



FAIRWILD APPROVED CERTIFICATION BODIES

Standard Operational Procedures (SOP)

Version 5/2023

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Preface

The FairWild Standard Version 3.0¹ is owned by the FairWild Foundation (FWF) and applies to wild plant, fungi, lichen and algae collection operations and supply chain actors wishing to demonstrate their commitment to sustainable collection, appropriate resource management, social responsibility and fair trade principles by means of third-party-certification.

The FairWild Foundation introduced an approval programme for certifying bodies (CBs) in 2016, with the aim of expanding inspection and certification capacity globally, and of ensuring a credible certification process based on high quality audits, integrity and accountability. The focus of the approval programme is on ensuring that audits are carried out only by well-qualified and trained auditors contracted and supervised by accredited, FW-approved, certifying bodies. The list of approved CBs is available on the FW website.

This document² describes the approval requirements for Certification Bodies wishing to audit and certify according to the FW Standard. FW bases its assessment and approval of Certification Bodies exclusively on its private standard, not by requesting any separate assessment or accreditation by public authorities or other accreditation bodies.

¹ The FairWild Standard Version 3.0 has been published in November 2023 in draft format for public consultation and is anticipated to be effective from 1st January 2024.

² This document replaces those previously in effect, namely *FairWild Standard Operational Procedures: Audit and Certification (Version 4/2015)* and *Accreditation Program: Requirements for Certification Bodies Auditing the FairWild Standard (Version 4/2020)*.

1. APPROVAL PROCEDURES FOR FAIRWILD CERTIFICATION BODIES

1.1 Prerequisites for recognition

FairWild approved certification bodies (CBs) must be accredited according to the norms of ISO/IEC 17065:2012 “Conformity assessment — Requirements for bodies certifying products, processes and services” for the sector “Agricultural products of animal and vegetable origin, agro-food industry products of animal and vegetable origin”.

The listing of the FairWild Standard in the scope of accreditation according to ISO/IEC 17065 is not required.

Complementary to ISO/IEC 17065:2012, FWF has defined specific additional requirements to ensure that the FW certification programme is managed competently and in an impartial and transparent manner. These requirements are:

- FW-approved Certification Bodies must demonstrate a high level of technical and operational capacity in the field of sustainable management and collection of wild plants.
- Auditors and certifiers must have the required relevant skills and professional experience and be provided with the appropriate training on an ongoing basis.

The FW approval requirements are based on the following documents: ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards V2-0 and ISO/IEC 17021:2015 Conformity assessment – Requirements for bodies providing audit and verification of management systems.

1.2 Approval procedure

Certification Bodies who are interested in becoming approved by the FWF should follow the following procedure:

| Process | Action |
|---|---|
| 1. Application | The aspirant CB must submit the application form (Annex 5.1) to FWF together with the requested documents listed in point 2. |
| 2. Documents to be provided | <ul style="list-style-type: none"> ✓ ISO 17065:2012 certification with at least one organic or sustainable standard in the scope related to agricultural products. ✓ Legal entity registration ✓ CV of appointed FW scheme manager (SM) ✓ Residue policy and other relevant policies, conducts and ToRs affecting auditing and certification activities. <p>All documents must be provided in English and shall be sent to FWF, preferably by email, to business@fairwild.org.</p> |
| 3. First payment request | <p>Upon receipt of the application, FWF will request payment of the first 50% of the initial application fee.</p> <p>Application fees are listed in Annex 5.2. Payment is to be made within four weeks of request.</p> |
| 4. Review of the application | A full review of the application documents will be conducted by FWF. FWF will also confirm acceptability or otherwise of the proposed FW scheme manager. FWF will provide feedback based on the review to the CB within 4 weeks of receiving the application. |
| 5. Scheme Manager induction training | <p>FW will provide a one-day online induction training course, compulsory for the FW scheme manager of the applicant CB.</p> <p>The payment of the 50% application fee requested in point 3 must be received by FWF prior to delivery of the induction training.</p> <p>The SM induction training is included in the application fee.</p> |

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| 6. CB approval and contract | <p>Based on a positive application review and completion of the SM induction training course, FWF will approve the CB.</p> <p>FWF will send the approval decision to the CB within 1 week of conducting the SM induction training course, together with the contract (Annex 5.3), which will include confidentiality commitments.</p> <p>The FW-approved CB must complete and sign the contract. Upon receipt, FWF will update its webpage with the info of the approved CB.</p> <p>Starting from the date of signature of contract, the approved CB may conduct audits and issue certificates according to the FW standard, subject to auditor training having been successfully completed.</p> <p>All referenced FW documents and procedures will be applicable from contract signature date onwards.</p> |
| 7. Second payment request | <p>Upon approval, FWF will issue a request to the approved CB for payment of the remaining 50% of the initial application fee.</p> <p>Payment must be made within four weeks of request.</p> |
| 8. Auditor training course proposal and approval | <p>Successful completion of a two-day training course (Annex 5.6) organised by FWF is necessary for qualification as a FWF auditor.</p> <p>At least 2 personnel (including an auditor and the FW scheme manager) need to successfully complete the FW auditor training course, within 6 months of receiving the approval as FW-approved CB.</p> <p>Arrangements for delivery of the training course will be jointly agreed by FWF and the CB.</p> |
| 9. Audit review | <p>The approved CB should send each of their first three audit reports upon completion of their internal review, together with their draft certification decision, to FWF for a second-tier review. Audit reports and internal reviews need to be sent in English.</p> <p>FWF will provide the CB with the second-tier review, together with any comments or questions on critical points or interpretations, within 3 weeks of receiving the audit report and the result of the internal review.</p> <p>The CB may issue the certificate only after any clarifications or issues arising above, have been resolved.</p> |
| 10. Annual reporting | <p>The CB should send an annual report to the FWF by 31 March, using the template provided in Annex 5.4.</p> |
| 11. Suspension /revocation of approval | <p>FWF may, based on the outcome of its assessments, and also based on changes of the status of the ISO17065/2012 certificate held by the CB, suspend or revoke the approval of a FW-approved CB.</p> <p>The CB should inform FWF without any delay of suspension or revocation of the ISO 17065:2012 accreditation certificate.</p> <p>FWF, upon review of the information received, may decide to suspend/ revoke the approval of the FWF approved CB. In this case, FWF will inform the CB without any delay, of the decision.</p> <p>In the case of critical issues arising from any FWF assessment or supervision activities, FWF will promptly undertake a full assessment. Before a final decision, the assessment will be shared with the CB, who will be given an opportunity to address the concerns. Should the concerns not be addressed to the satisfaction of FWF within 30 days, a final decision to suspend or withdraw the approval of the CB may be made.</p> |

1.3 Costs

The costs for approval as FW CB are:

- For the initial application for CB approval – this covers the application review, contract, species risk classification, scheme manager induction training and FWF’s role in organizing the auditor training course. Delivery of the course and any subsequent additional training required are not included in this application fee and will be billed separately.
- For annual maintenance of the approval status (excluding the first year) – this covers the review of FW audit reports, feedback, clarification of any matters raised by the CB, etc.

For fee amounts see Annex 5.2.

The initial application fee will be charged in 2 instalments: 50% once the application documents have been received and initially reviewed for completeness, and 50% on completion of the approval procedure.

The annual fee to maintain the approval status is requested by FW in January of each year.

In case the CB fails to comply with the payment deadlines, after the second official reminder sent by FWF, FWF will impose suspension. FWF will lift the suspension once the payment has been finalized.

1.4 Reference Documents

The documents that have to be taken into consideration as reference for the approval, auditing and certification activity are the following:

FairWild Standard

- ✓ FairWild Standard, version 3.0 (Forthcoming – January 2024)
- ✓ FairWild Standard, version 3.0, Audit checklist (Forthcoming – January 2024)

Certification documents: wild collection operations

- ✓ Introduction to implementing FairWild certification
- ✓ Application form for risk analysis of species proposed for certification
- ✓ FairWild certification application procedures
- ✓ FairWild risk classification explanatory notes
- ✓ Management Plan Template

Trading

- ✓ FairWild Trading Rules (Version 2/2021, February 2021)
- ✓ Annex 1. FairWild Trader Registration Form
- ✓ Annex 2. FairWild License Agreement
- ✓ Annex 3. Annual FairWild Turnover Form
- ✓ Annex 4. Registration and License Fees

Labelling

- ✓ FairWild Labelling Rules (Version 4.2/2023, March 2023)
- ✓ FairWild Guidance: Using the FAIRWILD® word mark
- ✓ FAIRWILD® design mark
- ✓ Derogation Policy for the FairWild Labelling Rules (Version 1.1/2021)

CB Approval and Auditor Competence documents

- ✓ Documents as listed in the Annexes (Section 5)

Other guidance documents and information as maintained on the FairWild website (<https://www.fairwild.org/knowledge-hub-tools>) and available from the FairWild Secretariat on request.

2. RESOURCES AND REQUIREMENTS FOR CERTIFICATION BODIES

2.1 Personnel

Scheme Manager (SM): The FairWild scheme manager is a dedicated staff function within the FW-approved certification body. Tasks and responsibilities are laid down in the document 'FW scheme manager ToR' in Annex 5.8.

Auditors: The FW auditor criteria are based on six core principles: personal attributes, education, work experience, auditor training, audit experience and specific know-how on FW standards and principles. See document 'Auditor Qualification Criteria for the FairWild Standard' in Annex 5.8.

Staff for review and certification decision:

The CB must assign at least one person to review the audit report. That person must not have been involved in the audit but must have successfully completed the two-day FW auditor training course. The review must be duly documented.

The CB must assign at least one person to make the certification decision based on the audit report, the review of that report and any other relevant information. The certification decision cannot be made by a person that was involved in the audit.

The audit report review and the certification decision can be done by the same person (i.e scheme manager).

2.2 Approval procedure for FairWild auditors

This section describes the qualification requirements, responsibilities, and selection criteria for FW auditors of FW approved certification bodies (CBs). The competence of auditors, their continuing development and evaluation are critical elements in ensuring the quality and the credibility of the FW standard and certification.

FW-approved CBs must ensure that the auditors that carry out FW audits have the attributes and skills specified in Section 7 (“Competence and evaluation of auditors”) of ISO19011:2018. To this end, part of the content of the auditor training course offered by FWF focuses on Section 6 (“Conducting and audit”) of ISO 19011:2018. Auditors carrying out FW audits must be approved by FWF.

The following procedure applies to candidates wishing to be approved as FairWild auditor:

| Process | Action |
|-------------------------------|---|
| 1. Auditor application | The SM sends the CVs of candidate FW auditors to FWF for approval. The CV needs to be provided in English. |
| 2. FW auditor training | The candidate attends, and successfully passes, a two-day FW auditor training course provided by the FairWild Foundation (compulsory in the case of applicant CBs) or by the SM of the CB (for CBs approved for conducting FW auditor trainings). |
| 3. Final approval | Based on successful participation in the FW training course, the auditor will be approved by the FWF. In case of FWF training course provided directly by FWF, FWF will provide the test result and approval of the FW auditor and to the SM within 2 weeks after the training course. In case of FW training course provided by the CB, the SM will send to FWF the training records and test result. FWF will evaluate the request and send the approval of the auditor to the SM. FW keeps and updates a list of approved auditors. |

2.3 Confidentiality

The FW approved CB must sign an agreement with the FairWild Foundation to keep all information gained in the course of the audit and certification process strictly confidential.

All information gained in the process of audit and certification belongs to the respective operator and, where relevant, the mandator. For this reason, audit reports must be sent by the CB to both mandator and operator.

Information gained in the process of the audit and certification may only be passed on by the CB to third parties on the specific request of the operator/mandator. This does not apply to disclosure of information to FWF, which is bound to confidentiality in terms of the FW-CB contract.

In signing a contract for FWF certification, the collection operation and, where relevant, the mandator agree that the audit report with related documentation and the certification decision will be submitted to FWF for purpose of quality assurance, impact evaluation and to monitor and address challenging issues in the implementation of the FW Standard.

The following information is considered public information and may be disclosed by certification bodies or the FWF in publications (including its website) or on request: a list of all FairWild certified operations including their name, address, certified products / activities and certificate number and expiry date. In case the mandator and operator are different entities, the list will not disclose the name of the actual supplier of the product but only the name of the mandator, unless it is agreed by both parties that both may be named.

3. AUDIT AND CERTIFICATION PROCEDURES FOR WILD COLLECTION OPERATIONS

3.1 Application for certification

Certification according to the FW Standard is voluntary. A collection operation (or any other organisation active within the value chain) who wishes to become certified according to the Standard must fulfil the respective certification requirements and be audited and certified by an approved CB according to the procedures outlined in this document.

| Procedure | Action ³ |
|---|---|
| 1. Application | <p>The CB needs to receive the FW application from the collection operation/the mandator sufficiently in advance of the prospective audit date. The application should include a draft of the Management Plan, which must include, inter alia, the targeted species, the operation, the scope of the collection, the purchase centres, the owned and subcontracted processing units and activities. Where a processing activity is contracted out to another entity, the applicant is responsible for ensuring that all processes are managed in accordance with the FW standard.</p> <p>In cases where the operator and mandator are different entities, before accepting the application, it must be clarified who will receive the final audit report and certificate and whether the release of the report to third parties is approved.</p> <p>The CB will hold an initial meeting with the applicant on the feasibility and scheduling of the audit and, if necessary, to discuss any peculiar features of the collection operation and/or target species, and the and mandatory prerequisites for conducting the first audit (i.e. species risk classification).</p> |
| 2. Request for species risk classification | <p>It is obligatory for a species risk classification for the target species to be carried out by FWF, which is usually delivered in collaboration with the IUCN/SSC Medicinal Plant Specialist Group.</p> <p>The CB should ensure that FWF receives the request for risk classification at least 3 months before the proposed audit date.</p> <p>The applicant pays an application fee to FW to cover the cost of the species risk classification. Any literature available on the species (scientific publications, etc.) that is not easily accessible should be submitted together with the application.</p> <p>Risk classification/s of species added to the collection assortment subsequent to the initial application will be billed when the request to add the species is received.</p> <p>The results of the risk classification are sent by FW to the applicant and the selected CB.</p> |
| 3. Offer for certification | <p>The CB will provide the applicant with a quote for inspection and certification plus related documents for preparation of the audit:</p> <ul style="list-style-type: none"> - CB certification contract, - FW management plan template, - FairWild guidance manuals |

³ Application procedures contained in this document are also available as a summary document on the FairWild website.

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| | <p>Any further questions on the scope of activities are clarified between the CB and the operator. On the contract between the CB and the collection operation and/or mandator it has to be clearly stated that both agree to providing data to each other and allow access to documents to FWF.</p> <p>A fees table must be provided by the CB upon request.</p> |
| <p>4. Confirming the application</p> | <p>The applicant can accept or reject the quote. If it is accepted, the applicant signs the contract for inspection and certification and sends it to the CB, together with the completed Management Plan.</p> <p>By doing so, the applicant confirms that they will implement the FW Standard and will grant access to all premises, management staff, workers, the collection area/s, wild collectors, documentation, and any other information needed for inspection and certification.</p> <p>If the operator has previously been certified by another CB according to the FW Standard, the new CB will ask the previous CB for the operator folder, including inspection reports of the last 2 years, non-conformities, the certification decision and any follow-up actions. FWF can be asked to expedite this flow of information should the previous CB prove hesitant to provide it.</p> <p>On receipt of the signed contract, and the other necessary documents, the FW scheme manager does the necessary pre-audit checks as a desk review, to enable the collection operator to make any amendments required prior to beginning the audit.</p> <p>In particular, there should be a comprehensive review of the FW Management Plan. The reviewer should ensure that all necessary components are in place to ensure a smooth, effective and efficient audit. If, in the opinion of the reviewer, further preparation is required prior to audit, this must be communicated to the operator. The SM may also recommend to the applicant to request support from FWF in preparing for the audit.</p> <p>Once the review and the documents are complete, and the reviewer is confident that the organisation is well prepared for the audit, the FW scheme manager plans the FW audit, and keeps FWF informed.</p> |
| <p>5. Procedures in case of re-certification</p> | <p>In case of any significant changes, such as additional species to be FW certified, the operator should timely inform the CB, and request FWF to provide additional species risk classifications as required. New species usually cannot be added to the FairWild certificate during the period of validity of a current certificate since an audit is required to verify that collection of that species is managed in accordance with the standard.</p> |

The CB has the right to refuse applicants for certification for the following reasons:

- Review of application documents reveals that collection practices may be damaging the target plant populations or habitats or that unfair and / or socially irresponsible practices are in place at the collection operation.
- The collection operation lacks sufficient management, administrative or logistical capacity to conform to the FW Standard requirements.

Should the CB refuse an application for certification, the reasons for doing so will be supplied to FWF before finalising the refusal.

3.2 Audit planning

Upon approval of the application, the CB sets the date of audit, defines the audit plan and informs FWF accordingly.

The CB appoints an approved FW auditor, who will receive all relevant information and documents for audit preparation.

The audit shall take place when the certified activities (collection, processing) are taking place, taking into consideration also the species risk classification and the availability of the auditor. If multiple plant

parts are harvested at different times or different species are harvested during the year, the CB should plan the audit timing to cover the different harvested plants/plant parts over different auditing years.

The duration of the audit is determined individually for each certification applicant, based on time needed to visit and inspect the collection areas, the processing and storage facilities (including, where necessary the collectors' homes or villages), worker and collector interviews, review of documents and balance and traceability exercises.

The audit date shall be announced to the operator at least 30 days in advance, and the overall audit schedule agreed to.

The CB shall provide the operator with a list of documents that need to be available at the audit at least 14 days prior to the audit date.

FW has the right to accompany audits for quality assurance and training purposes. Additional costs associated with an accompanied audit are borne by FWF.

The audit plan and the estimated time needed for the audit are based on the following:

| Procedure | Action |
|----------------------------------|--|
| Visit of collection areas | <p>If a collection operation has several, distinctly different collection areas (different flora and fauna, different target species, areas are geographically far apart and/or have different approaches to organisation of collection) within the scope of the FW certification, all collection areas must be inspected on-site, at least for the first audit.</p> <p>In the case of several neighbouring, similar collection areas (similar flora and fauna, same target species, areas are geographically close and/or have the same approach to organisation of collection), in following years a sample of the areas can be inspected, with at least 1/3 of the total number of collection areas being inspected each year. This means that all areas will be inspected in a six-year cycle, based on alternating on-site and remote audits.</p> |
| Collectors' interviews | <p>During the inspection of each collection area, collectors shall be interviewed. As a general guidance, the number to be interviewed shall be approximately equal to the square root of the total number of collectors per individual collection area, with a minimum of 5 interviews. Group interviews may be carried out as well as individual interviews; the minimum number of individual interviews is five, unless there are fewer collectors than that.</p> |
| Visit of processing units | <p>During an on-site audit, all processing units must be inspected. This includes any communal pre-processing/storage units and purchasing centres in the actual collection areas as well as the main centralised facility where product is handled. During these inspections workers will be interviewed. In the case that processing units are subcontracted, they need also to be inspected.</p> |
| Workers' interviews | <p>Workers' interviews are a key source of information to confirm / cross check information obtained from management and to collect information on social aspects, especially delicate issues such as discrimination and sexual harassment.</p> <p>The number of workers interviewed shall be approximately equal to the square root of the total number of workers in the facility, with a minimum of 5 interviews. Group and individual interviews must be carried out. For small companies (< 100 workers), the minimum number of individual interviews is five (unless there are fewer workers than that). For large companies (> 100 workers), 50% of the interviews should be individual ones.</p> <p>The interviews should include both permanent and temporary workers should there be both types. Interviews should include both male and female workers, in approximate proportion to their representation in the workforce.</p> |

3.3 Conducting the FairWild audit

3.3.1 General guidelines

FairWild audits need to take place once per calendar year.

The first audit is always a full on-site audit.

In following years, on-site audits may be alternated with remote audits if deemed feasible by the CB.

Remote audits can be carried out also in case of force majeure. In that case, the CB needs to timeously inform FWF.

In addition to the regular audit schedule, FW approved CBs may at any time conduct unannounced spot checks or additional audits, based on the CB's risk assessment procedure.

Audit findings are listed in the audit report and annexes to the report. FW provides an audit checklist that forms the basis for the report.

The auditor needs to provide sufficient evidence in the report for his/her assessment of compliance/non-compliance so that an informed certification decision can be taken by the CB.

Remote audits:

A remote audit is in principle the same as an on-site audit but using electronic means to remotely obtain the audit evidence needed to evaluate compliance with the FW Standard requirements.

The main means of obtaining evidence include (but are not limited to):

- sharing files via email, Google drive, Clouds, etc. (desk audit)
- sharing documents by desktop screen (on-time)
- video conferences using Skype, Microsoft Team, Zoom, etc.
- interviews by phone, WhatsApp, Skype, Zoom etc.
- live video / surveillance videos

Elements that might present particular difficulties in a remote audit involve the manufacturing processes, product storage and, of course, visits to fields and collection areas and interviews with workers and collectors. In these cases, remote audits can employ live video, video conferences, phone calls, WhatsApp, etc. to gather the necessary evidence.

The especially challenging elements of the remote audit (those for which it is very difficult or impossible to gather sufficient evidence with the means at hand) must be identified and will receive special attention at the on-site audit.

When scheduling a remote audit, the SM and auditor/s need to assess how to ensure the effectiveness of the audit. Such assessment should include, but not be limited to, consideration of the following elements:

- Availability of the necessary infrastructure to support the online tools to be used (e.g., video communication system, internet access, bandwidth).
- Systematic implementation of the management system of the operator so that records, data, etc. can be reviewed at any site, regardless of where the work is being performed.
- Complexity of the site (e.g., number of collected species and collection sites).
- Familiarity of the auditor with the management system, practices and facilities of the operation
- Risk assessment of the target species.
- Previous performance of the operation, especially the number, severity and recurrence of non-conformities.

3.3.2 Audit process overview

| Procedure | Action |
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| Opening meeting | <p>Introduce the auditor/audit team and confirm that all audit findings are confidential in terms of the contracts between the collection operation, the CB, the FWF and - if applicable – the mandator.</p> <p>Ensure that management and other personnel understand the scope, agenda and timeline of the audit and specify any particular requirements for the audit.</p> <p>Request outstanding information and documentation needed for the audit.</p> |
| Management interviews and document reviews | <p>Conduct interviews with management and review relevant documents in order to gain a complete understanding of the structure and activities of the operation (particulars are listed below). Where necessary request the operator to update particular documents.</p> <p>The documentary reviews and topics for the management interviews should include:</p> <ul style="list-style-type: none"> • The FW Management Plan/s with all mandatory elements as specified in the FW management plan template, such as resource assessment and monitoring, collection area maps, collectors' list/s, collector training manual and training attendance records etc. • The product assortment list and overview of product flow, • Employment policies, Employment Manual or Employment Code of Conduct, • Staff files, employment contracts, • Documentation related to wages and benefits, wage slips, wage deductions, • Documentation of working hours and overtime, with special focus on periods of peak activity, • Grievances and grievance procedures, • Health & Safety - emergency procedures, H&S training, safety checks for dangerous machinery, accidents at work, • Verifying the fair-trading relationship (review sales invoices; sales/purchase contracts with specified FairWild Premium, • Acquiring information on the operation's relationship with FW buyers - this will be used to countercheck with the FairWild principles for buyers. <p>The information acquired during these interviews and document reviews must be cross-checked at the physical inspection of the collection areas, purchase centres and processing facilities and during the interviews with workers and collectors.</p> |
| Inspection of collection areas and collectors' interviews | <p>The following elements must be verified during the physical inspection of the collection area and interviews with the collection coordinators, purchase centre staff and collectors.</p> <ul style="list-style-type: none"> • That only registered, trained collectors collect for the certified collection operation. • That the collection areas are clearly defined and that the collectors know where they may collect. • That risk areas where collection may not take place are identified and that the collectors understand where these areas are. • That the prescribed methods of collection, post-collection treatment and processing and storage at the collectors' homes or purchase centres (the collection rules) are being followed and that the collectors, collection co-ordinators and purchase centre staff have been trained in, and understand these methods. • That the collection activity is not negatively impacting on the target species, other species and the habitat as a whole. |

| Procedure | Action |
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| | <ul style="list-style-type: none"> • That the methods for resource assessment and impact monitoring are feasible, effective and are being implemented. • That collectors understand the role that children may play in the collection activity. Establish what role children actually do play in the collection activity. • That the collectors have been trained in Health & Safety risks associated with the collection activity. • That purchase records identify the collector, date and amount and value of the product purchased. • That the collectors are paid timeously and in the local currency. In unavoidable cases where the collectors are paid in-kind (e.g. provisions, food, clothing, etc.) check that the collectors have agreed to this and that the in-kind payment amount is equitable with what would have been a cash payment. • Fair working conditions for staff in purchase centres - wages, working hours, discrimination, Health & Safety. <p>Collector interviews are key in verifying sustainable collection practices and fair relations to collectors.</p> <ul style="list-style-type: none"> • The collectors to be interviewed must be selected by the auditor, ensuring that the various collector groups (in respect of gender, age, experience, social rank, extent to which family members assist with the collection) are fairly represented. If more than one plant species is collected, but by different collectors, ensure that all the species are covered in the interviews. • Information obtained at the interviews is confidential and the interviewee's identity may not be revealed to management. Collection company management or staff may not be present at the interview, unless by request of the interviewees. • The auditor must seek to create an atmosphere of trust. Put the interviewee at ease by making eye contact with, and sit at the same level as, the collector. Explain the purpose of the interview –stress that the auditor has no power over the interviewee, is not judging the worth or behaviour of the collector but simply trying to understand whether he/she understands and abides by their training. Confirm that any information supplied by the collector is confidential and that there will be no retaliation/ reprisal for participating in the interview. Should notes be taken during the interview, explain that what is being written is for the auditor's information only. • The following should be addressed in the collector interviews: <ul style="list-style-type: none"> ○ That the collector understands and abides by the collection rules – the area that may be collected in, the frequency, intensity and methods of collection, volumes that may be collected. The findings need to be verified when inspecting the collection area and reviewing the collection records. ○ That the collector has an adequate awareness of issues regarding sustainability of the target species, other species and the habitat as a whole. In the case of experienced collectors, ask whether he/she has noted changes in the target species population or the collection area as a whole. ○ That the collector carries out any post-harvest processing (e.g. cutting, drying, cleaning) and storage according to the collection rules. The findings need to be verified by an inspection of the post-harvest processing sites and facilities where the product is stored prior to selling to the collection operation. ○ The role of family members in the collection/processing activity. ○ What are the safety risks associated with the collection activity - has the collector received training in precautions to reduce those risks? ○ The position regarding payment for the collected product. What role did the collector or his/her representative play in establishing the purchase price? How long does it take for a collector to collect (include commuting to and from the collection area) and process a given quantity of product? How much is he/she paid for that quantity? |

| Procedure | Action |
|---|---|
| | <ul style="list-style-type: none"> ○ The collector-collection operation relationship. Is there regular communication between the two? Is there a representative body acting as an interface between collectors and collector operation? ○ Is the collector paid timeously and in the local currency? If paid in kind, did the collector have a say as the nature of the in-kind payment (e.g. what goods he/she received in lieu of a payment in currency)? ○ The collector's understanding of the FairWild premium. Has the collector benefitted from the Premium and, if so, how? |
| Inspection of processing & storage units and workers' interviews | <p>All actors in the supply chain in the country of origin of the wild collection within the scope of certificate should be audited. This includes processors, storage facilities, and all other facilities through which the wild-collected product physically passes. It may also include an export company located within the country of collection.</p> <p>The inspection of these facilities focusses on employment practices, workers' well-being and product traceability. The following elements must be verified:</p> <ul style="list-style-type: none"> • That product receiving, processing, storage and sales documentation ensure traceability of product flow. That products are labelled in accordance with the FairWild requirements. That should the same product be handled in both FW and non-FW qualities, there is sufficient separation to ensure that the two are not comingled. • That sufficient procedures and precautions (specified in the worker training) are in place to ensure a safe work environment, including: <ul style="list-style-type: none"> ○ Emergency procedures, fire-fighting equipment, first aid kits, first aid personnel. ○ Protection of workers (personal protection equipment like ear plugs, gloves, steel-capped shoes, protective clothing, eye protection). ○ Staff trainings and awareness of safety aspects. Accident records. ○ Training of workers carrying out particularly dangerous tasks (e.g use of toxic or corrosive chemicals, forklift driving, operating hazardous machinery). <p>Workers interviews are key in verifying fair working conditions.</p> <ul style="list-style-type: none"> • The auditor must choose what workers to interview. Interviews should cover the full range of types of workers (i.e. in the processing facility, purchase centre, warehouse/packhouse) and both genders; the numbers of male and female workers interviewed should reflect gender representation in the workforce. Ensure that particularly disadvantaged (e.g. migrant workers) or special-needs workers (e.g. pregnant or nursing women) are included in the interviews. Interviews must include at least one member of the workers representative body and/or a union representative. • All the workers in the unit/s must be considered for an interview - not only those that directly handle the FW-certified products. • Management or supervisory staff may not be present at the interviews. • The auditor must seek to create an atmosphere of trust. Put the interviewee at ease by making eye contact with, and sit at the same level as, the collector. Explain the purpose of the interview – stress that the auditor has no power over the interviewee, is not judging the worth or behaviour of the collector but simply trying to understand whether he/she understands and abides by their training. Confirm that any information supplied by the worker is confidential and that there will be no retaliation/ reprisal for participating in the interview. Should notes be taken during the interview, explain that what is being written is for the auditor's information only. • The following topics should be addressed in the worker interviews: working hours and overtime, discrimination, freedom of association, disciplinary practices, grievance procedures, workers representation and communication channels with management, Health & Safety, wages and benefits, understanding of the worker's understanding of the social aspects of FairWild, particularly the FairWild premium. Has the worker benefitted from the Premium and, if so, how? |

| Procedure | Action |
|--|--|
| <p>Finalising the on-site audit</p> | <p>The auditor documents the audit findings in the template FW audit report (checklist).</p> <p>The auditor assigns a score for each Control Point (CP) in the checklist:</p> <ul style="list-style-type: none"> 0 = Poor performance / not compliant 1 = Not fully compliant with the FairWild requirement but some measures in place towards compliance 2 = The norm for full compliance with the FairWild requirement. 3 = Excellent performance: higher than norm requirement for full compliance. M = Indicates a “MINIMUM REQUIREMENT”, i.e. this requirement must be fulfilled before certification can be granted. Some requirements only become MINIMUM in Years 2 or 3 of certification. <p>In the Summary Assessment document the rating is summarised to verify the operation’s total score and whether the achieved score meets the certification requirements. All necessary pre-conditions for certification or conditions for continued certification are listed. More details of how to handle the audit checklist list are made in the audit document on the instruction page.</p> <p><u>Closing Meeting:</u></p> <p>The closing meeting should be attended by the company’s representative responsible for FairWild certification compliance, manager/s with sufficient authority to make decisions regarding meeting compliance with FairWild requirements and, at the discretion of the company, any staff handling certified product. The wild collectors must be sufficiently represented (e.g. wild collection manager, chairman of the collectors’ representative body) at the closing meeting.</p> <p>The auditor may request additional documents or information at the closing meeting.</p> <p>The auditor presents the audit findings, explaining the non-compliances (score of 0 or 1) and reasons for awarding a 3 score.</p> <p>The operator proposes corrective actions that will be put in place to address the non-compliances. In exceptional cases where a corrective action cannot be supplied at the closing meeting (e.g. the action involves a significant financial outlay that needs to be authorized by management or the directorship, or a specialist needs to be consulted), the corrective action can be supplied after the closing meeting.</p> <p>Where important information has been gained from worker or collector interviews and revelation of that information is likely to prejudice the interviewee, the auditor may decide not to disclose that information at the closing meeting.</p> <p>The FW audit report must be signed by the auditor and by the operator at the closing meeting.</p> |

3.4 Review of audit findings and certification decision

3.4.1 Audit documents and review

Within two weeks of the audit, the auditor completes the audit report and sends it, with the documentation collected at the audit, to the CB.

The CB reviews the audit report, and verifies that all auditing and reporting requirements have been met and that documentation and other forms of evidence for the findings in the report have been provided. The review needs to be documented.

Where necessary in order to finalize the rating (score) for a particular CP the reviewer may request the auditor to supply additional information. The reviewer has the discretion to assign a rating or impose conditions/sanctions different from, or in addition to, those in the original audit report.

- If Minimum requirements are not fulfilled, a pre-condition is imposed. Certification can only be granted once the operation implements a corrective action to meet the pre-condition.
- Conditions for continued certification will be imposed for all performance indicators with rating of 0 or 1 (i.e. not compliant) and for all Minimum requirements which will become applicable in the coming year.

The reviewed report and accompanying documents are submitted to the person at the CB responsible for making a certification decision and for issuing the FairWild certificate.

In the case of the first three audits of a newly approved FW CB, the CB will send the reviewed audit report with the respective annexes to the FWF for a second-tier review, before issuing the FairWild certificate.

3.4.2 Certification decision

As a guideline for certification, an operator:

- must fulfil all applicable MINIMUM requirements (either reach 1 or 2 rating, whatever the MINIMUM level is in respective year) AND
- Reach the minimum number of applicable Total Norm. The Total Norm Points is the sum that would be reached if the operator fulfils the norm (rating 2) in every control point.

| Year of Certification | Minimum percentage of applicable TNP |
|-----------------------|--------------------------------------|
| 1 | 60% |
| 2 | 70% |
| 3 | 80% |
| 4 | 90% |
| From Year 5 onwards | 100% |

In case of complex or unclear findings, the final decision is made by a certification committee established by the CB, with clarifications sought from FairWild Foundation as necessary.

3.4.2.1 Certification decision – initial audit

Initial audit

Possible results of evaluation are:

- The collection operation fully complies with all requirements => the FW Certificate is issued.
- The collection operation complies with all Minimum requirements but there are some points that must be improved within a given timeline => the FW Certificate is issued, together with a request for corrective actions. Should knowledge and management of any of the proposed target species be deemed insufficient, that/those species will be excluded from the assortment of certified species.
- The collection operation does not yet comply with all Minimum requirements => the company receives a list of requirements where a corrective action is needed. A FW certificate will only be issued once appropriate corrective actions have been implemented.
- Evaluation results show that certification of the targeted plants is not at all possible => the company receives the results of the evaluation, but no certification is issued. FW may propose measures to be put in place to improve the potential for FW certification.

The wild collection operation and/or mandator receives a copy of the certification notification from the CB, together with the complete reviewed audit report, the summary assessment, and the FW certificate. All these documents, with updated versions of the management plans, are also sent to FWF. The certificate is valid for a minimum of one year and three months.

On receipt of the certificate, the certified operation may begin to trade ingredients as FW-certified. The certificate applies to all product collected during the harvest season in which the audit took place, unless otherwise specified by the CB.

Procedure in cases where certification cannot be granted

Where the wild collection operation does not comply with the minimum requirements of the FW Standard, a notification of non-compliance must be issued together with proposed measures to be put in place to improve the potential for FW certification. The operator must be informed of the right to submit an appeal against the certification decision following the appeal procedure of the CB.

The operator responds to the notification of non-compliance – either that the application for certification is withdrawn or a request for a follow-up audit once the necessary corrective actions have been implemented.

The CB must promptly inform FW about any decision to not grant a certificate, if the operator submitted an appeal and, if so, the result of the appeal procedure.

3.4.2.2 Certification decision – surveillance audit

Positive certification decision

If the annual surveillance audit demonstrates that the minimum requirements are fulfilled, the operator and/or mandator receives an updated certificate, the summary assessment and the reviewed audit report.

Procedures for suspension of the certificate

If the minimum certification requirements are no longer fulfilled, the operator and/or mandator is informed in a letter of non-conformity of the non-compliances and corrective measures needed to correct the non-compliances, including deadlines for receipt of the corrective measures. If conformity is not possible or the corrective measures are not in place within the prescribed, the operation will be notified of suspension of certification. Depending on the severity of the non-conformity, suspension of certification may be with immediate effect. The CB immediately informs FWF of the suspension so that the FW website can be updated accordingly.

The operator and/or mandator is informed in writing that he/she must inform all clients/customers/first buyers of the suspension of the certification and may no longer make any reference to FW certification on any product labels, PR media (e.g. website, advertising), invoices and delivery notes.

Suspended operations may submit proof of correction actions. The CB may, or may not, carry out an additional audit and decide (or not) to lift the suspension. If suspension is not re-instated within 12 months, the certification is withdrawn. The CB informs FWF of the withdrawal and the FW website will be updated accordingly.

Operations that have had their FW certification withdrawn need to undergo the complete application process should they still wish to be FW certified.

3.4.2.3 Voluntary certification surrender

The operator is free to voluntarily surrender certification by giving sufficient notice in writing to the CB, as specified in the certification contract.

The CB must immediately inform FWF of the surrender so that FW can update its webpage.

3.4.2.4 Exceptional suspension/withdrawal of certificate

The CB may suspend or withdraw certification and the right of the operator to make claims to FW certification under any of the following conditions:

- Cancellation of the contract by the operator or the CB if there is evidence that cancellation is based on activities that are not in compliance with the standard.
- Refusal to receive an audit.

- Refusal to provide information.
- Attempted fraud or willingly submitting a false statement.
- Residues of unallowed substances.
- Evidence that FW certification is being misused to cover up unfair and / or antisocial practices.
- There is proof that the wild collection operation is not sustainable. In this case, certification will normally be suspended pending the next audit, after which certification may be re-instated or revoked.
- In the terms of the certification contract the operator is obliged to notify the CB of suspicion or proof of a non-compliance with the social criteria of the FW Standard that might jeopardize continued certification. In such a case the operator must describe the non-compliance and suggest a corrective action. Depending on the severity of the non-compliance and effectiveness of the corrective action the CB will decide whether certification can continue, be suspended for a period, or revoked.

In all the cases mentioned above the CB will provide the operator with appropriate notification and a timeline regarding the follow-up actions.

3.4.2.5 Appeals against suspension or revocation of certification

The Operator may appeal against suspensions and withdrawals of certification following the CB's appeal procedure. In case the appeal is rejected, the operator may request the FairWild Foundation for arbitration.

3.4.3 Notification of changes in the activity and scope of the FW certification

The operator must notify the CB of any substantial changes in the activity or scope of the certification by submitting an updated version of the management plan. Substantial changes include new collection sites, target species, products, processing facilities, contracted processors, changes in labour policies, etc. The changes need to be approved by the CB. If necessary, an updated certificate will be issued. In the case of substantial changes, the CB might decide to carry out an additional onsite audit. If new target species are proposed, they need to undergo a species risk classification, a resource assessment is obligatory and sustainability of collection must be confirmed at an onsite audit before they can be certified.

3.4.4 Grievance, complaints and appeals procedures

Whistleblower and grievance procedures for collectors, workers and external stakeholders

Workers, collectors and other stakeholders might make an allegation that casts doubt on compliance of the operator's FW certified activities. The allegation might be made to the auditor or directly to the CB. Following whistleblower policy best practice, care must be taken to ensure that the identity of the whistle blower is not revealed to the operator.

On receiving the allegation the CB must take appropriate measures to investigate the matter:

- Minor allegations - raised by only one whistleblower without substantive evidence found at the audit (or afterwards), not concerning minimum certification requirements or not regarded as implying a major non-compliance - are briefly investigated and then followed up at the next annual audit.
- Major allegations - raised by several whistleblowers, with substantive evidence gained at the audit (or afterwards), concerning minimum certification requirements or implying a major non-compliance – are immediately and fully investigated. All investigations and findings are documented and FWF is kept fully informed.

4. CERTIFICATION OF OPERATIONS IN THE VALUE CHAIN

The FairWild Trading Rules lay out the requirements for trading, processing and marketing of FairWild certified raw materials, semi-finished products and finished products in retail packages.

They are based on the general principle that FW certified products require physical traceability and separation of FW ingredients throughout the whole supply chain.

The FW Labelling Rules regulate the use of the FAIRWILD® word and design mark as well as other references to the FW quality of products.

The types of operators in the chain of custody for certified ingredients are outlined in the FairWild Trading Rules. Depending on their activities, one and the same legal entity might be a Certified Collection Operation and a Registered Processor and Trader or Licensee at the same time. Wild collection operations should review the Trading and Labelling Rules to determine their applicability.

All actors in the supply chain in the country of origin of the wild collection within the scope of certificate should be audited. This includes processors, storage facilities, and all other facilities through which the wild-collected product physically passes. It may also include an export company located within the country of collection.

| 5. LIST OF ANNEXES | |
|---------------------------|--|
| 5.1 | FairWild Application Form for CB approval |
| 5.2 | Fee Structure for CB approval |
| 5.3 | FairWild Foundation and Certification Body contract |
| 5.4 | FairWild Annual CB Summary Report Template |
| 5.5 | FairWild Certificate Template |
| 5.6 | FairWild Scheme Manager ToR |
| 5.7 | Scheme manager and Auditor Qualification Criteria |