

Flowchart for the preparation of the risk analysis for the cocoa sector as a supplement to the action guide

Step 1: Build up knowledge of the international and national requirements from which the obligation to prepare a risk analysis is derived

See **step 1** in the action guide

Step 2: Orientation to existing guides for creating a risk analysis

See **step 2** in the action guide

Step 3: Identification of the origin of the cocoa used

Do I know the origin of my cocoa beans? (See **step 3** in the action guide)

Yes (e.g. direct reference, identity preserved, "information preserved")

No (e.g. Mass Balance, Segregated)



Tip for certified goods: additionally consult with standard-setting organizations

Consultation with upstream suppliers: Do they have information on the origin of the cocoa that they share with me?

Yes

No

Has the upstream supplier performed all required due diligence measures (5 core elements) for its entire procurement and can provide me with written evidence of these?

Yes

No

Regular review of the plausibility of the statements

Recommendation:

- Negotiate new sourcing model if necessary and narrow down origin of cocoa.
- In the future, link the selection of upstream suppliers to corresponding information.

Step 4: Overview analysis of potential risks for the identified countries of origin

Do I have information on risks from upstream suppliers or other organizations, or have they already conducted risk analyses and are willing to share them with me?

Yes

No

Tip for certified goods: additionally consult with standard-setting organizations

Complete and plausible?

Recommendation:
Request upstream suppliers to perform a risk analysis

Yes

No

Preparation of the **overview analysis of potential risks** based on the available information from a) my upstream suppliers and/or other organizations and b) this action guide (see **step 4** in the action guide)

Continue with [step 6](#)

Have countries of origin with serious risks of human rights violations been identified?

Yes

No

Tip for certified goods: additionally consult with standard-setting organizations

Verification of identified risk countries with upstream suppliers

Recommendation:

- Direct to step 7 (verification with partners in the field).
- Annual verification

Step 5: Detailed country-specific analysis of potential risks for the identified risk countries

Preparation of the **detailed country-specific analysis of potential risks** per identified risk country based on the available information from a) my upstream suppliers and/or other organizations and b) the present action guide (see **step 5** in the action guide)

Step 6: Prioritization and analysis of actual risks in own supply chain

Prioritization based on the severity of the business impact and the degree of influence exerted by the company (Principle 24 UNGP)

- Extent: how significant is the negative impact on the human right(s)?
- Scope: how many individuals are affected?
- Remediation: how quickly can the impact of the human rights violation be reversed?

Prerequisite:

Creation of transparency along the entire supply chain

For the prioritized risks: Analysis of actual risks in own supply chain in consultation with and using information from upstream suppliers
– see **step 6** in the action guide.



Tip for certified goods:

additionally consult with standard-setting organizations

Notice:

This step already serves to prepare the implementation of follow-up measures to remedy and minimize the identified risks

Step 7: Verification of the risk analysis with partners on site

Verification of risk analysis with farmer organizations and NGOs in cocoa producing countries, with support from:

- German Initiative on Sustainable Cocoa (GISCO) / PRO-PLANTEURS
- Standard setting organizations
- Pre-suppliers with projects/direct local contacts