
Sustainable and traceable cocoa —

**Part 2:
Requirements for performance
(related to economic, social and
environmental aspects)**

Cacao durable et traçable —

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

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Contents

Page

Foreword	iv
Introduction	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Rationale and general requirements	6
4.1 Rationale.....	6
4.2 Summary of requirements.....	6
4.2.1 Requirements for economic aspects.....	6
4.2.2 Requirements for social aspects.....	6
4.2.3 Requirements for environmental aspects.....	7
4.3 Requirement levels.....	7
5 Requirements related to economic aspects	7
5.1 Cocoa farm diagnostic and cocoa farm development plan (CFDP).....	7
5.2 Capacity building on accounting and enabling access to financial credits.....	8
5.3 Farm agronomic performance and good agricultural practices.....	8
5.3.1 New farm establishment.....	8
5.3.2 Planting material.....	8
5.3.3 Soil management.....	8
5.3.4 Maintenance of cocoa trees.....	9
5.3.5 Use of agrochemicals.....	9
5.3.6 Harvest.....	10
5.3.7 Post-harvest — Pod-breaking.....	10
5.3.8 Post-harvest — Fermentation.....	10
5.3.9 Post-harvest — Drying.....	10
5.3.10 Post-harvest — Packing and storage of cocoa beans.....	11
5.3.11 Resilience and diversification of production.....	11
6 Requirements related to social aspects	12
6.1 Human rights policy.....	12
6.2 Gender equality and women's empowerment.....	12
6.3 Children's rights.....	13
6.4 Child labour and worst forms of child labour.....	13
6.5 Employment and contractual relations.....	14
6.6 Working hours and working conditions.....	15
6.7 Freedom of association and collective bargaining.....	15
6.8 Occupational health and safety.....	15
6.9 Prevention of discrimination, harassment and abuse.....	16
6.10 Social protection systems.....	17
6.11 Basic needs.....	17
7 Requirements related to environmental aspects	18
7.1 Protection of fresh water bodies.....	18
7.2 Integrated pest and disease management and agrochemical use.....	18
7.3 Safe storage and administration of agrochemicals.....	19
7.4 Ecosystem protection.....	19
7.5 Waste management.....	20
Bibliography	21

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

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

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by the European Committee for Standardization (CEN) Technical Committee CEN/TC 415, *Sustainable and Traceable Cocoa*, in collaboration with ISO Technical Committee TC 34, *Food products*, Subcommittee SC 18, *Cocoa*, in accordance with the agreement on technical cooperation between ISO and CEN (Vienna Agreement).

A list of all parts in the ISO 34101 series can be found on the ISO website.

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

Introduction

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

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

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

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

An organization that is sustainably producing cocoa beans can apply for initial certification to any level and will then be on a path towards a higher level until the high level is reached. The path from entry level to medium level can take up to 60 months. The path from medium level to high level can take up to 60 months.

The performance requirements specified in this document are complementary to the cocoa sustainability management system requirements. Only organizations that fulfil both the cocoa sustainability management system requirements (either ISO 34101-1 or ISO 34101-4:2019, Annex A or B) and the performance requirements (this document) may claim their cocoa beans have been sustainably produced.

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

ISO 34101-4 specifies the requirements for the scheme for certifying traceable, sustainably produced cocoa conforming to the requirements of the ISO 34101 series and includes the requirements for the entry and medium level for the cocoa sustainability management system.

Document	Subject	Intended to be applied by
ISO 34101-1	High-level requirements for cocoa sustainability management systems. (Entry- and medium-level requirements for cocoa sustainability management systems are specified in ISO 34101-4.)	Registered cocoa farmers and organizations that are sustainably producing cocoa beans.
This document	Entry-, medium- and high-level requirements for performance (related to economic, social, and environmental aspects).	
ISO 34101-3	Requirements for traceability.	The cocoa supply chain actors.
ISO 34101-4	Requirements for certification schemes. Entry- and medium-level requirements for cocoa sustainability management systems. (The high-level requirements for cocoa sustainability management systems are specified in ISO 34101-1.)	Certification scheme owners and certification bodies certifying conformity to the ISO 34101 series. Organizations wishing certification by an accredited third-party certification body in order to make claims of conformity. Registered cocoa farmers and organizations that are sustainably producing cocoa beans applying the entry- or medium-level requirements for cocoa sustainability management systems.

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

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

This document addresses the following aspects:

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

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

In this document:

- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.

Information marked “NOTE” is for guidance in understanding or clarifying the associated requirement.

Sustainable and traceable cocoa —

Part 2:

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

1 Scope

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

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

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

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

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

3 Terms and definitions

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

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

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

3.1

agricultural worker

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

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

3.2

basic needs

fundamental requirements that serve as the foundation for survival

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

Note 2 to entry: The concept of basic needs includes two elements:

- a) certain minimum requirements for private consumption, such as adequate food, shelter and clothing, as well as certain household equipment and furniture;
- b) essential services provided by and for the community at large, such as safe drinking water and sanitation, as well as health and educational facilities.

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

3.3 buffer zone

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

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

3.4 child

human being below the age of 18 years

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

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

3.5 child labour

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

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

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

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

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

3.6 child/light work

work performed by *children* (3.4) that is appropriate for their age and level of maturity and which does not affect their health and personal development or interfere with their schooling

Note 1 to entry: Child/light work includes activities such as helping their parents around the home or assisting in non-hazardous activities on a cocoa farm outside school hours and/or during school holidays. Child/light work encompasses the kind of activities that contribute to children's development and to the welfare of their families; they provide them with skills and experience, and help to prepare them to be productive members of society.

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

3.7 ecosystem

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

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

3.8 fertilizer

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

Note 1 to entry: This covers:

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

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

3.9 fertilizer ready

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

3.10 forced labour

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

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

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

3.11 gender

socially constructed characteristics of women and men

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

[SOURCE: WHO, Gender^[28]]

3.12 habitat

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

3.13 hazardous conditions hazardous work

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

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

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

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

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

3.14

hired worker

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

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

3.15

human rights

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

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

3.16

integrated pest and disease management

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

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

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

3.17

primary forest

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

3.18

protected area

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

3.19

regular hired worker

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

3.20

risk inventory

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

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

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

3.21

secondary forest

forest that has been logged and has recovered naturally or artificially

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

3.22**temporary hired worker**

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

3.23**wage worker**

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

3.24**wildlife corridor**

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

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

3.25**worst forms of child labour**

child labour (3.5) that involves:

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

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

3.26**conditional worst forms of child labour**

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

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

3.27**unconditional worst forms of child labour**

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

3.28**youth**

time of life covering late childhood and early adulthood

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

4 Rationale and general requirements

4.1 Rationale

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

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

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

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

The organization and the farmer use the findings documented in the cocoa farm diagnostic to build the cocoa farm development plan (CFDP) (see ISO 34101-1:2019, Annex D; see also the requirements in ISO 34101-1:2019, 8.2.2). This plan is specifically tailored to each farm and allows the farmer and the organization to measure progress against previously identified targets for improvement. Farmers will only confirm their registration to the organization applying for conformity to ISO 34101-1 and this document once the CFDP has been established.

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

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

4.2 Summary of requirements

4.2.1 Requirements for economic aspects

The requirements for economic aspects aim to:

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

4.2.2 Requirements for social aspects

The requirements for social aspects aim to:

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

- b) support the eradication of forced labour, child labour and the worst forms of child labour;
- c) support improved standards of living, social conditions and working and labour conditions, including health and safety, of populations engaged in the cocoa sector.

4.2.3 Requirements for environmental aspects

The requirements for environmental aspects aim to:

- a) support water conservation, the avoidance of water waste, and the avoidance of the contamination of surface and underground water;
- b) support the responsible use of agrochemicals and good waste management;
- c) preserve plant and animal habitats, protect wildlife and maintain a varied ecosystem.

4.3 Requirement levels

The organization can apply for initial certification to any level and shall then be on a path towards a higher level until the high level is reached. The path from entry level to medium level may take up to 60 months. The path from medium level to high level may take up to 60 months.

Requirements are specified for each level in the tables in [Clauses 5, 6 and 7](#). Requirements are marked with “X” or “12”. Requirements marked with “X” in any level shall be fulfilled from the first date of the given level. Requirements marked with “12” shall be fulfilled no later than 12 months after entry.

The organization shall document:

- a) the first date of conformity with the requirements specified in this document;
- b) the requirement level (either entry, medium or high) adopted as the start level.

NOTE 1 An organization can choose to start at the medium or high level as an alternative to starting at the entry level.

NOTE 2 The end goal is sustainability. However, achieving sustainability is a process to which this document and ISO 34101-1 contribute.

NOTE 3 The entry level is intended to enable a majority of farmers to apply a process leading towards sustainable production of cocoa beans, through a stepwise approach.

5 Requirements related to economic aspects

5.1 Cocoa farm diagnostic and cocoa farm development plan (CFDP)

General requirements at entry level for the CFDP are specified in ISO 34101-1:2019, Annex D, and stipulated in ISO 34101-1:2019, 8.2.2. Additional requirements for medium and high levels are specified in [Table 1](#).

Table 1 — Additional requirements for the CFDP

Requirements		Entry	Medium	High
1	The organization shall monitor the implementation of CFDPs by registered farmers (e.g. by performing internal audits).	X	X	X
2	The organization shall monitor incomes of registered farmers and hired workers against agreed living income/living wage benchmarks if these are available.			X

5.2 Capacity building on accounting and enabling access to financial credits

Table 2 — Requirements for capacity building on accounting and enabling access to financial credits

Requirements		Entry	Medium	High
1	The organization shall provide registered farmers with business training, taking into account the level of competence of the registered farmers.		X	X
2	The organization shall provide registered farmers with technical, logistical and infrastructural support and financial knowledge.		X	X
3	The organization shall assist registered farmers in setting-up a basic system for documenting information and expenditures to build their financial history.		X	X
4	The organization shall liaise with registered farmers and determine the need for financing. The organization shall document its interaction with input suppliers and financial institutions to seek financing for registered farmers.			X

5.3 Farm agronomic performance and good agricultural practices

5.3.1 New farm establishment

Table 3 — Requirements for new farm establishment

Requirements		Entry	Medium	High
1	The organization shall ensure that registered farmers are provided with information on applicable requirements and rural and agricultural development plans.	X	X	X
2	The organization shall advise registered farmers on the suitability of production of cocoa beans on the intended field(s).		X	X

5.3.2 Planting material

Table 4. — Requirements for planting material

Requirements		Entry	Medium	High
1	The organization shall ensure registered farmers have access to, and receive recommendations for the use of, planting material that comes from a verified and competent source.		X	X
2	The organization shall ensure the competence of agricultural workers on good agricultural practices related to planting material.		X	X

5.3.3 Soil management

Table 5 — Requirements for soil management

Requirements		Entry	Medium	High
1	The organization shall ensure the competence of agricultural workers on soil management and nutrient balance and replenishment.		X	X
2	The organization shall ensure that agricultural workers leave healthy organic waste, such as pruning debris, empty pod husks, and any other organic material, that are disease-free, at the farm(s).		X	X
3	The organization shall, where needed, ensure that registered farmers have access to high quality fertilizer that is free of contaminants.		X	X

Table 5 (continued)

Requirements		Entry	Medium	High
4	The organization and registered farmers shall commit to the replenishment of nutrients on the parts of the farm(s) that are “fertilizer ready” as identified in individual CFDPs.		X	X
5	The organization and registered farmers shall commit to replacing soil nutrients so that nutrient levels in the soil are adequate and balanced on the parts of the farm(s) that are “fertilizer ready” as identified in individual CFDPs.			X
6	The organization shall perform soil sampling to ensure that fertilizer is applied to balance input and output of nutrients (nutrient replacement) under the following conditions: a) soil testing is reliable and affordable; b) farm-specific fertilizer is available and cost-effective.			X
7	The organization shall promote practices to avoid soil erosion.		X	X

5.3.4 Maintenance of cocoa trees

Table 6 — Requirement for maintenance of cocoa trees

Requirement	Entry	Medium	High
1 The organization shall ensure the competence of agricultural workers on the maintenance and rehabilitation of cocoa and shade trees.	12	X	X

5.3.5 Use of agrochemicals

Table 7 — Requirements for agrochemicals

Requirements	Entry	Medium	High
1 The organization shall ensure that only suitable and proper equipment is used for the application of agrochemicals.	X	X	X
2 The organization shall ensure that spraying equipment is triple washed after use and maintained in order to minimize waste and excessive applications of chemicals. The organization shall, at least once a year, verify the correct functioning of spraying equipment.	X	X	X
3 The organization shall, where needed, ensure access to agrochemicals authorized for use on cocoa.	X	X	X
4 The organization shall ensure the competence of agricultural workers in integrated pest and disease management, including the use of appropriate protective equipment and authorized agrochemicals, and the disposal of non-authorized agrochemicals.		X	X
5 The organization and registered farmers shall commit to provisions for pest and disease control, using an integrated pest and disease management approach, as specified in individual CFDPs.		X	X

NOTE Environmental requirements regarding the use of agrochemicals can be found in [Tables 26](#) and [27](#).

5.3.6 Harvest

Table 8 — Requirement for harvest

Requirement		Entry	Medium	High
1	The organization shall ensure the competence of agricultural workers in good harvest techniques, including the identification of ripe pods ready for harvest, and the identification of diseased, mummified or insect-damaged pods to be discarded.	12	X	X

5.3.7 Post-harvest — Pod-breaking

Table 9 — Requirement for pod-breaking

Requirement		Entry	Medium	High
1	Where applicable, the organization shall ensure the competence of agricultural workers in good pod-breaking techniques.	12	X	X
NOTE There can exist national or regional recommendations.				

5.3.8 Post-harvest — Fermentation

Table 10 — Requirement for fermentation

Requirement		Entry	Medium	High
1	Where applicable, the organization shall ensure the competence of agricultural workers in appropriate fermentation techniques.	12	X	X
NOTE 1 There can exist national or regional recommendations.				
NOTE 2 Requirements for the quality of cocoa beans are provided in ISO 2451.				

5.3.9 Post-harvest — Drying

Table 11 — Requirements for drying

Requirements		Entry	Medium	High
1	Where beans are dried at farm or organization level, the organization shall ensure the competence of agricultural workers in appropriate drying techniques that avoid direct contact with roads and soil.	12	X	X
2	The organization shall ensure that sun-drying is conducted on a clean and prepared surface.		X	X
3	If cocoa beans are dried artificially, the organization shall ensure that dryers are well-maintained and that contamination from smoke and fuel is avoided.		X	X
NOTE Requirements for the quality of cocoa beans are provided in ISO 2451.				

5.3.10 Post-harvest — Packing and storage of cocoa beans

Table 12 — Requirements for packing and storage of cocoa beans

Requirements		Entry	Medium	High
1	The organization shall ensure the competence of agricultural workers in proper packing and storage techniques and materials.	12	X	X
2	The organization shall ensure that appropriate sacks and bags are used for packing and storage of cocoa beans (e.g. using materials that are clean, strong and non-toxic).		X	X
3	Where applicable, the organization shall ensure approved sacks and bags are made available to farmers.		X	X
4	The organization shall ensure that bagged cocoa beans are collected from the farmers as required.		X	X
5	The organization shall ensure that bagged cocoa beans are stored under appropriate conditions, including pest control measures.		X	X
NOTE Requirements for the quality of cocoa beans are provided in ISO 2451.				

5.3.11 Resilience and diversification of production

Table 13 — Requirements for resilience and diversification of production

Requirements		Entry	Medium	High
1	The organization shall raise awareness on the use of diversified crops.		X	X
2	The organization shall ensure means of recording the outcome of crop diversification programs at the registered farmer level.		X	X
3	The organization shall conduct an inventory of the risks and potential impacts of climate change on the registered farmers' production of cocoa.		X	X
4	The organization shall raise awareness among registered farmers of the potential impact of climate change.		X	X
5	The organization shall provide training and other support to assist registered farmers adapting to new climatological conditions where applicable.			X

6 Requirements related to social aspects

6.1 Human rights policy

Table 14 — Requirements for a human rights policy

Requirements		Entry	Medium	High
1	The organization shall ensure that a risk inventory is made of human rights issues.	12	X	X
2	The organization shall ensure that agricultural workers are aware of human rights.	12	X	X
3	The organization shall ensure that no adverse human rights impacts shall be caused by the organization's activities. The organization shall ensure that any such impacts that occur will be addressed.	12	X	X
4	The organization shall ensure that no adverse human rights impacts shall be contributed to by the organization's activities. The organization shall ensure that any such impacts that occur will be addressed.		X	X
5	<p>The organization shall establish, implement and maintain a human rights policy, appropriate to the context of the organization, taking into account the applicable requirements in Tables 14 to 24.</p> <p>This policy shall include a human rights due diligence process to identify, prevent, mitigate and account for how the organization addresses its impacts on human rights, and on processes enabling the remediation of any adverse human rights impacts caused by the organization or to which it contributes.</p> <p>This policy shall aim to avoid adverse human rights impacts directly linked to its operations, products or services, and prevent or mitigate any adverse human rights impacts in its business relationships, even if the organization has not contributed to those impacts.</p>			X
NOTE Requirements 4 and 5 of this table are based on the UN Guiding Principles on Business and Human Rights ^[25] .				

6.2 Gender equality and women's empowerment

Table 15 — Requirements for gender equality and women's empowerment

Requirements		Entry	Medium	High
1	The organization shall ensure that a risk inventory is made of gender-related issues.	12	X	X
2	The organization shall ensure that a gender action plan has been developed based on the output of the gender-related issues inventory.		X	X
3	The organization shall implement the gender action plan.			X
4	When training courses are offered, the organization shall ensure equal access for women and men, including the spouses of registered farmers.	X	X	X
5	Using best practice approaches, the organization shall ensure agricultural workers, management and the employees of the organization, both women and men, are aware of gender-related issues.	12	X	X
6	The organization shall ensure that top management is knowledgeable in gender-related issues.		X	X
7	When training courses are offered, the organization shall ensure that women's participation is stimulated, including the spouses of registered farmers.		X	X

6.3 Children's rights

Table 16 — Requirements for children's rights

Requirements		Entry	Medium	High
1	The organization shall take necessary action(s) when concerns arise regarding abuse, exploitation or harming of children, including activities taking place on the farm(s) and within the organization.	X	X	X
2	The organization shall ensure the protection and safety of children in its business activities, including activities taking place on the farm(s) and within the organization.	X	X	X
3	The organization shall, within its powers, actively promote education and school attendance for all children and vocational training for children of a legal working age.	X	X	X
4	The organization shall ensure that a risk inventory is made of children's rights issues.	12	X	X
5	The organization shall formulate a policy on children's rights and commit to respecting children's rights.	12	X	X
6	The organization shall ensure agricultural workers are knowledgeable on children's rights, and shall ensure that children of agricultural workers are aware of children's rights.	12	X	X
7	The organization shall, within its powers, encourage vocational training, apprenticeship and employment (excluding hazardous tasks) in agriculture for youth above the legal working age, particularly in sustainable cocoa production.		X	X

6.4 Child labour and worst forms of child labour

Table 17 — Requirements related to child labour and worst forms of child labour

Requirements		Entry	Medium	High
1	The organization shall publicly display a list of applicable hazardous activities and disseminate information about the prohibition of hazardous work for children within the organization and among agricultural workers and their children.	X	X	X
2	The organization shall immediately report suspected cases of unconditional worst forms of child labour (including child trafficking, bonded labour and slave labour) to the relevant authorities.	X	X	X
3	The organization shall develop a child labour policy, including a clear commitment against child labour. It shall communicate this policy within the organization and among agricultural workers and make it publicly available.	12	X	X
4	The organization shall undertake a risk inventory to identify the possible risks related to child labour in the organization and in the communities where its agricultural workers live.	12	X	X
5	Based on the risk inventory, the organization shall undertake actions to prevent, identify, monitor and remediate child labour and the worst forms of child labour related to the activities of the organization, its registered farmers and its agricultural workers. The frequency of monitoring shall be based on the risk inventory (see requirement 4 in Table 17), as specified in the child labour policy (see requirement 5 in Table 16), and shall, at least, take place at household and farm level, using best practice approaches.	12	X	X

NOTE Child/light work, child labour, and the worst forms of child labour are different terms. Additionally, there is a distinction between the conditional and unconditional worst forms of child labour.

Table 17 (continued)

Requirements		Entry	Medium	High
6	The organization shall ensure agricultural workers are knowledgeable on child labour issues.	12	X	X
7	The organization shall, within its powers, undertake necessary efforts so that children of agricultural workers have birth certificates or other official identity documentation, and shall encourage that children of agricultural workers are registered at birth.	12	X	X
8	The organization shall ensure that suspected cases of conditional worst forms of child labour (hazardous work) are identified and that a remediation plan is developed and implemented.	12	X	X

NOTE Child/light work, child labour, and the worst forms of child labour are different terms. Additionally, there is a distinction between the conditional and unconditional worst forms of child labour.

6.5 Employment and contractual relations

Table 18 — Requirements for employment and contractual relations

Requirements		Entry	Medium	High
1	The organization shall ensure that each registered farmer prepares an inventory of all agricultural workers on his/her farm, including seasonal, subcontracted, migrant and family labour, and regular hired workers. The gender and age of workers should be recorded.	X	X	X
2	The organization shall ensure that no one working at household, farm or organization level is employed by force or compulsion.	X	X	X
3	The organization shall ensure that no identity documents are withheld from agricultural workers nor from employees of the organization.	X	X	X
4	The organization shall ensure that, in the case of wage workers, wages shall be paid on a regular basis. The frequency and level of wage payments shall be clearly communicated at the beginning of employment.	X	X	X
5	The organization shall have a due diligence process to assess the risk of trafficking and forced labour in any form of recruitment by the organization or registered farmers.	12	X	X
6	The organization shall ensure that maternity leave for regular hired workers is granted, within the organization and at farm level.	12	X	X
7	The organization shall ensure that regular hired workers are provided with written contracts, specifying labour conditions and payment arrangements, in a language and format they can understand, within the organization and at farm level.		X	X
8	The organization shall ensure that temporary hired workers shall receive the working conditions and workers' rights equivalent of regular hired workers, and their contractual agreements shall be respected, within the organization and at farm level.		X	X
9	The organization shall ensure that registered farmers provide regular hired workers, sharecroppers, caretakers and temporary hired workers with written contracts, specifying labour conditions and payment arrangements, in a language and format they can understand.		X	X

NOTE 1 ILO Convention 183^[17] provides recommendations on maternity leave.
 NOTE 2 ILO Convention 29^[8] and ILO Convention 105^[12] provide recommendations on forced labour.

6.6 Working hours and working conditions

Table 19 — Requirements for working hours

Requirements		Entry	Medium	High
1	The organization shall ensure that an inventory of the hours worked at the farm(s) per week per agricultural worker (on an annual weekly average) has been made.		X	X
2	The organization shall ensure that an acceptable standard for working hours has been identified as not exceeding 48 hours per person per week on an annual average.		X	X

NOTE ILO Convention 1^[2] describes working hours, stating that the maximum amount of hours per week for workers is 48 (8 hours a day for 6 days a week).

6.7 Freedom of association and collective bargaining

Table 20 — Requirements for freedom of association and collective bargaining

Requirements		Entry	Medium	High
1	The organization shall ensure that agricultural workers and employees of the organization have the right to freely organize into associations and farmer groups.	X	X	X
2	The organization shall ensure that there is no obstruction to the right of agricultural workers and employees of the organization to voluntarily negotiate by means of collective agreements with employers, employers' organizations, buyers, and other institutions or associations. These negotiations shall include the definitions of terms and conditions of employment and/or other financial and non-financial benefits.	X	X	X
3	The organization shall ensure agricultural workers within the organization and/or at farm level are aware of their right to freedom of association.		X	X
4	The organization shall ensure that agricultural workers within the organization and/or at farm level have access to training to make use of their right to freedom of association.			X

NOTE ILO Convention 87^[9], ILO Convention 98^[10] and ILO Convention 141^[15] describe the freedom of association and the right to collective bargaining.

6.8 Occupational health and safety

Table 21 — Requirements for occupational health and safety

Requirements		Entry	Medium	High
1	The organization shall ensure that an inventory is made of occupational health and safety risks within the organization and at farm level.	12	X	X
2	The organization shall ensure that an action plan is made to address the issues identified in the inventory on occupational health and safety.		X	X
3	The organization shall implement the action plan on occupational health and safety.			X
4	The organization shall ensure that necessary protective equipment is provided to and used by all agricultural workers operating in hazardous conditions.	X	X	X

Table 21 (continued)

Requirements		Entry	Medium	High
5	The organization shall ensure the health and safety competence of agricultural workers operating in hazardous conditions.	X	X	X
6	The organization shall provide the necessary protective equipment to the organization's employees free of charge.	X	X	X
7	The organization shall ensure that all agricultural workers are informed about and protected against occupational health and safety risks in their agricultural work. This information shall be provided clearly and visibly within the working environment of the organization, in a language(s) they understand and with pictograms.	12	X	X

6.9 Prevention of discrimination, harassment and abuse

Table 22 — Requirements to prevent discrimination, harassment and abuse

Requirements		Entry	Medium	High
1	The organization shall ensure that the principle of non-discrimination and the rights of the individual shall be respected and that initiatives are taken to contribute to the elimination of discrimination if observed, 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.	X	X	X
2	The organization shall ensure that no agricultural worker shall be subjected to corporal punishment, mental or physical coercion, or verbal abuse.	X	X	X
3	The organization shall work towards ensuring that women and men receive equal opportunities and equal remuneration for equal work.	X	X	X
4	The organization shall discuss with its employees and agricultural workers what constitutes harassment and abuse, and explain that these practices are not acceptable. All employees and agricultural workers shall be informed about the laws protecting individuals against discrimination, harassment and abuse.	12	X	X
5	The organization shall draft and implement an action plan to eradicate all forms of harassment and abuse, including a gender sensitive grievance procedure with equal access for women and men. Within the grievance procedure there shall be no retribution or punishment for reporting an injustice.		X	X
6	The organization shall ensure that meetings take place among its employees, registered farmers and their spouses at least once a year to evaluate activities to prevent harassment and abuse. Meetings, participants and main results shall be documented and shared.		X	X
7	The organization shall actively promote the social inclusion of disadvantaged/minority groups within its activities.		X	X

NOTE ILO Convention 100^[11] describes the principle of equal remuneration and ILO Convention 111^[13] describes the principle of employment and occupational discrimination.

6.10 Social protection systems

Table 23 — Requirements for social protection systems

Requirements		Entry	Medium	High
1	Where applicable, the benefits of available social security shall be provided to the employees of the organization.		X	X
2	The organization shall ensure that all regular hired workers have access to the benefits of a provident fund or pension scheme, if available.			X
NOTE National and sector regulations related to social security can be applicable.				

6.11 Basic needs

Table 24 — Requirements for basic needs

Requirements		Entry	Medium	High
1	The organization shall ensure that management is informed about the principle of basic needs, and how this translates to the situation of the agricultural workers and their families. The organization shall ensure that it does not obstruct its employees and agricultural workers to meet basic needs when this is within the power of the organization to control.	12	X	X
2	The organization shall assist its employees and agricultural workers and their families to improve their capacity to meet basic needs when this is within the power of the organization to control.		X	X
3	The organization shall undertake initiatives to raise awareness and understanding of the rights of its employees and agricultural workers and their families regarding basic needs. A minimum of one meeting per year shall be organized. Meetings, participants and main results shall be documented and shared.		X	X
4	The organization shall encourage and participate in communal actions with relevant (local) authorities and/or other potential actors to carry out an inventory on basic needs.		X	X
5	If a basic needs inventory has been carried out, the organization shall encourage and participate in communal actions with relevant (local) authorities and/or other potential actors to formulate an action plan to improve capacity to meet basic needs.			X
6	If a basic needs action plan has been formulated, the organization shall encourage and participate in communal actions with relevant (local) authorities and/or other potential actors to implement the action plan.			X

7 Requirements related to environmental aspects

7.1 Protection of fresh water bodies

Table 25 — Requirements for the protection of fresh water bodies

Requirements		Entry	Medium	High
1	The organization shall ensure that a distance of at least 10 m from cultivated cocoa trees to water bodies is maintained. Existing cocoa trees in this zone may be retained, but agrochemicals shall not be applied within this zone. The organization shall ensure that vegetation in this zone does not include plants that are detrimental to cocoa trees.	X	X	X
2	The organization shall ensure agricultural workers are knowledgeable about water protection requirements, taking into account the local context.	X	X	X
3	The organization shall ensure that no untreated sewage or untreated wastewater is discharged into fresh water bodies.	X	X	X

NOTE National legislation can apply when establishing new farms and/or in relation to the distances from cultivated cocoa trees to water bodies and vegetation belts.

7.2 Integrated pest and disease management and agrochemical use

Table 26 — Requirements for integrated pest and disease management and agrochemical use

Requirements		Entry	Medium	High
1	The organization shall ensure that warning signs are placed after the application of agrochemicals that indicate the time of application, the time before re-entering and the recommended days until harvest.	X	X	X
2	The organization shall ensure that children, pregnant women, breastfeeding women and people with respiratory illnesses do not handle agrochemicals.	X	X	X
3	The organization shall ensure that only authorized agrochemicals are applied. The application shall be performed safely, and by reference to the product usage information provided by the supplier and the user manual for the delivery mechanism (e.g. sprayer). Reference can be made to the following cocoa resources within this area: ICCO Pesticide User Manual ^[4] and Dropdata information on appliances and user assistance ^[5] .	X	X	X
4	The organization shall ensure that instructions for the use of agrochemicals are strictly followed by calibrating and using suitable equipment for applying the prescribed dosage, timing and intervals of application of agrochemicals as specified on the labelling of the product and its instructions for use.	X	X	X
5	The organization shall ensure that no expired agrochemicals are used.	X	X	X
6	The organization and registered farmers shall commit to pesticide reduction plans as identified in individual CFDPs.		X	X
7	The organization shall ensure regular monitoring of harmful organisms and the use of agrochemicals.		X	X