
Sustainable and traceable cocoa —
Part 2:
Requirements for performance
(related to economic, social and
environmental aspects)

iTeh STANDARD PREVIEW

Cacao durable et traçable —
Partie 2: Exigences de performance (relatives aux aspects
économiques, sociaux et environnementaux)

[ISO 34101-2:2019](https://standards.iteh.ai/catalog/standards/sist/1cc3664d-1e23-4fcf-8e38-5ed4f880cb88/iso-34101-2-2019)

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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 (see 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).

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

For an explanation of 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 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.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

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

Sustainably produced cocoa beans are obtained by fulfilling the management system requirements of either ISO 34101-1 or ISO 34101-4:2019, Annex A or B, and the performance requirements of this document.

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

- entry: ISO 34101-4:2019, Annex A;
- medium: ISO 34101-4:2019, Annex B;
- high: ISO 34101-1.

An organization that is sustainably producing cocoa beans can apply for initial certification to any level and will then be 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 this document are complementary to the cocoa sustainability management system requirements. Only organizations that fulfil both the cocoa sustainability management system requirements (either ISO 34101-1 or ISO 34101-4:2019, Annex A or B) and the performance requirements (this document) may claim their cocoa beans have been sustainably produced.

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

ISO 34101-4 specifies the requirements for the 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 that are sustainably producing cocoa beans.
This document	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 certification 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. Registered cocoa farmers and organizations that are sustainably producing cocoa beans applying the entry- or medium-level requirements for cocoa sustainability management systems.

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This document specifies the performance requirements for all three levels of conformity: entry, medium and high.

Performance-driven objectives and capacity-enhancement objectives are specified at farm and organization level.

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This document addresses the following aspects:

- [Clause 4](#): general requirements;
- [Clause 5](#): economic requirements;
- [Clause 6](#): social requirements;
- [Clause 7](#): environmental requirements.

Many requirements deal with more than just economic, just social or just environmental aspects. Where possible, overlapping requirements have been grouped together. Some topics, however, are dealt with in several places in these performance requirements.

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.

Sustainable and traceable cocoa —

Part 2:

Requirements for performance (related to economic, social and environmental aspects)

1 Scope

This document specifies performance requirements related to economic, social and environmental aspects for sustainable cocoa bean production, including post-harvest processes, if applicable.

NOTE Post-harvest processes include pod-breaking, fermentation, drying, sorting, packing, transport and storage of cocoa beans.

Only organizations that fulfil both the cocoa sustainability management system requirements of either ISO 34101-1 or ISO 34101-4:2019, Annex A or B, and the performance requirements of this document can claim their cocoa beans have been sustainably produced.

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 34101-1:2019, *Sustainable and traceable cocoa beans — Part 1: Requirements for cocoa sustainability management systems*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 34101-1 and the following apply.

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

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

3.1

agricultural worker

person engaged in agriculture, whether as a wage earner or a self employed person such as a tenant, sharecropper, or smallholder

Note 1 to entry: Agricultural workers are defined in ILO Convention 141^[15].

3.2

basic needs

fundamental requirements that serve as the foundation for survival

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

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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 health and educational facilities.

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

3.3 buffer zone

area peripheral to a specific *protected area* (3.18), where restrictions on resource use and special development measures are undertaken in order to enhance the conservation value of the protected area

[SOURCE: UNEP-WCMC, Biodiversity A-Z[26]]

3.4 child

human being below the age of 18 years

Note 1 to entry: As defined in the United Nations Convention on the Rights of the Child[22] and referred to in ILO Convention 182[16].

Note 2 to entry: National applicable statutory or regulatory requirements may define a different age limit for a child.

3.5 child labour

work that deprives *children* (3.4) of their childhood, their potential and their dignity, and that is harmful to their physical and mental development

Note 1 to entry: Child labour specifically refers to work, hazardous or not, that is mentally, physically, socially or morally dangerous and harmful to children, and interferes with their schooling by depriving them of the opportunity to attend school, or obliging them to leave school prematurely, or requiring them to attempt to combine school attendance with excessively long and heavy work.

Note 2 to entry: Child labour is differentiated from *child/light work* (3.6).

Note 3 to entry: Child labour is described in ILO Convention 138[14].

[SOURCE: ILO, What is child labour[18]]

3.6 child/light work

work performed by *children* (3.4) 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: Child/light work includes activities such as helping their parents around the home or assisting in non-hazardous activities on a cocoa farm outside school hours and/or during school holidays. Child/light 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.

[SOURCE: ILO, What is child labour[18]]

3.7 ecosystem

dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit

[SOURCE: UN Convention on Biological Diversity[21]]

3.8 fertilizer

material of natural or synthetic origin (other than liming materials) that is applied to soils or to plant tissues (usually leaves) to supply one or more plant nutrients essential to the growth of plants

Note 1 to entry: This covers:

- a) organic fertilizer and inorganic fertilizer;
- b) soil applied and foliar fertilizer;
- c) single and compound fertilizer.

It does not cover the function of organic material to increase or maintain the microbial soil life necessary to facilitate nutrient uptake.

3.9 fertilizer ready

parts of the cocoa field where the use of *fertilizer* (3.8) can be reasonably expected to improve yields to a level that would generate a return on the investment in fertilizer

3.10 forced labour

work that is performed involuntarily and under the menace of any penalty

Note 1 to entry: Forced labour refers to situations in which persons are coerced to work through the use of violence or intimidation, or by more subtle means such as manipulated debt, retention of identity papers or threats of denunciation to immigration authorities.

[SOURCE: ILO, What is forced labour, modern slavery and human trafficking^[19]]

3.11 gender

socially constructed characteristics of women and men

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Note 1 to entry: Socially constructed characteristics include norms, roles and relationships of and between groups of women and men.

[SOURCE: WHO, Gender^[28]]

3.12 habitat

natural home or environment of an animal, plant or other organism

3.13 hazardous conditions hazardous work

work carried out in dangerous or unhealthy conditions that could result in injuries and/or illness as a consequence of poor safety and health conditions and working arrangements

Note 1 to entry: Some injuries or ill health can result in permanent disability.

Note 2 to entry: Often health problems caused by working in unhealthy environments may not develop or show up until several years after the exposure to the unhealthy conditions.

Note 3 to entry: Dangerous work is work that affects the safety and health of the worker.

Note 4 to entry: Each party to ILO Convention 182^[16] on the *worst forms of child labour* (3.25) adopts a national list of hazardous activities for *children* (3.4).

3.14

hired worker

agricultural worker (3.1) employed for agricultural activities and paid for the execution of these activities

Note 1 to entry: A hired worker is distinct from a family labourer.

3.15

human rights

set of equal and inalienable rights of all members of the human family

Note 1 to entry: Human rights are described in the Universal Declaration of Human Rights (1948)[24], the International Convention on Economic Social and Cultural Rights (1966)[23], as well as other conventions, treaties and national laws.

3.16

integrated pest and disease management

approach that emphasises the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural pest control mechanisms

Note 1 to entry: Natural pest control mechanisms can be such as biological control, *habitat* (3.12) manipulation, modification of cultural practices, and use of resistant varieties.

Note 2 to entry: Integrated pest and disease management is a consideration of all available plant protection methods and subsequent integration of appropriate measures that discourage the development of populations of harmful organisms and keep the use of plant protection products and other forms of intervention to levels that are economically and ecologically justified and reduce or minimise risks to human health and the environment. As described in the University of California State-wide Integrated Pest Management Project[27] and Directive 2009/128/EC[6].

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3.17

primary forest

forest that has never been logged or cut and has developed following natural disturbances and under natural processes, regardless of its age

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3.18

protected area

clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long term conservation of nature with associated *ecosystem* (3.7) services and cultural values

3.19

regular hired worker

agricultural worker (3.1) employed over several periods of time by the same farmer/employer to perform agricultural activities

3.20

risk inventory

identification of risks that might occur within the local context of the organization

Note 1 to entry: Risks may be specified according to the topic of the risk inventory.

Note 2 to entry: The local context includes the activities of the organization and registered farmers.

3.21

secondary forest

forest that has been logged and has recovered naturally or artificially

Note 1 to entry: It also includes degraded forest which is a secondary forest that has lost, through human activities, the structure, function, species composition or productivity normally associated with a natural forest type expected on that site.

3.22**temporary hired worker**

agricultural worker (3.1) employed for a defined period of time to perform agricultural activities during this period

3.23**wage worker**

person who works for a public or private employer and receives remuneration in wages, salary, commission, tips, piece-rates or pay in kind

3.24**wildlife corridor**

link of wildlife *habitat* (3.12), generally native vegetation, which joins two or more larger areas of similar wildlife habitat

[SOURCE: NSW Government, Wildlife corridors^[20]]

3.25**worst forms of child labour**

child labour (3.5) that involves:

- a) all forms of slavery or practices similar to slavery, such as the sale and trafficking of *children* (3.4), debt bondage and serfdom and forced or compulsory labour, including forced or compulsory recruitment of children for use in armed conflict;
- b) the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances;
- c) the use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs as defined in the relevant international treaties;
- d) work, which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children

Note 1 to entry: The worst forms of child labour are described in ILO Convention 182^[16].

3.26**conditional worst forms of child labour**

worst forms of child labour [3.25 d)] that are conditional and have to be defined locally, through the nationally defined list of *hazardous work* (3.13)

Note 1 to entry: Hazardous work in the context of the worst forms of child labour is work that, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of *children* (3.4). According to ILO Convention 182^[16], the precise nature of those tasks that are prohibited are defined and reviewed by each country.

3.27**unconditional worst forms of child labour**

worst forms of child labour [3.25 a), b), c)] that are prohibited without regard to any condition, including the age of the *child* (3.4), the nature of the tasks executed or the circumstances in which those tasks are executed

3.28**youth**

time of life covering late childhood and early adulthood

Note 1 to entry: There is no legal definition of the term nor any exact age range to qualify this period of life. The definition of youth varies from country to country.

4 Rationale and general requirements

4.1 Rationale

A key objective of this document is to empower cocoa farmers to make informed choices about economic, social and environmental impacts of activities and investments planned on their farms. For cocoa to be farmed sustainably, it is necessary for improvements to be achieved and maintained across all three pillars.

From an economic perspective, while there are benefits to increasing yields and better managing cocoa quality (to decrease losses due to poor farming practices or pests and diseases), improvements entail additional efforts and investments for all actors in the chain, including farmers, organizations and traders.

Training, coaching and other support activities provided by an organization can be perceived as a benefit for farmers, but it is necessary to establish whether this support results in improved performance, i.e. improved productivity/quality or even time-management at farm level. Clear monitoring indicators need to be agreed to allow both the farmers and the organization to monitor their performance over time.

As a starting point, farmers who wish to join (or are already part of) an organization applying for conformity to ISO 34101-1 (or alternatively ISO 34101-4:2019, Annex A or B) and this document need to understand how the requirements expected at farm level will impact their activities. The cocoa farm diagnostic (see ISO 34101-1:2019, Annex C) is designed to capture the current state of the farm.

The organization and the farmer use the findings documented in the cocoa farm diagnostic to build the cocoa farm development plan (CFDP) (see ISO 34101-1:2019, Annex D; see also the requirements in ISO 34101-1:2019, 8.2.2). This plan is specifically tailored to each farm and allows the farmer and the organization to measure progress against previously identified targets for improvement. Farmers will only confirm their registration to the organization applying for conformity to ISO 34101-1 and this document once the CFDP has been established. [ISO 34101-2:2019](https://standards.iteh.ai/catalog/standards/sist/1cc3664d-1e23-4fcf-8e38-)

From a social perspective, the interventions contribute to an improvement of social conditions. As a starting point, an inventory will be made of the social risks in the local context. This will lead into the development, in collaboration with the local communities, and eventual deployment of an action plan to address these social risks.

From an environmental perspective, the aim is to minimize negative impact and optimize positive impact on the environment.

4.2 Summary of requirements

4.2.1 Requirements for economic aspects

The requirements for economic aspects aim to:

- a) increase the sustainable production of cocoa beans in a cost-efficient manner;
- b) improve farmer income and livelihoods, including improving the productivity of cocoa farming, considering the diversification of production and income, strengthening resilience in the face of climate change, and facilitating access to markets for cocoa farmers;
- c) support improved standards of living and social conditions of populations engaged in cocoa farming.

4.2.2 Requirements for social aspects

The requirements for social aspects aim to:

- a) respect human rights, avoid infringement of the human rights of others and address adverse human rights impacts where necessary;