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

Cacao durable et traçable —
Partie 4: Exigences pour les systèmes de certification

STANDARDSISO.COM : Click to view the full PDF of ISO 34101-4:2019



STANDARDSISO.COM : Click to view the full PDF of ISO 34101-4:2019



COPYRIGHT PROTECTED DOCUMENT

© ISO 2019

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Fax: +41 22 749 09 47
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

Contents

	Page
Foreword	iv
Introduction	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Scheme owner requirements	4
5 Scheme development and management	6
6 Publicly available information	8
7 Complaints and appeals to the scheme owner	8
8 Requirements for certification bodies	9
8.1 General	9
8.2 Requirements for processes additional to those specified in ISO/IEC 17021-1	9
8.3 Audit cycle for the cocoa bean producing organization	11
8.4 Audit cycle for cocoa supply chain actors	11
8.4.1 General	11
8.4.2 Certification or recertification audit	12
8.4.3 Surveillance audits	12
8.5 Sampling	12
8.6 Methods to obtain information during audit	13
8.7 Time needed for an audit	13
8.8 Timeframe for resolving nonconformities	13
8.9 Expiration of a certificate	13
8.10 Re-obtaining a certificate	14
8.11 Requirements for competence of auditors additional to those specified in ISO/IEC 17021-1	14
9 Claims	14
9.1 General requirements	14
9.2 Conditions under which the client can use a claim	14
9.3 Business-to-business (B2B) claims	15
9.4 Business-to-consumer (B2C) claims	16
10 Third-party mark of conformity	16
11 Licensing and control	16
Annex A (normative) Requirements for cocoa sustainability management systems at entry level	17
Annex B (normative) Requirements for cocoa sustainability management systems at medium level	25
Annex C (informative) Examples of risks to be assessed	27
Annex D (informative) Risk-based control and review of certification bodies	28
Bibliography	29

Foreword

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

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

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

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

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

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

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

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

Introduction

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

Sustainably produced cocoa beans are obtained by fulfilling the management system requirements of either ISO 34101-1 or [Annex A](#) or [B](#), and the performance requirements of ISO 34101-2.

The stepwise approach of the ISO 34101 series comprises three requirement levels: entry, medium and high. The requirements for the three levels for the performance requirements are all specified in ISO 34101-2. The requirements for the three levels for the cocoa sustainability management system requirements are specified in ISO 34101-1 or this document as follows:

- entry: [Annex A](#);
- medium: [Annex B](#);
- high: ISO 34101-1.

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

The performance requirements specified in ISO 34101-2 are complementary to the cocoa sustainability management system requirements. Only organizations that fulfil both the cocoa sustainability management system requirements (either ISO 34101-1 or [Annex A](#) or [B](#)) and the performance requirements (ISO 34101-2) may claim their cocoa beans have been sustainably produced.

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

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

Document	Subject	Intended to be applied by
ISO 34101-1	High-level requirements for cocoa sustainability management systems. (Entry- and medium-level requirements for cocoa sustainability management systems are specified in this document.)	Registered cocoa farmers and organizations that are sustainably producing cocoa beans.
ISO 34101-2	Entry-, medium- and high-level requirements for performance (related to economic, social, and environmental aspects).	
ISO 34101-3	Requirements for traceability.	The cocoa supply chain actors.
This document	Requirements for certification schemes. Entry- and medium-level requirements for cocoa sustainability management systems. (The high-level requirements for cocoa sustainability management systems are specified in ISO 34101-1.)	Certification scheme owners and certification bodies certifying conformity to the ISO 34101 series. Organizations wishing certification by an accredited third-party certification body in order to make claims of conformity. Registered cocoa farmers and organizations that are sustainably producing cocoa beans applying the entry- or medium-level requirements for cocoa sustainability management systems.

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

In this document:

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

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

Sustainable and traceable cocoa —

Part 4: Requirements for certification schemes

1 Scope

This document specifies requirements for certification schemes for sustainable and traceable cocoa, including the certification of cocoa bean producing organizations and cocoa supply chain actors. It is to be used jointly with ISO 34101-1, ISO 34101-2 and/or ISO 34101-3.

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

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

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

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

2 Normative references

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

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

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

ISO 34101-3:2019, *Sustainable and traceable cocoa — Part 3: Requirements for traceability*

ISO/IEC 17000:2004, *Conformity assessment — Vocabulary and general principles*

ISO/IEC 17011, *Conformity assessment — Requirements for accreditation bodies accrediting conformity assessment bodies*

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO/IEC 17030:2003, *Conformity assessment — General requirements for third-party marks of conformity*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 34101-1, ISO/IEC 17000 and the following apply.

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

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

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

3.1 **accreditation**

third-party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks

[SOURCE: ISO/IEC 17000:2004, 5.6]

3.2 **accreditation body**

authoritative body that performs *accreditation* (3.1)

Note 1 to entry: The authority of an accreditation body is generally derived from government.

[SOURCE: ISO/IEC 17000:2004, 2.6]

3.3 **certification**

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

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

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

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

3.4 **certification body**

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

3.5 **certification requirement**

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

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

3.6 **certification scheme**

conformity assessment system related to specified products, processes, services and management systems, to which the same specified requirements, specific rules and procedures apply

Note 1 to entry: The term “conformity assessment system” is defined in ISO/IEC 17000:2004, 2.7.

Note 2 to entry: The rules, procedures and management for implementing product, process, service and management system *certification* (3.3) are stipulated by the certification scheme.

Note 3 to entry: General guidance for the development of schemes is given in ISO/IEC 17067, in combination with ISO/IEC TR 17026.

3.7 **cocoa supply chain**

sequence of the stages and operations involved in the movement and processing of cocoa, from farm to the point of exit from the factory door of the manufacturer of the final retail product

[SOURCE: ISO 34101-3:2019, 3.5]

3.8**cocoa supply chain actor**

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

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

3.9**client**

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

Note 1 to entry: Whenever the term “client” is used in this document, it applies to both the “applicant” and the “client”, unless otherwise specified.

3.10**farmer premium**

cash transfer of funds from the organization to a registered farmer for sustainably produced cocoa in addition to the price for equivalent conventional cocoa

Note 1 to entry: Premiums are provided to a registered farmer to reward his/her efforts and/or incentivize registered farmers to meet all the requirements of either ISO 34101-1 or Annex A or B and ISO 34101-2.

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

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

3.11**impartiality**

presence of objectivity

Note 1 to entry: Objectivity means that conflicts of interest do not exist, or are resolved so as not to adversely influence subsequent activities.

Note 2 to entry: Other terms that are useful in conveying the element of impartiality include “independence”, “freedom from conflict of interests”, “freedom from bias”, “lack of prejudice”, “neutrality”, “fairness”, “open mindedness”, “even-handedness”, “detachment”, “balance”.

[SOURCE: ISO/IEC 17021-1:2015, 3.2, modified — “of the certification body” has been deleted from the end of Note 1 to entry.]

3.12**major nonconformity**

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

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

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

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

3.13**scheme owner**

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

3.14

scope of certification

identification of:

- the product(s), process(es), service(s), cocoa field(s) or farm(s), or management systems for which the *certification* (3.3) is granted;
- the applicable *certification scheme* (3.6);
- the standard(s) and other normative document(s), including their date of publication, to which it is judged that the product(s), process(es), service(s) or management systems comply

3.15

supervisory council

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

3.16

surveillance

systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity

[SOURCE: ISO/IEC 17000:2004, 6.1]

3.17

third-party mark of conformity

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

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

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

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

3.18

verification

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

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

4 Scheme owner requirements

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

5 Scheme development and management

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

and outputs of cocoa supply chain actors operating mass balance traceability systems. The traceability system should allow the scheme owner to control the use of certificates, claims or third-party marks of conformity in accordance with this document. The traceability system may include provisions and procedures for validating transactions monitored by another scheme.

5.11 The scheme owner shall have a procedure and monitor implementation of that procedure for negotiation of farmer premiums, cost recovery mechanisms and the right of first refusal between:

- a) the first buyer and the cocoa bean producing organization;
- b) the cocoa bean producing organization and registered farmers.

The procedure shall provide that the outcome of the negotiations is documented and confirmed by both parties, and that the payments of cost recovery mechanisms and farmer premiums are recorded and verified. If a premium is paid in kind, the first buyer shall demonstrate the cash equivalent.

NOTE Regarding the requirement for the organization and registered farmers, see ISO 34101-1:2019, 4.5.1 g).

5.12 The scheme owner shall make arrangements to protect the confidentiality of information provided by the parties involved in the scheme.

5.13 The scheme owner shall have the financial stability and resources required to fulfil its role in the operation of the scheme.

5.14 The scheme owner shall have adequate arrangements to cover liabilities arising from its activities. Arrangements should be appropriate, for example, for the range of activities and schemes undertaken and in the geographic regions in which the scheme operates.

5.15 The scheme owner shall define a process for reviewing the operation of the scheme on a periodic basis. This review shall identify aspects requiring improvement, taking into account feedback from interested parties, including farmers, cocoa bean producing organizations and cocoa supply chain actors. The review should include provisions for ensuring that the scheme requirements are being applied in a consistent manner.

5.16 The scheme owner shall develop and implement a monitoring and evaluation plan that includes all the steps required to assess their contributions to economic, social and environmental impact. These steps include identifying the impact they are seeking to achieve, defining strategies, choosing indicators and collecting data, conducting regular analysis and reporting of data, as well as additional impact evaluations and setting up feedback loops to improve the scheme over time.

5.17 The scheme owner shall monitor changes of requirements in the ISO 34101 series and other normative documents that define the specified requirements used in the scheme. The scheme owner shall have a process for making the necessary changes in the scheme whenever changes in these documents occur, and for managing the implementation of the changes (e.g. transition period) by the certification bodies, clients and, where necessary, other interested parties.

5.18 The scheme owner should engage in periodic peer assessment of its scheme in accordance with the principles of ISO/IEC 17040. The result of this peer assessment of the scheme shall also be available to its supervisory council.

The scheme owner shall describe the specific actions taken or planned to be taken, within a defined time, to remedy any identified nonconformities and to inform the supervisory council accordingly.

6 Publicly available information

Scheme owners shall ensure the following information is maintained and made publicly available in a timely manner, by the scheme owner or by the certification body, as appropriate:

- a) operational framework and organizational structure of the scheme;
- b) policy on impartiality and the risk management policies and processes associated with ensuring impartiality and independence;
- c) impact of the scheme towards a sustainable cocoa sector, see [5.16](#);
- d) type of assessment process employed, including methodology, sampling requirements and frequency of assessment;
- e) list of certification bodies that are approved to certify clients to the scheme requirements;
- f) list of accreditation bodies having accredited the above-mentioned certification bodies;
- g) procedure for control and review of certification bodies;
- h) current list of clients, including the issuer and expiry date of their certificates;
- i) list of clients whose certificates have been withdrawn;
- j) the result of any peer assessment of its scheme;
- k) policy on monitoring and validating transactions in sustainable and traceable cocoa, including provisions agreed with other schemes, as applicable;
- l) policy on premium and cost recovery negotiation(s) and its procedures;
- m) policy on sanctions for different levels of nonconformity.

NOTE These requirements are additional to requirements regarding publicly available information found in other clauses of this document [for example, in [4.4](#), [4.6 f\)](#), [7.1](#), [7.5](#) and [9.1](#)].

7 Complaints and appeals to the scheme owner

7.1 The scheme owner shall define and make publicly available a procedure for the handling of complaints and appeals against a client, a certification body or the scheme owner itself. At a minimum, the procedure shall provide that:

- a) complaints about contractual obligations between a client and the certification body, complaints about a client, and appeals against the decision of a certification body shall be addressed to the certification body in the first instance and resolved according to the certification body's complaints- and appeals-handling processes (see ISO/IEC 17021-1:2015, 9.7 and 9.8);
- b) complaints about the certification activities of a certification body shall be addressed to the certification body in the first instance and, in addition, the certification body shall provide a copy to the scheme owner upon receiving and resolving the complaint;
- c) complaints and appeals that have not been, or cannot be, resolved by the certification body shall be addressed to the scheme owner;
- d) complaints and appeals about nonconformity to the scheme owner's policies, procedures and certification requirements, including complaints relating to misleading statements or potential fraud, shall be addressed directly to the scheme owner;
- e) the scheme owner shall facilitate complaints (from clients and the public) regarding the scheme owner's policies, procedures, systems and certification requirements.

7.2 The scheme owner shall investigate and take appropriate action regarding complaints, including reviewing and taking any necessary corrective actions to its policies, procedures, systems and certification requirements.

7.3 The scheme owner shall retain documented information of all complaints and appeals, including actions undertaken to resolve them.

7.4 The scheme owner shall ensure that the submission, investigation and decision on complaints and appeals shall not result in any discriminatory actions against the complainant or appellant.

7.5 The scheme owner shall determine, together with the complainant or appellant and the certification body, to what extent the subject of the complaint or appeal and its resolution is made public.

7.6 The scheme owner shall provide an annual summary report to the supervisory council, as a means to support its role as specified in [4.6](#).

8 Requirements for certification bodies

8.1 General

8.1.1 Certification bodies shall fulfil the requirements specified in ISO/IEC 17021-1. Certification bodies shall permit clients to make claims of product conformity when allowed and controlled by a scheme operating in conformity with this document.

8.1.2 Certification bodies shall apply a risk-based audit approach (see ISO/IEC 17021-1:2015, 4.8). The certification body shall identify risks and establish the risk management procedures to be applied during the audit processes.

8.2 Requirements for processes additional to those specified in ISO/IEC 17021-1

8.2.1 The certification body shall have a legally enforceable agreement with each client for the provision of certification activities, in accordance with the relevant requirements of this document, including scope of certification, timeframe and fees.

8.2.2 The certification body shall determine the information needed for the application of certification and shall inform interested parties accordingly.

In case of a change of certification body, the client shall inform the new certification body prior to the certification audit of its fulfilment of requirement level and status, achievements of conformity with the requirements of this document, ISO 34101-1, ISO 34101-2 and/or ISO 34101-3 within the past certification period.

NOTE Examples of information to be shared with the new certification body are certification reports and internal auditing reports.

8.2.3 Prior to the certification audit, clients that are cocoa bean producing organizations shall inform the certification body which requirements, including levels, they intend to be certified to for cocoa sustainability management systems:

- entry-level requirements: specified in [Annex A](#); or
- medium-level requirements: specified in [Annex B](#); or
- high-level requirements: specified in ISO 34101-1;

and for performance, either:

- entry-level requirements: specified in ISO 34101-2; or
- medium-level requirements: specified in ISO 34101-2; or
- high-level requirements: specified in ISO 34101-2.

The cocoa bean producing 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.

The certification body shall plan the audit according to the claimed requirements level(s) (entry, medium or high). See [Table 1](#) for an example of an audit cycle for a cocoa bean producing organization starting at entry-level requirements.

Table 1 — Example of an audit cycle from entry level to high level

Type of audit	Requirements ^a	Timing and frequency
Certification audit	Annex A and ISO 34101-2, entry level.	Seasonal harvest: 4 months before to 4 months after start of the harvest. Continuous harvest: any time.
12-month verification	Annex A and ISO 34101-2, 12-month entry level and cocoa farm development plan (CFDP)-related requirements.	Within 12 months from the certification audit.
Surveillance audit		Max. 30 months from certification audit.
Recertification audit	Annex B and ISO 34101-2, medium level.	Max. 60 months from certification audit.
Surveillance audit		Max. 90 months from certification audit.
Recertification audit	ISO 34101-1 and ISO 34101-2, high level.	Max. 120 months from certification audit.
^a A cocoa bean producing organization can choose to apply for initial certification to the medium or high level as an alternative to starting at entry level.		

8.2.4 The certification body shall determine:

- a) the time needed for considering application forms from clients for certification of sustainable and traceable cocoa;
- b) the time needed to plan and accomplish a complete and effective audit of the client;
- c) information needed from the client before proceeding to audit planning.

The certification body shall inform clients accordingly and shall do so in a timely manner once the client has applied for certification.

The client may request the certification body to accept a change of scope of the certification (e.g. change in volume, numbers of registered farmers or number of sites). The certification body shall, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit. A certification body can decline an extension if the client does not provide sufficient evidence that the change in scope is justified.

8.3 Audit cycle for the cocoa bean producing organization

The certification body shall conduct a certification audit to assess all the requirements specified in ISO 34101-1 (or in [Annexes A](#) or [B](#)) and ISO 34101-2 and ISO 34101-3, as appropriate (see [8.4](#)).

The certification body shall conduct a verification audit within 12 months from the initial certification audit to assess:

- a) the requirements specified in ISO 34101-1 (or in [Annexes A](#) or [B](#)) related to the development of a plan and process to establish a CFDP for all registered farmers;
- b) the requirements specified in ISO 34101-2 that are indicated with a “12” as entry level.

The certification body shall conduct a surveillance audit within 30 months from the previous certification or recertification audit, whichever is more recent.

The certification body shall conduct recertification audits within 60 months from the previous certification or recertification audit, whichever is more recent.

See the example given in [Table 1](#) for the minimum audit cycle.

The certification body should conduct audits of certified clients at short notice or unannounced as necessary following the risk-based approach, or to investigate complaints, or in response to changes, or as follow up on suspended clients.

For the organization to advance to a next requirement level, the certification body shall perform an audit within the organization to demonstrate conformity to the requirements of that level. In accordance with ISO 34101-2 and [Annexes A](#) and [B](#), an organization shall not remain more than 60 months in either entry or medium levels.

The certification body shall identify, in consultation with the organization, whether or not the client has a seasonal production cycle, and shall plan the certification and recertification audit accordingly to take place within four months before or after the beginning of a harvest period.

The certification body may combine stage 1 and stage 2 of the initial certification audit (as specified in ISO/IEC 17021-1:2015, 9.1.3.2).

In cases where the initial certification audit in a seasonal production cycle leads to a positive certification decision, the cocoa harvested since the beginning of the harvest may be certified.

In cases where the initial certification audit in a continuous production cycle leads to a positive certification decision, the cocoa harvested after the date of this decision may be certified.

8.4 Audit cycle for cocoa supply chain actors

8.4.1 General

The certification body shall conduct a certification audit to assess all requirements specified in ISO 34101-3 for cocoa supply chain actors that make claims of conformity to ISO 34101-3 and either:

- a) take legal ownership of the certified cocoa; or
- b) physically handle the certified cocoa: all activities carried out (by the cocoa supply chain actor itself or outsourced to a subcontractor) on un-bagged, un-packaged or un-sealed products are considered physical handling activities.

Certification to ISO 34101-3 does not apply to cocoa bean producing organizations, except in cases where a cocoa bean producing organization takes legal ownership of another organization's sustainable cocoa or undertakes processing of cocoa products.

The scheme owner shall develop and implement a traceability risk assessment process, which allows for assessing the risk of each cocoa supply chain actor and its contractors. Subsequently, the outcome of the risk assessment shall determine the type of audit activity (e.g. on-site, desk audit) and appropriate frequency (e.g. annually, bi-annually).

The cocoa supply chain actor shall submit a new traceability risk assessment every five years, or whenever there is a significant change to its scope.

8.4.2 Certification or recertification audit

In cases where the traceability risk assessment reveals the need for a certification or recertification audit at the beginning of the audit cycle, the following applies.

- a) For cocoa supply chain actors who operate under IP and segregated traceability levels, the certification audit shall be conducted no later than four months after they have received their first purchase of cocoa certified to a scheme fulfilling the requirements of this document. The product received more than four months before the audit date cannot be claimed as certified to the scheme specified in this document.
- b) For cocoa supply chain actors who operate under mass balance traceability level, the certification audit shall be conducted no later than four months after their first purchase of cocoa certified to a scheme fulfilling the requirements of this document. The product purchased more than four months before the audit date cannot be claimed as certified to the scheme specified in this document.

For cocoa supply chain actors who operate under mass balance traceability level and who sell the product with a claim regarding a specific origin, the certification body shall verify the cocoa liquor inputs in order to satisfy the requirements of ISO 34101-3:2019, 9.2.

Cocoa supply chain actors shall not claim conformity to the scheme in this document until a valid certificate is received.

The certification body may combine stage 1 and stage 2 of the initial certification audit (as specified in ISO/IEC 17021-1:2015, 9.1.3.2).

8.4.3 Surveillance audits

In cases where the traceability risk assessment reveals the need for surveillance audits during the audit cycle, these audits shall be conducted in the period spanning from four months before to four months after the annual anniversary date of the certificate for all cocoa supply chain actors.

8.5 Sampling

The certification body shall ensure that physical auditing shall be conducted with the following minimum sampling sizes:

- a) in cases where a single farmer is a cocoa bean producing organization: the square root of the total number of cocoa fields (rounded up), the cocoa sustainability management system and the site where it is documented;
- b) in cases of registered farmers in a cocoa bean producing organization: the square root of the total number of farmers (rounded up), the cocoa sustainability management system and the site where it is documented;
- c) in cases of a cocoa supply chain actor: the square root of the total number of sites (rounded up), the mass balance administration (for a site or a group of sites) and the site where it is documented.

The sample shall be selected according to risk management procedures.

8.6 Methods to obtain information during audit

Certification bodies' methods to obtain information, additional to those specified in ISO/IEC 17021-1:2015, 9.4.4.2, shall include:

- a) on-site audit, including observation of activities;
- b) checking of facilities;
- c) interviews with registered farmers and their hired workers in cases of cocoa bean producing organizations, as well as with the workers of the cocoa bean producing organization or cocoa supply chain actor;
- d) confirmation of data (e.g. good agricultural practices, working conditions, nonconformities);
- e) reviews of complaints and allegations.

8.7 Time needed for an audit

For cocoa bean producing organizations, the following minimum time allowances shall be respected for the on-site audit activities (if deemed necessary, more time should be allocated):

- a) for a cocoa field, a minimum of one-sixth of a man-day;
- b) for a cocoa sustainability management system, a minimum of half a man-day.

For cocoa supply chain actors, the following minimum time allowances shall be respected for the on-site audit activities (if deemed necessary, more time should be allocated):

- for a processing site audit, a minimum of one-quarter of a man-day.

8.8 Timeframe for resolving nonconformities

In cases where nonconformities have been identified during the certification, 12-month verification, surveillance or recertification audit, both the certification body and the client shall agree on a timeframe in which the corrections and corrective actions shall be undertaken, with a maximum of six months from the date of the audit report. Unless the certificate is suspended or withdrawn, the client and its cocoa is considered certified during this timeframe provided it is not an initial certification audit.

If the certification body does not verify the effectiveness of corrections and corrective actions of any nonconformity within six months from the date of the audit report for the certification or recertification audit, the certification body shall not grant a certificate or recertify an organization.

If the certification body is not able to assess the implementation of corrections and corrective actions of any nonconformity within six months from the date of the audit report after the 12-month verification or surveillance audit, the certification body shall withdraw the certificate.

In order to become recertified, the client shall receive a new certification audit. Certification can be restored only 12 months or more after the verification or surveillance audit that led to the withdrawal of the certificate.

8.9 Expiration of a certificate

When a client's certificate expires, the certification body shall inform the clients that they cannot claim, from the expiration date of the certificate, that their cocoa is certified to the scheme specified in this document.

8.10 Re-obtaining a certificate

In cases where a client has re-obtained certification, the certification body shall not allow claims that the cocoa produced under the expired certificate is certified to the scheme specified in this document.

8.11 Requirements for competence of auditors additional to those specified in ISO/IEC 17021-1

In addition to the requirements specified in ISO/IEC 17021-1, the certification body shall ensure that auditors' competences include:

- a) knowledge of agronomy and skills to identify the adoption of good agricultural and environmental practices;
- b) knowledge of human rights, including labour rights, skills to evaluate human rights policies and programmes, and skills to identify human rights abuses, including the worst forms of child labour and forced labour;
- c) knowledge to determine whether a client has identified and evaluated its compliance with all applicable statutory and regulatory requirements, and its conformity with other specified requirements within the specific aspect to be audited.

NOTE 1 Statutory and regulatory requirements can be expressed as legal requirements.

NOTE 2 Other requirements can include voluntary national, international and sector-specific protocols for environmental reporting.

Personnel involved in competence evaluation shall have, as a minimum, equivalent competence to the functions being evaluated.

9 Claims

9.1 General requirements

Claims or third-party marks of conformity for sustainable and traceable cocoa conforming to the ISO 34101 series are optional.

If the scheme owner allows claims or third-party marks of conformity, these shall be claims or marks of product conformity (i.e. claims or marks of sustainable and traceable cocoa), and the scheme owner shall control the use of claims or third-party marks of conformity. The scheme owner shall define a policy and procedure(s) related to misleading use of certificates, marks or claims, and for situations in which the cocoa no longer fulfils requirements.

The scheme owner shall establish rules for the use of claims or third-party marks of conformity. These rules shall meet the requirements and conditions of this document and shall be made publicly available.

NOTE Claims can be used for business-to-business (B2B) as well as business-to-consumer (B2C) communications.

9.2 Conditions under which the client can use a claim

The scheme owner shall permit clients that meet all the requirements of the scheme to claim that cocoa is certified as sustainable and traceable in conformity with this document.

The scheme shall validate the amount of sustainable and traceable cocoa that a client may claim as conforming to this document.

An IP claim can only be made if 100 % of the cocoa in the product fulfils the requirements of this document, including either:

- the ISO 34101-3 requirements related to IP traceability; or
- the ISO 34101-1 or [Annex A](#) or [B](#) requirements related to segregation.

A segregation claim can only be made if 100 % of the cocoa in the product (with 10 % tolerance for unavoidable mixing by cocoa supply chain actors) fulfils the requirements of this document, including either:

- the ISO 34101-3 requirements related to segregated traceability; or
- the ISO 34101-1 or [Annex A](#) or [B](#) requirements related to segregation.

A mass balance claim can only be made by a cocoa supply chain actor if 100 % of the cocoa in the product fulfils the requirements of this document, including the ISO 34101-3 requirements related to mass balance traceability (i.e. 100 % of the cocoa in the output corresponds to equivalent inputs).

NOTE 1 As the scheme requires third-party certification, first- and second-party conformity assessments cannot lead to a claim stating conformity with this scheme. In addition, in accordance with [Clause 8](#), conformity to a selection of requirements cannot lead to a claim of conformity with this scheme.

NOTE 2 The fulfilment of the requirements level (entry, medium, high) does not influence the claim or type of claim that can be used.

9.3 Business-to-business (B2B) claims

A B2B claim shall be phrased as follows:

- a) short version: "ISO 34101-4:2019 certified under [scheme name] by [certification body name], [traceability type]";
- b) long version:
 - 1) "ISO 34101-4:2019 certified under [scheme name] by [certification body name] to" followed by either, as applicable:
 - i) "ISO 34101-1:2019 and ISO 34101-2:2019"; or
 - ii) "ISO 34101-1:2019 and ISO 34101-2:2019 and ISO 34101-3:2019 [traceability type]"; or
 - iii) "ISO 34101-4:2019, Annex A, and ISO 34101-2:2019"; or
 - iv) "ISO 34101-4:2019, Annex A, and ISO 34101-2:2019 and ISO 34101-3:2019 [traceability type]"; or
 - v) "ISO 34101-4:2019, Annex B, and ISO 34101-2:2019"; or
 - vi) "ISO 34101-4:2019, Annex B, and ISO 34101-2:2019 and ISO 34101-3:2019 [traceability type]"; or
 - vii) "ISO 34101-3:2019 [traceability type]".

A claim can be stated in any type of commercial documentation. A B2B claim shall not be publicly accessible.

NOTE For a cocoa bean producing organization, the traceability type is segregated (see ISO 34101-1:2019, 8.5).

9.4 Business-to-consumer (B2C) claims

Any publicly accessible claims, including online communications and communications on final consumer packaging, shall meet B2C requirements of this subclause.

If a B2C claim is made, one of the claims given in [Table 2](#) shall be applied. Traceability type can also be noted.

Table 2 — B2C claims when certified to the ISO 34101 series by a third party

Traceability system	Long	Short
IP/segregation	Contains ISO 34101-4:2019 certified sustainable cocoa. ISO 34101 series contributes to a sustainable cocoa sector where farmer livelihoods improve. Farmers are committed to applying good agricultural, environmental, social and business practices.	Contains ISO 34101-4:2019 certified sustainable cocoa OR Contains certified sustainably produced cocoa (ISO 34101-4:2019)
Mass balance	[Company/brand] supports sustainable cocoa production certified to ISO 34101-4:2019. ISO 34101 series contributes to a sustainable cocoa sector where farmer livelihoods improve. Farmers are committed to applying good agricultural, environmental, social and business practices.	[Company/brand] supports sustainable cocoa production certified to ISO 34101-4:2019.

10 Third-party mark of conformity

The scheme owner shall ensure that the application of third-party marks of conformity is in accordance with the requirements specified in ISO/IEC 17030.

11 Licensing and control

11.1 Where the scheme provides for the use of certificates, third-party marks of conformity or other statements of conformity, the scheme shall control such use through a licence or other form of enforceable agreement with clients.

Licences may be between two or more of the following:

- a) scheme owner;
- b) certification body;
- c) client of the certification body.

11.2 Licences shall include provisions to ensure that statements of conformity are in accordance with the requirements specified in [Clause 9](#).

11.3 Licences shall include provisions related to the use of the certificate, third-party mark of conformity or other statement of conformity in communications about the certified product, and requirements to be fulfilled when certification is suspended, withdrawn, expired or otherwise no longer valid.

Annex A (normative)

Requirements for cocoa sustainability management systems at entry level

A.1 General

This annex specifies entry-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 a cocoa bean producing organization (hereafter referred to as “organization”).

NOTE 1 Post-harvest processes include pod-breaking, fermentation, drying, sorting, packing, transport and storage of cocoa beans.

The entry-level requirements specified in this annex apply to an organization from the first date of certification to this annex. The entry-level requirements are applicable for 60 months from the first date of certification.

NOTE 2 The medium-level requirements for cocoa sustainability management systems are specified in [Annex B](#).

NOTE 3 The high-level requirements for cocoa sustainability management systems are specified in ISO 34101-1.

NOTE 4 To enable a better understanding of the context, this annex includes cross references to the corresponding subclause in ISO 34101-1:2019.

If the organization applies the requirements in this annex, the organization shall document the first date of certification to the cocoa sustainability management system requirements specified in this annex.

A.2 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.

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.

NOTE The corresponding subclause is ISO 34101-1:2019, 4.3.

A.3 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.

NOTE The corresponding subclause is ISO 34101-1:2019, 8.4.

A.4 Registration of farmers to become part of the organization

A.4.1 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 ISO 34101-1 and ISO 34101-2;
- b) the cocoa farm development plan (CFDP) process;
- c) the cocoa sustainability activities of both parties for fulfilling the requirements specified in this annex (and in time [Annex B](#) and ISO 34101-1) 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 annex 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.

A.4.2 Registration of farmers

A.4.2.1 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 [A.4.1](#) 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.

A.4.2.2 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, if not known, estimated date of birth;
- 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. 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.

A.4.3 Confirmation of the registration of farmers

For the confirmation of farmer registration, the farmer shall decide to retain registration and the organization shall document that:

- a) the registered farmer's CFDP has been established (see [A.13](#)) 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 [A.4.1](#) 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.

A.4.4 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 with this annex and ISO 34101-2.

NOTE The corresponding subclause is ISO 34101-1:2019, 4.5.

A.5 Leadership and commitment

Top management of the organization shall demonstrate leadership and commitment with respect to the cocoa sustainability management system by ensuring that applicable statutory and regulatory requirements are determined, understood and consistently met.

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

- a) the costs of implementing the requirements in this annex 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;
- b) registered farmers are adequately assisted to fulfil the requirements of this annex 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 (e.g. distribution and receipt of any registered farmer premiums).

NOTE The corresponding subclauses are ISO 34101-1:2019, 5.1 k), and 5.3.2 g) and h).

A.6 Organizational roles, responsibilities and authorities

Top management shall assign the responsibility and authority to (an) individual(s) for ensuring that the necessary resources are provided for the operation of the cocoa sustainability management system processes.

NOTE The corresponding subclause is ISO 34101-1:2019, 5.3.2 i).

A.7 Non-discrimination and farmer representation

The organization shall establish and maintain organizational processes to ensure that the hiring and selection of all staff is non-discriminatory. Top management shall ensure that the process for selecting management promotes the inclusion of women. If applicable, the organization shall ensure the democratic election of registered farmer representatives to participate in management.

NOTE The corresponding subclauses are ISO 34101-1:2019, 5.3.1 and 5.4.

A.8 Training and coaching

The organization shall provide education, training and coaching to registered farmers to meet the requirements specified in this annex and ISO 34101-2, including requirements specified in individual CFDPs.

NOTE The corresponding subclause is ISO 34101-1:2019, 5.3.2 c).

A.9 Resources, cost identification and recovery mechanisms

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

- a) what needs to be obtained from external providers;
- b) financing negotiated with first buyers or other interested parties;

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

- c) agreements negotiated with first buyers.

NOTE 2 Agreements can be for farmer premiums.

NOTE 3 The corresponding subclause is ISO 34101-1:2019, 7.1.1.

A.10 Competence

The organization shall identify the competencies necessary to support the organization and its registered farmers in meeting requirements in this annex and those of ISO 34101-2. The organization shall ensure that persons working under its control meet these competencies and shall document any actions that have been taken to acquire or increase the necessary competencies.

NOTE The corresponding subclause is ISO 34101-1:2019, 7.2 b), c) and d).

A.11 Documented information

The organization shall create, update and control documented information that relates to the fulfilment of the requirements specified in this annex and in ISO 34101-2.

NOTE The corresponding subclause is ISO 34101-1:2019, 7.5.

A.12 Annual work plan and communication

The organization shall develop, monitor and report activities against annual work plans to support the implementation requirements of ISO 34101-2. These plans and reports shall be communicated to the registered farmers. The organization shall establish a feedback mechanism for the registered farmers.

NOTE The corresponding subclauses are ISO 34101-1:2019, 7.4 and 8.2.1.

A.13 Cocoa farm development plan (CFDP)

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 (a) 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.

The CFDP shall fulfil the requirements specified in ISO 34101-1:2019, Annex D. Additional guidance is given in ISO 34101-1:2019, 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 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 annex, the organization shall develop a process and a plan to establish the CFDPs for all registered farmers.

Within 30 months after the first claim of conformity to this annex, 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 annex, 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.

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.

NOTE The corresponding subclause is ISO 34101-1:2019, 8.2.2, and Annexes C, D and E.

A.14 Traceability

A.14.1 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 annex and ISO 34101-2.

A.14.2 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, connaissance, voucher);
- b) pick up location/name;
- c) name and identification (ID) of the delivering registered farmer;
- d) name of the organization;