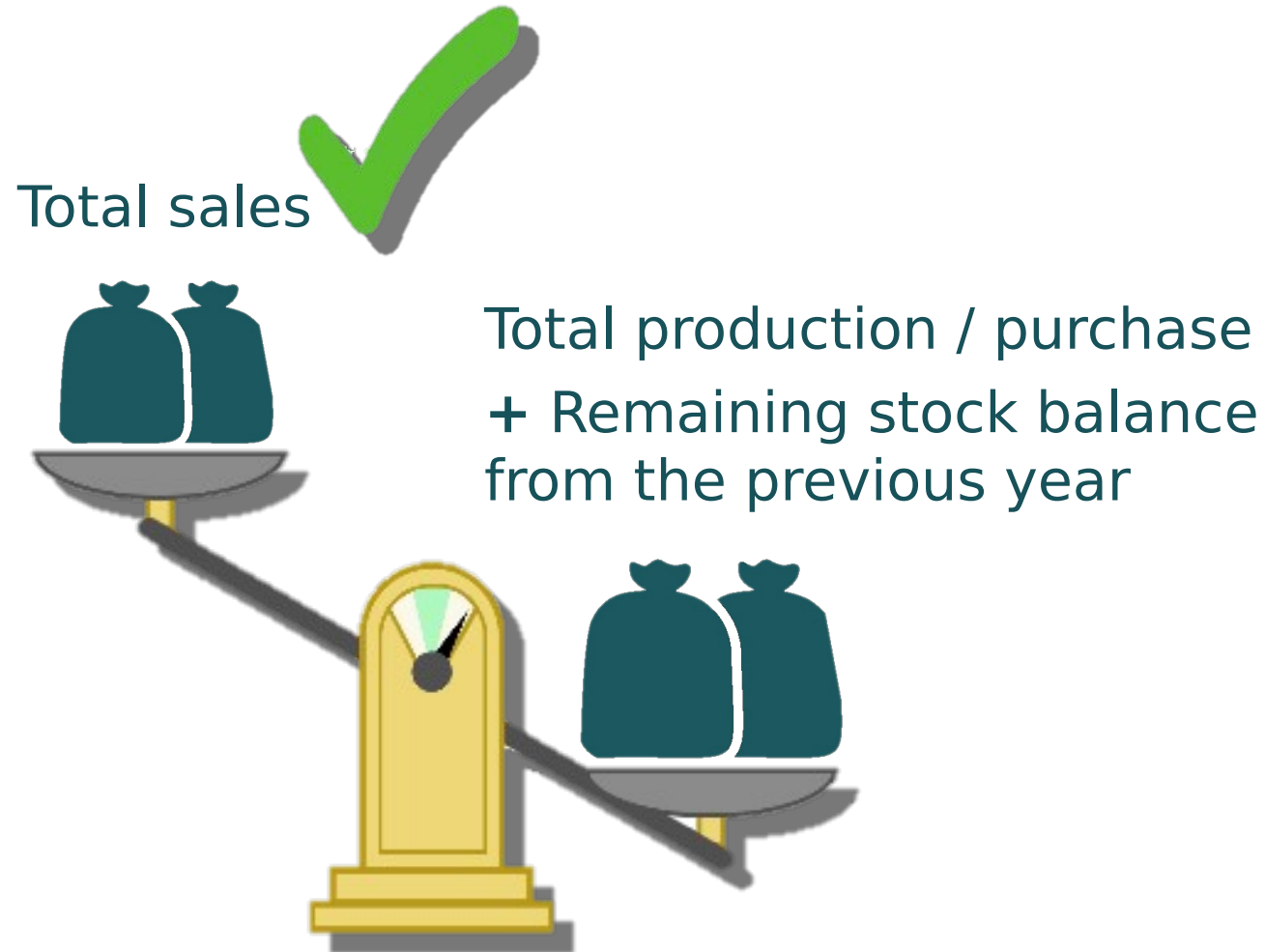


Answer:
Yes

2.1.6

Total sales of certified products do not exceed the total production, purchase of certified products plus remaining stock balance.

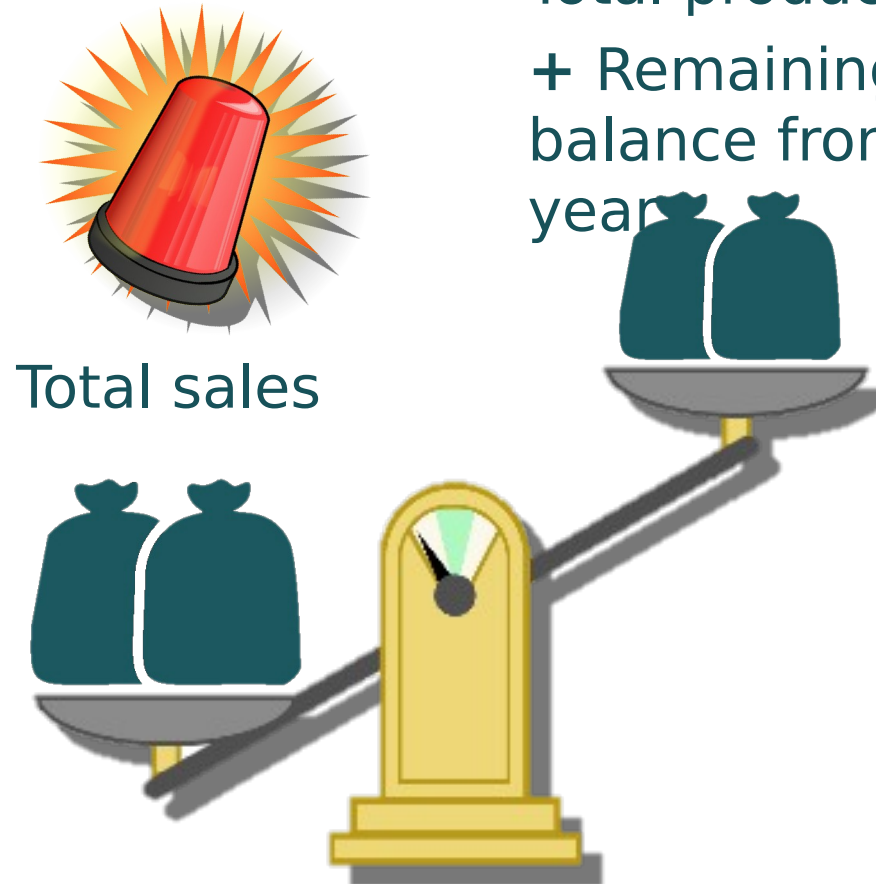
No overselling



2.1.6

Total sales of certified products do not exceed the total production, purchase of certified products plus remaining stock balance.

No overselling



This year, a tea producer group produced a total of 180 bags from the harvested leaf from the group members.

According to the sales transactions record, the group sold 200 bags of tea this year.

The group had 30 bags of remaining stock from last year in the warehouse.

Does this group comply with the requirement 2.1.6?



Answer:
Yes

2.1.7

There is no
double
selling.

No double selling



2.1.7

There is no
double
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No double selling



2.1.7

There is no
double
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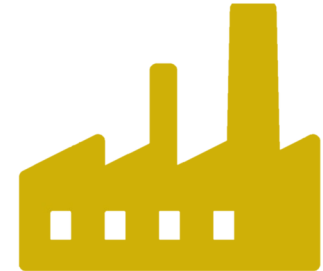
No double selling



2.1.7

There is no
double
selling.

No double selling



An exporter has purchased 5 tons of coffee from a farm that has both Rainforest Alliance certification and Fair Trade certification.

From this batch of purchase, the exporter sold 3 tons of coffee as Fair Trade certified to an importer, and 3 tons of coffee as Rainforest Alliance certified to another importer.

Does this company comply with the requirement 2.1.7?

Q



Answer:

No

Receipts

Responsibilities of group members

- Keep the receipts

2.1.8

Group members keep sales receipts.



NOTA DE INGRESO
CACAO EN BABA
Jr. San Martín 514 Lamas
Telf. (042) 543389

ZONA SISA
N° 000601

SEÑOR: Lesli Fordi Tuano, ma
Código: CR2 - 161010 DNI: _____
COMITE: Banda de pishueya FECHA: 14/10/16

Cantidad Sacos Kg.	Peso Bruto En Baba Kg.	Factor de Conversión %	Peso Neto Seco Estimado Kg.
03	115.5	0.35	40.42

Acopio ☐ Prepago ☒
Orgánico ☐ Convencional ☒

Firma Acopiador X Firma Soci@ X

2.1.9

The correct methodology for the calculation of conversion factors is demonstrated and documented.

Conversion factors



- For certificate holders with the traceability type: **“Identity preserved” or “Segregation”** ➔ **Bandwidth** set by the RA
- For certificate holders with the traceability type: **“Mass balance”** ➔ **Conversion rate** in **Annex S 6: Traceability**



A cocoa cooperative received 2,000 kg of fresh cocoa beans from certified producers in total this year and sold 1,500 kg of certified dry cocoa beans to a buyer. There was no remaining stock from the previous year.

The conversion factor of fresh cocoa beans to dry cocoa beans is 0.35-0.45.

Does this cooperative comply with the requirement 2.1.9?

Answer:
No



A cocoa factory received 2,000 kg of dry cocoa beans and sold 1,600 kg of cocoa liquor to a chocolate manufacturer. There was no remaining stock from the previous year.

The conversion rate of dry cocoa beans to cocoa liquor is 1 : 0.82 according to Annex S 6.

Does this factory comply with the requirement 2.1.9?



Answer:
Yes

2.1.10

Equipment used to define the weight or volume of the certified product is calibrated annually.

Calibration of measuring equipment



At a coffee producer group, a measuring box is used to measure the volume of harvested coffee cherries.

The same measuring box has been used over years, but it seems to have got deformed after some years of use. When the group uses the box to measure the members' harvest this year, the members complained that the box seems to contain more volume than the previous years.

Does this group comply with the requirement 2.1.10?



Answer:
No

2.1.11

A volume summary of certified product is provided for the previous 12 months.

Inventory

- Volume purchased
 - Volume in stock
 - Volume processed
 - Volume of outputs
 - Volume lost
 - Volume sold
- (as applicable)*



2.1.12

Documentation includes traceability type when there is a change in legal ownership and/or physical possession of the certified product.

Documentation of traceability types

Traceability types:

- **Identity preserved**
- **Segregation**
- **Mass balance**

When there is a change in legal ownership or physical possession of the certified product



Rainforest Alliance claim

"100% of the coffee we use is certified."

“Greenhouse gas emissions of our production have been reduced by 70%.”

"We are supporting farmers to improve their livelihood."

Certain claims require compliance with specific standard requirements (e.g., Living Wage contributions)



RAINFOREST ALLIANCE