



**SLOVENSKI STANDARD**  
**oSIST prEN ISO 34101-4:2018**  
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**Trajnost in sledljivost kakava - 4. del: Zahteve za sheme certificiranja (ISO/DIS 34101-4:2018)**

Sustainable and traceable cocoa - Part 4: Requirements for certification schemes (ISO/DIS 34101-4:2018)

Nachhaltige und rückverfolgbare Kakaobohnen - Teil 4: Anforderungen für Zertifizierungsprogramme (ISO/DIS 34101-4:2018)

Fèves de cacao durable et traçable - Partie 4: Exigences pour les systèmes de certification (ISO/DIS 34101-4:2018)

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# DRAFT INTERNATIONAL STANDARD

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### Sustainable and traceable cocoa —

#### Part 4: Requirements for certification schemes

*Cacao durable et traçable —**Partie 4: Exigences pour les systèmes de certification*

ICS: 03.120.20; 67.140.30

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## ISO/DIS 34101-4.2:2018(E)

## 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 (see [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 (see [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 voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html).

This document was prepared by the European Committee for Standardization (CEN) Technical Committee CEN/TC 415, *Sustainable and Traceable Cocoa*, in collaboration with ISO Technical Committee TC 34, *Food products*, Subcommittee SC 18, *Cocoa*, in accordance with the agreement on technical cooperation between ISO and CEN (Vienna Agreement).

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

## Introduction

The ISO 34101 series specifies requirements for the sustainable production of cocoa beans, for traceability of sustainably produced cocoa and for certification schemes for certifying sustainable and traceable cocoa.

Sustainably produced cocoa beans can be obtained by fulfilling management system requirements (ISO 34101-1 or ISO 34101-4:—, Annex A or B) and performance requirements (ISO 34101-2).

The stepwise approach of the ISO 34101 series comprises three levels of conformity: entry, medium and high. The requirements for the three levels for the performance requirements are all specified in ISO 34101-2. The three levels for the cocoa sustainability management system requirements are specified in ISO 34101-1 or ISO 34101-4 as follows:

- Entry: ISO 34101-4:—, Annex A
- Medium: ISO 34101-4:—, Annex B
- High: ISO 34101-1

The organization can apply to be certified to any level as a start level and then continues on a path towards a higher level until the high level is reached. The path from entry level to medium level can take up to 60 months. The path from medium level to high level can take up to 60 months.

The performance requirements specified in ISO 34101-2 are complementary to the cocoa sustainability management system requirements. Only cocoa bean producing organizations that fulfil both cocoa sustainability management system requirements (either ISO 34101-1 or ISO 34101-4:—, Annex A or B) and performance requirements (ISO 34101-2) can make claims of sustainably produced cocoa beans.

ISO 34101-3 specifies the requirements for traceability of sustainably produced cocoa (fulfilling the requirements of the ISO 34101 series) from the cocoa bean producing organization and throughout the cocoa supply chain.

ISO 34101-4 specifies the requirements for the certification scheme for certifying traceable, sustainably produced cocoa conforming to the requirements of the ISO 34101 series and includes the requirements for the entry and medium level for the cocoa sustainability management system.

Document	Subject	Intended to be applied by
ISO 34101-1	High level requirements for cocoa sustainability management systems. (Entry and medium level requirements for cocoa sustainability management systems are specified in ISO 34101-4.)	Registered cocoa farmers and organizations producing sustainably produced cocoa beans.
ISO 34101-2	Entry, medium and high level requirements for performance (related to economic, social, and environmental aspects).	
ISO 34101-3	Requirements for traceability.	The cocoa supply chain actors.
ISO 34101-4	Requirements for certification schemes. Entry and medium level requirements for cocoa sustainability management systems. (The high level requirements for cocoa sustainability management systems are specified in ISO 34101-1.)	Certification scheme owners and conformity assessment bodies certifying conformity to the ISO 34101 series.  Organizations wishing certification by an accredited third party certification body in order to make claims of conformity.  Cocoa farmers and organizations producing sustainably produced cocoa beans applying the entry or medium level requirements for cocoa sustainability management systems.

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This document contains the requirements for the entry and medium levels of the cocoa sustainability management system ISO 34101-1 contains the requirements for the high level.

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.

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# Sustainable and traceable cocoa —

## Part 4: Requirements for certification schemes

### 1 Scope

This document specifies requirements for certification schemes for sustainable and traceable cocoa, including the certification of cocoa bean producing organizations and cocoa supply chain actors. It is to be used jointly with ISO 34101-1, ISO 34101-2 and/or ISO 34101-3.

NOTE Only cocoa bean producing organizations that fulfil both cocoa sustainability management system requirements (either ISO 34101-1 or ISO 34101-4:—, Annex A or B) and performance requirements (ISO 34101-2) can make claims of sustainably produced cocoa beans.

### 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:—,<sup>1)</sup>*Sustainable and traceable cocoa — Part 1: Requirements for cocoa sustainability management systems*

ISO 34101-2:—,<sup>2)</sup>*Sustainable and traceable cocoa — Part 2: Requirements for performance (related to economic, social, and environmental aspects)*

ISO 34101-3:—,<sup>3)</sup>*Sustainable and traceable cocoa — Part 3: Requirements for traceability*

ISO/IEC 17000:2004, *Conformity assessment — Vocabulary and general principles*

ISO/IEC 17011, *Conformity assessment — Requirements for accreditation bodies accrediting conformity assessment bodies*

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO/IEC 17030, *Conformity assessment — General requirements for third-party marks of conformity*

### 3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 34101-1, ISO/IEC 17000 and the following 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 <https://www.iso.org/obp>

1) Under preparation. Stage at the time of publication: ISO/FDIS 34101-1:2018.

2) Under preparation. Stage at the time of publication: ISO/FDIS 34101-2:2018.

3) Under preparation. Stage at the time of publication: ISO/FDIS 34101-3:2018.

## ISO/DIS 34101-4.2:2018(E)

**3.1****accreditation**

third-party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks

[SOURCE: ISO/IEC 17000:2004, 5.6]

**3.2****accreditation body**

authoritative body that performs *accreditation* ([3.1](#))

Note 1 to entry: The authority of an accreditation body is generally derived from government.

[SOURCE: ISO/IEC 17000:2004, 2.6]

**3.3****certification body**

third party that performs conformity assessment of a *certification scheme* ([3.5](#))

[SOURCE: ISO/IEC 17065:2012, 3.12, modified — The definition has been slightly reworded.]

**3.4****certification requirement**

specified requirement, that is fulfilled by the *client* ([3.8](#)) as a condition of establishing or maintaining certification

Note 1 to entry: Certification requirements include requirements imposed on the client by the *certification body* ([3.3](#)), usually via the certification agreement to meet this document, and can also include requirements imposed on the client by the certification scheme ([3.5](#)).

**3.5****certification scheme**

conformity assessment system related to specified products, processes, services and management systems, to which the same specified requirements, specific rules and procedures apply

Note 1 to entry: The term “conformity assessment system” is defined in ISO/IEC 17000:2004, 2.7.

Note 2 to entry: The rules, procedures and management for implementing product, process, service and management system certification are stipulated by the certification scheme.

Note 3 to entry: General guidance for the development of schemes is given in ISO/IEC 17067, in combination with ISO/IEC/TR 17026.

**3.6****cocoa supply chain**

sequence of the stages and operations involved in the movement and processing of cocoa, from farm to the point of exit from the factory door of the manufacturer of the final retail product

[SOURCE: ISO 34101-3:—, [3.5](#)]

**3.7****cocoa supply chain actor**

organization that physically handles, takes legal ownership or makes claims of sustainably produced cocoa

[SOURCE: ISO 34101-3:—, [3.6](#), modified — Note 1 to entry has been deleted.]

**3.8****client**

organization or person responsible to a *certification body* (3.3) for ensuring that *certification requirements* (3.4), are fulfilled

Note 1 to entry: Whenever the term “client” is used in this document, it applies to both the “applicant” and the “client”, unless otherwise specified.

**3.9****farmer premium**

cash transfer of funds from the organization to a registered farmer for sustainably produced cocoa in addition to the price for equivalent conventional cocoa

Note 1 to entry: Premiums are provided to a registered farmer to reward his/her efforts and/or incentivize registered farmers to reach all requirements of ISO 34101-1 and ISO 34101-2.

Note 2 to entry: If a premium is paid in kind in accordance with documented negotiations (see 5.9), the party paying the premium shall demonstrate the cash equivalent.

**3.10****impartiality**

presence of objectivity

Note 1 to entry: Objectivity means that conflicts of interest do not exist, or are resolved so as not to adversely influence subsequent activities of the *certification body* (3.3).

Note 2 to entry: Other terms that are useful in conveying the element of impartiality include “independence”, “freedom from conflict of interests”, “freedom from bias”, “lack of prejudice”, “neutrality”, “fairness”, “open mindedness”, “even-handedness”, “detachment”, “balance”.

[SOURCE: ISO/IEC 17021-1:2015, 3.2]

**3.11****scheme owner**

organization responsible for developing and maintaining a specific *certification scheme* (3.5)

**3.12****scope of certification**

identification of:

- the product(s), process(es), service(s), or management systems for which the certification is granted;
- the applicable *certification scheme* (3.5);
- the standard(s) and other normative document(s), including their date of publication, to which it is judged that the product(s), process(es), service(s) or management systems comply.

**3.13****supervisory council**

board of directors consisting of non-executive directors, who represent the interests of key interested parties by contributing to strategic decision making and linking the *scheme owner* (3.11) to the external environment

**3.14****surveillance**

systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity

[SOURCE: ISO/IEC 17000:2004, 6.1]