
Sustainable and traceable cocoa —
Part 4:
Requirements for certification schemes

Cacao durable et traçable —

Partie 4: Exigences pour les systèmes de certification

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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 [Annex A](#) or [B](#), and the performance requirements of ISO 34101-2.

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 ISO 34101-2. The requirements for the three levels for the cocoa sustainability management system requirements are specified in ISO 34101-1 or this document as follows:

- entry: [Annex A](#);
- medium: [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 ISO 34101-2 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 [Annex A](#) or [B](#)) and the performance requirements (ISO 34101-2) 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.

This document 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 this document.)	Registered cocoa farmers and organizations that are sustainably producing 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.
This document	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.

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

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.

This document also specifies the requirements for cocoa sustainability management systems:

- at entry level, see [Annex A](#);
- at medium level, see [Annex B](#).

NOTE ISO 34101-1 specifies the requirements for cocoa sustainability management systems at high level.

Only organizations that fulfil both the cocoa sustainability management system requirements of either ISO 34101-1 or [Annex A](#) or [B](#), and the performance requirements of ISO 34101-2 can claim their cocoa beans have been sustainably produced.

2 Normative references

ISO 34101-4:2019

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 — Part 1: Requirements for cocoa sustainability management systems*

ISO 34101-2:2019, *Sustainable and traceable cocoa — Part 2: Requirements for performance (related to economic, social, and environmental aspects)*

ISO 34101-3:2019, *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 17030:2003, *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:

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

— IEC Electropedia: available at <http://www.electropedia.org/>

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

third-party attestation related to products, processes, systems or persons

Note 1 to entry: Certification of a management system is sometimes also called registration.

Note 2 to entry: Certification is applicable to all objects of conformity assessment except for conformity assessment bodies themselves, to which *accreditation* (3.1) is applicable.

[SOURCE: ISO/IEC 17000:2004, 5.5]

3.4 certification body

third party that performs conformity assessment in accordance with a *certification scheme* (3.6)

3.5 certification requirement

specified requirement that is fulfilled by the *client* (3.9) as a condition of establishing or maintaining *certification* (3.3)

Note 1 to entry: Certification requirements include requirements imposed on the client by the *certification body* (3.4), usually via the certification agreement to meet the requirements of this document, and can also include requirements imposed on the client by the *certification scheme* (3.6).

3.6 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* (3.3) 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.

3.7 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 34101-3:2019, 3.5]

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3.8**cocoa supply chain actor**

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

[SOURCE: ISO 34101-3:2019, 3.6, modified — Note 1 to entry has been deleted.]

3.9**client**

organization or person responsible to a *certification body* (3.4) for ensuring that *certification requirements* (3.5) 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.

3.10**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 meet all the requirements of either ISO 34101-1 or [Annex A](#) or [B](#) and ISO 34101-2.

Note 2 to entry: If a premium is paid in kind per documented negotiations (see [5.11](#)), the party paying the premium shall demonstrate the cash equivalent.

[SOURCE: ISO 34101-1:2019, 3.26]

3.11**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.

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, modified — “of the certification body” has been deleted from the end of Note 1 to entry.]

3.12**major nonconformity**

nonconformity that affects the capability of the management system to achieve the intended results

Note 1 to entry: Nonconformities could be classified as major in the following circumstances:

- if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
- a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

[SOURCE: ISO/IEC 17021-1:2015, 3.12]

3.13**scheme owner**

organization responsible for developing and maintaining a specific *certification scheme* (3.6)

3.14

scope of certification

identification of:

- the product(s), process(es), service(s), cocoa field(s) or farm(s), or management systems for which the *certification* (3.3) is granted;
- the applicable *certification scheme* (3.6);
- 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

3.15

supervisory council

body established by the *scheme owner* (3.13) consisting of independent members who represent interested parties

3.16

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]

3.17

third-party mark of conformity

protected mark issued by a body performing third-party conformity assessment, indicating that an object of conformity assessment (product, process, person, system or body) is in conformity with specified requirements

Note 1 to entry: A protected mark is a mark legally protected against unauthorized use.

Note 2 to entry: The specified requirements are generally stated in “normative” documents such as International Standards, regional or national standards, regulations and specifications.

[SOURCE: ISO/IEC 17030:2003, 3.1, modified — The example has been deleted.]

3.18

verification

confirmation, through the provision of objective evidence, that specified requirements have been fulfilled

[SOURCE: ISO 9000:2015, 3.8.12, modified — The notes to entry have been deleted.]

4 Scheme owner requirements

4.1 A scheme owner shall be one of the following legal entities:

- a) a group of certification bodies; or
- b) an organization, such as a government body, regulator, non-governmental organization or a trade association (not being a certification body), that develops a certification scheme in which one or more certification bodies participate.

NOTE In cases where a governmental entity is the scheme owner, it is deemed to be a legal entity on the basis of its governmental status.

4.2 The scheme owner shall be independent of certified clients and shall not be able to influence the certification decision.

4.3 The scheme owner shall identify any risks to its impartiality on an ongoing basis. If a risk to impartiality is identified, the scheme owner shall be able to demonstrate how it eliminates or minimizes such risk. This shall include those risks that arise from its activities, or from its relationships, or from the relationships of its personnel.

The top management of the scheme owner shall have a policy on impartiality and demonstrate their commitment to impartiality.

NOTE A relationship that threatens the impartiality of the scheme owner can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new clients, etc.

4.4 A scheme owner shall establish an independent supervisory council, which shall be constituted by a representative balance of interested parties, including external interested parties that are directly affected by the scheme. The composition of the independent supervisory council shall be transparent to the public.

NOTE Directly affected interested parties are those who will be impacted by implementation of the ISO 34101 series. This includes cocoa farmers and/or cocoa bean producing organizations, clients, community groups affected by the application of the document and environmental, social and socio-economic organizations that have an interest in the implementation of the ISO 34101 series.

4.5 The supervisory council shall not engage in any activities that can conflict with their independence of judgement and integrity in relation to activities of the scheme owner, or have functions that can influence the outcome of certification decisions.

NOTE Examples of conflicts are personal involvement in complaints, appeals, finances, contracts, marketing (including branding) and payment of a sales commission, etc.

4.6 The responsibilities of the supervisory council shall include the following:

- a) ensuring the impartiality and independence of the scheme, including ensuring the scheme does not allow commercial, financial, political or other pressures to compromise impartiality;
- b) overseeing the risk management policies and processes associated with ensuring impartiality and independence;
- c) approving the operational framework of the scheme;
- d) addressing unresolved complaints and appeals, and the scheme owner's actions for resolving them, including recommending to the scheme owner further actions for resolution;
- e) reviewing and validating annually the report from the scheme owner on the scheme owner's activities;
- f) reviewing the scheme's activities annually and providing feedback to the scheme owner; any recommendation(s) made in the report shall be made publicly available.

4.7 The scheme owner shall ensure that the supervisory council has adequate competencies, including:

- a) an in-depth knowledge of the requirements of the ISO 34101 series;
- b) an understanding of the objectives of the ISO 34101 series and, in particular, the critical economic, social and environmental issues of cocoa supply chains;
- c) competence to assess whether the systems, policies, procedures, system rules and other activities of the scheme owner achieve the objectives of the ISO 34101 series.

5 Scheme development and management

5.1 The scheme owner shall be responsible for developing and maintaining its certification scheme in accordance with this document. The scheme owner shall set up a structure for the development, operation and management of the scheme and provide guidance when required.

NOTE General guidance for the development and operation of schemes is given in ISO/IEC 17067.

5.2 The scheme owner shall create, control and maintain adequately documented information for the operation, maintenance and improvement of the scheme. The documented information shall specify the rules and the operating procedures of the scheme and, in particular, the responsibilities for governance of the scheme.

5.3 The scheme owner shall be able to take on full responsibility for the objectives, the content and the integrity of the scheme.

5.4 The scheme owner shall evaluate and manage the risks arising from its activities.

NOTE Risks to the integrity of the scheme are those risks that would undermine the consistency, rigour, competence, impartiality and transparency of the scheme, and the conformity assessments activities taking place. [Annex C](#) provides examples of risks to be assessed.

5.5 The scheme owner shall establish requirements for the certification bodies involved in the certification process. These requirements shall include:

- a) accreditation of certification bodies to ISO/IEC 17021-1 by an accreditation body operating in accordance with ISO/IEC 17011;
- b) accreditation of certification bodies to this document when such accreditation is available.

The scheme owner shall define any further requirements regarding accreditation bodies (e.g. that the accreditation body is a member of a mutual recognition arrangement between accreditation bodies).

5.6 The scheme owner shall establish criteria for the access of certification bodies to the scheme and for the access of clients to the scheme. The scheme owner shall specify what the certification bodies and clients shall report to the scheme owner.

5.7 The scheme owner shall establish the content of contracts between the scheme owner and certification body, the scheme owner and clients, and the certification body and clients. The rights, responsibilities and liabilities of the various parties should be defined in contracts.

5.8 The scheme owner shall ensure consistency of audits performed by certification bodies. The scheme owner shall define what shall be considered as major nonconformities. The scheme owner shall establish a sanctions policy to be applied by certification bodies.

5.9 The scheme owner shall define procedures for the control and review of certification bodies. These procedures shall ensure consistency, rigour, competence and impartiality of certification activities, and may include observation of audits, audits at short notice, reviews of audit processes or reviews of auditor competence evaluations. These procedures shall define actions to be taken, and any sanctions to be imposed, if certification bodies fail to meet scheme requirements.

NOTE [Annex D](#) gives guidance for risk-based control and review of certification bodies.

5.10 The scheme owner shall establish and maintain a traceability system in order to monitor and validate transactions in sustainable and traceable cocoa. The traceability system shall distinguish between the types of traceability allowed as specified in ISO 34101-3 [identity preserved (IP), segregated, mass balance]. The traceability system shall allow the scheme owner to verify the reconciliation of inputs