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Sustainable and traceable cocoa —

Part 3:
Requirements for traceability

Cacao durable et traçable —

Partie 3: Exigences de traçabilité

Reference number
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Foreword

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

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

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

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

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

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Introduction

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 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 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 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 ISO 34101-4:2019, Annex A or B) and the performance requirements (ISO 34101-2) may claim their cocoa beans have been sustainably produced.

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

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

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Document	Subject	Intended to be applied by
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.
ISO 34101-2	Entry-, medium- and high-level requirements for performance (related to economic, social, and environmental aspects).	
This document	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 requirements for the traceability of sustainably produced cocoa. A traceability system for sustainably produced cocoa is a technical tool to assist a cocoa supply chain actor operating within a cocoa supply chain to achieve defined sustainable cocoa objectives. The complexity of the traceability system for sustainably produced cocoa may vary depending upon requirements of each stage of the cocoa supply chain and the objectives to be achieved.

It is intended to be flexible enough to allow cocoa supply chain actors within the sustainably produced cocoa supply chain to achieve identified objectives but robust enough to ensure credible implementation. The choice of a traceability system for sustainably produced cocoa is influenced by applicable requirements, product characteristics and customer expectations.

Traceability determines the history or location of sustainably produced cocoa. Due to the complexity of the cocoa supply chain, mass balance is an acceptable traceability system in this document.

The mass balance system administratively monitors the trade of conforming cocoa throughout the cocoa supply chain, and facilitates the development of mainstream trade in sustainably produced cocoa. The mass balance system allows everyone within the cocoa supply chain to demonstrate their commitment to sustainable cocoa production.

Traceability requires the engagement and collaboration of actors along the entire cocoa supply chain. Developments in technology and demands for greater transparency from both business and government sectors are making this increasingly more manageable.

The implementation by a cocoa supply chain actor of a traceability system for sustainably produced cocoa depends on technical limits inherent to the cocoa supply chain actor and the cocoa (e.g. the nature of the raw cocoa, size of the lots, collection, handling, transport, production and processing procedures), and the cost and benefits of applying such a system.

In this document:

— “shall” indicates a requirement;

— “should” indicates a recommendation;

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— “may” indicates a permission;

— “can” indicates a possibility or a capability.

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

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