EDES
Methodology for Conducting Self Assessment Guide Cocoa in Ghana
Implementing SPS requirements along the Cocoa Value Chain.

Outline:

1. Introduction on EDES approach to SPS issues
2. Development of Self Assessment Guide
3. Conducting of Cocoa SAG
4. Outline of the Cocoa SAG
5. Observations
EDES approach: Road to implementing SPS
SPS: 4 Dimensions to Manage

- **GOVERNANCE SYSTEMS**
  - Criterion: Definition and publication of a Food Safety Policy
  - Criterion: Adoption and application of food safety laws, regulations and standards
  - Criterion: Structuring of specialised institutions and establishments

- **OPERATIONAL PROCESSES**
  - Criterion: Developing expertise to assess risks and draft standards
  - Criterion: Organising an integrated approach to risk management
  - Criterion: Management of inspections and certifications by the official control bodies
  - Criterion: Introducing food safety management systems (FSMS) by private operators
  - Criterion: Reinforcing the capacity of analysis and test laboratories
  - Criterion: Organisation of emergency intervention measures in the event of a crisis

- **MANAGEMENT OF CHANGE PROCESSES**

- **MANAGEMENT OF SKILLS**
  - Criterion: Organising the development of skills
  - Criterion: Creating mechanisms enabling access to training

- **COMMUNICATION AND RELATIONSHIP DYNAMICS**
  - Criterion: Developing consultation between stakeholders
  - Criterion: Informing and educating national populations

www.coleacp.org
What is a Self-Assessment System (SAS)?

- A set of measures based on risks assessment which the operator must implement to ensure that at every stage in production, harvesting, transport, packaging, processing and distribution, the products:
  1. Comply with SPS regulatory requirements
  2. Comply with product quality requirements
  3. Meet traceability and monitoring requirements to ensure compliance with specifications

SAS= Self-Assessment Guide (SAG)+ Control Guide CG)
What is a Self-Assessment Guide?

- A tool to implement a Self-Assessment System at the sector level
  - Hazard identification and risks assessment
  - Definition of Good Practices to apply
  - Setting up a traceability system
- To promote Compliance and competitiveness in a sector

A collective approach by both Public and Private sectors
Working method

A Self Assessment Guide is based on **four steps**:

1. Problem analysis
2. Design of SAG
3. Planning of activities
4. Implementation of SAG

At the end of each step, a Project Statement (PS) is developed. The aim of the PS is **to report on the results of each step** and (based on the results) to decide to continue, review, stop, or go back, with the project.
Requirements for setting up of SAG:

1. Defining **the scope of application** (project)
2. Creating **project entities**, defining responsibility and membership
3. Allocating **tasks**
4. Selecting a **working method**
5. Defining the **assessment process**

**A project management approach**
2. The Project management bodies

1. A Steering Committee
2. A Project leader
3. A Technical Working Group (Project Team)
4. Expertise
Development of the Cocoa – SAG process

1. Tendering process to identify experts for the activity
2. Launch of the SAG through a stakeholder workshop
3. Constitution of the Steering Committee, Technical committee
4. Awareness Raising Campaign
5. Field Surveys of the main cocoa production and processing areas and Inventory of the SPS regulations and standards relevant to the cocoa sector
6. Risk Assessment covering production and post harvest processes
7. Drafting of SAG followed by review and editing
1. **Awareness Raising Campaign**:
- Development of awareness materials
- Informed stakeholders on the importance of SPS issues
- Defined the project objectives and importance of self-assessment guide.
- Reviewed the project objectives.
- Specific field mission activities with stakeholders
- Trained Service Providers
2. **Field Survey of the main cocoa production and processing areas and Inventory of the SPS regulations and standards relevant to the cocoa sector**

- Mobilization of Survey Team Design survey grids and reporting template
- Pretest of Questionnaires
- Field Survey using the questionnaires to assess the cocoa value chain, to validate information/standards in production, post harvest processes and extension tools
Cocoa – SAG

2. **Field Survey of the main cocoa production and processing areas and Inventory of the SPS regulations and standards relevant to the cocoa sector**

- Take inventory and analyze all legal texts and regulations applicable to the cocoa sector at national, sub-regional and international level
- Review of National and regional SPS legislation and standards
- Identify, list and analyze all Public and Private laboratories
- Collate field survey results
- Debrief and validate information collected with the technical committee
- Submit results to the steering committee
3. **Risk Assessment of process of production and processing**

- Carry out Risk assessment to identify the critical areas in terms of SPS, private voluntary standards, regulations and quality control
- Propose self assessment guide and define the limits for mandatory notifications of risks.
- Analyze the shortcomings of the National regulations against international SPS requirements
- Highlight type and extent of SPS controls; Analysis of data results
- Produce a draft SAG Assess company certification needs
- Propose an Action Plan
Regions and districts where survey was conducted

<table>
<thead>
<tr>
<th>Region</th>
<th>District</th>
<th>Number of farmers</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ashanti</td>
<td>Nyinahin</td>
<td>44</td>
<td>23</td>
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<tr>
<td>Brong Ahafo</td>
<td>Sankore</td>
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<td>15</td>
</tr>
<tr>
<td>Western</td>
<td>Sefwi Wiawso</td>
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<td>62</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>193</td>
<td>100</td>
</tr>
</tbody>
</table>
Draft Cocoa SAG

PART O: Introduction
PART 1: International and national legislative/regulatory requirements
PART 2: Good Agricultural Practices-Production
PART 3: Good Agricultural Practices-Post Harvest
PART 4: Sampling Plan
PART 5: Managing non-conformity and notifications
PART 6: Notes
Support to the SAG Development

1. Initiated an examination of the laws and regulations
2. Pesticide application and formulation of a residue monitoring and sampling plan
3. An assessment/audit of laboratories
4. Internal/External technical experts
5. Training: Official control, laboratory management, laboratory business plan, risk assessment etc.
SPS Issues to note

- Review of the legal and regulatory requirements in line with international requirements
- Need for a pesticide quality and residue monitoring and sampling plan
- Review and Strengthen institutional (including private sector and other stakeholders) capacities
- Evaluation of Hygiene issues along the cocoa value chain
- Emerging issues:
  - Cadmium,
  - Ochratoxin A
  - Polycyclic Aromatic Hydrocarbons (PAH)