



Fair Trade USA

Compliance Criteria for the Independent Smallholders Standard 1.1

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September 30th, 2014

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
Structural Requirements				
CT	Certification			
STR-CT 1	STR-CT 1.1	The Market Access Partner, the registered smallholders, and subcontracted entities facilitate announced and unannounced audits, and provide all requested information needed to demonstrate compliance with the Fair Trade standards.	0	
	STR-CT 1.2	The Market Access Partner reports to Fair Trade USA on its Fair Trade transactions according to the frequency determined by Fair Trade USA (quarterly, bi-annually or monthly), to assess compliance with this standard.	0	
	STR-CT 1.3	The Market Access Partner has been issued a valid certificate for each product being traded as Fair Trade certified.	0	
STR-CT 2	STR-CT 2.1	The Market Access Partner has appointed a contact person for all certification matters. This person keeps the certifier updated with the list of registered smallholders and important information.	0	
	STR-CT 2.2	The Market Access Partner has informed Fair Trade USA of all locations where Fair Trade products are handled (i.e. stored, processed and packaged).	0	
	STR-CT 2.3	All locations that handle Fair Trade products have agreed to ensure compliance with Fair Trade standards and facilitate Fair Trade audits. This is documented.	0	
SSC	Standard Scope			
STR-SSC 1	STR-SSC 1.1	Corporate social responsibility and the empowerment of the registered smallholders is an integral part of the MAP's written mission or policy statement(s).	0	
	STR-SSC 1.2	The MAP is not a natural person, but a company or NGO.	0	
STR-SSC 2	STR-SSC 2.1	If the MAP is an NGO with project-based funding, the MAP has a clear strategy to ensure continuity of the project once the funding has ended.	0	
STR-SSC 3	STR-SSC 3.1	If the Smallholder Organization wants to take on additional responsibilities for the compliance with Fair Trade standards and the commercialization of the product (i.e. compliance with requirements within this Standard, ICS administration, product sales on behalf of their members) and wants to become certified against the Small Producer Organization Standard independent of the Market Access Partner, the Market Access Partner does not prevent this development.	0	
STR-SSC 4	STR-SSC 4.1	Before the MAP registers smallholders for participation in the Fair Trade Certification, the MAP confirms with the smallholders that they are not members of an existing Fair Trade certified Small Producer Organization.	0	

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STR-SSC 5	STR-SSC 5.1	Registered smallholders have basic knowledge of the Fair Trade concept and indicate their commitment to: <ul style="list-style-type: none"> • Participating in Fair Trade. • Cooperating with the Market Access Partner. • Forming a Smallholder Organization over time. 	0	
STR-SSC 6	STR-SSC 6.1	At least 50% of the registered smallholders are small producers according to the definition given in the Fair Trade USA Standards Glossary.	0	
	STR-SSC 6.2	At least half of the volume that the MAP sells as Fair Trade per year is produced by small producers.	0	
	STR-SSC 6.3	At least half the volume of each Fair Trade sale is produced by small producers.	0	
MS	Monitoring Systems			
STR-MS 1	STR-MS 1.1	The Market Access Partner identifies requirements at risk of non-compliance within the following sections of this Standard: Conditions of Employment, Social Responsibility, and Environmental Stewardship. These requirements are identified in a written risk assessment.	1	
	STR-MS 1.2	The written risk assessment is updated by the MAP every three years, at minimum.	1	
STR-MS 2	STR-MS 2.1	An Internal Control System (ICS) has been designed and planned to monitor the implementation of practices mandated by the following sections of this Standard: Conditions of Employment, Social Responsibility and Environmental Stewardship.	1	
	STR-MS 2.2	The Internal Control System has been implemented, and is effective.	3	
	STR-MS 2.3	The Internal Control System ensures that all registered smallholders comply with the following sections of this Standard: Conditions of Employment, Social Responsibility and Environmental Stewardship.	3	
EM	Empowerment			
DM	Development and Management of the Fair Trade Plan			
EM-DM 1	EM-DM 1.1	The Market Access Partner has appointed a Fair Trade Officer responsible for all measures directed at social empowerment and economic development of the registered smallholders, as well as the implementation of Fair Trade Standards and the necessary communication between all parties.	0	
	EM-DM 1.2	The responsibilities for this/these person(s) are clear and documented.	0	
EM-DM 2	EM-DM 2.1	The Market Access Partner has conducted or financed a written needs assessment identifying the social, economic and environmental development needs of the registered smallholders, workers, community and environment.	0	
	EM-DM 2.2	The needs assessment analyzes how Fair Trade may help to address those needs.	0	
	EM-DM 2.3	The needs assessment is based on surveys/ other primary data collected with the registered smallholders.	0	
	EM-DM 2.4	The needs of farm workers are taken into account in the needs assessment, focusing especially on those groups of workers that form majority of the workforce (i.e. if migrant workers form the majority of the workforce, the needs assessment should focus on their needs).	0	

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EM-DM 3	EM-DM 3.1	<i>Before any portion of the Fair Trade Premium is spent:</i> the Market Access Partner and the Fair Trade Committee together develop a written “Fair Trade Plan”, based on the needs assessment, with the objective to meet the needs of the registered smallholders, workers, community and/or environment.	1	
	EM-DM 3.2	If there is more than one Fair Trade Committee, each Fair Trade Committee develops its own Fair Trade Plan.	1	
EM-DM 4	EM-DM 4.1	The Fair Trade Plan includes an implementation plan, which lists the objectives, timelines, budget, and required actions. Objective and outcome of the required actions are measurable and measurements are defined.	1	
	EM-DM 4.2	All activities that will be funded with Fair Trade Premium are included in the Fair Trade Plan.	1	
EM-DM 5	EM-DM 5.1	The Fair Trade Plan is updated annually.	1	
	EM-DM 5.2	The Fair Trade Plan is approved by the General Assembly annually before it is implemented.	1	M
	EM-DM 5.3	The progress of the Fair Trade Plan is documented and shared with the registered smallholders annually in an annual progress report. The written report includes measurements of the success against the intended outcome of all actions, and the Fair Trade Committee/board of the Smallholder Organization answers the following questions: <ul style="list-style-type: none"> • Were the actions proposed in the Fair Trade Plan carried out? If not, why? • When were the actions carried out? • At what cost? • Was the objective achieved or is further action needed? 	1	
	EM-DM 5.4	The Market Access Partner supports the Fair Trade committee in developing the Fair Trade Plan, the annual progress report, and in making democratic and transparent decisions.	1	
EM-DM 6	EM-DM 6.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the Smallholder Organization takes over responsibility for the Fair Trade Plan progress reports.	6	
EM-DM 7	EM-DM 7.1	The Market Access Partner supports the Fair Trade Committee and registered smallholders in implementation of the Fair Trade Plan.	1	
	EM-DM 7.2	If there is no significant progress towards achieving timelines and objectives in the Fair Trade Plan, the Market Access Partner contracts a third party to support the Fair Trade Committee.	3	
	EM-DM 7.3	The Fair Trade Committee vets the third party to ensure that it has the requisite experience.	3	
	EM-DM 7.4	The Market Access Partner can demonstrate that the third party has the qualifications necessary to support the registered smallholders and Fair Trade Committee.	3	
EM-DM 8	EM-DM 8.1	The Market Access Partner, in collaboration with the Fair Trade Committee, creates an accounting system that accurately tracks the expenses and budget in the Fair Trade Plan, and identifies the distribution of Fair Trade Premiums in a transparent manner.	1	
	EM-DM 8.2	The Fair Trade Committee is accountable to all of the registered smallholders on the use of the Fair Trade Premium.	1	
	EM-DM 8.3	There is no evidence of misuse in the management of the Fair Trade Premium.	0	M
EM-DM 9	EM-DM 9.1	The Market Access Partner provides training to the Fair Trade Committee on the management of the Fair Trade Premium accounting system.	3	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
EM-DM 10	EM-DM 10.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the Smallholder Organization takes on responsibility for maintaining the accounting system that accurately tracks the expenses and budget in the Fair Trade Plan, and identifies the distribution of Fair Trade Premiums in a transparent manner.	6	
	EM-DM 10.2	<i>Applicable when the registered smallholders formed not one, but several Smallholder Organizations:</i> if the Smallholder Organizations decide on several separate premium plans and accounting systems (rather than one joint premium plan and accounting system), the Fair Trade Premium is channeled to each Smallholder Organization. Each Smallholder Organization ensures transparent administration of Fair Trade Premium use.	6	
EM-DM 11	EM-DM 11.1	<i>Applicable where there are workers employed by the registered smallholders:</i> The Fair Trade Plan includes at least one project or activity intended to benefit workers.	3	
	EM-DM 11.2	The activity should benefit all workers and focuses on those groups of workers that form majority of the workforce (i.e. if migrant workers form the majority of the work force, the Fair Trade Plan should focus on their needs).	3	
PTA Inclusive Participation, Transparency and Financial Accountability				
EM-PTA 1	EM-PTA 1.1	The Fair Trade Committee is elected prior to initial certification.	0	M
	EM-PTA 1.2	An initial training is provided by the Market Access Partner to new Fair Trade Committee members on the functioning and responsibilities of a Fair Trade Committee.	0	
EM-PTA 2	EM-PTA 2.1	The Fair Trade Committee is chosen in free, fair and transparent elections and this election process is documented.	0	M
	EM-PTA 2.2	All registered smallholders are eligible for nomination, and are able to participate in the election of the Fair Trade Committee. The registered smallholders strive to reflect the diversity of their group in those elected in the Fair Trade Committee.	0	
	EM-PTA 2.3	Every registered smallholder is represented by one Fair Trade Committee.	0	
	EM-PTA 2.4	No registered smallholder is represented by more than one Fair Trade Committee.	0	
	EM-PTA 2.5	Where delegate/representation systems are applied, these are clearly defined and offer equitable representation to all members of the organization.	0	
	EM-PTA 2.6	All registered smallholders understand the role and responsibilities of the Fair Trade Committee.	0	
EM-PTA 3	EM-PTA 3.1	The Market Access Partner has declared in writing that it does not interfere with the independent decision making of the Fair Trade Committee.	0	
EM-PTA 4	EM-PTA 4.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> before communal capital and assets are acquired with Premium money or Year 6 at the latest, the Smallholder Organization is legally registered and has defined the internal rules of the organization (i.e. in the form of statutes, a constitution or by-laws).	6	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
EM-PTA 5	EM-PTA 5.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the internal rules of the Smallholder Organization (i.e. statutes, constitution, or by-laws) mandate that a General Assembly (GA) with equitable voting rights for all members is the supreme decision-making body of the organization.	6	M
	EM-PTA 5.2	This requirement applies where the registered smallholders have formed multiple Smallholder Organizations. It will be assessed as soon as these Smallholder Organizations are legally registered, or Year 6 at the latest: If the Smallholder Organizations decide to use one joint Fair Trade Plan and system of premium accounting (not several that are separate), the decision on the use of the Fair Trade Premium is taken by the General Assembly of Smallholder Organizations.	6	
EM-PTA 6	EM-PTA 6.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the leadership team (i.e. board of directors) is chosen in free, fair and transparent elections and this election process is documented.	6	M
	EM-PTA 6.2	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> all members of the Smallholder Organization are eligible for nomination, and are able to participate in the election of the leadership team (i.e. board of directors).	6	
	EM-PTA 6.3	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> where delegate/representation systems are applied, these are clearly defined in the internal rules of the organization (i.e. statutes, constitution or by-laws), and offer equitable representation to all members of the organizations.	6	
	EM-PTA 6.4	<i>Applicable when the registered smallholders formed not one, but several Smallholder Organizations:</i> this requirement will be evaluated as soon as the Smallholder Organizations are legally registered or Year 6 at the latest: if the Smallholder Organizations make decisions together, and use one joint premium plan and one joint premium accounting system (not several separate premium plans and premium accounting systems), there is a democratically elected leadership team (i.e. board of directors) that represents all Smallholder Organizations.	6	
	EM-PTA 6.5	<i>Applicable when the registered smallholders formed not one, but several Smallholder Organizations:</i> this requirement will be evaluated as soon as the Smallholder Organizations are legally registered, or Year 6 at the latest: if the Smallholder Organizations make decisions together, they have implemented statutes or internal regulations for a delegate system for the election of the leadership team (i.e. board of directors) and General Assemblies (if applicable). The system is based on the principle that each Smallholder Organization has an equal or proportionate number of delegates.	6	
EM-PTA 7	EM-PTA 7.1	The list of registered smallholders is kept up to date and is available to registered smallholders.	0	
	EM-PTA 7.2	The Market Access Partner has written rules that determine who can participate in the program, and provide details on the approval process. These rules are followed.	0	
	EM-PTA 7.3	Requests by new smallholders to join an existing group of Fair Trade producers are agreed to by the Fair Trade Committee.	0	
	EM-PTA 7.4	If the Market Access Partner is unable to incorporate new smallholders, the Market Access Partner can justify and prove why it cannot do so.	0	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
EM-PTA 8	EM-PTA 8.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the member list of the Smallholder Organization is updated regularly and is available to members.	6	
	EM-PTA 8.2	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the internal rules of the Smallholder Organization (i.e. statutes, constitution, or by-laws) include rules that determine who can become a member, and provide details on: the application process, approval process, and timelines for public registration. These rules are followed.	6	
EM-PTA 9	EM-PTA 9.1	The Market Access Partner maintains records of all Fair Trade sales, including information on Fair Trade buyers, volumes sold as Fair Trade, premium calculation, and prices received, and it shares this information regularly with the Fair Trade Committee/ Smallholder Organization.	0	
	EM-PTA 9.2	The Fair Trade Committee / Smallholder Organization is responsible for communicating information on sales, the Fair Trade Premium, and the Fair Trade Plan to the registered smallholders.	0	
	EM-PTA 9.3	The Fair Trade Committee/ Smallholder Organization is responsible for soliciting issues and concerns of the registered smallholders and sharing with the Market Access Partner.	0	
	EM-PTA 9.4	There are regular meetings between the Market Access Partner and the Fair Trade Committee/Smallholder Organization and these meetings are documented.	0	
	EM-PTA 9.5	The registered smallholders are aware of the purpose of the Fair Trade Premium and the system by which Fair Trade Premium receipts and expenses are accounted for.	0	
EM-PTA 10	EM-PTA 10.1	The Fair Trade Committee, with support of the Market Access Partner, organizes a General Assembly at least once a year.	1	
	EM-PTA 10.2	The General Assembly includes all of the registered smallholders.	1	
	EM-PTA 10.3	Where delegate/representation systems are applied, these are clearly defined and offer equitable representation to all members of the organization.	1	
EM-PTA 11	EM-PTA 11.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the Smallholder Organization holds a General Assembly at least once a year.	6	
	EM-PTA 11.2	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> procedures to call the assembly and determine quorum are adhered to, as defined in the statutes/constitution.	6	
	EM-PTA 11.3	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> members are informed of when the General Assembly will take place at least two weeks in advance.	6	
	EM-PTA 11.4	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> where delegate/representation systems are applied, these are clearly defined and offer equitable representation to all members of the organization.	6	
	EM-PTA 11.5	<i>Applicable when the registered smallholders formed not one, but several Smallholder Organizations:</i> this requirement will be evaluated as soon as the Smallholder Organizations are legally registered or Year 6 at the latest: if the Smallholder Organizations make decisions together, and use one joint premium plan and one joint premium accounting system (not several separate premium plans and premium accounting systems), they organize a General Assembly of all Smallholder Organizations at least once a year.	6	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
EM-PTA 12	EM-PTA 12.1	Where a significant number of permanent workers are employed on the farms of the registered smallholders, workers are invited to the General Assembly in order to observe and participate in the discussion of topics that relate to them.	0	
EM-PTA 13	EM-PTA 13.1	The minutes of the Fair Trade Committee meetings clearly record all decisions made, as well as the consultation with registered smallholders that took place prior to decision-making.	0	
	EM-PTA 13.2	The minutes of the Fair Trade Committee meetings are signed by all members of the Fair Trade Committee.	0	
	EM-PTA 13.3	The minutes of the Fair Trade Committee meetings are shared with the registered smallholders.	0	
EM-PTA 14	EM-PTA 14.1	The minutes of the General Assembly clearly record all decisions made, and are signed by the Fair Trade Committee/leadership team of the Smallholder Organization and at least one of the registered smallholders.	1	
	EM-PTA 14.2	There is a list of participants in the General Assembly included in the minutes.	1	
EM-PTA 15	EM-PTA 15.1	All annual reports, budgets and accounts, if any outside of the Fair Trade Plan and progress measurement, are presented to, and approved by, the General Assembly.	6	
	EM-PTA 15.2	Measures are in place to improve members' understanding of the annual report and accounts.	6	
EM-PTA 16	EM-PTA 16.1	At least one person or committee within the General Assembly is responsible for managing the administration and book-keeping.	6	
EM-PTA 17	EM-PTA 17.1	Fair Trade Plans and reports are accessible to registered smallholders.	0	
EM-PTA 18	EM-PTA 18.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> all records, books, and documentation are accessible to members of the Smallholder Organizations.	6	
EM-PTA 19	EM-PTA 19.1	The Fair Trade Committee appoints a trustee (the Market Access Partner, a bank, credit union or NGO) of the Fair Trade Premium funds.	0	
	EM-PTA 19.2	The trustee acknowledges in writing that the registered smallholders, represented by the Fair Trade Committee, are the rightful recipients of the FT Premium. This acknowledgement is sent to the Fair Trade Committee.	0	
	EM-PTA 19.3	The trustee has established a separate bank account to receive the Fair Trade Premium on behalf of the registered smallholders.	0	
	EM-PTA 19.4	The trustee and at least one Fair Trade Committee member are joint signatories of the account.	0	
	EM-PTA 19.5	All expenditure of the Fair Trade Premium and related issues are made in the name of the Fair Trade Committee.	0	
	EM-PTA 19.6	The Fair Trade Committee acknowledges the receipt of the Fair Trade Premium in writing.	0	
EM-PTA 20	EM-PTA 20.1	Handling of the Fair Trade Premium is externally audited annually by an independent party in years when high Fair Trade Premium volumes (i.e. greater than \$15,000 USD) are generated or spent.	0	
EM-PTA 21	EM-PTA 21.1	The MAP, in collaboration with the Fair Trade Committee, provides a report, as well as audited accounts of Fair Trade Premium use, to the Fair Trade Committee and registered smallholders annually or upon request at any time.	0	
EM-PTA 22	EM-PTA 22.1	Regular administrative and organizational capacity-building trainings are given to Fair Trade Committee representatives. This ensures that they can gradually take over management of the Fair Trade Premium.	3	

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EM-PTA 23	EM-PTA 23.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the Smallholder Organization has an active bank account with more than one signatory registered to its name.	6	
	EM-PTA 23.2	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the premium is channeled to this account through the Market Access Partner.	6	
	EM-PTA 23.3	<i>Applicable when the registered smallholders formed not one, but several Smallholder Organizations:</i> this requirement will be evaluated as soon as the Smallholder Organizations are legally registered or Year 6 at the latest. If the Smallholder Organizations decide on one joint premium plan (rather than several separate ones) they have a joint bank account in place.	6	
EM-PTA 24	EM-PTA 24.1	The Market Access Partner/Smallholder Organization takes measures to improve the registered smallholders' understanding of annual reports and accounts and to increase knowledge on, pricing and international market mechanisms.	3	
	EM-PTA 24.2	These trainings are documented. Records are kept on file.	3	
ED	Economic Development			
FTP	Fair Trade Price			
ED-FTP 1	ED-FTP 1.1	For all Fair Trade purchases, the price paid to the registered smallholders is not less than the Fair Trade Minimum Price or the market/contractual price, whichever is higher.	0	M
	ED-FTP 1.2	If the product is bought from a registered smallholder, but not on Fair Trade terms, and the Market Access Partner wants to potentially sell the product as Fair Trade later, the Market Access Partner pays at least the market price to the registered smallholder.	0	
	ED-FTP 1.3	If the product is bought from a registered smallholder but not on Fair Trade terms, and later sold as Fair Trade, any price adjustment will have to be paid at the end of the season. This occurs when the Fair Trade minimum price is higher than the market price, or when the Fair Trade price is set at the FOB price level and the Market Access Partner is able to sell the Fair Trade product at a higher FOB price than necessary according to agreed margins.	0	
	ED-FTP 1.4	The Market Access Partner maintains records of price levels, exchange rates, and how they were agreed upon, in order to demonstrate that the market price is based on agreements/contracts with other suppliers.	0	
ED-FTP 2	ED-FTP 2.1	The Market Access Partner must ensure that new Fair Trade prices announced by Fair Trade USA are applied to new contracts from the effective date as listed on the price announcement.	0	
	ED-FTP 2.2	The Market Access Partner must ensure that for existing contracts all pricing Terms & Conditions are honored.	0	
ED-FTP 3	ED-FTP 3.1	Charges for inputs and services are agreed upon in advance and are part of the registration agreement.	0	
	ED-FTP 3.2	Cost break downs of inputs and services are available, transparent and coherent.	0	
	ED-FTP 3.3	Costs of inputs and services are not higher than normal market prices.	0	

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PFT		Fair Trade Premium		
ED-PFT 1	ED-PFT 1.1	The Market Access Partner pays the correct amount of Fair Trade Premium to the Fair Trade Committee (or the Smallholder Organization once it is established).	0	M
	ED-PFT 1.2	If the registered smallholders are organized as more than one Fair Trade Committee (FTC)/Smallholder Organization (SO) that uses separate premium plans and accounting systems (rather than one joint premium plan and accounting system), the Market Access Partner channels Fair Trade Premium to each FTC/SO. The total amount of Fair Trade Premium is split between the FTCs/SOs according to the amount of product delivered to the Market Access Partner by the members of that FTC/SO.	0	
	ED-PFT 1.3	The Market Access Partner ensures that no deductions are made from premium payments to the Fair Trade Committee.	0	
	ED-PFT 1.4	The Market Access Partner has a written contract with the Premium Payer to ensure correct terms and transfer of premium payments to the Market Access Partner.	0	
	ED-PFT 1.5	No part of the Premium is used for any means that is not agreed to in the Fair Trade Plan.	0	
	ED-PFT 1.6	The Fair Trade Premium is not used to cover the running costs of the Market Access Partner.	0	
	ED-PFT 1.7	The Premium is paid to the Premium bank account as soon as possible, but no later than one month after receipt of Premium payment from the Premium payer.	0	
CE		Conditions of Employment (This section is applicable to all workers employed by the Market Access Partner and by the registered smallholders. Note: some exemptions are included for smallholders and operations that do not employ a significant number of workers. The certification body will define what constitutes a significant number of workers depending on various factors).		
ED-CE 1	ED-CE 1.1	Salaries exceed, or are in line with, sector regulations, CBA's which are in place for an employer, the regional average, or legal minimum wages for similar occupations, whichever is highest.	0	M
	ED-CE 1.2	Other conditions of employment (e.g. additional types of leave, statutory benefits) exceed, or are in line with national law.	0	
	ED-CE 1.3	The employer has specified wages for all functions.	0	
	ED-CE 1.4	For remuneration based on production, quotas, or piecework, the pay rate allows the worker to earn the proportionate minimum wage or relevant industry average (whichever is higher) during normal working hours.	0	M
	ED-CE 1.5	Rates for piecework are agreed under the CBA or agreement on working conditions with the workers committee, and their method of calculation is transparent and available to workers.	3	
ED-CE 2	ED-CE 2.1	Payment is made in legal tender, that is, cash or cash equivalent (check, direct deposit). Where payment is made by direct deposit, the employer does not have withdrawal access to workers' bank accounts.	0	
	ED-CE 2.2	Payments are made to workers directly and on time, according to an appropriate payment schedule that is monthly or bi-weekly. The payment schedule has been communicated to workers. In-kind payments are not allowed, except in regions where they are legally permissible, agreed upon by both parties, and documented, including a definition of the value of the goods.	0	

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ED-CE 2	ED-CE 2.3	Where a significant number of workers are employed, workers receive pay slips with each pay check that provide a clear account of wages earned, allowances, bonuses, overtime payment, and all deductions in detail. This Information is also available upon request.	0	
	ED-CE 2.4	Where a significant number of workers are employed, the employer provides the worker with access to a proper appeal mechanism if discrepancies in payment are found.	0	
ED-CE 3	ED-CE 3.1	The employer complies with local law regarding the provision of health insurance, other social security benefits, including pension and disability insurance, maternity leave, and vacation time to workers.	0	
	ED-CE 3.2	In cases where permanent workers are not entitled to health insurance benefits, the employer provides the equivalent benefits in the form of Private Health Insurance or comparable health services.	0	
ED-CE 4	ED-CE 4.1	Where an elected workers' organization exists, the organization has negotiated the conditions of work with the employer.	0	
	ED-CE 4.2	Workers have the right to choose their representatives to take part in any negotiations, without external interference.	0	
ED-CE 5	ED-CE 5.1	Where a significant number of workers are employed, all permanent workers have a legally binding, written contract that clearly describes the terms of hire and safeguards workers from loss of pay in the case of illness, disability or accident. The notice period for termination of the contract is identical for employer and worker.	3	
	ED-CE 5.2	Where a significant number of workers are employed, all permanent workers have received a copy of the contract or at minimum, have free access to the original, signed contract.	3	
ED-CE 6	ED-CE 6.1	All positions that are of a regular nature are staffed with permanent workers, and legal obligations are not avoided through the excessive use of time-limited employment contracts.	3	
	ED-CE 6.2	Where a significant number of workers are employed, an overview of the company's labor needs is produced each year, indicating the periods in which non-permanent workers will be needed.	3	
	ED-CE 6.3	Where a significant number of workers are employed, time-limited contracts or any subcontracting are only issued to non-permanent workers during peak periods, in the case of special tasks and under exceptional circumstances. This includes seasonal workers.	3	
	ED-CE 6.4	Where a significant number of workers are employed, temporary workers who are employed for a period of 3 months or more of uninterrupted service have a legally binding and signed contract with job description that is accessible to workers.	6	
ED-CE 7	ED-CE 7.1	The employer and worker representatives meet to discuss how they can improve wages and productivity in mutually beneficial ways, including generating ideas for how to move towards "living wages" over time.	3	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
SR	Social Responsibility			
ND	Non-Discrimination (This section is applicable to registered smallholders and to workers employed by the Market Access Partner or the registered smallholders)			
SR-ND 1	SR-ND 1.1	There is no discrimination against registered smallholders or potential new program participants, particularly on the basis of race, color, sex, gender, sexual orientation, disability, marital status, family obligations, age, religion, political opinion, language, property, nationality, ethnicity or social origin, or any other condition that could give rise to discrimination in relation to: participation, rules for program participation, voting rights, the right to be elected, access to markets, access to training, technical support or any other benefits that the program offers. There is no discrimination against workers, particularly on the basis of race, color, sex, gender, sexual orientation, disability, marital status, family obligations, age, religion, political opinion, membership of unions or other workers' representative bodies, national extraction or social origin, or any other condition that could give rise to discrimination in: recruitment, promotion, access to training, remuneration, allocation of work, termination of employment, retirement or other activities.	0	M
SR-ND 2	SR-ND 2.1	Registered smallholders who come from disadvantaged/minority groups have been identified and documented.	3	
SR-ND 3	SR-ND 3.1	The Market Access Partner has developed a program to improve the social and economic position of registered smallholders who come from disadvantaged/minority groups.	3	
SR-ND 4	SR-ND 4.1	The Market Access Partner and the registered smallholders do not engage in, support or tolerate the use of corporal punishment, mental or physical coercion, verbal abuse or any other form of harassment.	0	M
	SR-ND 4.2	Where a significant number of workers are employed, a written policy and a disciplinary procedure with the right to appeal are in place and are communicated to workers both verbally and in writing.	3	
	SR-ND 4.3	Where many registered smallholders employ a significant number of workers, the Market Access Partner designs and implements a monitoring and record system to prevent improper disciplinary practices.	6	
SR-ND 5	SR-ND 5.1	The Market Access Partner and registered smallholders do not engage in, support or tolerate behavior, including gestures, language, and physical contact, that is sexually intimidating, abusive or exploitative.	0	M
	SR-ND 5.2	Where a significant number of workers are employed, a written policy that clearly prohibits unwanted conducts of a sexual nature is in place and communicated to workers.	3	
	SR-ND 5.3	Where many registered smallholders employ a significant number of workers, the Market Access Partner designs and implements a monitoring and record system in order to prevent unwanted conducts of a sexual nature.	6	
FL	Freedom from Forced Labor and Human Trafficking (This section is applicable to all workers employed by the Market Access Partner and by the registered smallholders).			
SR-FL 1	SR-FL 1.1	There is no kind of forced labor, including bonded labor or human trafficking.	0	M
	SR-FL 1.2	Work is not exacted from any person under the threat of any penalty and for which the said person has not offered him or herself voluntarily.	0	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
SR-FL 1	SR-FL 1.3	The employer does not retain any part of the workers' salary, benefits, property or documents in order to force them to remain.	0	
	SR-FL 1.4	The employer does not use any form of physical or psychological measures requiring workers to remain employed.	0	
	SR-FL 1.5	Bonded labor caused by debts or loans does not occur.	0	
SR-FL 2	SR-FL 2.1	A worker's employment is not conditional on the employment of their spouse. Spouses are not required to work.	0	
PC Protection of Children and Young Persons (This section is applicable to all workers employed by the Market Access Partner and by the registered smallholders).				
SR-PC 1	SR-PC 1.1	Children below the age of 15 (or below the working age defined by national law, if higher) are not employed.	0	M
	SR-PC 1.2	Policies and procedures are in place to ensure that children below the age of 15 (or below the working age defined by national law, if higher) are not employed or allowed into production areas. Documentation must be maintained for all workers legally classified as minors, including: Name; Date of Birth; Address; and a letter of consent authorizing the minor to work, signed by the parents or legal guardian.	3	
	SR-PC 1.3	Where children below the age of 15 (or below the working age defined by national law, if higher) have been employed in the past, or are found working, a remediation policy has been put in place to ensure that the children do not enter into worse forms of employment. Where children below the age of 15 (or below the working age defined by national law, if higher) have been employed in the past, or are found working, the employer has a register of all workers under the age of 15 (or below the working age defined by national law, if higher) indicating their age and their work, and the relevant remediation policy is in effect.	1	
	SR-PC 1.4	If the Market Access Partner has identified child labor as a risk, it must implement procedures to prevent children below the age of 15 (or below the working age defined by national law, if higher) from being employed for any work and children below the age of 18 (or below the age of legal adulthood as defined by national law, if higher) from being employed in dangerous and exploitative work.	3	
SR-PC 2	SR-PC 2.1	If children of the registered smallholders below the age of 15 (or below the working age defined by national law, if higher) help their relatives with farm work after school and/or in holidays, it is ensured that such work does not jeopardize schooling, is within reasonable limits, and that a member of the family supervises and guides the child.	0	
	SR-PC 2.2	If children of the registered smallholders below the age of 15 (or below the working age defined by national law, if higher) help their relatives with farm work after school and/or in holidays, the work does not jeopardize the child's social, moral or physical development and does not constitute a hazard to the child's health.	0	
	SR-PC 2.3	Children below the age of 15 (or below the working age defined by national law, if higher), of workers employed by the MAP or registered smallholders do not work for the MAP, or any registered smallholder.	0	
SR-PC 3	SR-PC 3.1	Workers under the age of 18 (or below the age of legal adulthood as defined by national law, if higher) do not carry out work which, by its nature or the circumstances under which it is carried out (e.g. handling chemicals, working night shifts), is likely to jeopardize their health, safety, development or morals.	0	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
FA Freedom of Association (This section is applicable to all workers employed by the Market Access Partner. Registered smallholders who are structurally dependent on hired labor and who employ a significant workforce must comply with all of these criteria, while smallholders and operations that do not employ a significant number of workers are exempt from the Freedom of Association criteria. The certification body will define what constitutes a significant number of workers depending on various factors).				
SR-FA 1	SR-FA 1.1	The employer recognizes in writing (making it known to workers), and in practice: the right of all employees to establish or join an independent workers organization of their own choosing that is free from interference of the employer, and the right to collective bargaining.	0	M
	SR-FA 1.2	Workers are encouraged to legally incorporate their own established workers' organization.	0	
SR-FA 2	SR-FA 2.1	The employer does not interfere with the right to freedom of association by attempting to influence or obstruct workers' organizations.	0	
	SR-FA 2.2	Management allows workers to hold meetings and organize themselves during working time without interference (without deductions or required payments) and within reasonable limits.	0	
SR-FA 3	SR-FA 3.1	Neither workers nor their representatives are discriminated against or suffer other repercussions because of freely exercising their right to organize or because of their membership or participation in legal activities in their workers' organization.	0	
	SR-FA 3.2	The employer keeps records for all cases of dismissals of union or workers' committee members.	3	
	SR-FA 3.3	The employer maintains a register of all terminated contracts with details on circumstances/reasons for termination.	3	
SR-FA 4	SR-FA 4.1	The employer ensures that all workers are provided with information from an independent source on their right to freedom of association and the options available for workers organizations.	6	
	SR-FA 4.2	The employer provides working time (without deductions or required payments) upon request and within reasonable limits for these training activities to take place.	6	
	SR-FA 4.3	The employer provides appropriate facilities and resources upon request for these training activities to take place.	6	
OH Occupational Health & Safety (This section is applicable to all workers employed by the Market Access Partner and by the registered smallholders. Note: some exemptions are included for smallholders and operations that do not employ a significant number of workers. The certification body will define what constitutes a significant number of workers depending on various factors).				
SR-OH 1	SR-OH 1.1	Work processes, workplaces, machinery and equipment on the production site as well as worker transportation are as safe as possible, and equipped with adequate safety devices.	0	
	SR-OH 1.2	A maintenance and repair system is put in place to ensure a safe, clean and hygienic environment at all times.	3	
	SR-OH 1.3	The employer ensures that Personal Protective Equipment (PPE) is provided to workers free of charge, according to their tasks, and that they are instructed and monitored in its proper use.	0	
	SR-OH 1.4	Where a significant number of workers are employed, the employer provides all workers with necessary working clothes appropriate to their tasks and free of charge. These working clothes are replaced regularly.	0	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
SR-OH 2	SR-OH 2.1	Where a significant number of workers are employed, the employer has implemented a written health and safety (HS) policy.	3	
	SR-OH 2.2	Where a significant number of workers are employed, the written health and safety policy is based on a documented risk assessment.	3	
SR-OH 3	SR-OH 3.1	Persons under the age of 18, disabled people, persons with incapacitating mental conditions; persons with chronic, hepatic or renal diseases, persons with respiratory diseases, and pregnant and nursing women only perform work that is appropriate to their physical capacity and that does not imply a health hazard.	0	
SR-OH 4	SR-OH 4.1	In cases where a change of work is necessary to comply with requirement SR-OH 3, the employer ensures that alternative employment is found for any existing worker.	0	
SR-OH 5	SR-OH 5.1	The employer provides first aid facilities and equipment to meet all reasonably foreseeable emergency first aid situations.	0	
	SR-OH 5.2	Where a significant number of workers are employed, there are trained first aid personnel available to respond to emergency first aid situations.	0	
	SR-OH 5.3	Where a significant number of workers are employed, records are kept of all work accidents and related first aid response.	0	
SR-OH 6	SR-OH 6.1	Potable drinking water is clearly labeled and accessible to all workers during their working period.	0	
	SR-OH 6.2	Where a significant number of workers are employed, drinking water is analyzed at least every six months when water purity has been identified as a risk.	0	
	SR-OH 6.3	Where sanitary facilities are provided, these are clean and there are hand washing facilities next to the sanitary facilities.	1	
	SR-OH 6.4	Where a significant number of workers are employed, sanitary facilities are provided separately for men and women (toilets, washing facilities and showers if needed due to agrochemical application). Where a large number of workers are employed, the employer provides an appropriate number of facilities (minimum proportion is 1 facility: 25	3	
SR-OH 7	SR-OH 7.1	Where a significant number of workers are employed, a Health and Safety Officer is nominated to be in charge of occupational health and safety matters. This person brings health and safety issues to the attention of the employer.	3	
SR-OH 8	SR-OH 8.1	Seasonal training is provided for workers engaged in any potentially hazardous work.	3	
	SR-OH 8.2	Workers engaged in any potentially hazardous work are informed of the specific risks to mental, reproductive and/or neurological health.	3	
	SR-OH 8.3	Where a significant number of workers are employed, these trainings are documented; records are kept on file.	3	
	SR-OH 8.4	Where a significant number of workers are employed, risk areas and potential hazards are clearly identified by warning signs in all relevant languages, which include pictograms.	3	
	SR-OH 8.5	Where a significant number of workers are employed, written safety instructions and procedures include details regarding accident prevention and response, and are readily available to workers at their work place.	3	
SR-OH 9	SR-OH 9.1	Workers handling hazardous chemicals are provided with adequate personal protective equipment free of charge.	0	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
SR-OH 9	SR-OH 9.2	The employer ensures that the personal protective equipment is used.	0	
	SR-OH 9.3	Workers do not take personal protective equipment (i.e. gloves, clothes, masks) to their homes.	0	
	SR-OH 9.4	Training on the use of the protective equipment and the risks associated with hazardous materials is provided at least once a year.	0	
	SR-OH 9.5	Where a significant number of workers are employed, these trainings are documented; records are kept on file.	0	
ES Environmental Stewardship				
MS Monitoring Systems				
ES-MS 1	ES-MS 1.1	The Market Access Partner organizes trainings on the criteria regarding environmental stewardship and safe chemical use. These trainings are documented; records are kept on file.	0	
	ES-MS 1.2	The majority of the registered smallholders attend. These trainings are documented; records are kept on file.	3	
ES-MS 2	ES-MS 2.1	The Market Access Partner appoints at least one person to lead the operational steps required to comply with the Environmental Stewardship requirements within this standard.	0	
	ES-MS 2.2	The responsibilities of this person are clear and documented.	0	
	ES-MS 2.3	The person appointed has the knowledge (of production practices, agronomic challenges, cultural traditions, environmental risks) necessary to fulfill these responsibilities.	0	
IPM Integrated Pest Management				
ES-IPM 1	ES-IPM 1.1	The Market Access Partner provides training to the registered smallholders on the subject of integrated pest management, including: <ul style="list-style-type: none"> • The monitoring of pests and diseases. • Alternative ways to control pests and diseases. • Preventive measures against pests and diseases. • Measures to prevent pests and diseases from building up resistance to agrochemicals. 	3	
	ES-IPM 1.2	The majority of the registered smallholders attend. These trainings are documented; records are kept on file.	3	
ES-IPM 2	ES-IPM 2.1	Registered smallholders are able to demonstrate that agrochemicals are applied based on knowledge of pests and diseases.	6	
AC Agrochemicals				
ES-AC 1	ES-AC 1.1	The Market Access Partner compiles a list of the agrochemicals that are used for agricultural production that is included in the Fair Trade certificate.	0	
	ES-AC 1.2	The list indicates which of those materials are on the Fair Trade USA Prohibited Materials List (PML) part 1 (Red List) and part 2 (Amber List).	0	
	ES-AC 1.3	The list is updated every three years, at minimum.	3	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
ES-AC 2	ES-AC 2.1	Materials on the Fair Trade USA PML part 1 (Red List) are not used on Fair Trade crops.	0	M
	ES-AC 2.2	The Market Access Partner implements measures to raise awareness of the PML among members.	3	
	ES-AC 2.3	Awareness raising measures are documented and records are kept on file.	3	
	ES-AC 2.4	Prohibited materials are clearly marked “not for use on Fair Trade crops.”	0	
ES-AC 3	ES-AC 3.1	The chemical storage area is locked and accessible only to trained and authorized personnel.	0	
	ES-AC 3.2	The storage area is ventilated to avoid a concentration of toxic vapors.	0	
	ES-AC 3.3	The storage area has the equipment necessary to handle accidents and spills, including absorbent materials.	0	
	ES-AC 3.4	The storage area does not contain food.	0	
	ES-AC 3.5	Hazardous materials are clearly labeled. Labels indicate contents, warnings, and intended uses.	0	
	ES-AC 3.6	Information is available regarding the safe handling of hazardous materials (Material Safety Data Sheets).	0	
ES-AC 4	ES-AC 4.1	Agrochemical containers are not reused to store or transport food or water.	0	
ES-AC 5	ES-AC 5.1	The Market Access Partner provides training to members and workers who handle agrochemicals on the risks of handling these materials and on how to handle them properly. The training should address the following subjects, as appropriate: <ul style="list-style-type: none"> • How to store hazardous chemicals safely, ensuring that they cannot be reached by children. • How to understand the product label and other safety instructions for use made available by the manufacturer. • Container labels should indicate contents, warnings, and intended uses. • How to handle accidents and spills when preparing and applying chemicals. • How to handle and safely dispose of empty containers, including the practices of triple rinsing and puncturing containers. • Intervals of time when people are not allowed to enter a sprayed area or field without any personal protection equipment. 	1	
	ES-AC 5.2	The majority of the registered smallholders attend. These trainings are documented; records are kept on file.	1	
ES-AC 6	ES-AC 6.1	The Market Access Partner implements measures to ensure that all people, including registered smallholders and workers, wear effective personal protective equipment (PPE) when handling pesticides or hazardous chemicals.	1	
ES-AC 7	ES-AC 7.1	The Market Access Partner continues to raise awareness among all members and workers of the hazards and risks related to agrochemicals, i.e. through a presentation, information material, or trainings.	3	
	ES-AC 7.2	Awareness raising measures are documented; records are kept on file.	6	
ES-AC 8	ES-AC 8.1	Agrochemicals are applied at a distance from areas of ongoing human activity (e.g. housing, canteens, offices, or warehouses). An appropriate buffer zone is maintained around these areas unless there is a barrier that effectively reduces agrochemical drift.	1	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
ES-AC 9	ES-AC 9.1	The organization, its members, and subcontractors avoid air spraying of agrochemicals above or around places with ongoing human activity or rivers and other water sources.	1	
	ES-AC 9.2	Areas of human activity, rivers, and other water sources of significant size are identified in maps and clearly communicated to pilots prior to air spraying.	1	
ES-AC 10	ES-AC 10.1	If registered smallholders themselves store agrochemicals, these are stored safely and it is ensured that they cannot be reached by children.	3	
ES-AC 11	ES-AC 11.1	Registered smallholders clearly label all agrochemicals.	3	
ES-AC 12	ES-AC 12.1	If registered smallholders themselves prepare or mix agrochemicals, they have the equipment necessary to handle accidents and spills, in order to ensure that these chemicals do not seep into soil or water.	6	
	ES-AC 12.2	Spraying is planned in such a way as to have no or very little spray solution left upon completion.	6	
ES-AC 13	ES-AC 13.1	Empty containers are triple rinsed, punctured and safely stored.	3	
	ES-AC 13.2	All equipment that has been in contact with hazardous materials is cleaned and stored safely.	3	
ES-AC 14	ES-AC 14.1	The Market Access Partner trains all registered smallholders who use herbicides on minimizing the amount they use by implementing other weed prevention and control strategies.	3	
	ES-AC 14.2	The majority of the members attend. These trainings are documented and records are kept on file.	3	
HF	Handling Fertilizers			
ES-HF 1	ES-HF 1.1	The Market Access Partner provides training to the registered smallholders on the appropriate use of fertilizers. This training includes: <ul style="list-style-type: none"> • Measures to ensure that fertilizers (organic and inorganic) are applied in amounts that respond to the nutrient need of the crop. • Measures to safely store fertilizers separately from pesticides in a way that minimizes risks of polluting water. 	6	
	ES-HF 1.2	The majority of the registered smallholders attend. These trainings are documented; records are kept on file.	6	
WM	Waste Management			
ES-WM 1	ES-WM 1.1	There are designated areas for the storage and disposal of hazardous waste.	1	
	ES-WM 1.2	The MAP and registered smallholders' procedures for handling hazardous waste are in line with applicable laws and regulations.	0	
ES-WM 2	ES-WM 2.1	The Market Access Partner raises awareness among the registered smallholders about reusing organic waste, and this is documented.	3	
	ES-WM 2.2	The Market Access Partner raises awareness among the registered smallholders about recycling non-organic waste.	6	
	ES-WM 2.3	Organic waste is only burned if it is required by applicable legislation for sanitary purposes, or it is clearly a more sustainable practice.	3	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
SW Soil and Water				
ES-SW 1	ES-SW 1.1	The Market Access Partner identifies land at risk of soil erosion and land that is already eroded in fields where registered smallholders plant Fair Trade crops. Land showing signs of soil erosion and land at risk of soil erosion have been recorded and results have been communicated to affected producers.	3	
	ES-SW 1.2	Where soil erosion is a problem, remedial actions to improve the situation have been initiated.	6	
ES-SW 2	ES-SW 2.1	The Market Access Partner provides training on practices that reduce and/or prevent soil erosion to registered smallholders situated in areas where soil erosion or risk thereof has been identified.	6	
	ES-SW 2.2	The majority of registered smallholders who are affected by soil erosion attend. These trainings are documented and records are kept on file.	6	
ES-SW 3	ES-SW 3.1	The Market Access Partner provides training and recommendations on how to improve soil fertility and support soil rebuilding.	3	
	ES-SW 3.2	The majority of the registered smallholders attend. These trainings are documented; records are kept on file.	3	
	ES-SW 3.3	Registered smallholders implement procedures and practices to improve and/or conserve soil fertility, following at least the minimum requirements set by the Market Access Partner. The Market Access Partner reports on these measures.	3	
ES-SW 4	ES-SW 4.1	The Market Access Partner has a written list of all water sources used for irrigating and processing Fair Trade crops.	3	
ES-SW 5	ES-SW 5.1	The Market Access Partner provides training to the registered smallholders on measures to use water efficiently and on how to handle waste water. The training addresses the following subjects, as appropriate: <ul style="list-style-type: none"> • Estimating how much water is needed to irrigate and/or process the crop. • Measuring (or estimating) how much water is extracted from the source. • Measuring how much water is used for irrigation and/or processing. • Providing maintenance to the water distribution system adopting as applicable, methods to re-circulate, reuse and/or recycle water. • Waste water, the related health risks, methods for treating waste water and their implementation. • Efficient irrigation methods. 	3	
	ES-SW 5.2	The majority of the registered smallholders attend. These trainings are documented; records are kept on file.	6	
ES-SW 6	ES-SW 6.1	Waste water from central processing facilities is handled in a manner that does not have a negative impact on water quality, soil fertility or food safety.	6	
GM Genetically Modified Organisms				
ES-GM 1	ES-GM 1.1	The Market Access Partner and the registered smallholders do not use genetically engineered seed or planting stock for the Fair Trade crop(s).	0	M
	ES-GM 1.2	Potential GMO crops that pose risks are identified by the organization.	0	
	ES-GM 1.3	The origin of seeds and planting stock for which genetic modification is common in the region is traced, to guarantee that they are not GMO.	0	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
BD Biodiversity				
ES-BD 1	ES-BD 1.1	The Market Access Partner and the registered smallholders avoid negative impacts on protected areas and areas with high conservation value, within or outside the farm or production areas.	0	
	ES-BD 1.2	The areas that are used or converted to production of the Fair Trade crop comply with national legislation in regard to agricultural land use.	0	
ES-BD 2	ES-BD 2.1	The Market Access Partner and the registered smallholders implement activities to protect and enhance biodiversity.	6	
	ES-BD 2.2	The Market Access Partner documents these activities.	6	
ES-BD 3	ES-BD 3.1	The Market Access Partner and the registered smallholders maintain buffer zones around bodies of water and watershed recharge areas and between production and areas of high conservation value.	6	
	ES-BD 3.2	Agrochemicals and fertilizers are not applied in buffer zones.	6	
ES-BD 4	ES-BD 4.1	If the registered smallholders carry out wild harvesting of Fair Trade products from uncultivated areas, they assure the sustainability and survivability of the collected species in its native habitat.	1	
ES-BD 5	ES-BD 5.1	The Market Access Partner raises awareness among members about the protection of rare and endangered species and the dangers of introducing alien invasive species.	3	
	ES-BD 5.2	Awareness raising measures are documented; records are kept on file.	3	
	ES-BD 5.3	No collecting or hunting of rare or endangered species takes place.	3	
GHG Energy and Greenhouse Gas Emissions				
ES-GHG 1	ES-GHG 1.1	The Market Access Partner keeps records of energy consumption.	3	
	ES-GHG 1.2	The Market Access Partner takes measures to use energy more efficiently.	6	
	ES-GHG 1.3	The Market Access Partner replaces non-renewable energy sources with renewable ones as far as possible.	6	
ES-GHG 2	ES-GHG 2.1	The Market Access Partner and the registered smallholders work together to take measures to reduce GHG emissions and increase carbon sequestration.	6	
	ES-GHG 2.2	The Market Access Partner reports on these measures.	6	
TR Trade Requirements				
BR Basic Requirements				
TR-BR 1	TR-BR 1.1	The Market Access Partner reports to Fair Trade USA on its Fair Trade transactions (according to the frequency determined by Fair Trade USA: quarterly, bi-annually or monthly).	0	
PS Product Sourcing				
TR-PS 1	TR-PS 1.1	For newly certified producers, product that was produced more than one year before initial certification may not be sold as Fair Trade.	0	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
PT Physical Product Traceability				
TR-PT 1	TR-PT 1.1	Only products grown by registered smallholders are sold as Fair Trade.	0	M
	TR-PT 1.2	<i>Voluntary for Market Access Partners that process cocoa, cane sugar, juice or tea:</i> the products grown by registered smallholders are transported, stored, processed/manufactured and delivered separately from non-Fair Trade products, until the product is sold.	0	
TR-PT 2	TR-PT 2.1	<i>Voluntary for Market Access Partners that process cocoa, cane sugar, juice or tea:</i> Fair Trade products are marked clearly with a reference to Fair Trade USA so that they can be identified as Fair Trade certified.	0	
TR-PT 3	TR-PT 3.1	Market Access Partners that process cocoa, cane sugar, juice or tea are not required to fulfill physical traceability requirements in the processing facility, but the volumes sold as Fair Trade are equivalent to the volumes produced by registered smallholders (taking into account processing yields and losses). Market Access Partners processing cocoa, cane sugar, juice or tea and selling to operators that have a physical traceability system in place must physically separate the product during processing. Market Access Partners processing cocoa, cane sugar, juice or tea and selling to operators that do not have a physical traceability system in place may mix Fair Trade input and non-Fair Trade input at the processing level. However, the following requirements must be met: <ul style="list-style-type: none"> • The products have been produced by, and sourced from, registered smallholders before the sale of the Fair Trade product (output). • The product from registered smallholders is delivered and processed in the same site where the Fair Trade product (output) is processed. • The product from registered smallholders is of the same type and quality as the input used to process the Fair Trade product (output). 	0	M
TR-PT 4	TR-PT 4.1	<i>Applicable to bananas only:</i> the traceability system on each box indicates the packing station, date of packing and the identification of the individual registered smallholder.	0	
TD Traceability through Documentation				
TR-TD 1	TR-TD 1.1	There is a written description of the product flow from the registered smallholders to the Market Access Partner.	0	
TR-TD 2	TR-TD 2.1	The Market Access Partner keeps records of products sourced from the registered smallholders as part of the Fair Trade program, which indicate the name of the individual producer, date of purchase, product name, volume and the price received by the member.	0	
	TR-TD 2.2	Records include the signature of the registered smallholder, verifying accuracy, and the registered smallholders receive a copy of the record.	0	

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
TR-TD 3	TR-TD 3.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the Market Access Partner provides copies of purchase documents to the Smallholder Organization and the registered smallholders for record-keeping purposes. Records include the signature of the registered smallholder, verifying accuracy.	6	
	TR-TD 3.2	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> the Smallholder Organization keeps sales records on behalf of the registered smallholders. These are available to the registered smallholders upon request.	6	
TR-TD 4	TR-TD 4.1	When the Market Access Partner sells a Fair Trade product, it indicates clearly in the sales documents (e.g. invoices, delivery notes) that the product is Fair Trade certified (use the three word term “Fair Trade USA”).	0	
TR-TD 5	TR-TD 5.1	There are records of all Fair Trade sales. These records include: <ul style="list-style-type: none"> • The volume. • The name of the buyer. • The date of the transaction. • A reference to Fair Trade USA. • A reference that allows the certification body to link these records with the corresponding sales documentation. 	0	
TR-TD 6	TR-TD 6.1	If Fair Trade products are processed, there are records that specify the amount of product before and after processing.	0	
AG Agreements				
TR-AG 1	TR-AG 1.1	This requirement does not apply if the Smallholder Organization has signed a binding purchase contract with the Market Access Partner on behalf of all registered smallholders that covers all terms of trade stated in TR-AG 1.1: The Market Access Partner signs registration agreements with each individual registered producer. The registration agreement includes: <ol style="list-style-type: none"> 1) Information about the roles and responsibilities of the Fair Trade Committee/Smallholder Organization. 2) An overview of the requirements of Fair Trade production that the Market Access Partner is responsible for ensuring. 3) Terms of trade (including Fair Trade USA price and Fair Trade USA Premium). 4) Where Fair Trade USA minimum prices are set at the FOB level, payment terms for initial purchase and Fair Trade adjustment, including deductions to be made from the Fair Trade minimum price. 5) Payment information. 6) Terms of delivery. 7) Documentation. 8) Reference to sourcing plans. 9) A description of all inputs and services provided, and indication of any deductions that may be relevant as a result of the provision of these inputs and services. 10) A mechanism to resolve conflicts. 11) Production requirements (e.g. meeting environmental requirements of this standard). 	0	M

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
TR-AG 1	TR-AG 1.2	Where the price is not fixed in the registration agreement (but it is agreed when and how the price will be fixed), the registered smallholders receive a written receipt/ purchase order that details the terms of trade (price, premium, volume, etc.) for each specific purchase.	0	
TR-AG 2	TR-AG 2.1	The registration agreement is written in a language that the registered smallholders understand.	0	
TR-AG 3	TR-AG 3.1	The Market Access Partner ensures that the registered smallholders know and understand the terms of the registration agreement and the Fair Trade conditions.	0	
TR-AG 4	TR-AG 4.1	The registration agreement between the Market Access Partner and the registered smallholders does not restrict them from selling to other buyers.	0	
	TR-AG 4.2	The registration agreement between the Market Access Partner and the registered smallholders does not make the purchase of certified products dependent on the purchase of non-certified products.	0	
TR-AG 5	TR-AG 5.1	The Market Access Partner writes a sourcing plan summarizing expectations regarding volumes to be sourced in the next 6 to 12 months, and shares this with the Fair Trade Committee/Smallholder Organization(s).	0	
TR-AG 6	TR-AG 6.1	<i>Applicable as soon as the Smallholder Organization is legally registered or Year 6 at the latest:</i> where legally permissible, the Smallholder Organization and the Market Access Partner negotiate an agreement on terms of trade for the duration of one harvest period on behalf of all registered smallholders. This agreement on terms of trade defines: <ul style="list-style-type: none"> • Agreed minimum volume to be purchased under Fair Trade conditions. • Quality and delivery of the product by the registered smallholders. • Fair Trade minimum price, market/contract price and/or how the price will be determined, and when payment will be made (payment terms). • The Fair Trade premium and the party responsible for paying the Fair Trade price and premium to the producers. 	6	
TR-AG 7	TR-AG 7.1	When credit or pre-finance is provided, the interest rate and conditions attached to the offer are agreed upon in advance with the registered smallholders.	0	
	TR-AG 7.2	When credit or pre-finance is provided, the interest rates charged are not higher than the cost of borrowing.	0	
TR-AG 8	TR-AG 8.1	All elements of contracts with Fair Trade buyers are fulfilled at the conditions agreed in the contract, unless changes to the contract are mutually agreed upon between the Market Access Partner and its buyer in writing. This holds true, even if Fair Trade USA publishes new Fair Trade Prices.	0	
CS Contract Suspension				
TR-CS 1	TR-CS 1.1	When the Market Access Partner or its buyer is suspended, within 6 months, the contracts that have already been signed are fulfilled, or new contracts are only signed with partners that the Market Access Partner had an existing trade relationship with (commercial transactions that have taken place in the previous 12 months). The volume traded during the suspension period does not exceed the greater of: 50% of the volumes traded in the preceding 12 months, or, the total volume contracted prior to the suspension.	0	M

Standard Reference No.	Compliance No.	Compliance Criteria	Time (Year of Evaluation)	Major
DC Decertification				
TR-DC 1	TR-DC 1.1	If the Market Access Partner is decertified, it must stop selling any Fair Trade product from the date of decertification, even if it has signed Fair Trade contracts that are yet to be fulfilled.	0	
TR-DC 2	TR-DC 2.1	The Market Access Partner may not sell products to decertified operators for sales as certified products from the date of decertification. Contracts that have not yet been shipped shall not be classified as Fair Trade contracts.	0	
FTT Use of Fair Trade Trademark				
TR-FTT 1	TR-FTT 1.1	Organizations that are certified to sell Fair Trade certified products may use the Fair Trade certification mark in promotional materials (such as brochures, websites or wholesale packaging).	0	
	TR-FTT 1.2	Only licensed partners of Fair Trade USA may use the Fair Trade Certified certification mark on finished products and they follow the Fair Trade USA Label Use Guide.	0	