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**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](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 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](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.

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](http://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;

- 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;

— “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.

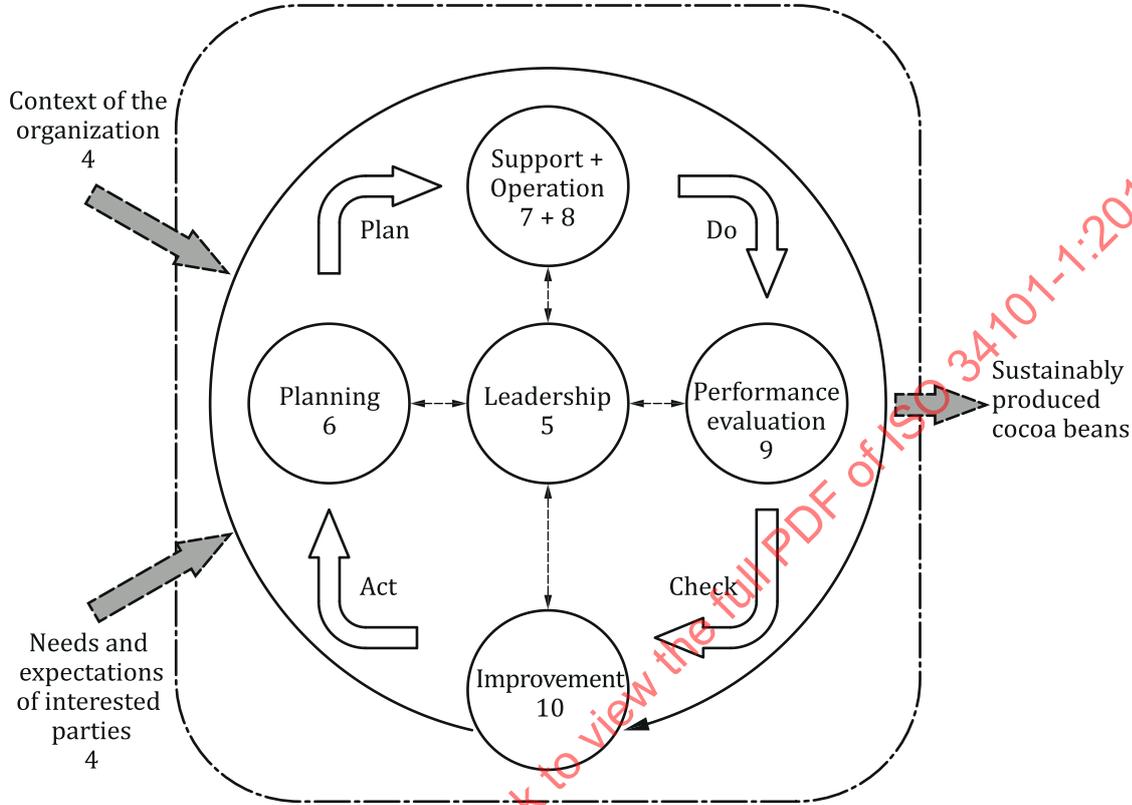
#### 0.3.3 Plan-Do-Check-Act cycle

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;

- **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.

# 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.

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<sup>[9]</sup>.

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<sup>[8]</sup>.

[SOURCE: ILO, What is child labour<sup>[10]</sup>

### 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)

### 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.

## ISO 34101-1:2019(E)

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.

Note 2 to entry: Documented information can refer to:

- the *management system* (3.32), including related *processes* (3.43);
- information created in order for the organization to operate (documentation);
- evidence of results achieved (records).

Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.

### 3.24 effectiveness

extent to which planned activities are realized and planned results are achieved

Note 1 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 “are” before “achieved”.

### 3.25 farmer

individual that manages a farm, irrespective of whether the individual is independent or part of an *organization* (3.38)

### 3.26 farmer premium

cash transfer of funds from the *organization* (3.38) to a *registered farmer* (3.45) for *sustainably produced cocoa* (3.53) 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* (3.46) of either this document or ISO 34101-4:2019, Annex A or B, and ISO 34101-2.

Note 2 to entry: If a premium is paid in kind per documented negotiations (see ISO 34101-4:2019, 5.11), the party paying the premium shall demonstrate the cash equivalent.

### 3.27 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<sup>[11]</sup>]

### 3.28 gender

socially constructed characteristics of women and men

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

[SOURCE: WHO, Gender<sup>[15]</sup>]

### 3.29 human rights

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

Note 1 to entry: Human rights are specified in the Universal Declaration of Human Rights (1948)<sup>[13]</sup>, the International Convention on Economic Social and Cultural Rights (1966)<sup>[12]</sup>, as well as other conventions, treaties and national laws.

### 3.30

**interested party** (preferred term)

**stakeholder** (admitted term)

person or *organization* (3.38) that can affect, be affected by, or perceive itself to be affected by a decision or activity

EXAMPLE *Customers* (3.22), farmer organizations, cooperatives, cocoa traders, processors and manufacturers, land owners, *farmers* (3.25), people in an organization, suppliers, bankers, unions, partners or society that may include competitors or opposing pressure groups.

Note 1 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 the example.

### 3.31

**management**

coordinated activities to direct and control an *organization* (3.38)

Note 1 to entry: Management can include establishing *policies* (3.42), *objectives* (3.36) and *processes* (3.43) to achieve these objectives.

[SOURCE: ISO 9000:2015, 3.3.3, modified — Note 2 to entry has been deleted]

### 3.32

**management system**

set of interrelated or interacting elements of an *organization* (3.38) to establish *policies* (3.42) and *objectives* (3.36) and *processes* (3.43) to achieve those objectives

Note 1 to entry: A management system can address a single discipline or several disciplines, e.g. sustainability management or food safety management or both or more.

Note 2 to entry: The management system elements establish the organization's structure, roles and responsibilities, planning and operation, policies, practices, rules, beliefs, objectives and processes to achieve those objectives.

Note 3 to entry: The scope of a management system may include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.

Note 4 to entry: In this document, a *cocoa sustainability management system* (3.12) is a *system* (3.54) to manage the processes that aim to achieve *sustainability* (3.51) rather than managing a final state of sustainability.

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 by modifying Notes 1 and 2 to entry, and Note 4 to entry has been added.

### 3.33

**measurement**

*process* (3.43) to determine a value

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

### 3.34

**monitoring**

determining the status of a *system* (3.54), a *process* (3.43) or an activity

Note 1 to entry: To determine the status, there may be a need to check, supervise or critically observe.

Note 2 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.

**3.35****nonconformity**

non-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.

**3.36****objective**

result to be achieved

Note 1 to entry: An objective can be strategic, tactical, or operational.

Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental objectives) and can apply at different levels (such as strategic, organization-wide, project, product, service and *process* (3.43)).

Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended result, a purpose, an operational criterion, as a *cocoa sustainability objective* (3.13), or by the use of other words with similar meaning (e.g. aim, goal, or target).

Note 4 to entry: In the context of *cocoa sustainability management systems* (3.12), cocoa sustainability objectives are set by the *organization* (3.38), consistent with the *cocoa sustainability policy* (3.14), to achieve specific results.

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 by modifying Notes 2 and 3 to entry.

**3.37****objective evidence**

data supporting the existence or verity of something

Note 1 to entry: Objective evidence may be obtained through observation, *measurement* (3.33), test or other means.

Note 2 to entry: Objective evidence for the purpose of *audit* (3.2) generally consists of records, statements of fact or other information which are relevant to the *audit criteria* (3.3) and verifiable.

[SOURCE: ISO 9000:2015, 3.8.3]

**3.38****organization**

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.36)

Note 1 to entry: The concept of organization includes, but is not limited to sole-trader, cooperative (coop), individual cocoa *farmer* (3.25), company, corporation, firm, enterprise, authority, partnership, association, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

Note 2 to entry: A cooperative can constitute the organization and the “scope of the system”.

Note 3 to entry: A non-farming company and *registered farmers* (3.45) can constitute the organization.

Note 4 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 modifying Note 1 to entry and adding Notes 2 and 3 to entry.

**3.39****outsource, verb**

make an arrangement where an external *organization* (3.38) performs part of an organization’s function or *process* (3.43)

Note 1 to entry: An external organization is outside the scope of the *management system* (3.32), although the outsourced function or process is within the scope.

Note 2 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.

### **3.40** **performance** measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

Note 2 to entry: Performance can relate to the management of activities, *processes* (3.43), products, services, *systems* (3.54) or *organizations* (3.38).

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 modifying Note 2 to entry.

### **3.41** **performance indicator**

quantifiable measure that an *organization* (3.38) uses to gauge or compare *performance* (3.40) in terms of meeting its strategic and operational *objectives* (3.36)

Note 1 to entry: Indicators can be quantitative or qualitative.

### **3.42** **policy**

intentions and direction of an *organization* (3.38), as formally expressed by its *top management* (3.55)

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

### **3.43** **process**

set of interrelated or interacting activities which transforms inputs into outputs

Note 1 to entry: Inputs to a process are generally the outputs of other processes.

Note 2 to entry: Processes in an *organization* (3.38) are generally planned and carried out under controlled conditions to add value.

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.

### **3.44** **provider** **supplier**

*organization* (3.38) that provides a product or a service

EXAMPLE Producer, distributor, retailer or vendor of a product or a service.

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

Note 2 to entry: In a contractual situation, a supplier is sometimes called a “contractor”.

[SOURCE: ISO 9000:2015, 3.2.5]

### **3.45** **registered farmer**

individual cocoa farmer who is a part of the *organization* (3.38)

### **3.46** **requirement**

need or expectation that is stated, generally implied or obligatory

Note 1 to entry: “Generally implied” means that it is custom or common practice for the *organization* (3.38) and *interested parties* (3.30) that the need or expectation under consideration is implied.

Note 2 to entry: A specified requirement is one that is stated, for example in *documented information* (3.23).

Note 3 to entry: This constitutes one of the common terms and core definitions of the high level structure for ISO management system standards.

### 3.47 resilience

capacity of people or *organizations* (3.38) to anticipate, prepare for, respond and adapt to and recover from changes, stresses and shocks

### 3.48 risk

effect of uncertainty on *objectives* (3.36)

Note 1 to entry: An effect is a deviation from the expected — positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential “events” (as defined in ISO Guide 73:2009, 3.5.1.3) and “consequences” (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated “likelihood” (as defined in ISO Guide 73:2009, 3.6.1.1) of occurrence.

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 by adding “*on objectives*” to align with the definition of risk in ISO Guide 73:2009, 1.1.

### 3.49 start-up costs of implementation

up-front investment (i.e. marginal costs to the *organization* (3.38))

Note 1 to entry: This is distinct from recurring operational costs.

### 3.50 strategy

planned activities to achieve a long term or overall *objective* (3.36)

[SOURCE: ISO 9000:2015, 3.5.12]

### 3.51 sustainability

state of a system, including economic, social and environmental aspects, in which the needs of the present are met without compromising the ability of future generations to meet their own needs

Note 1 to entry: In the ISO 34101 series “sustainability” is referred to as an *objective* (3.36) rather than a *requirement* (3.46).

### 3.52 sustainability of cocoa production

state of a cocoa production system allowing for economically viable, environmentally sound and socially responsible production of *cocoa beans* (3.8), in which the needs of the present are met without compromising the ability of future generations to meet their own needs

Note 1 to entry: In line with the Brundtland definition for sustainability, and the 2010 International Cocoa Agreement<sup>[14]</sup> definition for a sustainable cocoa economy, sustainable cocoa production should benefit present and future generations, with the aim of improving productivity and profitability in the cocoa value chain, in particular for smallholder *farmers* (3.25). Within this document and ISO 34101-2, the scope of the International Cocoa Agreement definition is limited to cocoa production and post-harvest activities and all support services until the first change of ownership of the cocoa beans.

Note 2 to entry: In the ISO 34101 series “state of a cocoa production system” is referred to as an *objective* (3.36) rather than a *requirement* (3.46).

**3.53**

**sustainably produced cocoa**

*cocoa beans* (3.8) that are produced in an economically viable, socially responsible and environmentally sound manner within an *organization* (3.38)

**3.54**

**system**

set of interrelated or interacting elements

[SOURCE: ISO 9000:2015, 3.5.1]

**3.55**

**top management**

organizational leadership

person or group of people who directs and controls an *organization* (3.38) at the highest level

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

Note 2 to entry: If the scope of the *management system* (3.32) covers only part of an organization, then top management refers to those who direct and control that part of the organization.

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 “organizational leadership” as an admitted term.

**3.56**

**traceability**

ability to follow the physical movement and/or mass *conformity* (3.16) of *sustainably produced cocoa* (3.53) through specified stage(s) of production, processing and distribution

[SOURCE: ISO 34101-3:2019, 3.28]

**3.57**

**validation**

confirmation, through the provision of *objective evidence* (3.37), that the *requirements* (3.46) for a specific intended use or application have been fulfilled after *verification* (3.58)

Note 1 to entry: The objective evidence needed for a validation is the result of a test or other form of determination such as performing alternative calculations or reviewing *documented information* (3.23).

Note 2 to entry: The word “validated” is used to designate the corresponding status.

Note 3 to entry: The use conditions for validation can be real or simulated.

[SOURCE: ISO 9000:2015, 3.8.13, modified — In the definition, the words “after verification” have been added and in the Note 1 to entry “documents” has been changed to “documented information”.]

**3.58**

**verification**

confirmation, through the provision of *objective evidence* (3.37), that specified *requirements* (3.46) have been fulfilled

Note 1 to entry: The objective evidence needed for a verification can be the result of an inspection or of other forms of determination such as performing alternative calculations or reviewing *documented information* (3.23).

Note 2 to entry: The activities carried out for verification are sometimes called a qualification process.

Note 3 to entry: The word “verified” is used to designate the corresponding status.

[SOURCE: ISO 9000:2015, 3.8.12, modified — In the Note 1 to entry, “documents” has been changed to “documented information”.]

## 4 Context of the organization

### 4.1 Understanding the organization and its context

The organization shall:

- a) determine external and internal issues that are relevant to its purpose and strategic direction (in line with its strategy as applicable) that affect its ability to achieve the intended result(s) of its cocoa sustainability management system including its impact on areas and activities that are important to the community in which it operates both socially and culturally;
- b) identify any vulnerabilities that threaten its capacity to assist registered farmers to improve their livelihoods and resilience;
- c) in conjunction with appointed workers, registered farmers and their families, determine and document the baseline information needed for monitoring the issues and vulnerabilities identified in a) and b) and monitor and review this information.

NOTE 1 Issues that affect the organization's ability to achieve the intended result(s) can include land use disputes (e.g. in relation to past dispossession or forced abandonment).

NOTE 2 Baseline information is information intended to be used as a starting point from which to compare other information.

### 4.2 Understanding the needs and expectations of interested parties

The organization shall determine:

- a) the interested parties that are relevant to the cocoa sustainability management system;
- b) the relevant requirements of these interested parties that are relevant to the cocoa sustainability management system including other relevant requirements such as those specified in ISO 2451 and applicable statutory and regulatory requirements.

### 4.3 Determining the scope of the cocoa sustainability management system

The organization shall determine the boundaries and applicability of the cocoa sustainability management system to establish its scope.

When determining this scope, the organization shall consider:

- a) the external and internal issues referred to in [4.1](#);
- b) the requirements of relevant interested parties referred to in [4.2](#).

The scope of the organization's cocoa sustainability management system shall be available and maintained as documented information.

The organization shall determine which cocoa fields are within the scope. In cases where a registered farmer has cocoa fields that are separated from each other geographically, it shall be specified which cocoa fields are within the scope and which are not within the scope. In cases where they are not separated, all cocoa fields shall be within the scope. The organization shall apply all requirements of this document and applicable performance requirements within the determined scope of the cocoa sustainability management system.

NOTE Requirements for performance related to economic, social and environmental aspects are specified in ISO 34101-2.

The organization may only claim conformity to this document and to ISO 34101-2 if any requirements determined as inapplicable do not affect the organization's ability or responsibility to ensure conformity of sustainably produced cocoa.

**EXAMPLE** In cases where the organization is a single cocoa farm, the organization cannot fulfil the requirements for the registration of farmers (see 4.5). Therefore, the requirements specifying registration are not applicable.

### 4.4 Cocoa sustainability management system and its processes

The organization shall establish, implement, maintain and continually improve a cocoa sustainability management system, including the processes needed and their interactions, in accordance with the requirements of this document.

### 4.5 Registration of farmers to become part of the organization

#### 4.5.1 Specific communication to farmers considering registration to become part of the organization (sensitization process)

Prior to the registration of farmers to become part of the organization, the organization shall inform farmers of:

- a) the objectives and scope of this document and ISO 34101-2;
- b) the CFDP process;
- c) the cocoa sustainability activities of both parties for fulfilling the requirements specified in this document and ISO 34101-2, including:
  - 1) the services to be provided by the organization to the farmer when registered;
  - 2) the requirements to be fulfilled by the farmer after registration; including the economic, social and environmental requirements specified in ISO 34101-2;
- d) generic estimates of the costs and benefits to be realized by a farmer as a result of fulfilling the requirements specified in this document and ISO 34101-2;
- e) the information expected to be shared, including the rationale for sharing it:
  - 1) all information collected during the registration process and cocoa farm diagnostic processes;
  - 2) how confidential information about farmers and their activities is treated;
  - 3) the potential risks of sharing personal information;
  - 4) the right of farmers to access their information;
  - 5) the use of their data by other interested parties;
- f) the fact that registered farmers will be subject to internal auditing and could be subject to external auditing;
- g) the financial agreements of the organization with first buyers or other interested parties;

**NOTE** Financial agreements can include farmer premiums or the costs of implementation, including cost recovery mechanisms.
- h) the conditions and the mechanism by which the registered farmers can take ownership of the cocoa sustainability management system without compromising its performance, if so desired by the majority of registered farmers;
- i) other relevant opportunities and risks.

## 4.5.2 Registration of farmers

### 4.5.2.1 Process

The organization shall register farmers to become part of the organization. The organization shall document:

- a) that the registered farmer is made aware of information specified in [4.5.1](#) at the time of registration;
- b) that the registered farmer is made aware of the conditions for leaving the organization;
- c) the date of registration of each individual farmer.

If needed, the organization shall ensure that the farmer is assisted by a witness who is competent in reading and writing.

### 4.5.2.2 Information

The organization shall ensure that the following information is obtained and maintained for each registered farmer:

- a) name;
- b) copy of the identification document (ID), if available;
- c) date of birth or estimated date of birth, if not known;
- d) gender;
- e) household composition, including names, date of birth and educational status;
- f) number, gender and age of regular hired workers, including workers from the household;
- g) children of the household, including gender, date of birth, name of parents and school enrolment details;
- h) size of the cocoa farm (using the most effective form of measurement available to the organization) and the percentage of its land that is planted with cocoa trees;
- i) number and location of cocoa fields (using the most effective form of measurement available to the organization in accordance with national practices);
- j) previous crop year's production;
- k) legal ownership rights over the land, if applicable, or if not applicable, a record of the testimony of the registered farmer and/or land owner of rights relating to the land.

For any other personal information collected as part of the registration process, a justification shall be provided by the organization and the farmers shall be made aware of the justification and the potential risks of sharing personal information.

Documentation shall include the registered farmer's signature. Where a signature is not possible, a thumbprint is acceptable.

## 4.5.3 Confirmation of the registration of farmers

For the confirmation of farmer registration, it is required that the farmer decides to retain registration and that the organization documents that:

- a) the registered farmer's CFDP has been established (see [8.2.2](#)) and, if applicable, approval of the land owner has been obtained to undertake any work specified in the CFDP on that land;

- b) the information specified in [4.5.1](#) is updated (e.g. by taking into account the implications of the registered farmer's CFDP) and is supplied to the registered farmer.

The organization shall confirm or terminate the farmer's registration within three months of establishing the CFDP.

Documentation shall include the registered farmer's signature. Where a signature is not possible, a thumbprint is acceptable.

If needed, the organization shall ensure that the farmer is assisted by a witness who is competent in reading and writing.

#### **4.5.4 Data ownership**

Farmers retain ownership of their individual data. If a farmer leaves the organization, the organization shall delete his/her data within two years. In the event that a farmer wishes to become a registered farmer within another organization, the organization shall provide all of his/her data in a suitable format to the farmer.

The organization shall only share personal information when documented approval has been received from the individual farmer. This approval can be obtained as a part of the registration process.

Upon a request of relevant parties and with the acceptance of the organization, information shall be made available for performance monitoring and verification of conformity to this document and ISO 34101-2.

## **5 Leadership**

### **5.1 Leadership and commitment**

Top management of the organization shall demonstrate leadership and commitment with respect to the cocoa sustainability management system by:

- a) taking accountability for the effectiveness of the cocoa sustainability management system;
- b) ensuring that the cocoa sustainability policy (see [5.2](#)) and cocoa sustainability objectives (see [6.2](#)) are established for the cocoa sustainability management system and are compatible with the context and strategic direction of the organization;
- c) ensuring the integration of the cocoa sustainability management system requirements into the organization's business processes;
- d) ensuring focus on cocoa sustainability throughout the organization;
- e) ensuring that the resources needed for the cocoa sustainability management system are available;
- f) communicating the importance of effective cocoa sustainability management and of conforming to the cocoa sustainability management system requirements;
- g) ensuring that the cocoa sustainability management system achieves its intended results;
- h) engaging, directing and supporting persons to contribute to the effectiveness of the cocoa sustainability management system;
- i) promoting improvement (see [Clause 10](#));
- j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility;
- k) ensuring that applicable statutory and regulatory requirements are determined, understood and consistently met.

NOTE Reference to “business” in this document can be interpreted broadly to mean those activities that are core to the purposes of the organization’s existence.

## 5.2 Policy

### 5.2.1 Purpose

Top management shall establish, implement and maintain a cocoa sustainability policy that:

- a) is appropriate to the purpose and context of the organization and supports its strategic direction;
- b) provides a framework for setting and reviewing cocoa sustainability objectives (see 6.2);
- c) includes a commitment to satisfy applicable requirements;
- d) includes a commitment to continual improvement of the cocoa sustainability management system;
- e) includes a commitment to meet the organization’s responsibility to respect, foster respect and protect human rights and the environment.

### 5.2.2 Actions

The cocoa sustainability policy shall:

- a) be available as documented information;
- b) be communicated, understood and applied within the organization;
- c) be available to relevant interested parties, as appropriate.

## 5.3 Organizational roles, responsibilities and authorities

5.3.1 Top management shall be inclusive of registered farmer representation in accordance with the requirements specified in 5.4. The process used to appoint top management shall promote the inclusion of women and shall be documented and understood throughout the organization.

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated within and understood throughout the organization.

Top management shall ensure that assignment of leadership positions within the organization and roles within the cocoa sustainability management system shall be non-discriminatory including, but not limited to, discrimination on the basis of race, colour, gender, personal relationships, disability, health, marital status, age, HIV/AIDS status, religion, political opinion, language, property, nationality, ethnicity, or social origin. The selection process for management, other paid positions and any leadership posts within the organization shall be open to and encourage women’s participation.

5.3.2 Top management shall assign the responsibility and authority to an individual(s) for:

- a) ensuring that the cocoa sustainability management system conforms to the requirements of this document and is able to support the organization’s management of the performance requirements specified in ISO 34101-2;
- b) ensuring that the processes are delivering their intended outputs;
- c) ensuring the education, training and coaching of registered farmers to meet the requirements specified in this document and ISO 34101-2, including commitments specified in individual cocoa farm development plans (CFDPs);
- d) cocoa farm plan management, i.e. establishing and maintaining the CFDPs, including measuring registered farmer performance against their individual CFDPs;

- e) reporting on the performance of the cocoa sustainability management system and on opportunities for improvements to top management;
- f) managing the risks of child labour and forced labour where it exists and contributing to its elimination;
- g) ensuring that the costs of implementing the requirements in this document and ISO 34101-2 are clearly calculated, and transparent procedures are established, implemented and maintained for the accounting and record-keeping of the costs of implementation, including external provision;
- h) ensuring registered farmers are adequately assisted to fulfil the requirements specified in this document and ISO 34101-2; this includes ensuring that transparent procedures are implemented and maintained for accounting and record keeping in relation to any financial transactions;
- i) ensuring that necessary resources are provided for the operation of the cocoa sustainability management system processes.

Dependent on the size, complexity and geographical disparity of the organization, multiple roles may be managed by the same individual and roles may also be duplicated across multiple persons.

An organogram, illustrating the organization's management structure, shall be made available throughout the organization.

#### **5.4 Registered farmer representation**

If applicable, the organization shall establish and maintain a body of democratically-elected registered farmer representatives participating in top management. The body shall be established within the first year of claimed conformity to this document. The organization shall establish documented procedures for free and fair elections. There shall be elections periodically with intervals of no less than every three years.

## **6 Planning**

### **6.1 Actions to address risks and opportunities**

#### **6.1.1 Purpose**

When planning for the cocoa sustainability management system, the organization shall consider the issues referred to in [4.1](#) and the requirements referred to in [4.2](#) and determine the risks and opportunities that need to be addressed to:

- a) give assurance that the cocoa sustainability management system can achieve its intended result(s);
- b) enhance desirable effects;
- c) prevent, or reduce, undesired effects;
- d) achieve improvement.

#### **6.1.2 Actions**

The organization shall plan:

- a) actions to address these risks and opportunities;
- b) how to:
  - 1) integrate and implement the actions into its cocoa sustainability management system processes (see [4.4](#));

- 2) evaluate the effectiveness of these actions.

## 6.2 Cocoa sustainability objectives and planning to achieve them

### 6.2.1 Cocoa sustainability objectives

The organization shall establish cocoa sustainability objectives at relevant functions, levels and processes needed for the cocoa sustainability management system.

The cocoa sustainability objectives shall:

- a) be consistent with the cocoa sustainability policy;
- b) be measurable (if practicable);
- c) take into account applicable requirements, including requirements specified in this document and ISO 34101-2;
- d) be monitored;
- e) be communicated;
- f) be updated as appropriate (at least annually).

The organization shall maintain documented information on the cocoa sustainability objectives.

### 6.2.2 Planning to achieve the cocoa sustainability objectives

When planning how to achieve its cocoa sustainability objectives, the organization shall determine:

- a) what will be done;
- b) what resources will be required;
- c) who will be responsible;
- d) when it will be completed;
- e) how the results will be evaluated.

When needed, the organization shall plan changes to the cocoa sustainability management system.

## 7 Support

### 7.1 Resources

#### 7.1.1 General

The organization shall determine and provide the resources (e.g. financial and human resources, infrastructure and environment for the operation of processes, such as personal protective equipment) needed for the establishment, implementation, maintenance and continual improvement of the cocoa sustainability management system in a clear and transparent way.

The organization shall assess its capacity and shall prepare a documented plan to build capacity in order to meet the requirements specified in this document and ISO 34101-2. This assessment shall be documented and cover:

- a) the capabilities of, and constraints on, existing internal resources;
- b) what needs to be obtained from external providers;

- c) financing negotiated with first buyers or other interested parties;

NOTE 1 Financing can be negotiated for the start-up costs of implementation.

- d) agreements negotiated with first buyers;

NOTE 2 Agreements can be for farmer premiums.

- e) the means of individual registered farmers to reach their cocoa sustainability objectives and the resources needed.

The organization shall monitor and communicate to its registered farmers the market demands for sustainably produced cocoa, and develop a plan to promote market up-take of the organization's sustainably produced cocoa.

The organization shall support registered farmers' access to external provisions (e.g. training services, approved planting materials, quality inputs) that are relevant to meeting the requirements specified in this document and ISO 34101-2. The organization should endeavour to provide these at competitive prices without compromising quality. The organization shall facilitate collective purchasing of external provisions provided this is the most cost-effective option for registered farmers, and if the majority of registered farmers have expressed interest.

### **7.1.2 Cost identification and recovery mechanisms**

The organization shall provide a clear costing system for evaluating the start-up and recurring costs to achieve and maintain conformity to this document and ISO 34101-2 at organizational level (including the cocoa sustainability management system), as well as at the level of the individual registered farmer. The organization should use guidance for estimating the start-up and recurring costs; a documentation scheme is given in [Annex B](#).

## **7.2 Competence**

The organization shall:

- a) determine the necessary competence of person(s) doing work under its control that affects its performance and the effectiveness of the cocoa sustainability management system;
- b) ensure that these persons are competent on the basis of appropriate education, training, or experience; for example, ensure that persons being assigned management roles are competent in basic management and business practices, and ensure that person(s) authorized to conduct the cocoa farm diagnostic and establish the CFDP with the registered farmer are competent in sustainable farming practices;
- c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; for example, establish consulting capacity to coach registered farmers in good agricultural practices and management of their sustainability improvement;
- d) retain appropriate documented information as evidence of competence.

NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the reassignment of currently employed persons; or the hiring or contracting of competent persons.

## **7.3 Awareness**

The organization shall ensure that relevant persons doing work under the organization's control are aware of:

- a) the cocoa sustainability policy;
- b) the relevant cocoa sustainability objectives;

- c) their contribution to the effectiveness of the cocoa sustainability management system, including the benefits of improved cocoa sustainability performance;
- d) the implications of not conforming with the cocoa sustainability management system requirements;
- e) any relevant information stipulated as a knowledge requirement in this document.

## 7.4 Communication

### 7.4.1 General

The organization shall determine the internal and external communications relevant to the cocoa sustainability management system, including:

- a) on what it will communicate;
- b) when to communicate;
- c) with whom to communicate;
- d) how to communicate;
- e) who communicates.

### 7.4.2 Communication throughout the organization

The organization shall at least communicate systematically throughout the organization, on an annual basis, the services and processes that shall be provided and carried out by the organization over the course of the following year as part of the annual work plan (see [8.2.1](#)).

The organization shall communicate the mechanism (see [9.3.3](#)) that registered farmers of the organization can use in order to provide feedback, including complaints and grievances.

## 7.5 Documented information

### 7.5.1 General

The organization's cocoa sustainability management system shall include:

- a) documented information required by this document and documented information necessary to meet the performance requirements;
 

NOTE 1 Requirements for performance related to economic, social and environmental aspects are specified in ISO 34101-2.
- b) documented information determined by the organization as being necessary for the effectiveness of the cocoa sustainability management system;
- c) the first date of conformity to the requirements specified in this document.

NOTE 2 The extent of documented information for a cocoa sustainability management system can differ from one organization to another due to:

- the size of organization and its type of activities, processes, products and services;
- the complexity of processes and their interactions;
- the competence of persons.

The organization shall have a structure for documenting and disseminating information on issues relating to cocoa farming, including commerce and finance, and shall communicate systematically and

transparently on those issues to all relevant persons in the organization or working on behalf of the organization.

The organization shall document information on relevant national rural and agricultural plans, and promote the content and objectives thereof to registered farmers within the organization.

### **7.5.2 Creating and updating**

When creating and updating documented information, the organization shall ensure appropriate:

- a) identification and description (e.g. a title, date, author, or reference number);
- b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
- c) review and approval for suitability and adequacy.

### **7.5.3 Control of documented information**

#### **7.5.3.1 Purpose**

Documented information required by the cocoa sustainability management system and by this document and ISO 34101-2 shall be controlled to ensure:

- a) it is available, complete and suitable for use, where and when it is needed;
- b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

#### **7.5.3.2 Actions**

For the control of documented information, the organization shall address the following activities, as applicable:

- a) distribution, access, retrieval and use;
- b) storage and preservation, including preservation of legibility;
- c) control of changes (e.g. version control);
- d) retention and disposition.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the cocoa sustainability management system, including information on matters relating to cocoa production, shall be identified, as appropriate, and its internal usage controlled.

NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

## **8 Operation**

### **8.1 Operational planning and control**

The organization shall plan, implement and control the processes needed to meet requirements for the provision of sustainably produced cocoa, and to implement the actions determined in [6.1](#), by:

- a) establishing performance criteria for the processes;
- b) implementing control of the processes in accordance with the established performance criteria;

- c) determining, maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned, and to demonstrate conformity to sustainable cocoa production requirements.

The organization shall control and document planned changes, and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

The organization shall ensure that outsourced processes are controlled.

## 8.2 Planning of activities

### 8.2.1 Annual work plan for the organization

The organization shall develop an annual work plan that explains how the processes required in [4.4](#) shall be implemented in order to meet the cocoa sustainability objectives and the relevant parts of the CFDPs. The annual work plan shall:

- a) be suitable for the organization;
- b) be generated once per year and monitored in accordance with [Clause 9](#);
- c) be aligned with the cocoa sustainability policy, as defined in [5.2](#);
- d) be aligned with the cocoa sustainability objectives, as defined in [6.2](#);
- e) consider the requirements of this document and ISO 34101-2;
- f) provide detailed explanations for activities that will occur over the following 12 months.

### 8.2.2 Cocoa farm development plan

The CFDP shall be established to support registered farmers to make informed and responsible choices on the management, rehabilitation or renovation of their farms.

The organization shall establish CFDP(s) for each individual registered farmer addressing those cocoa fields that are within the scope of the system. Each plan shall be established in cooperation and consultation with the individual registered farmer and shall be documented.

[Annex A](#) provides an overview of the process for establishing the CFDP.

The CFDPs shall fulfil the requirements specified in [Annex D](#). Additional guidance is given in [Annex E](#).

Additionally, the CFDPs shall include:

- a) a cost and investment assessment of fulfilling the CFDP;
- b) an assessment of financial opportunities and risks for the registered farmer, including any financial agreements established between the registered farmer and the organization.

When establishing the CFDP, the individual registered farmer shall participate in the cocoa farm diagnostic and agree to the observations being made. The cocoa farm diagnostic shall fulfil the requirements specified in [Annex C](#). The individual registered farmer shall be informed of the various options for managing the cocoa farm to the desired business level. The options shall at least address opportunities for rehabilitation or renovation of the farm as appropriate. The individual registered farmer shall decide on the activities and investments to be included and documented in the CFDP.

Within 12 months after the first claim of conformity to this document, the organization shall develop a process and a plan necessary to establishing the CFDPs for all registered farmers.

Within 30 months after the first claim of conformity to this document, the organization shall have established the CFDPs for a minimum of 10 % of the registered farmers.

Within 60 months after the first claim of conformity to this document, or by the date of a claim of conformity to the medium-level requirements of ISO 34101-2, whichever is sooner, a CFDP shall be established for all farmers having been registered for more than 12 months.

Subsequently, a CFDP shall be established for any registered farmer within 12 months after registration (see 4.5).

The organization shall provide the registered farmers with coaching that enables them to implement the CFDPs. Coaching shall as a minimum include one on-farm coaching session per 12 months.

The organization and each registered farmer shall assess the cocoa farm development performance against their CFDP. The cocoa observation points applied for the farm diagnostic shall be included in the assessment. Based on the assessment, the organization and the registered farmer shall determine, agree on and document improvements and any actions needed to fulfil the CFDP and/or modify its content.

### 8.3 Changes to requirements for sustainable cocoa production

The organization shall document and control changes to requirements for sustainable cocoa production. The organization shall ensure that relevant persons are made aware of the changed requirements.

### 8.4 External provision of processes, products and services

The organization shall ensure that externally provided processes, products and services conform to applicable requirements. Requirements for performance related to economic, social and environmental aspects are specified in ISO 34101-2.

The organization shall determine the verification or other activities necessary to ensure the externally provided processes, products and services meet the requirements.

### 8.5 Traceability of sustainably produced cocoa internally within the organization

**8.5.1** When a registered farmer has farms or fields separated from each other geographically of which one or more is not within the scope of the cocoa sustainability management system, the organization shall ensure that the registered farmer segregates the sustainably produced cocoa that conforms to the requirements specified in this document and ISO 34101-2.

**8.5.2** The organization shall ensure that documented information on the sustainably produced cocoa is delivered at all logistical stages within the organization, such as post-harvest activities, collection, transport and storage.

The documented information shall include at least the following information:

- a) transport identification (e.g. waybill number, connaissement, voucher);
- b) pick up location/name;
- c) name and identification (ID) of the delivering registered farmer;
- d) name of the organization;
- e) quantity (quantity of bags; gross/net weight);
- f) carrier's information, including delivery date, vehicle registration plate and delivery location/name.

**8.5.3** Each storage facility/warehouse within the organization shall segregate the sustainably produced cocoa conforming to the requirements specified in this document and ISO 34101-2.

Each storage facility/warehouse within the organization shall ensure a stock management procedure to manage the intake and outtake of sustainably produced cocoa by documenting the following:

- a) weight of volumes coming in and out;
- b) release weight net/gross;
- c) registered farmer name(s);
- d) number of bags (if applicable);
- e) unique sale parcel number;
- f) transport date;
- g) names of buyer and seller;
- h) storage facility name;
- i) transport reference [truck registration plate, bill of lading (B/L)];
- j) physical handling (fermenting, drying, blending/mixing, cleaning, bagging) including the type of reconditioning, net weight prior and after reconditioning, reason why they would differ, procedure for management of reconditioned cocoa in relation to the segregation of conforming cocoa.

**8.5.4** The sales records and registered farmers' receipts shall document the following information:

- a) registered farmer name and ID;
- b) organization name;
- c) quantity and weight;
- d) sale date;
- e) price;
- f) sales record number;
- g) buyer information.

## 9 Performance evaluation

### 9.1 Monitoring, measurement, analysis and evaluation

#### 9.1.1 General

The organization shall determine:

- a) what needs to be monitored and measured for individual registered farmers, the organization and the community as defined by the organization. Monitoring and measurement shall at least include the following:
  - 1) actual production against estimated production;
  - 2) that registered farmers are implementing good agricultural practices, which they have been trained in;

- 3) what is required to be monitored and measured in this document and ISO 34101-2, e.g. progress on action plans specified in ISO 34101-2;
- b) the applicable key performance indicators for internal and external purposes;
- c) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
- d) who shall perform the monitoring, measurement, analysis and evaluation;
- e) when the monitoring and measuring shall be performed;
- f) when the results from monitoring and measurement shall be analysed and evaluated.

The organization shall evaluate the performance (e.g. by application of key performance indicators) and the effectiveness of the cocoa sustainability management system.

The organization shall retain appropriate documented information as evidence of the results.

### **9.1.2 Analysis and evaluation**

The organization shall analyse and evaluate appropriate data and information arising from monitoring, measurement and internal audits, at least on an annual basis.

The result of analysis shall be used to evaluate:

- a) conformity and to identify nonconformities to the requirements specified in this document and ISO 34101-2;
- b) the performance and effectiveness of the cocoa sustainability management system;
- c) if planning has been implemented effectively;
- d) the effectiveness of actions taken to address opportunities and risks;
- e) the performance of external providers;
- f) the revenue and costs incurred relative to the budget;
- g) the need for improvements to the cocoa sustainability management system.

The organization shall retain appropriate documented information as evidence of the analysis.

## **9.2 Internal audit**

**9.2.1** The organization shall conduct internal audits at planned intervals of not more than 12 months to provide information on whether the cocoa sustainability management system:

- a) conforms to:
  - 1) the organization's own requirements for its cocoa sustainability management system;
  - 2) the requirements of this document and ISO 34101-2;
- b) is effectively implemented and maintained.

The organization shall ensure that internal auditors do not experience negative effects when reporting nonconformities, including harassment, pressure, demotion or termination of employment.

Internal audits shall be based on the concept of risk management system auditing (see NOTE below) for obtaining objective evidence and shall include on-site auditing in cocoa fields.

**NOTE** This risk-based approach relates both to the risk of the audit process not achieving its objectives and to the potential of the audit to interfere with the auditee's activities. The risk-based process recognizes that the organization can focus audit effort on matters of significance to the cocoa sustainability management system and that the selection of registered farmers to be audited can be based on risk assessment and evaluation.

**9.2.2** The organization shall:

- a) plan, establish, implement and maintain an internal audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the cocoa sustainability objectives, the importance of the processes concerned, changes impacting the organization, and the results of previous audits;
- b) define the internal audit criteria and scope for each internal audit;
- c) select auditors and conduct internal audits to ensure objectivity and the impartiality of the internal audit process;
- d) ensure that the results of the internal audits are reported to relevant management and to relevant persons;
- e) take appropriate corrective actions within a reasonable timeframe;
- f) retain documented information as evidence of the implementation of the internal audit programme and the internal audit results;
- g) identify opportunities for improvement.

**NOTE** See ISO 19011 for guidance.

## 9.3 Management review

### 9.3.1 General

Top management shall review the organization's cocoa sustainability management system, at planned intervals of not more than 12 months, to ensure its continuing suitability, adequacy, and effectiveness.

The management review shall be planned and carried out taking into consideration:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the cocoa sustainability management system;
- c) information on the performance and effectiveness of the cocoa sustainability management system, including trends in and indicators for:
  - 1) the extent to which cocoa sustainability objectives have been met;
  - 2) the extent to which the CFDPs have been implemented;
  - 3) process performance and conformity of products and services (e.g. progress on action plans specified in ISO 34101-2);
  - 4) nonconformities and corrective actions;
  - 5) monitoring and measurement results;
  - 6) audit results;

- 7) feedback from customers and other relevant interested parties, if any;
- 8) performance of external providers;
- d) adequacy of resources;
- e) the effectiveness of actions taken to pursue opportunities and manage risks (see 6.1);
- f) opportunities for improvement.

### 9.3.2 Outputs

The outputs of the management review shall include decisions and actions related to:

- a) opportunities for improvement;
- b) any need for further support to registered farmers;
- c) any need for changes to the cocoa sustainability management system;
- d) resource needs.

The organization shall retain documented information as evidence of the results of management reviews.

### 9.3.3 Feedback to the organization

The organization shall establish, implement and maintain a mechanism that registered farmers can use to provide feedback to the organization. This mechanism shall include a complaints and grievance procedure.

The organization shall develop, implement and maintain a mechanism to communicate the results of the cocoa sustainability management system review to registered farmers and other relevant persons within the organization. Communicated results shall include, but not be limited to:

- a) nonconformities of the organization;
- b) potential risks of future nonconformities;
- c) identified opportunities for improvement;
- d) areas of excellent performance of the organization.

## 10 Improvement

### 10.1 General

The organization shall determine and select opportunities for improvement, generate and specify relevant performance objectives and implement necessary actions to, as appropriate:

- a) improve processes to meet requirements as well as to address future needs and expectations;
- b) correct, prevent or reduce undesired effects;
- c) improve performance and effectiveness of the cocoa sustainability management system;
- d) meet the required performance levels;

NOTE Requirements for performance levels related to economic, social and environmental aspects are specified in ISO 34101-2.

- e) exploit other opportunities for improvement.

**EXAMPLE** Improvement can include correction, corrective action, continual improvement, breakthrough change, innovation and re-organization.

## 10.2 Nonconformity and corrective action

**10.2.1** When a nonconformity occurs, including those identified via feedback from the organization, the organization shall:

- a) react to the nonconformity, and, as applicable:
  - 1) take action to control and correct it;
  - 2) deal with the consequences;
- b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:
  - 1) reviewing and analysing the nonconformity;
  - 2) determining the causes of the nonconformity;
  - 3) determining if similar nonconformities exist, or could potentially occur;
- c) implement any action needed;
- d) review the effectiveness of any corrective action taken;
- e) update opportunities and risks determined during planning, if necessary;
- f) make changes to the cocoa sustainability management system, if necessary.

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

If a corrective action can only be carried out by an individual (e.g. a registered farmer), the organization shall ensure that this individual understands his/her responsibilities in relation to carrying out corrective actions which address a nonconformity.

**10.2.2** The organization shall retain documented information as evidence of:

- a) the nature of the nonconformities and any subsequent actions taken;
- b) the results of any corrective action;
- c) validation of the effectiveness of the corrective action by a person appointed by top management.

## 10.3 Continual improvement

The organization shall continually improve the suitability, adequacy, and effectiveness of the cocoa sustainability management system.

The organization shall consider the outputs of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.

## Annex A (informative)

### Overview of the process for establishing the cocoa farm development plan

[Table A.1](#) gives an overview of the process for establishing the cocoa farm development plan (CFDP).

**Table A.1 — Overview of the process towards establishing the CFDP**

What?	When?	By whom?	How?	Purpose and result?
The cost/ expenditure planning tool (see <a href="#">7.1.2</a> and <a href="#">Annex B</a> )	When the organization is assessing the cost/ relevance of adhering to this document and ISO 34101-2.	The organization (results to be shared with the first buyer/ potential external funding parties).	By assessing key costs related to this document and ISO 34101-2 and potential cost recovery mechanisms associated with farm-level costs.	Ensuring costs for starting-up and running the organization are identified and transparent to all interested parties: <ul style="list-style-type: none"> <li>— organization's leaders and staff;</li> <li>— first buyer;</li> <li>— registered farmers.</li> </ul> There should be no "hidden" costs for any of these parties.
Generic estimated costs and benefits of conformity to this document [see <a href="#">4.5.1 d</a> ] and ISO 34101-2	Before farmer's registration.	The organization, in collaboration with farmers who wish to register.	Through an interview and preferably an informal visit to the farm.	The organization should provide individual farmers with an indication of the estimated level of costs and the estimated timeframe for the major areas of investment (e.g. replanting, fertilizer) for their individual farms. Organizations should be encouraged to collect via interview the data points identified in <a href="#">Annex C</a> for this purpose, although they may rely on only several of these for producing these estimates of costs and benefits.  Assumption = higher yields will be achieved when adhering to this document and ISO 34101-2.
The cocoa farm diagnostic (see <a href="#">8.2.2</a> and <a href="#">Annex C</a> )	After registration, and before farmer's registration is confirmed.	The organization, in collaboration with farmers.	On-farm observation and interview.	This should deliver a real expectation of cost (investments) versus benefits (returns in cash and in-kind) regarding cocoa farming within the framework of this document and ISO 34101-2.

Table A.1 (continued)

What?	When?	By whom?	How?	Purpose and result?
The CFDP (see <a href="#">4.5.3</a> , <a href="#">8.2.2</a> and <a href="#">Annex D</a> )	Short-term: before confirmation of registration.	The organization (cocoa farm development manager or other) with registered farmers.	Short-term: by building on/adding to the data acquired during the farmer registration process, and detailing necessary interventions and costs.	A short-, mid- and long-term tool that gives guidance on the development of the entire farm (tasks to be done, costs to be borne, resources needed for this, etc.) in order to achieve the "high level" specified in ISO 34101-2).
	Mid- and long-term: adjustment depending on targets set and completion thereof.		Mid- and long-term: by building on data gathered through implementation of the requirements of this document and ISO 34101-2 and previous data collection efforts.	The activity and investment plan for the farm.
	At any time.	The organization.	By assessing and evaluating opportunities and risks.	The CFDP can go beyond cocoa production (e.g. crop diversification).

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## Annex B (informative)

### Guidance for estimating start-up and recurring costs

Table B.1 gives a tool that can be used for estimating start-up and recurring costs.

**Table B.1 — Tool for estimating start-up and recurring costs**

Tool for estimating start-up and recurring costs						
	Start-up costs			Recurring operational costs		
	First buyer	Organization	Farmer	First buyer	Organization	Farmer
Farmer premiums						
Personnel						
Equipment						
Infrastructure						
Administration						
IT						
Logistics						
Training						
Inputs						
Economic development costs (relevant to fulfilling the economic requirements of ISO 34101-2)						
Social development costs (relevant to fulfilling the social requirements of ISO 34101-2)						
Environmental development costs (relevant to fulfilling the environmental requirements of ISO 34101-2)						
Audit fees						