

FLO-CERT GmbH

Public Compliance Criteria List - Small Producers' Organisations

Compliance Criteria are established by FLOCERT to translate requirements of the Fairtrade Standards and FLOCERT requirements into verifiable control points that are evaluated during the certification process to determine compliance with the Fairtrade Standards. Non-conformity with a Compliance Criterion is considered non-conformity with the respective standard requirement. Each Compliance Criterion is linked to a specific timeline indicating when it needs to be fulfilled.

There are three types of Compliance Criteria:

Core (C): reflect Fairtrade principles and must be complied with.

Major (M): reflect key Fairtrade principles where non-compliance represents a major risk to the Fairtrade system. Non-conformity with a major compliance criterion may lead to certification sanctions.

Development requirements (D): refer to the continuous improvement that certified organizations must demonstrate. Compliance with development criteria is verified against an average score.

Instead of a plain yes/no-approach there are 5 levels of compliance, called ranks. Rank 1 and 2 indicate non-compliance whereas ranks 3 to 5 indicate compliance with the Fairtrade Standards. The FLOCERT Public Compliance Criteria List - Small Producers' Organizations - is based on the Fairtrade Standard for Small Producer Organizations (dated May 1st 2011) and the Fairtrade Product Standards published by Fairtrade International.

This version of the Compliance Criteria supersedes all previous versions. The Compliance Criteria are published in several languages. In the case of an interpretation dispute in any of the published languages, the English version of the Compliance Criteria prevails.

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|---|--------|--------|--------|--------|--------|------|---------------|
| | | | Preparation questions for auditor | | | | | | | |
| | | 0.0.0.01 | Does the organizations and/ or individual members have more than 20 workers that are present for one month or more during a year or fewer workers where the local law has defined a lower number? | | | | | | 0 | |
| | | 0 | Definition of a 2nd grade or 3rd grade structure | | | | | | | |
| | | 0.1 | Structural Requirements | | | | | | | |
| | | 0.1.1 | 2nd grade organisations | | | | | | | |
| 4.2.1 | 2nd grade, 3rd grade | 0.1.1.01 | A 2nd grade organisation is legally formed by at least two 1st grade member organisations as legal entities, under the control of a central structure. | No | | Yes | | | 0 | C |
| | | 0.1.2 | 3rd grade organisations | | | | | | | |
| 4.2.1 | 2nd grade, 3rd grade | 0.1.2.01 | A 3rd grade organisation is legally formed by at least two 2nd grade member organisations, as legal entities under the control of a central structure. | No | | Yes | | | 0 | C |
| | | 0.2 | Organisational Requirements | | | | | | | |
| 4.2.1 | 2nd grade, 3rd grade | 0.2.0.01 | The 2nd/3rd grade organisation must be democratically controlled by their direct members, which are 1st grade/2nd grade organisations legally constituted and legally affiliated. | No | | Yes | | | 0 | M |

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|---------------------|----------------------|----------|---|---|--|--|---|--|----------|---------------|
| FLOCERT requirement | 2nd grade, 3rd grade | 0.2.0.02 | The scope of the Fairtrade Certification is decided at a General Assembly of all member organisations and addressed in the minutes of the General Assembly. | Scope of Fairtrade certification has not been decided upon OR is unclear. | Scope of Fairtrade certification exists but has not been decided at a General Assembly (GA) of all members OR is not addressed in the GA's minutes OR signatures of participants are missing OR is not up to date. | Scope has been decided by all members during a General Assembly BUT minutes lack some necessary details and not all are aware. | All member organisations are aware about the scope of Fairtrade certification AND this has been decided by all members during a General Assembly BUT minutes lack some necessary details. | All member organisations are aware about the scope of Fairtrade certification and this has been decided by all members during a General Assembly and minutes are clear and comprehensive and contain all signatures. | 0 | C |

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| 3.1.5 | 2nd grade, 3rd grade | 0.2.0.03 | <p>The 2nd/3rd grade organisation has implemented an Internal Control System on the 2nd/3rd grade level which enables the 2nd/3rd grade organisation to control compliance of the Fairtrade Standards on all levels of the organisation.</p> <p>General principles for a functioning ICS are:</p> <ul style="list-style-type: none"> •A documented description of the ICS •A documented management structure •One person responsible •An internal regulation •Identified internal inspectors •Training of personnel, internal inspector •Annual inspection protocols •Use of internal sanctions •Regularly updated Growers List •Use of risk assessment to address risks, threats to integrity | The organisation has taken no action to implement an Internal Control System. | Internal Control System exists but it is not followed in practice OR does not allow the organisation to control compliance with Fairtrade standards. | The Internal Control System is in place and allows the organisations' control but lacks some clarity OR slightly differs from its description. | The Internal Control System is in place and followed and contains all necessary details and follows the defined procedure. | = RANK 4 AND detailed records exist. | 3 | D |
| | | 0.3 | Overall Responsibilities of 2nd/3d grade organisations | | | | | | | |
| FLOCERT requirement | 2nd grade, 3rd grade | 0.3.0.01 | The 2nd/3rd grade organisation must ensure that all member organisations comply with national legislation. | There is no control OR member organisations do not comply with national legislation. | There is some control OR the majority of member organisations does not comply with national legislation. | All member organisations do comply with national legislation but control is not fully effective. | There is full control and all member organisations do comply with national legislation. | = RANK 4 AND the 2nd/3rd grade organisation checks this when accepting new members. | 0 | C |

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| FLOCERT requirement | 2nd grade, 3rd grade | 0.3.0.02 | The 2nd/3rd grade organisation must ensure that the Fairtrade principles are respected also by member organisations and for products that are not included in the Fairtrade Certification scope. This means that the 2nd/3rd grade organisation implements the core Fairtrade principles at all member organisations affiliated. The core principles are defined as major compliance criteria in the FLOCERT Public Criteria List for Small Producer Organisations. | Members outside of the Fairtrade scope do not comply with the core Fairtrade principles OR the 2nd/3rd grade organisation does not have any control on compliance OR there is no definition on the scope of Fairtrade certification. | There is a procedure on how to check compliance with Fairtrade core principles but the majority of members outside of the Fairtrade scope does not comply with these principles OR there is no monitoring procedure but some members do comply. | All members do comply with core Fairtrade principles but the procedure in place on how to check compliance with Fairtrade core principles lacks some details. | There is an adequate procedure in place on how to check compliance with Fairtrade core principles and all member organisations comply with these principles. | = RANK 4 AND all member organisations are fully aware of all core Fairtrade principles. | 0 | C |
| | | 1 | General Requirements | | | | | | | |
| | | 1.1 | Certification | | | | | | | |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 1.1.0.01 | You have a countersigned copy of the latest version of the FLOCERT certification contract (version 45) | No | | Yes | | | 0 | C |

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| 1.1.1 | 1st grade, 2nd grade, 3rd grade | 1.1.0.02 | You accept announced and unannounced audits at your premises including subcontracted premises and provide all requested information needed to demonstrate compliance with the Fairtrade standards. | No, the organisation denied access to sites or documents OR to confidential interviews with members or workers OR otherwise undermined audit. | No, certain key persons were not reachable for unjustified reasons OR the organisation was not active on bridging the information gaps. | Yes BUT information was poorly prepared but the organisation was active on bridging the gaps OR certain key persons were not reachable due to understandable reasons. | Yes | Yes AND the information for the audit was carefully prepared. | 0 | M |
| 1.1.2 | 1st grade, 2nd grade, 3rd grade | 1.1.0.03 | You have designated in writing one official contact person to FLOCERT. | The organisation does not have a contact person. | | The organisation identified the contact person only during the audit. | The organisation identified it in writing prior to the audit. | The organisation identified it in writing prior to the audit AND the person actively communicates with FLOCERT. | 0 | C |

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| 1.1.2 | 1st grade, 2nd grade, 3rd grade | 1.1.0.04 | You ensure that the contact person keeps FLOCERT updated with contact details and important information. | Structural changes occurred that affect certification status without informing FLOCERT OR the organisation cannot be reached prior to the audit OR there is no contact person. | Changes in contact details/persons occurred without the organisation informing FLOCERT OR the contact person is unaware of functions. | There has been no change but the contact person is unaware of functions. | | The organisation is always reachable AND has communicated all changes. | 0 | C |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 1.1.0.05 | The average score for development criteria is equal or above 3. | No | | Yes | | | 3 | C |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 1.1.0.06 | All non-conformities of the previous audit have been corrected. | No | | Yes | | | 1 | M |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 1.1.0.07 | The conditions of granted exceptions are met. | No | | Yes | | | 1 | C |

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| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 1.1.0.08 | (Only applicable if you receive a complaint related to compliance with requirements of the applicable Fairtrade Standards or a Fairtrade product) You handle and document all complaints and follow-up actions relating to compliance with requirements of the applicable Fairtrade Standards. These records must be made available to the auditor. | Complaints were received, which have not been followed up and/or not documented. | There is a written procedure for complaint management, but the complaint has not been followed up and documented. | There is a proper documentation of the actions taken on the complaints and its follow up and documents. | | There is a written procedure for complaint management and complaints are handled in line with the procedure AND complaints and follow up are documented. | 1 | C |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 1.1.0.10 | You as the small producer organisation only sell products as Fairtrade if you have a valid certificate or Permission to Trade. | No | | Yes | | | 0 | M |

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| FLOCERT Requirement | 1st grade, 2nd grade, 3rd grade | 1.1.0.11 | (Applicable if the customer has been suspended since the last audit) Upon suspension of Fairtrade certification, the customer has discontinued its use of all advertising matter that contains any reference to its certified status. | The customer is continuing with usage of advertising matter which contains clear reference to its certified status. | The customer has done little to discontinue the use of advertising matter containing references to its certified status, the advertising matter used during suspension refers to the certified status of the customer. | The customer has discontinued its use of all advertising matter that contains any reference to its certified status during suspension. | | | 1 | C |

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| TS 1.1.3 | 1st grade, 2nd grade, 3rd grade | 1.1.0.14 | You have a contract with each additional entity that you do not 100 % own that requires compliance with the respective Fairtrade Standard, stating that FLOCERT is authorized to conduct on-site audits of the additional entity (does not apply to entities that do not fall into the scope of certification or have their own FLOCERT certification) and requiring regular reporting, when requested by FLOCERT. | There are no contracts. | The contracts do not have all the requirements listed in this CC or some of the additional entities do not have contracts. | Complete contracts with all additional entities. | | | 0 | C |
| Trader standard 1.1.3 | 1st grade, 2nd grade, 3rd grade | 1.1.0.15 | (Does not apply to entities that do not fall into the scope of certification) Your additional entities where Fairtrade activities take place comply with the definition of additional entity and are registered with FLOCERT (see Scope of Certification on the FLOCERT website). | No | | All the additional entities that are used to handle Fairtrade products are registered with FLOCERT AND comply with the AE definition. | | | 0 | C |
| FLOCERT Requirement | 1st grade, 2nd grade, 3rd grade | 1.1.0.16 | (As of March 2018) (For cocoa producers applicable as of July 2017) You confirm correct transaction reports of your trade partners in the traceability tool Fairtrace. | No | | Yes | | | 0 | C |
| | | 1.2 | Members are Small Producers | | | | | | | |

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| 1.2.1 | 1st grade | 1.2.0.01 | At least 50% of the members of your organisation are small producers that comply with the following requirements: (less labour intensive products) Farm work is mostly done by the member and its family and workers are not hired all year around. (highly labour intensive products) - They hire less than a maximum number of permanent workers, as defined and published by Fairtrade International. - The size of the land they cultivate is equal to or below the average of the region, as defined and published by Fairtrade International - They spend most of their working time doing agricultural work on their farm. - Most of their income comes from their farm. | The information available does not allow determining small producer status of members. | Less than 50% of members are small producers. | At least 50% of members are small producers. | RANK 3 AND the information easily available in the member lists. | RANK 4 AND the small farmer requirements are clearly mentioned in the member inclusion process. | 0 | M |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 1.2.0.03 | All meeiros producing the same product as the land owner are invited for membership with the organization and comply with the FT production standards regardless of their membership status. | No | | Yes | | | 0 | C |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 1.2.0.04 | All meeiro relationships are regulated by a written contract and the contracts approved by the local union and in accordance with the law. | No | | Yes | | | 0 | C |

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|-----------|----------------------|----------|--|--|--|--|--|---|----------|---------------|
| 1.2.1 | 2nd grade, 3rd grade | 1.2.0.05 | <p>The majority of the producers of the member organisations which are included in the Fairtrade certification are Small Producers that comply with the following requirements: (less labour intensive products) Farm work is mostly done by the member and its family and workers are not hired all year around. (highly labour intensive products)</p> <ul style="list-style-type: none"> - They hire less than a maximum number of permanent workers, as defined and published by Fairtrade International. - The size of the land they cultivate is equal to or below the average of the region, as defined and published by Fairtrade International - They spend most of their working time doing agricultural work on their farm. - Most of their income comes from their farm. | As informações disponíveis não permitem determinar o status de pequeno produtor dos membros. | Less than 50 % of members are small producers. | At least 50% of members are small producers. | RANK 3 AND the information easily available in the member lists. | RANK 4 AND the small farmer requirements are clearly mentioned in the member inclusion process. | 0 | M |

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|-----------|---------------------------------|----------|---|--|---|--|---|---|----------|---------------|
| 1.2.2 | 1st grade, 2nd grade, 3rd grade | 1.2.0.06 | At least half of the volume of a Fairtrade product that your organisation sells as Fairtrade per year is produced by small producers. | Only 40% or less of sales of a Fairtrade product come from small producers OR the available information makes impossible to estimate this. | Less than 50% but at least 41% of sales of a Fairtrade product come from small producers OR production and sales data is inaccurate or incomplete and the risk is high. | Data is inaccurate or incomplete BUT the risk is negligible and the auditor can estimate compliance. | Production and sales data is complete and the organisation fulfils this rule. | = RANK 4 AND the organisation is aware of this rule and checks continuous compliance during sales OR all members are small producers. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|--|---|--|--|---|---|----------|---------------|
| 1.2.2 | 2nd grade, 3rd grade | 1.2.0.07 | Of every Fairtrade-certified product sold by the member organisation included in the Fairtrade certification, more than 50% of the volume must be produced by Small Producers. | Only 40% or less of sales of the member organisations come from small producers OR the available information makes impossible to estimate this. | Less than 51% but at least 41% of sales come from small producers OR production and sales data is inaccurate or incomplete and the risk is high. | Data is inaccurate or incomplete BUT the risk is negligible and the auditor can estimate compliance. | Production and sales data is complete and the organisation fulfils this rule. | = RANK 4 AND the organisation is aware of this rule and checks continuous compliance during sales OR all members are small producers. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|----------------------|---------------------------------|----------|--|---|--|---|------------------------------------|--------|------|---------------|
| Cane Sugar 4.4.2 | 1st grade, 2nd grade, 3rd grade | 1.2.0.08 | (Cane sugar) Where individual producers are members of more than one organization, you agree internally on your membership list and send it to the mill / exporter before harvest starts. The list includes the date and the expected overall volume of the organization and per member. | There is no membership list. Members are still members of more than one organization at a time. | There is a detailed membership list but it has not been sent to the mill/exporter OR there is a list but individual members are delivering for more than one organization at a time. | There is a detailed membership list with individual members and it has been sent to the mill/exporter AND members deliver only on behalf of their stated organizations. | Rank 3 AND the list has no errors. | | 0 | C |
| Fresh Fruit 1.1.1 | 1st grade, 2nd grade, 3rd grade | 1.2.0.09 | (1 January 2018) (Banana) The maximum size of the land where a member cultivates bananas is equal to or below 30 hectares. | No | | Yes | | | 0 | C |
| | | 2 | Trade | | | | | | | |
| | | 2.1 | Traceability | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|---|--|--|---|----------|---------------|
| 2.1.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.01 | Only products from members are sold as Fairtrade. | The product is not differentiated and more than 10 % of sales are mixed up (product from members and non-members) OR product from non members knowingly sold as Fairtrade. | 2% -10% of sales are mixed up (product from members and non members). | No mix up of product except possible mistakes up to 2% sales OR the structure of the organisation makes mixture of products very unlikely (negligible risk). | No mix up of product and no mistakes OR organisation does not source from non-members. | No mix up of product and no mistakes AND compliant with traceability system by not sourcing from non-members and having measures in place to avoid non-member business. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|--|---|--|--|--|--|----------|---------------|
| 2.1.1 | 2nd grade, 3rd grade | 2.1.0.02 | All Fairtrade products sold as Fairtrade must be originally produced and sourced from affiliated member organisations part of the Fairtrade certification. | The product is not differentiated and more than 10 % of sales are mixed up (product from affiliated members and non members) OR product from non members knowingly sold as Fairtrade. | 2% -10% of sales are mixed up (product from affiliated members and non members). | No mix up of product except possible mistakes up to 2% sales OR the structure of the 2nd/3rd grade organisation makes mixture of products very unlikely (negligible risk). | No mix up of product and no mistakes OR 2nd/3rd grade organisation does not source from non members. | No mix up of product and no mistakes AND compliant with traceability system by the 2nd/3rd grade organisation not sourcing from non members and having measures in place to avoid non member business. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|--|---|---|--|----------|---------------|
| 2.1.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.03 | You ensure that products from members are physically separated from non-members' products during transport, processing and storage. | No system to physically separate and mixing up indeed happens. | Mixture of products from members (at organisation or member level) is very likely to happen and the organisation took deficient actions. | There is a system in place to physically separate product even if there are small mistakes. | There is a system in place to physically separate product with no mistakes. | There is a physical traceability system in place to trace back product to each individual producer with no mistakes. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|----------------------|---------------------------------|----------|--|---|--|--|--|--|----------|---------------|
| 2.1.1 | 2nd grade, 3rd grade | 2.1.0.04 | The 2nd or 3rd grade organisation must have implemented an efficient and verifiable system and procedures to separate Fairtrade and non Fairtrade production, storage and sales. | No system to separate and mixing up indeed happens. | Mixture of products from affiliated members (at 2nd/3rd grade organisation or affiliate or member level) is very likely to happen and the 2nd/3rd grade organisation took deficient actions. | There is a system in place to separate product even if there are small mistakes. | There is a system in place to separate product with no mistakes. | There is a physical traceability system in place to trace back product to each individual producer/affiliate with no mistakes. | 0 | C |
| Fresh fruit 2.1.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.05 | (Banana) The traceability system on each box indicates the packing station, date of packing and the identification of every individual member of the organisation. | No | | Yes | | | 0 | C |
| 2.1.2 | 1st grade, 2nd grade, 3rd grade | 2.1.0.06 | You have a written description of product flow (path) from members to buyer. | The organisation cannot explain / does not fully know the product flow. | The organisation can explain the product flow but not reflected in writing /drawn. | Basic written/drawn description of the product flow. | | Full description as part of a written traceability procedure. | 0 | C |

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| 2.1.3 | 1st grade, 2nd grade, 3rd grade | 2.1.0.07 | Records of products sourced from members are kept. The records indicate the name of the individual member, date of purchase, product name, volume and the price received by the member. | Records are missing. | Records exist but are incomplete. | Complete sourcing records. | Complete records as part of a database of stock, purchases and sales, but it is not up to date. | Complete records as part of a database of stock, purchases and sales and fully up to date. | 0 | C |
| 2.1.3 | 2nd grade, 3rd grade | 2.1.0.08 | The 2nd/3rd grade organisation must provide the certification body with the total production and sales figures of all affiliated member organisations as well as an overview about the Fairtrade production and sales. | Figures are not available. | Figures are available but unclear or ambiguous OR total production and sales figures are available but Fairtrade production and sales figures are not or vice versa. | Total and Fairtrade production and sales figures are available but there are some unclarities. | Total and Fairtrade production and sales figures are available and there are no mistakes or unclarities. | Total and Fairtrade production and sales figures are available and there are no mistakes and all figures are up to date. | 0 | C |

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| 2.1.4 | 1st grade, 2nd grade, 3rd grade | 2.1.0.09 | Products sold as Fairtrade are clearly identified as Fairtrade in all sales documents (e.g. invoices, delivery notes etc). | Term "Fairtrade" or similar are missing in all documents. | Term "Fairtrade" or similar is mentioned in invoices BUT it is not possible to find a reference in other documents OR term "Fairtrade" missing in some invoices. | Term "Fairtrade" or similar is mentioned in all invoices AND it is possible to find a reference in other documents. | Term "Fairtrade" or similar is mentioned in all contracts, invoices and delivery notes AND it is possible to find a reference in other documents. | Term "Fairtrade" AND the FLO-ID are mentioned in all contracts, invoices, B/L, delivery notes, packing lists, etc. | 0 | C |
| 2.1.5 | 1st grade, 2nd grade, 3rd grade | 2.1.0.10 | You have in place records of all your Fairtrade sales that indicate the volume, the name and the Fairtrade International ID of the buyer and the date of the transaction. All invoices to your buyer include the processing yield if this is needed to calculate the applicable Fairtrade Premium / Fairtrade Minimum Price. These records are linked with the corresponding sales documents. You invoice for the correct premium amount promptly. | Records are missing. Premium not invoiced. | Records exist but are incomplete. Premium not correctly invoiced. | Complete Fairtrade sales records with a reference to sales documents. Premium correctly invoiced. | Complete records as part of a database of stock, purchases and sales but it is not up to date. Premium correctly invoiced. | Complete records as part of a database of stock, purchases and sales and fully up to date. Premium correctly invoiced. | 0 | C |

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| 2.1.5 | 2nd grade, 3rd grade | 2.1.0.11 | Contracts of the 2nd/3rd grade organisation clearly distinguish which sales are Fairtrade products. | Contracts do not distinguish between Fairtrade and non-Fairtrade sales. | The majority of contracts does not distinguish between Fairtrade and non-Fairtrade sales. | The majority of contracts distinguishes between Fairtrade and non-Fairtrade sales. | All contracts distinguish between Fairtrade and non-Fairtrade sales. | = RANK 4 AND documented traceability system in place. | 0 | C |
| 2.1.6 | 1st grade, 2nd grade, 3rd grade | 2.1.0.12 | You have in place records of all processed Fairtrade products specifying the amount of product before and after processing. | Organisation does not know processing yields. | Organisation knows rough average yields but has no records. | Organisation creates/obtains a record showing calculated yearly average yields. | | Organisation creates/obtains records showing real yields of each processing batch. | 0 | C |
| 2.1.7 | 1st grade, 2nd grade, 3rd grade | 2.1.0.13 | (If you produce and process cocoa, cane sugar, juice or tea and sell to operators without physical traceability this requirement does not apply) Fairtrade products are clearly marked with the relevant Fairtrade International IDs or the wording "Fairtrade International/Fairtrade". | On-product marks do not mention any term that can be identified as Fairtrade. | On-product marks that are frequently lost. | Detachable on-product mark with the term "Fairtrade" or similar. | Non-detachable on-product mark with the term "Fairtrade" or similar. | Non-detachable on-product mark with the term "Fairtrade" or similar and the name and ID of seller and buyer. | 0 | C |

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| 2.1.8 | 1st grade, 2nd grade, 3rd grade | 2.1.0.14 | (Cane sugar, Cocoa, Fruit juices, Tea) If you produce and process cocoa, cane sugar, juice or tea, and you sell to operators without physical traceability, you do not need to fulfill physical traceability at the processing stage but the volumes sold as Fairtrade do not exceed the equivalent volumes produced by your members. | There are estimated excessive sales by more than 10% OR there is no system that allows calculations | There are estimated excessive sales by 1-10%. | No excessive sales except possible mistakes estimated up to 1% of sales. | No excessive sales with no mistakes. | No mix up of product and no mistakes AND compliant with sourcing record system with records indicating the name of the individual member, date of purchase, product name, volume and the price received by the member. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------------|---------------------------------|----------|---|---|---|--|--|--|------|---------------|
| 2.1.8 | 1st grade, 2nd grade, 3rd grade | 2.1.0.15 | (Cane sugar, Cocoa, Fruit juices, Tea) If you want to sell cane sugar, cocoa, fruit juice and tea to operators that have physical traceability in place, you physically separate the product during processing. These products, when sold, are identified as a Fairtrade product with physical traceability. | No system to separate and mixing up indeed happens. | Mixture during processing is very likely to happen and the organisation took deficient actions. | There is a system in place to separate product even if there are small mistakes. | There is a system in place to separate product with no mistakes. | There is a physical traceability system in place to trace back product to each individual producer with no mistakes. | 0 | C |
| 2.1.8 | 1st grade, 2nd grade, 3rd grade | 2.1.0.16 | (Cane sugar, Cocoa, Fruit juices, Tea) The products have been produced and sourced from members before the sale of the Fairtrade product. | No | | Yes | | | 0 | C |
| 2.1.8 | 1st grade, 2nd grade, 3rd grade | 2.1.0.17 | (Cane sugar, Cocoa, Fruit juices, Tea) The product from your members is delivered and processed in the same site where the Fairtrade product is processed. | No | | Yes | | | 0 | C |
| 2.1.8 | 1st grade, 2nd grade, 3rd grade | 2.1.0.18 | (Cane sugar, Cocoa, Fruit juices, Tea) The product from members is of the same kind and quality as the input used to process the Fairtrade product. | No | | Yes | | | 0 | C |
| Fresh fruit 1.4.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.19 | (Banana) The seller notifies the Fairtrade payer (or ripener) in writing about the arrangement of counter inspection by an authorised surveyor within 48 hours after receiving the quality claim. If the seller does not react to the quality claim report within the specified period, the buyer (or ripener) may assume that the seller accepts the refusal of the fruit. | No notification. | Notification made, but not in writing. | Notification made in writing within 48 hours. | Notification made in writing immediately. | = RANK 4 AND all communication clearly documented and filed. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|--------------------|---------------------------------|----------|--|--------|--------|--------|--------|--------|------|---------------|
| Fresh fruit 1.4.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.20 | (Banana) The authorised surveyor is contracted and paid by the seller, unless both parties have agreed otherwise. | No | | Yes | | | 0 | C |
| Fresh fruit 1.4.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.21 | (Banana) Both parties (seller and buyer or ripener) accept the results of the authorised independent surveyors as binding and the ultimate basis of settlement of any dispute over the quality of the fruit. | No | | Yes | | | 0 | C |
| TS 2.2.1 and 2.2.4 | 1st grade, 2nd grade, 3rd grade | 2.1.0.23 | (Food composite products) (Not applicable for FSP) You ensure that food composite ingredients and food composite products contain as many Fairtrade ingredients as available unless you have been granted an exception. | No | | Yes | | | 0 | C |
| TS 2.2.2 | 1st grade, 2nd grade, 3rd grade | 2.1.0.24 | (Food composite products) (Not applicable for FSP) Food composite products contain at least 20% Fairtrade content. You express the percentages of the Fairtrade ingredient/s in weight (or volume) relative to the total weight (or volume) of all the initial ingredients before processing. For products with >50% added water or dairy, you are allowed to exclude all added water and/or dairy from the percentage calculations. This also applies to juices from concentrate but not fresh juices. | No | | Yes | | | 0 | C |
| TS 2.2.3 | 1st grade, 2nd grade, 3rd grade | 2.1.0.25 | (Finished food composite products) (Not applicable for FSP) If you sell food composite products, you declare on the back of the packages the minimum percentage of Fairtrade certified ingredients used, unless this contradicts national law. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|--|--|---|------|---------------|
| 2.1.4 | 1st grade, 2nd grade, 3rd grade | 2.1.0.26 | Fairtrade products received from and sent back to the operator are clearly identified as Fairtrade in all documents. | Term "Fairtrade" or similar missing in all documents. | Term "Fairtrade" or similar in invoices BUT it is not possible to find a reference in other documents. | Term "Fairtrade" or similar in all invoices AND it is possible to find a reference in other documents. | Term "Fairtrade" or similar in all contracts, invoices and delivery notes AND it is possible to find a reference in other documents. | Term "Fairtrade" or similar in all contracts, invoices, B/L, delivery notes, packing lists, etc. | 0 | C |
| 2.1.5 | 1st grade, 2nd grade, 3rd grade | 2.1.0.27 | You have in place records of all your Fairtrade transactions that indicate the volume, the name and the Fairtrade International ID of the operator and the date of the transaction. These records are linked with all corresponding documents. The sub-contractor has clearly identified all certified products as Fairtrade in all documentation about volumes received from and sent to the operator. | Records are missing. | Records exists but are incomplete. | Complete processing and Fairtrade sales records with a reference to sales documents. | Complete records as part of a database of stock, purchases and sales but it is not up to date. | Complete records as part of a database of stock, processed volumes, purchases and sales and fully up to date. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|---|--|--------|----------|---------------|
| 2.1.6 | 1st grade, 2nd grade, 3rd grade | 2.1.0.28 | You have in place records of all processed Fairtrade products specifying the amount of product before and after processing. | Organisation does not know processing yields. | Organisation knows rough average yields but has no records. | Organisation creates/obtains a record showing calculated yearly average yields. | Organisation creates/obtains records showing real yields of each processing batch. | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|---|--|--|--|----------|---------------|
| 2.1.8 | 1st grade, 2nd grade, 3rd grade | 2.1.0.30 | (Cane sugar, Cocoa, Fruit juices, Tea) If you produce and process cocoa, cane sugar, juice or tea, and your operator sells to operators without physical traceability, you do not need to fulfill physical traceability but the sub-contractor keeps records of all volumes of Fairtrade products received from and sent to the operator. Records shall allow the certification body to trace back from any given certified output to the certified inputs. The volumes sent back to the operator as Fairtrade do not exceed the equivalent volumes received from the operator and the product must be of the same kind and quality. | There are estimated excessive sales by more than 10% OR there is no system that allows calculations . No records kept by subcontract or of products received and sent back to producer. | There are estimated excessive sales by 1-10%. | No excessive sales except possible mistakes estimated up to 1% of sales. | No excessive sales with no mistakes. Subcontract or has records of products received and products sent back to producer. | No mix up of product and no mistakes AND compliant with sourcing record system with records indicating the name of the individual member, date of purchase, product name, volume and the price received by the member. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|--|--|--|----------|---------------|
| 2.1.8 | 1st grade, 2nd grade, 3rd grade | 2.1.0.31 | (Cane sugar, Cocoa, Fruit juices, Tea) If your operators wants to sell cocoa, cane sugar, juice and tea to operators that have physical traceability in place then you must physically separate the product during processing and record and follow physical traceability procedures. | No system to separate and mixing up indeed happens. No records of physical traceability procedures. | Mixture during processing is very likely to happen and the organisation took deficient actions. | There is a system in place to separate product even if there are small mistakes. | There is a system in place to separate product with no mistakes. | There is a physical traceability system in place to trace back product to each individual producer with no mistakes. The physical traceability procedures are recorded and followed. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|------------------------|---------------------------------|----------|---|--|---|---|---|---|------|---------------|
| TS 2.1.4; 2.1.5 | 1st grade, 2nd grade, 3rd grade | 2.1.0.32 | (Applicable to all products.) (If you trade and/or process cocoa, cane sugar, juice or tea this requirement only applies if you wish to implement physical traceability.) You identify Fairtrade products as Fairtrade at all stages (e.g. storage, transport, processing, packaging, labelling and handling) AND when selling, as well as in all related records and documents through on-product lot numbers and/or identification marks. | Documents, records and on-product marks do not mention any term that can be identified as Fairtrade. | On-product marks that are frequently lost and some records cannot be identified as Fairtrade. | All records, documents and detachable on-product mark with the term "Fairtrade" or similar. | All records, documents and non-detachable on-product mark have the term "Fairtrade" or similar. | All records, documents and non-detachable on-product mark have the term "Fairtrade" or similar and the name and ID of seller and buyer. | 0 | C |
| TS 2.1.7 | 1st grade, 2nd grade, 3rd grade | 2.1.0.33 | (Not applicable for FSP) If you and the subcontractor combine physically and non-physically traceable ingredients in Fairtrade composite products, you ensure that the Fairtrade physically traceable ingredients comply with the physical traceability requirements. If for technical reasons this is not possible, you have been granted an exception by the certification body. | No | | Yes | | | 0 | C |
| Trader Standard 2.1.10 | 1st grade, 2nd grade, 3rd grade | 2.1.0.34 | (Single Site Mass Balance) (Cocoa, cane sugar, juice and tea (camellia sinensis)) You receive and process Fairtrade inputs at the same site where the Fairtrade output is processed. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|------------------------|--|----------|---|-----------------------|--|--|---|--------|------|---------------|
| Trader Standard 2.1.11 | 1st grade, 2nd grade, 3rd grade | 2.1.0.35 | (Cane sugar, Cocoa, Fruit Juices, Tea (camellia sinensis)) You ensure that Fairtrade inputs are of the same kind and quality as the inputs used to process the Fairtrade output (like for like). | No | | Yes | | | 0 | C |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 2.1.0.37 | If you sell composite products or ingredients you comply with the specific rules on product composition. | No | | Yes | | | 0 | C |
| Fibre Crops 2.1.1 | 1st grade, 2nd grade, 3rd grade, ATCB & FSP, FSP | 2.1.0.38 | (Seed cotton) (Applicable if you operate under the Fairtrade Sourcing Program - FSP) You report information about your sales of equivalent volumes of Fairtrade cotton to the Fairtrade tracking system (Fair Trace). | No reporting is done. | Only some transactions have been reported OR the reports are incomplete. | All transactions are reported correctly. | Rank 3 AND the records include all other information specified in the template provided by Fairtrade. | | 0 | C |
| Trader Standard 1.1.5 | 1st grade, 2nd grade, 3rd grade | 2.1.0.39 | You ensure that products sold as Fairtrade, not in consumer-ready packaging, are only sold to Fairtrade traders with a valid certification or permission to trade issued by FLOCERT or the responsible National Fairtrade Organization. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|------------------|---------------------------------|----------|---|---|---|---|---|--------|------|---------------|
| Cane Sugar 4.4.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.40 | (Cane sugar) You have an agreement with other producer organizations delivering to the same mill on how the Fairtrade Premium will be shared amongst the organizations. In case there is no such agreement in place, a mediation process has been concluded and you accept the result of the mediation. If there is no conclusion within 4 weeks after the mediation process has started, you accept that the payer distributes the premium according to the volume of sugar cane delivered by each organization. | There is no agreement and mediation has not been initiated. | There is no agreement and mediation has not been concluded after 4 weeks. | There is an agreement in place OR a mediation process has been concluded that considered other forms of distribution than according to the volume of sugar cane delivered by each organization OR the payer distributes the premium according to the volume of cane delivered by each organization. | Rank 3 AND all members of the organizations are aware of the distribution criteria. | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|------------------|---------------------------------|----------|---|---|--|--|--------|--|------|---------------|
| Cane Sugar 4.4.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.41 | (Cane sugar) You inform the mill about the agreement in writing before harvest starts. | No | | Yes | | | 0 | C |
| Cocoa 2.1.1 | 1st grade, 2nd grade, 3rd grade | 2.1.0.42 | (Cocoa) (Applicable if you sell semi-processed cocoa and apply mass balance.) You apply the following conversion rates for mass balance cocoa in the direction that is physically possible (beans to liquor, liquor to butter and powder): Until end 2017 . Beans to Liquor 0,8 . Liquor to Butter only 0,37 . Liquor to Powder only 0,42 . Liquor to Butter and Powder (to the ratio 100:113) 0,8 only if used over a period of up to 12 months. As of 2018 1 MT beans -> 0.82 MT liquor 1 MT liquor -> 0.5 MT butter and 0.5 MT powder 1 MT beans -> 0.41 MT butter and 0.41 MT powder | Current conversion rates are not applied. | Current conversion rates are still not applied or fully applied but the trader started a transition phase. | Current conversion rates are applied or transition is being finalized. | | Current conversion rates have been applied CORRECTLY since the date of announcement. | 0 | C |
| Cocoa 2.1.5 | 1st grade, 2nd grade, 3rd grade | 2.1.0.43 | (1 January 2018)(Cocoa) (Applicable if you sell semi-processed cocoa) You indicate in your sales documentation whether the product was segregated (physically traceable) or traded under mass balance. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------|---------------------------------|------------|--|--|--------|--|--------|--------|----------|---------------|
| Cocoa 2.1.6 | 1st grade, 2nd grade, 3rd grade | 2.1.0.44 | (1 January 2018)(Cocoa) (Applicable in case of multi-certification) You do not sell similar volumes of cocoa as Fairtrade for dual or multi-certified cocoa beans or semi-processed cocoa that has already been sold under certification schemes other than Fairtrade. | There is evidence that the same cocoa volume has been sold as Fairtrade. | | No indication that the same volume has been sold as Fairtrade. | | | 0 | C |
| | | 2.2 | Sourcing | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|---|--|---|--|------|---------------|
| 2.2.1 | 1st grade, 2nd grade, 3rd grade | 2.2.0.01 | For newly certified producers, products produced only a maximum of one year before certification are sold as Fairtrade. | Older product is not differentiated AND more than 10 % of Fairtrade product is mixed up (with older product) OR knowingly sell of older product. | 2 -10% of sales are mixed up (older product). | No mix up of older product except possible mistakes up to 2% sales OR the structure of the organisation makes mixture of products very unlikely (negligible risk). | No mix up of older product and no mistakes. | No mix up of product and no mistakes AND compliant with traceability system by sourcing only from members and separating the products that are produced by members from the products from non-members, at all stages, until the product is sold. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|---------------------|---------------------------------------|------------|--|---|--|--|-------------------------|--|----------|---------------|
| Cane Sugar 4.8.1 | 1st grade, 2nd grade, 3rd grade | 2.2.0.02 | (Cane sugar) You only sell your cane as retro-certified for a maximum of one year before the initial certification was granted. | Older product is not differentiated OR older cane is knowingly sold. | | No older crop sold or no mix up of older cane takes place. | Rank 3 AND no mistakes. | | 0 | C |
| | | 2.3 | Contracts | | | | | | | |
| 2.3.1 | 1st grade, 2nd grade, 3rd grade | 2.3.0.01 | (Only applicable if you were suspended since the last audit and/or any of your buyers was suspended) You do not sign new Fairtrade contracts if you are suspended OR sign new contracts with suspended trade partners. However, you have fulfilled existing Fairtrade contracts during the suspension period. In case of an existing trade partner with whom you have had at least one business transaction in the previous 12 months and with whom you have no written contracts, you have only traded (in the suspension period) up to 50% of the total volume (of each product) traded in the previous 12 months (from date of suspension). | Organisation knowingly exceeded volume of the contracts OR signed new ones. | The organisation was not properly informed and exceeded volume of the contract OR signed new ones. | Existing contracts have been honoured AND the organisation exceeds volumes of the contract by < 5% | | RANK 3 AND the organisation did not exceed volume of the contract. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|--------------|---------------------------------|----------|--|--|--|---|--------|---|------|---------------|
| 2.3.2 | 1st grade, 2nd grade, 3rd grade | 2.3.0.02 | (Applicable if you or your first Fairtrade buyer have been decertified) You stop trading any Fairtrade products from the date of decertification even if you had signed Fairtrade contracts. | Organisation knowingly sold products as Fairtrade. | The organisation sold as non-Fairtrade and did not remove Fairtrade marks OR was not properly informed and sold as Fairtrade to a decertified buyer. | The organisation finally sold as non-Fairtrade and did not change written contract but removed Fairtrade marks. | | The organisation finally sold as non-Fairtrade, removed Fairtrade marks and cancelled Fairtrade contract. | 0 | C |
| 2.3.3 | 1st grade, 2nd grade, 3rd grade | 2.3.0.03 | In case new Fairtrade prices are published you do fulfill the contracts you already signed at the earlier agreed price. | No | | Yes OR there was a mutual agreement with the buyer. | | | 0 | C |
| Coffee 2.3.4 | 1st grade, 2nd grade, 3rd grade | 2.3.0.04 | (Coffee) The producer notified the buyer of his intention to default a contract with a minimum of 2 months prior to the shipment date. | No | | Yes | | | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------------------------|---------------------------------|----------|--|------------------------|--|--|---|--------|------|---------------|
| Coffee 2.3.2 | 1st grade, 2nd grade, 3rd grade | 2.3.0.05 | (Coffee) When a broker is included in a commercial transaction by the producer the contract must: a) identify which party required its services and consequently will pay for them and the commission is not deducted from the FOB price. b) include agreement of the other party to the broker's participation. | No contract available. | Basic contract available, but none of the details required, no agreement of the other party. | Basic contract and agreement available which roughly mention the required details. | Good contract and agreement in place which mentions the required details in a clear manner. | | 0 | C |
| Coffee 2.3.1 | 1st grade, 2nd grade, 3rd grade | 2.3.0.06 | (Coffee) In the case of price-to-be-fixed contracts, whenever the seller asks to fix the price before the coffee harvest starts, there is written agreement by the payer/conveyer/buyer on doing this and a written risk management strategy agreed by both parties. | No | Only one of the two required documents available: written agreement or risk management strategy. | Both documents available, agreed by both parties. | | | 0 | C |
| Coffee 2.3.1 | 1st grade, 2nd grade, 3rd grade | 2.3.0.07 | (Coffee) The producer does not sign outright-priced-contracts with a duration longer than 1 crop period. | No | | Yes | | | 0 | C |
| Oilseeds and Oleaginous fruit | 1st grade, 2nd grade, 3rd grade | 2.3.0.08 | (Soybeans) Contracts between buyers and producers indicate that accidental and technically unavoidable GMO contamination is tolerated up to levels defined in the applicable national or international regulations, whichever is stricter. Contracts specify which regulation applies. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------------------------------|---------------------------------------|----------|---|------------------------------|--|--------------------------------------|--------|--------|----------|---------------|
| Fibre crops 2.4.1 and 2.4.2 | 1st grade, 2nd grade, 3rd grade | 2.3.0.09 | <p>(Seed cotton) You and all your additional entities and / or subcontractors have a valid Social Indicator that demonstrates that you show efforts to comply with the following ILO Conventions:</p> <ul style="list-style-type: none"> • Hours of work [1919] • Forced Labour [1930] • Freedom of Association and Protection of the Right to Organize [1948] • Right to Organize and Collective Bargaining [1949] • Equal remuneration [1951] • Abolition of Forced Labour [1957] • Discrimination (Employment and Occupation) [1958] • Minimum wage fixing [1970] • Minimum Age Convention [1973] • Occupational Safety and Health [1981] • Elimination of the Worst Forms of Child Labour [1999] | No Social Indicator provided | The Social Indicator provided is not valid anymore | A valid Social Indicator is provided | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--------|--------|--------|--------|--------|------|---------------|
| 2.3.4 | 1st grade, 2nd grade, 3rd grade | 2.3.0.13 | You have signed binding purchase contracts provided by your buyers, which are in line with Fairtrade requirements. Unless otherwise stated in the product Standards, contracts must as at minimum clearly indicate the: agreed volumes, quality, price (Fairtrade Minimum Price or market price, whichever is higher), premium, payment terms, when and how the Fairtrade price will be fixed, party responsible for paying the Fairtrade price and premium to the producer and delivery conditions. All contracts between producers and Fairtrade payers or conveyors must stipulate a mechanism to resolve conflicts separate from jurisdiction agreed by both parties. | No | | Yes | | | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|------------------------|---------------------------------------|----------|---|---|--|---|--------|--------|------|---------------|
| Fresh fruit 2.3.1 | 1st grade, 2nd grade, 3rd grade | 2.3.0.14 | <p>(Oranges for juice) Contracts between producers and buyers do additionally include:</p> <ul style="list-style-type: none"> • Price to be paid and calculation used for defining price for orange juice equivalent. The contract mentions that the price calculation for oranges for juice will be defined according to the yield, as identified in the preliminary analysis report (a report produced according to citrus industry standards from a sample of the fruit delivered, which includes yield information). • Once available, the preliminary analysis reports from each delivery of oranges for juice must be attached to the contract. In addition, this report is given to the producer 7 days after the delivery of fruit. • The name of the responsible party paying the Fairtrade Premium to producers. | No | | Yes | | | 0 | C |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 2.3.0.15 | <p>(Applicable if individual members sell FT certified products directly to the buyer) You either demonstrate the inability to sell as the producer organization by citing national/regional law(s) prohibiting this; or there is a written request by you, citing the advantage to the producers and the organization of such an arrangement and this is accompanied by a framework contract between you and the buyer, regulating the following: traceability, volume, price, delivery terms, payments terms and invoicing method.</p> | Neither legislation nor a request by the producer organization requires this. | There is request from the producer organisatio n BUT the contract does not cover all required details. | Legislation or a request by the producer organization requires this AND there is a framework contract covering all necessary details. | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------------------|---------------------------------|------------|---|---|--------|---|--------|---|------|---------------|
| Trader Standard 4.1.7 | 1st grade, 2nd grade, 3rd grade | 2.3.0.16 | You ensure that all elements of the transaction fixed in the contract are honored, unless you and the other party agree to a change. | The contract (or any agreed changes to the contract,)has not been honoured OR the result of an arbitration or court process has not been respected OR the customer has not consented to the arbitration process. | | Contracts are honoured OR in case of any disputes, the dispute resolution mechanism has been/is being used to solve the conflict. | | Contracts are honoured without any changes. | 0 | C |
| | | 2.4 | Labelling | | | | | | | |
| 2.4.1 | 1st grade, 2nd grade, 3rd grade | 2.4.0.01 | Fairtrade International is contacted at artwork@fairtrade.net for approval for the use of the FAIRTRADE Mark on your wholesale packaging or external promotional material (such as brochures, websites or invoices for Fairtrade products). | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------------------|---------------------------------|----------|---|--------|--------|--------|--------|--------|------|---------------|
| 2.4.2 | 1st grade, 2nd grade, 3rd grade | 2.4.0.02 | If you produce finished Fairtrade products and sell them to consumers under your own brand name with any FAIRTRADE Mark, you have signed a contract with Fairtrade International or with a National Fairtrade Organization. | No | | Yes | | | 0 | C |
| Trader standard 1.2.2 | 1st grade, 2nd grade, 3rd grade | 2.4.0.03 | (Applicable if you are packing for a licensee) You have a copy of the applicable artwork approval. | No | | Yes | | | 0 | C |
| | | 3 | Production | | | | | | | |
| | | 3.1 | Management of Production Practices | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|---|--|---|--|----------|---------------|
| 3.1.1 | 1st grade, 2nd grade, 3rd grade | 3.1.0.01 | You have informed your members about the Fairtrade standards for environmental practices and labour practices (the latter only applicable where members employ workers). | The organisation did not provide any information to members. | Some members were informed but less than 80% OR information provided did not cover all Core requirements. | At least 80% of members were informed once about at least Core requirements AND content of information was sufficient AND trainings are planned/scheduled for the remaining producers. | At least 80% of members were informed annually about at least Core requirements AND training materials are clear and correct AND there are informative materials. | At least 80% of members are informed annually about all requirements AND training materials are clear and correct AND there are informative materials. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|--|--|--|----------|---------------|
| 3.1.2 | 1st grade, 2nd grade, 3rd grade | 3.1.0.02 | You have identified and documented you and your members general risks of not complying with the production standards. | The organisation did not carry out an identification of possible risks OR purposely hides evidence. | The identification of possible risks has shortcomings, failing to identify important risks OR the identification of risks is not documented (written/drawn). | There is a basic written/drawn identification of possible risks that covers at least the most important risks. | There is a written/drawn identification of the possible risks that are related to all requirements AND there is a process to involve members on this identification. | = Rank 4 AND best practice in terms of obtaining information: data from all members in field survey. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|---|---|---|---|----------|---------------|
| 3.1.3 | 1st grade, 2nd grade, 3rd grade | 3.1.0.03 | The risk identification has been repeated periodically at least every 3 years. | The organisation did not update the identification of possible risks OR purposely hides evidence. | Updated identification of possible risks has important shortcomings, failing to identify important risks OR the updated identification of possible risks is not documented (written/drawn). | There is an updated basic written/drawn assessment that covers at least the most important risks AND all areas that generated non-conformities in previous years. | The updated risk assessment covers all requirements and identifies all relevant risks AND there is a process to involve members on this identification. | =Rank 4 AND best practice in terms of obtaining information: data from all members in field survey. | 3 | D |
| 3.1.4 | 1st grade, 2nd grade, 3rd grade | 3.1.0.04 | A procedure to monitor the performance of members in relation to production standards is in place. | The organisation did not define any procedure. | The organisation planned but has not implemented any procedure. | There is a procedure in place that covers at least the core requirements. | There is a procedure in place that covers all requirements. | There is an Internal Control System that covers all members and that works well. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|------------------|---------------------------------|----------|---|---|--|--|--|--|----------|---------------|
| 3.1.4 | 1st grade, 2nd grade, 3rd grade | 3.1.0.05 | The procedure is implemented. | There is no procedure. | There is a procedure, but it has not been implemented. | The procedure has been implemented regarding the core requirements. | The procedure has been implemented regarding all requirements. | There is an Internal Control System that covers all members. This is implemented and works well. | 3 | D |
| Cane Sugar 3.1.1 | 1st grade, 2nd grade, 3rd grade | 3.1.0.06 | (Cane sugar) You report at least once a year on the following monitoring indicators: volumes and yields, kill/mill interval, use of inputs, water management. You send this information to sugar@fairtrade.net . | No | | Yes | | | 3 | C |
| Cocoa 3.1.3 | 1st grade, 2nd grade, 3rd grade | 3.1.0.07 | (1 January 2019)(Cocoa) You implement a system which enables you to manage compliance with Fairtrade requirements for all cocoa producers of the organization that includes: <ul style="list-style-type: none"> - A documented management structure - One person responsible for the IMS - An internal regulation to ensure compliance - Identified internal inspectors - Training of the person responsible and the internal inspector - Annual inspections and reports, and feedback to the members - Use of internal sanctions - Regularly updated members list - Use of risk assessment to address risks and threats to the integrity of the IMS. | The organisation has taken no action to implement an Internal Control System. | Internal Control System exists but it is not followed in practice OR does not allow the organisation to control compliance with Fairtrade standards. | The Internal Control System is in place and allows the organisations' control but lacks some clarity OR slightly differs from its description. | The Internal Control System is in place and followed and contains all necessary details and follows the defined procedure. | RANK 4 AND detailed records exist. | 3 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------|---------------------------------|----------|---|------------------------------------|--|--|--|---|----------|---------------|
| Cocoa 3.1.4 | 1st grade, 2nd grade, 3rd grade | 3.1.0.08 | (1 January 2019)(Cocoa) You define with your 1st grade or 2nd grade member organizations the appropriate allocation of tasks and responsibilities (at least covering responsibility for collecting member information, updating member records and checking member compliance against Fairtrade standards) to effectively maintain an Internal Management System (IMS). | No allocation of tasks is defined. | | At least the responsibility or collecting member information, updating member records and checking member compliance has been defined. | | RANK 3 and further tasks / responsibilities have been allocated amongst member organizations. | 3 | C |
| Cocoa 3.1.6 | 1st grade, 2nd grade, 3rd grade | 3.1.0.09 | (1 January 2019)(Cocoa) You collect household and farm data to assess the needs of members regarding sustainable farm improvements. | No data is collected. | Data is collected but no assessment of members needs is carried out. | Data is collected and assessment of members needs is carried out. | Rank 3 AND findings of the assessment are implemented. | Rank 4 AND the exercise repeated periodically AND farm observations are collected. | 3 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------|---------------------------------|----------|--|--------------------------------------|---|---|---|---|----------|---------------|
| Cocoa 3.1.7 | 1st grade, 2nd grade, 3rd grade | 3.1.0.10 | (1 January 2018) (Cocoa) You develop, implement and regularly adapt a centralized plan for training and other support activities to be conducted for members based on the needs of your members. | No training plan has been developed. | Training plan has been developed but not implemented. | Training plan based on members needs developed, implemented and updated annually based on an assessment of the learnings from the previous years' trainings and on needs. | Rank 3 AND information on training adoption by the participants is considered. | Rank 4 AND information on recommendations from service providers is considered. | 1 | C |
| Cocoa 3.1.8 | 1st grade, 2nd grade, 3rd grade | 3.1.0.11 | (1 January 2020) (Cocoa) You develop, agree and regularly review and update farm improvement plans. | No Farm improvement plans. | Farm improvement plans developed and approved but not reviewed regularly. | Farm improvement plans developed, approved and reviewed regularly for some members. | Rank 3 AND plans are focused on the economic viability of the farm and reflect sustainable agriculture. | RANK 4 AND there are plans for all members and the implementation is effective. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------|---------------------------------|--------------|---|----------------------|---|---|--|---|----------|---------------|
| Cocoa 3.1.8 | 1st grade, 2nd grade, 3rd grade | 3.1.0.12 | (1 January 2020) (Cocoa) Findings and updates from farm assessment data and risk assessments are discussed with the member and the resulting agreed actions built into the Farm Improvement Plan. | No farm assessments. | Farm assessment data, updates and risk assessments are not discussed with the members. | Required discussions take place with the majority of members and agreed actions are included in the plan. | Required discussions take place with all members individually AND agreed actions are included in the plan. | Rank 4 AND all the agreed actions are specifically tailored for the farmer. | 3 | D |
| | | 3.2 | Environmental Development | | | | | | | |
| | | 3.2.1 | Environmental management | | | | | | | |
| 3.2.1 | 1st grade, 2nd grade, 3rd grade | 3.2.1.01 | One person or a group of persons has been given the responsibility to ensure that your organization complies with the environmental requirements. | Not appointed. | Appointed but not given any time and/or resources to fulfil responsibilities OR appointed but does not know relevant environmental requirements and organization's risks. | Appointed AND knows the relevant environmental requirements and organization's risks. | = Rank 3 AND given plenty of time and/or resources to fulfil responsibilities. | = Rank 4 AND the appointed person is at a high decision making position. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------------|--|--|---|---|--|---|----------|---------------|
| 3.2.1 | 1st grade, 2nd grade, 3rd grade | 3.2.1.02 | The person or group of persons have clear Terms of Reference. | No written description and the person(s) is not aware of his/her responsibilities. | Written description but the person(s) is not aware of his/her responsibilities. | No written description but the person is aware of his/her responsibilities. | There is basic written description and the person(s) knows it. | There is a detailed written description and the person(s) knows it. | 0 | C |
| | | 3.2.2.a | Integrated pest management (Pest management) | | | | | | | |
| 3.2.2 | 1st grade, 2nd grade, 3rd grade | 3.2.2.01 | You have trained your members on integrated pest management, including pest and disease monitoring, alternative ways to control pests and diseases, preventive measures and measures to avoid pests and diseases building up resistance to pesticides. | Organisation did not carry out any training. | Less than 50% of members have been trained OR content/quality of training was insufficient. | At least 50% of members have been trained AND content of training was sufficient AND trainings are planned/scheduled for the remaining producers. | At least 80% of members have been trained AND content of training was sufficient AND training materials are clear and correct AND there are informative materials. | =Rank 4 AND some IPM measures are implemented AND there are informative materials | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|----------------------|---------------------------------|----------|---|---|--|--|--|--|----------|---------------|
| Fresh fruit 3.2.1 | 1st grade, 2nd grade, 3rd grade | 3.2.2.02 | <p>(Banana) Applies to bananas only (includes dried bananas and banana pulp): You and / or your members using herbicides in the production process implemented the following elements of an integrated weed management approach:</p> <ul style="list-style-type: none"> •Knowledge of the weeds that affect the productivity of the crop and of the conditions that favour and hamper the development of the weeds. •Knowledge of the parts of the fields where the crop is affected by the weeds. •Prevention of the spreading of the weeds by non-chemical means (labour, mechanical or thermic means) •Use of alternative control techniques, mulches or cover crops in order to control and reduce the weeds. •Application of herbicides must be focused on areas where the weeds are present and affects the crop. •No use of herbicides in canals, in buffer zones protecting rivers or watersheds, in protected or high conservation value areas or in buffer zones intended to protect people's health. | Herbicides liberally used, no alternative weed management approach. | Herbicide use has been slightly reduced, no structured weed management approach available. | Herbicide use has been reduced as a result of basic weed management approach, which lacks some of the measures required. | Herbicide use has been considerably reduced, weed management approach document available, AND this has been communicated to all members. | = RANK 4 AND regular follow up by functioning ICS. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------------|--|---|---|---|--|--|----------|---------------|
| 3.2.3 | 1st grade, 2nd grade, 3rd grade | 3.2.2.03 | (1 July 2017) Your members demonstrate that pesticides are applied based on knowledge of pests and diseases. | Most members do not know relevant pests and diseases. | Most members know relevant pests and diseases BUT cannot explain why particular applications were done. | 80% of members can explain why a particular application was done. | = RANK 3 AND at least 50% of members use tools to monitor incidence of pests and diseases. | = RANK 3 AND at least 80% of members use tools to monitor incidence of pests and diseases AND record pesticide application, or no pesticides are used. | 6 | D |
| | | 3.2.2.b | Proper use and handling of pesticides (Pest management) | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|---|---|--|---|----------|---------------|
| 3.2.4 | 1st grade, 2nd grade, 3rd grade | 3.2.2.05 | Members and workers who handle pesticides and other hazardous chemicals have been trained about the risks in handling these materials and how to handle them properly. The training contents are in line with the requirements. | Organisation did not carry out any training. | Less than 50% of persons handling pesticides have been trained OR content/quality of training was insufficient. | At least 50% of persons handling pesticides have been trained AND content of training was sufficient AND trainings are planned/scheduled for the remaining persons. | At least 80% of persons handling pesticides have been trained AND content of training was sufficient AND training materials are clear and correct. | = RANK 4 AND measures are indeed implemented. | 3 | C |
| 3.2.4 | 1st grade, 2nd grade, 3rd grade | 3.2.2.06 | Training reports with signed list of participants are available. | Information/training did not take place. | Information/training took place but there are no reports or lists. | Yes, although some mistakes can be found. | Reports and lists available, but not detailed/some information missing. | Clear reports available, lists are accurate and complete. | 3 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|--|---|---|---|----------|---------------|
| 3.2.5 | 1st grade, 2nd grade, 3rd grade | 3.2.2.07 | You have implemented measures to ensure that all people, including members and workers, wear appropriate personal protective equipment (PPE) when handling pesticides or hazardous chemicals. | No measures implemented and members and workers work unprotected as common practice. | Basic measures have been implemented BUT interviewed members/workers recognised it is not used at all times OR workers are charged for PPE OR penalised for normal wear-out. | Measures have been implemented and members have access to PPE AND workers are provided with free essential PPE (employer may penalise for lost/damage due to improper use). | = RANK 3 AND interviewed members and workers declare it is used at all times. | = RANK 4 AND PPE is adapted to local weather conditions as much as possible in order to increase usability. | 3 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|---|---|---|----------|---------------|
| 3.2.6 | 1st grade, 2nd grade, 3rd grade | 3.2.2.08 | You have made all members and workers - even those not directly handling pesticides and other hazardous chemicals - aware of the hazards and risks related to these materials. | Organisation did not carry out any information activity. | Less than 50% of members and workers have been informed OR content/quality of information was insufficient. | At least 50% of members and workers have been informed AND content of information was sufficient. | At least 80% of members and workers have been informed AND content of information was sufficient AND there are informative materials. | = RANK 4 AND there is an ongoing training/awareness plan/ refresher training, or no pesticides or hazardous chemicals are used. | 3 | D |
| 3.2.7 | 1st grade, 2nd grade, 3rd grade | 3.2.2.09 | You and the members of your organization must not apply pesticides and other hazardous chemicals within 10 meters from ongoing human activity (housing, canteens, offices, warehouses or the like with people present). A buffer zone of at least 10 meters must be kept unless there is a barrier that effectively reduces pesticide drift. Alternatively, appropriate re-entry intervals can be applied so that people are not affected by pesticide drift. | There are no buffers nor re-entry intervals and pesticides reach sites of ongoing human activity. | There are no buffers nor re-entry intervals BUT the organisation has ensured that pesticides do not reach sites of ongoing human activity. | Buffer strips or appropriate re-entry intervals are respected on all audited farms. | RANK 3 AND the organisation carried out awareness activities. | = RANK 4 AND there is an (organic) Internal Control System in place that works well. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|---|--|---|----------|---------------|
| 3.2.8 | 1st grade, 2nd grade, 3rd grade | 3.2.2.11 | If you, the members of your organisation or subcontractors spray pesticides or other hazardous chemicals from the air, you and your members or the subcontractors do not spray above and around places with ongoing human activity or with water sources. | Rivers, water bodies, houses and other sensitive areas are generally not avoided. | Rivers, water bodies, houses and other sensitive areas are identified in maps, communicated in advance to pilots. However the indications/instructions were not respected AND the organisation took no action. | Rivers, water bodies, houses and other sensitive areas are identified in maps and communicated in advance to pilots. However the indications/instructions were not respected BUT the organisation changed subcontractor/pilot or took other corrective measures such as better marking. | Rivers, water bodies, houses and other sensitive areas are identified in maps, communicated in advance to pilots and are always avoided. | = RANK 4 AND Organisation warns local population of spraying times, or no pesticides or hazardous chemicals are used. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|--|--|---|--|----------|---------------|
| 3.2.9 | 1st grade, 2nd grade, 3rd grade | 3.2.2.12 | <p>If you have a central storage for pesticides and other hazardous chemicals then you maintain it in a way that minimizes the risks and you ensure that it:</p> <ul style="list-style-type: none"> • Is locked and accessible only to trained and authorized personnel; • Is ventilated to avoid a concentration of toxic vapours; • Has equipment, such as absorbent materials, to handle accidents and spills; • Does not contain food; • Contains pesticides that are clearly labelled indicating contents, warnings, and intended uses, preferably in the original container when possible; and • Contains information on the proper handling of pesticides (safety sheets). | Store rooms controlled by organisation do not minimize the risks according to standard and due to its location represent a high risk of accidents. | Store rooms controlled by organisation do not fulfil all requirements as described in the standard in order to minimize risks. | Store rooms controlled by organisation are at least locked and accessible only to trained and authorised personnel, ventilated, with labelled materials and do not contain food. | Store rooms controlled by organisation minimize risks according to all specifications in the requirement AND stocks are as minimal as possible. | = RANK 4 AND there are additional measures to minimize risks such as contact details for emergencies, fire extinguishers, waterproof floor, concrete curbing, sloped floor, etc. | 0 | C |
| 3.2.10 | 1st grade, 2nd grade, 3rd grade | 3.2.2.13 | Your members store pesticides and other hazardous chemicals in a way that minimizes risks so they cannot be reached by children. | Store areas controlled by members are not locked and due to its location represent a high risk of accidents. | Store areas controlled by members are not locked. | Store areas controlled by members are locked and not accessible to any child. | Store areas controlled by members are locked and not accessible to any child AND only accessible to trained people. | Organisation is a good example of Internal Control System and can guarantee this at member level. | 3 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|--|--------------------------------------|---|---|----------|---------------|
| 3.2.11 | 1st grade, 2nd grade, 3rd grade | 3.2.2.14 | Your members have all pesticides and hazardous chemicals clearly labelled. | Most pesticides stored by members are not labelled. | Some pesticides are not labelled, even if the member can identify content. | Unlabelled pesticides are not found. | Unlabelled pesticides are not found AND the organisation took some measures to further guarantee compliance (for example: awareness raising, sample internal inspections, peer-review). | Organisation is a good example of Internal Control System and can guarantee this at member level, or no pesticides or hazardous chemicals are used. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|---|---|--|---|----------|---------------|
| 3.2.12 | 1st grade, 2nd grade, 3rd grade | 3.2.2.15 | Your members have equipment to handle accidents and spills in the areas where they prepare or mix pesticides and other hazardous chemicals, so these do not seep into soil or water. | Most members do not have equipment to handle accidents. | Members have equipment to handle accidents in store areas but not where pesticides are mixed OR if spills happen contaminated soil is disposed in a way that does not minimize risks. | Members have/carry equipment to handle accidents to all places where pesticides are mixed or prepared AND if spills happen contaminated soil is disposed in a way that risks are minimized. | = RANK 3 AND the organisation took some measures to further guarantee compliance (for example: awareness raising, sample internal inspections, peer-review). | Organisation is a good example of Internal Control System and can guarantee this at member level, or no pesticides or hazardous chemicals are used. | 6 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|--|--|---|---|----------|---------------|
| 3.2.12 | 1st grade, 2nd grade, 3rd grade | 3.2.2.16 | Your members plan their spraying in such a way that no or very little spray solution is left. | Members do not follow this practice and considerable amounts of spray solution are left. | Members do not follow this practice and considerable amounts of spray solution are left BUT the organisation carried out awareness activities. | No considerable amounts of spray solution are left (and stored in spraying equipment, etc or disposed). | No considerable amounts of spray solution are left (and stored in spraying equipment, etc or disposed) AND the organisation carried out awareness activities. | Organisation is a good example of Internal Control System and can guarantee this at member level, or no pesticides or hazardous chemicals are used. | 6 | D |
| 3.2.13 | 1st grade, 2nd grade, 3rd grade | 3.2.2.17 | You and the members of your organisation do not reuse pesticide and other hazardous chemical containers for water or food transport or storage. | Reusing pesticide containers for food/product is common practice. | No evidence of members reusing pesticide containers for food/product but interviewed members do not know the dangers. | There are no indications of members reusing pesticide containers AND interviewed members know the dangers. | = RANK 3 AND Organisation carried out awareness activities. | = RANK 4 AND organisation provides a disposal system for members that minimizes risks. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------------|--|--|---|---|---|---|----------|---------------|
| 3.2.14 | 1st grade, 2nd grade, 3rd grade | 3.2.2.18 | You and the members of your organisation always triple rinse and puncture empty pesticide containers properly. All equipment that has been in contact with hazardous materials are cleaned and stored in a way that risks are minimized. | Members do not follow these practices, dirty equipment or dirty/non-punctured empty containers can be found. | = RANK 1 BUT the organisation carried out awareness activities. | No dirty equipment or dirty/non-punctured empty containers are found. | = RANK 3 AND the organisation carried out awareness activities. | Organisation is a good example of Internal Control System and can guarantee this at member level, or no pesticides or hazardous chemicals are used. | 3 | D |
| | | 3.2.2.d | Choice of pesticides used (Pest management) | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|-------------------|---|---|---|--|----------|---------------|
| 3.2.15 | 1st grade, 2nd grade, 3rd grade | 3.2.2.19 | <p>You have compiled a regularly updated list of the pesticides that are used by members on the Fairtrade crop that indicates which of those materials are in the Fairtrade International Hazardous Materials List (HML) Part 1 (Red List), Part 2 (Orange List) and Part 3 (Yellow List); and includes at a minimum:</p> <ul style="list-style-type: none"> • Name of person who applied the pesticides; • Name of the active ingredient and commercial brand name and • Amount of pesticide used; • Method of application; • Crop on which they are used; • Name of targeted pest or disease; • Date and site | There is no list. | When cross-checked with reality the list has important shortcomings (missing pesticides) OR the list has not been updated for more than 3 years OR the list does not identify Red and Amber pesticides. | There is a sufficiently complete list. The list was developed based on local knowledge and informal communication with members. | There is a sufficiently complete list. The list was developed based on documentation at member level. | There is an accurate list AND organisation regularly documents pesticides used by members as part of a general ICS and also monitors pesticides available in surrounding stores. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|--|--|--|---|------|---------------|
| 3.2.16 | 1st grade, 2nd grade, 3rd grade | 3.2.2.21 | You and the members of your organisation do not use the materials on the Fairtrade International HML (until 31/12/2017 PML) part 1 (red list) on the Fairtrade crop. | The organisation actively promotes use of hazardous materials OR use was found in > 5% of sampled members. | Use was found in < 5% of sampled members BUT the organisation has not developed a procedure to ensure that members do not use on the Fairtrade crops any material that appears on the HML. | Use was found in < 5% of sampled members AND the organisation has developed a procedure to ensure that members do not use on the Fairtrade crops any material that appears on the HML. | No use was detected in audit AND the organisation has developed a procedure to ensure that members do not use on the Fairtrade crops any material that appears on the HML. | No use was detected in audit AND there is an (organic) Internal Control System that covers all members and that works well. | 0 | M |
| 3.2.16 | 1st grade, 2nd grade, 3rd grade | 3.2.2.22 | Pesticides prohibited in the HML (until 31/12/2017 PML) Part 1 (Red List) are clearly marked "Not for use on Fairtrade crops". | No | | Yes | | | 0 | C |
| 3.2.17 | 1st grade, 2nd grade, 3rd grade | 3.2.2.23 | (Only applicable in the case of use of material on the Fairtrade International Red List that has been approved by FLOCERT as exception before 31/12/2017) You use these materials only if you have previously requested the use to the certification body and received permission. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|--|---|---|--|------|---------------|
| 3.2.17 | 1st grade, 2nd grade, 3rd grade | 3.2.2.24 | (Only applicable in the case of use of material on the Fairtrade International Red List that has been approved by FLOCERT as exception before 31/12/2017) You have demonstrated that the use of these materials is minimized and undertaken only in case of definite need, used under appropriate health and safety conditions and using advanced techniques. | No OR organisation did not apply for a derogation or the certification body did not grant the exception. | Derogation granted, but practice does not match documentary evidence previously provided to FLOCERT. | Derogation granted and practice meets requirements. | = RANK 3 AND clear proof that all measures have been implemented and are effective. | = RANK 4 and measures beyond the requirements have been implemented. | 0 | C |
| 3.2.17 | 1st grade, 2nd grade, 3rd grade | 3.2.2.25 | (Only applicable in the case of use of material on the Fairtrade International Red List that has been approved by FLOCERT as exception before 31/12/2017) An appropriate plan and record to substitute these materials has been developed and is operational. | There is no plan. | A plan and records exist but it lacks details on how to substitute the materials OR the plan is not operational. | Records and plans for substituting materials are operational but still lack some details for successful long-term substitution. | Records and plans for substitution of materials are fully operational and followed by the organisation. | = RANK 4 AND records are fully up to date. | 0 | C |
| 3.2.17 | 1st grade, 2nd grade, 3rd grade | 3.2.2.26 | (Only applicable in the case of use of material on the Fairtrade International Red List that has been approved by FLOCERT as exception before 31/12/2017) Evidence of need has been demonstrated by the producer. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|---|--|--|--|----------|---------------|
| 3.2.18 | 1st grade, 2nd grade, 3rd grade | 3.2.2.27 | You have developed a procedure to ensure that members do not use on the Fairtrade crops any material that appears on the Fairtrade International HML (until 31/12/2017 PML) part 1 (red list). The procedure includes activities that raise your member's awareness of the HML. | Organisation did not consider any measure. | Organisation has ideas of how to improve but it has not been implemented OR implemented measures but not described them in writing. | Organisation has implemented at least one measure on awareness raising, i.e. providing information to members in any form AND described it in writing. | Organisation has implemented a series of measures (for example: records at member level, awareness raising, sample internal inspections, peer-review) AND described them in writing. | There is an (organic) Internal Control System that covers all members and that works well. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.2.19 | 1st grade, 2nd grade, 3rd grade | 3.2.2.28 | You work towards all members who use herbicides minimizing the amount they use by implementing other weed prevention and control strategies. | Organisation did not carry out any activity. | Less than 50% of members who use herbicides benefited from training or other promoting activity. | At least 50% of members who use herbicides have been trained on weed prevention and control strategies OR the organisation carried out other promoting activities with the same reach. | At least 80% of members who use herbicides have been trained on weed prevention and control strategies OR the organisation carried out other promoting activities with the same reach. | =RANK 4 AND some preventive and some alternative weed prevention and control strategies are implemented, or no herbicides are used. | 3 | D |
| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 3.2.2.29 | (Only applicable in the case of use of material on the Fairtrade International Red List that has been approved by FLOCERT as exception before 31/12/2017) The conditions of derogation for the use of prohibited materials are met. | No | | Yes | | | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.2.17 | 1st grade, 2nd grade, 3rd grade | 3.2.2.30 | (Applicable as of 01/01/2018) You and the members of your organization use materials in the Orange List on Fairtrade crops only under the following conditions: a) You fulfill the specific conditions of use specified in Annex 2 of the HML. b) The material is only used i) as part of avoiding pesticide resistance buildup in pests, ii) in rotation with less harmful pesticides, iii) as part of IPM that includes non-chemical control measures. c) You have developed and implemented a plan for reducing/phasing out the use of the materials. The plan includes information on - the type of material (technical name/active ingredient (a.i.), formulation (% of a.i.), commercial name), - the quantity used (spray concentration (a.i. /ha or in % or ppm etc.) and total consumed a.i./ha/year), - actions taken for reducing/phasing out the material including details of other non-chemical controls which are part of the IPM strategy. | None of the conditions is fulfilled. | Not all conditions of use are fulfilled. | All conditions for use are fulfilled. | | There is a documented QMS to ensure that the conditions are met AND the phase out plan is effectively implemented. | 0 | C |
| | | 3.2.3.a | Soil erosion (Soil and water) | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------------|---|--|--|--|---|---|----------|---------------|
| 3.2.20 | 1st grade, 2nd grade, 3rd grade | 3.2.3.01 | You have identified land at risk of soil erosion and already eroded land in the fields where your members plant Fairtrade crops. | Important erosion problems exist and the organisation is unaware. | Mild erosion problems exist and the organisation is unaware OR potential (and likely) problems cannot be identified. | The organisation documented (in writing or maps) existing and potential general problems in the area. | | The organisation inspected all farms and documented in writing existing and potential problems. | 3 | D |
| 3.2.21 | 1st grade, 2nd grade, 3rd grade | 3.2.3.02 | You have trained the members of your organisation with identified risk of soil erosion or already eroded land on practices that reduce and/or prevent soil erosion. | Organisation did not carry out any training OR the organisation failed to identify existing soil erosion problems. | Less than 50% of members with risk erosion have been trained OR content/quality of training was insufficient. | At least 50% of members with risk of erosion have been trained AND content of training was sufficient. | At least 80% of members with risk of erosion have been trained AND content of training was sufficient AND training materials are clear and correct. | =RANK 4 AND some preventive and corrective measures are ongoing. | 6 | D |
| | | 3.2.3.b | Handling fertilizers (Soil and water) | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------------|--|---|--|--|--|--|----------|---------------|
| 3.2.22 | 1st grade, 2nd grade, 3rd grade | 3.2.3.03 | (1 July 2017) You have trained your members on appropriate use of fertilizers. The training is in line with the standard requirements. | Organisation did not carry out any training. | Less than 50% of members have been trained OR content/quality of training was insufficient. | At least 50% of members have been trained AND content of training was sufficient. | At least 80% of members have been trained AND content of training was sufficient AND training materials are clear and correct. | =RANK 4 AND some preventive and corrective measures are implemented. | 6 | D |
| | | 3.2.3.c | Soil fertility (Soil and water) | | | | | | | |
| 3.2.23 | 1st grade, 2nd grade, 3rd grade | 3.2.3.04 | You have documented measures that you as an organisation and your members have implemented to improve soil fertility. | Organisation did not prepare any report and cannot explain practices. | Organisation did not prepare any report but can explain to auditor the practices in this regard. | The organisation prepared a basic report but some existing practices that could be reported are missing / the organisation did not include all relevant practices. | Organisation evaluated internally its practices and prepared a complete report. | = RANK 4 AND the organisation benefits from advice from local experts such as authorities, universities or NGOs OR updates the report adding new practices/measures. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------------|---|---|--|---|--|--|----------|---------------|
| | | 3.2.3.d | Sustainable water sources (Soil and water) | | | | | | | |
| 3.2.24 | 1st grade, 2nd grade, 3rd grade | 3.2.3.05 | You have identified and listed all sources of water for irrigation and processing of Fairtrade crops. | The organisation does not know where irrigation water and water used for processing comes from. | The organisation only knows some of the sources OR knows all sources but this is not reflected in writing. | The organisation has a map or written list of all sources of water for irrigation and processing with basic information (river, seasonal river, artificial dam, underground well, rain water collector, etc). | = RANK 3 AND with identified irrigation method: surface (basin, furrow, sprinkler, drip, etc). | = RANK 4 AND the organisation can prove that the use of all sources is authorised. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------------|--|--|---|--|--|--|----------|---------------|
| 3.2.25 | 1st grade, 2nd grade, 3rd grade | 3.2.3.06 | (1 July 2017) You are informed about the situation of the water sources in your area. In case local environmental authorities or other entities consider your water sources as being depleted, or in a critical situation, you have to engage in a dialogue in order to identify possible ways to be involved in research or solution finding. | The organisation does not know if water sources are sustainable and there is indeed a depletion problem. | The organisation does not know if water sources are sustainable (and depletion problem is not confirmed) OR sources are considered unsustainable and no action was taken. | The organisation can explain if sources of water are sustainable AND if there is a depletion problem it has contacted relevant stakeholders. | = RANK 3 AND the organisation has drafted a plan to improve sustainability of water sources. | = RANK 4 AND the organisation has a drafted plan to improve sustainability of water sources in coordination/cooperation with the community and relevant authorities. | 6 | D |
| | | 3.2.3.e | Sustainable water use (Soil and water) | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|---|---|--|---|----------|---------------|
| 3.2.26 | 1st grade, 2nd grade, 3rd grade | 3.2.3.07 | You have trained your members on measures to use water efficiently. These measures are in line with the standard requirements. | Organisation did not carry out any training. | Less than 50% of members have been trained OR content/quality of training was insufficient. | At least 50% of members have been trained AND content of training was sufficient. | At least 80% of members have been trained AND content of training was sufficient AND training materials are clear and correct. | =RANK 4 AND some procedures for efficient use of water are implemented. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|--|---|--|--|----------|---------------|
| 3.2.27 | 1st grade, 2nd grade, 3rd grade | 3.2.3.08 | (1 July 2017) You handle waste water from central processing facilities in a manner that does not have a negative impact on water quality, soil health or food safety. | Quality of water has not been analysed OR no measures for adequate handling are in place. | Quality of water has been analysed BUT quality is below the levels required by legislation OR organisation does not know quality levels required by legislation. | Quality of water has been analysed AND quality is equal or above the levels required by legislation OR, if quality is below required levels, adequate measures have been implemented. | = RANK 3 AND analysis is made regularly. | = RANK 4 AND the organisation has a plan for further improving quality of water. | 6 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------------|--|--|--|---|--|--|----------|---------------|
| 3.2.28 | 1st grade, 2nd grade, 3rd grade | 3.2.3.09 | (1 July 2017) You have educated your members about waste water and the health risks it bears as well as prevention of risks and treatment methods of waste water and their implementation. | Organisation did not carry out any training. | Less than 50% of members have been trained OR content/quality of training was insufficient. | At least 50% of members have been trained AND content of training was sufficient. | At least 80% of members have been trained AND content of training was sufficient AND training materials are clear and correct. | = RANK 4 AND some measures for waste water treatment / improvement of sanitation conditions are implemented. | 6 | D |
| | | 3.2.4 | Waste | | | | | | | |
| 3.2.29 | 1st grade, 2nd grade, 3rd grade | 3.2.4.01 | Your members keep their farms free of hazardous waste. | Hazardous waste is found on members' farms outside designated storage areas. | Hazardous waste is found on members' farms outside designated storage areas BUT the organisation carried out awareness activities. | No hazardous waste is found on farms (except on designated storage areas). | No hazardous waste is found on farms (except on designated storage areas) AND the organisation carried out awareness activities. | = RANK 4 AND there is an (organic) Internal Control System in place that works well. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|---|---|--|---|----------|---------------|
| 3.2.30 | 1st grade, 2nd grade, 3rd grade | 3.2.4.02 | You and the members of your organisation have designated areas for the disposal / storage of hazardous waste. | Members have not designated storage areas AND keep hazardous waste. | Members have not designated storage areas BUT no hazardous waste is found during the audit. | Members have designated storage areas on farms or at central areas where risk is minimized. | Organisation provides an alternative storage that minimizes risks. | Organisation eliminates or has access to resources which eliminate hazardous waste permanently without burning. | 3 | D |
| 3.2.30 | 1st grade, 2nd grade, 3rd grade | 3.2.4.03 | You and the members of your organisation only burn hazardous waste if it is allowed by local regulation and all safety recommendations are followed. | Hazardous waste is burned without being allowed by regulation. | Burning of hazardous waste is allowed by regulation BUT members do not follow good practices. | Hazardous waste is not burned OR burned only if allowed by regulation and following good practices. | = RANK 3 AND the organisation provides an alternative storage. | =RANK 3 AND the organisation eliminates or has access to resources which eliminate hazardous waste permanently without burning. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------------|---|--|--|---|---|--|----------|---------------|
| 3.2.31 | 1st grade, 2nd grade, 3rd grade | 3.2.4.04 | You have educated your members on re-using organic waste through the implementation of practices that allow nutrients to be recycled. The organic waste is only burned if required by applicable legislation. | Organisation did not carry out any information activity OR organic waste is burned when not required by legislation. | Less than 50% of members have been informed OR content/quality of information was insufficient. | At least 50% of members have been informed AND content of information was sufficient. | At least 80% of members have been informed AND content of information was sufficient AND there are informative materials. | =RANK 4 AND some measures for re-using organic waste are implemented. | 3 | D |
| | | 3.2.5 | GMO | | | | | | | |
| 3.2.32 | 1st grade, 2nd grade, 3rd grade | 3.2.5.01 | You and your members do not intentionally use genetically engineered seed or planting stock for Fairtrade crop(s). | More than 10 % of Fairtrade crops is GMO OR organisation knowingly uses GMO seeds/planting stock. | Use of GMO is very likely to happen AND the organisation took no actions OR 5-10% of Fairtrade crops is GMO. | There is no system but no contamination is detected (mistakes allowed up to 5 % of crop). | = RANK 3 AND the organisation is compliant with Standard requirement 3.2.32. | = Rank 4 AND there is an (organic) Internal Control System in place that works well. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------------|---|---|--|---|--|---|------|---------------|
| 3.2.32 | 1st grade, 2nd grade, 3rd grade | 3.2.5.02 | You have implemented practices to avoid GM contamination in seed stocks. | Known sources are not free from contamination BUT the organisation did not implement any measure. | Organisation does not know where seeds/plants are obtained OR most members are unaware of local risks. | Organisation generally knows where members obtain seeds/plants and sources are free from contamination AND most interviewed members could identify the local risks. | Organisation has prepared awareness raising programmes OR offers members the tools to avoid contamination. | Organisation has prepared awareness raising programmes AND offers members the tools to avoid contamination. | 0 | C |
| | | 3.2.6 | Biodiversity | | | | | | | |
| 3.2.33 | 1st grade, 2nd grade, 3rd grade | 3.2.6.01 | Your members avoid negative impacts on protected areas and in areas with high conservation values within or outside the farm or production areas from the date of application to certification. | Protected or HCV areas have been totally/partly destroyed by members/organisation (since application for certification) | Members are not aware of local protected/HCV areas. | Organisation informed members of local protected/HCV areas and there are no indications of negative impacts. | Organisation effectively controls activities of members in protected areas. | = RANK 4 AND the organisation actively promotes the conservation of local protected/HCV areas. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|--|--|---|----------|---------------|
| 3.2.33 | 1st grade, 2nd grade, 3rd grade | 3.2.6.02 | The areas that are used or converted to production of the Fairtrade crop comply with national legislation in relation to agricultural land use. | Protected or HCV areas have been converted to production of Fairtrade crop. | Areas converted to production of Fairtrade crop are otherwise illegally used. | There are no indications that conversion was illegal OR there is no new land converted to production of Fairtrade crop. | The organisation has evidence of the legal conversion to production of Fairtrade crop. | The organisation has evidence of the legal use and legal conversion to production of Fairtrade crop. | 0 | C |
| 3.2.34 | 1st grade, 2nd grade, 3rd grade | 3.2.6.03 | (1 July 2017) You have documented activities that you or your members carry out to protect and enhance biodiversity. | Organisation did not prepare any report and cannot explain practices. | Organisation did not prepare any report but can explain to auditor the practices in this regard. | The organisation prepared a basic report but some existing practices that could be reported are missing / the organisation did not include all relevant practices. | Organisation evaluated and quantified internally its practices and prepared a complete report. | = RANK 4 AND the organisation benefits from advice from local experts such as authorities, universities or NGOs OR updates the report adding new practices. | 6 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|---|--|---|----------|---------------|
| 3.2.35 | 1st grade, 2nd grade, 3rd grade | 3.2.6.04 | (1 July 2017) You and the members of your organisation have maintained buffer zones around water bodies and watershed recharge areas and between production areas and areas of high conservation value, either protected or not. Pesticides, other hazardous chemicals and fertilizers are not applied in buffer zones. Ecological corridors are protected or restored with natural vegetation. | No distance is maintained around water bodies/watershed recharge areas or protected/H CV areas during application of pesticides or fertilizers. | Distance is maintained around water bodies/watershed recharge areas or protected/H CV areas BUT not enough to avoid any potential drift of application of pesticides or fertilizers. | Enough distance is maintained around water bodies/watershed recharge areas or protected/H CV areas so to avoid any drift of application of pesticides or fertilizers. | There are uncultivated buffer zones around water bodies/watershed recharge areas or protected/H CV areas AND around farms (or cluster of farms). | = RANK 4 AND buffer zones are restored with natural vegetation and (if feasible) connected. | 6 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|--|---|---|----------|---------------|
| 3.2.36 | 1st grade, 2nd grade, 3rd grade | 3.2.6.05 | You and the members of your organisation that carry out wild harvesting of Fairtrade products from uncultivated areas assure the sustainability and survivability of the collected species in its native habitat. | Wild harvesting of Fairtrade crop is knowingly depleting the species. | Effect on the species is unknown BUT no signs of depletion. | Wild harvesting of Fairtrade crop respects the biological cycle of the species (this knowledge can come from tradition) and no signs of depletion. | = RANK 3 AND the organisation carried out awareness raising activities. | = RANK 4 AND there is an Internal Control System that covers all members and that controls volumes and times of harvesting. | 1 | C |
| 3.2.37 | 1st grade, 2nd grade, 3rd grade | 3.2.6.06 | You have educated your members so that no collection or hunting of rare or threatened species takes place. | Organisation did not carry out any information activity. | Less than 50% of members have been informed OR content/quality of information was insufficient. | At least 50% of members have been informed AND content of information was sufficient. | At least 80% of members have been informed AND content of information was sufficient AND there are informative materials. | =RANK 4 AND no collection or hunting of rare and threatened species takes place. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------------|---|--|---|---|---|--|----------|---------------|
| 3.2.38 | 1st grade, 2nd grade, 3rd grade | 3.2.6.07 | You have educated your members so that alien invasive species are not introduced. | Organisation did not carry out any information activity. | Less than 50% of members have been informed OR content/quality of information was insufficient. | At least 50% of members have been informed AND content of information was sufficient. | At least 80% of members have been informed AND content of information was sufficient AND there are informative materials. | =RANK 4 AND alien invasive species are not used. | 3 | D |
| | | 3.2.7 | Energy and GHG emissions | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|---|---|---|----------|---------------|
| 3.2.39 | 1st grade, 2nd grade, 3rd grade | 3.2.7.01 | In (central) processing facilities where non-renewable energy is used, you must keep records and you take measures to use energy more efficiently and replace non-renewable sources by renewable ones as far as possible. | The organisation does not measure energy consumption. | The organisation is measuring energy consumption BUT has not planned energy efficiency measures. | The organisation is measuring energy consumption AND knows sources of renewable energy to compare AND has planned energy efficiency measures. | The organisation is measuring energy consumption AND has taken energy efficiency measures (maintenance of equipment, use of renewable energy, etc) OR has changed to renewable sources. | = RANK 4 AND the organisation can prove energy consumption was indeed reduced since record-keeping started. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------------|---|--|--|--|---|--|----------|---------------|
| 3.2.40 | 1st grade, 2nd grade, 3rd grade | 3.2.7.02 | (1 July 2017) You have documented practices that you or the members of your organisation carry out to reduce Green House Gas (GHG) emissions and increase carbon sequestration. | Organisation did not prepare any report and there are no practices put in place. | Organisation did not prepare any report but can explain to auditor the practices in this regard. | The organisation prepared a basic report but some existing practices that could be reported are missing / the organisation did not include all relevant practices. | Organisation evaluated internally its practices and prepared a complete report. | = RANK 4 AND the organisation benefits from advice from local experts such as authorities, universities or NGOs OR updates the report adding new practices/measures. | 6 | D |
| | | 3.3 | Labour Conditions | | | | | | | |
| | | 3.3.1 | Freedom from discrimination (Applies to workers. Workers are waged employees, whether they are permanent or temporary, migrant or local, subcontracted or directly employed. Workers include all hired personnel whether they work in the field, in processing sites, or in administration.) | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|--|---|---|--|------|---------------|
| 3.3.1 | 1st grade, 2nd grade, 3rd grade | 3.3.1.01 | You and the members of your organisation do not discriminate on the basis of race, colour, gender, sexual orientation, disability, marital status, age, HIV/AIDS status, religion, political opinion, membership of unions or other workers' representative bodies, national extraction or social origin in recruitment, promotion, access to training, remuneration, allocation of work, termination of employment, retirement or other activities. | There are substantial indications of discrimination on recruitment and remuneration. | There are substantial indications of discrimination on promotion and access to training. | There are no records or rules but no indications of discriminatory practices. | There is a written equal opportunities policy approved by the General Assembly and made known to all members and workers. | There is an equal opportunities policy for recruitment, remuneration, promotion and training and applied in practice with records that show reasons for acceptance, dismissals and promotion of workers. | 0 | M |
| 3.3.2 | 1st grade, 2nd grade, 3rd grade | 3.3.1.02 | You and the members of your organisation do not conduct tests for pregnancy, HIV and genetic problems during recruitment of workers. | Tests are requested. | No tests but questions are asked that lead to discrimination in recruitment. | No policy but no indications of test or questions during recruitment. | There is a clear policy forbidding this. | There is a clear policy forbidding this and organisation controls this at member level. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|--|---|--|----------|---------------|
| 3.3.3 | 1st grade, 2nd grade, 3rd grade | 3.3.1.03 | You and the members of your organisation do not engage in, support or tolerate the use of corporal punishment, mental or physical coercion or verbal abuse. | There are indications of this being common amongst members as employers or at organisation as employer. | There are indications of this happening on rare occasions but the organisation took no actions. | The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organisation can demonstrate it took action. | There is a written policy approved by the General Assembly and made known to members and workers. | = RANK 4 AND ICS that controls this at member level. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|--|---------------------------------|----------|---|---|---|--|---|--|----------|---------------|
| 3.3.4 | 1st grade, 2nd grade, 3rd grade | 3.3.1.04 | You and the members of your organisation do not engage in, support or tolerate behaviour – including gestures, language, and physical contact – that is sexually intimidating, abusive or exploitative. | There are indications of this being common amongst members as employers or at organisation as employer. | There are indications of this happening on rare occasions but the organisation took no actions. | The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organisation can demonstrate it took action. | There is a written policy approved by the General Assembly and made known to members and workers. | = RANK 4 AND ICS that controls this at member level. | 0 | M |
| Prepared and preserved fruit and vegetables 3.3.2 | 1st grade, 2nd grade, 3rd grade | 3.3.1.05 | (Dried fruit) In case of women growers and drier operators, payments are given to the women directly (not to the husband). | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|---------------|---------------------------------|----------|--|--------|--------|---|--------|---|----------|---------------|
| DomRep Policy | 1st grade, 2nd grade, 3rd grade | 3.3.1.06 | You and your members ensure that immigrant workers have been working with you for more than 60 days have a passport (or an official receipt proving that the request is in progress). In case the workers do not possess the necessary documentation to request a passport, official proof that these documents are being requested is available. | No | | Most workers show passports or proof for request. | | Rank 3 AND most workers are included in a legalization plan of the country. | 0 | M |
| DomRep Policy | 1st grade, 2nd grade, 3rd grade | 3.3.1.07 | You and your members ensure that at least 25 % of migrant workers who are eligible for the NM1 or VTT (Visa de Trabajador Temporero) and have been working with you for more than 60 days of work after being hired have a valid NM1 or VTT visa. For the remaining migrant workers eligible for the NM1 or VTT, the organization and its members can demonstrate that the request is in process. For maximal 5% of the total migrant workers proof for having requested NM1 or VTT is not available unless the legalization process is in some way inhibited by national authorities. | No | | At least 25 % of migrant workers have a visa and visa requests are in progress for the remaining workers OR Workers are included in any kind of legalization plan of the country. | | | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|---------------|---------------------------------|----------|---|--------|--------|--------|--------|--------|------|---------------|
| DomRep Policy | 1st grade, 2nd grade, 3rd grade | 3.3.1.08 | (Applicable if more than 5% of immigrant workers do not have valid working documents because inhibited by national authorities) You engage in actions at local and governmental levels in order to improve the situation and secure a long term solution for the illegal labour conditions and discrimination of these immigrant workers. | No | | Yes | | | 1 | C |
| | | 3.3.2 | Freedom of labour (Applies to workers. Workers are waged employees, whether they are permanent or temporary, migrant or local, subcontracted or directly employed. Workers include all hired personnel whether they work in the field, in processing sites, or in administration.) | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|---|--|---|--|----------|---------------|
| 3.3.5 | 1st grade, 2nd grade, 3rd grade | 3.3.2.01 | You and the members of your organisation do not have forced labour, bonded or involuntary prison labour. | There are indications of this being common amongst members as employers or at organisation as employer OR due notice period is excessive (> 3 months). | There are indications of this happening on rare occasions but the organisation took no actions. | The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organisation can demonstrate it took action. | There is a written policy approved by the GA and made known to members and workers. | = RANK 4 AND ICS that controls this at member level. | 0 | M |
| 3.3.5 | 1st grade, 2nd grade, 3rd grade | 3.3.2.02 | Workers are informed that they are free to leave at any time, if they follow the due notice period in their contract. | Workers are not free to leave | Workers are free to leave but they are not informed. | Workers are verbally informed. | | Workers are verbally informed and this is reflected in the contract. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------------|---|--|--|---|--------|--|----------|---------------|
| 3.3.5 | 1st grade, 2nd grade, 3rd grade | 3.3.2.03 | You and the members of your organisation have not made employment or housing of a worker conditional on the employment of their spouse. | Organisatio n obliges family members to work (directly or via benefits such as housing). | Organisatio n prioritises housing for families with more than one member employed for the organisatio n. | Organisatio n does not inform but there are no indications of this taken place. | | Organisatio n makes all workers aware (especially those living in farm) about their right to work elsewhere. | 0 | C |
| | | 3.3.3 | Child labour and child protection | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|--|---|--|----------|---------------|
| 3.3.7 | 1st grade, 2nd grade, 3rd grade | 3.3.3.01 | You and the members of your organisation have not employed children below the age of 15 or under the age defined by local law, whichever is higher. | There are indications of this being common amongst members as employers or at organisation as employer. | There are indications of this happening on rare occasions but the organisation took no actions OR members hire labourers that come along with their children and work under parent's supervision. | The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present OR if there are indications of rare cases the organisation can demonstrate it took action. | There is a written policy approved by the General Assembly and made known to members that includes ensuring of save schooling for all children. | = RANK 4 AND ICS that controls this at member level. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|--|--|--|--|----------|---------------|
| 3.3.8 | 1st grade, 2nd grade, 3rd grade | 3.3.3.02 | Your members' children below 15 years only help on your members' farms after school or during holidays, the work they do is appropriate for their age and physical condition, they are supervised and guided by their parent or legal guardian and they do not work for long hours or under dangerous or exploitative conditions. | There are indications of children working in ways not permitted by the standard being a common occurrence. | There are indications that, on rare occasions, members' children perform non-suitable work during non-suitable times and the organisation took no actions. | The auditor found no indication (through member's interviews, observation, and local knowledge) that non-suitable work/non-suitable time is present OR present on rare occasions but organisation took action. | The organisation has an awareness raising programme for members that identifies suitable work. | = RANK 4 AND ICS that controls this at member level. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|--|--|---|--|----------|---------------|
| 3.3.9 | 1st grade, 2nd grade, 3rd grade | 3.3.3.03 | You and the members of your organisation have not submitted workers of less than 18 years of age to any type of work which, by its nature or the circumstances under which it is carried out, is likely to jeopardize their health, safety, morals or their school attendance. | There are indications of non-suitable work being common amongst members. | There are indications that, on rare occasions, members' children perform non-suitable work and the organisation took no actions. | The auditor found no indication (through member's interviews, observation, and local knowledge) that non-suitable work is present OR present on rare occasions but organisation took action. | = RANK 3 AND the organisation has an awareness raising programme for members that identifies suitable work. | = RANK 4 AND ICS that controls this at member level. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.3.10 | 1st grade, 2nd grade, 3rd grade | 3.3.3.04 | If in the past you or your members employed children under 15 for any type of work, or children under 18 for dangerous and exploitative work, you have ensured that those children do not enter or are at risk of entering into even worse forms of labour including hazardous work, slave-like practices, recruitment into armed conflict, sex work, trafficking for labour purposes, and/or illicit activities. | Organisatio n is unaware of current situation of children employed in the past by the organisatio n itself. | Organisatio n took no remedial actions and is unaware of current situation of children employed in the past by members. | Organisatio n can provide details of all children working in the past and their current safe situation. | Organisatio n had a general programme to support families AND can provide details of all children working in the past and their current safe situation. | Organisatio n developed a child rights based remediation policy and program in partnership with a government al or internationa l organisatio n AND its members are trained on child rights methodolog ies. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.3.11 | 1st grade, 2nd grade, 3rd grade | 3.3.3.05 | You and the members of your organisation have implemented relevant procedures to prevent children below the age of 15 from being employed for any work and children below the age of 18 from being employed in dangerous and exploitative work. (Only applies if you have identified child labour as a risk in your organisation.) | Organisation did not consider any measure. | Organisation has ideas of how to improve but these have not been implemented. | Organisation has implemented some control measures such as keeping records at member level. | Organisation has implemented some control AND preventive measures (such as investments to eradicate root causes). | Organisation has established a youth inclusive community based monitoring and remediation on child labour. | 3 | D |
| 3.3.10 | 1st grade, 2nd grade, 3rd grade | 3.3.3.06 | Any action that you have taken to ensure CC 3.3.3.04 above respects the UN Convention on the Rights of the Child (CRC) protective framework, which means <ul style="list-style-type: none"> - that the best interest of the child are always the top priority, - that their right to survival and development is respected, - that you apply them to all children without discrimination, - that the views of the child are heard and respected, - and at all moments they are protected from violence. | No | | Yes | | | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| | | 3.3.4 | Freedom of association and collective bargaining (Applies to workers. Workers are waged employees, whether they are permanent or temporary, migrant or local, subcontracted or directly employed. Workers include all hired personnel whether they work in the field, in processing sites, or in administration.) | | | | | | | |
| 3.3.12 | 1st grade, 2nd grade, 3rd grade | 3.3.4.01 | You and the members of your organisation have ensured that all workers are free to join the workers' organisation that each worker chooses and that they are free to participate in group negotiation of their working conditions. | This is not ensured in any way. | There is a written statement but it is not known to the workers and not implemented. | There is a written statement made public to workers, even if some workers do not know it, OR, there is no written statement but it is implemented and most workers are aware. | Rank 3 AND all workers are aware. | Rank 4 AND the organization actively encourages workers. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.3.12 | 1st grade, 2nd grade, 3rd grade | 3.3.4.02 | You have not denied these rights in practice in the last two years. In case there was opposition to these rights, circumstances have changed substantially since then. | There are substantial indications of recent opposition in practice (whether there is written statement or not), for example dismissals or reallocation of work of union leaders. | There were substantial indications of opposition in practice in the last 2 years BUT the conditions did not change substantially. | There are no indications of opposition in the last 2 years OR there was opposition but the conditions changed substantially (e.g. change of directors / management, offending members (where applicable) where expelled, declaration from independent union, organisation actively and successfully informed | | = RANK 3 AND workers' organisation(s) exist and collective negotiation takes place. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| | | | | | | workers of new attitude, etc). | | | | |
| 3.3.13 | 1st grade, 2nd grade, 3rd grade | 3.3.4.03 | You and the members of your organisation allow the trade unions that do not have a base in the organisation to meet workers and share information. | Organisation/farm owner does not allow these meetings. | Organisation/farm owner allow these meetings but interferes by being present / sending observers/ noting down attendants/ or any other coercive measure. | Organisation/farm owner allows such meetings outside working hours and provides space for this. | Organisation/farm owner allows such meetings and provides reasonable resources, including paid working time, for this. | Organisation/farm owner actively encourages workers to meet and provides reasonable resources, including paid working time, for this. | 0 | C |
| 3.3.13 | 1st grade, 2nd grade, 3rd grade | 3.3.4.04 | You and the members of your organisation do not interfere in workers' meetings. | Do interfere actively. | Are present during meetings, but do not actively interfere. | Are present during meetings at request of TU/Workers and do not interfere OR are not present. | | Are not present and provide a conducive environment for the meetings. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.3.14 | 1st grade, 2nd grade, 3rd grade | 3.3.4.05 | You and the members of your organisation ensure that there is no discrimination against workers and their representatives for organising, for joining (or not) a workers' organisation or for participating in the legal activities of the workers' organisation. | There is discrimination and organisation/farm owner do not comply with Standard requirement 3.3.1. | There is discrimination by mid managers and the organisation/farm owner is not effectively controlling this. | There have been cases of discrimination by mid managers but the organisation/farm owner took successful actions. | There are no cases of any kind of discrimination. | Organisation/farm owner have a training/awareness programme for mid managers to prevent discrimination AND there are no cases of any kind of discrimination. | 0 | C |
| 3.3.14 | 1st grade, 2nd grade, 3rd grade | 3.3.4.06 | The certification body is informed when a workers' representative is dismissed including reason for dismissal. | Organisation cannot explain reasons for dismissals and auditor finds indications of discrimination. | Organisation cannot explain reasons for dismissals. | Notice sent in due time by organisation OR there were no dismissals and organisation is aware of this requirement. | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.3.14 | 1st grade, 2nd grade, 3rd grade | 3.3.4.07 | Records of all terminated contracts indicating the reason for termination and whether the worker was a member of a union or workers' organisation are in place. | There are no records and there are indications of discrimination. | There are no records or they are incomplete (for example whether the worker is member of union or WC is not stated). | Organisation maintains complete records for own workers and makes individual producers aware of this requirement (if applicable). | Organisation maintains complete records for own and individual farms' workers (if applicable). | Organisation maintains complete records for own and individual farms' workers (if applicable) and workers' representatives sign them. | 0 | C |
| 3.3.15 | 1st grade, 2nd grade, 3rd grade | 3.3.4.08 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) If there is no union that is recognized and active in your area, you have encouraged workers to elect democratically a workers' organisation to negotiate with you to defend their interests. | Organisation opposed creation of a workers' organisation, incurring in non conformity with Standard requirement 3.3.12. | Organisation did not take any measure to encourage workers. | Organisation took basic measures to encourage workers (provided information, facilitated contacts, raised awareness, etc). | Organisation arranged/provided independent training OR a workers' organisation is elected. | Organisation arranged/provided independent training AND a workers' organisation is elected. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------------|--|--|---|---|---|--|----------|---------------|
| 3.3.16 | 1st grade, 2nd grade, 3rd grade | 3.3.4.09 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You have provided training to workers during paid working time for improving their participation and representation. | Training was not provided. | Training was provided but not during paid working time. | At least one training was provided within paid working time and the content is correct. | = RANK 3 AND there is an ongoing training plan. | = RANK 4 AND workers are consulted on the topics to be covered. | 6 | D |
| | | 3.3.5 | Conditions of employment (Applies to workers. Workers are waged employees, whether they are permanent or temporary, migrant or local, subcontracted or directly employed. Workers include all hired personnel whether they work in the field, in processing sites, or in administration.) | | | | | | | |
| 3.3.17 | 1st grade, 2nd grade, 3rd grade | 3.3.5.01 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number, and own processing facilities of any size) You have set salaries for workers according to CBA regulations where they exist or at regional average wages or at official minimum wages for similar occupations, whichever is the highest. | Salaries < legal minimum or CBA regulations OR it is impossible to calculate reference salaries. | Salaries ≥ legal minimum or CBA regulations but < regional average wages (evidence of regional average wages MUST exist). | Salaries ≥ legal minimum, CBA or regional average. | | = RANK 3 AND all legal provisions and agreed benefits are respected for all workers. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|---|--|---|------|---------------|
| 3.3.17 | 1st grade, 2nd grade, 3rd grade | 3.3.5.02 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You have specified wages for all employee functions. | Salaries are discretionary and there are indications of discrimination. | Interviewed workers do not know roughly how much they will earn. | Organization informs verbally OR refers to external sources of information (CBA, legal regulations) AND all interviewed workers know roughly how much they will earn. | Salary categories (including all additional benefits) are specified in writing AND all interviewed workers know roughly how much they will earn. | Salary categories (including all additional benefits) are specified in writing and made known to all workers in a way that is easy to understand. | 0 | C |
| 3.3.18 | 1st grade, 2nd grade, 3rd grade | 3.3.5.03 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number, and own processing facilities of any size) For work based on production, quotas and piece-work, during normal working hours, you pay the proportionate minimum wage or the relevant industry average, whichever is higher. | On average, pieceworkers earn < 80% of the equivalent salary on a monthly average OR it is impossible to estimate pieceworkers' earnings. | On average, pieceworkers earn 99-80% of the equivalent salary on a monthly average. | On average, pieceworkers earn at least the equivalent salary on a monthly average. | On average, pieceworkers earn at least the equivalent salary everyday. | All pieceworkers earn at least the equivalent hourly salary everyday. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|--|--|--|--|------|---------------|
| 3.3.18 | 1st grade, 2nd grade, 3rd grade | 3.3.5.04 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You do not use production, quotas and piece-work employment as a means to avoid time-bound contracts. | Piece work is the main form of employment, clearly used in order to avoid time bound contracts and legal obligations. | There is only little piece work, but this is used to avoid time bound contracts and legal obligations. | There is no piece work OR the concerned workers prefer this type of employment. | = Rank 3 AND some benefits are paid to workers employed on piece work. | = Rank 4 AND all statutory benefits are paid in line with permanent employment. | 0 | C |
| 3.3.18 | 1st grade, 2nd grade, 3rd grade | 3.3.5.05 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) The pay rate for work based on production, quotas and piece-work is transparently calculated and workers and workers' organisations are informed of it. Workers agree that this rate is fair. | There are no fixed rates OR the calculation is purposely unclear. | Interviewed workers are not able to calculate roughly how much they will earn. | Organisation informs verbally AND all interviewed workers are able to calculate roughly how much they will earn. | Rates (including all details) are specified in writing AND all interviewed workers are able to calculate roughly how much they will earn and they agree that this is fair. | Rates and an explanation of the method used to reach that rate are specified in writing and made known to all workers in a way that is easy to understand and workers agree that this is fair. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|--|--|--|------|---------------|
| 3.3.19 | 1st grade, 2nd grade, 3rd grade | 3.3.5.06 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You make payments to workers at regularly scheduled intervals that workers are aware of. | Payment is constantly delayed beyond agreed periods OR payment has been outstanding by more than one month. | Payment is made after 2 weeks of the end of the paid working period OR is generally very irregular. | Payment is usually made within one week of the end of the paid working period, although some occasional delays happen. | Payment is usually made on the same day that the paid working period ends, although some occasional delays happen. | Payment is always made on the same day that the paid working period ends or before. | 0 | C |
| 3.3.19 | 1st grade, 2nd grade, 3rd grade | 3.3.5.07 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) Workers are provided with pay slips. | Organisation is not able to provide any information on wages. | Organisation's payroll is poorly documented AND workers do not/ cannot obtain full information (for example cannot know overtime payment or deductions) | Workers receive a physical payslip with full information together with each payment. | | Workers receive a physical payslip together with each payment and a consolidated payslip every year. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.3.19 | 1st grade, 2nd grade, 3rd grade | 3.3.5.08 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) Payment is made in legal tender; only when the worker explicitly agrees can payment be made in kind. | Payment is made in kind and the employee has not agreed to this. | Payment is partly made in kind and the employee has not agreed to this. | Payment is made in the way chosen by the organisation, but in legal tender (bank transfer, check, cash, etc) OR otherwise explicitly agreed by workers. | Payment is made in the way chosen by the organisation choosing the one with less costs/risks for workers. | Payment is made in the way chosen by workers but when payment is made in cash the organisation took measures to prevent assaults. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|--|---|--|---|----------|---------------|
| 3.3.20 | 1st grade, 2nd grade, 3rd grade | 3.3.5.09 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You have set maternity leave, social security provisions and non-mandatory benefits according to national laws, or according to CBA regulations where they exist, or according to the agreement signed between the workers' organisation and the employer, whichever is the most favourable for the worker. | The organisation is not paying legal social security provisions therefore leaving workers uncovered in case of sick leave, disability and accident OR it is impossible to calculate/ identify these benefits. | The organisation is late in paying legal social security provisions OR is not declaring full wages, therefore leaving workers partly uncovered in case of sick leave, disability and accident. | The organisation fulfils all legal/agreed provisions. | The organisation fulfils all legal/agreed provisions AND has a plan for increasing them gradually. | The organisation complements benefits beyond legal/agreed provisions. | 6 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|--|--|---|---|----------|---------------|
| 3.3.21 | 1st grade, 2nd grade, 3rd grade | 3.3.5.10 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You have issued all permanent workers with legally binding written contracts of employment. | Permanent workers are not legally hired. | Permanent workers do not have signed contracts OR these do not comply with labour law OR notice period is longer for the worker. | All permanent workers have signed contracts that include at least job title, wages, working hours and identical notice periods and which comply with labour law. | All permanent workers have signed contracts that include job description, wages and other benefits, working hours, rest and lunch hours, overtime compensation, holidays and identical notice period, and comply with labour law. | = RANK 4 AND contracts are verbally explained and in a language understood by the worker. | 3 | D |
| 3.3.22 | 1st grade, 2nd grade, 3rd grade | 3.3.5.11 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You have provided the worker with a copy of the signed contract. | No contract provided or there are no contracts. | Provided only to some workers. | Provided in writing to all permanent workers. | Provided in writing to all permanent workers AND verbally explained. | = RANK 4 AND there are written contracts for temporary workers. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|--|---|---|--|----------|---------------|
| 3.3.23 | 1st grade, 2nd grade, 3rd grade | 3.3.5.12 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You are gradually increasing salaries above the regional average and the official minimum wage. | Organisatio n pays below legal minimum OR pays substantiall y below regional average and did not foresee any increases. | Organisatio n pays below regional average for most positions and does not have a plan for increases. | Organisatio n pays below regional average for most positions but has a detailed plan for increases. | Organisatio n pays at regional average levels for most positions but has a detailed plan for increases. | Organisatio n already pays substantiall y above regional average in all positions. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|--|--|--|--|----------|---------------|
| 3.3.24 | 1st grade, 2nd grade, 3rd grade | 3.3.5.13 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) Where possible you have assigned all regular work to permanent workers. | Workers that should perform tasks all year are dismissed in order not to issue permanent contracts OR tasks are artificially divided to issue limited contracts to different persons. | Workers performing tasks all year are subcontracted OR have limited contracts for longer than permitted in national law. | All workers performing tasks all year have consecutive limited contracts as permitted in national law and later issued permanent/ unlimited contracts. | All workers performing tasks all year have permanent/ unlimited contracts. | All workers performing tasks all year have permanent/ unlimited contracts and workers performing seasonal work have discontinued unlimited contracts (if they exist) or similar commitments by the organisation. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|--|---|---|---|----------|---------------|
| 3.3.25 | 1st grade, 2nd grade, 3rd grade | 3.3.5.14 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You give local, migrant, seasonal and permanent workers the same or equivalent benefits and employment conditions for the same work performed. | Benefits and conditions are not equivalent AND the organisation did not plan how to bring them to equivalent levels. | Benefits and conditions are not equivalent AND the organisation has planned how to bring them to equivalent levels BUT has not implemented the plan yet. | Salaries, paid rest days, sickness/disability coverage are the same or equivalent. | = RANK 3 AND maternity leave, pension scheme and non-mandatory benefits are the same or equivalent. | = RANK 4 AND workers have been consulted on how to choose equivalent benefits when needed. | 6 | D |
| 3.3.26 | 1st grade, 2nd grade, 3rd grade | 3.3.5.15 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) If you or your members employ migrant or seasonal workers through a contracting agency or person, you have put effective measures in place to ensure that their hiring and working conditions also comply with the Standard. | No measures implemented and hiring and working conditions are not in line with the standard. | Basic measures have been implemented but not followed at all times. | Measures have been implemented and hiring and working conditions are in line with the standard. | RANK 3 AND interviewed workers declare it is always followed and adhered to. | RANK 4 AND interviewed workers declare it is always followed and adhered to and monitoring is done regularly. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| | | 3.3.6 | Occupational health and safety (Applies to workers. Workers are waged employees, whether they are permanent or temporary, migrant or local, subcontracted or directly employed. Workers include all hired personnel whether they work in the field, in processing sites, or in administration.) | | | | | | | |
| 3.3.27 | 1st grade, 2nd grade, 3rd grade | 3.3.6.01 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number, and own processing facilities of any size) You and your members have made work processes, work places, machinery and equipment on your production site safe. | Workplaces , machinery or equipment represent patent important hazards for workers OR there have been fatal or grave accidents without the organisation taking any measure. | Indoor workplaces are not equipped against fire hazards OR fire exits are not maintained clear of obstructions OR machinery is dangerous to operate OR the auditor could find other important hazards. | All machinery has appropriate safety devices and there are at least fire exits and fire fighting equipment in indoor workplaces AND the auditor could not find any important hazard. | = RANK 3 AND the organisation is aware of national regulations on health and safety and proves compliance. | The organisation is aware of national regulations on health and safety and proves compliance AND the organisation already complies with all CC on health and safety below. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.3.28 | 1st grade, 2nd grade, 3rd grade | 3.3.6.02 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number, and own processing facilities of any size) Children under the age of 18 years, pregnant or nursing women, mentally disabled people, people with chronic, hepatic or renal diseases; and people with respiratory diseases do not carry out any potentially hazardous work, such as the application of pesticides. | The organisation hires these persons for unsafe work. | There are indications of members hiring these persons for unsafe work on rare occasions but the organisation took no actions. | The organisation has no system but is aware of this rule and auditor found no indications of this happening OR happening in rare occasions but the organisation took actions. | The organisation has an internal system to identify hazardous work and identify these persons AND an awareness raising programme for members. | Offences and incidences at member level are recorded and sanctioned as part of an Internal Control System. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 3.3.29 | 1st grade, 2nd grade, 3rd grade | 3.3.6.03 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) In case a change of work is necessary to comply with requirement 3.3.6.02 you and your members ensure alternative work for your employees. | Organisatio n dismissed workers for this reason without guaranteein g a new position elsewhere or compensati on. | | Organisatio n guaranteed a new position elsewhere OR offered compensati on to each family (school grants, employemen t of an adult healthy family member, etc). | Organisatio n offered a new position in the organisatio n. | Organisatio n offered a new position in the organisatio n with the same salary benefits and conditions. | 0 | C |
| 3.3.30 | 1st grade, 2nd grade, 3rd grade | 3.3.6.04 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You and your members have accessible first aid boxes and equipment and a sufficient number of people trained in first aid in the workplace at all times. | No kit OR no first aid training. | Insufficiently equipped kit OR no refresher first aid training in the last 3 years. | Accessible and equipped kit in central workplace AND sufficient people are trained (one person per 30 workers or less). | Accessible and equipped kits in all workplaces, including mobile kits for fields AND at least one person trained in all workplaces. | = RANK 4 AND annual refresher training on first-aid. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|--|---|---|--|------|---------------|
| 3.3.31 | 1st grade, 2nd grade, 3rd grade | 3.3.6.05 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You and your members provide clean drinking water, clean toilets with hand washing facilities close by, and clean showers (showers only for workers who handle pesticides). | No water in the operation OR water is not free of charge for workers OR cannot differentiate potable from non-potable water. | No hand washing facilities OR hand washing facilities are too far away from toilets or place for eating with the results of not being used OR no soap available. | Potable water in central place AND at least one hand washing facility at close distance from toilets and place for eating (so workers do use them). | Potable water is accessible in all working sites except the fields AND at least one hand washing facility at close distance from toilets and place for eating (so workers do use them). | Potable water is accessible in all working sites and carried by organisation to fields AND hand washing facilities in the same place as toilets and in place for eating. | 0 | C |
| 3.3.31 | 1st grade, 2nd grade, 3rd grade | 3.3.6.06 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) The showers and toilets are separate for women and men and the number is proportional to the number of workers. | No toilet in the operation. | Toilets are unhygienic OR unstuck OR there are no showers and workers are in contact with chemicals. | Clean stocked toilets (+ showers if applicable) in a proportion 20:1 that can be locked. | Separated clean stocked toilets (+ showers if applicable) in a proportion 20:1 that can be locked. | Separated clean stocked toilets with bin (+ showers if applicable) in a proportion 20:1 that can be locked. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|--|---|--|----------|---------------|
| 3.3.32 | 1st grade, 2nd grade, 3rd grade | 3.3.6.07 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You and your members ensure that workers nominate a representative who knows about health and safety issues. | Not nominated | Nominated but does not perform activities. | Nominated AND meets with management regarding health and safety issues. | = RANK 3 AND receives training to improve skills. | = RANK 4 AND has participated in developing a H&S Policy. | 3 | D |
| 3.3.33 | 1st grade, 2nd grade, 3rd grade | 3.3.6.08 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You and your members have trained workers who carry out hazardous work regarding the risks to their health and environment because of this work. | There is no active information for workers performing hazardous work. | There has been training but not available for all workers performing hazardous work. | There has been training of workers performing other hazardous work, focusing on preventive measures. | = RANK 3 AND there is a regular full training plan for workers performing hazardous work. | As the result of training, all interviewed workers performing hazardous work are aware of risks, and know how to prevent them. | 3 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|--|---|--|----------|---------------|
| 3.3.33 | 1st grade, 2nd grade, 3rd grade | 3.3.6.09 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) Workers have been trained on what to do in case of an accident (Only applies to hazardous work that is not related to the handling and to the application of pesticides). | There is no active information for workers performing hazardous work. | There has been training but not available for all workers performing hazardous work. | There has been training of workers performing other hazardous work, focusing on how to act in case of emergencies. | = RANK 3 AND there is a regular full training plan for workers performing hazardous work. | As the result of training, all interviewed workers performing hazardous work know how to act in case of emergencies. | 3 | C |
| 3.3.34 | 1st grade, 2nd grade, 3rd grade | 3.3.6.10 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) When you carry out hazardous work, you and your members display all information, safety instructions, re-entry intervals and hygiene recommendations clearly in a visible place in the workplace in the local language(s) and with pictograms. | There is no safety information available. | There is safety information available, but not understood by all workers. | Local language or pictorial safety signs are posted in all areas. | Local language or pictorial safety signs are posted in all areas AND verbally explained at induction. | Local language and/or pictorial safety signs are posted in all areas AND verbally explained at induction AND at regular intervals. | 3 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|--|---|---|--|----------|---------------|
| 3.3.35 | 1st grade, 2nd grade, 3rd grade | 3.3.6.11 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You and members of your organisation provide and pay for personal protective equipment to all workers, who perform hazardous tasks. Workers use the personal protective equipment provided. | Workers work unprotected as common practice. | Basic measures have been implemented BUT interviewed workers recognised it is not used at all times OR workers are charged for PPE OR penalised for normal wear-out. | Workers are provided with free essential PPE (organisation may penalise for lost/damage due to improper use) AND interviewed workers declare it is used at all times. | = RANK 3 AND PPE is adapted to local weather conditions as much as possible in order to increase usability. | = Rank 4 AND ICS that controls this at member level. | 3 | C |
| 3.3.35 | 1st grade, 2nd grade, 3rd grade | 3.3.6.12 | (Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) Replacement of personal protective equipment is ordered and distributed in due time (Only applies to hazardous work that is not related to the handling and to the application of pesticides). | Workers do not have access to PPE OR work unprotected as normal practice. | Workers indicate when it needs replacement but new equipment is not distributed. | Workers indicate when it needs replacement and new equipment is distributed immediately. | There is a system at organisation level to identify when PPE needs replacement that works well. | = RANK 4 AND ICS that controls this at member level. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|--------------------------|---------------------------------|----------|--|--|---|--|--|--|----------|---------------|
| 3.3.36 | 1st grade, 2nd grade, 3rd grade | 3.3.6.13 | <p>(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) You and the members of your organisation improve health and safety conditions by meeting all the standard requirements listed:</p> <ul style="list-style-type: none"> •Putting up warning signs that identify risk areas and potential hazards in local languages and including pictograms if possible; •Providing information to workers about safety instructions and procedures including accident prevention and response; •Putting safety devices on all hazardous machinery and equipment, and protective guards over moving parts; •Providing safety equipment to all workers who perform hazardous tasks and instructing and monitoring workers on its proper use; and •Storing safely equipment for chemical spraying. | The organisation does not follow any of the H&S practices. | The organisation does not follow all H&S practices. | The organisation follows all H&S practices: Risk signalling, Safety and emergency instructions, Safety devices in machinery, PPE, Safe storage of equipment. | =RANK 3 AND these practices are reflected in a written H&S Policy, Work Instructions or similar. | = RANK 4 AND the policy or similar is based on a specific assessment of H&S risks. | 3 | D |
| Nuts 3.3.1, 3.3.2, 3.3.3 | 1st grade, 2nd grade, 3rd grade | 3.3.6.15 | (Cashew Nut) Workers within the processing unit are adequately protected from cashew nut liquid. The employer provides protective garments and oils, is responsible for monitoring that employees use these and are trained on its use. | Workers are not protected and not aware of risks. | Workers are aware of risks and protect themselves. | Workers are adequately protected BUT have not been formally trained. | Workers are well protected and have been trained. | = RANK 4 AND an efficient monitoring system is in place. | 0 | C |
| Cane Sugar 3.2.1 | 1st grade, 2nd grade, 3rd grade | 3.3.6.16 | (Cane Sugar) You and the members of your organization ensure that all field workers have clean drinking water. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---------------------------|---|--------------------------------|---|--|------|---------------|
| | | 4 | Business and Development | | | | | | | |
| | | 4.1 | Development Potential | | | | | | | |
| 4.1.1 | 1st grade, 2nd grade, 3rd grade | 4.1.0.01 | You have developed a Fairtrade Development Plan with the descriptions, objectives, timelines, responsibilities and budget of all planned activities. | There is no written plan. | Plan does not contain all essential details as defined in criteria. | Written plan with all details. | Written plan with all details AND developed in participatory way (consultation) with members. | = Rank 4 AND plan based on previous assessment of community needs. | 1 | C |
| 4.1.11 | 2nd grade, 3rd grade | 4.1.0.02 | You have one of the following systems in place to distribute Fairtrade income (Price and Premium) received to the different member organizations: <ul style="list-style-type: none"> • a quota system that specifies how much every member organization delivers under Fairtrade conditions and the distribution of income according to quota proportion OR • an allocation system, defined by the organization, for distributing the Fairtrade income received by the 2nd or 3rd grade organization to the different member organizations. | No | | Yes | | | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|--|--|--|---|--|---|----------|---------------|
| 4.1.11 | 2nd grade, 3rd grade | 4.1.0.03 | The system is part of the agreed written internal regulations of the 2nd/3rd grade organisation. | The system does not exist. | The system is part of the internal regulations BUT its description is not clear OR lacks important details OR it is not applied in practice. | The system is part of the internal regulations and applied AND it is clear BUT lacks a few details. | The system is part of the internal regulations and it is clear and complete and applied. | = RANK 4 AND all affiliates are aware of the system. | 1 | C |
| 4.1.11 | 2nd grade, 3rd grade | 4.1.0.04 | The system is monitored by a control committee. | No monitoring exists OR no control committee exists OR no quota system exists. | Control committee is not aware of its duties and responsibilities OR the monitoring system is not functioning. | Monitoring system is functioning though it lacks some details and the control committee is aware of its duties. | Monitoring system is functioning so that there is full control. | Monitoring system is functioning so that there is full control AND there is a role description for the control committee members. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 4.1.2 | 1st grade, 2nd grade, 3rd grade | 4.1.0.05 | You have included all the Fairtrade premium funded activities in the Fairtrade Development Plan before implementation of the activities. | There is no written plan. | The organisation has spent Premium money that is not included in the FDP OR spent the premium before the plan was approved. | The FDP includes all uses of the Premium according to expected income. | The FDP includes all uses of the Premium based on real income. | The FDP includes all uses of the Premium based on real income and this was approved by the General Assembly of all members. | 1 | C |
| 4.1.3 | 1st grade | 4.1.0.06 | You have presented the Fairtrade Development Plan to the General Assembly for approval before implementation. All decisions made are documented. | The plan was not presented to the General Assembly OR there is no plan. | The plan was approved by the General Assembly and later changed without a justification OR the plan was presented and approved by the General Assembly but decision is not recorded. | The plan was approved by the General Assembly and documented and later applied without changes or with justified changes that are approved ex-post. | =Rank 3 AND plenty of time was given during the General Assembly to discuss all details. | =Rank 4 AND the plan was shared with members prior to the General Assembly. | 1 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|---|---|---|--|--|--|----------|---------------|
| 4.1.3 | 2nd grade, 3rd grade | 4.1.0.07 | You have presented the Fairtrade Development Plan and decision on the use of the Fairtrade Premium to the General Assembly of members (or if delegate system then of delegates) at the 2nd/3rd grade level. | The Fairtrade Development Plan and decision on the use of the Fairtrade Premium is not taken by the General Assembly of the (delegates of the) members OR there is no decision yet OR the delegate system is not functioning. | The Fairtrade Development Plan and decision was approved by the General Assembly and later changed without a justification OR the decision was presented and approved by the General Assembly but it is not recorded. | The Fairtrade Development Plan and decision was approved by the General Assembly and documented and later applied without changes or with justified changes that are approved ex-post. | =Rank 3 AND plenty of time was given during the General Assembly to discuss all details. | =Rank 4 AND details were shared with (delegates of the) members prior to the General Assembly. | 1 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 4.1.1 | 2nd grade, 3rd grade | 4.1.0.08 | The 2nd/3rd grade organisation provides the certification body with an overall Fairtrade Development Plan which benefits all Fairtrade member organizations and includes the total Fairtrade Premium income, the allocation system to the member organisations (if applicable) and the Fairtrade Premium decisions taken. | There is no written plan. | Plan does not contain all essential details as defined in criteria. | Written plan with all details. | Written plan with all details AND developed in participatory way (consultation) with members/affiliates. | = Rank 4 AND plan based on previous assessment of community needs. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|--|--|---|--|--|--|----------|---------------|
| 4.1.3 | 2nd grade, 3rd grade | 4.1.0.09 | If Fairtrade Premium is channeled to the member organisation level, the General Assemblies of the member organisations decide on the use of the distributed Fairtrade Premium share. | No decision on the Fairtrade premium share taken OR the decision is not approved by the General Assemblies | The decision was taken by the General Assemblies and later changed without a justification OR the decision was presented and approved by the General Assembly but it is not recorded OR only the minority of General Assemblies of member organisations have decided on Fairtrade premium use of respective | The decision was taken by all General Assemblies and documented and later applied without changes or with justified changes that are approved ex-post. | =Rank 3 AND plenty of time was given during the General Assemblies to discuss all details. | =Rank 4 AND details were shared with members prior to the General Assemblies | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| | | | | | shares. | | | | | |
| 4.1.3 | 2nd grade, 3rd grade | 4.1.0.10 | The delegates are responsible for consulting with the members on the 1st grade levels. | No responsible delegates assigned. | Delegates are not aware of their responsibility OR have not consulted at 1st grade member level. | Delegates are in place and the majority has consulted with 1st grade members. | Delegates are in place and have consulted with all 1st grade members. | =RANK 4 AND adequate records exist. | 1 | C |
| 4.1.1 | 2nd grade, 3rd grade | 4.1.0.11 | If Fairtrade Premium is channeled to the member organisation level, the member organisations provide the certification body with individual Fairtrade Development Plans. | There are no individual Fairtrade development plans. | Plans do not contain respective premium shares OR premium decisions taken OR the majority of member organisations does not have individual Fairtrade premium plans. | All members have an individual Fairtrade development plan but it lacks some details. | Written plans for all member organisations with all details AND developed in participatory way (consultation) with members/affiliates. | = Rank 4 AND plan based on previous assessment of community needs. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|--|---|--|--|---|---|----------|---------------|
| 4.1.3 | 2nd grade, 3rd grade | 4.1.0.12 | If Fairtrade Premium is channeled to the member organisation level, the 2nd/3rd grade organisation ensures that the Fairtrade Premium received is channeled to the member organisations without delay according to the allocation system agreed. | Fairtrade premium payments are delayed OR do not follow the procedure as defined in the distribution key OR there is no distribution key OR Fairtrade Premium shares are not channeled to the member organisations. | Only some member organisations do receive their Fairtrade Premium shares according to the distribution key OR the majority of payments is delayed. | All member organisations receive their Fairtrade Premium shares BUT some are delayed OR some do not follow all details as defined in the distribution key. | All member organisations receive their Fairtrade Premium shares on time and according to the distribution key agreed. | = RANK 4 AND there is a clear procedure that allows for correct channeling of Fairtrade premium shares. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| Coffee 4.3.10 | 1st grade, 2nd grade, 3rd grade | 4.1.0.13 | (Coffee) The producer organisation invests a minimum of 5 cents per pound of the total Premium amount of the last financial year in productivity and quality improvement activities, all which are previously approved by the General Assembly. Investments are made at the level of the producer organisation or individual members. The producer organisation keeps records of the expenditures according to the approved plan and explains in which way it contributes to the improvement of productivity and/or quality. | None of the Premium has been invested in productivity and quality improvement. | Less than 5 cents per pound are invested. | 5 cents per pound invested, basic records and plan available and approved by the General Assembly. | RANK 3 AND clear records available, including a detailed work plan. | RANK 4 AND more than 5 cents per pound invested, and a clear strategy in place. | 1 | M |
| 4.1.4 | 1st grade, 2nd grade, 3rd grade | 4.1.0.14 | You have put in place an accounting system that accurately tracks the Fairtrade Development Plan expenses, and in particular identifies the Fairtrade Premium transparently. | There are no records OR these are not understandable OR records are incorrect with the purpose of misleading members. | There are records of income and expenditures but it is not possible to identify/separate those that are related to Premium OR unintentional mistakes >1%. | Any system that allows tracking income and expenditure and identify Premium but unintentional mistakes <1% found. | There are at least records of income and expenditures, identifying those related to Premium AND no mistakes. | Up to date accounting system, possible to track Premium AND no mistakes. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 4.1.4 | 2nd grade, 3rd grade | 4.1.0.15 | If the Fairtrade Premium is channeled to the member organisation level, member organisations ensure a transparent administration of the use of the Fairtrade Premium. | There is no transparent administration and no records OR these are not understandable OR records are incorrect with the purpose of misleading member organisations. | There are records of income and expenditures but it is not possible to identify/separate those that are related to Premium OR unintentional mistakes >1% OR not all member organisations do have a transparent administration system. | Any system that allows tracking income and expenditure and identify Premium but unintentional mistakes <1% found AND this holds for all member organisations. | There are at least records of income and expenditures, identifying those related to Premium AND no mistakes AND this holds for all member organisations. | Up to date accounting system, possible to track Premium AND no mistakes AND this holds for all member organisations. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 4.1.5 | 1st grade, 2nd grade, 3rd grade | 4.1.0.16 | After completing your planned activities you have updated the Fairtrade Development Plan by planning at least one additional activity. | The activities in the plan have been finished and new activities were not considered. | The activities in the plan have been finished and the organisation has an idea of next activity but not reflected in plan. | The activities in the plan have been finished and the organisation included a new activity in the plan. | The organisation included new activities in the plan AND these are chosen based on learnings from previous activities. | = RANK 4 AND the organisation decided on new activities in advance so the new ones are approved by the General Assembly and ready to be implemented by the time the previous one expires. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|---|---|---|--|----------|---------------|
| 4.1.6 | 1st grade, 2nd grade, 3rd grade | 4.1.0.17 | You report the results of the Fairtrade Development Plan to the General Assembly annually. The presentation of the results is documented. | No information is presented. | Information is presented but report or approval is not documented in writing. | Written report presented to the General Assembly and approval is documented BUT report answers all the questions listed BUT there are small mistakes. | Written report presented to the General Assembly and approval is documented AND report complete as below. | | 3 | C |
| 4.1.6 | 1st grade, 2nd grade, 3rd grade | 4.1.0.18 | The report answers all the questions as outlined in the standard requirement. | The report does not respond to questions, only lists activities. | The report responds to some but not all questions. | Written report answers all the questions listed BUT there are small mistakes. | Written report answers all the questions listed AND there are no mistakes. | =Rank 4 AND the report makes a detailed analysis of the success of the activities carried out. | 3 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 4.1.7 | 1st grade, 2nd grade, 3rd grade | 4.1.0.19 | Workers benefit from at least one activity in your Fairtrade Development Plan. | Activity has not been included. | The plan includes one activity but the benefit for workers is not direct/evident. | The plan includes at least one activity where there is an evident and direct benefit for workers. | = Rank 3 AND activity defined in consultation with workers or workers' representatives. | = Rank 4 AND the activity takes into consideration and caters for different needs of workers (migrant vs local, permanent vs temporary, etc). | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 4.1.8 | 1st grade, 2nd grade, 3rd grade | 4.1.0.20 | Workers' representatives are invited to the General Assembly to observe and participate in the discussion of the topics that relate to them. | Workers' representatives are denied access to the General Assembly. | Workers' representatives are not invited to the General Assembly but attendance upon request is not denied. | Workers' representatives are invited to the General Assembly during the discussion and approval of the FDP and have the right to ask questions. | Workers' representatives are invited to the General Assembly during the discussion and approval of the FDP and have the right to ask questions, suggest their own ideas and give comments. | = RANK 4 AND workers' representatives are reserved a time in the General Assembly agenda to raise their concerns or comments. | 3 | D |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| 4.1.9 | 1st grade, 2nd grade, 3rd grade | 4.1.0.21 | (1 July 2017) You have an activity that maintains or improves sustainable production practices within your eco-system in your Fairtrade Development Plan. | Activity has not been included. | The plan includes one activity but improvement/maintenance of sustainable production practices not direct/evident. | The plan includes at least one activity where there is an evident and direct improvement/maintenance of sustainable production practices. | = Rank 3 AND activity defined in consultation with members. | = Rank 4 AND plan based on previous assessment of sustainability needs. | 6 | D |
| 4.1.10 | 1st grade, 2nd grade, 3rd grade | 4.1.0.22 | (1 July 2017) You have designed and started implementing a process that collects and analyzes the development needs of your organisation. | Process has not been defined nor implemented. | Process was defined but not yet implemented. | Process defined and implemented that captures the needs of members, workers and/or community. | Process defined and implemented that captures the needs based on consultation with members, workers and community. | Needs assessment is already carried out as in Rank 4 and later approved by the General Assembly. | 6 | D |
| 4.1.4 | 1st grade, 2nd grade, 3rd grade | 4.1.0.23 | There is no evidence of misuse in the management of the Fairtrade premium. | No | | Yes | | | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| Fresh fruit 4.3.4 | 1st grade, 2nd grade, 3rd grade | 4.1.0.24 | <p>(Banana) At least once a year and latest one month after the general assembly, a complete report on Fairtrade Premium use for all projects has been sent to Fairtrade International (bananas@fairtrade.net). The report about the Fairtrade premium use provides for every Fairtrade premium project at least the following information.</p> <p>a) Initial report for projects in planning phase:</p> <ul style="list-style-type: none"> •Name and description of project (purpose and objectives; project partners) •Target group(s) (e.g. men-women or all members of cooperative; migrant workers; family members; community) •Estimated number of beneficiaries within each target group •Project budget (total / annual) •Project start and end date •Date of approval of project and who approved it <p>b) Follow up report for ongoing projects, in addition to information under a):</p> <ul style="list-style-type: none"> •Premium invested up to date •Project progress/status •Beneficiaries reached up to date •Major highlights and problems <p>c) Final report for finished projects, in addition to information under a) and b) above:</p> <ul style="list-style-type: none"> •Target group(s) and number of beneficiaries reached •Total budget spent •Evaluation to what degree and why the | There is no report on Fairtrade Premium use. | The report does not have at least one of the details as per this CC. | The report is complete and was submitted to Fairtrade International BUT not within the timeline described in this CC. | | RANK 3 AND report is submitted within the given timeline OR more than once a year. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| | | | purpose and the objectives have been achieved, and what can be learnt from the project •Date of approval of final project report and who approved it | | | | | | | |
| Cocoa 4.3.7 | 1st grade, 2nd grade, 3rd grade | 4.1.0.26 | (Cocoa) When planning for the Fairtrade Development Plan, you must discuss if investing the Fairtrade Premium in activities that increase quality and productivity would help your members to have more secure incomes and you must present the results of this discussion to the GA before approving the Fairtrade Development Plan. | No | | Yes | | | 0 | C |
| Cocoa 4.6.2 | 1st grade, 2nd grade, 3rd grade | 4.1.0.27 | (Cocoa) At least once a year and at latest one month after the General Assembly, a complete report on Fairtrade Premium use for all projects is sent to Fairtrade International. All information is sent to cocoa@fairtrade.net. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| Cane Sugar 4.5.1 | 1st grade, 2nd grade, 3rd grade | 4.1.0.28 | (Cane Sugar) When planning for the Fairtrade Development Plan, you discuss if investing the Fairtrade Premium in activities that increase quality and productivity would help your members to have more secure incomes. | Nothing was discussed with the members, no decision has been made on whether Fairtrade Premium should be invested in quality and productivity improvement. | | Discussions were held and clearly documented. | RANK 3 AND Detailed work plan for increasing productivity and quality with budget and timelines is available. | RANK 4 AND more than 25% of the premium invested, and a clear strategy in place. | 0 | C |
| Cane Sugar 4.5.1 | 1st grade, 2nd grade, 3rd grade | 4.1.0.29 | (Cane sugar) You present the results of this discussion to the General Assembly before approving the Fairtrade Development Plan. | Results of discussion were not presented to the General Assembly. | | Results of discussion were presented to the General Assembly. | Rank 3 AND plenty of time was given during the General Assembly to discuss all details. | Rank 4 AND the results of the discussion were shared with members prior to the General Assembly. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
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| FLOCERT requirement | 1st grade, 2nd grade, 3rd grade | 4.1.0.30 | (1 January 2017) (Only applicable if Premium income in the last year was above 150,000 EURO/USD (premium currency)) You contract a financial audit company to audit your Fairtrade Premium accounts based on the use defined in the Fairtrade Development Plan. | No | | Yes | | | 1 | C |
| Cocoa 4.6.3 Ghana or Côte d'Ivoire | 1st grade, 2nd grade, 3rd grade | 4.1.0.31 | (Cocoa) You have an accounting system that accurately tracks the Fairtrade differentials (difference between the Fairtrade Minimum Price and the reference price) received and you demonstrate that it has been used following the premium rules. | There are no records OR records are incorrect with the purpose of misleading members OR Use has not been approved by the GA. | Records are not up to date. | There is a system that allows tracking receipt and distribution of differentials AND use has been approved by the GA. | | | 1 | C |
| | | 4.2 | Democracy. Participation and Transparency | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---|--|--|---|--|----------|---------------|
| 4.2.1 | 1st grade, 2nd grade, 3rd grade | 4.2.0.01 | The General Assembly is the highest decision-making body where all major decisions are discussed and all members have equal voting rights. | The statutes do not define the General Assembly as the highest decision-making body and this does not exist or does not act as such OR there are not equal voting rights of all members (see note). | The statutes do not define the General Assembly as the highest decision-making body but this exists and acts as such OR there are excessive limited-voting probation periods (>1,5 years) OR there is weighted voting OR delegates (if exist) are not chosen by members. | The statutes define the General Assembly as the highest decision-making body AND members have equal voting rights. | = Rank 3 AND the General Assembly is given plenty of time to discuss all matters. | = Rank 4 AND the General Assembly is very active and participatory . | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|---|--|--|--|----------|---------------|
| 4.2.1 | 1st grade, 2nd grade, 3rd grade | 4.2.0.02 | The elections of the board are free, fair and transparent. | The elections were forced, bought or otherwise corrupted OR the organisation provided false evidence of elections. | The elections held did not have enough quorum OR not all members have voting rights OR elections were not at all recorded OR the elections were postponed by a longer time than technically reasonable. | Elections were democratic but poorly recorded OR postponed for understandable reasons. | Elections were democratically and timely held even if they lacked certain minor formalities. | The democratic election procedure is fully regulated in the statutes or other documents and followed up. | 0 | M |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|---|--|---|---|----------|---------------|
| 4.2.1 | 1st grade, 2nd grade, 3rd grade | 4.2.0.03 | Organisations have implemented statutes or internal regulations for a delegate system (if applicable). The system is based on the principle that each member organisation has the equal or proportional number of delegates. | There are no statutes or internal regulations. | There are statutes or internal regulations for a delegate system but these are not followed OR the member organisations have a delegate system but this does not follow the statutes or internal regulations OR members do not have equal/proportional number of delegates. | The delegate system is in place with an equal/proportional number of delegates BUT does not fully follow the statutes or internal regulations. | Statutes or internal regulations are followed correctly and there is an equal/proportional number of delegates. | = RANK 4 AND all members are fully aware about the statutes and internal regulations. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|---|--------------------|---|--|--|--|----------|---------------|
| 4.2.1 | 2nd grade, 3rd grade | 4.2.0.05 | There is a democratically elected board on the 2nd/3rd grade level. | There is no board. | The elections held did not have enough quorum OR not all members have voting rights OR elections were not at all recorded OR the elections were postponed by a longer time than technically reasonable. | Elections were democratic but poorly recorded OR postponed for understandable reasons. | Elections were democratic and timely held even if they lacked certain minor formalities. | The democratic election procedure is fully regulated in the statutes or other documents and followed up. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--------------------------------|--|---|--|--|----------|---------------|
| 4.1.11 | 2nd grade, 3rd grade | 4.2.0.06 | A control committee is in place which operates independently from the board. | There is no control committee. | The control committee does not operate independently from the board OR is not active. | The control committee is active but its activities are poorly documented OR it lacks clear internal working procedures OR the law clearly prohibits establishment of a control committee. | The control committee follows its function according to the defined procedures. | = RANK 4 AND all members/affiliates are aware of the control committee's role. | 0 | C |
| 4.2.2 | 1st grade, 2nd grade, 3rd grade | 4.2.0.07 | You have written membership rules. | There are no written criteria. | Criteria are not sufficiently clear, there are ambiguous clauses OR they are not followed in practice. | Clear criteria in statutes or other documents about who and how to become a member but no additional procedures. | Clear criteria in statutes or other documents about who and how to become a member with additional application procedures. | = Rank 4 AND clear specification of the length of time between application and response that is respected. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|---|---|--|---|----------|---------------|
| 4.2.2 | 1st grade, 2nd grade, 3rd grade | 4.2.0.08 | You have a member list in place that at least includes information on name, location, land size, production volume, number of (permanent / temporary) workers and membership status. | No member list. | Members list with more than 10% errors OR without basic information. | Member list with required information and a maximum of 10 % errors. | Members list with required information and maximum 2% errors. | Complete member list with all required information and that is regularly updated. | 0 | C |
| 4.2.3 | 1st grade, 2nd grade, 3rd grade | 4.2.0.09 | You follow your own rules and regulations (constitution, by-laws and internal policies, including election and membership processes) and a delegate system (if applicable). | Organisation does not have statutes or equivalent regulations. | Organisation does not follow statutes regarding acceptance of members, mandate of General Assembly, Board, or Surveillance (Control) committee (if exists). | Organisation follows statutes in at least: acceptance of members, mandate of General Assembly, Board, and Surveillance (Control) committee (if exists). | Organisation follows statutes in items in Rank 3 AND mandate of additional committees and all formalities of General Assembly. | Organisation follows statutes in all details. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|-----------------|----------|---|--|--|--|---|---|----------|---------------|
| 4.2.4 | 1st grade | 4.2.0.10 | You hold a General Assembly at least once a year. | No annual General Assembly was held in the year. | The annual General Assembly was postponed into the following year for reasons that are more than technically reasonable OR there was a General Assembly with insufficient quorum (invalid General Assembly). | The annual General Assembly took place (even if not recorded/poorly called or recorded) OR postponed for understandable reasons. | The annual General Assemblies took place fully in line with statutes. | The annual General Assemblies took place fully in line with statutes AND the General Assembly is given plenty of time to discuss all matters. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|---|--|--|--|---|---|----------|---------------|
| 4.2.4 | 2nd grade, 3rd grade | 4.2.0.11 | The 2nd/3rd grade organisation holds a General Assembly at least once a year. This can be achieved by an assembly of delegates (legislative). | No annual General Assembly (of delegates, if applicable) was held in the year OR the delegate system is not working. | The annual General Assembly (of delegates, if applicable) was postponed into the following year for reasons that are more than technically reasonable OR there was a General Assembly with insufficient quorum (invalid General Assembly). | The annual General Assembly (of delegates, if applicable) took place (even if not recorded/po orly called or recorded) OR postponed for understand able reasons. | The annual General Assembly (of delegates, if applicable) took place fully in line with statutes. | The annual General Assembly (of delegates, if applicable) took place fully in line with statutes AND the General Assembly is given plenty of time to discuss all matters. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|---|---|--|---|---|---|----------|---------------|
| 4.2.4 | 2nd grade, 3rd grade | 4.2.0.12 | The member organisations of the 2nd/3rd grade organisations hold local General Assemblies at least once a year. | No annual General Assemblies were held in the year. | The annual General Assemblies were postponed into the following year for reasons that are more than technically reasonable OR there were General Assemblies with insufficient quorum (invalid General Assembly) AND this holds for the majority of the member organisations. | The annual General Assemblies took place (even if not recorded/poorly called or recorded) OR postponed for understandable reasons AND there are clear plans to hold it as soon as possible. | The annual General Assemblies took place fully in line with statutes AND this holds for all member organisations. | The annual General Assemblies took place fully in line with statutes AND the General Assembly is given plenty of time to discuss all matters AND this holds for all member organisations. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|--|--|---|--|--|----------|---------------|
| 4.2.5 | 1st grade, 2nd grade, 3rd grade | 4.2.0.13 | You inform your members in good time when the General Assembly will take place. | No annual General Assembly was held in the year. | The call for assembly did not follow regulations in terms of timing and method of communication OR if call for General Assembly is not regulated members were informed less than 2 weeks in advance. | General Assembly was properly called in line with statutes even if lacked certain minor formalities OR if call for General Assembly is not regulated members were informed at least 2 weeks in advance. | General Assembly was properly called fully in line with statutes OR if call for General Assembly is not regulated but attendance was very high (>90%). | =RANK 4 AND the organisation took additional measures to increase attendance of members to the General Assembly OR attendance is very high (>90%). | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|--|---|--|---|----------|---------------|
| 4.2.6 | 1st grade, 2nd grade, 3rd grade | 4.2.0.14 | Minutes of the General Assembly are documented and signed by the president of the Board and at least one other member. | No minutes in any form in any General Assembly OR some minutes taken, but impossible to understand decisions taken OR forfeit minutes. | Decisions are recorded but most minutes are missing OR most minutes can be found but decisions are not recorded or recorded in a incomprehe nsive way OR minutes are not signed. | Most minutes can be found, even in loose sheets AND the decisions are recorded, even if not fully clear and signed. | All minutes are found in book(s) and signed, decisions are recorded with total clarity and annexes are included in the book. | =Rank 4 AND minutes are registered before local authorities and/or notary public OR other situation considered best practise. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|--|--|---|--|---|----------|---------------|
| 4.2.6 | 1st grade, 2nd grade, 3rd grade | 4.2.0.15 | The minutes contain a signed list of participants of the General Assembly. | There are no signatures OR there are only signatures of Board members. | Signatures are only added in next assembly OR most signatures are missing. | There are signatures of all attendants in loose sheets. | There are signatures of all attendants in loose sheets AND counting of quorum is reflected in minutes. | There are signatures of all attendants in same or separate book (or attachment) AND counting of quorum is reflected in minutes. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|---|---|---|----------|---------------|
| 4.2.7 | 1st grade, 2nd grade, 3rd grade | 4.2.0.16 | You present the annual report, budgets and accounts to the General Assembly for approval. | No information is presented OR the organisation presented a false image with the purpose of misleading members. | Only limited information is presented OR there is no documented approval. | All reports were formally presented to the General Assembly and approval is documented but minor mistakes are found in reporting. | All reports were formally presented to the General Assembly and approval is documented. | All reports were formally presented to the General Assembly and approval is documented AND the organisation took some measures to make reporting more understandable. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|--|---------------------|--|--|---|--|----------|---------------|
| 4.2.8 | 1st grade, 2nd grade, 3rd grade | 4.2.0.17 | You have an administration in place with at least one person or committee who is responsible for managing the administration and book keeping. | None is responsible | External accountant/ administrat or that cannot be present during General Assemblies and audits. | External accountant/ administrat or without full availability BUT available during audits and General Assemblies | One person hired without sufficient knowledge but with external support OR external accountant/ administrat or that is fully available. | One person inside the organisatio n hired for accounting and administrati on with sufficient knowledge for the task. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|-------------------------------------|--|---|---|--|------|---------------|
| 4.2.9 | 1st grade, 2nd grade, 3rd grade | 4.2.0.18 | You keep records and books. All members have access to these records and books. | There are no/ insufficient records. | The organisation does not grant members or surveillance (control) committee access to records when requested in sufficient advance OR records are retained by accountant or other persons. | The organisation has reasonable updated records and books. Mistakes may happen but are corrected at year-end AND members have potential access. | The organisation has fully updated records and books (if computer-based there is a working back-up system) AND members have potential access. | RANK 4 AND organisation proactively makes documents available (for example when calling for the General Assembly). | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|-----------------|----------|---|---------------------------|---|---|--------|--|----------|---------------|
| 4.2.10 | 1st grade | 4.2.0.19 | You have a bank account with more than one signatory (unless this is not possible). | There is no bank account. | There is at least one bank account BUT not registered to organisation's name OR the organisation did not change signatory rights from previous directors. | There is a bank account registered to organisation's name with more than one signatory. | | RANK 3 AND bank account provides interests and low costs for savings and transactions. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|---|---------------------------|---|--|---|---|----------|---------------|
| 4.2.10 | 2nd grade, 3rd grade | 4.2.0.20 | The 2nd/3rd grade organisation has an active bank account registered to its name. | There is no bank account. | There is at least one bank account BUT not registered to 2nd/3rd grade organisation's name OR the 2nd/3rd grade organisation did not change signatory rights from previous directors. | There is a bank account registered to 2nd/3rd grade organisation's name with more than one signatory, at least one of them a Board member AND signatories can each sign alone. | There is a bank account registered to 2nd/3rd grade organisation's name with more than one signatory, at least one of them a Board member AND the account has joint signatory rights to prevent embezzlement. | = RANK 4 AND bank account provides interests and low costs for savings and transactions | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|--|-----------------------------|---|--|---|--|----------|---------------|
| 4.2.10 | 2nd grade, 3rd grade | 4.2.0.21 | If the Fairtrade Premium is channeled to the member organisation level, the individual member organisations have active bank accounts registered to their names. | There are no bank accounts. | There is at least one bank account BUT not registered to organisation's name OR the organisation did not change signatory rights from previous directors AND this applies for the majority of the member organisations. | There is a bank account registered to organisation's name with more than one signatory, at least one of them a Board member AND signatories can each sign alone AND this applies for all member organisations. | There is a bank account registered to organisation's name with more than one signatory, at least one of them a Board member AND the account has joint signatory rights to prevent embezzlement AND this applies for all member organisations. | = RANK 4 AND all bank accounts provide interests and low costs for savings and transactions. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|---------------|---------------------------------|----------|--|--|---|---|--|--|----------|---------------|
| 4.2.11 | 1st grade, 2nd grade, 3rd grade | 4.2.0.22 | You have explained to your members the ways they can participate in the organization so that they can have more control over it. | The organisation did not explain OR this was totally unsatisfactory. | The organisation only provided explanations to a limited number of members and has not planned the same for the rest. | The organisation provided explanations to some members and has a plan to cover all members. | The organisation provided explanations to all members. | The organisation provided explanations to all members AND has a trained Surveillance Committee in place. | 3 | D |
| Cereals 4.3.1 | 1st grade, 2nd grade, 3rd grade | 4.2.0.24 | (Quinoa) Your Fairtrade Development plan includes measures / activities to enhance the environmental sustainability of production and processing of quinoa. You invest at least 30% of the FT premium received for this (at member or organization level). | No | | Yes | | | 0 | C |
| 4.2.12 | 1st grade, 2nd grade, 3rd grade | 4.2.0.25 | In case there are non-members on the board of the SPO, this is approved by the General assembly in accordance with national legislation and the constitution/statutes of the organization and it is specified whether they have a voting or advisory role. | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------|---------------------------------|----------|--|---|--|---|--|--|----------|---------------|
| 4.2.13 | 1st grade, 2nd grade, 3rd grade | 4.2.0.26 | You share audit results with your members, in a format and language accessible to them. | Audit results not shared | Audit results basically shared, but not understandable | Audit results basically shared and understandable | Audit results shared with members in detail, explained to members and understood | Rank 4 and meetings conducted in which members can give their feedback and participate in correcting non-conformities identified | 3 | D |
| Cocoa 3.1.1 | 1st grade, 2nd grade, 3rd grade | 4.2.0.27 | (1 October 2017) (Cocoa) You update records of your members on an annual basis. At minimum member records include: member name, contact information, gender, date of birth, registration date with SPO, farm location and farm size. | No records of members OR records lack the required information. | Members records with required information in place but not updated annually. | Annually updated member records with required information in place with maximum of 10 % errors. | Annually updated member records with required information in place without any errors. | RANK 4 AND there is a system to ensure that updates takes place. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------|---------------------------------|----------|---|---|--|--|---|--|----------|---------------|
| Cocoa 3.1.2 | 1st grade, 2nd grade, 3rd grade | 4.2.0.28 | (1 January 2018) (Cocoa) Your member records include: up-to-date information related to training programs attended, Fairtrade-related inspections performed on the farm and their outcomes, cocoa sales of the previous season and estimated member production. | No records of members OR records lack the required information. | Members records with required information in place but not updated annually. | Updated member records with required information in place with maximum of 10 % errors. | Updated member records with required information in place without any errors. | RANK 4 AND there is a system to periodically update records. | 1 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------|---------------------------------|----------|---|--|--|---|---|--|----------|---------------|
| Cocoa 3.1.5 | 1st grade, 2nd grade, 3rd grade | 4.2.0.29 | (1 October 2017) (Cocoa) You sign an agreement with each individual member which specifies the rights and obligations of each party in relation to Fairtrade certification that at least addresses - the commitment from both the member and SPO to comply with Fairtrade Standards, and - permission from the member for the SPO to collect, store and share their data. | Agreements have not been signed with each individual member. | Agreements signed with individual members but do not specify rights and obligations of each party. | Agreements specifying required details signed with most of the members. | Agreements signed with all the members that additionally address seasonal cocoa supply/ purchasing targets, SPO commitments regarding service delivery and member commitment regarding participation in training programs and other SPO activities. | Rank 4 AND each member has a copy in their local language. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-------------|---------------------------------|------------|--|--------------------------------|--|--|---|---|------|---------------|
| Cocoa 4.6.1 | 1st grade, 2nd grade, 3rd grade | 4.2.0.30 | (1 January 2018)(Cocoa) You discuss if investing the Fairtrade Premium in activities that increase quality and productivity would help your members to have more secure incomes. You present the results of this discussion to the GA before approving the Fairtrade Development Plan. | No discussion has taken place. | Discussions have taken place, premium to be invested in such activities but the results not presented to the general assembly. | Discussions have taken place, premium invested, basic records and plan available and approved by the General Assembly. | RANK 3 AND clear records available, including a detailed work plan. | RANK 4 AND at least 25 % of premium invested in productivity and quality improvement. | 1 | C |
| Cocoa 4.6.1 | 1st grade, 2nd grade, 3rd grade | 4.2.0.31 | (1 January 2018) (Cocoa) You discuss with your members whether partnerships with traders offering long-term partnership based on mutual commitments would be in the interest of your organisation and of your members, and inform your business partner about your decision. | No discussion has taken place. | Discussion has taken place BUT business partner not informed of decision. | Discussion has taken place and business partner informed of decision. | | | 1 | C |
| | | 4.3 | Non discrimination | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|----------|---|---|---|---|---|---|------|---------------|
| 4.3.1 | 1st grade, 2nd grade, 3rd grade | 4.3.0.01 | You do not discriminate against members or restrict new membership on the basis of race, colour, gender, sexual orientation, disability, marital status, age, HIV/AIDS status, religion, political opinion, language, property, nationality, ethnicity or social origin' regarding participation, voting rights, the right to be elected, access to markets, or access to training, technical support or any other benefit of membership. | There are substantial indications of discrimination regarding membership and voting rights and the right to be elected. | There are substantial indications of discrimination on technical support, access to markets and other benefits. | There is no discrimination in practice even if there could be non-applied discriminatory rules. | There are no records or rules but no indications of discriminatory practices. | The organisation has clear and non-discriminatory rules and records that show reasons for non-acceptance or suspension of members AND no indications of discriminatory practices. | 0 | M |
| 4.3.2 | 1st grade, 2nd grade, 3rd grade | 4.3.0.02 | Membership rules are clearly documented and are not discriminatory. | Membership rules are discriminatory OR there are no membership rules. | | Membership rules exist and they are not discriminatory. | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|----------------------|----------|--|---|--|--|--|--|----------|---------------|
| 4.3.2 | 2nd grade, 3rd grade | 4.3.0.03 | There must be Internal Rules on the level of the 2nd/3rd grade organisation regulating the application of new members. | There are no internal rules. | Internal rules are not sufficiently clear OR are not followed in practice at all. | Clear internal rules in statutes or other documents about who and how to become a member BUT they have only been applied to the majority of applicants and not to all. | Clear internal rules in statutes or other documents about who and how to become a member AND they have been applied to all applicants. | = RANK 4 AND all member organisations are aware about the rules. | 0 | C |
| 4.3.2 | 2nd grade, 3rd grade | 4.3.0.04 | The Internal Rules have to specify the application process, approval process and timelines for public registration. | There are no internal rules OR the internal rules do not specify the application procedure. | Specifications are not sufficiently clear OR lack necessary details OR are not followed in practice. | Clear and applied specifications regarding the application procedure though they lack a few details. | Clear and complete specifications about who and how to become a member with additional application procedures. | = RANK 4 AND clear specification of the length of time between application and response that is respected. | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|---------------------------|---------------------------------|----------|---|--|---|---|---|--|----------|---------------|
| 4.3.3 | 1st grade, 2nd grade, 3rd grade | 4.3.0.05 | Disadvantaged/ minority groups have been identified. | Organisation opposes strengthening the position of minority groups of any/some kind. | During interviews organisations' board is not able to identify these OR there are obvious groups missing. | During interviews organisations' board is able to identify minority/disadvantaged groups. | The organisation has identified minority/disadvantaged groups before the audit. | The organisation has developed criteria for this in writing and has identified all possible groups. | 3 | D |
| 4.3.4 | 1st grade, 2nd grade, 3rd grade | 4.3.0.06 | You have put in place programmes that improve the social and economic positions of the minority/disadvantaged groups. | There is no programme /plan. | There is a programme /plan but it has not been put into practice. | There is a programme /plan for one disadvantaged group. | There is a programme /plan for all identified disadvantaged groups including the group of female members. | There is a programme /plan for all identified disadvantaged groups including the group of female members AND this was developed in consultation with the disadvantaged groups. | 6 | D |
| Fibre crops (Seed cotton) | 1st grade, 2nd grade, 3rd grade | 4.3.0.07 | (Seed cotton) Payments are given directly to women growers (applies for Seed Cotton only). | No | | Yes | | | 0 | C |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------|--|--------|--------|--|--------|--------|------|---------------|
| | | 9 | Follow up Audit | | | | | | | |
| | | 9.1 | Follow up audit information - generic | | | | | | | |
| | 1st grade, 2nd grade, 3rd grade | 9.1.1 | As a result of the evaluation decision on non-conformities and corrective measures for the last Fairtrade audit, a follow up audit is conducted in order to verify implementation of the corrective measures (objective evidences) onsite. The audit order number (AO-xxxxx) of the original Fairtrade audit is noted in the NC text field for reference. | | | Yes. Number of the original Fairtrade audit is: | | | 0 | F |
| | 1st grade, 2nd grade, 3rd grade | 9.1.2 | All objective evidences (OEs) (to be verified during the Follow up audit) have been reviewed. In the contrary case mark the missing NCs in the Follow up xls and note the reason in the start tab of the Ecert audit order, field: "Deviation from audit procedure / Tors" | No | | Yes | | | 0 | F |
| | | 9.2 | Status of CM/OE- result of follow up audit | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|-------------|---|--|---|--|--------|--------|------|---------------|
| | 1st grade, 2nd grade, 3rd grade | 9.2.1 | All corrective measures (CMs) were implemented successfully / status of all required objective evidences (OEs) is 'fulfilled' | No. None of the corrective measures (CMs) were implemented / status of all required objective evidences (Oes) 'Not fulfilled'. | No. Only some of the corrective measures (CMs) were implemented and/or CMs were implemented partially only. | Yes. All corrective measures (CMs) were implemented successfully / status of all required objective evidences (OEs) is 'fulfilled' | | | 0 | F |
| | 1st grade, 2nd grade, 3rd grade | 9.2.2 | The Excel list of all corrective measures (CMs) / objective evidence (OEs) to be verified during this Follow up audit is attached to the Ecert audit order. It includes the individual result for each OE as assessed during the Follow up audit and was explained to the customer during the closing meeting. (If 'No' state reason / explanation in NC text field) | No, because... | | Yes | | | 0 | F |
| | 1st grade, 2nd grade, 3rd grade | 9.2.3 | (Applicable if the follow up audit is a consequence of a suspension decision) The suspension rules are complied with by the customer. | No | | Yes | | | 0 | F |
| | | 9.3 | Reason for follow up audit | | | | | | | |
| | | 10 | Combined Audit | | | | | | | |
| | | 10.1 | Combined audit with another scope | | | | | | | |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|---------------------------------|--------|---|--------|--------|--------|--------|--------|------|---------------|
| | 1st grade, 2nd grade, 3rd grade | 10.1.1 | The Fairtrade audit was a combined audit with another certification/verification scope. (If yes, please document the scope in the comment field). | | | | | | 0 | |