Capture Fisheries Standard

Version 1.1.0

Fair Trade USA
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INTRODUCTION

Fair Trade USA’s Mission and Vision

Fair Trade empowers farmers, fishermen, 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 fishermen 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 fishermen, 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:

- Fishermen 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 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
The Fair Trade USA Capture Fisheries Standard (CFS) was developed to provide the opportunity for fishermen 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 fishermen 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 fishermen 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 Fishermen and the Certificate Holder in order to increase their income. Additionally, the Resource Management section 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 fishermen and workers, health and safety measures are established in order to avoid work-related injuries. Fishermen are encouraged to use the Fair Trade Premium to provide greater access to, or improve quality of, healthcare and education.

d) **Environmental Stewardship:** Registered Fishermen 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.

As is best practice, all Fair Trade USA Standards are regularly updated, with major revisions occurring every five years. Minor revisions can be done annually, or whenever there is a need for clarification. This document, CFS Version 1.1.0, replaces the prior version 1.0. Minor edits were made for purposes of clarification to enable implementation and auditing. If you would like to get more details on the changes made during this minor revision, please contact Fair Trade USA at standards@fairtradeusa.org. The next major review of the CFS is scheduled to begin in late 2018 or early 2019.

**Scope and Eligibility**

The CFS applies to groups of fishermen engaged in marine wild capture fisheries, as outlined in the *Requirements for Certificate Scope Under the Capture Fisheries Standard Policy*. 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/fishermen (i.e., cooperative or Fishing Association), multiple groups, and/or 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. See the Requirements for Certificate Scope for the CFS Policy for details on scope and eligibility.

Compliance with Local and National Laws

All Fair Trade Certified producers, fishermen, 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 fishermen, workers, communities, and the environment prevails. This holds true regardless of whether the Fair Trade USA requirement in the CFS is marked as “Major”.

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.

Using the Capture Fisheries Standard

Structure

The CFS is organized into six sections addressing different aspects of fishing, processing and facility management, and group administration. The requirements under each section apply to the Certificate Holder, fishermen and crew members on fishing vessels, and/or workers in processing plants. An overview of each section is provided below.

Section 1: Structural Requirements (STR)

This section includes requirements related to the Certificate Holder’s Internal Management System for ensuring that the entities in the Certificate meet the relevant CFS requirements, and Registered Fishermen have an understanding of the Fair Trade model. The section describes the requirements for Registered Fishermen to organize into Fishing Associations and 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.
Section 2: Empowerment & Community Development (ECD)

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 Registered Fishermen and workers on top of the product price and wage. Together as Fair Trade Premium Participants, Registered Fishermen 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.

Section 3: Fundamental Human Rights (FHR)

The requirements in this section 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 fishermen 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.

Section 4: Wages, Working Conditions & Access to Services (WWS)

The individual well-being of fishermen, crew members, and workers is directly impacted by working conditions including occupational health and safety, working hours, and access to basic needs and services. Clear employment terms and fair wages and benefits contribute to income sustainability. Implementation of the requirements in this section can also contribute towards a reduction in accident and illness rates, and help fishermen and facilities attract and retain crew members and workers through responsible employment practices. Additionally, when individuals know their rights and have access to supportive structures they are empowered to make choices to improve their lives.

Section 5: Resource Management (RM)

The ability of the ocean to provide livelihoods for fishermen 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 section describes the requirements for data collection, stock health determination, governance structure, and proper waste management, which are key components to achieve a long-lasting responsible fishery.

Section 6: Trade Requirements (TR)

This section describes the requirements for traceability and for relationships between the Certificate Holder and any Registered Fishermen and their Fishing Association(s). This section 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 section 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 fishermen know what to expect from their participation in Fair Trade USA’s Capture Fisheries Program.

Each section is divided into sub-sections, which are composed of objectives. Each objective has one or more associated requirements specified in the compliance criteria. Compliance criteria define the requirements that must be met for certification, meaning that they are binding. Many compliance criteria are accompanied with an explanation in the Intent and Clarification column to help the reader better understand the criteria. Information in the Intent and Clarification column is divided into clarifications, which are binding, and guidance, which is best practice, or optional. The guidance also includes examples and suggestions for how to achieve compliance with the requirements. These items, usually prefaced with the phrase for example, are not required, nor are they an exhaustive list of ways to comply. Within the Intent and Clarification column, 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.

The Fair Trade USA CFS takes a continuous improvement approach for 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. Progress criteria are fulfilled after the first, third, or sixth year of audits as detailed in the “Year” column. Progress criteria represent continuous development 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-sections that clarifies its scope and timing of applicability. For example, some of the Year 0 requirements 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 1 audits. At the time of the Year 0 audit, the auditor will determine whether the fishery will be prepared to meet these requirements when they become applicable. The auditor may ask for preliminary evidence to support that determination. 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.

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<tr>
<th>No.</th>
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<th>Intent and Clarification</th>
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<tr>
<td>Compliance Criterion Number</td>
<td>Defines specific requirements of the CFS objective, against which conformance will be assessed during the audit</td>
<td>Specifies point in time by which the requirements must be met</td>
<td>Indicates whether a criterion is Major</td>
<td>Further, binding explanation of the requirements as well as guidance on best practices and recommendations for implementation</td>
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Definitions

Under the CFS, a fisherman is defined as any person, regardless of gender, catching seafood, whether waged, or earning payment as a percentage of the earnings. In Fair Trade USA's Capture Fisheries Program, fishermen must be organized in Fishing Associations. In the CFS there are three categories which define individuals participating in the Fair Trade Program: 1) Registered Fishermen, 2) crew members, and 3) workers. Lastly, Fair Trade Premium Participants are the individuals who determine how the Fair Trade Premium is spent. Detailed descriptions of each category are listed below, and definitions are also included in the Glossary.

Registered Fishermen

Under the CFS, Registered Fishermen are the fishermen in the Fair Trade Program who have joined a single, or multiple, Fair Trade Fishing Association(s) (FA). All captains or skippers of vessels fishing for Fair Trade seafood must be Registered Fishermen.

Additionally, any fisherman included under the Certificate can choose to become a member of a Fishing Association, therefore becoming a Registered Fisherman, thereby becoming a Premium Participant eligible to receive Fair Trade Premium. Any fisherman is eligible to do so, irrespective of whether they are waged or operating on a payment-share system (non-waged). This also includes very occasional fishermen who, for example, may fish only a few weeks per year. See Figure 1 for more details.

Note that all fishermen fall within the scope of the CFS during their fishing trips (for example, safe working conditions must be respected), but not all fishermen must become Registered Fishermen.

Crew members and workers

Under the CFS, a crew member 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, observers on board, etc.). Crew members work exclusively on board vessels, or on the shore fishing. A worker is any individual working on land, either at a processing facility or at a landing site. Crew members can be waged or under payment-share, whereas workers are always waged.

Fair Trade Fishing Association

To participate in the Fair Trade Program, Registered Fishermen who are not already members of a legal cooperative must form at least one democratically-run Fishing Association (FA). Through the cooperative or FA, they coordinate their responsibilities regarding resource management, vessel safety, and trade relationships with buyers. The FA represents the views of Registered Fishermen 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 may include other members besides the Registered Fishermen. For example, captains of tender vessels or transfer vessels transporting fish to and from landing sites who work with Fair Trade fishermen, and are based in the same community. It may also be appropriate to include spouses of the members, fishery scientists, and staff from local non-profit organizations in the FA, either formally or informally.

**Fair Trade Premium Participants**

Fair Trade Premium Participants is 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 Fishermen, crew members, and in some cases workers, who interact with each other to all benefit from the Fair Trade Program. The following individuals must **always** be included in the Fair Trade Premium Participants:

1) All Registered Fishermen;
2) Any non-fishing crew member in the scope of the Certificate who is employed or managed by Registered Fishermen and/or the Fishing Association(s). This includes seasonal non-fishing crew members, waged or earning through payment-shares; and,
3) Any worker employed or managed by Registered Fishermen and/or the Fishing Association(s), such as workers at landing sites and/or processing facilities owned or operated by Registered Fishermen or Fishing Association(s).

Additional individuals working with Fair Trade seafood can be included in the Fair Trade Premium Participants if desired. The following individuals may be, but are not required to be, included in the group of Fair Trade Premium Participants:

1) Non-Registered Fishermen;
2) Workers at sites and facilities or on vessels which are not owned/managed by the Registered Fishermen or Fishing Association(s), but that fall within the scope of the CFS Certificate. This could include, for example, workers in the plant where Fair Trade product is first processed, or the captains and crew of transfer vessels; and,
3) Any other predetermined additional member of the Fishing Association(s).
Figure 1: Differences among members of Registered Fishermen, the Fair Trade Fishing Association, and Premium Participants.
Other Important Documents

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

1) Requirement 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 Standards Glossary: This glossary includes definitions of terms used in this and other key Fair Trade Standards and certification documents.

3) Productivity & Susceptibility Analysis Worksheet: 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) Policy for Adding New Members and Sites to a Capture Fisheries Standard Certificate Between Audits: This document explains the procedure for adding Registered Fishermen, Fair Trade Fishing Associations, and sites such as processing 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 must be certified to Fair Trade USA’s Trade Standard.

7) Additional guidance documents with further explanations and examples of requirements, such as the Guidance for Determining Scope under the CFS.


Additional Information on Fair Trade USA’s Standards and Certification Process

Certification Process

Certification decisions are made by third party Conformity Assessment Bodies approved by Fair Trade USA, based upon compliance with the CFS as established in onsite audits.

In order to gain initial certification, all relevant criteria must be complied with. Once certified, non-conformities with any subset of requirements may result in a decision to suspend certification until compliance has been ensured or may result in decertification, depending upon the severity and extent of the non-conformity. Some criteria are identified as “Major” requirements, which represent the fundamental Fair Trade values and principles. Non-conformities with any individual Major requirement are considered to be especially severe.
Fair Trade certification requires supply chain traceability. In order to use the Fair Trade logo and claim, all entities involved in the production, processing, manufacturing, and handling of the product need to be certified by Fair Trade USA or licensed to use the Fair Trade USA logo. Individual fishermen are required to keep fishing trip logs, and landing sites must record detailed information about catch and payments.

Finally, 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 Resource Management section of annual audit reports and related elements of the Corrective Action Plan are made publicly accessible upon request. Any such public reports shall be modified to protect the identity of individuals, workers, or fishermen who participated in the audit.

**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.
## SECTION 1. STR: Structural Requirements

### SUB-SECTION CH: The Certificate Holder

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<td></td>
<td>Objective STR-CH 1: The Certificate Holder is responsible for ensuring compliance with the Capture Fisheries Standard and related documentation.</td>
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<tr>
<td>STR-CH 1.1</td>
<td>The individuals and worksites included in the scope of the Certificate facilitate announced and unannounced audits, and provide all requested information needed to demonstrate compliance with the CFS.</td>
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| STR-CH 1.2 | Only applicable if a third-party implementation partner is involved: 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. | 0    | M     | **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 fishermen and has appropriate experience. 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.  
**Guidance:** The agreement can be as simple or as detailed as the parties wish and can include other activities unrelated to compliance with the CFS. |
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| STR-CH 1.3 | A contact person has been appointed for all certification matters. This person understands the scope of his/her responsibilities. | 0    |       | **Clarification:** Certification matters include all measures directed at social empowerment and economic development of the Registered Fishermen, as well as the implementation of training and activities required by the CFS and the necessary communication among all parties. This includes maintaining an updated list of Registered Fishermen and other important information such as, but not limited to: list of trainings, registered vessels, documentation of Resource Management criteria, etc. At least one contact person has been appointed; all parties must understand their responsibilities.  
**Guidance:** Where possible, the contact person should be an employee of the Certificate Holder. The responsibilities can be delegated to a third party, for example, a support organization or implementation partner, as long as these are clearly outlined in an agreement. See STR-CH 1.2 for additional details. |
| STR-CH 1.4 | A list of Registered Fishermen is kept up-to-date and is available to Registered Fishermen. | 0    | M     | **Guidance:** See the *Policy for Adding New Members and Sites to a Capture Fisheries Standard Certificate Between Audits* for additional details on adding Registered Fishermen between scheduled audits.  
Best practice is to organize the list by primary species caught by each fisherman, location, Fishing Association membership, and other key information. |
<p>| STR-CH 1.5 | Registered Fishermen have basic knowledge of the Fair Trade concept and have indicated their commitment to participating in Fair Trade and to cooperating with the Certificate Holder through a signed agreement. | 0    |       | <strong>Clarification:</strong> The agreement can be negotiated and signed collectively in cases where fishermen are formally organized, such as through a Collective Bargaining Agreement. |
| STR-CH 1.6 | The location of all landing sites is documented.                                    | 0    |       | <strong>Guidance:</strong> Landing sites should be geographically near fishing sites to reduce the necessity for transport vessels or boat-to-boat transfer of catch. |</p>
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<tr>
<td>STR-CH 1.7</td>
<td>The Conformity Assessment Body has been informed of all locations where Fair Trade product is handled (i.e., landed, cleaned, stored, processed, and packaged).</td>
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<td></td>
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<tr>
<td>STR-CH 1.8</td>
<td>All locations that handle Fair Trade product have agreed to ensure compliance with the relevant Fair Trade Objectives and facilitate Fair Trade audits. This is documented.</td>
<td>0</td>
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**Objective STR-CH 2: Vessels used by Registered Fishermen are legally registered and licensed.**

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<tbody>
<tr>
<td>STR-CH 2.1</td>
<td>A list of all vessels used by Registered Fishermen to fish Fair Trade product is kept up-to-date.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> Vessel lists must include the following information (where applicable), per vessel:</td>
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<td></td>
<td></td>
<td></td>
<td>• Owner name;</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>• Vessel license;</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Vessel length;</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Vessel weight;</td>
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<td></td>
<td></td>
<td>• Type/Classification of vessel; and,</td>
</tr>
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<td>• Other key dimensions, for example, hold size, engine size, and fuel capacity.</td>
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<td>This includes transfer vessels and an approximate number of small boats which might launch off of them.</td>
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**Guidance:** Other vessels may be used temporarily for up to one year, for instance, while the fisherman’s normal vessel is being repaired.
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<th>Intent and Clarification</th>
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<tr>
<td>STR-CH 2.2</td>
<td>Vessels used by Registered Fishermen are legally registered and licensed.</td>
<td>3</td>
<td>M</td>
<td><strong>Clarification:</strong> Where required by law, vessels shall be registered and licensed with the appropriate local, regional, and/or national government body. In exceptional circumstances, gear registration may be an alternative option if registering vessels proves difficult. This does not include small boats launched off of a transfer vessel which would otherwise not be seaworthy.</td>
</tr>
<tr>
<td>STR-CH 3.1</td>
<td>If the Fair Trade 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. There is financial evidence of the ability to ensure continuity of the Fair Trade program, or clear financial projections tied to items in the strategy.</td>
<td>0</td>
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<tr>
<td>STR-CH 4.1</td>
<td>Corporate Social Responsibility and the empowerment of the Registered Fishermen is an integral part of the Certificate Holder’s written mission or policy statement(s).</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> 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. <strong>Guidance:</strong> Objectives or values associated with the CFS include, for example, fisher support and empowerment, fair treatment of workers, and social and environmental responsibility.</td>
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<td>STR-CH 4.2</td>
<td>There are regular meetings between the Certificate Holder and the Fishing Association(s) concerning the Fair Trade Program and management of the fishery. Issues and concerns of the Registered Fishermen and applicable workers are solicited and discussed. These meetings are documented.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This criterion is not applicable if the Certificate Holder and the Fishing Association are the same entity. <strong>Guidance:</strong> A designated third party may represent the Certificate Holder during these meetings, if appropriate.</td>
</tr>
<tr>
<td>STR-CH 4.3</td>
<td>If the Fishing Association wants to take on additional responsibilities for the production and commercialization of the product and wants to become certified against the CFS independent of the Certificate Holder, the Certificate Holder does not prevent this development.</td>
<td>0</td>
<td></td>
<td><strong>Guidance:</strong> Additional responsibilities might include compliance with requirements within the Standard, Internal Management System administration, and product sales on behalf of the Fishing Association's members.</td>
</tr>
<tr>
<td>STR-CH 4.4</td>
<td><strong>Applicable if the Certificate Holder charges the Registered Fishermen for inputs and services:</strong> Cost breakdowns of inputs and services are available, transparent, and coherent. Charges for inputs and services are agreed upon in advance. Costs of inputs and services are not higher than normal market prices.</td>
<td>0</td>
<td></td>
<td><strong>Guidance:</strong> Inputs include ice, boat engines, bait, fishing gear, etc.</td>
</tr>
<tr>
<td>STR-CH 4.5</td>
<td>At least one representative of the Fishing Association is present during meetings about corrective actions required by the Conformity Assessment Body that relate to the management of the fishery.</td>
<td>1</td>
<td></td>
<td><strong>Clarification:</strong> Applicable only where the Conformity Assessment Body has issued non-conformities for which the Certificate Holder needs to submit a Corrective Action Plan.</td>
</tr>
<tr>
<td>No.</td>
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<td>Year</td>
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<td>Intent and Clarification</td>
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<tr>
<td>STR-CH 4.6</td>
<td>The Certificate Holder and Fishing Association take measures to improve the Registered Fishermen’s understanding of financial management and to increase their knowledge on pricing and international market mechanisms.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> Understanding financial management means having the knowledge, skills, and confidence necessary to manage one’s personal finances well. It helps fishermen manage resources, track inputs, and productivity, and set and chart progress towards goals, enabling them to make proactive decisions. Depending on the needs, level of education, and cultural context of the Registered Fishermen, measures to understand financial management can include trainings or access to education topics such as:&lt;br&gt;  - Understanding and using basic math;&lt;br&gt;  - Record-keeping to track sales, spending and personal savings;&lt;br&gt;  - Accessing financing;&lt;br&gt;  - Calculating and communicating costs of production;&lt;br&gt;  - Negotiation skills; and,&lt;br&gt;  - Roles and activities of different actors in the supply chain.</td>
</tr>
<tr>
<td>STR-CH 5.1</td>
<td>An Internal Management System (IMS) has been designed and implemented. The system monitors the implementation of practices mandated by the CFS.</td>
<td>1</td>
<td></td>
<td><strong>Clarification:</strong> The Certificate Holder is responsible for the development and implementation of the IMS and ensuring all Registered Fishermen are in compliance with the requirements in the CFS.&lt;br&gt; &lt;br&gt;The quality of the IMS should reflect the complexity of the supply chain. For instance, an exporter buying from multiple processors who themselves buy from several landing sites will need a very robust IMS for the Conformity Assessment Bodies to be satisfied that the CFS is being followed on all vessels and sites.&lt;br&gt; &lt;br&gt;<strong>Guidance:</strong> The IMS is intended to facilitate communication between the Certificate Holder and the Registered Fishermen and to enable Registered Fishermen to uniformly comply with the CFS.</td>
</tr>
</tbody>
</table>

**Objective STR-CH 5:** There is a functioning Internal Management System to facilitate compliance with the Capture Fisheries Standard and improvements in the Fair Trade program.
### SUB-SECTION FA: The Fishing Association

Where the Certificate Holder is already a fishermen-managed organization, for example, a cooperative, the Certificate Holder is considered the Fishing Association and must also follow the requirements in this section.

<table>
<thead>
<tr>
<th>No.</th>
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</tr>
</thead>
<tbody>
<tr>
<td>STR-CH 5.2</td>
<td>The Certificate Holder identifies CFS requirements at risk of non-compliance. These requirements are identified in a written risk assessment.</td>
<td>1</td>
<td></td>
<td>Guidance: Risks refer to the probability of Registered Fishermen not being able to comply with the requirements. The Certificate Holder should collect information on risks of non-compliance from, for example, within the community, meetings with the fishermen, the fishermen’s experiences, or discussions at General Assembly meetings or trainings.</td>
</tr>
<tr>
<td>STR-CH 5.3</td>
<td>The written risk assessment is updated every 3 years at a minimum.</td>
<td>3</td>
<td></td>
<td>Guidance: How often the risk assessment needs to be updated depends on the specific situation – any major changes the Registered Fishermen or the Certificate Holder experience (e.g., starting to diversify production, hiring a large number of additional workers, adding a large number of new fishermen with different production systems or in a different region, changing the established relationship between Certificate Holder and Registered Fishermen, etc.) should lead to a renewed risk assessment.</td>
</tr>
</tbody>
</table>

### Objective STR-FA 1: Fishermen are empowered through their membership in a Fishing Association.

<table>
<thead>
<tr>
<th>No.</th>
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</tr>
</thead>
<tbody>
<tr>
<td>STR-FA 1.1</td>
<td>The Registered Fishermen are members of a Fishing Association in order to ensure democratic input into decision-making about changes in the management of the fishery.</td>
<td>0</td>
<td></td>
<td>Clarification: Individual Registered Fishermen may belong to multiple Fishing Associations.</td>
</tr>
<tr>
<td>STR-FA 1.2</td>
<td>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).</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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SUB-SECTION FA: The Fishing Association

Where the Certificate Holder is already a fishermen-managed organization, for example, a cooperative, the Certificate Holder is considered the Fishing Association and must also follow the requirements in this section.
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</thead>
<tbody>
<tr>
<td>STR-FA 1.3</td>
<td>The internal rules of the Fishing Association (i.e., statutes, constitution, or by-laws) mandate that all members have decision-making voting rights.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> Delegate systems may be used where necessary.</td>
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<tr>
<td></td>
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<td></td>
<td><strong>Guidance:</strong> See STR-FA 2.5 and STR-FA 3.3 for additional information.</td>
</tr>
<tr>
<td>STR-FA 1.4</td>
<td>All major decisions of the Fishing Association are discussed and approved by members according to a free, fair, and transparent voting procedure.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> All Registered Fishermen must have a vote; however, Registered Fishermen can decide if additional members of the Fishing Association (i.e., spouses of the members, fishery scientists, and staff from local non-profit organizations) can vote on major decisions or not.</td>
</tr>
<tr>
<td>STR-FA 1.5</td>
<td>The internal rules of the Fishing Association (i.e., statutes, constitution, or by-laws) include rules that determine who can become a member and provide details on: the application process, approval process, and timelines for official registration. These rules are followed.</td>
<td>3</td>
<td></td>
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</tr>
<tr>
<td>STR-FA 1.6</td>
<td>Requests by fishermen to join an existing Fishing Association are agreed to by the Fishing Association. If the Fishing Association is unable to incorporate new fishermen, the Fishing Association justifies why it cannot do so.</td>
<td>3</td>
<td></td>
<td><strong>Clarification:</strong> Admittance of new members to the Fishing Association cannot be discriminatory.</td>
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<td></td>
<td><strong>Guidance:</strong> See FHR-DAP 1 for additional information concerning non-discrimination.</td>
</tr>
</tbody>
</table>

**Objective STR-FA 2: Fishing Association meetings adhere to agreed-upon rules, and communication and management of those meetings is effective.**

<table>
<thead>
<tr>
<th>No.</th>
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</thead>
<tbody>
<tr>
<td>STR-FA 2.1</td>
<td>The Fishing Association holds a meeting of all members at least once a year.</td>
<td>0</td>
<td></td>
<td><strong>Guidance:</strong> The intent of the meeting is to discuss the implementation of the CFS. This meeting should be open to all members of the Fishing Association.</td>
</tr>
<tr>
<td>STR-FA 2.2</td>
<td>The member list of the Fishing Association is updated regularly and is available to members.</td>
<td>0</td>
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<td>No.</td>
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<tr>
<td>STR-FA 2.3</td>
<td>Members are informed in advance when meetings will take place. Methods for informing members shall take into consideration languages and literacy of the members.</td>
<td>0</td>
<td></td>
<td><strong>Guidance</strong>: Best practice is to inform members at least two weeks in advance.</td>
</tr>
<tr>
<td>STR-FA 2.4</td>
<td>Procedures to call meetings and determine quorum are adhered to, as defined in the statutes/constitution of the Fishing Association.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>STR-FA 2.5</td>
<td>Where delegate/representation systems are used, these are clearly defined in the internal rules of the Fishing Association (i.e., statutes, constitution or by-laws), and offer representation to all members of the Fishing Association.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>STR-FA 2.6</td>
<td>Records, books, and documentation are accessible to all members of the Fishing Association. Methods for accessibility to members shall take into consideration languages and literacy of the members.</td>
<td>1</td>
<td></td>
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</tr>
<tr>
<td>STR-FA 2.7</td>
<td>Within the Fishing Association, at least one person or committee is responsible for managing the administration and book-keeping.</td>
<td>6</td>
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</tr>
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</table>

**Objective STR-FA 3: Fishing Associations are represented by a leadership team.**

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<tbody>
<tr>
<td>STR-FA 3.1</td>
<td>The leadership team (e.g., board of directors) is chosen in free, fair, and transparent elections and this election process is documented.</td>
<td>0</td>
<td>M</td>
<td><strong>Guidance</strong>: The Fishing Association leadership team and the FTC can be the same entity if desired.</td>
</tr>
<tr>
<td>No.</td>
<td>Compliance Criteria</td>
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<tr>
<td>STR-FA 3.2</td>
<td>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).</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>STR-FA 3.3</td>
<td>Applicable where the Registered Fishermen have formed multiple Fishing Associations: If the Fishing Associations make decisions together, they have implemented statutes or internal regulations for a delegate system for the election of the leadership team (i.e., board of directors) and General Assembly meetings (if applicable). The system is based on the principle that each Fishing Association has an equal or proportionate number of delegates.</td>
<td>6</td>
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</table>

**SUB-SECTION FTC: Fair Trade Committee (FTC)**

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<tr>
<th>No.</th>
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</thead>
<tbody>
<tr>
<td>Objective STR-FTC 1: The Fair Trade Premium Participants form one or more Fair Trade Committees to ensure democratic and transparent decisions are made about the Fair Trade program.</td>
<td>STR-FTC 1.1</td>
<td>The Fair Trade Committee (FTC) is elected at a General Assembly meeting of all Premium Participants prior to initial certification.</td>
<td>0</td>
<td>M</td>
</tr>
<tr>
<td>No.</td>
<td>Compliance Criteria</td>
<td>Year</td>
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<tr>
<td></td>
<td><strong>STR-FTC 1.2</strong></td>
<td>0</td>
<td>M</td>
<td><strong>Guidance:</strong> 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 Premium Participants include fishermen from one region and processing workers based in a separate area or fishermen from different geographic regions.</td>
</tr>
<tr>
<td></td>
<td>The FTC is chosen in free, fair, and transparent elections and this election process is documented.</td>
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<tr>
<td></td>
<td><strong>STR-FTC 1.3</strong></td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> The intent is that the composition of the FTC reflects the composition of the group of Premium Participants. For example, the FTC could include a set number of seats to reflect the composition of the group (e.g., women, migrant fishermen, stateless fishermen, workers in the processing facility, multiple cooperatives, or specific communities). The FTC and Premium Participants represent and benefit minorities and disadvantaged groups.</td>
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<tr>
<td></td>
<td>All Premium Participants are eligible for nomination and are able to participate in the election of the FTC. The Premium Participants strive to reflect the diversity of their group in those elected to the FTC.</td>
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<td></td>
<td><strong>STR-FTC 1.4</strong></td>
<td>0</td>
<td></td>
<td><strong>Guidance:</strong> Premium Participants should be trained before initial certification and then at least every three years on the functioning of the FTC, the intent of the Needs Assessment, and the development of the Fair Trade Premium Plan. If a significant number of Premium Participants are added to a certificate, additional training(s) should be conducted to onboard them to the Capture Fisheries Program. <em>Significant number</em> is defined as more than 10% turnover or new membership since the previous year.</td>
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<td></td>
<td>Each Premium Participant is represented by only one FTC.</td>
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<tr>
<td></td>
<td><strong>STR-FTC 1.5</strong></td>
<td>0</td>
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<tr>
<td></td>
<td>All Premium Participants understand the role and responsibilities of the FTC.</td>
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<td>Compliance Criteria</td>
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<tr>
<td>STR-FTC 1.6</td>
<td>The FTC has defined internal rules of the Committee and General Assembly meetings (i.e., in the form of statutes, a constitution, or by-laws).</td>
<td>0</td>
<td></td>
<td><strong>Guidance:</strong> The rules should define the governance, roles, and responsibilities of the FTC, including:</td>
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<td>- The identification of the Premium Participants as the supreme decision-making body of the FTC;</td>
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<td></td>
<td>- 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;</td>
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<td></td>
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<td></td>
<td>- Rules for ongoing project funding or distribution of the remaining Premium to Premium Participants in the event of dissolution of the FTC; and</td>
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<td></td>
<td>- Rules for emergency and discretionary spending.</td>
</tr>
<tr>
<td>STR-FTC 1.7</td>
<td>The internal rules of the FTC (i.e., statutes, constitution, or by-laws) mandate that all members have decision-making voting rights.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> This criterion is applicable where multiple FTCs have formed one overarching FTC comprised of delegates. All Registered Fishermen and applicable workers should know how they are represented within the delegate system and who their delegate is.</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>If multiple FTCs are set up, the Premium Participants should be divided into electoral bodies which will vote for the relevant FTC.</td>
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<td></td>
<td>Delegate voting systems are allowed if they offer equal representation to all Premium Participants.</td>
</tr>
<tr>
<td>STR-FTC 1.8</td>
<td>Where delegate/representation systems are applied, these are clearly defined and offer equitable representation to all members of the FTC.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This criterion is applicable where multiple FTCs have formed one overarching FTC comprised of delegates. All Registered Fishermen and applicable workers should know how they are represented within the delegate system and who their delegate is.</td>
</tr>
<tr>
<td></td>
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<td>If multiple FTCs are set up, the Premium Participants should be divided into electoral bodies which will vote for the relevant FTC.</td>
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<td></td>
<td>Delegate voting systems are allowed if they offer equal representation to all Premium Participants.</td>
</tr>
<tr>
<td>STR-FTC 1.9</td>
<td>The FTC is legally registered before communal capital and assets are acquired with Premium money or by Year 6 at the latest.</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> Legal registration of the FTC is not required where local laws prohibit it. The FTC and Certificate Holder understand that the Premium Participants are the true owners of the Premium funds and all assets acquired with these funds.</td>
</tr>
<tr>
<td>No.</td>
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<td>Guidance: Legal registration of the FTC ensures communal assets and capital are legally owned by the Premium Participants.</td>
</tr>
</tbody>
</table>

**Objective STR-FTC 2: Fair Trade Committee meetings adhere to agreed-upon rules, and communication and management of those meetings are effective.**

| STR-FTC 2.1 | An initial training is provided by the Certificate Holder to new FTC members on the functioning and responsibilities of the FTC. | 0 |  |  |
| STR-FTC 2.2 | The minutes of FTC meetings clearly record all decisions made, as well as the consultation with Premium Participants that took place prior to decision-making. | 0 |  | Guidance: Minutes can be hand-written. The minutes clearly record the place of the meeting, date, time, meeting participants and all decisions made. |
| STR-FTC 2.3 | The minutes of FTC meetings are signed by all members of the FTC. | 0 |  |  |
| STR-FTC 2.4 | The minutes of FTC meetings are shared with the Premium Participants. Methods for sharing meeting minutes with Premium Participants shall take into consideration languages and literacy of the Premium Participants. | 0 |  | Guidance: The meeting minutes could be shared by posting in a public place accessible to and used by Premium Participants. |

**Objective STR-FTC 3: The Premium Participants make democratic decisions concerning the Fair Trade Premium.**

<p>| STR-FTC 3.1 | Each FTC holds a General Assembly meeting with all Premium Participants at least once a year. | 0 | M | Clarification: If Premium Participants have formed multiple FTCs, each FTC must hold a General Assembly meeting. If a delegate/representation system is applied for General Assembly meetings, these are clearly defined and offer equitable representation to all Premium Participants. |</p>
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<tr>
<td>STR-FTC 3.2</td>
<td>Procedures to call the General Assembly meeting and determine quorum are adhered to, as defined in the statutes/constitution of the FTC.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>STR-FTC 3.3</td>
<td>Premium Participants are informed in advance of when General Assembly meetings will take place. Methods to inform Premium Participants shall take into consideration languages and literacy of the Premium Participants.</td>
<td>0</td>
<td></td>
<td><strong>Guidance</strong>: Best practice is to inform Premium Participants at least two weeks in advance.</td>
</tr>
<tr>
<td>STR-FTC 3.4</td>
<td>All major decisions of the FTC are discussed and approved at a General Assembly meeting according to a free, fair, and transparent voting procedure.</td>
<td>1</td>
<td></td>
<td><strong>Clarification</strong>: This includes decisions about the Premium Plan (see ECD-DM 2).</td>
</tr>
<tr>
<td>STR-FTC 3.5</td>
<td>The minutes of the General Assembly meeting clearly record all decisions made. The minutes are signed by the FTC leadership.</td>
<td>1</td>
<td></td>
<td><strong>Guidance</strong>: Minutes can be hand-written. They clearly record the place of the meeting, date, time, meeting participants and all decisions made.</td>
</tr>
<tr>
<td>STR-FTC 3.6</td>
<td>There is a list of participants at General Assembly meetings included in the minutes.</td>
<td>1</td>
<td></td>
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</tr>
<tr>
<td>STR-FTC 3.7</td>
<td><em>Applicable where the Premium Participants have formed multiple FTCs</em>: If the FTCs make decisions together and use one joint Fair Trade Premium Plan and one joint Premium accounting system (not several separate Fair Trade Premium Plans and Premium accounting systems), then there is a democratically elected leadership team (i.e., board of directors) that represents all FTCs.</td>
<td>6</td>
<td></td>
<td><strong>Clarification</strong>: This criterion is only relevant where FTCs are making joint decisions. In cases where FTCs are not making decisions together, each FTC may develop their own Needs Assessments and Fair Trade Premium Plan relevant to their Premium Participants. <strong>Guidance</strong>: See ECD-DM 2 for additional details on the Fair Trade Premium Plan.</td>
</tr>
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<tr>
<td>STR-FTC 3.8</td>
<td><strong>Applicable where the Premium Participants have formed multiple FTCs:</strong> If the FTCs make decisions together, and use one joint Fair Trade Premium Plan and one joint Premium accounting system (not several separate Fair Trade Premium Plans and Premium accounting systems), they organize a General Assembly meeting of all FTCs at least once a year. Decisions on the use of the Premium are made at this General Assembly meeting.</td>
<td>6</td>
<td></td>
<td><strong>Guidance:</strong> All FTCs should be represented in the General Assembly. Delegate systems may be used in lieu of direct attendance if they offer adequate representation to all Premium Participants.</td>
</tr>
</tbody>
</table>
## SECTION 2. ECD: Empowerment & Community Development

SUB-SECTION DM: Development & Management of the Fair Trade Premium

This section is applicable at first use of the Fair Trade Premium or the year listed, whichever comes first.

<table>
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|     |                     | 0    |       | **Clarification:** Surveys or other primary data sources must be representative of the entire population of Premium Participants and their families. Where a sample-based surveying method is used, the sample should be sufficiently large to ensure that as many viewpoints as possible are captured, and there is a representative number of Registered Fishermen, crew members, workers, and community members included in the survey or data collection with regards to gender, age, ethnicity, religion, nationality, etc. The Needs Assessment analyzes how Fair Trade may help to address those needs and any potential obstacles. **Guidance:** The Certificate Holder may choose to finance a third party to conduct the Needs Assessment. It is best practice, but not required, that the FTC be involved in planning and undertaking the Needs Assessment in the first year. The first Needs Assessment must be financed by the Certificate Holder (or undertaken directly by the Certificate Holder). Subsequent Needs Assessments may be financed by Premium if they are undertaken by a third party. The Needs Assessment should evaluate at minimum the following areas:  
- Natural resource sustainability, based on the criteria from the Resource Management section of the CFS; |
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<td></td>
<td>• Access to education and childcare;</td>
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<td>• Food security;</td>
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<td>• Health services (e.g., access to and affordability of health care);</td>
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<td>• Housing; and,</td>
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<td>• Health and Sanitation (e.g., drinking water; latrines; access to personal protective equipment; community health concerns such as high levels of HIV infection, diabetes, infant mortality, maternal death rate).</td>
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<td>Additional recommended themes include:</td>
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<td>• Community infrastructure (e.g., roads, bridges, community buildings);</td>
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<td>• Community services (e.g., availability of services and trainings);</td>
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<td>• Product quality; and,</td>
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<td>• Gender equity, including participation by women in income generating activities, decision-making processes and empowerment issues.</td>
</tr>
<tr>
<td>ECD-DM 1.2</td>
<td>The Needs Assessment is updated at least every three years and/or when a significant number of new Premium Participants join the Capture Fisheries Program.</td>
<td>1</td>
<td></td>
<td><strong>Clarification:</strong> A significant number of new Premium Participants means that 10% or more of the existing members have registered since the latest Needs Assessment was undertaken. A revised Needs Assessment must be developed incorporating these Premium Participants’ views prior to the next audit. Alternatively, the existing Needs Assessment could be endorsed by a majority of the new Premium Participants in the same time frame.</td>
</tr>
<tr>
<td>ECD-DM 1.3</td>
<td>If there are workers under the scope of the Certificate, their needs are taken into account in the Needs Assessment.</td>
<td>3</td>
<td></td>
<td><strong>Clarification:</strong> This includes workers who are not Premium Participants, but are included in the scope of the Certificate.  The Needs Assessment shall focus especially on those groups of workers that form a majority of the workforce.</td>
</tr>
<tr>
<td>ECD-DM 1.4</td>
<td>The FTC takes an active role in updating the Needs Assessment.</td>
<td>6</td>
<td></td>
<td><strong>Guidance:</strong> An active role could mean that the FTC leads the assessment, or hires a specialist to conduct the assessment.</td>
</tr>
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</table>
### Objective ECD-DM 2: There is a Fair Trade Premium Plan which details how the Fair Trade Premium will be used to address the needs of the Registered Fishermen, workers, community, and the natural environment.

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| ECD-DM 2.1 | The Certificate Holder and the FTC together develop a written Fair Trade Premium Plan based upon the Needs Assessment, with the objective to meet the needs of the Registered Fishermen, workers, community, and natural environment. It includes both short-term and long-term goals for the use of the Premium. | 1 | M | **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 ECD-DM 2.2 for details on allowed expenditures of Premium. The Premium Plan lists the objectives, timelines, budget, and required actions for each project. Objectives and outcomes of the required actions are measurable and measurements are defined.

Note that under ECD-DM 2.6, if there is more than one FTC, each FTC must develop its own Fair Trade Premium Plan.

**Guidance:** The Fair Trade Premium is an amount paid to the FTC, in addition to the payment for products, for the realization of common goals. The Fair Trade Premium will help members implement the objectives in the Fair Trade Premium Plan. Planning, implementing, and evaluating the Premium Plan will stimulate and increase the participation of the Premium Participants. The FTC may choose any activities that its members agree upon and are important for their particular situation, aspirations, and priorities. Longer-term projects are encouraged. Any project can extend over the course of multiple years (e.g. building a school) or may be repeated in successive years (e.g. purchasing school supplies). Note that not all the Premium must be spent each year.

Refer to guidance in ECD-DM 1.1 for updating the Needs Assessment.
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<tr>
<td>ECD-DM 2.2</td>
<td>The Fair Trade Premium Plan is in accordance with the Fair Trade Premium Expenditure Rules.</td>
<td>1</td>
<td></td>
<td><strong>Clarification:</strong> In all cases, Premium expenditures must be linked to a need identified in the Needs Assessment and be approved by the Premium Participants. The intent of Premium expenditure is that it improves the livelihoods of Premium Participants, which includes supporting the health of the natural environment. Premium spending is subject to the following Fair Trade Premium Expenditure Rules:</td>
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<td>- At least 30% of the Premium is used on environmental projects, as per ECD-FTP 3.2;</td>
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<td>- Premium cannot be used on projects that increase fishing effort. However, Fair Trade Premium can be used for projects that increase efficiency in the fishing activities;</td>
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<td>- Premium may be used to meet health and safety requirements for individual Registered Fishermen or Fishing Associations, for instance for purchasing life jackets, improving landing sites or improving worker health and safety;</td>
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<td>- Premium may also be used for third-party trainings of the FTC members and third-party trainings of Registered Fishermen, as well as for compensation of FTC members for traveling to and participating in FTC meetings;</td>
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<td>- 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 must be paid by the Certificate Holder if there is no Premium yet available; and,</td>
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<td>- When using Premium to purchase goods or services it is best practice to ask for more than one cost estimate/quote from competing vendors and to document the different quotes.</td>
</tr>
<tr>
<td>ECD-DM 2.3</td>
<td>The Fair Trade Premium Plan contains a reasonable budget based upon expected Premium income.</td>
<td>1</td>
<td></td>
<td><strong>Clarification:</strong> This is an overall projected Premium budget rather than a project-specific budget.</td>
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<tr>
<td>ECD-DM 2.4</td>
<td>All activities that will be funded with Premium are included in the Fair Trade Premium Plan.</td>
<td>1</td>
<td></td>
<td>Guidance: See ECD-DM 2.5 for additional details on project-specific budgets.</td>
</tr>
<tr>
<td>ECD-DM 2.5</td>
<td>For each project, the Fair Trade Premium Plan outlines specific objectives, timelines, and a budget for Premium use.</td>
<td>1</td>
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<tr>
<td>ECD-DM 2.6</td>
<td>If there is more than one FTC, each FTC develops its own Fair Trade Premium Plan.</td>
<td>1</td>
<td></td>
<td>Guidance: FTCs may create a single overarching Premium Plan comprised of multiple Fair Trade Premium Plans from each FTC.</td>
</tr>
<tr>
<td>ECD-DM 2.7</td>
<td>There is a mechanism available for Premium Participants to make suggestions to the Fair Trade Premium Plan.</td>
<td>1</td>
<td></td>
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<tr>
<td>ECD-DM 2.8</td>
<td>The FTC communicates information on Fair Trade sales, Premium, and Premium expenditures to the Premium Participants on at least an annual basis.</td>
<td>1</td>
<td></td>
<td>Clarification: Methods for informing Premium Participants shall take into consideration languages and literacy of the Premium Participants.</td>
</tr>
<tr>
<td>ECD-DM 2.9</td>
<td>The Fair Trade Premium Plan is updated annually.</td>
<td>1</td>
<td></td>
<td>Guidance: The intent is that Premium is not spent according to a Fair Trade Premium Plan that is more than one year old.</td>
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<td>The update should include an analysis of the outcomes and implementation of the existing Fair Trade Premium Plan, including:</td>
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<td>• The status of each action proposed in the Fair Trade Premium Plan, and if not carried out, an explanation of why not;</td>
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<td></td>
<td></td>
<td></td>
<td>• When the actions were carried out;</td>
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<td>• At what cost; and,</td>
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<td></td>
<td>• Whether the objective was achieved or if further action is needed.</td>
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<tr>
<td>ECD-DM 2.10</td>
<td>The Fair Trade Premium Plan includes at least one project or activity intended to benefit workers who are not Premium Participants.</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> For example, this could include workers at processing facilities included in the scope of the Certificate.</td>
</tr>
</tbody>
</table>

**Objective ECD-DM 3: The Fair Trade Premium Plan is approved at a General Assembly meeting of the Premium Participants.**

| ECD-DM 3.1 | The Fair Trade Premium Plan is approved annually at a General Assembly meeting before it is implemented. | 1    | M     | **Guidance:** The intent is to ensure transparent and democratic decision-making. The majority of Premium Participants must be present at the meeting or represented via their nominated delegates. It is possible that the Fair Trade Premium Plan may need to be changed in between General Assembly meetings. This might be necessary in situations where, for example, there is more or less Premium money than planned, where Registered Fishermen or the community are affected by an unexpected event and the FTC wishes to respond, or where a large number of new fishermen are registered. If the Fair Trade Premium Plan needs to be changed in between General Assembly meetings, the FTC’s rules for approving changes in the Fair Trade Premium Plan and emergency and discretionary spending (developed as required under STR-FTC 1.6) must be followed. |

**Objective ECD-DM 4: The Certificate Holder supports the implementation of the Fair Trade Premium Plan.**

| ECD-DM 4.1 | If there is no significant progress towards achieving timelines and objectives in the Fair Trade Premium Plan, the Certificate Holder contracts a third party to support the FTC. | 3    |       | **Clarification:** The Certificate Holder is responsible for paying and contracting a third party for implementation support if the objectives and timelines in the Fair Trade Premium Plan are not met within three years. The third party must be vetted with the fishermen and have the appropriate experience. An agreement of responsibilities (for instance a contract or a Memorandum of Understanding) should be in place between the Certificate Holder and the third party that specifies which CFS requirements are to be undertaken by which party. |
### SUB-SECTION FTP: Fair Trade Payments & Premium

This section is applicable to the first sale of Fair Trade product unless otherwise noted.

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<td></td>
<td><strong>Objective ECD-FTP 1: A bank account has been set up to hold Premium.</strong></td>
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<tr>
<td>ECD-FTP 1.1</td>
<td>Each FTC has an active bank account with more than one signatory registered to its name.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> At the time of the audit, groups seeking certification must either have the account open or be able to demonstrate the FTC has taken steps to start the process, 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 and 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. Account signatories do not need to be trustees unless a trustee has been appointed (see ECD-FTP 1.2 through ECD-FTP 1.5 for additional details).</td>
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<td></td>
<td>The FTC acknowledges and documents that the Premium Participants are the rightful owners of the Premium and assets acquired with it. This could be included within the FTC internal rules.</td>
</tr>
<tr>
<td>ECD-FTP 1.2</td>
<td>The FTC appoints a trustee (e.g., the Certificate Holder, a bank, credit union, or NGO) of the Premium funds.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: A trustee is not a member of the FTC. If the FTC does not appoint a trustee to manage the Premium, this criterion is considered non-applicable or compliant.</td>
</tr>
<tr>
<td>ECD-FTP 1.3</td>
<td>The trustee acknowledges in writing the Premium Participants represented by the FTC are the rightful owners of the Premium. This acknowledgment is sent to the FTC.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: If the FTC does not appoint a trustee to manage the Premium, this does not apply.</td>
</tr>
<tr>
<td>ECD-FTP 1.4</td>
<td>The trustee has established a separate bank account to receive the Premium on behalf of the Premium Participants.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: If the FTC does not appoint a trustee to manage the Premium, this criterion does not apply.</td>
</tr>
<tr>
<td>ECD-FTP 1.5</td>
<td>The trustee and at least one FTC member are joint signatories of the account.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: If the FTC does not appoint a trustee to manage the Premium, this criterion does not apply.</td>
</tr>
<tr>
<td></td>
<td><strong>Objective ECD-FTP 2: The Fair Trade Committee receives the correct amount of Premium in a timely manner.</strong></td>
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<tr>
<td>ECD-FTP 2.1</td>
<td>The correct amount of Premium is paid to the FTC, as stipulated in the Fair Trade Price and Premium Database.</td>
<td>0</td>
<td>M</td>
<td><strong>Guidance</strong>: The Price and Premium Database can be found on the Fair Trade USA website: <a href="https://www.fairtradecertified.org/business/standards">https://www.fairtradecertified.org/business/standards</a></td>
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<tr>
<td>ECD-FTP 2.2</td>
<td>The Premium is paid to the Premium bank account(s) no later than one month after the Premium payment is received from the Premium payer.</td>
<td>0</td>
<td></td>
<td>Note that Premium must be distributed within a single or among multiple FTCs proportionally according to the number of Premium Participants represented in each FTC. The exception to this rule is when the Premium Participants are nearly all fishermen (i.e., none or very few workers are included in the group), in which case Premium may be distributed according to sales, harvest volume, or number of Premium Participants.</td>
</tr>
<tr>
<td>ECD-FTP 2.3</td>
<td>No deductions are made from Premium payments to the FTC.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: Where there is an intermediary handling Premium payments, Premium is conveyed no later than one month after receipt of the Premium from the Premium payer.</td>
</tr>
<tr>
<td>ECD-FTP 2.4</td>
<td>The Certificate Holder has a written contract with the Premium payer to ensure correct terms and transfer of Premium payments to the Premium bank account.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: The full Premium payment must first go to the FTC’s bank account before project expenses are deducted. The Certificate Holder cannot deduct project costs from the Premium.</td>
</tr>
<tr>
<td>ECD-FTP 2.5</td>
<td>New Premium rates, as announced by Fair Trade USA, are applied to new contracts from the effective date as listed on the Premium announcement. All pricing Terms &amp; Conditions are honored for existing contracts.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: This criterion is not applicable if the Certificate Holder and the Premium payer are the same entity.</td>
</tr>
<tr>
<td>ECD-FTP 2.6</td>
<td>The FTC acknowledges receipt of the Premium in writing to the Premium payer.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: Price and Premium terms found within the Price and Premium Database must always be followed. The Price and Premium Database can be found on the Fair Trade USA website: <a href="https://www.fairtradecertified.org/business/standards">https://www.fairtradecertified.org/business/standards</a></td>
</tr>
</tbody>
</table>

**Objective ECD-FTP 3: The Fair Trade Premium is used according to the Fair Trade Premium Plan.**

| ECD-FTP 3.1 | Premium is used as agreed upon in the Fair Trade Premium Plan, no Premium is used for operating costs of the Certificate Holder.                                                                                       | 0    |       | **Clarification**: See ECD–DM 2.2 for additional details on the Fair Trade Premium Expenditure Rules.                                                                                                                      |
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<tr>
<td>ECD-FTP 3.2</td>
<td>At least 30% of the Premium is used on environmental projects.</td>
<td>1</td>
<td></td>
<td><strong>Clarification</strong>: This criterion is conditional on criteria within the Resource Management section. If the criteria within the Resource Management section of the CFS have not yet been met, at least 30% of the Premium must be used on compliance with the CFS until the requirements of the Resource Management section are met. This use and/or allocation is documented as part of the Fair Trade Premium Plan. 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 ecosystem. <strong>Guidance</strong>: Environmental projects are those that positively impact natural ecosystems. Examples include developing or improving waste management systems and facilities, creating or enforcing a marine or terrestrial protected area, developing an environmental education program, reimbursements for fishermen collecting data, experimenting with and developing alternative ETP-safe gear, and training fishermen on the Resource Management section of the CFS. For further guidance on Fair Trade Premium Expenditure Rules see ECD–DM 2.2.</td>
</tr>
<tr>
<td>ECD-FTP 3.3</td>
<td>Applicable at first use of the Premium: There is no evidence of misuse in the management of the Premium.</td>
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<tr>
<td>ECD-FTP 3.5</td>
<td><strong>Applicable at first payment of Premium:</strong> Handling of the Premium is externally audited by an independent party in years when more than $75,000 USD Premium is received or spent over the course of one year.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> In cases where this criterion is applicable, the Certificate Holder is responsible for arranging and covering the costs of an external, financial audit. This audit is done by a third-party financial auditor, separate from the Fair Trade CFS audit. It is also acceptable if the Certificate Holder and the FTC agree the Committee should play a role in arranging the audit. The Premium may be used to cover the costs of the audit. 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.</td>
</tr>
</tbody>
</table>

**Objective ECD-FTP 4:** Communication about Fair Trade sales and use of the Fair Trade Premium is thorough and consistent.

<p>| ECD-FTP 4.1 | The Certificate Holder maintains records of all Fair Trade sales, including information on Fair Trade buyers, volumes sold as Fair Trade, Premium calculations, and prices received, and the Certificate Holder shares this information regularly with the FTCs. | 0    |       |                                                                                                           |
| ECD-FTP 4.2 | The Certificate Holder, in collaboration with the FTC, provides a report and audited accounts of Premium use to Premium Participants annually or upon request at any time. | 0    |       |                                                                                                           |
| ECD-FTP 4.3 | The FTC or Fishing Association is responsible for communicating information on sales and the Premium to the Premium Participants. | 0    |       | <strong>Clarification:</strong> Methods for informing Premium Participants shall take into consideration languages and literacy of the Premium Participants. |</p>
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</table>
| ECD-FTP 4.4 | *Applicable one year after the Fair Trade Premium Plan has been implemented:* The progress of the Fair Trade Premium Plan is documented and shared with the Premium Participants in an annual progress report.                                      | 1    |       | **Clarification:** Methods for sharing with Premium Participants shall take into consideration languages and literacy of the Premium Participants. The written report includes measurements of the success against the intended outcome of all actions, and the FTC/board of the Fishing Association answers the following questions:  
  - Were the projects proposed in the Fair Trade Premium Plan carried out? If not, why?  
  - When were the projects carried out?  
  - At what cost?  
  - Was the objective achieved or is further action needed?  

**Guidance:** 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>| ECD-FTP 5.1 | The Certificate Holder has declared in writing it will not interfere with the independent decision-making of the FTCs concerning the use of the Premium.                                                               | 0    |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| ECD-FTP 5.2 | The Premium Participants are aware of the purpose of the Premium and the system by which Premium receipts and expenses are accounted for.                                                                                                                                         | 0    |       | <strong>Clarification:</strong> Methods for communicating with Premium Participants shall take into consideration languages and literacy of the members.                                                                                                                                                                                                                                                     |</p>
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<tbody>
<tr>
<td>ECD-FTP 5.3</td>
<td>The Certificate Holder supports the FTC in developing the Fair Trade Premium Plan, the annual progress report, and in making democratic and transparent decisions.</td>
<td>1</td>
<td></td>
<td><strong>Clarification</strong>: It is the responsibility of the Certificate Holder to support the FTC in achieving the requirements set out in this criterion. If support is still needed by Year 3, a third-party may be contracted to assist with the process. <strong>Guidance</strong>: See ECD-DM 4 for additional details.</td>
</tr>
<tr>
<td>ECD-FTP 5.4</td>
<td>The Certificate Holder provides trainings to the FTC covering administrative and organizational capacity-building and management of the Premium, including the accounting system. All trainings are documented. Records are kept on file.</td>
<td>3</td>
<td></td>
<td><strong>Clarification</strong>: The Certificate Holder is responsible for providing these trainings (and covering the cost, if provided by a third party). The Premium may not be used for any training that is required for compliance with the CFS. <strong>Guidance</strong>: 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.</td>
</tr>
<tr>
<td>ECD-FTP 5.5</td>
<td>The FTC takes on responsibility for maintaining the accounting system, accurately tracks the expenses and budget in the Fair Trade Premium Plan, and identifies the distribution of Premium funds in a transparent manner.</td>
<td>6</td>
<td></td>
<td><strong>Clarification</strong>: The FTC should 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 prior to Year 6. By Year 6, the FTC must take full responsibility for the requirements laid out in this criterion.</td>
</tr>
<tr>
<td>ECD-FTP 5.6</td>
<td>The FTC takes over responsibility for the Fair Trade Premium Plan progress reports.</td>
<td>6</td>
<td></td>
<td><strong>Clarification</strong>: The leadership of the FTC should be able to describe the evolution of the Fair Trade Premium Plan and the justification for the projects included in the Fair Trade Premium Plan.</td>
</tr>
<tr>
<td>No.</td>
<td>Compliance Criteria</td>
<td>Year</td>
<td>Major</td>
<td>Intent and Clarification</td>
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</tr>
<tr>
<td>ECD-FTP 6.1</td>
<td>An accounting system accurately tracks the expenses and budget in the Fair Trade Premium Plan and identifies the distribution of Premium in a transparent manner.</td>
<td>1</td>
<td></td>
<td><strong>Clarification</strong>: 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 fishermen and has appropriate experience. If a third party is contracted, an agreement of responsibilities (for instance a contract or a Memorandum of Understanding) should be in place between the Certificate Holder, the FTC, and the third party that specifies which CFS requirements are to be undertaken by which party. As the Certificate Holder is ultimately responsible for compliance with the CFS, it is the Certificate Holder’s responsibility to ensure the third party is fulfilling its duties and undertaking the agreed-upon tasks. Where there are multiple FTCs and Fair Trade Premium Plans, each FTC ensures transparency and compliance with the CFS, through a transparent administration and use of the Premium. <strong>Guidance</strong>: The agreement can be as simple or as detailed as the parties wish and can include other activities unrelated to compliance with the CFS.</td>
</tr>
<tr>
<td>ECD-FTP 6.2</td>
<td>Applicable where multiple FTCs have been formed: If the FTCs use separate Fair Trade Premium Plans and accounting systems (rather than one joint Fair Trade Premium Plan and accounting system), the correct Premium is channeled to each FTC. Premium is equitably distributed among multiple FTCs.</td>
<td>1</td>
<td></td>
<td><strong>Guidance</strong>: When the Premium Participants are all fishermen (i.e., no workers are included in the group), Premium may be distributed among FTCs proportionally according to the volume of product harvested.</td>
</tr>
</tbody>
</table>
SECTION 3. FHR: Fundamental Human Rights

SUB-SECTION DAP: Discrimination & Abuse Prevention

This section is applicable to the Registered Fishermen, crew members, and workers at any site included in the scope of the CFS Certificate.

<table>
<thead>
<tr>
<th>No.</th>
<th>Compliance Criteria</th>
<th>Year</th>
<th>Major</th>
<th>Intent and Clarification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective FHR-DAP 1: There is no discrimination against Registered Fishermen, crew members, workers, or potential new program participants.</td>
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</tr>
<tr>
<td>FHR-DAP 1.1</td>
<td>There is no discrimination against Registered Fishermen, and crew members, on the basis of race, color, sex, gender, sexual orientation, disability, marital status, family obligations, age, religion, political opinion, language, property, nationality, ethnicity or social origin, or any other condition that could give rise to discrimination in relation to: participation, rules for program participation, voting rights, the right to be elected, access to markets, access to training, technical support, or any other benefits the program offers.</td>
<td>0</td>
<td>M</td>
<td><strong>Guidance</strong>: Evidence of non-discrimination could include, for example, participation rates among minority groups that are similar to their activity levels in the region of production from which the Certificate Holder draws its participants. For example, if 30% of the region’s fishermen are indigenous people, the Certificate Holder could be expected to have indigenous people make up a similar percentage of the Registered Fishermen.</td>
</tr>
<tr>
<td>FHR-DAP 1.2</td>
<td>There is no discrimination against workers, or potential new program participants particularly on the basis of race, color, sex, gender, sexual orientation, disability, marital status, family obligations, age, religion, political opinion, language, property, nationality, ethnicity or social origin, membership of unions or other workers' representative bodies, or any other condition that could give rise to discrimination in: recruitment, promotion, access to training, remuneration, allocation of work, termination of employment, retirement, or other activities.</td>
<td>0</td>
<td></td>
<td><strong>Clarification</strong>: Discrimination includes, but is not limited to, requiring testing, e.g., for pregnancy or HIV. 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. <strong>Guidance</strong>: Compliance can be demonstrated, for example, by women having a similar promotion rate as men, similar employment rates 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.</td>
</tr>
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<td>No.</td>
<td>Compliance Criteria</td>
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<td>Intent and Clarification</td>
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<td></td>
<td><strong>Objective FHR-DAP 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.</strong></td>
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<td></td>
<td>FHR-DAP 2.1 The Certificate Holder, Registered Fishermen, other employers, crew members, and workers do not engage in, support, or tolerate the use of corporal punishment, mental or physical coercion, verbal abuse, or any other form of harassment.</td>
<td>0</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td></td>
<td>FHR-DAP 2.2 The Certificate Holder, Registered Fishermen, other employers, crew members, and workers do not engage in, support, or tolerate behavior, including gestures, language, and physical contact that is sexually intimidating, abusive, or exploitative.</td>
<td>0</td>
<td>M</td>
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<td></td>
<td>FHR-DAP 2.3 Where a significant number of crew members or workers are employed, a written policy that clearly prohibits unwanted conduct of a sexual nature and includes a disciplinary procedure with the right to appeal is in place and communicated to crew members or workers both verbally and in writing.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> See the <em>Fair Trade Capture Fisheries Glossary</em> for a definition of significant number of crew members or workers.</td>
</tr>
<tr>
<td></td>
<td>FHR-DAP 2.4 Where a significant number of crew members or workers are employed, a monitoring and record system is in place to prevent unwanted conduct of a sexual nature and improper disciplinary practices.</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> The intent of a monitoring and record system is to ensure policies and procedures are effectively implemented.</td>
</tr>
</tbody>
</table>
SUB-SECTION FL: Freedom from Forced Labor & Human Trafficking

This section is applicable to the Registered Fishermen, crew members, and workers at any site included in the scope of the CFS Certificate.

<table>
<thead>
<tr>
<th>No.</th>
<th>Compliance Criteria</th>
<th>Year</th>
<th>Major</th>
<th>Interpretation Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Objective FHR-FL 1: Human trafficking and forced, bonded, and compulsory labor does not occur.</strong></td>
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<tr>
<td>FHR-FL 1.1</td>
<td>Human trafficking and forced, bonded, and compulsory labor does not occur.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> This section intends to prevent forced or bonded labor based upon ILO Conventions 29 and 105 on Forced Labor. “Forced or compulsory labour shall mean all work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily” (ILO Convention No. 29, Article 2). Fair Trade USA also expects that boat 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. <strong>Guidance:</strong> Forced labor includes work for which a person has not offered him or herself voluntarily and they are forced to perform under the threat of any penalty. It is considered forced labor if any part of the crew members’ or workers’ payments, salary, benefits, property, or documents is retained in order to force them to remain in their employment. It is also considered forced labor if crew members and/or workers are required or forced to remain in employment against their will using any physical or psychological measure. The term bonded labor refers to crew members or workers that have received loans from employers, where these loans are subject to unreasonable terms and conditions. The interest rate and conditions attached to the offer are agreed upon in advance with the crew members and/or workers. Interest rates charged shall not be higher than the cost of borrowing. Fair Trade USA considers the following as elements of forced labor:</td>
</tr>
<tr>
<td>No.</td>
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<td></td>
<td></td>
<td>• Involuntary prison labor</td>
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<td></td>
<td>• Deception in recruitment and hiring</td>
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<td>• Fraudulent visa practices</td>
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<td>• Coercion in recruitment and hiring</td>
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<td></td>
<td>• Informality in recruitment and hiring</td>
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<td>• Use of a labor broker as an on-site manager</td>
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<td>• Confiscation of identity documents</td>
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<td>• Deductions, fines, withholdings and illegally-low pay</td>
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<td>• Employer control of bank account</td>
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<td>• Lack of freedom to terminate employment</td>
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<td>• Restrictions on freedom of movement</td>
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<td>• Isolation, threats and violence</td>
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</tbody>
</table>

If an employer or Certificate Holder provides advances and loans that will later be deducted from wages or payment for seafood, there should be a clear, written agreement outlining repayment parameters. Such advances and loans, and the deductions from wages or payment for seafood made for their repayment, should not exceed legal limits and should not be used as a means to bind crew members or workers to employment.

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.

This also applies where housing is provided to a crew member or worker and his or her family, and where goods are bought by fishermen while on board a vessel (see WWS-CE 2).

**Objective FHR-FL 2: Crew members and workers are recruited through fair and transparent processes.**

| FHR-FL 2.1 | If an agency is used to recruit or place crew members or workers, the Certificate Holder or employer has a copy of the certificate of accreditation or licensing permission for the agency. | 0 |      |

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<table>
<thead>
<tr>
<th>No.</th>
<th>Compliance Criteria</th>
<th>Year</th>
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</tr>
</thead>
<tbody>
<tr>
<td>FHR-FL 2.2</td>
<td>Employers pay all recruitment and hiring fees; crew members and workers do not pay any hiring fees or post any bonds.</td>
<td>1</td>
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<td><strong>Clarification:</strong> Under this criterion, the levying of fees to pay for the opportunity to work is prohibited. This includes that:</td>
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<td>• Crew members and workers are not charged administrative fees by a recruiter;</td>
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<td>• Crew members 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,</td>
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<td>• 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.</td>
</tr>
<tr>
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<td>When migrant and/or stateless crew members 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:</td>
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<td>• wages;</td>
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<td>• duration of employment;</td>
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<td>• housing and food costs;</td>
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<td>• working hours and overtime arrangements;</td>
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<td>• trip expenses and trip safety;</td>
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<td>• minimum age of employment;</td>
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<td>• non-discrimination;</td>
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<td>• breach of contract; and</td>
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<td>• terms of repatriation should the recruited worker 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.</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>Agreements are explained verbally and in writing, and in a language understood by the migrant and/or stateless crew member or worker.</td>
</tr>
</tbody>
</table>
**SUB-SECTION PC: Protection of Children & Young Persons**

This section is applicable to the Registered Fishermen, crew members, and workers at any site included in the scope of the CFS Certificate. It intends to protect children 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.”

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</thead>
</table>
| FHR-PC 1.1 | Children below the age of 15 (or below the working age defined by national law, if higher) are not employed by the Certificate Holder, Registered Fishermen, other employers, or any entities in the scope of the Certificate. | 0    | M     | **Clarification:** 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 Fishermen hire crew members or workers, these crew members’ or workers’ children are not allowed to work even alongside their relatives or legal guardian.  
**Guidance:** In all cases, including child-headed households, a child’s rights approach as reflected in the guiding principles of the UN Convention of the Rights of the Child should be used to interpret these requirements, giving priority to the best interests of the child. |
| FHR-PC 1.2 | Children below the age of 16 (or below the working age defined by national law, if higher) are not employed for work on board a fishing vessel.                                                                           | 0    | M     | **Clarification:** 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 Fishermen hire crew members, these crew members’ children are not allowed to work in boats even alongside their relatives or legal guardian.  
**Guidance:** In all cases, including child-headed households, a child’s rights approach as reflected in the guiding principles of the UN Convention of the Rights of the Child should be used to interpret these requirements, giving priority to the best interests of the child. |
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</thead>
<tbody>
<tr>
<td>FHR-PC 1.3</td>
<td>Documentation is maintained for all workers legally classified as minors, including: name, date of birth, address, and a letter of consent authorizing the minor to work, signed by the parents or legal guardian.</td>
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<td></td>
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</tr>
</tbody>
</table>
| FHR-PC 1.4 | Where there is a history or a current occurrence of child labor as defined above, a remediation policy has been put in place to ensure the children do not enter into worse forms of employment. The employer has a register of all workers under the age of 18 (or below the age of legal adulthood as defined by national law, if higher) indicating their age, their work, and the relevant remediation policy that is in effect. | 1    |       | **Clarification:** Under this criterion, if children have been employed in the past, it is the responsibility of the Certificate Holder to work with Registered Fishermen, crew members, and workers to ensure those children do not enter into worse forms of employment. Records are required of any former child crew members or workers, including their age, a description of their work, and any actions taken with regards to the child (i.e., the relevant remediation policy that is in effect). Under this criterion, a remediation policy and program must be implemented. The intent is that remediation policies and processes include:  
- Removing the child from all work immediately;  
- Ensuring the child is in a safe place;  
- Consulting with their family about how to pay for the child to continue schooling and provide an incentive for them to continue in school; and,  
- Looking for employment opportunities for the adults in the family.  
**Guidance:** An effective remediation policy will include a clear statement against child labor and will define projects with expert partner organizations to ensure the immediate and continued protection of children. One example of an appropriate remediation program would be implementing a community-led project aimed at assisting households where impacted and at-risk children live, including the facilitating provision of education, for example, helping with basic school supplies.  
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. |
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<tr>
<td></td>
<td><strong>FHR-PC 1.5</strong> Policies and procedures are in place to ensure children below the age of 15 (or below the working age defined by national law, if higher) are not employed or allowed into processing facilities.</td>
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<td></td>
<td><strong>FHR-PC 1.6</strong> If the Certificate Holder has identified in the Risk Assessment that there is a risk of child labor, it has implemented procedures to prevent children below the age of 15 (or below the working age defined by national law, if higher) from being employed for any work and children below the age of 18 (or below the age of legal adulthood as defined by national law, if higher) from being employed in dangerous and exploitative work.</td>
<td>3</td>
<td></td>
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</tr>
<tr>
<td>Objective FHR-PC 2: If children of the Registered Fishermen below the age of 15 (or below the working age defined by national law, if higher) help their relatives with work outside school hours and/or during holidays, the work does not jeopardize the child’s wellbeing.</td>
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<td></td>
<td><strong>FHR-PC 2.1</strong> If children of the Registered Fishermen below the age of 15 (or below the working age defined by national law, if higher) help their relatives with work outside school hours and/or during holidays, the work does not jeopardize the child’s social, moral, or physical development, constitute a hazard to the child’s health, or jeopardize schooling, and is within reasonable time limits after school or during holidays. A relative or legal guardian supervises and guides the child.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> Children of non-Registered Fishermen may not help their relatives with work, as specified in FHR-PC 1.1.</td>
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<td><strong>Guidance:</strong> 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 fishermen 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.)</td>
</tr>
</tbody>
</table>
## Objective FHR-PC 3: Registered Fishermen, crew members, and workers under the age of 18 have working conditions that are modified in consideration of their age and physiological needs.

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>FHR-PC 3.1</td>
<td>The working hours of children under the age of 18 (or below the age of legal adulthood as defined by national law, if higher) do not exceed eight hours per day and 40 hours per week, and they do not work overtime except where unavoidable for safety reasons.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This includes Registered Fishermen, crew members, and workers.</td>
</tr>
<tr>
<td>FHR-PC 3.2</td>
<td>Registered Fishermen, crew members, and workers under the age of 18 (or below the age of legal adulthood as defined by national law, if higher) are provided sufficient time for all meals and a break of at least one hour for the main meal of the day.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This includes Registered Fishermen and crew members under payment-share systems.</td>
</tr>
<tr>
<td>FHR-PC 3.3</td>
<td>Registered Fishermen, crew members, and workers under the age of 18 (or below the age of legal adulthood as defined by national law, if higher) do not carry out work which, by its nature or the circumstances under which it is carried out (e.g., handling chemicals, working night shifts) is likely to jeopardize their health, safety, development or morals. This includes night work.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> Examples of work considered to be unacceptable, regardless of the individual’s age, include work that involves: slave-like practices such as the trafficking of children, debt bondage, and serfdom (being bound to live and labor on a vessel and/or on land belonging to another person); any forced or compulsory labor; and recruitment into armed conflict, sex work, prostitution, pornography, and/or illicit activities such as the production and trafficking of drugs. Examples of work that is potentially damaging to youth include work that takes place in an unhealthy environment, involves excessively long working hours, the handling of or any exposure to toxic chemicals, work at dangerous heights, and operation of dangerous equipment.</td>
</tr>
</tbody>
</table>
SUB-SECTION FR: Freedom of Association

This section is applicable to the Registered Fishermen, crew members, and workers at any site included in the scope of the CFS Certificate. Some exceptions are included for operations that do not employ a significant number of crew members or workers (greater than five crew members or workers at any one time). The intent is to protect Registered Fishermen, crew members, 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.”

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| FHR-FR 1.1 | The employer recognizes the right of all employees to establish or join an independent worker’s organization of their own choosing that is free from interference of the employer and the right to collective bargaining. Where a significant number of crew members or workers are employed, this must be done in writing. | 0    | M     | Clarification: This criterion includes that crew members and workers have the right to organize. Workers organization is any organization of workers with the objective of "furthering and defending the interests of workers" (ILO Convention 110, Article 69).

Guidance: Compliance with the in writing portion of this criterion can be achieved through a signed statement distributed to all crew members 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 and/or workers, including effective communication to illiterate crew members and workers. This notice should inform workers of their rights as contained in ILO Conventions 87 and 98, namely that:

- Crew members and workers have the right to establish and to join organizations of their own choosing without previous authorization;
- Crew members’ and workers’ organizations 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; |
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| FHR-FR 1.2 | Crew members and workers have the right to democratically choose their representatives to take part in any negotiations, without external interference. | 0 |       | • Crew members’ and workers’ organizations are not liable to be dissolved or suspended by administrative authority;  
• Crew members’ and Workers’ organizations have the right to establish and join federations and confederations, and any such organization shall have the right to affiliate with international organizations of workers and employers;  
• Crew members and workers and their respective organizations, like other persons or organized collectivities, must respect the law of the land;  
• Employers may not make the employment of a crew member or worker subject to the condition that he shall not join a union or shall relinquish trade union membership, or cause the dismissal of or otherwise prejudice a worker by reason of union membership or because of participation in union activities outside working hours or, with the consent of the employer, within working hours; and,  
• Crew members’, workers’ and employers’ organizations are protected against any acts of interference by each other or each other’s agents or members in their establishment, functioning or administration. |
<p>| FHR-FR 1.3 | The employer does not interfere with the right to freedom of association by attempting to influence or obstruct crew members’ or workers’ organizations. | 0 |       | <strong>Clarification:</strong> Employer interference could include supporting crew members’ or workers’ organizations by financial or other means, or by showing preference to one crew members’ or workers’ organization over another, for example, negotiating with one while excluding another or providing facilities for one and not for another. |</p>
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<tr>
<td>FHR-FR 1.4</td>
<td>Management allows crew members and workers to hold meetings and organize themselves during working time without interference (without deductions or required payments) and within reasonable limits.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> The time and place for these meetings must be agreed upon in advance. The Certificate Holder and other employers are not required to allow these meetings if either party has not been informed beforehand. Workers are free to participate or not in these meetings. The meetings can be requested by the 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.</td>
</tr>
<tr>
<td>FHR-FR 2.1</td>
<td>Neither crew members, workers, nor their representatives are discriminated against or suffer any repercussions because of freely exercising their right to organize or because of their membership or participation in legal activities in their workers’ organization.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> Discrimination means that crew members or workers are treated differently or suffer negative repercussions. Some actions that could indicate discrimination against crew members or workers who form, or try to form, a crew members’ or workers’ organization are: closing production, denying access, longer working hours, making transport difficult, or dismissals. <strong>Guidance:</strong> This is in accordance with ILO Convention 135.</td>
</tr>
<tr>
<td>FHR-FR 2.2</td>
<td>Where a significant number of crew members or workers are employed, the employer keeps records for all cases of dismissals of union or crew members’ or workers’ committee members.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> This is in accordance with ILO Convention 135.</td>
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<tr>
<td>FHR-FR 2.3</td>
<td>Where a significant number of crew members or workers are employed, the employer maintains a register of all terminated contracts with details on circumstances/reasons for termination.</td>
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<td><strong>Guidance:</strong> This is in accordance with ILO Convention 135.</td>
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<tr>
<td>Objective FHR-FR 3: Trainings are provided concerning freedom of association.</td>
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<tr>
<td>FHR-FR 3.1</td>
<td>Where a significant number of crew members or workers are employed, the employer ensures that all crew members and workers are provided with information from an independent source on their right to freedom of association and the options available for crew members or workers to organize.</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> Information on the right to freedom of association must be provided from a source other than the employer, such as a regional union, an academic institution, or an NGO. <strong>Guidance:</strong> Possible forms of association include unions, workers' committees, cooperatives, or associations.</td>
</tr>
<tr>
<td>FHR-FR 3.2</td>
<td>Where a significant number of crew members or workers are employed, 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 to take place.</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> Where workers are not already members of an independent trade union or worker organization, the employer provides facilities for such trainings and allows them to happen during working time without interference (without deductions or required payments) and within reasonable limits as defined by the certifier, typically one half to one full day per year.</td>
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</table>
SECTION 4. WWS: Wages, Working Conditions, and Access to Services

SUB-SECTION CE: Conditions of Employment

This section is applicable to the Registered Fishermen, crew members, and workers at any site included in the scope of the CFS Certificate. Registered Fishermen and crew members 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.

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<tr>
<td><strong>Objective WWS-CE 1: Employment conditions are clear and all conditions are respected.</strong></td>
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| WWS-CE 1.1 | Registered Fishermen, crew members and workers are aware of their rights and duties, responsibilities, salaries/wages, payment schedules, and work schedules. Employment conditions have been verbally agreed upon. | 0 | | **Clarification:** This criterion is applicable for all Registered Fishermen, crew members, and workers, regardless of whether they are directly hired, the length of employment, or how they are paid. Individuals should be aware of:

- Wages, overtime wages, piece rate, and/or production bonuses; for fishermen being paid through payment-share systems, see also WWS-CE 2;
- For crew members, the expected length of trips;
- When and how they will be paid;
- Working hours and schedule, including breaks; and,
- Rights to vacation, sick, maternity, and holiday leave. |
<p>| WWS-CE 1.2 | Where a significant number of crew members or workers are employed, all permanent crew members and workers have a legally binding written contract that clearly describes the terms of hire and safeguards workers from loss of pay in the case of work-related illness, disability, accident, or death. The notice period for termination of the contract is identical for employer and worker. The contract is signed by the crew member or worker and employer. | 3 | | <strong>Clarification:</strong> This criterion is applicable to all permanent crew members and workers. Permanent crew members and workers may be employed full-time or part-time. |</p>
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<tr>
<td>WWS-CE 1.3</td>
<td>Where a significant number of crew members and/or workers are employed, all permanent crew members and/or workers have received a copy of the contract or, at minimum, have free access to the original, signed contract.</td>
<td>3</td>
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<td><strong>Clarification:</strong> Management ensures crew members and workers understand the terms of the contract.</td>
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| WWS-CE 1.4 | For work taking place on vessels, the written contract, if required under WWS-CE 1.3, must explain the employer’s commitments to crew member safety.                                                                  | 3    |       | **Clarification:** This criterion applies where a significant number of crew members are employed. Depending upon the working conditions and/or vessel type, the safety clauses may vary from those listed in this criterion due to applicability. **Guidance:** Contracts may include clauses explaining:  
  - 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 fishermen to refuse undertaking a voyage without losing employment should the commitment associated with these clauses not be honored in practice. |

**Objective WWS-CE 2:** If fishermen 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.

| WWS-CE 2.1 | Where payment-share systems are in place, Registered Fishermen and crew members establish these in writing amongst themselves or directly between themselves and other Registered Fishermen and crew members prior to fishing. The agreement explains how to determine the market price, the parties involved, and how the payments are to be divided amongst them. | 0    |       | **Clarification:** If one or more signatories to the agreement are illiterate, the agreement shall be read aloud or witnessed by a third party.  
In exceptional circumstances, a verbal agreement may be acceptable, providing all parties can independently, verbally verify the conditions within the agreement. |
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<td></td>
<td>The agreement is written in a language all parties understand. All parties sign this agreement and hold a copy.</td>
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<td><strong>Guidance:</strong> Fishermen 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.</td>
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<tr>
<td>WWS-CE 2.2</td>
<td>The payment-share agreement is adhered to. Individuals are able to observe seafood being weighed.</td>
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<tr>
<td>WWS-CE 2.3</td>
<td>Payment-share systems are only used for vessel owners and individuals working on boats.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> Workers on land may not be paid through payment-share systems.</td>
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<tr>
<td>Objective WWS-CE 3: Salaries and wages are decent and are increasing towards a living wage.</td>
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<tr>
<td>WWS-CE 3.1</td>
<td>Conditions of employment, including wages, either meet or exceed sector regulations, Collective Bargaining Agreements (CBAs) in place with the employer, the regional average minimum wage, and legal minimum wages for similar occupations.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> If the wage specified in the Collective Bargaining Agreement (CBA) is lower than the minimum wage, the minimum wage must still be paid unless there is legal precedent for paying the CBA wage, i.e., the law must always be followed. WWS-CE 3 does not apply to those fishermen operating under payment-share systems, see WWS-CE 2.</td>
</tr>
<tr>
<td>WWS-CE 3.2</td>
<td>The employer has specified wages for all functions.</td>
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<tr>
<td>WWS-CE 3.3</td>
<td>Where a significant number of crew members and/or workers are employed, crew members and workers receive pay slips with each pay check that provide a clear account of wages earned, allowances, bonuses, overtime payment, and all deductions in detail. This information is available upon request at any time.</td>
<td>0</td>
<td></td>
<td><strong>Guidance:</strong> Deductions for meals or other goods available for purchase for crew members and workers should be reasonable and consistent with market prices.</td>
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<td>WWS-CE 3.4</td>
<td>For remuneration based on production, quotas, or piecework, the pay rate allows the worker to earn the proportionate minimum wage or relevant industry average (whichever is higher) during normal working hours.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> This applies only to workers.</td>
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</table>
| WWS-CE 3.5 | The employer and waged crew member and/or worker representatives meet at least once a year to discuss how they can improve wages and productivity in mutually beneficial ways, including generating ideas for how to move towards living wages over time.                                                                                                                                                                                                                                                                                                                                                                          | 3    |       | **Guidance:** Fair Trade USA standards are designed to encourage discussion on increasing wages and incremental steps forward, rather than focusing on debates on methodology. Fair Trade USA encourages crew members, workers, and management to review work that is already being carried out, such as that by the Global Living Wage Coalition. A living wage is defined as remuneration received for a standard (48 hour) work week by a worker in a particular place, sufficient to afford a decent standard of living for the worker and her or his family. According to best practices, Fair Trade USA considers a living wage to include the following elements, based upon costs in the local community:  
  - Housing/Shelter;  
  - Energy/Fuel;  
  - Nutrition/Adequate food;  
  - Clothing;  
  - Healthcare;  
  - Education;  
  - Potable/Clean water;  
  - Childcare, Transportation;  
  - Savings/Discretionary income; and,  
  - Worker and Family/Dependents  
These discussions can also happen on an industry level, for example, with national unions and employer organizations. |
### Objective WWS-CE 4: Salaries, wages, and earnings are paid directly, on time, and in legal tender.

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<tr>
<td>WWS-CE 3.6</td>
<td><em>Applicable where a workers’ organization exists:</em> Rates for piecework are agreed upon under the Collective Bargaining Agreement or agreement on working conditions with the workers’ committee, and their method of calculation is transparent and available to workers.</td>
<td>3</td>
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</table>
| WWS-CE 4.1 | Payment is made in cash or cash equivalent (check, direct deposit) directly to the crew members or workers. Where payment is made by direct deposit, the employer does not have withdrawal access to individuals’ bank accounts. | 0    | M     | **Clarification:** Direct deposits must be directly accessible by the individual being paid (e.g., payment should not be made to the spouses).  
This criterion is also applicable where payment-share systems are in place. As per WWS-CE 4.2, payment in fish or other marine species is not allowed. See WWS-CE 2 for additional details.  
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. |
<p>| WWS-CE 4.2 | Payments are made on time according to an appropriate payment schedule that is monthly or bi-weekly. The payment schedule has been communicated to crew members and workers. In-kind payments are not allowed, except in regions where they are legally permissible, agreed upon by both parties, and documented, including a definition of the value of the goods. In-kind payment cannot be made in fish or other marine species. | 0    |       | <strong>Guidance:</strong> Under occasional cases where trips extend beyond 30 days, crew members operating on a payment-share system should have a way for some advanced payment of their share to be transferred to a party of their choice (for instance their family) so that payment is earned at least every 30 days. |</p>
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<tr>
<td>WWS-CE 4.3</td>
<td>Crew members and workers are provided with access to a proper appeal mechanism if discrepancies in payment are found.</td>
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**Objective WWS-CE 5:** The employer complies with local law regarding the provision of social security, pension, and health and disability insurance. In cases where permanent crew members or workers are not entitled to health insurance benefits, the employer provides equivalent benefits in the form of private health insurance or comparable health services.

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<tr>
<td>WWS-CE 5.1</td>
<td>The employer complies with local law regarding the payment and provision of social services including social security, pension, and health and disability insurance.</td>
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**Clarification:** This criterion is not applicable for those crew members operating under a payment-share system.

If national law allows the company to provide its own private health insurance or health care services instead of paying social security (public health care) benefits to all permanent crew members and workers, the company must pay for the full cost of the alternative health care option.

The alternative health care that is provided should be commensurate with legal minimums and ideally include workers’ compensation (applicable to both crew members and workers), occupational health and safety, regular examinations and routine medical care. Best practice is that the family also benefits from the healthcare.

**Guidance:** Legal requirements vary by country and region and there may be significant differences in which classifications of crew members and workers receive benefits under law and the types of benefits they receive. In some countries, social security includes a range of medical, welfare, and family benefits.

In some countries, crew members and workers can be insured through a system of fishing vessel owners’ liability, or compulsory insurance, workers’ compensation, or other schemes.
## SUB-SECTION CE: Conditions of Employment

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<td></td>
<td><strong>WWS-CE 5.2</strong> In cases where permanent crew members or workers are not entitled to health insurance benefits, the employer provides the equivalent benefits in the form of private health insurance or comparable health services.</td>
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<td><strong>Clarification:</strong> This criterion is not applicable for those crew members operating under a payment-share system.</td>
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<td></td>
<td><strong>WWS-CE 5.3</strong> The employer provides crew members or workers with vacation, sick, and maternity leave that meets or exceeds legal requirements and international standards.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This criterion is not applicable for those crew members operating under a payment-share system.</td>
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<td><strong>Objective WWS-CE 6:</strong> Working hours are in line with local law and international standards, and workers receive adequate rest periods.</td>
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<td></td>
<td><strong>WWS-CE 6.1</strong> Meal and work breaks are agreed upon and adhered to.</td>
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<td><strong>WWS-CE 6.2</strong> <em>Applicable for all crew members on any fishing vessel remaining at sea for more than five days:</em> Minimum hours of rest shall not be less than: ten hours in any 24-hour period, and 77 hours in any seven-day period, unless exceptional circumstances apply and crew members have agreed. Even under exceptional circumstances, crew members receive at least 24 consecutive hours of rest after 18 days.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> It is best practice that working hours for exceptional circumstances are recorded in written agreements, however, verbal agreements will be accepted. This criterion is based upon ILO Convention 188, Article 14.</td>
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<td></td>
<td><strong>WWS-CE 6.3</strong> Workers do not work longer than 48 hours per week, the level agreed to in the Collective Bargaining Agreement, or the legal limit, whichever is less.</td>
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<td></td>
<td><strong>Clarification:</strong> This excludes overtime.</td>
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<tr>
<td></td>
<td><strong>WWS-CE 6.4</strong> Workers receive at least 24 consecutive hours of rest following every six consecutive work days, unless exceptional circumstances apply and workers have agreed in writing. Even under exceptional circumstances, workers receive at least 24 consecutive hours of rest after 18 days.</td>
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<td><strong>WWS-CE 6.5</strong> Exceptional circumstances regarding working hours have been communicated to and agreed to by crew members and/or workers. Documentation of this agreement shall be kept in an auditable format. This applies to all crew members and workers, including temporary and seasonal workers.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This criterion relates to exceptional circumstances in WWS-CE 6.2 and 6.4.</td>
</tr>
<tr>
<td></td>
<td><strong>WWS-CE 6.6</strong> Rest periods lost during exceptional circumstances are offered to crew members and workers within three months. Workers may choose whether or not to take those rest days.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This criterion relates to exceptional circumstances in WWS-CE 6.2 and 6.4.</td>
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<td><strong>WWS-CE 6.7</strong> Workers are given one 30-minute meal break for every five hours worked, and an additional 15 minutes of rest time for every four hours worked.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> For every eight-hour shift, workers receive one-hour break time total. 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 can go to the bathroom, get a drink of water, stretch, etc. for up to 30 minutes per eight-hour day).</td>
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**Objective WWS-CE 7:** Overtime is voluntary and not excessive.

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<td></td>
<td><strong>WWS-CE 7.1</strong> All overtime is strictly voluntary.</td>
<td>0</td>
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<td><strong>Clarification:</strong> Voluntary means it has been agreed to by crew members and/or workers ahead of time. This can happen via a freely-negotiated Collective Bargaining Agreement. Crew members and/or workers are not denied employment or discriminated against for being unable or not willing to work overtime. Individuals may be required to work non-voluntary overtime if needed in emergency situations such as to ensure the safety of the crew members or catch, or to rescue boats in distress.</td>
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<td><strong>Objective WWS-CE 8: The use of time-limited contracts and labor contractors is limited and justifiable.</strong></td>
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<td><strong>Clarification:</strong> This criterion is not applicable for those operating under a payment-share system.</td>
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<td>WWS-CE 8.1 All positions that are of a regular nature are staffed with permanent crew members or workers, and legal obligations are not avoided through the excessive use of time-limited employment contracts.</td>
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<td></td>
<td>The intent of this requirement is that employers do not avoid legal obligations by using continuous fixed-term employment contracts.</td>
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<td><strong>Guidance:</strong> Work positions of a regular nature exclude seasonal work, work that is added to usual work levels during peak periods, and periodic special tasks.</td>
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<td>WWS-CE 8.2 Where a significant number of crew members and/or workers are employed, time-limited contracts or any labor contracting 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 crew members and workers.</td>
<td>3</td>
<td></td>
<td><strong>Clarification:</strong> Labor contractors cannot be used to fill permanent positions, even if they agree to undergo an audit. Where crew members and workers hired via labor contractors are used, labor contractors are aware of the requirements of the CFS and agree to comply with all relevant requirements. At the discretion of the auditor or Fair Trade USA, the labor contracting agency or individual may be included in the scope of the audit, including but not limited to review of documentation related to worker recruitment and payment, benefits for workers, health and safety, and any other topics, as relevant. Where crew members and workers hired via labor contractors are present in the workforce, they must be included in the crew member and worker interview sample to confirm that the conditions of employment for the crew members and workers hired via labor contractors as defined in the CFS are met, including health and safety training and minimum payments.</td>
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<td>Labor contractors may be used in what would normally be permanent positions in exceptional circumstances such as a very short-term labor shortage (e.g. seasonal fisheries). In such cases, the onus would be on the Certificate Holder to demonstrate that it and/or its members attempted to hire directly, but there was not any other viable option. Additionally, in some regional contexts, there are local requirements for labor contracting. An exception for labor contracting can be made for security personnel, as there is often background screening and training necessary when working with firearms or other types of security equipment.</td>
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**SUB-SECTION OH: Occupational Health & Safety**

This section is applicable to the Registered Fishermen, crew members, and workers at any site included in the scope of the CFS Certificate, including anyone working part-time or under a payment-share system.

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<tbody>
<tr>
<td>WWS-OH 1.1</td>
<td>Work processes, workplaces (including any vessels, docks, landing sites, and processing facilities in the scope of the Certificate), machinery and equipment, and worker transportation are maintained to be safe, and equipped with adequate safety devices.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> ILO Convention 188, Article 26 requires that vessels shall be of sufficient size and quality and appropriately equipped for the service of the vessel and the length of time individuals spend on board. Where carbon monoxide is used or stored, functioning carbon monoxide detectors with an audible alarm are properly installed at the right height.</td>
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<td>Guidance: For guidance on best practice considerations for risk mitigation in all workspaces under the CFS, please refer to the “Capture Fisheries Standard Guidance for Workspace Safety”¹.</td>
</tr>
<tr>
<td>WWS-OH 1.2</td>
<td>The following persons are not allowed to be engaged in any potentially hazardous work: persons younger than 18 years, pregnant or nursing women, persons with incapacitating mental conditions, persons with chronic, hepatic or renal diseases, and persons with respiratory diseases. The employer provides an alternate job at the same pay and benefits if a change is needed due to this requirement.</td>
<td>0</td>
<td></td>
<td>Clarification: Provision of alternate jobs does not apply for those operating under payment-share systems.</td>
</tr>
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</table>

¹ [Link to Guidance Document](http://fairtradeusa.org/certification/standards/download-center)
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<tr>
<td>WWS-OH 1.3</td>
<td>Registered Fishermen, crew members, and workers use Personal Protective Equipment (PPE) as appropriate to their tasks. The PPE is functional and properly maintained, and users have been trained on proper use.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> Protection from chemicals and extreme temperatures, including the risk of frostbite when packing fish on ice, must be taken into consideration. PPE includes life jackets.                                                                                     <strong>Guidance:</strong> 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.</td>
</tr>
<tr>
<td>WWS-OH 1.4</td>
<td>Crew members and workers are provided PPE free of charge.</td>
<td>0</td>
<td></td>
<td><strong>Guidance:</strong> This includes that captains provide crew members with lifejackets free of charge.</td>
</tr>
<tr>
<td>WWS-OH 1.5</td>
<td>Adequate first aid supplies and access to medical services are available to crew members and workers in the case of workplace accidents.</td>
<td>0</td>
<td>M</td>
<td><strong>Guidance:</strong> The level of first aid equipment and supplies will vary according to the size of vessel the workplace. As a best practice, the employer or captain of the vessel should also identify the types of emergencies that may affect their workforce (which may include political or civil unrest, chemical poisoning/contamination, fire, or extreme weather) and prepare appropriately. Access to medical services includes the Certificate Holder providing transportation for the Registered Fishermen, crew member, and workers to the closest medical clinic/hospital in case 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.</td>
</tr>
<tr>
<td>WWS-OH 1.6</td>
<td>Where a significant number of crew members or workers are employed, the employer provides all crew members and workers with any required working clothes, for instance uniforms or specialized clothing, free of charge. These working clothes are replaced regularly.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This criterion is applicable where uniforms or specialized work clothes are required.</td>
</tr>
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<tr>
<td>WWS-OH 1.7</td>
<td>The employer provides medical care for all workplace injuries and illnesses and pays for recovery to any work-related illnesses or injuries, as well as lost wages during recover time. Sick leave due to work-related accidents is not deducted from annual leave.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> This criterion is not applicable for those operating under payment-share systems.</td>
</tr>
<tr>
<td>WWS-OH 1.8</td>
<td>A maintenance, improvement, and repair system is put in place in all sites to ensure a safe, clean, and hygienic environment at all times.</td>
<td>3</td>
<td></td>
<td><strong>Clarification:</strong> This criterion applies to all workplace sites, e.g., vessels, docks, landing sites, and processing locations.</td>
</tr>
</tbody>
</table>

**Objective WWS-OH 2: Individuals have access to drinking water, sanitary facilities, and, where applicable, decent sleeping quarters on vessels.**

| WWS-OH 2.1 | Potable drinking water is clearly labelled and accessible to all crew members and workers during their working period. | 0    | M     | **Guidance:** 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.  
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.  
In determining the quality of water given to workers, 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.  
Potable water can also mean water that is of the same or better quality that the employer or captain drinks. |
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<tbody>
<tr>
<td>WWS-OH 2.2</td>
<td><em>Applicable for vessels:</em> Sanitary facilities need not be provided, but if both women and men are on board, at a minimum a private area is provided for sanitary use.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> A private area is one obstructed from view by other individuals when at sea.</td>
</tr>
<tr>
<td>WWS-OH 2.3</td>
<td><em>Applicable for land-based facilities:</em> Sanitary facilities are provided; these are clean and there are hand washing facilities next to the sanitary facilities.</td>
<td>0</td>
<td></td>
<td><strong>Clarification:</strong> Applicable to land-based facilities, including processing facilities, within the scope of the Certificate.</td>
</tr>
<tr>
<td>WWS-OH 2.4</td>
<td><em>Applicable for vessels remaining at sea for more than three days 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):</em> 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.</td>
<td>1</td>
<td></td>
<td><strong>Guidance:</strong> This criterion is based upon ILO Convention 188, Article 41. Living conditions of fishermen and crew members who spend more than three consecutive days on board have decent living quarters, with proper ventilation, and safety.</td>
</tr>
<tr>
<td>WWS-OH 2.5</td>
<td><em>Applicable for land-based facilities:</em> Where a significant number of workers are employed, 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.</td>
<td>3</td>
<td></td>
<td></td>
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<tr>
<td>WWS-OH 2.6</td>
<td><em>Applicable for boats with closed sleeping quarters:</em> If both women and men are on board, sleeping quarters with access to privacy are provided.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> Privacy can be accomplished through sleeping shifts, separate bunks with curtains, or separate quarters</td>
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<td></td>
<td><strong>Objective WWS-OH 3: Individuals have the training and information they need to keep themselves safe.</strong></td>
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<td></td>
<td><strong>WWS-OH 3.1</strong> Training on workplace hazards, the use of the Personal Protective Equipment (PPE), and the risks associated with hazardous materials is provided at least once a year to applicable crew members and workers. These trainings are documented, and records are kept on file.</td>
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<td></td>
<td><strong>WWS-OH 3.2</strong> There are trained first aid personnel available to respond to emergency first aid situations.</td>
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<td></td>
<td><strong>Guidance:</strong> 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. The employer has given a specific person the responsibility for choosing the types and amounts of first-aid supplies and for maintaining these supplies. 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.</td>
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<tr>
<td></td>
<td><strong>WWS-OH 3.3</strong> Where a significant number of crew members or workers are employed, the Certificate Holder has conducted training and simulation exercises on the health and safety policy.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> See WWS-OH 4.3 for additional details concerning the health and safety policy.</td>
</tr>
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<td></td>
<td><strong>WWS-OH 3.4</strong> Risk areas and potential hazards are clearly identified by warning signs in all relevant languages, which include pictograms.</td>
<td>3</td>
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<tr>
<td>WWS-OH 3.5</td>
<td>Written safety instructions and procedures include details regarding accident prevention and response, including pictograms where appropriate, and are readily available to workers at their work place.</td>
<td>3</td>
<td></td>
<td>Guidance: These safety instructions and procedures are separate from the health and safety policy (see WWS-OH 4.3 for additional details).</td>
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</table>

**Objective WWS-OH 4: Policies and procedures are in place to promote health and safety in the workplace.**

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<th>No.</th>
<th>Compliance Criteria</th>
<th>Year</th>
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<tbody>
<tr>
<td>WWS-OH 4.1</td>
<td>Where a significant number of crew members and/or workers are employed, records are kept of all work accidents and related first aid response.</td>
<td>0</td>
<td></td>
<td>Guidance: An injury log is also recommended.</td>
</tr>
<tr>
<td>WWS-OH 4.2</td>
<td>Applicable only for captains and crew members on vessels &gt;24m that stay at sea longer than three days: Individuals have a medical certificate attesting to their fitness to work. For crew members over the age of 18, the certificate is less than two years old. For crew members younger than 18, the certificate is less than one year old.</td>
<td>3</td>
<td></td>
<td>Guidance: ILO Convention 188, Article 10 allows for the regulatory authority, in urgent cases, to permit a fisherman to work on such a vessel for a period of a limited and specified duration until a medical certificate can be obtained, provided the fisherman is in possession of an expired medical certificate of a recent date.</td>
</tr>
<tr>
<td>WWS-OH 4.3</td>
<td>Where a significant number of crew members and/or workers are employed, there is a written health and safety policy to identify and minimize worker’s occupational risks. The policy is based upon a risk assessment and updated annually.</td>
<td>3</td>
<td></td>
<td>Clarification: The health and safety policy gives due consideration or explicit omission to all applicable elements cited as guidance to WWS-OH 1.1. Guidance: ILO Convention 188 sets out requirements with regard to prevention of occupational accidents, occupational diseases, and work-related risks on board fishing vessels. They include provisions on risk evaluation and management, the training of fishermen in handling types of fishing gear, and on-board instruction of fishermen. There are more stringent requirements for fishing vessels 24 meters in length and over.</td>
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| WWS-OH 4.4 | Where a significant number of crew members and/or workers are employed, an individual is nominated to be in charge of occupational health and safety matters for the crew members or workers, and individual worksites. This person brings health and safety issues to the attention of the employer. | 3    |       | **Clarification**: The individual is responsible for implementing health and safety procedures and should fully understand appropriate policies and procedures and be able to effectively explain them to others. Management must give the individual sufficient authority, time, and resources.  
**Guidance**: It is not necessarily important who nominates the individual, as long as they are properly empowered by management. This person could be nominated by workers or management. |
| WWS-OH 4.5 | Incident reports are summarized annually and submitted to relevant authorities to provide notification/statistics on fatalities, injuries, and diseases.                                                                                                                                  | 3    |       | **Guidance**: See WWS-OH 4.1 for additional details.                                                                                                                                                              |
| WWS-OH 4.6 | An electronic communications network for finding lost vessels and coordinating ships to shore is in place on all vessels.                                                                                                                                                                | 6    |       | **Clarification**: This is not required for small boats operating off transfer vessels which remain in line of sight.                                                                                              |
SECTION 5. RM: Resource Management

SUB-SECTION FD: Fishery Documentation

Fisheries that hold a valid certification from the Marine Stewardship Council (MSC) will be recognized as compliant with the following sections of the Resource Management section, within the CFS: Fishery Documentation, Data Collection, Stock Health, and Biodiversity & Ecosystem Protection. A copy of the valid MSC certificate must be provided to the auditor.

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<tr>
<td>RM-FD 1.1</td>
<td>There is a table defining all species that are considered:</td>
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<td><strong>Clarification:</strong> The table shall include and align for each species, at least:</td>
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<td></td>
<td>• Primary species: Any non-bycatch, retained species proposed in the scope of application for certification. Primary species may not be classified as endangered, threatened, or protected.</td>
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<td>• International common name (English/scientific, if available) e.g., Monterey sardine;</td>
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<td>• Secondary species: Any non-bycatch, retained species not proposed in the scope of application for certification. Includes species used as bait in the fishery, whether they were caught by the fishermen or purchased elsewhere, and all non-primary, retained species, including species classified as endangered, threatened, or protected (ETP).</td>
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<td></td>
<td>• Local common name (local language) e.g., &quot;Sardina&quot;;</td>
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<td></td>
<td>• Bycatch 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, seabirds, and reptiles, and all discarded species classified as ETP.</td>
<td></td>
<td></td>
<td>• Latin name (formal scientific name) e.g., <em>Sardinops sagax</em>;</td>
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<td>• Alternative names (to be defined needed) e.g., &quot;Falls within broader grouping ‘Crinuda’ and may be called this when caught with other small pelagic species.”; and,</td>
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<td></td>
<td>The table shows the relationship between all naming conventions for all primary, secondary, and bycatch species. This document is updated annually.</td>
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<td>• Notes (as needed).</td>
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<td>The table shall include secondary and bycatch 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 national endangered species listing. If IUCN, CITES, or national designation is not available, list as N/A. If the fishery uses bait, the table must specify if the bait was caught or purchased elsewhere by the fishermen.</td>
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<td><strong>Guidance:</strong> A list of ETP species that have been encountered by the fishery can be created either through catch records or interviewing the fishermen. The list needs only include ETP species caught in recent memory/the collective memory of the community.</td>
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See the *Fair Trade Capture Fisheries Glossary* for a definition of ETP species.
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| RM-FD 1.2 | Basic life history information has been documented for all primary species.        | 1    | M     | **Guidance:** Examples of life history information include those required for a Productivity and Susceptibility Analysis or an ecosystem analysis, such as:  
- Size at 50% maturity;  
- Fecundity (mean brood size);  
- Maximum length (Linf);  
- Natural mortality (M);  
- Intrinsic growth rate (K);  
- Vulnerability; and,  
- Trophic level.  
Information is assumed to be either available through local knowledge, or through existing gray, white or primary literature publications. Values can be downloaded via FishBase\(^2\) or SeaLifeBase.\(^3\)  
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.  
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, grows at a similar speed). |
| RM-FD 1.3 | Basic life history information has been documented for all secondary and bycatch species. | 3    |       | **Guidance:** See guidance for RM-FD 1.2.                                                                                                                                                                             |

\(^2\) [www.fishbase.org](http://www.fishbase.org)  
\(^3\) [www.sealifebase.org](http://www.sealifebase.org)
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| RM-FD 2.1 | There is a Fishery Management Plan in place which includes a strategy for meeting the Resource Management section of the CFS, including progress requirements over time. The strategy outlines:  
- Fishery and ecosystem data that must be collected;  
- Actions that must be taken to ensure compliance with the CFS;  
- The parties responsible for each activity; and,  
- The budget required for implementing progress toward Year 6 certification. | 1    |       | Clarification: The Fishery Management Plan must be expanded over time, with some information included by Year 1 and additional data by Year 3 and beyond, as specified in the requirements under the CFS.  
Guidance: The Fishery Management Plan does not need to be a stand-alone document and may be part of other frameworks, such as a Marine Protected Area Management Plan. A Fishery Improvement Project (FIP) plan, as defined in the Fair Trade Capture Fisheries Glossary, may suffice as a Fishery Management Plan provided it meets the requirements of the CFS. |
| RM-FD 2.2 | All existing fishery management rules, as well as the species lists and information required under RM-FD 1, are compiled into a single document.                                                                                                                                                                                               | 1    |       | Guidance: This document can be included in the Fishery Management Plan if desired.                                                                                                                                                              |
| RM-FD 2.3 | The Fishery Management Plan includes a data collection strategy that:  
- Incorporates both short-term and long-term data collection goals;  
- Lists the data required for appropriate 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; | 1    | M     | Guidance: Many documents are available online that provide guidance on data collection methods and best practices. In general, sampling should be conducted in a representative manner throughout the fishing season so that the information collected reflects the total catch of Registered Fishermen.  
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 fishermen are required to record while at sea. |
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<tr>
<td>RM-FD 2.4</td>
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<tr>
<td>The following are discussed during a General Assembly meeting and included in the Fishery Management Plan:</td>
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<td>- Incentives: Historical and current incentives that contribute to problematic fishing patterns to better understand the fishery;</td>
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<td></td>
<td>Guidance: By discussing historical and/or current incentives that contribute to problematic fishing patterns, fishermen can better understand how changes to management may reduce landings or increase costs, increase or decrease fishing effort, or produce inefficiencies.</td>
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<td>- Behavioral solutions: Registered Fishermen suggest acceptable methods for improving fishery management;</td>
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<td>- Innovations: Registered Fishermen propose innovations for improving fishery management;</td>
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<td>- Examples: Alternative solutions from similar fisheries are researched if no suggestions are made on behavioral solutions or innovations; and,</td>
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<tr>
<td>- 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.</td>
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<tr>
<td>RM-FD 2.5</td>
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<tr>
<td>The Fishery Management Plan includes:</td>
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<tr>
<td>- One or more controls on fishing mortality;</td>
<td></td>
<td></td>
<td>Guidance: Examples of fishing mortality controls include an allowable catch limit and/or effort restrictions such as gear, size, sex and/or season limits. Where possible, target reference points and limit reference points should also be defined.</td>
<td></td>
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<tr>
<td>- A means for tracking changes in stock status;</td>
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<tr>
<td>- Details for how changes in stock status will lead to modifications in harvest practices; and,</td>
<td></td>
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<tr>
<td>- A pre-agreement on how any decreases in landings associated with diminished stock abundance will be distributed amongst Registered Fishermen.</td>
<td>3</td>
<td></td>
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<td>No.</td>
<td>Compliance Criteria</td>
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<tr>
<td>RM-FD 2.6</td>
<td>Controls on fishing mortality are determined using the precautionary approach to fisheries management. This approach is described in the Fishery Management Plan.</td>
<td>3</td>
<td></td>
<td><strong>Clarification:</strong> Recommended scientific advice concerning controls on fishing mortality and other management actions should be followed where possible. <strong>Guidance:</strong> The precautionary approach incorporates inherent uncertainty in data and stock assessment results. See the <em>Fair Trade Capture Fisheries Glossary</em> for additional details.</td>
</tr>
<tr>
<td>RM-FD 2.7</td>
<td>A map depicting the fishing range of Registered Fishermen has been developed using available information from local or national agencies and local fishermen's knowledge. The map includes:</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> When possible, it is best practice to share the map with the local fishing management authorities.</td>
</tr>
<tr>
<td></td>
<td>• The fishing range of Registered Fishermen;</td>
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<tr>
<td></td>
<td>• The spatial distribution of different habitat types, both inside and outside fishing areas;</td>
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<td></td>
<td>• Benthic information, such as bathymetry (if available); and,</td>
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<td></td>
<td>• The location of any Fish Aggregating Devices (FADs) (when relevant for the fishery).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RM-FD 2.8</td>
<td>The Fishery Management Plan is reviewed annually and updated where necessary to ensure the management plan is effectively reaching the stated goals.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> Where possible, seek expert opinion from neutral fisheries management experts to ensure the Fishery Management Plan elements are likely to succeed.</td>
</tr>
</tbody>
</table>

_Updated: November 15, 2017_
**SUB-SECTION DC: Data Collection**

Fisheries that hold a valid certification from the Marine Stewardship Council (MSC) will be recognized as compliant with the following sections of the Resource management section within the CFS: Fishery Documentation, Data Collection, Stock Health, and Biodiversity & Ecosystem Protection. A copy of the valid MSC certificate must be provided to the auditor.

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<tr>
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</thead>
<tbody>
<tr>
<td>RM-DC 1.1</td>
<td>A data collection system is in place and the data are accessible to all Registered Fishermen and resource managers. Methods for making data available to individuals shall take into consideration languages and literacy of the individuals.</td>
<td>1</td>
<td></td>
<td><strong>Guidance:</strong> The data collection system should be based primarily on the Fishery Management Plan (RM-FD 2.3). 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.</td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
<td>Resource managers may include representatives from NGOs, government agency, and/or academic institutions.</td>
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<td></td>
<td></td>
<td>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.</td>
</tr>
<tr>
<td>RM-DC 1.2</td>
<td>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.</td>
<td>1</td>
<td></td>
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| RM-DC 1.3 | Vessels record data for each fishing trip. Records shall include:  
- 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 gear used. | 1    | M     | **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).  
**Guidance:** This can be part of an electronic traceability system, if there is one.                                                                 |
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</thead>
</table>
| RM-DC 1.5   | Fishing trips record catch data on bycatch species by:                              | 3    |       | **Clarification:** Registered Fishermen may require educational training on appropriately documenting catch data. The Certificate Holder is responsible for covering the training cost.  
**Guidance:** See guidance from RM-DC 1.4.                                                                 |
<p>|             | • Species;                                                                          |      |       |                                                                                                           |                                                                 |</p>
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</table>
| RM-DC 1.8 | Estimated catch of primary species reflects at least 90% of total fishing trips by Registered Fishermen. These data are representative of the fishery. | 6    | M     | **Clarification**: Criterion RM-DC 1.8 replaces Criteria RM-DC 1.4 and RM-DC 1.7 at Year 6.  
**Guidance**: Elements to consider to ensure the catch data are representative include, but are not limited to, requirements from RM-DC 1.4 and 1.5, data on the length composition of individuals in landings, changes in catch by landing sites, size of vessels, and season.  
It is best practice to estimate the catch of secondary and bycatch species. |
| RM-DC 1.9 | Fishery-independent data are collected annually for all primary species.               | 6    |       | **Guidance**: Conducting visual or capture surveys are two options to collect fishery-independent data.  
Collecting fishery-independent data for secondary species is recommended as well.                                                                                                                                                                                                                     |

**Objective RM-DC 2: Systems are in place to control the quality of catch data.**

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</table>
| RM-DC 2.1 | At sites where data are collected, a system is in place via designated data collectors and data collection systems to control data quality. | 1    |       | **Clarification**: Data shall be both accurate and precise.  
**Guidance**: 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 RM – DC 2.3 for more details.  
Where necessary, adjustments are made to the data collection. Such adjustments may include additional educational training for Registered Fishermen on data collection and documentation. |
## SUB-SECTION DC: Data Collection

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<tbody>
<tr>
<td>RM-DC 2.2</td>
<td>A data management system is in place to facilitate easy analysis of catch data necessary to comply with the CFS.</td>
<td>1</td>
<td></td>
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</tr>
<tr>
<td>RM-DC 2.3</td>
<td>Data collectors, including Registered Fishermen, crew members, and workers are regularly trained in data collection, data safety (including backups), and data management. Written procedures are provided regarding the above topics.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> Training includes, but is not limited to:</td>
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<td>- methods for species identification;</td>
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<td>- methods for size measurements;</td>
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<td>- methods for weighing;</td>
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<td>- format and use of logbooks (including methods for those not literate or with low formal education); and,</td>
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<td></td>
<td>- 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.).</td>
</tr>
<tr>
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<td></td>
<td></td>
<td></td>
<td>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.</td>
</tr>
</tbody>
</table>
SUB-SECTION SH: Stock Health

Fisheries that hold a valid certification from the Marine Stewardship Council (MSC) will be recognized as compliant with the following sections of the Resource Management section within the CFS: Fishery Documentation, Data Collection, Stock Health, and Biodiversity & Ecosystem Protection. A copy of the valid MSC certificate must be provided to the auditor.

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<tr>
<td><strong>Objective RM-SH 1:</strong> If overfishing is occurring, there is a strategy in place and clear progress is being made to eliminate overfishing.</td>
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</tr>
<tr>
<td><strong>RM-SH 1.1</strong></td>
<td>Overfishing status for all primary species has been determined through a peer-reviewed and tested assessment method based on available data. If overfishing is occurring, the Fishery Management Plan includes a strategy with stated goals to reduce fishing pressure on the species and eliminate overfishing by Registered Fishermen within two years (by Year 3 audit). If overfishing status cannot be determined due to lack of data, a Productivity and Susceptibility Analysis (PSA) is run to determine the vulnerability of the stock to fishing pressure. If the total PSA vulnerability score is ≥2.64, the Fishery Management Plan includes a strategy with stated goals to reduce fishing pressure on this species and eliminate overfishing by Registered Fishermen within two years (by Year 3 audit). The strategy also includes a data collection methodology to better determine overfishing status by the Year 3 audit.</td>
<td>1</td>
<td>M</td>
<td><strong>Clarification:</strong> Results of stock assessments should be included in the Fishery Management Plan. In fisheries where overfishing cannot be eliminated due to the fishing practices of non-Registered Fishermen, the Fishery Management Plan must include a strategy to eliminate overfishing by Registered Fishermen. <strong>Guidance:</strong> See the <em>Fair Trade USA Productivity and Susceptibility Analysis Worksheet</em> for additional details. It is possible for overfishing to be occurring but the fish stock is not overfished.</td>
</tr>
<tr>
<td><strong>RM-SH 1.2</strong></td>
<td>Overfishing by Registered Fishermen is not occurring for any primary species, as determined through a peer-reviewed and tested assessment method based on available data.</td>
<td>3</td>
<td></td>
<td><strong>Clarification:</strong> In fisheries where overfishing cannot be eliminated due to the fishing practices of non-Registered Fishermen, the analysis must show Registered Fishermen are not participating in practices contributing to overfishing.</td>
</tr>
<tr>
<td>No.</td>
<td>Compliance Criteria</td>
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<tr>
<td>RM-SH 1.3</td>
<td>Overfishing status for all secondary and bycatch species has been determined through a peer-reviewed and tested assessment method based on available data. If overfishing is occurring, the Fishery Management Plan includes a strategy with stated goals to reduce fishing pressure on this species and eliminate overfishing by Registered Fishermen within three years (by Year 6 audit). If overfishing status cannot be determined due to lack of data, a Productivity and Susceptibility Analysis (PSA) is run to determine the vulnerability of the stock to fishing pressure. If the total PSA vulnerability score is $\geq 2.64$, the Fishery Management Plan includes a strategy with stated goals to reduce fishing pressure on this species and eliminate overfishing by Registered Fishermen within three years (by Year 6 audit). The strategy also includes a data collection methodology to better determine overfishing status by the Year 6 audit.</td>
<td>3</td>
<td></td>
<td><strong>Clarification:</strong> Results of stock assessments should be included in the Fishery Management Plan. In fisheries where overfishing cannot be eliminated due to the fishing practices of non-Registered Fishermen, the Fishery Management Plan must include a strategy to eliminate overfishing by Registered Fishermen. <strong>Guidance:</strong> The intent of this criterion is that in addition to an analysis determining overfishing status for primary species (required in RM – SH 1.1 by Year 1), by Year 3, there is an analysis determining overfishing status for secondary and bycatch species as well. See the <em>Fair Trade USA Productivity and Susceptibility Analysis Worksheet</em> for additional details. It is possible for overfishing to be occurring but the fish stock is not overfished.⁴</td>
</tr>
<tr>
<td>RM-SH 1.4</td>
<td>Overfishing by Registered Fishermen is not occurring for any secondary or bycatch species, as determined through a peer-reviewed and tested assessment method based on available data.</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> In fisheries where overfishing cannot be eliminated due to the fishing practices of non-Registered Fishermen, the analysis must show Registered Fishermen are not participating in practices contributing to overfishing.</td>
</tr>
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<tr>
<td></td>
<td><strong>Objective RM-SH 2: Fish stocks are assessed.</strong></td>
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<tr>
<td>RM-SH 2.1</td>
<td>Stock status has been determined for all primary species through a peer-reviewed and tested stock assessment method based on available data. If a primary species stock is overfished, the Fishery Management Plan includes a rebuilding strategy with stated goals to allow the stock health to improve within a reasonable timeframe. The rebuilding strategy is reviewed annually and updated where necessary to ensure it is effectively reaching the stated goals.</td>
<td>3</td>
<td>M</td>
<td><strong>Clarification:</strong> Results of stock assessments should be included in the Fishery Management Plan. 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).&lt;sup&gt;5&lt;/sup&gt; <strong>Guidance:</strong> 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 Section of the Capture Fisheries Standard. It is possible for a fish stock to be overfished even though overfishing is no longer occurring.&lt;sup&gt;4&lt;/sup&gt;</td>
</tr>
<tr>
<td>RM-SH 2.2</td>
<td>Stock assessments are updated at least every three years.</td>
<td>3</td>
<td></td>
<td><strong>Guidance:</strong> Data needed for stock assessments should be collected annually. However, the analysis and review of stock assessment results must be completed at least every third year.</td>
</tr>
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</table>

### Stock Status

Stock status has been determined for all secondary species through a peer-reviewed and tested stock assessment method based on available data. If a secondary species stock is overfished, the Fishery Management Plan includes a rebuilding strategy with stated goals to allow the stock health to improve within a reasonable timeframe. The rebuilding strategy is reviewed annually and updated where necessary to ensure it is effectively reaching the stated goals.

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<tr>
<td>RM-SH 2.3</td>
<td>Stock status has been determined for all secondary species through a peer-reviewed and tested stock assessment method based on available data. If a secondary species stock is overfished, the Fishery Management Plan includes a rebuilding strategy with stated goals to allow the stock health to improve within a reasonable timeframe. The rebuilding strategy is reviewed annually and updated where necessary to ensure it is effectively reaching the stated goals.</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> Results of stock assessments must be included in the Fishery Management Plan. 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). <strong>Guidance:</strong> The intent of this criterion is that in addition to an analysis determining stock status for primary species (Year 3), by Year 6, there is an analysis determining stock status for secondary species as well. For additional options for data-limited fisheries, see the Fair Trade USA Data-Limited Stock Assessment Decision Tree in the Appendices. It is possible for a fish stock to be overfished even though overfishing is no longer occurring.⁴</td>
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</tr>
<tr>
<td>RM-BEP 1.2</td>
<td>Species classified as ETP are not intentionally caught or killed.</td>
<td>0</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>RM-BEP 1.3</td>
<td>A strategy is in place to ensure Registered Fishermen adhere to all laws concerning ETP.</td>
<td>1</td>
<td>M</td>
<td>Guidance: The strategy can be outlined in the Fishery Management Plan.</td>
</tr>
<tr>
<td>RM-BEP 1.4</td>
<td>In fisheries where ETP species are unintentionally caught, Registered Fishermen demonstrate they are using industry-recognized best practices and available technology to avoid ETP species. This includes the use of selective fishing gear.</td>
<td>1</td>
<td>M</td>
<td>Guidance: Best practices include, but are not limited to, restrictions and modifications concerning fishing gear, method, location, and seasonal timing of fishing.</td>
</tr>
<tr>
<td>RM-BEP 1.5</td>
<td>A system is in place to ensure any ETP species caught by Registered Fishermen do not have consumable value to Registered Fishermen or Premium Participants, defined as sold, eaten, or traded.</td>
<td>1</td>
<td>M</td>
<td>Guidance: Such a system may include educational training to discourage harvest and consumption of ETP species.</td>
</tr>
<tr>
<td>RM-BEP 1.6</td>
<td>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.</td>
<td>3</td>
<td></td>
<td>Guidance: A population viability analysis is one assessment option.</td>
</tr>
</tbody>
</table>

**Objective RM-BEP 2: The fishing gear used does not cause harm to marine habitat.**

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<tbody>
<tr>
<td>RM-BEP 2.1</td>
<td>Explosives, cyanide, bleach, and/or all other poisons are not used.</td>
<td>0</td>
<td>M</td>
<td>Clarification: All types of explosives and poisons are prohibited.</td>
</tr>
<tr>
<td>RM-BEP 2.2</td>
<td>A total habitat impact score has been calculated using the Guidance for the Resource Management Section of the Capture Fisheries Standard.</td>
<td>0</td>
<td>M</td>
<td>Guidance: This document can be found on the Standards Download Center in the Fair Trade USA website: <a href="https://www.fairtradecertified.org/business/standards">https://www.fairtradecertified.org/business/standards</a></td>
</tr>
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<td>No.</td>
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<tr>
<td>RM-BEP 2.3</td>
<td>If the total habitat impact score is ≤2, a strategy is in place to increase the total habitat impact score to &gt;2 within one year, either through mitigation efforts and/or switching to less harmful fishing gear.</td>
<td>0</td>
<td></td>
<td><strong>Guidance:</strong> Identifying and protecting ecologically important and/or sensitive habitats or areas is one example of mitigation efforts and may be helpful.</td>
</tr>
<tr>
<td>RM-BEP 2.4</td>
<td>The total habitat impact score is &gt;2.</td>
<td>1</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>RM-BEP 2.5</td>
<td>If the total habitat impact score is &gt;2 and ≤3, a strategy is in place to increase the total habitat impact score to &gt;3 within six years, either through mitigation efforts and/or switching to less harmful fishing gear.</td>
<td>1</td>
<td></td>
<td><strong>Guidance:</strong> This strategy can be included in the Fishery Management Plan if desired.</td>
</tr>
<tr>
<td>RM-BEP 2.6</td>
<td>If the total habitat impact score is &gt;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.</td>
<td>1</td>
<td></td>
<td><strong>Guidance:</strong> This strategy can be included in the Fishery Management Plan if desired.</td>
</tr>
<tr>
<td>RM-BEP 2.7</td>
<td>A strategy has been developed and its implementation has begun to minimize, and where physically possible, recover derelict fishing gear.</td>
<td>1</td>
<td></td>
<td><strong>Guidance:</strong> See the <em>Fair Trade USA Glossary</em> for additional details on derelict fishing gear. If required, the strategy can be included in the Fishery Management Plan if desired.</td>
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<td></td>
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<td></td>
<td>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 the Registered Fishermen, and its potential impacts on the marine environment.</td>
</tr>
</tbody>
</table>
Objective RM-BEP 3: Local ecosystems are monitored.

**RM-BEP 3.1** An ecosystem monitoring strategy has been developed and implemented. Scientifically-justifiable ecosystem metrics have been identified that can be used as warning signs of changes occurring in the ecosystem at a scale larger than the fishery.

**Clarification:** The fisheries management agency (preferably) or the Certificate Holder should work with the Registered Fishermen 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 one stakeholder group (Certificate Holder, fishermen, government agency).

Due to data limitations, it may be necessary to use data-limited methods to assess the ecosystem risk from fishing.

**Guidance:** Options for data-limited ecosystem assessments include the Ecological Risk Assessment for the Effects of Fishing framework (Hobday et al., 2011) and the Environmental Defense Fund's Comprehensive Assessment of Risk to Ecosystems.\(^6\)

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/planktivor production, the mean trophic level of catches, etc.

For fisheries interested in formal ecosystem modeling, more information can be found at:

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<tbody>
<tr>
<td>RM-BEP 3.2</td>
<td>At least one ecosystem metric 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.</td>
<td>6</td>
<td></td>
<td>• Ecopath with EcoSim(^7), Courses(^8), Osomose(^9), Atlantis(^{10}). Guidance: 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.</td>
</tr>
<tr>
<td>RM-BEP 3.3</td>
<td>Roles and responsibilities for gathering the data and recording the ecosystem metric(s) selected above have been identified, with a goal of obtaining at least six months of data within one year. All data collected is shared with the responsible management agency.</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RM-BEP 3.4</td>
<td>The ecosystem monitoring strategy is reviewed annually 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.).</td>
<td>6</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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\(^7\) [http://www.ecopath.org/](http://www.ecopath.org/)
\(^8\) [http://www.ecopath.org/courses](http://www.ecopath.org/courses)
\(^{10}\) [http://atlantis.cmar.csiro.au/](http://atlantis.cmar.csiro.au/)
SUB-SECTION WM: Waste Management

Fisheries that hold a valid certification from the Marine Stewardship Council (MSC) will be recognized as compliant with the following sections of the Resource Management section within the CFS: Fishery Documentation, Data Collection, Stock Health, and Biodiversity & Ecosystem Protection. A copy of the MSC certificate must be provided to the auditor.

This section is applicable for activities carried out at sea, landing sites, and at processing locations within the scope of the Capture Fisheries Certificate.

<table>
<thead>
<tr>
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<th>Year</th>
<th>Major</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Objective RM-WM 1: Waste disposal does not threaten human health or the natural environment.</strong></td>
<td></td>
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</tr>
<tr>
<td>RM-WM 1.1</td>
<td>The processing facilities’ procedures for handling waste are in line with applicable laws and regulations.</td>
<td>0</td>
<td>M</td>
<td><strong>Clarification:</strong> Legal requirements and procedures for handling waste should be communicated to relevant workers and Registered Fishermen (e.g., those affected and those who handle waste).</td>
</tr>
</tbody>
</table>
| RM-WM 1.2 | Waste management risks to human health and the natural environment are assessed and a strategy is implemented to reduce, or when possible, eliminate those risks. | 1    | M     | **Guidance:** 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.  
The risk assessment and waste management strategy can be combined in the same document. |
| RM-WM 1.3 | There are designated areas for the storage and disposal of waste, both hazardous and non-hazardous. | 1    |       | **Guidance:** Attention is paid to the careful handling of waste near water bodies or where water flows.  
Central areas for disposal and storage of hazardous waste may be provided so workers and applicable Registered Fishermen 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. |
SUB-SECTION GOV: Governance

Fisheries that hold a valid certification from the Marine Stewardship Council (MSC) will be recognized as compliant with the following sections of the Resource Management section within the CFS: Fishery Documentation, Data Collection, Stock Health, and Biodiversity & Ecosystem Protection. A copy of the valid MSC certificate must be provided to the auditor.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>RM-GOV 1.1</td>
<td>There is no evidence that local, national, and international laws regarding fishing practices within the Scope of the Certificate are being broken by Registered Fishermen within the scope of the Certificate, including regulations concerning fishing gear, boats, fishing effort, fishing location, and illegal harvesting of species. This includes shark finning.</td>
<td>0</td>
<td>M</td>
<td></td>
</tr>
</tbody>
</table>

Clarification: Wastewater from processing facilities includes water contaminated by the processing itself and waste water from sanitary facilities.

Guidance: 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.
<table>
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</tr>
</thead>
<tbody>
<tr>
<td>RM-GOV 1.2</td>
<td>An illegal, unreported, and unregulated (IUU) enforcement strategy has been created and its implementation has begun. The strategy identifies and reports IUU fishing in the area to the relevant authorities.</td>
<td>1</td>
<td></td>
<td><strong>Guidance:</strong> This can be included in the Fishery Management Plan, if desired.</td>
</tr>
<tr>
<td>RM-GOV 1.3</td>
<td>The IUU enforcement strategy is fully implemented, reviewed annually, and updated where necessary to ensure the strategy is effectively reaching the stated goals.</td>
<td>3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Objective RM-GOV 2: The Fishing Association is actively involved in the management of the fishery.**

| RM-GOV 2.1 | Registered Fishermen (or their representatives) have met at least once in the past year with fishery management authorities, stakeholders, and other impacted parties to discuss fishery resource issues and potential management solutions. | 3    |       | **Clarification:** Meetings should aim to include both fishery management authorities and scientists, as well as other stakeholders who use the same fishery resources. Registered Fishermen must demonstrate an effort to include all parties in the meeting.  
**Guidance:** The intent of this criterion is that stakeholders benefiting from the resource convene annually to discuss issues in the fishery and outline potential solutions in an open and transparent manner. |
<table>
<thead>
<tr>
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</thead>
</table>
| RM-GOV 2.2 | The Fishing Association leadership and other relevant 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.                                                                 | 6    |       | **Clarification:** Fair Trade USA encourages fisheries 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 Fishing Association. In these cases, the written assessment should be shared with the management authorities, to encourage engagement and collaboration. The co-management commitment should aim to include both managers and fishery scientists, as well as other stakeholders who use the same resources. In exceptional circumstances where co-management of the fishery is not appropriate, an exception to this criterion may be granted. In such cases, the Fishing Association and relevant fishery management authorities must demonstrate together why co-management is not appropriate. **Guidance:** 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:  
  • Motivation to participate – shared recognition of fishery resource problems and reliance on those resources;  
  • Clear definition of fishery boundaries and rights to fish;  
  • Description of the political environment needed to support co-management;  
  • Organizational capacity;  
  • Leadership;  
  • Stakeholder participation;  
  • Enforcement and compliance; and,  
  • Conflict resolution. |
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>RM-GOV 2.3</td>
<td>Stakeholders have identified the main risks to the fishery under three main categories:</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> The risks can be identified during the annual stakeholder meeting.</td>
</tr>
<tr>
<td></td>
<td>• Quantity of resources;</td>
<td></td>
<td></td>
<td><strong>Guidance:</strong> Quantity of resources: Fish or resources that support the fishery e.g., allocation issues, IUU fishing, fluctuation in recruitment, abundance of prey populations, etc.</td>
</tr>
<tr>
<td></td>
<td>• Quality of resources; and,</td>
<td></td>
<td></td>
<td>Quality of resources: Retaining the value of the seafood in markets, e.g., handling, processing, cold storage, etc.</td>
</tr>
<tr>
<td></td>
<td>• Access issues</td>
<td></td>
<td></td>
<td>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.</td>
</tr>
<tr>
<td>RM-GOV 2.4</td>
<td>An action plan has been developed to address the issues identified in the risk assessment, with activities and responsible parties identified.</td>
<td>6</td>
<td></td>
<td><strong>Clarification:</strong> If stakeholders believe that fishery managers are adequately dealing with these issues, an exception to this criterion may be granted. In such cases, the Certificate Holder should provide a description of the actions being taken.</td>
</tr>
<tr>
<td>RM-GOV 2.5</td>
<td>The action plan is reviewed annually and updated when necessary to ensure it is effectively reaching the stated goals.</td>
<td>6</td>
<td></td>
<td><strong>Guidance:</strong> See RM-GOV 2.4 for additional details.</td>
</tr>
<tr>
<td>RM-GOV 2.6</td>
<td>Minutes from the annual stakeholder meetings and progress towards solutions are documented.</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No.</td>
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<td>Year</td>
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</tr>
<tr>
<td></td>
<td><strong>Objective RM-GOV 3:</strong> There is a procedure for resolving conflicts among the Certificate Holder, the Fishing Association, and relevant stakeholders.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RM-GOV 3.1</td>
<td>There is a basic, written conflict resolution procedure explaining how the Certificate Holder, the Fishing Association, and relevant stakeholders intend to undertake conflict resolution concerning the use of shared resources. The procedure speaks to aspects of identifying conflict, parties in the conflict, root causes, stages of conflict, and proposed win-win solutions.</td>
<td>6</td>
<td></td>
<td><strong>Guidance:</strong> The conflict resolution procedure should be reviewed on a regular basis and updated when necessary to ensure its effectiveness at resolving conflict. 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. See also &quot;FAO Conflict Resolution for Coastal Zone Management&quot;.(^{11})</td>
</tr>
<tr>
<td>RM-GOV 3.2</td>
<td>All parties have signed a commitment agreeing to work towards collaborative resolution of conflicts between management bodies and resource users.</td>
<td>6</td>
<td></td>
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</tbody>
</table>

**SECTION 6. TR: Traceability & Transparency**

**SUB-SECTION PT: Product Traceability**

This section is applicable at first sale of Fair Trade product unless otherwise noted.

<table>
<thead>
<tr>
<th>No.</th>
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</thead>
<tbody>
<tr>
<td><strong>Objective TR-PT 1: There is a traceability system in place to ensure only fish caught by Registered Fishermen are sold as Fair Trade.</strong></td>
<td></td>
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</tbody>
</table>
| TR-PT 1.1 | A system exists to ensure traceability back to the point of landing. | 0 | M | **Clarification:** The traceability system may be electronic, with the ability to record geo-referenced points of capture, but it is not necessary. Paper systems are sufficient.  
**Guidance:** Records are kept in an accessible format and retained for a minimum of three years. |
| TR-PT 1.2 | For new Certificates, seafood caught before the first day of the initial audit may not be sold as Fair Trade Certified. | 0 | | |
| TR-PT 1.3 | Only seafood caught/harvested by Registered Fishermen is sold as Fair Trade Certified. | 0 | M | **Clarification:** The Certificate Holder is allowed to sell products from Registered Fishermen and non-Registered Fishermen to the conventional market. But when the Certificate Holder wants to sell product as Fair Trade Certified, the Certificate Holder ensures the product was sourced exclusively from Registered Fishermen. |
| TR-PT 1.4 | Seafood caught/harvested by Registered Fishermen are transported, stored, processed/manufactured and delivered separately from non-Fair Trade products, until the product is sold. | 0 | | **Clarification:** A marker denoting Fair Trade seafood product is used throughout the supply chain to visually separate Fair Trade seafood from non-Fair Trade seafood.  
**Guidance:** There are no specific requirements in regard to the type of mark that is used, so long as it is visible and clear. |
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>TR-PT 1.5</td>
<td>Fair Trade seafood is marked clearly with a reference to Fair Trade USA (i.e., Fair Trade USA ID number) so it can be identified as Fair Trade Certified.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TR-PT 1.6</td>
<td>Finished products: Only licensed partners of Fair Trade USA may use the Fair Trade Certified certification seal on finished products. Organizations that are certified to sell Fair Trade Certified products may use the Fair Trade certification mark in promotional materials (such as brochures, websites, or wholesale packaging). Use of the certification mark is in accordance with the <em>Fair Trade USA Label &amp; Language Use Guide</em>, and all finished products have prior approval by Fair Trade USA.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Objective TR-PT 2: There is documentation of all Fair Trade product transactions.**

<table>
<thead>
<tr>
<th>No.</th>
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</tr>
</thead>
<tbody>
<tr>
<td>TR-PT 2.1</td>
<td>The Certificate Holder has been issued a valid certificate for each product traded as Fair Trade Certified.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TR-PT 2.2</td>
<td>Fair Trade transactions are reported to Fair Trade USA according to the frequency determined by Fair Trade USA (quarterly, bi-annually, or monthly).</td>
<td>0</td>
<td></td>
<td>Guidance: This criterion relates to the reporting requirements of the Certificate Holder to Fair Trade USA.</td>
</tr>
<tr>
<td>TR-PT 2.3</td>
<td>There is a written description of the product flow from the Registered Fishermen to the buyer.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TR-PT 2.4</td>
<td>If Fair Trade products are processed, there are records that specify the amount of product before and after processing.</td>
<td>0</td>
<td></td>
<td>Clarification: Conversion rates, or records of yield throughout the processing chain, may be necessary to calculate the correct Premium. Guidance: Documentation should be kept on file in an accessible format for three years.</td>
</tr>
<tr>
<td>No.</td>
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<td>Interpretation Guidance</td>
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</tr>
<tr>
<td>TR-PT 2.5</td>
<td>Records are maintained of all products sourced from Registered Fishermen. These documents indicate:</td>
<td>0</td>
<td></td>
<td>Clarification: In cases where the supply chain includes multiple tiers of product aggregation, sufficient copies of record must be produced to ensure each level of the supply chain maintains a copy. For example, if the buyer purchases product from an aggregator/broker/supplier, who purchased product from Registered Fishermen, all participants involved must have a copy of the record of sale from the fishermen to the final buyer. Guidance: Documentation should be kept on file in an accessible format for three years.</td>
</tr>
<tr>
<td></td>
<td>- The name of the individual fisherman;</td>
<td></td>
<td></td>
<td>Records include the signature of the Registered Fishermen, verifying accuracy. Registered Fishermen receive a copy of the record.</td>
</tr>
<tr>
<td></td>
<td>- Date of purchase;</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Product name;</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>- Volume; and,</td>
<td></td>
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<td></td>
<td>- Price received by the member.</td>
<td></td>
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<tr>
<td>TR-PT 2.6</td>
<td>Records are maintained of all Fair Trade sales. These documents (e.g., invoices, contracts, bill of lading, delivery notes, etc.) indicate:</td>
<td>0</td>
<td></td>
<td>Guidance: Documentation should be kept on file in an accessible format for three years.</td>
</tr>
<tr>
<td></td>
<td>- The volume sold;</td>
<td></td>
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<td>- The name of the buyer;</td>
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<td></td>
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<tr>
<td></td>
<td>- The date of the transaction;</td>
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<td>- A reference clearly indicating the product is Fair Trade Certified; and,</td>
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<td></td>
<td>- A reference to purchase documentation that allows the Conformity Assessment Body to link these records with the corresponding sales documentation.</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>Records are available to Registered Fishermen upon request.</td>
</tr>
<tr>
<td>TR-PT 2.7</td>
<td>The Fishing Association maintains copies of the documents outlined in TR-PT 2.5.</td>
<td>6</td>
<td></td>
<td>Clarification: This record-keeping system pertains only to pricing and payment information and is separate from the resource management information system required elsewhere in the CFS.</td>
</tr>
</tbody>
</table>

*Note: The table above outlines the compliance criteria and interpretation guidance for Product Traceability (PT) in the Capture Fisheries Standard.*
### Objective TR-CA 1: There are signed agreements with each Registered Fisherman defining the responsibilities of the Certificate Holder and the Registered Fishermen in the Fair Trade program.

**Clarification:** The agreement can be negotiated and signed collectively.

**Guidance:** Where a third-party implementation partner is involved, it is best practice for the agreement to also include information about their role.

Examples of roles and responsibilities include working conditions on vessels (e.g., working hours, workplace safety), Fair Trade Premium Plan reports, and fishery data collection.
<table>
<thead>
<tr>
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<th>Intent and Clarification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Objective TR-CA 2: There are signed agreements with each Registered Fisherman defining the general terms of trade, including any payment-share systems.</strong></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
| TR-CA 2.1 | A signed agreement exists between each individual Registered Fisherman and his or her buyer. The agreement defines the general terms of trade. It includes:  
  - Terms of trade (including price and Fair Trade USA Premium rate);  
  - Payment information, including payment-share systems;  
  - Terms of product delivery;  
  - Reference to sourcing plans;  
  - A description of all inputs and services provided to the Registered Fishermen, the party providing the inputs and services, and indication of any deductions that may be relevant as a result of the provision of these inputs and services; and,  
  - A mechanism to resolve conflicts between the buyer and the Registered Fisherman.  
  
  Registered Fishermen know and understand the terms of the agreement and the Fair Trade conditions. The agreement is written in a language the fishermen understand and is effectively communicated to illiterate fishermen.  
  
  **Clarification:** This criterion is not applicable if the Fishing Association has signed a binding purchase contract with the buyer on behalf of the Registered Fishermen that covers all terms of trade stated in this criterion.  
  
  The agreement can be negotiated and signed collectively in cases where fishermen are formally organized. No deductions can be made from the Premium.  
  
  **Guidance:** If the buyer is the Certificate Holder, the agreement can be combined with the agreement outlined in TR-CA 1.1.                                                                                                                                                                                                 | 0    | M     |                          |
| TR-CA 2.2 | Where the price is not fixed in the agreement (but it is agreed when and how the price will be fixed), the Registered Fishermen receive a written receipt/purchase order detailing the terms of trade (price, Premium, volume, etc.) for each specific purchase.  
  
  **Clarification:** The agreement must include either a price or terms of when and how the price will be fixed.  
  
<p>| 0    |       |                          |</p>
<table>
<thead>
<tr>
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<th>Major</th>
<th>Intent and Clarification</th>
</tr>
</thead>
<tbody>
<tr>
<td>TR-CA 2.3</td>
<td>The agreement between the buyer and the Registered Fishermen does not restrict any Registered Fisherman from selling to other buyers.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TR-CA 2.4</td>
<td>The purchase of certified products is not dependent on the purchase of non-certified products.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Objective TR-CA 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.**

| TR-CA 3.1 | A sourcing plan summarizing expectations regarding volumes to be sourced in the next six to 12 months is shared with the FTC and Fishing Association. | 0    |       | **Clarification:** The sourcing plan is intended to be a communication tool between buyers and fishermen. This plan is not binding. Volumes should not exceed ecological sustainability limits.  
**Guidance:** it is best practice to share the summarized sourcing plan with Fair Trade USA. |

**Objective TR-CA 4: Interest rates and credit or pre-finance conditions are transparent.**

| TR-CA 4.1 | When credit or pre-finance is provided to the Registered Fishermen by the Certificate Holder or buyer, the interest rate and conditions attached to the offer are agreed upon in advance with the Registered Fishermen. In cases where an interest rate is charged, rates are not higher than the cost of borrowing. | 0    |       | **Clarification:** This should be done in writing. |

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### Objective TR-CA 5: All elements of contracts with Fair Trade buyers are fulfilled at the conditions agreed upon in the contract, unless changes to the contract are mutually agreed upon between the seller and the buyer in writing.

<table>
<thead>
<tr>
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<th>Year</th>
<th>Major</th>
<th>Intent and Clarification</th>
</tr>
</thead>
<tbody>
<tr>
<td>TR-CA 5.1</td>
<td>All elements of contracts with Fair Trade buyers are fulfilled at the conditions agreed in the contract, unless changes to the contract are mutually agreed upon between the seller and the buyer in writing. This holds true, even if Fair Trade USA publishes new Premium data.</td>
<td>0</td>
<td></td>
<td>Clarification: This criterion concerns contracts for Fair Trade product only. The contract may be between the Certificate Holder and the buyer or between another unit in the supply chain and their buyer. Regardless, the Certificate Holder is responsible for ensuring all conditions are agreed to and fulfilled. In cases of vertically integrated supply chains, buyers may be exempt from contract requirements if they can provide evidence, such as a formal letter signed by both/all entities, that contracts would be redundant due to their vertical integration with the seller. Buyers are advised to consult with Fair Trade USA or the Conformity Assessment Body conducting the Fair Trade audit, to confirm the content of the formal letter suffices as evidence of compliance with this criterion.</td>
</tr>
</tbody>
</table>

### Objective TR-CA 6: Within six years of initial certification, the Fishing Association negotiates an agreement on terms of trade for the duration of one harvest period on behalf of all Registered Fishermen.

<table>
<thead>
<tr>
<th>No.</th>
<th>Compliance Criteria</th>
<th>Year</th>
<th>Major</th>
<th>Intent and Clarification</th>
</tr>
</thead>
</table>
| TR-CA 6.1 | There is a negotiated agreement with the Fishing Association and its buyer(s) on terms of trade for the duration of one harvest period on behalf of all Registered Fishermen. The agreement on terms of trade defines:  
- Agreed minimum volume to be purchased under Fair Trade conditions;  
- Quality and delivery of the product by the Registered Fishermen;  
- Payment terms, the Fair Trade Premium, and the party responsible for paying the Fair Trade Premium to the fishermen; and, | 6 | | |
<table>
<thead>
<tr>
<th>No.</th>
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<tr>
<td></td>
<td>Market/contract price and/or how the price will be determined, and when payment will be made (payment terms).</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**SUB-SECTION CS: Contract Suspensions & Decertification**

<table>
<thead>
<tr>
<th>No.</th>
<th>Compliance Criteria</th>
<th>Year</th>
<th>Major</th>
<th>Intent and Clarification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Objective TR-CS 1:</strong> When a Certificate Holder or buyer is suspended: within six months, the contracts that have already been signed are fulfilled, and new contracts are only signed with the organization’s existing trade partners (those who have entered into commercial transactions in the previous 12 months).</td>
<td>0</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>TR-CS 1.1</td>
<td>When a producer or its buyer are suspended, within six months the contracts that have already been signed are fulfilled or new contracts are only signed with the organization's existing trade partners (those who have entered into commercial transactions in the previous 12 months). The volume traded during the suspension period does not exceed the greater of: 50% of the volumes traded in the preceding 12 months or the total volume contracted prior to the suspension.</td>
<td>0</td>
<td>M</td>
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</tbody>
</table>

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<tr>
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<tbody>
<tr>
<td></td>
<td><strong>Objective TR-CS 2:</strong> An organization stops selling Fair Trade product from the date of its decertification, even if it has signed Fair Trade contracts that are yet to be fulfilled.</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TR-CS 2.1</td>
<td>An organization stops selling Fair Trade products from the date of its decertification, even if it has signed Fair Trade contracts that are yet to be fulfilled.</td>
<td>0</td>
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</tr>
<tr>
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<tr>
<td></td>
<td><strong>Objective TR-CS 3</strong>: Fair Trade Certified products are not sold to decertified buyers from the date of the buyer’s decertification. In such cases, contracts that have not yet been shipped shall not be classified as Fair Trade contracts.</td>
<td></td>
<td></td>
<td><strong>Clarification</strong>: 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 product to this buyer, and cannot be marked as such to any decertified buyer or by any decertified buyer.</td>
</tr>
</tbody>
</table>