

## FLOCERT GmbH

### Public Compliance Criteria List - Contract Production

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

**Follow-up (F):** criteria which are only applicable to follow-up audits.

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 - Contract Production - is based on the Fairtrade Standards for Contract Production (Version dated May 1st, 2011) and the Fairtrade Product Standards published by Fairtrade International. The Fairtrade Standards for Contract Production apply exclusively to all Promoting Bodies and registered producers producing Basmati rice or cotton in India and cotton and dried fruit in Pakistan.

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.

#### Definitions:

##### The Promoting Body (PB):

The Promoting Body is the intermediary organisation that either contracts and/or supports small producers in producing and marketing one or more crops and that is responsible for supporting these producers to get organised. The Promoting Body can be either a trader (exporter / processor), or non-trader (NGO or private) which is a legal entity forming a partnership with the producers it contracts and/or supports, i.e. the registered producers. The Promoting Body is the holder of the Fairtrade certificate and is responsible for supporting the registered producers in complying with these standards.

##### Registered producers:

Registered producers refer to all the small producers contracted and/or supported by the Promoting Body and participating in Fairtrade. The registered producers form the members of the Producer Organisation(s).

##### Producer Organisation (PO):

The Producer Organisation is a group of small producers contracted and/or supported by the Promoting Body, the registered producers, and whose purpose is to enable the registered producers

to democratically decide on the Fairtrade Premium use and through which they can negotiate with the Promoting Body over terms of trade. The Producer Organisation is expected to become stronger over time and become an autonomous small producers' organisation which can in time comply with the Generic Fairtrade Standards for Small Producers' Organisations.

**Producer Executive Body (PEB):**

The Producer Executive Body comprises of elected representatives of all the registered producers. This body is the intermediary between the registered producers and the Promoting Body until the Producer Organisation can adequately represent the producers' interest and manage the Fairtrade Premium money. Once the Producer Organisation has developed these capacities, the Producer Executive Body can, if so wished, assume the function of a structure similar to an executive committee.

**Contract Production Project:**

The Contract Production Project represents the partnership between the Promoting Body and the Producer Organisation(s). In a given context there can be more than one Producer Organisation working together with the same Promoting Body.

This FLOCERT Public Compliance Criteria List is divided into two sections:

PART A comprises the requirements the Promoting Body (PB) must comply with.

PART B comprises the requirements the Producer Organisations (PO) and the registered producers must comply with, with support from and under the responsibility of the PB.

| Reference | Applicable for:             | CC No.       | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3  | Rank 4 | Rank 5  | Time | Criteria Type |
|-----------|-----------------------------|--------------|--|---|---|---|--------|---|------|---------------|
|           |                             | 0            |  |   |   |   |        |   |      |               |
|           |                             | 0.0.0.01     | Is a subcontracted additional entity included into the audit?  |   |   |   |        |   | 0    |               |
|           |                             | A            | Requirements Applicable for the Promoting Body   |   |   |   |        |   |      |               |
|           |                             | A1           | General Requirements   |   |   |   |        |   |      |               |
|           |                             | <b>A 1.1</b> | <b>Certification</b>   |   |   |   |        |   |      |               |
| A1.1.1    | Promoting Body (CP Project) | A 1.1.0.01   | You accept announced and unannounced audits at your premises including all own additional entities premises and provide all requested information needed to demonstrate compliance with the Fairtrade standards. | No, the PB denied access to sites or documents OR to confidential interviews with producers or workers OR otherwise undermined audit. | No, certain key persons were not reachable for unjustified reasons OR the PB was not active on bridging the information gaps. | Yes BUT information was poorly prepared but the PB 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             |

| Reference           | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|---------------------|-----------------------------|------------|--|--|---|---|---|---|----------|---------------|
| A1.1.2              | Promoting Body (CP Project) | A 1.1.0.02 | You have appointed a contact person for all certification matters. This person keeps FLOCERT updated with the list of registered producers and important information such as changes in legal structure, statutes, affiliated organisations, number of workers/ registered producers, additional entities, contact details including email address (including Fairtrade reporting contact) and new products to be sold as Fairtrade. | Structural changes occurred that affect certification status without informing FLOCERT OR the PB cannot be reached prior to the audit OR there is no contact person. | Changes in list of registered producers or contact details/persons occurred without the PB informing FLOCERT OR the contact person is unaware of functions. | The PB identified the contact person only during the audit. | The PB identified it in writing prior to the audit. | The PB identified it in writing prior to the audit AND the person actively communicates with FLOCERT. | <b>0</b> | <b>C</b>      |
| FLOCERT requirement | Promoting Body (CP Project) | A 1.1.0.04 | The average score for development criteria is equal or above 3.  | No   |   | Yes   |   |   | <b>3</b> | <b>C</b>      |

| Reference           | Applicable for:             | CC No.     | FLOCERT Compliance Criteria                                     | Rank 1   | Rank 2   | Rank 3  | Rank 4 | Rank 5  | Time     | Criteria Type |
|---------------------|-----------------------------|------------|---|--|--|---|--------|---|----------|---------------|
| FLOCERT requirement | Promoting Body (CP Project) | A 1.1.0.05 | All non-conformities of the previous audit have been corrected. | The implemented corrective measures failed to remedy the situation; non-compliant behaviour is still broadly in place. | The implemented corrective measures failed to remedy the situation; non-compliant behaviour continues in single instances. | Adequate actions taken to ensure compliance with all the non-conformities observed in the last audit. |        | Rank 3 and the organisation has done a root cause analysis and measures have been put in place to avoid recurrence. | <b>1</b> | <b>M</b>      |
| FLOCERT requirement | Promoting Body (CP Project) | A 1.1.0.06 | The conditions of granted exceptions are met.                   | No   |  | Yes   |        |   | <b>1</b> | <b>C</b>      |

| Reference           | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2  | Rank 3  | Rank 4 | Rank 5   | Time     | Criteria Type |
|---------------------|-----------------------------|------------|---|--|---|---|--------|--|----------|---------------|
| FLOCERT requirement | Promoting Body (CP Project) | A 1.1.0.07 | (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. | <b>1</b> | <b>C</b>      |

| Reference           | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2   | Rank 3   | Rank 4 | Rank 5 | Time | Criteria Type |
|---------------------|-----------------------------|------------|---|---|--|--|--------|--------|------|---------------|
| FLOCERT Requirement | Promoting Body (CP Project) | A 1.1.0.08 | (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             |

| Reference           | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                  | Rank 2   | Rank 3  | Rank 4 | Rank 5 | Time | Criteria Type |
|---------------------|-----------------------------|------------|---|-------------------------|--|---|--------|--------|------|---------------|
| Trader 1.1.0.06     | Promoting Body (CP Project) | A 1.1.0.11 | You have a contract with each additional entity that is not 100 % owned by the master operator 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 1.1.3        | Promoting Body (CP Project) | A 1.1.0.12 | (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 Certification SOP 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 | Promoting Body (CP Project) | A 1.1.0.13 | You have a valid FLOCERT permission to trade or a valid FLOCERT certificate for each product sold as Fairtrade.   | 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 |
|---------------------|-----------------------------|--------------|--|---|---|--|--------|--------|------|---------------|
| A1.1.2              | Promoting Body (CP Project) | A 1.1.0.14   | You fulfil the following responsibilities in the assurance tool Fairtrace:<br>1) You verify your Fairtrade sales transactions reported by your customers (deadline: 30 calendar days after transaction has been reported).<br>2) You ensure that all transactions are correct. | Verification is not done.                                   | Not all transactions are verified OR transactions are incorrectly verified. | All transactions are correctly verified OR no Fairtrade sales during the audited period. |        |        | 0    | C             |
| FLOCERT requirement | Promoting Body (CP Project) | A 1.1.0.15   | (Applicable for organisations participating in a Fairtrade Pilot) You act according to specifications of the pilot agreement.  | The specifications of the pilot agreement are not followed. | The specifications of the pilot agreement are partially followed.           | The specifications of the pilot agreement are followed.                                  |        |        | 0    | C             |
|                     |                             | <b>A 1.2</b> | <b>Registered Producers are Small Producers</b>  |   |   |  |        |        |      |               |

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|-----------|-----------------------------|------------|--|--|--|---|--|---|----------|---------------|
| A1.2.1    | Promoting Body (CP Project) | A 1.2.0.01 | <p>At least half of the registered producers must be small producers that comply with the following requirements:</p> <p>(less labour intensive products) Farm work is mostly done by the member and its family and workers are not hired all year around.</p> <p>(highly labour intensive products)</p> <ul style="list-style-type: none"> <li>- They hire less than a maximum number of permanent workers, as defined and published by Fairtrade International.</li> <li>- The size of the land they cultivate is equal to or below the average of the region, as defined and published by Fairtrade International</li> <li>- They spend most of their working time doing agricultural work on their farm.</li> <li>- Most of their income comes from their farm.</li> </ul> | The information available does not allow determining small producer status of members. | Less than 50% of registered producers are small producers. | At least 50% of registered producers are small producers. | RANK 3 AND the information easily available in the producers' lists. | RANK 4 AND the registered producers requirements are clearly mentioned in the member inclusion process. | <b>0</b> | <b>M</b>      |

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|-----------|-----------------------------|------------|---|---|--|--|---|--|------|---------------|
| A1.2.2    | Promoting Body (CP Project) | A 1.2.0.02 | At least half of the volume of a Fairtrade product that you sell as Fairtrade per year must be produced by small producers.   | Only 40% or less of sales come from small producers OR the available information makes impossible to estimate this. | Less than 50% 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 PB is aware of this rule and checks continuous compliance during sales OR all registered producers are small producers. | 0    | M             |
| A1.2.3    | Promoting Body (CP Project) | A 1.2.0.03 | You must have an updated list of the registered producers that at least includes information on name, location, land size, production volume, number of (permanent / temporary) workers and membership status | No registered producers list OR there is a list but producers did not indicate their interest.                      | Registered producers list with more than 10% errors OR without basic information.  | Registered producers list with required information and a maximum of 10% errors.                     | Registered producers list with required information and maximum 2% errors.    | Complete registered of producers list with all required information that is regularly updated.   | 0    | C             |

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|-----------|-----------------------------|------------|--|---|--|--|--|---|----------|---------------|
| A1.2.4    | Promoting Body (CP Project) | A 1.2.0.04 | You must have at least one year of practical experience in supporting registered producers and in helping them to meet the<br>- volume,<br>- quality and<br>- environmental requirements of the target market. | The PB has no previous supporting experience. | The PB has previous supporting experience but has not supported the registered producers for a year. | The PB has been supporting the registered producers for at least one year. | The PB has been supporting the registered producers for at least one year AND can show improvements on volumes, quality and/or social/environmental performance. | =RANK 4 AND the PB has experience in getting small producers organized. | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                                    | Rank 2 | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|--------|--|--|---|----------|---------------|
| A1.2.5    | Promoting Body (CP Project) | A 1.2.0.05 | You must have experience in selling products to the international market.   | The PB has no previous export experience. |        | The PB has at least made one sale to the international market. | The PB has at least 2 years-experience in selling to the international market. | The PB has at least 2 years-experience in selling to the international market AND has sold product from the registered producers to the international market. | <b>0</b> | <b>C</b>      |
| A1.2.6    | Promoting Body (CP Project) | A 1.2.0.06 | (Not applicable if the PB is an NGO) You must have the logistics and communication equipment in place needed for selling. | No  |        | Yes, at least transport and phone+internet access.             |  | Yes, all items specified in standard: transport, phone+internet, export licenses and processing and storage facilities.                                       | <b>0</b> | <b>C</b>      |

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|-----------|-----------------------------|------------|---|---|--|--|--|---|----------|---------------|
| A1.2.6    | Promoting Body (CP Project) | A 1.2.0.07 | In cases where you lease the services such as internet and telephone facilities, export licenses, processing and storage facilities, transportation from third parties and subcontractors, traceability should be guaranteed. | No, the PB has not communicated traceability requirements to subcontractors.                      | No, the PB has communicated traceability requirements but they are not followed.                         | Yes, the PB has communicated traceability requirements and these are followed.       |  | Yes, the PB has communicated traceability requirements and these are followed AND the PB regularly audits the subcontractors. | <b>0</b> | <b>C</b>      |
| A1.2.8    | Promoting Body (CP Project) | A 1.2.0.08 | You must demonstrate your competency and resources to provide the necessary services and trainings to support the formation of one or more producer organization.   | The PB has no resources and no plan on how to support the formation of producer organization (s). | The PB has a plan on how to support the formation of producer organization (s) BUT has no budget for it. | The PB has plan and definite budget to provide the necessary services and trainings. | The PB has the resources, a plan and experience in the formation of producer organization (s). | The PB has already achieved the formation of one or more producer organizations compliant with SPO standards.                 | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|---|---|--|----------|---------------|
| A1.2.9    | Promoting Body (CP Project) | A 1.2.0.09 | You must include the Fairtrade concept in your policy or mission statement.                                      | No reference to Fairtrade concept in any document.   | A separate policy developed, but the concept is not included in the main policy/mission statement. | The concept included in writing in mission or policy statement. | The concept included in writing in mission or policy statement AND on other business documents (internal policies, strategic plans, etc). | =RANK AND the PB is a mission-driven organization .  | <b>0</b> | <b>C</b>      |
| A1.2.9    | Promoting Body (CP Project) | A 1.2.0.10 | You must sign an agreement with the PEB to support the registered producers in becoming a producer organization. | No agreement signed OR the agreement does not specify the PB will support producers in becoming a producer organization (s). | Agreement signed but it was not understood by / explained to the PEB.                              | Agreement signed and understood.                                | Signed agreement with PB's responsibilities clearly specified (tasks, distributions of costs and timelines).                              | Signed agreement with PB's responsibilities clearly specified (tasks, distributions of costs and timelines) that was written by the PB and the PEB together. | <b>0</b> | <b>C</b>      |
|           |                             | A2         | Trade  |  |  |   |   |  |          |               |

| Reference | Applicable for:             | CC No.       | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3   | Rank 4                                      | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|--------------|--|---|---|--|---|---|----------|---------------|
|           |                             | <b>A 2.1</b> | <b>Traceability</b>  |   |   |  |   |   |          |               |
|           |                             | <b>A 2.2</b> | <b>Sourcing</b>  |   |   |  |   |   |          |               |
| A.2.2.1   | Promoting Body (CP Project) | A 2.2.0.01   | Once certified, you can sell the product that you have in stock as Fairtrade, provided - the product was not produced more than 1 year before the initial certification. | Older product is not differentiated AND more than 10 % of Fairtrade product is mixed up (with older product) OR older product knowingly sold. | 2 -10% of sales are mixed up (older product). | No mix up of older product except possible mistakes up to 2% sales OR the situation 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 and separating the products that are produced by members from the products from non-members, at all stages, until the product is sold. | <b>0</b> | <b>M</b>      |



| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|---|---|---|---|----------|---------------|
| A.2.1.1   | Promoting Body (CP Project) | A 2.1.0.01 | You can only sell as Fairtrade, products that are sourced from registered producers. | The product is not differentiated and more than 10 % of sales are mixed up (product from registered and non registered producers) OR product from non registered producers knowingly sold as Fairtrade. | 2% -10% of sales are mixed up (product from registered and non registered producers). | No mix up of product except possible mistakes up to 2% sales OR the situation makes mixture of products is very unlikely (negligible risk). | No mix up of product and no mistakes OR the PB does not source from non-registered producers. | No mix up of product and no mistakes AND compliant with traceability system AND has measures in place to avoid non-member business. | <b>0</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3  | Rank 4  | Rank 5   | Time | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|---|---|--|------|---------------|
| A.2.1.1   | Promoting Body (CP Project) | A 2.1.0.02 | You ensure that products from registered producers are physically separated from non-registered producers' products during transport, processing and storage.  | No system to physically separate and mixing up indeed happens. | Mixture of products from registered producers (at group or individual level) is very likely to happen and the PB 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             |
| A.2.1.2   | Promoting Body (CP Project) | A 2.1.0.03 | You must write down the product flow from the registered producers to you.   | The PB cannot explain / does not fully know the product flow.  | The PB can explain the product flow but not reflected in writing /drawn.   | Basic written/drawn description of the product flow.  | Full description of product flow.   | Full description as part of a written traceability procedure.  | 0    | C             |
| A.2.1.3   | Promoting Body (CP Project) | A 2.1.0.04 | You must keep records of products sourced from the registered producers which indicate<br>- the name of producer,<br>- date of purchase,<br>- product name,<br>- volume and<br>- price received by the member. | Records are missing.   | Records exist but are incomplete (not all transactions recorded or not all details as required in the criteria are recorded).            | 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             |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2   | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|--|---|---|--|----------|---------------|
| A.2.1.4   | Promoting Body (CP Project) | A 2.1.0.05 | When you sell a Fairtrade product, you must ensure that all the sales documents (e.g. invoices, delivery notes) clearly indicate that the product is Fairtrade. | Term "Fairtrade" or similar 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. | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                                     | Rank 2   | Rank 3  | Rank 4  | Rank 5   | Time | Criteria Type |
|-----------|-----------------------------|------------|---|--|--|---|---|--|------|---------------|
| A.2.1.5   | Promoting Body (CP Project) | A 2.1.0.06 | <p>You keep records of all your Fairtrade sales which indicate:</p> <ul style="list-style-type: none"> <li>- volume sold,</li> <li>- name of the buyer and its Fairtrade International ID number,</li> <li>- date of the transaction and</li> <li>- reference to sales documents in order for FLOCERT to be able to link these records with the corresponding sales documents.</li> </ul> <p>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.</p> <p>The PB invoices for the correct premium amount promptly and ensures forwarding the correct premium amount to the premium account promptly</p> | Records are missing. Premium not invoiced. | Records exists 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             |
| A.2.1.6   | Promoting Body (CP Project) | A 2.1.0.07 | If you process Fairtrade products, you must keep records that specify the amount of product before and after processing.  | PB does not know processing yields.        | PB knows rough average yields but has no records.                  | PB creates/obtains a record showing calculated yearly average yields.                             |   | PB 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 |
|------------------------|-----------------------------|------------|---|---|--|--|--|--|------|---------------|
| A.2.1.7                | Promoting Body (CP Project) | A 2.1.0.08 | (If you produce and process cocoa 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             |
| Trader 2.2.1 and 2.2.4 | Promoting Body (CP Project) | A 2.1.0.09 | (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             |
| Trader 2.2.2           | Promoting Body (CP Project) | A 2.1.0.10 | (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.<br>For products with >50% added water or dairy, you are allowed to exclude all added water and/or dairy from the percentage calculations. | 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 2.2.3 | Promoting Body (CP Project) | A 2.1.0.11 | (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             |
| A.2.1.1      | Promoting Body (CP Project) | A 2.1.0.12 | You must physically separate Fairtrade products from non-Fairtrade products at all stages of production, until the product is sent back to the operator.   | No system to separate and mixing up indeed happens. | Mixture of Fairtrade products and non-Fairtrade products is very likely to happen and the sub-contractor took deficient actions. | There is a system in place to separate Fairtrade and non-Fairtrade product even though there are small mistakes. | There is a system in place to separate product with no mistakes. | There is a physical traceability system in place. | 0    | C             |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time | Criteria Type |
|-----------|-----------------------------|------------|---|---|---|---|---|---|------|---------------|
| A.2.1.4   | Promoting Body (CP Project) | A 2.1.0.13 | Fairtrade products received from and sent back to the operator are clearly identified as Fairtrade in all documents and the sub-contractor's Fairtrade products are clearly identified as Fairtrade.  | Term "Fairtrade" or similar missing in all documents. | Term "Fairtrade" or similar in transaction documents BUT it is not possible to find a reference in other documents OR term "Fairtrade" missing in some transaction documents. | Term "Fairtrade" or similar in all transaction documents AND it is possible to find a reference in other documents. | Term "Fairtrade" or similar in all contracts, transaction documents and delivery notes AND it is possible to find a reference in other documents. | Term "Fairtrade" or similar in all contracts, transaction documents, B/L, delivery notes, packing lists, etc. | 0    | C             |
| A.2.1.5   | Promoting Body (CP Project) | A 2.1.0.14 | You must keep records of all your Fairtrade transactions which indicate:<br>- volume,<br>- name of the operator and its Fairtrade International ID number,<br>- date of the transaction<br>The records are linked with all corresponding documents.<br>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 Fairtrade transaction 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             |

| Reference    | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3  | Rank 4   | Rank 5   | Time | Criteria Type |
|--------------|-----------------------------|------------|---|---|---|---|--|--|------|---------------|
| A.2.1.6      | Promoting Body (CP Project) | A 2.1.0.15 | If you process Fairtrade products, you must keep records that specify the amount of product before and after processing.  | Sub-contractor does not know processing yields.                               | Sub-contractor knows rough average yields but has no records. | Sub-contractor creates/obtains a record showing calculated yearly average yields. |  | Sub-contractor creates/obtains records showing real yields of each processing batch.                         | 0    | C             |
| Trader 2.1.6 | Promoting Body (CP Project) | A 2.1.0.16 | (If you process cocoa this requirement only applies if the certified entity you are subcontracted to implements physical traceability) When delivered the subcontractor clearly identifies the Fairtrade products as Fairtrade. | On-product marks do not mention any term that can be identified as Fairtrade. | On-product marks 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             |



| Reference             | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------------------|-----------------------------|------------|---|---|---|---|---|---|----------|---------------|
| Trader 2.1.3 and 2.14 | Promoting Body (CP Project) | A 2.1.0.17 | (Cocoa) If you want to sell cocoa as physically traceable 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 on the packaging as well as the related documentation (e.g. purchase invoices, etc.). | 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 products even if there are small mistakes. The products are identified as physically traceable at least through the lot numbers. | There is a system in place to separate products without mistakes. The products are identified as physically traceable on the invoices and on the product. | There is a physical traceability system in place to trace back products to each individual producer without mistakes. The products are identified as physically traceable on the invoices and on the product. | <b>0</b> | <b>C</b>      |

| Reference              | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time | Criteria Type |
|------------------------|-----------------------------|------------|--|--|---|---|---|---|------|---------------|
| Trader 2.1.4 and 2.1.5 | Promoting Body (CP Project) | A 2.1.0.18 | (Cocoa) (If you trade and/or process cocoa and for activities carried out under FSP cotton model after ginning 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             |
| Trader 2.1.7           | Promoting Body (CP Project) | A 2.1.0.19 | (Cocoa)(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 2.1.10          | Promoting Body (CP Project) | A 2.1.0.20 | (Cocoa) (Single Site Mass Balance) You receive and process Fairtrade inputs at the same site where the Fairtrade output is processed.  | No   |   | Yes   |   |   | 0    | C             |
| Trader 2.1.11          | Promoting Body (CP Project) | A 2.1.0.21 | (Cocoa) 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             |

| Reference           | Applicable for:                              | CC No.     | FLOCERT Compliance Criteria  | Rank 1                                    | Rank 2   | Rank 3   | Rank 4  | Rank 5   | Time | Criteria Type |
|---------------------|--|------------|--|---|--|--|---|--|------|---------------|
| Trader 2.2.1        | Promoting Body (CP Project)                  | A 2.1.0.22 | If you sell composite products or ingredients you comply with the specific rules on product composition.   | No  |  | Yes  |   |  | 0    | C             |
| FLOCERT Requirement | ATCB & FSI, FSI, Promoting Body (CP Project) | A 2.1.0.23 | (Seed Cotton) (Applicable if you operate under the Fairtrade Sourced Ingredients - FSI model) You report information about your sales of equivalent volumes of Fairtrade cotton to the Fairtrade tracking system (Fairtrace).  | 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 1.1.5        | Promoting Body (CP Project)                  | A 2.1.0.24 | You ensure that Fairtrade products 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             |
| Cocoa 2.1.1         | Promoting Body (CP Project)                  | A 2.1.0.25 | (Cocoa) (If you sell semi-processed cocoa and apply mass balance.) You apply the following conversion rates mass balance cocoa in the direction that is physically possible (beans to liquor, liquor to butter and powder):<br><br>1 MT beans -> 0.82 MT liquor<br>1 MT liquor -> 0.5 MT butter and 0.5 MT powder<br>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             |

| Reference           | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2 | Rank 3  | Rank 4 | Rank 5 | Time | Criteria Type |
|---------------------|-----------------------------|------------|--|---|--------|---|--------|--------|------|---------------|
| Cocoa 2.1.5         | Promoting Body (CP Project) | A 2.1.0.26 | (Cocoa) (Applicable only if you are selling raw material and/or semi-finished products) You indicate in your sales documentation whether the product was segregated (physically traceable) or traded under mass balance when selling semi processed cocoa products.  | No indication can be found in the sales documentation (contract or invoice, or delivery note).                |        | A clear indication can be found in the sales documentation (contract or invoice or delivery note).      |        |        | 0    | C             |
| Cocoa 2.1.6         | Promoting Body (CP Project) | A 2.1.0.27 | (Cocoa) (Applicable in case of multi certification) If you purchase a certain volume of cocoa beans or semi-processed cocoa as "dual" or "multi-certified" under Fairtrade as well as under additional sustainability certification schemes, and sell it under a certification scheme other than Fairtrade, then you do not sell the same volume as Fairtrade certified cocoa. | 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             |
| FLOCERT Requirement | Promoting Body (CP Project) | A 2.1.0.28 | You have notified FLOCERT in writing of your intention to apply voluntary physical traceability prior to implementation, and you are compliant with the respective requirements.   | No written notification sent to FLOCERT prior to implementation OR not compliant with respective requirements |        | Written notification sent to FLOCERT prior to implementation AND compliant with respective requirements |        |        | 0    | C             |

| Reference           | Applicable for:             | CC No.       | FLOCERT Compliance Criteria  | Rank 1   | Rank 2 | Rank 3   | Rank 4 | Rank 5 | Time     | Criteria Type |
|---------------------|-----------------------------|--------------|--|--|--------|--|--------|--------|----------|---------------|
| FLOCERT Requirement | Promoting Body (CP Project) | A 2.1.0.29   | (Applicable only if you are selling FSI food composite ingredients or Cotton / Textiles) You indicate in your sales documentation under which program (food composite ingredients: FSI) (Cotton: FSI or Textiles) the product is traded. | No indication can be found in the sales documentation (contract or invoice, or delivery note). |        | A clear indication can be found in the sales documentation (contract, or invoice, or delivery note). |        |        | <b>0</b> | <b>C</b>      |
|                     |                             | <b>A 2.3</b> | <b>Contracts</b>   |  |        |  |        |        |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                  | Rank 2  | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|-------------------------|---|--|---|--|----------|---------------|
| A.2.3.1   | Promoting Body (CP Project) | A 2.3.0.01 | <p>Until the producer organization is able to purchase directly from its registered producers, you must sign a binding contract with each registered producer or with the producer organization that represents them. The contract must include at least the following:</p> <ul style="list-style-type: none"> <li>- reference to Fairtrade</li> <li>- date</li> <li>- duration</li> <li>- product description</li> <li>- agreed volumes</li> <li>- quality specifications of the product</li> <li>- prices, with reference to specific Fairtrade prices and premiums</li> <li>- terms and conditions of payments</li> <li>- reference to sourcing plans</li> <li>- terms and conditions of purchase and delivery</li> <li>- description of any pre-finance mechanism</li> <li>- definition of "force majeure"</li> <li>- description of mechanisms for dispute resolution</li> <li>- description of all inputs and services provided and indication of any deductions that may be relevant as a result of this provision.</li> <li>- mechanism to resolve conflicts separate from jurisdiction.</li> </ul> | There are no contracts. | There are contracts BUT they do not include all the details as specified in the criteria. | There are contracts and include all the requirement of this compliance criteria. | There are contracts and these have been drafted in consultation with the PEB. | =RANK 4 AND contracts were explained to each producer before they were signed. | <b>0</b> | <b>M</b>      |

| Reference                       | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|---------------------------------|-----------------------------|------------|--|--|--|---|--|--|----------|---------------|
| Product-specific Standard 4.1.1 | Promoting Body (CP Project) | A 2.3.0.02 | You must renew the sourcing plans a minimum of three months before they expire.                    | Not renewed<br>OR<br>renewed less than 3 months before they expire.                                |  | Renewed 3 months before they expire.  |  | Renewed more than 3 months before they expire.                                 | <b>0</b> | <b>C</b>      |
| A.2.3.2                         | Promoting Body (CP Project) | A 2.3.0.03 | The contract must be drawn up by you, unless the registered producers request to do it themselves. | There are no contracts OR the PB places the responsibility to draft the contracts on to producers. | There are contracts BUT the PB ignored producers' request to draft them. | There are contracts drafted by the PB or by the producers if they requested to. | There are contracts and these have been drafted in consultation with the PEB | =RANK 4 AND contracts were explained to each producer before they were signed. | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2  | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|---|--|--|--|----------|---------------|
| A.2.3.3   | Promoting Body (CP Project) | A 2.3.0.04 | You must write the contract in a language that the registered producers understand. | There is no written contract OR it is written in a language that is not used in the country/region (not even taught at school) | Contract is written in a language that is taught at school but not commonly used in the country/region. | The contract is written in the country/region's lingua franca. | The contract is written OR translated to the mother tongue of the majority of producers (if relevant) which can also be the lingua franca. | The contract is written OR translated to the mother tongue of each one of the producers (if relevant). | <b>0</b> | <b>C</b>      |



| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1                                 | Rank 2   | Rank 3   | Rank 4   | Rank 5   | Time | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|--|--|--|------|---------------|
| A.2.3.4   | Promoting Body (CP Project) | A 2.3.0.05 | You must ensure that the registered producers know and understand the terms of the contract and the Fairtrade conditions.                                | The PB has not explained the contract. | The PB explained the contract BUT the explanations were too poor for a good understanding.                                 | The PB explains verbally the content of the contract and the relevant Fairtrade requirements at least to all producers in a general meeting in a language that all producers understand. | The PB explains verbally the content of the contract and the relevant Fairtrade requirements to each producer in a language they understand before they sign the contract. | =RANK 4 AND the PB also provides these explanations in writing for future reference. | 0    | C             |
| A.2.3.5   | Promoting Body (CP Project) | A 2.3.0.06 | If a contract is only signed with the producer organization, you must at least provide a verbal explanation of the contract to the registered producers. | No verbal explanation.                 | The PB explained the contract BUT the explanations were too poor for a good understanding OR did not reach most producers. | Producers are generally aware of content of contract.  | In general producers are familiar with the content of the contract.  | Each interviewed producer is familiar with the details of 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 |
|-----------|-----------------------------|------------|---|---|---|---|--|--|------|---------------|
| A.2.3.6   | Promoting Body (CP Project) | A 2.3.0.07 | The written contract between you and the registered producers must not restrict them from selling to other buyers.  | The contract restricts sales to other buyers OR there is no contract.   | The contract does not restrict sales BUT this is actually enforced by other means.      | There are no written or non-written restrictions. |  | =Rank 3 AND the PB helps producers finding alternative buyers OR buys the full production. | 0    | C             |
| A.2.3.6   | Promoting Body (CP Project) | A 2.3.0.08 | The written contract between you and the registered producers must not make the purchase of certified products dependent on the purchase of non-certified products.   | The contract conditions purchases of Fairtrade products to purchases of non-Fairtrade products OR there is no contract. | The contract does not condition purchases BUT this is actually enforced by other means. | There are no written or non-written conditions.   |  | = Rank 3 AND the PB pays the same price for not certified and certified sales.             | 0    | C             |
| A.2.3.7   | Promoting Body (CP Project) | A 2.3.0.09 | When you provide credit or pre-finance, the interest rate and conditions attached to the offer must be agreed in advance with the registered producers. In case you charge an interest rate for the credit or prefinancing, it must also be agreed with the registered producers. | There has been no agreement in advance.   | There was an agreement BUT this was not recorded in writing.                            | There was a written agreement in advance.         | =Rank 3 AND the agreement is very clear and explained verbally to producers. | =Rank 4 AND agreement was negotiated with PEB / PO(s).                                     | 0    | C             |

| Reference   | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2   | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|-------------|-----------------------------|------------|---|---|--|---|--|--|----------|---------------|
| A.2.3.7     | Promoting Body (CP Project) | A 2.3.0.10 | When you provide credit or pre-finance, the interest rates charged must not be higher than your cost of borrowing.  | Interest rate is higher than the PB's cost of borrowing |  | Interest rate is equal or lower than the PB's cost of borrowing   | =Rank 3 AND rates are particularly beneficial to producers.                | PB provides credit/prefinance at zero cost for producers.              | <b>0</b> | <b>C</b>      |
| Cocoa 4.2.1 | Promoting Body (CP Project) | A 2.3.0.11 | Upon a producer's request, you must make up to 60% of the value of the contract available as pre-finance to the producer at any time after signing the contract. The pre-finance must be made available at least six weeks prior to shipment. | The PB did not provide prefinance when requested        | The PB provided prefinance when requested BUT late or less than the amount requested according to the standards. | The PB did not offer it proactively BUT provided prefinance when requested OR the producers did not request prefinance. | The PB offered it proactively AND provided it upon request from producers. | PB provides prefinance regularly without being requested by producers. | <b>0</b> | <b>C</b>      |

| Reference   | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2   | Rank 3  | Rank 4   | Rank 5   | Time | Criteria Type |
|---|-----------------------------|------------|--|---|--|---|--|--|------|---------------|
| Prepared and preserved fruit and vegetables 4.2.1 | Promoting Body (CP Project) | A 2.3.0.12 | (Dried fruit) Where contracts are left open on a seasonal basis, a quarterly schedule must be taken as a volume guide. Pre-finance may be made available either against quarterly volumes or against the equivalent monthly volumes. Quarterly amounts may be split into equal monthly amounts. Sixty percent (60%) of the value of the monthly volumes must be made available at least two weeks before the start of each month. Where pre-finance is made against quarterly volumes, 60% of the value of the quarterly volume must be made available at least two weeks before the start of each quarter.  | The PB did not provide prefinance when requested                          | The PB provided prefinance when requested BUT late or less than the amount requested according to the standards. | The PB did not offer it proactively BUT provided prefinance when requested OR the producers did not request prefinance. | The PB offered it proactively AND provided it upon request from producers. | = RANK 4 AND prefinance is offered at no cost for producers. | 0    | C             |
| A.2.3.8   | Promoting Body (CP Project) | A 2.3.0.13 | (Only applicable if you were suspended since the last audit and/or any of your buyers was suspended)<br>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.<br>For existing trade partners (buyers) with whom you have had at least one Fairtrade business transaction in the 12 months preceding the suspension, you are allowed to sign new contracts within the suspension period. The volume (of new contracts signed during the suspension period), however, is limited to 50% of the total volume (with each partner) traded in the 12 months preceding the suspension. | The PB exceeded volume allowed during suspension OR signed new contracts. |  | The PB has neither exceeded volumes allowed during suspension NOR signed contracts with new trade partners.             |  |  | 0    | M             |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                                      | Rank 2   | Rank 3  | Rank 4 | Rank 5  | Time | Criteria Type |
|-----------|-----------------------------|------------|---|---|--|---|--------|---|------|---------------|
| A.2.3.9   | Promoting Body (CP Project) | A 2.3.0.14 | (Only applicable if you or your first Fairtrade buyer have been decertified) You have stopped trading any Fairtrade products from the date of decertification even if you had signed Fairtrade contracts.   | The PB knowingly sold products as Fairtrade | The PB sold as non-Fairtrade and did not remove Fairtrade marks OR was not properly informed and sold as Fairtrade to a decertified buyer. | The PB finally sold as non-Fairtrade and did not change written contract but removed Fairtrade marks. |        | The PB finally sold as non-Fairtrade, removed Fairtrade marks and cancelled Fairtrade contract. | 0    | C             |
| A.2.3.10  | Promoting Body (CP Project) | A 2.3.0.15 | Even if Fairtrade International publishes new Fairtrade prices, all existing clauses regarding prices in the contract must be fulfilled unless it is mutually agreed between you and your buyer in writing. | No  |  | Yes OR there was a mutual agreement with the buyer.   |        |   | 0    | C             |

| Reference                       | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                  | Rank 2  | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|---------------------------------|-----------------------------|------------|---|-------------------------|---|--|---|--|----------|---------------|
| Product-specific Standard 2.3.1 | Promoting Body (CP Project) | A 2.3.0.17 | (Prepared and Preserved Fruits and Vegetables) Contracts between producers and buyers must include the following:<br>-FLO IDs of operators<br>-Reference to Fairtrade as an integral part of the contract<br>-Date of the contract<br>-Duration of the contract<br>-Product description<br>-Quality specifications of the product<br>-Specific Fairtrade Price and Premium for each product<br>-Payment conditions for Fairtrade Price and Premium<br>-Terms of delivery using Inco Terms<br>-Volumes of Fairtrade products (minimum and maximum or fixed volume)<br>-Reference to sourcing plans<br>-Description of how the system of orders will function<br>-Description of the liability of each party and the quality check procedure<br>-Definition or mentioning of "Force Majeure"<br>-Description of mechanisms for dispute resolution<br>-Description of pre-finance mechanisms | There are no contracts. | There are contracts BUT they do not include all the details as specified in the criteria. | There are contracts and include all the requirement of this compliance criteria. | There are contracts and these have been drafted in consultation with the PEB. | =RANK 4 AND contracts were explained to each producer before they were signed. | <b>0</b> | <b>M</b>      |
| Cocoa 4.1                       | Promoting Body (CP Project) | A 2.3.0.18 | (Cocoa) Sourcing plans must cover each harvest. Sourcing plans must be renewed a minimum of three months before they expire.  | No                      |   | Yes  |   |  | <b>0</b> | <b>C</b>      |
| Product-specific Standard 2.3.1 | Promoting Body (CP Project) | A 2.3.0.19 | (Cocoa) You (the Promoting body) and buyers must agree in the contract on the cocoa reference market price used ('Liffe' or 'ICE').   | No                      |   | Yes  |   |  | <b>0</b> | <b>C</b>      |

| Reference    | Applicable for:             | CC No.       | FLOCERT Compliance Criteria   | Rank 1  | Rank 2 | Rank 3  | Rank 4 | Rank 5 | Time | Criteria Type |
|--------------|-----------------------------|--------------|---|---|--------|---|--------|--------|------|---------------|
| Trader 4.1.7 | Promoting Body (CP Project) | A 2.3.0.20   | 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 honored AND has not consented to the arbitration process agreed in the contract OR the company has rejected the result of 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. |        |        | 0    | C             |
|              |                             | <b>A 2.4</b> | <b>Use of Fairtrade Trademark</b>   |   |        |   |        |        |      |               |
| A.2.4.1      | Promoting Body (CP Project) | A 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 |
|--------------|-----------------------------|--------------|---|------------------|--|--|--|--|------|---------------|
| A.2.4.2      | Promoting Body (CP Project) | A 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 1.2.2 | Promoting Body (CP Project) | A 2.4.0.03   | (Applicable if you are packing for a licensee)<br>You have a copy of the applicable artwork approval.   | No               |  | Yes  |  |  | 0    | C             |
|              |                             | <b>A3</b>    | <b>Production</b>   |                  |  |  |  |  |      |               |
|              |                             | <b>A 3.1</b> | <b>Monitoring Systems</b>   |                  |  |  |  |  |      |               |
| A.3.1.1      | Promoting Body (CP Project) | A 3.1.0.01   | You have implemented an internal control system (ICS) in order to monitor the implementation of the Standard and of the organizational development plan.<br>General principles for a functioning ICS are:<br><ul style="list-style-type: none"> <li>- A documented description of the ICS</li> <li>- A documented management structure</li> <li>- One person responsible</li> <li>- An internal regulation</li> <li>- Identified internal inspectors</li> <li>- Training of personnel, internal inspector</li> <li>- Annual inspection protocols</li> <li>- Use of internal sanctions</li> <li>- Regularly updated Growers List</li> <li>- Use of risk assessment to address risks, threats to integrity</li> </ul> | No ICS in place. | Elements of an ICS but missing other key elements such as internal inspections, internal rules, sanctions committee, etc OR the ICS does not cover all key elements in the standard. | Full ICS that covers all key elements in the standard. | Full ICS that covers all key elements in the standard AND the implementation of the ODP. | A very good / outstanding example of full ICS. | 1    | M             |



| Reference   | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2   | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-------------|-----------------------------|------------|---|---|--|--|--|---|----------|---------------|
| Cocoa 3.1.3 | Promoting Body (CP Project) | A 3.1.0.02 | (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:<br>- A documented management structure<br>- One person responsible for the IMS<br>- An internal regulation to ensure compliance<br>- Identified internal inspectors<br>- Training of the person responsible and the internal inspector<br>- Annual inspections and reports, and feedback to the members<br>- Use of internal sanctions<br>- Regularly updated members list<br>- 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.  | <b>3</b> | <b>C</b>      |
| Cocoa 3.1.4 | Promoting Body (CP Project) | A 3.1.0.03 | (1 January 2019)(Cocoa) You define with your registered members 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 ICS.   | 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 organisations. | <b>3</b> | <b>C</b>      |

| Reference   | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                      | Rank 2  | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|-------------|-----------------------------|------------|---|-----------------------------|---|---|--|--|----------|---------------|
| Cocoa 3.1.6 | Promoting Body (CP Project) | A 3.1.0.04 | (1 January 2019)(Cocoa) You collect household and farm data to assess the needs of members regarding sustainable farm improvements.   | No data collected.          | Data collected but no assessment of members needs is carried out. | Data collected and assessment of members needs is carried out.  | Rank 3 AND findings of the assessment implemented.               | Rank 4 AND the exercise repeated periodically AND farm observations are collected. | <b>3</b> | <b>C</b>      |
| Cocoa 3.1.7 | Promoting Body (CP Project) | A 3.1.0.05 | (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 developed. | Training plan 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. | Rank 4 AND information on recommendations from service providers.                  | <b>1</b> | <b>C</b>      |

| 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 | Promoting Body (CP Project) | A 3.1.0.06     | (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. | <b>3</b> | <b>D</b>      |
| Cocoa 3.1.8 | Promoting Body (CP Project) | A 3.1.0.07     | (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 discussion take place with the majority of members and agreed actions are included in the plan. | Required discussion take place with all members individually AND agreed actions included in the plan.   | Rank 4 AND all the agreed actions are specifically tailored for the farmer.     | <b>3</b> | <b>D</b>      |
|             |                             | <b>A 3.2</b>   | <b>Environmental Development</b>   |                            |  |  |   |   |          |               |
|             |                             | <b>A 3.2.1</b> | <b>Environmental Management</b>  |                            |  |  |   |   |          |               |

| Reference | Applicable for:             | CC No.           | FLOCERT Compliance Criteria   | Rank 1         | Rank 2  | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------------|---|----------------|---|---|--|--|----------|---------------|
| A.3.2.1   | Promoting Body (CP Project) | A 3.2.1.01       | You must designate one responsible person to lead the operational steps required to comply with the requirements regarding Environmental Development. | Not appointed. | Appointed but not given any time and/or resources to fulfil responsibilities OR appointed but does not know relevant environmental requirements and actual risks. | Appointed AND knows the relevant environmental requirements and actual 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. | <b>0</b> | <b>C</b>      |
|           |                             | <b>A 3.2.2.a</b> | <b>Integrated Pest Management (Pest Management)</b>   |                |   |   |  |  |          |               |

| Reference | Applicable for:             | CC No.           | FLOCERT Compliance Criteria  | Rank 1                                 | Rank 2  | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------------|--|--|---|--|---|--|----------|---------------|
| A3.2.2    | Promoting Body (CP Project) | A 3.2.2.01       | You must provide training to the registered producers and the producer organization on the subject of integrated pest management which must include: <ul style="list-style-type: none"> <li>- monitoring of pests and diseases</li> <li>- alternative ways to control pests and diseases</li> <li>- measures to prevent pesticide resistance.</li> </ul> | The PB did not carry out any training. | Less than 50% of registered producers have been trained OR content/quality of training was insufficient OR training reports with signed list of participants are not available. | At least 50% of registered producers have been trained AND content of training was sufficient. | At least 80% of registered producers have been trained AND content of training was sufficient AND training materials are clear and correct. | =Rank 4 AND some IPM measures are implemented. | <b>3</b> | <b>D</b>      |
|           |                             | <b>A 3.2.2.b</b> | <b>Proper Use and Handling of Pesticides (Pest Management) (The requirements in the following chapter are also applicable to own additional entities.)</b>   |  |   |  |   |  |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1                                 | Rank 2   | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|---|--|---|----------|---------------|
| A3.2.3    | Promoting Body (CP Project) | A 3.2.2.02 | <p>You must provide training during paid working hours to registered producers and workers who handle pesticides and other hazardous chemicals about the risks involved and proper handling. Training must address:</p> <ul style="list-style-type: none"> <li>- How to properly store pesticides and other hazardous chemicals especially so they cannot be reached by children,</li> <li>- clear labelling of products and packages.</li> <li>- Pesticide containers should be labelled indicating contents, warnings, and intended uses (preferably in the original container when possible)</li> <li>- handling of accidents and spills when preparing and applying pesticides</li> <li>- proper handling and disposal of empty pesticide containers. This includes triple rinsing and puncturing containers</li> <li>- intervals of time when people are not allowed to enter a sprayed area or field without any personal protection equipment.</li> </ul> | The PB did not carry out any training. | Less than 50% of persons handling pesticides have been trained OR content/quality of training was insufficient OR training reports with signed list of participants are not available. | At least 50% of persons handling pesticides have been trained AND content of training was sufficient. | 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, or no pesticides or hazardous chemicals are used. | <b>3</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|---|--|--|---|----------|---------------|
| A3.2.4    | Promoting Body (CP Project) | A 3.2.2.03 | All people, including registered producers and workers, must wear appropriate personal protective equipment (PPE) when handling pesticides or hazardous chemicals. | No measures implemented and registered producers and workers work unprotected as common practice. | Basic measures have been implemented BUT interviewed registered producers/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 registered producers 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 registered producers 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, or no pesticides or hazardous chemicals are used. | <b>3</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|--|--|--|--|----------|---------------|
| A3.2.5    | Promoting Body (CP Project) | A 3.2.2.04 | You must raise awareness of all registered producers and workers about the hazards and risks related to pesticides and other hazardous chemicals, even if they are not directly handling these materials. | The PB did not carry out any information activity. | Less than 50% of registered producers and workers have been informed OR content/quality of information was insufficient. | At least 50% of registered producers and workers have been informed AND content of information was sufficient. | At least 80% of registered producers 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. | <b>3</b> | <b>D</b>      |



| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2   | Rank 3  | Rank 4   | Rank 5  | Time | Criteria Type |
|-----------|-----------------------------|------------|--|---|--|---|--|---|------|---------------|
| A3.2.6    | Promoting Body (CP Project) | A 3.2.2.05 | <p>If you or the producer organization have a central storage area for pesticides and other hazardous chemicals, you maintain it in a way that minimizes risk and you ensure that it:</p> <ul style="list-style-type: none"> <li>• Is locked and accessible only to trained and authorized personnel;</li> <li>• Is ventilated to avoid a concentration of toxic vapours;</li> <li>• Has equipment, such as absorbent materials, to handle accidents and spills;</li> <li>• Does not contain food;</li> <li>• Contains pesticides that are clearly labelled indicating contents, warnings, and intended uses, preferably in the original container when possible; and</li> <li>• Contains information on the proper handling of pesticides (safety sheets).</li> </ul> | Store rooms controlled by the PB or PO(s) do not minimize risks according to standard and due to their location represent a high risk of accidents. | Store rooms controlled by the PB or PO(s) do not fulfil all requirements to minimize risks as described in the standard. | Store rooms controlled by the PB or PO(s) 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 the PB or PO(s) minimize risks according to all specifications in the requirement AND stocks are as minimal as possible. | = RANK 4 AND there are additional safety measures such as contact details for emergencies, fire extinguishers, waterproof floor, concrete curbing, sloped floor, etc. or no pesticides or hazardous chemicals are used. | 0    | C             |
|           |                             | A 3.2.2c   | <b>Choice of Pesticides Used (Pest Management) (The requirements in the following chapter are also applicable to own additional entities.)</b>   |   |  |   |  |   |      |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1            | Rank 2  | Rank 3   | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|-------------------|---|--|---|---|----------|---------------|
| A3.2.7    | Promoting Body (CP Project) | A 3.2.2.06 | <p>You have compiled a regularly updated list of the pesticides that are used on the Fairtrade crops that indicates which of those materials are in the Fairtrade International Prohibited 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"> <li>• Name of the active ingredient and commercial brand name and</li> <li>• Crop on which they are used;</li> <li>• Name of targeted pest or disease;</li> </ul> | 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, Orange and Yellow list pesticides. | There is a sufficiently complete list. The list was developed based on local knowledge and informal communication with registered producers. | There is a sufficiently complete list. The list was developed based on documentation at producer level. | There is an accurate list AND organisation regularly documents pesticides used by registered producers as part of a general ICS and also monitors pesticides available in surrounding stores. | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1                                 | Rank 2  | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|---|---|---|--|----------|---------------|
| A3.2.9    | Promoting Body (CP Project) | A 3.2.2.08 | You must work with all the registered producers towards<br>- minimising the amount of herbicides used<br>- promoting other weed prevention and control strategies. | The PB did not carry out any activity. | Less than 50% of registered producers who use herbicides benefited from training or other promoting activity. | At least 50% of registered producers who use herbicides have been trained on weed prevention and control strategies OR the PB carried out other promoting activities with the same reach. | At least 80% of registered producers who use herbicides have been trained on weed prevention and control strategies OR the PB carried out other promoting activities with the same reach. | =RANK 4 AND some preventive and some alternative weed prevention and control strategies are implemented. | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.           | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------------|---|--|--|---|--|---|----------|---------------|
| A3.2.8    | Promoting Body (CP Project) | A 3.2.2.07       | You have developed a procedure to ensure that the registered producers do not use any materials listed in the Fairtrade International Hazardous Materials List (HML) (Red List) on their Fairtrade crops.<br>This must at least include activities that raise the registered producers' awareness of the HML. | The PB did not consider any measure.   | The PB has ideas of how to improve but they have not been implemented OR implemented measures but not described them in writing. | The PB has implemented at least one measure on awareness raising, i.e. providing information to registered producers in any form AND described it in writing. | The PB has implemented a series of measures (for example: records at producer level, awareness raising, sample internal inspections, peer-review) AND described them in writing. | There is an (organic) Internal Control System that covers all registered producers AND that works well. | <b>1</b> | <b>M</b>      |
|           |                             | <b>A 3.2.3.a</b> | <b>Soil Erosion (Soil and Water)</b>  |  |  |   |  |   |          |               |
| A3.2.10   | Promoting Body (CP Project) | A 3.2.3.01       | You must identify land at risk of soil erosion.   | The PB did not make any identification AND there are important potential erosion problems. | The PB did not make any identification.  | The PB documented (in writing or maps) potential general problems in the area.  |  | The PB inspected all farms and documented in writing potential problems.                                | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.           | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------------|---|--|--|---|--|---|----------|---------------|
| A3.2.10   | Promoting Body (CP Project) | A 3.2.3.02       | You must identify land that is already eroded in the fields where the registered producers plant Fairtrade crops.   | Important erosion problems exist and the PB is unaware.  | Mild erosion problems exist and the PB is unaware.   | The PB documented (in writing or maps) existing general problems in the area.                                       |  | The PB inspected all farms and documented in writing existing problems. | <b>3</b> | <b>D</b>      |
| A3.2.11   | Promoting Body (CP Project) | A 3.2.3.03       | You must train registered producers where risk of soil erosion or already eroded land have been identified, on practices that reduce and/or prevent soil erosion. | The PB did not carry out any training OR the PB failed to identify existing soil erosion problems. | Less than 50% of registered producers with risk erosion have been trained OR content/quality of training was insufficient. | At least 50% of registered producers with risk of erosion have been trained AND content of training was sufficient. | At least 80% of registered producers 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.        | <b>6</b> | <b>D</b>      |
|           |                             | <b>A 3.2.3.b</b> | <b>Handling Fertilizers (Soil and Water)</b>  |  |  |   |  |   |          |               |

| Reference | Applicable for:             | CC No.           | FLOCERT Compliance Criteria   | Rank 1  | Rank 2   | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------------|---|---|--|--|---|--|----------|---------------|
| A3.2.12   | Promoting Body (CP Project) | A 3.2.3.04       | You must train registered producers about the appropriate use of fertilizers. This must include: <ul style="list-style-type: none"> <li>• measures to ensure that fertilizers (organic and inorganic) are applied in amounts that respond to the nutrient need of the crop</li> <li>• measures to store fertilizers separately from pesticides in a way that minimizes risks of polluting water.</li> </ul> | The PB did not carry out any training.                          | Less than 50% of registered producers have been trained OR content/quality of training was insufficient. | At least 50% of registered producers have been trained AND content of training was sufficient.   | At least 80% of registered producers 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.   | <b>6</b> | <b>D</b>      |
|           |                             | <b>A 3.2.3.c</b> | <b>Soil Fertility (Soil and Water)</b>  |   |  |  |   |  |          |               |
| A3.2.13   | Promoting Body (CP Project) | A 3.2.3.05       | You must document the measures that you or the registered producers have implemented to improve soil fertility.   | The PB did not prepare any report and cannot explain practices. | The PB did not prepare any report but can explain to auditor the practices in this regard.               | The PB prepared a basic report but some existing practices that could be reported are missing / the PB did not include all relevant practices. | The PB evaluated internally its practices and prepared a complete report.   | = RANK 4 AND the PB benefits from advice from local experts such as authorities, universities or NGOs OR updates the report adding new practices/measures. | <b>3</b> | <b>D</b>      |
|           |                             | <b>A 3.2.3.d</b> | <b>Sustainable Water Sources (Soil and Water)</b>   |   |  |  |   |  |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2   | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|--|---|--|--|----------|---------------|
| A3.2.14   | Promoting Body (CP Project) | A 3.2.3.06 | You must list sources of water used for irrigating and processing Fairtrade crops. | The PB does not know where irrigation water and water used for processing comes from. | The PB only knows some of the sources OR knows all sources but this is not reflected in writing. | The PB 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 PB can prove that the use of all sources is authorised. | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2  | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|---|--|--|--|----------|---------------|
| A3.2.15   | Promoting Body (CP Project) | A 3.2.3.07 | You must keep informed about the situation of the water sources in your area. | 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 | = 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. | <b>6</b> | <b>D</b>      |



| Reference | Applicable for:             | CC No.           | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------------|---|--|--|--|---|---|----------|---------------|
| A3.2.15   | Promoting Body (CP Project) | A 3.2.3.08       | In case local environmental authorities or other entities consider that your water sources are being depleted, or are in a critical situation or under excessive pressure, you must engage in a dialogue with the authorities or local existing initiatives in order to identify possible ways to be involved in research or solution finding. Such dialogues are to be documented and can be in the form of emails, letters, minutes, etc.   | There is an identified problem and the PB did not contact relevant stakeholders. | The PB has contacted relevant stakeholders BUT there is no documentation of it.                          | The PB has contacted relevant stakeholders and there is documentation of the dialogue.         | The PB has contacted relevant stakeholders and solutions have been identified   | The PB has a drafted plan to solve the problem in coordination/cooperation with the relevant stakeholders and the issues are being addressed. | <b>6</b> | <b>D</b>      |
|           |                             | <b>A 3.2.3.e</b> | <b>Sustainable Water Use (Soil and Water) (The requirements in the following chapter are also applicable to own additional entities.)</b>   |  |  |  |   |   |          |               |
| A3.2.16   | Promoting Body (CP Project) | A 3.2.3.09       | You must provide training to the registered producers on procedures to use water efficiently. These must include: <ul style="list-style-type: none"> <li>• estimating how much water is needed to irrigate and/or process your crop</li> <li>• measuring (or estimating) how much water is extracted from the source</li> <li>• measuring how much water is used for irrigation and/or processing</li> <li>• providing maintenance to the water distribution system</li> <li>• adopting as applicable, methods to recirculate, reuse and/or recycle water.</li> </ul> | The PB did not carry out any training.   | Less than 50% of registered producers have been trained OR content/quality of training was insufficient. | At least 50% of registered producers have been trained AND content of training was sufficient. | At least 80% of registered producers 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.   | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2   | Rank 3  | Rank 4                                   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|--|---|--|--|----------|---------------|
| A3.2.17   | Promoting Body (CP Project) | A 3.2.3.10 | You must handle waste water from central processing facilities in a manner that does not have a negative impact on water quality, soil fertility 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 PB has a plan for further improving quality of water. | <b>6</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|----------------|---|--|--|--|---|--|----------|---------------|
| A3.2.18   | Promoting Body (CP Project) | A 3.2.3.11     | You must provide training to the registered producers about waste water and its health risks as well as about the prevention of such risks and treatment methods of waste water and their implementation. | The PB did not carry out any training.   | Less than 50% of registered producers have been trained OR content/quality of training was insufficient.                   | At least 50% of registered producers have been trained AND content of training was sufficient. | At least 80% of registered producers 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. | <b>6</b> | <b>D</b>      |
| A3.2.19   | Promoting Body (CP Project) | A 3.2.4.01     | You must ensure that the registered producers keep their farms free of hazardous waste.   | Hazardous waste is found on producers' farms outside designated storage areas. | Hazardous waste is found on producers' farms outside designated storage areas BUT the PB 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 PB carried out awareness activities.                      | = RANK 4 AND there is an (organic) Internal Control System in place that works well.                         | <b>1</b> | <b>M</b>      |
|           |                             | <b>A 3.2.4</b> | <b>Waste</b>  |  |  |  |   |  |          |               |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|----------------|---|--|--|--|--|--|----------|---------------|
| A3.2.20   | Promoting Body (CP Project) | A 3.2.4.02     | You must raise awareness of registered producers about re-using organic waste through the implementation of practices that allow nutrients to be recycled. You and the registered producers may only burn organic waste if it is required by applicable legislation for phytosanitary purposes. | The PB did not carry out any information activity OR organic waste is burned when not required by legislation. | Less than 50% of registered producers have been informed OR content/quality of information was insufficient. | At least 50% of registered producers have been informed AND content of information was sufficient. | At least 80% of registered producers 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.                | <b>3</b> | <b>D</b>      |
|           |                             | <b>A 3.2.5</b> | <b>GMO</b>  |  |  |  |  |  |          |               |
| A3.2.21   | Promoting Body (CP Project) | A 3.2.5.01     | You must not intentionally use genetically engineered seed or planting stock for Fairtrade crop(s).   | More than 10 % of Fairtrade crops is GMO OR the PB knowingly uses GMO seeds/planting stock.                    | Use of GMO is very likely to happen AND the PB 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 PB is compliant with Standard requirement 3.2.32.   | = Rank 4 AND there is an (organic) Internal Control System in place that works well. | <b>0</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|----------------|--|---|---|--|---|--|----------|---------------|
| A3.2.21   | Promoting Body (CP Project) | A 3.2.5.02     | You must implement practices to avoid GM contamination in seed stocks. | Known sources are not free from contamination BUT the PB did not implement any measure. | The PB does not know where seeds/plants are obtained OR most registered producers are unaware of local risks. | The PB generally knows where registered producers obtain seeds/plants and sources are free from contamination AND most interviewed producers could identify the local risks. | The PB has prepared awareness raising programmes OR offers registered producers the tools to avoid contamination. | The PB has prepared awareness raising programmes AND offers registered producers the tools to avoid contamination. | <b>0</b> | <b>M</b>      |
|           |                             | <b>A 3.2.6</b> | <b>Biodiversity</b>  |   |   |  |   |  |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|--|--|--|---|----------|---------------|
| A3.2.22   | Promoting Body (CP Project) | A 3.2.6.01 | You must report on activities that you or the registered producers carry out to protect and enhance biodiversity.                 | The PB did not prepare any report and there are no practices put in place. | The PB did not prepare any report but can explain to auditor the practices in this regard.                   | The PB prepared a basic report but some existing practices that could be reported are missing / the PB did not include all relevant practices. | The PB evaluated and quantified the practices and prepared a complete report.  | = RANK 4 AND the PB benefits from advice from local experts such as authorities, universities or NGOs OR updates the report adding new practices. | <b>6</b> | <b>D</b>      |
| A3.2.23   | Promoting Body (CP Project) | A 3.2.6.02 | You must raise awareness amongst registered producers so that no collecting or hunting of rare or threatened species takes place. | The PB did not carry out any information activity.                         | Less than 50% of registered producers have been informed OR content/quality of information was insufficient. | At least 50% of registered producers have been informed AND content of information was sufficient.   | At least 80% of registered producers 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.  | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|----------------|---|--|--|--|--|---|----------|---------------|
| A3.2.24   | Promoting Body (CP Project) | A 3.2.6.03     | You must raise awareness amongst registered producers so that alien invasive species are not introduced.                                      | The PB did not carry out any information activity. | Less than 50% of registered producers have been informed OR content/quality of information was insufficient. | At least 50% of registered producers have been informed AND content of information was sufficient. | At least 80% of registered producers have been informed AND content of information was sufficient AND there are informative materials. | RANK 4 AND alien invasive species are not used. | <b>3</b> | <b>D</b>      |
|           |                             | <b>A 3.2.7</b> | <b>Energy and Green House Gas (GHG) Emissions (The requirements in the following chapter are also applicable to own additional entities.)</b> |  |  |  |  |   |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                                      | Rank 2   | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|--|---|---|---|----------|---------------|
| A3.2.25   | Promoting Body (CP Project) | A 3.2.7.01 | You must keep records of energy consumption at the central processing facilities where non-renewable energy is used. You must take measures to use energy more efficiently and replace non-renewable sources by renewable ones as far as possible at the central processing facilities. | The PB does not measure energy consumption. | The PB is measuring energy consumption BUT has not planned energy efficiency measures. | The PB is measuring energy consumption AND knows sources of renewable energy to compare AND has planned energy efficiency measures. | The PB 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 PB can prove energy consumption was indeed reduced since record-keeping started. | <b>3</b> | <b>D</b>      |



| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|----------------|---|--|--|--|---|--|----------|---------------|
| A3.2.26   | Promoting Body (CP Project) | A 3.2.7.02     | You must report on the practices that registered producers carry out to reduce GHG emissions and increase carbon sequestration. | The PB did not prepare any report and there are no practices put in place. | The PB did not prepare any report but can explain to auditor the practices in this regard. | The PB prepared a basic report but some existing practices that could be reported are missing / the PB did not include all relevant practices. | The PB evaluated and quantified the 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. | <b>6</b> | <b>D</b>      |
|           |                             | <b>A 3.3</b>   | <b>Labour Conditions</b>  |  |  |  |   |  |          |               |
|           |                             | <b>A 3.3.1</b> | <b>Freedom from Discrimination (The requirements in the following chapter are also applicable to own additional entities.)</b>  |  |  |  |   |  |          |               |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|----------------|--|--|--|--|--|--|----------|---------------|
| A3.3.1    | Promoting Body (CP Project) | A 3.3.1.01     | You must make the registered producers aware of the laws relating to sexual harassment. If there are no such laws, you must draft a suitable policy on this subject and make the registered producers aware of it. | The PB did not carry out any information activity OR did not draft a policy (if necessary, only if there are no sexual harassment laws). | Less than 50% of registered producers have been informed OR content/quality of information was insufficient. | At least 50% of registered producers have been informed AND content of information was sufficient AND trainings are planned/scheduled for the remaining producers. | At least 80% of registered producers have been informed AND content of information was sufficient AND there are informative materials. | =RANK 4 AND a special grievance procedure is in place for cases of sexual harassment . | <b>3</b> | <b>D</b>      |
|           |                             | <b>A 3.3.2</b> | <b>Freedom of Labour (The requirements in the following chapter are also applicable to own additional entities.)</b>   |  |  |  |  |  |          |               |

| Reference | Applicable for:             | CC No.       | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|--------------|---|--|--|--|--|--|----------|---------------|
| A3.3.2    | Promoting Body (CP Project) | A 3.3.2.01   | You must make the registered producers aware of the ILO conventions and encourage them to follow them with regard to their labour force.              | The PB did not carry out any information activity. | Less than 50% of registered producers have been informed OR content/quality of information was insufficient. | At least 50% of registered producers have been informed AND content of information was sufficient AND trainings are planned/scheduled for the remaining producers. | At least 80% of registered producers have been informed AND content of information was sufficient AND there are informative materials. | =RANK 4 AND a special programme to prevent bonded labour and child labour has been put in place. | <b>3</b> | <b>D</b>      |
| A3.3.2    | Promoting Body (CP Project) | A 3.3.2.02   | You must ensure that the registered producers comply with the requirements regarding child labour and child protection in chapter B of this Standard. | No   |  | Yes  |  |  | <b>0</b> | <b>M</b>      |
|           |                             | <b>A4</b>    | <b>Business and Development</b>   |  |  |  |  |  |          |               |
|           |                             | <b>A 4.1</b> | <b>Development Potential</b>  |  |  |  |  |  |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1                                       | Rank 2  | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|---|---|--|---|----------|---------------|
| A4.1.1    | Promoting Body (CP Project) | A 4.1.0.01 | You must carry out a needs assessment of how Fairtrade benefits can promote environmentally sustainable social and economic development of registered producers. | The PB did not carry out a needs assessment. | The PB carried out a needs assessment but not reflected in writing OR written needs assessment lacks key information. | The PB documented a basic needs assessment that identifies registered producers' needs and Fairtrade benefits, and explains how the benefits can address the needs. | =RANK 3 AND it was developed in close consultation with registered producers/P EB. | =RANK 4 AND the needs assessment is the basis for the development of the ODP. | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2  | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|---|---|--|--|----------|---------------|
| A4.1.3    | Promoting Body (CP Project) | A 4.1.0.03 | You must explain and discuss the ODP with registered producers and update it every year.                        | The PB did not update the ODP AND did not present it to producers. | The PB updated the ODP BUT did not present it to producers OR the PB presented it but provided no time or opportunity for discussion. | The PB updated and presented the ODP to producers for discussion. | The PB updated and presented the ODP to producers, providing detailed verbal explanations, with sufficient time for a good understanding and discussion. | =RANK 4 AND distributed written explanations for future reference OR used participatory methods that actively encouraged discussion. | <b>1</b> | <b>C</b>      |
| A4.1.4    | Promoting Body (CP Project) | A 4.1.0.04 | You must support registered producers to meet the targets defined in the organizational development plan (ODP). | The PB does not provide any support.                               | The PB provides support but less than specified in the ODP.   | The PB provides support as specified in the ODP.                  | The PB provides support as specified in the ODP, assuming all necessary costs itself.  | = RANK 4 AND the ODP is being accomplished according to plan.  | <b>1</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1                                      | Rank 2   | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|--|---|---|---|----------|---------------|
| A4.1.5    | Promoting Body (CP Project) | A 4.1.0.05 | You must ensure that one or more producer organizations are being established in a transparent manner. | The establishment of PO(s) has not started. | Steps have been taken but there are no PO(s) established yet.                          | There are PO(s) established with statutes and clear membership BUT there are no elections yet.                          | There are PO(s) established with statutes and clear membership AND the board has been elected BUT the PO(s) are not yet registered. | There are PO(s) established with statutes and clear membership AND the board has been elected AND the PO(s) are registered. | <b>3</b> | <b>D</b>      |
| A4.1.6    | Promoting Body (CP Project) | A 4.1.0.06 | You must help the producer organization formalize its internal systems for democratic participation.   | The PB does not provide any support.        | The PB provides support but unrelated to formalization of internal democratic systems. | The PB provides support on calling for and holding General Assemblies and proper recording of attendance and decisions. | = RANK 3 AND the PB also supports drafting internal rules / statutes and electing directors.  | = RANK 4 AND the PB also helps the PO registering themselves as required by local legislation.                              | <b>6</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|---|---|---|---|----------|---------------|
| A4.1.7    | Promoting Body (CP Project) | A 4.1.0.07 | If the registered producers do not meet the targets outlined in the ODP, you must contract an independent third party (person or organization) to support them in their organization in accordance with the ODP after three years of certification. This must be earlier if requested by producers. | The PB has not contracted an independent party when targets were not being met AND it was requested by producers. | The PB has not contracted an independent body when targets were not being met after three years of certification. | The PB has contracted an independent party when targets were not being met. | = RANK 3 AND the selection was consulted with the PEB.  | =RANK 4 AND the selected party has plenty of experience in supporting producers.                          | <b>1</b> | <b>C</b>      |
| A4.1.7    | Promoting Body (CP Project) | A 4.1.0.08 | You must consult the PEB during the process of contracting the independent party.   | The PB has not contracted an independent party .  | The PB has not consulted the PEB OR their opinion was not taken into account.                                     | The PB has consulted the PEB AND their opinion was taken into account.      | The PB consulted the PEB AND their opinion was taken into account AND the chosen party is suitable. | The PB and the PEB went through the complete selection process together AND the chosen party is suitable. | <b>1</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2  | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|---|--|---|--|----------|---------------|
| A4.1.7    | Promoting Body (CP Project) | A 4.1.0.09 | You must demonstrate that the chosen independent party has the requisite experience and skills to undertake its responsibilities. | The PB has not contracted an independent party OR the contracted party does not act independently. | The chosen independent party has never supported producers. | The chosen party has previously supported producers. | The chosen independent party has previously supported producers in organizational matters or conflict-resolution. | =RANK 3 AND the independent party's stated mission is supporting disadvantaged producers AND the independent party is specialized in conflict-resolution/mediation on behalf of small farmers. | <b>1</b> | <b>C</b>      |



| Reference | Applicable for:             | CC No.       | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|--------------|--|---|---|---|---|--|----------|---------------|
| A4.1.2    | Promoting Body (CP Project) | A 4.1.0.02   | You and the registered producers must develop an organizational development plan (ODP) in a democratic and transparent manner. This must show a timeline and activities that support registered producers in getting organized. You must not impose your views in the development of the plan. | There is no ODP OR it was developed by the PB on its own. | There is an ODP but has no concrete timelines/activities OR the views of producers were not sufficiently heard (PB imposed its view). | There is an ODP developed together with the registered producers. | There is an ODP developed together with the registered producers AND this ODP is based on the needs assessment. | PO(s) capable of complying with SPO standards were already formed.               | <b>1</b> | <b>M</b>      |
|           |                             | <b>A 4.2</b> | <b>Democracy. Participation and Transparency</b>   |   |   |   |   |  |          |               |
| A4.2.1    | Promoting Body (CP Project) | A 4.2.0.01   | You must ensure that registered producers establish a structure called the producer executive body (PEB) that is able to make democratic and transparent decisions about Fairtrade issues, including use of the Fairtrade Premium.   | There is no PEB.  | The creation of a PEB has started but still not completed.  | There is a PEB even though still weak and/or quite inactive.      | There is an active PEB.   | There is an active PEB which has been properly trained to perform its functions. | <b>0</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3  | Rank 4   | Rank 5   | Time | Criteria Type |
|-----------|-----------------------------|------------|--|---|---|---|--|--|------|---------------|
| A4.2.1    | Promoting Body (CP Project) | A 4.2.0.02 | You must ensure that the PEB informs you about these decisions taken by them.                            | There is no communication between the PEB and the PB.   | The PEB communicates with the PB only sporadically and not every time a decision on the Fairtrade Premium is taken.   | The PEB communicates to the PB all decisions on the Fairtrade Premium when these are taken. | The PB communicates to the PB all decisions on any Fairtrade matter when these are taken.    | The PEB and the PB communicate on a frequent and regular basis regarding all Fairtrade matters.          | 0    | C             |
| A4.2.2    | Promoting Body (CP Project) | A 4.2.0.03 | You must ensure that the PEB is democratically elected by, and represents, all the registered producers. | The elections were forced, bought or otherwise corrupted OR the organisation provided false evidence of elections OR there were no elections. | The elections held did not have enough quorum OR not all members have voting rights OR the elections were postponed by a longer time than technically reasonable. | Elections were democratic even if 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 |
|-----------|-----------------------------|------------|--|--|--|---|--|--|------|---------------|
| A4.2.2    | Promoting Body (CP Project) | A 4.2.0.04 | You must ensure that the election of the representatives of the PEB is properly documented.  | There were no elections.   | Elections were not at all recorded.  | Elections were recorded but poorly (for example list of participants without signature) | Elections were properly recorded even if lacked certain minor formalities.                             | The democratic election was perfectly recorded.  | 0    | C             |
| A4.2.3    | Promoting Body (CP Project) | A 4.2.0.05 | The composition of the PEB must reflect the composition of the registered producers taking into account<br>- gender,<br>- location,<br>- community membership,<br>- temporary or migrant workers (where applicable). | The composition of the PEB is very homogeneous and does not reflect the diversity of registered producers. | The composition reflects diversity BUT there are relevant group of producers that are not represented (for example women producers). | There is at least one representative of each group of registered producers.             | The composition of the PEB reflects the composition of the registered producers in a proportional way. | The composition of the PEB reflects the composition of the registered producers in a proportional way AND permanent and migrant workers are also represented | 0    | C             |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|---|---|--|---|----------|---------------|
| A4.2.4    | Promoting Body (CP Project) | A 4.2.0.06 | You must ensure there is an established communication and feedback system in place between you and the registered producers, so that information and concerns, particularly about the Fairtrade Premium and Fairtrade sales is documented and shared between all parties in a timely manner. | There is no communication between the PEB and the PB. | The PEB communicates with the PB only sporadically. | The PEB and the PB communicate frequently but with no established regularity. | The PEB and the PB communicate frequently but with no established regularity AND the communication on Fairtrade Premium and sales is documented. | The PEB and the PB communicate on a frequent and regular basis (for example following a calendar of meetings) AND the communication on Fairtrade Premium and sales is documented. | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1                         | Rank 2   | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--------------------------------|--|--|--|---|----------|---------------|
| A4.2.5    | Promoting Body (CP Project) | A 4.2.0.07 | You must define and document the process of including and excluding producers. | There are no written criteria. | Criteria are not sufficiently clear, there are ambiguous clauses OR they are not followed in practice. | Clear written criteria about who and how to become a registered producer and how / why to exclude producers. | Clear written criteria about who and how to become a registered producer and how / why to exclude producers AND a record of all inclusions and exclusions that state the reason. | Clear written criteria about who and how to become a registered producer and how / why to exclude producers AND a record of all inclusions and exclusions that state the reason AND all applications or interest shown. | <b>0</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                                | Rank 2  | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---------------------------------------|---|--|--|--|----------|---------------|
| A4.2.6    | Promoting Body (CP Project) | A 4.2.0.08 | If there are non-registered producers interested in participating in Fairtrade, you must take steps to incorporate these producers. | Inclusion of new producers is closed. | Some producers are incorporated but the PEB does not follow a consistent approach / any plan. | The PB records the interest of producers AND has a written plan with timelines to incorporate the producers. | =Rank 3 AND the PB is already gradually incorporating the new producers.                                   | Inclusion of new producers is permanently open.  | <b>6</b> | <b>D</b>      |
| A4.2.7    | Promoting Body (CP Project) | A 4.2.0.09 | You share audit results with registered producers 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 registered producers in detail, explained to registered producers and understood | =Rank 4 and meetings conducted in which registered producers can give their feedback and participate in correcting non-conformities identified | <b>3</b> | <b>D</b>      |

| Reference   | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2  | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|-------------|-----------------------------|------------|---|--|---|---|--|--|----------|---------------|
| Cocoa 3.1.1 | Promoting Body (CP Project) | A 4.2.0.10 | (Cocoa) You update records of your registered 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 registered members OR records lack the required information. | Registered members records with required information in place but not updated annually. | Updated registered member records with required information in place with maximum of 10 % errors. | Updated registered member records with required information in place without any errors. | RANK 4 AND there is a system to periodically update records. | <b>0</b> | <b>C</b>      |
| Cocoa 3.1.2 | Promoting Body (CP Project) | A 4.2.0.11 | (Cocoa) Your registered 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. | <b>1</b> | <b>C</b>      |

| 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 | Promoting Body (CP Project) | A 4.2.0.12 | (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<br>- the commitment from both the member and SPO to comply with Fairtrade Standards, and<br>- 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. | <b>0</b> | <b>C</b>      |



| 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 | Promoting Body (CP Project) | A 4.2.0.13   | (Cocoa) You discuss if investing the Fairtrade Premium in activities that increase quality and productivity would help your registered 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 taken place, premium to be invested in such activities but the results not presented to the general assembly. | Discussions 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 | Promoting Body (CP Project) | A 4.2.0.14   | (Cocoa) You discuss with your registered members whether partnerships with traders offering long-term partnership based on mutual commitments would be in the interest of your organisation and of your registered members, and inform your business partner about your decision. | No discussion has taken place. | Discussions have taken place BUT business partner not informed of decision.   | Discussions have taken place BUT business partner not informed of decision.                                       |   |   | 1    | C             |
|             |                             | <b>A 4.3</b> | <b>Non Discrimination (The requirements in the following chapter are also applicable to own additional entities.)</b>   |                                |   |   |   |   |      |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|---|---|---|---|----------|---------------|
| A4.3.1    | Promoting Body (CP Project) | A 4.3.0.01 | You must not discriminate against or restrict participation on the basis of race, colour, gender, sexual orientation, disability, marital status, age, religion, political opinion, language, property, nationality, ethnicity or social origin. You must not discriminate regarding participation, voting rights, the right to be elected, access to markets, training, technical support, or any other benefit of participation. | 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. | <b>0</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.       | FLOCERT Compliance Criteria  | Rank 1                       | Rank 2  | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|--------------|--|------------------------------|---|---|---|--|----------|---------------|
| A4.3.2    | Promoting Body (CP Project) | A 4.3.0.02   | You must ensure that there are programmes in place related to disadvantaged/ minority groups to improve their social and economic position in the producer organization. | 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 producers. | There is a programme /plan for all identified disadvantaged groups including the group of female producers AND this was developed in consultation with the disadvantaged groups. | <b>6</b> | <b>D</b>      |
|           |                             | <b>A 4.4</b> | <b>Fairtrade Price</b>   |                              |   |   |   |  |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|--|---|---|----------|---------------|
| A4.4.1    | Promoting Body (CP Project) | A 4.4.0.01 | For the products contracted you must pay at least the Fairtrade Minimum Price to the registered producers if it exists. In cases where there is no Fairtrade Minimum Price, the relevant market price, or the contractually agreed price should be paid. | The price paid is generally below the Fairtrade price (Minimum or agreed) OR in the cases where there is no Minimum price, the price agreement is unclear. | The price paid is sometimes below the Fairtrade price (Minimum or agreed). | The price paid is always at least the Fairtrade price (Minimum or agreed). | The price paid is always above the Fairtrade price (Minimum or agreed). | Price negotiation is transparently recorded AND the price paid is always above the Fairtrade price (Minimum or agreed). | <b>0</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|---|--|--|----------|---------------|
| A4.4.1    | Promoting Body (CP Project) | A 4.4.0.02 | You must pay at least the market price for a product when the market price is higher than the Fairtrade Minimum Price. | The price paid is generally below market.            | The PB has not identified a market price reference to compare vs. the Minimum Price OR sometimes the price paid is below market. | The PB can identify a market price reference used to compare vs. the Minimum Price AND the PB always pays the higher price. | The PB keeps a record of the market price reference used to compare vs. the Minimum Price AND the PB always pays the higher price. | The PB keep a record of the market price reference used to compare vs. the Minimum Price AND keeps the PEB constantly informed of this market price AND the PB always pays the higher price. | <b>0</b> | <b>M</b>      |
| A4.4.2    | Promoting Body (CP Project) | A 4.4.0.03 | If you charge the registered producers for inputs or services, you must charge only a normal market price.             | The price charged for inputs or services is abusive. |  | The price is normal market price.   |  | The PB charges less than market price.   | <b>0</b> | <b>C</b>      |

| Reference   | Applicable for:             | CC No.       | FLOCERT Compliance Criteria   | Rank 1   | Rank 2 | Rank 3  | Rank 4  | Rank 5  | Time | Criteria Type |
|---|-----------------------------|--------------|---|--|--------|---|---|---|------|---------------|
| A4.4.2  | Promoting Body (CP Project) | A 4.4.0.04   | If you charge the registered producers for inputs or services, you must declare these prices in a transparent manner.   | There is no record of the price charged for inputs and services, these are discounted from the price paid with no explanation s. |        | The prices charged for inputs and services are explained to producers prior to delivery of the service and producers have agreed. | =RANK 3 AND The price of charged inputs is agreed in advance in the contract. | =RANK 4 AND the prices charged are reflected in receipts to producers or similar. | 0    | C             |
| Prepared and preserved fruit and vegetables 3.3.2 | Promoting Body (CP Project) | A 4.4.0.05   | (Dried fruit) In case of women growers (and women driers for Dried Fruits only), you have to ensure that payments are given to the woman directly (not to the husband).   | No   |        | Yes   |   |   | 0    | C             |
| Fresh fruit 4.3.1, Nuts 4.3.2                     | Promoting Body (CP Project) | A 4.4.0.07   | (Almonds, apricot seeds, walnuts, apples from Pakistan) The price at Ex-Works level includes the Certification Costs (GBP 0.01 per kg of conventional produce and GBP 0.03 per kg of organic produce) which are paid to the Promoting Body. The Certification Costs are deducted from the price paid to the individual farmers, i.e. from the Fairtrade Minimum Price or the market price, whichever is higher. | No   |        | Yes   |   |   | 0    | C             |
|   |                             | <b>A 4.5</b> | <b>Fairtrade Premium</b>  |  |        |   |   |   |      |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2   | Rank 3  | Rank 4 | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|--|---|--------|--|----------|---------------|
| A4.5.1    | Promoting Body (CP Project) | A 4.5.0.01 | <p>You must pay the correct amount of Fairtrade Premium to the producer executive body or to the producer organization once it is established.</p> <p>If the PB accepts the premium through the net price they invoice to their buyer, they have forwarded the correct premium to the premium account, within 30 calendar days of receipt of premium.</p> | Fairtrade Premium is not paid OR is used to pay for compliance with standard / items not agreed in the FDP OR the Fairtrade Premium is embezzled by the PB. | There are discounts made to the Fairtrade Premium OR only a part of the premium was paid OR it was not paid within permissible timeline. | Correct Fairtrade Premium is Invoiced to the Premium Payer (if applicable) and is paid in full within permissible timeline. |        | Fairtrade Premium is paid in full AND timely AND a written explanation of the amount paid is provided. | <b>0</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|---|--|--|--|----------|---------------|
| A 4.5.2   | Promoting Body (CP Project) | A 4.5.0.02 | Until the producer organization is able to open its own bank account and manage the Fairtrade Premium in a democratic and transparent manner<br>- you must stand as a trustee of the Fairtrade premium funds<br>- you must set up a separate bank account to receive the Fairtrade Premium on behalf of the registered producers<br>- you must have at least one member of the PEB as a joint signatory of the Fairtrade premium account.<br>- you must be able to prove that the Fairtrade Premium is used in line with applicable rules. | The PB has no separate account or no joint signatory AND the Premium money is confused and/or embezzled. | The PB has no separate account or there are no joint signatory rights for the account BUT the Premium money is not confused or embezzled. | The PB has a separate account with joint signatory rights. | There is a separate account and joint signatory rights AND the PB regularly monitors the use of the Premium. | There is a separate account and joint signatory AND the PB regularly monitors the use of the Premium AND monitors reporting of the Premium AND is in line with the applicable rules. | <b>1</b> | <b>C</b>      |
| A4.5.3    | Promoting Body (CP Project) | A 4.5.0.03 | You must commit in writing that you would allow the PEB to make its decisions on the use of the Fairtrade Premium in an independent manner.  | There is no written commitment.  | There is commitment in writing but not in practice.   | There is commitment in writing and in practice.            | There is commitment in writing and in practice AND the PB makes the PEB aware of this freedom.               | =Rank 4 AND the PEB is perfectly aware of their right to take decisions independently.   | <b>0</b> | <b>C</b>      |



| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                                     | Rank 2 | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|--------|---|---|--|----------|---------------|
| A4.5.4    | Promoting Body (CP Project) | A 4.5.0.04 | You must support the PEB to develop proposals on possible uses of the Fairtrade Premium and to make democratic and transparent decisions. | The PB provides no support on this regard. |        | The PB supports the PEB in obtaining and recording requests and suggestions for use of the Premium OR other similar relevant support. | =Rank 3 AND the PB supports the PEB providing objective/independent guidance on feasibility and costs of the proposals. | =Rank 4 AND the PB provides training to the PEB members on needs assessment, cost/benefit analysis, feasibility studies, project management, monitoring, or similar. | <b>1</b> | <b>C</b>      |
| A4.5.5    | Promoting Body (CP Project) | A 4.5.0.05 | You must ensure that the handling of the Fairtrade Premium is audited every year by an external organization.                             | No, not audited externally.                |        | Yes, audited externally every year.   |   | Yes, audited externally every year and the result of the audit reflects a perfect handling of the Fairtrade Premium.   | <b>1</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                                 | Rank 2   | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|--|--|---|--|----------|---------------|
| A4.5.6    | Promoting Body (CP Project) | A 4.5.0.06 | You must provide a report as well as audited accounts of the Fairtrade Premium use to the PEB and to the registered producers annually or upon request at any time.   | Not developed.                         | Provided to the PEB but not annually (less frequently) OR not upon request.    | Provided to the PEB annually and upon request.                                 | Provided and explained verbally to the PEB.   | Provided and explained verbally to all producers.                                      | <b>1</b> | <b>C</b>      |
| A4.5.6    | Promoting Body (CP Project) | A 4.5.0.07 | You must carry out regular administrative and organizational capacity-building trainings with the representatives of the PEB so that they are able to take over management of the Fairtrade Premium in a democratic and transparent manner. | The PB did not carry out any training. | Not all PEB members have been trained OR content/quality of training was poor. | All PEB members have been trained AND content of training was of good quality. | All PEB members have been trained AND content of training was of good quality AND there is a plan for regular training. | =Rank 4 AND the content of the training is expanded and decided together with the PEB. | <b>3</b> | <b>D</b>      |

| Reference           | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3   | Rank 4  | Rank 5  | Time     | Criteria Type |
|---------------------|-----------------------------|------------|---|---|---|--|---|---|----------|---------------|
| A4.5.6              | Promoting Body (CP Project) | A 4.5.0.08 | You must support and facilitate the producer organization having access to and using any market related certificates, which you hold in their name, allowing them to access other buyers independently.   | The PB does not allow producers to use these certificates even if the PB is not able to purchase all product from them. | The PB does not allow producers to use these certificates but the PB is able to purchase all product from them. | The PB allows producers to use these certificates. | The PB has a plan to transfer certificates to producers' name AND allows producers to use these certificates. | The PB transferred all certificates to the producers' name. | <b>6</b> | <b>D</b>      |
| FLOCERT requirement | Promoting Body (CP Project) | A 4.5.0.09 | There is no evidence of misuse in the management of the Fairtrade premium.  | No  |   | Yes  |   |   | <b>1</b> | <b>M</b>      |
| Cocoa 4.3.8         | Promoting Body (CP Project) | A 4.5.0.10 | (Cocoa) At least once a year and at latest one month after the PEB having reported the results of the Fairtrade development plan to the PB, 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  |   |   | <b>0</b> | <b>C</b>      |
|                     |                             | A5         | Additional Requirement  |   |   |  |   |   |          |               |

| Reference            | Applicable for:                   | CC No.       | FLOCERT Compliance Criteria  | Rank 1                       | Rank 2   | Rank 3                               | Rank 4 | Rank 5 | Time     | Criteria Type |
|----------------------|-----------------------------------|--------------|--|------------------------------|--|--------------------------------------|--------|--------|----------|---------------|
| Fibre crops<br>2.4.2 | Promoting<br>Body (CP<br>Project) | A 5.0.0.01   | (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: <ul style="list-style-type: none"> <li>• Hours of work [1919]</li> <li>• Forced Labour [1930]</li> <li>• Freedom of Association and Protection of the Right to Organize [1948]</li> <li>• Right to Organize and Collective Bargaining [1949]</li> <li>• Equal remuneration [1951]</li> <li>• Abolition of Forced Labour [1957]</li> <li>• Discrimination (Employment and Occupation) [1958]</li> <li>• Minimum wage fixing [1970]</li> <li>• Minimum Age Convention [1973]</li> <li>• Occupational Safety and Health [1981]</li> <li>• Elimination of the Worst Forms of Child Labour [1999]</li> </ul> | No Social Indicator provided | The Social Indicator provided is not valid anymore | A valid Social Indicator is provided |        |        | <b>0</b> | <b>C</b>      |
|                      |                                   | <b>B</b>     | <b>Requirements Applicable to Producer Organizations and Registered Producers</b>  |                              |  |                                      |        |        |          |               |
|                      |                                   | <b>B1</b>    | <b>General Requirements</b>  |                              |  |                                      |        |        |          |               |
|                      |                                   | <b>B 1.1</b> | <b>Certification</b>   |                              |  |                                      |        |        |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|---|---|--|----------|---------------|
| B1.1.1    | Promoting Body (CP Project) | B 1.1.0.01 | You must have basic knowledge of the Fairtrade concept and indicate your commitment to<br>- participate in Fairtrade<br>- cooperate with the promoting body.<br>This is to be done in a way that allows you to eventually comply with the Fairtrade Standard for Small Producer Organizations. | Most registered producers do not know / do not understand Fairtrade. | Registered producers have not indicated their interest/commitment. | Most registered producers know / understand Fairtrade AND all have indicated their commitment verbally. | Most registered producers know / understand Fairtrade AND all have indicated their commitment in writing. | The vast majority of producers know / understand Fairtrade AND all have indicated their commitment in writing. | <b>0</b> | <b>C</b>      |
|           |                             | B2         | Trade (No Requirements)  |  |  |   |   |  |          |               |
|           |                             | B3         | Production   |  |  |   |   |  |          |               |
|           |                             | B 3.1      | Environmental Development  |  |  |   |   |  |          |               |
|           |                             | B 3.1.1.a  | Integrated Pest Management (Pest Management)   |  |  |   |   |  |          |               |

| Reference | Applicable for:             | CC No.           | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------------|--|--|--|--|---|---|----------|---------------|
| B3.1.1    | Promoting Body (CP Project) | B 3.1.1.01       | You must be able to demonstrate that pesticides are applied based on knowledge of pests and diseases.  | Most registered producers do not know relevant pests and diseases. | Most registered producers know relevant pests and diseases BUT cannot explain why particular applications were done. | 80% of registered producers can explain why a particular application was done. | = RANK 3 AND at least 50% of registered producers use tools to monitor incidence of pests and diseases. | = RANK 3 AND at least 80% of registered producers use tools to monitor incidence of pests and diseases AND record pesticide application, or no pesticides are used. | <b>6</b> | <b>D</b>      |
|           |                             | <b>B 3.1.1.b</b> | <b>Proper Use and Handling of Pesticides (Pest Management) (The requirements in the following chapter are also applicable to own additional entities.)</b> |  |  |  |   |   |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|---|---|---|---|----------|---------------|
| B3.1.2    | Promoting Body (CP Project) | B 3.1.1.02 | 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 buffer zones or no barriers Or no re-entry times defined or potential pesticides reaching sites of ongoing human activity. | On average buffers are narrower than 10m or re-entry intervals are not as per guidelines prescribed on Pesticides or the producers cannot demonstrate that the buffer zones effectively stop potential pesticide drift into areas of ongoing human activity | Buffer strips of 10m on average, re-entry times well defined & with a dense barrier to prevent potential pesticides reaching sites of ongoing human activity. | RANK 3 AND the organisation carried out awareness activities. | = RANK 4 AND there is an Internal Control System in place that works well and can guarantee this at producer level. | <b>1</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|---|--|--|---|----------|---------------|
| B3.1.3    | Promoting Body (CP Project) | B 3.1.1.03 | If aerial spraying of pesticides or other hazardous chemicals is carried out, you must not spray above and around places with ongoing human activity or above and around 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 instructions were not respected AND the producers took no action. | Rivers, water bodies, houses and other sensitive areas are identified in maps and communicated in advance to pilots. However the instructions were not respected BUT the producers changed 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 Producers warn local population of spraying times. | <b>1</b> | <b>C</b>      |



| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|---|---|--|---|----------|---------------|
| B3.1.3    | Promoting Body (CP Project) | B 3.1.1.04 | If aerial spraying is outsourced, you must ensure that they do not spray above and around places with ongoing human activity or above and around 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 subcontractors. However the instructions were not respected AND the producers took no action. | Rivers, water bodies, houses and other sensitive areas are identified in maps and communicated in advance to subcontractors. However the instructions were not respected BUT the producers changed subcontract or 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 subcontractors and are always avoided. | = RANK 4 AND Producers get information from subcontract or and warn local population of spraying times. | <b>1</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|--|---|--|----------|---------------|
| B3.1.4    | Promoting Body (CP Project) | B 3.1.1.05 | You must store pesticides and other hazardous chemicals in a way that minimizes risks, especially so they cannot be reached by children. | Store areas controlled by registered producers are not locked and due to their locations represent a high risk of accidents. | Store areas controlled by registered producers are not locked.               | Store areas controlled by registered producers are locked and not accessible to any child. | Store areas controlled by registered producers are locked and not accessible to any child AND only accessible to trained people.  | There is an Internal Control System in place that works well and can guarantee this at producer level.   | <b>3</b> | <b>C</b>      |
| B3.1.5    | Promoting Body (CP Project) | B 3.1.1.06 | You must have all pesticides and hazardous chemicals clearly labelled.   | Most pesticides stored by registered producers are not labelled.   | Some pesticides are not labelled, even if the producer can identify content. | Unlabelled pesticides are not found.   | Unlabelled pesticides are not found AND the PB took some measures to further guarantee compliance (for example: awareness raising, sample internal inspections, peer-review). | There is an Internal Control System in place that works well and can guarantee this at producer level, or no pesticides or hazardous chemicals are used. | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|--|---|--|----------|---------------|
| B3.1.6    | Promoting Body (CP Project) | B 3.1.1.07 | You must have equipment to handle accidents and spills in the areas where you prepare or mix pesticides and other hazardous chemicals, so these do not seep into soil or water. You must plan the spraying in such a way as to have no or very little spray solution left. | Most registered producers do not have equipment to handle accidents AND/OR considerable amounts of spray solution are left . | Registered producers 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 poses risks to people and the environment. | Registered producers 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 minimizes risks to people and the environment AND no considerable amounts of spray solution are left (and stored in spraying equipment, etc or | = RANK 3 AND the PB took some measures to further guarantee compliance (for example: awareness raising, sample internal inspections, peer-review ). | There is an Internal Control System in place that works well and can guarantee this at producer level. | <b>6</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2   | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|--|---|---|--|----------|---------------|
| B3.1.7    | Promoting Body (CP Project) | B 3.1.1.08 | You must not reuse pesticide containers to store or transport food or water.   | Reusing pesticide containers for food/ product is common practice.  | No evidence of registered producers reusing pesticide containers for food/product but interviewed producers do not know the dangers. | There are no indications of registered producers reusing pesticide containers AND interviewed producers know the dangers. | = RANK 3 AND PB carried out awareness activities.     | = RANK 4 AND the PB provides a safe disposal system for registered producers.  | <b>0</b> | <b>M</b>      |
| B3.1.8    | Promoting Body (CP Project) | B 3.1.1.09 | You must triple rinse, puncture and store empty containers properly. All equipment that has been in contact with pesticides must be cleaned and stored properly. | Registered producers do not follow these practices, dirty equipment or dirty/non-punctured empty containers can be found. | = RANK 2 BUT the PB carried out awareness activities.  | No dirty equipment or dirty/non-punctured empty containers are found.   | = RANK 3 AND the PB carried out awareness activities. | There is an Internal Control System in place that works well and can guarantee this at producer level, or no pesticides or hazardous chemicals are used. | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.           | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------------|--|--|---|---|---|--|----------|---------------|
| B3.1.9    | Promoting Body (CP Project) | B 3.1.1.10       | You do not use any of the materials on the Fairtrade International Hazardous Materials List found in Annex 2 on Fairtrade crops. You only use synthetic materials that are officially registered and permitted for the crop/product in the country of use. | The PB or PO actively promotes use of forbidden materials OR use was found in > 5% of sampled producers. | Use was found in < 5% of sampled producers BUT the PB/PO has not developed a procedure to ensure that members do not use on the Fairtrade crops any material that appears on the Fairtrade International Prohibited Materials List. | Use was found in < 5% of sampled producers AND the PB/PO has developed a procedure to ensure that members do not use on the Fairtrade crops any material that appears on the Fairtrade International Prohibited Materials List. | No use was detected in audit AND the PB/PO has developed a procedure to ensure that producers do not use on the Fairtrade crops any material that appears on the Fairtrade International Prohibited Materials List. | There is an Internal Control System in place that works well and can guarantee this at producer level. | <b>0</b> | <b>M</b>      |
|           |                             | <b>B 3.1.1.c</b> | <b>Choice of Pesticides Used (Pest Management) (The requirements in the following chapter are also applicable to own additional entities.)</b>   |  |   |   |   |  |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3  | Rank 4  | Rank 5   | Time | Criteria Type |
|-----------|-----------------------------|------------|---|--|--|---|---|--|------|---------------|
| B3.1.9    | Promoting Body (CP Project) | B 3.1.1.11 | Pesticides prohibited in the HML Part 1 (Red List) are clearly marked "Not for use on Fairtrade crops".   | No   |  | Yes   |   |  | 0    | C             |
| B3.1.10   | Promoting Body (CP Project) | B 3.1.1.13 | (Only applicable in the case of use of material on the Fairtrade International Red List that has been approved by FLOCERT under as exceptional conditions before 31/12/2017) You demonstrate 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. Evidence of need must be demonstrated by the producer. | No OR the PB 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             |
| B3.1.10   | Promoting Body (CP Project) | B 3.1.1.14 | An appropriate plan and record to substitute these materials must be developed and operated.  | 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. | = RANK 4 AND records are fully up to date.                           | 0    | C             |
| B3.1.10   | Promoting Body (CP Project) | B 3.1.1.12 | (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 |
|-----------|-----------------------------|----------------|---|--------------------------------------|--|---------------------------------------|--------|--|------|---------------|
| B3.1.10   | Promoting Body (CP Project) | B 3.1.1.16     | <p>You and the members of your organization use materials in the Orange List on Fairtrade crops only under the following conditions:</p> <p>a) You fulfill the specific conditions of use specified in Part 2 of the HML.</p> <p>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.</p> <p>c) You have developed and implemented a plan for reducing/phasing out the use of the materials. The plan includes information on</p> <ul style="list-style-type: none"> <li>- the type of material (technical name/active ingredient (a.i.), formulation (% of a.i.), commercial name),</li> <li>- the quantity used (spray concentration (a.i. /ha or in % or ppm etc.) and total consumed a.i./ha/year),</li> <li>- actions taken for reducing/phasing out the material including details of other non-chemical controls which are part of the IPM strategy.</li> </ul> | 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             |
|           |                             | <b>B 3.1.2</b> | <b>Waste</b>  |                                      |  |                                       |        |  |      |               |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|----------------|--|--|--|--|---|---|----------|---------------|
| B3.1.11   | Promoting Body (CP Project) | B 3.1.2.01     | You must have designated areas for the storage and disposal of hazardous waste.  | Registered producers have not designated storage areas AND keep hazardous waste. | Registered producers have not designated storage areas BUT no hazardous waste is found during the audit.   | Registered producers have designated storage areas on farms or at central areas where risks are minimized. | The PB or PO provides an alternative storage where risks are minimized. | The PB or PO eliminates or has access to resources which eliminate hazardous waste permanently without burning.             | <b>3</b> | <b>D</b>      |
| B3.1.11   | Promoting Body (CP Project) | B 3.1.2.02     | In the absence of appropriate disposal facilities, small amounts of hazardous farm waste can be burned in a well-ventilated area away from people, animals or crops. You may 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 registered producers 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 PB or PO provides an alternative storage.              | =RANK 3 AND the PB or PO eliminates or has access to resources which eliminate hazardous waste permanently without burning. | <b>3</b> | <b>D</b>      |
|           |                             | <b>B 3.1.3</b> | <b>GMO</b>   |  |  |  |   |   |          |               |



| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria  | Rank 1  | Rank 2   | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|----------------|--|---|--|---|--|---|----------|---------------|
| B3.1.12   | Promoting Body (CP Project) | B 3.1.3.01     | You must not intentionally use genetically engineered seed or planting stock for Fairtrade crop(s).  | More than 10 % of Fairtrade crops is GMO.   | 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 PB is compliant with Standard requirement A3.2.21                 | = Rank 4 AND there is an Internal Control System in place that works well and can guarantee this at producer level. | <b>0</b> | <b>C</b>      |
|           |                             | <b>B 3.1.4</b> | <b>Biodiversity</b>  |   |  |   |  |   |          |               |
| B3.1.13   | Promoting Body (CP Project) | B 3.1.4.01     | From the date of application for certification, you must avoid negative impacts on<br>-protected areas<br>-areas with high conservation values within or outside the farm or production areas. | Protected or HCV areas have been totally/partly destroyed by registered producers (since application for certification) | Registered producers are not aware of local protected/HCV areas. | The PB informed registered producers of local protected/HCV areas and there are no indications of negative impacts. | The PB effectively controls activities of registered producers in protected areas. | = RANK 4 AND the conservation of local protected/HCV areas is actively promoted.                                    | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2   | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|--|---|--|---|----------|---------------|
| B3.1.14   | Promoting Body (CP Project) | B 3.1.4.03 | You must maintain buffer zones around<br>1. water bodies<br>2. watershed recharge areas and<br>3. Between production areas and areas of high conservation value, either protected or not.<br>Pesticides, hazardous chemicals and fertilizers must not be applied in buffer zones. | 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. | <b>6</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|----------------|--|---|---|--|--|--|----------|---------------|
| B3.1.15   | Promoting Body (CP Project) | B 3.1.4.04     | If you carry out wild harvesting of Fairtrade products from uncultivated areas, you must 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 PB carried out awareness raising activities.              | = RANK 4 AND there is an Internal Control System that covers all registered producers and that controls volumes and times of harvesting. | <b>1</b> | <b>C</b>      |
| B3.1.13   | Promoting Body (CP Project) | B 3.1.4.02     | You must comply with national legislation relating to agricultural land use, for the areas that are used or converted to production of the Fairtrade crop.                           | 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.                            | There is evidence of the legal conversion to production of Fairtrade crop. | There is evidence of the legal use and legal conversion to production of Fairtrade crop.   | <b>0</b> | <b>C</b>      |
|           |                             | <b>B 3.2</b>   | <b>Labour Conditions</b>   |   |   |  |  |  |          |               |
|           |                             | <b>B 3.2.1</b> | <b>Freedom from Discrimination</b>   |   |   |  |  |  |          |               |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|----------------|--|--|---|--|--|---|----------|---------------|
|           |                             | <b>B 3.2.2</b> | <b>Freedom of Labour (The requirements in the following chapter are also applicable to own additional entities.)</b> |  |   |  |  |   |          |               |
| B3.2.5    | Promoting Body (CP Project) | B 3.2.2.01     | You and the producer organization 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. | RANK 3 AND there is a written policy approved by the GA and made known to members and workers. | RANK 4 AND the ICS controls this at producer level. | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3  | Rank 4  | Rank 5   | Time | Criteria Type |
|-----------|-----------------------------|------------|---|--|--|---|---|--|------|---------------|
| B3.2.1    | Promoting Body (CP Project) | B 3.2.1.01 | The producer organization and you must 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 when it comes to 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 made known to all registered producers 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             |
| B3.2.2    | Promoting Body (CP Project) | B 3.2.1.02 | During the recruitment of workers you and the producer organization must not test for pregnancy, HIV or genetic disorders.  | 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 the ICS controls this at producer level.   | 0    | C             |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|---|---|---|---|----------|---------------|
| B3.2.6    | Promoting Body (CP Project) | B 3.2.2.02 | The producer organization and you must not make the employment of a worker, or an offer of housing, conditional on the employment of their spouse. Spouses have the right to work elsewhere. | Employers oblige family members to work (directly or via benefits such as housing). | Employers prioritise housing for families with more than one member employed by them. | There are no indications of this taken place.   |   | Employers make all workers aware (especially those living in farm) about their right to work elsewhere.             | <b>0</b> | <b>C</b>      |
| B3.2.7    | Promoting Body (CP Project) | B 3.2.2.03 | With support from the promoting body, the producer organization must take over the responsibility to improve your working conditions and those of your workers.                              | The PO(s) did not start any action.   | The PO(s) took some steps but have not taken over responsibility yet.                 | The PO(s) have taken over the responsibility from the PB to create awareness on working conditions (A 3.3.1.01 and A 3.3.2.01). | The PO(s) run a programme to improve working conditions for producers and workers AND/OR invests part of the Fairtrade Premium on improving working conditions. | =Rank 4 AND The PO(s) have taken over the responsibility of the ICS controlling labour practices at producer level. | <b>6</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3   | Rank 4   | Rank 5   | Time | Criteria Type |
|-----------|-----------------------------|------------|--|--|---|--|--|--|------|---------------|
| B3.2.3    | Promoting Body (CP Project) | B 3.2.1.03 | The producer organization and you must 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 registered producers as employers or at PB or PO as employer. | There are indications of this happening on rare occasions but the PB took no actions. | The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present. | There is a written policy made known to members and workers. | = RANK 4 AND the ICS controls this at producer level.                | 0    | C             |
| B3.2.5    | Promoting Body (CP Project) | B 3.2.2.04 | Workers are informed that they are free to leave.  | 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             |
| B3.2.4    | Promoting Body (CP Project) | B 3.2.1.04 | The producer organization and you must 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 registered producers as employers or at PB or PO as employer. | There are indications of this happening on rare occasions but the PB took no actions. | The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present. | There is a written policy made known to members and workers. | = RANK 4 AND the ICS controls this at producer level.                | 0    | C             |

| Reference | Applicable for:             | CC No.         | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|----------------|--|--|---|--|--|---|----------|---------------|
|           |                             | <b>B 3.2.3</b> | <b>Child Labour and Child Protection (The requirements in the following chapter are also applicable to own additional entities.)</b>       |  |   |  |  |   |          |               |
| B3.2.8    | Promoting Body (CP Project) | B 3.2.3.01     | The producer organization and you must not employ 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 registered producers as employers or at PB or PO as employer. | There are indications of this happening on rare occasions but the PB took no actions OR producers 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. | There is a written policy made known to registered producers, that includes ensuring of save schooling for all children. | = RANK 4 AND the ICS controls this at producer level. | <b>0</b> | <b>M</b>      |



| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|--|--|---|--|---|----------|---------------|
| B3.2.9    | Promoting Body (CP Project) | B 3.2.3.02 | Your members' children below 15 years only help on 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, producers' children perform non-suitable work during non-suitable times and the PB took no actions. | The auditor found no indication (through interviews, observation, and local knowledge) that non-suitable work/non-suitable time is present OR present on rare occasions but the PB took action. | The PB has an awareness raising programme for producers that identifies suitable work. | = RANK 4 AND the ICS controls this at producer level. | <b>0</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2   | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|--|---|---|---|----------|---------------|
| B3.2.10   | Promoting Body (CP Project) | B 3.2.3.03 | The producer organization and you 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 registered producers. | There are indications that, on rare occasions, producers' children perform non-suitable work and the PB took no actions. | The auditor found no indication (through interviews, observation, and local knowledge) that non-suitable work is present OR present on rare occasions but the PB took action. | = RANK 3 AND the PB has an awareness raising programme for members that identifies suitable work. | = RANK 4 AND the ICS controls this at producer level. | <b>0</b> | <b>M</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|---|--|--|---|----------|---------------|
| B3.2.11   | Promoting Body (CP Project) | B 3.2.3.04 | If in the past you employed children under 15 for any type of work, or children under 18 for dangerous and exploitative work, you have ensured that those children are not at risk of entering and do not enter 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. | The PB is unaware of current situation of children employed in the past by the PB itself. | The PB took no remedial actions and is unaware of current situation of children employed in the past by registered producers. | The PB can provide details of all children working in the past and their current safe situation. | The PB had a general programme to support families AND can provide details of all children working in the past and their current safe situation. | The PEB developed a child rights based remediation policy and program in partnership with a governmental or international organisation AND its members are trained on child rights methodologies. | <b>1</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.       | FLOCERT Compliance Criteria  | Rank 1                                | Rank 2   | Rank 3   | Rank 4   | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|--------------|--|---------------------------------------|--|--|--|---|----------|---------------|
| B3.2.12   | Promoting Body (CP Project) | B 3.2.3.05   | (Only applicable if a risk of child labour is identified) The PEB has 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.  | The PEB did not consider any measure. | The PEB has ideas of how to improve but these have not been implemented. | The PEB has implemented some control measures such as keeping records at producer level. | The PEB has implemented some control AND preventive measures (such as investments to eradicate root causes). | The PEB has established a youth inclusive community based monitoring and remediation on child labour. | <b>3</b> | <b>D</b>      |
| B3.2.11   | Promoting Body (CP Project) | B 3.2.3.06   | Any action that you have taken to ensure CC B 3.2.3.04 above respects the UN Convention on the Rights of the Child (CRC) protective framework, which means <ul style="list-style-type: none"> <li>- that the best interest of the child are always the top priority,</li> <li>- that their right to survival and development is respected,</li> <li>- that you apply them to all children without discrimination,</li> <li>- that the views of the child are heard and respected,</li> <li>- and at all moments they are protected from violence.</li> </ul> | No                                    |  | Yes  |  |   | <b>1</b> | <b>C</b>      |
|           |                             | <b>B4</b>    | <b>Business and Development</b>  |                                       |  |  |  |   |          |               |
|           |                             | <b>B 4.2</b> | <b>Democracy. Participation and Transparency</b>   |                                       |  |  |  |   |          |               |
|           |                             | <b>B 4.1</b> | <b>Development Potential</b>   |                                       |  |  |  |   |          |               |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3   | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|---|--|--|--|----------|---------------|
| B4.1.1    | Promoting Body (CP Project) | B 4.1.0.01 | <p>The PEB must plan and document at least one activity with the intention to promote the progress of you, your workers, your business, your communities and/or environment. This plan is called the Fairtrade development plan. In the plan, the PEB must include:</p> <ul style="list-style-type: none"> <li>- the description of the activity (what they plan to do)</li> <li>- the objective of the activity (why they plan to do it)</li> <li>- the timeline of the activity (by when they will plan to do it)</li> <li>- the responsibilities (who will be in charge of doing it)</li> <li>- and in case they need to spend funds (such as the Fairtrade Premium or other sources of funds), the budget of the activity (how much do they plan to spend)</li> </ul> | 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 registered producers. | = Rank 4 AND plan based on previous assessment of community needs.                 | <b>1</b> | <b>C</b>      |
| B4.2.1    | Promoting Body (CP Project) | B 4.2.0.01 | The PEB must have an established communication and feedback system to communicate with you. As part of this system, the PEB must record the minutes and decisions of its meetings and share them with you after each PEB meeting.   | The PEB takes no minutes of their meetings OR does not accept comments. | The PEB is open to receive comments BUT does not share its decisions. | The PEB is open to receive comments AND there is at least one annual exchange meeting between the PEB and producers. |  | There are regular and frequent exchange meeting between the PEB and all producers. | <b>1</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|---|---|---|---|----------|---------------|
| B4.1.2    | Promoting Body (CP Project) | B 4.1.0.02 | Every registered producer and every worker can suggest activities. The PEB must decide on these in a democratic and transparent manner, document the decision and present it to you.   | The PEB does not accept suggestions from producers and/or workers OR decisions are not democratically taken. | The PEB does not keep any record of suggestions and/or decisions OR does not communicate decisions to the registered producers. | The PEB summarises in writing the suggestions received AND records all decisions taken AND communicates them to the registered producers. | The PEB documents all suggestions received AND records all decisions taken AND communicates them to the registered producers.       | = Rank 4 AND the PEB actively consults producers and workers. | <b>1</b> | <b>C</b>      |
| B4.2.2    | Promoting Body (CP Project) | B 4.2.0.02 | With the help of the promoting body, the producer organization must update the ODP, clearly setting out the steps, timeframes and activities to become compliant with the Fairtrade Standard for Small Producer Organizations. | The PEB has no knowledge of the ODP / did not participate on updating the ODP.                               | There is an updated ODP but has no concrete timelines/activities.   | The PEB updates the ODP together with the PB.   | The PEB updates the ODP together with the PB AND the update is based on learning from previous ODP and an updated needs assessment. | = Rank 4 AND the PEB consults registered producers.           | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3  | Rank 4   | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|---|--|--|----------|---------------|
| B4.1.3    | Promoting Body (CP Project) | B 4.1.0.03 | The PEB must include all the activities they plan to fund with the Fairtrade Premium in the Fairtrade development plan before they implement the activities. | There is no written plan.                            | The PEB 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.   |  | <b>1</b> | <b>M</b>      |
| B4.2.3    | Promoting Body (CP Project) | B 4.2.0.03 | The producer organization must improve its capacity to administer its activities and operations as described in the ODP.                                     | There have been no improvements OR there are no POs. | There have been improvements BUT ODP was not accomplished.   | The ODP was accomplished BUT still PO(s) rely on the PB for communications and administration of funds. | The ODP was accomplished AND PO(s) have taken over several responsibilities from the PB such as administration of funds, communications, training and awareness of members or the ICS. | PO(s) capable of complying with SPO standards were already formed. | <b>6</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|---|---|--|---|--|----------|---------------|
| B4.1.4    | Promoting Body (CP Project) | B 4.1.0.04 | When the planned activities are completed, the PEB must update the Fairtrade development plan by planning at least another activity that has been agreed democratically.   | The activities in the plan have been finished and new activities were not considered. | The activities in the plan have been finished and the PEB has an idea of next activity but not reflected in plan. | The activities in the plan have been finished and the PEB included a new activity in the plan.         | The PEB included new activities in the plan AND these are chosen based on learnings from previous activities. | = RANK 4 AND the PEB decided on new activities in advance so the new ones can be implemented by the time the previous one expires. | <b>1</b> | <b>C</b>      |
| B4.2.4    | Promoting Body (CP Project) | B 4.2.0.04 | The producer organization must take ongoing measures to promote the members' participation in the producer organization's internal control. Measures must include at least training and education, as made available by or through the promoting body. | The PB/PO did not provide training OR this was totally unsatisfactory.                | The PB/PO only trained a limited number of registered producers and has not planned to train the rest.            | The PB/PO provided training to some registered producers and has a training plan to cover all members. | The PB/PO provided training to all registered producers.  | The PB/PO provided training to all registered producers AND has a trained Surveillance Committee in place.                         | <b>3</b> | <b>D</b>      |



| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria  | Rank 1   | Rank 2   | Rank 3   | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|--|--|--|--|---|---|----------|---------------|
| B4.2.5    | Promoting Body (CP Project) | B 4.2.0.05 | You must organize into a producer organization compliant with the Generic Fairtrade Standard for Small Producer Organizations as laid out in the ODP.  | There are no PO(s) OR the structure of the PO(s) could not comply with the SPO Standard. | There are PO(s), structurally compliant with the SPO Standard, but would still have major non conformities if the applied for certification. | There are PO(s) that would not have major non conformities if they applied for certification of the SPO Standard.              | = Rank 3 AND the PO(s) have self-assessed themselves against the SPO Standard with a positive result (no major non conformities). | = Rank 4 AND the PO(s) applied for certification already.                   | <b>6</b> | <b>D</b>      |
| B4.1.5    | Promoting Body (CP Project) | B 4.1.0.05 | The PEB must report the results of the Fairtrade development plan to you every year and document this presentation. In the report the PEB must answer the following questions:<br>- Were the actions carried out yes/no? If not, why?<br>- When?<br>- At what cost?<br>- Was the objective achieved or are further actions needed? | No information is presented.   | Information is presented but report or approval is not documented in writing.  | Written report presented to the registered producers AND report answers all the questions listed BUT there are small mistakes. |   | Written report presented to registered producers AND report fully complete. | <b>3</b> | <b>C</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---|---|---|---|---|----------|---------------|
| B4.1.6    | Promoting Body (CP Project) | B 4.1.0.06 | <p>The PEB must have a basic accounting system that accurately tracks the Fairtrade development plan expenses, and in particular identifies the Fairtrade Premium transparently. You must have access to these accounts at any time if you request it.</p> <p>The PEB must be able to prove that the Fairtrade Premium is used in line with applicable rules.</p> | <p>There are no records OR these are not understandable OR records are incorrect with the purpose of misleading registered producers or PEB is not able to prove that the Fairtrade premium used is inline with the applicable rules.</p> | <p>There are records of income and expenditures but it is not possible to identify/separate those that are related to Premium OR unintentional mistakes &gt;1%.</p> | <p>Any system that allows tracking income and expenditure and identify Premium but unintentional mistakes &lt;1% found.</p> | <p>There are at least records of income and expenditures, identifying those related to Premium AND no mistakes.</p> | <p>Up to date accounting system, possible to track Premium AND no mistakes AND in line with the applicable rules.</p> | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1                          | Rank 2   | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|------------|---|---------------------------------|--|---|---|---|----------|---------------|
| B4.1.7    | Promoting Body (CP Project) | B 4.1.0.07 | Workers must also benefit from at least one activity in the 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). | <b>3</b> | <b>D</b>      |
| B4.1.8    | Promoting Body (CP Project) | B 4.1.0.08 | You must have an activity in your Fairtrade development plan to maintain or improve sustainable production practises within your ecosystem. | 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 registered producers.                | = Rank 4 AND plan based on previous assessment of sustainability needs.   | <b>6</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.       | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3  | Rank 4  | Rank 5  | Time     | Criteria Type |
|-----------|-----------------------------|--------------|---|---|---|---|---|---|----------|---------------|
|           |                             | <b>B 4.3</b> | <b>Non Discrimination (The requirements in the following chapter are also applicable to own additional entities.)</b>   |   |   |   |   |   |          |               |
| B4.3.1    | Promoting Body (CP Project) | B 4.3.0.01   | The producer organization and you must not discriminate against or restrict 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. You must not discriminate regarding participation, voting rights, the right to be elected, access to markets, or access to training, technical support, or any other benefit of participation. | 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. | <b>0</b> | <b>M</b>      |
| B4.3.2    | Promoting Body (CP Project) | B 4.3.0.02   | The producer organization must identify disadvantaged / minority groups within the organization.  | No disadvantaged/ minority groups have been identified.   | Some disadvantaged/ minority groups have been identified BUT there are obvious groups missing.                  | Disadvantaged/ minority groups have been identified.  |   | Criteria for this have been developed in writing AND all possible groups have been identified.  | <b>3</b> | <b>D</b>      |

| Reference | Applicable for:             | CC No.       | FLOCERT Compliance Criteria  | Rank 1                              | Rank 2  | Rank 3  | Rank 4  | Rank 5   | Time     | Criteria Type |
|-----------|-----------------------------|--------------|--|-------------------------------------|---|---|---|--|----------|---------------|
|           |                             | <b>B 4.4</b> | <b>Fairtrade Premium</b>   |                                     |   |   |   |  |          |               |
| B4.4.1    | Promoting Body (CP Project) | B 4.4.0.01   | The PEB must acknowledge the receipt of the Fairtrade Premium in writing.  | No                                  |   | Yes   |   |  | <b>0</b> | <b>C</b>      |
| B4.4.2    | Promoting Body (CP Project) | B 4.4.0.02   | With support from the promoting body, the producer organization must take over the responsibility for handling the Fairtrade Premium.  | The PO(s) did not start any action. | The PO(s) took some steps but have not taken over responsibility yet. | The PO(s) have taken over the responsibility from the PB to own a bank account for the Premium. | = Rank 3 AND the PO(s) have taken over the responsibility for having external audits. | = Rank 4 AND The PO(s) are the sole responsible s for the Premium. | <b>6</b> | <b>D</b>      |
|           |                             | <b>9</b>     | <b>Follow up Audit</b>   |                                     |   |   |   |  |          |               |
|           |                             | <b>9.1</b>   | <b>Follow up Audit Information - Generic</b>   |                                     |   |   |   |  |          |               |
|           | Promoting Body (CP Project) | 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.<br>The audit order number (AO-xxxxx) of the original Fairtrade audit is noted in the NC text field for reference. |                                     |   | Yes.<br>Number of the original Fairtrade audit is:  |   |  | <b>0</b> | <b>F</b>      |

| Reference | Applicable for:             | CC No.     | FLOCERT Compliance Criteria   | Rank 1   | Rank 2  | Rank 3   | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|-----------------------------|------------|---|--|---|--|--------|--------|------|---------------|
|           | Promoting Body (CP Project) | 9.1.2      | All objective evidences (OEs) (to be verified during the Follow up audit) have been reviewed.<br>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             |
|           |                             | <b>9.2</b> | <b>Status of CM/OE- Result of Follow up Audit</b>   |  |   |  |        |        |      |               |
|           | Promoting Body (CP Project) | 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             |
|           | Promoting Body (CP Project) | 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.<br>(If 'No' state reason / explanation in NC text field) | No, because...   |   | Yes  |        |        | 0    | F             |

| Reference | Applicable for:             | CC No.      | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3  | Rank 4 | Rank 5 | Time | Criteria Type |
|-----------|-----------------------------|-------------|---|--|--|---|--------|--------|------|---------------|
|           | Promoting Body (CP Project) | 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             |
|           |                             | <b>9.3</b>  | <b>Reason for Follow up Audit</b>   |  |  |   |        |        |      |               |
|           | Promoting Body (CP Project) | 9.3.1       | Reason for follow up audit  | The reason for the follow up audit was a Major NC. | The reason for the follow up audit was a high number of NCs. | The follow up audit was due to another reason: state the reason in the NC text. |        |        | 0    | F             |
|           |                             | <b>10</b>   | <b>Combined Audit</b>   |  |  |   |        |        |      |               |
|           |                             | <b>10.1</b> | <b>Combined Audit with Another Scope</b>  |  |  |   |        |        |      |               |
|           | Promoting Body (CP Project) | 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    |               |
|           |                             | <b>11</b>   | <b>Audit of subcontracted additional entities</b>   |  |  |   |        |        |      |               |

| Reference    | Applicable for:             | CC No.    | FLOCERT Compliance Criteria   | Rank 1                            | Rank 2  | Rank 3   | Rank 4 | Rank 5   | Time     | Criteria Type |
|--------------|-----------------------------|-----------|---|-----------------------------------|---|--|--------|--|----------|---------------|
| Trader 1.1.2 | Promoting Body (CP Project) | 11.0.0.01 | (Subcontracted additional entity) You accept announced and unannounced audits of your premises, by providing access to all the sites that are relevant for the audit, making available responsible staff for the audits and providing all information that is necessary to verify compliance. | Entry to the premises was denied. | The information provided was not adequate to complete the audit OR access to certain required document, sites or interviewees was denied OR responsible staff were not available to provide the information needed to check compliance. | The information, support and access to site were adequate to complete the audit. |        | There was proper preparation for audit. All required documents, staff and access to sites were provided and the audit was facilitated such that, the auditor could make independent, quick and easy assessment of compliance/non compliance and confidential interviews were possible. | <b>0</b> | <b>M</b>      |



| Reference    | Applicable for:             | CC No.    | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3  | Rank 4 | Rank 5 | Time     | Criteria Type |
|--------------|-----------------------------|-----------|--|---|---|---|--------|--------|----------|---------------|
| Trader 1.1.3 | Promoting Body (CP Project) | 11.0.0.02 | (Subcontracted additional entity) (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 Certification SOP on the FLOCERT website). | All additional entities that are used to handle Fairtrade products are not registered with FLOCERT OR do not comply with the AE definition. | Some of the additional entities that are used to handle Fairtrade products are not registered with FLOCERT OR do not comply with the AE definition. | All the additional entities that are used to handle Fairtrade products are registered with FLOCERT AND comply with the AE definition. |        |        | <b>0</b> | <b>C</b>      |

| Reference    | Applicable for:             | CC No.    | FLOCERT Compliance Criteria  | Rank 1  | Rank 2  | Rank 3   | Rank 4 | Rank 5  | Time     | Criteria Type |
|--------------|-----------------------------|-----------|--|---|---|--|--------|---|----------|---------------|
| Trader 2.1.1 | Promoting Body (CP Project) | 11.0.0.03 | (Subcontracted additional entity) You clearly identify all Fairtrade products as Fairtrade in all trade documentation (e.g. invoices, delivery notes and purchase orders), including all relevant documentation sent to and received from the additional entity. | Fairtrade references (i.e. term "Fairtrade" or similar terms) are missing in all documents. | Fairtrade references are identifiable but are incomplete. Fairtrade references exist, but not in all purchase and sales documentation. (i.e. Term "Fairtrade" or similar in invoices BUT it is not possible to find a reference in other documents) | Fairtrade references are identifiable and complete in all purchase and sales documentation. ( i.e. term "Fairtrade" or similar on all invoices AND it is possible to find a reference in other documents. ). |        | Fairtrade references are recorded and kept up-to-date within the ERP system (management - system in place). (i.e. Term "Fairtrade" or similar consistently in all contracts, invoices, B/L, delivery notes, packing lists, etc.). | <b>0</b> | <b>M</b>      |

| Reference    | Applicable for:             | CC No.    | FLOCERT Compliance Criteria   | Rank 1   | Rank 2   | Rank 3  | Rank 4   | Rank 5   | Time | Criteria Type |
|--------------|-----------------------------|-----------|---|--|--|---|--|--|------|---------------|
| Trader 2.1.2 | Promoting Body (CP Project) | 11.0.0.04 | (Subcontracted additional entity) You keep records of all volumes of Fairtrade products received from and sent to the certified customer to which you are sub-contracted. In case of physical traceability, records allow the certification body to trace back from any given certified output to the certified inputs. | The additional entity does not keep records or they are not available at the time of the audit and/or There are estimated excessive sales by more than 5% OR there is no system that allows calculations . | The additional entity keeps records, but they are incomplete or not fully available at the time of the audit and/or There are estimated excessive sales by 1-5%. | The additional entity keeps records and makes them available to the auditor during the audit. Records are correct. No excessive sales except possible mistakes estimated up to 1% of sales. | The additional entity keeps records and makes them available to the auditor during the audit. Records are correct. No excessive sales with no mistakes. The additional entity has records of products received and products sent back to producer. | There is a management system in place that easily allow the certification body to trace back from any given Fairtrade output to the Fairtrade inputs, including alterations performed, relevant recipes and yields. The additional entity keeps records and makes them available to the auditor during the audit. Records are always | 0    | C             |

| Reference | Applicable for: | CC No. | FLOCERT Compliance Criteria | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5   | Time | Criteria Type |
|-----------|-----------------|--------|-----------------------------|--------|--------|--------|--------|--|------|---------------|
|           |                 |        |                             |        |        |        |        | correct. No mix up of product and no mistakes and compliant with sourcing record system. |      |               |

| Reference    | Applicable for:             | CC No.    | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3  | Rank 4   | Rank 5  | Time     | Criteria Type |
|--------------|-----------------------------|-----------|--|--|---|---|--|---|----------|---------------|
| Trader 2.1.3 | Promoting Body (CP Project) | 11.0.0.05 | (Subcontracted additional entity) (Applicable to all products.) (If you process cocoa and for activities carried out under FSI cotton model after ginning and Gold Sourcing Programme this requirement only applies if your operator implements physical traceability) You physically segregate Fairtrade products from non-Fairtrade products at all stages of the supply chain. You do not mix Fairtrade products with non-Fairtrade products. Fairtrade products are transported, stored processed/manufactured and delivered separately from non-Fairtrade products. | Fairtrade products are not segregated from non - Fairtrade products. No system to physically separate certified products, mixing up happens. | Fairtrade products are not clearly or only partially segregated from non - Fairtrade products. Mixing up during processing can easily happen. | Fairtrade products are segregated from non - Fairtrade products. There is a system in place to separate certified products. | Fairtrade products are segregated from non - Fairtrade products and Fairtrade descriptions on "on-product marks" are clear and easily identifiable. There is a system in place to separate certified products, mistakes do not happen. | Fairtrade products are always correctly segregated from non - Fairtrade products. Fairtrade descriptions on "on-product marks" are clear and easily identifiable. There is a physical traceability system in place to trace back certified products without mistakes. | <b>0</b> | <b>M</b>      |

| Reference    | Applicable for:             | CC No.    | FLOCERT Compliance Criteria  | Rank 1   | Rank 2  | Rank 3   | Rank 4  | Rank 5   | Time | Criteria Type |
|--------------|-----------------------------|-----------|--|--|---|--|---|--|------|---------------|
| Trader 2.1.4 | Promoting Body (CP Project) | 11.0.0.06 | (Subcontracted additional entity) (Applicable to all products.) (If you process cocoa and for activities carried out under FSI cotton model after ginning this requirement only applies if your operator implements physical traceability) You identify Fairtrade products as Fairtrade at all stages (e.g. storage, transport, processing, packaging, labelling and handling) as well as in all related records and documents through on-product lot numbers and/or identification marks. | Fairtrade products are not identified as Fairtrade at any stage as well as records or documents. Documents, records and on-product marks do not mention any term/number reference that can be identified as Fairtrade. | Fairtrade products are not easily identifiable and identification marks are not precise/clear. On-product marks are frequently lost and some records cannot be identified as Fairtrade. | Fairtrade products are identifiable at all stages as well as in all related records and documents. Identification marks are clear and marked with the term "Fairtrade" or similar. | Fairtrade products are identifiable at all stages as well as in all related records and documents. Identification marks are clear, article and lot numbers are unique and clearly referring to the term "Fairtrade" or similar. | Fairtrade products are identifiable at all stages as well as in all related records and documents. Identification marks are clear, article and lot numbers are unique and clearly referring to the term "Fairtrade" or similar and name and FLO ID of the seller and the buyer. There is a management system in place that allows any trader (not only | 0    | C             |

| Reference    | Applicable for:             | CC No.    | FLOCERT Compliance Criteria   | Rank 1  | Rank 2  | Rank 3   | Rank 4  | Rank 5   | Time     | Criteria Type |
|--------------|-----------------------------|-----------|---|---|---|--|---|--|----------|---------------|
|              |                             |           |   |   |   |  |   | FLOCERT contacts) to identify and trace Fairtrade products.  |          |               |
| Trader 2.1.6 | Promoting Body (CP Project) | 11.0.0.07 | (Subcontracted additional entity) (Applicable to all products.) (If you process cocoa and for activities carried out under FSP cotton model after ginning this requirement only applies if your operator implements physical traceability) When delivering Fairtrade products, you clearly identify the product as Fairtrade (e.g. "FLO/Fairtrade" on the packaging and documentation). | Fairtrade products delivered as Fairtrade are not identified as "Fairtrade" or similar term. Fairtrade references are completely missing. | Fairtrade products delivered as Fairtrade are not always correctly identified as "Fairtrade" or similar term. Fairtrade references are partially missing. | Fairtrade products delivered as Fairtrade are correctly identified as "Fairtrade" or similar term. | Fairtrade products delivered as Fairtrade are always correctly identified as "Fairtrade" or similar term. Mistakes do not happen. | Fairtrade products delivered as Fairtrade are always correctly identified as "Fairtrade" or similar term. There is a system in place to trace back sold products without mistakes. | <b>0</b> | <b>C</b>      |

| Reference    | Applicable for:             | CC No.    | FLOCERT Compliance Criteria   | Rank 1   | Rank 2  | Rank 3   | Rank 4  | Rank 5  | Time | Criteria Type |
|--------------|-----------------------------|-----------|---|--|---|--|---|---|------|---------------|
| Trader 2.1.7 | Promoting Body (CP Project) | 11.0.0.08 | (Subcontracted additional entity) If you 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, the trader have applied for an exception with the certification body. | Fairtrade physically traceable ingredients do not comply with the physical traceability requirements. An exception was not granted to the trader by the certification body. No system to separate and mixing up happens. | Fairtrade physically traceable ingredients do not fully comply with the physical traceability requirements. An exception was not granted to the trader by the certification body. Mixing up during processing is very likely to happen. | Fairtrade physically traceable ingredients fully comply with the physical traceability requirements. An exception was granted to the trader by the certification body and the additional entity keeps a copy. There is a system in place to separate products, mistakes do not happen. | Fairtrade physically traceable ingredients fully comply with the physical traceability requirements. There is a system in place to separate products, mistakes do not happen. | Fairtrade physically traceable ingredients fully comply with the physical traceability requirements. An exception was granted by the certification body to the trader. The trader is aiming to phase out the exception and be compliant with the physical traceability requirements for said ingredients. There is a physical | 0    | C             |



| Reference     | Applicable for:             | CC No.    | FLOCERT Compliance Criteria   | Rank 1 | Rank 2 | Rank 3 | Rank 4 | Rank 5  | Time | Criteria Type |
|---------------|-----------------------------|-----------|---|--------|--------|--------|--------|---|------|---------------|
|               |                             |           |   |        |        |        |        | traceability system in place to trace back products without mistakes. |      |               |
| Trader 2.1.10 | Promoting Body (CP Project) | 11.0.0.09 | (Subcontracted additional entity) (Single Site Mass Balance) (Cocoa and for activities carried out under FSI cotton model after ginning stage with no physical traceability.) You ensure that Fairtrade inputs are delivered to and processed at the same site where the Fairtrade output is processed. | No     |        | Yes    |        |   | 0    | C             |
| Trader 2.1.11 | Promoting Body (CP Project) | 11.0.0.10 | (Subcontracted additional entity) (Cocoa and for activities carried out under FSI cotton model after ginning stage with no physical traceability.) 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             |