

**SLOVENSKI STANDARD**  
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**Trajnost in sledljivost kakavovih zrn - 1. del: Zahteve za sisteme upravljanja trajnosti (ISO/DIS 34101-1:2016)**

Sustainable and traceable cocoa beans - Part 1: Requirements for sustainability management systems (ISO/DIS 34101-1:2016)

Nachhaltige und rückverfolgbare Kakaobohnen - Teil 1: Anforderungen für Managementsysteme für die Nachhaltigkeit (ISO/DIS 34101-1:2016)

Fèves de cacao durable et traçable - Partie 1: Exigences relatives aux systèmes de management de la durabilité (ISO/DIS 34101-1:2016)

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**Ta slovenski standard je istoveten z: prEN ISO 34101-1**

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**ICS:**

67.140.30      Kakav      Cocoa

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# DRAFT INTERNATIONAL STANDARD

## ISO/DIS 34101-1

ISO/TC 34/SC 18

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### Sustainable and traceable cocoa beans —

### Part 1: Requirements for sustainability management systems

*Fèves de cacao durable et traçable —**Partie 1: Exigences pour des systèmes de management de la durabilité*

ICS: 67.140.30

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**ISO/CEN PARALLEL PROCESSING**



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## Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2. [www.iso.org/directives](http://www.iso.org/directives)

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received. [www.iso.org/patents](http://www.iso.org/patents)

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](http://standards.iteh.ai/catalog/standards/sist/61556597-e4b7-44c2-9c88-3b1e789b5bbc/ksist-for-en-iso-34101-1-2018)

The committee responsible for this document is ISO/TC 34/SC 18.

A list of all parts in the ISO 34101 series can be found on the ISO website.

ISO requires that management system standards include a High Level Structure and certain text. This text required by ISO in management system standards are given in blue, and deleted ISO required text is given as follows: ~~deleted HLS text~~. Deleted HSL text shall be permitted by ISO Technical Management Board.

## ISO/DIS 34101-1:2016

## Introduction

## 0.1 Introduction to the ISO 34101-series

The ISO 34101 series consists of International Standards and Technical Specifications with the intended purpose as given in the table below.

ISO Publication	Subject	Intended to be applied by	Requirements /Guidance
ISO 34101-1	Management of cocoa bean production	Registered cocoa farmers and organizations producing sustainable cocoa beans	Requirements
ISO 34101-2	Performance of cocoa bean production		
ISO 34101-3	Traceability of sustainably produced cocoa beans and derived products	The cocoa supply chain actors	Requirements
ISO 34101-4	Sustainable and traceable cocoa certification scheme	Certification scheme owners and conformity assessment bodies certifying conformity to the ISO 34101-series and organizations wishing to make claims of conformity	Requirements
ISO/TS 34101-5	Guidance on application of ISO 34101-series	Organizations wishing to implement standards within the ISO 34101-series and those assisting them in applying the standards.	Guidance
NOTE ISO/TS 34101-5 is not yet registered in the ISO database.			

The overriding objective of this document is to develop, promote and maintain a framework for the production of sustainable cocoa beans based on the principle of continuous improvement.

In order to achieve this objective, this document has been elaborated to be relevant to stakeholders within the cocoa sector, in particular with a view to:

- a) support and encourage smallholder cocoa farmers;
- b) improve income and resilience of their livelihoods; and
- c) promote farmer organizations where necessary.

Although a diverse range of organizations can apply this document and ISO 34101-2 to their activities, it is important that farmer organizations be recognised as a key delivery mechanism for a sustainable cocoa economy and that such organizations be robust and truly representative of the registered cocoa farmers they serve. It is expected that stakeholders work together to help them achieve this.



## 0.2 General

The adoption of a sustainability management system is often a strategic decision for an organization.

The potential benefits to an organization of implementing a cocoa sustainability management system are:

- establishment and implementation of management practices which allow the cost effectiveness of the business to be assessed through operational performance indicators;
- ability to consistently provide sustainably produced cocoa beans that meet specified requirements and applicable statutory and regulatory requirements;
- addressing risks and opportunities associated with its context and objectives;
- ability to demonstrate conformity to specified cocoa sustainability management system requirements;
- organizational learning, adjustment of the organizations strategy and improvement of its performance.

In the event that the registered farmers wish to take over management of the cocoa sustainability management system from the organization (one or more registered farmers to become their own organization in the context of this document), it is important that registered farmers are encouraged to do so, with the support of the organization.

In addition to this document elements that are integral to sustainability can be considered through other activities or programs including:

- a) encouraging stakeholders to take responsibility for supporting sustainability objectives for cocoa farming;
- b) households issues;
- c) development of a physical and social infrastructure.

It is not the intent of this document to impose:

- uniformity in the structure of different sustainability management systems;
- alignment of documentation to the clause structure of any part of ISO 34101;
- the use of the specific terminology of the ISO 34101 series within the organization.

The performance requirements specified ISO 34101-2 are complementary to the cocoa sustainability management system developed and implemented according to this document.

This document employs the process approach, which incorporates the Plan-Do-Check-Act (PDCA) cycle and risk-based thinking.

The process approach enables an organization to plan its processes and their interactions.

The Plan-Do-Check-Act (PDCA) cycle enables an organization to ensure that its processes are adequately resourced and managed, and that opportunities for improvements are identified and acted on.

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Risk-based thinking enables an organization to determine the factors that could cause its processes and its sustainability management system to deviate from the planned results, to put in place preventive controls to minimise negative effects and make maximum use of opportunities as they arise.

Consistently meeting requirements and addressing future needs and expectations poses a challenge for organizations in an increasingly dynamic and complex environment. To achieve this objective, the organization might find it necessary to adopt various forms of improvement in addition to correction, corrective action and continual improvement, innovation and re-organization.

In this document:

- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.

Information marked “NOTE” is for guidance in understanding or clarifying the associated requirement.

### 0.3 Sustainability management principles

This document is based on sustainability management principles, which are:

- sustainability focus;
- leadership;
- engagement of people;
- process approach;
- improvement;
- knowledge-based decision making;
- relationship management.

Applying the principles is expected to enhance the objectives of obtaining a resilient livelihood for people producing sustainable cocoa beans.

This document establishes a framework, which meets the needs of producers and requirements of consumers/other stakeholders for sustainability of cocoa bean production and traceability of the cocoa supply chain.

### 0.4 Process approach

#### 0.4.1 General

This document promotes the adoption of a process approach when developing, implementing and improving the effectiveness of a cocoa sustainability management system, to enhance interested parties satisfaction by meeting cocoa sustainability requirements.

Understanding and managing interrelated processes as a system contributes to the organization's effectiveness and efficiency in achieving its intended results. This approach enables the organization to monitor and control the interrelationships and interdependencies among the processes of the system so that the overall performance of the organization can be enhanced.

The process approach involves the systematic definition and management of processes and their interactions so as to achieve the intended results in accordance with the cocoa sustainability policy and strategic direction of the organization. Management of the processes and the system as a whole can be achieved using the PDCA cycle (see 0.4.2) with an overall focus on risk-based thinking (see 0.4.3) aimed at taking advantage of opportunities and preventing undesirable results.

The application of the process approach in a cocoa sustainability management system enables:

- 1) understanding and consistency in meeting requirements;
- 2) the consideration of processes in terms of added value;
- 3) the achievement of effective process performance;
- 4) improvement of processes based on evaluation of data and information.

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### 0.4.2 Plan-Do-Check-Act cycle

The PDCA cycle can be applied to all processes and to the cocoa sustainability management system as a whole. Figure 1 illustrates how Clauses 4 to 10 of this document can be grouped in relation to the PDCA cycle.

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The PDCA cycle can be briefly described as follows:

- **Plan:** establish the objectives of the system and its processes, and the resources needed to deliver results in accordance with customers' requirements and the organization's policies;
- **Do:** implement what was planned;
- **Check:** monitor and (where applicable) measure processes and the resulting products and services against policies, objectives and requirements and report the results;
- **Act:** take actions to improve performance, as necessary.

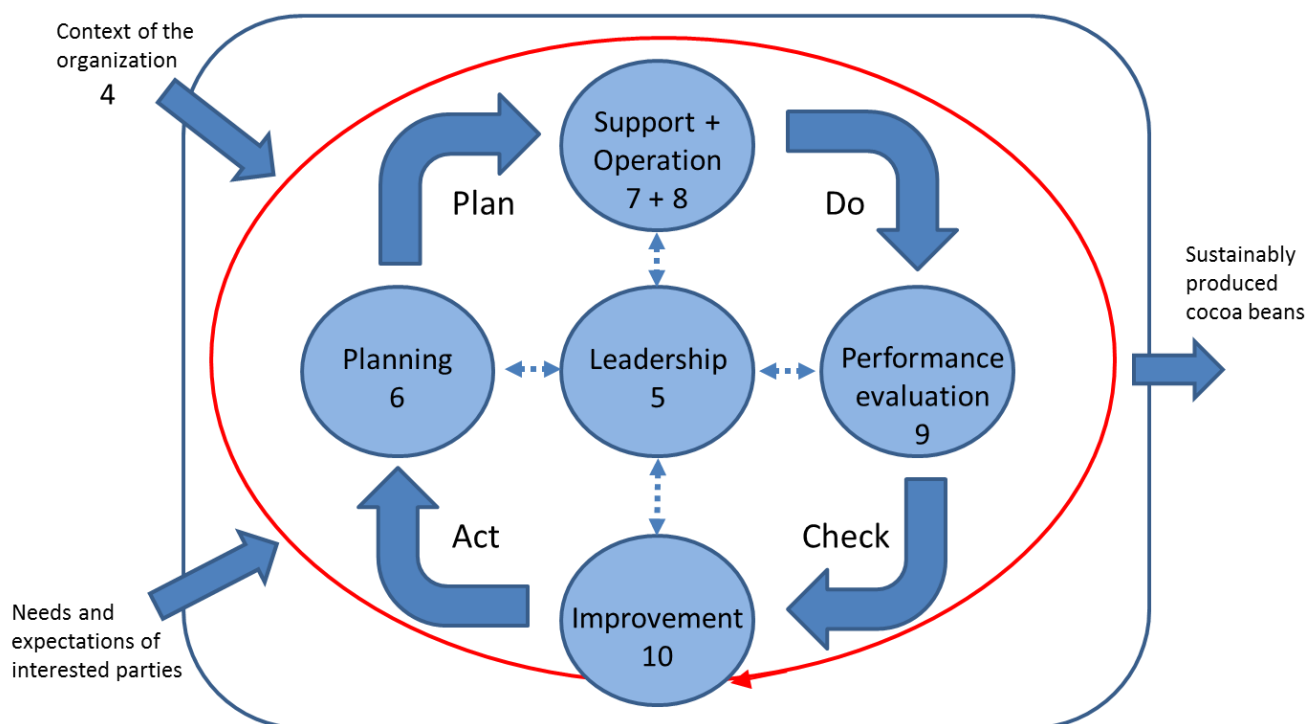


Figure 1 – A representation of the structure of this document in the PDCA cycle

### 0.4.3 Risk-based thinking

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Risk-based thinking is essential for achieving an effective cocoa sustainability management system.

To conform to the requirements of this document, an organization needs to plan and implement actions to address opportunities and risks. Addressing both opportunities and risks establishes a basis for increasing the effectiveness of the cocoa sustainability management system, achieving improved results and preventing negative effects.

Opportunities can arise as a result of a situation favourable to achieving an intended result, for example, an option to attract customers, develop new products and services, reduce waste or improve productivity. Risk is the effect of uncertainty on obtaining objectives and any such uncertainty can have positive or negative effects. Actions to address opportunities will lead to associated risks.

# Sustainable and traceable cocoa beans — Part 1: Requirements for sustainability management systems

## 1 Scope

This document specifies requirements for a management system for sustainably production of cocoa beans - including post-harvest processes, if applicable - and traceability of cocoa beans within the organization.

NOTE Post-harvest includes fermentation and drying of cocoa beans, as well as sorting, packaging and storage.

## 2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 2451, *Cocoa beans -- Specifications*

ISO 34101-2:20##, *Sustainable and traceable cocoa beans — Part 2: Requirements for performance (economic, environmental and social requirements)*

## 3 Terms and definitions (standards.iteh.ai)

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- IEC Electropedia: available at <http://www.electropedia.org/>
- ISO Online browsing platform: available at <http://www.iso.org/obp>.

### 3.1

#### agricultural worker

person engaged in agriculture, whether as a wage earner or a self-employed person such as a tenant, sharecropper or small owner-occupier

### 3.2

#### annual work plan

information maintained by the *organization* (3.50) explaining how *processes* (3.56) are established and maintained

### 3.3

#### audit

systematic and independent and documented *process* (3.56) for obtaining *objective evidence* (3.49) and evaluating it objectively to determine the extent to which the audit *criteria* (3.4) are fulfilled

Note 1 to entry: An audit can be an internal audit (first party), or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines, e.g. quality management and cocoa sustainability management).

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Note 2 to entry: An internal audit is conducted by the *organization* (3.50) itself, or by an external party on its behalf.

Note 3 to entry: “*Audit evidence*” (3.5) and “*audit criteria*” (3.4) are defined in ISO 19011.

Note 4 to entry: External audits include those generally called second and third-party audits. Second party audits are conducted by parties having an interest in the *organization* (3.50), such as customers, or by other persons on their behalf. Third-party audits are conducted by external, independent auditing *organizations* (3.50).

**3.4****audit criteria**

set of *policies* (3.55), procedures or *requirements* (3.60) used as a reference against which *objective evidence* (3.49) is compared

[SOURCE: ISO 19011:2011, 3.2, modified – The term “*audit evidence*” (3.5) has been replaced by “*objective evidence*” (3.49)]

**3.5****audit evidence**

records, statements of fact or other information, which are relevant to the *audit criteria* (3.4) and verifiable

[SOURCE: ISO 19011:2011, 3.3, modified – Note to entry has been deleted]

**3.6****audit findings**

results of the evaluation of the collected *audit evidence* (3.05) against *audit criteria* (3.4)

Note 1 to entry: Audit findings indicate *conformity* (3.20) or *nonconformity* (3.47).

Note 2 to entry: Audit findings can lead to the identification of opportunities for improvement or recording good practices.

Note 3 to entry: In English, if the *audit criteria* (3.4) is selected from statutory requirements or *regulatory* requirements (3.58), the audit finding can be called compliance or non-compliance.

**3.7****audit programme**

set of one or more *audits* (3.3) planned for a specific time frame and directed towards a specific purpose

**3.8****basic needs**

fundamental requirements that serve as the foundation for survival

Note 1 to entry: Access to means required to meet the basic needs such as shelter, food, and clothing, is necessary to the development of a strong community and to individual self-sufficiency.

Note 2 to entry: The concept of basic needs includes two elements:

- a) certain minimum requirements for private consumption, such as adequate food, shelter and clothing as well as certain household equipment and furniture;

- b) essential services provided by and for the community at large, such as safe drinking water and sanitation, as well as and health and educational facilities.

Note 3 to entry: Basic needs are specified using concepts agreed upon during the ILO World Employment Conference 1976.

### 3.9

#### child

person under the age of 18 years

Note 1 to entry: National applicable statutory or regulatory requirements may define a child to be under this age.

### 3.10

#### child labour

work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development and interferes with their schooling

Note 1 to entry: Interferences with the schooling include:

- a) depriving them of the opportunity to attend school;
- b) obliging them to leave school prematurely; or
- c) requiring them to attempt to combine school attendance with excessively long and heavy work

[SOURCE: Employment, growth and basic needs: A one-world problem (1976). Report of Director-General ILO]

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### 3.11

#### child work

work performed by children that is appropriate for their age and level of maturity and which does not affect their health and personal development or interfere with their schooling.

Note 1 to entry: This includes activities such as helping their parents around the home, assisting in a family business or earning pocket money outside school hours and during school holidays. Child work encompasses the kind of activities that contribute to children's development and to the welfare of their families; they provide them with skills and experience, and help to prepare them to be productive members of society during their adult life.

[SOURCE: <http://www.ilo.org/ipecc/facts/lang--en/index.htm>]

### 3.12

#### cocoa bean

seed of the cocoa tree (*Theobroma cacao* Linnaeus)

[SOURCE: ISO 2451:2014, 3.5]

### 3.13

#### cocoa farm

defined aggregation of *cocoa fields* (3.15)