

# Application for Fairtrade Certification

## Standard Operating Procedure

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Certifier for



**FAIRTRADE**  
INTERNATIONAL



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## 1 Purpose

This Standard Operating Procedure describes how to apply for Fairtrade certification.

## 2 Area of Application

The process outlined in this document applies to requests and applications for Fairtrade certification, including Fairtrade certification scope extensions.

### 2.1 Who needs to apply for Fairtrade certification?

All organizations/companies (producers and traders) wishing to transact under Fairtrade conditions need to be Fairtrade certified and therefore apply for Fairtrade certification. Organizations/companies that receive or handle Fairtrade Premiums must also apply for Fairtrade certification.

### 2.2 Use of Fairtrade Mark

To use the FAIRTRADE Mark on a consumer ready product, you must have a valid license contract with a National Fairtrade Organization or with Fairtrade International.

- If you are interested in using the FAIRTRADE Mark on consumer ready products, please refer to the Fairtrade Organization responsible for the market where you are located. For further information please refer to the website of Fairtrade International <http://www.fairtrade.net/>
- If you are interested in using the FAIRTRADE Mark on unfinished products or on promotional materials, please contact Fairtrade International at [artwork@fairtrade.net](mailto:artwork@fairtrade.net)

## 3 Languages and Translations

FLOCERT operates in the following five languages: English, Spanish, French, Portuguese and German. This means that customer service and documentation are provided in at least these five languages, while FLOCERT's website and other marketing material are maintained in English and Spanish.

English as the primary language will be used in case of conflict of interpretation between translated documents.

## 4 Applicability

### 4.1 Fairtrade scope

You can apply for Fairtrade certification only for products included under the Fairtrade scope defined by Fairtrade International. The Fairtrade scope comprises the following:

1. The product for which certification is requested
2. The country where the product is cultivated / traded
3. The setup of the organization / company requesting Fairtrade certification

Explanations on product type, setup of an organization, etc. can be found in **Section 10 – Definitions** in this document.

### 4.2 Fairtrade requirements

In order to obtain Fairtrade certification you will be required to prove compliance with the applicable Fairtrade Standards. FLOCERT advises you to familiarize yourself with the relevant Fairtrade Standards requirements and FLOCERT Compliance Criteria before submission of an official application.

- All Fairtrade Standards, including the product specific requirements, are available on the Fairtrade International website: <http://www.fairtrade.net/standards/our-standards.html>
- The FLOCERT Compliance Criteria are available on the FLOCERT website: <http://www.flocert.net/fairtrade-services/fairtrade-certification/compliance-criteria/>

For enquiries, please contact your FLOCERT regional applications team.

## 5 Application Process - step by step guide

To request an application pack, please contact the applications team relevant to your region.

<b>Asia, Pacific Islands, Australia and New Zealand:</b>	<a href="mailto:asia@flocert.net">asia@flocert.net</a>
<b>South, Central America and Caribbean:</b>	<a href="mailto:la@flocert.net">la@flocert.net</a>
<b>Africa and Middle East:</b>	<a href="mailto:africa@flocert.net">africa@flocert.net</a>
<b>Europe and North America:</b>	<a href="mailto:europa@flocert.net">europa@flocert.net</a>

- Alternatively, you could request application forms on our website <http://www.flocert.net/fairtrade-services/fairtrade-certification/apply-for-fairtrade-certification/>
- If you wish to extend your certification scope by adding additional products, additional member organizations / estates / plantations / entities and/or additional commercial functions, please contact your FLOCERT contact person. You need to seek prior approval before doing Fairtrade business under an extended scope.
- If you wish to apply for a product or setup that is currently not covered by the Fairtrade Standards, you can submit your [Standard project request](#) to Fairtrade International.

### 5.1 Application ID and Package

Upon receipt of your request, FLOCERT's applications team will assign you a unique Application ID and send you an application package which will include:

- an application questionnaire
- templates relevant to the application questionnaire
- information on Fairtrade certification and requirements, including the costs involved and
- a certification contract which governs contractual rights and responsibilities.

Kindly ensure that you refer to your Application ID when submitting all your documents, as well as when you pay the application fee.

### 5.2 Application Fee

You will be required to pay a single non-refundable application fee. This fee is independent of your commercial function, number of products you are applying for or structure setup.

Additional costs may arise if you are a cotton trader, relating to the evaluation of social indicators.

For an estimation regarding the applicable fees, please visit the FLOCERT website: <http://www.flocert.net/fairtrade-services/fairtrade-certification/fees/>

### 5.3 Application completion

Upon receipt of the completed and signed application questionnaire and confirmation of payment of the application fee, FLOCERT will process your application.

Upon successful completion of the application process, you will be assigned a permanent FLO ID which replaces the previously assigned Application ID. At this point you will also have access to the FLOCERT certification web portal (ECERT).

## 6 Initial audit and certification

Upon completion of your application, an invoice for the initial certification fee will be issued by FLOCERT. For an estimation regarding the applicable fees, please visit the FLOCERT website:

<http://www.flocert.net/fairtrade-services/fairtrade-certification/fees/>

Further explanations and detailed information on the audit procedure and certification process can be found in the FLOCERT certification procedure (**CERT Certification SOP**): <http://www.flocert.net/fairtrade-services/fairtrade-certification/how-it-works/>

### 6.1 Special conditions – Small Licensees

If you are a Small Licensee, you will not have to pay an application fee.

During application phase, you will be required to pay the initial certification fee. *(For an estimation regarding the applicable fees, please visit the FLOCERT website: <http://www.flocert.net/fairtrade-services/fairtrade-certification/fees/>.)*

Detailed information on Small Licensee certification is included in the Small Licensee Definition (see explanatory documents under <http://www.flocert.net/fairtrade-services/fairtrade-certification/compliance-criteria/>) as well as the FLOCERT certification procedure (**CERT Certification SOP**) <http://www.flocert.net/fairtrade-services/fairtrade-certification/how-it-works/>

## 7 Discontinuation of application

If you have paid the application fee but have not submitted all documents required, FLOCERT will retain your application request active for a maximum period of 12 months. After this period your application will be considered as discontinued. Should you wish to apply for Fairtrade certification after this 12 month period, you will be requested to go through the entire application process again.

## 8 Re-applications

### 8.1 Re-application after certification was denied

Should you have been denied certification after the initial audit was conducted, you are not required to pay the application fee and submit application documents if you re-apply within 12 months after certification denial. However following conditions may apply:

- You will receive a new initial certification fee invoice and upon payment a new initial audit will be scheduled.
- If you are a Trader, you will not be eligible for Permission to Trade. An audit will be conducted to verify that you have corrected all pending non-conformities that led to the previous denial of certification.

### 8.2 Re-application after decertification due to non-compliance/ non-payment of certification fees/ voluntary decertification

Should you have been decertified due to non-compliance with the Fairtrade Standards, non-payment of certification fees or had voluntarily sought decertification, you may re-apply under the following conditions:

- You do not need to pay the application fee and submit application documents if you re-apply within 12 months of decertification.
- Any outstanding fee prior to your decertification would have to be paid.



- You may have to undergo an audit before re-entering the Fairtrade certification system if deemed necessary by FLOCERT.
- All pending major non-conformities identified during your previous audit, would have to be corrected.

## **9 Organizations located in Risk Areas**

If you are located in a region/country that is considered a risk area due to war, civil unrest, natural disaster or disease, FLOCERT might not be able to send an auditor to conduct the initial audit as per our Certification SOP. FLOCERT follows the guidelines of the Foreign & Commonwealth Office of the United Kingdom and ultimately the German Office of Foreign Affairs in order to decide if travelling to these locations could potentially pose a threat to the security and wellbeing of the auditor.

## 10 Definitions

**Fairtrade Standards:** Fairtrade Standards, comprising Fairtrade Generic Standards and Fairtrade Product Specific Standards, are a set of requirements that producers and traders have to meet in order to obtain Fairtrade certification.

**National Fairtrade Organization:** Full member of Fairtrade International responsible for licensing, marketing, business development and raising awareness in a defined geographic area.

**Fairtrade Marketing Organization:** An organization contracted by Fairtrade International for marketing, business development and raising awareness in a defined geographic area. Fairtrade International continues to be responsible for licensing in these areas.

**Compliance criteria:** Compliance criteria are a translation of the Fairtrade Standard requirements and FLOCERT certification policies into verifiable control points. These criteria are monitored during the certification process to determine compliance with the Fairtrade Standards and with certification requirements.

**FLO ID:** Unique identification number which is assigned to all Fairtrade customers by FLOCERT. The assignment of a FLO ID does not necessarily imply that a customer is certified.

**Application ID:** A temporary identification number which is assigned to track applications before a FLO ID is assigned.

**Product category:** Refers to the respective Fairtrade product standard classification such as fresh fruit, cocoa, coffee, flowers, etc.

**Product type:** Is always directly derived from a Fairtrade product standard and describes the different products summarized within one product category.

**Single plantation:** Agricultural companies which structurally depend on hired labor. A plantation is a single estate which might consist of only one single or multiple production sites, but only one central management and administration.

**Multi estate:** Agricultural companies which structurally depend on hired labor and are composed of more than one plantation with independent administration, but one central management is responsible for the labor conditions of the workers on all of the plantations.

**1<sup>st</sup> grade organization:** A Small Producer Organization whose legal members are exclusively individual small farmers.

**2<sup>nd</sup> / 3<sup>rd</sup> grade organization:** Small Producer Organization whose legal members are exclusively 1<sup>st</sup> / 2<sup>nd</sup> grade organization affiliates.

**Small Licensee:** Entity that has been granted the right to use the FAIRTRADE Mark by Fairtrade International or a National Fairtrade Organization and which complies with the criteria set out in FLOCERT's Small Licensee Definition document.

**Additional entity:** Any entity including, but not limited to, additional sites and subcontractors involved with Fairtrade products and whose activities are controlled by the certified operator through ownership or by contract.

## 11 References

- Certification Procedure FLOCERT (CERT Certification SOP)
- Application Questionnaire for Traders
- Application Questionnaires for Producers
- Trader and Producer fee lists as published on the FLOCERT website
- Appeals & Review Procedure FLOCERT (EXE AppealReview SOP)
- Small Licensee Definition (TC SmallLicenseeDefinition ED)
- Scope of Certification Explanatory Document (CERTScopeOfCertification ED)
- FLOCERT Travel Policy (HR TravelPolicy ED)



## 12 Change History

Version	Author / Reviser	Date approved	Changes
10	N. Xeller	25.02.2011	First version
11	Y. Chaturvedi	16.08.2011	7.5.1.3 procedure for trading before issuing of PTT further detailed / 7.5.3 concept of PTT for producers introduced / 7.7 circumstances under which an application can be discontinued amended
12	N. Sood	07.10.2011	3 definition for "Application ID" added / 8.1 + 8.2 no fees are charged for additional applications (but for evaluation of social indicator in the case of cotton operators) / 7.8 condition to meet for re-application after decertification
13	H. Rossouw	17.09.2013	Updated general information (e.g. email address) / updated 2.2 use of the FAIRTRADE Mark / updated 7.1.5.4 on small licensee applications / 7.8 updated procedure to re-apply after decertification and certification denied / 8.1 + 8.2 updated procedure to apply for scope extensions
14	D. Rosado H. Rossouw	04.12.2014	Updated 7.8 Re-applications Links corrected In 7.5.1.2 Added limit of 5.000 EUR for fee for trading before certification/PTT Wording: 'certification' instead of 'product certification' Details on scope extension deleted, as will be covered in CERT SOP instead. Amount of application fee updated
15	T. Glammert-Kuhr	16.01.2015	In 6. Costs: Mentioning of specific application fee amount deleted
16	D.Rosado/ H.Rossouw	12.03.2016	Document restructured. All sections reworded. General editing, included information on language policy as well as risk areas, updated Small Licensee application process. Deleted: "This acceptance (of the application) is communicated to the applicant within 30 days" Deleted: Section 7.5 and 7.6 as content is already explained in the Certification SOP.