BS EN ISO 34101-1:2020

BSI Standards Publication

Sustainable and traceable cocoa

Part 1: Requirements for cocoa sustainability management systems

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Full document details: BS EN ISO 34101-1:2020

National foreword

This British Standard is the UK implementation of EN ISO 34101-1:2020. It is identical to ISO 34101-1:2019. It supersedes BS ISO 34101-1:2019, which is withdrawn.

The UK participation in its preparation was entrusted to Technical Committee AW/415, Sustainable and traceable cocoa.

A list of organizations represented on this committee can be obtained on request to its committee manager.

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Compliance with a British Standard cannot confer immunity from legal obligations.

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English Version

Sustainable and traceable cocoa - Part 1: Requirements for cocoa sustainability management systems (ISO 34101-1:2019)

Cacao durable et traçable - Partie 1: Exigences relatives aux systèmes de management de la durabilité du cacao (ISO 34101-1:2019)

Nachhaltiger und rückverfolgbarer Kakao - Teil 1: Anforderungen an Managementsysteme für die Nachhaltigkeit (ISO 34101-1:2019)

This European Standard was approved by CEN on 15 June 2020.

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European foreword

The text of ISO 34101-1:2019 has been prepared by Technical Committee ISO/TC 34 "Food products" of the International Organization for Standardization (ISO) and has been taken over as EN ISO 34101-1:2020 by Technical Committee CEN/TC 415 "Sustainable and Traceable Cocoa" the secretariat of which is held by DS.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by December 2020, and conflicting national standards shall be withdrawn at the latest by December 2020.

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Endorsement notice

The text of ISO 34101-1:2019 has been approved by CEN as EN ISO 34101-1:2020 without any modification.

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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).

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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.

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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.

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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;

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— the ability to consistently provide sustainably produced cocoa that meets specified requirements and applicable statutory and regulatory requirements;

— the ability to address risks and opportunities associated with the context and objectives of the organization;

— the ability to demonstrate conformity to specified cocoa sustainability management system requirements;

— organizational learning, adjustment of the organization's strategy and improvement of its performance.

In the event that registered farmers wish to take over the management of the cocoa sustainability management system from the organization, it is important that registered farmers are encouraged to do so, with the support of the organization, and that their proposal takes into account any outstanding start-up costs relating to the cocoa sustainability management system. In the context of this document, one or more registered farmers may become an organization.

In addition to this document, elements that are integral to sustainability can be considered through other activities or programmes including:

a) encouraging interested parties to take responsibility for supporting sustainability objectives for cocoa farming;

b) other initiatives to support rural livelihoods;

c) development of a physical and social infrastructure.

It is not the intent of this document to impose:

— uniformity in the structure of different cocoa sustainability management systems;

— alignment of documentation to the clause structure of any part of the ISO 34101 series;

— the use of the specific terminology of the ISO 34101 series within the organization.

This document employs the process approach, the Plan-Do-Check-Act (PDCA) cycle and risk-based thinking.

The process approach enables an organization to plan its processes and their interactions.

The PDCA cycle enables an organization to ensure that its processes are adequately resourced and managed, and that opportunities for improvements are identified and acted on.

Risk-based thinking enables an organization to determine the factors that could cause its processes and its cocoa sustainability management system to deviate from the planned results, to put in place preventive controls to minimize negative effects and to make maximum use of opportunities as they arise. Consistently meeting requirements and addressing future needs and expectations poses a challenge for organizations in an increasingly dynamic and complex environment. To achieve this objective, the organization might find it necessary to implement specific improvement measures in addition to correction, corrective action and continual improvement, innovation and re-organization.

This document conforms to ISO's requirements for management system standards. These requirements include a high level structure, identical core text, and common terms with core definitions, designed to benefit users implementing multiple ISO management system standards.

In this document:

— "shall" 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.

0.3 Sustainability management principles

0.3.1 General

This document is based on cocoa sustainability management principles, which are:

— cocoa sustainability focus;

— leadership;

— engagement of people;

— process approach;

— improvement;

— knowledge-based decision making;

— relationship management.

Applying these principles is expected to help an organization to meet its cocoa sustainability objectives and improve the livelihoods of registered farmers and their resilience.

0.3.2 Process approach

This document promotes the adoption of a process approach to meet the cocoa sustainability requirements of interested parties when developing, implementing and improving the effectiveness of a cocoa sustainability management system.

Understanding and managing interrelated processes as a system contributes to the organization's effectiveness and efficiency in achieving its intended results. This approach enables the organization to monitor and control the interrelationships and interdependencies among the processes of the system so that the overall performance of the organization can be enhanced.

The process approach involves the systematic definition and management of processes and their interactions so as to achieve the intended results in accordance with the cocoa sustainability policy and strategic direction of the organization. Management of the processes and the system as a whole can be achieved using the PDCA cycle (see 0.3.3) with an overall focus on risk-based thinking (see 0.3.4) aimed at taking advantage of opportunities and preventing undesirable results.

The application of the process approach in a cocoa sustainability management system enables:

a) understanding and consistency in meeting requirements;

b) the consideration of processes in terms of added value;

c) the achievement of effective process performance;

d) improvement of processes based on evaluation of data and information.

0.3.3 Plan-Do-Check-Act cycle

The PDCA cycle can be applied to all processes and to the cocoa sustainability management system as a whole. Figure 1 illustrates how Clauses 4 to 10 can be grouped in relation to the PDCA cycle.

The PDCA cycle can be briefly described as follows:

— **Plan**: establish the objectives of the system and its processes, and the resources needed to deliver results in accordance with customers' requirements and the organization's policies;

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— **Do**: implement what was planned;

— **Check**: monitor and (where applicable) measure processes and the resulting products and services against policies, objectives and requirements and report the results;

— **Act**: take actions to improve performance, as necessary.

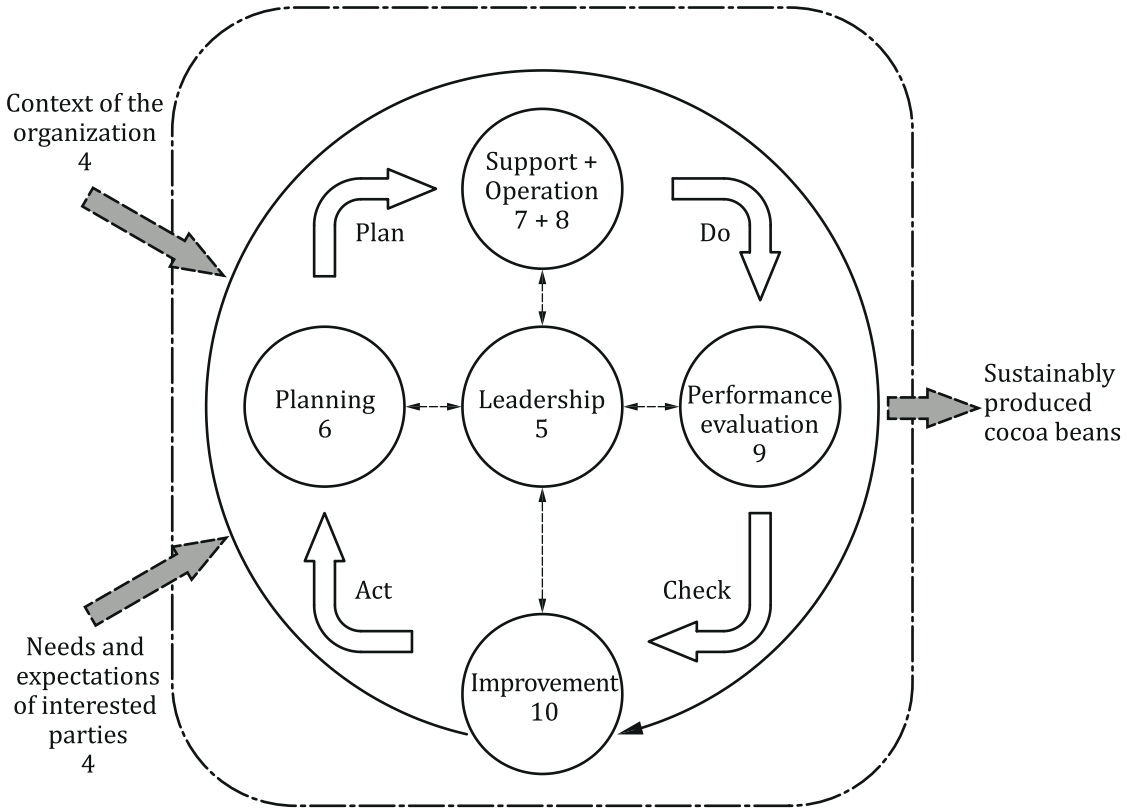

Figure 1 — Illustration of the structure of this document (including clause numbers) in the PDCA cycle

0.3.4 Risk-based thinking

Risk-based thinking is essential for achieving an effective cocoa sustainability management system. This is carried out through planning and implementing actions to address opportunities and risks. Addressing both opportunities and risks establishes a basis for increasing the effectiveness of the cocoa sustainability management system, achieving improved results and preventing negative effects.

Opportunities can arise as a result of a situation favourable to achieving an intended result, for example, an option to attract customers, develop new products and services, reduce waste or improve productivity. Risk is the effect of uncertainty in achieving objectives and any such uncertainty can have positive or negative effects. Actions to address opportunities will lead to associated risks.

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Sustainable and traceable cocoa —

Part 1: Requirements for cocoa sustainability management systems

1 Scope

This document specifies high-level requirements for management systems for sustainable cocoa bean production, including post-harvest processes, if applicable, and traceability of the sustainably produced cocoa beans within the organization producing the cocoa beans.

NOTE 1 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 this document or ISO 34101-4:2019, Annex A or B, and the performance requirements of ISO 34101-2 can claim their cocoa beans have been sustainably produced.

NOTE 2 ISO 34101-4 specifies the requirements for cocoa sustainability management systems at entry and medium levels.

2 Normative references

There are no normative references in this document.

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:

— ISO Online browsing platform: available at https://www.iso.org/obp

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

3.1
annual work plan
information maintained by the *organization* (3.38) explaining how *processes* (3.43) are established and maintained

3.2
audit
systematic, independent and documented *process* (3.43) for obtaining *objective evidence* (3.37) and evaluating it objectively to determine the extent to which the *audit criteria* (3.3) 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).

Note 2 to entry: An internal *audit* (3.2) is conducted by the *organization* (3.38) itself, or by an external party on its behalf.

Note 3 to entry: "Audit evidence" and "*audit criteria*" (3.3) are defined in ISO 19011.

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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, such as *customers* (3.22), or by other persons on their behalf. Third party audits are conducted by external, independent auditing organizations.

Note 5 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards. The original definition has been modified to remove effect of circularity between audit criteria and audit evidence term entries, and Note 4 to entry has been added.

3.3
audit criteria
set of *requirements* (3.46) used as a reference against which *objective evidence* (3.37) is compared

[SOURCE: ISO 19011:2018, 3.7, modified — Notes 1 and 2 to entry have been deleted.]

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 and referred to in ILO Convention 182[9].

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.

Note 3 to entry: Child labour is described in ILO Convention 138[8].

[SOURCE: ILO, What is child labour[10]]

3.6
coaching
further specialist training or support to an individual *farmer* (3.25) or group of farmers as appropriate

3.7
cocoa
cocoa beans (3.8) or derived products

3.8
cocoa bean
seed of the cocoa tree (*Theobroma cacao* Linnaeus)

Note 1 to entry: Commercially, and for the purposes of this document, the term refers to the whole seed, which has been fermented and dried.

[SOURCE: ISO 2451:2017, 3.5]

3.9
cocoa farm
one or several *cocoa fields* (3.11)

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3.10
cocoa farm development plan
CFDP
documented information (3.23) to guide individual *registered farmers* (3.45), using a stepwise approach, towards sustainable *cocoa farm* (3.9) management

3.11
cocoa field
plot of land on which cocoa trees are planted in clearly definable and homogeneous areas intended for cocoa bean production

Note 1 to entry: Parameters for homogeneous areas can be planting materials, good agricultural practices, soil fertility and farm conditions such as age and density of the trees.

Note 2 to entry: A cocoa field can include other crops additional to cocoa trees.

3.12
cocoa sustainability management system
management system (3.32) to direct and control an *organization* (3.38) with regard to sustainable cocoa production

3.13
cocoa sustainability objective
objective related to *sustainability of cocoa production* (3.52)

Note 1 to entry: Cocoa sustainability objectives are generally based on the *organization's* (3.38) *cocoa sustainability policy* (3.14).

Note 2 to entry: Cocoa sustainability objectives are generally specified for relevant functions, levels and *processes* (3.43) in the organization.

3.14
cocoa sustainability policy
policy related to *sustainability of cocoa production* (3.52)

Note 1 to entry: Generally, the cocoa sustainability policy is consistent with the overall policy of the *organization* (3.38), can be aligned with the organization's vision and mission, and provides a framework for the setting of *cocoa sustainability objectives* (3.13).

3.15
competence
ability to apply knowledge and skills to achieve intended results

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

Note 2 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards. The original definition has been modified by adding Note 1 to entry.

3.16
conformity
fulfilment of a *requirement* (3.46)

Note 1 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.

3.17
context of the organization
combination of internal and external issues that can have an effect on an *organization*'s (3.38) approach to developing and achieving its *objectives* (3.36)

Note 1 to entry: The concept of context of the organization is equally applicable to not-for-profit or public service organizations as it is to those seeking profits.

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Note 2 to entry: In English, this concept is often referred to by other phrases such as business environment, organizational environment or "ecosystem of an organization".

[SOURCE: ISO 9000:2015, 3.2.2, modified — Note 1 to entry has been deleted and Notes 2 and 3 to entry have been renumbered.]

3.18
continual improvement
recurring activity to enhance *performance* (3.40)

Note 1 to entry: The *process* (3.43) of establishing *objectives* (3.36) and finding opportunities for improvement is a continual process through the use of assessment and *audit* (3.2), analysis of data, management reviews or other means.

Note 2 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards. The original definition has been modified by adding Note 1 to entry.

3.19
correction
action to eliminate a detected *nonconformity* (3.35)

Note 1 to entry: A correction can be made in advance of, in conjunction with or after a *corrective action* (3.20).

[SOURCE: ISO 9000:2015, 3.12.3, modified — Note 2 to entry has been deleted.]

3.20
corrective action
action to eliminate the cause of a *nonconformity* (3.35) 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.

Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards. The original definition has been modified by adding Notes 1 and 2 to entry.

3.21
cost recovery mechanisms
contractual agreements allowing first buyers or external *interested parties* (3.30) to recoup all or part of their investment in the *start-up costs of implementation* (3.49)

EXAMPLE Cost recovery mechanisms may include long-term relationships or agreements for right of first refusal.

3.22
customer
person or *organization* (3.38) that could or does receive a product or a service that is intended for or required by this person or organization

EXAMPLE Consumer, client, end-user, retailer or receiver of product or service from an internal process, beneficiary or purchaser.

Note 1 to entry: A customer can be internal or external to the organization.

[SOURCE: ISO 9000:2015, 3.2.4]

3.23
documented information
information required to be controlled and maintained by an *organization* (3.38) and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media and from any source.

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