



Capture Fisheries Standard

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Fair Trade USA®

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INTRODUCTION

Fair Trade USA's Mission and Vision

Fair Trade empowers farmers, fishers, and workers to fight poverty in ways that improve lives and protect the environment. Rather than creating dependency on aid, it harnesses the power of markets to help producers, businesses, and consumers alike to invest in a better future.

Fair Trade USA, a nonprofit organization, is the leading certifier of Fair Trade products in North America. Fair Trade USA and partnering Conformity Assessment Bodies audit and certify supply chains to help ensure that fishers and workers are paid fair prices and wages, work in safe conditions, protect the environment, and earn Community Development Funds to improve their lives.

Fair Trade USA's Theory of Change

Fair Trade USA views fishers, workers, businesses, and consumers as an ecosystem of partners. Each of these key stakeholder groups needs the others to achieve their goals. Fair Trade USA believes that:

- **Fishers and workers** will have more sustainable livelihoods if the economic model of trade enables access to markets and safe working conditions, if they have the skills and resources to manage their businesses and to produce in environmentally responsible ways, and if they develop and successfully implement organizational models for enterprise and community development.
- **Businesses** will strengthen themselves by enabling sustainable livelihoods for producers in their supply chains. Companies that source in socially and environmentally responsible ways, verified by independent third-party certification, will create shared value and be rewarded by their consumers, employees, and other stakeholders.
- **Consumers** want to feel good about their purchases. They will buy sustainable products when they are available in the right places, from the right brands, at the right quality and price, and when the products' attributes are credible and verified by independent third-party certification.

In order to enable these outcomes, Fair Trade USA invests directly and in collaboration with our partners in the following core activities:

- Develop and implement **standards**
- Enable **producer services** which build competitiveness
- **Certify** producers and supply chain partners
- Engage businesses and consumers to **cultivate demand**
- Define, measure, and communicate **impact**



About this Document

The Fair Trade USA Capture Fisheries Standard (CFS) was developed to provide the opportunity for fishers to demonstrate the core elements of fair trade in their practices, while helping them commercialize their product. The CFS is organized around the core Fair Trade USA principles that represent the main organizational objectives of:

- a) **Empowerment:** The CFS supports fishers to develop skills necessary to effectively negotiate with those who have an influence on the buying, processing, and marketing of their products. This is done through the process of organizing a Fishing Association, electing a Fair Trade Committee, creating a Fair Trade Premium Plan, and making decisions on how to spend the Fair Trade Premium.
- b) **Economic Development:** The CFS aims to improve income stability of fishers by ensuring a transparent and stable trading relationship with their buyer(s) and by requiring payment of a Fair Trade Premium on every Fair Trade Certified™ product sale. The CFS also establishes wage requirements for workers employed by the Registered Fishers and the Certificate Holder in order to increase their income. Additionally, the Resource Management module of the CFS aims to strengthen and stabilize fish stocks so the resource can provide a sustainable livelihood for the fishing community over the long term.
- c) **Social Responsibility:** The CFS protects fundamental human rights of those involved in the fishery. For fishers and workers, health and safety measures are established in order to avoid work-related injuries. Fishers are encouraged to use the Fair Trade Premium to provide greater access to, or improve quality of, community needs such as healthcare and education.
- d) **Environmental Stewardship:** Registered Fishers must adopt responsible fishing practices and work to protect fishing resources and biodiversity. This includes data collection and monitoring to provide better information on the state of fish stocks and to mitigate the impacts of fishing, recognizing that many small-to-mid scale fisheries often face challenges with data availability and management. A goal of the Capture Fisheries Program is to have fisheries improve over time and eventually reach a level of environmental responsibility consistent with international best practices. In addition, the Certificate Holder and Fishing Association(s) look for ways to engage with government agencies and other stakeholders to jointly improve fishery management.

Scope and Eligibility

The CFS applies to groups of fishers engaged in marine and fresh water wild capture fisheries, and land-based operations (landing sites and the first processor in the country of origin), as outlined in the *Requirements for Certificate Scope Under the Capture Fisheries Standard*. The CFS Certificate is held by a Certificate Holder on behalf of one or more entities in the supply chain. The scope of the Certificate can cover a group of vessels/fishers (i.e., cooperative or Fishing Association), multiple groups, and a processing facility buying from one or more groups of vessels. The Certificate Holder is ultimately responsible for compliance with the CFS, and it is the Certificate Holder's responsibility to ensure that all the entities, activities, and sites included in the scope of the CFS Certificate are in compliance with the full requirements of the CFS.

The following sites and activities must always be included in the scope of the CFS Certificate and comply with the full requirements of the CFS:

- 1) All fishing activities carried out from vessels or from shore;



- 2) All vessels (motorized and unmotorized) used to catch and transport Fair Trade Certified seafood;
- 3) Any site managed by the Certificate Holder where Fair Trade Certified seafood is landed, processed, packed, sorted for quality, or transformed; and,
- 4) Any intermediate buying and selling operations between the fishers and the Certificate Holder where Fair Trade Certified seafood is being processed, packed, sorted for quality, or transformed.

All other sites where Fair Trade Certified seafood is only being stored or transported do not need to be included in the scope of the Certificate. In addition, any processing, packing, sorting for quality, or transforming which is subcontracted off-site¹ does not need to be included in the scope of the Certificate. These sites may be included under the Certificate at the Certificate Holder's discretion.

For sites where Fair Trade Certified seafood is stored, transported or handled that are not included in the scope of the Certificate, the Certificate Holder must have a contract with these entities which covers all of the following elements:

- 1) That the entity will ensure that Fair Trade Certified product is not mixed with non-Fair Trade Certified product, in accordance with requirements in Sub-module 8.1;
- 2) No violations of Fair Trade USA's [Policy on Zero Tolerance Issues](#); and,
- 3) Assurance that Fair Trade USA and/or an approved Conformity Assessment Body may enter the site(s) to perform control activities against these contract requirements.

See [Requirements for Certificate Scope Under the Capture Fisheries Standard](#) for details on scope and eligibility.

Compliance with Local and National Laws

All Fair Trade Certified producers, fishers, and Certificate Holders are expected to comply with all relevant local and national laws and regulations. The requirements in the CFS may be stricter, less strict, or equivalent to applicable laws. In the case that an applicable law or regulation is stricter than the CFS requirements, the law will prevail. In the case that a CFS requirement is stricter than the law, the requirements of the CFS will prevail. The intent is that where laws and the CFS requirements overlap, the one that offers the strongest protections for fishers, workers, communities, and the environment prevails.

Given the broad range of jurisdictions in which Fair Trade USA operates, as well as the complexity and changing nature of laws and regulations, we do not include reference to country-specific legal requirements in the CFS itself. Ultimately, it is the responsibility of the Certificate Holder to ensure compliance with the law. In any case where there is concern that a CFS requirement is in conflict with an applicable law, the Certificate Holder or applicant should contact Fair Trade USA.

¹ This refers to any individual or company that is not managed by the Certificate Holder nor subject to a controlling interest by the Certificate Holder (either through ownership or family relationships) which does not take legal ownership of the Fair Trade Certified seafood but provides services to process, pack, or transform the product. See the Fair Trade USA Glossary for more definitions of terms.



Using the Capture Fisheries Standard

Structure

The CFS is organized into nine **modules** addressing different aspects of fishing, processing and facility management, and group administration. The requirements under each module apply to the Certificate Holder, fishers and crew members on fishing vessels, and/or workers at landing sites and/or processing facilities. An overview of each module is provided below.

Module 1: Empowerment

Collective and individual empowerment are fundamental to building healthy businesses and healthy communities, and as such are core tenets of the Fair Trade system. One of the unique attributes of the Fair Trade model is the Fair Trade Premium, which is an extra sum paid to fishers on top of the product price and wage. Together as Fair Trade Premium Participants, fishers decide how the Fair Trade Premium will be used to meet their individual and collective needs, as well as the needs of their communities and the environment. This module describes the requirements for Registered Fishers to organize into Fishing Associations and for Premium Participants to elect a Fair Trade Committee, identify the needs of beneficiaries of the Premium, and decide how the Fair Trade Premium is spent to address these needs.

Module 2: Fundamental Rights at Work

The requirements in this module are based on the International Labor Organization (ILO) Core Conventions addressing forced, bonded, and compulsory labor; child labor and the protection of young workers; freedom of association; and discrimination. The requirements outline the fundamental rights that form the basis for ensuring the well-being of fishers and workers and managing human rights risks faced by companies and buyers in their supply chains. Securing these rights facilitates individual and collective empowerment by establishing the ability to act on choices, promoting a healthy worker-management relationship, and ensuring the opportunity for future generations to appropriately contribute to their families' livelihoods.

Module 3: Working Agreements between Registered Fishers and Crew Members

This module focuses on the working agreements Registered Fishers have with all crew members operating on their vessels. Registered Fishers are fishers who are part of a Fishing Association, are not employed, and work independently. Clear and transparent working agreements and fair remuneration of crew members working on vessels of Registered Fishers contribute to income sustainability of crew members.

Module 4: Conditions of Employment for Land-based Facility Workers and Hired-Labor Fishers

Clear employment conditions, and fair wages and benefits directly contribute to income sustainability of hired labor fishers and workers. This module ensures clear and transparent contracts, along with ensuring hired labor fishers and workers have access to services and benefits like vacation, sick leave, health benefits, maternity leave, and more. These benefits can directly improve the well-being of all



hired labor fishers and workers. Additionally, when individuals know their rights and have access to supportive structures, they are empowered to make choices to improve their lives.

Module 5: Rest Periods and Occupational Health & Safety on Vessels

This module focuses on Registered Fishers, crew members, and hired-labor fishers—whether working for an employer or independently—who operate on vessels within the scope of the Certificate. The individual well-being of fishers and crew members is directly impacted by working conditions, including occupational health and safety, and working hours. Implementation of the requirements in this module can contribute towards a reduction in accident and illness rates, and help employers and Registered Fishers attract and retain individuals through responsible employment practices.

Module 6: Working Hours and Occupational Health & Safety on Land-based Facilities

The individual well-being of workers at land-based facilities is directly impacted by working conditions, including occupational health and safety, and working hours. Implementation of the requirements in this module can also contribute towards a reduction in accident and illness rates, and help facilities attract and retain workers through responsible employment practices.

Module 7: Resource Management

The ability of the ocean and fresh water to provide livelihoods for fishers and workers is directly linked to the long-term environmental impacts of fishing practices. Adopting sustainable and responsible fishing practices protects biodiversity and ensures fishing resources for future generations. This module describes the requirements for data collection, stock health determination, governance structure, trainings, and proper waste management, which are key components to achieve a long-lasting responsible fishery.

Module 8: Traceability & Transparency

This module describes the requirements for traceability and for relationships between the Certificate Holder and the Fishing Association(s). This module ensures that the practices related to the purchase, movement, production, and sale of Fair Trade Certified products are clearly defined. This includes requirements on physical and document traceability of Fair Trade products. The requirements in this module also promote clear contracts and transparency between the Certificate Holder and other entities included in the Certificate to ensure the terms of trade are clear and fishers know what to expect from their participation in Fair Trade USA's Capture Fisheries Program.

Module 9: Internal Management System

A functioning management system within a company, fishing organization, and group is necessary to support the implementation of the CFS and the empowerment of fishers and workers. This module details the requirements of the Internal Management System (IMS) that the Certificate Holder must have in place to assist with the implementation and monitoring of the CFS. The IMS focuses on identifying



risks of non-compliance with the CFS, monitoring the risks identified, and taking measures to address non-compliances on sites included in the Certificate. Planning, implementation, and record keeping are fundamental to the success of the IMS.

Each **module** is split into **sub-modules** by theme. Within each **sub-module**, there are multiple principle-based **objectives**, each of which has one or more associated requirements specified in **compliance criteria**.

Compliance criteria define the requirements that must be met for certification, meaning that they are binding, either at a specific point in time (Critical criteria) or by the sixth year of certification (Progress criteria). All entities, sites, and activities included in the scope of the Certificate will be audited according to these requirements. The applicability of each compliance criterion is color-coded and shown in the column to the far left. See the *Applicability* section below for details.

The final column of the tables in the CFS labeled, **Intent and Clarification**, includes further explanation of the requirements. Information in the Intent and Clarification column is divided into **clarifications**, which are binding, and **recommendations**, which are best practice. The recommendations also include examples and suggestions for how to achieve compliance with the requirements. The terms ‘shall,’ ‘must,’ and ‘required,’ indicate a binding requirement, which must be met in order to be certified. The terms ‘should,’ ‘may,’ or ‘best practice’ indicate that the item is optional.

Applicability	No.	Compliance Criterion	Timeline	Intent and Clarification
<i>Describes applicability of each compliance criterion</i>	<i>Compliance Criterion Number</i>	<i>Defines specific requirements of the CFS objective, against which conformance will be assessed during the audit</i>	<i>Specifies point in time by which the requirements must be met</i>	<i>Further, binding explanation of the requirements as well as guidance on best practices and recommendations for implementation</i>

Types of Compliance Criteria

The Fair Trade USA CFS takes a continuous improvement approach to development. Entry criteria, or Year 0 requirements, are assessed during the initial certification audit and represent minimum requirements regarding social empowerment, economic development, and environmental responsibility. These criteria must be met prior to initial certification. Other Critical criteria are fulfilled after initial certification in the first, third, or sixth year of audits as detailed in the *Timeline* column. Progress criteria represent continuous improvement practices that build towards increased social empowerment and economic development, as well as improved practices in environmental stewardship.



Some compliance criteria have a qualifying statement at the beginning of the sub-module that clarifies its scope and timing of applicability. For example, some Critical criteria cannot be fully implemented until the time of the first Fair Trade sale or the first Premium expenditure. In these cases, the requirements must be met as soon as they become applicable, which may be some time between the Year 0 and the Year 3 audits. Conformity Assessment Bodies may conduct follow-up audits or request supporting documentation before the next full audit to ensure the compliance criteria have been met.

Compliance criteria and their associated Intent and Clarification define the binding requirements that must be met for certification. Each compliance criterion is classified as one of the following:

- 1) **C-Y# = Critical.** Critical criteria describe requirements that must be met by a specified timeframe to receive or maintain a CFS Certificate. The majority of Critical criteria are C-Y0, meaning that they must be met by the initial certification (Year Zero). All remaining Critical criteria must be achieved within a specified timeframe, by one, three, or six years of certification. Some Critical criteria must be met in a specified order in addition to a specified timeframe, before or after other related criteria have been implemented.
- 2) **P-# = Progress.** Progress criteria describe continuous improvement requirements that must be met over time, with all requirements needing to be met by year six of certification. Each Progress criterion is worth a specified number of Progress Points, valued at 1, 3, or 5.
- 3) **BP = Best Practice.** Best Practice criteria are optional and are not required (immediately or in the future). Only Small Operations and Small Land-Based Facilities have criteria which are classified as Best Practice. However, we encourage Small Operations and Small Land-Based Facilities to aspire to meet these goals over time.

The criterion type (either Critical, Progress, or Best Practice) is indicated in the Timeline column and for each size category: Short Fishing Trip, Small Crew, and Small Operations (SFT/SC/SO); Medium Fishing Trip, and Mid-sized Operations (MFT/MO); and, Large Crew, and Large Operation (LC/LO). Only the modules which apply to individual sites (Modules 3-7) have Progress and Best Practice criteria. The number of Critical and Progress criteria, and points which can be earned for each Progress requirement, may vary by size category.

The Certificate Holder is responsible for ensuring compliance with the CFS by all entities included in the scope of the Certificate. A Certificate Holder who is ensuring compliance for a group of sites will need to categorize each site in order to understand which criteria are applicable and at which point in time.

Progress Requirements

The Certificate Holder must show a minimum level of compliance and progress over the course of certification. This is done by earning an increasing number of Progress Points over time, through compliance with Progress criteria.

- The Certificate Holder must earn at least 40% of the possible Progress Points by the initial certification (Year Zero) and maintain them through Year Two; at least 70% of the possible Progress Points by Year Three and maintain them through Year Five, and full compliance with all Progress criteria (100% of Progress Points) by Year Six.



- The Certificate Holder may select which Progress criteria to comply with to reach the minimum percentage of Progress Points required within the relevant timeline in modules containing Progress criteria.
- The required percentage must be met within each module independently.
- Modules 3, 4, 5, 6 and 7 contain Progress criteria.
- Although the Progress criteria are site specific, all of the sites within each size category must meet the same set of Progress criteria. In preparation for the audit, the Certificate Holder should make sure the fishing operations and land-based facilities in their group know which criteria they are expected to meet.
- Progress points are earned even when that particular criterion might not be applicable for a specific site. For instance, if five points (P-5) can be earned for recording information on bait that is not classified as a secondary species, fishing operations which use no bait still earn five points.

Definitions

In the CFS there are four categories which define individuals participating in the Fair Trade USA program: 1) Registered Fishers, 2) crew members, 3) hired-labor fishers, and 4) workers. In addition, Fair Trade Premium Participants are the individuals who determine how the Fair Trade Premium is spent. Detailed descriptions of each category are listed below. Definitions are also included in the [Fair Trade USA Glossary](#).

Fisher

Under the CFS, a *fisher* is defined as any person, regardless of gender, catching seafood, whether waged or earning payment as a percentage of the earnings. Fishers may be catching fish on board vessels or from shore (e.g. set netters). In Fair Trade USA's Capture Fisheries Program, fishers who do not have a formal employer must be organized into Fishing Associations, fishers who do have an employer may choose to organize into a Fishing Association, but it is not required.

Registered Fishers

Under the CFS, Registered Fishers are the fishers in the Fair Trade USA program who do not have a formal employer, and **must** join a single, or multiple, Fair Trade Fishing Association(s) (FA). All captains or skippers of vessels fishing for Fair Trade Certified seafood must be Registered Fishers, as well as fishers who have crew members working for them under a payment-share system. All Registered Fishers are Premium Participants.

Crew members

Under the CFS, a *crew member* is limited to individuals working on vessels operated by a Registered Fisher. They can be an individual directly involved in catching seafood, or an individual who is not catching seafood but participates in the general vessel operation (i.e., cooks, mechanics, observers on board, etc.). Crew members work exclusively onboard vessels, or on the shore fishing. Any crew member is eligible to join a Fishing



Association, irrespective of whether they are waged or operating on a payment-share system (non-waged). This also includes crew members who only occasionally work in this capacity, for example, may fish only a few weeks per year. Any crew member who decides to join the Fishing Association must be included as a Premium Participant.

Hired-Labor Fisher

Fishers who have a formal employer and are directly involved in the catching of Fair Trade Certified seafood on board a vessel or from shore. This includes an individual who is not catching seafood, but participates in the general vessel operation (i.e., cooks, mechanics, observers on board, etc.). The employer could be the Certificate Holder, or another individual/entity within the supply chain, who is under the scope of the CFS Certificate. Hired-labor fishers may be salaried or waged, or paid under payment-shares. All hired-labor fishers must be included as Premium Participants, and they may choose to form or join a Fishing Association, but they are not required to do so. Hired-labor fishers do not work on vessels operated by Registered Fishers.

Worker

A *worker* is any individual working on land, either at a processing facility or at a landing site. Workers are not involved directly in catching seafood. They work at land-based facilities where seafood is processed, stored, transported, or transformed. Permanent workers are workers who are employed on an ongoing, year-round basis. Temporary workers are those employed for limited periods of time due to fluctuations in demand for labor at different times of the year. Workers are always waged, and they may be included as Premium Participants, but they do not have to be included. Note that in some cases, processing at sea may be permitted under the CFS, in which case those employed on processing vessels are considered workers under the CFS.

Fair Trade Fishing Association

The CFS uses the term *Fishing Association (FA)* to refer to the organization that self-employed fishers who wish to join the Fair Trade USA program (Registered Fishers) must be part of. However, the Fishing Association may take different forms depending on the country where the fishery is. The Fishing Association could be, for example, a Cooperative, Fishing Organization, or any other legal form of organization composed of fishers that is democratically-run by its members. To participate in the Fair Trade USA program, Registered Fishers who are not already members of a legal organization must form at least one democratically-run Fishing Association (FA). Through the FA, they coordinate their responsibilities regarding understanding and compliance with the CFS requirements, communication with the Certificate Holder, resource management, vessel safety, and trade relationships with buyers. The FA represents the views of its members on any matters affecting their fishing activity, including the requirements of the CFS, laws, and regulations controlling the fishery, and fishery-related infrastructure.

The FA is mainly composed of Registered Fishers; however, it may include other members. All Registered Fishers must be part of a Fishing Association, but not all members of the Fishing Association must be Registered Fishers. For example, captains of tender vessels or transfer vessels transporting fish to and from landing sites who work with Fair Trade fishers and are based in the same community. Any non-fishing crew



operating on the vessels of Registered Fishers are eligible to join as well. Any fisher who is part of a pre-established Fishing Association but does not wish to join the Fair Trade USA program can remain in the Fishing Association without becoming a Premium Participant. At any moment in time these fishers are eligible to join the Fair Trade USA program and become Premium Participants. Hired-labor fishers may also be part of a Fishing Association if they wish, but are not required to do so. The FA can also include spouses of the Registered Fishers when they actively participate in the fishing activities (e.g., preparing the vessels to go fishing, repairing fishing nets/fishing lines, etc.). It may also be appropriate to include fishery scientists, and staff from local non-profit organizations in the FA, either formally or informally.

Fair Trade Premium Participants

Fair Trade *Premium Participants* are the group of individuals who are eligible to elect one or more Fair Trade Committees to manage the use of the Fair Trade Premium. This Committee is responsible for managing and spending the Fair Trade Premium on behalf of the Fair Trade Premium Participants, and for tracking and reporting the use of the Premium.

The Premium Participants are structured in a way that allows Registered Fishers, crew members, hired-labor fishers, and in some cases workers, who interact with each other to all benefit from the Fair Trade Premium. The following individuals must **always** be included as Fair Trade Premium Participants:

- 1) All Registered Fishers;
- 2) All crew members who have joined the Fishing Association as part of the Fair Trade USA program: this includes seasonal non-fishing crew members, waged or earning through payment-shares;
- 3) All hired-labor fishers; and,
- 4) Any worker directly employed or managed by Registered Fishers and/or the Fishing Association(s), such as workers at landing sites and/or processing facilities owned or operated by Registered Fishers or Fishing Association(s).

Additional individuals working with Fair Trade Certified seafood **can** be included in the Fair Trade Premium Participants in accordance with 1.3.1.a and 1.3.1.b. The following individuals **may** be, but are not required to be, included in the group of Fair Trade Premium Participants:

- 1) Spouses of Registered Fishers, crew members, or hired-labor fishers;
- 2) Workers at land-based facilities or on vessels which are not owned/managed by the Registered Fishers or Fishing Association(s), but that fall within the scope of the CFS Certificate. This could include, for example, workers in the processing facility where Fair Trade Certified seafood is first processed;
- 3) Individuals working on tender vessels; and,
- 4) Any other predetermined additional member of the Fishing Association(s). Note that fishery scientists, and staff from local non-profit organizations who are included in the FA do not qualify to become Premium Participants.



Land-Based Facility

This refers to sites where the Fair Trade Certified seafood is being landed, processed, and/or stored. It includes landing sites and processing facilities².

Differentiation of Operations by Fishery Size and Land-Based Facility Size

Fair Trade USA recognizes that smaller sites have less capacity to implement strict requirements, especially for written documentation, and that some risks can increase along with the size of facility or the length of a fishing trip. Due to this, the CFS includes size differentiation by fishing operation, as well as land-based facility size. The size categories will dictate the timeline by which compliance criteria will have to be complied with. Modules 3, 4, 5, 6, and 7 have size differentiations, while Modules 1, 2, 8, and 9 do not have any size differentiation.

Fishing Operations

Fair Trade USA only works with fisheries categorized as small-scale and medium-scale, based on the time vessels are out at sea on a fishing trip. Fair Trade USA does not certify vessels fishing for 31 consecutive days or more³, this applies to all vessels, regardless of having Registered Fishers, crew members, or hired-labor fishers on board. For vessels fishing 30 consecutive days or less, fishing operations are divided based on length of the fishing trips.

Size Differentiation Based on Length of Fishing Trips

This is applicable to the requirements in Module 5 which contains occupational health and safety requirements applicable to vessels. It is applicable for vessels with Registered Fishers and crew members, or hired-labor fishers. Fishing trip length is defined as continuous time at sea without return to shore, whether or not it is the same place where the vessel departed from originally:

- Short Fishing Trip (SFT): vessels carrying out fishing trips of 48 hours or less.
- Medium Fishing Trip (MFT): vessels carrying out fishing trips between 48 hours and 30 consecutive days.

² Processing facilities is defined as: sites where processing of seafood is carried out. This most commonly happens at land-based facilities but may occur on vessels which are dedicated to processing. Vessels which also engage in catching seafood are not considered processing facilities.

³ Further information on types of operations and activities which may be included in the scope of a Certificate can be found in the Requirements for Certificate Scope Under the Capture Fisheries Standard.



Operations with Hired-Labor Fishers and/or Workers

Modules 4 and 6, include requirements that are applicable to hired-labor fishers on vessels and workers at land-based facilities . All hired-labor fishers and workers are under a formal employment contract, therefore we have broken down the operations with formal employees into three categories, dictated by the number of individuals by site⁴:

- Small Operation (SO): ≤5 hired-labor fishers or permanent workers and no more than 25 total hired-labor fishers or workers on-site at the management unit at any time;
- Mid-sized Operation (MO): 6-25 hired-labor fishers or permanent workers and no more than 100 total hired-labor fishers or workers on-site at the management unit at any time;
- Large Operation (LO): all others.

It is important to note that the size category for operation with employees is assessed according to the peak number of hired-labor fishers and/or workers on-site at any one time over the entire year, which could be higher than the number of hired-labor fishers and/or workers on-site during the audit. In addition, the size is assessed at the level of the management unit, which is defined by ownership or management and can encompass more than one operation. This means that if several vessels and land-based operations are jointly managed by the same entity, they are aggregated to assess the size of the management unit. Note that this includes sites in and out of the scope of the certificate. For example, if a company owns and manages two processing facilities each employing 20 permanent workers, each of the processing facilities is considered a 'Large Operation' because together they meet the requirements for a Large Operation. If these processing facilities were independently owned and managed, they would be considered 'Mid-sized Operations'.

Note that the manner in which criteria are audited will vary based on the fishing operation and land-based facility size, with larger, more complex, and more sophisticated sites expected to have more robust systems. For example, Small Operations and Small Facilities are not expected to have a detailed time keeping system in order to show compliance with work hour requirements in Sub-module 6.1.

Applicability

Accompanying the Compliance Criteria, the column on the far left helps indicate applicability of compliance criteria in the CFS, through the color/pattern in the column. The applicability describes the type of supply chain to which the compliance criterion applies. Delineation of who is responsible for compliance with each Module is described at the beginning of each Module.

The applicability is determined according to the following color/pattern code:

⁴ Note: The collective group of vessels under the scope of a single Certificate is considered a single site. Refer to the Requirements for Certificate Scope Under the Capture Fisheries Standard for more details on site definitions.



Color	Applicability
	All supply chains
	Supply chains with Registered Fishers and crew members
	Supply chains with employees: hired-labor fishers and/or* workers
	Supply chains with land-based facilities

*and/or indicates a criterion that applies in the same way to multiple groups of individuals or a single group of individuals, depending on who is present. It applies in the same way regardless of the combination of groups present. For example, not all supply chains will have processing facilities within scope, but those criteria in dark green must still apply to hired-labor fishers. Where there are both hired-labor fishers and workers within scope, those criteria in dark green must apply to both these groups the same way.

Note that regardless of the scope of individuals to which the compliance criterion applies, it is ultimately the Certificate Holder's responsibility to ensure compliance with the CFS and that compliance criteria are being applied correctly to the right individuals in scope of the Certificate.

Other Important Documents

In addition to this document, it is recommended that Registered Fishers and Certificate Holders be familiar with the following documents which are available on Fair Trade USA's website:

- 1) *Requirements for Certificate Scope under the Capture Fisheries Standard*: This document explains in detail which entities, sites, and activities must be included in the scope of a CFS Certificate and the audit.
- 2) [Fair Trade USA Glossary](#): This glossary includes definitions of terms used in this and other key Fair Trade standards and certification documents.
- 3) [CFS Productivity & Susceptibility Analysis: Vulnerability to Fishing Pressure](#): The Productivity and Susceptibility Analysis Worksheet may be used for data-limited fisheries to determine the vulnerability of a stock to fishing pressure. Additional information can be found within this document.
- 4) [Changes to Certificate Scope Procedure](#): This document explains the procedure for adding Registered Fishers, hired-labor fishers, Fishing Associations, workers, and land-based facilities to the Certificate between audits.
- 5) [Price and Premium Database](#): This includes the Fair Trade Premium as set by Fair Trade USA.
- 6) [Trade Standard](#): Supply chain partners that buy and sell Fair Trade Certified seafood products from a CFS Certificate Holder and/or are responsible for paying the Fair Trade Premium must be certified under Fair Trade USA's Trade Standard.



- 7) [Guidance on the Requirements of the Trade Standard for Multi-Scope Entities also Certified to the Capture Fisheries Standard](#): This document outlines requirements in the instance that a Certificate Holder is structured in such a way that they are also responsible for paying the Fair Trade Premium, and so must also be certified against the Trade Standard.
- 8) [Guidance for Determining Scope under the CFS](#): Additional guidance with further explanations and examples on how to determine Scope.
- 9) [Seafood Program Assurance Manual](#): This document describes the requirements for all assurance procedures related to compliance assessment and certification under the Capture Fisheries Standard.
- 10) [Fair Trade USA Recognition Policy for Capture Fisheries Certification](#): This document includes other certification programs which are recognized by Fair Trade USA.
- 11) [Temporary Authorization to Trade Policy](#): This document is to describe the requirements that an applicant must meet to qualify for a Temporary Authorization to Trade and the rules associated with this authorization.

Contact Fair Trade USA

To submit comments on the Capture Fisheries Standard, please contact Fair Trade USA's Standards team: standards@fairtradeusa.org. If you have any questions about the auditing process, the scope of the Certificate, or other certification questions, please contact Fair Trade USA's Certification team: certification@fairtradeusa.org.

MODULE 1. Empowerment

“Empowerment is the process of increasing the capacity of individuals or groups to make choices and to transform those choices into desired actions and outcomes. Central to this process are actions which both build individual and collective assets, and improve the efficiency and fairness of the organizational and institutional context which govern the use of these assets.” (World Bank)

Collective and individual empowerment are fundamental to building healthy businesses and healthy communities, and as such are core tenets of the fair trade system. One way that a standard can drive collective empowerment is through establishing groups that foster communication and collaboration on important issues such as health and safety, community investments or working conditions. To that end, the CFS requires the formation of a Fishing Association, a Fair Trade Committee (FTC), a Health and Safety Committee, and a Social Engagement Team. This module focuses on the Fair Trade Committee.

The Fair Trade Committee's main responsibility is to manage the use of the Fair Trade Premium, which is one of the unique aspects of the Fair Trade model. The Fair Trade Premium is an extra sum paid to workers and producers above the cost of the Fair Trade Certified product. It is paid



per volume of product sold on Fair Trade terms and varies by product, quality, and/or region of production. The amount of Fair Trade Premium to be paid per product can be found on our website: www.FairTradeCertified.org.

In fair trade, Registered Fishers, crew members, hired-labor fishers, and in some cases workers, decide together how the Fair Trade Premium will be used to meet their individual and collective needs, as well as the needs of their communities and environment. They elect a Fair Trade Committee that is responsible for managing, investing, and spending the Fair Trade Premium on behalf of the Registered Fishers, crew members, hired-labor fishers, and in some cases workers, as well as tracking and informing them about Premium projects and Premium accounting. This module describes the requirements for identifying the needs of beneficiaries of the Premium, the joint decision-making process, and how the Fair Trade Premium may and may not be used.

Another empowerment piece is the Fishing Association (FA) which ensures a formal organization of fishers, giving them voting and decision-making power. The FA allows fishers to organize themselves, establish internal rules, and negotiate prices with buyers as an organized group. Through the FA fishers make decisions on the management of the resource based on data collection. The FA creates a space for fishers to organize and have discussion with the Certificate Holder, allowing them to air any grievances to the Certificate Holder. Additionally, the Fishing Association can hold the Fair Trade USA Certificate, allowing fishers to obtain direct market access through the program,

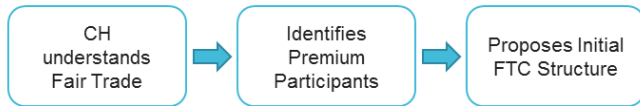
This module consists of four sub-modules. The first sub-module describes the overarching responsibilities of the Certificate Holder and the second sub-module focuses on the organization of fishers into a Fishing Association. The last two sub-modules describe the requirements for setting up the Fair Trade Committee, conducting a Needs Assessment of the Premium Participants, and developing a Fair Trade Premium Plan for how Premium will be spent. All criteria in this module are Critical criteria; some of them are applicable by Year Zero, but many are applicable in later years. There are no Progress criteria in this module.

An Overview of Module 1

Module 1 consists of four sub-modules. These sub-modules describe the requirements for setting up the Fishing Association, forming the Fair Trade Committee, conducting a Needs Assessment of the Premium Participants, and developing a Fair Trade Premium Plan for how Premium will be spent. These sub-modules are applicable to the Certificate Holder and the Fair Trade Premium Participants. The diagram below outlines the steps in this process.

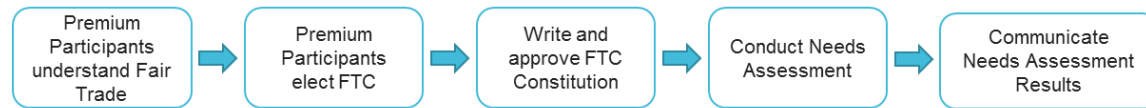


Step 1: The Certificate Holder identifies Fair Trade Premium Participants and proposes an initial Fair Trade Committee (FTC) structure



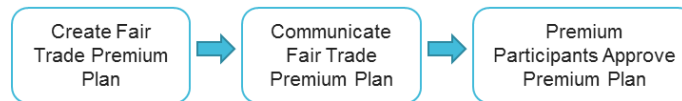
Before Year Zero (Initial) Audit

Step 2: The FTC is formally constituted and the first Needs Assessment is done



Before Fair Trade Premium is spent, or Year One at the latest

Step 3: The FTC develops a Fair Trade Premium Plan based on the Needs Assessment and gains approval on the Fair Trade Premium Plan from the Fair Trade Premium Participants



Before Fair Trade Premium is spent or by Year Three at the latest

Step 4: Spend Premium based on the projects in the Fair Trade Premium Plan

Ongoing: Update the Needs Assessment, Premium Plan, and FTC governance as needed

SUB-MODULE 1.1: The Certificate Holder and Certification Management.

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 1.1.1: The Certificate Holder can verify eligibility of the fishery under the Capture Fisheries Standard.			
1.1.1.a	The Certificate Holder demonstrates eligibility in line with the requirements laid out in the <i>Requirements for Certificate Scope Under the Capture Fisheries Standard</i> .	C-Y0	<p>Clarification: The intent of this criterion is to:</p> <ul style="list-style-type: none"> Verify that the scoping of the Certificate is accurate; Ensure all sites which must be included in the scope of the Certificate are included in the audit;



No.	Compliance Criteria	Timeline	Intent and Clarification
			<ul style="list-style-type: none"> Clearly identify operations/sites that are eligible to be included in the scope; and, Ensure there are not clear violations revealed that would find the fishery ineligible for certification. <p>For details on applicability of sites, see the Requirements for Certificate Scope Under the Capture Fisheries Standard policy.</p>
Objective 1.1.2: The Certificate Holder understands the Fair Trade USA program and has trained Premium Participants.			
1.1.2.a	The Certificate Holder understands the intent, purpose, and requirements of the Fair Trade Committee, Needs Assessment, and Fair Trade Premium Plan.	C-Y0	Clarification: Specifically, the individuals responsible for the implementation of Module 1 as identified in 9.1.1.a understand the intent, purpose, and requirements.
1.1.2.b	Fair Trade Premium Participants have been trained on the functioning of the Fair Trade Committee, the intent of the Needs Assessment, and the development of the Fair Trade Premium Plan.	C-Before FTC is elected (1.3.1.c) or Y1 at the latest	<p>Clarification: The main responsibility of the Fair Trade Committee is to manage the use of the Premium. Training for all Premium Participants occurs before the Fair Trade Committee is elected, and at least every three years thereafter.</p> <p>When a significant number of Fair Trade Premium Participants are added, these new individuals must be trained. <i>Significant number</i> is defined as more than 10% turnover in members or new Premium Participant members since the previous year. This includes turnover of temporary fishers and, when applicable, workers.</p>
Objective 1.1.3: The Certificate Holder's management has a clear strategy to ensure continuity of the Fair Trade USA program if it is dependent on outside project-based funding.			
1.1.3.a	If the Fair Trade USA program is dependent on outside project-based funding, the Certificate Holder's management has a clear strategy to ensure continuity of the project once the funding has ended.	C-Y0	



No.	Compliance Criteria	Timeline	Intent and Clarification
	There is financial evidence of the ability to ensure continuity of the Fair Trade USA program, or clear financial projections tied to items in the strategy.		
Objective 1.1.4: The Certificate Holder deals fairly with the Fair Trade Committee, Registered Fishers, and Fishing Association, and supports their empowerment.			
1.1.4.a	The Certificate Holder incorporates Corporate Social Responsibility into its written mission or policy statement(s). The mission or policy statement is publicly available.	C-Y0	<p>Clarification: This compliance criterion is not applicable when the Certificate Holder and the Fishing Association are the same entity.</p> <p>Fishers are recognized as an integral part of this written mission or policy statement(s). The term Corporate Social Responsibility does not need to be a part of the mission statement, but it should be clear the objectives of the company are aligned with the objectives of the CFS.</p> <p>Publicly available means the mission or policy statement is available on the organization's website, included in an annual report, or available upon request.</p> <p>Recommendations: Objectives or values associated with the CFS include, for example, fisher support and empowerment, fair treatment of workers, and social and environmental responsibility.</p>
1.1.4.b	Premium Participants are offered trainings or support services to continue to improve their understanding of financial literacy, diversify their income sources, develop relevant skills, and improve household livelihoods.	C-Y3	<p>Clarification: The intent of this criterion is for all Premium Participants to receive a training or have access to a support program at least once every three years. Over a six-year period, financial literacy, and development of relevant skills must have been covered. For Registered Fishers in addition, trainings on income diversification must also be covered by Year 6.</p> <p>Certificate Holders must strive to make these trainings or support programs accessible and accommodating to Premium</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Participants' needs and schedules, so that they are useful to attendees and easy to take part in. For example, for seasonal fisheries, these trainings happen during the fishing season.</p> <p>Financial Literacy:</p> <p>Financial literacy means having the knowledge, skills, and confidence necessary to manage one's personal finances well. It helps fishers manage resources, track inputs and productivity, and set and chart progress towards goals, enabling them to make proactive instead of reactive decisions.</p> <p>A training on financial literacy must be provided, and should be adapted to the educational level, cultural context, and needs of the participants. Basic training on financial literacy could include understanding and using basic math and record-keeping to track sales, spending, and personal savings.</p> <p>Income Diversification Support for Registered Fishers:</p> <p>This requirement could be filled through an educational program on income diversification, or by providing direct support for accessing resources and implementing practices for income diversification.</p> <p>Trainings must be available to all Registered Fishers, and efforts must be made to include less-advantaged group members, those in remote areas, and those with limited literacy.</p> <p>Development of relevant skills:</p> <p>Relevant skills can vary depending on the socio-economic context, type of fishery and geographic location of the Premium Participants. A relevant skill can be, for example, handling of product to increase product quality. Other relevant skills can be</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>use of alternative fishing gear, engine mechanics, navigation, etc.</p> <p>Financial training and development of relevant skills trainings must be made available to all Premium Participants, and efforts must be made to include spouses of fishers within scope of the Certificate.</p> <p>Recommendations: The content of financial literacy training should advance over time. More advanced training could be on accessing financing, calculating and communicating the costs of production, negotiation skills, and/or the roles and activities of different actors in the supply chain.</p> <p>Trainings and programs around income diversification support that meet this requirement include, but are not limited to:</p> <ul style="list-style-type: none"> • A training provided to a majority of fishers on a non-fishing activity, such as value addition or opportunities to engage in eco-tourism. • Facilitating a peer-to-peer learning structure among fishers. For example, training could be given to a targeted group of fishers who serve as “model”, who would demonstrate improved practices by example and provide guidance to other fishers in the group. This could relate to fishing practices (e.g. changing to a more efficient gear), or diversifying income opportunities through non-fishing activities (e.g. aquaculture, tourism). • Direct methods of support such as the provision of, or support for accessing, a loan fund that is available to all fishers. <p>Premium Participants should be consulted to understand their interests in and needs for skill development.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			Trainings can be conducted by the Certificate Holder or a third party. If a third party is hired to do a training, then Fair Trade Premium may be used. It is also best practice to include household and family members in these trainings.

SUB-MODULE 1.2: The Fishing Association.

This sub-module is only applicable to fisheries with Registered Fishers and crew members who are part of one or more Fishing Association(s) (FA). Hired-labor fishers do not have to form or join a Fishing Association under the CFS, however, they may join or form a Fishing Association if they wish to do so in accordance with their rights outlined in Module 2. Where the Certificate Holder is a Fishing Association, they must also follow the requirements in this sub-module.

The Fishing Association is an important component of empowerment for fishers, as it creates a space for members to share and collaborate with each other, learn their rights and responsibilities under the CFS, take charge over the management of the resource in a responsible way, and create a space for trainings and collaboration with other Fishing Associations. Through the organization and membership, fishers develop grievance processes with the Certificate Holder, which creates a direct path for fishers to air grievances regarding prices, payments, and any aspect of the implementation of the CFS.

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 1.2.1: Fishers are part of a Fishing Association.			
1.2.1.a	Registered Fishers who are in scope of the Certificate are members of a Fishing Association in order to ensure democratic input into decision-making about changes in the management of the fishery.	C-Y0	Clarification: Individuals may belong to multiple Fishing Associations.
1.2.1.b	A list of Registered Fishers who have joined the Fishing Association is kept up-to-date and is available to Registered Fishers.	C-Y0	Clarification: See the Changes to Certificate Scope Procedure for additional details on changes in the number of Registered Fishers between scheduled audits.



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Recommendations: Best practice is to organize the list by primary species caught by each fisher, location, Fishing Association membership, and other key information.</p>
1.2.1.c	<p>The Fishing Association keeps a list of all members. The member list for the Fishing Association is updated regularly and is available to all members.</p>	C-Y0	<p>Clarification: The intent of this criterion is for the FA to have a list of members beyond those included under 1.2.1.b. This includes crew members and any other individual who may or may not have voting rights.</p>
<p>Objective 1.2.2: Fishing Association meetings adhere to agreed-upon rules.</p>			
1.2.2.a	<p>The Fishing Association has adopted a mission statement and defined the internal rules of the organization (i.e., in the form of statutes, a constitution, or by-laws).</p>	C-Y0	<p>Clarification: The internal rules of the Fishing Association (i.e., statutes, constitution, or by-laws) must include at a minimum:</p> <ul style="list-style-type: none"> • Rules that determine who can become a member and provide details on the application process, approval process, and timelines for official registration. The rules are non-discriminatory as described in 9.4.2.a; • Rules that if the Fishing Association is unable to incorporate new fishers, there is documented justification based on the eligibility requirement for why it cannot do so; • A mandate that all Registered Fishers and crew members who are part of the Fishing Association have decision-making voting rights; • The cadence by which all members are notified of Fishing Association meetings. This includes meetings required as per 1.2.3.a, as well as any other FA meetings; • A defined procedure on how the leadership team will be elected (see 1.2.4.a for more details); • Defined procedures to call meetings and determine quorum; and,



No.	Compliance Criteria	Timeline	Intent and Clarification
			<ul style="list-style-type: none"> Where delegate/representation systems are used, the systems are clearly defined and offer equal representation to all members of the Fishing Association. <p>Delegate systems may be used where necessary.</p> <p>Where the Registered Fishers have formed multiple Fishing Associations and the Fishing Associations are making decisions together on the management of the resource, there are rules defining decision making as a group.</p> <p>Note that 1.2.2.d defines additional information to include in the internal rules of the FA.</p>
1.2.2.b	All major decisions of the Fishing Association are discussed and approved by a majority of voting members according to a free, fair, and transparent voting procedure.	C-Y0	<p>Clarification: Registered Fishers and crew members must always have voting rights. Other Fishing Association members (e.g. spouses, fishery scientist, staff from local non-profit organizations) may acquire voting rights if a majority of existing voting members approve.</p> <p>Major decisions are, for example, changes to voting rights, changes to the internal rules, etc.</p>
1.2.2.c	The internal rules of the Fishing Association are followed.	C-Y1	
1.2.2.d	The Fishing Association incorporates grievance mechanisms into the internal rules of the organization (i.e., in the form of statutes, a constitution, or by-laws).	C-Y3	<p>Clarification: The intent of this mechanism is to have a system in place to address grievances and complaints between Fishing Association members. The mechanism must include at a minimum:</p> <ul style="list-style-type: none"> Types of grievances and complaints that can be brought up;



No.	Compliance Criteria	Timeline	Intent and Clarification
			<ul style="list-style-type: none"> • Methods to raise grievances and complaints; and, • The process by which grievances and complaints are addressed. <p>Grievances from crew members who are not part of the FA but work with Registered Fishers, can be processed through the Fishing Association grievance mechanism.</p> <p>There is no retaliation to individuals who use the grievance mechanism.</p>
1.2.2.e	The Fishing Association maintains records of grievances raised under the internal mechanism including a description of the grievance, the investigation process and persons involved, and actions taken to address each grievance.	C-Y3	<p>Clarification: Records must be kept for at least five years, or longer if required by law.</p>
Objective 1.2.3: Communication and management of Fishing Association meetings are effective.			
1.2.3.a	The Fishing Association holds a meeting of all members at least once a year.	C-Y0	<p>Clarification: Members are informed in advance when meetings will take place which are to be defined in the internal rules in 1.2.2.a. Methods for informing members shall take into consideration the languages and literacy of the members.</p> <p>The intent of the meeting is to discuss the implementation of the CFS. This meeting must be open to all members of the Fishing Association.</p> <p>Recommendations: Best practice is to notify fishers two weeks in advance of a meeting.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
1.2.3.b	Records, books, and documentation are accessible to all members of the Fishing Association. Methods for making this information accessible to members shall take into consideration the languages and literacy of the members.	C-Y1	
1.2.3.c	Within the Fishing Association, at least one person or committee is responsible for managing the administration and book-keeping duties of the Fishing Association.	C-Y6	
Objective 1.2.4: Fishing Associations are represented by a leadership team.			
1.2.4.a	The Fishing Association's leadership team (e.g., board of directors) is chosen in free, fair, and transparent elections, and this election process is documented.	C-Y0	<p>Clarification: The FA's leadership team and the Fair Trade Committee can be the same entity if desired, so long as the leadership team is proportionally representative, and is aligned with 1.3.1.c.</p> <p>Recommendations: When women are part of the Fishing Association, it is encouraged to have female representation in the leadership team.</p>
1.2.4.b	All members of the Fishing Association are eligible for nomination and are able to participate in the election of the leadership team (i.e., board of directors).	C-Y0	
Objective 1.2.5: Members of the Fishing Association understand their rights and are able to air grievances and communicate concerns.			
1.2.5.a	Registered Fishers and crew members are informed of their rights under the CFS.	C-Y0	<p>Clarification: This includes their rights as described in Modules 2, 3 and 5 of the CFS.</p> <p>This information is made available in languages all members of the Fishing Association understand.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>This is applicable to all crew members whether or not they have joined the Fishing Association as part of the Fair Trade USA program.</p> <p>Recommendations: It is best practice to provide the information through a brochure or poster in a public place, for example, at landing sites, where the Fishing Association meets, or where individuals usually gather.</p>
1.2.5.b	<p>The Certificate Holder does not prevent the Fishing Association(s) from forming groups to negotiate collectively or take on additional responsibilities for the commercialization of their products. If the Fishing Association wants to become certified against the CFS independent of the Certificate Holder, the Certificate Holder does not prevent this development.</p>	C-Y0	<p>Recommendations: Additional responsibilities might include processing product, accessing fishing inputs from a new source separate from the CH, or selling product on behalf of the Fishing Association's members.</p>
1.2.5.c	<p>The Fishing Association develops clear internal anti-harassment and abuse policies and procedures which are communicated to Registered Fishers. These policies and procedures are implemented.</p>	C-Y1	<p>Clarification: The policies and procedures shall include the following information on the Fishing Association grievance mechanism in Objective 1.2.5:</p> <ul style="list-style-type: none"> • Reporting harassment and abuse cases; • Investigating harassment and abuse cases; and, • Standardized sanctions for each type of abuse. <p>The policies shall include a distinct section regarding sexual harassment.</p> <p>This criterion is related to 1.2.5.d which requires a grievance policy and procedures that specifically addresses sexual harassment, as well as to other criteria in Objective 1.2.5 for Registered Fishers being aware of and understanding their rights.</p> <p>It is important that this information be made available to crew members who have not formally joined the Fishing</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			Association who are working on vessels of Registered Fishers. This can be done at the time of the verbal/written agreement between a Registered Fisher and their crew members.
1.2.5.d	The Fishing Association and the Certificate Holder develop a grievance policy which includes procedures. The policy ensures resolution occur in a timely manner and includes an appeals procedure.	C-Y1	<p>Clarification: This criterion is not applicable if the Certificate Holder and the Fishing Association are the same entity.</p> <p>The policy and associated procedures shall be designed for the Fishing Association to bring up grievances regarding prices, payments, and any other aspects related to the management of the fishery and compliance with the CFS.</p> <p>The Fishing Association members are consulted on the grievance policy before it is finalized.</p>
1.2.5.e	The grievance policy in 1.2.5.c is followed.	C-Y1	
1.2.5.f	The Certificate Holder and the Fishing Association maintain records of grievances, including a description of the grievance, the investigation process and persons involved, and actions taken to address each grievance.	C-Y1	<p>Clarification: Records must be kept for at least five years, or longer if required by law.</p> <p>Recommendations: If the grievance policy and associated procedures include other entities aside from the Certificate Holder and the Fishing Association, it is best practice for every entity to maintain records of the grievances.</p>
1.2.5.g	The Fair Trade USA Complaints Procedure has been communicated to Registered Fishers and crew members verbally and in writing. The Complaints Procedure is accessible to everyone.	C-Y1	<p>Clarification: The policy is available on the Fair Trade USA website.</p> <p>Accessible means the Complaints Procedure is posted in a public place where the majority of Registered Fishers and crew members gather.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>The majority of Registered Fishers and crew members understand they can submit allegations to Fair Trade USA directly if they believe the Certificate Holder is in violation of the Fair Trade USA standard and if internal grievances submitted about violations have not been resolved.</p> <p>This information is made available in languages that the majority of Registered Fishers and crew members understand. Recommendations: This may be provided through a brochure or poster in a public place where hired labor fishers and/or workers gather.</p>
1.2.5.h	The Certificate Holder does not dismiss or discriminate against the Fishing Association or any of its members, for using any grievance or allegations process.	C-Y1	<p>Clarification: This includes the Fair Trade USA Complaints Procedure required in 1.2.5.g.</p>
1.2.5.i	There is a system in place to provide feedback on the grievance policy and associated procedures to improve their effectiveness.	C-Y3	<p>Clarification: The feedback process must be available to all stakeholders included in the grievance policy and procedures developed in 1.2.5.d. The process to gather feedback should provide an option to be anonymous. There shall be no retaliation to any individual who provides feedback.</p> <p>Consultation on the grievance policy and procedures must include:</p> <ul style="list-style-type: none"> • Scope of grievances that can be submitted; • Level of comfort of individuals to use the grievance mechanism system; and, • Process to receive and address grievances.



SUB-MODULE 1.3: Premium Participants Are Represented by a Fair Trade Committee to Manage the Use of the Fair Trade Premium.

No.	Compliance Criteria	Year	Intent and Clarification
Objective 1.3.1: Fair Trade Premium Participants are represented in a democratically elected Fair Trade Committee (FTC).			
1.3.1.a	The Certificate Holder has designed an initial structure and election procedure for the Fair Trade Committee (FTC) that ensures the proportional representation of diverse groups within the Fair Trade Premium Participants on the Fair Trade Committee.	C-Y0	<p>Clarification: Where there is a Fishing Association, the Certificate Holder works closely with the Fishing Association leadership to determine this structure.</p> <p>The initial structure defines the scope of Premium Participants, including considering optional individuals as Premium Participants (see the optional individuals in the Introduction).</p> <p>The intent is that the composition of the Fair Trade Committee (FTC) reflects the composition of the group of Premium Participants, so that all Premium Participants feel represented on the FTC. <i>Diverse groups</i> shall be identified as appropriate to the composition of the Premium Participants (the workforce analysis required in 4.1.3.a and the Certificate Scope can help with this). Groups could include, for example, women, migrant fishers, temporary migrant fishers, etc.</p> <p>The role of the Certificate Holder is to ensure proportional representation by designing an appropriate structure and election procedure, not to identify individuals to serve on the FTC.</p> <p>When more than one FTC is created per group of Premium Participants each Premium Participant is represented in exactly one FTC.</p> <p>Note that this criterion is applicable only for the initial certification. Once the process for election of the FTC has started, under 1.3.1.b the Premium Participants will be</p>



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			<p>responsible for modifying the proposed structure and governance of the FTC(s).</p> <p>Delegate systems may be used for electing the FTC if they offer equal representation of all Premium Participants. The intent of the delegate system is to represent all of the Premium Participants' interests in a streamlined and implementable manner, for example in larger groups that are geographically dispersed, where it is difficult for all Premium Participants to come together. Premium Participants must democratically elect their delegates themselves. Where delegate voting systems are used, the structure and election procedures are clearly defined and documented in the FTC Constitution.</p> <p>Delegate voting systems may also be used for FTC structure approval, General Assembly attendance and decision-making, Premium Plan approval, and Premium spending updates.</p> <p>Detailed rules for setting up the FTC(s) and for distributing Premium across multiple FTCs are outlined in Annex A.</p>
1.3.1.b	The majority of Premium Participants have agreed on the proportionally representative structure of the Fair Trade Committee and understand how they are represented in the Fair Trade Committee.	C-Before FTC is elected or Y1 at the latest	<p>Clarification: The Premium Participants may make changes to the original proposal by the Certificate Holder presented in 1.3.1.a as long as the structure still follows the requirements in 1.3.1.a, including that it remains proportionally representative. When there is a significant change in the composition of Premium Participants, then the FTC structure should be proactively adjusted so that it continues to be proportionally representative.</p> <p>The majority of Premium Participants agree on the inclusion of optional individuals in the scope of Premium Participants (see the optional individuals in the Introduction)</p> <p>The approval and understanding can be attained at a General Assembly meeting of a majority of Premium Participants. A</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>description of how diverse groups were identified, considered in the FTC structure and election procedure, and how they are currently represented in the FTC is made available to all Premium Participants. This description must be included in the written Constitution required in 1.3.1.f. A representative structure means that minorities, such as but not limited to, women, migrant fishers, temporary migrant fishers, etc. are represented in the structure of the FTC.</p>
1.3.1.c	<p>Premium Participants elect the members of the Fair Trade Committee through a democratic process with equal voting rights. The election process is documented.</p>	<p>C-After 1.3.1.a and before Premium is spent, or Y1 at the latest</p>	<p>Clarification: Only Premium Participants may be eligible for a position on the FTC. A democratic process with equal voting rights requires that each Premium Participant gets one vote, no matter how much they sell to the Certificate Holder, how long they have fished or worked in facility, etc. All Premium Participants have equal access to the voting process.</p> <p>If multiple FTCs are set up, the Premium Participants shall be divided into electoral groups so that they vote for the relevant FTC.</p> <p>Delegate voting systems are allowed if they offer equal representation to all Premium Participants.</p> <p>The FA's leadership team (1.2.4.a) can be nominated as the FTC.</p>
1.3.1.d	<p>A Fair Trade Officer has been appointed by the Certificate Holder as a non-voting observer to the Fair Trade Committee.</p>	<p>C-After 1.3.1.a and before Premium is spent, or Y1 at the latest</p>	<p>Clarification: This requirement is not applicable where the Certificate Holder is a Fishing Association.</p> <p>The intent of this criterion is for the Certificate Holder to provide technical support to the FTC in developing the Fair Trade Premium Plan, the annual progress report, and in making democratic and transparent decisions. Through the appointing of a Fair Trade Officer, the Certificate Holder is</p>



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			<p>directly involved in the FTC meetings, but may not attempt to influence the decision making of the FTC (see 1.3.1.e).</p> <p>This representative of the Certificate Holder may not vote in FTC decisions, but must block any Premium project that would result in a non-conformity with the Fair Trade Premium Expenditure Rules laid out in Annex C. Any such block must be documented in the meeting minutes of the FTC.</p> <p>Where there is more than one FTC, each FTC must have a Fair Trade Officer appointed by the Certificate Holder. The same observer can serve on multiple FTCs. The FTC may invite more than one observer from the Certificate Holder.</p> <p>Recommendations: The Certificate Holder may nominate an independent third party, such as an implementation partner, to serve as their observer, as long as that individual has an agreement to act on behalf of the Certificate Holder.</p> <p>It is recommended that the individual responsible for supporting implementation of Module 1, as identified in 9.1.1.a, be the observer to the FTC.</p>
1.3.1.e	The Certificate Holder does not interfere with the independent decision-making of the Fair Trade Committee. This commitment is declared in writing and shared with the FTC.	C-After 1.3.1.c and before Premium is spent, or Y1 at the latest	Clarification: This includes that the Fair Trade Officer, employers, or site managers who are not themselves members of the Premium Participants do not interfere with the independent decision-making of the FTC.
1.3.1.f	The Premium Participants have approved, and the Fair Trade Committee is following, a written Constitution defining the governance, roles, and responsibilities of the FTC.	C-After 1.3.1.c and before Premium is spent, or Y1 at the latest	<p>Clarification: The Constitution shall, at a minimum, include:</p> <ul style="list-style-type: none"> • The identification of the General Assembly of Premium Participants as the supreme decision-making body of the FTC; • The identification of the Premium Participants as the collective beneficiaries of Premium;



No.	Compliance Criteria	Year	Intent and Clarification
			<ul style="list-style-type: none"> • A commitment to manage and spend Premium earned in accordance with the Premium Expenditure Rules and clearly track all Premium transactions in the accounting system (see 1.4.4.f); • The voting procedures for electing the FTC and approving the Fair Trade Premium Plan, including the frequency of elections, delegate systems, the definition of a quorum, and how minor vs. major changes in the Fair Trade Premium Plan are approved; • A process for Premium Participants to raise suggestions or comments on the Premium Plan; • Rules on how to include eligible <i>optional</i> individuals as Premium Participants and for the FTC to approve the changes of Premium Participants; • Rules for ongoing project funding or distribution of the remaining Premium to Premium Participants in the event of dissolution of the FTC; • Rules for emergency, and discretionary spending; and, • A description of how diverse groups within the Fair Trade Premium Participants are identified, considered in the FTC structure and election procedure, and how they are currently represented in the FTC. <p>If there are multiple FTCs, each one shall have its own Constitution, which includes the rules for Premium distribution among FTCs.</p> <p>If there are multiple FTCs and a significant change in workforce composition or Certificate scope occurs, within one year the rules for Premium distribution must be re-assessed to ensure that they are still equitable and re-approved by a majority of Premium Participants. Significant changes include but are not limited to, more than 10% new vessels or workers at land-based facilities, a new production line involving new workers, or new sites of different sizes or geographies. Note</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>this does not include turnover of individuals unless it results in a change in the composition or distribution of Premium Participants within and/or across the multiple FTCs.</p> <p>If the Premium Participants have already formed a group (for instance a Fishing Association) whose board directly nominates the FTC as allowed under 1.3.1.c, it must have adopted the requirements outlined here in official governance documents.</p> <p>Recommendations: The process for Premium Participants to raise suggestions on the Premium Plan can be done at the General Assembly.</p> <p>It is best practice to set term limits for FTC members to ensure participation by a diverse group of people.</p>
Objective 1.3.2: The Fair Trade Committee (FTC) meets regularly and communicates with Premium Participants.			
1.3.2.a	The Fair Trade Committee establishes rules for General Assembly meetings.	C-Y1	<p>Clarification: The rules include, at a minimum:</p> <ul style="list-style-type: none"> • Procedures to call the General Assembly meeting and determine quorum; • Procedures to inform Premium Participants in advance of when General Assembly meetings will take place. Methods to inform Premium Participants shall take into consideration the languages and literacy of the Premium Participants. <p>Recommendations: It is best practice to notify Premium Participants at least two weeks in advance.</p>
1.3.2.b	The Premium Participants meet annually for a General Assembly to discuss and decide on Fair Trade Committee activities and governance.	C-Before Premium is spent, or Y1 at the latest	<p>Clarification: All major decisions of the FTC are discussed and approved at a General Assembly meeting according to a free, fair, and transparent voting procedure.</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>Delegate systems may be used in lieu of direct attendance if they offer adequate representation to all Premium Participants. The majority of Premium Participants shall participate in the General Assembly and vote on Fair trade matters, either directly or through a delegate. Workers may need to be compensated for their time spent at the General Assembly. See Annex B for requirements related to compensation and support to ensure participation.</p> <p>Applicable for Registered Fishers and crew members: When Premium Participants cannot attend General Assembly meetings, spouses who are also voting or non-voting members of the Fishing Association are allowed to represent their partners. Only one vote is allowed per Premium Participant. Attendance shall be taken to ensure spouses do not cast an additional vote for any members.</p> <p>If the proposed structure of the FTC involves separating Premium Participants into natural groups each with its own FTC, each group can hold a separate General Assembly or choose to hold them jointly.</p> <p>If there is no balance in the Fair Trade Premium account and no funds were spent in the previous year, the annual General Assembly may be postponed or skipped. However, it is recommended to always hold the General Assembly, as it is an important opportunity for sharing information, training on general fair trade matters, and planning for future Premium spending.</p> <p>Recommendations: Although delegate systems may be used, it is recommended that for the initial General Assembly meeting, all Premium Participants join in person.</p>



No.	Compliance Criteria	Year	Intent and Clarification
1.3.2.c	Minutes are kept of the General Assembly meeting, and any decisions made are documented.	C-Y1	<p>Clarification: The minutes clearly record all decisions made and contain a list of all participants at General Assembly meetings. There is a list of participants at General Assembly meetings included in the minutes.</p> <p>The minutes are signed by the FTC leadership.</p> <p>The decisions should be posted in a public place accessible to and used by Premium Participants, for example, in the cafeteria, kitchen or at product drop-off locations.</p> <p>Recommendations: Minutes can be hand-written. They should clearly record the place of the meeting, date, and time.</p>
1.3.2.d	The Fair Trade Committee meets at least once per quarter.	C-Before Premium is spent, or Y1 at the latest	<p>Clarification: If there is a minimal balance in the Fair Trade Premium account and no funds were spent in the previous year, this meeting frequency may be temporarily reduced.</p> <p>For seasonal fisheries, the meeting frequency may also be reduced to be held only during the fishing season. If ongoing projects are being implemented however, members who are available should endeavor to meet to check in on projects, even if it is not the full FTC.</p> <p>When projects must be actively managed, it is likely that the FTC will need to meet more frequently than once per quarter, for instance once per month.</p> <p>The employer or Certificate Holder must allow any workers on the FTC to participate in all meetings.</p> <p>Committee members may need to be compensated for their time spent at FTC meetings. See Annex B for requirements related to such compensation.</p> <p>Recommendations: The FTC may define what constitutes a <i>minimal</i> balance in their current Fair Trade Premium Plan. For</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>example, if the FTC has already developed a Premium Plan but does not yet have enough Premium saved to begin any projects, it does not have to meet. However, it is recommended that the FTC continues to meet at least quarterly where feasible, to encourage regular dialogue and collaboration among FTC members and the Certificate Holder on Premium planning, training, and other fair trade matters.</p>
1.3.2.e	<p>The Fair Trade Committee keeps and signs minutes of its meetings and shares them with Premium Participants.</p>	C-Y1	<p>Clarification: The minutes of the FTC meetings clearly record the place of the meeting, date, time, meeting participants, and all decisions made.</p> <p>Methods for sharing meeting minutes with Premium Participants shall take into consideration the languages and literacy of the Premium Participants.</p> <p>Recommendations: Sharing with Premium Participants could be done by posting in a public place accessible to and used by Premium Participants, for example, at the landing site, or in the Fishing Association meeting space,</p>
1.3.2.f	<p>The Fair Trade Committee communicates information on Fair Trade USA sales, Premium, and Premium expenditures to the Premium Participants at least annually.</p>	C-Y1	<p>Clarification: Methods for informing Premium Participants shall take into consideration the languages and literacy of the Premium Participants.</p> <p>This requires that the Certificate Holder shares information about Fair Trade USA sales and Premium income with the FTC.</p> <p>Recommendations: To aid in planning, the Certificate Holder and FTC should share the estimated Premium income for the following year based on Fair Trade USA sales forecasts.</p>

Objective 1.3.3: The Fair Trade Committee (FTC) is trained and empowered to fulfill their duties regarding the use and management of the Fair Trade Premium.



No.	Compliance Criteria	Year	Intent and Clarification
1.3.3.a	Fair Trade Committee members understand the role and responsibilities of the FTC.	C-Before Premium is spent, or Y1 at the latest	<p>Clarification: The full CFS is made available to the members of the FTC.</p> <p>Recommendations: This can be accomplished through a training done by the Certificate Holder, which is repeated for any new FTC members.</p>
1.3.3.b	Fair Trade Committee members are trained in the administrative and organizational skills needed to fulfill their duties.	C-Y1	<p>Clarification: All trainings are documented. Records are kept on file. The trainings can be done by the Certificate Holder or a third party. If a third party is hired, then Fair Trade Premium may be used.</p> <p>The FTC receives training at least once per year so that its members have the skills they need to manage the Premium. Trainings may vary in form depending on the Premium projects and geographic location of the FTC members.</p> <p>At a minimum, this includes training on the management of the Premium accounting system (see 1.4.4.f) once it is functioning. New members joining the FTC should be trained on the accounting system shortly after they join.</p> <p>Other training topics can include budgeting, financial literacy, project management, meeting facilitation, consensus-building, communication technologies, and conflict resolution.</p> <p>Recommendations: Administrative and organizational capacity trainings should be adapted to the educational level, cultural context, and needs of the participants. Basic trainings could include understanding and using basic math and record-keeping to track sales, spending, and personal savings. More advanced training could be on accessing financing, calculating and communicating costs of harvest, negotiation skills, and/or the roles and activities of different actors in the supply chain.</p>



No.	Compliance Criteria	Year	Intent and Clarification
1.3.3.c	Fair Trade Committee members have been trained in how to conduct the Needs Assessment required in Objective 1.4.1.	C-Y3	<p>Clarification: This training can be done by the Certificate Holder or a third party. If a third party is hired, then Fair Trade Premium may be used to pay for the training. This training is necessary to prepare the FTC to take an active role in the management of the Needs Assessment process as required in 1.4.1.d.</p>
1.3.3.d	The Certificate Holder provides resources necessary to hold Fair Trade Committee meetings, and the Fair Trade Committee has access to administration and communication tools.	C-Before Premium is spent, or Y1 at the latest	<p>Clarification: This includes, but is not limited to, providing office or meeting space, transportation for Committee members to get to and from the meeting, compensation for participants' time (see Annex B), and supplies such as paper, pens or pencils, computer resources where appropriate, etc. Provision of resources can be arranged at the Fishing Association level if the Certificate Holder is geographically distanced. However, the Certificate Holder is still responsible for compensating for these resources.</p> <p>The meeting space must be in reasonable proximity to the FTC members.</p> <p>Communication tools which must be accessible to the FTC include telephone and email. Normally, the Certificate Holder provides these tools, but when the Certificate Holder and the Fishing Association are the same entity, Fair Trade Premium may be used for these communication tools (see Annex C).</p> <p>Recommendations: It is recommended that the FTC has its own independent email account where infrastructure allows this.</p> <p>For cases where workers are part of the Premium Participants, the Certificate Holder, and the employer should allow workers on the FTC to carry out project-related tasks between meetings during working hours, and consistently make time available for FTC activities, even during busy times of year.</p>



SUB-MODULE 1.4: Fair Trade Premium is Spent According to the Needs of the Registered Fishers, Crew Members, Hired-Labor Fishers, Workers, and the Community.

This sub-module is applicable upon first use of the Fair Trade Premium or the year listed, whichever comes first.

No.	Compliance Criteria	Year	Intent and Clarification
Objective 1.4.1: There is a written assessment that outlines the needs of the Registered Fishers, crew members, workers, their community, and the natural environment.			
1.4.1.a	<p>There is a written Needs Assessment identifying the social, economic, and environmental development needs of the Registered Fishers, crew members, hired-labor fishers, and their families, communities, and the environment relevant to the scope of the Certificate. The results of the Needs Assessment are shared with the FTC, the Fishing Association, and the Social Engagement Team.</p>	<p>C-Before Premium is spent, or by Y1 at the latest</p>	<p>Clarification: The Certificate Holder is accountable for the Needs Assessment being completed. The intent of this requirement is that the needs of all Fair Trade Premium Participants, their families, and communities are well understood and can be effectively considered when prioritizing uses of the Fair Trade Premium. Note that 1.4.1.c requires that the scope of the Needs Assessment be expanded in future years.</p> <p>The first Needs Assessment must be financed or undertaken directly by the Certificate Holder. Subsequent Needs Assessments (see 1.4.1.b) may be financed by Fair Trade Premium if they are undertaken by a third party.</p> <p>The Needs Assessment may be carried out in a variety of ways including surveys, interviews, or meetings with Premium Participants. The Needs Assessment must include a diverse and representative sample of Premium Participants, such that the composition of the sample of Premium Participants that provide input for the Needs Assessment closely matches the composition of the population of Premium Participants as a whole (see 1.3.1.a for further considerations regarding diverse groups).</p> <p>The Needs Assessment shall include an evaluation of the following areas at minimum:</p> <ul style="list-style-type: none"> • Access to education and childcare; • Food security;



No.	Compliance Criteria	Year	Intent and Clarification
			<ul style="list-style-type: none"> • Health services (for example, access to or affordability of health care); • Housing; • Health and sanitation (for example, drinking water access and quality; latrines; access to Personal Protective Equipment; or community health concerns such as high levels of HIV infection, diabetes, infant mortality, maternal death rate); • Product quality; • Climate resilience and adaptation; • Governance and co-management challenges for the management of the fishing resource; and, • Natural resource sustainability, based on the criteria from the Resource Management module of the CFS. <p>The results of the Needs Assessment must be analyzed in a disaggregated manner, focusing on gender and workforce demographic. A summary of the Needs Assessment results is made available to Premium Participants.</p> <p>Recommendations: Additional recommended themes include:</p> <ul style="list-style-type: none"> • Participation of women in income generating activities and decision-making, women-specific needs, and other women’s empowerment issues; • Community infrastructure (for example, roads, bridges, or community buildings); • Community services (for example, access to trainings or other support for livelihoods improvements); • Financial stability; • Provision of trainings. <p>It is best practice, but not required, for the FTC to be involved in planning and undertaking of the Needs Assessment in the</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>first year. Note that in 1.4.1.d, by Year 6 the FTC will need to take an active role in updating the Needs Assessment.</p>
1.4.1.b	<p>The Needs Assessment is updated by the third year of certification and at least every three years after that point, and/or when there is a significant change in Premium Participants.</p>	<p>C-As soon as a significant number of new Premium Participants are added, or by Y3 at the latest</p>	<p>Clarification: The intent of this requirement is to ensure the Needs Assessment remains relevant and continues to represent the needs of all Premium Participants, even when there is a significant change. Significant change is defined as more than 10% new Premium Participant members since the previous Needs Assessment, an expansion in workforce and/or operations that results in significant demographic shifts (such as the addition of a new group of fishers, or new sites of different sizes or geographies), the addition of optional workers to the scope of Premium Participants, or the turnover of individuals that results in a change in the workforce structure or distribution of Premium Participants (i.e., there may be greater than 10% turnover in individual workers, but if this does not result in significant demographic shifts within the workforce, the Needs Assessment does not need to be updated).</p> <p>Note that where there is significant change related to new Premium Participant members or an expansion in workforce and/or operations, only sampling from the new group needs to be done to update the Needs Assessment. It is not necessary to re-do the entire assessment.</p> <p>If a significant change in Premium Participants does not occur, this criterion is not applicable until Year 3.</p> <p>Updates to the Needs Assessment undertaken by a third party can be paid for with Fair Trade Premium.</p>



No.	Compliance Criteria	Year	Intent and Clarification
1.4.1.c	The Needs Assessment scope is expanded to include any workers in the scope of the Certificate who are not included in the scope of Premium Participants.	C-Y3	<p>Clarification: For instance, processing facility workers might not be included as Premium Participants, but their needs must be assessed so that they can benefit from the Fair Trade Premium in the future.</p> <p>When workers are included as Premium Participants before Year 3, they must be included as part of the scope of the Needs Assessment at the time when they are added as Premium Participants.</p> <p>Recommendations: If there is no existing living wage benchmark as required for 4.2.1.d, workers may need to be included in the Needs Assessment earlier in order to achieve compliance with the living wage requirements.</p>
1.4.1.d	The Fair Trade Committee takes an active role in updating the Needs Assessment.	C-Y6	<p>Recommendations: An <i>active role</i> could mean that the FTC leads the assessment or hires a specialist to conduct the assessment.</p>
<p>Objective 1.4.2: There is a Fair Trade Premium Plan, which explains how the Fair Trade Premium will be spent, based on the Needs Assessment. This plan is approved by the Premium Participants.</p>			
1.4.2.a	The Fair Trade Committee has developed a Fair Trade Premium Plan which describes how Fair Trade Premium will be used.	C – Before Premium is spent, or by Y3 at the latest	<p>Clarification: At a minimum, the Fair Trade Premium Plan includes a prioritized and detailed list of projects and investments that address needs identified in the Needs Assessment and a list of any other expenses for which Premium will be used (e.g., Premium management expenses, training costs, etc.). See 1.4.2.c and Annex C for details on allowed expenditures of Premium. The Premium Plan can include larger investment projects which require saving Premium throughout multiple years. These savings can be considered an activity of a project, or the project itself and must be reflected in the Premium Plan.</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>For each project, the Premium Plan lists and details project objectives, outcomes, respective timeline, budget, and required actions, as well as individuals' roles and responsibilities in the project. Objectives and outcomes of the required actions are measurable, and measurement criteria are defined.</p> <p>If there is more than one FTC, each FTC must develop its own Fair Trade Premium Plan.</p> <p>See Annex C for details on allowable expenditures of Premium.</p> <p>Recommendations: Premium projects focused on benefiting migrants while they are at the workplace should aim to have an immediate short-term impact since the population may vary from year to year. Alternatively, a project can focus on meeting the needs of migrants' home communities.</p> <p>Refer to guidance in 1.4.1.b for updating the Needs Assessment.</p>
1.4.2.b	All individuals included in the scope of the Needs Assessment have access to and can benefit from at least one project.	C-Y6	<p>Clarification: This means considering the needs of distinct groups included in the scope of the Needs Assessment, even those who are not Premium Participants, and ensuring all individuals are able to access the benefits of at least one Premium project (see 1.4.1.c). For example, this could include workers at processing facilities included in the scope of the Certificate.</p> <p>Recommendations: It is best practice to carry out customized projects for distinct groups according to their unique needs.</p>



No.	Compliance Criteria	Year	Intent and Clarification
1.4.2.c	The Fair Trade Premium Plan is in accordance with the Fair Trade Premium Expenditure Rules and the results of the Needs Assessment.	C-Before Premium is spent, or by Y3 at the latest	<p>Clarification: This criterion becomes applicable as soon as the first Premium Plan is developed.</p> <p>In all cases, Premium expenditures must be linked to a need identified in the Needs Assessment and be approved by the Premium Participants, unless approved for emergency and discretionary spending as outlined in the FTC Constitution. The intent of Premium expenditure is that it improves the livelihoods of Premium Participants, as guided by the results of the Needs Assessment.</p> <p>The complete Premium Expenditure Rules are outlined in Annex C.</p>
1.4.2.d	The majority of the Premium Participants have approved the Fair Trade Premium Plan.	C-Before Premium is spent, or by Y3 at the latest	<p>Clarification: This is done at a General Assembly of Premium Participants, where either the majority of Premium Participants attends directly or where the majority of Premium Participants are represented through their elected delegates.</p> <p>The Premium Participants should understand how the proposed Premium Plan addresses the needs identified in the Needs Assessment.</p>
1.4.2.e	The Fair Trade Premium Plan is updated by the Fair Trade Committee and approved by the Premium Participants on an annual basis. This update includes an analysis of the outcomes of the previous Premium Plan and any updates to the Needs Assessment as required in 1.4.1.b.	C-one year after the first Fair Trade Premium Plan is developed, or by Y4 at the latest	<p>Clarification: If the FTC has developed a Fair Trade Premium Plan before Year 3, in order to spend Fair Trade Premium, the Fair Trade Premium Plan must be updated annually. The intent is that Premium is not spent according to a Fair Trade Premium Plan that is more than one year old.</p> <p>The analysis of the outcomes and implementation of the existing Fair Trade Premium Plan shall report on:</p> <ul style="list-style-type: none"> • The status of each action proposed in the Fair Trade Premium Plan, and if not carried out, an explanation of why not;



No.	Compliance Criteria	Year	Intent and Clarification
			<ul style="list-style-type: none"> • When the actions were carried out; • At what cost; and, • Whether the objective was achieved or if further action is needed. <p>Methods for sharing with Premium Participants shall take into consideration languages and literacy of the Premium Participants.</p> <p>Recommendations: The FTC should self-monitor its performance against the initial Fair Trade Premium Plan and evaluate the success of the Fair Trade Premium Plan. There can be several reasons why a Fair Trade Premium Plan was not carried out as originally intended or why it was not successful in reaching the objectives. The Premium Participants need to be informed if this is the case.</p>
Objective 1.4.3: The Fair Trade Premium is used according to the Fair Trade Premium Plan and Fair Trade Committee Constitution.			
1.4.3.a	Premium is spent only on projects or expenses included in the approved Premium Plan or approved in the Fair Trade Committee Constitution.	C-As soon as Premium is spent	<p>Clarification: There is no evidence of misuse in the management of the Premium.</p> <p>Criteria related to Premium use become applicable as soon as Premium is spent. Emergency, and discretionary expenditures can be made if they were not included in the Fair Trade Premium Plan as long as these are in accordance with the FTC Constitution.</p> <p>If the Premium Plan is developed in compliance with the rules in 1.4.2.c, it ensures that Premium is spent according to the Fair Trade Premium Expenditure Rules (Annex C).</p>
Objective 1.4.4: Structures and safeguards are in place to ensure Premium is spent appropriately.			



No.	Compliance Criteria	Year	Intent and Clarification
1.4.4.a	Premium use and accounting is transparent with Premium Participants.	C-As soon as Premium is received	<p>Clarification: This is a shared responsibility between the Certificate Holder and the FTC, once elected. Premium Participants are aware of Premium earned and can identify which projects were implemented using the Fair Trade Premium.</p> <p>Premium Participants shall receive information about Premium use and accounting directly, via posting in a public place, or via delegates at the General Assembly. Additionally, FTC records, accounts, and documentation are made available to Premium Participants upon request. Once the formal accounting system in 1.4.4.f is in place, information recorded in the system is regularly shared with Premium Participants.</p> <p>Methods for informing Premium Participants shall take into consideration the languages and literacy of the Premium Participants.</p>
1.4.4.b	Each Fair Trade Committee has a bank account with at least one signatory from the Certificate Holder and at least one signatory from the group of Premium Participants to hold Premium funds.	C-Before Premium is Spent or by Y1 at the latest	<p>Clarification: Signatures from both the Certificate Holder and the FTC are required to withdraw Premium funds.</p> <p>At the time of the audit, the account must either be open or it can be demonstrated that steps have been taken to start the process and make progress to open the account. For example, relevant paperwork has been submitted and the process of opening the bank account is actively underway, or the FTC has evaluated the options, chosen the bank and type of account they will open once Premium is transferred, and have agreed upon which FTC members will be joint account signatories.</p> <p>Where the FTC has established a legal entity (1.4.4.c), the bank account is owned by the legal entity. Exceptions can be made if the FTC is unable to open its own bank account or if a locally-registered FTC is unable to send or receive funds from</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>abroad. In such cases the FTC must appoint a Trustee to open a bank account on behalf of the FTC. The Trustee shall be a joint signatory on the account, and the Trustee must have a signed agreement with the FTC to spend Premium according to the Premium Plan and approval process and indicating that the true owners of the Fair Trade Premium are the Premium Participants. The Trustee could be, for instance, the Certificate Holder, an NGO, a bank, or a credit union. A Trustee may not be a third party who is part of the labor supply chain, such as a labor contractor or recruiter.</p> <p>Any third parties involved in managing or distributing Premium funds must comply with the Trustee requirements above as well as those listed in 1.4.4.f with regards to the accounting system.</p> <p>Where there are strict restrictions limiting the ability of the bank account to have joint signatory representation from both the Certificate Holder and the Premium Participants, there must be a joint approval process for withdrawal from this account with at least one signatory from the Certificate Holder and at least one signatory from the Premium Participants. In these circumstances, this joint approval process must be an integral part of the accounting system defined in 1.4.4.f. This approval process is defined in the FTC Constitution (1.3.1.f).</p> <p>The FTC and Certificate Holder acknowledge and documents that the Premium Participants are the true owners of the Premium funds.</p>
1.4.4.c	Each Fair Trade Committee establishes a legal entity to represent the Premium Participants before fixed communal assets are acquired with Premium or if more than USD 150,000 is received or spent by a FTC in one year.	C-As soon as Premium is received	<p>Clarification: 1.4.4.d below contains requirements for the legal entity. The legal entity is managed by the FTC and represents all Premium Participants as the joint owners of the Fair Trade Premium and of any assets acquired with the Fair Trade Premium.</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>Forming a separate entity is a safeguard against corruption and ensures that the assets owned by the Premium Participants, including the Premium, are protected even if the production entity becomes decertified.</p> <p>Note that according to the Fair Trade Premium Expenditure Rules outlined in Annex C, the FTC must also be established as a legal body if Premium is used for on-site investments which remain the property of the owner of a Mid-sized or Large Operation, or of the Certificate Holder.</p>
1.4.4.d	Where there is an established legal entity to represent the Premium Participants, the structure of the legal entity clearly safeguards the Premium Participants as the primary beneficiaries of Premium and as the ultimate decision-makers.	C-As soon as Premium is received	<p>Clarification: This criterion is applicable whenever there is a legal entity established, regardless of whether the conditions in 1.4.4.c are met.</p> <p>The policy document Requirements for Legal Entities defines legal entity structures that are allowed and, depending on the conditions under which the legal entity is established outlines the expectations of the legal entity as it pertains to the FTC Constitution (1.3.1.f), the rules for General Assembly (1.3.2.a), and the FTC bank account (1.4.4.b). Requirements in this policy must be followed.</p>
1.4.4.e	A third-party audit of Fair Trade Committee accounts is undertaken by a professional financial auditor for any FTC that receives or spends more than USD 75,000 in one year.	C-Y1	<p>Clarification: The purpose of the third-party audit of FTC accounts is to ensure that the FTC is receiving the correct amount of Premium, spending is being recorded accurately, and expenditures follow the Fair Trade Premium Expenditure Rules as described in Annex C. Premium can be used to cover the costs of the financial audit of the FTC bank account. If the audit is part of a broader financial audit, the Premium cannot be used to cover the entire cost of the audit, only an incremental part of the cost.</p> <p>This audit is done by a third-party financial auditor, separate from the Fair Trade USA CFS audit. It is also acceptable if the</p>



No.	Compliance Criteria	Year	Intent and Clarification
			<p>Certificate Holder and the FTC agree the Committee should play a role in arranging the audit.</p> <p>Where there are multiple FTCs, only those that exceed USD 75,000 must be audited.</p>
1.4.4.f	<p>The Fair Trade Committee(s) and the Certificate Holder develop an accounting system that accurately tracks the expenses and budget in the Fair Trade Premium Plan and identifies the distribution of Premium in a transparent manner.</p>	<p>C-after FTC is elected and before Premium is spent or by Y1 at the latest</p>	<p>Clarification: The intent here is that the Fair Trade Premium can be tracked, and that the FTC has visibility into all the transactions in the FTC bank account originating from the Premium Payer and all outgoing expenditures of the Premium.</p> <p>The Certificate Holder and the FTC must be able to demonstrate that Premium is used in line with applicable rules. The Certificate Holder may contract a third party to help with this as long as the third party is vetted by the FTC and has appropriate experience.</p> <p>Recommendations: The accounting system can be as simple or as detailed as the parties wish and can include other activities unrelated to compliance with the CFS.</p>
1.4.4.g	<p>The Fair Trade Committee has primary responsibility for maintaining the accounting system.</p>	<p>C-Y6</p>	<p>Clarification: Prior to Year 6 the FTC must be involved in, but does not need to be fully responsible for, maintaining the accounting system and tracking expenses, budget, and the distribution of the Premium. By Year 6, the FTC must take primary responsibility for the requirements laid out in 1.4.4.g.</p> <p>Information regarding Fair Trade Premium accounting is made available to the Certificate Holder by the FTC.</p>

MODULE 2. Fundamental Rights at Work

Sub-module 2.1 applies differently depending on the supply chain. The timeline is separated into two categories depicting responsibility: employers and the Fishing Association. The timelines in the ‘Employers’ column are applicable to hired-labor fishers and workers at land-based sites. Any policies and procedures put in place are the responsibility of the employer in this case. The timelines in the ‘Fishing Association’



column apply to all Registered Fishers and their crew members, as well as any employee hired and managed by Registered Fishers. Any policies and procedures can be applied at the group level and are the responsibility of Fishing Association leadership. The remainder of Module 2 (Sub-modules 2.2 through 2.5) are universally applicable to all operation types and are to be applied according to the color-coded applicability column (review the [Introduction](#) for color-coding details).

SUB-MODULE 2.1: The Employer and/or Fishing Association Define Human Rights Policies and Procedures.

No.	Compliance Criteria	Employers	Fishing Association	Intent and Clarification
Objective 2.1.1: The employer and/or Fishing Association define appropriate policies and procedures to achieve outcomes related to human rights outlined in Module 2.				
2.1.1.a	<p>The employer and/or Fishing Association (where applicable) each establish appropriate policies and associated procedures on the following:</p> <ul style="list-style-type: none"> • Prevention of human trafficking and forced, bonded, and compulsory labor (Sub-module 2.2); • Prevention of child labor and protection of young workers (Sub-module 2.3); • Prevention of discrimination and abuse (Sub-module 2.4); • Respect for the rights of Freedom of Association and Collective Bargaining (Sub-module 2.5). 	C-Y0	C-Y1	<p>Clarification: Policies must outline commitments to all outcomes related to human rights as defined in Module 2, and procedures must outline the tangible steps to achieve those outcomes.</p> <p>Policies and associated procedures should reflect the complexity and risk of the operation.</p>

SUB-MODULE 2.2: There Is No Forced, Bonded, or Compulsory Labor.

This sub-module is applicable to the Registered Fishers, crew members, and workers at any site included in the scope of the CFS Certificate.

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 2.2.1: Human trafficking and forced, bonded, and compulsory labor does not occur.			



No.	Compliance Criteria	Timeline	Intent and Clarification
2.2.1.a	There is no kind of forced labor, including bonded labor, human trafficking, contract substitution, indentured labor, slave labor, prison labor, any restrictions on freedom of movement, deception in recruitment and hiring, or fraudulent visa practices.	C-Y0	<p>Clarification: Per ILO Convention 29 and 105, forced or compulsory labor means all work or service that is exacted from any person under the menace of any penalty and for which the said person has not offered him or herself voluntarily. Fair Trade USA also expects that vessel practices are in line with UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, which requires the protection of victims of trafficking and the facilitation of the return of trafficked children, and the UN Protocol against the Smuggling of Migrants by Land, Sea and Air, which provides the legal framework for employing and protecting migrant workers.</p> <p>The intent of this criterion includes, but is not limited to:</p> <ul style="list-style-type: none"> • There are no restrictions on an individual’s freedom of movement from the workplace or employer-provided housing, including serfdom (being bound to live and labor on a vessel and/or on land belonging to another person); • There is no coercion in recruitment and hiring; • That individuals are not isolated, threatened and/or physically harmed; • Individuals are not subjected to any form of mental or physical coercion to force them to remain employed; • Individuals are free to leave the employer; • The employer may not retain salary, benefits, property, documents, or control individuals’ bank accounts as a means to force individuals to remain; • The employer does not make false promises about terms and types of work; • The manager and employer do not threaten to denounce individuals to the authorities, unless legally justifiable;



No.	Compliance Criteria	Timeline	Intent and Clarification
			<ul style="list-style-type: none"> • If individuals have taken out loans from the employer, these loans are subject to reasonable terms which means the interest rate and conditions attached to the offer are agreed upon in advance. Interest rates charged shall not be higher than the cost of borrowing (including administrative costs); • Individuals are not required to store identity papers or important travel documents with the employer as a condition of employment; • Individuals are not recruited into armed conflict, sex work, prostitution, pornography, and/or illicit activities such as the production and trafficking of drugs; • The employer may not require individuals to pay deposits or bonds in order to force workers to remain; and, • The use of a labor broker as an on-site manager is not permitted. <p>If forced labor is found, or signs are found that point to the possible existence of forced labor, the individual’s safety must be protected, and they must be connected with social services. The Certificate Holder must work with Fair Trade USA on remediation and corrective actions to be taken.</p>
2.2.1.b	Hired-labor fishers' and/or workers' employment (including initial hiring) is not conditional on the employment of his or her family member. Family members are not required to work.	C-Y0	

SUB-MODULE 2.3: Protection of Children & Young Persons.

This sub-module is applicable to the Registered Fishers, crew members, hired-labor fishers, and workers at any site included in the scope of the CFS Certificate. It intends to protect children and young workers, and is based on ILO Convention 182 on the Worst Forms of Child Labour addressing “work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children” and ILO Convention 138 on Minimum Age: “The minimum age specified in pursuance of paragraph 1 of this Article shall not be less than the age of completion of compulsory schooling and, in any case, shall not be less than 15 years.”



No.	Compliance Criteria	Timeline	Intent and Clarification
<p>Objective 2.3.1: Children below the age of 15 (or below the working age defined by national law, if higher) are not employed anywhere in the operation. The minimum age for employment on fishing vessels is 16 or as defined in law, if higher.</p>			
<p>2.3.1.a</p>	<p>The minimum age for direct or indirect employment is the highest of:</p> <ul style="list-style-type: none"> • the legal working age; • the legal age of completion of compulsory schooling; or, • age 15. 	<p>C-Y0</p>	<p>Clarification: This compliance criterion is applicable to individuals working at land-based facilities. See 2.3.1.b for requirements for those engaged in work on vessels.</p> <p>Employed is defined as working for payment of any kind. This includes self-employment. This criterion also prohibits indirect employment of children. For example, if the Certificate Holder or Registered Fishers hire crew members or workers, these crew members' or workers' children are not allowed to work even alongside their relatives or legal guardian.</p> <p>Individuals under this minimum age may participate in non-hazardous, light, part-time work outside of school hours or as part of an educational or training program, or apprenticeship so long as it is in accordance with ILO Convention 138, and is permitted by law.</p> <p>This criterion is based on principles and rights outlined in ILO Convention 138, Article 2, and is intended to ensure that work does not interfere with children's development, schooling or their ability to benefit from it, and that it is not harmful. The intent includes that all forms of child labor are prohibited, including the worst forms of child labor as defined in ILO Convention 182 (see also 2.2.1.a on forced and bonded labor). Note that this criterion is applicable to the hiring and employment of young workers. See 2.3.2.b for restrictions related to children helping their relatives with fishing activities.</p> <p>If child labor is found, the child must be removed from all work immediately, his/her safety must be ensured, and the Certificate Holder must work with Fair Trade USA on remediation and corrective actions to be taken. Please see the Remediation of Zero Tolerance Findings Under the CFS document for further details on procedures and possible remediation activities.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Recommendations: As a best practice, and where doing so would not endanger the child, the relevant government agency should be informed. Where there is an active NGO present with appropriate expertise, these may also be a suitable resource for reporting the finding.</p>
2.3.1.b	Children below the age of 16 (or below the working age defined by national law, if higher) are not employed for work on board vessels.	C-Y0	<p>Clarification: This criterion is based on principles and rights outlined in ILO Convention 188. Employed is defined as working for payment of any kind. This includes self-employment. This criterion also prohibits indirect employment of children. For example, if the Certificate Holder or Registered Fishers hire crew members, these crew members' children are not allowed to work in boats even alongside their relatives or legal guardian.</p> <p>In the case of Registered Fishers, light, part-time work outside of school hours or as part of an educational program is allowed for younger workers in accordance with ILO Convention 138, where permitted by law.</p> <p>If child labor is found, the child must be removed from all work immediately, his/her safety must be ensured, and the Certificate Holder must work with Fair Trade USA on remediation and corrective actions to be taken. Please see the Remediation of Zero Tolerance Findings Under the CFS document for further details on procedures and possible remediation activities.</p> <p>Recommendations: As a best practice, and were doing so would not endanger the child, the relevant government agency should be informed. Where there is an active NGO present with appropriate expertise, these may also be a suitable resource for reporting the finding.</p>
2.3.1.c	Records are kept of young workers that include name, date of birth, address, type of activity performed, seasonality, duration of work, and wage.	C-Y0	<p>Recommendations: As a best practice, the employer obtains and maintains records of parental or legal guardian permission for young workers to be employed, and the guardian's contact information.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
2.3.1.d	Where child labor or the protection of young workers and family labor is a risk, risk mitigation measures are identified, documented in an action plan, and implemented.	C-Y0	<p>Clarification: This criterion is applicable where:</p> <ul style="list-style-type: none"> • Children have been found to be employed; • Young workers or children of fishers have been found not to be sufficiently protected as outlined in 2.3.2; • Child labor, young workers, or family labor have been identified as areas of risk of non-compliance with the CFS under the Certificate Holder’s Internal Management System (Module 9); • There is no school accessible for children living in the community; and, • The product and country are included on the US Department of Labor’s List of Goods Produced by Child Labor. <p>As part of the Internal Management System (see 9.1.1.a) a person or committee shall be responsible for the implementation of a Risk Management Plan. The risk mitigation measures for child labor and protection of young workers can be integrated into the Risk Management Plan or may be managed separately.</p>
Objective 2.3.2: Young workers and children engaging in family labor are protected.			
2.3.2.a	Young fishers and workers do not carry out work that, by its nature or the circumstances under which it is carried out, is likely to jeopardize their health, safety, education, or emotional, and/or physical development.	C-Y0	<p>Clarification: Young fishers and workers are those individuals under the age of 18, or below the age of legal adulthood as defined by national law, if higher.</p> <p>This requires, for example, that young workers do not handle chemicals, work at night, work at dangerous heights, or work with dangerous equipment. The physical demands of the job, such as carrying heavy loads, must be appropriate for the young worker’s physical development.</p> <p>Young workers shall be provided a work schedule that does not interfere with schooling.</p>
2.3.2.b	Where children of Registered Fishers and/or crew members help their relatives with fishing	C-Y0	<p>Clarification: This criterion is only applicable to Registered Fishers or crew members and their children. It is prohibited for hired-labor fishers and</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
	<p>activities, they perform only light work under direct supervision of an adult and they do not engage in hazardous work. Work does not jeopardize schooling.</p>		<p>workers to have their children participating in fishing activities or other work on land.</p> <p>The intent of this criterion is that children who help their parents or relatives with fishing activities must be doing so in a way that does not jeopardize their education or physical development. This includes helping on vessels or processing activities at landing sites.</p> <p>Duties include only light work that does not jeopardize the child's health, safety, or emotional and/or physical development. Night work is not permitted, and the work schedule must not conflict with the child's school schedule.</p> <p>Engaging children in light work in fishing activities is not only often necessary, but also ensures transfer of knowledge and culture.</p> <p>Normally, children will only help their families outside of normal school hours. However, in some countries, schools alter their schedules or provide special permissions or schedules to children of fishers during peak seasons. This allows them to help their families at the time their assistance is most needed, and in a way that does not jeopardize their schooling because the schools have processes in place to ensure continuity of the education of children that use these special permissions/schedules. Given that the intent of the wellbeing of the child is considered in these permissions, this practice is accepted under this objective so long as all other criteria related to working conditions appropriate to the child's wellbeing are met (e.g., no hazardous work, reasonable working hours, etc.).</p>
<p>2.3.2.c</p>	<p>The working hours of young fishers and workers do not exceed eight hours per day and 40 hours per week.</p>	<p>C-Y0</p>	<p>Clarification: Young fishers and workers are those individuals under the age of 18, or below the age of legal adulthood as defined by national law, if higher. This includes hired-labor fishers, Registered Fishers, crew members, and workers.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			Young workers do not work overtime except where unavoidable for safety reasons.



SUB-MODULE 2.4: Discrimination & Abuse Prevention.

This sub-module is applicable to the Registered Fishers, crew members, and workers at any site included in the scope of the CFS Certificate.

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 2.4.1: There is no discrimination against Registered Fishers, crew members, hired-labor fishers, workers, or potential new program participants.			
2.4.1.a	Crew members, hired-labor fishers and workers are not subject to discrimination in recruitment, promotion, access to training, remuneration, allocation of work, termination of employment, retirement, or other activities.	C-Y0	<p>Clarification: This criterion is applicable for employed individuals. The intent of this criterion is to prohibit discrimination in employment and occupation, as outlined in ILO Convention 111.</p> <p>Discrimination is defined as distinction, exclusion or preference on the basis of race, ethnicity, color, gender, sexual orientation, disability, marital status, family obligations, age, religion, political opinion, pregnancy, HIV/AIDS status, membership status in a trade union or other workers' organization, national extraction, or social origin.</p> <p>For hired-labor scenarios, 2.3.1.a is also applicable.</p> <p>This criterion includes that there is no discrimination in allocation of benefits or amounts charged for benefits, including housing.</p> <p>This criterion also includes that workers may not be tested for HIV/AIDS during recruitment.</p> <p>Literacy/numeracy testing is only allowed in cases where these skills are required for the specific position and may not be used as a means to discriminate against certain groups of workers.</p> <p>This criterion is associated with criteria in Sub-module 4.5 requiring that workers are aware of their rights and have access to a grievance process. There can be no discrimination or retaliation against workers for using a grievance process or legal complaints process. Discrimination protections for fishers and workers are addressed in 9.4.2.a..</p> <p>Recommendations: Compliance can be demonstrated, for example, by women having a similar promotion rate as men, similar employment rates</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			of women in all departments in the organization (e.g., not limited to relatively lower wage positions), and/or women having similar pay rates as men.
2.4.1.b	All crew members of Registered Fishers, hired-labor fishers, and workers, receive equivalent wages for work of equal value.	C-Y0	<p>Clarification: This applies to payment-share agreements as well.</p> <p>The intent of this criterion is to ensure there is no wage discrimination based on gender, as outlined in ILO Convention 100, or employment status of the worker, i.e. temporary, migrant, permanent, employed through a labor contractor, etc. This criterion does not prohibit employers from adjusting pay rates based on seniority, work experience, and performance. Wages include overtime pay and other in-kind compensation.</p>
<p>Objective 2.4.2: The use of corporal punishment, mental or physical coercion, verbal abuse, behavior, including gestures, language, and physical contact that is sexually intimidating, abusive or exploitative, or any other form of harassment is not supported, engaged in, or tolerated.</p>			
2.4.2.a	Certificate Holders, employers, and Premium Participants do not engage in, support, or tolerate the use of corporal punishment, mental or physical coercion, verbal abuse, or any other form of harassment including sexual harassment.	C-Y0	<p>Clarification: Sexual harassment includes all unwelcome physical, verbal, or non-verbal conduct of a sexual nature.</p> <p>On land-based facilities and in hired-labor fisheries, supervisors shall be informed about the Certificate Holder’s stance on harassment and abuse. If these behaviors are found, timely disciplinary action, as described in the anti-harassment and abuse policy (1.2.5.c for the Fishing Association and 4.5.2.a for employed individuals), is taken towards the perpetrator and the safety of the person that experienced the harassment or abuse is protected.</p> <p>Recommendations: It is best practice for any incidents of harassment or abuse to be recorded and for a monitoring system to be in place.</p> <p>Actions which could be taken to combat harassment or abuse against women include, the Fishing Association or worker groups imposing sanctions on members that physically or emotionally abuse their spouses or ensuring that a woman directly receives money from the sales of product she caught or processed.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
2.4.2.b	No fisher or worker is forced to use drugs.	C-Y0	<p>Clarification: Drugs are not used as a form of payment for labor and/or product caught.</p> <p>The Certificate Holder or employer does not offer any type of drugs to hired-labor fishers or workers.</p>
2.4.2.c	<p>No female applicants are required to take a pregnancy test or asked about their pregnancy status when applying for a job or while employed.</p> <p>No hired-labor fishers or workers are forced to take birth control.</p>	C-Y0	<p>Clarification: This applies to hired-labor fishers and/or workers applying to work for the employer, and for those who wish to become a Registered Fisher and join the Fishing Association. Rules of eligibility to join the Fishing Association (see 1.2.2.a) must be in accordance with this requirement.</p>

SUB-MODULE 2.5: Freedom of Association and the Right to Collective Bargaining Are Respected.

This Sub-module is applicable to crew members, hired-labor fishers, and/or workers at any site included in the scope of the CFS Certificate. The Certificate Holder must acknowledge their employed hired-labor fishers’ and workers’ rights to Freedom of Association, and Registered Fishers must acknowledge the rights of their crew members. Some exceptions are included for operations that do not employ more than five crew members or workers at any one time. The intent is to protect crew members, hired-labor fishers, and workers against discrimination when defending their rights to organize and to negotiate collectively based upon ILO Convention 87 on Freedom of Association and Protection of the Right to Organize, ILO Convention 98 on the Right to Organize and Collective Bargaining and ILO Recommendation 143 on Workers’ Representatives. As stated in Convention 87, “Workers and employers, without distinction whatsoever, shall have the right to establish and, subject only to the rules of the organization concerned, to join organizations of their own choosing without previous authorization. Workers’ and employers’ organizations shall have the right to draw up their constitutions and rules, to elect their representatives in full freedom, to organize their administration and activities and to formulate their programs.”

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 2.5.1: Freedom of association is respected and Registered Fishers, crew members, and workers can freely organize.			
2.5.1.a	The employer and/or Registered Fishers do not interfere with the rights of freedom of association and collective bargaining.	C-Y0	<p>Clarification: This criterion includes that crew members, hired-labor fishers, and workers have the right to organize. A fishers’ and/or workers’ organization is any organization of fishers and/or workers with the objective of "furthering and defending the interests of workers" (ILO</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Convention 110, Article 69). When a significant number of fishers and/or workers are hired (more than 5 individuals), this right to organize must be detailed in writing.</p> <p>The intent of this criterion includes that:</p> <ul style="list-style-type: none"> • Representatives of worker organizations have free access to crew members, hired-labor fishers and workers; • Crew members, hired-labor fishers and workers have the right to choose their representatives to take part in any negotiations, without external interference; • Crew members, hired-labor fishers and worker organizations have the right to affiliate with national and international fisher and worker organizations; • The employer, Registered Fisher and Certificate Holder does not obstruct crew members', hired-labor fishers' or workers' right to collectively negotiate wages and working conditions; • Management representatives or their allies do not interfere with or attempt to control activities, meetings, assemblies, or demonstrations of crew members, hired-labor fishers and workers; and, • Management or Registered Fisher does not favor one fisher or worker organization over another. <p>This criterion covers any type or form of trade union, worker committee, or worker organization.</p> <p>Recommendations: Compliance with the <i>in writing</i> portion of this criterion can be achieved through a signed statement distributed to all crew members, hired-labor fishers, and workers and posted in a common area. This statement should be published in language(s) that is/are easily accessible to all crew members, hired-labor fishers, and/or workers, including effective communication to illiterate individuals.</p>
2.5.1.b	The employer allows hired-labor fishers and workers to hold meetings and organize	C-Y0	<p>Clarification: The time and place for these meetings must be agreed upon in advance. The Certificate Holder and other employers are not</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
	<p>themselves during working time without interference (without deductions or required payments) and within reasonable limits.</p>		<p>required to allow these meetings if either party has not been informed beforehand.</p> <p>Hired-labor fishers and workers are free to choose whether or not to participate in these meetings. The meetings can be requested by the hired-labor fishers or workers. External union officials can request the meetings if the union is involved in a Collective Bargaining Agreement within the relevant industry or at the national level.</p>
<p>Objective 2.5.2: Individuals do not suffer repercussions due to organizing.</p>			
<p>2.5.2.a</p>	<p>The employer and/or Registered Fishers do not discriminate or retaliate against crew member, trade union members, and/or hired-labor fishers and workers, who have attempted to form or join a trade union, or other fisher or worker organization.</p>	<p>C-Y0</p>	<p>Clarification: Management does not punish, threaten, intimidate, harass, or bribe trade union members, or fisher or worker representatives.</p> <p>Discrimination means that crew members, hired-labor fishers, and/or workers, are treated differently or suffer negative repercussions. Some actions that could indicate discrimination against crew members, hired-labor fishers, and/or workers, who form, or try to form, a fishers' or workers' organization are closing production, denying access, longer working hours, making transport difficult, or dismissals.</p> <p>This is in accordance with ILO Convention 135.</p>
<p>2.5.2.b</p>	<p>The Certificate Holder and/or Fishing Association keeps records for all cases of dismissals of union, or fishers' or workers' committee members.</p>	<p>C-Y0</p>	<p>Clarification: The Certificate Holder maintains a register of all terminated contracts with details on circumstances/reasons for termination.</p> <p>This is in accordance with ILO Convention 135.</p>

MODULE 3: Working Agreements between Registered Fishers and Crew Members

This Module is applicable to the Registered Fishers and any crew members, fishing and non-fishing, in the scope of the CFS Certificate. Agreements between the Registered Fishers and their buyers are covered in Module 8.



SUB-MODULE 3.1: Working Conditions Between Crew Members and Registered Fishers Are Clear.

No.	Compliance Criteria	Timeline	Intent and Clarification
<p>Objective 3.1.1: If crew members are paid a portion of the market value of the landed catch, the payment-share system and working conditions on board are agreed upon in writing among all parties involved.</p>			
3.1.1.a	<p>Crew members are aware of their responsibilities, pay structure/wages/payment shares, payment schedules, and work schedules. Working conditions have been verbally agreed upon.</p>	C-Y0	<p>Clarification: A verbal agreement between the Registered Fisher and each crew member is sufficient.</p> <p>At a minimum, crew members must be informed and aware of:</p> <ul style="list-style-type: none"> • Payment-shares (including how share rates are calculated), wages, and/or production bonuses; • When and how they will be paid; • The amount of any payment deductions, e.g. for services or benefits; • Working hours and schedule, including breaks; • Nature of the work to be performed; • Expected length of fishing trips; • Emergency equipment provided; • Medical on-board supplies provided; • Emergency evacuation procedures, if applicable; • Electronic communication system provided; • Rights to vacation, sick, maternity, and holiday leave, if applicable; • Quality, quantity, and cost of food to be provided, if applicable; and, • Quality and cost of housing to be provided, if applicable. <p>Arrangements for provision of food and potable water during the fishing trip must be clear, even when it is to provide your own resources. The Registered Fisher may provide food for a fee, but this must be agreed to in advance, and prices should not exceed market prices.</p>
3.1.1.b	<p>If crew members are paid wages, they are paid at least the minimum wage. Where there are laws regarding minimum payments to crew members in</p>	C-Y0	



No.	Compliance Criteria	Timeline	Intent and Clarification
	payment-share systems, legal requirements are followed.		
3.1.1.c	Where payment-share systems are in place, Registered Fishers and crew members establish these in writing prior to fishing.	C-Y1	<p>Clarification: The agreement is written in a language all parties understand. All parties sign this agreement and hold a copy.</p> <p>This requirement applies to workers on land that have been hired by Registered Fishers at landing sites.</p> <p>The agreement explains how to determine the market price, the parties involved, and how the payments are to be divided amongst them.</p> <p>If one or more signatories to the agreement are illiterate, the agreement shall be read aloud or witnessed by a third party.</p> <p>In exceptional circumstances, a verbal agreement may be acceptable, providing all parties can independently, verbally verify the conditions within the agreement.</p> <p>Note that under 4.1.2.c related to hired-labor fisheries, payment share systems may only be used for those involved in the catching of fish.</p> <p>Recommendations: Fishers may, for example, sign a framework agreement with the Fishing Association describing different payment methods. For each trip, the fisherman could then sign the trip log referring to a specific share arrangement.</p>
3.1.1.d	The payment-share agreement is adhered to. Individuals are able to observe seafood being weighed.	P-5	
Objective 3.1.2: Earnings are paid directly, on time, and in legal tender.			
3.1.2.a	Payment is made in cash or cash equivalent directly to any crew member working with Registered Fishers.	C-Y0	<p>Clarification: Direct deposits must be directly accessible by the individual being paid. Cash equivalent is defined as check, direct deposit, or similar.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>The crew member shall receive payment directly, i.e. not through a spouse or third-party labor recruiter.</p> <p>In-kind payments are not allowed, except where they are legally permissible, agreed upon by both parties, and documented, including a definition of the value of the goods. In-kind payments include e.g. phone cards, food, and grocery cards restricted to certain vendors. In-kind payment cannot be made in fish or other marine species. Harvested fish may be shared among crew members and workers of Registered Fishers at landing sites. However, this must be in addition to monetary compensation. All Resource Management compliance criteria within the CFS must still be met. Drugs may not be used for compensation or in-kind payments.</p>
3.1.2.b	Payments are made on time according to an appropriate payment schedule. The payment schedule has been agreed upon with crew members.	C-Y0	<p>Clarification: The payment schedule can be bi-weekly, monthly, or reflect the schedule when Registered Fishers are paid for landing/selling the product.</p>
3.1.2.c	Deductions in payment are not used as a disciplinary measure.	C-Y0	<p>Clarification: The intent of this criterion is to protect crew members from reductions in payments that differ from the agreement in 3.1.1.a as a means to discipline a crew member.</p>
3.1.2.d	Deductions to payments are only permitted as allowed by applicable laws. When payment deductions are made for services provided by the Fishing Association, Registered Fisher, or Certificate Holder, they do not exceed the actual costs incurred by the Fishing Association, Registered Fisher, or Certificate Holder.	C-Y0	<p>Clarification: This also applies to payment share agreements.</p> <p>If a Fishing Association, Registered Fisher, or Certificate Holder provides advances and loans that will later be deducted from payments, there shall be a clear written agreement with the person receiving the loan, separate from the employment agreement, outlining repayment parameters.</p> <p>The intent is that any loan agreement between any affected parties (e.g. Certificate Holder to a Fishing Association, Fishing Association to a Registered Fisher, Registered Fisher to a crew member, or Certificate</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			Holder to individual Registered Fisher), is agreed upon in advance, clear, and transparent. Recommendations: It is best practice for the Fishing Association, Registered Fisher, or Certificate Holders to exercise full transparency in loans, advances, and deductions so crew members are duly informed of all terms and conditions surrounding their loan and repayment.
Sub-module 3.1: Total points possible		5	

MODULE 4: Conditions of Employment for Hired-Labor Fishers and Land-based Facility Workers

This section is applicable to hired-labor fishers and workers, working on vessels or at land-based facilities included in the scope of the CFS Certificate. Hired-labor fishers may be paid under a payment-share system, in which case, some criteria will not apply. When not applicable, this will be noted in the individual criterion. The timelines in this Module are separated out according to Small (SO), Mid-sized (MO), and Large Operations (LO) according to the number of employed individuals. These are broken out as follows:

- Small Operation: ≤5 permanent hired-labor fishers or workers and no more than 25 total hired-labor fishers or workers on-site at the management unit at any time;
- Mid-sized Operation: 6-25 permanent hired-labor fishers or workers and no more than 100 total hired-labor fishers or workers on-site at the management unit at any time;
- Large Operation: all others.

Note that all vessels combined count as one management unit for size definition (i.e. size is not defined by the number of hired-labor fishers on an individual vessel, it is defined by the total number of fishers hired by the employer to work on the vessels included within the scope of the Certificate).



SUB-MODULE 4.1: Employment Contracts and Conditions Are Clear.

No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
Objective 4.1.1: Employers have clearly communicated employment conditions to all hired-labor fishers and workers.					
4.1.1.a	Hired-labor fishers and workers are aware of their responsibilities, salaries/wages, payment schedules, rights to benefits, and work schedules. Employment conditions have been verbally agreed upon prior to fishing.	C-Y0	C-Y0	C-Y0	<p>Clarification: A verbal agreement between the Certificate Holder and each individual is sufficient.</p> <p>At a minimum, hired-labor fishers and workers must be informed and aware of:</p> <ul style="list-style-type: none"> • Wages, overtime wages, piece rate (including how piece rate is calculated), and/or production bonuses; • When and how they will be paid; • Amount of any salary deductions, e.g. for services or benefits; • Working hours and schedule, including breaks; • Nature of the work to be performed; • Name and address of the employer; • Rights to vacation, sick, maternity, and holiday leave; • Quality, quantity, and costs of food to be provided, if applicable; • Quality and cost of housing to be provided, if applicable; • On Mid-sized and Large Operations, the individual’s right to a different job at the same pay and benefits if they become unable to perform certain tasks due to health issues (see 6.2.2.a); and, • For hired-labor fishers, the expected length of fishing trips. <p>This includes awareness on an individual level even if wages have been negotiated collectively via a Collective Bargaining Agreement.</p> <p>This is also applicable for hired-labor fishers paid through payment-share systems.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Recommendations: It is recommended to also include information on the Certificate Holder’s anti-harassment policy and procedures, and commitment to non-discrimination.</p>
4.1.1.b	Hired-labor fishers and workers are free to terminate their employment after reasonable notice.	C-Y0	C-Y0	C-Y0	<p>Clarification: Unless the law dictates a timeframe, or the employer and the worker agreed on a timeline (that is aligned with the law) in the employment contract, hired-labor fishers and workers are free to terminate their employment at any time.</p>
4.1.1.c	Hired-labor fishers and workers receive documentation (e.g. a pay slip) with each wage payment that provides a clear account of wages earned, allowances, bonuses, overtime payment, and all deductions in detail.	BP	P-5	P-3	<p>Clarification: This information is available upon request at any time.</p> <p>This is also applicable for hired-labor fishers paid through payment-share systems. Hired-labor fishers understand how the payment-shares are calculated, how to determine the market price, the parties involved, and how the payments are to be divided amongst them.</p>
4.1.1.d	All permanent hired-labor fishers and workers have written contracts with clear employment conditions.	BP	P-3	C-Y0	<p>Clarification: Contracts must be legally binding. They may be negotiated and signed collectively in cases where workers are formally organized, such as through a Collective Bargaining Agreement.</p> <p>All hired-labor fishers and workers shall receive a copy of the contract and/or have access to the signed original. When there are updates or changes to the contract, hired-labor fishers and workers are informed of these changes and receive an updated copy.</p> <p>At a minimum, the contract must be in a language the individual understands and must explain:</p> <ul style="list-style-type: none"> • Wages, overtime wages, piece rate (including how piece rate is calculated), and/or production bonuses; • When and how they will be paid;



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<ul style="list-style-type: none"> • Amount of any salary deductions, e.g. for services or benefits; • Working hours and schedule, including breaks; • Nature of the work to be performed; • Name and address of the employer; • Rights to vacation, sick, maternity, and holiday leave; • Quality, quantity, and costs of food to be provided, if applicable; • Quality and cost of housing to be provided, if applicable; • On Mid-sized and Large operations, the individual's right to a different job at the same pay and benefits if they become unable to perform certain tasks due to health issues (see 6.2.2.a); and, • For hired-labor fishers, the expected length of fishing trips. <p>For hired-labor fishers working on vessels, the written contract, must explain the employer's commitments to safety of hired-labor fishers on vessels. This includes, at a minimum, clauses explaining:</p> <ul style="list-style-type: none"> • Minimum level of manning for safe navigation by vessel type/size and associated numbers of workers and their qualifications; • Emergency equipment provided; • Medical on-board supplies provided; • Emergency evacuation procedures; • Electronic communication system provided; and, • The right for fishers to refuse undertaking a voyage without losing employment should the commitment associated with these clauses not be honored in practice.



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Recommendations: It is recommended to also include the name and contact information for any insurance carriers provided through the employer, as well as information on the employer’s sexual harassment policy and procedures, and commitment to non-discrimination.</p> <p>For illiterate workers, it is best practice for the contract to be read aloud and for the worker to sign the contract in the presence of a third party.</p>
4.1.1.e	All temporary hired-labor fishers and/or workers employed for more than 90 consecutive working days have written contracts with clear employment conditions.	BP	P-5	P-3	<p>Clarification: Contracts must be legally binding. They may be negotiated and signed collectively in cases where workers are formally organized, such as through a Collective Bargaining Agreement.</p> <p>All temporary workers and/or hired-labor fishers shall receive a copy of the contract and/or have access to the signed original.</p> <p>At a minimum, the contract must be in a language the worker understands and must explain:</p> <ul style="list-style-type: none"> • Wages, overtime wages, piece rate, (including how piece rate is calculated), and/or production bonuses; • When and how workers will be paid; • Amount of any salary deductions, e.g. for services or benefits; • Working hours and schedule, including breaks; • Nature of the work to be performed; • Duration of employment; • Name and address of the employer; • Rights to vacation, sick, maternity, and holiday leave; • Quality, quantity, and costs of food to be provided, if applicable; • Quality and cost of housing to be provided, if applicable; and,



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<ul style="list-style-type: none"> On Mid-sized and Large Operations, the worker's right to a different job at the same pay and benefits if they become unable to perform certain tasks due to health issues (see 6.2.2.a). <p>The contract should be signed at the beginning of employment intended to last for at least 90 days, or once employment is extended to 90 days or more.</p> <p>Recommendations: It is recommended to also include the name and contact information for any insurance carriers provided through the employer, as well as information on the employer's sexual harassment policy and procedures, and commitment to non-discrimination.</p> <p>For illiterate workers, it is best practice for the contract to be read aloud and for the worker to sign the contract in the presence of a third party.</p> <p>Additional requirements regarding written contracts for migrant workers are outlined in 4.3.1.a.</p>
<p>Objective 4.1.2: If hired-labor fishers are paid a portion of the market value of the landed catch, the payment-share system and working conditions on board are agreed upon in writing among all parties involved.</p>					
4.1.2.a	Where payment-share systems are in place, the employer and hired-labor fishers establish an agreement in writing prior to fishing.	C-Y0	C-Y0	C-Y0	<p>Clarification: The agreement is written in a language all parties understand. All parties sign this agreement and hold a copy.</p> <p>This requirement applies to hired-labor fishers. Workers at processing facilities and at landing sites cannot be paid by payment share (see 4.1.2.c).</p> <p>The agreement explains how to determine the market price, the parties involved, and how the payments are to be divided amongst them.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>If one or more signatories to the agreement are illiterate, the agreement shall be read aloud or witnessed by a third party.</p> <p>In exceptional circumstances, a verbal agreement may be acceptable, providing all parties can independently, verbally verify the conditions within the agreement.</p>
4.1.2.b	The payment-share agreement is adhered to. Individuals are able to observe seafood being weighed.	C-Y0	C-Y0	C-Y0	
4.1.2.c	Payment-share systems are only used for those involved directly in the catching of fish.	C-Y0	C-Y0	C-Y0	<p>Clarification: This does not apply to processing workers paid by piece rate. See Fair Trade USA Glossary for the definition.</p>
<p>Objective 4.1.3: The workforce structure of each site is understood and permanent roles are created where possible.</p>					
4.1.3.a	There is a workforce analysis for each site, including employer-owned vessels, processing facilities, and landing sites, which documents how many individuals are employed at each site in the scope of the Certificate, approximately what times of year they are employed, how they are hired (directly vs. indirectly), and whether they live locally or migrate within or across regions.	C-Y6	C-Y1	C-Y0	<p>Clarification: The analysis of the workforce may be completed at the group level by the Certificate Holder as long as the information from each individual Mid-sized and Large Operation is also recorded separately. For Small Operations the information need not be specific to each site but can cover the typical situation, for instance <i>small operations in the group have anywhere from one to three permanent workers and directly hire five to ten local temporary workers during the harvest season.</i> The accuracy and specificity of information related to Small Operations should improve over time, for example by giving more precise numbers for each site.</p> <p>For vessels, this analysis should show how many positions are needed on each vessel for safe operation.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>The analysis must include information regarding gender, indigenous and minority groups, and other workforce characteristics that are required in 1.3.1.a in order to ensure balanced representation in the Fair Trade Committee.</p> <p>Recommendations: It is best practice to update this analysis annually and/or when there is a signification change in the workforce (greater than 10% turnover of employees).</p> <p>It is best practice for the employer to take actions to diversify the workforce based on the results of the workforce analysis. This can include targeted recruitment and training programs to attract a more diverse workforce. The workforce analysis is also taken into consideration to increase diversification and inclusion at management and leadership levels.</p>
4.1.3.b	An assessment of each site’s labor needs and indication of periods during which non-permanent hired-labor fishers and workers will be needed is included in the analysis of the workforce. Staffing decisions are supported by the current assessment of needs, which is updated annually.	BP	P-3	C-Y0	Clarification: The labor needs assessment must be incorporated into the workforce analysis required in 4.1.3.a and must follow the same guidelines.
4.1.3.c	All positions that are of a regular and on-going nature are staffed with permanent workers. Time-limited contracts are used on a limited and justifiable basis.	P-3	P-5	P-5	Clarification: Time-limited contracts may not be used to avoid staffing of permanent hired-labor fishers and/or workers or to avoid legal obligations to hired-labor fishers and/or workers. Firing and re-hiring hired-labor fishers and/or workers or changing labor contractors to avoid paying benefits or accruing seniority is not allowed.



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Time-limited contracts are only issued to non-permanent crew members or workers during peak periods, in the case of special tasks and under exceptional circumstances. This includes seasonal hired-labor fishers and/or workers.</p> <p>Time-limited foreign migrant hired-labor fishers and/or worker visas or hired-labor fishers and/or workers with a restricted work permit status would be a justifiable basis for not having a permanent contract, but benefits should still accrue over time.</p>
<p>Objective 4.1.4 Labor contractors are used on a limited, justifiable, and responsible basis and are not used to avoid legal obligations.</p>					
4.1.4.a	The site manager can identify which hired-labor fishers and/or workers are hired through labor contractors and the rationale behind the use of labor contractors.	C-Y0	C-Y0	C-Y0	<p>Clarification: This analysis may be part of the workforce analysis required in 4.1.3.a and must follow the same guidelines.</p>
4.1.4.b	Where labor contractors are used, the contractor complies with applicable requirements of the CFS on sites in the scope of the Certificate.	C-Y0	C-Y0	C-Y0	<p>Clarification: The site manager and Certificate Holder are responsible for ensuring that all hired-labor fishers and/or workers on sites in the scope of the Certificate are treated in accordance with the CFS (for instance regarding wages, working conditions, and health and safety), and they are aware of their right to participate in General Assembly meetings as Premium Participants, even if they are not directly employed. The site manager and Certificate Holder are not responsible for ensuring compliance of labor contractors when the hired-labor fishers and/or workers are on sites outside the scope of the Certificate.</p> <p>Labor contractors may not be used to avoid legal obligations, or accrual of benefits or seniority to hired-labor fishers and/or workers. This includes accrual of benefits and seniority for hired-labor fishers and/or workers who are employed continuously on the site by different labor contractors.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Permanent hired-labor fishers and/or workers may be employed through a labor contractor if their rights and working conditions are equivalent to or exceed those outlined in the CFS.</p> <p>Any labor contractor in the scope of the Certificate may be audited and must permit an audit to take place if requested. Employers must keep records of all labor contractors used.</p>
4.1.4.c	The Certificate Holder or site manager has developed and begun to implement a plan to either directly employ all workers or use only registered labor contractors in good standing.	BP	C-Y1	C-Y0	<p>Clarification: Sites using labor contractors should be able to explain to auditors how they plan to transition to direct employment or registered labor contractors in order to meet 4.1.4.d. The qualifications for registered labor contractors in good standing are explained in 4.1.4.d and Annex D.</p> <p><i>Begun to implement</i> means that actions have been taken according to the plan.</p>
4.1.4.d	All hired-labor fishers on vessels and/or workers in production, processing, packing facilities or landing sites are directly employed or employed through a registered labor contractor in good standing.	P-5	P-5	P-5	<p>Clarification: The intent of this criterion is that Fair Trade Certified facilities are able to protect hired-labor fishers and/or workers, preferably through direct influence and control over the conditions of employment. In order to achieve this, Fair Trade facilities shall move to either direct employment or the use of registered labor contractors.</p> <p>If labor contractors are used, 4.1.4.b must be followed. In addition, the contractor must be a legal entity that has thorough documentation of all hired-labor fishers and/or workers, hours, wages, benefits, etc. and is able to be visited as part of the audit. Detailed requirements defining registered labor contractors in good standing are outlined in Annex D.</p> <p>Certificate Holders should note that the use of labor contractors expands the scope of the audit and typically increases the cost of the audit.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
4.1.4.e	<i>Applicable if labor contractors are being used:</i> An agreement of responsibilities (for instance a contract or Memorandum of Understanding) is in place between the Certificate Holder and the labor contractor that specifies which CFS requirements are to be managed and/or undertaken by which party.	BP	C-Y3	C-Y1	Clarification: This intent of this requirement is that the labor contractor understands its responsibilities under the CFS and agrees to comply with these responsibilities.
Sub-module 4.1: Total points possible		8	26	16	

SUB-MODULE 4.2: Hired-labor Fishers and Workers Receive Fair Wages and Benefits.

No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
Objective 4.2.1: Salaries and wages are decent and are increasing towards a living wage.					
4.2.1.a	Salaries and wages are in line with or exceed legally mandated minimum wages for the job and similar occupations, and applicable Collective Bargaining Agreements (CBA) (whichever is highest).	C-Y0	C-Y0	C-Y0	<p>Clarification: CBA regulations can be relevant for one site, multiple sites organized by a trade union, or for all workers in a particular region, country, and/or industry.</p> <p>For remuneration based on production, quotas, or piecework, the pay rate allows the hired-labor fisher and/or worker to earn at least the sector CBA wage or official minimum wage (whichever is higher) during normal working hours. <i>Normal working hours</i> at land-based facilities include at least one paid 15-minute break for every four hours worked, even if workers choose not to take those breaks (i.e. the break is paid as a bonus). See 6.1.1.b for requirements on remuneration for rest breaks and 5.1.1.b for requirements for breaks for hired-labor fishers on vessels.</p> <p>Under all salaried, hourly, and piece rate wage structures, this criterion includes any legally required or negotiated higher compensation rates for overtime.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>In Mid-sized and Large Operations, any time spent at trainings required in the CFS count as working hours. Hired-labor fishers and workers must receive their typical wages for that time, and normal working hours and overtime limits apply. Note that in-kind contributions such as housing or meals provided by the employer may be included in the calculation of wages only if these are listed as specific salary deductions and comply with the requirement in 4.2.2.c.</p> <p>Workers are provided the tools and uniforms necessary to perform their job duties free of charge, and the costs of these cannot be included in wage calculations or as salary deductions.</p> <p>Objective 4.2.1 does not apply to those fishers operating under payment-share systems, see Objective 4.1.2.</p>
4.2.1.b	The employer has specified wages and/or payment-shares for all functions.	C-Y3	C-Y1	C-Y0	<p>Clarification: This includes where payment-share systems are used to pay hired-labor fishers. Payment-share systems can only be used for those directly involved in the catching of fish as per 4.1.2.c. No payment-shares are allowed for workers.</p>
4.2.1.c	The employer demonstrates knowledge of the living wage in their region. A comparison of total remuneration (wages and benefits) against the living wage is conducted.	BP	P-3	P-3	<p>Clarification: A living wage is remuneration received for a standard (48 hour) work week, by a hired-labor fisherman or worker in a particular place, which is sufficient to afford a decent standard of living for the hired-labor fisher or worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs, including provision for unexpected events. This includes fishers remunerated through wages or payment-shares.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>The intent is that hired-labor fishers and workers should be adequately compensated for satisfactory performance of their work, and should not have to work overtime to earn enough to cover basic living costs for themselves and their families.</p> <p>Information on the gap between total remuneration and the living wage can be used to support transparent conversations across the supply chain to identify barriers to living wage and shared responsibility, and develop strategies to improve wages and other benefits (including through Premium investment) to support a decent standard of living for all workers.</p> <p>It is very important to use a high quality and widely accepted methodology for the calculation of living wage. The methodology developed by Richard and Martha Anker is the most widely recognized and respected process for calculating living wage around the world. Only benchmarks consistent with the Anker Living Wage methodology⁵, will be approved by Fair Trade USA to understand and compare living wage. The benchmarks approved for use and where to access them are indicated in the guidance document, Living Wage Benchmarks for Employers.</p> <p>The comparison of the living wage to current wages must not include overtime hours, nor productivity bonuses and allowances unless they are guaranteed, and must take into account mandatory taxes. In-kind benefits, such as food, transport and housing, can be included in the value of current wages, but must not represent more than 30% of total compensation. The comparison must be updated at least every three years to account for inflation and changes in compensation structure.</p>

⁵ <https://www.globallivingwage.org/about/what-is-a-living-wage/>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>In the absence of applicable approved benchmarks the employer shall assess the current access of hired-labor fishers and/or workers and their families to the most critical essential needs, including; food, water, housing, education, and health care in order to understand any gaps. These five essential needs are also required components of the Needs Assessment, and it is recommended that employers adapt findings from this data. This assessment must be updated at least every three years.</p> <p>Information on the living wage and assessed gap, or assessment of the five essential needs, shall be made available to all hired-labor fishers and/or workers in languages the individuals understand. It may be provided through a brochure or posting in a public place where workers gather.</p>
4.2.1.d	<p>If total remuneration (wages and benefits) is below the living wage, the employer, in consultation with hired-labor fishers and/or workers, develops and documents a Living Wage Improvement Strategy to increase compensation over time towards a living wage.</p>	BP	P-5	P-5	<p>Clarification: This requirement is applicable where the living wage gap assessment, or the assessment of the five essential needs in the absence of an approved benchmark, reveals a gap in wages or in needs. The Living Wage Improvement Strategy must identify opportunities and timelines for increasing total remuneration in mutually beneficial ways. This could include plans for direct wage increases, as well as other means to increase wages and access to essential needs, such as enhancing benefits or direct provision of goods and services to meet needs.</p> <p>At minimum, the Strategy must include a commitment to increase wages annually to cover inflation. Other timelines and increases may vary according to the employer’s situation.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Where there are barriers to increasing wages, such as the amount of Fair Trade USA sales or market prices, the strategy must include an analysis of these barriers, and identify steps to address these barriers. For example, improvements in product quality to increase the selling price to increase overall revenue to facilitate higher wages, or discussions with other supply chain actors on how to improve product price.</p> <p>The strategy must be updated on an annual basis. Updates to the strategy include reasons for the changes, and explanations why previous targets have not been met.</p> <p>Recommendations: To engage hired-labor fishers and/or workers in the development of the Strategy, employers could meet with the Social Engagement Team (SET) or other representatives to discuss mutually beneficial ways to increase wages and access to essential needs.</p> <p>Discussions for closing the living wage gap could also occur with other supply chain actors, such as direct buyers or brands. They can also happen at an industry level, for example, with national unions and employer organizations.</p>
4.2.1.e	Employers share the Living Wage Improvement Strategy with hired-labor fishers and/or workers, including annual updates on implementation of the Strategy.	BP	P-3	P-3	<p>Clarification: A summary of the Living Wage Improvement Strategy must be documented and made available to all hired-labor fishers and workers in languages they understand. It may be provided through a brochure or posting in a public place where workers gather. This summary must be updated annually to reflect progress on implementation of the Strategy or changes made.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Recommendations: The employer could meet annually with representatives of the hired-labor fishers and/or workers, such as the SET, to discuss implementation of the Strategy, ongoing barriers, and necessary changes to facilitate mutual understanding and dialogue on this topic.</p> <p>Updates on the implementation of the Strategy could also be shared with other supply chain actors, such as direct buyers or brands, to facilitate discussions on shared responsibility for progress toward a living wage.</p>
<p>Objective 4.2.2: Salaries, wages, and earnings are paid directly, on time, and in legal tender.</p>					
4.2.2.a	Payment is made in cash or cash equivalent directly to the hired-labor fisher or worker.	C-Y0	C-Y0	C-Y0	<p>Clarification: Where payment is made by direct deposit, the employer does not have withdrawal access to individuals' bank accounts. Direct deposits must be directly accessible by the individual being paid (e.g., payment should not be made to the spouses). Cash equivalent is defined as check, direct deposit, or similar. The worker shall receive payment directly, i.e. not through a spouse or third-party labor recruiter.</p> <p>In-kind payments are not allowed, except where they are legally permissible, agreed upon by both parties, and documented, including a definition of the value of the goods. In-kind payments include e.g. phone cards, food, and grocery cards restricted to certain vendors. In-kind payment cannot be made in fish or other marine species. Harvested fish may be shared among crew members and workers. However, this must be in addition to monetary wage payment. All Resource Management compliance criteria within the CFS must still be met. Drugs may not be used for compensation or in-kind payments.</p> <p>This criterion is also applicable where payment-share systems are in place. See Objective 4.1.2 for additional details.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
4.2.2.b	Hired-labor fishers and workers are paid at least monthly.	C-Y0	C-Y0	C-Y0	Clarification: For seasonal fishing trips, hired-labor fishers must be paid at least within 30 days of when they arrive back at shore. Note that vessels that are out at sea for greater than 30 days are out of scope.
4.2.2.c	Salary deductions are only permitted as allowed by applicable laws, as fixed by an applicable Collective Bargaining Agreement, or where the hired-labor fisher or worker has given written consent in an agreement outlining repayment parameters. When salary deductions are made for services provided by the Certificate Holder, they do not exceed the actual costs incurred by the Certificate Holder.	C-Y0	C-Y0	C-Y0	Clarification: This also applies to payment share agreements. If a Certificate Holder provides advances and loans that will later be deducted from wages, there shall be a clear written agreement with the person receiving the loan, separate from the employment contract, outlining repayment parameters. Certificate Holders should exercise full transparency in loans, advances and deductions to ensure hired-labor fishers and workers are duly informed of all terms and conditions surrounding their loan and repayment.
4.2.2.d	Salary deductions are not used as a disciplinary measure.	C-Y0	C-Y0	C-Y0	Clarification: This also applies to payment-share agreements.
Objective 4.2.3: Vacation, sick, and maternity leave meet or exceed legal minimums and applicable Collective Bargaining Agreements.					
4.2.3.a	The employer provides hired-labor fishers and workers with vacation, sick time, and maternity leave that meets or exceeds legal requirements and applicable Collective Bargaining Agreements.	C-Y0	C-Y0	C-Y0	Clarification: Hired-labor fishers and workers are not penalized for taking any vacation, sick or maternity leave. Recommendations: Hired-labor fishers and/or workers may decide to take cash payment for any unused vacation time at the end of their contract or end of the calendar year.
4.2.3.b	Hired-labor fishers and workers receive a minimum of six days of vacation and three days of sick leave on full pay annually.	BP	P-5	P-3	Clarification: Vacation and sick leave can be pro-rated for part-time (less than 30 hours per week) and temporary hired-labor fishers and/or workers, and employers may set up to a minimum employment time of 90 days in one calendar year for eligibility for this benefit.



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>The intent is that hired-labor fishers and workers receive at least one full week of vacation per year. Hired-labor fishers and workers whose regular work week is only five days may receive five days of paid vacation.</p> <p>Hired-labor fishers and/or workers may use sick days to care for a sick family member.</p> <p>Employers may set a requirement for a doctor’s approval or recommendation to take a paid sick day, however this is only allowed in circumstances where an on-site or local doctor is readily available. Hired-labor fishers and workers must be allowed to present the approval or recommendation once they have returned to work after taking the sick leave.</p> <p>Recommendations: The number of vacation and sick days that are provided increase over time.</p>
4.2.3.c	Maternity leave is at least six calendar weeks post-partum on full pay.	BP	P-5	P-5	<p>Clarification: This leave can be pro-rated for part-time and temporary hired-labor fishers and/or workers, and employers may set a minimum employment time of up to 90 days in one calendar year for eligibility for this benefit. Maternity leave may not be deducted from any sick leave.</p> <p>Hired-labor fishers and/or workers taking maternity leave are guaranteed to return to the same or a higher position at the same or a higher pay rate at the end of the maternity leave.</p> <p>Women can choose to start their maternity leave before the baby’s expected birth.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
4.2.3.d	Breastfeeding breaks are granted for women who are nursing.	BP	P-3	P-3	<p>Clarification: Breastfeeding breaks may be paid or unpaid. In all cases applicable laws regarding breastfeeding breaks must be followed. If a woman prefers, she may take breaks together at the end/beginning of the day, in order to provide more flexibility or a shorter time away from home.</p> <p>Recommendations: Best practice is to provide a private space for breastfeeding.</p>
<p>Objective 4.2.4: Workers are provided with acute medical care for all workplace injuries and illnesses and are further protected by health insurance, workers' compensation insurance, and a retirement pension.</p>					
4.2.4.a	Workers are provided with acute medical care for all workplace injuries and illnesses, as well as lost wages during immediate recovery time.	BP	P-5	C-Y0	<p>Clarification: The intent of the criterion is that employers ensure workers are provided with, and do not pay for, acute medical care for any workplace injuries and illnesses, and do not lose wages during treatment. Covering costs of care and lost wages can be direct, for instance by providing transportation to a healthcare facility and paying for care and wages, or indirect, through the provision of medical, accident, and/or disability or workers' compensation insurance that covers full costs of care and lost wages.</p> <p>Wages lost during treatment and immediate recovery time must be paid in full, even if insurance does not fully reimburse the employer for this. Work missed due to work-related illnesses or injuries is not deducted from annual vacation leave.</p> <p>Please note there are additional requirements regarding insurance for long-term care in 4.2.4.c.</p>
4.2.4.b	Hired-labor fishers and workers are provided with health insurance.	BP	P-5	P-5	<p>Clarification: The intent is that all hired-labor fishers and workers have access to preventative, primary, and secondary healthcare. Employers may set a minimum employment time of up to 90 days in one calendar year to be eligible for this benefit.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Recommendations: Health insurance and care may be provided through a government social security or health care system with employer contributions where applicable. Where government systems do not cover at least 50% of the insurance costs, the employer contribution shall cover at least 50% of the total cost of insurance for the hired-labor fisherman or worker, or the percentage required by law, whichever is higher. If the employee is unwilling to pay the remaining amount and refuses coverage, the employer must keep documentation of the employee’s decision.</p> <p>Where health insurance programs are not available for eligible hired-labor fishers or workers, or where eligible individuals regularly decline to enroll in health insurance programs, this requirement may be filled by alternative methods of making preventative and long-term healthcare accessible to hired-labor fishers and workers. This could include an on-site doctor or clinic, or by the employer paying at least half of the employee’s health care costs. If employers provide an on-site clinic for urgent or primary care needs, this does not replace the need for workers to be covered for long-term or serious health issues.</p> <p>If services are being provided on-site, it is best practice to allow access to workers’ family members. Premium could be used to assist in the provision of services to families of workers if approved in the Fair Trade Premium Plan.</p>
4.2.4.c	Hired-labor fishers and workers are provided with workers’ compensation insurance.	BP	P-5	P-3	<p>Clarification: The intent of this criterion is that workers are protected in case of long-term partial or full disability, and/or the need for long-term medical care, resulting from workplace injuries and illnesses. The hired-labor fishers’ and workers’ compensation insurance shall include both medical treatment and wage replacement benefits.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					Insurance may be provided through a government program or a private system, or administered directly by the employer. Note that 4.2.4.a covers requirements for short-term care and wage recovery.
4.2.4.d	Permanent hired-labor fishers and workers are enrolled in and provided with pension or retirement funds.	BP	P-5	P-3	Clarification: In addition to hired-labor fishers and workers being enrolled, the employer must also pay into the fund. Recommendations: Pension or retirement funds may be part of a governmental program or privately operated.
Sub-module 4.3: Total points possible		-	44	33	

SUB-MODULE 4.3: Migrant Workers Are Recruited Ethically.

No.	Compliance Criteria	SO	MO	LO	Intent & Clarification
Objective 4.3.1: Fishers and workers are recruited through fair and transparent processes.					
4.3.1.a	When migrant fishers or workers are recruited from a different region or country, there is a prior written contract between the employer and recruited migrant workers.	C-Y1	C-Y1	C-Y1	Clarification: Contracts are explained verbally and in writing, in a language the migrant fishers and workers understands. When migrant and/or stateless fishers or workers are recruited from a different region or country, there is a prior written agreement between the employer and recruited migrant and/or stateless crew members or workers regarding: <ul style="list-style-type: none"> • Wages; • Duration of employment; • Housing and food costs; • Working hours and overtime arrangements; • Trip expenses and trip safety; • Minimum age of employment;



No.	Compliance Criteria	SO	MO	LO	Intent & Clarification
					<ul style="list-style-type: none"> • Non-discrimination; • Breach of contract; and, • Terms of repatriation should the recruited fishers or workers become ill or incapacitated before or after reaching the place of employment, be found to be medically unfit, or be denied employment after recruitment for a reason for which he/she is not responsible.
4.3.1.b	If a third-party labor contractor is used to recruit migrant and/or stateless fishers or workers, the employer has a policy and practices in place to ensure that the entity contracted to recruit migrant and/or stateless fishers or workers is compliant with the requirements in 4.3.1.a.	C-Y1	C-Y1	C-Y1	<p>Clarification: The entity contracted to recruit migrant fishers or workers is most often a labor broker or recruitment agency.</p> <p>Labor contractors used to recruit, hire, or employ fishers or workers are subject to inclusion in the audit to ensure that relevant Fair Trade standards are met. See Objective 4.1.4 for more on responsibilities of labor contractors.</p>
4.3.1.c	If a third party is used to recruit migrant fishers and workers, the recruiter is a registered entity in good standing.	C-Y1	C-Y1	C-Y1	<p>Clarification: Third party labor recruiters must:</p> <ul style="list-style-type: none"> • Be legal entities with legal rights and duties (such as a company, partnership, association, corporation, cooperative, firm, joint stock company, trust, or other organization); • Possess a valid identification number provided by the federal government (of the country of employment/recruitment), where applicable; and, • Be in good standing with regards to any certificates or eligibility requirements of the country of employment and/or recruitment. <p>Recommendations: Best practice is for the Certificate Holder or employer to check that the recruiter does not have any lawsuits or complaints against them, including under a different name.</p>



No.	Compliance Criteria	SO	MO	LO	Intent & Clarification
					If the third-party used to recruit migrant workers also employs the migrant workers, Objective 4.1.4 must also be followed.
Objective 4.3.2: Costs associated with recruitment and hiring of migrant workers are covered by the employer.					
4.3.2.a	Employers pay all recruitment and hiring fees; fishers and workers do not pay any hiring fees or post any bonds.	C-Y1	C-Y1	C-Y1	<p>Clarification: Under this criterion, the levying of fees to pay for the opportunity to work is prohibited. This includes that:</p> <ul style="list-style-type: none"> • Hired-labor fishers and workers are not charged administrative fees by a recruiter; • Hired-labor fishers and workers are not charged for the costs of transportation for seasonal relocation if the employer or a recruiter have actively sought out or recruited the crew member or worker; and, • Other fees, such as costs related to visas and passports or costs of medical exams are clearly defined and agreed to before employment and/or migration. The intent of this criterion is that such fees do not lead to long-term indebtedness that would effectively lead to forced employment. <p>This includes when fishers and workers are hired via a third-party recruiter. If the employer discovers that a third-party labor recruiter is charging fees or requiring a bond to be posted, the employer must ensure that the recruiter ceases this practice, or else stop using that recruiter, and complete any other corrective actions required. The Certificate Holder and employer must keep records of any communication to the recruiter.</p> <p>Hired-labor fishers and workers are supported with legal and proper documentation/visas.</p>



No.	Compliance Criteria	SO	MO	LO	Intent & Clarification
4.3.2.b	For seasonal migrant and/or stateless hired-labor fishers and workers, employers pay at least 50% of the total cumulative cost of: visas, medical exams, skills testing, and other administrative expenses, transport from origin to the workplace and home again at the end of the season or contract.	C-Y3	C-Y1	C-Y1	Clarification: Seasonal migrant and/or stateless fishers and workers are those recruited for work periods of less than or equal to one year.
4.3.2.c	For seasonal migrant and/or stateless hired-labor fishers or workers, employers pay the full cost of: Visas, medical exams, skills testing, and other administrative expenses, transport from origin to the workplace and home again at the end of the season or contract.	C-Y6	C-Y3	C-Y3	

SUB-MODULE 4.4: Hired-Labor Fishers and Workers Have Access to Basic Needs and Services.

No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
Objective 4.4.1: Adequate housing, sanitary facilities, and services are provided.					
4.4.1.a	<i>Applicable to hired-labor fishers:</i> During fishing trips, any goods available for hired-labor fishers to purchase are reasonably and transparently priced.	P-5	P-3	P-1	Clarification: The intent is that hired-labor fishers are not charged excessive amounts for items consumed on board. Payment for goods consumed on board may be deducted from wages or payment for fish if there is a clear, written agreement outlining repayment parameters. Such advances and loans, and the deductions from wages or payment for fish made for their repayment, should not exceed legal limits and should not be used as a means to bind hired-labor fishers to employment.



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>In exceptional cases, the agreement need not be written if it is certain all parties understand the repayment parameters and the fishers are not entering into an unsustainable debt.</p> <p>Note that this criterion is in line with 4.2.1.a regarding deductions.</p>
4.4.1.b	Where access to stores or services is limited or not possible due to location, the employer provides options for purchasing goods and services at fair and reasonable prices.	BP	P-3	P-3	<p>Clarification: This criterion is applicable where hired-labor fishers and/or workers or hired-labor fishers and/or workers and their families, live on-site or in employer-provided housing and do not have easy access to stores or services (e.g., stores and services are far enough away that they are only accessible via motorized transportation, and private vehicles and/or public transportation are not readily available).</p> <p>This includes access to basic health, hygiene (including women’s hygiene products), housing and food necessities.</p> <p>Individuals must have access to food that meets minimum nutritional standards. For information on regional minimum nutritional standards, see the Food and Agriculture Organization’s food-based dietary guidelines. If the employer directly offers goods and services, costs are fair and reasonable (not higher than normal market prices) in accordance with the principles and rights outlined in ILO convention 110; this may be confirmed by the auditor through worker interviews.</p> <p>Recommendations: The employer provides, or helps organize, transportation to a town with multiple providers of basic goods and services.</p>
4.4.1.c	Hired-labor fishers or workers are not compelled to make use of stores or services operated by the employer.	C-Y0	C-Y0	C-Y0	



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
4.4.1.d	In employer-provided housing, childcare facilities and schools, fire escapes, extinguishers, and exit routes are maintained, marked, and accessible, and residents/children know how to use them.	BP	C-Y0	C-Y0	<p>Clarification: This is only applicable for land-based employer-provided housing. Requirements for accommodations for vessels at sea can be found in 5.2.1.e and Objective 5.2.2.</p> <p>Exit doors are not locked or obstructed.</p> <p>Residents of employer-provided housing and children and employees in childcare facilities or schools located on-site also receive training in evacuations.</p>
4.4.1.e	The employer ensures access to first aid equipment and trained staff free of charge, for emergency first aid situations in employer-provided housing. Equipment and trained first-aid staff are available 24 hours a day, seven days a week.	BP	C-Y0	C-Y0	<p>Clarification: This is only applicable for land-based employer-provided housing. Requirements for accommodations for vessels at sea can be found in 5.2.1.e and Objective 5.2.2.</p> <p>Trained responders may be hired-labor fishers or workers.</p> <p>The intent of this criterion is that, in the event of an emergency in worker housing, there is always someone available who knows how to contact outside emergency services, how to provide immediate first aid assistance while waiting for outside aid to arrive (and has access to the supplies to do so), and when and how to evacuate the premises.</p> <p>The type of first aid equipment and level of training should be commensurate with the workplace circumstances. For example, where public emergency response providers (i.e., emergency medical services, firefighters, police officers) are available within a short distance from worker housing, first aid equipment and trained staff could consist of a basic first aid kit and someone trained on emergency and evacuation procedures, how to use a basic first aid kit, and when and how to report emergencies. This information may be provided through a brochure or poster displayed in worker housing.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Where public emergency response providers are not readily available or are very far away, first aid equipment and trained staff must be sufficient to provide immediate lifesaving care for critical individuals, including conducting basic noninvasive interventions to help save lives and reduce harm while waiting for outside assistance.</p> <p>Trained first aid staff may be workers located in employer-provided housing or a short distance away (e.g., the individual(s) trained in first aid for criterion 5.3.1.a may also be available for emergencies that arise in employer-provided housing), so long as at least one trained individual is available 24/7, and all workers know how and are able to contact first aid staff.</p>
4.4.1.f	Where hired-labor fishers or workers are in employer-provided housing on land, the conditions and infrastructure of the housing meet a basic minimum standard of sanitation and safety.	C-Y3	C-Y0	C-Y0	<p>Clarification: This is only applicable for land-based employer-provided housing. Requirements for accommodations for vessels at sea can be found in 5.2.1.e and Objective 5.2.2.</p> <p>This criterion applies to employer-provided housing that is offered free of charge or for a fee.</p> <p>Small and Mid-sized Operations meet this requirement if the quality of the housing provided to individuals is the same or better than the housing of the manager. Quality aspects that will be evaluated include those listed with specific requirements for Large Operations below.</p> <p>For family homes and dormitory housing (housing consisting of multiple sleeping quarters that are shared by unrelated individuals) provided by Mid-sized and Large Operations, this includes that:</p> <ul style="list-style-type: none"> • Infrastructure, including electrical wiring and building structures, is safe, and workers are protected from heat and cold;



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<ul style="list-style-type: none"> • There are clearly marked evacuation routes and emergency exits; • Housing areas are free of vermin and insect infestations; • Dormitories and houses have doors that close; • There are windows or a visibly clear way to ventilate the space, and roofs do not leak; • Blankets are made available to temporary hired-labor fishers or workers if nighttime temperatures fall below 18 degrees Celsius (65 degrees Fahrenheit) (may be made available with a deposit); • A bed structure (frame, cot, or bunks) is made available to all workers; • Temporary hired-labor fishers or workers are provided with a sleeping surface/material such as a mattress or mat to protect them against hardness of beds and low temperatures; • There is at least 3.6 square meters of floor area available per person in sleeping rooms and there is no overcrowding; • In the absence of a kitchen service (kitchen and dining hall provided by the employer), there must be installations outside the sleeping areas for preparing and eating food and for washing kitchen utensils; • Running water is provided at all times and there is sufficient hot water for all using it to take hot showers at the end of the workday; • Bathrooms/showers are provided, regularly cleaned, and have: <ul style="list-style-type: none"> ○ A door that closes and locks; ○ Lighting inside and outside of the building; ○ Water and hand-washing soap; ○ Disposal mechanism for toilet paper and waste (bins available and regularly emptied);



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<ul style="list-style-type: none"> • There must be at least one shower/bath installation for every 20 individuals housed in rooms, or at least one for every three families in case of houses; and, • Female workers are provided with gender-specific sleeping areas and bathrooms/showers (not required in family housing). <p>Allowances may be made where there is no reasonable access to electricity and water systems, or where built structures are not permitted, for instance in natural environments where wild products are collected.</p>
4.4.1.g	Where hired-labor fishers or workers are in employer-provided housing on land, the conditions and infrastructure of the housing ensure a reasonable level of comfort, including sanitation, safety, ventilation, reasonable protection from heat and cold, privacy, and security.	BP	P-5	P-5	<p>Clarification: This is only applicable for land-based employer-provided housing. Requirements for accommodations for vessels at sea can be found in 5.2.1.e and Objective 5.2.2.</p> <p>This criterion applies to employer-provided housing that is offered free of charge or for a fee.</p> <p>This includes that:</p> <ul style="list-style-type: none"> • There is protection against insects and vermin (e.g. screens on the windows, no slits in the walls.); • Shade outside of housing in hot areas (trees, eaves, etc.) is available; • Basic furniture for storing personal belongings that closes and locks is provided for all individuals; • Fans are made available to temporary hired-labor fishers or workers (could be made available with a deposit); • There are at least 90 centimeters between each bed; • The vertical space in between bunk beds is greater than or equal to 120 centimeters;



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<ul style="list-style-type: none"> • There is at least one bathrooms/shower installation for every ten workers in rooms, or at least one for every two families in case of houses (Note that this is an increase from requirements under 4.4.1.f); • There is one large laundry sink for every 30 persons, or an affordable laundry service; • In the absence of a kitchen service (kitchen and dining hall provided by the employer), there must be at least one cooking installation for every ten workers in rooms or for every two families (Note that this is an increase from requirements under 4.4.1.f); and, • Recreation facilities are available. <p>These requirements are in line with the principles and rights outlines in ILO Guidance on Workers' Housing Recommendation No. 115.</p>
Objective 4.4.2: Children of workers living on-site have access to day-care and education.					
4.4.2.a	Where children of hired-labor fishers or workers live on-site, the employer ensures access to day-care services.	BP	P-5	P-3	<p>Clarification: The intent of this criterion is to help ensure that workers whose children live with them in employer-provided housing located at the farm or facility, have a safe place to leave their young children while at work, whether this be a formal day-care facility or a family support system. Access may mean providing affordable or free transportation if public transportation to day-care services is not available or may mean helping to build a facility where there is not one.</p> <p>The focus of this criterion is on access to childcare and does not imply employer responsibility for covering the fee for the day-care services, if applicable. Note that the Fair Trade Premium may be used to help address needs related to childcare where there is an identified need and if approved in the Fair Trade Premium Plan.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
4.4.2.b	Where children of hired-labor fishers or workers live on-site, access to primary education is facilitated by the employer.	BP	P-5	C-Y0	<p>Clarification: The intent of this criterion is to help ensure that workers whose children live with them in employer-provided housing located at the farm or facility, have access to schooling for their grade-school aged children Access may mean providing affordable or free transportation if public transportation to schools is not available or may mean helping to build a facility where there is not one.</p> <p>In many regions, public education and associated public transportation are available and their presence fulfills the intent of this criterion.</p>
Sub-module 4.4: Total points possible		5	21	12	

SUB-MODULE 4.5: Hired-labor Fishers and Workers Understand Their Rights and Are Able to Air Grievances and Communicate Concerns.

No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
Objective 4.5.1: Hired-labor fishers and workers understand their rights under the CFS.					
4.5.1.a	Hired-labor fishers and workers receive written information on their rights under the CFS.	BP	C-Y0	C-Y0	<p>Clarification: This includes their rights as described in Modules 2, 4, and 5 of the CFS.</p> <p>This information is made available in languages the hired-labor fishers and workers understand.</p> <p>Recommendations: It may be provided through a brochure or poster in a public place where workers gather.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
4.5.1.b	Hired-labor fishers and workers are trained by an independent third party on their labor rights under the law and Module 2 requirements that are based on the principles and rights outlined in the ILO Core Conventions.	BP	P-5	P-5	<p>Clarification: This includes rights granted by law and outlined in the ILO Core Conventions.</p> <p>The employer provides working time (without deductions or required payments), and appropriate facilities and resources upon request and within reasonable limits for these training activities.</p> <p>The training must have occurred within the past three years.</p> <p>If there are temporary workers, the training must take place at a time when they are on-site so that they can attend.</p> <p>The third-party could be a trade union, a Fair Trade USA staff member, a government officer, an attorney, an academic specializing in labor law, or an independent labor rights NGO.</p> <p>Recommendations: It is best practice for the training to highlight areas where fishers' or workers' labor rights under the CFS overlap with, and where they exceed, those under the law and outlined in the ILO Core Conventions.</p>
<p>Objective 4.5.2: There is an anti-harassment policy and procedures, and a procedure for submitting and processing grievances that is understood by hired-labor fishers and workers.</p>					
4.5.2.a	The employer develops clear internal anti-harassment and abuse policies and procedures. These policies and procedures are implemented.	C-Y0	C-Y0	C-Y0	<p>Clarification: This requirement is best practice for land-based facilities that have been categorized as Small Operations.</p> <p>The policies and procedures shall include information on grievance mechanisms in Objective 4.5.2:</p> <ul style="list-style-type: none"> • Reporting harassment and abuse cases; • Investigating harassment and abuse cases; and, • Standardized sanctions for each type of abuse.



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>The policies shall include a distinct section regarding sexual harassment.</p> <p>This criterion is related to 4.5.2.c which requires a grievance procedure that specifically addresses sexual harassment, as well as to other criteria in Objective 4.5.1 for hired-labor fishers and is related to individuals being aware of and understanding their rights.</p> <p>Where third-party recruiters or labor contractors are used, the policies and procedures must address protections for recruited workers and workers employed through labor contractors.</p>
4.5.2.b	Hired-labor fishers, workers, and management are trained on the anti-harassment and abuse policies, associated processes, and procedures, and understand them.	C-Y0	C-Y0	C-Y0	<p>Clarification: Hired-labor fishers and workers are trained on the policies, taking into consideration languages and literacy of the hired-labor fishers and workers.</p> <p>Individuals hired through labor contractors shall be aware of and understand the anti-harassment policy, associated processes, and procedures.</p> <p>Trainings should be repeated once every two years where turnover is less than 30%, or annually if turnover is greater than 30%. Additionally, when new management is hired, they must receive information on these policies, associated processes, and procedures within their first week of employment.</p> <p>Recommendations: It is best practice for a broader training on sexual harassment to be provided by an independent source, such as an institution that has a mission statement related to combating sexual harassment, human resource trainers, or a relevant governmental agency.</p> <p>The anti-harassment policy may be provided through the employment contracts and/or through a brochure or poster in a</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					public place where workers or Premium Participants gather.
4.5.2.c	A grievance policy and procedure are established by the employer and communicated to hired-labor fishers and workers verbally and in writing. The policy allows for anonymous complaints, ensures resolutions occur in a timely manner, and includes an appeals procedure.	BP	C-Y0	C-Y0	<p>Clarification: There can be one or multiple procedures for different sites or different groups of employees (e.g. there can be one procedure for workers and one for hired-labor fishers separately, or different procedures for different sites). The procedure(s) shall be designed for hired-labor fishers' and workers' complaints regarding pay, working conditions, rights to Freedom of Association, and other labor-related aspects of the CFS. It must be accessible to all hired-labor fishers and workers regardless of employment status, i.e. temporary, migrant, permanent, employed through a labor contractor, etc.</p> <p>The policy shall specifically address sexual harassment and include separate procedures for handling cases of sexual harassment as needed. This could include, for example, specifying that sexual harassment complaints be directed to a specific manager who is trained in how to handle these cases with confidentiality and sensitivity. Note that 4.5.2.a explains requirements for policies on sexual harassment.</p> <p>The policy shall reference a third-party ombudsman or a government department that will mediate disputes that do not reach resolution at the site level. Hired-labor fishers and workers do not automatically waive their legal remedies by use of the grievance procedure.</p> <p>The policy must include more than one method to submit grievances and complaints.</p> <p>This information is made available in languages the hired-labor fishers and workers understand. The verbal and written communication must make clear how to access the policy, what types of complaints and grievances can be raised, and the methods to do so.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Recommendations: The information on the grievance policy and procedure may be provided through a brochure or poster in a public place where hired-labor fishers and/or workers gather.</p> <p>Best practice is for the Social Engagement Team (see 9.3.1.a) to be included in the resolution process, where permitted by law.</p>
4.5.2.d	The grievance policy in 4.5.2.c is followed.	BP	C-Y0	C-Y0	
4.5.2.e	An internal employee suggestion system is in place, hired-labor fishers and workers are aware of it, and processes are in place to address employee suggestions.	BP	P-3	P-1	<p>Clarification: Information on the suggestion system is made available in languages the hired-labor fishers and workers understand.</p> <p>Recommendations: This may be provided through a brochure or poster in a public place where hired-labor fishers and/or workers gather.</p>
4.5.2.f	Records of grievances are maintained, including a description of the grievance, the investigation process and persons involved, and actions taken to address each grievance.	BP	P-3	P-3	<p>Clarification: Records must be kept for at least five years, or longer if required by law.</p>
4.5.2.g	The Fair Trade USA <i>Complaints Procedure</i> has been communicated to hired-labor fishers and workers verbally and in writing.	BP	P-3	P-5	<p>Clarification: The Complaints Procedure is available on the Fair Trade USA website.</p> <p>Hired-labor fishers and workers understand they can submit allegations to Fair Trade USA directly if they believe the Certificate Holder is in violation of the Fair Trade USA Standard and if internal grievances submitted about violations have not been resolved.</p> <p>This information is made available in languages the hired-labor fishers and workers understand.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Recommendations: This may be provided through a brochure or poster in a public place where hired-labor fishers and/or workers gather.</p>
4.5.2.h	<p>Hired-labor fishers and workers are not disciplined, dismissed, or discriminated against, for using any grievance or allegations process.</p>	BP	C-Y0	C-Y0	<p>Clarification: This includes the Fair Trade USA Complaints Procedure and the grievance procedure required in 4.5.2.c.</p> <p>The employer is responsible for ensuring that all levels of management and supervisors understand the employer’s grievance policy and procedure and that they are prohibited from enacting any form of retaliation against those who use it. If disciplinary action is taken against a hired-labor fisher or worker after he or she lodges a grievance, the employer must prove that this was not retaliatory.</p>
4.5.2.i	<p>The employer, in collaboration with the Social Engagement Team (SET) collects feedback every three years from the hired-labor fishers and workers on the grievance policy and procedure and, when relevant, makes updates as needed.</p>	BP	C-Y3	C-Y3	<p>Clarification: The intent of this requirement is to have a system in place to consult with hired-labor fishers and workers on the types of the grievances that can be submitted, as well as on the process itself to receive and address grievances. The SET can be leveraged, and they can take the lead in collecting feedback from individuals and sharing it back with the employer. The employer can also choose to hire a third-party to facilitate collection of feedback.</p> <p>The process to gather feedback must provide an option to be anonymous. There shall be no retaliation to any individual who provides feedback.</p> <p>The employer shall add the relevant feedback to the grievance policy and procedure. However, the employer is not obligated to incorporate the suggestions if they are not relevant. Hired-labor fishers and workers receive a summary of what, if anything, will be incorporated into the grievance policy and procedure and timeline for when the changes will occur.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					Recommendations: The employer or SET can hold workshops to collect feedback or gather feedback in writing.
Sub-module 4.5: Total possible points		-	14	14	

POINTS IN MODULE 4	SO	MO	LO
Minimum points required, Year Zero (40%)			
Minimum points required, Year Three (70%)			
Points required, Year Six (100%)	13	105	75



MODULE 5: Rest Periods and Occupational Health & Safety on Vessels

For fisheries where the fishing activity is undertaken by Registered Fishers, the Registered Fishers are responsible for compliance with this section (and applies to any crew members working on their vessels). For hired-labor fisheries, the employer, in collaboration with the Certificate Holder when the Certificate Holder is not the employer, is responsible for compliance with the requirements in this Module. However, skippers and captains of the vessels for hired-labor fishers are responsible for implementation of many requirements. The Certificate Holder and/or employer must communicate to skippers and captains their responsibilities.

SUB-MODULE 5.1: Registered Fishers, Crew Members, and Hired-Labor Fishers Receive Sufficient Rest Periods and Breaks During and Between Fishing Trips

No.	Compliance Criteria	SFT	MFT	Intent and Clarification
Objective 5.1.1: Rest periods are in line with international standards.				
5.1.1.a	Minimum hours of rest shall not be less than ten hours in any 24-hour period, and 77 hours in any seven-day period.	C-Y0	C-Y0	<p>Clarification: Individuals may be required to work during exceptional circumstances to ensure the safety of the fishers catch or to rescue boats in distress. In this case, terms have been agreed upon between Registered Fishers and crew members, and/or between the employer, the captain/skipper and the hired-labor fishers before a fishing trip.</p> <p>This criterion is based upon the principles outlined in the ILO Convention 188, Article 14.</p> <p>Recommendations: It is best practice that working hours for exceptional circumstances are recorded in written agreements, however, verbal agreements will be accepted.</p> <p>It is best practice for individuals to take one rest day for every seven days of work. For example, a 30-day fishing trip should be followed by four consecutive days of rest.</p> <p>For medium fishing trips, it is best practice for vessels to have designated areas for fishers to take breaks.</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
5.1.1.b	Meal and work breaks are agreed upon and respected.	C-Y1	C-Y1	<p>Clarification: In a fishery where the fishing activity is undertaken by Registered Fishers and crew members, this is a verbal agreement is between the captain or skipper and their crew members.</p> <p>In a hired-labor fishery this is a verbal agreement is between the captain or skipper and the hired-labor fishers.</p> <p>Meal and work breaks shall be in line with legal requirements.</p>
5.1.1.c	Logbooks of working hours per fishing trip are kept by the captain of each vessel.	BP	P-3	<p>Clarification: Hours of work and length of the fishing trip must be recorded for each fishing trip.</p> <p>See the Fair Trade USA Glossary for definitions of 'working hours' and 'fishing trip'.</p>
Sub-module 5.1: Total possible points		-	3	

SUB-MODULE 5.2: The Work Environment on Vessels in Safe.

No.	Compliance Criteria	SFT	MFT	Intent and Clarification
Objective 5.2.1: Workplace risks on vessels are minimized and all appropriate measures are taken so individuals on vessels are safe from harm.				
5.2.1.a	Individuals use Personal Protective Equipment (PPE) as appropriate to their tasks and have been trained on its proper use.	C-Y0	C-Y0	<p>Clarification: This criterion is applicable to all individuals requiring PPE regardless of whether they are a captain or skipper, hired-labor fisherman, or crew member. PPE is required for dangerous work including exposure to extreme temperatures, working with sharp tools, or operating machinery. At a minimum, manufacturers' PPE recommendations shall be followed. PPE also includes, but is not limited to, life jackets, gloves, and boots where these are necessary to protect workers.</p> <p>Life jackets need not be worn by individuals on vessels at all times. They should be worn based on risk of the activity the fisherman is</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
				<p>undertaking. Regardless, life jackets shall always be easily accessible to all individuals and there must be enough life jackets for all individuals on board the vessel. For non-motorized vessels fishing at a swimming-distance from shore, life jackets are not mandatory.</p> <p>All individuals using PPE shall have been trained on its proper use and understand why and how to use it. This training shall be repeated at least once per year.</p> <p>Recommendations: Trainings can be conducted by a range of individuals (e.g. the Certificate Holder, captains/skippers, etc.), provided that they have the right expertise and the training is of adequate quality. The intent is that the training is of adequate quality so that the user understands the proper way to use the PPE. It may be conducted as a separate training, for example when the PPE is first distributed.</p>
5.2.1.b	Personal Protective Equipment (PPE) is functional, regularly maintained, and provided to individuals free of charge.	C-Y3	C-Y0	<p>Clarification: This includes that Registered Fishers provide crew members with lifejackets free of charge. The employer must provide PPE for all hired-labor fishers on vessels whether they are captain or crew.</p> <p>The intent of this criterion is that PPE is always in good working order so that individuals are protected.</p> <p>The PPE shall be comfortable enough, appropriate to the climate, and sized properly so that individuals are able to use it.</p> <p><i>Regularly maintained</i> means that at a minimum the manufacturer’s instructions are followed.</p> <p>Individuals should not take PPE home.</p> <p>Recommendations: Best practice is for there to be a dedicated storage area on-site for PPE.</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
5.2.1.c	Vessels have valid permits to operate.	C-Y0	C-Y0	<p>Clarification: This requirement addresses compliance with safety and working conditions on board of vessels. The vessel has a good standing document showing compliance with the inspections required by law.</p>
5.2.1.d	Where appropriate, fire extinguishers are available, maintained, fully charged, clearly marked, visible, and accessible.	C-Y1	C-Y0	<p>Clarification: Extinguishers have written instructions for use in a language hired-labor fishers and/or crew members of Registered Fishers understand.</p> <p>Appropriateness means all legal requirements are followed, or whether the vessel has an engine and meets any of the following conditions:</p> <ul style="list-style-type: none"> • The vessel has an inboard engine; • Fuel tanks are stored in closed compartments; • The vessel has a double bottom that is not sealed to the hull and that is not completely filled with flotation materials; • There are living quarters on board; and, • The vessel has permanent fixed fuel tanks. <p>Recommendations: As best practice, fire extinguishers are fit for purpose, including:</p> <ul style="list-style-type: none"> • Appropriate to the potential risks in their respective areas; • Stored in a dedicated location; • Are inspected monthly; and, • Serviced by qualified individuals at least once per year, or per regulation, whichever is most strict.
5.2.1.e	Vessels are maintained to be safe, clean and hygienic at all times.	C-Y1	C-Y0	<p>Clarification: Vessels have fire safety systems and appliances. Oil tanks must be placed where spillage or leakage will not fall on heated surfaces and become a hazard.</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
				<p>The hull, deckhouses, machinery casings and any other structure in the vessel shall be in good condition to withstand all foreseeable conditions at sea.</p> <p>External openings to the hull can be closed from inside to prevent water from entering the vessel.</p> <p>Machinery, equipment, lifting gear, winches, fish handling equipment, dive equipment (if present), and fish processing equipment is protected to minimize the danger to people on board.</p> <p>Emissions of ozone-depleting substance from the refrigeration systems of vessels do not threaten human health or the environment.</p> <p>When the vessels include sleeping quarters, the galley spaces must be maintained to be hygienic, safe, healthy and comfortable. The sleeping quarters must have adequate ventilation, heating, cooling and lighting. Sleeping quarters must be kept free of goods which are not personal property of the occupants, unless for their safety or rescue. Sanitary facilities are clean and private.</p> <p>Vessels undergo regular maintenance and inspection for the following:</p> <ul style="list-style-type: none"> • Electrical and refrigeration systems; • Steering equipment and gears; • Emergency lights; • Dive equipment, when applicable; • Machines, equipment, and wiring; and, • Air quality, where hazardous or toxic chemicals are used.
5.2.1.f	Machinery and equipment on vessels are maintained and equipped with appropriate safety devices.	C-Y0	C-Y0	<p>Clarification: This pertains to winches. Main and emergency switchboards are easy to access, and do not pose danger to attendants.</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
				Where legal regulations are applicable, these are followed; where not, the vessels are in line with relevant industry best practices.
Objective 5.2.2: Individuals have access to drinking water, sanitary facilities, and, where applicable, decent sleeping quarters on vessels.				
5.2.2.a	Potable drinking water is accessible to all hired-labor fishers and crew members at all times during the fishing trip.	C-Y0	C-Y0	<p>Recommendations: Potable water is water that is safe for humans to drink. Unless the water is packaged and sealed, the best practice for determining whether the drinking water is safe is to review the results of water quality analysis on the drinking water.</p> <p>Water quality analysis typically includes a variety of indicators, including general water characteristics (e.g., pH levels), as well as some measure of contaminants (e.g. microbial and chemical). The results of water quality analyses should be compared to regional or national guidelines published by the government ministry that is responsible for establishing water safety thresholds. In the absence of applicable regulations, the test results should be compared to the World Health Organization Guidelines for Drinking-Water Quality.</p> <p>In determining the quality of water given to hired-labor fishers and crew, all possible sources of drinking water should be considered, including piped, delivered (e.g., by tanker truck), ground water (e.g., spring or wells), surface sources (e.g., lakes, streams), or rain water. For water quality analysis results to be considered, tests should have been completed no more than one year prior to the audit.</p> <p>Potable water can also mean water that is of the same or better quality that the employer or captain drinks.</p>
5.2.2.b	In hot climates the employer provides hired-labor fishers with suitably cool water and shade in order to protect them against heat stress and sun exposure.	P-3	P-3	<p>Clarification: Hot climates are defined as those where the temperature exceeds 27 degrees Celsius (80 Fahrenheit). Water should be at a temperature that is comfortable for individuals to drink.</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
5.2.2.c	Sanitary facilities are provided on vessels.	BP	C-Y0	Clarification: At a minimum a private area is provided for sanitary use. A private area is one obstructed from view by other individuals. Recommendations: For Short Fishing Trips, it is best practice to provide a private area for sanitary use.
5.2.2.d	<i>Applicable for vessels which are (a) 24 meters in length or greater and/or (b) normally navigate more than 200 nautical miles offshore or beyond the continental shelf (whichever is greater):</i> A document from the competent authority exists demonstrating a passing inspection related to living and working conditions on board vessels. This information, or copies of this information, are compiled and stored by the Certificate Holder or the Fishing Association.	BP	C-Y1	Recommendations: This criterion is based upon ILO Convention 188, Article 41. Living conditions of fishers and crew members who spend more than three consecutive days on board have decent living quarters, with proper ventilation, and safety.
5.2.2.e	<i>Applicable for boats with closed sleeping quarters:</i> If both women and men are on board, sleeping quarters with access to privacy are provided.	P-5	P-5	Recommendations: Privacy can be accomplished through sleeping shifts, separate bunks with curtains, or separate quarters.
Sub-module 5.2: Total possible points		8	8	

SUB-MODULE 5.3: Registered Fishers, Crew Members, and Hired-Labor Fishers Have Access to the Resources, Training, and Information They Need to Keep Themselves Safe.

No.	Compliance Criteria	SFT	MFT	Intent and Clarification
Objective 5.3.1: Vessels are equipped with first aid supplies.				
5.3.1.a	Adequate first aid supplies and access to medical services are available to crew members and hired-labor fishers in the case of accidents on vessels.	C-Y1	C-Y1	Clarification: This is also applicable for vessels where the Registered Fisher works by him/herself.



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
				<p>Adequate first aid supplies are materials needed to meet all reasonably foreseeable emergency first aid situations, such as those identified in the Hazard Assessment completed for criterion 5.3.3.a. Supplies are accompanied by clear instructions for use, or someone is present on-site who knows how to use them.</p> <p>Supplies are accompanied by clear instructions for use, or someone is present on-site who knows how to use them.</p> <p>Recommendations: It is best practice that captains or skippers on both hired-labor and Registered Fisher vessels have a plan in place to prepare for transportation to a hospital or clinic in the event of an accident. When necessary, there should be a plan of how to evacuate a vessel to get to shore. First aid kits should be available at or near landing sites.</p> <p>Fishing vessels should have at least one crew member on board who is qualified or trained in first aid and other forms of medical care and has the necessary knowledge to use the medical equipment and supplies for the vessel, taking into account the number of individuals on board, the area of operation and the length of the voyage. Trained includes having been trained in basic first aid skills and knowing emergency procedures and phone numbers.</p> <p>The employer or captain may give a specific person the responsibility for choosing the types and amounts of first-aid supplies and for maintaining these supplies.</p> <p>Where appropriate, fishing vessels should be equipped for radio or satellite communication with persons or services ashore that can provide medical advice, taking into account the area of operation and the length of the voyage.</p>
<p>Objective 5.3.2: Individuals have the training and information they need to keep themselves safe.</p>				



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
5.3.2.a	At least once per year, Registered Fishers crew members, and/or hired-labor fishers engaged in potentially hazardous work are trained in workplace risks and how to avoid them.	C-Y0	C-Y0	<p>Clarification: The training can be done by the Certificate Holder and/or employer, Fishing Association, or a third party. If the training is done by a third party, it must be paid for by the Certificate Holder.</p> <p>Where there is a Fishing Association this requirement is only applicable once the Fishing Association is formed, or Year 1 at the latest.</p> <p>These trainings are documented, and records are kept on file.</p> <p>Hazardous work includes diving, working in high heat or extreme cold, operating machinery, using potentially dangerous tools, tasks that might result in repetitive stress injuries, and working at heights.</p> <p>Trainings must include information about possible workplace hazards. It must also cover proper use and maintenance of equipment.</p> <p>Training should stress the importance of reporting workplace accidents, and/or symptoms of repetitive strain injuries or heat stress to the employer or Fishing Association.</p>
5.3.2.b	The captain/skipper has conducted training and simulation exercises on the health and safety procedures annually.	P-3	P-3	<p>Clarification: See 5.3.3.d for additional details concerning the health and safety procedures.</p> <p>In a hired-labor fishery, the employer is responsible for designing the training and exercises for captains to implement on board the vessels.</p> <p>Registered Fishers can decide how they would like to conduct this for their crew members, or this can be done at the Fishing Association level with all crew members of Registered Fishers at once.</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
5.3.2.c	Risk areas and potential hazards are clearly identified by warning signs.	P-3	P-3	<p>Clarification: In the case of Registered Fishers, this criterion is only applicable where Registered Fishers have crew members on board. Signs are posted in relevant languages and explained in pictograms. Relevant languages include those understood by fishers.</p>
5.3.2.d	Written safety instructions are readily available in languages fishers and crew understand and are posted on vessels.	P-3	P-1	<p>Clarification: In the case of Registered Fishers, this criterion is only applicable where Registered Fishers have crew members on board. Written safety instructions and procedures include details regarding accident prevention and response, including pictures or pictograms where appropriate.</p> <p>This can be done at the Fishing Association level.</p> <p>Recommendations: These safety instructions and procedures are separate from the health and safety policy (see 5.3.3.d for additional details).</p>
Objective 5.3.3: Policies and procedures are in place to promote health and safety in the workplace.				
5.3.3.a	There is a written Hazard Assessment that covers Registered Fishers', crew members' and hired-labor fishers' occupational risks, and actions are taken to minimize these risks.	C-Y3	C-Y0	<p>Clarification: For supply chains with Registered Fishers, this assessment may be conducted at the Fishing Association level. Note that if the same employer employs hired-labor fishers and workers at land-based sites, they are responsible for the risk assessment on vessels and the Hazard Assessment at land based-sites required in 6.3.4.a. This can be a combined risk assessment.</p> <p>Recommendations: This Hazard Assessment may be included in the Internal Management System required as part of Module 9.</p>
5.3.3.b	There are records of all work accidents and related first aid responses that happen at sea.	P-3	P-3	<p>Clarification: These records should be considered in the occupational Hazard Assessment required in 5.3.3.a.</p> <p>Recommendations: An injury log is also recommended.</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
5.3.3.c	<p><i>Applicable only for vessels >24m:</i> Individuals have a medical certificate attesting to their fitness to work. For hired-labor fishers over the age of 18, the certificate is less than two years old. For hired-labor fishers younger than 18, the certificate is less than one year old.</p>	BP	C-Y3	<p>Recommendations: ILO Convention 188, Article 10 allows for the regulatory authority, in urgent cases, to permit a fisher to work on such a vessel for a period of a limited and specified duration until a medical certificate can be obtained, provided the fisher is in possession of an expired medical certificate of a recent date.</p>
5.3.3.d	<p>There are written health and safety procedures that list information about how to minimize occupational risks on vessels.</p>	P-3	P-3	<p>Clarification: In the case of Registered Fishers, this criterion is only applicable where registered Fishers have crew members on board. The procedures are based upon a Hazard Assessment and updated annually.</p> <p>These procedures shall be used for the trainings and simulation exercises in 5.3.2.b.</p> <p>The policy includes, but is not limited to:</p> <ul style="list-style-type: none"> • Handling of types of fishing gear and fishing operations; • Manning machinery and equipment on the vessel; • Potential ignition sources and their control procedures; and, • Procedures for maintenance of all fire safety equipment. <p>This can be done at the Fishing Association level.</p>
5.3.3.e	<p>The captain/skipper on each vessel is trained on and responsible for implementing health and safety procedures.</p>	P-5	P-5	<p>Clarification: Where hired-labor fishers are undertaking fishing activities, this person brings occupational health and safety issues to the attention of the employer. The individual may have other responsibilities in the company.</p> <p>In this context, <i>trained</i> means that they are qualified and able to identify risks, they fully understand the health and safety procedures and policies, and are able to effectively explain them to others. Management must give the individual sufficient authority, time, and resources to effectively implement these procedures.</p>



No.	Compliance Criteria	SFT	MFT	Intent and Clarification
				Where there is a Fishing Association, health and safety procedures are discussed amongst Registered Fishers with the goal of improving health and safety on vessels of Registered Fishers and for their crew members.
5.3.3.f	Incident reports are summarized annually and submitted to relevant authorities to provide notification/statistics on work-related fatalities, injuries, and diseases.	P-3	P-3	<p>Clarification: <i>Relevant authorities</i> refers to any governmental department that requires and/or tracks workplace accidents, injuries, fatalities, or work-related diseases. See 5.3.3.b for additional details.</p> <p>Recommendations: This requirement is best practice for vessels operated by Registered Fishers and crew members. The summary of incidents should be done by the Fishing Association, aggregating the information of all of its members.</p>
5.3.3.g	An electronic communications network for finding lost vessels and coordinating ships to shore is in place on all vessels.	P-3	P-3	<p>Clarification: This is not required for small boats operating off transfer vessels which remain in line of sight.</p> <p>Where fishing activity is undertaken by Registered Fishers, Premium may be used to meet this requirement. See Annex C for Premium Expenditure Rules.</p>
Sub-module 5.3: Total possible points		26	24	

POINTS IN MODULE 5	SFT	MFT
Minimum points required, Year Zero (40%)		
Minimum points required, Year Three (70%)		
Points required, Year Six (100%)	34	35



MODULE 6: Working Hours and Occupational Health & Safety on Land-Based Facilities

The criteria in this Module apply to all land-based facilities, including processing and landing sites, as well as workers at these sites. The Certificate Holder is responsible for compliance with the requirements of this Module in collaboration with the employer where the Certificate Holder is not the direct employer. The timelines in this Module are dictated by the number of permanent and temporary workers employed at a given time. See the introduction for more details.

SUB-MODULE 6.1: Workers at Land-based Facilities Work Reasonable Hours

No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
Objective 6.1.1: The regular workweek is in line with the law, applicable Collective Bargaining Agreements, and international standards. Workers receive adequate rest periods.					
6.1.1.a	Workers do not work longer than 48 regular hours per week, the level agreed to in the Collective Bargaining Agreement, or the legal limit, whichever is less.	P-5	C-Y0	C-Y0	<p>Clarification: An accurate, reliable, and transparent time keeping system with detailed records is necessary on Mid-sized and Large Operations to demonstrate compliance.</p> <p>There shall be no repercussions or penalties against workers who refuse in advance to work above 48 hours per week, the level agreed to in applicable Collective Bargaining Agreements, or the legal limit, whichever is less.</p> <p>This excludes overtime.</p>
6.1.1.b	Meal and rest breaks are stipulated and respected. Workers are given one unpaid, 30-minute meal break for every five hours worked, and an additional 15 minutes of paid rest time for every four hours worked.	P-3	C-Y0	C-Y0	<p>Clarification: Breaks/rest time may either be planned and organized by management (i.e. all workers take a break at a designated time), or they may be informal (i.e. workers are able to rest at their own discretion for up to 30 paid minutes per eight-hour day). Workers must still be allowed to drink water and go to the restroom as needed outside formal break time. Where informal breaks are practiced, employers must be able to demonstrate that workers are aware of their right to take informal breaks and show how workers are encouraged to do so.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>The required paid rest time (15-minute breaks for every four hours of work) must be paid even if workers choose not to take those breaks, i.e. if piece-rate workers work through their break they must still be paid for the break time as an additional payment.</p> <p>For remuneration based on production, quotas, or piecework, compensation for rest time must be based on the average or typical income per piece of labor for the equivalent period (i.e., a rest break of 15 minutes should be paid as the typical piece rate earning for 15 minutes of work). Alternatively, a guaranteed hourly or daily wage (regardless of productivity) may be created and used to calculate compensation for rest time. In these circumstances, it is recommended to include payment for rest breaks as a separate line item on workers' pay slips to ensure it is calculated and paid accurately.</p> <p>In the case of hourly wage/salary workers, workers may be paid for the equivalent of 4 hours work time, during which workers actually work 3.75 hours plus take 15 minutes of formal or informal rest time, rather than through an additional payment.</p> <p>Paid breaks/rest are considered work hours that would be included in the sum of hours worked during the workweek and considered in determining if overtime was worked.</p> <p>Recommendations: In hot climates or workplaces, when the temperature exceeds 27 degrees Celsius (80 Fahrenheit), it is best practice to give short breaks more frequently to help mitigate the risk of heat stress.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					For workers engaged in tasks that are at risk of creating repetitive strain injuries, as identified in the Hazard Assessment required in 6.3.4.a, it is recommended that workers are also encouraged to take frequent and short breaks throughout their shift to stretch and relax muscles.
6.1.1.c	Workers receive at least 24 consecutive hours of rest following every six consecutive workdays, unless exceptional circumstances apply and workers have agreed in writing.	P-3	C-Y0	C-Y0	<p>Clarification: Even under exceptional circumstances, workers receive at least 24 consecutive hours of rest after 18 days.</p> <p>When workers agree to give up rest days, this must be agreed to in writing, either individually or collectively, for instance through a Collective Bargaining Agreement negotiated by a representative worker organization.</p> <p>Recommendations: When workers give up rest days it is best practice to assign them lighter tasks to protect against fatigue and overexertion.</p>
6.1.1.d	Rest days lost during exceptional circumstances are offered to workers within three months. Workers may choose whether or not to take those rest days.	C-Y0	C-Y0	C-Y0	<p>Clarification: This criterion relates to exceptional circumstances in 6.1.1.c.</p>
Objective 6.1.2: Overtime is voluntary and not excessive.					
6.1.2.a	All overtime is strictly voluntary.	C-Y0	C-Y0	C-Y0	<p>Clarification: Workers may agree to overtime in advance through detailed agreements on overtime prescribed in employment contracts. Workers may also agree to overtime in advance through Collective Bargaining Agreements negotiated by representative worker organizations.</p> <p>Workers are not denied employment or discriminated against for being unable or not willing to work overtime.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Exceptional circumstances regarding working hours have been communicated to and agreed to by workers. Documentation of this agreement shall be kept in an auditable format. This applies to all workers, including temporary and seasonal workers.</p> <p>Recommendations: It is best practice to have a written procedure for overtime work that states that overtime is always voluntary, and to train supervisors and managers on how to request overtime hours from workers in a way that is not pressuring or inadvertently coercive.</p>
6.1.2.b	Workers do not work more than 14 consecutive hours in a 24-hour period	P-3	C-Y0	C-Y0	<p>Clarification: This includes regular and overtime hours.</p>
6.1.2.c	Overtime does not exceed 12 hours per week or the legal limit, whichever is less. If workers agree in writing and if legally permitted, this limit can be increased up to a maximum of 72 total working hours per week for up to four non-consecutive weeks per year.	P-5	C-Y0	C-Y0	<p>Clarification: Any work performed after a 48-hour week or an eight-hour day is considered overtime, unless otherwise defined by applicable law. Requirements in 6.1.1.a set limits on regular work hours per week, such that a worker may not work more than a total of 60 hours in a workweek (48 regular hours, plus 12 overtime hours), or the legal limit.</p> <p>Workers can agree to an increase in work hours either individually or collectively, for instance through a Collective Bargaining Agreement negotiated by a representative worker organization.</p> <p>Note that overtime wage rates, and the hour limit(s) at which those rates take effect, are required to follow local laws and/or negotiated agreements. This is specified in criterion 4.2.1.a.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Fair Trade USA recognizes that in some circumstances and within certain production systems, complying with this criterion could require substantial operational changes that may be costly and necessitate additional time to implement. Therefore, where legally permitted, Mid-sized and Large Operations facing long-term challenges to compliance must get approval from Fair Trade USA to implement a Continuous Improvement Plan that details steps to be taken to move towards compliance with 6.1.2.c, and/or measures to be taken to ensure overtime work does not impose an increased health and safety risk. The Certificate Holder must contact Fair Trade USA to determine eligibility and apply.</p>
Sub-module 6.1: Total possible points		19	-	-	

SUB-MODULE 6.2: The Work Environment at Land-based Facilities is Safe.

No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
Objective 6.2.1: Workplace risks are minimized and employers take all appropriate measures to ensure they and their employees are safe from harm.					
6.2.1.a	Indoor workplaces do not exceed maximum occupancy.	C-Y0	C-Y0	C-Y0	<p>Clarification: Where applicable, this is in compliance with local laws.</p> <p>Recommendations: In the absence of local law, it is best practice to determine maximum occupancy by ensuring exits that consist of a stairway have at least 0.3 inches (0.8 centimeters) of doorway width per person and all other exits have at least 0.2 inches (0.5 centimeters) of doorway width per person.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					Indoor workplaces, and where applicable, possess valid operation and occupancy permits appropriate for the number of workers and work being done.
6.2.1.b	The processing facility and/or landing site has valid permits for all equipment used in its operations.	C-Y0	C-Y0	C-Y0	<p>Clarification: At a minimum, this includes:</p> <ul style="list-style-type: none"> • Elevators; • Boilers; • Generators; • Air pressure tanks; • Liquid petroleum gas tanks; • Vacuum chambers; • Carbon monoxide and other gas-application chambers; • Pressure systems; • Compressed air receivers; • Filleting and fish processing equipment; and, • Conveyor belts.
6.2.1.c	Lighting is adequate for workers to safely perform the tasks they have been assigned.	C-Y0	C-Y0	C-Y0	
6.2.1.d	All machines have adequate and appropriate safeguards and safety devices.	C-Y0	C-Y0	C-Y0	<p>Clarification: Safety of machinery can be outlined in manufacturer instructions and/or local regulations.</p> <p>Safeguards include, but are not limited to:</p> <ul style="list-style-type: none"> • Emergency power cut-off; • Insulated cables; • Grounding/earthing (three-pronged plug); • Electric fan blade covers; • Safety covers for moving parts; etc. <p>There are written and established safety procedures for the use of equipment and machinery which includes:</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<ul style="list-style-type: none"> • Inventory of machines; • Procedures for the safe use of machines; and, • Procedures for maintenance.
6.2.1.e	Fire extinguishers are maintained, fully charged, clearly marked, visible, and accessible.	C-Y0	C-Y0	C-Y0	<p>Clarification: At least one worker trained in how to use a fire extinguisher is present and located in physical proximity to each fire extinguisher at all times. Fire extinguishers are maintained according to manufacturers' instructions.</p> <p>Extinguishers have written instructions for use in a language workers understand.</p> <p>Recommendations: As best practice, fire extinguishers are fit for purpose, including:</p> <ul style="list-style-type: none"> • Appropriate to the potential risks in their respective areas; • Within 75 feet (23 meters) of every worker; • Stored in a dedicated location; • Are inspected monthly; and, • Serviced by qualified workers at least once per year, or per regulation, whichever is most strict.
6.2.1.f	Exit routes and exit doors are maintained, marked, and accessible (not obstructed or blocked), and workers know how to use them.	C-Y0	C-Y0	C-Y0	<p>Clarification: Exits are unlocked when workers are present.</p> <p>Maintained means that exit routes are unobstructed, and that exit doors are functional.</p> <p>Recommendations: Exit doors swing out, not in. Where vertical sliding doors are installed and cannot be replaced by swing-out/push-bar doors, they are tested and maintained at least annually to ensure they operate effectively at all times, and a locking mechanism is in place to ensure that doors are locked in open position during work hours.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>For exits with latches that require special operation, at least one worker trained on how to operate the latch is present and located in physical proximity to each relevant exit.</p> <p>Exits lead to a safe location outside the building.</p> <p>As best practice, emergency exits include the following:</p> <ul style="list-style-type: none"> • Workplaces with up to 500 workers have at least two exits that provide 22 inches (0.55 meters) of exit width; • Workplaces with over 500 workers have at least three exits that provide 22 inches (0.55 meters) of exit width; • Exits are on opposite sides of the workplace floor; • Each workstation is within 200 feet (61 meters) of an exit; and, • Exit signs must be properly illuminated by a reliable light source.
6.2.1.g	Wiring and electrical panel boxes are maintained to be in safe condition, and electrical cables and wires are safely placed.	C-Y0	C-Y0	C-Y0	<p>Clarification: Electrical equipment used in a very hot, very cold, or humid environment should be tested more frequently than equipment that is less likely to become damaged or unsafe.</p> <p>The frequency of inspections should be determined according to the manufacturer’s instructions.</p>
6.2.1.h	Processing facility buildings and grounds, and landing sites are maintained to be safe, clean, and hygienic at all times.	C-Y1	C-Y0	C-Y0	<p>Clarification: This requirement addresses any critical or immediate risks of injury or loss of life related to processing facility buildings and grounds and/or landing sites. The facility is responsible for ensuring a safe environment for its workers at all times, including but not limited to providing structural safety, maintenance of installations, fire safety, or electrical safety.</p> <p>Risks related to minor injuries, such as slips or falls, are clearly marked and visible.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Buildings undergo regular maintenance and inspection of the following:</p> <ul style="list-style-type: none"> • Electrical systems; • Emergency lights; • Machines, equipment, and wiring; • Water systems; and, • Air quality where hazardous or toxic chemicals are used.
6.2.1.i	Work areas are adequately ventilated.	C-Y3	C-Y0	C-Y0	<p>Clarification: Adequate ventilation means:</p> <ul style="list-style-type: none"> • Fumes are not more than faintly noticeable; • Dust/particulate is not more than moderately visible; • Where there is a risk of noxious gases, continuous monitoring gas alarm systems are installed and operational; and, • Fresh air is drawn into the area and circulated.
6.2.1.j	Temperatures of indoor workplaces accessed by individuals without appropriate PPE are maintained such that heat or cold does not interfere with workers' productivity or health.	C-Y3	C-Y0	C-Y0	
6.2.1.k	Machines are only operated by authorized and trained workers.	C-Y3	C-Y0	C-Y0	<p>Clarification: Workers must be trained annually on the proper use of the machines. This includes training on how to safely clean and maintain machinery.</p>
6.2.1.l	Evacuation routes and emergency exits, including stairwells in multi-story buildings, are sufficient in number and capacity, identifiable, and designed in order to support evacuation of personnel.	C-Y3	C-Y0	C-Y0	<p>Clarification: It is the expectation that the Certificate Holder comply with all legal requirements pertaining to evacuation routes. Aisles are kept clear of equipment and materials at all times.</p> <p>Recommendations: As best practice, evacuation routes include the following:</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<ul style="list-style-type: none"> Aisles between workstations are wide enough for easy escape (approximately 44 inches or 112 centimeters); Routes are marked by lines and arrows; Updated maps of emergency exits / evacuation routes are posted prominently throughout the facility in a language understood by workers; and, <i>You Are Here</i> markings on each map correspond to the map's actual location.
6.2.1.m	The indoor workplace is equipped with sufficient functioning fire/evacuation alarms and detection mechanisms that reach all workers within the building structure in a timely manner.	P-3	C-Y0	C-Y0	<p>Clarification: Any specifications mandated by local legislation are followed.</p> <p>Where carbon monoxide is used or stored, functioning carbon monoxide detectors with an audible alarm are properly installed at the right height.</p> <p>Alarms can be set off from various locations throughout the facility. This includes visual alarms where ear protective equipment is used.</p> <p>Working emergency lights, fire alarms, and fire detection mechanisms are backed up with batteries or a secondary power source.</p> <p>Recommendations: Emergency lights are installed in stairwells and other key locations to illuminate exit routes.</p>
Objective 6.2.2: Workers are not required to perform work that poses a risk to their health.					
6.2.2.a	Workers are not required to perform any work that poses risk to their health. In Mid-sized and Large Operations, the employer must offer workers who become unable to perform certain tasks due to medical conditions an alternate job at the same pay and benefits.	C-Y0	C-Y0	C-Y0	<p>Clarification: Hazardous work can include handling or significant exposure to hazardous chemicals, working in high heat, operating heavy or dangerous machinery or tools, night work, lifting heavy objects, and working at dangerous heights.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Relevant medical conditions include; pregnancy or nursing, incapacitating mental conditions, chronic, hepatic, or renal diseases, respiratory diseases, and young workers.</p> <p>Young workers are also protected under requirements in Sub-module 2.3.</p>
6.2.2.b	<p>Workers handling any carbon monoxide or other hazardous chemicals are regularly offered free medical examinations by a physician (according to risks and levels of exposure) and are informed of the results privately. Management reviews recommendations resulting from the examination and a remediation plan is put into place if problems are detected.</p>	P-5	P-5	P-5	<p>Clarification: Where allowed under law, the employer may select the physician, but the worker may request a different physician.</p> <p>Remediation plans shall include rotation of job tasks or other measures needed to ensure the health of workers. Workers must be offered another lower-risk job at equivalent pay and benefits if they are no longer able to be safely exposed to specific hazardous chemicals. There can be no discrimination or punishment against workers based on the results of the medical examination.</p>
<p>Objective 6.2.3: Workers have access to drinking water, and sanitary facilities.</p>					
6.2.3.a	<p>Potable drinking water is accessible at all times to all workers during their working period and to any workers and their families that live in employer-provided housing..</p>	C-Y0	C-Y0	C-Y0	<p>Clarification: Boiling, filtering, or chlorinating the water may be necessary to ensure potability. <i>Potable drinking water</i> means water which complies with legal requirements or the following World Health Organization parameters::</p> <ul style="list-style-type: none"> • Fecal Coliforms: Zero; • Chlorine residue or residue from other treatment disinfectants: maximum 5 mg/L; • Nitrates: 50 mg/L as nitrates; • pH: 6.5 to 8.5; • Sulfates: 250 mg/L (there is no health-based guideline for this, the parameter is based on taste);



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<ul style="list-style-type: none"> • Turbidity: Less than or equal to 5 NTU (there is no health-based guideline for this, the parameter is based on taste); and, • Arsenic: 0.01 mg/L. <p>In Small Operations, <i>potable drinking water</i> may mean the same or better water quality as what management or the employer themselves drinks. Where there are risks that this water is of poor quality, assessing access to and quality of drinking water should be included in the scope of the Hazard Assessment required in 6.3.4.a.</p> <p>In rural areas and areas where water is not supplied through a public water system, auditors may ask for Mid-sized and Large Operations to provide water quality testing results to ensure potability. Testing should occur during the time period when the water is used by workers, and records of results should be kept. Testing should be done at least once per year, and/or when changes to the water treatment system have been conducted. Testing may be done by the site manager.</p> <p>Recommendations: As a best practice, potable water is labeled.</p>
6.2.3.b	Packing/processing facilities provide clean sanitary facilities with accompanying hand-washing facilities for workers during their working period.	C-Y0	C-Y0	C-Y0	<p>Clarification: Sanitary facilities must be provided in a ratio of 1 for every 20 workers.</p> <p>Note that facilities must comply with any applicable food safety legislation.</p>
6.2.3.c	Sanitary facilities are provided separately for men and women (toilets, washing facilities and showers if needed) and are in proportion to the number of workers of that gender, with a minimum proportion of 1:25.	BP	C-Y3	C-Y0	



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
6.2.3.d	If workers are required to wear a uniform or Personal Protective Equipment, there is a private changing room.	BP	P-1	P-1	Clarification: This can be a washroom/bathroom with a lock.
Sub-module 6.2: Total possible points		8	6	6	

SUB-MODULE 6.3: Individuals Have Access to the Resources, Training, and Information They Need to Keep Themselves Safe.

No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
Objective 6.3.1: Workers have access to first aid supplies.					
6.3.1.a	Adequate first aid supplies and access to medical services are available to workers in the case of workplace accidents.	C-Y3	C-Y0	C-Y0	<p>Clarification: The level of first aid equipment and supplies will vary according to the size of the workplace. First aid supplies available shall include materials needed to meet all reasonably foreseeable emergency first aid situations. These can be identified as part of the Hazard Assessment required in 6.3.4.a.</p> <p>Personnel trained in first aid shall be available in high-risk workplaces such as where sharp blades, dangerous tools, or heavy machinery are used, but in lower-risk workplaces specific first aid training is not mandatory.</p> <p>Supplies are accompanied by clear instructions for use, or someone is present on-site who knows how to use them.</p> <p>Access to medical services includes the employer providing transportation for workers to the closest medical clinic/hospital in case of an accident.</p>
Objective 6.3.2: Workers are provided appropriate Personal Protective Equipment at no personal charge.					



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
6.3.2.a	Individuals use Personal Protective Equipment (PPE) as appropriate to their tasks and have been trained on its proper use.	C-Y0	C-Y0	C-Y0	<p>Clarification: This criterion is applicable to all individuals who require PPE regardless of whether they are management or a worker. PPE is required for dangerous work including handling chemicals, exposure to extreme temperatures, working with sharp tools, or operating machinery. At a minimum, manufacturers' PPE recommendations shall be followed. PPE also includes gloves, helmets, and boots where these are necessary to protect workers.</p> <p>All individuals using PPE have been trained on its proper use and understand why and how to use it. This training shall be repeated at least once per year. It may be incorporated into the training on general workplace risks in 6.3.3.b, or it may be conducted as a separate training, for example when the PPE is first distributed.</p> <p>Recommendations: It is best practice to provide workers with clothing that is worn down during work that protects workers from exposure to cold temperatures.</p> <p>Trainings can be conducted by a range of individuals, provided that they have the right expertise and the training is of adequate quality. The intent is that the training is of adequate quality so that the user understands the proper way to use the PPE.</p>
6.3.2.b	Personal Protective Equipment (PPE) is functional, regularly maintained, and provided to workers free of charge.	C-Y0	C-Y0	C-Y0	<p>Clarification: The intent of this criterion is that PPE is always in good working order so that workers are protected.</p> <p>The PPE shall be comfortable enough, appropriate to the climate, and sized properly so that workers are able to use it.</p> <p><i>Regularly maintained</i> means that at a minimum the manufacturer's instructions are followed.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Workers should not take PPE home. Workers can take uniforms or work clothes off the premises for cleaning purposes.</p> <p>Recommendations: Best practice is for there to be a dedicated storage area on-site for PPE. In cases where workers are given uniforms, it is best practice for the employer to provide washing machines for workers to wash their uniforms at the processing facility.</p>
6.3.2.c	The employer provides all workers with any required working clothes, for instance uniforms or specialized clothing, free of charge. These working clothes are replaced regularly.	BP	C-Y1	C-Y1	<p>Clarification: This criterion is applicable where uniforms or specialized work clothes are required.</p>
Objective 6.3.3: Individuals have the training and information they need to keep themselves safe.					
6.3.3.a	Employers must make information available to workers on the risks associated with any hazardous work, including higher risks associated with certain medical conditions.	C-Y0	C-Y0	C-Y0	<p>Information is made available in a language the workers understand and is effectively communicated to illiterate fishers.</p>
6.3.3.b	At least once per year, workers engaged in potentially hazardous work are trained in workplace risks and how to avoid them.	C-Y0	C-Y0	C-Y0	<p>Clarification: The training can be done by the employer or a third party. If the training is done by a third party, it must be paid for by the Certificate Holder.</p> <p>These trainings are documented, and records are kept on file for at least three years. Premium cannot be used to pay for these trainings.</p> <p>Hazardous work includes working in high heat or extreme cold, operating machinery and vehicles, using potentially dangerous tools, tasks that might result in repetitive stress injuries, and working at heights.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Recommendations: Trainings should include information about possible workplace hazards and stress the importance of reporting workplace accidents and/or symptoms of repetitive strain injuries to the employer.</p> <p>For workers handling chemicals, training should include:</p> <ul style="list-style-type: none"> • How to understand the product label and other safety instructions for use made available by the manufacturer; • How to handle accidents and spills when mixing, loading, and using chemicals; • How to handle and safely dispose of empty containers; and, • How to reduce spills and address them when they occur (monitoring, control, and clean up).
6.3.3.c	The employer has conducted training and simulation exercises on the health and safety procedures twice per year.	BP	P-5	P-3	Clarification: See 6.3.4.c for additional details concerning the health and safety procedures.
6.3.3.d	Risk areas and potential hazards are clearly identified by warning signs.	P-1	P-1	P-1	Clarification: Signs are posted in relevant languages and explained in pictograms. Relevant languages include those understood by workers, as well as family and community members if sites are accessible.
6.3.3.e	Written safety instructions are readily available in languages the workers understand and are posted for workers at their workplace. Written safety instructions and procedures include details regarding accident prevention and response, including pictures or pictograms where appropriate.	P-3	P-1	P-1	Recommendations: These safety instructions and procedures are separate from the health and safety policy (see 6.3.4.c for additional details).

Objective 6.3.4: Policies and procedures are in place to promote health and safety in the workplace.



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
6.3.4.a	There is a written Hazard Assessment that covers workers' occupational risks, and actions are taken to minimize these risks.	P-1	P-1	P-1	<p>Clarification: This risk assessment may be included in the Internal Management System required as part of Module 9.</p> <p>Recommendations: Actions may include job rotation for workers who are at risk of repetitive strain injuries, who handle chemicals, or who are exposed to extreme cold or hot temperatures.</p> <p>For tasks at risk of creating repetitive strain injuries, appropriate measures to minimize risk could include work station redesign, tool redesign, job rotation, work pacing, or work breaks.</p>
6.3.4.b	There are records of all work accidents and related first aid responses.	P-3	P-1	P-1	<p>Recommendations: These records should be considered in the Hazard Assessment required for Mid-sized and Large Operations in 6.3.4.a.</p> <p>An injury log is also recommended.</p>
6.3.4.c	There are written health and safety procedures that list information about how to minimize workers' occupational risks.	BP	P-5	P-3	<p>Clarification: The procedures are based upon a risk assessment and updated annually.</p> <p>The procedures shall be used for the trainings and simulation exercises in 6.3.3.c.</p> <p>The procedures have fire safety measures which include, but are not limited to:</p> <ul style="list-style-type: none"> • Lists of major workplace fire hazards and their proper handling and storage procedures; • Potential ignition sources and their control procedures; • Type of fire protection equipment, or systems which can control a fire involving different ignition sources; and, • Procedures for maintenance of all fire safety equipment.



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>The procedures also have an emergency preparedness plan, which includes, but is not limited to:</p> <ul style="list-style-type: none"> • Procedures for emergencies, including weather-related natural disasters; • Type of evacuation and exit route assignments; • Procedures for reporting emergencies; • Procedures for employees who remain to operate critical plant operations before they evacuate; • Designation of assembly location and procedures to account for all employees after evacuation; • Alarm system for employees, with documented maintenance records; • Procedures to be followed by employees performing rescue or medical duties; and, • Floor plan that clearly identifies all exits and exit routes
6.3.4.d	At each worksite, there is a trained individual responsible for implementing health and safety procedures.	BP	P-5	P-3	<p>Clarification: This person brings occupational health and safety issues to the attention of the employer. The individual may have other responsibilities in the company. In this context, <i>trained</i> means that they are qualified and able to identify risks, they fully understand the health and safety procedures and policies, and are able to effectively explain them to others.</p> <p>Management must give the individual sufficient authority, time, and resources to effectively implement these procedures.</p>
6.3.4.e	There is an Occupational Health and Safety Committee in place, which identifies health and safety concerns and ways to address them.	BP	P-3	P-3	<p>Clarification: The Occupational Health and Safety Committee serves to share information among hired-labor fishers, workers, and those responsible for health and safety to maintain continuous improvement in health and safety. The Committee can be constituted at the group level (i.e. representing several sites). In some countries, this committee may already be required by law according to the size of the workplace.</p>



No.	Compliance Criteria	SO	MO	LO	Intent and Clarification
					<p>Recommendations: Best practice is to have workers from different departments/functions represented in the Committee. The Committee should solicit information from the trained individuals responsible for implementing health and safety procedures in 6.3.4.c and participate in the occupational Hazard Assessment and development of the actions required in 6.3.4.a. The Committee should analyze accident records to detect trends and identify recurring risks. The Committee should keep minutes of meetings and document findings and recommendations.</p>
6.3.4.f	Incident reports are summarized annually and submitted to the Health and Safety Committee, and relevant authorities to provide notification/statistics on work-related fatalities, injuries, and diseases.	BP	P-3	P-3	<p>Clarification: Relevant authorities refers to any governmental department that requires and/or tracks workplace accidents, injuries, fatalities, or work-related diseases.</p> <p>Recommendations: See 6.3.4.b for additional details.</p>
Sub-module 6.3: Total possible points		8	25	19	

POINTS IN MODULE 6	SO	MO	LO
Minimum points required, Year Zero (40%)			
Minimum points required, Year Three (70%)			
Points required, Year Six (100%)	35	31	25

MODULE 7: Resource Management

This Module covers the requirements to ensure responsible fishing practices of all fishers within scope of the Certificate. Where fishing activity is conducted by Registered Fishers in a Fair Trade Fishing Association, these requirements apply at the Fishing Association level, and are the responsibility of Registered Fishers collectively. Where the Certificate Holder is external from the Fishing Association, the Certificate Holder may



support the Fishing Association to comply with these requirements. Where the fishing activity within scope of the Certificate is conducted by hired-labor fishers employed by an entity within scope of the Certificate, it is the Certificate Holder and employers' responsibility to comply with the requirements of the Module and ensure responsibilities of hired-labor fishers are made clear to them. The main intent is that the individuals making decisions about when, where, and how to fish are complying with the requirements laid out in this Module. Ultimately, however, it is, the responsibility of the Certificate Holder to oversee compliance against the standard as part of the Internal Management System in Module 9. Note that only when there is a Fishing Association may Premium be spent to comply with Capture Fishery Standard requirements, if approved by Premium Participants. Additionally, in recognition of the fact that most fisheries are publicly-owned resources (even if the right to harvest may be privately or communally held), the annual audit reports and related elements of the Corrective Action Plan associated to the Resource Management Module are made publicly accessible upon request. Any such public reports shall be modified to protect the identity of individuals, fishers, or workers who participated in the audit.

SUB-MODULE 7.1: Fishery Documentation

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 7.1.1: The fishery's primary, secondary, by-catch, and endangered, threatened, and protected species have been identified.			
7.1.1.a	<p>There is a table defining all species that are considered:</p> <ul style="list-style-type: none"> • Primary species: Any non-by-catch, retained species proposed in the scope of application for certification. Primary species may not be classified as endangered, threatened, or protected. • Secondary species: Any non-by-catch, retained species not proposed in the scope of application for certification. Includes species used as bait in the fishery if caught by the fishers in Scope of the Certificate, and all non-primary, retained species, including species classified as endangered, threatened, or protected (ETP). • By-catch Species: Species caught incidental to the harvest of target species (i.e., primary and secondary species) and not retained (discarded). Includes, but is not limited to, fish, mammals, 	C-Y0	<p>Clarification: If a species is neither ETP (including IUCN rating of vulnerable or worse) nor highly vulnerable based on a Productivity and Susceptibility Analysis (PSA), and is less than 5% of the catch on an annual basis, it can be excluded as a secondary species or by-catch.</p> <p>The table shall include and align for each species, at least:</p> <ul style="list-style-type: none"> • International common name (English/scientific, if available) e.g., Monterrey sardine; • Local common name (local language) e.g., "Sardina;" • Latin name (formal scientific name) e.g., <i>Sardinops sagax</i>; • Alternative names (to be defined as needed) e.g., "Falls within broader grouping 'Crinuda' and may be called this when caught with other small pelagic species;" and, • Notes (as needed). <p>All species are properly identified, and the correct scientific name is used.</p> <p>The table shall include secondary and by-catch ETP species that have been encountered by the fishery in any quantity. The table shall include the IUCN Red List of Threatened Species, Appendix I of CITES, and/or</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
	<p>seabirds, and reptiles, and all discarded species classified as ETP.</p> <p>The table shows the relationship between all naming conventions for all primary, secondary, and by-catch species. This document is updated annually.</p>		<p>national endangered species listing. If IUCN, CITES, or national designation is not available, list as N/A.</p> <p>This table must be included in the Fisheries Management Plan in Year 1 (See 7.1.2.a).</p> <p>Recommendations: A list of ETP species that have been encountered by the fishery can be created either through catch records or interviewing the fishers. The list needs only include ETP species caught in recent memory/the collective memory of the community.</p> <p>See the Fair Trade USA Glossary for a definition of ETP species.</p> <p>Climate change will alter the species portfolio of many fisheries over time as fish stocks migrate and fishery production potential changes in specific geographies. Such shifts must be included in the table as appropriate⁶.</p>
7.1.1.b	Basic life history information has been documented for all primary species.	C-Y0	<p>Clarification: This information must be included in the Fisheries Management Plan in Year 1 (See 7.1.2.a).</p> <p>Recommendations: Examples of life history information include those required for a Productivity and Susceptibility Analysis or an ecosystem analysis, such as:</p> <ul style="list-style-type: none"> • Size at 50% maturity; • Fecundity (mean brood size); • Maximum length (Linf); • Natural mortality (M); • Intrinsic growth rate (K); • Vulnerability; and, • Trophic level. <p>Information is assumed to be either available through local knowledge, or through existing gray, white or primary literature publications. Values can</p>

⁶ https://www.edf.org/sites/default/files/climate_and_fisheries_executive_summary.pdf

Gaines et al. 2018: <https://advances.sciencemag.org/content/4/8/eaao1378>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>be downloaded via FishBase⁷ or SeaLifeBase.⁸, or obtained from government or academic institutions.</p> <p>Basic life history information is usually included in formal stock assessments. If one exists for a primary species, such an assessment may be a good resource.</p> <p>If data are not available, information from similar species can be substituted. Similar species are those from the same genus, from the same location/waters, and/or with similar life history traits (e.g., similar number of young, matures at a similar age or size, or grows at a similar speed).</p>
7.1.1.c	Basic life history information has been documented for all secondary and by-catch species.	C-Y3	<p>Clarification: This information must be included in the Fishery Management Plan in Year 3 (See 7.1.2.a).</p> <p>Recommendations: See recommendations for 7.1.1.b.</p>
7.1.1.d	<p>The following information on bait which is not classified as secondary species is recorded:</p> <ul style="list-style-type: none"> • Species; • Origin; • Production type (wild-caught or farmed). 	P-5	<p>Clarification: The intent of this requirement is to raise awareness of the origin of the bait used when it is not caught as a secondary species.</p> <p>Bait is considered a secondary species if caught by fishers within scope of the Certificate.</p>
7.1.1.e	The sustainability of the bait is evaluated, alternative bait options are used if needed.	P-5	<p>Clarification: This is applicable whether the bait species is classified as a secondary species or not.</p> <p>If the sustainability of the bait species is unknown (it is not covered by a certification or rating program, or there is no information on its stock health) use origin as a proxy for stock sustainability. The information on</p>

⁷ www.fishbase.org

⁸ www.sealifebase.org



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>the origin of the bait can support in the determination of sustainability status of the bait species.</p> <p>The steps towards more sustainable alternative bait options will be dependent on the fishery. If there are barriers to making immediate changes, there is documentation of alternative options considered, the challenges for making permanent changes, and clear, time bound steps that will be taken toward an alternative. This can be included as part of the Fishery Management Plan in 7.1.2.a.</p>
<p>Objective 7.1.2: An initial Fishery Management Plan has been developed and implemented which includes basic components of fisheries management.</p>			
<p>7.1.2.a</p>	<p>There is a Fishery Management Plan which includes all existing fishery management rules, as well as the components required in Module 7.</p>	<p>C-Y1</p>	<p>Clarification: Where there is an existing Fishery Management Plan in place developed by the government or an academic research group with a data collection and assessment program, the Certificate Holder or Fishing Association need not develop their own plan. In order to be considered equivalent, the third-party plan must cover the following CFS objectives: data collection, stock health, fishery habitat impacts, Illegal Unreported and Unregulated (IUU) Fisheries, and biodiversity and ecosystem protection. Any elements of Module 7 that are absent from an existing plan must be fulfilled.</p> <p>All data and information included in the Fishery Management Plan is based on the best scientific evidence available.</p> <p>By Year 1, the Fishery Management Plan includes:</p> <ul style="list-style-type: none"> • All existing fishery management rules; • The species lists (7.1.1.a) and primary species information in 7.1.1.b; • Stated goals for fishery management (7.1.2.b); and, • A data collection strategy (7.1.2.c). <p>By Year 3, the Fishery Management Plan includes the previous list from Year 1, and in addition:</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<ul style="list-style-type: none"> • The secondary and by-catch species information in 7.1.1.c; • The General Assembly approved action plan in 7.1.3.b; • The fishery management controls outlined in 7.1.3.c; • The precautionary approach (7.1.3.d); • The map described in 7.1.3.e. • A rebuilding strategy to respond if the stock assessment has revealed primary and secondary fish stocks are overfished (7.1.3.g); and, • If fisheries enhancement is used (7.1.3.h), a hatchery management, monitoring, and enforcement strategy is designed to ensure that science-based hatchery practices and levels of enhancement are followed and potential genetic and disease transmission concerns are mitigated. <p>In addition, the following progress criteria must be included in the Fishery Management Plan as soon as they are implemented, or by Year 6 at the latest:</p> <ul style="list-style-type: none"> • A strategy for IUU enforcement (7.1.4.b); and, • A strategy for ghost fishing gear (7.1.4.c). <p>If primary and/or secondary species are introduced (non-native), in addition to all the elements listed above, appropriate management strategies for introduced species are included in the management plan. These strategies support the control of non-natives when they threaten native species and ecosystems and may include:</p> <ul style="list-style-type: none"> • Mitigation strategies aimed at eradication, reversing establishment, or maintenance at low abundance, as deemed appropriate and feasible for that particular case; • Adaptation strategies that allow for recovery of species impacted by the non-native species; • Containment measures such as fishing at the boundaries of the stock to prevent further spread, and/or



No.	Compliance Criteria	Timeline	Intent and Clarification
			<ul style="list-style-type: none"> Provisions to prohibit further introductions of any other introduced species. <p>For transboundary stocks managed by multiple entities, the Fishery Management Plan identifies regional initiatives and entities participating (e.g. Regional Fisheries Management Organizations), when applicable.</p>
7.1.2.b	The Fishery Management Plan defines goals for fishery management.	C-Y1	<p>Clarification: Goals should take into consideration biological, ecological, economic, and social trade-offs and should be refined through the strategies outlined in Objective 7.1.2, 7.1.3, and 7.1.4 into operational objectives to ensure goals are reasonable, specific, and measurable.</p> <p>The Plan should include goals on the following:</p> <ul style="list-style-type: none"> Biological production and health of primary and secondary species' stocks; Reduction of negative environmental impacts of the fishery; Reduction of fishing pressure on the primary and/or secondary species and elimination of overfishing by vessels in scope of the Certificate in the event primary and/or secondary species are found to be overfished. The intent is that these goals help to define harvest control measures should overfishing be found for primary and secondary species as defined in Objective 7.3.3; Fishery management allows stocks to fulfill their ecological role and to maintain a functioning ecosystem and food web. This should be of particular focus for low-trophic level and forage species; Precautionary approach to manage uncertainty and risk; and, Engagement with other resource users, including fishing and non-fishing activities.
7.1.2.c	A data collection strategy is developed, covering fishery dependent data collection for primary, secondary and by-catch species, fishery independent data collection	C-Y1	<p>Clarification: Note that by Year 1, the strategy only has to be developed. It has to be implemented by Year 3 (7.1.3.a) once it is included in the Fishery Management Plan.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
	<p>for primary and secondary species, ecosystem data and for freshwater systems habitat quality data that:</p> <ul style="list-style-type: none"> • Incorporates both short-term and long-term data collection goals; • Lists the data required for appropriate initial stock assessment methods, reference points, and management actions; • Indicates how often each type of data shall be collected and the sample size, including justification; • Indicates where data are to be collected; • Identifies the trained individual(s) responsible for collecting each type of data, by location; • Defines roles and responsibilities; • Includes procedures explaining how each type of data is measured; • Describes the data quality assurance and quality control process; • Identifies emerging data collection needs and proposed responses to these needs; • Incorporates local ecological knowledge. • Is suitable for the type ecosystem being fished; and, • If there is fisheries enhancement, data are collected on wild and hatchery contributions to the stock (e.g. through hatchery marking) so that the status of the wild component of the stock alone can be assessed. 		<p>An onboard fishery observer must be included when required by local, national, and international laws and regulations.</p> <p>Ecosystem data must be included once the ecosystem monitoring strategy has been developed as part of 7.4.3.c. When possible, electronic monitoring shall be considered as an alternative to collect data.</p> <p>Quality assurance/quality Control processes should ensure that data forms are filled out correctly whether electronic or paper.</p> <p>Ensuring that data collected directly informs appropriate stock health metrics (whether that be a formal stock assessment or data limited metrics) hinges on a well thought out scientific data collection plan. It is important to explicitly link the stock assessment needs to the data collection requirements. Developing a holistic, integrated stock health and data collection plan takes time, and it is important to recognize this in the strategy.</p> <p>One data collection system with common data collection protocols and agreed upon terminology should be designed that satisfies multiple requirements for multiple entities (Fair Trade USA fishers, local/regional/country level management authorities, Fishery Improvement Projects, Regional Fishery Management Operations) collecting data on the fishery (covering spatial, temporal extents of sampling, as well as primary, secondary and by-catch species recording requirements). Ideally, a single, holistic data collection protocol should satisfy the highest denominator (most in-depth requirements) to ensure no data collection requirements are left unaccounted for following the design of a single strategy.</p> <p>Recommendations: See the FTUSA’s Guidance for the Resource Management Module Under the CFS for further guidance on data collection methods and best practices. In general, sampling should be conducted in a representative manner throughout the fishing season so</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>that the information collected reflects the total catch of the fishing activity in scope of the Certificate.</p> <p>The data collection strategy should consider the use of onboard fishery observers on larger fishing vessels (≥ 24 m in length) at sea for ten consecutive days or more. Collecting a portion of the data at the dock or landing site may be beneficial in some fisheries to help minimize the amount of data fishers are required to record while at sea.</p> <p>For freshwater fisheries it is recommended to integrate habitat quality data and monitoring in the data collection strategy and in the fishery management plan. Data collection to monitor changes in habitats and ecosystems, as well as Integrated Earth Observation System may be especially important in freshwater ecosystems.</p>
7.1.2.d	An illegal, unreported, and unregulated (IUU) fishing enforcement strategy. The strategy identifies and reports IUU fishing in the area to the relevant authorities.	C-Y1	<p>Clarification: The strategy must be developed in Year 1 but does not need to be included in the Fishery Management Plan immediately (see 7.1.4.b). Once included in the Fishery Management Plan, it must be fully implemented.</p>
7.1.2.e	The Fishery Management Plan is implemented.	C-Y1	<p>Clarification: Where there is an existing Fishery Management Plan in place, developed by government or academic research group with a data collection and assessment program, the Certificate Holder or Fishing Association must abide by the expectations laid out by the government and/or other program to demonstrate compliance with this requirement.</p>
<p>Objective 7.1.3: The Fishery Management Plan is expanded to cover additional aspects of fisheries management, and is reviewed and updated.</p>			
7.1.3.a	The data collection strategy, including the representative catch sampling plan required in 7.2.2.c, is included in the Fishery Management Plan.	C-Y3	



No.	Compliance Criteria	Timeline	Intent and Clarification
7.1.3.b	<p>The following are discussed during a General Assembly of Premium Participants meeting and included in the Fishery Management Plan:</p> <ul style="list-style-type: none"> • Incentives: Historical and current incentives that contribute to problematic fishing patterns to better understand the fishery; • Data collection: The importance and incentives for all required data collection. • Behavioral solutions: individuals suggest acceptable methods for improving fishery management; • Innovations: individuals propose innovations for improving fishery management; • Examples: Alternative solutions from similar fisheries are researched if no suggestions are made on behavioral solutions or innovations; and, • Action plan: Where appropriate, an action plan with timelines, activities and personnel assigned to each activity is created. Assignees agree to activities assigned. Numeric targets are identified. 	C-Y3	<p>Recommendations: By discussing historical and/or current incentives that contribute to problematic fishing patterns, fishers can better understand how changes to management may reduce landings or increase costs, increase or decrease fishing effort, or produce inefficiencies.</p> <p>Where the fishing activity is undertaken by Registered Fishers, this part of the General Assembly meeting can be opened up to fishers in the community that are not within scope of the Certificate.</p>
7.1.3.c	<p>For all primary and secondary species, the Fishery Management Plan includes:</p> <ul style="list-style-type: none"> • The use of target and limit reference points or appropriate proxies that define a limiting condition that indicates poor stock health; • One or more controls on fishing mortality; • A means for tracking changes in stock status; • Details for how changes in stock status will lead to modifications in harvest practices; and, 	C-Y3	<p>Recommendations: The appropriate proxy/proxies is/are dependent on the stock and can be as simple as a Catch Per Unit of Effort (CPUE) or Landing Per Unit of Effort (LPUE), length-based thresholds for finfish, a number of individuals per unit area for shellfish, or other metrics that indicates a state to achieve and a state to avoid.</p> <p>Examples of fishing mortality controls include:</p> <ul style="list-style-type: none"> • Input control rules to limit effort, e.g. <ul style="list-style-type: none"> ○ Spatial rules including setting up protected area or rotational closures; ○ Seasonal closures;



No.	Compliance Criteria	Timeline	Intent and Clarification
	<ul style="list-style-type: none"> A pre-agreement on how any decreases in landings associated with diminished stock abundance will be distributed amongst individuals. 		<ul style="list-style-type: none"> Requiring gear modifications; Restricting gear (in type and number); Daily trip limits/move-on provisions; and/or License limits. Output control rules to limit catch for some or all species caught in the fishery, e.g. <ul style="list-style-type: none"> Size limits; Total Allowable Catches; and/or Individual Transferable Quotas. <p>Climate change will affect species differently. Species that are more vulnerable to climate change must be monitored against climate-specific performance indicators and reference points, which in turn must be tied to climate resiliency goals as stated in the Fishery Management Plan.</p> <p>Harvest control rules and other management guidance must incorporate the effects of climate change on climate-vulnerable species.</p>
7.1.3.d	Controls on fishing mortality are determined using the precautionary approach to fisheries management. This approach is described in the Fishery Management Plan.	C-Y3	<p>Clarification: Recommended scientific advice concerning controls on fishing mortality and other management actions should be followed where possible.</p> <p>Recommendations: The precautionary approach incorporates inherent uncertainty in data, stock assessment results, and resilience of the stock. See the Fair Trade USA Glossary for additional details.</p> <p>Management should consider natural and anthropogenic induced shifts in stock productivity when determining appropriate management strategies and associated rules.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
7.1.3.e	The Fishery Management Plan includes a map depicting the fishing range of fishing activity in scope of the Certificate that has been developed using available information from local or national agencies and local fishers' knowledge.	C-Y3	<p>Clarification: See the Fair Trade USA Glossary for a definition of <i>Vulnerable Habitats</i>.</p> <p>The map includes:</p> <ul style="list-style-type: none"> • The fishing range of fishing activity in scope of the Certificate; • The spatial distribution of different habitat types, both inside and outside fishing areas; • Marine Protected Areas; • Vulnerable Habitats; • Benthic information, such as bathymetry (if available); and, • The location of any Fish Aggregating Devices (FADs) (when relevant for the fishery). <p>Recommendations: When possible, it is best practice to share the map with the local fishing management authorities.</p>
7.1.3.f	The Fishery Management Plan includes a strategy for by-catch that includes reduction measures and controls on mortality.	C-Y3	<p>Clarification: The strategy can include the reduction of by-catch and/or mortality of by-catch post capture.</p> <p>The Certificate Holder or the Fishing Association is responsible for developing by-catch strategies and must come up with their own consequences for exceeding any by-catch limit that they impose on themselves. These consequences are agreed upon between the Certificate Holder and the Fishing Association and are included in the Fishing Association Rules (see 1.2.2.a).</p> <p>Recommendations: Fair Trade USA encourages community-wide efforts to reduce impacts to ETP species and foster marine stewardship through the development of or participation in local or regional stranding networks or other community engagement programs. Any by-catch reduction program should focus on rewarding Registered Fishers' or hired-labor fishers' good behavior and best practice rather than on penalties.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Co-designed by-catch management strategies can include Individual Transferable Quota (ITQ) systems for primary or secondary species or by-catch of ETP species. For example, specific limit thresholds can be put in place that when reached a fishery must cease operation for a predetermined amount of time. As the occurrence of ETP species may well be seasonal and vary throughout the year as does fishing activity, these limits can be dynamic (e.g. month-to-month) if there is sufficient prior knowledge about the occurrence of ETP species.</p>
7.1.3.g	<p>The Fishery Management Plan includes a rebuilding strategy with stated goals to allow the stock health of primary and/or secondary species to improve within a reasonable timeframe if the stock of primary and/or secondary species is found to be overfished.</p>	C-Y3	<p>Clarification: The intent of this strategy is to proactively prepare a strategy for rebuilding should the stock of primary and/or secondary species be found to be overfished as per the stock assessments required in 7.3.2.a and 7.3.2.c.</p> <p>Reasonable timeframe (for rebuilding): Dependent on the species' biology and degree of depletion, but generally within 10 years, except in cases where the stock could not rebuild within 10 years even in the absence of fishing. In such cases, a reasonable timeframe is within the number of years it would take the stock to rebuild without fishing, plus one generation, as described in Restrepo et al. (1998).⁹</p> <p>The rebuilding strategy should not be dependent on stocking/fisheries enhancement.</p> <p>Recommendations: FAO's 2018 two-part extensive review of rebuilding fisheries includes many case studies that can be referenced as examples¹⁰</p>
7.1.3.h	<p><i>Applicable to enhanced fisheries:</i> If fisheries enhancement is used, the Fishery Management Plan</p>	C-Y3	<p>Clarification: The intent of this plan is to mitigate or prevent the following potential concerns with hatcheries/fisheries enhancement:</p>

⁹ Monterey Bay Aquarium. 2014. *Seafood Watch Criteria for Fisheries, Glossary. Version March 31, 2014. Retrieved from http://www.seafoodwatch.org/cr/cr_seafoodwatch/content/media/MBA_SeafoodWatch_CaptureFisheriesMethodology.pdf*

¹⁰ Garcia, S. et al. *Rebuilding of marine fisheries (1+2). (2018).*



No.	Compliance Criteria	Timeline	Intent and Clarification
	<p>includes a hatchery management, monitoring, and enforcement strategy to ensure that science-based enhancement hatchery practices and levels of enhancement are followed, and potential genetic and disease transmissions concerns are mitigated.</p>		<ul style="list-style-type: none"> • Competition with wild stocks, leading to density-dependent mortality; • Increased risk of overfishing the wild stock by enabling increased fishing effort and masking declines; • Reduction of genetic diversity or fitness in wild stocks; and, • Disease transmission. <p>Recommendations: Hatchery production and releases should be limited to a level that is unlikely to harm wild populations, and that is based on biological carrying capacity and degree of density-dependence in the fishery. General guidance for salmon fisheries (in the absence of information to suggest another strategy) is to limit hatchery input to less than 20% of wild production. Enhancements should be adhered to.</p> <p>Strategies to reduce the risk of overfishing wild stocks may include: locating hatcheries and release sites away from significant wild populations to allow for harvesting them without impacting the wild populations; marking hatchery-released individuals, and promoting differential harvesting strategies or use of gear that allows for high success with live release of wild individuals; etc, as applicable to the species and fishery (e.g., marking and selective harvest are applicable for salmon and some other finfish fisheries).</p> <p>To preserve genetic diversity and adaptive fitness of the wild population, hatcheries should be designed to either:</p> <ul style="list-style-type: none"> • Maintain genetic variability in the hatchery stock, e.g. by using a large and diverse broodstock, using local brood sources, and avoiding culturing a broodstock for multiple generations (i.e., an integrated management strategy); or, • Prevent interbreeding of hatchery and wild stocks, e.g. through the use of selective differential harvests for salmon (i.e. a segregated hatchery strategy). <p>If management uses a segregated hatchery management strategy, care must be taken to ensure that there is little straying or interbreeding with hatchery individuals (in salmon fisheries management terminology, the</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>proportion of hatchery-origin spawners on natural spawning habitat, or pHOS, should be very low, usually less than 5% of the natural spawning population).</p> <p>All fisheries with significant hatchery use should require a disease and health management plan for hatcheries, which includes certified health inspections of enhanced fish for bacterial and viral infections and parasites prior to release that do not exceed levels found in wild populations.</p>
7.1.3.i	The Fishery Management Plan is reviewed at a minimum annually and updated where necessary to ensure the management plan is reaching the stated goals.	C-Y3	<p>Clarification: Review and update of the Fishery Management Plan takes place at a minimum every three years.</p> <p>If needed due to annual reviews, the Fishery Management Plan must respond in a timely manner to scientific evidence or changes in regulation which result in the need to update the Plan in order to achieve its goals.</p> <p>Where an existing fisheries management plan developed by government or academic research group with a data collection and assessment program, is being used, the cadence of review of the Fisheries Management Plan is at the discretion of these entities and not the responsibility of the Certificate Holder or Fishing Association. See 7.1.2.a for eligibility of an external plan.</p> <p>Recommendations: Where possible, seek expert opinion from neutral fisheries management experts to ensure the Fishery Management Plan elements are likely to succeed.</p>
7.1.3.j	The data on fishing trip records from 7.2.2.f are used for the annual updates of the Fishery Management Plan.	C-Y3	
7.1.3.k	The goals included in the Fishery Management Plan are reviewed and updated as needed.	C-Y3	<p>Clarification: The goals must be reviewed every three years. Appropriate changes must be made to the goals according to the review,</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>however if the review demonstrates the existing goals are still appropriate, they do not need to be changed.</p> <p>Recommendations: See the Guidance for the Resource Management Module Under the CFS.</p>
Objective 7.1.4: The Fishery Management Plan is complete and fully implemented.			
7.1.4.a	The Certificate Holder provides evidence that the rebuilding plan in 7.1.3.g is working based on data collected in the fishery. This may require updating the representative sampling protocol in the data collection strategy.	C-Y6	Clarification: This criterion is only applicable if there is a need for a rebuilding plan as the stock of the primary and/or secondary species is found to be overfished.
7.1.4.b	The IUU enforcement strategy has been included in the Fishery Management Plan.	P-5	Clarification: This means the strategy developed in Year 1 (7.1.2.c) must be implemented according to the components defined within, once included into the Fishery Management Plan.
7.1.4.c	The Fishery Management Plan includes a strategy to minimize, and where physically possible, recover ghost fishing gear.	P-5	<p>Clarification: The strategy includes ways to prevent, mitigate and recover ghost fishing gear. The details on the strategy will depend on the fishing gear used, and includes, but is not limited to, requirements about:</p> <ul style="list-style-type: none"> • Reducing soak times; • Gear use limits in high-risk areas and during high-risk times; • Marking and identification of fishing gear; • Responsible storage of gear; • Use of fishing gear designed to stop fishing after control is irretrievably lost; • Reporting of lost gear, where applicable; and, • Guidance on lost/abandoned gear location and retrieval.



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>See the Global Ghost Gear Initiative¹¹ for resources and additional information on how to best develop this strategy.</p> <p>Recommendations: See the Fair Trade USA Glossary for additional details on ghost fishing gear. It is best practice to carry out an assessment of potential risks of derelict (discarded, lost, or abandoned) fishing gear in the marine environment. The assessment should identify if derelict gear is being generated by fishing activity in scope of the Certificate, and its potential impacts on the marine environment.</p>
7.1.4.d	Citizen science programs are created to run parallel to the fishery’s activity and contribute directly to data generation.	BP	<p>Clarification: As this requirement is Best Practice, certification will not be affected if this is not implemented. This is an aspirational part of the program, and if identified as a need, Premium may be spent to implement this requirement.</p> <p>The intent of this program is to support the collection of fishery independent data (see 7.2.2.h).</p> <p>Recommendations: Examples include community monitoring of fishing zones and no-take zones.</p>
Sub-module 7.1: Total possible points		20	

¹¹ <https://www.ghostgear.org/>



SUB-MODULE 7.2: Data Collection

In a hired-labor situation, the employer is responsible for compliance with this sub-module, in the case of Registered Fishers the Fishing Association is responsible, although the Certificate Holder is ultimately accountable to oversee compliance with these requirements as part of the Internal Management System in Module 9.

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 7.2.1: There is a system in place to collect catch data necessary to comply with the CFS.			
7.2.1.a	The Certificate Holder completes a preliminary survey to understand data collection needs for the fishery.	C-Y0	<p>Clarification: This can be through a formal consultation with a regional Fair Trade Field Coordinator. The intent is that Fair Trade USA and/or Fair Trade USA program implementers can provide standardized advice on data collection for the fishery.</p> <p>This includes information on ETP species.</p>
7.2.1.b	A data collection system is in place and the data are accessible to all Registered Fishers or hired-labor fishers, and resource managers. Methods for making data available to individuals shall take into consideration languages and literacy of the individuals.	C-Y1	<p>Clarification: The data collection system must inform goals as stated in the Fishery Management Plan (see 7.1.2.c).</p> <p>Recommendations: The data collection system should be based primarily on the Fishery Management Plan (7.1.2.a). It can be logbooks or another type of data collection system. There is no obligation to use written logbooks if alternative or more sophisticated systems that achieve the same ends are in place.</p> <p>Resource managers may include representatives from NGOs, government agency, and/or academic institutions.</p> <p>Collecting a portion of the data at the dock or landing site may be beneficial in some fisheries to help minimize the amount of data captains and crew members are required to record while at sea.</p> <p>To facilitate identification of species in fisheries with a high diversity of catch species, a photo identification manual for all species encountered in the fishery is recommended.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Guidance on technology integration with data collection is included in the Guidance for the Resource Management Module Under the CFS addressing Remote Electronic Monitoring (REM) and catch recording applications and covers correct usage, limitations, and associated training needs. Methods should ensure that data collected can be stored on devices and can be passed easily between vessels to onshore staff or be uploaded to the cloud upon returning to shore.</p>
7.2.1.c	<p>Consequences for incomplete data collection are agreed upon during a General Assembly meeting. The data collection system is reviewed annually and updated where necessary to ensure the system is functioning effectively.</p>	C-Y1	
<p>Objective 7.2.2: Data is collected on primary species, secondary species, and by-catch species, according to a representative sampling plan. Fishery-independent data supports fishery dependent data.</p>			
7.2.2.a	<p>Vessels record trip data for 100% of fishing trips. Records shall include:</p> <ul style="list-style-type: none"> • Date of trip; • Fishing location; • Time out/time in – duration of the trip; • Port/landing site; • Vessel name; • Captain(s)/skippers name(s); • Crew member names and age if the individual is under 18; • Fishing licenses (license numbers); and, • Type(s) of all gear(s) used during the trip. 	C-Y1	<p>Clarification: If the fishery uses multiple gears, fishing effort by gear type must be recorded (i.e., soak time and number of traps or time and number of trawls). This includes recording fishing trips that use Fish Aggregation Devices (FADs), separately from open-ocean fishing trips (non-FAD trips).</p> <p>Recommendations: This can be part of an electronic traceability system if there is one.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
7.2.2.b	<p>During fishing trips, the following catch data on primary and secondary species is recorded:</p> <ul style="list-style-type: none"> • Species; • Cumulative weight or number of individuals landed for each species; • Endangered, threatened, or protected (ETP) classification for each species, where appropriate; • Individual size metrics: length for finfish, carapace length for crustacea, and number of growth rings for bivalves for a sampled subset of the catch; and, • Individual weights for a sampled subset of the catch. 	C-Y1	<p>Clarification: Primary species may not be classified as ETP. When secondary species are classified as ETP, all ETP laws must be followed.</p> <p>This data is collected in accordance with the representative catch sampling plan in 7.2.2.c.</p> <p>Recommendations: The type of data to be collected will depend largely on the stock assessment needs. However, data should be sufficient to quantify landings caught by fishers within scope of the Certificate (by weight or number of individuals, and by species). This information is needed to assess potential fishery impacts to immature fish, and to estimate fishery landings in terms of both total weight and number of fish. Subsamples for length, weight, and other size measurements should be carried out in a standardized and scientifically robust fashion using a statistically sound representative sampling technique.</p> <p>If large-bodied, highly vulnerable species are targeted, length and weight measurements for <i>all</i> catch of these species should be recorded. The Productivity-Susceptibility Analysis (PSA) can be used to determine if species are highly vulnerable, especially if IUCN rating is data deficient.</p>
7.2.2.c	<p>There is a representative catch sampling plan appropriate for the fishery, completed or under design, that may be partially implemented. Estimated catch of primary and secondary species reflects a substantial portion of total fishing trips based on that sampling plan, or data is collected for at least 50% of fishing trips by vessels in scope of the Certificate.</p>	C-Y1	<p>Clarification: The intent is to provide estimates of total catch of primary and secondary species caught by fishers where this information is not already available.</p> <p>Partially implemented means sampling has begun, but is not necessarily at a level that reaches the representative sample. By Year 3 the sampling must have progressed (7.2.2.f) and by Year 6 the representative sample must be fulfilled (7.2.2.g)</p> <p>The sampling methodology determined by a local, national, or international government, or academic research group which informs the resource management can be accepted. An alternative sampling</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>methodology must demonstrate it is representative of the total catch by vessels in scope of the Certificate in order to be accepted.</p> <p>A representative catch sampling plan takes temporal and spatial considerations into account, factoring in practices over the range of the fishing season, the range of the fleet/fishing grounds and the extent/range of the stock(s) fished. Refer to the FAO guidance on designing a fishery catch sampling plan appropriate for small and medium scale fisheries¹². A representative sampling plan specific to the fishery needs to be designed with a technical expert. The representative catch sampling plan is specified in the Fishery Management Plan in 7.1.2.a.</p> <p>For fisheries that do not have another sampling plan designed, at a minimum, 50% of the fishing trips provide information (data gathered either at sea and/or from the dock or landing sites) in Year 1, with all of the catch of highly vulnerable, large-bodied species sampled, and with a plan to increase the percentage of fishing trips covered under the data collection system over time (see 7.2.2.f and 7.2.2.g).</p> <p>The data from the sampled fishing trips is extrapolated to estimate total catch (cumulative weight or numbers of fish) by species.</p> <p>See Guidance for the Resource Management Module Under the CFS.</p>

¹² Sparre, P.J. Manual on sample-based data collection for fisheries assessment. Examples from Viet Nam. FAO Fisheries Technical Paper. No. 398. Rome, FAO. 2000. 171p. Available at <http://www.fao.org/3/x8923e/X8923E00.htm>.



No.	Compliance Criteria	Timeline	Intent and Clarification
7.2.2.d	<p>During fishing trips, the following catch data on primary and secondary species is recorded:</p> <ul style="list-style-type: none"> Measurements of any parameters required by and directly linked to the appropriate stock assessments methodology chosen in 7.3.2.a (determining stock status for primary species) and 7.3.2.c (determining stock status for secondary species); including data on discards of primary and secondary species; and, Any other metrics appropriate for assessing health of the stock (such as recording pregnant/berried individuals). 	C-Y3	<p>Clarification: This data is collected in addition to the data required in the representative catch sampling plan and recorded in accordance with the representative catch sampling plan in 7.2.2.c.</p> <p>Primary species may not be classified as ETP. When secondary species are classified as ETP, all ETP laws must be followed.</p> <p>Recommendations: The type of data to be collected will depend largely on the stock assessment needs. However, data should be sufficient to quantify landings caught by fishers in scope of the Certificate (by weight or number of individuals, and by species). This information is needed to assess potential fishery impacts to immature fish, and to estimate fishery landings in terms of both total weight and number of fish. Subsamples for length, weight, and other size measurements should be carried out in a standardized and scientifically robust fashion using a statistically sound representative sampling technique.</p> <p>If large-bodied, highly vulnerable species are targeted, length and weight measurements for <i>all</i> catch of these species should be recorded. The Productivity Susceptibility Analysis can be used to determine if species are highly vulnerable, especially if the IUCN rating is data deficient.</p>
7.2.2.e	<p>During all fishing trips a subset of by-catch is sampled, and the following data is collected according to a scientifically valid sub-sampling methodology:</p> <ul style="list-style-type: none"> Species; Cumulative weight or number of individuals landed for each species; Endangered, threatened, or protected (ETP) classification for each species, where appropriate; 	C-Y3	<p>Clarification: For ETP species, this data collection is conducted in a way that does not jeopardize survival of the individuals sampled.</p> <p>The data are used for the annual updates of the strategy for by-catch in 7.1.3.f.</p> <p>Registered Fishers or hired-labor fishers may require educational training on appropriately documenting catch data. The Certificate Holder is responsible for covering the training cost.</p> <p>Reporting of ETP species will be kept private between Registered Fishers and the Fishing Association or hired-labor fishers and the</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
	<ul style="list-style-type: none"> Individual size metrics for a sub-sample: length for finfish, carapace length for crustacea, and number of growth rings for bivalves; and, Individual weights for a sub-sample. 		<p>Certificate Holder, and will not be reported to authorities, unless legally mandated to do so, and will be used only at the scale of the whole fishery to reduce ETP by-catch.</p> <p>Recommendations: For common species, sub-sampling approximately 10% of the catch has been found to yield reasonable estimates for by-catch biomass in trawl fisheries, though applicability to other gear types is not certain¹³. Sub-samples should be randomly selected to ensure scientific applicability.</p> <p>For rare species, a large subsample may be required to accurately estimate by-catch data; however, a larger subsample should only be taken in cases where it does not potentially increase incidental species' mortality (i.e., in cases where by-catch is already dead or live release is not possible, or in cases where handling mortality is very low).</p> <p>To ensure that data collection does not jeopardize survival of ETP species, in lieu of identification on vessels, photo documentation using handheld devices/cameras may be conducted with species identification carried out onshore in order to minimize handling/interaction time and reduce post-release mortality.</p> <p>If By-catch Reduction Devices (BRDs) are used in the fishery and ETP species are released from the gear prior to being brought on board, interactions should be documented.</p>
7.2.2.f	Implementation of the representative catch sampling plan has progressed over time, and estimated catch of primary and secondary species reflects a substantial portion of total fishing trips by vessels in scope of the Certificate.	C-Y3	<p>Clarification: This criterion builds on criterion 7.2.2.c at Year 3. See information about representative sampling in the Intent and Clarification of 7.2.2.c.</p> <p>For fisheries that do not have another sampling plan designed, data is collected for at least 75% of the fishing trips (data gathered either at sea</p>

¹³ Silburn, J., Johnson, D. D., Booth, D. J., & Taylor, M. D. (2020). The effect of subsampling when monitoring by-catch in a penaeid trawl fishery. *Fisheries Research*, 224, 105459: <https://www.sciencedirect.com/science/article/pii/S016578361930314>.



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>and/or from the dock or landing sites) by Year 3, with all of the catch of highly vulnerable, large-bodied species sampled, and with a plan to increase the percentage of fishing trips covered under the data collection system over time (see 7.2.2.g).</p> <p>The requirement to collect data on 75% of trips at a minimum replaces the 50% threshold from 7.2.2.c.</p>
7.2.2.g	<p>The representative catch sampling plan is fully implemented, and estimated catch of primary and secondary species reflects a substantial portion of total fishing trips by vessels in scope of the Certificate.</p>	C-Y6	<p>Clarification: This criterion builds on criteria 7.2.2.c and 7.2.2.f at Year 6. See information about representative sampling in the Intent and Clarification of 7.2.2.c.</p> <p>Substantial portion means that data is collected within 10% of what is considered optimal in the representative catch sampling plan. For example, if the representative catch sampling plan indicates that catch data is needed for 70% of fishing trips in order to provide enough data, by Year 6, they would be collecting data on at least 63% of fishing trips.</p> <p>For fisheries that do not have another sampling plan designed, data is collected for at least 90% of the fishing trips (data gathered either at sea and/or from the dock or landing sites) by Year 6, with all of the catch of highly vulnerable, large-bodied species sampled.</p> <p>The requirement to collect data on 90% of trips at a minimum replaces the 75% threshold from 7.2.2.f.</p>
7.2.2.h	<p>Fishery independent data is collected annually for all primary species, including individual length (for finfish) and weight measurements if needed for stock assessment, and this data collection entails scientifically designed stratified sampling protocols.</p>	P-5	<p>Clarification: Fishery independent data includes abundance measurements and measurements of any parameters required by and directly linked to the appropriate stock assessments chosen in 7.3.2.a (determining stock status for primary species) and 7.3.2.c (determining stock status for secondary species).</p> <p>Fishery independent data collection must be proportionate to the scale and intensity of the fishing operation and the range of the stock relative to the footprint of the fishery.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Collection of fishery-independent data can be carried out by Registered Fishers, crew members and/or hired-labor fishers. It does not have to be done by a third-party. See the Guidance for the Resource Management Module Under the CFS for more details on collection of fishery independent data.</p> <p>Recommendations: Scientifically designed stratified sampling protocols should include sampling across the range of a gear haul (i.e. every nth individual rather than the first 5% for example) and cover the full range of fishing locations (i.e. inshore vs offshore, across all habitat types fished) with sampling throughout the fishing season.</p>
<p>Objective 7.2.3: Effort data is collected in order to estimate total fishing pressure of primary and secondary species of fishing activity within and outside scope of the Certificate.</p>			
7.2.3.a	Effort data is regularly collected for fishing activity within scope of the Certificate on stocks of primary and/or secondary species in the fishery.	C-Y1	<p>Clarification: The effort data is used to develop a baseline estimate of total fishing pressure on primary and secondary species if there is no current measure of overfishing available for the stock(s).</p> <p>The effort data estimate is updated in Year 3 as per 7.2.3.b.</p> <p>Note that if there is no current measure of overfishing available for the stock, this data is to be used to estimate total catch effort and is to be used in combination with the Productivity Susceptibility Analysis to get an indication of overfishing status as per 7.3.1.b.</p> <p>See Guidance for the Resource Management Module Under the CFS.</p> <p>Recommendations: If there is a determined overfishing status, this measure can help design harvest control measures required in 7.3.3.a and 7.3.3.d.</p> <p>The baseline estimates may be based on the number of vessels, the numbers of active fishers and/or the number of landing records along with catch records. In the case where the number of vessels is</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			unknown, crude estimates may be gained from vessel counts from shore or using aerial/satellite imagery (either snapshot or temporal).
7.2.3.b	The effort data collection method in 7.2.3.a is updated.	C-Y3	<p>Clarification: The intent of this criterion is to build on the baseline estimate from 7.2.3.a and is an update of that estimate. The update can be made by adding additional methods to collect effort data or improving on the current method. This update must happen at least every 3 years.</p> <p>Recommendations: Estimates can be based upon simple vessel counts through shore-based observation, aerial/satellite imagery or vessel registrations via satellite or counts of the number of active fishers and/or the number of landing records along with any catch records. Tracking devices for FT vessels can be implemented incrementally to increase the coverage as the certification process progresses (with specific milestones every 3 years i.e., % increments of the fleet covered).</p>
7.2.3.c	Effort data is regularly collected for fishing activity by vessels and fishers that are not within scope of the Certificate that impact shared stocks of primary and/or secondary species in the fishery.	P-3	<p>Clarification: The effort data collected is used to strengthen the baseline estimate in 7.2.2.b of total fishing pressure on primary and secondary species. This new effort data should contribute to the estimate updated at least every 3 years.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			See the Guidance for the Resource Management Module Under the CFS for more information.
Objective 7.2.4: Systems are in place to control the quality of catch data.			
7.2.4.a	At sites where data are collected, a system is in place via designated data collectors and data collection systems to control data quality.	C-Y1	<p>Clarification: Data shall be both accurate and precise.</p> <p>Recommendations: To assure accuracy and precision, data should be consistent in the names used for species, units of measurement, consistency in the methods used to measure and weight the sample. Data collectors should be trained in species identification and methods of data collection, see 7.8.1.b for more details.</p> <p>Where necessary, adjustments are made to the data collection. Such adjustments may include additional educational training for Registered Fishers or hired-labor fishers on data collection and documentation.</p>
7.2.4.b	A data management system is in place to facilitate easy analysis of catch data necessary to comply with the CFS.	C-Y1	<p>Recommendations: Guidance on post-processing of electronic data is provided in the Guidance for the Resource Management Module Under the CFS.</p>
Sub-module 7.2: Total possible points		8	

SUB-MODULE 7.3: Stock Health

No.	Compliance Criteria	Timeline	Intent & Clarification
Objective 7.3.1: If overfishing is occurring, there is a strategy in place and clear progress is being made to eliminate overfishing.			



No.	Compliance Criteria	Timeline	Intent & Clarification
7.3.1.a	A Productivity and Susceptibility Analysis is conducted to determine vulnerability of the primary species stock to fishing pressure.	C-Y1	<p>Clarification: While any PSA method is acceptable, only one PSA method is consistently used over the lifetime of the certification for all species in the fishery.</p> <p>Recommendations: It is best practice to use the PSA in conjunction with local expert knowledge and/or any available empirical data to temper or corroborate scores. If a species is known to be highly vulnerable (i.e. if it has an IUCN rating of vulnerable or worse), high vulnerability can be assumed, and the PSA not performed.</p> <p>See the CFS Productivity and Susceptibility Analysis: Vulnerability to Fishing Pressure for additional details.</p>
7.3.1.b	Overfishing status for all primary species has been determined through a peer-reviewed and tested assessment method based on available data.	C-Y3	<p>Clarification: Results of stock assessments should be included in the Fishery Management Plan.</p> <p>If overfishing is unknown, in addition to the PSA, the Certificate Holder must estimate overall fishing effort on a stock and estimate the contribution of fishing activity in scope of the Certificate to overall fishing effort using simple effort calculations, using data collected in 7.2.3.a by Year 1 and updated by Year 3 with data collected in 7.2.3.b.</p> <p>Recommendations: It is possible for overfishing to be occurring, but the fish stock is not overfished.</p> <p>If there is fisheries enhancement, the determination of overfishing should be based on the natural-origin population only and considered unknown if assessments do not distinguish between the natural population and the hatchery or stocking origin portion of the population.</p>
7.3.1.c	A Productivity and Susceptibility Analysis is conducted to determine vulnerability of the secondary species stock to fishing pressure.	C-Y1	<p>Clarification: While any PSA method is acceptable, only one PSA method is consistently used over the lifetime of the certification for all species in the fishery.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>Recommendations: It is best practice to use the PSA in conjunction with local expert knowledge and/or any available empirical data to temper or corroborate scores. If a species is known to be highly vulnerable (i.e. if it has an IUCN rating of vulnerable or worse), high vulnerability can be assumed, and the PSA not performed.</p> <p>See the Fair Trade USA CFS Productivity and Susceptibility Analysis: Vulnerability to Fishing Pressure for additional details.</p>
7.3.1.d	Overfishing status for all secondary species has been determined through a peer-reviewed and tested assessment method based on available data.	P-5	<p>Clarification: Results of stock assessments should be included in the Fishery Management Plan.</p> <p>If overfishing is unknown, in addition to the PSA, the Certificate Holder must estimate overall fishing effort on a stock and estimate the contribution of fishing activity within scope of the Certificate to overall fishing effort using simple effort calculations, using data collected in 7.2.3.a by Year 1 and updated by Year 3 with data collected in 7.2.3.b.</p> <p>If there is fisheries enhancement, the determination of overfishing should be based on the natural-origin population only, and considered unknown if assessments do not distinguish between the natural population and the hatchery or stocking origin portion of the population.</p> <p>Recommendations: The intent of this criterion is that in addition to an analysis determining overfishing status for primary species (required in 7.3.1.b), by Year 6 or earlier, there is an analysis determining overfishing status for secondary species as well.</p> <p>It is possible for overfishing to be occurring, but the fish stock is not overfished.</p>
<p>Objective 7.3.2: Stock status for primary and secondary species is assessed.</p>			



No.	Compliance Criteria	Timeline	Intent & Clarification
7.3.2.a	Stock status has been determined for all primary species through a peer-reviewed and tested stock assessment method based on available data.	C-Y3	<p>Clarification: Results of stock assessments should be included in the Fishery Management Plan.</p> <p>If there is fisheries enhancement, the determination of stock status should be based on the natural-origin population only and considered unknown if assessments do not distinguish between the natural population and the hatchery or stocking origin portion of the population.</p> <p>Recommendations: For additional options for data-limited fisheries, see the Fair Trade USA Data-Limited Stock Assessment Decision Tree in the Guidance for the Resource Management Module Under the CFS.</p> <p>It is possible for a fish stock to be overfished even though overfishing is no longer occurring.</p> <p>Appropriate data-limited stock assessments should be determined as part of a larger inclusive participatory process involving fishers in scope of the Certificate that links the selection of stock assessments to data collection requirements for 7.2.2.b (fishery dependent) and 7.2.2.h (fishery independent) metrics to inform stock health. Given the uncertainty associated with data-limited stock assessment methods it is prudent to use more than one metric and that each rely on distinct data streams.</p> <p>For data-limited multi-species fisheries it may be appropriate to assess whether stocks are overfished using alternative risk-based approaches. For example, in indicator species approaches, like species are assessed as assemblages based on a selected set of species rather than assessing overfished status on a species-by-species basis. Other multispecies approaches may also be appropriate, such as combining length-based metrics for key species with a multispecies maximum sustainable yield based on total fishable biomass calculated from</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>community biomass surveys as described in McClanahan 2011¹⁴ and McClanahan <i>et al.</i> 2018¹⁵</p> <p>It is best practice to have the stock assessment peer-reviewed by a qualified third-party such as an academic researcher, a fisheries management expert, or government representative.</p>
7.3.2.b	Stock assessments are updated at least every three years.	C-Y3	<p>Recommendations: This applies to both primary and secondary species every third year after the initial assessment. However, the data needed for stock assessments should be collected annually.</p>
7.3.2.c	Stock status has been determined for all secondary species through a peer-reviewed and tested stock assessment method based on available data.	P-5	<p>Clarification: Results of stock assessments must be included in the Fishery Management Plan.</p> <p>If there is fisheries enhancement, the determination of stock status should be based on the natural-origin population only and considered unknown if assessments do not distinguish between the natural population and the hatchery or stocking origin portion of the population.</p> <p>The intent of this criterion is that in addition to an analysis determining stock status for primary species (Year 3), at a minimum by Year 6 there is an analysis determining stock status for secondary species as well.</p>

¹⁴ McClanahan, T. R. *et al.* Critical thresholds and tangible targets for ecosystem-based management of coral reef fisheries. *PNAS* **108**, 17230–17233 (2011).

¹⁵ McClanahan, T. R. Multicriteria estimate of coral reef fishery sustainability. *Fish and Fisheries* **19**, 807–820 (2018).



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>Recommendations: For additional options for data-limited fisheries, see the Fair Trade USA Data-Limited Stock Assessment Decision Tree in the Guidance for the Resource Management Module Under the CFS.</p> <p>It is possible for a fish stock to be overfished even though overfishing is no longer occurring.</p> <p>Appropriate data-limited stock assessments should be determined as part of a larger inclusive participatory process involving fishers in scope of the Certificate that links the selection of stock assessments to data collection requirements for 7.2.2.b (fishery dependent) and 7.2.2.h (fishery independent) metrics to inform stock health. Given the uncertainty associated with data-limited stock assessment methods it is prudent to use more than one metric that each rely on distinct data streams.</p> <p>For data-limited multi-species fisheries it may be appropriate to assess whether stocks are overfished using alternative risk-based approaches. For example, in indicator species approaches, like species are assessed as assemblages based on a selected set of species rather than assessing overfished status on a species-by-species basis. Other multispecies approaches may also be appropriate, such as combining length-based metrics for key species with a multispecies maximum sustainable yield based on total fishable biomass calculated from community biomass surveys as described in McClanahan 2011¹⁶ and McClanahan <i>et al.</i> 2018¹⁷</p> <p>It is best practice to have the stock assessment peer-reviewed by a qualified third-party such as an academic researcher, a fisheries management expert, or government representative.</p>
<p>Objective 7.3.3: Fishers within scope of the Certificate implement harvest control measures and make progress to reduce fishing pressure and rebuild depleted stocks.</p>			

¹⁶ McClanahan, T. R. *et al.* Critical thresholds and tangible targets for ecosystem-based management of coral reef fisheries. *PNAS* **108**, 17230–17233 (2011).

¹⁷ McClanahan, T. R. Multicriteria estimate of coral reef fishery sustainability. *Fish and Fisheries* **19**, 807–820 (2018).



No.	Compliance Criteria	Timeline	Intent & Clarification
7.3.3.a	<p>If there is evidence that:</p> <ul style="list-style-type: none"> • overfishing is occurring for primary species; • stocks of primary species are overfished; • stock status cannot be determined; or, • the PSA score is >2.64, <p>the Certificate Holder and/or the Fishing Association has defined management outcomes and accordingly set harvest control measures appropriate to the species to reduce fishing mortality to primary species and end overfishing and/or rebuild stocks.</p>	C-Y3	<p>Clarification: Fishery management measures should be implemented as part of the Fishery Management Plan independent of this Objective, however, the harvest control measures required in this Objective are intended to specifically address depleted stocks.</p> <p>Harvest control measures must be based on life history characteristics of the species, susceptibility to the gear, climate vulnerability, and should be scientifically backed and/or supported by local knowledge. These measures must be included in the Fishery Management Plan (7.1.3.c).</p> <p>Recommendations: Example harvest management measures include:</p> <ul style="list-style-type: none"> • Input control rules to limit effort, e.g. <ul style="list-style-type: none"> ○ Spatial rules including setting up protected area or rotational closures, ○ Seasonal closures, ○ Requiring gear modifications, ○ Restricting gear (in type and number), ○ Daily trip limits/move-on provisions, and/or ○ License limits. • Output control rules to limit catch for some or all species caught in the fishery, e.g. <ul style="list-style-type: none"> ○ Size limits, ○ Total Allowable Catch, and/or ○ Individual Transferable Quotas. <p>Due to climate change, management measures may require actions beyond harvest control measures as species' ranges shift across international borders. The use of an adaptive management framework is highly recommended.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
7.3.3.b	The employer and/or Fishing Association provides evidence that the harvest control measures described in 7.3.3.a are enforced and there is systematic compliance by fishers within Certificate scope.	C-Y3	<p>Clarification: Fishery management measures should be implemented as part of the Fishery Management Plan independent of this Objective, however, the harvest control measures required in this Objective are intended to specifically address depleted stocks.</p> <p>The enforcement mechanisms must be included in the Fishery Management Plan as part of 7.1.3.c.</p> <p>This may be self-enforcement by the Fishing Association Where there is a Fishing Association, in its rules (1.2.2.a), the Fishing Association defines the level of 'systematic compliance' for the fishery at no less than 90% of data collection sample defined in 7.2.2.c and defines penalties for non-compliance. 100% of the non-compliance cases must be resolved by the Fishing Association.</p> <p>Where hired-labor fishers undertake fishing activity within scope of the Certificate, expectations to abide by harvest management controls are outlined in contracts and understood by hired-labor fishers. Non-compliance by hired-labor fishers will be recorded and corrective actions taken.</p>
7.3.3.c	If the fishers within scope of the Certificate are not the only fishers impacting primary species, the employer and/or Fishing Association provides evidence that they are engaging with these fishers out of scope to encourage the adoption of harvest control measures described in 7.3.3.a.	C-Y3	<p>Clarification: Fishery management measures should be implemented as part of the Fishery Management Plan independent of this Objective, however, the harvest control measures required in this Objective are intended to specifically address depleted stocks.</p> <p>If the stock is highly migratory and/or crosses jurisdictions, the focus of this outreach can be centered in the local community. Information about the measures chosen and reasoning for their choosing shall be brought into the fishery data and analysis forum as part of 7.7.2.c. Attempts shall be made to include further reaching stakeholders at the forum to expand the reach of information sharing.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>Discussions on harvest control measures can be done alongside with broader co-management conversations.</p> <p>Recommendations: To initiate this process, the Certificate Holder and/or Fishing Association is advised to send a formal letter to their management authorities describing the harvest control measures they are implementing and complying with and requesting that it be circulated to all fishers' on the shared stock(s). This information can be posted at landing sites.</p> <p>Other examples of engagement activities including inviting the other fishers affecting the stock to Fishing Association General Assembly meetings, inviting their representatives to a Fair Trade Committee meeting, hosting a public meeting for all fishers.</p> <p>It is considered best practice that, when feasible, Registered Fishers work towards getting unregistered vessels and unregistered fishers on the shared stock(s) registered with the government and compliant with licensing requirements where these exist.</p>
7.3.3.d	<p>If there is evidence that:</p> <ul style="list-style-type: none"> • overfishing is occurring for secondary species; • stocks of secondary species are overfished; • stock status cannot be determined; or, • the PSA score is >2.64, <p>the Certificate Holder and/or the Fishing Association has defined management outcomes and accordingly set harvest control measures appropriate to the species to reduce fishing mortality to secondary species and end overfishing and/or rebuild stocks.</p>	C-Y3	<p>Clarification: Fishery management measures should be implemented as part of the Fishery Management Plan independent of this Objective, however, the harvest control measures required in this Objective are intended to specifically address depleted stocks.</p> <p>Harvest control measures must be based on life history characteristics of the species, susceptibility to the gear, climate vulnerability, and should be scientifically backed and/or supported by local knowledge. These measures must be included in the Fisheries Management Plan (7.1.3.c).</p> <p>Recommendations: Example harvest management measures include:</p> <ul style="list-style-type: none"> • Input control rules to limit effort, e.g. <ul style="list-style-type: none"> ○ Spatial rules including setting up protected area or rotational closures,



No.	Compliance Criteria	Timeline	Intent & Clarification
			<ul style="list-style-type: none"> ○ Seasonal closures, ○ Requiring gear modifications, ○ Restricting gear (in type and number), ○ Daily trip limits/move-on provisions, and/or ○ License limits. ● Output control rules to limit catch for some or all species caught in the fishery, e.g. <ul style="list-style-type: none"> ○ Size limits, ○ Total Allowable Catch, and/or ○ Individual Transferable Quotas. <p>Due to climate change, management measures may require actions beyond harvest control measures as species' ranges shift across international borders. The use of an adaptive management framework is highly recommended</p>
7.3.3.e	The Certificate Holder and/or the Fishing Association provide evidence that the harvest control measures described in 7.3.3.d are enforced and there is systematic compliance by fishers in scope of the Certificate.	C-Y3	<p>Clarification: Fishery management measures should be implemented as part of the Fishery Management Plan independent of this Objective, however, the harvest control measures required in this Objective are intended to specifically address depleted stocks.</p> <p>The enforcement mechanism must be included in the Fisheries Management Plan as part of 7.1.3.c.</p> <p>This may be self-enforcement by the Fishing Association. Where there is a Fishing Association, in its rules (1.2.2.a), the Fishing Association defines the level of 'systematic compliance' for the fishery at no less than 90% of the data collection sample defined in 7.2.2.c and defines penalties for non-compliance. 100% of the non-compliance cases must be dealt with by the Fishing Association.</p> <p>Where hired-labor fishers undertake fishing activity within scope of the Certificate, expectations to abide by harvest management members are outlined in contracts and understood by hired-labor fishers. Non-</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>compliance by hired-labor fishers will be recorded and corrective actions taken.</p>
<p>7.3.3.f</p>	<p>If fishers within scope of the Certificate are not the only fishers impacting secondary species, the employer and/or Fishing Association provides evidence that they are engaging with these fishers out of scope to encourage the adoption of harvest control measures described in 7.3.3.d.</p>	<p>P-5</p>	<p>Clarification: This criterion can only be implemented once 7.3.3.d is implemented.</p> <p>Fishery management measures should be implemented as part of the Fishery Management Plan independent of this Objective, however, the harvest control measures required in this Objective are intended to specifically address depleted stocks.</p> <p>If the stock is highly migratory and/or crosses jurisdictions, the focus of this outreach can be centered in the local community. Information about the measures chosen and reasoning for their choosing shall be brought into the fishery data and analysis forum as part of 7.7.2.c. Attempts shall be made to include further reaching stakeholders at the forum to expand the reach of information sharing.</p> <p>Recommendations: To initiate this process, the Certificate Holder and/or Fishing Association is advised to send a formal letter to their management authorities describing the harvest control measures they are implementing and complying with and requesting that it be circulated to all fishers on the shared stock(s). This can be posted it at landing sites.</p> <p>Other examples of engagement activities including inviting the other fishers affecting the stock to Fishing Association General Assembly meetings, inviting their representatives to a Fair Trade Committee meeting, hosting a public meeting for all fishers. Engagement with non-certified fishers can be done through social media groups, informational posters, pamphlets available in common areas (e.g., at landing sites, at processing facilities, etc.).</p> <p>It is considered best practice that, when feasible, Registered Fishers work towards getting unregistered vessels and unregistered fishers on</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			the shared stock(s) registered with the government and compliant with licensing requirements where these exist
7.3.3.g	There is evidence that the measures in 7.3.3.a are leading to improvements in stock status of primary species.	C-Y6	<p>Clarification: Fishery management measures should be implemented as part of the Fishery Management Plan independent of this Objective, however, the harvest control measures required in this Objective are intended to specifically address depleted stocks.</p> <p>This requirement is only applicable if measures need to be in place according to the conditions in 7.3.3.a.</p> <p>There should be clear documentation of what was evaluated, and the Fishery Management Plan and management measures should be updated according to evidence from the evaluation of the methods used. Measures and/or changes to measures should show clear intent to recover and protect fish stocks towards sustainable levels. This evaluation should also take into consideration measures being implemented by other fishers or agencies outside the scope of Certificate.</p> <p>Where multiple measures have been put in place over time and there continues to be a lack of improvement and/or decline in stock status, the reasons for which measures implemented by fishers within Certificate scope may not be working are documented in the Fishery Management Plan. This could include Regional Fishery Management Organization setting quotas at unsustainable levels or differences in fisheries management legislation in different jurisdictions of highly migratory species. Evidence that behavior outside of the scope of the Certificate may be hindering efforts by fishers within scope must be clearly documented and the plan must demonstrate how the measures put in place are meeting the intent of recovering and protecting fish stocks that are overfished.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>Recommendations: Where there is a Fishing Association, it is recommended to assign a subgroup of Fishing Association members to specifically monitor results associated with management measures.</p> <p>It is recommended that the evaluation of the harvest control measures is undertaken or verified by a fishery scientist or manager. This can help evaluate effectiveness based on broader management of the fishery relative to others. The results of the evaluation are used to update control measures and data collection where deemed necessary.</p>
7.3.3.h	There is evidence that the measures in 7.3.3.d are leading to improvements in stock status of secondary species.	C-Y6	<p>Clarification: Fishery management measures should be implemented as part of the Fishery Management Plan independent of this Objective, however, the harvest control measures required in this Objective are intended to specifically address depleted stocks.</p> <p>This requirement is only applicable if measures need to be in place according to the conditions in 7.3.3.d.</p> <p>There should be clear documentation of what was evaluated, and the Fishery Management Plan and management measures should be updated according to evidence from the evaluation of the methods used. Measures and/or changes to measures should show clear intent to recover and protect fish stocks towards sustainable levels. This evaluation should also take into consideration measures being implemented by other fishers or agencies outside the scope of Certificate.</p> <p>Where multiple measures have been put in place over time and there continues to be a lack of improvement and/or decline in stock status, the reasons for which measures implemented by fishers within Certificate scope may not be working are documented in the Fishery Management Plan. This could include Regional Fishery Management Organization setting quotas at unsustainable levels or differences in fisheries management legislation in different jurisdictions of highly migratory species. Evidence that behavior outside of the scope of the Certificate</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>may be hindering efforts by fishers within scope must be clearly documented and the plan must demonstrate how the measures put in place are meeting the intent of recovering and protecting fish stocks that are overfished.</p> <p>Recommendations: Where there is a Fishing Association, it is recommended to assign a subgroup of Fishing Association members to specifically monitor results associated with management measures.</p> <p>It is recommended that the evaluation of the harvest control measures is undertaken or verified by a fishery scientist or manager. This can help evaluate effectiveness based on broader management of the fishery relative to others.</p>
Sub-module 7.3: Total possible points		15	

SUB-MODULE 7.4: Biodiversity & Ecosystem Protection

No.	Compliance Criteria	Timeline	Intent & Clarification
Objective 7.4.1: Protections are in place for endangered, threatened, or protected (ETP) species.			
7.4.1.a	Species classified as ETP are not intentionally caught or killed.	C-Y0	
7.4.1.b	A strategy is in place to ensure vessels under the scope of Certificate adhere to all laws concerning ETP.	C-Y1	Recommendations: The strategy can be outlined in the Fishery Management Plan.
7.4.1.c	In fisheries where fishing gear from the fishery is a known threat to ETP species, or ETP species are unintentionally caught, vessels under the scope of Certificate demonstrate they are using industry-recognized best practices and available technology to	C-Y1	Recommendations: Best practices include, but are not limited to, restrictions and modifications concerning fishing gear, method, location, and seasonal timing of fishing.



No.	Compliance Criteria	Timeline	Intent & Clarification
	avoid ETP species. This includes the use of selective fishing gear.		
7.4.1.d	A system is in place to ensure any ETP species caught by vessels under the scope of Certificate do not have consumable value to Premium Participants.	C-Y1	<p>Clarification: <i>Consumable value</i> is defined as sold, eaten, and/or traded.</p> <p>Recommendations: Such a system may include educational training to discourage harvest and consumption of ETP species.</p>
7.4.1.e	There is an analysis that shows the fishery does not pose a risk of serious or irreversible harm to the population viability of ETP species.	P-5	<p>Clarification: This analysis can be conducted by a third-party.</p> <p>Recommendations: A population viability analysis is one assessment option.</p>
Objective 7.4.2: The fishing gear used does not cause harm to marine habitat.			
7.4.2.a	Explosives, cyanide, bleach, and/or all other poisons are not used.	C-Y0	<p>Clarification: All types of explosives and poisons are prohibited.</p>
7.4.2.b	There is no evidence that individuals within scope of the Certificate are participating in any form of shark finning.	C-Y0	<p>Clarification: This applies to all individuals within scope of the Certificate regardless of whether or not they are fishing for Fair Trade Certified product, or off season in seasonal fisheries.</p>
7.4.2.c	<i>Applicable where fishers own and operate their own Fish Aggregating Devices (FADs):</i> Vessels under the scope of Certificate comply with the Policy on the Use of Fish Aggregating Devices (FADs) Under the Capture Fisheries Standard .	C-Y0	<p>Clarification: The use of FADs is limited to those fisheries eligible according to the Requirements for Certificate Scope under the Capture Fisheries Standard.</p>
7.4.2.d	A total habitat impact score has been calculated using the tables provided in the Guidance for the Resource Management Module Under the CFS .	C-Y0	<p>Clarification: To ground truth these scores (or challenge them), the Certificate Holder can provide empirical information or verified local ecological knowledge to override the habitat impact score.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>Recommendations: It is best practice to collect habitat impact data from gear use as part of fishing activities. For example, inexpensive cameras affixed to gears to can be used collect information on interactions between gear and habitat (as well as other information) which can be scaled up with effort to provide detailed, ground truthed information on habitat impacts.</p>
7.4.2.e	<p>If the total habitat impact score is ≤ 2, a strategy is in place to increase the total habitat impact score to >2 within one year, through some or all of the following mitigation strategies:</p> <ul style="list-style-type: none"> • Lower effort to reduce potential habitat damage; • Change fishing locations so as to reduce activities on certain types of habitat or high ecological value habitat (this might mean restricting access to sensitive/pristine areas); • Rotate harvest locations more often or leave harvest locations fallow to recover from gear related damage; or, • Gear modification or switching to less harmful fishing gear. 	C-Y0	<p>Clarification: Any habitat impact reduction strategy needs to be co-designed with fishers.</p> <p>Recommendations: Identifying and protecting ecologically important and/or sensitive habitats or areas is one example of mitigation efforts and may be helpful.</p>
7.4.2.f	The total habitat impact score is >2 .	C-Y1	<p>Clarification: To ground truth these scores (or challenge them), the Certificate Holder can provide empirical information or verified local ecological knowledge to override the habitat impact score.</p>
7.4.2.g	<p>If the total habitat impact score is >2 and ≤ 3, a strategy is in place to increase the total habitat impact score to >3 within six years, through some or all of the following mitigation strategies:</p> <ul style="list-style-type: none"> • Lower effort to reduce potential habitat damage; 	C-Y1	<p>Clarification: Any habitat impact reduction strategy needs to be co-designed with fishers.</p> <p>Recommendations: This strategy can be included in the Fishery Management Plan.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
	<ul style="list-style-type: none"> • Change fishing locations so as to reduce activities on certain types of habitat or high ecological value habitat (this might mean restricting access to sensitive/pristine areas); • Rotate harvest locations more often or leave harvest locations fallow to recover from gear related damage; or, • Gear modification or switching to less harmful fishing gear. 		
7.4.2.h	If the total habitat impact score is >3, a strategy is in place to ensure the continued use of low-impact fishing gear. Additional ways to increase the total habitat impact score are considered.	C-Y1	Recommendations: This strategy can be included in the Fishery Management Plan if desired.
7.4.2.i	The total habitat impact score is >3.	C-Y6	
Objective 7.4.3: Local ecosystems are monitored.			
7.4.3.a	The Fishing Association or the Certificate Holder carries out an ecosystem risk assessment to determine threats to the ecosystem.	P-3	<p>Clarification: At minimum, the ecosystem risk assessment includes a knowledge-based risk analysis conducted with fishers in scope of the Certificate. The ecosystem risk assessment must include climate change impacts, and it must be updated as needed or at least every 3 years.</p> <p>See the Guidance for the Resource Management Module Under the CFS.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
7.4.3.b	<p>The Fishing Association or the Certificate Holder hosts a workshop attended by fishers to discuss the results of the ecosystem risk assessment and select meaningful metrics to measure the potential ecosystem level impacts of the fishery, including their scale and intensity.</p>	P-3	<p>Clarification: The intent of this requirement is to collaboratively decide on metrics that will best measure ecosystem-level impacts of the fishery. This will be dependent on contextual factors including, but not limited to region, fishing gear, benthic habitat of fishing grounds, etc.</p> <p>This workshop can be combined with other workshops and meetings required in Module 7 of the CFS.</p> <p>Recommendations: The workshop helps to identify threats to the ecosystem by incorporating fishers’ local knowledge about the ecosystem and to co-define the metrics that will be measured in an ecosystem monitoring strategy. The chosen ecosystem metrics can be shared at the co-management meetings.</p>
7.4.3.c	<p>An ecosystem monitoring strategy has been developed and implemented. The strategy includes identification of scientifically justifiable ecosystem metrics that can be used as warning signs of changes occurring in the ecosystem at a scale larger than the fishery.</p>	P-5	<p>Clarification: Metrics are justified based on the ecosystem risk assessment in 7.4.3.a. Metrics include early warning indicators relevant to the particular ecosystem, including climate change metrics.</p> <p>Once developed, the data collection strategy is included in 7.1.2.c. This means metrics as well as roles and responsibilities of data collection are defined.</p> <p>The ecosystem monitoring strategy and identified metrics are discussed at the co-management meeting (7.7.3.a).</p> <p>If the scale and intensity of fishing pressure on the ecosystem are low, the ecosystem risk assessment demonstrates low threats, and cumulative impacts are not a concern, written justifications must be provided from two scientific experts to exempt the fishery from collecting the above metrics.</p> <p>The fisheries management agency (preferably) or the Certificate Holder should work with the Registered Fishers or hired-labor fishers to ensure they understand the intent of the strategy and metrics. When possible, suggestions for the strategy and/or metrics shall come from more than</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>one stakeholder group (Certificate Holder, fishers, scientists, government agencies).</p> <p>A representative ecosystem sampling plan takes temporal and spatial variation in ecosystems into account, factoring in differences in habitats, species assemblages (often linked to different habitats) conditions, and potential climate change effects over time and space.</p> <p>Recommendations: Metrics could include, for example, abundance of the prey species of the predators being fished, the ratio of demersal/pelagic production, the ratio of piscivore/planktivore production, the mean trophic level of catches, etc., or other metrics based on local knowledge. Climate change metrics may include, for example, sea surface temperature, species diversity, species age and genetic diversity, sedimentation or nutrient loading (due to changes in rainfall patterns), coverage of biogenic habitat (e.g., acres of coral or sea grass cover), etc.</p> <p>A representative ecosystem sampling plan specific to the fishery should be designed with a technical expert. Requiring a percentage of coverage for the year may not make sense but requiring that all seasons and fished habitats be accounted for would be reasonable.</p> <p>For Freshwater systems, it is recommended to consider metrics that track both the impact of fishing and non-fishing impacts on the ecosystem.</p> <p>For high diversity systems like coral reefs, assessments should include metrics to measure total ecosystem health, such as total community biomass surveys.</p> <p>For fisheries interested in formal ecosystem modeling, see the Guidance for the Resource Management Module Under the CFS See the Fair Trade USA Glossary for a definition of 'early warning indicators'.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
7.4.3.d	At least one ecosystem metric based on the ecosystem risk assessment and workshop has been chosen to monitor and track. There is a written rationale explaining why certain indicators have been prioritized/are less feasible. The selected metric(s) are approved at a General Assembly.	P-1	Recommendations: Where possible, compare ecosystem metrics between fished areas and unfished areas to help determine if the impact is a more globalized issue or directly or indirectly related to fishing.
7.4.3.e	The ecosystem monitoring strategy is reviewed annually based on the ecosystem risk assessment and necessary adjustments are made to improve its effectiveness or collection of the desired information. Any changes are assigned the necessary resources (time, equipment, responsible parties, etc.).	P-3	
Sub-module 7.4: Total possible points		20	

SUB-MODULE 7.5: Waste Management on Vessels

No.	Compliance Criteria	Year	Intent & Clarification
Objective 7.5.1: Waste disposal from vessels does not threaten human health or the natural environment.			
7.5.1.a	The vessels within scope of the Certificate handle waste according to applicable laws and regulations.	C-Y0	Clarification: Legal requirements and procedures for handling waste should be communicated to relevant individuals (e.g., those affected and those who handle waste).
7.5.1.b	Individuals on vessels within scope of the Certificate do not intentionally dispose of petroleum products, damaged fishing gear, or other non-biodegradable waste and materials in the ocean.	C-Y1	Clarification: The intent of this criterion is to prevent fishers, crew members and/or workers from discarding plastics and other non-biodegradable products at sea, and encourage them to dispose of these products at designated areas (see 7.5.1.e).



No.	Compliance Criteria	Year	Intent & Clarification
7.5.1.c	Waste management risks to human health and the natural environment are assessed, and a vessel waste management strategy is created to reduce, or when possible, eliminate those risks.	P-3	<p>Clarification: The risk assessment and waste management strategy can be combined in the same document. This strategy can be combined with the strategy for waste from processing facilities required in 7.6.1.b.</p> <p>The intent of this strategy is to identify waste generated by fishers on vessels that is harmful to human health and the environment, including long-term effects such as the accumulation of plastics in the ocean, and devise a strategy to reduce and eliminate contribution of fishers in scope of the Certificate.</p> <p>This may include, but it not limited to, a strategy for all other waste including:</p> <ul style="list-style-type: none"> • plastics; • petroleum products; • synthetic ropes; • plastic garbage bags; • cooking oil; • wooden debris; • food packaging; • paper; • rags; • glass; • metal; • bottles; • dishware and kitchen utensils; and • other non-biodegradable waste. <p>Recommendations: Waste that places human and/or environmental health at risk include, but are not limited to, fuel and engine lubricants, plastics, biological or processing waste.</p> <p>It is suggested to maintain a logbook for waste generated during the fishing trip.</p>



No.	Compliance Criteria	Year	Intent & Clarification
7.5.1.d	The vessel waste management strategy is implemented.	P-5	<p>Clarification: Progress points for this requirement will only be awarded after the vessel waste management strategy (7.5.1.c) has been created. If the plan has not yet been created, this will be considered a non-compliance.</p>
7.5.1.e	There are designated areas for the storage and disposal of waste on vessels within scope of the Certificate.	P-5	<p>Clarification: Waste storage receptacles shall be appropriate to the types of waste generated by fishers on the vessel and will vary depending on size and activity. These receptacles are sufficient to store the waste generated for the duration of the fishing trip.</p> <p>Recommendations: It is best practice to separate these into different types of waste, such as recyclables and compost, depending on waste management systems in the area.</p>
7.5.1.f	There are designated areas to offload and properly dispose of waste collected on vessels at the landing sites.	P-5	<p>Clarification: The intent of this criterion is to have an appropriate system to dispose of waste generated by humans on vessels once fishers reach shore.</p> <p>Burning of waste as a means of disposal is not allowed.</p> <p>Premium may be used to develop an appropriate system for the disposal of waste generated by fishers if approved in the Premium Plan.</p>
Sub-module 7.5: Total possible points		18	



SUB-MODULE 7.6: Waste Management on Land-based Facilities

No.	Compliance Criteria	Year	Intent & Clarification
Objective 7.6.1: Waste disposal at land-based facilities does not threaten human health or the natural environment.			
7.6.1.a	The land-based facilities' procedures for handling waste are in line with applicable laws and regulations.	C-Y0	Clarification: Legal requirements and procedures for handling waste should be communicated to relevant workers (e.g., those affected and those who handle waste).
7.6.1.b	Waste management risks to human health and the natural environment are assessed, and a land-based facility waste management strategy is created to reduce, or when possible, eliminate those risks.	P-3	<p>Clarification: The risk assessment and waste management strategy can be combined in the same document. This strategy can be combined with the vessel waste management strategy in 7.5.1.c.</p> <p>The strategy contains actions specific to the type of land-based facility that are found within scope of the Certificate (e.g. landing sites versus processing facilities).</p> <p>Recommendations: Waste that places human and/or environmental health at risk include, but are not limited to, fuel and engine lubricants, plastics, biological or processing waste.</p>
7.6.1.c	The land-based facility waste management strategy is implemented.	P-5	Clarification: Progress points for this requirement will only be awarded after the waste management strategy (7.6.1.b) has been created. If the plan has not yet been created, this will be considered a non-compliance.
7.6.1.d	There are designated areas for the storage and disposal of waste, both hazardous and non-hazardous.	C-Y1	<p>Recommendations: Attention is paid to the careful handling of waste near water bodies or where water flows.</p> <p>Central areas for disposal and storage of hazardous waste may be provided so individuals avoid disposing hazardous waste unsafely or store them indefinitely. Suppliers and local authorities may be contacted to help identify hazardous materials and best practices to handle and dispose of hazardous waste.</p>



No.	Compliance Criteria	Year	Intent & Clarification
7.6.1.e	Wastewater from processing facilities is handled in a manner that does not have a negative impact on water quality, the natural environment, and/or human health.	C-Y1	<p>Clarification: Wastewater from processing facilities includes water contaminated by the processing itself and waste water from sanitary facilities.</p> <p>Recommendations: Developing a wastewater management plan may be helpful. The plan may include actions to monitor the water quality of the wastewater discharged from processing facilities. It may also include baseline levels of acceptability for wastewater quality, method(s) of analysis of water quality, and a specified frequency of monitoring and means to correct any incidence of contaminants down to adequate levels. Water filtration or other treatment systems may need to be installed in the processing facilities.</p> <p>The potential negative impacts may be assessed by an independent third-party.</p>
Sub-module 7.6: Total possible points		8	

SUB-MODULE 7.7: Governance

No.	Compliance Criteria	Timeline	Intent & Clarification
Objective 7.7.1: Fishers within scope of the Certificate are not engaged in any form of illegal fishing.			
7.7.1.a	There is no evidence that local, national, and international laws regarding fishing activities within the scope of the Certificate are being broken by individuals within the scope of the Certificate.	C-Y0	<p>Clarification: This applies to all individuals within scope of the Certificate regardless of whether or not they are fishing for Fair Trade Certified product, or off season in seasonal fisheries. This includes regulations concerning fishing gear, vessels, fishing effort, fishing location, and illegal harvesting of species.</p>
Objective 7.7.2: Systems are in place to facilitate co-management.			



No.	Compliance Criteria	Timeline	Intent & Clarification
7.7.2.a	<p><i>Applicable when there is an existing co-management system in place:</i> The Registered Fishers and/or hired-labor fishers in Scope of the Certificate participate in co-management of the fishing resource.</p>	C-Y0	<p>Clarification: The intent of this criterion is to engage fishers in the management of the resource.</p> <p>If there is an existing co-management system in place the fishers must be actively participating in order to meet this requirement. In recognition that co-management can take many forms depending on the enabling environment and other factors, this requirement will be fulfilled so long as the Registered Fishers and/or hired-labor fishers are participating in the existing co-management system.</p> <p>Participation is understood as sharing data, participating in meetings, or following the expectations of the existing co-management system, and can be marked as a non-compliance when requirements in this Sub-module are not met according to their designated timelines.</p> <p>Where there is no existing plan, this is fulfilled by following the requirements in Sub-modules 7.7.2, 7.7.3, and 7.7.4.</p>
7.7.2.b	<p>The Certificate Holder or Fishing Association has carried out a social survey to map the actors and relationships within community, including all groups affected by the fishery as well as all groups involved in the supply chain.</p>	C-Y1	<p>Clarification: The intent of this criterion is that the Certificate Holder or the Fishing Association has identified users who benefit from the resource directly or indirectly. These individuals are considered the co-management stakeholders. If the Certificate Holder has already mapped all stakeholder groups affected by the fishery (including the local community) and all actors in the fishery supply chain, this map can be used to comply with this criterion. In fisheries where fishing activity is undertaken by hired-labor fishers, the Certificate Holder must always include them as stakeholders.</p> <p>This includes stakeholders who are engaged in both fishing (commercial, recreational, subsistence, etc.) and non-fishing activities, and identifies organizations and individuals involved in management of the fishery.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>Special attention is paid to identification of minority groups such as women and indigenous communities.</p> <p>Recommendations: The map should include power dynamics and should identify stakeholders in decision-making positions.</p>
7.7.2.c	<p>A public fisheries data and analysis forum is held annually to present and discuss fisheries data with fishers and when applicable, fisheries scientists working on the stock..</p>	P-5	<p>Clarification: The intent of this criterion is to involve fishers, the local community, and any applicable scientists working in the resource, so they support the data collection and analysis. <i>Applicable scientists</i> means that when there are scientists working on the stock, they are invited to the forum. However, if they do not attend, or are not available, Fair Trade Certified fishers do not receive a non-compliance for this.</p> <p>These meetings differ from the broader stakeholder meetings in 7.7.3.a in that this for a forum is targeted specifically at others fishing on the stock to discuss fishery management, whereas the stakeholder meeting in 7.7.3.a brings other resource users together to discuss broader coastal zone management.</p> <p>This requirement is met if fishers have been engaged by international groups managing the resource and are actively participating in the existing programs.</p> <p>Recommendations: This forum can be held in conjunction with co-management meetings, so management authorities can be invited to participate/present.</p> <p>It is best practice for the forum to be held twice a year, roughly every six months. Depending on the amount of information to be shared, and the complexity of the information, it is recommended to split the content into multiple, shorter meetings to maintain engagement of individuals.</p> <p>As per 7.3.3.c and 7.3.3.f, fishers should discuss harvest control measures implemented with other stakeholders and encourage uptake</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			by those out of Certificate scope where the stock is overfished and/or overfishing is occurring for primary and/or secondary species.
7.7.2.d	The Certificate Holder or Fishing Association has mapped out the formal management authority structure, including decision making roles, and identified which department/s at the local/regional/national level are most amenable to target for involvement in co-management of the fishery resources.	P-5	
Objective 7.7.3: The Fishing Association is actively involved in the management of the fishery.			
7.7.3.a	The Certificate Holder and/or the Fishing Association (or their representatives) have met at least once in the past year with the co-management stakeholders identified in 7.7.2.b, , to discuss fishery resource issues and potential management solutions. There is a clear agenda shared ahead of each meeting.	C-Y3	<p>Clarification: The intent of this criterion is that stakeholders who benefit from and depend on the resource convene annually to discuss issues in the fishery and outline potential solutions in an open and transparent manner. Having a defined agenda ahead of time allows stakeholders participating in the meeting to be aware of what will be discussed ahead of the meeting.</p> <p>The Certificate Holder and/or the Fishing Association at a minimum reaches out to all stakeholders identified in 7.7.2.b. In fisheries where fishing activity is undertaken by hired-labor fishers, the Certificate Holder must always include them as stakeholders.</p> <p>Meetings should aim to include both fishery management authorities and scientists, as well as other stakeholders who use the same fishery resources. Registered Fishers must demonstrate an effort to include all parties in the meeting. The Certificate Holder and/or Fishing Association will not be penalized if the management authority or any of the other stakeholders identified do not regularly show up to meetings,</p> <p>Recommendations: It is best practice to identify and use a third-party who understands local history and context to moderate these co-management meetings. The third-party can be an NGO partner, boundary organization, other local entity or the Certificate Holder if</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>outside of the fishery supply chain. The purpose of this requirement is to reduce conflict, to even out the playing field between groups that have differing degrees of power and influence, and to build trust in the process and among stakeholders. Freshwater systems may require greater involvement from third party neutral facilitators to ensure equitable involvement from less powerful stakeholders because governance for freshwater systems often involves numerous sectors.</p> <p>Bringing powerful actors (e.g. industry representatives, including processors, exporters, international buyers) to the co-management meetings can be an incentive for management authorities to attend.</p> <p>Meeting scheduling should be consistent and the timing should take the needs of all stakeholders into account, particularly those groups who may be underrepresented (e.g. women).</p>
7.7.3.b	<p>The Fishing Association leadership and other relevant co-management stakeholders responsible for the resource sign a written co-management commitment, articulating an assessment of the advantages and challenges to co-managing the fishery. This should include a discussion of enabling conditions for co-management.</p>	P-5	<p>Clarification: Relevant stakeholders are those individuals identified in 7.7.2.b.</p> <p>See the Fair Trade USA Glossary for definition of co-management.</p> <p>The commitment outlines at a minimum:</p> <ul style="list-style-type: none"> • Rules about communication; • Flow of information; • Roles and responsibility; • Objectives of the collaboration/co-management; and, • Clear benefits for all of those involved. <p>Fair Trade USA encourages fishery co-management where possible. However, co-management requires the involvement and cooperation of the fishery management authorities, which may be beyond the control of the Certificate Holder or Fishing Association. In these cases, the written assessment should be shared with the management authorities to encourage engagement and collaboration. The co-management</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
			<p>commitment should aim to include both managers and fishery scientists, as well as other stakeholders who use the same resources.</p> <p>While the Fishing Association or Certificate Holder is responsible for regular outreach to management authorities (and this outreach must be documented as occurring at least twice a year starting year 1), the Certificate Holder and/or Fishing Association will not be penalized if the management authority does not regularly show up to meetings or is unwilling to sign the co-management agreement.</p> <p>Recommendations: The intent of this criterion is that stakeholders benefiting from the resource discuss issues in the fishery and outline potential solutions in an open and transparent manner. The written co-management commitment should include the following topics:</p> <ul style="list-style-type: none"> • A goal setting discussion to identify the key biological/ecological, climate resiliency, economic and social/cultural objectives for the fishery; • Motivation to participate – shared recognition of fishery resource problems and reliance on those resources; • Clear definition of fishery boundaries and rights to fish; • The potential impacts of, and responses to, climate change; • Role and involvement of local community in co-management; • Description of the political environment needed to support co-management; • Organizational capacity; • Leadership; • Stakeholder participation; • Enforcement and compliance; and, • Conflict resolution.



No.	Compliance Criteria	Timeline	Intent & Clarification
7.7.3.c	<p>The Certificate Holder or Fishing Association has worked with co-management stakeholders to identify the main risks to the fishery under three main categories:</p> <ul style="list-style-type: none"> • Quantity of resources; • Quality of resources; and, • Access issues. 	P-3	<p>Clarification: Co-management stakeholders include those individuals identified in 7.7.2.b.</p> <p>The risks can be identified during the annual meeting (7.7.3.a).</p> <p>Quantity of resources: Fish or resources that support the fishery e.g., allocation issues, IUU fishing, fluctuation in recruitment, abundance of prey populations, etc.</p> <p>Quality of resources: Retaining the value of the seafood in markets, e.g., handling, processing, cold storage, etc.</p> <p>Access issues: Potential obstacles to accessibility by supply lines or perceived risk from potential clients outside of quality issues, e.g., stability of supply, corruption, infrastructure needs, political stability, etc.</p> <p>Recommendations: It is best practice to identify risks associated with climate change.</p> <p>Climate change: Impacts include loss of habitats and/or species due to increased temperature and/or acidification, reduction or increase in fishery production potential, and changing distribution of fish stocks and fishery portfolios as species move across international borders.</p>
7.7.3.d	<p>An action plan has been developed to address the issues identified as main risks associated with the fishery, with activities and responsible parties identified.</p>	P-5	<p>Clarification: The main risks associated with the fishery are identified in 7.7.3.c.</p> <p>If it is likely that the stock(s) is/are overfished and overfishing may be occurring for primary and or secondary species, the action plan is reviewed annually and updated as necessary to ensure goals are met, otherwise it can be reviewed as needed to ensure it is effectively reaching the stated goals.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
7.7.3.e	The action plan required under 7.7.3.d is implemented.	P-5	Clarification: This requirement must be followed once 7.7.3.d has been implemented.
7.7.3.f	Minutes from the annual stakeholder meeting and progress toward solutions to risks identified in 7.7.3.c are documented.	P-1	Clarification: This requirement is referring to the annual stakeholder meeting required in 7.7.3.a.
Objective 7.7.4: There is a procedure for resolving conflicts among the Certificate Holder, the Fishing Association, and relevant co-management stakeholders.			
7.7.4.a	There is a written conflict resolution procedure to address conflicts between relevant co-management stakeholders.	P-5	<p>Clarification: The procedure is developed in collaboration with stakeholders that are signed onto the co-management commitment in 7.7.3.b. The relevant co-management stakeholders are identified in 7.7.2.b). The procedure speaks to aspects of identifying conflict, parties in the conflict, root causes, stages of conflict, and proposed win-win solutions.</p> <p>Recommendations: There can be more than one conflict resolution procedure depending on the type of relationship and stakeholders involved.</p> <p>The conflict resolution procedure should be reviewed on a regular basis and updated when necessary, to ensure its effectiveness at resolving conflict.</p> <p>If a system is needed, stages of conflict can be evaluated ranging from 1-5, 1= Emergence, 2= Escalation, 3= Crisis, 4= Negotiation, 5= Resolution. The parties may also use a system of their own design.</p> <p>See also FAO Conflict Resolution for Coastal Zone Management.¹⁸</p>

¹⁸ <http://www.fao.org/docrep/w8440e/W8440e24.htm>



No.	Compliance Criteria	Timeline	Intent & Clarification
7.7.4.b	All parties have signed a commitment agreeing to work towards collaborative resolution of conflicts between management bodies and resource users.	P-5	
Sub-module 7.7: Total possible points		39	

SUB-MODULE 7.8: Trainings & Education on Resource Management

This Module is applicable for all operation sizes, it is not applicable for processing facilities. In a hired-labor situation, the employer is responsible for compliance with this Module, in the case of Registered Fishers the Fishing Association is responsible, although the Certificate Holder is ultimately accountable to oversee compliance with these requirements as part of the Internal Management System in Module 9.

No.	Compliance Criteria	Timeline	Intent & Clarification
Objective 7.8.1: Registered Fishers and hired-labor fishers are trained on data collection and data quality to meet the data requirements of Module 7.			
7.8.1.a	There is a training for data collectors, including Registered Fishers, crew members, and hired-labor fishers on data quality and quality assurance, and quality control procedures for data collection.	C-Y1	<p>Clarification: The intent of this criterion is to develop a training focused on how to obtain high quality data. One training session can cover more than one of the topics outlined in Objective 7.8.1.</p> <p>Recommendations: Data Quality to verify:</p> <ul style="list-style-type: none"> • Correct – against initial entry (i.e. numbers being represented as numbers, same with dates); • Complete – includes all data elements needed; • Currency - is the data up to date; and, • Consistent – is the data being represent consistently across different tools. <p>Data Governance – possible roles and responsibilities:</p> <ul style="list-style-type: none"> • Define who owns the data – responsible for how it is collected and shared;



No.	Compliance Criteria	Timeline	Intent & Clarification
			<ul style="list-style-type: none"> Define who is the steward – responsible for data quality, usually a Subject Matter Expert; Define where and how it is stored; and, Define how it is to be shared – tools, method, frequency, etc.
7.8.1.b	Data collectors, including Registered Fishers, crew members, and hired-labor fishers are regularly trained in data collection. Written procedures are established.	C-Y3	<p>Clarification: The intent of this criterion is to train fishers on collection of environmental and biological information needed for the appropriate management of the resource. One training session can cover more than one of the topics outlined in Objective 7.8.1.</p> <p>Regularly trained means trainings occur annually for the majority of Registered Fishers, crew members and hired-labor fishers.</p> <p>Training includes, but is not limited to:</p> <ul style="list-style-type: none"> Methods for species identification; Methods for size measurements; Methods for weighing; Format and use of logbooks (including methods for those not literate or with low formal education); Effort metrics (e.g., duration of fishing activity in addition to: number and size of hooks for long liners, mesh size for gillnets and trawlers, number of pots for crabs, etc.); and, Appropriate use of any technology used in the fishery as part of the data collection system (REM or handheld devices). More details are provided in the Guidance for the Resource Management Module Under the CFS. <p>Recommendations: Activities focused on skills benefitting from practice, participation or engagement (e.g., speed and accuracy for species ID, most complete logbooks, etc.) may be used in the training program. Additional options include games, competitions, or awards. Feedback on improvements to the training program should be solicited and incorporated.</p>



No.	Compliance Criteria	Timeline	Intent & Clarification
7.8.1.c	Training is provided to Registered Fishers, crew members, and hired-labor fishers on the development and use of photo identification guides as needed and desired, to facilitate the identification of catch species in fisheries with a high diversity of catch species.	P-1	Clarification: One training session can cover more than one of the topics outlined in Objective 7.8.1.
7.8.1.d	There is a training for Registered Fishers, crew members, and hired-labor fishers on ghost fishing gear.	P-1	Clarification: One training session can cover more than one of the topics outlined in Objective 7.8.1.
7.8.1.e	There is training for Registered Fishers, crew members, and hired-labor fishers on waste management best practices on vessels and at landing sites.	P-1	Clarification: One training session can cover more than one of the topics outlined in Objective 7.8.1.
7.8.1.f	Training is provided for Registered Fishers, crew members, and hired-labor fishers, their families, and wider community on the identification of ETP species as well as broader education on the consequences of by-catch/harm to ETP species.	P-1	Clarification: One training session can cover more than one of the topics outlined in Objective 7.8.1.
7.8.1.g	There is training for Registered Fishers, crew members, and hired-labor fishers on product quality.	P-1	Clarification: One training session can cover more than one of the topics outlined in Objective 7.8.1. The intent of this training is to equip fishers with knowledge and best practices about how to improve and maintain product quality to access higher price points for their product.
Objective 7.8.2: Trainings are offered beyond the individuals in scope of the Certificate.			
7.8.2.a	Trainings are open to other fishers outside the scope of the Certificate.	P-5	Clarification: The intent of this requirement is for fishers under the scope of the Certificate to extend an invitation to non-certified fishers to participate in existing trainings. The goal of this requirement is to share the value and benefits of participating in the Fair Trade USA program.



No.	Compliance Criteria	Timeline	Intent & Clarification
	Sub-module 7.8: Total possible points	10	

POINTS IN MODULE 7	POINTS
Minimum points required, Year Zero (40%)	
Minimum points required, Year Three (70%)	
Points required, Year Six (100%)	138

MODULE 8: Transparency & Traceability

The primary purpose of this module is to ensure that the practices relating to the purchase, movement, production, and sale of Fair Trade Certified seafood are clearly defined. The module focuses on the following areas:

- Traceability – At all times and for all products, no more seafood may be sold as Fair Trade Certified than has been purchased as Fair Trade Certified. In addition to this basic principle, the requirements in this module support physical traceability for seafood covered by the Capture Fisheries Standard (CFS).
- Contracts and Agreements – Clear terms of trade are critical in ensuring fishers know what to expect from their participation in fair trade. Contracts and agreements between all actors in fair trade ensure that all parties are clear about their responsibilities in the trading relationship.
- Certification Process – Participating in fair trade also means that Certificate Holders (CH) are signing up to a wider program of auditing and reporting as managed by Fair Trade USA. Understanding and participating in this process is an integral part of the program.

All requirements in Module 8 apply to the Certificate Holder. Some requirements are applicable at the fishing operation and land-based facility level as well and are indicated in the Fishers/Land-based Facilities column. There is no distinction between fishing operation sizes, nor between sizes of land-based facilities in this module.

There are no Progress (P) criteria in this module. The majority of the Critical (C) criteria are applicable at Year 0.



SUB-MODULE 8.1: Supply Chain Traceability.

This Sub-module is applicable at first sale of Fair Trade Certified product unless otherwise noted.

No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
Objective 8.1.1: There is a traceability system in place to ensure only seafood caught by Registered Fishers, crew members and/or hired-labor fishers is sold as Fair Trade.				
	8.1.1.a Fair Trade Certified seafood is separated from non-Fair Trade Certified seafood throughout catch, landing, transport, processing, and in storage (i.e. in separate bags/crates/locations in transport/separate processing runs/separate lots in storage).	C-Y0	C-Y0	
	8.1.1.b Fair Trade Certified seafood is clearly marked and can be identified as Fair Trade Certified at all stages (e.g. catch, landing, storage, transport, processing, packaging, labeling, handling, and sale).	C-Y0	C-Y0	<p>Clarification: Fair Trade Certified seafood is marked clearly with a reference to Fair Trade USA (e.g. Fair Trade USA ID number) so it can be identified as Fair Trade Certified.</p> <p>See 8.3.6.a for requirements around the use of the Fair Trade Certified seal to identify Fair Trade Certified seafood.</p> <p>Fair Trade Certified seafood must always be identified as Fair Trade Certified. Where labeling is not viable, locations shall be identified where Fair Trade Certified product is stored. During processing and/or storage it must be possible to identify the Fair Trade Certified seafood (e.g. through lot numbers, record keeping etc.).</p> <p>There are no specific requirements as to the exact wording needed on product while it is being handled within the operations of the Certificate Holder, however</p>



No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
				the following could be used to provide clarity: Fair Trade Certified, Fair Trade USA.
8.1.1.c	There is a procedure in place documenting how Fair Trade Certified product is caught, bought, processed, and sold. The procedure is followed.	C-Y0	C-Y0	<p>Clarification: There is a written description of the product flow from the Fishing Association (vessels catching Fair Trade Certified seafood) to the buyer. All parties involved in the procedure are aware of it and follow it in their work.</p> <p>This procedure ensures physical traceability. It shall start at the Fishing Association level (vessel level) and cover all movement of product to the point of sale by the Certificate Holder. The process shall also cover product being held or processed by subcontractors.</p> <p>Recommendations: The system used to track product may be electronic, with the ability to record geo-referenced points of capture, but it is not necessary. Paper systems are sufficient.</p> <p>Ideally, the system can trace back a particular final product all the way to the specific vessel from which it came, but at the very least, the expectation is that a batch can be clearly linked with Fishing Association members.</p>
Objective 8.1.2: The volume of Fair Trade Certified seafood sold matches the volume of Fair Trade Certified seafood purchased.				
8.1.2.a	The balance of Fair Trade Certified seafood is never negative; at no time has more Fair Trade Certified seafood been sold than has been sourced, purchased, or caught.	C-Y0	C-Y0	<p>Clarification: This rule must take into account processing yields and all losses.</p> <p>This requires that product is physically sourced prior to being physically sold to a Fair Trade buyer.</p>



No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
Objective 8.1.3: Documentation and records are kept of all Fair Trade USA purchases and sales.				
8.1.3.a	Records are maintained of all products sourced or purchased as Fair Trade Certified from entities included in the scope of the Certificate. These records indicate: <ul style="list-style-type: none"> • The name of the individual supplier; • Date of purchase or sourcing; • Product name; • Volume; and, • Price paid. 	C-Y0	NA	<p>Clarification: The intent of this requirement is that the Certificate Holder has records to trace all Fair Trade Certified products sourced from within its Certificate, covering the complete product flow from the point of capture. 8.1.3.c covers documentation of sales to Fair Trade buyers.</p> <p>Where the Fishing Association (FA) acts as an intermediary between the Registered Fishers and the Certificate Holder, the FA must keep track of sourcing records from individual Registered Fishers and share this with the Certificate Holder.</p> <p>Recommendations: Documentation should be kept on file in an accessible format for three years.</p>
8.1.3.b	Records from individual Registered Fishers include the signature of the Registered Fishers, verifying accuracy. Registered Fishers receive a copy of the record.	C-Y0	NA	<p>Recommendations: Documentation should be kept on file in an accessible format for three years.</p> <p>These records can be kept at the Certificate Holder or Fishing Association level, namely a Fishing Association member can sign on behalf of Registered Fishers, and the documents must be made accessible to all Registered Fishers.</p>



No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
8.1.3.c	<p>There are records of all Fair Trade USA sales to Fair Trade buyers. These records include:</p> <ul style="list-style-type: none"> • The volume; • The name of the buyer; • The date of the transaction; • The Fair Trade ID of the buyer; and, • A reference that allows the Conformity Assessment Body to link these records with the corresponding sales documentation. 	C-Y0	NA	<p>Clarification: This relates to internal record keeping between the Certificate Holder and their buyers.</p> <p>Records shall be kept in an accessible format and retained for a minimum of three years.</p> <p>Recommendations: The Certificate Holder holds records of all transactions regardless of whether or not they were sold into a fair trade supply chain.</p> <p>This could be in the form of a list or consolidated report from the record keeping system.</p>
8.1.3.d	<p>All sales documentation (e.g. invoices, bills of lading, delivery notes) related to the Fair Trade Certified seafood clearly state the:</p> <ul style="list-style-type: none"> • Fair Trade ID of the Certificate Holder; • Fair Trade ID of the buyer; • Name of Fair Trade Certified products; • Volume of the seafood being sold as Fair Trade Certified; • Product characteristics when sold; and, • Applicable dates of transactions. 	C-Y0	NA	<p>Clarification: The documentation required is between the Certificate Holder and a Fair Trade buyer.</p> <p>Product characteristics includes, for example, quality and product type as well as any other characteristics that could affect the price of the product. It must include species name and country of origin.</p> <p>Recommendations: Best practice is to include the scientific name of the species where possible.</p>
8.1.3.e	<p>The Certificate Holder provides the Fishing Association with copies of the documents outlined in 8.1.3.a.</p>	C-Y6	NA	<p>Clarification: This requirement is not applicable when the Certificate Holder and the Fishing Association are the same entity.</p> <p>This includes documentation specific to the Fishing Association. General documentation of volumes outside the scope of the Certificate or further up the</p>



No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
				<p>supply chain need not be shared with the Fishing Association.</p> <p>Where there is more than one Fishing Association, the Certificate Holder need only share the documents relevant for the specific Fishing Association.</p>
8.1.3.f	<p>Where any changes to the volume or physical state of Fair Trade Certified product occur (i.e. from processing, mixing, packaging, labeling, or other transformation), clear records are kept of applicable conversion rates and any processing losses that occur, showing product volumes before and after processing.</p>	C-Y0	C-Y0	<p>Clarification: Conversion rates, or records of yield throughout the processing chain, can be necessary to calculate the correct Premium.</p> <p>If processing happens at different stages within the scope of the Certificate at different sites, these records indicate losses at each site. For example, if the fish is processed at a landing site and then transferred to a processing facility for additional processing, yields at each site are clearly distinct in the record. This information shall be consolidated by the Certificate Holder across all sites within scope of the Certificate.</p> <p>It is acceptable to demonstrate a verified average processing loss calculation for each site that can be applied in place of keeping specific records of each individual processing activity. The average shall be based on actual records taken at a previous point in time.</p> <p>Records shall be kept in an accessible format and retained for a minimum of three years.</p>



SUB-MODULE 8.2: Agreements are Followed.

No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
Objective 8.2.1: All fair trade signed written agreements between the Certificate Holder and its buyers are honored.				
8.2.1.a	All elements of Fair Trade USA transactions fixed in signed written agreements between the Certificate Holder and its buyers are honored unless both parties agree to a change in writing.	C-Y0	NA	Clarification: The intent of this criterion is that it is the Certificate Holder's responsibility to not default on terms they agreed upon in order to take advantage of changes in market conditions.
8.2.1.b	The Certificate Holder has a written agreement with the Premium Payer to define terms and transfer of Premium payments to the Premium bank account.	C-Y0	NA	Clarification: This criterion is not applicable if the Certificate Holder and the Premium Payer are the same entity.
Objective 8.2.2: There are signed agreements with entities supplying Fair Trade Certified seafood, which define the general terms of trade, including any payment-share systems.				
8.2.2.a	<p>There is a signed written agreement with all suppliers in the scope of the Certificate defining the terms of trade. At a minimum the agreement includes:</p> <ul style="list-style-type: none"> • The price to be paid for the product, taking into consideration requirements on Fair Trade Premium; • Payment terms including payment-share systems, and the party responsible for paying Premium; • Terms of delivery and product quality characteristics; and, • A mechanism to resolve conflicts. 	C-Y0	NA	Clarification: The agreement is intended to outline the trade relationship between the Certificate Holder and all entities from which they are purchasing Fair Trade Certified seafood, so that terms of trade are transparent and clearly understood by all parties. In cases where the supply chain includes multiple tiers of product aggregation, agreements are required between both parties involved in each transaction. Any agreement between the Certificate Holder and an intermediary between a Fishing Association and the Certificate Holder must be made transparent to the fishers.



No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
				<p>In the case of a Certificate Holder purchasing from a Fishing Association or cooperative, the Certificate Holder may sign a written agreement directly with the organization instead of with each individual Registered Fisher. The terms of the agreement must be shared with each participating Registered Fisher.</p> <p>The agreement cannot restrict entities within the Certificate from selling to entities other than the Certificate Holder.</p> <p>The agreement cannot make the purchase of Fair Trade Certified seafood dependent on the purchase of non-certified seafood.</p>
8.2.2.b	The agreement in 8.2.2.a is followed and Premium calculation and payment are in compliance with requirements for Fair Trade Premium.	C-Y0	NA	<p>Clarification: The details about the agreement are specified in 8.2.2.a.</p> <p>In addition to ensuring that Certificate Holders and intermediaries comply with trade commitments to fishers outlined in the contract, the intent is that Premium calculation and payment are always compliant with Fair Trade USA's requirements on Fair Trade Premium, independent of the contract contents.</p>
<p>Objective 8.2.3: A sourcing plan summarizing expectations regarding volumes to be sourced in the next six to 12 months is shared with the Fair Trade Committee and Fishing Association.</p>				
8.2.3.a	A sourcing plan, summarizing expectations regarding volumes to be sourced and Premium to be paid based on the volume sourced in the next six to 12 months, is shared with the Fair Trade Committee and Fishing Association.	C-Y0	NA	<p>Clarification: The sourcing plan is intended to be a communication tool between buyers and fishers. This plan is not binding. Volumes should not exceed ecological sustainability limits.</p>



No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
				<p>The commitment to provide estimates of order volumes is intended to support open communication and planning between buyers and suppliers in a manner that works for both parties. These volume estimates are nonbinding, though 8.2.3.b encourages buyers and suppliers to work together to improve the accuracy of these estimates over time.</p> <p>The Certificate Holder must share information on expected Premium payments with the Fair Trade Committee based on Fair Trade USA sales and sales forecasts.</p> <p>For supply chains with Registered Fishers and crew members, the sourcing plan must be shared with the Fishing Association and the Fair Trade Committee.</p> <p>For supply chains with hired-labor fishers, the sourcing plan must be shared with the Fair Trade Committee.</p> <p>Recommendations: The sourcing plan is summarized and shared with Fair Trade USA.</p> <p>As absolute volumes can vary year over year unpredictably, these estimates can take the form of a percentage of product that will be sold on Fair Trade terms.</p> <p>In cases where there are no Fair Trade USA sales yet, the Certificate Holder should share the estimated Premium income for the following year based on Fair Trade USA sales forecasts.</p>



No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
8.2.3.b	At the end of each trading season (at least annually), a report summarizing the total volumes purchased on Fair Trade terms and how the volume compares with estimates of sourcing volumes provided under 8.2.3.a is shared with the Fair Trade Committee and Fishing Association.	C-Y1	NA	Clarification: The intent of this criterion is to help the Fishing Association and the Certificate Holder improve purchase volume estimates over time and use them as a tool to better enable both parties to plan sourcing or production.
Objective 8.2.4: The Fair Trade Committee receives the correct amount of Premium in a timely manner.				
8.2.4.a	Where the Certificate Holder is responsible for transferring the Fair Trade Premium to the Fair Trade Committee, the correct amount of Premium is transferred and no deductions are made. The Premium is transferred to the Fair Trade Committee no more than one month after the Certificate Holder receives the Premium.	C-Y0	NA	Clarification: If there are multiple Fair Trade Committees and the Certificate Holder is responsible for distributing Premium, the Certificate Holder pays the correct amount of Premium to each Fair Trade Committee according to the rules agreed to by the Fair Trade Committee membership as required in 1.3.1.a, 1.3.1.b and 1.3.1.f. . If the bank account (1.4.4.b) is not set up by the time Premium is received, the Certificate Holder has a signed agreement with a representative of the Premium Participants, that acknowledges the Premium Participants as the true owners and details the transfer to the Premium bank account once arranged.
Objective 8.2.5: Interest rates and credit or pre-finance conditions are transparent.				
8.2.5.a	When credit or pre-finance is provided from the Certificate Holder or buyer, the interest rate and conditions attached to the offer are agreed upon in advance with the Registered Fishers.	C-Y0	C-Y0	Clarification: Such advances and loans, and the deductions from wages or payment for seafood made for their repayment, should not exceed legal limits and shall not be used as a means to bind crew members or workers to employment.



No.	Compliance Criteria	CH	Fishers/ Land-based Facilities	Intent and Clarification
				<p>In exceptional cases, the agreement need not be written if it is certain all parties understand the repayment parameters and the crew member or worker is not entering into an unsustainable debt.</p> <p>The <i>buyer</i> in this requirement includes intermediaries that purchase product from the fishers and sell to the Certificate Holder.</p>
8.2.5.b	When credit or pre-finance is provided from the Certificate Holder or buyer, the interest rates charged are not higher than the cost of borrowing.	C-Y0	C-Y0	<p>Clarification: The <i>buyer</i> in this requirement includes intermediaries that purchase product from the fishers and sell to the Certificate Holder.</p>
8.2.5.c	Cost break downs of inputs and services are available, transparent, and coherent. Costs of inputs and services are not higher than normal market prices.	C-Y0	C-Y0	<p>Recommendations: Here inputs refer to ice, boat engines, bait, fishing gear, or other 'inputs' provided to fishers for a fee or deducted from the cost of the product.</p>

SUB-MODULE 8.3: Certificate Holders Are Transparent with Fair Trade USA and the Conformity Assessment Body.

No.	Compliance Criteria	CH	Fishers/Land-based Facilities	Intent and Clarification
<p>Objective 8.3.1: Certificate Holders only sell Fair Trade products in accordance with the scope of their Certificate.</p>				
8.3.1.a	The Certificate Holder does not sell product as Fair Trade Certified unless the product and production sites, including vessels and land-based facilities, have been included in the scope of the Certificate.	C-Y0	NA	<p>Clarification: The intent of this criteria is that products sold as Fair Trade Certified have a valid Certificate. A valid Certificate means that entities have an active certification status.</p> <p>See the Requirements for Certificate Scope Under the Capture Fisheries Standard for details of entities and</p>



No.	Compliance Criteria	CH	Fishers/Land-based Facilities	Intent and Clarification
				<p>activities included under the scope of the Certificate. Note that a list of land-based facilities and landing sites included in the scope of the Certificate is required in 9.1.2.a and 9.1.2.b, respectively.</p> <p>Requirements for adding sites to the scope of the Certificate are defined in 9.2.3.e.</p>
<p>Objective 8.3.2: The Certificate Holder allows Fair Trade USA and approved Conformity Assessment Bodies to perform assurance activities against the scope of their Certificate</p>				
8.3.2.a	Audits (both announced and unannounced) are allowed to proceed unobstructed, and all information necessary to complete the audit is made available to the Conformity Assessment Body.	C-Y0	NA	<p>Clarification: Auditors must be permitted access to any site that is included in the scope of the Certificate.</p> <p>See the Requirements for Certificate Scope under the Capture Fisheries Standard for details of entities and activities included under the scope of the Certificate</p>
8.3.2.b	The Certificate Holder has written contracts with all intermediaries and subcontractors not covered by the scope of the Certificate that handle Fair Trade Certified product. The contract is followed.	C-Y0	NA	<p>Clarification: See the Requirements for Certificate Scope under the Capture Fisheries Standard for details of entities and activities included under the scope of the Certificate and requirements for contracts with subcontractors.</p> <p>The contract contains a commitment to Fair Trade USA's Policy on Zero Tolerance Issues and relevant compliance criteria related to traceability in Sub-module 8.1.</p> <p>This includes sites owned or managed by the Certificate Holder which are out of scope of the Certificate, but must comply with Section 5 in the</p>



No.	Compliance Criteria	CH	Fishers/Land-based Facilities	Intent and Clarification
				<u>Requirements for Certificate Scope under the Capture Fisheries Standard.</u>
8.3.2.c	A contact person has been designated by the Certificate Holder to keep Fair Trade USA and the Conformity Assessment Body updated with all information relevant to the Certificate. This person understands the scope of his/her responsibilities.	C-Y0	NA	Clarification: Relevant information includes, but is not limited to, changes to the scope of the Certificate, contact information, serious non-compliances identified, as well as any information that would make compliance to the CFS no longer possible by the Certificate Holder.
8.3.2.d	There are no violations to Fair Trade USA’s <u>Policy on Zero Tolerance Issues</u> by subcontractors and all intermediaries, and subcontractors and intermediaries abide by relevant compliance criteria related to traceability in Sub-module 8.1.	C-Y0	NA	Clarification: Refer to Fair Trade USA’s <u>Policy on Zero Tolerance Issues</u> for a full list of zero tolerance requirements.
Objective 8.3.3: All additional activities required of the Certificate Holder in order to demonstrate compliance with the Capture Fisheries Standard (CFS) and the Fair Trade USA program have been met.				
8.3.3.a	Conditions of all exceptions granted by Fair Trade USA have been met.	C-Y0	NA	Clarification: In instances where the Certificate Holder has been granted an exception, any conditions associated with this exception shall be checked during an audit.
8.3.3.b	The Certificate Holder submits information to Fair Trade USA when requested.	C-Y0	NA	Clarification: This includes, but is not limited to, sales reports and Premium spending reports.
Objective 8.3.4: Certificate Holders abide by the rules applicable during suspension.				
8.3.4.a	If the Certificate Holder is suspended, contracts or purchase agreements for Fair Trade Certified product that have already been signed must still	C-Y0	NA	Clarification: During a suspension, the creation of new trade relationships is not allowed.



No.	Compliance Criteria	CH	Fishers/Land-based Facilities	Intent and Clarification
	be fulfilled. New contracts may be signed, but only with buyers with which the Certificate Holder has an existing trade relationship (commercial transactions that have taken place in the previous 12 months). The volume traded during the suspension period cannot exceed the greater of 50% of the volumes traded in the preceding 12 months, or the total volume contracted prior to the suspension.			Additional rules of suspension may apply.
Objective 8.3.5: Seafood caught before the initial audit cannot be sold as Fair Trade Certified.				
8.3.5.a	For new Certificates, seafood caught before the first day of the initial audit may not be sold as Fair Trade Certified.	C-Y0	NA	
Objective 8.3.6: Products may only use the Fair Trade Certified seal if approved by Fair Trade USA.				
8.3.6.a	The Certificate Holder does not sell finished product with the Fair Trade Certified seal unless it has a license agreement with Fair Trade USA allowing it to do so.	C-Y0	NA	<p>Clarification: Only partners who sign a licensing agreement with Fair Trade USA may use the Fair Trade Certified seal and claim on finished products.</p> <p>Organizations that are certified to sell Fair Trade Certified products may use the Fair Trade Certified seal and claim in promotional materials (such as brochures, websites, or wholesale packaging). Any usage of the seal and claim is in accordance with the Seal Use Guide.</p> <p>Usage of the Fair Trade Certified seal on finished products has received prior approval from Fair Trade USA.</p> <p>A finished product is a certified product that has completed all manufacturing and processing and is</p>



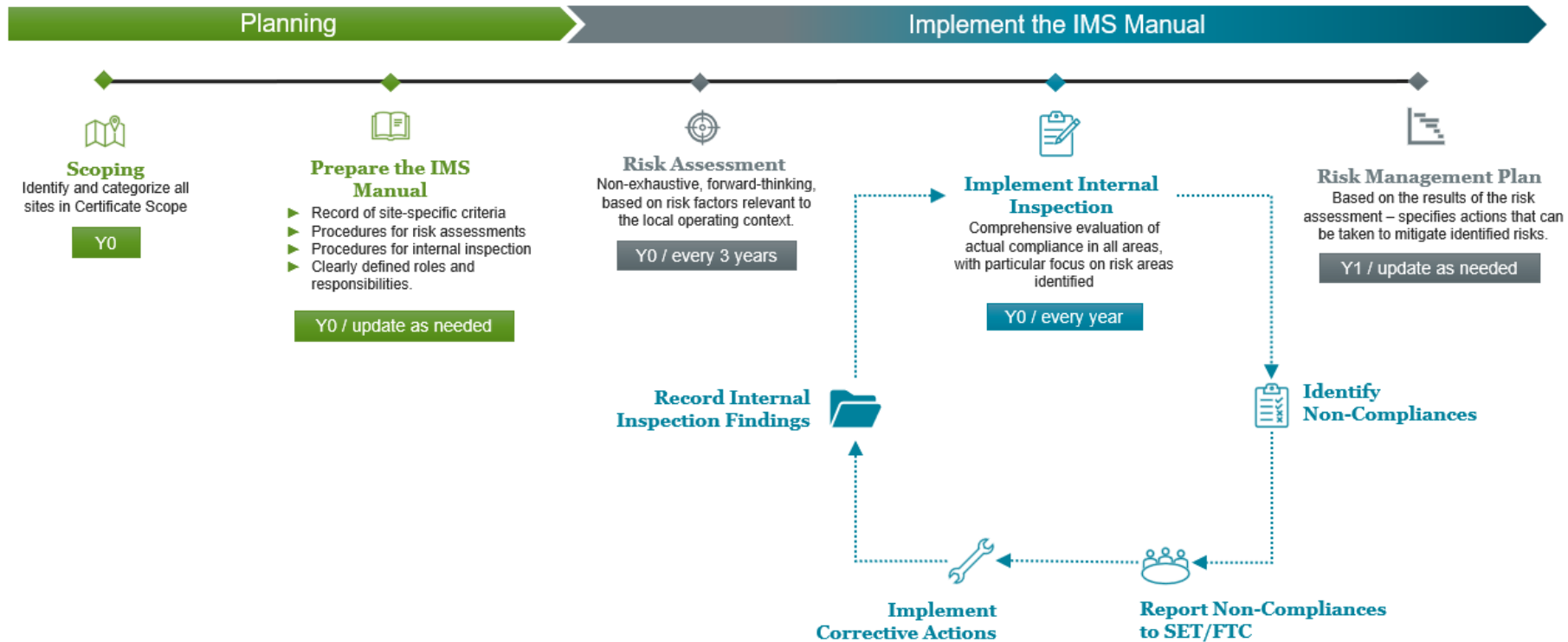
No.	Compliance Criteria	CH	Fishers/Land-based Facilities	Intent and Clarification
				ready to be sold or distributed to the end-user in the retail sector or the restaurant/food service sector.
Objective 8.3.7: Fair Trade Certified seafood is not sold to decertified buyers from the date of the buyer's decertification. In such cases, contracts or purchase agreements that have not yet been shipped shall not be classified as Fair Trade USA contracts or purchase agreements.				
8.3.7.a	Fair Trade Certified seafood is not sold to decertified buyers from the date of the buyer's decertification. In such cases, contracts or purchase agreements that have not yet been shipped shall not be classified as Fair Trade USA contracts or purchase agreements.	C-Y0	NA	Clarification: The intent of this criterion is that product is not sold to decertified operators, even if they have been Fair Trade Certified at one time. This means that the product can no longer be sold as Fair Trade Certified to this buyer and cannot be marked as such to any decertified buyer or by any decertified buyer.

Module 9. Internal Management System

A functioning management system within a company, producer organization, and certified group is necessary to support the implementation of the Capture Fisheries Standard (CFS) and the empowerment of fishers and workers. This module details the requirements of the Internal Management System (IMS) that the Certificate Holder must have in place to assist with the implementation and monitoring of the CFS. The IMS focuses on identifying risks of non-compliance with the CFS, monitoring those risks, and taking measures to address areas where non-compliances with the CFS are identified on all sites included in the Certificate, including vessels and land-based facilities. Planning, implementation, and record keeping are fundamental to the success of the IMS.



The IMS Module will be best positioned to achieve the desired outcomes outlined above by implementing as follows:



The Certificate Holder must have sufficient staff or support in the same country as the suppliers included under its Certificate to implement the IMS and ensure that its suppliers follow the CFS. The Certificate Holder must either: a) be in the same country as its suppliers included in the scope of the Certificate, or b) have a local majority-owned subsidiary that is responsible for implementing the IMS, or c) have sufficient locally based staff or have contracted a local support consultant or organization as an implementation partner to manage some or all of the IMS. Further details on requirements for the scope of the Certificate and the Certificate Holder’s responsibilities are in the separate standard document [Requirements for Certificate Scope Under the Capture Fisheries Standard](#).

The Certificate Holder must ensure that roles and responsibilities related to implementing the IMS are clearly understood by all parties. The Conformity Assessment Body is responsible for determining if the IMS is sufficient to ensure that all entities included in the scope of the Certificate are implementing the CFS correctly.



SUB-MODULE 9.1: An Internal Management System (IMS) is Created to Facilitate Compliance and Improvements.

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 9.1.1: At least one person is appointed as responsible for compliance with the CFS and management of the Internal Management System (IMS).			
9.1.1.a	One or more people are responsible for the overall management of the IMS, as well as for the management of compliance with each CFS module.	C-Y0	<p>Clarification: The Certificate Holder shall clearly identify who is responsible for the overall management of the IMS (IMS Manager), as well as any individual(s) responsible for the implementation of and training for each module of the CFS. These roles can be filled by the same person.</p> <p>See 9.1.1.b for the specific requirements of the individual who is responsible for compliance with Module 7, Resource Management, of the CFS.</p> <p>Recommendations: Where there is a Fishing Association, it is recommended to specify a Registered Fisher representative as a point of contact for IMS implementation.</p>
9.1.1.b	<i>Applicable if a third-party implementation partner is involved</i> in 9.1.1.a: An agreement of responsibilities (for instance a contract or a Memorandum of Understanding) is in place between the Certificate Holder and the third party that specifies which CFS requirements are to be managed and/or undertaken by which party.	C-Y0	<p>Clarification: The Certificate Holder may contract a third-party implementation partner to assist with implementing the CFS as long as the third party is vetted by the majority of the fishers and has appropriate experience.</p> <p>As the Certificate Holder is ultimately responsible for compliance with the CFS, it is the Certificate Holder's responsibility to ensure the third-party implementation partner is fulfilling its duties and undertaking the agreed-upon tasks.</p> <p>Recommendations: The agreement can be as simple or as detailed as the parties wish and can include other activities unrelated to compliance with the CFS.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
9.1.1.c	The Certificate Holder or Fishing Association demonstrates they have the scientific capacity needed to comply with the requirements in Module 7 of the CFS.	C-Y1	<p>Clarification: Scientific capacity is achieved through either:</p> <ul style="list-style-type: none"> • A dedicated staff member; or, • An official collaboration with a third party, such as an NGO / independent expert/academic. <p>The scientific capacity must be geared to the reality and needs of the fishery. This may include integrating multiple information sources about fishery stocks and habitat quality along with local capacity building to collaboratively (with local communities) design, implement, and maintain monitoring and assessment systems and integrate local ecological knowledge. If there is a governmental system in place, the scientific capacity can be limited to an individual who understands the regulations and requirements applicable to the fishery.</p> <p>Recommendations: The technical staff/outside expert can help with the design and implementation of data limited stock assessments, corresponding fishery dependent and independent data collection processes, and representative sampling plans as well as any shore-based post-processing and any associated data collection training programs for fishers within scope of the Certificate. In addition, the technical staff/expert can liaise with management authorities and build relationships with government scientific staff.</p> <p>It is best practice for the technical staff to be from the community. This will help promote local capacity building and effective, continuous engagement with Registered Fishers and/or hired-labor fishers. Training in stock assessments and data collection is necessary. Scientific capacity either in-house or external should be identified by year zero to support the onset of certification, and in place by Year 1.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
9.1.1.d	<p><i>Applicable if a third-party is involved in 9.1.1.b:</i> The third party and the Certificate Holder or Fishing Association sign a formal agreement (facilitated through, for instance, a contract or a Memorandum of Understanding) which defines the parameters of their proposed collaboration, and which includes agreed rules and sanctions for all participants.</p>	C-Y1	<p>Clarification: This requirement is only applicable if a third party is used to fulfill the requirements of 9.1.1.c with regards to technical fisheries support and co-management.</p> <p>Recommendations: The agreement may be renegotiated and signed by other interested stakeholders including members from the local community at any point in time.</p>
<p>Objective 9.1.2: The Certificate Holder identifies and documents where and by whom Fair Trade Certified seafood are processed, and stored, and keeps a an up-to-date list of all vessels within scope of the Certificate.</p>			
9.1.2.a	<p>There is an up-to-date list of all sites where Fair Trade Certified seafood is handled (i.e. landed, cleaned, stored, processed, packaged, and subcontracted facilities), and the annual volumes of product moving through sites, beginning at the point of landing.</p>	C-Y0	<p>Clarification: ‘Sites’ refers to all vessels and land based facilities under the scope of the Certificate. This criterion is critical to managing the Fair Trade USA system. The list is where all information is recorded regarding sites where Fair Trade Certified seafood is handled and allows the Certificate Holder, Fair Trade USA, and the Conformity Assessment Body to identify individual land-based facilities and to classify them into ‘Small’, ‘Mid-sized’, and ‘Large’ Operations in order to determine which compliance criteria are applicable to each site. It also allows the Conformity Assessment Body to easily identify sites where Fair Trade Certified seafood is handled. Note, 9.1.2.c also requires a list of all vessels used to catch Fair Trade Certified seafood.</p> <p>This list shall be reviewed annually in preparation for the annual audit and updated where necessary.</p> <p>As part of the list, the Certificate Holder shall document each site and detail the activities that take place at each site, including the flow of product (including volumes) in and out of the site. Information on volumes is captured annually.</p> <p>For Mid-sized and Large Operations, the actual number of permanent workers must be included in the list along with an estimate for the peak</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>number of temporary workers expected to be present at any time over the coming year.</p> <p>For Small Facilities, the information on workers and volumes need not be specific to each site but can cover the typical situation, for instance “the facility has anywhere from one to three permanent workers and directly hires five to ten temporary workers during the fishing season. Their average volume processed per season is x.” The accuracy and specificity of information related to Small Facilities should improve over time.</p> <p>This is not applicable to any sites where fishing activities take place (i.e. vessels, fishing from shore, etc.).</p>
9.1.2.b	The Certificate Holder maintains a map of all areas where Fair Trade Certified seafood is landed, processed, or stored.	C-Y0	<p>Clarification: Site-specific maps shall be made for all Medium and Large Facilities. For Small Facilities, one or more landscape-level maps indicating the areas where the Small Facilities are located is acceptable.</p> <p>As stated in the Introduction , any vessels that do not engage in fishing activity are to be classified according to the land-based facility requirements. This includes vessels where product is processed.</p> <p>Recommendations: Best practice is for facilities to be mapped with GPS references.</p>
9.1.2.c	The Certificate Holder maintains a list of all vessels used to catch Fair Trade Certified seafood. The list is kept up to date.	C-Y0	<p>Clarification: This applies where the Certificate Holder employs fishers as hired-labor fishers and where the Certificate Holder purchases product from Registered Fishers.</p> <p>Vessel lists shall include all information as required by appropriate local, regional, and/or national law where there are vessel registration requirements.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>In the absence of legally mandated requirements, at a minimum, vessel lists must include the following information per vessel:</p> <ul style="list-style-type: none"> • Owner name; • Vessel identifier (name, number, etc.); • Vessel length; • Vessel weight; and, • Minimum and maximum trip length. <p>This includes transfer vessels.</p> <p>Trip length is important to allow the Certificate Holder, Fair Trade USA, and the Conformity Assessment Body to identify requirements in Module 5 that are applicable. Each vessel’s maximum fishing trip length determines which requirements they are accountable for.</p> <p>Other vessels can be used temporarily for up to one year, for instance, while the fisher’s normal vessel is being repaired and need not be included on this list.</p> <p>Recommendations: It is recommended to also record other key dimensions, such as hold size, engine size, type/classification of vessel, and fuel capacity.</p>
9.1.2.d	The Certificate Holder can verify that all vessels used to catch Fair Trade Certified seafood are legally registered and licensed.	C-Y3	<p>Clarification: Where required by law, vessels shall be registered and licensed with the appropriate local, regional, and/or national government body.</p> <p>This requirement is only applicable when there are regulations in place. For example, you may have a fishery that requires a commercial fishing license, which shall be verified, however if they are fishing from a row-boat, canoe, or other non-motorized mode of transportation that does not fall under any legal requirements, these vessels do not have to be formally registered. Note that under 9.1.2.c these vessels must be listed and have some form of identifier.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			In exceptional circumstances, gear registration may be an alternative option if registering vessels proves difficult.
Objective 9.1.3: An Internal Management System (IMS) Manual is created.			
9.1.3.a	<p>An IMS Manual exists that covers sites, individuals, and activities in scope of the Certificate and includes the following:</p> <ul style="list-style-type: none"> • A checklist of applicable site-specific CFS criteria; • A procedure by which to conduct a risk assessment (see 9.2.2.a); • Internal defined inspection procedures (9.1.3.b and/or 9.1.3.c); • A mechanism to resolve non-compliances revealed in the internal inspection (9.1.3.d) • Personnel, roles, and responsibilities related to the implementation of the CFS (see 9.1.1.a and 9.1.1.c); and, • Details of the role of the Certificate Holder in facilitating the implementation of Module 1 of the CFS. 	C-Y0	<p>Clarification: There is one Manual that compiles all of the procedures, policies, and activities needed to fulfill other criteria in this module.</p> <p>Where there is a Fishing Association, the checklist of applicable site-specific compliance criteria should clearly indicate all compliance criteria of the CFS that are the responsibility of the Fishing Association and/or Registered Fishers versus those that are the responsibility of the Certificate Holder and/or employer.</p> <p>In a supply chain with both land-based facilities and fishing activity conducted by Registered Fishers (rather than hired-labor fishers), there are two internal inspection procedures, both of which are recorded in one IMS Manual maintained by the Certificate Holder (9.1.3.b and 9.1.3.c, respectively).</p> <p>In developing the IMS Manual the Certificate Holder must consider and specifically highlight the roles and responsibilities of any third-parties, including implementation partners and labor contractors.</p> <p>Recommendations: The Manual may also include other requirements against which each site will be evaluated, such as internal rules or other certification scheme requirements.</p> <p>Best practice is to work with any labor contractors to develop their own manual or to share with them an abbreviated version of the Certificate Holder’s IMS Manual.</p> <p>It is best practice to update the content of the Manual as changes occur within the scope of the Certificate.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
9.1.3.b	<p><i>Applicable to land-based facilities and vessels operated by hired-labor fishers:</i> The internal inspection procedure defined by the Certificate Holder for vessels operated by hired-labor fishers and/or land-based facilities specifies when and how each site will be inspected. The procedure is included in the IMS Manual.</p>	C-Y0	<p>Clarification: The procedure by which internal inspections are conducted must include elements specific to the inspection of any landing sites, processing facilities, and vessels operated by hired-labor fishers included in the scope of the Certificate.</p> <p>The internal inspections for land-based facilities and vessels operated by hired-labor fishers classified as Mid-sized or Large Operations must occur every year. For Small Operations, inspection frequency and process must be sufficient to support compliance with the CFS.</p> <p>Site managers are aware of the procedure and are aware that unannounced inspections may take place.</p> <p>Note that in a supply chain where the fishing activity is conducted by Registered Fishers, this procedure only covers land-based facilities and inspection of Fishing Association requirements, including inspection of Registered Fishers, according to 9.1.3.c below.</p> <p>Refer to the Guidance for Internal Management System Implementation Under FTUSA’s Producer Standards for additional guidance on internal inspection procedures.</p> <p>Recommendations: It is best practice to include unannounced internal inspections, as well as regular announced internal inspections in the internal inspections system. It is also recommended to have a system by which entities in the scope of the Certificate can report suspected non-compliances.</p> <p>It is also best practice for internal inspections to occur during times when high-risk activities (for instance harvest) are being conducted.</p>
9.1.3.c	<p>The internal inspection procedure for Fishing Association-level requirements and inspections on vessels of Registered Fishers defines when and how the Fishing Association and vessels will be</p>	C-Y0	<p>Clarification:</p> <p>This procedure should be determined through collaboration between the Certificate Holder and Fishing Association representatives. The inspections can be led by either the Certificate Holder or the Fishing</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
	inspected. The procedure is included in the IMS Manual.		<p>Association. The Certificate Holder and Fishing Association leadership clearly communicate this procedure to Registered Fishers, and Registered Fishers are aware of when and how their vessels will be inspected.</p> <p>The internal inspection covers vessels of Registered Fishers and all compliance criteria that are complied with at the Fishing Association level (i.e. any policies or procedures implemented at the Fishing Association level). Each Registered Fisher vessel shall be visited at least once every 3 years. By Year 0, at least one-third of all vessels of Registered Fishers must have been visited. Refer to the Guidance for Internal Management System Implementation Under FTUSA's Producer Standards for sampling adaptations and additional guidance on internal inspection procedures.</p> <p>Recommendations: At the beginning of the program, it may be easier for the Certificate Holder to have primary responsibilities for the internal inspection while the Fishing Association is being formed. The procedure can change over time toward an internal inspection procedure centralized with the Fishing Association.</p>
9.1.3.d	The IMS Manual includes a mechanism to resolve non-compliances identified during the internal inspections.	C-Y0	<p>Clarification: The intent of this criterion is to ensure that there is an agreed upon, documented process by which corrective actions are developed, implemented, and monitored to resolve non-compliances promptly. This process is distinct from the Risk Management Plan required in 9.2.2.b, which is intended to prevent non-compliances. Internal inspectors may play a role in resolving non-compliances.</p> <p>As part of the management of the Internal Management System (IMS), the IMS Manager shall elect an individual or a committee to be responsible for reviewing and approving corrective actions, as well as following up where appropriate.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Recommendations: It is best practice for the Certificate Holder to have a sanctions and appeals procedure for operations with serious non-compliances found during internal inspections.</p>
<p>Objective 9.1.4: The Internal Management System (IMS) is used as a tool for planning and recording trainings.</p>			
9.1.4.a	All trainings required in the CFS are planned and documented as part of the IMS Manual.	C-Y1	<p>Clarification: The intent of this criterion is to ensure that the Certificate Holder is thinking ahead and documenting all trainings required throughout the CFS. This includes applicable trainings at the Fishing Association level. The Certificate Holder creates a plan outlining how they will meet the training requirements within the indicated timeframes including the Progress score training requirements in Modules 3 through 7. The training plan and documentation must be kept up-to-date.</p> <p>The Certificate Holder is responsible for ensuring the trainings are carried out, however, the Fishing Association can plan the trainings and include the Certificate Holder in the planning process if desired.</p> <p>Recommendations: It is best practice for the Certificate Holder to update the training plan on a quarterly basis.</p>

SUB-MODULE 9.2: The Internal Management System is Implemented.

No.	Compliance Criteria	Timeline	Intent and Clarification
<p>Objective 9.2.1: The IMS Manual is followed.</p>			
9.2.1.a	The IMS Manual is followed.	C-Y0	
<p>Objective 9.2.2: A risk assessment is carried out according to the IMS Manual to identify areas of risk for non-compliance with the CFS, and to guide the focus of the internal inspection.</p>			



No.	Compliance Criteria	Timeline	Intent and Clarification
9.2.2.a	The Certificate Holder carries out a risk assessment every three years identifying areas of risk for non-compliance with the CFS.	C-Y0	<p>Clarification: The risk assessment is a forward-thinking process, the results of which shall inform a change in operation to mitigate possible risks from becoming a reality. It is not meant to be an exhaustive evaluation of the entire set of criteria, and should identify and include risk factors relevant to the local operating context, including social, political, and environmental conditions as well as practices that increase risk such as the use of in-kind payments or hiring via labor contractors and/or recruiters. This also includes the risk of non-compliance with future year criteria. The results must be used to identify the specific criteria that will be checked during the internal inspection.</p> <p>If significant changes to the scope of the Certificate occur, the risk assessment shall be updated. Significant changes include, but are not limited to: a large number of new members, a new product line, or new sites of different sizes or geographies.</p> <p>The Certificate Holder is ultimately responsible for assessing risk associated with Registered Fishers, however the Certificate Holder should work closely with the Fishing Association leadership to assess risks at the Registered Fisher level.</p> <p>Recommendations: As a best practice, the risk assessment should be updated annually.</p> <p>It is possible to combine sites as long as the risks at each site are clear in the internal inspection.</p>
9.2.2.b	A Risk Management Plan is designed and implemented based on the results of the risk assessment.	C-Y1	<p>Clarification: The Risk Management Plan identifies specific actions that can be taken to further reduce or mitigate the risk of facilities becoming non-compliant with the CFS. This includes the risk of non-compliance with future year criteria. The Certificate Holder has a process in place to prepare sites for future year criteria.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Where there is a Fishing Association, the Certificate Holder works closely with Fishing Association leadership to create a plan around risks identified at the Registered Fisher level.</p> <p>The Risk Management Plan is updated as needed based on the risk assessment.</p> <p>The Risk Management Plan is different than the remediation process required in 9.1.3.d. The Risk Management Plan is intended to help prevent non-compliances, while the remediation process corrects existing non-compliances.</p> <p>Note that 2.3.1.d describes particular risk mitigation measures required for child labor and young worker protection. Certificate Holders may choose to integrate the risk mitigation measures in 2.3.1.d with this Risk Management Plan or to manage them separately.</p>
<p>Objective 9.2.3: The internal inspection system defined in the IMS Manual is implemented.</p>			
<p>9.2.3.a</p>	<p><i>Applicable to land-based facilities and vessels operated by hired-labor fishers:</i> There is an internal inspection of all land-based facilities and vessels operated by hired-labor fishers included in the scope of the Certificate.</p>	<p>C-Y0</p>	<p>Clarification: This is according to the procedure outlined in the IMS Manual (9.1.3.a) and defined in 9.1.3.b.</p> <p>The intent of this criterion is to help evaluate the risk mitigation strategies put in place through the risk assessment to see if they are achieving the outcomes of the CFS.</p> <p>Recommendations: It is best practice for the internal inspection to be a proactive process. This way all requirements, regardless of compliance year, are evaluated to help plan in advance of the compliance schedule.</p> <p>Systematic or significant non-compliances discovered during an external audit could indicate that the internal inspection system needs to be modified to better monitor compliance during high-risk activities. It is best practice to compare the results of the internal inspection with</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>the results of the external audit to identify systematic non-compliances and improve the internal inspection system.</p> <p>During internal inspections, it is recommended that the inspector use the visit to gather data required for the Needs Assessment as a means of optimizing time spent on-site.</p>
9.2.3.b	<p>There is an internal inspection of vessels owned and/or operated by the Registered Fishers.</p>	C-Y0	<p>Clarification: This is according to the procedure outlined in the IMS Manual (9.1.3.a) and defined in 9.1.3.c.</p> <p>It is the Certificate Holder’s responsibility to ensure this inspection takes place and can collaborate closely with the Fishing Association to conduct this assessment.</p> <p>Recommendations: It is best practice to inspect one-third of all vessels owned and/or operated by Registered Fishers.</p>
9.2.3.c	<p>Records are kept of internal inspections of each site, which include the following:</p> <ul style="list-style-type: none"> • Date of inspection; • Name and identification of vessel or facility inspected; and, • Identification of corrective actions taken to resolve any non-compliances. 	C-Y0	<p>Clarification: This applies to internal inspections of both land-based sites and vessels managed by the Certificate Holder, and vessels owned and/or operated by Registered Fishers.</p> <p>The intent of this criterion is to have a site-specific registry which will help address potential non-compliances by site.</p>
9.2.3.d	<p>A central registry of all non-compliances identified during internal inspections is kept and presented to the auditor prior to the audit. The registry includes the corrective actions taken to resolve any non-compliances.</p>	C-Y0	<p>Clarification: The Certificate Holder is transparent with Fair Trade USA and the Conformity Assessment Body prior to the audit. This information will assist the auditor in focusing the audit in order to assess whether the non-compliances identified by the Certificate Holder have been resolved appropriately.</p> <p>There can be two registries to differentiate sites/vessels that are managed by the Certificate Holder versus those vessels owned and/or operated by the Registered Fishers. Ultimately it is the Certificate</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>Holder’s responsibility to ensure there is a list or lists that cover all applicable compliance criteria associated with each site/vessel in scope of the Certificate.</p>
9.2.3.e	<p>All new sites have gone through an internal inspection and meet requirements of the CFS prior to being included in the scope of the Certificate.</p>	C-Y1	<p>Clarification: A <i>site</i> includes new land-based sites, new vessels operated by hired-labor fishers, and/or vessels owned and/or operated by Registered Fishers.</p> <p>The intent of this criterion is to identify any non-compliances and ensure that they are adequately resolved before new entities are added to the scope of the Certificate.</p> <p>For Small Operations, and vessels owned and/or operated by Registered Fishers, the majority of new sites/vessels must have gone through an internal inspection.</p> <p>Note that the Conformity Assessment Body may need to be informed about new sites to be added to the Certificate, and that an additional audit might be triggered. If significant changes have occurred to the scope of the Certificate, please contact the Fair Trade USA Certification Department. Criterion 9.2.2.a provides examples of significant changes to scope. Please review the Changes to Certificate Scope Procedure to determine if an audit must be carried out.</p>
<p>Objective 9.2.4: Results of Fair Trade USA audits and internal inspections are shared with the Fair Trade Committee and the Social Engagement Team.</p>			
9.2.4.a	<p>Results of Fair Trade USA audits and internal inspections are shared with the Fair Trade Committee and Social Engagement Team.</p>	C-Y1	<p>Clarification: A representative from the Social Engagement Team need only be present once it has been established if not already by Y1.</p> <p>This is only applicable only where the Conformity Assessment Body has issued non-conformities for which the Certificate Holder needs to submit a Corrective Action Plan.</p> <p>Recommendations: As a best practice, representatives of the Fair Trade Committee(s) and the Social Engagement Team are invited to</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>observe the closing meeting of Fair Trade USA audits. As an additional best practice, audit and inspection results are shared with all participating Registered Fishers and workers in a manner that respects privacy of individuals and treats sensitive information appropriately. The aim is that by sharing these results, the Fishing Association and workers will be able to assist in identifying non-compliances and participate in implementing corrective actions.</p> <p>Other members of the Fishing Association leadership who are not part of the Fair Trade Committee may also be included in this meeting.</p>

SUB-MODULE 9.3: Hired-labor Fisher and Worker Engagement in the Internal Management System and Channels of Communication Between the Certificate Holder and Hired-Labor Fishers and Workers

No.	Compliance Criteria	Timeline	Intent and Clarification
Objective 9.3.1: There is regular and open communication between employers, and hired labor fishers and workers.			
9.3.1.a	<p><i>Applicable only for Mid-sized and Large Operations:</i> There is a Social Engagement Team (SET) in place to facilitate grievance, suggestion, and communication systems, and help identify risks of non-compliance with the Capture Fisheries Standard.</p>	C-Y1	<p>Clarification: This requirement is best practice for Small Operations.</p> <p>The members of the SET are chosen from and by the workforce of hired-labor fishers and workers they will represent.</p> <p>A member of management or mid-management must be included in the SET in order to facilitate conversations with upper management.</p> <p>In supply chains with both hired-labor fishers and workers, there can be one SET that encompasses both groups, or each group of individuals can have their own SET. This will depend on how these groups interact; hired-labor fishers and workers will choose based on their preferences.</p> <p>The role of the SET is to:</p> <ul style="list-style-type: none"> • Help ensure awareness and effectiveness of grievance procedures, suggestion systems, and other tools in order to facilitate



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>transparency and communication between hired-labor fishers and/or workers and management;</p> <ul style="list-style-type: none"> • Collaborate with the employer in the collection of feedback on the grievance policy and procedure in accordance with see 4.5.2.i, and communicate this feedback to the employer; and, • Help identify risks of non-compliance with the CFS. <p>Management shall understand the purpose of the SET, and not interfere with its effective functioning. Management shall collaborate with the SET in defining the mechanisms by which the SET will fulfill its role.</p> <p>The SET is distinct from the Fair Trade Committee, which is responsible only for making decisions about the use of the Fair Trade Premium, and may also have a different constituency if both hired-labor fishers and workers are included as Premium Participants.</p> <p>Where the formation of a representative worker team, or collaboration of a representative worker team with management, is regulated under law, the Certificate Holder should ensure the SET is developed and operates in a manner that does not violate applicable law.</p> <p>Recommendations: Best practice is for there to be term limits on the SET to allow a diversity of participation.</p> <p>The SET could also be delegated the responsibility to lead worker rights trainings and ensure that workers are aware of their rights under the law and the CFS.</p>
9.3.1.b	<p><i>Applicable only for Mid-sized and Large Operations:</i> The majority of hired-labor fishers and workers choose the individuals to represent them in the Social Engagement Team.</p>	C-Y3	<p>Clarification: This requirement is best practice for Small Operations.</p> <p>The intent of this criterion is for hired-labor fishers and workers to be represented by the members of the SET.</p> <p>In some cases, where the structure of the group of hired-labor fishers and workers reflects that of the Premium Participants, hired-labor</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
			<p>fishers and/or workers may choose to select the same group of individuals to serve as the Fair Trade Committee and SET.</p> <p>In supply chains with both hired-labor fishers and workers, there can be one SET that encompasses both groups, or each group of individuals can have their own SET. This will depend on how these groups interact and is based on preference.</p> <p>Hired-labor fishers and workers may choose to form one or more SET(s), as is appropriate based on the number of independent workplaces within the scope of the Certificate. All hired-labor fishers and/or workers should be aware of who sits on the SET for their workplace.</p> <p>Where the formation of a representative worker team, or collaboration of a representative worker team with management, is regulated under law, the employer should ensure the SET is developed and operates in a manner that does not violate applicable law.</p>
9.3.1.c	<p><i>Applicable only for Mid-sized and Large Operations:</i> The SET receives annual trainings on their role and responsibilities.</p>	C-Y3	<p>Clarification: This requirement is best practice for Small Operations.</p> <p>This requirement includes trainings on grievance procedures and suggestion systems. When SET members are Premium Participants, Fair Trade Premium may be used for these trainings as long as this is voted and agreed upon under the Premium use decision-making rules in Module 1.</p>
9.3.1.d	<p><i>Applicable only for Mid-sized and Large Operations:</i> The SET is familiar with the Fair Trade USA program and plays a role in helping to identify areas of potential non-compliance with the CFS and/or the prioritization of Progress criteria.</p>	C-Y6	<p>Clarification: This requirement is best practice for Small Operations.</p> <p>When SET members are Premium Participants, Fair Trade Premium may be used for these trainings as long as this is voted and agreed upon under the Premium use decision-making rules in Module 1.</p>
9.3.1.e	<p><i>Applicable only for Mid-sized and Large Operations:</i> The SET is involved in conducting the risk</p>	C-Y6	<p>Recommendations: This requirement is best practice for Small Operations.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
	assessment required in 9.2.2.a to identify areas of risk of non-compliances with the Capture Fisheries Standard.		It is best practice for the SET to participate in the Hazard Assessment on vessels and land-based facilities under 5.3.3.a and 6.3.4.a, respectively.
9.3.1.f	<i>Applicable only for Mid-sized and Large Operations:</i> The Social Engagement Team (SET) meets independently as a Team and also with management to discuss relevant issues with sufficient regularity to fulfill their role.	C-Y3	<p>Clarification: This requirement is best practice for Small Operations.</p> <p>Sufficient regularity shall be defined by the SET itself, though it is recommended they meet with management and the Fair Trade Committee three to four times per year.</p> <p>Discussion topics at SET meetings and joint SET-management meetings shall include discussion of the level of awareness among hired-labor fishers and/or workers of grievance and suggestion systems, the effectiveness of those systems, and suggestions for improving them. Meeting topics could also include brainstorming of possible solutions to common complaints and reviewing and discussing the merits of suggestions received. Discussion topics are not limited to these systems, but focus shall be on activities that are mutually beneficial to hired-labor fishers and/or workers and the employer. For example, there could be a discussion on providing workshops on nutrition to improve overall health of hired-labor fishers and/or workers and their families.</p> <p>Where collaboration of a representative worker team and management is regulated by law, the Certificate Holder should ensure the SET operates in a manner that does not violate applicable law. If needed for legal compliance, joint SET-management meetings can be waived and the role of the SET can be modified, for example, to sharing ideas and information with management.</p>
Objective 9.3.2: There is regular and open communication between the Fishing Association and the Certificate Holder.			
9.3.2.a	There are regular meetings between the Certificate Holder and the Fishing Association(s) concerning the Fair Trade USA program and	C-Y1	Clarification: This criterion is not applicable if the Certificate Holder and the Fishing Association are the same entity.



No.	Compliance Criteria	Timeline	Intent and Clarification
	<p>compliance with the Capture Fisheries Standard. Issues and concerns of the Registered Fishers are solicited and discussed. These meetings are documented.</p>		<p>Sufficient regularity shall be defined by the Fishing Association itself.</p> <p>Recommendations: It is recommended there are three to four meetings per year.</p> <p>A designated third party may represent the Certificate Holder during these meetings, if appropriate.</p>

SUB-MODULE 9.4: The Relationships Between the Certificate Holder and Any Separately-Managed Entities Included Under the Certificate Are Transparent, Empowering, and Non-Discriminatory.

No.	Compliance Criteria	Timeline	Intent and Clarification
<p>Objective 9.4.1: For Certificates that include entities managed by different parties, each site manager understands their responsibilities regarding certification.</p>			
<p>9.4.1.a</p>	<p>A written statement exists between the Certificate Holder and the Fishing Association, and all land-based facilities under scope of the Certificate have received clear explanations of the rules of Fair Trade as they are applicable to their role in the production of the Fair Trade Certified seafood.</p>	<p>C-Y0</p>	<p>Clarification: Where there are Registered Fishers undertaking fishing activities within scope of these Certificate this written statement can be held with the Fishing Association leadership but must be shared with all Fishing Association members.</p> <p>The intent of this criterion is to ensure that the Fishing Association and all land-based facilities know what benefits and responsibilities they have due to their participation in Fair Trade.</p> <p>The statement shall express a commitment on behalf of the Certificate Holder to comply with the CFS. The Fishing Association and land-based facilities are provided with a copy of the commitment statement and a copy of the requirements applicable to their relevant site.</p>



No.	Compliance Criteria	Timeline	Intent and Clarification
9.4.1.b	There is a written contract between the Certificate Holder and each separately managed entity under the Certificate that explains the responsibilities of each party to comply with the CFS.	C-Y3	<p>Clarification: Where fishing activity is undertaken by Registered Fishers, this contract is held with the Fishing Association, not each individual Registered Fisher.</p> <p>Recommendations: Best practice is for the two parties to sign these contracts as part of the internal inspection and training process. For illiterate fishers or other entities, it is best practice for the contract to be read aloud and for the individual to sign the contract in the presence of a third party.</p> <p>It is best practice for the Certificate Holder to share the internal standard (see 9.1.3.a) as part of this contract, to ensure the entity understands the requirements against which they will be audited.</p> <p>This contract may also be a part of the contract between the Certificate Holder and the Fishing Association and land-based facilities, as required in 8.2.2.a.</p>
Objective 9.4.2: There is no discrimination by the Certificate Holder against current or potential entities in the Certificate.			
9.4.2.a	There is no discrimination against current or potential entities of the Certificate in relation to: rules for program participation, voting rights, the right to be elected, access to markets, price received, access to training, technical support, or any other benefits that the program offers.	C-Y0	<p>Clarification: Discrimination is defined as distinction, exclusion or preference based on race, ethnicity, color, sex, gender, sexual orientation, disability, marital status, family obligations, age, religion, political opinion, pregnancy, HIV/AIDS status, membership status of trade unions or other worker organizations, national extraction, or social origin. It does not include the evaluation of sites for inclusion in the scope of the Certificate based on business needs and capacity.</p> <p>Eligibility for fishers wishing to join the Fishing Association are outlined in 1.2.2.a in the rules of the Fishing Association. These rules cannot be discriminatory.</p>



ANNEX A: Requirements for Setting up the Fair Trade Committee(s) and Distributing Premium

This Annex describes the requirements for setting up the Fair Trade Committee, as required in Criterion 1.3.1.a of the CFS.

Section A.1: The Certificate Holder's responsibilities

A.1.1. The Certificate Holder is responsible for designing the initial structure of the Fair Trade Committee (FTC). They must propose a structure for the FTC that ensures proportional representation of diverse groups within the Premium Participants. They do not identify specific individuals to serve on the FTC.

Section A.2: Ensuring proportional representation of diverse groups

A.2.1. *Diverse groups* shall be identified as appropriate to the composition of the Premium Participants. Groups could include, for example, women fishers, migrant fishers, temporary migrant fishers, workers in a processing facility, multiple fishing operations and land-based facilities, multiple Fishing Associations, or specific communities.

The Certificate scope used during the application process, the list of all members of the Fishing Association (1.2.1.c), and the workforce analysis required in 4.1.3.a should help identify groups within the Premium Participants.

A.2.2. Proportional representation within the FTC could be achieved through a set number of seats for each of the identified groups.

Section A.3: Requirements for multiple Fair Trade Committees

A.3.1. More than one FTC may be created per group of Premium Participants as long as each Premium Participant is represented in exactly one FTC.

Multiple FTCs would be appropriate, for example, in a situation where the group of Premium Participants is part of multiple Fishing Associations, located in different regions, different islands, or where Premium Participants are spread throughout a large geographic area and it would otherwise be difficult to assemble a single representative FTC every three months as required in 1.3.2.d.

A.3.2. When more than one FTC is created per group of Premium Participants, each FTC must develop their own Premium Plan in accordance with the Needs Assessment.

A.3.3. Premium must be equitably distributed among multiple FTCs.

For the initial certification, the Certificate Holder must propose the distribution of Premium among multiple FTCs. This distribution must be approved by all FTCs.

Distribution of Premium among multiple FTCs must be done in a manner that is equitable for all Premium Participants.



- It is most straightforward to distribute Premium among different groups according to the number of Premium Participants in each group. This is the most equitable distribution.
- A preferred approach to distribute Premium among different groups may be based on volume delivered by a group.
- For cases where workers and fishers conform the Premium Participants, Premium could be distributed based on sales, harvest volume, number of Premium Participants, or the time spent with Fair Trade Certified seafood.
 - Distributing according to time spent working on Fair Trade Certified product is recommended when different types of groups are included in the same certificate, for instance a processing facility and several Fishing Associations. The Certificate Holder could calculate roughly how many person-days were spent catching or working on Fair Trade Certified product by each individual, and then weigh each sub-group according to its proportion of the total number of person-days worked on Fair Trade Certified seafood.

The distribution of Premium among multiple FTCs may be changed year to year to account for changes in FTC membership. Any new distributions must be agreed to by all FTCs.



ANNEX B: Compensation Requirements for Participation in Fair Trade Committee and General Assembly Meetings

This Annex explains the requirements for compensating Premium Participants and Fair Trade Committee (FTC) members for their time spent participating in meetings related to the Fair Trade USA Program. It further explains requirements in Criteria 1.3.2.b and 1.3.2.e in the CFS.

General Assembly

B.1.1. The Certificate Holder must ensure that the majority of Premium Participants, including Registered Fishers, crew members, hired-labor fishers, and workers (when relevant), can participate in the General Assembly and vote on fair trade matters, either directly or through a delegate. This could be accomplished through providing transport to and meals during the meeting, using teleconferencing, holding multiple meetings closer to the participants, or other means. Fair Trade Premium may be used for these costs.

B.1.2. Workers who are among the Premium Participants are not required to be compensated for the time they spend in the General Assembly meeting. However, if workers are not compensated then these meetings must be held outside working hours. If workers are paid, they must be paid by the employer or the Certificate Holder, *not* with Fair Trade Premium.

Fair Trade Committee Meetings

B.1.3. Fair Trade Premium may be used to compensate elected members of the FTC (not the non-voting observer) for their time, travel expenses and meals.

- For Registered Fishers, crew members, and hired-labor fishers it is expected that compensation for their time would be similar to what they would have made on an average day of fishing.
- For workers, if meetings are held during working hours, workers must be compensated for their time at their full pay rate, including average productivity bonuses. Premium *cannot be used* to compensate workers, but may be used for travel expenses.



ANNEX C: Fair Trade Premium Expenditure Rules

This Annex explains additional rules for expenditure of the Fair Trade Premium, required in Criterion 1.4.2.c of the CFS. The intent of Premium expenditure is that it improves the livelihoods of Premium Participants by addressing needs of fishers, their families and communities with projects and expenditures informed by the results of the Needs Assessment.

Premium spending is subject to the following rules, in addition to the associated compliance criteria. As required in Criteria 1.4.2.e, Premium spending shall be approved by the Premium Participants. Note that if a Certificate includes multiple Fair Trade Committees (FTCs), each FTC must follow the relevant rules below. This implies that different FTCs under the same Certificate might have different rules.

Section C.1: Rules for all setups

C.1.1. Premium shall not be used on projects that contribute to overfishing, or are likely to cause overfishing of any species, or changes in fishing practices that are illegal and/or otherwise not compatible with the CFS. Premium can be used for projects that increase efficiency in the fishing activities.

C.1.2. Up to 50% of the Premium received in the previous 12 months from the approval date of the Premium Plan, may be paid out in cash or in-kind goods to Premium Participants, as long as cash or in-kind payout is an effective way to address particular needs identified in the Needs Assessment.

C.1.3. In some cases, Premium may be used for certain costs of the General Assembly and compensation of FTC members for traveling to and participating in FTC meetings required in Criterion 1.3.2.d. See [Annex B](#) for these requirements.

C.1.4. Premium may be used to hire an administrative support person to assist the FTC. The scope of work, hours, and rate of the administrative support person must be clearly recorded. The work contract must ensure that they report directly to the FTC, and not to the Certificate Holder or, when applicable, other employer, for the work done supporting the FTC and Premium Projects.

C.1.5. Premium shall not be used to pay for certification or audit fees for non-Fair Trade USA Standards.

Section C.2: Additional rules for FTCs representing Fishing Associations comprised of Registered Fishers and crew members

C.2.1. At least 30% of Premium is used on environmental projects. If the criteria within Module 7: Resource Management have not yet been met, at least 30% of Premium may be used on compliance with the Resource Management criteria in Module 7. After these requirements have been met, 30% of the Premium shall be used for other environmental projects that contribute to the sustainability of the fishery and/or marine/freshwater ecosystem. Environmental projects not only apply to the marine/freshwater environment but could be extended to other environmental needs identified in the Needs Assessment.



C.2.2. Premium may be used for Premium management expenses, including bank fees, wire transfer fees, taxes, and financial audits.

C.2.3. Premium may be spent on any business need, as long as it is linked to an identified need in the Needs Assessment. Such business needs could include: debt repayments, facilities investments, compliance costs, trainings, and, Internal Management System design and implementation,. However, only up to 50% of the Premium may be paid out in cash or in-kind goods to Premium Participants, as required in C.1.3 above.

C.2.4. Premium may be used in providing resources necessary to hold Fair Trade Committee meetings, including providing the Fair Trade Committee with administration and communication tools.

C.2.5. Premium may be used to meet health and safety requirements for individual Registered Fishers, crew members, or Fishing Associations. For instance, purchasing life jackets, improving landing sites, or improving fisher health and safety.

C.2.6. Up to 50% of the Premium received in the previous 12 months may be used to pay the Fair Trade USA CFS certification fee only, as long as this is supported by the Needs Assessment and approved by the Premium Participants.

C.2.7. The 30% of Premium that is dedicated to environmental projects may not be used for the acquisition of a Fish Aggregating Device (FAD).

C.2.8. In addition to linking the FAD to a need identified in the Needs Assessment and a majority vote by Premium Participants, the use of Premium on a FAD is only permitted if it fulfills one or both of the following:

- The FAD(s) shall only be installed with the aim to increase the chances of encountering fish by Registered Fishers, to reduce fuel costs in search of fish, and to reduce the overall risk of economic loss for individual trips.
- The FAD(s) shall not aim at increasing the total catch weight of fishers.

Section C.3: Additional rules for all other producer setups (including Small, Mid-sized, and Large Operations)

C.3.1. Medium and Large Operations may never use Premium to cover certification fees. Small Operations could use Premium to cover certification fees, so long as it is linked to an identified need in the Needs Assessment.

C.3.2. Premium may be used for Premium management expenses, including bank fees, wire transfer fees, taxes, and financial audits. Fees to set up or maintain the Premium bank account shall be paid by the Certificate Holder if there is no Premium yet available.

Note that if Premium is used to cover the financial audit required in Criterion 1.4.4.e, Premium funds may be used to cover the audit costs of the FTC bank account only. While it may be beneficial to bundle the FTC bank account into the Certificate Holder's broader financial audit, the portion that is charged to the FTC must be for the work to audit the FTC account only, and this calculation must be clear and transparent.

C.3.3. When the Certificate Holder and the Fishing Association are different entities, up to 20% of the Fair Trade Premium may be spent on on-site investments that remain the property of the Certificate Holder, under the following conditions:

- The investment may be in improvement of the landing sites, recreational/learning facilities, or other facilities used primarily by and benefiting Fishing Association members;



- A legal entity must be established. The legal entity must meet the parameters described in Criterion 1.4.4.d;
- When the Fishing Association is not the same entity as the Certificate Holder, the Certificate Holder must match (at a minimum) the amount invested from Premium;
- There is a contract between the FTC and the Certificate Holder/owner that requires the Certificate Holder/owner to return the amount invested (adjusted for depreciation or appreciation of the asset) to the FTC in the event of a sale of the property or decertification; and,
- The investments go beyond what is required in the CFS and under applicable law.



ANNEX D: Labor Contractor Requirements

This Annex outlines the rules which apply to any labor contractors used to employ workers on sites within the scope of the Certificate and defines *registered labor contractors in good standing*, as required in Criteria 4.1.4.d.

Section D.1: Labor contractors are required to:

D.1.1. Comply with the requirements of the CFS on sites in the scope of the Certificate (Criteria 4.1.4.b).

D.1.2. Permit an audit to take place if requested by Fair Trade USA or the Conformity Assessment Body.

D.1.3. Be a legal entity with legal rights and duties (such as a company, partnership, association, corporation, cooperative, firm, joint stock company, trust, or other organization).

D.1.4. Possess a valid identification number provided by the federal government (of the country of employment), where applicable.

D.1.5. Be in good standing with regards to any certificates or eligibility requirements of the country of employment.

Best practice is for the site manager or Certificate Holder to check that the labor contractor does not have any lawsuits or complaints against them, including under a different name.

D.1.6. Have a direct employer relationship with respect to all hired-labor fishers and/or workers in corresponding employment. This means the labor contractor pays hired-labor fishers and/or workers directly and has the ability to hire, fire, supervise, or otherwise control and direct their work.

D.1.7. Maintain clear documentation that accurately records:

- Deployment of hired-labor fishers and/or workers (e.g. to which specific vessels or land-based facilities individuals are deployed);
- Compensation of individuals (e.g. paystubs with any deductions clearly listed); and,
- Terms and conditions of employment of each hired-labor fisher and/or worker.

D.1.8. Have written contracts with clear employment conditions with all hired-labor fishers and/or workers. At a minimum, the contract must be in a language the hired-labor fisher and/or worker understands and explain:

- Wages, overtime wages, piece rate (including how piece rate is calculated), and/or production bonuses);
- When and how they will be paid;
- Amount of any salary deductions, e.g. for services or benefits;
- Working hours and schedule, including breaks;
- Nature of work to be performed;
- Duration of employment;



- Name and address of the employer;
- Rights to vacation, sick, maternity, and holiday leave;
- Quality, quantity, and costs of food to be provided, if applicable;
- Quality and cost of housing to be provided, if applicable; and,
- The hired-labor fisher and/or worker's right to a different job at the same pay and benefits if they become unable to perform certain tasks due to health issues (see 6.2.2.a).

It is recommended to also include the name and contact information for any insurance carriers provided through the employer, as well as information on the employer's anti-harassment policy and procedure, and commitment to non-discrimination.

Contracts provided to hired-labor fishers and/or workers must be consistent with the terms and conditions included in the contract between the labor contractor and site manager or Certificate Holder, in particular any terms related to wages, working hours, breaks and working conditions. For illiterate hired-labor fishers and/or workers, it is best practice for the contract to be read aloud and for the hired-labor fisher and/or worker to sign the contract in the presence of a third party.

