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Trajnost in sledljivost kakavovih zrn - 3. del: Zahteve za sledljivost (ISO/DIS 34101-3:2016)

Sustainable and traceable cocoa beans - Part 3: Requirements for traceability (ISO/DIS 34101-3:2016)

Nachhaltige und rückverfolgbare Kakaobohnen - Teil 3: Anforderungen für die Nachverfolgbarkeit (ISO/DIS 34101-3:2016)

Fèves de cacao durable et traçable - Partie 3: Exigences de traçabilité (ISO/DIS 34101-3:2016)

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Sustainable and traceable cocoa beans —

Part 3: Requirements for traceability

*Fèves de cacao durable et traçable —**Partie 3: Exigences de traçabilité*

ICS: 67.140.30

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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

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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](#)

The committee responsible for this document is ISO/TC xxx.

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

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Introduction

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.			

A traceability system for sustainably produced cocoa is a technical tool to assist an organization operating within a cocoa supply chain to achieve defined sustainable cocoa objectives. The complexity of the traceability system for sustainably produced cocoa can vary depending on the features of the product and the objectives to be achieved. It is intended to be flexible enough to allow organizations within the sustainably produced cocoa bean and/or product supply chain to achieve identified objectives but rigid enough to ensure credible implementation. The choice of a traceability system for sustainably produced cocoa is influenced by regulations, product characteristics and customer expectations. Traceability is to determine the history or location of sustainably produced cocoa beans and/or products. Due to the complexity of supply chain, mass balance is an acceptable supply chain system in this document.

The mass balance supply chain model administratively monitors the trade of conforming cocoa products throughout the entire supply chain, as a driver for mainstream trade in sustainably produced cocoa beans and/or products. The mass balance supply chain model allows everyone within the supply chain to demonstrate their commitment to sustainably produced cocoa bean and/or product production and to actively promote the trading of conforming cocoa to reach a mainstream level of sustainably produced cocoa bean and/or product trade.

Traceability requires the engagement and collaboration of actors along the entire supply chain to trace a product's history. Developments in technology and demands for greater transparency from both business and government sectors are making this increasingly more manageable.

The implementation by an organization of a traceability system for sustainably produced cocoa depends on technical limits inherent to the organization and products (i.e. nature of the raw cocoa beans and cocoa products, size of the lots, collection, handling, transport, production and processing procedures), and the cost and benefits of applying such a system.

In this document:

- “shall” and indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;

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— “can” indicates a possibility or a capability.

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

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Sustainable and traceable cocoa beans —

Part 3: Requirements for traceability

1 Scope

This document specifies basic requirements for the design and implementation of a physical traceability or conformity claim mass balance system to trace the flow, both physically and/or administratively, of cocoa beans and cocoa products derived from those beans. This document specifies requirements for cocoa beans conforming to the requirements of ISO 34101-1 and ISO 34101-2 and derivative products from those beans. This document specifies verifiable requirements from an organization to the point of exit from the manufacturer of the final retail product.

This document does not cover a credit system.

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 34101-1:20##, *Sustainable and traceable cocoa — Part 1: Requirements for sustainability management systems*

ISO 34101-2:20##, *Sustainable and traceable cocoa — Part 2: Requirements for performance (profit, people and planet related)*

3 Terms and definitions

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 audit

systematic and independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria 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).

Note 2 to entry: An internal audit is conducted by the *organization* (3.19) itself, or by an external party on its behalf.

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

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* (3.19), such as customers, or by other persons on their behalf. Third-party audits are conducted by external, independent auditing *organizations* (3.19).

ISO/DIS 34101-3:2016(E)**3.2
audit findings**

results of the evaluation of the collected audit evidence against audit criteria

Note 1 to entry: Audit findings indicate *conformity* (3.7) or nonconformity.

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 is selected from statutory requirements or regulatory requirements, the audit finding can be called compliance or non-compliance.

**3.3
cocoa bean**

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

[SOURCE: ISO 2451:2014, 3.5]

**3.4
cocoa product**

product (3.21) derived from the processing of the *cocoa bean* (3.3), including nibs, cocoa liquor/mass, cocoa butter, cocoa cake and cocoa powder

**3.5
cocoa supply chain**

sequence of the stages and operations involved in the movement of *cocoa beans* (3.3) and processing of *cocoa products* (3.4), from farm to the point of exit from the factory door of the manufacturer of the final retail *product* (3.21)

**3.6
competence**

ability to apply knowledge and skills to achieve intended results

Note 1 to entry: Demonstrated competence is sometimes referred to as qualification.

**3.7
conformity**

fulfilment of a requirement

**3.8
corrective action**

action to eliminate the cause of a *nonconformity* (3.7) and to prevent recurrence

Note 1 to entry: There can be more than one cause for a nonconformity.

Note 2 to entry: Corrective action is taken to prevent recurrence whereas preventive action is taken to prevent occurrence.

**3.9
data**

facts about an object

**3.10
flow of cocoa beans and cocoa products**

movement of *cocoa beans* (3.3) and *cocoa products* (3.4) at any point in the *cocoa supply chain* (3.5)

**3.11
flushing**

cleaning equipment of a *process* (3.20) to be able to start a new *process* (3.20) to reduce contamination to an agreed level

3.12**identity**

characteristics of a *product* (3.21) maintained to determine its origin

3.13**identity preservation****IP**

process (3.20) or system of maintaining the *segregation* (3.22) and documenting the *identity* (3.12) of the *cocoa beans* (3.3) and *cocoa products* (3.4) from one *organization* (3.19) (e.g. an individual farmer or a group of registered farmers) throughout the whole supply chain until manufacture of final consumer *product* (3.21)

3.14**location**

place of production, processing, distribution, storage or handling from primary production to consumption

3.15**lot**

set of units of a *product* (3.21) which have been produced and/or processed or packaged under similar circumstances

Note 1 to entry: The lot is determined by parameters established beforehand by the *organization* (3.19).

Note 2 to entry: A set of units may be reduced to a single unit of *product* (3.21).

[SOURCE: ISO 22005:2007, 3.3]

3.16**mass balance administration**

system kept under one central administration

3.17**multi-site mass balance**

guarantee provided by the *organization* (3.19) of the conformance of multiple *sites* (3.25) belonging to one *mass balance administration* (3.16)

3.18**one step forward, one step back**

from where the *cocoa beans* (3.3)/*cocoa product* (3.4) came and to where the *cocoa beans* (3.3)/*cocoa product* (3.4) went

[SOURCE: Codex Alimentarius: "Principles for traceability/Product tracing as a tool within a food inspection and certification system" (CAC/GL 60-2006), modified – "food" has been substituted by "*cocoa beans* (3.3)/*cocoa product* (3.4)"]

3.19**organization**

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives in relation to sustainably production of *cocoa beans* (3.3)

Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, cooperative (coop), registered farmer, company, corporation, firm, enterprise, authority, partnership, association, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

Note 2 to entry: A cooperative can constitute the organization and the "scope of the system".

Note 3 to entry: A non-farming company and registered farmers can constitute the organization.

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3.20**process**

set (3.23) of interrelated or interacting activities which transforms inputs into outputs

Note 1 to entry: Inputs to a process are generally outputs of other processes.

Note 2 to entry: Processes in an *organization* (3.19) are generally planned and carried out under controlled conditions to add value.

3.21**product**

output of an *organization* (3.19) that can be produced without any transaction taking place between the *organization* (3.19) and the customer

Note 1 to entry: Production of a product is achieved without any transaction necessarily taking place between provider and customer, but can often involve this service element upon its delivery to the customer.

Note 2 to entry: The dominant element of a product is that it is generally tangible.

3.22**segregation**

process (3.20) that separates conforming from nonconforming *cocoa beans* (3.3) and/or *cocoa products* (3.4) but allows mixing of conforming *cocoa beans* (3.3) and/or *cocoa products* (3.4) from different *organizations* (3.19)

3.23**set**

number of similar activities in different *locations* (3.14) falling under the same *multi-site mass balance* (3.17) system

Note 1 to entry: Examples are roasting and grinding.

3.24**single-site mass balance**

guarantee provided by the *organization* (3.19) of the *conformity* (3.7) or the conformance of a single *site* (3.25)

3.25**site**

location (3.14) where value-added manufacturing *processes* (3.20) occur

3.26**substitution**

specific amount of conforming *cocoa beans* (3.3) or conforming *cocoa products* (3.4) that can be substituted for the same amount of nonconforming *cocoa beans* (3.3) or nonconforming *cocoa products* (3.4)

3.27**sustainably produced cocoa beans**

cocoa beans (3.3) that are produced in an economically viable, environmentally sound and socially responsible manner, within an *organization* (3.19)

3.28**traceability**

ability to follow the physical movement and/or mass *conformity* (3.7) of *sustainably produced cocoa beans* (3.27) through specified stage(s) of production, processing and distribution

3.29**traceability system**

totality of *data* (3.9) and operations that is capable of maintaining desired information about a *product* (3.21) and its components through all or part of its production and/or utilization chain