



# Chapter 2: Traceability

## 2.1 Traceability

## Traceability

In this activity, we will look at the first set of Traceability requirements and examine the topics with case scenarios.



## 2.1 Traceability

No.	Base requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.1.1	<p>The total <u>certified production</u> and the certified production for each producer (kg or stems for flowers) are estimated once a year. The calculations are based on a credible methodology for yield estimation (kg/ha or stems/ha for flowers) of a representative sample of farms or farm units. The methodology and calculation are documented.</p> <p><i>Please see SA-G-SD-8 Guidance Document G: Yield estimation</i></p>			✓	✓
2.1.2	<p>Management takes stock annually of:</p> <ul style="list-style-type: none"> <li>• The total harvested certified production (in kg, in stems for flowers)</li> <li>• The balance of products purchased, produced, sold and in stock</li> </ul> <p>In case the difference between estimated production and actual production is &gt;15 %, a reasonable justification is given, and measures are taken to prevent such differences from occurring.</p> <p>For groups, the differences are checked and justified both on the group level and for the individual members.</p>		✓	✓	✓



*Read the requirements and their applicability before you move on to the next page*

## 2.1.1

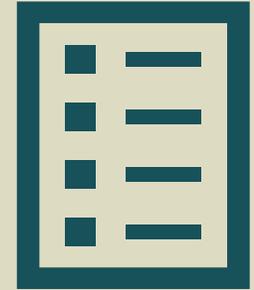
# The total certified production and the certified production for each producer are estimated once a year



Sonia is a manager of a certified farm group.

She needs to make the annual yield estimate based on a **credible calculation** in **kilograms per hectare** (or stems per hectare) of a **representative sample** of farms or farm units.

She also needs to **document** the methodology and calculation.



*Please see Guidance Document: Yield estimation*

## 2.1.2

### Management takes stock annually of:

The **total harvested certified production**  
(in kg, in stems for flowers)

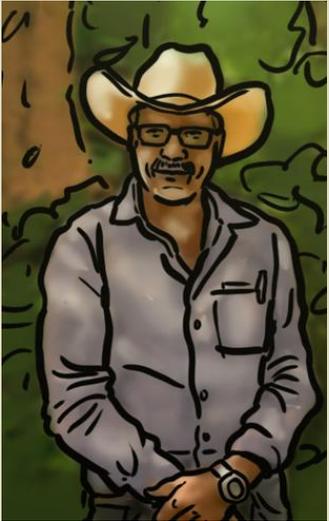
The **balance of products purchased, produced, sold and in stock**



Sonia needs to **keep track of the harvest every year** and **compare the estimated yield** with the **actual production**. The **difference** between the estimated yield and the actual harvest must be **less than 15%**. If it is more for a group, differences are checked and need to be justified both on the group level and for the individual members.

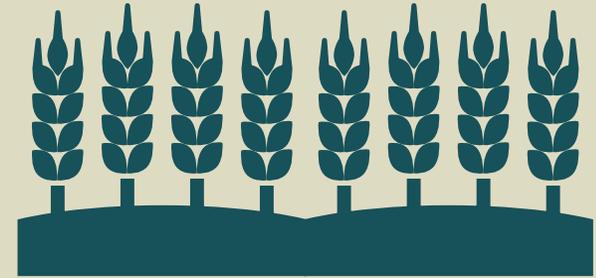
## Case scenario

Let's look at an example of the annual record keeping.



James is a manager of a large farm in Sonia's group. James' farm is one hectare, and his yield estimate of fresh leaves was between **1,400-1,600 kg**.

James submitted a harvest record for his farm of **2,200 kg**. This difference was noted, but neither he or Sonia **could provide a justification** behind submitting this figure.



?

Does James comply with the requirement on annual record keeping?

*Think about the answer before you move on to the next page*

## Case scenario - Solution



The answer is "No", James' farm is not compliant.

James did provide an estimation the annual certified production in kilograms per hectare to Sonia, as per requirement **2.1.1**.

However, due to **lack of documentation and credible calculation method**, James or Sonia were **not able to justify the over 15% difference** between the estimated yield and the actual harvest to be compliant with **2.1.2**.



## 2.1 Traceability

No.	Base requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.1.3	Products certified against Rainforest Alliance Standard must be visually separated from non-certified products and from each other at all stages, including transport, storage, and processing.			✓	✓
2.1.4	Management has mapped the product flow up to the final location of the <u>certificate scope</u> , including all intermediaries (collection points, transport, processing units, warehouses, etc.) and activities carried out on the product.			✓	✓



*Read the requirements and their applicability before you move on to the next page*

## 2.1.3

# Certified products must be visually separated from non-certified products at all stages



Sonia needs to make sure when products from **certified** farms and **non-certified** farms are processed at the **same facility**, they need to be **physically separated** at all stages, including transport, storage, and processing.

## 2.1.3

### Ensuring visual separation

Sonia can also ensure visual segregation with **labels** that indicate:

- the lots that are **certified**, and
- the lots that are **not certified**, or
- by putting a **reference of certification** on the **product** or the product **packaging** itself.



## Case scenario

Let's look at the following scenario on the product separation requirement.



Sonia's group has 20 members. **Five** members are **certified** and the other **15** members are **not**. The group owns **one mill** where **all coffee** from all members is **processed together**.

Processed coffee is stored at their warehouse altogether.

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



?

**Is Sonia compliant with the product separation requirement?**

*Think about the answer before you move on to the next page*

## Case scenario - Solution

The answer is “No”, Sonia's group is not compliant with the product separation requirement.



Certified products need to be separated from non-certified products at all stages.

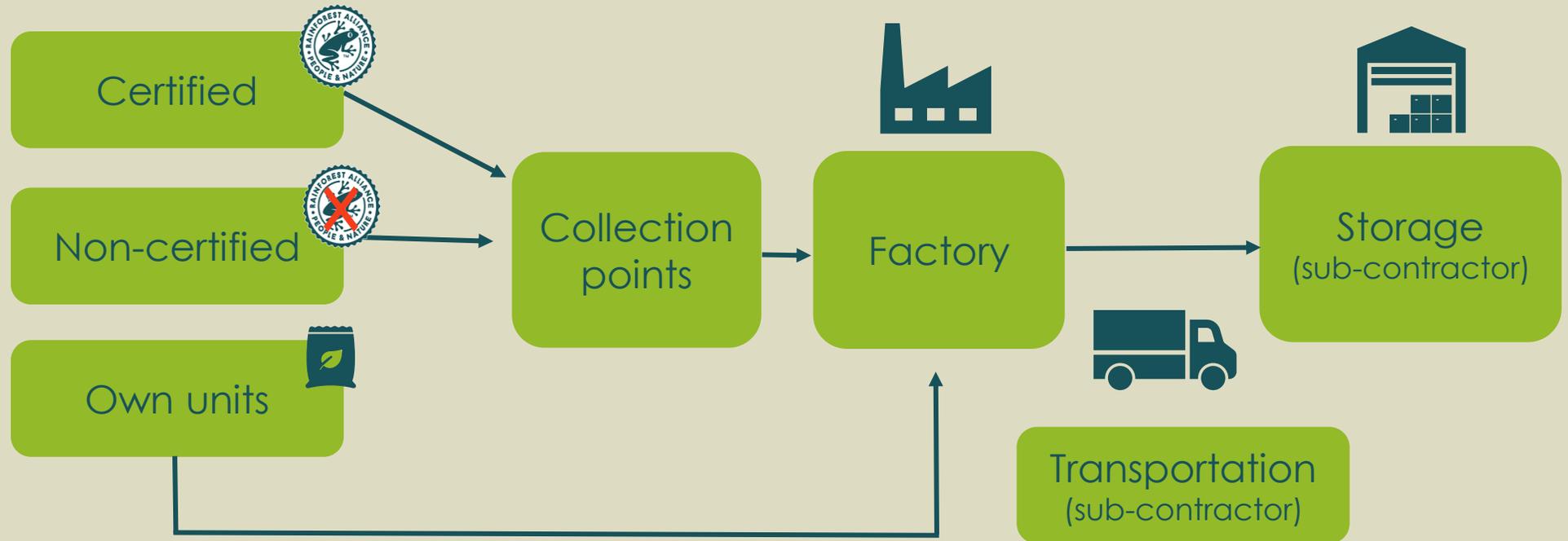


Sonia's group is **mixing the coffee from all 20 members** during the processing at the mill and later in the storage. **Therefore, it does not comply with 2.1.3.**



## 2.1.4

# Management maps the product flow up to the end of the certificate scope as well as all product related activities



As a manager of a group, Sonia maps out a **product flow map** which **visualizes all activities and actors** that are **involved** with the certified product. This helps Sonia to identify where there are risks of mixing certified products with non-certified products.

## 2.1.4

# Identifying risks for mixing of certified with non-certified



The product flow map must include **all** the **activities under the certificate scope**.

It also indicates all actors that are involved in the activities, such as subcontractors.

From the example **flow map** shown in the previous slide, Sonia can see that there is a risk of mixing certified products with non-certified products...

- **at the collection points**, and
- when the products are with **subcontractors**.

Based on this map, Sonia needs to develop appropriate measures to avoid mixing, such as **labeling** or **physical separation**.



No.	Base requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.1.5	<p>Certified products can be traced back to the certified farm(s) they were produced on.</p> <p>Management keeps purchase and sales documents linked to physical deliveries from the certified, <u>multi-certified</u> and non-certified products, ensuring intermediaries do the same.</p> <p>The purchase and sales documents include date, product type, (percentage of) <u>certified volume</u>, group member details and, if relevant, <u>traceability type</u>.</p> <p>In case of group certification, group management ensures that group members receive a receipt for each delivery from the group member to the group or an intermediary, specifying name of group member, group member ID, date, product type and volume.</p> <p><i>Please see A-05-SCRL-B-CH Traceability Annex</i></p>			✓	✓
2.1.6	<p><u>Shipments</u> of certified products do not exceed the total production (for farms), purchase of certified products plus remaining stock balance from the previous year.</p>			✓	✓



*Read the requirements and their applicability before you move on to the next page*

## 2.1.5

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

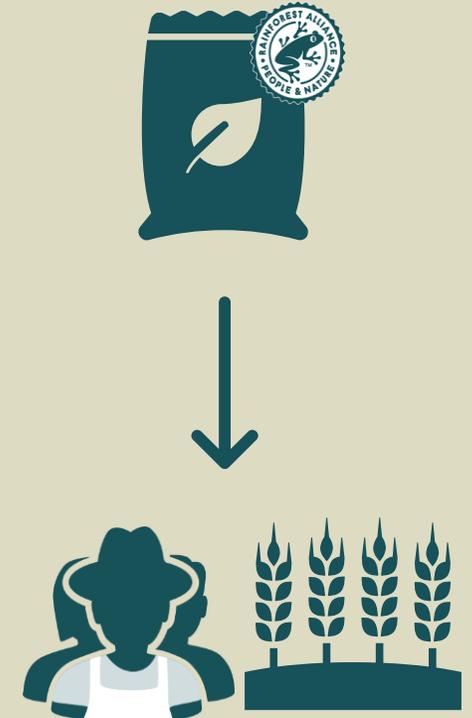
First, Sonia ensures that the **management** keeps all **purchase** and **sale documents** of all products for their own records.

These **documents** should include information on:

- **Date**
- **Product type**
- (Percentage of) **certified volume**
- **Traceability type**

If the delivery is done by a group member, Sonia makes sure to keep an additional record of the **member's name** and the **member's ID**.

*Please see: Traceability Annex*



## 2.1.5

# In group certification, group management ensures that group members receive a receipt for each delivery

Next, Sonia makes sure that **every time** a group member delivers products, **a receipt is issued**. This receipt keeps track of all the deliveries and helps maintain **accurate records**.

The receipt must include the following information:

- The group member's name
- The group member's ID
- The date of delivery
- The type of product delivered
- The volume of the product delivered



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

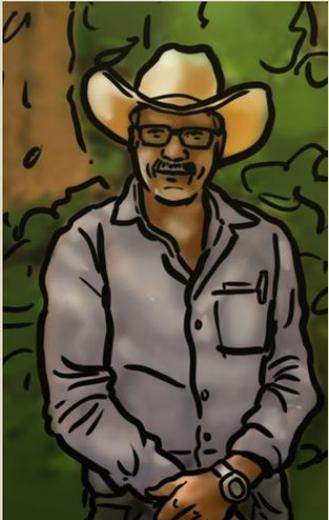
Acopio  Prepago   
Orgánico  Convencional

Firma Acopiador \_\_\_\_\_ Firma Soci@ \_\_\_\_\_

By following these steps, Sonia ensures that **all certified products can be traced back to their certified farms**, maintaining transparency and accountability.

## Case scenario

Let's look at a case example in a cocoa producer group.



When James, a group member, delivers cocoa beans to Sonia's group, Sonia records the delivery details in the **group's recordkeeping book**.

The details include the **member's name**, the **member ID**, **product type**, and **volume**. Sonia also keeps **all the sales records in the same book**.

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



**Are these record keeping practices sufficient?**

*Think about the answer before you move on to the next page*

## Case scenario - Solution

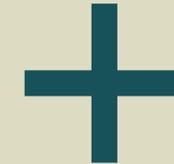
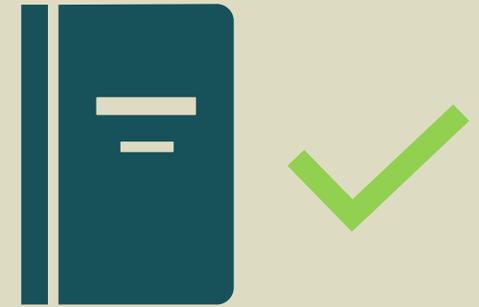
The answer is “No”, the record keeping practices are **not** sufficient in Sonia's group.

The group records the deliveries, but only in the group's recordkeeping book.

**In this scenario, the group management is not giving receipts to the members.**

Therefore, it does not fully meet the requirement 2.1.5.

To comply, a group member must receive a **receipt every time** a product is delivered.



## 2.1.6

# Certified product shipments must not exceed total production, purchases, and last year's remaining stock



**The total shipments** of certified products should be **less than the sum of total production or purchase** of certified products and the **remaining stock balance** from the previous year. This way it is ensured that Sonia has a sufficient volume of certified products available for sale.

## 2.1.6

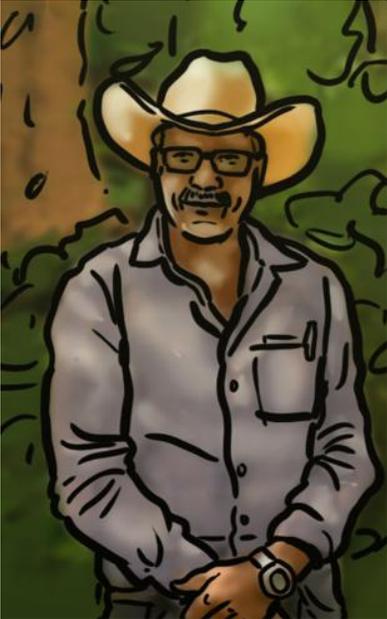
# Overselling: Selling more than what is produced or purchased



If the total shipments of certified products are more than the sum of total production or purchase of certified products and the remaining stock balance from the previous year, it indicates that the Sonia is selling more than what she is producing or purchasing. This is regarded as **overselling: the total volume sold as certified may have not come from certified sources.**

## Case scenario

Let's look at the following case in Sonia's tea producer group.



Sonia's group harvested a total of **180 bags** of tea leaves from group members like James.

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

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

?

Is Sonia's group overselling?

*Think about the answer before you move on to the next page*

## Case scenario - Solution

The answer is “No”, Sonia's group is not overselling.

The group had **30** bags from last year, and **180** bags from this year, which become **210** bags in total.

The group sold **200** bags, which is less than **210** bags. Therefore, Sonia's group meets the requirement 2.1.6.



## 2.1 Traceability

No.	Base requirements	Group certification			Ind. cert.
		S-farms	L-farms	Group mgt.	S/L
2.1.7	<p>There is no <u>double selling</u> of volumes. Once a volume is sold under a Rainforest Alliance Standard, conventional, another scheme or sustainability initiative, that volume is no longer available for sale.</p> <p><i>Please see A-05-SCRL-B-CH Traceability Annex</i></p>			✓	✓
2.1.8	<p>Group members keep sales receipts (electronic or physical), including name of group member, group member ID, date, product type, and volume.</p>	✓	✓		
2.1.9	<p>The correct methodology for the calculation of conversion factors is demonstrated and documented for each certified product and reflected accordingly in the <u>traceability platform</u>.</p> <p>Applicable for large farms in a group, if they have processing as part of the scope.</p> <p><i>Please see A-05-SCRL-B-CH – Traceability Annex</i></p>		✓	✓	✓
2.1.10	<p>Equipment used to measure the weight or volume of the certified product is calibrated annually.</p>		✓	✓	✓

*Read the requirements and their applicability before you move on to the next page*

## No double selling of volumes

Double selling means **selling the same product as certified under two different labels**. This is not allowed.

Let's look at this example:

Amina's farm is certified as both **Rainforest Alliance** and as **organic**.

- Amina produces **two bags and** sells these bags to a factory as **Rainforest Alliance certified**.
- She also sells the same **two bags** to another factory as **organic certified**.



**This is double selling and is not allowed.** She must **not sell** the **same product under multiple certification** schemes.



## What is not double selling?

Let's look at another example:

- Amina has **two bags** of products, and she sells these bags to a factory as **Rainforest Alliance certified**.
- Amina has **two more bags**, and she sells these bags to a factory as **organic certified**.
- Amina produces **further two more bags** and sells these to a factory as both Rainforest Alliance and organic certified, **under one contract**.



This is **not** double selling and it is **allowed**.



*Please see: Traceability Annex*

## Case scenario

Let's look at Amina's farm, which has both **the Rainforest Alliance** and **Fairtrade** certifications.



An exporter purchased **five tons of coffee** from Amina's farm.

- From this batch, the exporter sold **three tons** of coffee as **Fairtrade** certified to Importer A.
- The exporter also sold **three tons** of coffee as **Rainforest Alliance** certified Importer B.

Exporter buys 5 tons 



?

Is this a case of double selling?

*Think about the answer before you move on to the next page*

## Case scenario - Solution

The answer is “Yes”, this is **double selling** and it is not allowed.

The exporter bought **5 tons** of coffee from Amina's farm and has sold **3 tons** as Fairtrade certified.

Therefore...

only **2 tons** should be **available** to be sold as Rainforest Alliance.



The company sold **3 tons as Rainforest Alliance** certified, which indicates **double selling**.



## 2.1.8

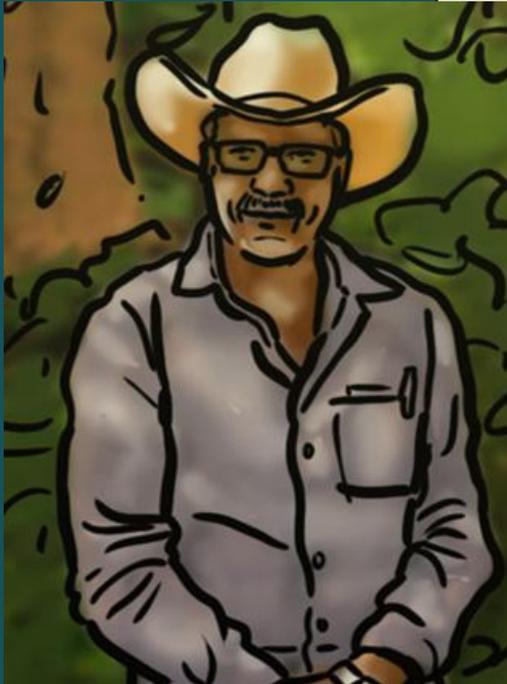
# Group members keep sales receipts

James' farm is part of Sonia's group.  
He needs to **keep all sales receipts**  
(electronic or physical).

The receipts must include:

- **Name of group member**
- **Group member ID**
- **Date**
- **Product type**
- **Volume.**

James needs to store the receipts in a safe place in order not to lose them.



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COMITE: *Bomba de pistones* FECHA: *19.10.16*

Cantidad Sacos Kg.	Peso Bruto En Baba Kg.	Factor de Conversión %	Peso Neto Seco Estimado Kg.
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Acopio  Prepago   
Orgánico  Convencional

Firma Acopiador *[Signature]* Firma Soci@ *[Signature]*

## 2.1.9

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

As a group manager, Sonia needs to follow a set of rules when **processing** and **manufacturing** her products to ensure everything is properly tracked.

This is because as a **product** gets **processed**, its **volume** or **weight reduces**.

Sonia needs to therefore apply a **reasonable conversion factor** for each step of processing.



*Please see: Traceability Annex*

## 2.1.9

# Conversion must be registered in the traceability platform



When Sonia processes her coffee from parchment to green coffee, **the volume changes.**

This change is called '**conversion,**' and Sonia must register it in the **traceability platform** before selling the roasted coffee.



*Please see: Traceability Annex*

## 2.1.9

# Manufacturing must be registered in the traceability platform

When Sonia manufactures a **new product**, like a multi-ingredient coffee blend, the **volume does not change**.

She must still **report** this **manufacturing** in the **traceability platform** before selling the new product.



*Please see: Traceability Annex*

## 2.1.10

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



James uses boxes to **measure** the **volume** of coffee in his farm. These boxes are **equipment** and must be **calibrated**.

This means their **height**, **width**, and **depth** should have exact **centimeters**.

The year of calibration is indicated on the box.



**This is to avoid errors in measured volumes** in case the box gets, for example, **deformed by the many years of use**.



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