
Sustainable and traceable cocoa —

**Part 1:
Requirements for cocoa sustainability
management systems**

Cacao durable et traçable —

*Partie 1: Exigences relatives aux systèmes de management de la
durabilité du cacao*

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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

0.1 The ISO 34101 series

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 this document or ISO 34101-4:2019, 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 this document or ISO 34101-4 as follows:

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

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 this document or ISO 34101-4:2019, 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.

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
This document	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.
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 this document.)	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 high level of the cocoa sustainability management system. ISO 34101-4 specifies the requirements for the entry and medium levels.

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

In order to achieve this objective, this document has been specifically designed to be relevant to interested parties within the cocoa sector, in particular with a view to:

- a) support and encourage all cocoa farmers;
- b) improve the income of cocoa farmers and resilience of their livelihoods;
- c) promote and support farmer organization, when 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 recognized 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 interested parties work together to help them achieve this.

0.2 Using a sustainability management system

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

The objective of the cocoa sustainability management system is primarily to ensure there are clear roles and responsibilities to promote internal planning, implementation, monitoring, evaluation and learning, and to ensure ongoing progress towards cocoa sustainability goals. The cocoa farm development plan (CFDP), a requirement in this document, is intended to be the central tool to achieve continuous improvement and positive impacts.

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

- the establishment and implementation of management practices, which allow the cost effectiveness of the business to be assessed through operational performance indicators;