

FAIR FOR LIFE

SOCIAL & FAIRTRADE CERTIFICATION PROGRAMME

VERSION 2011



CONTROL MODULE 6: CRITERIA FOR WILD COLLECTION OPERATIONS

CONTROL MODULES OF THE FAIR FOR LIFE PROGRAMME

1. LABELLING AND CONTROL CRITERIA

Module 1, see separate document

2. CRITERIA FOR HIRED LABOUR OPERATIONS

Module 2, see separate document

3. CRITERIA FOR PRODUCER GROUPS

Module 3, see separate document

4. CRITERIA FOR HANDLING OPERATIONS

Module 4, see separate document

5. CRITERIA FOR PROCESSING AND ARTISAN OPERATIONS

Module 5, see separate document

6. CRITERIA FOR WILD COLLECTION OPERATIONS

Presented in this section

7. CRITERIA FOR MINING OPERATIONS

Module 7, see separate document

8. CRITERIA FOR TOURISTIC SERVICES

Module 8, see separate document

9. INTEGRATED PRODUCTION CRITERIA

Module 9, see separate document

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Structure of Standard and Minimum Requirements for Certification

Principle: fundamental Fair for Life rule, serving as a basis for reasoning and action

(a) Criteria: A state or aspect of a process or system, which should be in place as a result of adherence to a principle. The way criteria are formulated should help to assess degree of compliance in an actual situation

Guidance Texts provide additional background information and clarification to better understand the criteria and Fair for Life expectations

Following the criteria is a list of performance indicators (control points). Performance indicators further define the criteria and are the basis of compliance assessment and performance evaluation. For certification applicants they can also be used for self-assessment.

N ^o	Control Points Forced Labour	MAX	Score
1	(0) Clear evidence (2=M) no indication of forced labour	2 M=2	

Rating of performance indicators:

0= very poor performance / not compliant at all. Performance must be improved for continued certification

1= not yet sufficient, but already positive developments towards the norm for good social performance

2= defined as the norm for good social performance;

3= voluntary performance higher than norm, beyond minimum requirements

4= exceptionally high performance; outstanding, far beyond minimum requirements

M= indicates a "MINIMUM Requirement", i.e. this requirement must always be fulfilled in the respective time frame. In the years before the respective requirement becomes a MINIMUM requirement (e.g. the first year of certification, if a requirement is MINIMUM from year 2 onwards), the company will be expected and reminded to demonstrate progress towards meeting the MINIMUM requirement in due time.

MAX = Maximum number of points awardable for the respective control point; All rating levels up to the MAXIMUM may be chosen, even if not explicitly defined in the control point text (→ comments necessary)

Total Norm Points (TNP) = Total number of points if all norm requirements were fulfilled, i.e. rated as "2".

N.A.: If a control point is not applicable to the operation, it is indicated as n.a. and the respective norm and maximum points are not included in the calculation of applicable Total Norm Points and applicable Maximum points as assessed in the certification process and presented in the final rating.

Minimum Requirements for Certification:

- For certification, the following percentages of applicable Total Norm Points must be met: **First year: 90%, Second year: 95%, Third Year: 100%**. Continuous improvement is expected.
- All M= MINIMUM requirements must be fulfilled in the indicated time frame, e.g. (M=2 from year 2) means that for the first certification an operation may still be slightly below the norm as implementation of the requirement may take some time. For the 2nd certification, this norm requirement must be met, otherwise certification cannot be granted.
- If performance is rated as (0), a condition will be imposed to improve this aspect until the next update audit.

→ see also Module 1, chapter 1.3. Certification procedures

Applicability and Reference to Other Social Standards

This module applies to groups of wild collectors organized either independently as a group (e.g. cooperative) or by a processor / trader ("contracted collection").

The control points regarding group organisation as listed in this standard are directly based on the Fair for Life certification standards for smallholder producers (Module 3) and also incorporate some basic principles and specific control points from the FairWild Standards (Version 2).

Definitions

Collection: Any sourcing of biological starting material in unmanaged ecosystems or in managed ecosystems if the target species is not part of active ecosystem management. It also includes any home processing work (such as e.g. sorting or drying) that is carried out by collectors or their families before delivery of the produce to the group operation for further processing.

Group Operator: The operator who manages a group of collectors to collect the products to be certified is called group operator. This can be e.g. a cooperative ("organised collectors group") or a wild collection company or NGO contracting individual collectors ("contract collection").

Organized Collector Group: Collector cooperative or formal collector associations etc, which receive the products from their members and sell them as a group.

Contract Collection Operation: A wild collection company e.g. exporter or NGO, which contracts collectors (sometimes through collector subgroups) and purchases their products.

Collector: Individual collector in a collector operation OR collector in a collector subgroup (see below).

Collector Subgroups: Relevant in cases where the collection is organised by several subgroups; these may have independent organisational structures but operate under the responsibility of the group operator.

Umbrella Collector: Collector in a collector group operation, who subcontracts others to collect products on his / her behalf and then sells the total of collected products to the group operator. A collector is considered "umbrella collector" if more than half of the quantities sold to the group operator originate from his / her subcontracted collectors. Umbrella collectors will normally pay their subcontracted collectors according to the quantities that they collect. If umbrella collectors pay "workers" a daily fee to collect products on their behalf and if this arrangement takes place for the majority of the collection season(s) and the collected quantities of these "workers" constitute the majority of certified products delivered by the collector, these "workers" are also considered subcontracted collectors under this standard.

Subcontracted Collector: A person who collects products for an "umbrella collector" for the substantial part of his / her working time. Subcontracted collectors are normally paid per product delivered. The term "collector" as used in this standard applies to both directly contracted and subcontracted collectors, thus subcontracted collectors have the same rights and duties as collectors. They must be listed in collectors' lists, trained in sustainable and socially responsible collection and shall benefit from the FairTrade Prices and activities.

Collection Workers: contracted by collectors to occasionally help in collection (paid per amount collected or per time, e.g. assisting the collector) or to work in post-collection handling at the collector's home. If workers work regularly and substantially in collection, they are only considered workers if paid per time worked - if paid per quantity collected they are considered subcontracted collectors

6 CRITERIA FOR WILD COLLECTION OPERATIONS

6.1 ORGANISATION OF THE GROUP

6.1.1 Transparent Administration and Relations with Collectors

Principle 6.1.1 The group operator acts as responsible and fair trading partner for the collectors in the group.

- a) The group operation applies good business practices.
- b) The group operation respects and supports all collectors in the group as long term trading partners, in particular it seeks to establish a fair system of purchasing.
- c) The group operation encourages and supports interaction and exchange between collectors and supports the set up of one or more collector representation organisation(s).

No	Control Points: Transparent Administration and Relations with Collectors (ALL Groups)	MAX	SCORE
1	The group operator has a regularly updated business planning and long term strategic policy, including adequate consideration of benefit sharing: (0) no planning or written policies (1) ok planning, but no / few written documents (2) ok basic business planning, including adequate consideration of benefit sharing aspects (3) very good planning, important business information accessible to all growers in the group.	3	
2	The group operator has (0) no (1) poor (2) good official book keeping (3) which is audited annually by a qualified external audit company.	3	
3	Individual collectors (also if organised in subgroups): (0) not informed (2) receive basic information on approximate quantities that will be bought by the group operator (if it is often the case that only part of collection is bought: fair selection criteria as to whose harvest is bought (3) good information for collectors on deliverable products; efforts to buy substantial quantities from all collectors.	3	
4	<u>Additional points for voluntary commitment:</u> Special support schemes for collectors (e.g. inputs at subsidised prices, loan schemes, community projects) paid directly by group / company (not from FairTrade Premium): → comment and give (0) to (4) points depending on level of support; No norm requirement.	(4)	
5	If collectors' dependency on a single product is a serious economic problem, the supplier is making (0) no (1) some (2) reasonable (3) exceptional efforts to promote product diversification.	3	
TOTAL		MAX	TNP
(TNP / Maximum points are summed up in subchapters 6.1.1.1 and 6.1.1.2 respectively)			

6.1.1.1 Additional Requirements for Organized Collector Groups

Organized collector groups: collector cooperatives or formal collector associations etc, which buy the products from their members and sell the final products as a group.

- d) Collector groups are democratically organised and collectors are informed and participate in all key business decisions.

No	Control Points: Additional Requirements for Organized Collector Groups	MAX	SCORE
1	An organisational structure which enables participation and control by the members: (0) not in place (1=M year 1 and 2) very basic OR in set up phase (2=M from year 3) functioning group organisation in place (3) well established and already successfully practiced for > 2 years (4) exceptional commitment and active participation of members.	4 M=1 M=2 from Yr 3	
2	There is (0) no general assembly (1) a general assembly with limited voting rights (2=M from year 2) an annual, well announced general assembly with voting rights for all members (3) a well attended general assembly / collectors really participating well in group decisions (4) exceptional participation.	4 M=2 from Yr 2	

3	Collectors are informed about the group's overall business policy and new developments and feel part of the group: (0) very low collectors' involvement and information (2) good overall involvement of collectors (3) collectors are very involved in the group organization or feel strongly supported by the group (4) exceptional; organization effectively run and managed by collectors.	4	
4	Regular meetings / exchange in group / sub-groups / village centres, etc.: (0) no such active subgroups (2) adequately active subgroups; group members know each other (3) committed and active subgroups; good exchange and interaction between members (4) outstanding exchange and interaction.	4	
TOTAL 6.1.1 PLUS Additional Requirements 6.1.1.1		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		32	16

6.1.1.2 Additional Requirements for Contract Collection Situations

- e) While initially the contract collector group operator (in the case of the company or NGO contracting the collectors) may be the organizing instrument for the social and economic development of the contracted collectors, a collectors' representation organization needs to be initiated. This collectors' representation organisation can represent the collectors' interests in negotiations with the contracting company. If more suitable, several collector representations can be set up (e.g. for different regions).

Collectors may be organised in one or several collector associations working closely with the contracting operator, who often provides the ICS and organises the purchasing. Alternatively the contracting operator works with the collectors individually and initiates the set up of a representation organisation to facilitate communication and negotiations with the collectors. If more suitable, several collector representations can be set up (e.g. for different, independent regions). The main purpose of the representative organisation is that collectors elect their representatives who in turn can have more regular and in depth discussions with the group operator and act as communication link between the operator and the collectors. The representatives shall facilitate collectors' meetings to understand the collectors' needs and to maintain good communication on key issues in both directions.

The collectors' representation organisation shall ensure that the collectors are informed and have a say in all aspects that directly concern their trade relation with the contracting company. This concerns in particular price setting and purchase practices, internal production standards / production requirements, as well as all aspects related to the FairTrade Development Premium (in case of Fair for Life FairTrade certification).

In the case of scattered individual collectors with limited communication with fellow collectors in the group and hence very low practicability of a joint representation, the collectors may opt out of having a formal representation organisation. In this case particular focus will be on communication between collectors and the collection company, e.g. by means of open discussions during trainings, discussions in small nucleus groups with feedback to management.

If the collectors are organised in collector subgroups with reasonable bargaining power of their own, the focus is still on transparent and fair relations between the group operator and the individual collectors through the subgroup intermediary structure; a representation organisation of the collectors still has to be initiated.

If individual collectors sub-contract other collectors to collect produce for them ("umbrella collectors", see definition above), these sub-contracted collectors must be equally listed as the group's collectors, even if organised and coordinated by the umbrella collector. They must be equally trained in sustainable and socially responsible collection, must receive the same fair prices for the products (if relevant with a deduction of reasonable and transparent overhead costs for the "umbrella collector") and may participate in group decisions, e.g. on Premium use. However, if collectors only contract occasionally additional help in collecting certain products, under his / her supervision, instruction and operational risk, these collectors are considered as workers. Their rights are protected as indicated in the section 6.2.2.

- f) The contracting company may not misuse the contractual relationship as a means to lower purchase prices (without prior agreement by collector organisation due to substantial reasons) nor to create economic dependency for the collectors. Collectors must be free to cancel their contracts.

No	Control Points: Additional Requirements for Contracted Collection Situations	MAX	SCORE
1	There a producer representation organisation with democratic structure: (0) no producer representation; (1) some basic group structures in development OR group operator supports set up (2=M from year 2) a constitutionally democratic structure with rights for all members to elect their representatives OR exceptional case that producers opt out, see guidance above (3) active democratic structure (with at least an annual assembly in which critical issues are discussed) (4) formal active democratic organisation, e.g. cooperative of producers.	3 M=2 from Yr 2	

2	The collectors' representation organisation is (0) still not existing / no effort made towards it (1) informal discussions between collectors (2=M from year 3) effectively in place, and meeting regularly . If not yet in place, a development plan must be presented and if necessary external experts must be included to support group development with positive participatory methods (3) active collectors representation with effective bargaining power for collectors (4) formal active democratic collectors' organisation.	4 M=2 from Yr 3	
3	The group operator and the collectors' representation organisation(s) have regular and open communication on new developments, clear relations between operator and the collector and organised group activities: (0) no communication at all (1) irregular or only very limited interaction and communication (2) adequate and regular communication with at least 2 meetings a year (3) close cooperation and communication.	3	
4	The group operator facilitates and supports basic administrative running costs of the collector group representation – until the collector group is a fully independent registered legal entity and can fully negotiate prices which include these costs in addition to fair purchase prices: (0) no support although substantial communication costs for collectors (1) very little support (2) adequate support of effective costs for collector representation organisation: communication costs and basic support for meetings (room, drinks) (3) good support (financial and organisational) (4) collector association with own budget.	4	
5	Interaction and exchange of collectors with each other to support the development of a group feeling (0) no efforts, collectors don't know even other registered collectors in their own village (2) adequate efforts by the group operator; reasonably active collector subgroups or exchange between collectors (3) very committed and active subgroups or overall group; very good exchange and interaction between members (4) formal collector association with regular general assembly.	4	
6	Collectors feel: (0) misused (1) contractual relationship not good, but acceptable (2) fairly well treated in the contractual relationship (3) very well treated.	3	
7	Cancellation of contract by the collector: (0) not possible (1) by contract free to cancel (2=M from year 2) effectively free to cancel the contract within an appropriate and fair time frame and with fair conditions.	3 M=2 from Yr 2	
8	The contracting company gives (0) no (1) very little (2) sufficient basic (3) very detailed information about market prices or its cost / profit calculations in order to allow open discussion on prices paid to the collectors.	3	
TOTAL 6.1.1 PLUS Additional Requirements 6.1.1.2		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		43	24

6.1.2 Pricing and Collector Payments

Principle 6.1.2 Collectors receive a fair price according to an agreed pricing mechanism and are paid in a convenient, regular and well documented way.

- The group operator has and follows clear rules to set prices paid to collectors.
- Collectors are promptly paid after collection or delivery of the product and in a manner convenient to them. Payments are documented.
- Quality grading is done in a transparent manner and any group services or inputs provided by the group operator are not charged above market rate.
- Prices paid to collectors always cover the costs of collection and allow collectors to continue collection. They shall aim to cover the collectors' basic needs and to provide some discretionary income.

For FairTrade collection groups, see also additional requirements in chapter 6.6 of this module

No	Control Points: Pricing and Collectors Payments	MAX	SCORE
1	Collector Price fixing methods are (0) arbitrary and there is no uniformity (different collectors receive different prices) (1) no rules but there is uniformity (prices of collectors in the same area do not differ) (2) at least roughly defined mechanisms / rules that are communicated to all collectors. If there are subgroups, prices paid to individual collectors are known and overheads for subgroup clearly defined (3) rules are drawn up with participation of collectors (4) rules as well as actual prices are always fixed in consultation with the collectors or their representatives.	4	

2	Collectors receive payment for products delivered (subject to meeting quality requirements) (0) in instalments or not at all / very late (1) more than two weeks after delivery (2=M) reliable and regular payment , normally within a week of delivery (3) immediately upon delivery (4) an advance payment of at least 20% of the value and the balance on delivery.	4 M=2	
3	Method of payment: (0) in kind or in a very inconvenient way (1) by cheque (2) cash or bank transfer (3) operator assists collectors to set up bank accounts or other better-than-standard arrangement favoured by the collectors.	3	
4	Payments to collectors (0) are not documented (1) only total paid is documented (2) the payment documentation clearly indicates the quantity, price per unit, total value and deductions, if any, in detail, but collectors are not issued a copy (3) complete documentation and collectors are issued a copy of payment documentation.	3	
5	Quality requirements and grading procedures: (0) not defined and arbitrary (1) specifications and grading rules in place but not followed (2) specifications are in line with industry norms and followed (3) quality and grading procedures always done with the collector being present.	3	
6	Collector prices paid cover basic production costs: (0) prices clearly do not cover production costs / collectors forced out of collection due to low prices (2=M from year 2) prices paid to collectors cover at least basic costs of production and allow collectors to continue collection (3) very good prices (4) exceptionally high prices (even if due to market levels).	4 M=2 from Yr 2	
7	The group operator prepares a summary of total money paid to each collector: (0) no summary would even be possible from documentation (1) no summary done (but would be possible to calculate) (2) collector receives information on total quantity delivered and total money paid to collector in the respective season / year (3) this information is made known to the family of collector.	4	
8	<u>Additional points for voluntary commitment:</u> The organisation (0) does not have programmes to educate collectors on cash management, budgeting and allocation of resources (1) has basic programmes to educate collectors on cash management budgeting and allocation of resources (2) provides regular counselling on cash management, budgeting and allocation of resources (3) helps individual collectors in managing their income. Rating (0) to (3). No norm requirement.	(3)	
TOTAL		MAX	TNP SCORE
Maximum Points / Total Norm Points / Effective Points		28	14

6.1.3 Non-Discrimination and Gender Aspects

Principle 6.1.3 Membership to the group is as open as possible and does not contribute to gender discrimination or discrimination of particular social groups.

- a) There is no restriction to group membership or to becoming a contracted collector based on race, colour, religious beliefs, gender, political affiliation, national extraction, sexual orientation or social origin.

No	Control Points: Non-Discrimination and Gender Aspects	MAX	SCORE
1	Statutes and / or rules of membership (0) clearly restrict (1) impose some discriminatory conditions (e.g. only unmarried persons, minimum educational qualifications, etc.) (2=M) do not restrict access to membership based on race, colour, religious beliefs, gender, political affiliation, national extraction, sexual orientation or social origin.	3 M=2	
2	There are defined rules and practices for assessing new collector applications or group extensions: (0) clear exclusion of certain groups or people or personal preferences in selecting new members / collectors (1) no systematic exclusion or preference practiced but no clear procedures (2) basic, transparent procedures on group extensions or selection of new applicants (3) efforts demonstrated to analyse new potential collector groups also according to marginalisation and need criteria, inclusive practice for new applicant collectors.	3	
3	Disadvantaged groups (other than women) are (0) systematically excluded (2) not systematically excluded, even if not present (3) encouraged to participate actively in the group (committee members, staff, become full members) (4) offered strong support and encouragement.	4	
4	Women collectors (or male collectors if potentially discriminated): (0) excluded (1) not	4	

	excluded but not present (2) not excluded, some women (man) members, wives of members are free to also attend group meetings (3) women (or discriminated men) are actively encouraged to participate in the group and become full group members / many women members (4) special support and adapted organisation of meetings etc to encourage and include women (discriminated men).		
5	Trainings and group activities for registered collectors adequately include all family members who are involved in production: (0) clear exclusion of e.g. wives or husbands of members (2) active promotion of group participation, appropriate organisation of trainings to also include collecting family members, etc. (3) big efforts to include women.	4	
6	Collectors and workers are always paid directly (e.g. for woman collector, payment is to woman, not her husband): (0) no direct payment (2=M) payment always directly to collector or to his / her authorised recipient of payments.	2 M=2	
7	<u>Additional points for voluntary commitment:</u> The group is active in strengthening the overall social and economic role of women (or men, if disadvantaged) in the communities and in the group by specific programmes, trainings, adapted procedures for e.g. group meetings. Rating (0) to (4). No norm requirement.	(4)	
8	<u>Additional points for voluntary commitment:</u> The group creates specific and particularly beneficial opportunities (e.g. as collectors, workers, micro entrepreneurs) for disadvantaged / discriminated ethnic (e.g. minorities) or social (e.g. handicapped) groups. Rating (0) to (4). No norm requirement.	(4)	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		28	12

6.1.4 Internal Control System

Principle 6.1.4 The group operation develops an Internal Control System that monitors implementation of Social Responsibility / FairTrade and environmental principles in collection.

- a) A basic Internal Control System (ICS) monitors the implementation of the requirements of this standard by collectors and ensures that only produce from registered collectors is bought.

The ICS also ensures close contact with the collectors and the understanding of their needs e.g. of training. An ICS comprises an internal collection standard, monitoring of implementation of the internal standard by the collectors and defined procedures to deal with collectors who do not show any efforts or improvements in dealing with key identified problems. Often the Social Responsibility / FairTrade ICS is combined with e.g. the organic ICS.

- b) An Internal Social and Environmental Standard is developed together with collectors and summarizes relevant key aspects that collectors in the group commit to work towards and this standard is communicated. Collectors in the group are made aware of their obligations (as well as rights) as socially responsible / FairTrade collectors.

The Internal Social and Environmental Standard is usually part of the overall internal standard which includes e.g. also sustainable collection rules for the collectors in easy and clear terms. The Internal Social and Environmental Standard summarizes all core aspects that are relevant for each collector in the group, e.g. fair treatment of collectors, safety aspects and children assisting in the collection. The Internal Social Standard may contain specific FairTrade aspects (if applicable).

For social aspects the standard should contain minimum requirements as well as progress objectives. The bigger and more labour intensive the collection subgroups (if any), the more details will be expected in the standard.

The social standards are made known to all collectors. All collectors need to have a copy of the Internal Social Standard written in a language they can understand and / or using pictorials.

No	Control Points: Internal Control System (ALL Groups)	MAX	SCORE
1	The group has a list with all registered collectors: (0) no list or register (1=M) paper register or electronic, slightly incomplete list (2 = M from year 2) complete list with names, place and collected products (if not the same for all collectors), year of registration and names of family members or subcontracted collectors regularly participating in the collection.	2 M=1 M=2 from Yr 2	
2	The group has (0) no (1=M) basic overview even if no formal ICS yet; external inspection confirms overall picture (2) written up to date overview information on working	3 M=1	

	conditions in collection (sufficient if well described in Operator profile).		
3	If collector subgroups or individual collectors with contracted labour are part of the group operation: (0) these are not yet known; no knowledge of labour situation at all (1=M) hired labour situation of collector subgroups and individual collectors with hired labour is known to the group operator (2=M from year 2) all collectors of collector subgroups are listed in collectors' list and all relevant labour aspects are monitored and targeted in improvement plans, etc. <i>If no collector subgroups as part of the group operation → (n.a.)</i>	2 M=1 M=2 from Yr 2	
4	Internal Social Standard (see guidance): (0) no standard; no clear understanding of social aspects of collection (2=M from year 2) internal standard includes relevant social aspects as basis for internal control , adequate for collectors' situation with regard to social standards (3) social standards well developed, with collectors' participation.	3 M=2 from Yr 2	
5	Collectors are aware of (internal) social standard requirements and progress objectives as relevant for their activities: (0) no awareness at all (2) adequate awareness created through training and group discussions – as far as changes in practice are required (3) collectors very committed to also improve the situation of their workers OR no <i>occasional</i> workers.	3	
6	A basic ICS that also covers social aspects is in place within 1 year of certification (included in organic ICS, if also certified organic). For collector subgroups / individual collectors with hired labour: 6 months after first audit. <i>First certification: assess plans / capacity for each aspect → (2) if good plan and capacity, otherwise (1).</i>		
-a	Basic general and social / labour relevant data for each collector: (0) none (1) very basic (2=M from year 2) ok (3) very good, detailed data on collection and social issues.	3 M=2 from Yr 2	
-b	Risk-based internal inspection of social and environmental aspects as summarized in internal standard; systematic monitoring of collection and processing practices in the collection regions, each region and collector should be monitored at least once per 2 years (if collectors have major compliance problems: 1 inspection per year): (0) none (1) very basic (2=M from year 3) ok (3) very good inspection / supervision of social issues.	3 M=2 from Yr 3	
-c	Improvement system for non-compliant collectors: (0) none (1) very basic (2) ok (3) very good.	3	
-d	Qualified ICS staff: (0) no staff (1) very basic qualification (2) ok (3) very good staff.	3	
7	Collectors receive training on sustainable production issues: (0) none at all, although urgently needed (1) none / very little, but low demand (2=M from year 2) adequate training system, as needed . Training reaches all collecting family members or subcontracted collectors (3) very good training.	3 M=2	
8	If there are critical labour issues on collection level, there is (0) no (1) some ideas, but no plan (2=M) a written improvement plan which is implemented (3) a very good, annually reviewed plan to also achieve social improvements for this labour group.	3 M=2	
9	The purchase system ensures in principle that only produce from registered collectors is bought and that it is kept separate from non-certified produce: (0) no such system (1) some basic system in place (2=M) adequate system (3) very good traceability system.	3 M=2	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		34	24

6.2 WORKING CONDITIONS IN COLLECTION

Workers in collection also have a right to fair labour conditions and shall be included in the Social / FairTrade development planning of the group.

Note: For any larger collection subgroup with hired labour (more than approximately 10 permanent workers or more than 40 workers in total for more than 2 months per year), labour requirements shall be verified by means of section 6.3. Any really big collection operations with substantial number of workers (more than 20 permanent workers or more than 70 workers for more than 2 months a year), must undergo full hired labour certification according to Module 2 of this programme).

Collection Workers = employed or contracted workers, including temporary, seasonal or casual labour. Neighbouring collectors helping each other in collection (mutual exchange of work) are not considered as workers. Workers are paid for their working time, e.g. a daily wage or paid piece rate (or per kilo collected products) but only work occasionally in

collection. If they are subcontracted collectors rather than contracted workers (see definitions section), they are considered as collectors in this standard, not as “workers” and normal rights of collectors as defined in this standard must be ensured, even through the subgroup structure.

6.2.1 Child Labour and Young Workers in the Collection Process

Principle 6.2.1 The participation of children in the collection process is minimised and any work done by children with their family does not compromise schooling, is supervised and non-hazardous to the children’s’ physical and mental health.

- a) Children (<15 yrs) are not employed / contracted as workers, but children older than 12 years may be permitted to engage in light work for limited times after school or during school holidays to earn pocket money, provided that work does not compromise schooling and is non-hazardous to the children’s physical and mental health

ILO convention 33 permits that in non-industrial situations “Children over twelve years of age may, outside the hours fixed for school attendance, be employed on light work – (a) which is not harmful to their health or normal development; (b) which is not such as to prejudice their attendance at school or their capacity to benefit from the instruction there given; and (c) the duration of which does not exceed two hours per day on either school days or holidays, the total number of hours spent at school and on light work in no case to exceed seven per day; not on Sundays and legal public holidays nor during night.”.

Children older than 14 can be permitted to work up to 7 hours during school holidays.

- b) Children may help their family doing only light, non-hazardous collection or post-collection work for limited times a day:

Children are allowed to do light work for limited time per day together with their family provided that: such work is not hazardous or dangerous to their health and safety, it does not jeopardise the children’s educational, emotional, social or physical development, children are supervised by their parents, children are receiving appropriate training according to the type of work they are performing, and school education is not jeopardised by collection work.

No	Control Points: Child Labour and Young Workers in the Collection Process	MAX	SCORE
1	Children under 12 years EMPLOYED / CONTRACTED: There are (0) some children (2=M) no children under 12 years CONTRACTED by collectors. <i>If there are still contracted child workers → group has a plan for immediate action and is active to eliminate child labour responsibly; children do no hazardous work. Collectors with contracted child labour shall be suspended until responsibly resolved.</i>	2 M=2	
2	Children between 12 and 15 years EMPLOYED / CONTRACTED: Children of this age group (0) work substantially as contracted workers in collection (2=M) if sometimes working for pocket money, they only do light and non-hazardous work during non-school hours; not more than approximately 2 hours / day. In school holidays, 14 year olds less than 7 hrs / day (3) no children 12-15 years as contract workers. <i>If there are still contracted child workers (12-15 years) to a greater extent → group has a plan and is active to correct the situation AND children do not carry out any hazardous work. In severe cases collectors must be suspended.</i>	2 M=2	
3	Children of contract workers assisting their parents: (0) children assist the contract worker substantially (2=M) no work carried out by children of contract workers in collection, if occasionally helping: always nonhazardous, max 2 hours a day, not interfering with schooling. <i>If M not fulfilled → plan for improvement. Collectors with severe infringements are suspended.</i>	2 M=2	
4	Children < 12 years helping their families in collection or post-collection activities: (0) very common; children < 12 do substantial or heavy / hazardous work (1) sometimes / in some collector families children do substantial work (2=M) not common OR children do only very light and appropriate work for less than 2 hours / day under their parents’ supervision; farm work does not compromise school attendance (3) children < 12 do no actual collection work at all and there is high awareness about child labour / need for education (4) very good school attendance, no farm work. <i>If M not met → plan for immediate correction within a maximum of 2 years: in severe cases collectors must be suspended.</i>	4 M=2	
5	Children between 12 and 15 helping their families in collection or village collection if collection done as community: (0) very common; children work regularly for several hours / day (1) sometimes / in some collector families; children work for several hours / day (2=M) no SUBSTANTIAL work (more than approximately 3 hours / day regularly); work is non-hazardous and appropriate to their age (3) children between 12 and 15	4 M=2	

	do no regular collection work at all (but may accompany certain activities for training) AND high awareness about child labour / need for education. <i>If M not met → plan for immediate correction within a maximum of 2 years: in severe cases collectors must be suspended.</i>		
6	Young people (15-18 years) helping in collection (0) do (2) do not engage in work that is dangerous to their health or safety and that may jeopardize their development. <i>If no young people helping in collection → (n.a.)</i>	2	
7	If too much / too hazardous work is done by children in collection, the group has (0) no plan / activities (1) some ideas and activities (2=M) a plan with related implemented activities to gradually reduce / eliminate child labour and improve schooling rates (3) exceptionally good programmes <i>If no children working → (n.a.)</i>	3 M=2	
8	Young workers (15-18 years) EMPLOYED / CONTRACTED (0) do (2=M) do not engage in work that is dangerous to their health, safety and that may jeopardize their development. They do not regularly work more than 8h or 10h for school, transport and work combined. <i>If they do → improvement plan with related activities.</i>	2 M=2	
TOTAL		MAX	TNP SCORE
Maximum Points / Total Norm Points / Effective Points		21	16

6.2.2 Working Conditions in Collection

Principle 6.2.2 Collection workers have a right to fair and safe working conditions

- a) The collectors, their families assisting in collection and any contracted workers in collection must have safe and fair working conditions.

Many collectors will collect individually with only the help of their immediate families, but in case collectors also occasionally employ workers these workers must also have fair working conditions. The working conditions for family members shall also be fair and adequate.

Permanent worker: any worker working for a major part of the year (more than approximately 8 months) is considered as "permanent worker" in the following control points.

If collectors contract other people to collect products on their behalf and if the products collected by these subcontracted collectors constitute the major part of the collected quantities sold to the group by the "umbrella collector", these subcontracted collectors are also considered as collectors in the group. They must be listed in collector lists, shall be trained and shall receive a fair price for the collected products, even if organised by an "umbrella collector". If collectors contract others for collection for only part of the collection seasons as additional help, this is considered as contract work in the control points below.

In assessment whether the conditions applied are fair, the collectors' level of security, benefits and income from collection are considered.

If the collectors do not employ workers, the respective control points will not be applicable.

No	Control Points: Working Conditions in Collections	MAX	SCORE
1	If workers are employed: Forced or Involuntary Labour: (0) evidence (2=M) no indication of forced labour ; spouses of workers not obliged to also work in collection, collectors do not keep workers' identity papers or parts of wages of their workers and workers are free to leave.	2 M=2	
2	If workers are employed: Collectors (0) clearly do not allow (2=M) allow associative activities and collective bargaining of workers and do not discriminate against organized workers.	2 M=2	
3	If workers are employed: Disciplinary practices (0) violate human dignity OR are not transparent (2) fair and transparent; no deductions from wages without agreement of worker OR no disciplinary actions.	2	
4	Discrimination of workers: (0) evidence (2) no indication of systematic discrimination of workers (based on gender, race, caste, origin, religion, etc.); no sexually coercive / intimidating / abusive behaviour (3) good opportunities for disadvantaged social groups.	3	
5	Collection tools and processing machinery are (0) very unsafe / in dangerous condition (1=M) not really dangerous for workers or collectors (2) adequately safe for workers or collectors; work accidents not common (3) very good practice and equipment.	3 M=1	
6	Handling of chemicals by collector and / or worker: (0) no protection / very unsafe handling although toxic inputs (2=M) adequately safe handling procedures for specific activities. Protection of workers, collectors, and their family as required. If	3 M=2	

	<i>not ok</i> → <i>improvement / training plan for member collectors</i> (3) no toxic / irritating substances used at all OR very advanced handling procedures in local context.		
7	Workers and family members are informed about major safety risks and safe working practice: (0) not informed (1) sufficiently aware of existing risks (2) workers well trained OR no major safety risks.	3	
8	First aid equipment: There is (0) no (1) some incomplete (2) sufficient basic first aid equipment (as needed for potential work accidents) (3) good and complete first aid kit and knowledge in first aid.	3	
9	If permanent workers: Permanent workers are paid (0) less than local average (1) local average (2=M) at least applicable minimum wages¹ OR typical local rates (if higher or if no minimum wage defined) If paid by quantity collected, the price paid is in fair relation to the FairTrade Price received by the collector ; <i>If not: improvement plan with activities to comply within 1 year</i> (3) paid more than local average (including benefits, if any) (4) paid substantially more.	4 M=2	
10	If casual / seasonal workers: Casual or seasonal labour are paid (0) less than local average (1) local average (2=M) at least typical local rates ; If paid by quantity collected, the price paid is in fair relation to the FairTrade Price received by the collector ; <i>If not: improvements planned and implemented within 1 year, extension to 2 years may be granted on justification</i> (3) paid more than local average (including benefits, if any) (4) paid substantially more.	4 M=2	
11	If workers: Payments of all workers are (0) not done or unduly delayed (1) no fixed days or a few delays (2=M from year 2) done promptly and as agreed .	2 M=2 from Yr 2	
12	If workers: Payments are (0) not (1) poorly (2=M) documented, at least for permanent workers (3) documented for all workers.	3 M=2	
13	If workers: Working hours in collection are normally (0) far higher (1) slightly higher (2) not regularly higher than 60 hours a week; 1 rest day out of seven. Exceptions permitted for short peak periods (3) less than 42 hours.	3	
14	If workers are given housing by the collector: (0) not acceptable in comparison to local conditions (1=M) acceptable (2) safe and adequate housing conditions in local context; reasonably priced (3) very good housing in local context. <i>If collector with no workers → (n.a.)</i>	3 M=1	
15	If workers in collection are common, workers are included in social development plan of the group: (0) not included, although many collectors have contracted labour or subgroups with contracted labour (2) gradual improvement of working conditions of collection workers included in development plan / FairTrade Policy (3) demonstrated efforts to increase awareness in labour issues and work towards improvement of labour conditions.	3	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points*		43	30

* High score in this chapter may indicate either excellent working conditions for workers contracted by collectors, or that the participating collectors only use their own or their family's labour in collection.

6.3 LABOUR CONDITIONS FOR COLLECTOR GROUP STAFF

Workers in the collection operation (the company buying from collectors), i.e. all purchase centre staff, field staff, office staff and workers in group-operated processing units have the right to fair working conditions. Marginalised workers groups shall, at the least, be included in the Social or FairTrade Policy of the group and are potentially FairTrade Development Premium Fund beneficiaries (depending on analysis of needs in the FairTrade Policy).

Note: For any larger processing workshops / factories (more than approximately 20 permanent workers or more than 70 workers in total for more than approximately 2 months per year) operated by the group, the hired labour standards (Module 2 of this programme) apply. Such operations must be inspected and certified according to these standards – and this section is then only completed with regard to group operation staff (e.g. field officers, office staff in export office). For subcontracted processing units, please see Module 4, chapter 4.4 for requirements.

¹ In case of pay-per-production, calculate income of an average production day without overtime.

Workers in collection operation = All staff working in the operation including employees, permanent, seasonal, temporary, migrant, foreign, casual and sub-contracted workers in the fields, in production and also in office administration, etc.

6.3.1 Basic Labour Rights for Collector Group Staff

Principle 6.3.1 The group operation respects the basic labour rights of all its workers and staff.

- a) There is neither child labour nor forced labour
- b) There shall be no discrimination in hiring, compensation, access to training, promotion, termination, benefits or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, HIV / Aids, union membership or political affiliation.

Positive encouragement to overcome entrenched discrimination practices in the society is encouraged if permitted by law and until entrenched discrimination has been overcome. In case of discrimination entrenched in cultural norms or traditions, companies shall have proactive policies and programmes aimed at distributing opportunities more equally.

- c) Workers, without distinction, have the right to join or form workers' organisations of their own choosing.
- d) A safe and hygienic working environment shall be provided and the workers shall be trained in safety aspects.

No	Control Points: Basic Labour Rights for Collector Group Staff	MAX	SCORE
1	Child workers EMPLOYED / CONTRACTED: There are (0) some children (2=M) no children below 15 CONTRACTED as workers. <i>If there are still contracted child workers → see section 6.2.1 for policy details.</i>	2 M=2	
2	Children of contract workers assisting their parents: (0) children assist the contract worker substantially (2) no work of children of contract workers.	2	
3	Young workers (15-18 years) (0) do (2=M) do not engage in work that is dangerous to their health, safety and that may jeopardize their development. Not more than 8h working time, or 10h for school, transport and work combined.	2 M=2	
4	Forced Labour: (0) evidence (2=M) no indication of forced labour.	2 M=2	
5	Associative activities and collective bargaining of workers (0) clearly not allowed (2=M) allowed, no discrimination against unionized workers (3) workers are unionized or effectively organized / bargain as a group.	4 M=2	
6	Disciplinary practices: (0) violate human dignity OR are not transparent (2) fair and transparent; no deductions from wages without agreement of worker (3) very positive relationship between employer and workers; no need for major disciplinary actions.	3	
7	Discrimination: (0) evidence (2) no indication of systematic discrimination of workers (based on gender, race, caste, origin, religion, etc.); no sexually coercive / intimidating / abusive behaviour (3) employer active in promoting mutual respect and harmony between workers OR policies against discrimination written and implemented.	4	
8	Processing machinery and equipment (0) very unsafe / in dangerous condition (1) partly unsafe (2=M) adequately safe for workers; no serious work accidents. <i>If safety is a problem → improvement plan</i> (3) very safe, special efforts have been made to make workplaces as safe as possible.	4 M=2	
9	Adequate protection from chemicals, noise, dust, light (0) missing although necessary (1=M) provided in acceptable condition (2) provided, maintained and used (3) high protection efforts OR no risks at all.	4 M=1	
10	Workers are informed about major safety risks and safe working practices: (0) not informed (1) sufficiently aware of existing risks (2) workers adequately trained OR no major safety risks (3) workers very well informed and trained (4) exceptionally well trained in health and safety aspects.	4	
11	First aid equipment: There is (0) no (1) incomplete (2) sufficient basic first aid equipment (as needed for potential work accidents) (3) very good first aid equipment and emergency medical care.	3	
12	Pregnant or nursing women and other risk groups are (0) engaged in potentially hazardous work (2=M) excluded from potentially hazardous work, do not work at	2 M=2	

	night.		
13	Light and ventilation: (0) very poor (2) adequate by local standards (3) very good (4) exceptional efforts.	4	
14	Emergency procedures: (0) not in place, not known at all (2) known by all staff (even if not written) (3) good written safety procedures and signs (4) very good safety system.	4	
15	Emergency exits: (0) evacuation in emergency not possible (2=M) quick and safe evacuation in an emergency possible.	2 M=2	
16	Fire fighting equipment: (0) not available (1) in poor condition / not accessible (2) available and functional (3) well maintained, adequate and sufficient for size of operation.	3	
TOTAL		MAX	TNP SCORE
Maximum Points / Total Norm Points / Effective Points		49	32

6.3.2 Employment Conditions for Collector Group Staff

Principle 6.3.2 The group operation's workers are ensured good working conditions

a) Workers have defined employment conditions

There should be a written contract or comparable type of written agreement on employment conditions such as job position, working hours, overtime regulation, social benefits entitlement and deductions, annual paid leave and sick days as well as provisions on termination of employment.

b) Wages and benefits paid meet, at least, national legal standards. Payments are documented

c) Working hours are not excessive. Holidays as well as annual leave are granted as per national legal requirements.

No	Control Points: Employment Conditions for Collector Group Staff	MAX	SCORE
1	Defined employment conditions for permanent workers (job position, wage, benefits if any, working times, leave entitlement, housing if any): (0) employment conditions not defined, not even orally (1=M) clearly defined and known to worker , even if not written (2) contract or official registration of worker or other documents indicating at least the basic employment conditions (3) good contract system.	3 M=1	
2	Defined employment conditions for casual / seasonal workers: (0) employment conditions not clear, not even orally (1=M) wage and working times agreed and known to worker , even if not written (2) contract or official registration of worker or other documents indicating at least wages, working times (3) good contracts.	3 M=1	
3	Permanent workers are paid (0) less than local average (1) local average (2=M) at least applicable minimum wages² OR typical local rates (if no minimum wage defined). If not: improvement plan and demonstrated action towards compliance (3) paid more than local average or applicable minimum wages, if minimum wage is higher (including benefits, if any) (4) paid substantially more.	4 M=2	
4	Casual or seasonal labour are paid (0) less than local average (1) local average (2=M) applicable minimum wages OR (if not defined) typical local rates. If not: improvement plan and demonstrated action towards compliance (3) paid more than typical local wages or applicable minimum wages, if minimum wage is higher (including benefits, if any) (4) paid substantially more than local average wage.	4 M=2	
5	Training sessions, time lost due to machine stoppage and other events beyond control of worker are (0) not remunerated (2) paid at normal rate.	2	
6	Payments of all workers are (0) not done OR unduly delayed (1) no fixed days OR a few delays (2) regular and promptly when due.	2	
7	Payments are (0) not (1) poorly (2=M) adequately documented.	2 M=2	
8	If accommodation or other in-kind remuneration is offered: (0) workers cannot choose freely (2) workers can choose freely the type of remuneration preferred (e.g. cash instead of housing) (3) substantially lower than local prices / subsidized accommodation or food.	3	
9	If staff are given housing by the company: (0) not acceptable in comparison to local conditions (1=M) acceptable (2) safe and adequate housing conditions in local context; reasonable rates (3) very good housing; very good / subsidised rates (4) very good and	4 M=1	

² In case of pay-per-production, calculate income of an average production day without overtime.

	free.		
10	Weekly working hours of permanent workers are normally (0) far higher (1) slightly higher (2) weekly hours in line with national labour legislation; at least 1 rest day out of seven (3) weekly working hours lower than legal maximum hours OR working hours < 42 hours / week (4) exceptionally good working hour requirements; flexible working hours.	4	
11	Overtime is (0) compulsory, not remunerated extra (2) voluntary and at least paid as extra time OR time compensated; total working time not > 60 hours, including overtime (3) remunerated at premium rate.	3	
12	Holidays / paid leave: (0) no paid leave / holidays (2) holidays and paid leave granted as per legal requirements (3) generous paid leave allowance, paid sick days (4) exceptionally generous paid leave and sick days allowance.	4	
13	Basic coverage for retirement / provident fund: (0) none at all (2=M) for all workers as legally required (in many cases for permanent workers only). <i>If not → plan for correction within 1 year for all permanent workers, and 2 years for all temporary workers - as far as legally required</i> (3) better than legally required OR for all workers with adequate contributions from employer (even if legally required) (4) exceptionally high coverage and contributions by employer.	4 M=2	
14	Basic coverage for maternity is guaranteed: (0) not at all (1) some efforts / not yet sufficient (2) basic coverage for permanent workers as per legal requirements (3) for all workers or for permanent workers higher than required OR at least 12 weeks (4) exceptionally generous practice; substantial contributions by employer.	4	
15	Regular employment for regular workers (working permanently but at limited contracts or as casual workers): (0) no regular workers have the status of permanent workers (1) a few cases of long term workers without benefits of permanent workers (2) regular workers are employed with all benefits of a permanent worker: regular work guaranteed, social security payments, sick-days / paid leave entitlements, etc. May be salaried or paid on daily wage (3) some efforts to provide more workers with regular employment than local practice (4) special effort to provide regular employment.	4	
16	If (some) workers are clearly marginalised → included in social development plan of the group operation: (0) not included (2) gradual improvement of working conditions of workers included in development plan / Social Policy (3) demonstrated commitment to improve OR consistently provide good labour conditions of workers. <i>If no workers marginalised → (n.a.)</i>	3	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		53	32

6.4 SOCIAL RESPONSIBILITY AND COMMUNITY RELATIONS

6.4.1 Commitment to and Management of Social Responsibility

Principle 6.4.1 The group operation defines, implements and communicates its commitment to FairTrade principles and centres its development focus on collectors' and workers' welfare.

a) The company has a Social Responsibility Policy or Social & FairTrade Policy (depending on certification scope) that details its commitment to empowerment of and fair relations to collectors, good working conditions for all and its continuous improvement of performance as a company. Ideally, the Policy is developed in cooperation with collectors and workers.

Organized smallholder collector organisations have 2 years to develop a written policy.

b) The Social Responsibility / Social & FairTrade Policy covers the following aspects:

- Long term commitment to good relations with collectors and workers, to comply with For Life / Fair for Life group certification requirements (as applicable) and to continuous improvement.
- Objectives and development targets of For Life or Fair for Life certification
- Summary of rights and responsibilities of management and collectors with regard to fair relations to collectors, pricing, training, basic worker rights, conditions of employment, rights of indigenous people and community relations. References may be made to more detailed manuals, procedures or policies, but still the overall commitment shall be written down in all key aspects

- The policy must be signed by top management and must be made known to all collectors' staff. Corporate Social Responsibility and workers' welfare shall be embedded in the overall mission statement and company policy.
 - If the wild collection group operation for Fair for Life FairTrade certification, the policy includes details on FairTrade beneficiaries, administration of the FairTrade Development Premium Fund, the decision process for Premium use and intended Premium use (rough description of types of projects to be possibly funded) in adequate detail to ensure smooth implementation of FairTrade obligations described below.
- c) The Social Responsibility / Social & FairTrade Policy is accessible in a comprehensive form to all collectors and group operator personnel, including executives and supervisors. It shall also be publicly available, preferably on the company's website. The policy is reviewed regularly and revised when necessary.
- d) The group operation must plan and implement the necessary activities to comply with the Fair for Life certification requirements and applicable law and to effectively implement its Social Responsibility / Social & FairTrade Policy.

No	Control Points: Commitment to and Management of Social Responsibility	MAX	SCORE	
1	SR / SFT commitment (see above): (0) none, very low management awareness of social issues, low commitment (1) no written policy, but some social commitment (2=M from year 2) written basic policy covering the key commitments. For organized collector groups (2=M from year 3) (3) well developed policy, developed in cooperation with collectors.	4 M=2 from Yr 2		
2	The policy and the commitment to externally certified Social Responsibility performance is made known to the collectors and workers: (0) not at all (1) made available on request OR formally available to collectors and workers without really informing them (e.g. on inactive notice boards) (2=M from year 3) collectors and workers are adequately informed of the company's commitment to Social Responsibility (and FairTrade, if applicable) and key aspects of the Social Responsibility / FairTrade Policy, e.g. the policy is presented at annual collector meetings or staff trainings, or published prominently on site, etc. (3) collectors and workers are trained and are aware of the policy commitments of their employer.	3 M=2 from Yr 3		
3	There is a senior management representative responsible for Social Responsibility or Social & FairTrade certification and performance: (0) no clear responsible manager or coordinator (1) somebody responsible, but with insufficient management power (2) suitable Social Responsibility / Social & FairTrade coordinator (3) good, active management and collector representation with regard to standard performance, spirit of cooperation to reach / maintain certification and improve social impact for identified target groups.	3		
4	The operation has adequate management in place to implement its Social Responsibility / FairTrade Policy and ensure continued compliance with this standard: (0) no quality management system nor social quality awareness in place at all (1) simple management system, responsible coordinator reasonably capable of coordinating implementation, but social issues not embedded in company management (2) adequate basic management in place to ensure continued compliance with the standard, set objectives, develop procedures and define activities to address specific social issues of concern – if any (3) Social Responsibility / FairTrade aspects firmly embedded in all company policies and management.	3		
5	If the group has contracted processors and certified products: (0) no clear contracts or supervision of separation and traceability or social conditions at contract processor's known or supervised (1) simple contracts outline at least separation and traceability obligation of Fair for Life certified products (2=M from year 3) contracts outline separation / traceability requirements as well as obligation to provide fair working conditions - see details in Module 4, chapter 4.4 in which cases additional monitoring is required (3) very good traceability approach and close cooperation / supervision of subcontractor.	3 M=2 from Yr 3		
TOTAL		MAX	TNP	SCORE
Maximum Points / Total Norm Points / Effective Points		16	10	

6.4.2 Community Relations

Principle 6.4.2 Fair for Life group operations incorporate high social and cultural values and take an active role in the sustainable development of the communities and societies in which they operate.

- a) Group operators are expected to make positive economic, social and cultural contributions beyond legal obligations. In particular they are expected to reach out to remote and marginalized collectors and provide local employment.

Other examples of positive contributions: active training of workers from the local community, supporting community cultural activities, preserving local traditions, engagement in social projects in the community (e.g. direct support, fundraising, management support), supporting the Corporate Social Responsibility and FairTrade movement, educating the public and providing training in local businesses or within the operation's supply chains, raising awareness on environmental problems and improved environmental management practices (e.g. training in composting and recycling), or marketing own products locally at a reasonable price.

In the assessment of positive engagement beyond FairTrade Premium projects, the size and economic position of the group operator will be considered.

Projects financed through FairTrade Premium may be mentioned – but in the performance rating it should be considered that the FT Premium is usually a contribution paid by the FairTrade buyer of the products. In particular in contract production situations the evaluation should specifically consider contributions and efforts by the contracting company itself (not only Premium projects).

No	Control Points: Community Relations	MAX	SCORE	
1	The group operation reaches out to collectors in remote and marginalized regions: (0) no marginalized collectors included although present in project region and producing relevant crops (1) some marginalized collectors, lower than other comparable group operations in the region (2) group also includes collectors in more remote and marginalized regions, at least at similar levels as comparable to similar companies in the region (3) clear efforts (4) outstanding efforts to identify and include particularly marginalized collectors OR entire group project based in marginalised region.	4		
2	The group operator provides employment (incl. training, if required) for people from nearby local and / or indigenous communities: (0) no employment opportunities for local / indigenous communities provided (1) very few jobs provided to local / indigenous communities (2=M) operation provides job opportunities for local / indigenous communities (3) job opportunities for local / indigenous communities include management positions (4) operation is predominantly run by the local / indigenous groups.	4 M=2		
3	<u>Additional Points for voluntary commitment:</u> The company provides income and employment to marginalised workers in the respective local setting. Rate commitment (0) to (4). No norm requirement.	(4)		
4	<u>Additional Points for voluntary commitment:</u> The group operator as business entity supports the local communities through its engagement in social, cultural or environmental projects (e.g. support of schools or local health services, scholarship programmes) – Rate activities beyond FairTrade Development Premium projects from (0) to (4) and provide comments. Organized collector groups: include rating of collectors' empowerment through this organisation. No norm requirement.	(4)		
5	The group operator is active in awareness creation, education and training in social responsibility and environmental protection / sustainable use of land and natural resources. Rate performance from (0) to (4) and provide comments.	4		
6	The group operator's activities and efforts in the local community do not have a negative impact on local / indigenous communities, on the environment or on local sustainable development: (0) activities have a tangible negative impact on local sustainable development, e.g. lobbying for weaker environmental legislation, active promotion of unsustainable practices (2=M) operation's activities are in line with sustainability principles (3) to (4) very good / outstanding efforts and contribution to sustainable development.	4 M=2		
TOTAL		MAX	TNP	SCORE
Maximum Points / Total Norm Points / Effective Points		24	8	

6.4.3 Respecting Rights of Indigenous Peoples and Local Communities

Principle 6.4.3 Fair for Life group operators have legitimate collection rights and respect the rights of indigenous people with regard to use of local resources and traditional knowledge.

- a) The group operation must have legitimate collection rights. Disputes must be resolved responsibly and transparently before certification can be granted.
- b) If relevant, the group operation respects the rights of indigenous people regarding the use of genetic, biological and other local resources and traditional knowledge (TK).

In the application of criteria (a) and (b) the rules outlined in ILO Convention 169 (Indigenous and Tribal Peoples Convention) must be respected at all times when the rights of indigenous or tribal peoples may directly or indirectly be affected by an operation.

The control points for verification of this aspect are the core indicators of the FairWild Standards Version 2, in chapter 4.1 and 4.2.

No	Control Points: Respecting Rights of Indigenous Peoples and Local Communities	MAX	SCORE
1	The group operation holds valid, legal land use and collection rights: (0) significant, unresolved disputes OR no legal and legitimate collection rights (2=M) legal and legitimate collection rights . If there are any disputes, they are handled responsibly (3) or (4) mutually beneficial land use / collection agreements with the local / indigenous communities based on transparent communication and negotiation and mutually agreed terms.	4 M=2	
2	Knowledge of legal or customary rights, traditional uses / practices and cultural and religious significance of the target plants and other species and their habitats: (0) not known at all (1) some information (2) knowledge of customary rights and traditional uses of collection area and its plants is reasonably good (3) is very good; the company has made all the relevant research (including appropriate consultations) into the legal and customary laws.	4	
3	Potential impacts of target resource collection activities on traditional uses / practices, access rights, and cultural heritage in the collection area: (0) no consideration / knowledge of evident impacts (2) impacts are analysed (including the influx of collectors) and described (3) strong efforts to research and consider traditional uses / practices and customary rights, all the appropriate measures are put in place to avoid any negative impacts, including social disruption.	4	
4	(0) No measures are taken to avoid loss or potential damage affecting the legal or customary rights, resources, health security or livelihoods of local communities and indigenous peoples (1) only little effort to avoid loss or damage affecting these rights (e.g. only planned but not implemented) (2=M from year 2) measures are taken and effectively implemented to avoid loss or damage affecting these rights (3) clear efforts to improve the livelihoods of local communities and indigenous peoples; local population is strongly involved in the collection operation (4) exceptional performance.	4 M=2 from Yr 2	
5	Fair compensation and grievance mechanisms for substantial damage or losses to local community: (0) clear disrespect or substantial losses / damage (1) some efforts and communication about compensation (2=M from year 3) fair compensation is provided in the case of such loss or damage . Appropriate effective mechanisms to resolve grievances, including suspension of collection (3) exceptionally good mitigation / compensation, including appropriate contractual and other- mechanisms for administering the benefits and a broad range of monetary and non-monetary benefits.	4 M=2 from Yr 3	
6	Availability, accessibility, and quality of targeted resources (e.g., medicinal plants) for local and traditional use: (0) important plant resources are not accessible for local use due to commercial collection (1=M) some restrictions, but sufficient overall availability of the plants (2) important plant resources are not undermined or diminished by commercial collection (3) promotion / support of local use of targeted resources or collection rights for the bearers of local / traditional herbal medicine traditions.	4 M=1	
7	Resource access and benefit sharing (ABS) agreements with local communities and / or indigenous peoples: (0) no ABS agreements (1) some efforts, but only informal agreements (2=M from year 3) written and mutually accepted fair and equitable agreements on use of resources and associated Traditional Knowledge are available and adhered to ; full ABS agreements are at least in preparation (3) full ABS agreements in place and accepted by all parties. These take into account the freely expressed desires of Traditional Knowledge holders and local community representatives, their needs and particular situations; ABS agreements take into account legitimate interests of TK holders not participating in the ABS agreement.	3 M=2 from Yr 3	

8	Agreements on resource access, benefit sharing and use of Traditional Knowledge: (0) local communities and / or indigenous peoples clearly disagree OR were clearly not well-informed before signing (1) local communities received some basic information (2=M from year 2) prior informed consent (PIC) is given by the source community and the TK holders and mutually agreed terms (MAT) are reached for access to this knowledge and the equitable distribution of benefits arising from its use. (New PIC is required for each new use) (3) developed in participatory and inclusive process, including the consideration of the different bargaining powers, legal skills (e.g. independent legal advice was provided).	4 M=2 from Yr 2	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		31	16

6.5 ENVIRONMENTAL RESPONSIBILITY

6.5.1 Internal Monitoring of Environmental Aspects

Principle 6.5.1 The group monitors and trains collectors in good environmental practices.

- a) Basic environmental performance aspects shall be included in the groups ICS / monitoring system.

Since there are no MUST requirements for the collectors and full compliance (2) in every single control point is not required for certification, groups have some flexibility to set their own specific targets and development criteria in the fields of water conservation, energy use, ecosystem conservation and waste management.

No	Control Points: Internal Monitoring of Environmental Aspects	MAX	SCORE
1	Internal standards for collectors: (0) very poor environmental aspects in collection and post-collection handling, but not included in internal collection rules (1) only few of the relevant environmental aspects are included in internal collection rules (2) any relevant environmental requirements that are not yet well implemented on the farms are specified in the internal collection rules (3) good and detailed environmental requirements included.	4	
2	ICS: progress in environmental aspects is: (0) not checked although problematic (1) not evaluated explicitly but not problematic (2) evaluated during internal inspections or during normal extension visits in first year of certification; environmental performance is documented in collector files (3) inspectors are well aware of environmental issues and inspect thoroughly.	4	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		8	4

6.5.2 Environmental Aspects of Collection

Principle 6.5.2 Collection does not have a negative impact on threatened or endangered species or habitat, nor does it contribute to the destruction of natural ecosystems

- a) Threatened and endangered species must be protected and natural ecosystems shall not be destroyed.
- b) The group operation develops written baseline resource assessment of target species, including sustainable yield and regeneration; adequate continuous monitoring; simplified procedures can be applied to abundant species with good local knowledge of resource development.
- c) The group operation develops a complete area and species management plan to ensure the sustainability of collection. Major stakeholders are involved in the development process.
- d) Waste is handled as responsibly as possible and composting and recycling is encouraged.

No	Control Points: Environmental Aspects of Collection	MAX	SCORE
1	Protection of threatened or endangered species of flora and fauna: (0) threatened or endangered species are being collected or directly threatened by collection (1) no threatened species collected, but insufficient knowledge with regard to other threatened species that may be affected by collection (2=M) good overview of threatened and	4 M=2	

	endangered species that occur in the collection area; no evidence of substantial active negative impact on such species and / or habitats (3) habitat and species conservation plan; producers protect all near threatened, vulnerable, endangered or critically endangered species and threatened habitats in the collection area (4) conservation plan is effectively implemented and goes beyond the actual collection area.		
2	Maps of collection areas: (0) target plants not indicated on maps nor is there good knowledge concerning locations of target population (1=M) approximate indication of target populations; only very basic mapping (e.g. hand-drawn / internet-download maps) but locations well known by collection manager and all collectors (2) basic maps identify collection areas and location of target populations (may be entire collection area, if this is the case) (3) very good knowledge and documentation of collection sites / target populations within collection area.	3 M=1	
3	Species resource assessment: (0) not existing, not even local estimates (1) no formal resource assessment but reasonable local estimates of resource availability, sustainable yield and regeneration of the target species (2) written baseline resource assessment of target species including sustainable yield and regeneration; adequate continuous monitoring; simplified procedures can be applied to abundant species with good local knowledge of resource development (3) highly participative resource assessment and effective monitoring with involvement of local stakeholders (4) exceptional resource assessment and monitoring practices.	4	
4	Species and area management plan (0) not existing (1) some effective area and species management but no written or only fragmentary management plan (2) complete area and species management plan developed and implemented, major stakeholders involved in the development process (3) very detailed and effective management planning and implementation of participatory development process including all stakeholders (4) exceptionally effective and comprehensive management planning.	4	
5	Collection instructions for all target plants / parts of plants indicating collection site and harvest methods: (0) not included, very incomplete (1) basic instructions (2=M from year 3) adequate collection instructions based on site and species specific assessment and monitoring incl. information on any sites excluded from collection (3) collection instructions are optimized for practical and efficient implementation by collectors; local / traditional management practices considered.	3 M=2 from Yr 3	
6	Species targeted for collection are clearly identified: (0) no official identification, confusions are frequent (1) low level of accuracy in species identification (2=M) voucher specimens with accurate taxonomic names as well as clearly recognized local and trade names available from the collection site (3) very good plant specifications or plant monographs with indication of the species' local and trade names OR exceptional contributions / efforts to resolve taxonomic / local confusion of target species.	3 M=2	
7	Sustainability of collection frequency as defined in collection instruction: (0) clearly exceeds rate of re-growth and replacement (1=M from year 2) basic baseline and monitoring data available, but no indication of declining plant populations. High risk plants: adequate data available (2) monitoring in place; collection frequency does not exceed the rate of replacement of adult individuals OR only very small percentage of population of the target species is collected within each collection region (3) collection frequency much lower than regeneration rate.	3 M=1 from Yr 2	
8	Consolidated records on amounts harvested (quantities per area per year): (0) no records or data (1) rough overview on harvested quantities, based on very simple purchase records (2=M from year 3) adequate consolidated data registered; includes all information relevant to continued monitoring of long-term sustainability (e.g. age and size of plants collected if highly relevant) (3) very good reliable purchase documentation and data consolidation. <i>For first certification → assess the planned recording system and write comments</i>	3 M=2 from Yr 3	
9	Land clearing or removal of species: (0) uncontrolled burning as means of land clearing e.g. for enrichment planting of target species, or removal of non-target species from habitats to increase growth of the target species (2) no such practices (3) exemplary efforts to minimise environmental impact (4) good awareness raising in the region on minimising land clearing.	4	
10	Waste disposal: (0) unacceptable waste disposal in local context, e.g. plastic all over the collection areas (2) no waste disposal dumps in collection area OR uncontrolled waste burning (3) very good / low emission waste management (4) exceptional waste management efforts.	4	
11	No hunting, production and trafficking of animal parts originating from protected animals or plants or products that are derived from such animals or plants: (0) animal or plant parts originating from protected animals or plants or products that are derived from such animals / plant or animal / plant parts are produced and / or traded (2=M) no such	4 M=2	

	activities by group operator. If practiced by collectors only permitted production for subsistence use or plan for improvement (3) in addition, awareness creation is supported by the company (4) company actively supports animal rights and programmes to stop illegal production and trafficking of animal / plant parts or products based on these.		
TOTAL		MAX	TNP
	Maximum Points / Total Norm Points / Effective Points	39	22

6.5.3 Environmental Performance of Group Operation's Processing

The following control points assess the environmental performance of the group operation's central processing or packing sites (unless so big that the processing is evaluated under full hired labour standards, which include environmental criteria as well – chapter 2.3). Larger, more professional units are expected to demonstrate better performance in environmental issues in order to be evaluated as fulfilling the norm adequately.

Principle 6.5.3 During processing the principles of good environmental practice are respected.

No	Control Points: Environmental Performance of Group Operation's Processing	MAX	SCORE
1	Water conservation practices: (0) apparent waste of water (2) adequate water use practices and rational use of water; no apparent waste of water, e.g. through ineffective use in processing, or other loss of water (3) good water conservation practices compared to regional standards OR very low overall use (4) exceptional efforts.	4	
2	Waste water management (processing waste water, domestic sewage): (0) pollution of water bodies by untreated wastewater (2=M) handling ensures that there is no substantial risk to environment or people e.g. by sanitary facilities, adequate treatment of processing waste water (3) good waste water management (4) exceptional efforts; minimization of water use and high standard of water treatment.	4 M=2	
3	Minimizing electricity consumption: (0) no efforts (2) electricity is not wasted and reasonable efforts are made to minimize overall consumption (lights and machines are turned off after use, rational use of air conditioning, new machines / facilities are optimized with regard to energy efficiency) (3) efficient use of electricity OR very low overall consumption; or investment in alternative sources of electricity (solar, wind, water, etc.) (4) exceptional efforts to minimize electricity consumption and use renewable energy sources.	4	
4	Minimizing fuel consumption: (0) no efforts (2) adequate fuel saving practices (for new machines also fuel consumption considered in purchase decisions; minimizing car / truck / tractor trips around operation, optimized operation schemes in factories, adequate temperature setting if heating / cooling is required) (3) investment in energy efficient equipment, high efforts to minimize fuel consumption, increased use of solar, wind or water power) OR very low overall fuel consumption (4) exceptional efforts, e.g. low-energy buildings, advanced processing techniques.	4	
5	Renewable energy sources: (0) no awareness of sustainability of energy sourcing; only non-renewable or exploitative energy sources used (e.g. indiscriminately harvested wood from unmanaged forests) (2) adequate efforts to increase percentage of renewable (own biogas, solar, water, wind, etc.) and / or sustainably harvested energy sources and more low carbon energy sources (e.g. natural gas instead of coal) (3) very good efforts and improvements to convert to renewable / carbon efficient energy sources (4) exceptional efforts OR all energy used is already sourced from renewable energy sources.	4	
6	<u>Additional points for voluntary commitment:</u> further efforts to mitigate climate change: assess group's overall awareness and engagement to minimize climate change in its operation and community with rating from (0) to (4). E.g. targeted training and information on energy management and climate change, activity in reduction of greenhouse gases (CO ₂ , NO ₂ , methane). No norm requirement.	(4)	
7	Protection of threatened or endangered species of flora and fauna and threatened habitats. Present operation: (0) directly destroys such species and / or habitats (1) has some negative impact (2=M) no evidence that operation has substantial negative impact on such species and / or habitats (3) company protects all near threatened, vulnerable, endangered or critically endangered species and threatened habitats (4)	4 M=2	

	outstanding protection efforts.			
8	Conversion or destruction of land ecosystems by processing operation, e.g. clearings of primary or old-growth secondary forests; introduction of potentially invasive species; conversion of natural grass- or bush land or of other ecologically valuable areas. Collection operation: (0) is responsible for such land conversions / destruction of ecologically valuable areas (1) some shortcomings or destruction in the past few years; (2=M) does not engage in such conversion or destruction. Clearing of primary or secondary forest not acceptable up to 10 years before beginning of certification (3) no conversion / destruction plus some conservation awareness (4) minimizes land conversion and practises management of land use according to acknowledged conservation standards.	4	M=2	
9	Destruction of or adverse impact on aquatic ecosystems (e.g. regulation of water courses, water bodies or wetlands; destruction of benthic ecosystems through intensive aquaculture or fisheries; introduction of potentially invasive species into water bodies, pollution of rivers): Collection operation: (0) is responsible for such adverse impact or destruction (1) some shortcomings or destruction in the past few years (2=M) does not engage in such destructive practices or has taken sufficient compensatory ecosystem conservation action (3) no conversion / destruction plus some conservation awareness (4) practises active management of aquatic ecosystem use according to internationally acknowledged ecosystem conservation standards.	4	M=2	
10	Land clearing or conversion of land: (0) uncontrolled burning as means of land clearing (2) acceptable land clearing practises, burning only with justification of ecological benefits (3) exemplary efforts to minimize environmental impact OR no land clearing practices (4) good awareness of minimizing land clearing.	4		
11	Composting, recycling and waste reduction: (0) no efforts at all (2) adequate efforts (3) very good performance with regard to recycling, composting and reduction of waste production.	4		
12	Waste disposal: (0) no structured waste disposal in place (1) open waste disposal dumps and / or open air burning of waste (2) municipal waste disposal OR optimized waste disposal by means of burial of waste or proper incineration that minimizes impact on the environment and on human health. Open burning only of combustible materials without harmful emissions (e.g. no plastic) (3) advanced / low emission waste disposal (4) exceptional waste disposal management.	4		
TOTAL		MAX	TNP	SCORE
Maximum Points / Total Norm Points / Effective Points		48	22	

6.6 FAIR FOR LIFE FAIRTRADE CRITERIA

This section of the standard applies to all Fair for Life Social & FairTrade wild collection operations and all processing under the group operator's ownership. It covers the group operator's relationships to registered collectors and all FairTrade Price setting and buying from the registered collectors as well as the administration and management of the Fair for Life FairTrade Development Premium.

It does not apply to collector groups who apply for "For Life - Social Responsibility" certification and it does not apply to Fair for Life companies who buy in or manufacture Fair for Life certified products. For such trading companies further up the supply chain, the criteria for Fair for Life Handlers outlined in Module 6 of this programme apply.

If the FairTrade collection company also buys products from other FairTrade certified collector companies, it acts as a FairTrade buyer as well and must therefore fulfil the same basic requirements as applicable to other FairTrade handlers (see Module 4),

FairTrade Focus

"FairTrade is a strategy for poverty alleviation and sustainable development. Its purpose is to create opportunities for producers (or workers) who have been economically disadvantaged or marginalised by the conventional trading system" (WFTO Fairtrade Principle 1).

In the context of wild collection, Fair for Life strives to improve the livelihood and wellbeing of marginalized social groups, most of all the collectors. However, workers in the group operation purchase centres or

processing / packing units are also often an important target group for FairTrade, in particular temporary workers whose workforce is often exploited and who do not have appropriate bargaining power.

Since the Fair for Life FairTrade focus strongly depends on the specific local situation and individual project setting, a FairTrade Policy analyses the socio-economic situation, marginalisation and needs of collectors, their workers (if any) and workers in the groups' processing operation(s) in order to come up with a suitable FairTrade focus for the Fair for Life group operation.

In the case of organized collector groups Fair for Life aims at:

- Empowerment and better trading conditions for collectors.
- Support for sustainable development projects in the local communities.
- Depending on the collectors' socio-economic situation, workers in the group's processing operation or in a few cases also occasional collection workers may also come within the remit of the FairTrade focus.

In the case of wild collection organised by a collection company (contract collection), Fair for Life aims at:

- Empowerment of the collectors and a fair relation between the group operator / buyer and the individual collector.
- Better income, income security and other benefits from collection for the group's collectors with related improvements of the livelihood of the collectors, their families and communities.
- Depending on the collectors' socio-economic situation, temporary workers contracted by collectors may be an additional FairTrade beneficiary.
- Depending on the socio-economic situation of the collectors versus workers, the workers in the collection operation's processing operation may also be an important FairTrade focus group, especially in the case of more affluent collectors.

Applicants should be aware that the benefits of FairTrade must always reach the intended beneficiaries, i.e. collectors, workers and the communities. Any FairTrade Development Premium has to be administered separately and used for dedicated development projects only. It may never be used for complying with legal labour requirements or for business investment.

In order to become a meaningful FairTrade chain, contacts with buyers interested in FairTrade should be in place at an early stage. This helps setting up a full FairTrade trade chain with appropriate FairTrade Development Premiums being paid into the Fair for Life Premium Fund to allow meaningful social development projects.

Eligibility Criteria for Fair for Life Social & FairTrade Certification

There are no pre-requirements or applicable eligibility criteria for organized groups or contract collection operations working with marginalized collectors in lower income countries.

The following eligibility criteria for Fair for Life Social & FairTrade certification apply to:

- Groups or contract production projects with a majority of collectors who no longer structurally depend on family labour for collection and who operate with many subcontracted workers.
- For all collection operations in high or upper middle income countries as defined by the World Bank (see Annex 1 in Module 1).

No	Eligibility Criteria for Collection Operations with applicable Pre-requirements
1	<p>The applicant presents a basic FairTrade justification statement with the following elements:</p> <ul style="list-style-type: none"> • Brief socio-economic analysis of status and position of the collectors and of their workers in the local community (all types of workers). Brief description of socio-economic situation and concerns in the region • Brief socio-economic situation of workers in processing unit and / or other intended beneficiaries of FairTrade • Expected focus and impact of FairTrade on collectors, workers, their families and the local communities.

	<ul style="list-style-type: none"> History and commitment of the company to social and community development. Potential marketing links to buyers interested in buying FairTrade products and paying a FairTrade Development Premium, if any <p>The company must be able to justify the benefits of FairTrade for marginalized social groups.</p>
2	The applicant confirms his / her commitment to continuously improve the working and employment conditions in his / her operation and to support the empowerment of workers.

Based on the above presented criteria, the certification body assesses the Fair for Life application and informs the applicant accordingly. Group operations that are not eligible for Fair for Life FairTrade certification are encouraged to apply for For Life – Social Responsibility certification instead.

6.6.1 FairTrade Policy and Collector Empowerment

Intent: In a collection group, the benefits of FairTrade shall reach the collectors, their families and their communities as main target groups and shall strengthen the group’s overall marketing capacities.

In contract collection projects, the beneficiaries shall be clearly the collectors and their families, their workers (if any), or workers in the central processing unit(s). In some cases, different target groups in the local community may be the FairTrade beneficiaries; this must be clearly stated and justified in the FairTrade Policy.

Principle 6.6.1 The group operation has a defined FairTrade strategy with identified beneficiaries of FairTrade, based on a socio-economic analysis of potential target groups and adequate procedures to implement responsible administration of FairTrade Development Premiums.

- a) The collection operator’s FairTrade Policy defines the intended beneficiaries of FairTrade, with a short social analysis of several different potential target groups.

In an organised collection group, the benefits of FairTrade shall reach the collectors, their families and communities as main target groups and shall strengthen the group’s overall marketing capacities.

In contract collection, the main beneficiaries are normally the collectors but often also the workers in the central processing unit(s) depending on social impact and needs assessment. In some cases, different target groups in the local community may be the FairTrade beneficiaries; this must be clearly stated and justified in the FairTrade Policy.

Any Fair for Life certified collection operation must undergo full Fair for Life certification. The collection operator’s central processing unit is considered the same operation and the FairTrade certification concept is applied to the entire operation – however it depends on the FairTrade analysis of needs as to which groups are to be the focus for FairTrade Premium benefits. E.g. in some setting, only the collectors will be targeted FairTrade beneficiaries, while in other settings both the collectors and marginalised workers in the central unit and warehouse are FairTrade target beneficiaries.

If the Fair for Life product is processed further in a processing unit at another location (e.g. a refining factory) and if this unit is owned by the same group operation, the unit is considered part of the producer group operation’s Fair for Life certification and must normally undergo For Life Social Responsibility certification or equivalent. For details and guidance on certification requirements for product processing by the certified Fair for Life operation before the product is sold to FairTrade buyers see Module 1, Chapter 1.1.2 (a).

- b) The FairTrade Policy or related documents describe the FairTrade Development Premium decision processes and envisaged Premium use (scope of possible projects).
- c) In contract production projects, the contracting company permits and supports collectors to become a functional collector group selling to the company – if this is the collectors’ wish.

No	Control Points: FairTrade Policy and Collector Empowerment	MAX	SCORE
1	The group operation’s FairTrade Policy (see details above) or related documents provide adequate analysis of the socio-economic situation of different potential target groups of FairTrade and define meaningful FairTrade beneficiaries: (0) no analysis, some relevant marginalized target groups, e.g. workers, not included in present FairTrade focus at all (2=M) adequate analysis and overall FairTrade focus for respective group operation setting (3) well developed FairTrade analysis and well developed Policy.	3 M=2	

2	The group operator presents adequately detailed procedures for responsible administration of FairTrade Development Premiums including decision process on Premium use and envisaged scope of FairTrade Development Premium use: (0) no procedures or clear ideas (1) adequate procedures planned but not yet written down (2=M) adequate written procedures (3) exceptionally meaningful and detailed procedures.	3 M=2	
3	The group operator presents progress in empowerment and capacity building of collectors: (0) very poor level of empowerment, low capacity (2) adequate activities to promote empowerment and increase collectors' responsibility and capacities (3) very good programmes and support for participatory decision processes, group organisation and training in good production practices.	3	
4	Contracted collection. If so wished by the collectors, the collectors' group shall be (2) permitted (3) supported to gradually take over more and more responsibilities and so become an independent collection company.	3	
5	<u>Additional points for voluntary commitment:</u> (0-3) There are programmes in which workers or collectors can obtain ownership shares of the group operator company at preferential conditions. Rate activities from (0) – (3) and provide comments. No norm requirement.	(3)	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		15	8

6.6.2 FairTrade Pricing

Principle 6.6.2 There shall be a system of fair sharing of profits in the collectors' organisation or contracted collection project. Prices paid to collectors shall result in collectors earning a fair income from their collection.

Overview:

FairTrade shall ensure that collectors and workers receive fair prices for their products / services and thus can meet all basic needs of their families and have some discretionary income.

In the Fair for Life system, sales prices and the FairTrade Development Premium are discussed and mutually agreed between the Fair for Life collection operator and its FairTrade buyers, based on open and transparent negotiations.

On top of the FairTrade Sales Price, a FairTrade Development Premium is agreed and paid according to guidance provided in this programme.

<i>FairTrade Sales Price</i>	<i>Agreed Sales Prices slightly above market price to cover compliance costs The prices paid shall ensure that collectors always receive prices that cover their basic needs including some discretionary income.</i>
<i>FairTrade Development Premium</i>	<i>A fixed FairTrade Development Premium is paid by the buyer on top of the FairTrade Sales Price to allow for social and other development in the producer operation's community. The Premium is administered separate from sales income and used for agreed purposes.</i>

- a) The FairTrade group operator and its FairTrade buyer(s) agree on a FairTrade Sales Price by negotiation.

It is expected that Fair for Life FairTrade Prices will exceed market prices for the respective commodity (world market prices, if defined) and the respective product quality (e.g. organic and respective quality grade) in order to cover costs for compliance with the requirements of this standard.

For collector companies, prices of at least 5% higher than normal market prices (for respective quality) are recommended, in very low market price situations the Fair for Life Floor Prices may be substantially higher than current market prices. If market prices are high it may be acceptable for the FairTrade Price to be at market price level, provided that overall compliance costs, efforts and support of the supplier and additional benefits are all considered and a price justification is given.

- b) When setting prices for collectors and negotiating the FairTrade Sales Price with FairTrade buyers, the collection operation confirms that the prices paid for collected products allow collectors to earn a fair

income from collection and cover their basic needs, including some discretionary income. In the case of the collectors clearly not being able to meet their basic needs the operation is required to prepare a calculation of a basic needs related income for collectors. This calculation should be used in pricing negotiations to ensure that the prices paid by FairTrade buyers allow the payment of fair prices to the collectors.

The prices paid for the sum of all collected products (plus any other common sources of income for the average collector in the group) shall allow collectors to meet their basic needs such as food, clean water, clothing, shelter, transport, education, as well as including a discretionary income. In this assessment, the operation may consider the entire portfolio of products typically collected by their collectors and may also consider other sources of income that the collectors may have.

- c) Additionally a Fair for Life FairTrade Development Premium is agreed and paid on top of the FairTrade Sales Price. Calculation of the FairTrade Development Premium must be documented. The FairTrade Development Premium shall be stated separately in each sales contract and is channelled by the collection operator into the FairTrade Premium Fund (see chapter 3.6.3).

The FairTrade Development Premium is normally calculated as a set premium amount for at least a year, or even a two year period, based on average prices (see guidance below). It is expected that the FairTrade collectors charge all Fair for Life and other FairTrade buyers the same FairTrade Development Premium. The Premium shall not be subject to discounts.

The FairTrade Development Premium for collection operations is recommended to be 10% of average collector prices for the respective product and shall not be lower than 5% of average collector prices. If the collection company trades a wide range of different products, it may chose to calculate average collector prices across all products and set a uniform FairTrade Premium accordingly.

Sample Calculation of FairTrade Premium:

Collectors Price averaged over 2 years x 10% Premium x Processing Ratio Final Sales Product to Primary processed product = FairTrade Premium per kg final product

Example: 1\$ / kg dried product from collectors x 10% x 0.8 processing ratio = 0.08\$ / kg

No	Control Points: FairTrade Pricing	MAX	SCORE
1	In trade contract and price negotiations the group operator gives its trade partners: (0) clearly wrong information (1) slightly inaccurate / not clear information (2) correct information (e.g. on workers remuneration or other compliance costs) if requested by trade partner (3) detailed and correct information about operation.	3	
2	The group operator negotiates a FairTrade Sales Price with its buyers: (0) exaggerated price differentials; not at all related to FairTrade compliance costs (2) adequate FairTrade Price negotiated in reasonably open negotiations. Written documentation of negotiation process available.	2	
3	Pricing is based on an adequate overview of prices paid to collectors and all incurring costs from collection to sales: (0) no overview of production costs (2) adequate basic overview of production costs including prices to collectors, collection and transport costs, costs for extension and ICS, processing site non-management labour costs, group operator management costs and other specific costs for Fair for Life compliance (3) very good cost analysis.	3	
4	Prices for collectors are based on a clear system: (0) pricing not transparent at all; prices vary between collectors; not based on an objective quality (2) transparent pricing system; same prices for same quality; clear pricing rules or set prices (3) good market price information for collectors; open communication on overheads OR collectors own the group operation company (4) exceptionally open communications OR collectors have high effective control over the group's finances and the price paid.	4	
5	The group operation presents a basic calculation for a fair minimum collection income for collectors that is sufficient to cover the basic needs of collectors: (0) prices paid do not allow collectors to meet their basic needs (1=M from year 2) prices are clearly sufficient to cover costs of production or rough estimation of the necessary minimum collection income for collectors (2) adequate basic estimation of the necessary minimum collection income for collectors (3) good, detailed calculations (4) very good overview on basic needs of collectors and production costs under fair conditions.	4 M=1 from Yr 2	
6	Collectors receive higher prices for the collected products from the collection operation than from local traders: (0) no higher prices (1) slightly higher prices (2=M) at least 5% higher prices for non-organic, 10% higher prices for organic produce plus Premium money or Premium projects. If not: detailed justification, acceptable mainly in times of high market prices (3) clearly more than 5% / 10% higher prices plus Premium	4 M=2	

	money or Premium projects or other clear benefits for collectors (4) exceptionally high prices or additional benefits for collectors.		
7	The total income for collection (plus any other income of the collectors) is sufficient to cover the collectors' basic needs (0) prices paid do not allow collectors to meet their basic needs (1=M) basic needs are met (2=M from year 3) basic needs are met, including discretionary income (3) collectors earn a good income from collection in the local context (4) very good source of income, exceptionally good prices.	4 M=1 M=2 from Yr 3	
8	Collection company's overhead costs for collection, processing, marketing and profit (sales price minus actual prices paid to collectors): (0) not transparent at all; totally out of scale compared to similar organizations / companies (2=M) roughly known and seem justifiable / at least within normal range; no exceptionally high management costs compared to local typical situations (3) well known and presented to clients upon request; relatively low overheads / proven efforts to keep overheads small in favour of higher collector prices (and fair workers wages, if applicable) (4) exceptionally low overheads for management / exceptionally high percentage of sales price used for raw products, workers or other social projects.	4 M=2	
9	If the FairTrade Sales Price paid is considerably higher (> approximately 10%) than normal market prices for respective quality (not including the separate additional FairTrade Development Premium), the group operator prepares: (0) no summary (1) some very basic written information (2=M) accurate brief overview summary as to how this higher price is used (or details of its costs structure) and sends this summary to clients every year (3) or (4) very good / exceptional overview.	4 M=2	
TOTAL		MAX	TNP SCORE
Maximum Points / Total Norm Points / Effective Points		32	18

6.6.3 FairTrade Premium Administration and Use

Principle 6.6.3 The FairTrade Development Premium is intended to finance sustainable social community projects and is always administered responsibly. Decisions on Premium use are taken according to defined democratic procedures which always include the identified FairTrade beneficiaries.

- a) FairTrade Premium Fund money is generally intended to finance sustainable social community projects or as added income to marginalized low income collectors.

Primarily the FairTrade Development Premium is intended for sustainable social and environmental community projects as decided by the Premium Funds Decision Body.

Alternatively, in the case of marginalized small scale collectors with very low income or very scattered or seasonal collectors where community projects are not necessarily very meaningful, the Premium may be distributed as additional Premium to collectors, normally paid at the end of the year, once it is clear how much Premium has been received. Premiums paid to individual collectors are restricted to a maximum of approx. 1 month's average month collection income.

Organized smallholder collector groups may also invest the Premium money into necessary business investments such as a joint warehouse, etc. However, the money is clearly not intended for maintaining normal business operations (paying market prices to collectors, paying ICS staff, paying workers the legal minimum wage, etc.).

Contract collection projects are not permitted to use Premium for clear investments (such as e.g. a new packing station), unless the investment is then owned by the collectors as a group, nor can it be used for meeting their regular legal minimum requirements (local labour legislation). If any substantial assets are purchased with Premium money, a FairTrade Funds legal entity must be established as the owner of such assets.

- b) The Fair for Life Development Premium must be specified in all invoices and sales contracts. Once received, the Premium money is administered in a separate bank account, with appropriate signatory rights.

Appropriate signatory rights for contract production projects are normally joint signatures by the contracting company and a collector representative, or some other appropriate setting that is practical while at the same time preventing misuse.

If only the group operator director holds signatory rights or if for specific reasons a separate bank account is not possible, a written confirmation signed by the executive management is required stating that the contract group operator acknowledges that the money in the Premium Fund is not his / her property and use can only be decided by a Premium Committee for social projects within the scope of the Fair for Life programme.

- c) The Premium money is only used for projects decided by a designated Premium Decision Body in a documented process; any expenditure and use is well documented.
- d) Premium Fund decisions are made by the designated Premium Decision Body, which can be the assembly of producers or a mixed Fair for Life Premium Fund Committee, according to defined procedures.

A mixed Fair for Life Premium Fund Committee must always include collector representatives and workers (if workers identified as FairTrade beneficiaries) and may include the group operator's management, external experts or buyer representatives. The intended FairTrade beneficiaries shall, at least after the initial phase, hold the majority of votes in the Committee.

If Premium use decisions are made by a collector assembly (one or several per region, e.g. during the annual training) but other workers are also intended beneficiaries e.g. workers in central processing unit, methods should be developed as to how their interests can be represented in the process, e.g. by allocating some part of the Premium to be decided by the workers assembly.

Collector and worker representatives (if any) shall be elected in a democratic process. Adequate gender representation and fair representation of different interest groups are very important.

The Premium Decision Body may decide to pay the full Premium amount to all collectors as Premium, see restrictions above. This decision must be documented and a rationale must be provided.

No	Control Points: FairTrade Premium Administration and Use	MAX	SCORE
1	FairTrade Development Premium Fund financial administration: (0) Premium amounts are not specified in contracts / invoices and not documented (1=M organized collectors groups "PG") Premium amount can be traced and is known but not in a separate account (2=M contract production "CP") Premium specified in contracts or invoices and administered in a separate bank account for the Fair for Life Premium (or alternative confirmation by company, see above). Signatory rights are documented and appropriate. Written procedures ensure that Premium money received is transferred to the Premium account in a timely manner (3) funds organisation is separate legal entity.	3 M=1 PG M=2 CP	
2	A FairTrade Development Premium Decision Board: (e.g. Premium Committee or a collectors assembly) is set up with elected collector and worker representatives (if FT beneficiaries): (0) no Committee although Premium expected very soon / already received (1) some idea about Committee, not formally set up (2=M) a balanced funds Committee is established, with documented members and procedures. <i>If not existing at first inspection → rate according present situation, set condition that the company has 6 months to set up Committee and inform IMO. The Committee has to be defined before any Premium money is used</i> (3) well balanced, active Funds Committee.	3 M=2	
3	Balance of representatives in FairTrade Premium Decision Body: (0) no collector representation or indications that board member selection is misused to dictate Premium decisions (1) mixed Committee with producers and other intended beneficiaries in minority (2=M from year 3) Assembly of intended beneficiaries (e.g. collectors) or balanced funds Committee in which representatives of the intended beneficiaries hold the majority (3) very balanced and well established Premium Decision Body.	3 M=2 from Yr 3	
4	Decisions on FairTrade Premium use as well as any money spent for the agreed activities are well documented (0) no documentation (1) some basic documentation (2=M) decision and use are documented. <i>If no Premium yet received, assess procedures and capacity of future implementation.</i>	2 M=2	
5	The FairTrade Premium Fund Decision Committee or board writes (0) no report (1) a summary or overview about some activities, but incomplete (2=M from year 2) an annual report on all activities financed by Fund money: total Premium received, use decision process, Premium use description (with justification if needed) and details of all expenditure, balance, overview on other social and FairTrade related activities, brief work plan for coming year (3) a very good report.	4 M=2 from Yr 2	
6	The records of expenses paid from the Fund correspond (0) not at all (1) with minor shortcomings (2=M) satisfactorily to the amount spent as per bookkeeping and the activities reported in the annual Fund report (3) exactly, very good records, easy to trace.	3 M=2	
7	The effective use of the FairTrade Development Premium Fund money is (0) not for the projects as agreed by Premium Fund Decision Body, or unacceptable projects (1) mostly for adequate projects, other use justifiable (2=M) only for agreed projects and justified related expenses (3) or (4) very good / exceptional projects / activities.	4 M=2	
8	The FairTrade Premium Funds use was (0) clearly not in line with Fair for Life requirements, used to meet statutory requirements or business investment (1) partly in line with Fair for Life requirements (2=M from year 2) overall in line with Fair for Life	2 M=2 from	

	requirements and guidance; In borderline cases, Fair for Life was consulted before use of the money (3) very good projects.	Yr 2	
9	Social and environmental impact of FairTrade Premium use: (0) no particular social impact although Premium received (2) ok social or environmental impact, but rather small amount of Premium (3) good social impact (4) very good social impact with ongoing projects in local community.	4	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		28	18

6.6.4 Accountable Trade Relations with Buyers

Principle 6.6.4 FairTrade collector companies and their FairTrade purchasers seek to establish a long term and stable relationship in which the rights and interests of both trading partners are mutually respected. FairTrade collector companies are accountable trade partners and work on continuous quality assurance.

- a) The group operation company acts as accountable and responsible trade partner, entertaining good and open communication with its FairTrade buyer(s).
- b) Organised collector groups can request pre-finance of up to 50% of the contract value in order to finance the buying operations from collectors. The terms of this prepayment is to be agreed mutually between the collector groups and the buyers

The primary buyer, or any external pre-financer initiated by the buyer, is permitted to charge interest for the pre-finance provided, according to interest rates applicable to him.

Pre-finance is intended to ensure prompt payment to collectors when the product is bought from them. Different uses of pre-finance have to be explicitly agreed with the primary buyer.

No	Control Points: Accountable Trade Relations with Buyers	MAX	SCORE
1	The group operation has (0) not fulfilled its trade agreements at all (1) several delivery or quality problems (2) fulfilled the agreements with FairTrade buyers or, if not, has found a mutually agreed solution with its clients. <i>If no sales / first certification → (n.a.)</i>	2	
2	The group operation keeps good regular communication with its FairTrade buyers and specifically also coordinates with them any need for adaptation of trade terms, e.g. delivery times, in order to fulfil its responsibility of providing fair working conditions: (0) no good communication links (2) adequate regular communication as needed (3) very close relations and regular exchange, also on problems and challenges.	3	
3	The group operation provides its customers with truthful information about its organisation and products and in which conditions they are made. Truthful information is given on prices and services to collectors as well as working conditions during buyer visits or upon request: (0) wrong / misleading information given (2) truthful information given if requested (3) open and proactive communication with FairTrade buyers to address and solve identified deficiencies and problems, or any other areas of concern.	3	
4	The group operation provides its FairTrade trade partners with an annual Premium Fund summary report: (0) no overview or informal information on Premium use provided (2) brief summary of FairTrade Fund activities: overview decision process, Premium use description (with justification if needed) of at least the Premium received from the respective buyer (3) detailed and good information of activities provided.	3	
5	The group operation uses honest marketing and advertising techniques and does not provide misleading information about its activities and achievements with regard to Social Responsibility and FairTrade: (0) misleading information; wrong claims made (2) adequate (3) very good efforts to provide education of the public and raise awareness of FairTrade.	3	
6	The group operation aims to achieve high standards of product quality and to fulfil all key requirements of the market: (0) no efforts (1) some improvements (2) continuous, serious efforts (3) good efforts (4) exceptional efforts.	4	
7	If there were / are substantial quality problems and quality claims: (0) no steps towards improvement of situation (1) some compromises found with trade partner, some disagreements remaining (2) partners agreed on resulting consequences (e.g. return of produce) and took steps to improve the situation (3) exceptional efforts to immediately improve situation. <i>If no substantial quality problems → (n.a.)</i>	3	

8	Prepayments: If any prepayment has been received: (0) use cannot be justified, collectors have been paid late in spite of prepayment (1) justified use, even if not directly for collectors payment (2=M from year 2) used to pay collectors in time or any other measure agreed with trade partner. If no prepayments → (n.a.)	2 M=2 from Yr 2	
TOTAL		MAX	TNP
Maximum Points / Total Norm Points / Effective Points		23	16
SCORE			

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