

# FAIR TRADE SUSTAINABILITY ALLIANCE

(FairTSA)

CONSOLIDATED STANDARDS FOR THE PRODUCTION OF  
AGRICULTURAL PRODUCTS, PROCESSED FOODS,  
WILD COLLECTED PLANTS, HANDICRAFTS, AND PERSONAL  
CARE PRODUCTS

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## 0. Introduction

### 0. 1. The Advantages of the FairTSA Standard

FairTSA was created to provide an intelligible and transparent standard that defines strict and meaningful conditions to give all stakeholders in the program confidence in products displaying the FairTSA logo.

The FairTSA standard was created to enable organic certification agencies (and other qualified certification agencies, if interested), to perform inspection and certification for an independent Third-Party Fair Trade Standard in combination with their work under the various national and private organic and other quality-oriented standards for agricultural production and processing. One important goal of the FairTSA program is to achieve a fair Trade inspection and certification system that is as close to carbon-neutral as possible.

The FairTSA standard addresses issues such as fairness of price, farm workers' rights, community development, transparency, democratic development, participation, social progress and ecologic sustainability of production systems, valuable biotopes and endangered species.

For the creation of this standard existing Fair Trade standards and projects have been taken into account, such as the Fair Trade Labeling Organization (FLO) standards, the Social Accountability Standard SA 8000, the Rainforest Alliance's Sustainable Agriculture Networks standard, the recommendations of the ISEAL Alliance, the ISO 26000 standard (guidelines for social responsibility), and several other private Fair Trade Standards. Also, the FairTSA standard is purposefully inclusive. For example, within the framework of this standard, socially responsible entrepreneurs that do not employ unionized labor also have the option of adhering to the high FairTSA standards and thereby setting an example in their respective societies. Likewise, manufacturers and processors in Southern countries buying from only loosely organized small farmers can now be rightfully Fair Trade certified owing to our unique community development program that will foster the self-organization and community development of farmer groups.

From its inception, the FairTSA standard was designed to work with certifiers that comply with the principles of the ISO 65 guide. For the structure of this standard and the necessary documentation, the USDA National Organic Program (NOP) has been used as a model.

Furthermore, the FairTSA Fair Trade program aims to make inspection and certification as smooth as possible. One of our principles is to work with existing certifications as much as possible, to conduct GAP analyses if necessary and request

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only those requirements of the standard to be inspected and fulfilled by the operation that are not yet covered by similar certifications or audits.

## 0.2 Overview of the FairTSA Standards

### General Requirements

The FairTSA General Requirements (sections 1 – 20) are based on the ISO Guide 65, with slight changes and amendments for FairTSA's purpose. This includes a detailed description of the inspection and certification process, the appeals process, as well as educational and training requirements. It also contains provisions on internal audits, the advisory board, and numerous other provisions.

### Agricultural Products Standard

The FairTSA Standard for Agricultural Food Products (sections 21-54) provides requirements for all conceivable legal structures of operations; therefore any type of operation can apply for FairTSA certification as long as it complies with the requirements of the standard. If there are provisions that are specifically valid for only one sub-group of producers such as cooperatives, for example, the relating section(s) including the heading(s) is/are clearly worded to identify that fact.

Progress goals were included so as to lower the initial threshold for less well-developed operations and organizations and individually owned farms into the Fair Trade process and enable them to improve the democratic, social, economic and labor aspects of their organization or farm - the very goal the FairTSA Fair Trade standard was incepted for in the first place. In order to comply with ISO 65 accreditation criteria, these goals are specific and measurable. Also, FairTSA unmistakably conveys to its clients that these goals are non-negotiable: in a worst-case scenario non-compliance with progress goals can result in revocation of the FairTSA certification.

The Buyer's Code of Conduct (sections 51-54) represents a set of requirements for buyers ensuring that they share FairTSA's philosophy and mission.

Lastly, the FairTSA Standard for Agricultural Products does not include individual product standards, as our primary goal is to keep the standard simple and effective. Instead a Product Registry (Exhibit A of this standard) allows us to swiftly add new requirements for specific products if that need is determined by the FairTSA management. In addition, minimum prices, if applicable, are published in the Product Registry.

The FairTSA standard works with two certifications: the Social Responsibility Certification and the Fair Trade Certification. The same certificate is used for both

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purposes, however, it is only valid for Fair Trade in combination with a buyer who enters into a licensing agreement with FairTSA in which all Fair Trade pricing and Community Development requirements under this standard are covered. The Social Responsibility Certification is based on the sections 1-30, 35, 55 and 37-49 of the FairTSA Standard

### **Wild Collection**

The requirements for Wild Collection are addressed in section 55. Often, they will have to be combined with the provisions for *Processed Food Products* (sections 56-62).

### **Processed Foods Standard and Labeling Requirements**

The Processed Food Labeling requirements (sections 56 – 62) describe the requirements conditions for the FairTSA certification of processed foods. Specifically, it sets a minimum percentage for ingredients, and it excludes certain ingredients (in case of non-organic products) as customers expect Fair Trade certified products to be healthy as well. Organic certification can be used as integral part of this standard. We also believe that our transparent labeling system will eventually be honored by consumers for its clarity.

### **Handicrafts**

Handicrafts were one of the first product categories ever to be claimed to be traded fairly, and yet there has been so far no established standard for the Fair Trade certification of handicrafts. In FairTSA's defined standard for fairly traded handicrafts (sections 63 – 71), certain hazardous materials are excluded and the same social requirements as for agricultural products are in place.

### **Personal Care Products**

The Personal care products requirements define the minimum percentage of Fair Trade ingredients and list certain excluded ingredients, processing aids and preservatives, since customers expect that fairly traded products live up to a distinct "wellness" level. Some organic and other personal care standards such as the NSF/ANSI 305 Standard for Personal Care Products "Contains Organic Ingredients" and the NATRUE (International Natural and Organic Cosmetics Association) as well as the COSMOS standard may be used as integral part(s) of this standard.

### **FairTSA Standards are Process Standards**

All FairTSA standards are "process standards", which determine conditions in terms of production and processing of certified products, materials allowed in that process, and the social, environmental, economic, and labor conditions

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under which certified products can be produced. In and for itself, it specifically does not back any claims that an individual product is “safer” or “of better quality” or any other product-quality-related claim.

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## Frequently Used Acronyms

**CC:** Cooperating Certifiers (these are not PACs, but assist in auditing certain operations)

**CDP:** Community Development Project

**CDSF:** Community Development Service Fee

**FairTSA:** Fair Trade Sustainability Alliance

**FSP:** FairTSA System Plan

**ILO:** International Labor Organization

**KDP:** Key Development Partner

**MCL:** Maximum Contaminant Level

**PAC:** Preliminary Accredited Certifier

**QMS:** Quality Management System

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## **General Requirements and Admissibility (Sections 1 -20)**

### **1. Applicability**

This FairTSA standard applies to countries in the North-South context. However, FairTSA may decide in its sole discretion that the socio-economic conditions in projects in additional countries warrant the application of Fair trade considerations (please see also the FairTSA Domestic Fair Trade Standard).

### **2. Application and Acceptance**

#### **2.1. Application for Producers**

Any producer has the right to apply for FairTSA certification, either with a Preliminary Accredited Certifier (PAC) or directly with FairTSA. If FairTSA receives an application, it will send an email to all PACs active in the region and the applicant can choose a certification agency.

Upon request for certification, the respective PAC will manage the inspection and certification in close partnership with FairTSA. The Pac will send the appropriate documentation and will also be solely responsible for collection and payment of inspection and certification fees.

#### **2.2. Information for the Applicant**

The PAC has to furnish every applicant with sufficient information about the FairTSA standard, with a copy of the standard itself, or information on how the standard can be obtained in electronic form.

#### **2.3. Acceptance Decision**

The PAC has to make the decision about acceptance in the inspection and certification process of the FairTSA program within one month from the date of application. In case of non-acceptance, a dated letter spelling out all reasons for non-acceptance has to be submitted to the applicant not later than two weeks after that decision has been made. Appeals are possible and are governed in section 5, "Suspension, Revocation and Appeals Process".

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## **2.4. Non-Discrimination**

It is not acceptable to deny acceptance to an operation on the basis of race, gender, nationality, religious belief, or other obviously discriminatory practices.

## **3. Inspection and Certification**

### **3.1. Preparation for Inspection**

Upon accepting an operation for inspection and certification under the FairTSA standard, an inspection date has to be mutually agreed upon in a timely manner. The inspection should be scheduled such that the crop(s) in question can be inspected before the harvest. If processing is included in the operation, at least the second and then every third inspection shall take place at a time when FairTSA products are being processed.

The inspector has to receive a comprehensive package with the relating documentation well before the inspection date so as to enable a proper inspection preparation. This package has to include copies of all applications, the updated FairTSA System Plan with all attachments, information about prior non-compliances and corrective measures, and important additional information, if applicable.

### **3.2. Inspection**

The inspection has to take place in the presence of at least one person responsible for the operation.

Once the Inspection has been executed, the inspector has to conduct an exit interview and explain his/her assessment of discrepancies with the standard. The inspection report has to be signed by the inspector and the representative of the operation who was present during the inspection.

The operation has to receive a copy of the inspection report either immediately after the inspection or two weeks after the date of the inspection at the latest.

### **3.3. Certification**

The certification procedure shall be conducted in a timely manner. The certification decision has to be made within six weeks after receipt of the inspection report and then immediately conveyed to the operation along with a letter that lists non-compliances and remediation requirements. If the certification has been denied, the letter conveying the certification decision has to be accompanied by a document describing in detail the appeals process. If certification

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has been granted, the letter conveying that decision has to be accompanied by the FairTSA Master Certificate.

### **3.4. Inspection and Certification of Pilot Projects**

Inspection and certification of Pilot Projects may be done for up to two years by qualified FairTSA staff members. The purpose of Pilot Projects is to test and fine tune standards or parts of standards that are newly developed and where no prior experience with that standard or part of standard exists. Pilot projects can only be designated as such with the consent of the client in question. The certification decision in this case will be made by a committee designated by the FairTSA Board of Directors

In all other aspects the inspection and certification of pilot projects has to follow the same rules as regular inspections and certifications.

## **4. Continued Certification**

### **4.1. Annual Inspection**

In order to remain certified under the FairTSA standard, the operation has to inform the PAC at least two months before the renewal date on the master certificate. The PAC's FairTSA certification management will then trigger all steps as described in section 3.1 – 3.2.

### **4.2. Annual Certification**

The certification, like the inspection process, will occur on an annual basis as described in section 3.3.

### **4.3. Additional Unannounced Inspections**

The PAC has the right to conduct unannounced inspections. Those can be done on a sample basis or in cases of suspicion that the FairTSA standards have been violated by the operation. If necessary, inspectors may draw samples for chemical analysis. Those samples have to be handled according to section 15, "Handling of Samples for Chemical Analysis". The costs for additional inspections and chemical analyses have to be borne by the operation regardless of a violation of the FairTSA standard.

Likewise, FairTSA retains the right to announced and unannounced audits regarding FairTSA certification of any of the PAC's at its sole discretion.

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## 5. Denial, Suspension, and Revocation of Certification and the Appeal Process

### 5.1. Denial of Certification

In case the first inspection shows significant deficiencies with regard to compliance to the FairTSA standard, the certification can be denied by the PAC. In case of denial of certification, the reasons for the denial have to be clearly identified and based on FairTSA standard requirements. A letter via certified mail or other mail services that allows for a signed receipt has to be sent to the operation within two weeks of the denial of certification. Appealing this decision is possible and described in section 5.4.

### 5.2. Suspension of Certification

In case of serious violations of the FairTSA standard, the PAC may decide to suspend the operation for a defined period of time, but not longer than one year. In case of suspension, the reasons for suspension have to be clearly identified and based on violations of FairTSA standard requirements. A suspended operation may not sell FairTSA certified products during the time of the suspension, except for manufacturers or packers who sell products with the FairTSA mark on the retail package. These manufacturers or packers may sell already FairTSA-labeled products for not more than six months from the date of the suspension. They must not produce any new products with the FairTSA mark on the package during the period of suspension containing ingredients from the suspended operation. Should the reason for the suspension not be resolved within one year, certification will be revoked.

A letter via certified mail or other mail services that allow for a signed receipt has to be sent to the operation in question within two weeks of the suspension. Appeals to suspensions are possible and described in section 5.4.

### 5.3. Revocation of Certification

In case of a major violation of the FairTSA standard the approved certification body may decide to revoke certification of an operation. The reasons for the revocation have to be clearly identified and based on violations of FairTSA standard requirements. A letter via certified mail or other mail services that allow for a signed receipt has to be sent to the operation in question within two weeks of the revocation of certification. Appealing the revocation of certification is possible and described in section 5.4.

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Suspended or terminated operations may not use the FairTSA certificate for any purpose whatsoever.

#### **5.4. Appeals Process**

Once an operation receives a decision of denial, suspension or revocation of certification, said operation has the right to appeal the decision. The appeal has to be made in writing within 90 days of the decision. The appeal letter has to clearly state the reasons why the operation thinks the decision is not justified or which improvements to the operation have been carried out so that the grounds for the initial decision are obsolete. The PAC will then review the appeal and issue a decision. This review and the issuing of the decision have to be made within one month after receipt of the letter of appeal.

If the decision is upheld by the PAC, the operation in question has the right to file an appeal before the Appeals Committee of the FairTSA Advisory Board within 60 days of receipt of the denial, suspension, or revocation notification. The Committee has to review the complete case documentation. Both the PAC and the operation have the right to request a conference call with the Committee to plead their case. The Committee is obligated to issue a decision within three months from the date when it received the appeal. The decision of the Committee is final.

## **6. Qualifications and Training of Approved Inspection and Certification Personnel**

### **6.1. Qualifications**

All PAC personnel seeking approval for FairTSA inspections and reviews have to show experience and proficiency in the field of inspection and certification or experience that is closely related. As a minimum, all personnel have to have three years of experience as inspector, certification evaluator, or other responsible function with a certification agency, or a closely related professional experience. In addition, a college degree or a formal professional education in a discipline relating to the social, economic, agricultural or environmental aspects of the FairTSA standard is necessary. Exceptions may be granted at the sole discretion of the FairTSA management.

### **6.2. Training**

All PAC personnel who are charged with FairTSA auditing or certification tasks have to undergo FairTSA Training in the relating training curriculum and the associated documents as specified by the FairTSA management. This training can

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either be provided by a qualified FairTSA team member, or by an experienced personnel member of a PAC. All materials for the training sessions have to be documented. In addition, a list of participants including the trainer has to be kept by the FairTSA or the PAC respectively. All participants have to sign and date that list. If the training is conducted by a FairTSA trainer via webinar, FairTSA may keep the list of trained personnel and furnish it to the PACs on a regular basis. Proof of participation at FairTSA training sessions must be part of the personnel files.

## **7. Impartiality and Conflict of Interest**

### ***7.1. Impartiality***

All inspections and certification decisions have to be carried out with an impartial attitude on the basis of the FairTSA standards. All inspection and certification personnel have to sign a document that they will adhere to this principle.

### ***7.2. Conflict of Interest***

All inspection and certification personnel of the PAC as well as contracted personnel have to fill out and sign a "Conflicts of Interest" form. In this form, they have to declare all potential conflicts of interest for themselves, their spouses and other direct family members, and commit to abstaining from the inspection and certification process for a certain operation if such a conflict of interest exists.

## **8. Costs of Inspection and Certification,**

The PAC has to publish a complete inspection and certification fee schedule and provide this schedule to all operations that request information material regarding FairTSA. The PAC has to provide a cost estimate for inspection and certification before the inspection and certification contract is signed.

## **9. Certifier's Quality Management System (QMS)**

### ***9.1. Establishing a QMS and Reporting by the Quality Manager***

Each PAC shall define, establish and document its rules and procedures to maintain a QMS and appoint a QMS manager. The QMS manager shall report directly to the PAC's executive management on a regular basis.

### ***9.2. Requirements Regarding the QMS***

The QMS of the PAC shall at least address the following:

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1. A quality policy statement
2. A brief description of the legal status of the PAC including the names of its owners or the persons who control it
3. The names, qualifications, and experience of the senior executive and other certification personnel
4. An organizational chart
5. A brief description of the organization
6. Policy and procedures for conducting management reviews
7. Administrative procedures including document control
8. A job description and the specific responsibilities and reporting lines for each person responsibly involved in FairTSA inspection and certification activities
9. The procedure for the recruitment, selection and training of certification body personnel and a list of approved sub-contractors and their training, if and where applicable for FairTSA
10. Procedures for handling of non-compliances and ensuring the implementation of corrective measures
11. The procedure for inspection, evaluation and certification of operations and products including conditions for issue, retention, and withdrawal of FairTSA certification and the authority over documents employed in the FairTSA certification process
12. Procedures for internal audits.

## **10. Internal Audit and Review of the Certifier’s Quality Management System (QMS)**

### **10.1. Internal Audit**

PAC’s have to conduct an internal audit once a year. The audit shall include all FairTSA inspection and certification procedures and the personnel responsible for the procedures. The PAC shall ensure that:

1. All personnel responsible for the area audited are informed of the outcome of the audit
2. Corrective action is taken in a timely and appropriate manner
3. Results of the audit are properly documented and made available for audit by FairTSA.

### **10.2. Review of the Quality Management System (QMS)**

The QMS has to be reviewed by the management of the PAC on an annual basis.

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## 11. The FairTSA Advisory Board

The FairTSA advisory board is constituted by at least 7 members. It shall include the following positions:

1. The Executive Director of FairTSA as an ex officio member.
2. One member representing the producers
3. One member representing the buyers and manufacturers
4. One member representing consumers
5. One member representing the scientific community
6. Two PAC members
7. One member who is interested and supportive of FairTSA's work as a consumer.

The advisory board shall meet once a year in person or via videoconference and shall conduct conference calls each quarter. The Executive Director of FairTSA is responsible for notifying and convening the advisory board on a timely basis, preparing the agenda and taking minutes.

The duties and competences of the advisory board are as follows:

- Comment and advise on all FairTSA matters
- Present improvements regarding the standard, the inspection and certification procedures and the FairTSA premium procedure
- Constitute the board of appeals.

## 12. FairTSA Stakeholder Meetings

Stakeholders are defined as all persons or entities that are either directly involved or have an interest in the FairTSA program. Examples for directly involved stakeholders are producers, processors, buyers, and traders of FairTSA certified products. Persons with interest in the program can be consumers, the interested public in general, federal or state authorities, or other non-profit organizations. The FairTSA management will conduct stakeholder meetings on an annual basis one year after the start-up phase. These meetings can be conducted in any location that seems reasonable and conducive to the FairTSA management team; in certain cases stakeholder meetings may be conducted via teleconference.

Subject matter of the stakeholder meetings can be all issues that are directly concerned with FairTSA standards and their implementation. All stakeholders present shall be given the right to speak if they so wish.

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### 13. Internal Control Systems for Grower Groups

Internal Control Systems (ICS) may be established when cooperatives or grower groups with a Key Development Partner request certification under the FairTSA program. In the following subsections the requirements for the ICS are laid down.

#### 13.1. Minimum Inspection Requirements

If grower groups are of a size that not every single unit/smallholder can be inspected, an Internal Control System (ICS) can be established.

FairTSA requires that the minimum number of individual farms to be inspected be at least equal to the requirements for the applicable organic standard. In case the products are not certified organic, at least 10% of the smallholders have to be inspected by the inspector. Exceptions to this requirement are possible if an informal request with the reasoning for a lower number of farms to be directly inspected is sent to FairTSA at least 14 days before the first day of the inspection. The actual number of individual farm inspections will be determined by the PAC based on objective criteria such as location of small farms, degree of familiarity with the standard, complexity of operation, etc. A risk assessment for the respective grower group will allow the PAC to determine the minimum number of members to be inspected on an annual basis.

The risk assessment and the minimum number of members to be certified will be disclosed to the Grower Group after the FairTSA System Plan has been received by the PAC and before the first inspection is scheduled. The following general areas have to be inspected by a FairTSA inspector on an annual basis:

1. Project headquarters
2. Audit trail and Mass balance for samples of FairTSA certified products
3. General state of records
4. Inputs used and distributed among members
5. Management of the Organization
6. Lists of growing communities including the respective members
7. All processing facilities
8. All centralized storage facilities
9. All internal transportation systems
10. Packaging materials
11. Education program

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### **13.2. Conditions for the Acceptance of the ICS**

The ICS of a grower group can only be accepted when the following conditions are met:

1. The crops and farming practices of the grower groups regarding FairTSA certified products are uniform
2. Inputs are very similar from farm to farm / smallholder to smallholder
3. Participants sell all their FairTSA certified products through the grower group
4. An independent and transparent Internal Control System with proper inspection and documentation of production practices and inputs used at each operation exists
5. The growers group has an ongoing, well documented education and training system for FairTSA standards
6. Grower groups must use centralized input purchasing, processing and distribution facilities as well as joint marketing of their products.

### **14. Sub-contracting**

The PAC may sub-contract certain tasks such as inspections or analyses for chemical and biochemical composition of products to external entities or persons. In such cases, the PAC shall:

1. Take full responsibility for such subcontracted work
2. Fully maintain its responsibility for granting, maintaining, extending, suspending or withdrawing certification
3. Ensure that the subcontracted entity or person is competent and complies with the applicable provisions of the FairTSA standard and the rules and procedures of the PAC, and specifically with the training requirements and the conflict of interest policy.

### **15. Residue Testing Procedure**

Samples for an analysis of the chemical or biochemical composition of products have to be taken and handled according to scientifically accepted methods. They have to be analyzed by an accredited laboratory. The chain of custody for each sample has to be documented. Each person taking temporary custody of the sample has to sign the "Chain of Custody" form with time and date. Samples have to be transported under proper environmental conditions (e.g. cooled, frozen) so as to maintain the integrity of the sample.

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## 16. Supply Chain Certification and Audits

The PACs or cooperating certifiers have to support FairTSA in securing the complete traceability of FairTSA certified products from the source to the consumer. This is achieved by certifying and/or auditing all importers, exporters and processors of FairTSA certified products up to the entity that affixes or prints the consumer label. Upon request, the certifiers will provide FairTSA unfettered access to the certification and auditing data. All data has to be kept on file for a minimum of five years.

## 17. Use and Control of Certificates and Trademarks

### 17.1. Certificates

The PAC has to keep the contact information and all certificates of FairTSA certified producers and companies and the certificates issued to such companies on file.

Certificates have to be individually numbered, and, if they are sent as e-mail attachments in electronic form, they have to be sent as secured pdf-files.

The receipt of certificates issued has to be confirmed by the receiving entity not later than 14 days from receipt of the certificates.

### 17.2. Trademarks and Registered Trademarks

Files of printer-ready trademarks and registered trademarks (ai, eps, etc.) are furnished by FairTSA to licensees with a valid licensing agreement only. Use of such trademarks is governed by the licensing agreement.

## 18. The FairTSA System Plan

The FairTSA System Plan (FSP) is a document that each operation applying for certification under the FairTSA standard has to complete before the inspection can be scheduled. The PAC has to furnish every applicant the appropriate FSP forms, which then have to be returned with the proper information included. The PAC bases the initial acceptance decision on the FSP and should not schedule an inspection before receipt of the FSP. The FSP must be updated annually.

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## 19. Acceptance of Certification Programs other than FairTSA

### 19.1. Organic Country Regulations

FairTSA will accept all organic country regulations such as the USDA National Organic Program, the EU 834/2007 council regulations, the Japanese Agricultural Standards (JAS), the Canadian Organic Standard, etc. as fulfilling most of the environmental requirements of the standard for agricultural production. Endangered species, valuable ecosystems and all provisions relating to the maintenance of open water bodies and waste management have to be verified in addition to the organic standard.

### 19.2. Other Certification Programs

FairTSA will accept other Fair Trade certification programs, with a rider specifying additional requirements. Likewise, FairTSA will accept other similar private standards after execution of a Gap analysis of the respective standard and a rider specifying the additional requirements. In addition, FairTSA will accept other certification standards such as GlobalGap for portions for the relating portions of its own standard.

## 20. Payment of Fees

All Social Premiums and FairTSA Licensing fees have to be paid on time as specified in the respective invoices. Non-payment of fees for more than 45 days constitutes grounds for suspension of certification and licensing, and non-payment of fees of more than 90 days constitutes grounds for revocation of certification and licensing.

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## Fair Trade Sustainability Alliance Standard for Agricultural Products

### **Admissibility (Sections 21-26)**

## **21. Types of Producer Entities and Admissibility**

### **21.1. Types of Producer Entities**

Admissible types of producer entities are cooperatives, individual farms and estates, and minimally organized grower groups with a least a functioning Internal Control system that deliver their products to a Key Development Partner (KDP). Large plantations, ranches and multi-national agricultural corporations are only admissible, if they comply with all additional requirements as stipulated in the respective sections.

### **21.2. General Admissibility**

All operations requiring FairTSA certification must adhere to the applicable FairTSA standard(s) and the principles of Fair Trade in general. State-owned or state-controlled operations are not eligible for FairTSA certification.

## **22. Cooperatives**

Farmer Cooperatives and associations are admissible if they are legally established under the laws of the respective country. A copy of the Certificate of Incorporation, by-laws and the contact information of all Board Members have to accompany the first inspection report and have to be updated as necessary.

### **22.1. Democratic Structure**

The structure of the organization must reflect the commitment to democratic principles, include well-defined participatory elements and provide transparent accounting at least as a development goal.

In order to satisfy these principles, the organization must conduct

- a) Annual member meetings, in which at least the strategic direction of the grower group, the annual financial statement, all matters relating to FairTSA certification have to be discussed.

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- b) Improvised meetings of sub-groups if required by the membership to address specific aspects of the organization in order to create clarity of and improve existing organizational structures.

Minutes of all meetings as well as invitations and requests of members for ad-hoc meetings have to be documented and made available for inspection.

## **22.2. Voting Rights**

Members must have input in the election of board members and strategic decision making of the organization. Also, Board of Director elections have to happen in an open democratic fashion. All cooperative members must have the right to vote.

## **22.3. Transparent Administration**

The administration of the farmer association has to be clearly structured and easily understandable. Specifically,

- Positions within the administration need to have job descriptions with clearly described authorities and responsibilities.
- The organization has to have a system of keeping members informed about ongoing issues on a regular basis
- The organization has to inform members about the FairTSA certification system and opportunities (amounts that can be sold to buyers) in a timely and comprehensive manner.

## **22.4. Relationships within the Cooperative**

The relationships within the grower group have to be based on the principles of equality and non-discrimination (see also Section 1, and Section 2.3. All members of the group can be nominated for any position within that group.

## **23. Individual Farms**

Individual farms are certifiable under this standard. In addition to complying with all other regulations, individual farms have to invest at least 50% of the Fair Trade price differential in additional pay, better healthcare and better general living conditions for workers, and 25% of the Fair Trade price differential has to be treated as Social Premium and used for Community Development Projects. If individual farms are members of cooperatives or grower groups and employ five or more workers on a regular basis throughout the year (not just seasonally), the requirements for individual farms apply. FairTSA, in its sole discretion, may grant adjustments to these requirements if agreed to by farm workers and the management or owner of the individual farm. Individually owned small farms are ex-

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empt from this provision. Small farms are defined by FairTSA based on regional characteristics on request.

## **24. Farmer Groups that Deliver Products to the same Key Development Partner**

### **24.1. No Use of Agrochemicals**

Only farmer groups that are either certified organic or do not use synthetic agrochemicals can be certified under this section of the standard. If that is not the case, the operations may apply for certification under this standard on an individual basis, and can be accepted into the program only if there is a comprehensive plan in place that includes all farmers to be certified. This plan has to cover all aspects of purchasing, application methods, training for the use and storing of agrochemicals as well as a continuous lab testing plan for pesticide residues in the food products.

### **24.2. Key Development Partner**

The entity that the certified products are delivered to in the country of origin, where usually one or more processing steps occur before selling or exporting of the products has to take an active and supportive role in organizing the farmers for the community development project. The name of this entity for the purpose of this standard is “Key Development Partner” (KDP).

### **24.3. Contracts between Farmers and the Key Development Partner**

A contract has to be in place between each farmer and the Key Development Partner. At minimum, this contract has to specify the following:

- A description of all agricultural products to be bought/sold
- Any quality requirements for said products
- Delivery specifications
- The current product price
- The Fair Trade price
- Any other provisions that are central to the relationship between the KDP and the farmers.

### **24.4. Requirements for the KDPs**

The KDP must be committed to supporting the suppliers' (typically small farmers) social and economic progress. The KDP must not coerce the farmers to deliver

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FairTSA certified products solely to the KDP. If existing contracts specify such a unilateral relationship, they have to be replaced with contracts that allow sale of products to other buyers than the KDP within a year, unless there is a strategic partnership between the KDP and the farmers in place that serves the best interests of both entities. Such contracts have to be open for inspection and need to contain aspects specifically dedicated to fostering the social and economic progress of the suppliers.

#### **24.5. Administration of the Social Premium**

Since the KDP is the entity that receives the Social Premium for the FairTSA certified products, it has to be willing and able to administer and properly account for all Social Premium monies received. Furthermore, these monies have to be held in a separate account for accounting purposes. Payments from the Social Premium fund can only be made in accordance with the Community Development Plan and have to be fully documented. Documentation has to be made available for the annual inspection and for any additional audit by either FairTSA or the respective PAC.

### **25. Plantations**

Only plantations that are also certified organic can be certified under this standard. Non-organic plantations and other large-scale operations may only be certified after an initial FairTSA audit determines that basic social and environmental issues are addressed and if the operation has a 5-year plan to tackle any additional social and environmental issues deemed necessary in the sole discretion of FairTSA's management.

### **26. Multi-National Agricultural Corporations**

Multi-national agricultural corporations are defined as corporations owning and managing large areas of agricultural land (> 10,000 hectares or 25,000 acres total) in three or more countries and are governed from the home country. Such multi-national agricultural corporations and their subsidiaries, affiliates, daughter companies or any other entity governed by the mother company are generally not admissible for Fair Trade certification under this standard. If a multi-national corporation or a daughter company of a multi-national corporation wishes to achieve certification under this standard, they are required to enter meaningful negotiations with the FairTSA board and draw up a plan with at least a 5 year term that has to address:

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- Any obvious and publicly documented cases of social injustice and environmental degradation caused by the corporation
- Converting a meaningful acreage and number of farmers to Fair Trade certification under this standard within a 3-year time period.

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## **Social Requirements (Sections 27– 31)**

### **27. Objective**

The objective of the section Social Requirements is to establish certain social criteria that operations have to comply with in order to be FairTSA certified.

### **28. Responsibilities of the Upper Management**

The upper management of all certified operations must be knowledgeable about the FairTSA standard and must show a commitment for achieving its goals. It must designate a responsible person for all FairTSA-related production and/or processing operations and allocate the necessary resources for all necessary measures and processes according to the FairTSA standard.

### **29. Transparency, Democracy and Participation**

#### ***29.1. Transparency with Regard to FairTSA-related Issues***

All FairTSA certified growers and grower organizations should demonstrate increased transparency with regard to the dealings of the management with all types of employees and/or grower organization members. All opportunities and decisions relating to FairTSA Fair Trade issues have to be communicated to all employees and/or members of the operation in an open and transparent way.

#### ***29.2. Democracy and Participation***

All FairTSA certified operations should strive to increase the elements of democratic and participatory decision-making and transparency in all dealings relating to FairTSA-related issues.

### **30. Fostering Social Development – The Community Development Project**

The Community Development Project is the central means of promoting social progress as envisioned and fostered by the FairTSA program. Each operation must draft a plan that shows how the Social Premium will further the social and economic development of its members and/or workers and the surrounding community. This plan for the use and/ or distribution of the Social Premium has to be submitted to the standard holder, who then will approve the plan if it is within the requirements of this standard. FairTSA may, at its sole discretion, publish additional criteria to which the plan for the CDP has to adhere. Changes to this plan

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can only be requested by the standard holder if the plan clearly contradicts the standards or additional published criteria.

All Community Development Projects should be governed by a sense of collaboration and mutual benefit. All directly involved parties have to be included in the decision-making, planning and evaluation process for the CDP to the greatest extent possible. This especially relates farm workers, small farmers, and concerned members of the producer community. If one of those groups collectively feels that the decision regarding the CDP was made without their input or against their interest, they may appeal to the FairTSA management, which will bring the matter before the FairTSA Appeals Board. The Appeals Board will review the case and act as a moderator between the different stakeholders so as to achieve a plan with whom all stakeholders in the CDP can agree.

Operations may be exempt from the requirement for a CDP under very specific circumstances if they request an exemption before the first inspection. Acceptable reasons for an exemption will be specified in the document "FairTSA Guide for Community Development Projects".

## **31. Social Progress Goals**

### **31.1. Community Development Plan**

The operation must send FairTSA the draft of its plan for the distribution of the Social Premium not later than 60 days after the first date of receipt of Social Premium monies.

First tangible and measurable results of the plan should to be in place not later than 12 months after the date the first Social Premium monies have been received as applicable, provided that by that time at least \$1,000 (one thousand US-Dollars) of Social Premium monies have been paid to the operation. Community Development projects including their financial transactions are subject to inspection and verification by the inspector at the time of the annual inspection and additional announced or unannounced inspections or FairTSA audits.

### **31.2. Community Development Project**

The Community Development Project must be adhere to the requirements in this standard. Community Development Projects may be supervised and facilitated by FairTSA's own Community Development Service, another knowledgeable FairTSA-assigned non-profit organization with a proven track record in the region of the respective project, or by FairTSA-trained and approved personnel of KDPs

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and other certified operations. All community development projects must be inspected and certified as compliant with FairTSA the FairTSA standard.

### **31.2.1. Types and Location for Admissible Community Development Projects**

#### **31.2.2.1. Location of Community Development Projects**

Community Development Projects (CDPs) shall take place on the farms or co-operatives or the nearby producer communities. FairTSA's management may accept CDP's that are located elsewhere. In this case, the certified producer must make its case in writing why the CDP should be in a different location. The FairTSA management will then make its decision if there is sufficient reason to accept such a CDP.

#### **31.2.2.2. Acceptable Types of Community Development Projects**

Please note: The examples given below are by no means comprehensive. If a cooperative or producer feels that they have a significant potential project that does not fit into those categories, we encourage them to put in a request with FairTSA to approve the project anyway.

### **Environmental Projects**

Environmental projects are projects whose goal is to improve or restore natural environmental conditions. We categorize environmental projects in three areas:

#### Improving or restoring the natural environment

Typical examples are the following: reforestation, establishing alley cropping or multi-story (shaded) agricultural areas (coffee, cacao e.g.), creating protected areas on ecologically valuable land including securing habitats for endangered species.

#### Intelligent Water Use and Protection Including Water Security

Examples are low-input irrigation systems, securing existing water bodies by minimizing or preventing erosion and other water pollution, drilling wells when ecologically appropriate.

#### Waste and Waste Water Treatment

Separating and recycling wastes, including organic waste (composting), safe ways of disposing of residual wastes, water treatment facilities (preferably low capital treatment options such as reed beds).

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### Health Care Projects

Health care projects encompass the whole spectrum of health care. Below are some examples of health care projects:

- Prevention education,
- Treatment and providing of difficult to obtain medicines for diseases such as Malaria, HIV-Virus, etc.,
- Building/supporting hospitals and community-base health institutions,
- Health care support for especially vulnerable members of the community (pregnant mothers, infants, etc.)

### Food Security Projects

Food security projects are projects that are geared to secure and expand the available food sources for workers and small farmers. Examples would be the following: workers on the farm are given a piece of land, training if necessary, seed and equipment to work the land for their own subsistence. Likewise, small farmers could be trained and provided with seeds and equipment to expand their food choices.

### Educational Projects

Educational projects are all projects that improve access to education for children and adults. Examples are transportation to school, uniforms or tuition payments for children of families that could otherwise not afford schooling. Literacy campaigns and vocational training or training to be able to open and successfully run small businesses are also eligible.

### Agricultural Production and Post-Harvest Treatment (AGPHT) Projects

AGPHT projects are only admissible for small farms and cooperative members. A whole array of measures such as training for sustainable farming practices, crop quality development, improved post-harvest treatment, capital investment for equipment and storage buildings, and many other possible projects are admissible.

### Improving Workers' Living Conditions

All measures geared toward improving workers' (including seasonal and migrant workers) living conditions such as building new living quarters, improvement of sanitary conditions etc. are acceptable. If no or only few legal benefits per section 41.8. exist in a given country, the community development project should be geared toward improving social benefits if farm workers are part of the operation to be certified.

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### **Small Business and Vocational Training**

All measures geared to empower workers or community members to establish their own business or learn a trade that will help them to sustain themselves and their families are admissible.

#### **31.2.2. Annual Community Development Project Inspections**

Producers must agree to annual inspections and if necessary additional announced or unannounced independent third-party inspections of their Social Premium funded Community Development Projects.

#### **31.2.3. Ongoing Community Development Support**

Producers must be willing to receive periodic visits of FairTSA-commissioned Community Development facilitators in support of their Social Premium-funded Community Development Projects if such projects are directly supported by FairTSA's Community Development Support Service. It is the facilitators' task to engage the community and provide support, but not to influence or dictate plans or decisions relative to said Community Development Project.

#### **31.2.4. Transparency and Public Documentation**

FairTSA endeavor to document each project to the best of its ability so as to give project members and other stakeholders, including consumers, in-depth and up-to-date information about each project.

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## Economic Requirements (Sections 32– 35)

### 32. FairTSA Negotiated Product Price and Minimum Price

#### **32.1. Negotiated and Minimum Price**

Products from FairTSA certified farms or cooperatives are traded at the “Negotiated Price”. The Negotiated Price between buyer and seller is generally 7% (or more) above the local farm gate price of the same product or product variety of products of comparable quality, depending on regional and local conditions. In cases where buyers can document sustained and substantial involvement to support producers, this price may be lower, but not lower than 5% above the farm gate price for comparable products.

The negotiated farm gate price that Key Development Partners pay to their farmers has to be 7% or more than the farm gate price for similar products. If the KDP can document sustained and substantial investment for its farmers to the FairTSA management, FairTSA may, in its sole discretion, lower that percentage. However, the negotiated farm gate price must never be less than 5% above the price for similar products.

If it is impossible to establish a baseline price for organic products, the negotiated price has to be on average at least 10% above the established conventional price, unless other factors such as establishing the infrastructure for product collection, payment of certification fees in full, etc. allow for a lower price premium. The price premium for conventional products must never be less than 7% of the price for comparable products.

A “Minimum Price” can be set by the standard holder, if the market price falls below the point of production costs plus an appropriate profit. All players involved in the FairTSA certification program – producers, buyers of certified products, and the PACs have the right to alert the FairTSA management, if the market price for a certain product approaches that point. The minimum prices will be communicated to all clients via FairTSA program information, by the PACs and published in the product registry as soon as they have been determined.

FairTSA encourages additional price premiums based on product quality or other criteria as negotiated between buyer and seller.

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### **32.2. Basis for the Negotiated and the Minimum Price**

The basis for the negotiated price the minimum price is the farm gate price. If additional transportation arrangements or services are delivered by the seller, these services and arrangements have to be covered in the contract and paid for at least at cost and a reasonable profit margin. Remuneration for these additional services and arrangements are not part of the basis for the FairTSA Social Premium as described in section 33.1.

## **33. FairTSA Social Premium and Community Development Support Service Fee**

### **33.1. Amount and Distribution of the Social Premium**

The FairTSA Social Premium for agricultural products consists of a surcharge of 3.0% based on the farm gate price of the agricultural product or the ex works price in case of processed products.

The buyer of the product has to pay the premium along with the product price to the seller and clearly indicate the amount of the Social Premium as "FairTSA Social Premium" on the invoice.

### **33.2. Amount and Use of the Community Development Support Service Fee**

The FairTSA Community Development Support Service Fee (CDSF) is a surcharge for community development training and support services and is based on actual costs incurred by FairTSA plus a reasonable amount for the development of the training and overhead costs. The actual amount will be negotiated between FairTSA and the responsible licensee.

## **34. Bookkeeping**

The bookkeeping system shall be inspected during the first inspection. It has to allow for the documentation and traceability of all FairTSA transactions, including payments of wages and salaries for all employees including temporary and migrant workers. Bookkeeping has to comply with all legal regulations for the specific country and/or state where the operation is located.

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## 35. Economic Development Goals

### 35.1. General Economic Development Goals

FairTSA strongly recommends to its certified operations the introduction of a combined micro-savings and micro-credit system for its long-term employees. In the absence of an established social security system this can provide some additional financial security. The funds should be allowed to be used by the employees at their own discretion. Amounts to be saved can be established in cooperation with the employees. All funds would have to bear a reasonable interest, and all costs for keeping the bank account and the internal accounting should be borne by the operation.

In addition, contributing members to the micro-savings fund should be able to receive limited micro-loans from this fund for:

- a) Immediate personal health care problems for the worker him/herself and those next of kin
- b) Small investments that directly enable the worker to launch a small business endeavor without jeopardizing the current employment, especially when such endeavors help to improve food safety, state of nutrition, access to water, and educational opportunities.

FairTSA strongly recommends establishing and publishing clear criteria for the operation of the micro-loan fund.

### 35.2. Economic Development Goals for Cooperatives and Collectives

#### 35.2.1. Income and Expenses Projections and Business Plan

The management of the grower group has to draw up a simple three year income and expense projection. The board of the grower group has to appoint a Financial Audit Committee consisting of at least three members of the grower group that shall audit the books of the grower group in the first year after certification. After three years in the FairTSA program, the grower group shall have developed a full business plan in writing. This plan has to include at least three years of forward-looking statements.

#### 35.3.2. Bookkeeping and Accounting System

After three years, a comprehensive bookkeeping and accounting system detailing all financial transactions of the organization has to be in place. Progress toward this goal has to be demonstrated not later than 2 years after the first date of certification.

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### 35.3.3. Election of the Financial Audit Committee

In the second year after the certification the grower group shall democratically elect a Financial Audit Committee consisting of at least three members of the grower group. The committee shall have access to all financial documents and shall audit the finances of the grower group on an annual basis. The term of the elected Committee members may not exceed three years.

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## **Labor Requirements, Social Benefits and Occupational Health and Safety Requirements (Sections 36– 45)**

### **36. International Labor Organization (ILO) Conventions as Basis of the Labor Requirements**

The subsequent sections of the FairTSA standards are based on the following ILO conventions:

Conventions 29, 105 and 138 regarding child labor and forced labor;

Conventions 87 and 98 regarding freedom of association and collective bargaining;

Conventions 100, 110 and 111 regarding plantation work, equal pay, and non-discrimination;

Convention 102 regarding social benefits;

Convention 155 regarding occupational health and safety.

### **37. Objective**

The objective of this section is to ensure that labor requirements, the right to social benefits and safe work place conditions are conditions are met by each operation. In addition, conditions for child and youth employment are laid down, the rights to form associations and to collective bargaining as well as non-discrimination issues are specified in this section.

### **38. Applicability**

These standards are applicable for operations with at least ten full-time hired laborers also apply to individual members of grower groups who are employed by the management of the grower group.

### **39. Working Conditions for Children**

#### **39.1. Forced or Bonded Child Labor**

Forced or bonded child labor is not permissible.

#### **39.2. Punishment of Children**

No punishment of children, either corporal punishment or punishment in form of subtractions from contractually guaranteed pay, are permissible.

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### **39.3. Minimum Age and Schooling**

If Children are a part of the work force, they have to be at least 15 years of age, or in exceptions 14 years, if permitted by law. Additional exceptions for children aged 12-13 may be instituted for work under very narrowly defined circumstances and for 25 hours per week at most. Each case of employment of a child under 14 must be approved individually by the PAC in writing.

Employment of children must in no case jeopardize or prevent available education and schooling opportunities.

Children of small holders and members of cooperatives may work on their parents' or close relatives' farm, as long as the work is age-appropriate and does not prevent available education.

### **39.4. Persons under 18 and Dangerous or Physically Extremely Challenging Environments**

Persons under the age of 18 are not permitted to work in dangerous or physically extremely challenging environments.

Persons under the age of 18 are not allowed to handle hazardous materials, including pesticides.

## **40. Prohibition of Forced and Bonded Labor and Punishments**

### **40.1. Forced and Bonded Labor**

Forced or bonded Labor is not permissible under any circumstances. If forced labor is detected on an operation, this will lead to immediate revocation or suspension of the FairTSA certification. In case of suspension, the suspension period shall be at least two full calendar years from the date of suspension, but may be up to five years.

### **40.2. Punishment of Workers**

No punishment of workers, either in corporal form or in the form of wage deduction is permissible.

### **40.3. Employment of Spouse**

Spouses have to be employed individually. Spouses not employed by the operation have the right to seek employment elsewhere and not related to the operation.

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#### **40.4. Sexual Harassment**

Sexual harassment of any kind is strictly prohibited.

### **41. General Conditions of Employment**

The operation must adhere to the following basic requirements:

1. Wages must be at least the same as national minimum wages or, if no minimum wages exist, as regional averages.
2. The principle of "equal wage for equal work" has to be adhered to, independent of gender and age.
3. Discrimination in employment is not permissible.
4. All workers shall be employed under a simple written employment agreement, stipulating at least type of work, general pay per time unit, and overtime pay, if applicable.
5. Wages must be paid in legal tender and be properly documented.
6. Overtime has to be paid, with a reasonable premium. Regular work weeks may not be longer than 48 work hours.
7. Workers have the right to leave employment after giving a reasonable time of notice.
8. The operation must comply with all legal requirements regarding social benefits, disability benefits, sick days and sick pay, maternity benefits, health care and maternity benefits.

### **42. Freedom of Association and Collective Bargaining**

1. The operation confirms in writing that all employees have the right to join a trade union if they so wish.
2. The operation shall not discriminate against workers because of their trade union membership.
3. Operations may be certified even if no trade union is present or if there are important reasons for the operation not to have its employees join trade unions. In this case, the operation has to file a written request with FairTSA's management to be exempt from this provision. The FairTSA management will decide within two weeks after receipt of the request if it can be granted.
4. In the absence of a trade union and if there are more than ten workers employed on a regular basis, the workers are entitled to electing a committee that negotiates with the grower group's management in all as-

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pects that would otherwise be covered by a Collective Bargaining Agreement.

5. If less than 10 workers are employed, workers must be able to meet once a month for 2 hours on a paid basis to discuss work-related issues and give input and feedback to the management of the operation. Summary minutes of meetings shall be kept for at least two years and made available for inspection.

### 43. Living Conditions for On-Farm Workers

Living conditions for workers living on the farm have to at least comply with cultural minimum requirements. This includes, but is not limited to:

- Access to clean water for drinking, cooking and sanitary purposes
- Suitable cooking facility
- Living and sleeping quarters with sufficient room
- Appropriate sanitary facilities
- Clean environment for living quarters.

Specific requirements will be established by the PAC.

### 44. Occupational Health and Safety Requirements.

#### 44.1 General Requirements

1. The operation has to designate a person overseeing all occupational health and safety procedures.
2. The operation has to conduct training on occupational health and safety requirements at least once a year. Contents of the training and participants must be documented.
3. New hires working in areas or with equipment that represents a safety issues have to be trained before assuming their duties.
4. The operation has to provide the necessary resources and equipment to comply with health and safety requirements at no cost.
5. The operation has to provide appropriate and up to date first aid equipment and train personnel in the use of such equipment.

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#### **44.2. Specific Requirements for Workers on Fields**

1. Farm workers must have access to sanitary facilities in the vicinity of the fields, or alternatively, regular breaks with access to sanitary facilities
2. Farm workers must have access to safe drinking water during work
3. Farm workers are entitled to a lunch break of at least 30 minutes and two shorter breaks during the day.
4. Farm workers must have free access to necessary protective gear such as appropriate work gloves, sun protection (hats), etc.
5. Tools used in farm work must be appropriate for the work to be carried out.

### **45. Progress Goals**

#### **45.1. Progress Goals for General Conditions of Employment**

1. After 3 years, all operations with more than 20 regular employees must have a sick leave policy for all regular workers in place, with at least 10 paid sick and personal leave days per year. Existing legal regulations with higher requirements supersede this section.
2. After 3 years, a complete working time and overtime policy including overtime pay is passed. Weekly work may not exceed 50 hours, and overtime pay has to be at least 20 % higher than regular pay. Regular and overtime work hours must not exceed 65 hours per week. Exceptions from this requirement may be granted under extenuation circumstances. Existing legal regulations with higher requirements supersede this section
3. Average salaries, not including the salaries for managerial positions, are at least 10% above the legal minimum wage or the regional average wage respectively.

#### **45.2. Progress Goals for Occupational Health and Safety**

After three years from the date of the initial certification, all operations with more than 20 full-time workers have to meet the following progress goals:

1. A policy regarding occupational health and safety has been created, which includes training procedures geared to the specific equipment
2. A designated person in charge of occupational health and safe.
3. An inventory of all equipment and machinery potentially constituting an unsafe work environment has been established.
4. The inventory is regularly updated, at least annually.

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5. Improved equipment and/or machinery has been bought or procedures have been implemented and documented that minimize the risk for working with such potentially unsafe equipment or machinery.

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## **Agricultural Production and Environmental Requirements (Sections 46– 50)**

### **46. Objective**

The environmental part of the FairTSA standard serves to identify, maintain and enhance methods and practices with positive environmental impact and to identify and eliminate practices and methods with negative impact so as to achieve sustainability for all land under cultivation, the surrounding landscape and the animal species living on the arable land and its surroundings.

### **47. Agricultural Practices**

Organic operations certified under the following organic regulations are exempt from the requirements below: NOP (USA), EEC council regulation 887/2003, JAS (Japan), and Canadian Organic Standard. Organic operations certified under other organic regulations may apply for acceptance of their respective organic certification and FairTSA will issue a decision within one month from the date of the application.

Operations certified under the GlobalGap or a similar “good agricultural practices” program may also be FairTSA certified, provided that they furnish a copy of a valid certificate and a copy of the inspection report to FairTSA and agree to a plan to minimize pesticide input and improve agricultural practices with a view to environmental sustainability as described in 47.1-47.6. Section 47.7 applies to all operations regardless of certification.

For all other operations, the agricultural methods described in this section are strong recommendations. They must apply them within 3 years from the date of first certification.

#### **47.1. Crop Rotation**

The crop rotation shall contribute to the long-term health of the soil and to maintaining its productivity. The crop rotation has to include elements such as sod, cover crops, green manure, and catch crops that:

- a) Maintain or improve soil organic matter content
- b) Manage deficient or excess plant nutrients and add nitrogen through the inclusion of leguminous plants
- c) Provide erosion control

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d) Support pest management.

### **47.2. Soil Fertility and Crop Nutrient Management**

Tillage and cultivation practices that improve physical, chemical and biological soil conditions and minimize soil erosion should be chosen.

Residual plant material shall be incorporated into the soil of the arable land in such a manner that it does not contribute to the contamination of soil or water. The burning of plant material on agricultural land is not permitted unless it is absolutely necessary such as in the case of pest or disease infestation.

### **47.3. Crop Pest, Weed, and Disease Management**

The crop pest, weed and disease management is based on a step-by-step approach to deal with crop pests, weeds, and plant diseases.

The first line of defense is prevention practices as follows:

- crop rotation,
- sanitation measures to remove disease vectors
- cultural practices that enhance crop health such as selection of species and varieties suitable to on-site conditions,
- development of habitat for natural enemies;
- Other suitable preventive methods.

If infestation occurs, mechanical physical and biological methods can be used as follows:

- introduction of predators for parasites of the pest species;
- Lure, traps, and repellents
- Flaming of weeds
- Other suitable mechanical and physical methods.

If none of the steps above are sufficient for crop pest, weed or disease management, suitable agrochemicals may be applied, provided that they comply with the requirements in section 49.1. The grower group may apply for a temporary variance to the FairTSA management if a prohibited agrochemical cannot be phased out immediately.

In addition, the application of agrochemicals has to comply with all provisions in section 49.2 of this standard.

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#### **47.4. Additional Soil Erosion Prevention Measures**

In addition to the measures in 46.1 and 46.2, the operation has to identify areas that need improvement such as tree or bush plantings, perennial cover, etc. These areas need to be mapped and attached to the System Plan. In addition, a brief attachment with timelines and measures to be implemented has to be included with the System Plan.

#### **47.5. Irrigation and Water Use**

Irrigation methods have to be as efficient as possible. In general, drip irrigation and other water-saving methods are preferred. The water use has to be managed in such a way that the negative impact on the water table is minimized. If the irrigation system does not meet this requirement, the systems plan has to include a description of planned improvement measures.

#### **47.6. Ecosystem Conservation and Endangered Species Protection**

##### **47.6.1. Ecosystem Conservation**

Valuable and/or protected ecosystems may only be used for agricultural production in compliance with applicable regulations for such ecosystems. In the absence of local, regional or national regulations for valuable ecosystems, a set of rules for the sensitive use of these areas has to be developed by the grower group in accordance with internationally accepted management practices for such areas. They have to be attached to the FairTSA System Plan and approved by the certification agency.

##### **47.6.2. Endangered Species Protection**

Endangered species as defined on the World Conservation Union's (IUCN) Red List at [www.redlist.org](http://www.redlist.org) in its current version and classified there at least as "endangered" or legislated by local, regional or national authorities may not be harmed, used, sold, captured or held in captivity. Known habitats of endangered species have to be mapped and protected to the fullest extent possible.

If current agricultural practices include the use of endangered species habitat, the operation has to develop a plan to phase out the use of such habitat within two years. This phasing-out plan has to be attached to the FairTSA System Plan and approved by the PAC.

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### **47.7. Genetically Modified Organisms**

Methods to genetically modify organisms in processes that do not occur naturally, such as cell fusion, microencapsulation, macroencapsulation, and all types of recombinant DNA technology are prohibited.

## **48. Waste, Wastewater and Sewage Treatment**

### **48.1. Waste**

Waste has to be minimized. Unavoidable waste has to be separated and recycled as much as possible. Organic waste has to be source-separated and either composted, used as mulch, or used in biogas facilities. Waste dumps have to be kept separate from all fields of the operation and managed in an environmentally responsible manner.

### **48.2. Wastewater and Sewage**

Waste water and sewage must not be released in open water bodies untreated. As a minimum, separation of solid and fluid waste has to occur. Leach fields have to be used for the fluids, while the solids have to be deposited in a safe manner. Simple plant-based treatment plants for fluid wastes such as reed beds are preferable from leach fields.

## **49. Use, Handling and Recordkeeping of Agrochemicals**

### **49.1. Use of Agrochemicals**

The operation has to comply with all laws and regulations of the producer and the importer countries regarding agrochemicals.

Agrochemicals may only be used if all measures in section 46.3 of this standard have been exhausted.

In addition, the agrochemicals on the list of the Pesticide Action Network's (PAN) list of highly hazardous pesticides are not permitted for use. It can be downloaded at [http://www.pan-germany.org/download/PAN\\_HHP-List\\_1101.pdf](http://www.pan-germany.org/download/PAN_HHP-List_1101.pdf)

All agrochemicals used must be listed in the FairTSA System Plan. Information provided must include trade name, active ingredient(s), and average amount used per hectare or acre. If agrochemicals are applied, the relating products must comply with all applicable Maximum Contaminant Levels in the producer

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country and the importing country. Applying agrochemicals without disclosure constitutes grounds for immediate revocation or denial of certification.

## **49.2. Application of Agrochemicals**

### **49.2.1. Personnel for the Application of Agrochemicals**

All personnel designated to the application of agrochemicals have to be trained for use, application, storage and deposition of agrochemicals. This training has to be documented in the System Plan and repeated on an annual basis. Only persons who are clearly aware of the dangers of agrochemicals and who sufficiently understand training contents may be designated for the application of agrochemicals. The grower group has to keep a list with names, contact info, and training sessions attended for inspection.

All personnel designated for the application of agrochemicals have to conform to all safety procedures listed by the manufacturer.

Persons younger than 18, pregnant or nursing women, persons with mental disabilities or severe health problems are not allowed to be involved in the handling, application, storage or disposal of agrochemicals.

### **49.2.2. Equipment for the Application of Agrochemicals**

All equipment for the application of agrochemicals has to be properly maintained. All equipment has to be cleaned after use according to manufacturer directions. Cleaning water has to be disposed of.

### **49.2.3. Storage and Deposition of Agrochemicals**

All agrochemicals have to be clearly labeled. They have to be stored under suitable conditions in a locked space to which only designated personnel has access. The preferred deposition of unused agrochemicals is return to the manufacturer. In cases where this is not possible, local, regional or national agricultural extension service has to be contacted to find out the best solution for deposition. It is not permitted to dispose of any unused agrochemicals, even in diluted form, on the farm, in rivers or streams, or in any other part of the farmland and its surroundings.

### **49.2.4. Purchases and Recordkeeping of Agrochemicals**

All purchases of agrochemicals have to be centralized and executed by the management of the grower group. Complete records of purchases, applications, storage and deposition have to be kept for inspection.

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#### 49.2.5. Buffer Zones for Split Operations

If in the non-FairTSA certified part of an operation agrochemicals are used that are not permissible under the FairTSA standard, the buffer zone between these different parts of the operation have to be at least 50 meters. If only FairTSA-permitted agrochemicals are used, the PAC may determine buffer zones as necessary.

### 50. Environmental Progress Goals

If an operation does not fulfill all environmental requirements, said operation has to develop a FairTSA Progress Plan. This Plan has to be approved by the FairTSA management and will then communicated to the responsible PAC. The maximum time to comply with all requirements of the environmental part of the standard is three years.

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## **Buyers' Code of Conduct (Sections 51– 54)**

### **51. Objective**

The buyer code of conduct sets the standard for buyers of FairTSA products in their transactions with producers of FairTSA certified products and for their general conduct specifically toward consumers of FairTSA certified products, and also with respect to the general public.

### **52. General Considerations**

#### **52.1. Trade Relationships**

Buyers enter purchasing agreements for FairTSA certified products with sellers in a fair and professional manner with the goal of establishing a long-term but not exclusive relationship.

Furthermore, should develop a long-term plan for FairTSA certified purchases from every producer they buy from and keep them posted on market opportunities, short-and long-term trends so as to maximize the opportunity for producers to sell their products at a fair price and generate additional capital investment for their communities.

#### **52.2. Product Quality**

Buyers have to be professional and forthcoming in all aspects of their purchase orders for commodities and semi-finished or finished products. Sellers have to deliver accurate product information and spec sheets as well as products that meet the specifications and requirements called for by the buyer.

If a seller repeatedly (in at least two documented instances) sells products that do not conform to prior agreed quality standards, that seller's FairTSA certification may be suspended or revoked depending on the severity of the breach of the sales and purchasing agreement.

#### **52.3. Support of a Fair and Environmentally Friendly Supply Chain**

All buyers of FairTSA products are encouraged to actively support the establishment of a production, processing and distribution chain which is both socially just and ecologically responsible.

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## 53. Advertising and Marketing of FairTSA Products

### 53.1. Truth in Advertising and Marketing

Advertising and marketing of FairTSA certified products is encouraged. However, such marketing and advertising has to convey messages and pictures that are relevant and reflect the buyer's actual involvement with FairTSA certified products. For example, a buyer whose Fair Trade purchase volume is 5% of total purchases must not present itself as a "Fair Trade Company" or similar wording. Also, such a company must not show the FairTSA logo on the home page but may depict it on a web page where specific information of the project(s) certified under the FairTSA logo is provided.

Advertising and marketing of FairTSA products may not be used to conceal or justify activities that violate labor laws, involve unregulated, unpaid or forced child labor, and are voluntarily detrimental to the environment or in any other way in contradiction of the FairTSA principles. This provision relates also to regular suppliers or sub-contractors of the buyer.

### 53.2. Publication of FairTSA Trade Data

FairTSA as the standard holder has the right to publish anonymous trade data as it sees fit.

In addition, both FairTSA and all buyers and sellers have the right to publish the data of FairTSA certified products as a share of the total sales of a buyer or seller and/or as a share of their organic sales or purchases respectively.

## 54. Pre-financing of Crops by the Buyer

FairTSA requires buyers to pre-finance up to 50% of the crop for up to nine months, if the operation can document the need and provide credit information and references showing with reasonable certainty that the financial obligations under the credit agreement can be met by the producer. If the buyer's requirements regarding references and securities are not met, the buyer should inform FairTSA, which will support the producer in obtaining the necessary documentation. If it is obvious that the producer cannot produce the necessary documentation showing that they can meet the financial obligations under the credit agreement, the buyer is not required to comply with the requirement in full, but should exert all reasonable efforts to comply with the requirement to the best of it's abilities. In such cases both buyer and seller can approach FairTSA's management with a request to participate in negotiations and FairTSA will support the negotiations for the best possible agreement for buyer and seller.

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## **Fair Trade Sustainability Alliance Standard for Wild Collection of Plants (Section 55)**

### **55. Wild Collection of Plants**

#### **55.1. Sustainability of Wild Collection**

Any operation engaging in the wild collection of plants has to ensure the sustainability of the harvest and not endanger any collected plant or animal species dependent on the collected plants. Furthermore, the integrity of the collection area and the livelihood of other collectors in the area that collect wild plants for their own purposes including their subsistence must not be jeopardized.

Plants that are restricted or prohibited to be collected by national law must not be collected. Plants listed by the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES, [www.cites.org](http://www.cites.org)) as endangered must not be collected.

No prohibited agrochemicals may be applied in the collection area at least three years before the first harvest. This includes also plants collected in forests. The application of lime is permitted.

#### **55.2. Sustainability Plan**

In order to establish the sustainability of the harvest, a plan has to be included with the inspection documents documenting the size of the collection area, estimated occurrence of the plant for wild collection and an annual harvest plan. In this plan collection activities of other persons have to be considered and at least estimated.

#### **55.3. Delineation of Wild Collection Area and Buffer Zones**

All areas for wild collection have to be properly mapped, if possible on a scale of 1:1000 or less. If that is not possible, the lowest scale maps available in the region have to be used. Potential sources of contamination (industrial facilities, cities or towns, etc.) have to be indicated on the map and appropriate buffer zones have to be delineated by the PAC. The minimum distance from sources of pollution such as are major roadways, agricultural land, etc. in the wild collec-

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tion area is 50 meters. Additional buffer zones have to be established by the PAC as necessary.

#### **55.4. Radioactive Elements and Naturally Occurring High Concentrations of Heavy Metals in the Soil**

Areas with known natural or man-made occurrences of radioactive elements in the soil may not be used for wild collection, unless there are systematic annual analyses for the prevalent radioactive elements showing that there is no threat of pollution. The wild collected plants must not violate the maximum contaminant level for radioactive elements for both the producing and the importing country.

Areas with naturally occurring high concentrations of heavy metals are also excluded from being used for wild collection, unless continuous analyses establish that no high heavy metal concentrations in the wild collected plants are present. The wild collected plants must not violate the maximum contaminant level for heavy metals for both the producing and the importing country.

#### **55.5. Payment and Information Requirements**

All collectors of wild plants have to be instructed about the collection area, possible excluded points or areas, and the general requirements as stipulated in this section. The basic requirements of this section have to be translated in a language understood by the wild collectors.

Each collector needs to sign a simple agreement outlining the requirements of this section and establishing that they will adhere to those requirements while collecting plants.

At each purchasing location for wild collected plants the following information has to be made public:

- The method how to properly harvest the plants in question
- A copy of the map as described in section 54.3
- A summary of the requirements in this section.

This information needs to be provided in the language of the persons collecting the plants.

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### ***55.6. Contractual Relation, Payment of Wild Collectors and Documentation***

Each collector has to be offered and needs to sign a contract that specifies, at minimum, the following:

- Payment basis for wild collected plants (amount payable per weight unit or similar)
- Quality and delivery requirements
- The currency of the payment
- A stipulation that payment for delivered plants has to be made not later than seven days after delivery of the plants
- A clause stipulating the rejection of product by the purchasing operation of the wild collected plants needs to be made on a consistent basis in line with the previously established quality requirements.

The purchaser of the wild collected plants has to document that the payments for the collectors have approximately the level of the local, regional or federal minimum payment. As a minimum, the price has to be at least 7% above the 3-year average of products of the same kind and of comparable quality .

A complete list of collectors involved in the wild collection project, the agreements with the collectors, and documentation of payments made have to be available at the buying operation's headquarters for inspection.

### ***55.7. Transportation and Simple Processing (Drying) on the Wild Collectors' Premises***

If wild collectors dry collected plants on their premises, the drying and storage room(s) have to be clean and suited for the purpose. Furthermore, the collector has to ensure that the plants in question are not polluted during the transportation, drying and storage process.

### ***55.8. Social and Labor Requirements and Working Conditions***

All applicable social, economic and labor and work place requirements laid down in this standard also apply for wild collection.

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## **Fair Trade Sustainability Alliance Standard for Processed Food Products (Sections 56 – 62)**

### **56. Definition**

Processed Food Products are food products that either undergo some form of processing that is not an immediate post-harvest treatment such as cleaning, drying or fermenting, and/or food products to which synthetic preservatives, processing aides or additional ingredients have been added. For example, under this definition raisins treated with sulfur dioxide for preservation would be considered a processed food product. Likewise, a product consisting of several blended ingredients such as a chocolate bar is considered a processed product.

### **57. Maintaining the Identity of FairTSA Products during Storage and Processing**

#### **57.1. Prevention of Commingling**

All processors and handlers of FairTSA food products must prevent commingling of these products with other ingredients and products. Storage areas for FairTSA products have to be visibly marked as such. FairTSA products and ingredients may not be moved or stored in facilities without being enclosed in their proper packaging materials, unless it is necessary for the immediate processing of products. In this case, the operation has to be clearly able to identify the ingredients or products by appropriate means.

#### **57.2. Batch or Lot Numbers**

All processed products with FairTSA ingredients must have a batch or lot number by which the ingredients used can be traced and the date of processing can be clearly identified.

#### **57.3. Complete Accounting for FairTSA Products and Ingredients**

Each facility that handles or processes FairTSA products must be able to provide a complete quantitative balance of incoming and outgoing FairTSA certified food products. In the case of processors and packers the recipes of the finished products have to be made available for inspection so as to allow for a complete accounting of FairTSA ingredients and products during inspection.

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## 58. Processing Aides, Preservatives and Food Product Ingredients

### 58.1. Compliance with Legal Regulations

All FairTSA certified processed food products have to comply with the legal regulations of the country or countries where they are manufactured, processed and sold. FairTSA and/or the PAC have the right to request the spec sheets of all ingredients including processing aides, preservatives, and ingredients.

### 58.2. Safe Alternatives if Possible

The FairTSA standard is not only meant to ensure the social, economic, and environmental well-being of producers and workers, but also to foster the health and well-being of the consumers of FairTSA products. Therefore, processors and manufacturers shall always prefer the more natural, less processed and safer ingredient or processing aid.

### 58.3. Prohibited Processing Aides, Preservatives and Product Ingredients in Single or Multiple Ingredient Food Products

If processing operations are certified organic, the restrictions regarding processing aides, preservatives and product ingredients are identical with the respective national organic standard.

For operations not under organic certification, Table No. 1 below lists all food additives and food ingredients that are prohibited under the FairTSA standard in addition to those not legally permitted. The list will be updated at least on an annual basis and in a timely manner if additional scientific knowledge requires amendments or changes.

The exclusion criteria for food additives and ingredients on this list are

1. Some or conclusive scientific evidence for potentially adverse effects
2. Insufficient testing.

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**Table 1: Prohibited Synthetic Processing Aids, Preservatives and Food Ingredients for Personal care products Labeled with the FairTSA Mark1  
Status: October 15, 2009**

<b>Name of Additive or Ingre- dient</b>	<b>Synonyms/Remarks</b>	<b>Function</b>
Acesulfame-K		Artificial Sweetener
AC*: Blue 1		Artificial Coloring
AC: Blue 2		Artificial Coloring
AC: Citrus Red 2	Only used for artifi- cial coloring of some Florida or- anges	
AC: Green 3		Artificial Coloring
AC: Red 3		Artificial Coloring
AC: Red 40		Artificial Coloring
AC: Yellow 6		Artificial Coloring
Aspartame	Equal, NutraSweet	Artificial Sweetener
Benzoic Acid		Preservative in fruit juices
Brominated Vegetable Oil (BVO)		Emulsifier, clouding agent
Butylated Hydroxyanisol (BHA)		Antioxidant used to retard rancidity in oils and fats
Butylated Hydroxytoluene (BHT)		Antioxidant used to retard rancidity in oils and fats
Heptyl Paraben		Preservative, espe- cially in alcoholic beverages
Olestra	Olean	Synthetic substitute for fat
Polysorbate 60		Emulsifier

**Table 1 continued:**

<sup>1</sup> This list was compiled mainly on the basis of the Center For Science in the Public Interest's recommendations (<http://www.cs>)

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<b>Name of Additive or Ingre- dient</b>	<b>Synonyms/Remarks</b>	<b>Main Function</b>
Potassium Bromate		Increases volume and enhances tex- ture of bread
Propyl Gallate		Preservative
Sodium Benzoate		Preservative in fruit juices
Sodium Nitrate		Preservative (meat)
Sodium Nitrate		Preservative (meat)
Sulfur dioxide	Mainly for dried fruits	Preservative

\*AC = Artificial Coloring

## **59. Labeling of FairTSA Certified Processed Food Products**

### ***59.1. Minimum Contents for Products to be labeled with the FairTSA Fair Trade Mark***

#### **59.1.1. Single Ingredient Products or Products Exclusively with FairTSA Certified Ingredients**

Single ingredient products or products made exclusively with 100% FairTSA certified ingredients, excluding water and salt, may be labeled "100% FairTSA certified".

#### **59.1.2. Products with at Least 95% Fair Trade Certified Ingredients**

Products with at least 95% Fair Trade certified ingredients, excluding water and salt, of which at least 50% must be certified under the FairTSA standard, may be labeled as "FairTSA Fair Trade" product. No food additive, preservative or ingredient listed in Table 1 in section 21.3 may be contained in such products. All Fair Trade certified ingredients must be marked in the ingredients panel with an asterisk or similar mark.

#### **59.1.3. Products with at least 35% Fair Trade Certified Ingredients**

Products that contain at least a minimum of 35% Fair Trade certified ingredients and a minimum of 25% FairTSA Fair Trade certified ingredients total (excluding water and salt) may be labeled as "made with FairTSA Fair Trade Ingredients", provided that none of the food additives and ingredients listed in Table are contained in the product. The following exceptions apply:

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1. Products with a specific ingredient that is FairTSA certified may be labeled as “made with FairTSA certified [name of specific ingredient]”, as long as all of the specific ingredient is FairTSA certified.
2. Yoghurt with at least 10% fruit content may be labeled with the FairTSA “made with” mark, provided that all fruit content is FairTSA certified.

All FairTSA certified ingredients have to be marked as such, for example with an asterisk after the ingredient name with the explanation “FairTSA certified” or similar explanation, as the labeling law in the respective country permits.

#### **59.1.4. Inspection of Labels**

All labels for consumer packaging have to be inspected by the PAC or FairTSA before they are printed for the first time.

### ***59.2. Labeling of Bulk Products and Labeling of Packaging for Shipping***

Bags, cartons or boxes for commodities produced in compliance with the FairTSA standard and shipped to a licensee or registered company have to be clearly marked with the letters “FairTSA” and the respective product name after these letters, such as “FairTSA bananas” or “FairTSA cacao beans”. The mark can either be printed on the packaging itself or on a label that is firmly attached to the respective packaging. The FairTSA trademark may be used on such containers.

Products that are marketed to non-licensees can be accompanied with the certificate to identify them as “socially and environmentally responsibly produced”, but may not show any reference to FairTSA in any documentation nor on any box, carton, container or bag.

## **60. FairTSA Processed Food Products with Certified Organic Ingredients**

### ***60.1. Food Products Labeled according to the USDA National Organic Program (NOP) or according to the EEC Regulation 834/2007***

Organic Products labeled according to the USDA NOP as “100% organic”, “organic”, and “made with organic” (70% or more organic ingredients) or processed foods manufactured according to EEC regulation 834/2007, the Japanese organic regulations (JAS) and the Canadian Organic Standard qualify without further process inspection of the processing or packing facility for FairTSA

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labeling rules, provided that the product composition complies with the FairTSA labeling rules as set forth in section 58 and the PAC receives a copy of the respective organic certificate.

### **60.2. Other Mandatory Organic Programs**

FairTSA may, at its sole discretion, add other countries' organic laws to this list.

### **60.3. Other Private Certification Standards**

Other private certification standards for food and processed food may be accepted by FairTSA in lieu of an additional inspection. A manufacturer may request an equivalency assessment of such certification from the FairTSA management, which has to issue a decision in the matter within a month from the date the request was received.

## **61. Other Fair Trade and Social Responsibility Programs for Processed Products**

FairTSA will evaluate and determine the equivalency of other applicable standards for processed products and determine their equivalency if the need arises or if other standard holders request determination of equivalency.

## **62. Labor and Occupational Health and Safety Requirements**

The processing facility has to comply with all labor and occupational health and safety requirements as laid down in sections 36 – 45. The Community Development Project and the progress goals of these sections do not apply to processing facilities.

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## Fair Trade Sustainability Alliance Standard for Handicrafts (Section 63 – 70)

### 63. Definition

**Handicraft**, and its synonyms **craftwork**, **craft**, or **handcrafted product** is a type of work where useful and decorative products are made mostly or completely by hand or using only simple tools. In this standard, the term is applied to traditional means of making goods as well as to improved traditional processes where especially cumbersome, dangerous or unhealthy parts of the handcrafting process are carried out by simple machines. Mass production and items made exclusively or mostly with machines are not handicrafts as understood in this standard.

### 64. Scope

This standard specifies and determines materials, substances, processes and production conditions for handicrafts that must be met in order for such a product to carry the “100% FairTSA certified” or the “FairTSA certified” label.

This standard is a “process standard”, which sets conditions in terms of allowed materials, and for the social, environmental, economic, and labor conditions under which certified products are produced. It specifically does not ensure that an individual product is “safer”, “of better quality” nor does it make any other product-quality-related claim.

### 65. Labor and Occupational Health and Safety Requirements

#### **65.1. General Labor and Occupational Health and Safety requirements**

All labor and occupational health and safety requirements as set forth in sections 37-45 have to be met.

#### **65.2. Additional Occupational Health and Safety Requirements.**

All entities involved in the creation of handicrafts have to designate a person overseeing all occupational health and safety procedures. The operation has to conduct training on occupational health and safety requirements at least once per year. Contents of and participation in the training have to be documented.

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New hires working in areas or with equipment that represent safety issues have to be trained before assuming their duties. The operation has to provide the necessary resources and equipment to comply with health and safety requirements at no cost.

### **65.3. Progress Goals for Occupational Health Requirements**

Matters that are of specific concern in the production of handicrafts, such as elevated stress for eyes owed to improper lighting or the occurrence of back aches because of certain postures such as bending over for extended amounts of time shall be addressed by the management as follows:

1. By immediate simple measures such as longer breaks including physical activity such a stretching etc.
2. Within one year by developing and implementing adequate lighting fixtures, and simple frames and other physical measures that alleviate the strain on the workers.

## **66. Input Materials**

### **66.1. Plant-based Input Materials**

All plant-based input materials have to comply with the environmental standards for agricultural products as specified in the respective FairTSA standard.

### **66.2. Input Materials Derived from Animals**

If raw materials from animal origin are used, the producer should demonstrate that the animals were kept under humane conditions.

### **66.3. Metals as Input Materials**

If metals are used as input materials, they may not be cleaned or treated with any harmful chemicals. All chemicals used in the production process or for cleaning purposes have to be listed in the FairTSA System Plan for Handicrafts and will be assessed by the PAC. Depending on the outcome of that analysis, such chemicals may have to be replaced with substances of less negative environmental impact.

### **66.4. Plastics and Other Synthetic Input Materials**

If other input materials such as plastics are used, they have to be declared in the FairTSA System Plan Handicrafts. The PAC will then determine if the materials in question are permissible.

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## 67. Environmental Requirements

### 67.1. Waste and Recycling

All production waste that can be recycled shall be recycled and reused. Waste shall be minimized and, if unavoidable, disposed of in a proper way. If no dedicated landfill is available, the handicraft operation shall be responsible for designating and properly outfitting a waste site. This site must be not constitute a public nuisance or be dangerous for the public.

### 67.2. Water Use

Water use for the production of handicrafts shall be minimized. Water used in the production shall be recycled whenever possible. Waste water shall be disposed of in an environmentally safe manner.

## 68. Documentation and Record Retention

### 68.1. Batch Documentation

All batches of handicrafts shall be properly documented with the date, so every batch can be identified properly.

### 68.2. Input Materials Documentation

The origin of all input materials, including manufacturer name if applicable, batch or lot number, and contact information has to be documented and furnished to the inspector during inspection.

### 68.3 Record Retention

All records for all batches of FairTSA certified handicrafts have to be retained at least five years. All records have to be made available for inspection.

## 69. Labeling and Input Materials

### 69.1. Labeling of Handicrafts

All FairTSA-certified products shall be labeled adequately and transparently. They may be labeled "FairTSA Certified or "100% FairTSA certified.

The FairTSA mark has to appear prominently on the package, in a size of not less than 10 mm in diameter, unless the size of the article does not allow this size. All

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printing drafts for packaging of FairTSA certified handicrafts have to be reviewed by FairTSA staff or by the PAC.

### **69.2. Input Materials Declaration**

All input materials have to be listed on the product label or accompanying hang tag.

## **70. FairTSA Handicrafts System Plan**

Each company applying for FairTSA certification of handicrafts has to submit a FairTSA Handicrafts System Plan. In this plan, input materials and their origin and the exact product composition have to be listed. Input materials that require evaluation by the PAC have to be marked as such.

## **71. Fees for Handicrafts**

### **71.1. Fair Trade Wage**

At least 0.5% of the wholesale price of the certified products has to be distributed to the workers of the operation in addition to the minimum wage, with the exception of executive or management positions.

### **71.2. The Social Premium**

The Social Premium shall consist of 1.0 % of the wholesale price of the product, which is directly payable to the manufacturer and has to be clearly marked as "FairTSA Social premium". The Community Development Service Fee (CDSF) will be determined on a cost-basis by FairTSA and paid by the licensee. It will be used by FairTSA for the development and training of the Community Development service and contracting with trained Community Development facilitators to the operations and their surrounding communities.

FairTSA will document all Community Development Projects paid for by the Social premium and supported by the CDSF on its web site.

All financial transactions regarding the Social Premium will be transparent and documented on the web site.

In case an operation has a Community Development Project or components of a Community Development Project in place, it may ask FairTSA's management for an "Evaluation of Equivalency". FairTSA's management will then initiate an evaluation against FairTSA's Community Development criteria and issue a re-

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port, which may determine full or partial equivalence. Depending on the degree of equivalence, FairTSA will decrease the amount of the Social premium accordingly.

### **71.3. The Licensing Fee**

The FairTSA Licensing Fee shall consist of 0.75% of the wholesale price of the product. The Licensing fee shall be paid on a quarterly basis and accompanied by a Sales Report of FairTSA certified handicrafts. The seller of certified FairTSA handicrafts has to provide FairTSA an annual report from a Certified Public Accountant confirming sales volume and licensing fee.

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## Fair Trade Sustainability Alliance Standard for Personal Care Products and Cosmetics Section (72 – 80)

### 72. Definitions

#### 72.1. Definition of Cosmetics

**Cosmetics** are defined as (1) substances and articles intended to be spread, rubbed, poured, sprinkled, sprayed on, introduced into, or otherwise applied to the human body or any part thereof for cleansing, beautifying, promoting attractiveness, or altering the appearance, and (2) articles intended for use as a component of any such articles; except that such term shall not include soap.<sup>2</sup>

#### 72.2. Definition of Personal Care Products

**Personal Care Products** are non-medicinal consumable products that are intended to be used in the topical care and grooming of body and hair and that are spread, rubbed, poured, sprinkled, or sprayed on, introduced into, or otherwise applied to a human body for cleansing, beautifying, promoting attractiveness or altering the appearance without affecting the body's structure or functions.<sup>3</sup> For the purpose of this standard, "Personal Care Products" include "Cosmetics".

### 73. Scope

This standard specifies and determines materials, substances, processes and production conditions that must be met for a cosmetic or personal care product to carry the "100% FairTSA certified, the "FairTSA certified", or the "made with FairTSA certified ingredients" label.

FairTSA has determined that the NSF/ANSI 305 standard, the Natrue standard, and the Cosmos standard are equivalent to the FairTSA requirements and products certified under these standards may be labeled with the FairTSA trademark without further consideration of the ingredients. Likewise, products labeled under one of the organic regulations of the USDA NOP or EEC 887/2007 may also

<sup>2</sup> Definitions from the Federal Food, Drug and Cosmetic Act, 21 U.S.C., Chapter II, Definitions.

<sup>3</sup> Definition from NSF Standard for Organic Personal Care Products, Issue 1, Draft 6, (January 2008).

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be labeled with the FairTSA trademark without further regard to the input materials and processes employed.

## 74. Production Requirements

### 74.1. Production According to Good Manufacturing Guidelines

All personal care products shall be produced by employing "Cosmetic Good Manufacturing Practice Guidelines" as published by the CFSAN/Office of Cosmetics and Colors February 12, 1997; and updated January 28, 2008. The guidelines constitute as Exhibit A an integral part of this standard and have to be followed unless the production conditions, labeling requirements, or requirements for allowed or prohibited substances are stricter in the FairTSA standard. In all such cases the FairTSA standard has preference and has to be followed.

### 74.2. Recommended and Discouraged Ingredients

Whenever possible, plant-based ingredients should be used. Mineral ingredients and inorganic salts are generally allowed unless specifically prohibited. Synthetic and petroleum-based ingredients such as petrolatum or Vaseline should be avoided whenever possible.

All ingredients for personal care products have to be listed in the FairTSA Personal care products System Plan (see section 5).

### 74.3. Permitted Synthetic Substances and Processes

**Table 2: Permitted Substances and Processes**

Substance	Process
<b>Enzymes, KOH or NaOH</b> from salt water	Hydrolyses, (splitting of fats or oil) to produce glycerin and fatty acids
<b>Hydrogen</b> (from natural gas)	Hydrogenation of oils
<b>Hydrogen</b> (from natural gas ) with <b>Methanol</b> from natural gas as catalyst	Hydrogenolysis of methyl esters of oils to obtain fatty alcohols
<b>KOH or NaOH</b> (from salt water)	Alkali-catalyzed transesterification of oils and alcohols to obtain esters
<b>KOH or NaOH</b> (from salt water)	Saponification of oils
<b>KOH or NaOH</b> (from salt water)	
<b>KOH or NaOH</b> from salt water as catalysts	Etherification of glycerin as emollient
<b>Metals: Zinc Oxide, Nickel, Palladium, Platinum</b>	Catalysation of triglyceride fats, carbohydrates and sugars for emollients in shampoos, lotions, etc
<b>Phosphorous Trichloride or Thionyl Chloride</b>	Protein fragment acylation (non-

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	petroleum); reagents: <b>KOH</b> or <b>NaOH</b> (from salt water)
<b>Sulfate</b> (made from gas and NaOH)	Sulfation
<b>Toluene Sulfonic Acid</b> (from Petroleum)	Glucosidation

## 74.4. Prohibited Substances

### 74.4.1. Ingredients

Any and all specific legislation for the production and sale of personal care products in the respective country where FairTSA certified personal care products are manufactured and/or sold are has to be observed. In addition, the compounds listed in table 3 and 4 are also prohibited.

**Table 3: Prohibited Ingredients**

<b>Common Name</b>	<b>Chemical Form Used in Personal Care Products</b>	<b>Remark</b>
Color pigments made from coal tar		
DEA, MEA, TEA	diethanolamine, monoethanolamine, and triethanolamine	
Dioxin		No traces of any form of the 17 chemical forms of Dioxin stemming from the inclusion of other products shall be detectable.
Hexachlorophen		
Mercury	All compounds	
Phtalate	Dibutylphthalate (DBP), dimethylphthalate (DMP), and diethylphthalate	Absolutely not permitted, even when no declaration necessary as part of a fragrance
Polyethylene Glycol		
Propylene Glycol		
Sodium Laureth Sulfate		
Sodium Lauryl Sulfate		
Triclosan		

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In case a product contains minor amounts of one ingredient listed in the table above, a temporary variance may be issued by the FairTSA management. The producer has the right to apply for a variance with FairTSA's management, which will issue a decision in the matter within six weeks.

#### **74.4.2. Preservatives**

If possible, natural and “gentle” preservatives should be used. If a company has made substantial and well-documented efforts to replace its synthetic preservatives with natural ones and has not found a reasonable natural or permitted replacement, FairTSA may issue a variance for that specific preservative.

None of the preservatives listed in Table 3, “Prohibited Preservatives”, are permitted.

**Table 4: Prohibited Preservatives**

<b>Common Name</b>	<b>Additional Information</b>	<b>Remark</b>
DMDM Hydantoin		
Formaldehyde	Also: all preservatives that can potentially release formaldehyde are prohibited, even if not listed	
Paraben	Esters of p-hydroxybenzoic acid, most common are methylparaben, propylparaben, and butylparaben	Absolutely not permitted, even when no declaration necessary as part of a fragrance.
Urea	Imidazolidinyl	

#### **74.5. Animal Testing**

Using animals in the testing of products certified under this standard is not allowed. Also animal body fluids or parts of animals such as spermaceti, mink or marmot oil, fats, collagen and fresh cells must not be used, with the exception of lanolin. Likewise, no animals must be used in the product development.

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## 75. Documentation and Record Retention

### 75.1. Master Process Documentation

All processes for the production of FairTSA-certified personal care products shall be documented, including the correct chemical description. Also, all equipment used in those processes shall be listed.

### 75.2. Batch or Lot Documentation

All batches or lots of personal care products shall be properly documented with the date, ingredients used and all necessary information to identify every batch properly.

### 75.3. Ingredient Documentation

The origin of all ingredients, including manufacturer name and contact info, batch or lot number, common name of ingredient or preservative and exact chemical description thereof has to be documented and furnished to the inspector during inspection.

### 75.4. Record Retention

All records for all batches of FairTSA certified personal care products have to be retained at least two years after the expiration date of the specific batch of personal care products and not less than 5 years total. All records have to be made available for inspection.

## 76. Labeling

All FairTSA-certified products shall be labeled adequately and transparently.

### 76.1. Labeling Categories

All computations for certification categories of FairTSA certified products have to be based on the weight content excluding added water. True floral waters are considered ingredients. Reconstituted concentrates can be accepted as ingredients if the reconstitution is based on a published and accepted standard in the industry,

#### 76.1.1. 100% FairTSA Certified

Personal care products with only 100% FairTSA certified ingredients may bear the "100% FairTSA certified" mark.

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### 76.1.2. FairTSA Certified

Personal care products with at least 90% FairTSA certified ingredients may carry the “FairTSA certified” mark. “FairTSA certified” personal care products must not include ingredients labeled “made with FairTSA certified ingredients”.

### 76.1.3. Made with FairTSA Certified Ingredients

Products labeled “Made with FairTSA *certified* Ingredients” have to contain at least 10% FairTSA certified ingredients, not including added water. If exclusively FairTSA certified products of a specific class are used in a product, and they do not constitute 10% of the total product, the product may nevertheless be labeled as “made with [specific class of product] FairTSA certified ingredients.

## 76.2. Ingredient Declaration

All ingredients have to appear on the ingredient label in the order of their percentage present in the product. INCI (International Nomenclature of Cosmetic Ingredients) declaration of ingredients is preferred.

## 76.3. Labeling of FairTSA Certified Products

FairTSA-certified products shall bear the appropriate FairTSA mark, either “100% FairTSA certified”, “FairTSA certified”, or “made with FairTSA *certified* ingredients”.

The FairTSA mark has to appear prominently on the package, in a size of not less than 10 mm in diameter, unless the size of the article does not allow this size. All printing drafts for packaging of FairTSA certified personal care products have to be reviewed by FairTSA staff or by a FairTSA-designated certifier.

## 77. FairTSA Personal Care Products System Plan

Each company applying for FairTSA certification of personal care products has to submit the FairTSA System Plan for Personal Care Products. In this plan, all ingredients and their origin and the exact product composition have to be listed. Ingredients that require evaluation by FairTSA have to be marked as such.

Furthermore, all equipment, processes and measures to prevent commingling with non-certified products have to be listed in the System Plan. Additional details are listed in the FairTSA System Plan for Personal Care Products.

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## 78. Licensing Fees for Personal Care Products

Licensing fees for personal care products are 0.75% of the actual wholesale price for the respective FairTSA-certified product. If a product certified as “made with [percentage] FairTSA ingredients, the calculation is based on the following formula: 0.4% base amount plus an additional amount based on the dry weight percentage, but not more than 0.75%

Example 1: Product A is “FairTSA-certified” and contains 95% of FairTSA ingredients per dry weight. The formula for calculating the dry weight is as follows: All other provisions in the standard for agricultural products apply for agricultural ingredients of the cosmetics.

## 79. Other Fair Trade and Social Responsibility Programs for Cosmetics

FairTSA will evaluate and determine the equivalency of other applicable standards for cosmetics and determine their equivalency if the need arises or if other standard holders request determination of equivalency.

## 80. Labor and Occupational Health and Safety Requirements

The processing facility for ingredients in the country of origin has to comply with all labor and occupational health and safety requirements as laid down in sections 36 – 45.

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## 81. GLOSSARY

**Agrochemicals:** In context of this standard, synthetic chemicals used in agriculture to destroy insects, fungi, bacteria, pests, and weeds such as pesticides, herbicides, and fungicides. Sometimes the meaning of “agrochemicals” includes synthetic fertilizers to regulate plant growth such as synthetic ammonia. If synthetic fertilizers are meant, they are specifically named.

**Community Development Service:** A service that FairTSA establishes in order to support operations and the communities around them.

**Community Development Service Fee:** A percentage added to the sales price to be paid to FairTSA for the purpose of facilitation and other support of Community Development Projects.

**Cooperative:** A group of farmers that produces and markets its products mostly as one entity and is legally incorporated.

**Document:** Information-containing media. The media may be paper, photos, samples, or electronic media such as optic or magnetic discs.

**Discrimination:** According to the International Labor Organization (ILO) a the definition is “Any distinction, exclusion, or preference based on race, color, gender, religion, political opinion, nationality or social origin that causes equality of opportunity or treatment in employment or work to be lifted or reduced.”

**Ecosystem:** A system of one or more biological communities and the physical media representing the habitats of the biological communities in a delineated area.

**Endangered Species:** A species of fauna or flora indicated as threatened or endangered in applicable local, regional or national laws or as indicated in the International Union for the Conservation of Nature's RED BOOK. (<http://www.iucnredlist.org>).

**Erosion:** The displacement of soil caused by the movement of water or wind.

**Farm:** An agricultural unit owned by an individual or a corporation.

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**GMO or Genetically Modified Organism:** In the context of this standard it is any living organism that possesses a combination of genetic materials from different species or different taxonomic families created by genetic engineering such as in vitro nucleic acid techniques, cell fusion etc.

**Non-organized Grower Group:** A group of farmers not legally organized that delivers one or more product to a **Key Development Partner**.

**Key Development Partner:** A processor or trader who buys from several or many independent small producers and assists in the organization and the set-up of the Community Development project for said small producers.

**Maximum Contaminant Level:** The maximum allowed level of a pesticide (or other pollutant) pursuant to the relevant law in a certain country.

**Minimum Price:** the lowest price determined by FairTSA's management for selected products that a buyer has to pay the producer. This price is published in the Product Registry for the specific product.

**Natural Water Body:** Any lake, pond, lagoon, river, stream, brook and other body of water that exists naturally.

**Non-compliance:** The established and properly documented fact of violation of this standard by a FairTSA certified entity.

**Protected Area:** Land or property under legal protection in order to conserve or protect biodiversity, endangered species or a combination of both.

**Operation:** A farm or a processing entity owned by an individual, a cooperation, a corporation or a non-organized grower group.

**Organic fertilizer:** A fertilizer from plant or animal material where the nutrients are bonded within the organic matter and some naturally occurring chemical breakdown must happen to release the plant nutrients.

**Product Registry or FairTSA Product Registry:** The Product Registry contains all additional requirements regarding the cultivation of certain agricultural products and the Minimum Price, if applicable.

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**Social Premium:** This is a surcharge that a buyer of FairTSA certified products pays to the Key Development Partner or other administrative entity in charge of the Community Development Project.

**Synthetic fertilizer:** A fertilizer produced by an industrial chemical process.

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