



**FLOCERT**  
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FLO-CERT GmbH Public Compliance Criteria List - Certified under Special Conditions - Small Producers' Organisations

Reference	Applicable for	CC N°	Compliance Criteria	Rank 1	Rank 2	Rank 3	Rank 4	Rank 5	Time	CC Type
<b>Preparation Questions for Auditor</b>										
NA		0.0.0.01	(Only applicable to organizations certified after 01 July 2019) Do the organizations and/ or individual members have more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent?						0	
NA		0.0.0.02	(Only applicable to organizations certified before 01 July 2019) Do the organizations and/ or individual members have more than 20 workers that are present for one month or more during a year working more than 30 hours per week?						0	C
<b>0 Definition of a 2nd Grade or 3rd Grade Structure</b>										
<b>0.1 Structural Requirements</b>										
<b>0.1.1 2nd Grade Organisations</b>										
<b>0.1.2 3rd Grade Organisations</b>										
<b>0.2 Organisational Requirements</b>										
<b>1 General Requirements</b>										
<b>1.1 Certification</b>										
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	1.1.0.01	You have a countersigned copy of the latest version of the FLOCERT certification contract (version 46 or newer)	No		Yes			0	C
1.1.1	1st grade, 2nd grade, 3rd grade	1.1.0.02	You accept announced and unannounced audits at your premises including subcontracted premises and provide all requested information needed to demonstrate compliance with the Fairtrade standards.	No, the organisation denied access to sites or documents OR to confidential interviews with members or workers OR otherwise undermined audit.	No, certain key persons were not reachable for unjustified reasons OR the organisation was not active on bridging the information gaps.	Yes BUT information was poorly prepared but the organisation was active on bridging the gaps OR certain key persons were not reachable due to understandable reasons.	Yes	Yes AND the information for the audit was carefully prepared.	0	M
1.1.2	1st grade, 2nd grade, 3rd grade	1.1.0.03	You have designated in writing one official contact person to FLOCERT.	The organisation does not have a contact person.		The organisation identified the contact person only during the audit.	The organisation identified it in writing prior to the audit.	The organisation identified it in writing prior to the audit AND the person actively communicates with FLOCERT.	0	C



0 Definition of a 2nd Grade or 3rd Grade Structure									
1.1.2	1st grade, 2nd grade, 3rd grade	1.1.0.04	You ensure that the contact person keeps FLOCERT updated with contact details and important information such as changes in legal structure, statutes, affiliated organisations, number of workers/ members, additional entities, contact details including email address (including Fairtrade reporting contact) and new products to be sold under Fairtrade.	Structural changes occurred that affect certification status without informing FLOCERT OR the organisation cannot be reached prior to the audit OR there is no contact person.	Changes in contact details/persons occurred without the organisation informing FLOCERT OR the contact person is unaware of functions.	There has been no change but the contact person is unaware of functions.	The organisation is always reachable AND has communicated all changes.	0	C
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	1.1.0.06	All non-conformities of the previous audit have been corrected.	No		Yes		1	M
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	1.1.0.07	The conditions of granted exceptions are met.	No		Yes		1	C
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	1.1.0.08	(Only applicable if you receive a complaint related to compliance with requirements of the applicable Fairtrade Standards or a Fairtrade product) You handle and document all complaints and follow-up actions relating to compliance with requirements of the applicable Fairtrade Standards. These records must be made available to the auditor.	Complaints were received, which have not been followed up and/or not documented.	There is a written procedure for complaint management, but the complaint has not been followed up and documented.	There is a proper documentation of the actions taken on the complaints and its follow up and documents.	There is a written procedure for complaint management and complaints are handled in line with the procedure AND complaints and follow up are documented.	1	C
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	1.1.0.10	You as the small-scale producer organisation only sell products as Fairtrade if you have a valid certificate or Permission to Trade.	No		Yes		0	M



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0 Definition of a 2nd Grade or 3rd Grade Structure								
FLOCERT Requirement	1st grade, 2nd grade, 3rd grade	1.1.0.11	(Applicable if the customer has been suspended since the last audit) Upon suspension of Fairtrade certification, the customer has discontinued its use of all advertising matter that contains any reference to its certified status.	The customer is continuing with usage of advertising matter which contains clear reference to its certified status.	The customer has done little to discontinue the use of advertising matter containing references to its certified status, the advertising matter used during suspension refers to the certified status of the customer.	The customer has discontinued its use of all advertising matter that contains any reference to its certified status during suspension.	1	C
TS 1.1.3	1st grade, 2nd grade, 3rd grade	1.1.0.14	You have a contract with each additional entity that you do not 100 % own that requires compliance with the respective Fairtrade Standard, stating that FLOCERT is authorized to conduct on-site audits of the additional entity (does not apply to entities that do not fall into the scope of certification or have their own FLOCERT certification) and requiring regular reporting, when requested by FLOCERT.	There are no contracts.	The contracts do not have all the requirements listed in this CC or some of the additional entities do not have contracts.	Complete contracts with all additional entities.	0	C
Trader standard 1.1.3	1st grade, 2nd grade, 3rd grade	1.1.0.15	(Does not apply to entities that do not fall into the scope of certification) Your additional entities where Fairtrade activities take place comply with the definition of additional entity and are registered with FLOCERT (see Scope of Certification on the FLOCERT website).	No		All the additional entities that are used to handle Fairtrade products are registered with FLOCERT AND comply with the AE definition.	0	C



0 Definition of a 2nd Grade or 3rd Grade Structure								
FLOCERT Requirement	1st grade, 2nd grade, 3rd grade	1.1.0.16	(Applicable according to the following timelines: Cocoa since Q3 2017; Banana, Cane Sugar, Coffee and Tea since Q1 2018; all other products since Q4 2018) You fulfill the following responsibilities in the assurance tool Fairtrace:  1) You verify your Fairtrade sales transactions reported by your customers (deadline: 30 calendar days after transaction has been reported).  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
Cocoa 1.1	1st grade, 2nd grade, 3rd grade	1.1.0.17	(Ivory Coast) (Cocoa) You demonstrate proof of market potential for your product in form of a letter of intent or a similar document from a (prospect) trade partner that indicates a two years commitment and estimated volumes of cocoa to be bought under Fairtrade terms.	There is no such document.	The document does not cover all required details.	The document covers the required time period and estimated volumes.	0	M
1.1.3, 1.1.4	1st grade, 2nd grade, 3rd grade	1.1.0.18	(Does not apply to organizations certified before 1 July 2019) You demonstrate that you are an established organization and that there is Fairtrade market potential for your product. For this, you provide the following evidence:  Market potential: a letter of intent or a similar document of a (prospect) trade partner that indicates a commitment and estimated volumes to be bought under Fairtrade terms.  Established organization: i) legal registration, ii) records of commercialization and iii) financial statements. Or alternatively, a recommendation from a Fairtrade Producer Network.	None of the required documents are provided.	The documents provided do not cover all required details.	The documents provided cover the required details	0	M



0 Definition of a 2nd Grade or 3rd Grade Structure										
1.1.5	1st grade, 2nd grade, 3rd grade	1.1.0.19	(Does not apply to organizations certified before 1 July 2019) You ensure that the decision to join Fairtrade was a democratic and informed decision taken by the General Assembly.	Fairtrade certification has not been decided upon OR decision is unclear.	Decision taken by the board or management and not the General Assembly OR is not addressed in the GA's minutes OR signatures of participants are missing OR decision democratically taken but members are not informed.	Informed decision taken by the general assembly attended by required quorum as per the organization's statutes and rules.	Informed decision taken by the general assembly attended by all members of the organization.	All members are informed about the Fairtrade certification and this has been decided by all members during a General Assembly	0	C
1.1.5	1st grade, 2nd grade, 3rd grade	1.1.0.20	(Does not apply to organizations certified before 1 July 2019) You inform your members about how they can	Members are not informed OR	Less than 50% of the members are informed	At least 50% of workers are informed	At least 80% of members have been	Al menos el 50%de los trabajadores está	0	C
1.1.6	1st grade, 2nd grade, 3rd grade	1.1.0.21	There are no indications that you or your members violate national legislation on the topics covered by this standard.	There are indications of this being common amongst members or at organisation level.	There are indications of this happening on rare occasions but the organization took no actions.	No indications of violations are found OR if there are indications of rare cases the organisation can demonstrate it took action OR further assessment is advisable as there are hints to potential violations.	No indication of violations is found.	= RANK 4 AND IMS that controls this at member level.	0	C
1.1.6	1st grade, 2nd grade, 3rd grade	1.1.0.22	(Only applicable if your country has developed additional regulations for the operation of Fairtrade as a certification scheme) You and your members are complying with the additional regulations developed by your country for the operation of certification schemes.	No		Yes			0	C
1.1.7	1st grade, 2nd grade, 3rd grade	1.1.0.23	There are no indications of conflicts of your members' legal and legitimate right to land, water use and land tenure.	There are indications that there is conflict of the members' legal and legitimate right to the land, water use and land tenure.		There are no indications OR there were indications but they have been resolved responsibly and transparently.			0	C
1.1.7	1st grade, 2nd grade, 3rd grade	1.1.0.24	In cases where land claims and disputes are on-going, there is evidence that a legal resolution process is active and is carried out by legal authorities in your country.	There is a land claim or dispute, however there is no legal resolution process in place OR active.		There are no land claims and disputes OR there is evidence of an active legal resolution process.			0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
1.1.8	1st grade, 2nd grade, 3rd grade	1.1.0.25	There are no indications that you or your members take actions to evade the standard.	There are indications of this being common amongst members or at organisation level.	There are indications of this being common amongst members or at organisation level.	The auditor found no indication that this is present OR if there are indications of rare cases the organisation can demonstrate it took action.	= RANK 3 + There is a written policy approved by the General Assembly and made known to members and workers.	= RANK 4 AND IMS that controls this at member level.	0	M
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	1.1.0.26	(Ivory Coast) (Cocoa) You comply with all obligations made to the Conseil du Café Cacao (CCC) and their regulations (décrets) as they apply to sustainable cocoa.	There is a violation of the regulations.	The organisation cannot demonstrate full compliance with the regulations.	The organisation complies with the regulations of the CCC and its undertakings related to sustainable cocoa.			0	M
1.2 Members are Small-scale Producers										



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0 Definition of a 2nd Grade or 3rd Grade Structure									
1.2.1	1st grade	1.2.0.01	(Only applicable to 1st grade organizations certified before 1 July 2019) At least 50% of the members of your organisation are small-scale producers that comply with the following requirements: (less labour intensive products) Farm work is mostly done by the member and its family and workers are not hired all year around. (highly labour intensive products) - They hire less than a maximum number of permanent workers, as defined and published by Fairtrade International. - The size of the land they cultivate is equal to or below the average of the region, as defined and published by Fairtrade International - They spend most of their working time doing agricultural work on their farm. - Most of their income comes from their farm.	The information available does not allow determining small-scale producer status of members.	Less than 50% of members are small-scale producers.	At least 50% of members are small-scale producers.	RANK 3 AND the information easily available in the member lists.	RANK 4 AND the small-scale farmer requirements are clearly mentioned in the member inclusion process.	M
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	1.2.0.03	(Brazil) All meeiros producing the same product as the land owner are invited for membership with the organization and comply with the FT production standards regardless of their membership status.	No		Yes		0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	1.2.0.04	(Brazil) All meero relationships are regulated by a written contract and the contracts approved by the local union and in accordance with the law.	No		Yes			0	C
1.2.1	2nd grade, 3rd grade	1.2.0.05	<p>(Only applicable to 1st grade organizations certified before 1 July 2019) The majority of the producers of the member organisations which are included in the Fairtrade certification are small-scale 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.            (highly labour intensive products)            - They hire less than a maximum number of permanent workers,            as defined and published by Fairtrade International.            - The size of the land they cultivate is equal to or below the average of the region, as defined and published by Fairtrade International            - They spend most of their working time doing agricultural work on their farm.            - Most of their income comes from their farm.</p>	The information available does not allow determining small-scale producer status of members.	Less than 50 % of members are small-scale producers.	At least 50% of members are small-scale producers.	RANK 3 AND the information easily available in the member lists.	RANK 4 AND the small-scale farmer requirements are clearly mentioned in the member inclusion process.	0	M
1.2.3	1st grade, 2nd grade, 3rd grade	1.2.0.06	(Only applicable to 1st grade organizations certified before 1 July 2019) At least half of the volume of a Fairtrade product that your organisation sells as Fairtrade per year is produced by small-scale producers.	Only 40% or less of sales of a Fairtrade product come from small-scale producers OR the available information makes impossible to estimate this.	Less than 50% but at least 41% of sales of a Fairtrade product come from small-scale producers OR production and sales data is inaccurate or incomplete and the risk is high.	Data is inaccurate or incomplete BUT the auditor can estimate compliance.	Production and sales data is complete and the organisation fulfils this rule.	RANK 4 AND the organisation is aware of this rule and checks continuous compliance during sales OR all members are small-scale producers.	0	M
1.2.3	2nd grade, 3rd grade	1.2.0.07	(Only applicable to 1st grade organizations certified before 1 July 2019) Of every Fairtrade-certified product sold by the member organisation included in the Fairtrade certification, more than 50% of the volume must be produced by small-scale producers.	Only 40% or less of sales of the member organisations come from small-scale producers OR the available information makes impossible to estimate this.	Less than 51% but at least 41% of sales come from small-scale producers OR production and sales data is inaccurate or incomplete and the risk is high.	Data is inaccurate or incomplete BUT the auditor can estimate compliance.	Production and sales data is complete and the organisation fulfils this rule.	RANK 4 AND the organisation is aware of this rule and checks continuous compliance during sales OR all members are small-scale producers.	0	M





0 Definition of a 2nd Grade or 3rd Grade Structure									
4.4.2	Cane Sugar 1st grade, 2nd grade, 3rd grade	1.2.0.08	(Cane sugar) Where individual producers are members of more than one organization, you agree internally on your membership list and send it to the mill / exporter before harvest starts. The list includes the date and the expected overall volume of the organization and per member.	There is no membership list. Members are still members of more than one organization at a time.	There is a detailed membership list but it has not been sent to the mill/exporter OR there is a list but individual members are delivering for more than one organization at a time.	There is a detailed membership list with individual members and it has been sent to the mill/exporter AND members deliver only on behalf of their stated organizations.	Rank 3 AND the list has no errors.	0	C
1.1.1	Fresh Fruit 1st grade, 2nd grade, 3rd grade	1.2.0.09	(Applicable to bananas as of 1 January 2018) (Applicable to all Fresh Fruits as of 1 January 2019) The maximum size of the land where a member, who is not considered small-scale producer, cultivates Fairtrade fruit is equal to or below 30 hectares.	No		Yes		0	C
1.2.3	1st grade, 2nd grade, 3rd grade	1.2.0.10	(For organizations certified before 1 July 2019 only applicable as of 1 January 2022) The maximum size of the cultivated land where a member grows a Fairtrade crop is equal to or below 30 hectares.	No		Yes		0	C
1.2.3	1st grade, 2nd grade, 3rd grade	1.2.0.11	(For organizations certified before 1 July 2019 only applicable as of 1 January 2022) (Applicable to wine grapes) In case the maximum size of the cultivated land where your members grow a Fairtrade crop is above 30 hectares, you have requested an exception to the certification body and received permission. You have ensured that the allowed maximum of 15% of your members with a maximum land size of 100 hectares has not been exceeded.	More than 15% of members with maximum land size greater than 30 hectares OR members exceeding maximum land size of 100 hectares OR no exception	Exception received from certification body, but changes to percentage of members with land size greater than 30 hectares OR changes to number of members with maximum land size exceeding 100 hectares	Exception received from certification body AND no changes		0	C



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0 Definition of a 2nd Grade or 3rd Grade Structure										
1.2.1, 1.2.2	1st grade	1.2.0.12	<p>(For 1st grade organizations certified before 1 July 2019 only applicable as of 1 January 2022) You are an organization of small-scale producers. At least 66% of the members of your organisation are small-scale producers that comply with the following requirements:</p> <ul style="list-style-type: none"> <li>- All small-scale farms are operated and managed by members and their families. This means that members and their families are directly involved in farming activities (unless not possible due to age, incapacity etc.)</li> <li>- Your members are considered small-scale producers if they comply with the following criteria:               <ul style="list-style-type: none"> <li>• Members do not hire workers on a continuous basis and they work on their own-account.</li> <li>• Farm work is mostly done by members and their families. In particular circumstances when the farmer is not able to carry out work on the farm (e.g. due to age, incapacity) and the work of the family members is not sufficient, hiring permanent labour is allowed.</li> </ul> </li> <li>- If your members produce cane sugar, prepared and preserved fruits and vegetables, fresh fruit, vegetables, or tea, they are allowed to hire workers on a continuous basis to support the farm work. In this case they are considered small-scale producers if they comply with the specific product indicators on land size defined by Fairtrade International (see link in interpretation note).</li> </ul>	The information available does not allow determining small-scale producer status of members.	Less than 66% of members are small-scale producers.	At least 66% of members are small-scale producers.	= RANK 3 AND the information easily available in the member lists.	= RANK 4 AND the small-scale producer requirements are clearly mentioned in the member inclusion process.	0	M



0 Definition of a 2nd Grade or 3rd Grade Structure										
1.2.1, 1.2.2	2nd grade, 3rd grade	1.2.0.13	<p>(For 2nd and 3rd grade organizations certified before 1 July 2019 only applicable as of 1 January 2022) You are an organization of small-scale producers. At least 66% of the producers of each of the member organisations which are included in the Fairtrade certification are Small-scale Producers that comply with the following requirements:</p> <ul style="list-style-type: none"> <li>- All small-scale farms are operated and managed by members and their families. This means that members and their families are directly involved in farming activities (unless not possible due to age, incapacity etc.)</li> <li>- Your members are considered small-scale producers if they comply with the following criteria:               <ul style="list-style-type: none"> <li>• Members do not hire workers on a continuous basis and they work on their own-account.</li> <li>• Farm work is mostly done by members and their families. In particular circumstances when the farmer is not able to carry out work on the farm (e.g. due to age, incapacity) and the work of the family members is not sufficient, hiring permanent labour is allowed.</li> </ul> </li> <li>- If your members produce cane sugar, prepared and preserved fruits and vegetables, fresh fruit, vegetables, or tea, they are allowed to hire workers on a continuous basis to support the farm work.</li> </ul> <p>In this case they are considered small-scale producers if they comply with the specific product indicators on land</p>	The information available does not allow determining small-scale producer status of members.	Less than 66% of members are small-scale producers.	At least 66% of members are small-scale producers.	= RANK 3 AND the information easily available in the member lists.	= RANK 4 AND the small farmer requirements are clearly mentioned in the member inclusion process.	0	M
1.2.4	1st grade	1.2.0.14	<p>(For organizations certified before 1 July 2019 only applicable as of 1 January 2022) At least half (50 %) of the volume of a Fairtrade product that your organisation sells as Fairtrade per year is produced by small-scale producers.</p>	Only 40 % or less of sales of a Fairtrade product come from small-scale producers OR the available information makes impossible to estimate this.	Less than 50 % but at least 41 % of sales of a Fairtrade product come from small-scale producers OR production and sales data is inaccurate or incomplete and the risk is high.	Production and sales data is complete and the organisation fulfils this rule.		RANK 4 AND the organisation is aware of this rule and checks continuous compliance during sales OR all members are small-scale producers.	0	C
1.2.4	2nd grade, 3rd grade	1.2.0.15	<p>(For organizations certified before 1 July 2019 only applicable as of 1 January 2022) Of every Fairtrade-certified product sold by the member organisation included in the Fairtrade certification, more than 50 % of the volume must be produced by small-scale producers.</p>	Only 40% or less of sales of the member organisations come from small-scale producers OR the available information makes impossible to estimate this.	Less than 50 % but at least 41 % of sales come from small-scale producers OR production and sales data is inaccurate or incomplete and the risk is high.	Production and sales data is complete and the organisation fulfils this rule.		RANK 4 AND the organisation is aware of this rule and checks continuous compliance during sales OR all members are small-scale producers.	0	C
Cane sugar 1.1.1	1st grade, 2nd grade, 3rd grade	1.2.0.16	<p>(Cane sugar) (Belize, Fiji, Mauritius, Paraguay) Exceptions on the maximum land size of 30 ha are possible. The exceptions are limited to a maximum of 15% of members. The maximum size of the land where members cultivate Fairtrade sugar cane cannot be higher than 100 ha in any case.</p>	Exceptions granted to more than 15% of members OR maximum land size greater than 100 ha		Exceptions granted to a maximum of 15% of members AND maximum land size lower than 100 ha			0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
Fresh fruit (SPO) 1.1.3	1st grade, 2nd grade, 3rd grade	1.2.0.17	(Brazil) (Citrus and avocados) The maximum size of the land where members cultivate Fairtrade fruit is equal to or below 200 ha. Two permanent workers per farm are allowed.	Maximum land size greater than 200 ha OR more than two permanent workers per farm		Maximum land size equal to or below 200 ha AND not more than two permanent workers per farm			0	C
2 Trade										
2.1 Traceability										
2.1.1	1st grade, 2nd grade, 3rd grade	2.1.0.01	Only products from members are sold as Fairtrade.	The product is not differentiated and more than 10 % of sales are mixed up (product from members and non-members) OR product from non members knowingly sold as Fairtrade.	2% -10% of sales are mixed up (product from members and non members).	No mix up of product except possible mistakes up to 2% sales OR the structure of the organisation makes mixture of products very unlikely (negligible risk).	No mix up of product and no mistakes OR organisation does not source from non-members.	No mix up of product and no mistakes AND compliant with traceability system by not sourcing from non-members and having measures in place to avoid non-member business.	0	M
2.1.1	2nd grade, 3rd grade	2.1.0.02	All Fairtrade products sold as Fairtrade must be originally produced and sourced from affiliated member organisations part of the Fairtrade certification.	The product is not differentiated and more than 10 % of sales are mixed up (product from affiliated members and non members) OR product from non members knowingly sold as Fairtrade.	2% -10% of sales are mixed up (product from affiliated members and non members).	No mix up of product except possible mistakes up to 2% sales OR the structure of the 2nd/3rd grade organisation makes mixture of products very unlikely (negligible risk).	No mix up of product and no mistakes OR 2nd/3rd grade organisation does not source from non members.	No mix up of product and no mistakes AND compliant with traceability system by the 2nd/3rd grade organisation not sourcing from non members and having measures in place to avoid non member business.	0	M
2.1.1	2nd grade, 3rd grade	2.1.0.04	The 2nd or 3rd grade organisation must have implemented an efficient and verifiable system and procedures to separate Fairtrade and non Fairtrade production, storage and sales.	No system to separate and mixing up indeed happens.	Mixture of products from affiliated members (at 2nd/3rd grade organisation or affiliate or member level) is very likely to happen and the 2nd/3rd grade organisation took deficient actions.	There is a system in place to separate product even if there are small mistakes.	There is a system in place to separate product with no mistakes.	There is a physical traceability system in place to trace back product to each individual producer/affiliate with no mistakes.	0	C
2.1.2	1st grade, 2nd grade, 3rd grade	2.1.0.06	You have a written description of product flow (path) from members to buyer.	The organisation cannot explain / does not fully know the product flow.	The organisation can explain the product flow but not reflected in writing /drawn.	Basic written/drawn description of the product flow.		Full description as part of a written traceability procedure.	0	C
2.1.3	1st grade, 2nd grade, 3rd grade	2.1.0.07	Records of products sourced from members are kept. The records indicate the name of the individual member, date of purchase, product name, volume and the price received by the member.	Records are missing.	Records exist but are incomplete.	Complete sourcing records.	Complete records as part of a database of stock, purchases and sales, but it is not up to date.	Complete records as part of a database of stock, purchases and sales and fully up to date.	0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
2.1.3	2nd grade, 3rd grade	2.1.0.08	The 2nd/3rd grade organisation must provide the certification body with the total production and sales figures of all affiliated member organisations as well as an overview about the Fairtrade production and sales.	Figures are not available.	Figures are available but unclear or ambiguous OR total production and sales figures are available but Fairtrade production and sales figures are not or vice versa.	Total and Fairtrade production and sales figures are available but there are some unclarities.	Total and Fairtrade production and sales figures are available and there are no mistakes or unclarities.	Total and Fairtrade production and sales figures are available and there are no mistakes and all figures are up to date.	0	C
2.1.4	1st grade, 2nd grade, 3rd grade	2.1.0.09	Products sold as Fairtrade are clearly identified as Fairtrade in all sales documents (e.g. invoices, delivery notes etc).	Term "Fairtrade" or similar are missing in all documents.	Term "Fairtrade" or similar is mentioned in invoices BUT it is not possible to find a reference in other documents OR term "Fairtrade" missing in some invoices.	Term "Fairtrade" or similar is mentioned in all invoices AND it is possible to find a reference in other documents.	Term "Fairtrade" or similar is mentioned in all contracts, invoices and delivery notes AND it is possible to find a reference in other documents.	Term "Fairtrade" AND the FLO-ID are mentioned in all contracts, invoices, B/L, delivery notes, packing lists, etc.	0	C
2.1.5	1st grade, 2nd grade, 3rd grade	2.1.0.10	You have in place records of all your Fairtrade sales that indicate the volume, the name and the Fairtrade International ID of the buyer and the date of the transaction. All invoices to your buyer include the processing yield if this is needed to calculate the applicable Fairtrade Premium / Fairtrade Minimum Price. These records are linked with the corresponding sales documents. You invoice for the correct premium amount promptly.	Records are missing. Premium not invoiced.	Records 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
2.1.5	2nd grade, 3rd grade	2.1.0.11	Contracts of the 2nd/3rd grade organisation clearly distinguish which sales are Fairtrade products.	Contracts do not distinguish between Fairtrade and non-Fairtrade sales.	The majority of contracts does not distinguish between Fairtrade and non-Fairtrade sales.	The majority of contracts distinguishes between Fairtrade and non-Fairtrade sales.	All contracts distinguish between Fairtrade and non-Fairtrade sales.	= RANK 4 AND documented traceability system in place.	0	C
2.1.8	1st grade, 2nd grade, 3rd grade	2.1.0.14	(Cane sugar, Cocoa, Fruit juices & Pulp/Puree, Tea) If you produce and process cocoa, cane sugar, fruit juice & pulp/puree or tea, and you sell to operators without physical traceability, you do not need to fulfill physical traceability at the processing stage but the volumes sold as Fairtrade do not exceed the equivalent volumes produced by your members.	There are estimated excessive sales by more than 10% OR there is no system that allows calculations.	There are estimated excessive sales by 1-10%.	No excessive sales except possible mistakes estimated up to 1% of sales.	No excessive sales with no mistakes.	No mix up of product and no mistakes AND compliant with sourcing record system with records indicating the name of the individual member, date of purchase, product name, volume and the price received by the member.	0	M
2.1.8	1st grade, 2nd grade, 3rd grade	2.1.0.16	(Cane sugar, Cocoa, Fruit juices & Pulp/Puree, Tea) At the processing stage, the products have been produced and sourced from members before the sale of the processed Fairtrade product.	No		Yes			0	C



0 Definition of a 2nd Grade or 3rd Grade Structure									
2.1.8	1st grade, 2nd grade, 3rd grade	2.1.0.18	(Cane sugar, Cocoa, Fruit juices & Pulp/Puree, Tea) The product from members is of the same kind and quality as the input used to process the Fairtrade product.	No		Yes		0	C
Fresh fruit 4.5.7	1st grade, 2nd grade, 3rd grade	2.1.0.19	(Fresh fruit) (Applicable if you want to arrange counter inspection after a quality claim) Within 2 working days after receiving your buyer's (or ripener's) quality claim, you notify the buyer (or ripener) in writing that you will arrange a counter inspection by an authorised surveyor. You pay for and contract this surveyor unless you have agreed otherwise with the buyer.	No notification.	Notification made, but not in writing.	Notification made in writing within 2 working days.		RANK 4 AND all communication clearly documented and filed.	0 C
Fresh fruit 4.5.7	1st grade, 2nd grade, 3rd grade	2.1.0.20	(Fresh Fruit) The authorised surveyor is contracted and paid by the seller, unless both parties have agreed otherwise.	No		Yes		0	C
Fresh fruit 4.5.9	1st grade, 2nd grade, 3rd grade	2.1.0.21	Fresh Fruit) (Applicable in case of quality claims) You accept the results of the authorized independent surveyors as binding and the ultimate basis of settlement of any dispute over the quality of the fruit.	No		Yes		0	C
TS 2.2.1 and 2.2.4	1st grade, 2nd grade, 3rd grade	2.1.0.23	(Food composite products) (Not applicable for FSP) You ensure that food composite ingredients and food composite products contain as many Fairtrade ingredients as available unless you have been granted an exception.	No		Yes		0	C
TS 2.2.2	1st grade, 2nd grade, 3rd grade	2.1.0.24	(Food composite products) (Not applicable for FSP) Food composite products contain at least 20% Fairtrade content. You express the percentages of the Fairtrade ingredient/s in weight (or volume) relative to the total weight (or volume) of all the initial ingredients before processing. For products with >50% added water or dairy, you are allowed to exclude all added water and/or dairy from the percentage calculations. This also applies to juices from concentrate but not fresh juices.	No		Yes		0	C
TS 2.2.3	1st grade, 2nd grade, 3rd grade	2.1.0.25	(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



0 Definition of a 2nd Grade or 3rd Grade Structure										
2.1.4	1st grade, 2nd grade, 3rd grade	2.1.0.26	Fairtrade products received from and sent back to the operator are clearly identified as Fairtrade in all documents.	Term "Fairtrade" or similar missing in all documents.	Term "Fairtrade" or similar in invoices BUT it is not possible to find a reference in other documents.	Term "Fairtrade" or similar in all invoices AND it is possible to find a reference in other documents.	Term "Fairtrade" or similar in all contracts, invoices and delivery notes AND it is possible to find a reference in other documents.	Term "Fairtrade" or similar in all contracts, invoices, B/L, delivery notes, packing lists, etc.	0	C
2.1.5	1st grade, 2nd grade, 3rd grade	2.1.0.27	You have in place records of all your Fairtrade transactions that indicate the volume, the name and the Fairtrade International ID of the operator and the date of the transaction. These records are linked with all corresponding documents. The sub-contractor has clearly identified all certified products as Fairtrade in all documentation about volumes received from and sent to the operator.	Records are missing.	Records exists but are incomplete.	Complete processing and Fairtrade sales records with a reference to sales documents.	Complete records as part of a database of stock, purchases and sales but it is not up to date.	Complete records as part of a database of stock, processed volumes, purchases and sales and fully up to date.	0	C
2.1.6	1st grade, 2nd grade, 3rd grade	2.1.0.28	You have in place records of all processed Fairtrade products specifying the amount of product before and after processing.	Organisation does not know processing yields.	Organisation knows rough average yields but has no records.	Organisation creates/obtains a record showing calculated yearly average yields.	Organisation creates/obtains records showing real yields of each processing batch.	= RANK 4 AND organisation shares real yields of each processing batch with buyer	0	C
2.1.8	1st grade, 2nd grade, 3rd grade	2.1.0.30	(Cane sugar, Cocoa, Fruit juices & Pulp/Puree, Tea) If you produce and process cocoa, cane sugar, fruit juice & pulp/puree or tea, and your operator sells to operators without physical traceability, you do not need to fulfill physical traceability but the sub-contractor keeps records of all volumes of Fairtrade products received from and sent to the operator. Records shall allow the certification body to trace back from any given certified output to the certified inputs. The volumes sent back to the operator as Fairtrade do not exceed the equivalent volumes received from the operator and the product must be of the same kind and quality.	There are estimated excessive sales by more than 10% OR there is no system that allows calculations. No records kept by subcontractor of products received and sent back to producer.	There are estimated excessive sales by 1-10%.	No excessive sales except possible mistakes estimated up to 1% of sales.	No excessive sales with no mistakes. Subcontractor has records of products received and products sent back to producer.	No mix up of product and no mistakes AND compliant with sourcing record system with records indicating the name of the individual member, date of purchase, product name, volume and the price received by the member.	0	M
TS 2.1.10	1st grade, 2nd grade, 3rd grade	2.1.0.34	(Single Site Mass Balance) (Cocoa, Cane sugar, Fruit juice & Pulp/Puree and Tea (Camellia Sinensis)) You receive and process Fairtrade inputs at the same site where the Fairtrade output is processed.	No		Yes			0	C
TS 2.1.11	1st grade, 2nd grade, 3rd grade	2.1.0.35	(Cane sugar, Cocoa, Fruit Juices & Pulp/Puree, Tea (Camellia Sinensis)) You ensure that Fairtrade inputs are of the same kind and quality as the inputs used to process the Fairtrade output (like for like).	No		Yes			0	C
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	2.1.0.37	If you sell composite products or ingredients you comply with the specific rules on product composition in the Fairtrade Trader Standard.	No		Yes			0	C



0 Definition of a 2nd Grade or 3rd Grade Structure									
Fibre Crops 2.1.1	1st grade, 2nd grade, 3rd grade, ATCB & FSI, FSI	2.1.0.38	(Seed cotton) (Applicable if you operate under the Fairtrade Sourcing Program - FSP) You report information about your sales of equivalent volumes of Fairtrade cotton to the Fairtrade tracking system (Fair Trace).	No reporting is done.	Only some transactions have been reported OR the reports are incomplete.	All transactions are reported correctly.	Rank 3 AND the records include all other information specified in the template provided by Fairtrade.	0	C
TS 1.1.5	1st grade, 2nd grade, 3rd grade	2.1.0.39	You ensure that products sold as Fairtrade, not in consumer-ready packaging, are only sold to Fairtrade traders with a valid certification or permission to trade for the relevant product category issued by FLOCERT or the responsible National Fairtrade Organization (Japan, Australia and New Zealand).	No		Yes		0	C
Cane Sugar 4.4.1	1st grade, 2nd grade, 3rd grade	2.1.0.40	(Cane sugar) You have an agreement with other producer organizations delivering to the same mill or exporter on how the Fairtrade Premium will be shared amongst the organizations. In case there is no such agreement in place, a mediation process has been concluded and you accept the result of the mediation. If there is no conclusion within 4 weeks after the mediation process has started, you accept that the payer distributes the premium according to the volume of sugar cane delivered by each organization.	There is no agreement and mediation has not been initiated.	There is no agreement and mediation has not been concluded after 4 weeks.	There is an agreement in place OR a mediation process has been concluded that considered other forms of distribution than according to the volume of sugar cane delivered by each organization OR the payer distributes the premium according to the volume of cane delivered by each organization.	Rank 3 AND all members of the organizations are aware of the distribution criteria.	0	C
Cane Sugar 4.4.1	1st grade, 2nd grade, 3rd grade	2.1.0.41	(Cane sugar) You inform the mill about the agreement in writing before harvest starts.	No		Yes		0	C





0 Definition of a 2nd Grade or 3rd Grade Structure									
Cocoa 2.1.1	1st grade, 2nd grade, 3rd grade	2.1.0.42	(Cocoa) (Applicable if you sell semi-processed cocoa and apply mass balance.) You apply the following conversion rates for mass balance cocoa in the direction that is physically possible (beans to liquor, liquor to butter and powder): Until end 2017 . Beans to Liquor 0,8 . Liquor to Butter only 0,37 . Liquor to Powder only 0,42 . Liquor to Butter and Powder (to the ratio 100:113) 0,8 only if used over a period of up to 12 months.  As of 2018 1 MT beans -> 0.82 MT liquor 1 MT liquor -> 0.5 MT butter and 0.5 MT powder 1 MT beans -> 0.41 MT butter and 0.41 MT powder	Current conversion rates are not applied.	Current conversion rates are still not applied or fully applied but the trader started a transition phase.	Current conversion rates are applied or transition is being finalized.	Current conversion rates have been applied CORRECTLY since the date of announcement.	0	C
Cocoa 2.1.5, TS 2.1.13	1st grade, 2nd grade, 3rd grade	2.1.0.43	(1 January 2018) (Cocoa, Cane Sugar, Fruit juices & Pulp/Puree, Tea) (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.	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.		0	C
Cocoa 2.1.6	1st grade, 2nd grade, 3rd grade	2.1.0.44	(1 January 2018)(Cocoa) (Applicable in case of multi-certification) You do not sell similar volumes of cocoa as Fairtrade for dual or multi-certified cocoa beans or semi-processed cocoa that has already been sold under certification schemes other than Fairtrade.	There is evidence that the same cocoa volume has been sold as Fairtrade.		No indication that the same volume has been sold as Fairtrade.		0	C



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0 Definition of a 2nd Grade or 3rd Grade Structure						
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	2.1.0.45	(Applicable only if you are selling Fairtrade food composite ingredients or Cotton / Textiles) You indicate in your sales documentation under which program (food composite ingredients: ATCB or FSI) (Cotton: ATCB, 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).	0 C
2.2 Sourcing						
2.2.1	1st grade, 2nd grade, 3rd grade	2.2.0.01	You do not sell the product that was produced more than one year before initial certification as Fairtrade.	No	Yes	0 C
Cane Sugar 4.8.1	1st grade, 2nd grade, 3rd grade	2.2.0.02	(Cane sugar) You only sell your cane as retro-certified for a maximum of one year before the initial certification was granted.	Older product is not differentiated OR older cane is knowingly sold.	No older crop sold or no mix up of older cane takes place.	Rank 3 AND no mistakes. 0 C
2.3 Contracts						



0 Definition of a 2nd Grade or 3rd Grade Structure									
2.3.2	1st grade, 2nd grade, 3rd grade	2.3.0.01	(Only applicable if you were suspended since the last audit and/or any of your buyers was suspended) You do not sign new Fairtrade contracts if you are suspended OR sign new contracts with suspended trade partners. However, you have fulfilled existing Fairtrade contracts during the suspension period. 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.	Organisation knowingly exceeded volumes allowed during suspension OR signed new ones.	The organisation was not properly informed and exceeded volumes allowed during suspension OR signed new ones.	The organization has neither exceeded volumes allowed during suspension NOR signed contracts with new trade partners.		0	M
2.3.3	1st grade, 2nd grade, 3rd grade	2.3.0.02	(Applicable if you or your first Fairtrade buyer have been decertified) You stop trading any Fairtrade products from the date of decertification even if you had signed Fairtrade contracts.	Organisation knowingly sold products as Fairtrade.	The organisation sold as non-Fairtrade and did not remove Fairtrade marks OR was not properly informed and sold as Fairtrade to a decertified buyer.	The organisation finally sold as non-Fairtrade and did not change written contract but removed Fairtrade marks.	The organisation finally sold as non-Fairtrade, removed Fairtrade marks and cancelled Fairtrade contract.	0	C
2.3.4	1st grade, 2nd grade, 3rd grade	2.3.0.03	In case new Fairtrade prices are published you do fulfill the contracts you already signed at the earlier agreed price.	No		Yes OR there was a mutual agreement with the buyer.		0	C
Coffee 2.3.4	1st grade, 2nd grade, 3rd grade	2.3.0.04	(Coffee) The producer notified the buyer of his intention to default a contract with a minimum of 2 months prior to the shipment date.	No		Yes		0	M
Coffee 2.3.2	1st grade, 2nd grade, 3rd grade	2.3.0.05	(Coffee) When a broker is included in a commercial transaction by the producer the contract must: a) identify which party required its services and consequently will pay for them and the commission is not deducted from the FOB price. b) include agreement of the other party to the broker's participation.	No contract available.	Basic contract available, but none of the details required, no agreement of the other party.	Basic contract and agreement available which roughly mention the required details.	Good contract and agreement in place which mentions the required details in a clear manner.	0	C
Coffee 2.3.1	1st grade, 2nd grade, 3rd grade	2.3.0.06	(Coffee) In the case of price-to-be-fixed contracts, whenever the seller asks to fix the price before the coffee harvest starts, there is written agreement by the payer/conveyer/buyer on doing this and a written risk management strategy agreed by both parties.	No	Only one of the two required documents available: written agreement or risk management strategy.	Both documents available, agreed by both parties.		0	C



0 Definition of a 2nd Grade or 3rd Grade Structure							
Coffee 2.3.1	1st grade, 2nd grade, 3rd grade	2.3.0.07	(Coffee) The producer does not sign outright-priced-contracts with a duration longer than 1 crop period.	No		Yes	0 C
Oilseeds and Oleaginous fruit	1st grade, 2nd grade, 3rd grade	2.3.0.08	(Soybeans) Contracts between buyers and producers indicate that accidental and technically unavoidable GMO contamination is tolerated up to levels defined in the applicable national or international regulations, whichever is stricter. Contracts specify which regulation applies.	No		Yes	0 C
Fibre crops 2.4.1 and 2.4.2	1st grade, 2nd grade, 3rd grade	2.3.0.09	(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	0 C
2.3.1	1st grade, 2nd grade, 3rd grade	2.3.0.13	You have signed binding purchase contracts provided by your buyers, which are in line with Fairtrade requirements. It is the responsibility of your buyer to provide a contract that is in line with Fairtrade requirements.  Unless otherwise stated in the product Standards, contracts must as at minimum clearly indicate the: agreed volumes, quality, price (Fairtrade Minimum Price or market price, whichever is higher), premium, payment terms, when and how the Fairtrade price will be fixed, party responsible for paying the Fairtrade price and premium to the producer and delivery conditions. All contracts between producers and Fairtrade payers or conveyors must stipulate a mechanism to resolve conflicts separate from jurisdiction agreed by both parties.	No written purchase contract or purchase order for Fairtrade products exists OR not signed by organization		Written and complete purchase contract or purchase order exists AND is confirmed by producer (purchase order) or countersigned by organization	1 C



0 Definition of a 2nd Grade or 3rd Grade Structure									
Fresh fruit 4.1.2	1st grade, 2nd grade, 3rd grade	2.3.0.14	(Oranges for juice) Contracts between producers and buyers do additionally include: • Price to be paid and calculation used for defining price for orange juice equivalent. The contract mentions that the price calculation for oranges for juice will be defined according to the yield, as identified in the preliminary analysis report (a report produced according to citrus industry standards from a sample of the fruit delivered, which includes yield information). • Once available, the preliminary analysis reports from each delivery of oranges for juice must be attached to the contract. In addition, this report is given to the producer 7 calendar days after the delivery of fruit. • The name of the responsible party paying the Fairtrade Premium to producers.	No		Yes		0	C
FLOCERT requirement	1st grade, 2nd grade, 3rd grade	2.3.0.15	(Applicable if individual members sell FT certified products directly to the buyer) You either demonstrate the inability to sell as the producer organization by citing national/regional law(s) prohibiting this; or there is a written request by you, citing the advantage to the producers and the organization of such an arrangement and this is accompanied by a framework contract between you and the buyer, regulating the following: traceability, volume, price, delivery terms, payments terms and invoicing method.	Neither legislation nor a request by the producer organization requires this.		There is request from the producer organisation BUT the contract does not cover all required details.	Legislation or a request by the producer organization requires this AND there is a framework contract covering all necessary details.	0	C
2.3.4	1st grade, 2nd grade, 3rd grade	2.3.0.16	You ensure that all elements of the transaction fixed in the contract are honored, unless you and the other party agree to a change.	The contract (or any agreed changes to the contract, )has not been honoured OR the result of an arbitration or court process has not been respected OR the customer has not consented to the arbitration process.		Contracts are honoured OR in case of any disputes, the dispute resolution mechanism has been/is being used to solve the conflict.	Contracts are honoured without any changes.	0	C
2.3.4	1st grade, 2nd grade, 3rd grade	2.3.0.17	In case that exceptional and/or unforeseen circumstances prevent you from supplying the volume stated in the contract, you promptly notify the buyer in writing and actively seek a solution.	The buyer was not notified.	The buyer was notified late and no solution was suggested.	The buyer was notified promptly and a solution suggested.	=Rank 3 and solution agreed on and implemented. =Rank 4 AND buyer would have suggest the same solution as implemented.	0	C
2.4 Labelling									



0 Definition of a 2nd Grade or 3rd Grade Structure										
2.4.1	1st grade, 2nd grade, 3rd grade	2.4.0.01	Fairtrade International is contacted at artwork@fairtrade.net for approval for the use of the FAIRTRADE Mark on your wholesale packaging or external promotional material (such as brochures, websites or invoices for Fairtrade products).	No		Yes			0	C
2.4.2	1st grade, 2nd grade, 3rd grade	2.4.0.02	If you produce finished Fairtrade products and sell them to consumers under your own brand name with any FAIRTRADE Mark, you have signed a contract with Fairtrade International or with a National Fairtrade Organization.	No		Yes			0	C
TS 1.2.2	1st grade, 2nd grade, 3rd grade	2.4.0.03	(Applicable if you are packing for a licensee) You have a copy of the applicable artwork approval.	No		Yes			0	C
3 Production										
3.1 Management of Production Practices										
3.1.1	1st grade, 2nd grade, 3rd grade	3.1.0.01	You have informed your members about the Fairtrade standards for environmental practices and labour practices (the latter only applicable where members employ workers).	The organisation did not provide any information to members.	Some members were informed but less than 80% OR information provided did not cover all Core requirements.	At least 80% of members were informed once about at least Core requirements AND content of information was sufficient AND trainings are planned/scheduled for the remaining producers.	At least 80% of members were informed annually about at least Core requirements AND trainings were carried out AND there are informative materials.	Rank 4 AND the identified and implemented activities are reflected in the member list.	0	C
3.1.2	1st grade, 2nd grade, 3rd grade	3.1.0.02	You have identified and documented you and your members general risks of not complying with the production standards.	The organisation did not carry out an identification of possible risks OR purposely hides evidence.	The identification of possible risks has important shortcomings, failing to identify important risks OR the identification of risks is not documented (written/drawn).	There is a basic written/drawn identification of possible risks that covers at least the most important risks.	There is a written/drawn identification of the possible risks that are related to all requirements AND there is a process to involve members on this identification.	Rank 4 AND best practice in terms of obtaining information: data from all members through farm assessments	1	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
Cane Sugar 3.1.1	1st grade, 2nd grade, 3rd grade	3.1.0.06	(Cane sugar) You report at least once a year on the following monitoring indicators: volumes and yields, kill/mill interval, use of inputs, water management. You send this information to sugar@fairtrade.net.	No		Yes			3	C
Cocoa 3.1.3	1st grade, 2nd grade, 3rd grade	3.1.0.07	(1 January 2019)(Cocoa) You implement a system which enables you to manage compliance with Fairtrade requirements for all cocoa producers of the organization that includes: - A documented management structure - One person responsible for the Internal Management System (IMS) - An internal regulation to ensure compliance - Identified internal inspectors - Training of the person responsible and the internal inspector - Annual inspections and reports, and feedback to the members - Use of internal sanctions - Regularly updated members list - Use of risk assessment to address risks and threats to the integrity of the IMS.	The organisation has taken no action to implement an Internal Management System.	Internal Management System exists but it is not followed in practice OR does not allow the organisation to control compliance with Fairtrade standards.	The Internal Management System is in place and allows the organisations' control but lacks some clarity OR slightly differs from its description.	The Internal Management System is in place and followed and contains all necessary details and follows the defined procedure.	RANK 4 AND detailed records exist.	3	C
Cocoa 3.1.6	1st grade, 2nd grade, 3rd grade	3.1.0.09	(1 January 2019)(Cocoa) You collect household and farm data to assess the needs of members regarding sustainable farm improvements.	No data is collected.	Data is collected but no assessment of members needs is carried out.	Data is collected and assessment of members and farms needs is carried out.	Rank 3 AND findings of the assessment are implemented AND assessment covers the suggestions in the guidance.	Rank 4 AND the exercise repeated periodically.	3	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
Cocoa 3.1.7	1st grade, 2nd grade, 3rd grade	3.1.0.10	(1 January 2018) (Cocoa) You develop, implement and regularly adapt a centralized plan for training and other support activities to be conducted for members based on the needs of your members.	No training plan has been developed.	Training plan has been developed but not implemented.	Training plan based on members needs developed, implemented and updated annually based on an assessment of the learnings from the previous years' trainings and on needs.	Rank 3 AND information on training adoption by the participants is considered.	Rank 4 AND information on recommendations from service providers is considered.	1	C
3.1.3	1st grade, 2nd grade, 3rd grade	3.1.0.14	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021) The risk identification has been repeated periodically at least every 3 years.	The organisation did not update the identification of possible risks:	Updated identification of possible risks has important shortcomings, failing to identify important risks OR the updated identification of possible risks is not documented (written/drawn).	There is an updated basic written/drawn assessment that covers at least the most important risks AND all areas that generated non conformities in previous years.	The updated risk assessment covers all requirements and identifies all relevant risks AND there is a process to involve members on this identification.	Rank 4 AND best practice in terms of obtaining information: data from all members in field survey.	3	C
3.1.4	1st grade, 2nd grade, 3rd grade	3.1.0.15	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021) A procedure to monitor and assess the performance and the compliance of members in relation to production standards is in place and implemented.	There is no procedure in place.	The organization can explain the monitoring process verbally but the procedure is not documented OR there is a procedure but it has not been implemented.	There is a documented procedure in place to assess the performance and compliance regarding the core requirements AND it is implemented	There is a procedure in place that is implemented AND covers all requirements.	There is an Internal Management System that covers all members. This is implemented and works well.	3	C
3.2 Environmental Development										
3.2.1 Environmental Management										
3.2.1	1st grade, 2nd grade, 3rd grade	3.2.1.01	One person or a group of persons has been given the responsibility to ensure that your organization complies with the environmental requirements.	Not appointed.	Appointed but not given any time and/or resources to fulfil responsibilities OR appointed but does not know relevant environmental requirements and organization's risks.	Appointed AND knows the relevant environmental requirements and organization's risks.	= Rank 3 AND given plenty of time and/or resources to fulfil responsibilities.	= Rank 4 AND the appointed person is at a high decision making position.	0	C
3.2.1	1st grade, 2nd grade, 3rd grade	3.2.1.02	The person or group of persons have clear Terms of Reference.	No written description and the person(s) is not aware of his/her responsibilities.	Written description but the person(s) is not aware of his/her responsibility.	No written description but the person is aware of his/her responsibilities.	There is basic written description and the person(s) knows it.	There is a detailed written description and the person(s) knows it.	0	C
3.2.2 Pest Management and Hazardous Materials Use										





0 Definition of a 2nd Grade or 3rd Grade Structure										
Fresh fruit 3.1.1	1st grade, 2nd grade, 3rd grade	3.2.2.02	(Banana producers and individual members) (includes dried bananas and banana pulp): You and / or your members using herbicides in the production process implemented the following elements of an integrated weed management approach:  • Gain knowledge of the weeds that affect the productivity of the crop and of the conditions that favour and hamper the development of the weeds.  • Gain knowledge of the parts of the fields where the crop is affected by the weeds.  •Prevention of the spreading of the weeds by non-chemical means (labour, mechanical or thermic means)  •Use of alternative control techniques, mulches or cover crops in order to control and reduce the weeds.  •Application of herbicides must be focused on areas where the weeds are present and affect the crop.  •No use of herbicides in canals, in buffer zones protecting rivers or watersheds, in protected or high conservation value areas or in buffer zones intended to protect people's health.	Herbicides liberally used, no alternative weed management approach.	Herbicide use has been slightly reduced, no structured weed management approach available.	Herbicide use has been reduced as a result of basic weed management approach, which lacks some of the measures required.	Herbicide use has been considerably reduced, weed management approach document available, AND this has been communicated to all members.	= RANK 4 AND regular follow up by functioning IMS.	0	C
3.2.4	1st grade, 2nd grade, 3rd grade	3.2.2.05	Members and workers who handle pesticides and other hazardous chemicals have been trained about the risks in handling these materials and how to handle them properly. The training contents are in line with the requirements.	Organisation did not carry out any training.	Less than 50% of persons handling pesticides have been trained OR content/quality of training was insufficient.	At least 50% of persons handling pesticides have been trained AND content of training was sufficient AND trainings are planned/scheduled for the remaining persons.	At least 80% of persons handling pesticides have been trained AND content of training was sufficient AND training materials are clear and correct.	= RANK 4 AND measures are indeed implemented.	3	C
3.2.4	1st grade, 2nd grade, 3rd grade	3.2.2.06	Training reports with signed list of participants are available.	Information/training did not take place.	Information/training took place but there are no reports or lists.	Yes, although some mistakes can be found.	Reports and lists available, but not detailed/some information missing.	Clear reports available, 3 lists are accurate and complete.	3	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.2.15	1st grade, 2nd grade, 3rd grade	3.2.2.19	You have compiled a regularly updated list of the pesticides that are used by members on the Fairtrade crop that indicates which of those materials are in the Fairtrade International Hazardous Materials List (HML), Part 2 (Orange List) and Part 3 (Yellow List); and includes at a minimum: • Name of the active ingredient and commercial brand name and • Crop on which they are used; • Name of targeted pest or disease;	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	There is a sufficiently complete list. The list was developed based on local knowledge and informal communication with members.	There is a sufficiently complete list. The list was developed based on documentation at member level.	There is an accurate list AND organisation regularly documents pesticides used by members as part of a general Internal Management System and also monitors pesticides available in surrounding stores.	0	C
3.2.18	1st grade, 2nd grade, 3rd grade	3.2.2.27	You have developed a procedure to ensure that members do not use on the Fairtrade crops any material that appears on the Fairtrade International HML part 1 (red list). The procedure includes activities that raise your member's awareness of the HML.	Organisation did not consider any measure.	Organisation has ideas of how to improve but it has not been implemented OR implemented measures but not described them in writing.	Organisation has implemented at least one measure on awareness raising, i.e. providing information to members in any form AND described it in writing.	Organisation has implemented a series of measures (for example: records at member level, awareness raising, sample internal inspections, peer-review) AND described them in writing.	There is an (organic) Internal Management System that covers all members and that works well.	1	C
3.2.6	1st grade, 2nd grade, 3rd grade	3.2.2.31	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You have made all members and workers - even those not directly handling pesticides and other hazardous chemicals - aware of the hazards and risks related to these materials.	Organisation did not carry out any information activity.	Less than 50% of members and workers have been informed OR content/quality of information was insufficient.	At least 50% of members and workers have been informed AND content of information was sufficient.	At least 80% of members and workers have been informed AND content of information was sufficient AND there are informative materials.	=RANK 4 AND there is an ongoing training/awareness plan/ refresher training, or no pesticides or hazardous chemicals are used.	3	C
<b>3.2.3.a Soil Erosion (Soil and Water)</b>										
<b>3.2.3.b Handling Fertilizers (Soil and Water)</b>										
<b>3.2.3.c Soil Fertility (Soil and Water)</b>										
<b>3.2.3.d Sustainable Water Sources (Soil and Water)</b>										
<b>3.2.3.e Sustainable Water Use (Soil and Water)</b>										
3.2.20	1st grade, 2nd grade, 3rd grade	3.2.3.10	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You have identified land at risk of soil erosion and already eroded land in the fields where your members plant Fairtrade crops.	Important erosion problems exist and the organisation is unaware.	Mild erosion problems exist and the organisation is unaware OR potential (and likely) problems cannot be identified.	The organisation documented (in writing or maps) existing and potential general problems in the area.	Rank 3 AND developed preventive measures on reduction of soil erosion or soil restorative measures	The organisation inspected all farms and documented in writing existing and potential problems AND implemented preventive measures.	3	C
<b>3.2.4 Waste</b>										
<b>3.2.5 GMO</b>										
<b>3.2.6 Biodiversity</b>										



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.2.32	1st grade, 2nd grade, 3rd grade	3.2.6.09	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021.) You have a procedure in place to ensure that your members do not cause deforestation or degradation of vegetation.	There is no procedure in place.	The organization can explain the monitoring process verbally but the procedure is not documented.	There is a documented procedure in place AND it is implemented.	Rank 3 AND members are aware of risk areas and activities or production practices that have negative impacts AND Geo-mapping and polygon maps are used as a tool to map risk areas more accurately.	Rank 4 AND the procedure is part of an Internal Management System that covers all members and that works well.	1	C
3.2.7 Climate Change Adaption and Mitigation										
3.3 Labour Conditions										
3.3.1 Freedom from Discrimination										
3.3.1	1st grade, 2nd grade, 3rd grade	3.3.1.01	You and the members of your organisation do not discriminate on the basis of race, colour, gender, sexual orientation, disability, marital status, age, HIV/AIDS status, religion, political opinion, membership of unions or other workers' representative bodies, national extraction or social origin in recruitment, promotion, access to training, remuneration, allocation of work, termination of employment, retirement or other activities.	There are substantial indications of discrimination on recruitment and remuneration.	There are substantial indications of discrimination on promotion and access to training.	There are no records or rules but no indications of discriminatory practices.	There is a written equal opportunities policy approved by the General Assembly and made known to all members and workers.	There is an equal opportunities policy for recruitment, remuneration, promotion and training and applied in practice with records that show reasons for acceptance, dismissals and promotion of workers.	0	M
3.3.2	1st grade, 2nd grade, 3rd grade	3.3.1.02	You and the members of your organisation do not conduct tests for pregnancy, HIV and genetic problems during recruitment of workers.	Tests are requested.	No tests but questions are asked that lead to discrimination in recruitment.	No policy but no indications of test or questions during recruitment.	There is a clear policy forbidding this.	There is a clear policy forbidding this and organisation controls this at member level.	0	C
3.3.3	1st grade, 2nd grade, 3rd grade	3.3.1.03	You and the members of your organisation do not engage in, support or tolerate the use of corporal punishment, mental or physical coercion or bullying, harassment verbal abuse or any abuse of any kind.	There are indications of this being common amongst members as employers or at organisation as employer.	There are indications of this happening on rare occasions but the organisation took no actions.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present.	There is a written policy approved by the General Assembly and made known to members and workers.	= RANK 4 AND IMS that controls this at member level.	0	M



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.3.4	1st grade, 2nd grade, 3rd grade	3.3.1.04	You and your members do not engage in, support or tolerate behaviour – including gestures, language, and physical contact – that is violent and abusive including sexually abusive acts, intimidation, bullying or other forms of exploitation and abuse.	There are indications of this being common amongst members as employers or at organisation as employer.	There are indications of this happening on rare occasions but the organisation took no actions.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present.	There is a written policy approved by the General Assembly and made known to members and workers.	= RANK 4 AND IMS that controls this at member level.	0	M
Prepared and preserved fruit and vegetables 3.3.2	1st grade, 2nd grade, 3rd grade	3.3.1.05	(Dried fruit) In case of women growers and drier operators, payments are given to the women directly (not to the husband).	No		Yes			0	C
3.3.1	1st grade, 2nd grade, 3rd grade	3.3.1.09	(Dominican Republic) (Applicable as of July 1, 2019) All migrant workers are registered and have a legally binding contract that provides the worker access to social security.	No		Yes			0	C
3.3.1	1st grade, 2nd grade, 3rd grade	3.3.1.10	(Dominican Republic) (Applicable as of Nov. 2018) (Applicable if you choose not to support the documentation process of existing migrant workers) You ensure prolonged safety of the workers by arranging for the worker to meet with local trade unions or human rights organizations so that he/she can ask for assistance and guidance. You document this process.	There is no procedure in place.	There is a procedure but it is not implemented.	There is a documented and implemented process how to seek further support from local expert rights-based organizations in order to mitigate against harm or danger.	Rank 3 AND the organization has built and strengthened its capacity to understand the harm and danger faced by migrant workers.	Rank 4 AND There are documented and implemented procedures that include safe withdrawal and key safeguarding principles.	0	C
3.3.4	1st grade, 2nd grade, 3rd grade	3.3.1.11	You and your members do not engage in, support or tolerate sexual exploitation/abuse, forced prostitution, trafficking and threats of violence.	There are indications of this being common amongst members as employers or at organisation as employer.	There are indications of this happening on rare occasions but the organisation took no actions.	The auditor found no indication (through members' interviews, observation, and local knowledge) of these forms of GBV OR present on rare occasions but organisation took action including safely reporting to relevant national protection agencies or equivalent.	RANK 3 AND There is a written policy approved by the General Assembly and made known to members and workers.	RANK 4 AND IMS that controls this at member level.	0	M
<b>3.3.2 Freedom from Forced and Compulsory Labour</b>										



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.3.5	1st grade, 2nd grade, 3rd grade	3.3.2.01	You and the members of your organisation do not have forced labour, bonded or involuntary prison labour.	There are indications of this being common amongst members as employers or at organisation as employer OR due notice period is excessive (> 3 months).	There are indications of this happening on rare occasions but the organisation took no actions.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present.	RANK 3 AND there is a written policy approved by the GA and made known to members and workers.	RANK 4 AND IMS that controls this at member level.	0	M
3.3.7	1st grade, 2nd grade, 3rd grade	3.3.2.03	You and the members of your organisation have not made employment or housing of a worker conditional on the employment of their spouse.	Organisation obliges family members to work (directly or via benefits such as housing).	Organisation prioritises housing for families with more than one member employed for the organisation.	Organisation does not inform but there are no indications of this taken place.		Organisation makes all workers aware (especially those living in farm) about their right to work elsewhere.	0	C
3.3.6	1st grade, 2nd grade, 3rd grade	3.3.2.04	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021.) If you have identified cases of forced adult labour in your organization (see CC 3.1.0.02), you and the members of your organization remediate to ensure prolonged safety and implement relevant policies and procedures to prevent vulnerable adults above the age of 18 years from being employed in abusive, exploitative and unacceptable work conditions.	No. The organization has not taken any remediation measures.	There is no protection policy, but limited remediation measures have been implemented.	Yes. The organization has taken remediation measures and has implemented policies and procedures to protect vulnerable workers.	RANK 3 AND The policy and procedures include preventive measures and a safe withdrawal of the people affected based on the key principles of safeguarding.	RANK 4 AND the organization implements it proactively.	1	C
3.3.3 Child Labour and Child Protection										
3.3.8	1st grade, 2nd grade, 3rd grade	3.3.3.01	You and the members of your organisation have not employed children below the age of 15 or under the age defined by local law, whichever is higher.	There are indications of this being common amongst members as employers or at organisation as employer.	There are indications of this happening on rare occasions but the organisation took no actions OR members hire labourers that come along with their children and work under parent's supervision.	The auditor found no indication (through workers' and employers interviews, and local knowledge) that this is present.	There is a written policy approved by the General Assembly and made known to members that includes ensuring of save schooling for all children.	= RANK 4 AND IMS that controls this at member level.	0	M
3.3.4 Freedom of Association and Collective Bargaining										



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.3.13	1st grade, 2nd grade, 3rd grade	3.3.4.01	You and the members of your organisation have ensured that all workers are free to join the workers' organisation that each worker chooses and that they are free to participate in group negotiation of their working conditions.	This is not ensured in any way.	There is a written statement but it is not known to the workers and not implemented.	There is a written statement made public to workers, even if some workers do not know it, OR, there is no written statement but it is implemented and most workers are aware.	Rank 3 AND all workers are aware.	Rank 4 AND the organization actively encourages workers.	0	M
3.3.13	1st grade, 2nd grade, 3rd grade	3.3.4.02	You have not denied these rights in practice in the last two years. In case there was opposition to these rights, circumstances have changed substantially since then.	There are substantial indications of recent opposition in practice (whether there is written statement or not), for example dismissals or reallocation of work of union leaders.	There were substantial indications of opposition in practice in the last 2 years BUT the conditions did not change substantially.	There are no indications of opposition in the last 2 years OR there was opposition but the conditions changed substantially (e.g. change of directors / management, offending members (where applicable) where expelled, declaration from independent union, organisation actively and successfully informed workers of new attitude, etc).		= RANK 3 AND workers' organisation(s) exist and collective negotiation takes place.	0	M
3.3.14	1st grade, 2nd grade, 3rd grade	3.3.4.04	You and the members of your organisation do not interfere in workers' meetings.	Do interfere actively.	Are present during meetings, but do not actively interfere.	Are present during meetings at request of TU/Workers and do not interfere OR are not present.		Are not present and provide a conducive environment for the meetings.	0	C
3.3.15	1st grade, 2nd grade, 3rd grade	3.3.4.05	You and the members of your organisation ensure that there is no discrimination against workers and their representatives for organising, for joining (or not) a workers' organisation or for participating in the legal activities of the workers' organisation.	There is discrimination and organisation/farm owner do not comply with Standard requirement 3.3.1.	There is discrimination by mid managers and the organisation/farm owner is not effectively controlling this.	There have been cases of discrimination by mid managers but the organisation/farm owner took successful actions.	There are no cases of any kind of discrimination.	Organisation/farm owner have a training/awareness programme for mid managers to prevent discrimination AND there are no cases of any kind of discrimination.	0	C
3.3.15	1st grade, 2nd grade, 3rd grade	3.3.4.06	The certification body is informed when a workers' representative is dismissed including reason for dismissal.	Organisation cannot explain reasons for dismissals and auditor finds indications of discrimination.	Organisation cannot explain reasons for dismissals.	Notice sent in due time by organisation OR there were no dismissals and organisation is aware of this requirement.			0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.3.15	1st grade, 2nd grade, 3rd grade	3.3.4.07	Records of all terminated contracts indicating the reason for termination and whether the worker was a member of a union or workers' organisation are in place.	There are no records and there are indications of discrimination.	There are no records or they are incomplete (for example whether the worker is member of union or WC is not stated).	Organisation maintains complete records for own workers and makes individual producers aware of this requirement (if applicable).	Organisation maintains complete records for own and individual farms' workers (if applicable).	Organisation maintains complete records for own and individual farms' workers (if applicable) and workers' representatives signs them.	0	C
3.3.5 Conditions of Employment										
3.3.18	1st grade, 2nd grade, 3rd grade	3.3.5.01	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent, and own processing facilities of any size) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You have set salaries for workers according to CBA regulations where they exist or at regional average wages or at official minimum wages for similar occupations, whichever is the highest.	Salaries < legal minimum or CBA regulations OR it is impossible to calculate reference salaries.	Salaries ≥ legal minimum or CBA regulations but < regional average wages (evidence of regional average MUST exist).	Salaries ≥ legal minimum, CBA or regional average.		= RANK 3 AND all legal provisions and agreed benefits are respected for all workers.	0	M
3.3.18	1st grade, 2nd grade, 3rd grade	3.3.5.02	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You have specified wages for all employee functions.	Salaries are discretionary and there are indications of discrimination.	Interviewed workers do not know roughly how much they will earn.	Organisation informs verbally OR refers to external sources of information (CBA, legal regulations) AND all interviewed workers know roughly how much they will earn.	Salary categories (including all additional benefits) are specified in writing AND all interviewed workers know roughly how much they will earn.	Salary categories (including all additional benefits) are specified in writing and made known to all workers in a way that is easy to understand.	0	C
3.3.19	1st grade, 2nd grade, 3rd grade	3.3.5.03	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent, and own processing facilities of any size) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) For work based on production, quotas and piece-work, during normal working hours, you pay the proportionate minimum wage or the relevant industry average, whichever is higher.	On average, pieceworkers earn < 80% of the equivalent salary on a monthly average OR it is impossible to estimate pieceworkers' earnings.	On average, pieceworkers earn 99-80% of the equivalent salary on a monthly average.	On average, pieceworkers earn at least the equivalent salary on a monthly average.	On average, pieceworkers earn at least the equivalent salary everyday.	All pieceworkers earn at least the equivalent hourly salary everyday.	0	M
3.3.20	1st grade, 2nd grade, 3rd grade	3.3.5.06	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You make payments to workers at regularly scheduled intervals that workers are aware of.	Payment is constantly delayed beyond agreed periods OR payment has been outstanding by more than one month.	Payment is made after 2 weeks of the end of the paid working period OR is generally very irregular.	Payment is usually made within one week of the end of the paid working period, although some occasional delays happen.	Payment is usually made on the same day that the paid working period ends, although some occasional delays happen.	Payment is always made on the same day that the paid working period ends or before.	0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.3.20	1st grade, 2nd grade, 3rd grade	3.3.5.07	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) Workers are provided with pay slips.	Organisation is not able to provide any information on wages.	Organisation's payroll is poorly documented AND workers do not/ cannot obtain full information (for example cannot know overtime payment or deductions).	Workers receive a physical payslip with full information together with each payment.	Workers receive a physical payslip together with each payment and a consolidated payslip every year.	0	C	
3.3.20	1st grade, 2nd grade, 3rd grade	3.3.5.08	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) Payment is made in legal tender; only when the worker explicitly agrees can payment be made in kind.	Payment is made in kind and the employee has not agreed to this.	Payment is partly made in kind and the employee has not agreed to this.	Payment is made in the way chosen by the organisation, but in legal tender (bank transfer, check, cash, etc) OR otherwise explicitly agreed by workers.	Payment is made in the way chosen by the organisation choosing the one with less costs/risks for workers.	Payment is made in the way chosen by workers but when payment is made in cash the organisation took measures to prevent assaults.	0	C
3.3.22	1st grade, 2nd grade, 3rd grade	3.3.5.16	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021) (Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) You have issued all permanent workers with legally binding written contracts of employment.	Permanent workers do not have legally binding contracts.	Permanent workers do not have signed contracts OR these do not comply with labour law OR notice period is longer for the worker.	All permanent workers have signed contracts that include at least job title, wages, working hours and identical notice periods and which comply with labour law.	All permanent workers have signed contracts that include job description, wages and other benefits, working hours, rest and lunch hours, overtime compensation, holidays and identical notice period, and comply with labour law.	RANGO 4 y los contratos se explican verbalmente y en un lenguaje que comprenda el trabajador.	1	C
3.3.18	1st grade, 2nd grade, 3rd grade	3.3.5.18	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) You have set salaries for workers according to CBA regulations where they exist or at regional average wages or at official minimum wages for similar occupations, whichever is the highest.	Salaries < legal minimum or CBA regulations OR it is impossible to calculate reference salaries.	Salaries ≥ legal minimum or CBA regulations but < regional average wages (evidence of regional average MUST exist).	Salaries ≥ legal minimum, CBA or regional average.	= RANK 3 AND all legal provisions and agreed benefits are respected for all workers.	0	M	
3.3.18	1st grade, 2nd grade, 3rd grade	3.3.5.19	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) You have specified wages for all employee functions.	Salaries are discretionary and there are indications of discrimination.	Interviewed workers do not know roughly how much they will earn.	Organisation informs verbally OR refers to external sources of information (CBA, legal regulations) AND all interviewed workers know roughly how much they will earn.	Salary categories (including all additional benefits) are specified in writing AND all interviewed workers know roughly how much they will earn.	Salary categories (including all additional benefits) are specified in writing and made known to all workers in a way that is easy to understand.	0	C





0 Definition of a 2nd Grade or 3rd Grade Structure										
3.3.19	1st grade, 2nd grade, 3rd grade	3.3.5.20	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) For work based on production, quotas and piece-work, during normal working hours, you pay the proportionate minimum wage or the relevant industry average, whichever is higher.	On average, pieceworkers earn < 80% of the equivalent salary on a monthly average OR it is impossible to estimate pieceworkers' earnings.	On average, pieceworkers earn 99- 80% of the equivalent salary on a monthly average.	On average, pieceworkers earn at least the equivalent salary on a monthly average.	On average, pieceworkers earn at least the equivalent salary everyday.	All pieceworkers earn at least the equivalent hourly salary everyday.	0	M
3.3.19	1st grade, 2nd grade, 3rd grade	3.3.5.22	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) The pay rate for work based on production, quotas and piece-work is transparently calculated and workers and workers' organisations are informed of it. Workers agree that this rate is fair.	There are no fixed rates OR the calculation is purposely unclear.	Interviewed workers are not able to calculate roughly how much they will earn.	Organisation informs verbally AND all interviewed workers are able to calculate roughly how much they will earn.	Rates (including all details) are specified in writing AND all interviewed workers are able to calculate roughly how much they will earn and they agree that this is fair.	Rates and an explanation of the method used to reach that rate are specified in writing and made known to all workers in a way that is easy to understand and workers agree that this is fair.	0	C
3.3.20	1st grade, 2nd grade, 3rd grade	3.3.5.23	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) You make payments to workers at regularly scheduled intervals that workers are aware of.	Payment is constantly delayed beyond agreed periods OR payment has been outstanding by more than one month.	Payment is made after 2 weeks of the end of the paid working period OR is generally very irregular.	Payment is usually made within one week of the end of the paid working period, although some occasional delays happen.	Payment is usually made on the same day that the paid working period ends, although some occasional delays happen.	Payment is always made on the same day that the paid working period ends or before.	0	C
3.3.20	1st grade, 2nd grade, 3rd grade	3.3.5.24	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) Workers are provided with pay slips.	Organisation is not able to provide any information on wages.	Organisation's payroll is poorly documented AND workers do not/ cannot obtain full information (for example cannot know overtime payment or deductions).	Workers receive a physical pay slip with full information together with each payment.	Workers receive a physical pay slip together with each payment and a consolidated pay slip every year.	0	C	
3.3.20	1st grade, 2nd grade, 3rd grade	3.3.5.25	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) Payment is made in legal tender; only when the worker explicitly agrees can payment be made in kind.	Payment is made in kind and the employee has not agreed to this.	Payment is partly made in kind and the employee has not agreed to this.	Payment is made in the way chosen by the organisation, but in legal tender (bank transfer, check, cash, etc) OR otherwise explicitly agreed by workers.	Payment is made in the way chosen by the organisation choosing the one with less costs/risks for workers.	Payment is made in the way chosen by workers but when payment is made in cash the organisation took measures to prevent assaults.	0	C
3.3.6 Occupational Health and Safety										
3.3.32	1st grade, 2nd grade, 3rd grade	3.3.6.08	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You and your members have trained workers who carry out hazardous work regarding the risks to their health and environment because of this work.	There is no active information for workers performing hazardous work.	There has been training but not available for all workers performing hazardous work.	There has been training of workers performing other hazardous work, focusing on preventive measures.	= RANK 3 AND there is a regular full training plan for workers performing hazardous work.	As the result of training, all interviewed workers performing hazardous work are aware of risks, and know how to prevent them.	3	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.3.32	1st grade, 2nd grade, 3rd grade	3.3.6.09	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) Workers have been trained on what to do in case of an accident (Only applies to hazardous work that is not related to the handling and to the application of pesticides).	There is no active information for workers performing hazardous work.	There has been training but not available for all workers performing hazardous work.	There has been training of workers performing other hazardous work, focusing on how to act in case of emergencies.	= RANK 3 AND there is a regular full training plan for workers performing hazardous work.	As the result of training, all interviewed workers performing hazardous work know how to act in case of emergencies.	3	C
3.3.34	1st grade, 2nd grade, 3rd grade	3.3.6.11	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You and members of your organisation provide and pay for personal protective equipment to all workers, who perform hazardous tasks. Workers use the personal protective equipment provided.	Workers work unprotected as common practice.	Basic measures have been implemented BUT interviewed workers recognised it is not used at all times OR workers are charged for PPE OR penalised for normal wear-out.	Workers are provided with free essential PPE (organisation may penalise for lost/damage due to improper use) AND interviewed workers declare it is used at all times.	= RANK 3 AND PPE is adapted to local weather conditions as much as possible in order to increase usability.	= Rank 4 AND IMS that controls this at member level.	3	C
3.3.36	1st grade, 2nd grade, 3rd grade	3.3.6.13	(Only applicable for organizations and/ or individual members with more than 10 workers that are present for one month or more during a year working more than 30 hours per week or equivalent) (For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You and the members of your organisation improve health and safety conditions by meeting all the standard requirements listed: •Putting up warning signs that identify risk areas and potential hazards in local languages and including pictograms if possible; •Providing information to workers about safety instructions and procedures including accident prevention and response; •Putting safety devices on all hazardous machinery and equipment, and protective guards over moving parts; •Providing safety equipment to all workers who perform hazardous tasks and instructing and monitoring workers on its proper use; and •Storing safely equipment for chemical spraying.	The organisation does not follow any of the H&S practices.	The organisation does not follow all H&S practices.	The organisation follows all H&S practices: Risk signalling, Safety and emergency instructions, Safety devices in machinery, PPE, Safe storage of equipment.	=RANK 3 AND these practices are reflected in a written H&S Policy, Work Instructions or similar.	= RANK 4 AND the policy or similar is based on a specific assessment of H&S risks.	3	D
3.3.32	1st grade, 2nd grade, 3rd grade	3.3.6.26	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) You and your members have trained workers who carry out hazardous work regarding the risks to their health and environment because of this work.	There is no active information for workers performing hazardous work.	There has been training but not available for all workers performing hazardous work.	There has been training of workers performing other hazardous work, focusing on preventive measures.	= RANK 3 AND there is a regular full training plan for workers performing hazardous work.	As the result of training, all interviewed workers performing hazardous work are aware of risks, and know how to prevent them.	3	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
3.3.32	1st grade, 2nd grade, 3rd grade	3.3.6.27	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) Workers have been trained on what to do in case of an accident (Only applies to hazardous work that is not related to the handling and to the application of pesticides).	There is no active information for workers performing hazardous work.	There has been training but not available for all workers performing hazardous work.	There has been training of workers performing other hazardous work, focusing on how to act in case of emergencies.	= RANK 3 AND there is a regular full training plan for workers performing hazardous work.	As the result of training, all interviewed workers performing hazardous work know how to act in case of emergencies.	3	C
3.3.33	1st grade, 2nd grade, 3rd grade	3.3.6.28	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) When you carry out hazardous work, you and your members display all information, safety instructions, re-entry intervals and hygiene recommendations clearly in a visible place in the workplace in the local language(s) and with pictograms.	There is no safety information available.	There is safety information available, but not understood by all workers.	Local language or pictorial safety signs are posted in all areas.	Local language or pictorial safety signs are posted in all areas AND verbally explained at induction.	Local language and/or pictorial safety signs are posted in all areas AND verbally explained at induction AND at regular intervals.	3	C
3.3.34	1st grade, 2nd grade, 3rd grade	3.3.6.29	(Only applicable for organizations and/ or individual members with more than 20 workers that are present for one month or more during a year; or fewer workers where the local law has defined a lower number) (For organizations certified before 1 July 2019) You and members of your organisation provide and pay for personal protective equipment to all workers, who perform hazardous tasks. Workers use the personal protective equipment provided.	Workers work unprotected as common practice.	Basic measures have been implemented BUT interviewed workers recognised it is not used at all times OR workers are charged for PPE OR penalised for normal wear-out.	Workers are provided with free essential PPE (organisation may penalise for lost/damage due to improper use) AND interviewed workers declare it is used at all times.	= RANK 3 AND PPE is adapted to local weather conditions as much as possible in order to increase usability.	= RANK 4 AND IMS that controls this at member level.	3	C
4 Business and Development										
4.1 Development Potential										
4.1.2	1st grade, 2nd grade, 3rd grade	4.1.0.01	You have developed a Fairtrade Development Plan with the descriptions, objectives, timelines, responsibilities and budget of all planned activities.	There is no written plan.	Plan does not contain all essential details as defined in criteria.	Written plan with all details.	Written plan with all details AND developed in participatory way (consultation) with members.	= Rank 4 AND plan based on previous assessment of community needs.	1	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.1.5	2nd grade, 3rd grade	4.1.0.02	You have one of the following systems in place to distribute Fairtrade income (Price and Premium) received to the different member organizations: • a quota system that specifies how much every member organization delivers under Fairtrade conditions and the distribution of income according to quota proportion OR • an allocation system, defined by the organization, for distributing the Fairtrade income received by the 2nd or 3rd grade organization to the different member organizations.	No		Yes			1	C
4.1.5	2nd grade, 3rd grade	4.1.0.03	The system is part of the agreed written internal regulations of the 2nd/3rd grade organisation.	The system does not exist.	The system is part of the internal regulations BUT its description is not clear OR lacks important details OR it is not applied in practice.	The system is part of the internal regulations and applied AND it is clear BUT lacks a few details.	The system is part of the internal regulations and it is clear and complete and applied.	= RANK 4 AND all affiliates are aware of the system.	1	C
4.1.5	2nd grade, 3rd grade	4.1.0.04	The system is monitored by a control committee.	No monitoring exists OR no control committee exists OR no quota system exists.	Control committee is not aware of its duties and responsibilities OR the monitoring system is not functioning.	Monitoring system is functioning though it lacks some details and the control committee is aware of its duties.	Monitoring system is functioning so that there is full control.	Monitoring system is functioning so that there is full control AND there is a role description for the control committee members.	1	C
4.1.4	1st grade, 2nd grade, 3rd grade	4.1.0.05	You have included all the Fairtrade premium funded activities in the Fairtrade Development Plan before implementation of the activities.	There is no written plan.	The organisation has spent Premium money that is not included in the FDP OR spent the premium before the plan was approved.	The FDP includes all uses of the Premium according to expected income.	The FDP includes all uses of the Premium based on real income.	Rank 4 AND resources are prioritized to strengthen the organization so it can effectively serve its members, workers and communities.	1	C



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0 Definition of a 2nd Grade or 3rd Grade Structure										
4.1.7	1st grade	4.1.0.06	You have presented the Fairtrade Development Plan to the General Assembly for approval before implementation. All decisions made are documented.	The plan was not presented to the General Assembly OR there is no plan.	The plan was approved by the General Assembly and later changed without a justification OR the plan was presented and approved by the General Assembly but decision is not recorded.	The plan was approved by the General Assembly and documented and later applied without changes or with justified changes that are approved ex-post.	= RANK 3 AND plenty of time was given during the General Assembly to discuss all details.	= RANK 4 AND the plan was shared with members prior to the General Assembly.	1	M



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.1.7	2nd grade, 3rd grade	4.1.0.07	You have presented the Fairtrade Development Plan and decision on the use of the Fairtrade Premium to the General Assembly of members (or if delegate system then of delegates) at the 2nd/3rd grade level.	The Fairtrade Development Plan and decision on the use of the Fairtrade Premium is not taken by the General Assembly of the (delegates of the) members OR there is no decision yet OR the delegate system is not functioning.	The Fairtrade Development Plan and decision was approved by the General Assembly and later changed without a justification OR the decision was presented and approved by the General Assembly but it is not recorded.	The Fairtrade Development Plan and decision was approved by the General Assembly and documented and later applied without changes or with justified changes that are approved ex-post.	= RANK 3 AND plenty of time was given during the General Assembly to discuss all details.	= RANK 4 AND details were shared with (delegates of the) members prior to the General Assembly.	1	M
4.1.3	2nd grade, 3rd grade	4.1.0.08	The 2nd/3rd grade organisation provides the certification body with an overall Fairtrade Development Plan which benefits all Fairtrade member organizations and includes the total Fairtrade Premium income, the allocation system to the member organisations (if applicable) and the Fairtrade Premium decisions taken.	There is no written plan.	Plan does not contain all essential details as defined in criteria.	Written plan with all details.	Written plan with all details AND developed in participatory way (consultation) with members/affiliates.	= Rank 4 AND plan based on previous assessment of community needs.	1	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.1.7	2nd grade, 3rd grade	4.1.0.09	If Fairtrade Premium is channeled to the member organisation level, the General Assemblies of the member organisations decide on the use of the distributed Fairtrade Premium share.	No decision on the Fairtrade premium share taken OR the decision is not approved by the General Assemblies.	The decision was taken by the General Assemblies and later changed without a justification OR the decision was presented and approved by the General Assembly but it is not recorded OR only the minority of General Assemblies of member organisations have decided on Fairtrade premium use of respective shares.	The decision was taken by all General Assemblies and documented and later applied without changes or with justified changes that are approved ex-post.	= RANK 3 AND plenty of time was given during the General Assemblies to discuss all details.	= RANK 4 AND details were shared with members prior to the General Assemblies.	1	C
4.1.3	2nd grade, 3rd grade	4.1.0.11	If Fairtrade Premium is channeled to the member organisation level, the member organisations provide the certification body with individual Fairtrade Development Plans.	There are no individual Fairtrade development plans.	Plans do not contain respective premium shares OR premium decisions taken OR the majority of member organisations does not have individual Fairtrade premium plans.	All members have an individual Fairtrade development plan but it lacks some details.	Written plans for all member organisations with all details AND developed in participatory way (consultation) with members/affiliates.	= Rank 4 AND plan based on previous assessment of community needs.	1	C
4.1.7	2nd grade, 3rd grade	4.1.0.12	If Fairtrade Premium is channeled to the member organisation level, the 2nd/3rd grade organisation ensures that the Fairtrade Premium received is channeled to the member organisations without delay according to the allocation system agreed.	Fairtrade premium payments are delayed OR do not follow the procedure as defined in the distribution key OR there is no distribution key OR Fairtrade Premium shares are not channeled to the member organisations.	Only some member organisations do receive their Fairtrade Premium shares according to the distribution key OR the majority of payments is delayed.	All member organisations receive their Fairtrade Premium shares BUT some are delayed OR some do not follow all details as defined in the distribution key.	All member organisations receive their Fairtrade Premium shares on time and according to the distribution key agreed.	= RANK 4 AND there is a clear procedure that allows for correct channeling of Fairtrade premium shares.	1	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
Coffee 4.3.11	1st grade, 2nd grade, 3rd grade	4.1.0.13	(Coffee) The producer organisation invests a minimum of 5 cents per pound of the total Premium amount of the last financial year in productivity and quality improvement activities, all which are previously approved by the General Assembly. Investments are made at the level of the producer organisation or individual members. The producer organisation keeps records of the expenditures according to the approved plan and explains in which way it contributes to the improvement of productivity and/or quality.	None of the Premium has been invested in productivity and quality improvement.	Less than 5 cents per pound are invested.	5 cents per pound invested, basic records and plan available and approved by the General Assembly.	RANK 3 AND clear records available, including a detailed work plan.	RANK 4 AND more than 5 cents per pound invested, and a clear strategy in place.	1	C
4.1.8	1st grade, 2nd grade, 3rd grade	4.1.0.14	You have put in place an accounting system that accurately tracks the Fairtrade Development Plan expenses, and in particular identifies the Fairtrade Premium transparently.	There are no records OR these are not understandable OR records are incorrect with the purpose of misguiding members.	There are records of income and expenditures but it is not possible to identify/separate those that are related to Premium OR unintentional mistakes >1%.	Any system that allows tracking income and expenditure and identify Premium but unintentional mistakes <1% found.	There are at least records of income and expenditures, identifying those related to Premium AND no mistakes.	Up to date accounting system, possible to track Premium AND no mistakes.	1	C
4.1.8	2nd grade, 3rd grade	4.1.0.15	If the Fairtrade Premium is channelled to the member organisation level, member organisations ensure a transparent administration of the use of the Fairtrade Premium.	There is no transparent administration and no records OR these are not understandable OR records are incorrect with the purpose of misguiding member organisations.	There are records of income and expenditures but it is not possible to identify/separate those that are related to Premium OR unintentional mistakes >1% OR not all member organisations do have a transparent administration system.	Any system that allows tracking income and expenditure and identify Premium but unintentional mistakes <1% found AND this holds for all member organisations.	There are at least records of income and expenditures, identifying those related to Premium AND no mistakes AND this holds for all member organisations.	Up to date accounting system, possible to track Premium AND no mistakes AND this holds for all member organisations.	1	C
4.1.9	1st grade, 2nd grade, 3rd grade	4.1.0.16	After completing your planned activities you have updated the Fairtrade Development Plan by planning at least one additional activity.	The activities in the plan have been finished and new activities were not considered.	The activities in the plan have been finished and the organisation has an idea of next activity but not reflected in plan.	The activities in the plan have been finished and the organisation included a new activity in the plan.	The organisation included new activities in the plan AND these are chosen based on learnings from previous activities.	= RANK 4 AND the organisation decided on new activities in advance so the new ones are approved by the General Assembly and ready to be implemented by the time the previous one expires.	1	C
4.1.12	1st grade, 2nd grade, 3rd grade	4.1.0.17	You report the results of the Fairtrade Development Plan to the General Assembly annually. The presentation of the results is documented.	No information is presented.	Information is presented but report or approval is not documented in writing.	Written report presented to the General Assembly and approval is documented BUT report answers all the questions listed BUT there are small mistakes.	Written report presented to the General Assembly and approval is documented AND report complete as below.		3	C





0 Definition of a 2nd Grade or 3rd Grade Structure										
4.1.12	1st grade, 2nd grade, 3rd grade	4.1.0.18	The report answers all the questions as outlined in the standard requirement.	The report does not respond to questions, only lists activities.	The report responds to some but not all questions.	Written report answers all the questions listed BUT there are small mistakes.	Written report answers all the questions listed AND there are no mistakes.	=Rank 4 AND the report makes a detailed analysis of the success of the activities carried out.	3	C
4.1.11	1st grade, 2nd grade, 3rd grade	4.1.0.23	You and your members administer Premium funds responsibly. There is no evidence of favouritism or fraud in the management of the Fairtrade Premium or any activity that could jeopardize the business or certification of the company or have a demonstrable negative, structural, financial or social impact on the organization.	No		Yes			1	M
Fresh fruit 4.2.9	1st grade, 2nd grade, 3rd grade	4.1.0.24	(Applicable to Banana) (Applicable to all Fresh Fruits as of 1 January 2019) At least once a year and latest one month after the general assembly, a complete report on Fairtrade Premium use for all projects has been sent to Fairtrade International (bananas@fairtrade.net). The report about the Fairtrade premium use provides at least the following information for every Fairtrade premium project. a) Report for projects in planning phase and for ongoing projects: • Name and description of project (purpose and objectives; project partners) • Target group(s) (e.g. men-women or all members of cooperative; migrant workers; family members; community) • Project progress/status • Estimated number of beneficiaries within each target group • Project budget (total / annual) Premium invested to date for ongoing projects • Project start and end date b) Final report for finished projects, in addition to information under a) above: • Target group(s) and number of beneficiaries reached • Total budget spent • Evaluation to what degree and why the purpose and the objectives have been achieved, and what can be learnt from the project • Date of approval of final project report and who approved it.	There is no report on Fairtrade Premium use.	The report does not have at least one of the details as per this CC.	The report is complete and was submitted to Fairtrade International BUT not within the timeline described in this CC.	RANK 3 AND report is submitted within the given timeline OR more than once a year.	1	C	
Cocoa 4.6.2	1st grade, 2nd grade, 3rd grade	4.1.0.27	(Cocoa) At least once a year and at latest one month after the General Assembly, a complete report on Fairtrade Premium use for all projects is sent to Fairtrade International. All information is sent to cocoa@fairtrade.net.	No		Yes			0	C



0 Definition of a 2nd Grade or 3rd Grade Structure									
Cane Sugar 4.5.1	1st grade, 2nd grade, 3rd grade	4.1.0.28	(Cane Sugar) When planning for the Fairtrade Development Plan, you discuss if investing the Fairtrade Premium in activities that increase quality and productivity would help your members to have more secure incomes.	Nothing was discussed with the members, no decision has been made on whether Fairtrade Premium should be invested in quality and productivity improvement.	Discussions were held and clearly documented.	RANK 3 AND Detailed work plan for increasing productivity and quality with budget and timelines is available.	RANK 4 AND more than 25% of the premium invested, and a clear strategy in place.	0	C
Cane Sugar 4.5.1	1st grade, 2nd grade, 3rd grade	4.1.0.29	(Cane sugar) You present the results of this discussion to the General Assembly before approving the Fairtrade Development Plan.	Results of discussion were not presented to the General Assembly.	Results of discussion were presented to the General Assembly.	RANK 3 AND plenty of time was given during the General Assembly to discuss all details.	RANK 4 AND the results of the discussion were shared with members prior to the General Assembly.	0	C
4.1.6	1st grade, 2nd grade, 3rd grade	4.1.0.30	(Only applicable if Premium income in the last year was above 150,000 EURO/USD (premium currency)) You contract a financial audit company to audit your Fairtrade Premium accounts based on the use defined in the Fairtrade Development Plan.	No	Yes			1	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
Cocoa 4.6.3 Ghana or Ivory Coast	1st grade, 2nd grade, 3rd grade	4.1.0.31	(Ghana; Ivory Coast) (Cocoa) You have an accounting system that tracks and identifies price differential payments transparently. To ensure transparency you: a) communicate payment dates and amounts to be paid as FMP differential and as cash distribution of Fairtrade Premium to your members, b) provide your members with receipts detailing the value FMP differential and Fairtrade Premium cash payments including date, volume and season, c) demonstrate that the correct amount of FMP differential has been distributed, d) document the amounts of Fairtrade Premium and FMP differential separately, e) report to the GA on total amounts of FMP differential, total Fairtrade Premium and Fairtrade Premium distributed as cash, if applicable.	None of the requirements for transparent handling of the FMP differential is met.	Only part of the requirement for transparent handling of the FMP differential are met.	All requirement for transparent handling of the FMP differential are met.	Rank 3 AND there is a documented procedure for the transparent handling of the FMP differential.	1	C	
4.1.1	1st grade, 2nd grade, 3rd grade	4.1.0.32	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You have designed and started implementing a process that collects and analyzes the development needs of your organisation.	Process has not been defined nor implemented.	Process was defined but not yet implemented.	Process defined and implemented that captures the needs of members, workers and/or community.	Process defined and implemented that captures the needs based on consultation with members, workers and community.	Needs assessment is already carried out as in Rank 4 and later approved by the General Assembly.	1	C
4.1.10	1st grade, 2nd grade, 3rd grade	4.1.0.33	(Only applicable as of 1 April 2021). You report at least once a year on Fairtrade Premium use.	No		Yes			1	C
4.1.10	1st grade, 2nd grade, 3rd grade	4.1.0.34	(Only applicable as of 1 April 2021). You send the report on the Premium use from the previous year, three months after the General Assembly.	No		Yes			1	C
4.1.10	1st grade, 2nd grade, 3rd grade	4.1.0.35	(Only applicable as of 1 April 2021). You send the information to Fairtrade International / your respective Producer Network.	No		Yes			1	C
Cocoa 4.2.4	1st grade, 2nd grade, 3rd grade	4.1.0.36	(Ghana; Ivory Coast) (Cocoa) (Applicable as of October 2019) When the Fairtrade Minimum Price is above the market price you transfer 100% of the price differential to your members.	No		Yes		RANK 3 AND the organization consults the members on the ideal timing of differential and cash premium payments according to their needs.	0	M
4.2 Democracy. Participation and Transparency										



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.2.1	1st grade, 2nd grade, 3rd grade	4.2.0.01	The General Assembly is the highest decision-making body where all major decisions are discussed and all members have equal voting rights.	The statutes do not define the General Assembly as the highest decision-making body and this does not exist or does not act as such OR there are not equal voting rights of all members (see note).	The statutes do not define the General Assembly as the highest decision-making body but this exists and acts as such OR there are excessive limited-voting probation periods (>1,5 years) OR there is weighted voting OR delegates (if exist) are not chosen by members.	The statutes define the General Assembly as the highest decision-making body AND members have equal voting rights.	= Rank 3 AND the General Assembly is given plenty of time to discuss all matters.	= Rank 4 AND the General Assembly is very active and participatory.	0	M
4.2.1	1st grade, 2nd grade, 3rd grade	4.2.0.02	The elections of the board are free, fair and transparent.	The elections were forced, bought or otherwise corrupted OR the organisation provided false evidence of elections.	The elections held did not have enough quorum OR not all members have voting rights OR elections were not at all recorded OR the elections were postponed by a longer time than technically reasonable.	Elections were democratic but poorly recorded OR postponed for understandable reasons.	Elections were democratically and timely held even if they lacked certain minor formalities.	The democratic election procedure is fully regulated in the statutes or other documents and followed up.	0	M
4.2.1	1st grade, 2nd grade, 3rd grade	4.2.0.03	Organisations have implemented statutes or internal regulations for a delegate system (if applicable). The system is based on the principle that each member organisation has the equal or proportional number of delegates.	There are no statutes or internal regulations.	There are statutes or internal regulations for a delegate system but these are not followed OR the member organisations have a delegate system but this does not follow the statutes or internal regulations OR members do not have equal/proportional number of delegates.	The delegate system is in place with an equal/proportional number of delegates BUT does not fully follow the statutes or internal regulations.	Statutes or internal regulations are followed correctly and there is an equal/proportional number of delegates.	= RANK 4 AND all members are fully aware about the statutes and internal regulations.	0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.2.1	2nd grade, 3rd grade	4.2.0.05	There is a democratically elected board on the 2nd/3rd grade level.	There is no board.	The elections held did not have enough quorum OR not all members have voting rights OR elections were not at all recorded OR the elections were postponed by a longer time than technically reasonable.	Elections were democratic but poorly recorded OR postponed for understandable reasons.	Elections were 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	C
4.2.2	1st grade, 2nd grade, 3rd grade	4.2.0.07	You have written membership rules.	There are no written criteria.	Criteria are not sufficiently clear, there are ambiguous clauses OR they are not followed in practice.	Clear criteria in statutes or other documents about who and how to become a member but no additional procedures.	Clear criteria in statutes or other documents about who and how to become a member with additional application procedures.	= Rank 4 AND clear specification of the length of time between application and response that is respected.	0	C
4.2.2	1st grade, 2nd grade, 3rd grade	4.2.0.08	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021) You have a member list in place that at least includes the following information: - name, contact information - gender - date of birth - registration date with the SPO - farm location and farm size - members who are also members of any other Fairtrade certified organizations - production volume - volume sold to the organizations - number of workers (permanent/temporary) indicating employment above or below 30 hours per week..	No member list.	Members list with more than 10% errors OR without basic information.	Member list with required information and no errors.	Complete member list with all required information AND system in place to ensure regular updates.	0	C	
4.2.3	1st grade, 2nd grade, 3rd grade	4.2.0.09	You follow your own rules and regulations (constitution, by-laws and internal policies, including election and membership processes and board term limit) and a delegate system (if applicable).	Organisation does not have statutes or equivalent regulations.	Organisation does not follow statutes regarding acceptance of members, mandate of General Assembly, Board and board term limit, Surveillance (Control) committee (if exists) and a delegate system (if applicable).	Organisation follows statutes in at least: acceptance of members, mandate of General Assembly, Board, board term limit, Surveillance (Control) committee (if exists) and a delegate system (if applicable).	Organisation follows statutes in items in Rank 3 AND mandate of additional committees and all formalities of General Assembly.	Organisation follows statutes in all details.	0	C



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0 Definition of a 2nd Grade or 3rd Grade Structure										
4.2.4	1st grade	4.2.0.10	You hold a General Assembly at least once a year.	No annual General Assembly was held in the year.	The annual General Assembly was postponed into the following year for reasons that are more than technically reasonable OR there was a General Assembly with insufficient quorum (invalid General Assembly).	The annual General Assembly took place (even if not recorded/poorly called or recorded) OR postponed for understandable reasons.	The annual General Assemblies took place fully in line with statutes.	The annual General Assemblies took place fully in line with statutes AND the General Assembly is given plenty of time to discuss all matters.	0	C



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0 Definition of a 2nd Grade or 3rd Grade Structure										
4.2.4	2nd grade, 3rd grade	4.2.0.11	The 2nd/3rd grade organisation holds a General Assembly at least once a year. This can be achieved by an assembly of delegates (legislative).	No annual General Assembly (of delegates, if applicable) was held in the year OR the delegate system is not working.	The annual General Assembly (of delegates, if applicable) was postponed into the following year for reasons that are more than technically reasonable OR there was a General Assembly with insufficient quorum (invalid General Assembly).	The annual General Assembly (of delegates, if applicable) took place (even if not recorded/poorly called or recorded) OR postponed for understandable reasons.	The annual General Assembly (of delegates, if applicable) took place fully in line with statutes.	The annual General Assembly (of delegates, if applicable) took place fully in line with statutes AND the General Assembly is given plenty of time to discuss all matters.	0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.2.4	2nd grade, 3rd grade	4.2.0.12	The member organisations of the 2nd/3rd grade organisations hold local General Assemblies at least once a year.	No annual General Assemblies were held in the year.	The annual General Assemblies were postponed into the following year for reasons that are more than technically reasonable OR there were General Assemblies with insufficient quorum (invalid General Assembly) AND this holds for the majority of the member organisations.	The annual General Assemblies took place (even if not recorded/poorly called or recorded) OR postponed for understandable reasons AND there are clear plans to hold it as soon as possible.	The annual General Assemblies took place fully in line with statutes AND this holds for all member organisations.	The annual General Assemblies took place fully in line with statutes AND the General Assembly is given plenty of time to discuss all matters AND this holds for all member organisations.	0	C
4.2.5	1st grade, 2nd grade, 3rd grade	4.2.0.13	You inform your members in good time when the General Assembly will take place.	No annual General Assembly was held in the year.	The call for assembly did not follow regulations in terms of timing and method of communication OR if call for General Assembly is not regulated members were informed less than 2 weeks in advance.	General Assembly was properly called in line with statutes even if lacked certain minor formalities OR if call for General Assembly is not regulated members were informed at least 2 weeks in advance.	General Assembly was properly called fully in line with statutes OR if call for General Assembly is not regulated but attendance was very high (>90%).	=RANK 4 AND the organisation took additional measures to increase attendance of members to the General Assembly OR attendance is very high (>90%).	0	C
4.2.6	1st grade, 2nd grade, 3rd grade	4.2.0.14	Minutes of the General Assembly are documented and signed by the president of the Board and at least one other member.	No minutes in any form in any General Assembly OR some minutes taken, but impossible to understand decisions taken OR forfeit minutes.	Decisions are recorded but most minutes are missing OR most minutes can be found but decisions are not recorded or recorded in a incomprehensive way OR minutes are not signed.	Most minutes can be found, even in loose sheets AND the decisions are recorded, even if not fully clear and signed.	All minutes are found in book(s) and signed, decisions are recorded with total clarity and annexes are included in the book.	=Rank 4 AND minutes are registered before local authorities and/or notary public OR other situation considered best practise.	0	C





0 Definition of a 2nd Grade or 3rd Grade Structure										
4.2.6	1st grade, 2nd grade, 3rd grade	4.2.0.15	The minutes contain a signed list of participants of the General Assembly.	There are no signatures OR there are only signatures of Board members.	Signatures are only added in next assembly OR most signatures are missing.	There are signatures of all attendants in loose sheets.	There are signatures of all attendants in loose sheets AND counting of quorum is reflected in minutes.	There are signatures of all attendants in same or separate book (or attachment) AND counting of quorum is reflected in minutes.	0	C
4.2.7	1st grade, 2nd grade, 3rd grade	4.2.0.16	You present the annual report, budgets and accounts to the General Assembly for approval.	No information is presented OR the organisation presented a false image with the purpose of misguiding members.	Only limited information is presented OR there is no documented approval.	All reports were formally presented to the General Assembly and approval is documented but minor mistakes are found in reporting.	All reports were formally presented to the General Assembly and approval is documented.	All reports were formally presented to the General Assembly and approval is documented AND the organisation took some measures to make reporting more understandable.	0	C
4.2.8	1st grade, 2nd grade, 3rd grade	4.2.0.17	You have an administration in place with at least one person or committee who is responsible for managing the administration and book keeping.	None is responsible.	External accountant/administrat or that cannot be present during General Assemblies and audits.	External accountant/administrat or without full availability BUT available during audits and General Assemblies.	One person hired without sufficient knowledge but with external support OR external accountant/administrat or that is fully available.	One person inside the organisation hired for accounting and administration with sufficient knowledge for the task.	0	C
4.2.9	1st grade, 2nd grade, 3rd grade	4.2.0.18	You keep records and books. All members have access to these records and books.	There are no/ insufficient records.	The organisation does not grant members or surveillance (control) committee access to records when requested in sufficient advance OR records are retained by accountant or other persons.	The organisation has reasonable updated records and books. Mistakes may happen but are corrected at year-end AND members have potential access.	The organisation has fully updated records and books (if computer-based there is a working back-up system) AND members have potential access.	RANK 4 AND organisation proactively makes documents available (for example when calling for the General Assembly).	0	C
4.2.10	1st grade	4.2.0.19	You have a bank account in the name of the organization with more than one signatory (unless this is not possible).	There is no bank account.	There is at least one bank account BUT not registered to organisation's name OR the organisation did not change signatory rights from previous directors.	There is a bank account registered to organisation's name with more than one signatory.		RANK 3 AND bank account provides interests and low costs for savings and transactions.	0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.2.10	2nd grade, 3rd grade	4.2.0.20	The 2nd/3rd grade organisation has an active bank account registered to its name.	There is no bank account.	There is at least one bank account BUT not registered to 2nd/3rd grade organisation's name OR the 2nd/3rd grade organisation did not change signatory rights from previous directors.	There is a bank account registered to 2nd/3rd grade organisation's name with more than one signatory, at least one of them a Board member AND signatories can each sign alone.	There is a bank account registered to 2nd/3rd grade organisation's name with more than one signatory, at least one of them a Board member AND the account has joint signatory rights to prevent embezzlement.	= RANK 4 AND bank account provides interests and low costs for savings and transactions	0	C
4.2.10	2nd grade, 3rd grade	4.2.0.21	If the Fairtrade Premium is channeled to the member organisation level, the individual member organisations have active bank accounts registered to their names.	There are no bank accounts.	There is at least one bank account BUT not registered to organisation's name OR the organisation did not change signatory rights from previous directors AND this applies for the majority of the member organisations.	There is a bank account registered to organisation's name with more than one signatory, at least one of them a Board member AND signatories can each sign alone AND this applies for all member organisations.	There is a bank account registered to organisation's name with more than one signatory, at least one of them a Board member AND the account has joint signatory rights to prevent embezzlement AND this applies for all member organisations.	= RANK 4 AND all bank accounts provide interests and low costs for savings and transactions.	0	C
Cereals 4.3.1	1st grade, 2nd grade, 3rd grade	4.2.0.24	(Quinoa) Your Fairtrade Development plan includes measures / activities to enhance the environmental sustainability of production and processing of quinoa. You invest at least 30% of the FT premium received for this (at member or organization level).	No		Yes			0	C
4.2.12	1st grade, 2nd grade, 3rd grade	4.2.0.25	(Only applicable to organizations certified before 1 July 2019) In case there are non-members on the board of the SPO, this is approved by the General assembly in accordance with national legislation and the constitution/statutes of the organization and it is specified whether they have a voting or advisory role.	No		Participation of non-members in the board AND their role approved by General Assembly.			0	C
Cocoa 3.1.2	1st grade, 2nd grade, 3rd grade	4.2.0.28	(1 January 2018) (Cocoa) Your member records include: up-to-date information related to training programs attended, Fairtrade-related inspections performed on the farm and their outcomes, cocoa sales of the previous season and estimated member production.	No records of members OR records lack the required information.	Members records with required information in place but not updated annually.	Updated member records with required information in place with maximum of 10 % errors.	Updated member records with required information in place without any errors.	RANK 4 AND there is a system to periodically update records.	1	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
Cocoa 3.1.5	1st grade, 2nd grade, 3rd grade	4.2.0.29	(Cocoa) You sign an agreement with each individual member which specifies the rights and obligations of each party in relation to Fairtrade certification. The agreement includes at a minimum, details which describe: - commitment from both the member and SPO to comply with Fairtrade Standards, and - permission from the member for the SPO to collect, store and share their data.	Agreements have not been signed with each individual member.	Agreements signed with individual members but do not specify rights and obligations of each party.	Agreements specifying required details signed with most of the members.	Agreements signed with all the members that additionally address seasonal cocoa supply/ purchasing targets, SPO commitments regarding service delivery and member commitment regarding participation in training programs and other SPO activities.	Rank 4 AND each member has a copy in their local language.	0	C
Cocoa 4.6.1	1st grade, 2nd grade, 3rd grade	4.2.0.30	(1 January 2018)(Cocoa) You discuss if investing the Fairtrade Premium in activities that increase quality and productivity would help your members to have more secure incomes. You present the results of this discussion to the GA before approving the Fairtrade Development Plan.	No discussion has taken place.	Discussions have taken place, premium to be invested in such activities but the results not presented to the general assembly.	Discussions have taken place, premium invested, basic records and plan available and approved by the General Assembly.	RANK 3 AND clear records available, including a detailed work plan.	RANK 4 AND at least 25 % of premium invested in productivity and quality improvement.	1	C
Cocoa 4.6.1	1st grade, 2nd grade, 3rd grade	4.2.0.31	(1 January 2018) (Cocoa) You discuss with your members whether partnerships with traders offering long-term partnership based on mutual commitments would be in the interest of your organisation and of your members, and inform your business partner about your decision.	No discussion has taken place.	Discussions has taken place BUT business partner not informed of decision.	Discussions has taken place and business partner informed of decision.			1	C
4.2.1	1st grade, 2nd grade, 3rd grade	4.2.0.32	(Organizations certified before 1 July 2019 have to comply with this requirement by 1 April 2021. Until then, the requirement 4.2.1 of the Fairtrade Standard for SPO Version 01.05.2011_v1.5 applies.) The Board and Management of your organization have separate roles and responsibilities.	No		Yes			0	C
4.2.11	1st grade, 2nd grade, 3rd grade	4.2.0.33	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021). You have a surveillance committee to oversee the overall administration of the organization (including the use of Premium) on behalf of the members.	There is no committee in place.	There is a committee but it is not functioning.	There is an active committee in place and they are aware of their duties.	Rank 3 and they perform their role as described in their job description.	Rank 4 and there is one worker representative on the surveillance committee	1	C
4.2.12	1st grade, 2nd grade, 3rd grade	4.2.0.34	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021). In case there are non-members on the board of the SPO, this is approved by your General Assembly and they have only an advisory role.	No		Yes			0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.2.13	1st grade, 2nd grade, 3rd grade	4.2.0.35	(For organizations certified before 1 July 2019 only applicable as of 1 April 2021). You share audit results with your members following each audit, in a format and language accessible to them.	Audit results not shared.	Audit results basically shared, but not understandable.	Audit results basically shared and understandable.	Audit results shared with members in detail, explained to members and understood.	Rank 4 and meetings conducted in which members can give their feedback and participate in correcting non-conformities identified.	3	C
4.2.2	1st grade, 2nd grade, 3rd grade	4.2.0.36	(Only applicable to organizations certified before 1 July 2019) You have a member list in place that at least includes information on name, location, land size, production volume, volume sold to the organization, number of (permanent / temporary) workers and membership status.	No member list.	Members list with more than 10% errors OR without basic information.	Member list with required information and no errors.		Complete member list with all required information AND system in place to ensure regular updates.	0	C
4.3 Non Discrimination										
4.3.1	1st grade, 2nd grade, 3rd grade	4.3.0.01	You do not discriminate against members or restrict new membership on the basis of race, colour, gender, sexual orientation, disability, marital status, age, HIV/AIDS status, religion, political opinion, language, property, nationality, ethnicity or social origin' regarding participation, voting rights, the right to be elected, access to markets, or access to training, technical support or any other benefit of membership.	There are substantial indications of discrimination regarding membership and voting rights and the right to be elected.	There are substantial indications of discrimination on technical support, access to markets and other benefits.	There is no discrimination in practice even if there could be non-applied discriminatory rules.	There are no records or rules but no indications of discriminatory practices.	The organisation has clear and non discriminatory rules and records that show reasons for non-acceptance or suspension of members AND no indications of discriminatory practices.	0	M
4.3.2	1st grade, 2nd grade, 3rd grade	4.3.0.02	Membership rules are clearly documented and are not discriminatory.	Membership rules are discriminatory OR there are no membership rules.		Membership rules exist and they are not discriminatory.			0	C



0 Definition of a 2nd Grade or 3rd Grade Structure										
4.3.2	2nd grade, 3rd grade	4.3.0.03	There must be Internal Rules on the level of the 2nd/3rd grade organisation regulating the application of new members.	There are no internal rules.	Internal rules are not sufficiently clear OR are not followed in practice at all.	Clear internal rules in statutes or other documents about who and how to become a member BUT they have only been applied to the majority of applicants and not to all.	Clear internal rules in statutes or other documents about who and how to become a member AND they have been applied to all applicants.	= RANK 4 AND all member organisations are aware about the rules.	0	C
4.3.2	2nd grade, 3rd grade	4.3.0.04	The Internal Rules have to specify the application process, approval process and timelines for public registration.	There are no internal rules OR the internal rules do not specify the application procedure.	Specifications are not sufficiently clear OR lack necessary details OR are not followed in practice.	Clear and applied specifications regarding the application procedure though they lack a few details.	Clear and complete specifications about who and how to become a member with additional application procedures.	= RANK 4 AND clear specification of the length of time between application and response that is respected.	0	C
Fibre crops (Seed cotton)	1st grade, 2nd grade, 3rd grade	4.3.0.07	(Seed cotton) Payments are given directly to women growers (applies for Seed Cotton only).	No		Yes			0	C
Fresh fruit 4.2.8	1st grade, 2nd grade, 3rd grade	4.3.0.08	(Fresh fruit) You transfer the money for Fairtrade fruit sales to the accounts of the members to which the sale corresponds.	No		Yes			0	C
<b>9 Follow up Audit</b>										
<b>9.1 Follow up Audit Information - Generic</b>										
<b>9.2 Status of CM/OE- Result of Follow up Audit</b>										
<b>9.3 Reason for Follow up Audit</b>										
<b>10 Combined Audit</b>										
<b>10.1 Combined Audit with Another Scope</b>										
NA	1st grade, 2nd grade, 3rd grade	10.1.1	The Fairtrade audit was a combined audit with another certification/verification scope. (If yes, please document the scope in the comment field).						0	