Licensing

Data control SOP

Contents

1. General

The data control standard operating procedure covers data control issues within Fairtrade Lëtzebuerg .

2. Data protection

2.1. Legislation compliance

Fairtrade Lëtzebuerg complies with the General Data Protection Regulation (EU) 2016/679 (GDPR).

2.1.1. Accountability

Fairtrade Lëtzebuerg is responsible for the information under its control.

The Licensing Manager has responsibility for the protection of Licensing related data.

The Executive director is responsible for all Human Resources and Accounting related data.

The Quality Manager is the Privacy Officer for the purposes of the GDPR.

2.1.2. Purposes

Data is collected for the purposes of licensing, approving and for promoting Fairtrade products and Fairer Trade Relations in general and is not collected for other or improper purposes.

2.1.3. Collection

Data is collected by fair and lawful means. Only relevant data is collected, that is no more data will be collected than is necessary for the stated purposes.

2.1.4. Retention

Data will not be retained for longer than is necessary for the stated purposes though data will be retained to demonstrate historical trends in Fairtrade.

2.1.5. Use of Data

The publicly available Fairtrade Lëtzebuerg Confidentiality Policy outlines the use and disclosure of data.

2.1.6. Consent

The Licensing Contract obtains the Licensee's consent to collect and use data.

FLOCERT has obtained consent from organisations for the information from ECERT, its certification database, that it shares with Fairtrade Lëtzebuerg.

Where other organisations and individuals provide Fairtrade Lëtzebuerg with email, phone and address information unrequested then Fairtrade Lëtzebuerg considers consent has been given to collect this information.

2.1.7. Access

Licensees, organisations and individuals have a right to ask for access to data held on them.

2.1.8. Accuracy

Fairtrade Lëtzebuerg has measures to ensure that data is as accurate as is practically possible. The measures are outlined in this document as well as the Fairtrade Lëtzebuerg Quality Management SOP and the Fairtrade Lëtzebuerg Document Control SOP.

Licensees may contact the Licensing Manager to request a correction if they believe data is not accurate.

Other individuals may contact the Quality Manager to request a correction if they believe data is not accurate.

2.1.9. Safeguards

Personal information is protected through appropriate security safeguards against loss or theft, as well as unauthorized access, disclosure, copying, use, or modification.

2.1.10. Compliance

Licensees may lodge a complaint with the Privacy Officer if they believe that Fairtrade Lëtzebuerg is not compliant with the GDPR.

2.1.11. Openness

This Data Control SOP and the Confidentiality Policy are publically available documents.

2.2. Training

All staff are trained on data protection.

2.3. Former Employees

When a staff person, consultant or volunteer no longer works for Fairtrade Lëtzebuerg their logins to systems are disabled on their last day or as soon as access is no longer required.

- Connect
- CRM
- ECERT

An employee leaving checklist must be completed and signed off.

3. Data ownership

3.1. Connect

All data in Connect where Fairtrade Lëtzebuerg is the Home NFO is owned by Fairtrade Lëtzebuerg.

This data is generally confidential and may only be shared as set out in the Fairtrade Lëtzebuerg Confidentiality Policy.

3.2. Constituent Relationship Management (CRM) system

All data in Salesforce where Fairtrade Lëtzebuerg is the NFO is owned by Fairtrade Lëtzebuerg.

This data is generally confidential and may only be shared as set out in the Fairtrade Lëtzebuerg Confidentiality Policy.

4. Data quality checks

The Licensing personnel is responsible to ensure that the following data quality checks are performed. This activity may be delegated but overall responsibility remains with Licensing Manager.

4.1. Connect product quality check

4.1.1. Product validation status

At least once every two weeks the Licensing personnel checks the Validation Status of finished and intermediate products.

The percentages of products, recipes and artworks Approved / Declined / Incomplete / In Review are reviewed. Any anomalous changes, such as unexpected increases in the number of records declined, incomplete or in review, are investigated and resolved or the explanation recorded.

All products that are currently being sold with a Fairtrade Mark should be up to date in Connect or if applicable have their "Legal Status" as approved. Where this is not the case the Licensing Manager will develop a long-term plan to have all currently sold products as approved. This plan is approved and monitored by the Executive Director.

4.1.2. Ingredient validation status

At least once every two weeks the Licensing personnel checks the Validation Status of ingredients.

The percentages of ingredients, recipes and artworks Approved / Declined / Incomplete / In Review are reviewed. Any anomalous changes, such as unexpected

increases in the number of records declined, incomplete or in review, are investigated and resolved or the explanation recorded.

4.1.3. Monthly check

Once a month the Licensing Manager checks:

- there are no expired exceptions:
  - Ingredients
  - Artwork
  - Fairtrade content percentage
- there are no records in review or declined without explanation
  - products
  - artworks packaging
  - ingredients
  - sales reports
- on sample basis review incomplete records to ensure there are no unexpected incomplete records

Any anomalous data are investigated and resolved with the explanation recorded.

4.1.4. Connect reporting quarterly check

Each quarter before quarterly sales reports are created the following are checked in Connect.

- A Readiness Check is done for all licensees
  - Clear and obvious corrections are made by Licensing staff
  - Licensee is informed of any other errors
- The following Licensee Account fields are checked for risk accounts.
  - Account
    - Role(s)
  - User Settings
    - Logins for Licensee staff known to have left or who are no longer working on Connect are disabled.
  - Licensing Contracts
    - Administration Fees
      - Minimum fee / Service Fee
      - Renewal Cycle
    - License Fee & Reporting
      - Reporting currency,
      - Invoicing currency,
      - Discount scheme,
      - Mass reporting units,
      - Volume reporting units,
  - Confidentiality Settings
    - All confidentiality settings that are not at the highest level are confirmed.

Risk accounts are:

- new licensees last quarter

- Top 10 licensees by licensee fee
- Cotton, Gold, and FSI Licensees
- Licensees with delegated responsibilities
- Licensees who had a problem in their last report
  - (e.g. license fee calculated wrong, product list incorrect, units wrong etc.)
- Licensees who had change in reporting method or format since last report
- 25% of the remaining licensees so that all licensees are checked over the course of a year

4.2.   CRM quality check

Once a month the Licensing Manager or delegate records:

- Current number of Licensees
- Number of new Licensees since last check
- Number of delicensings since last check
- The current number of Licensees is consistent with the number of licensees at the last check plus the number of new Licensees less the number delicensed.

Once a month the Licensing Manager or delegate checks:

- There are no operators with a Licensee status that should not be Licensed.
- There are no operators with a De-Licensed status that should be Licensed.
- Licensee and Trader start dates are plausible.
- Licensee and Trader "Industry" and "Product" are an accurate reflection of their operations.
- All Pure Licensees have Fairtrade Lëtzebuerg as their "Certifier".
- All certified licensees and traders should have FLOCERT as their certifier.
- All operators have a primary language
- All certified operators have a primary contact
- Licensees and Traders have the correct country location.

4.3.   Database cross check

Once a quarter the list of Licensees, Pure Licensees and Pure Traders is checked and compared across the following databases

- Connect
- CRM
- ECERT
- Fairtrade Finder (Fairtrade International)

Possible discrepancies are :

- Certification status of an operator (certified and not certified)
- Licensing status of an operator (licensed and not licensed)
- FLO ID

Where there is a discrepancy in the certification status or FLO ID, then CRM will be updated. Connect obtains the certification status and operators FLO ID from ECERT, if necessary, a support ticket is logged with Connect. If Fairtrade Lëtzebuerg suspects that the certification status in ECERT is incorrect then FLOCERT is informed.

Where there is a discrepancy in the licensing status, the licensee's records are checked to confirm that the licensing status in CRM is correct. Once that is done ECERT is informed of the correct licensing status and Connect is updated as necessary.

Where there are any errors in the Fairtrade Finder, ICC support is informed.

4.4. Data quality improvement

The Licensing Manager reviews errors found in data and develops data quality improvement methods. These measures should seek to eliminate the root cause of the errors.

5. Data protection measures

All Fairtrade Lëtzebuerg electronic documents are stored on the Fairtrade Lëtzebuerg file server. No data is permanently stored on any personal computer or other device. Copies of data may be temporarily stored on a company computer for the purposes of a meeting or a presentation off site, however that information must be deleted once it is no longer needed for the meeting or presentation. Sensitive personal information may never be copied from the file server even temporarily.

5.1. CRM

All user logins have username and password protection.

Other CRM data protection measures are handled by Salesforce.com Inc.

5.2. Connect

All staff and user logins have username and password protection.

Connect data protection measures are handled centrally by the ICC Support Team at Fairtrade Belgium, a National Fairtrade Organisation and Licensing Body of Fairtrade International who are subject to the General Data Protection Regulation (EU).

5.3. Fairtrade Lëtzebuerg Fileserver

Fairtrade Lëtzebuerg personal computers have access to the fileserver and have user name and password protection and virus protection software.

Fairtrade Lëtzebuerg has a 3-tier authentication system to remotely access the server. Each VPN connection to the server is secured by a username and password as well as an SSL certificate. Then access to the server also requires a second different

username and password. Other than VPN traffic nothing else is allowed into the Fairtrade Lëtzebuerg network.

The Fairtrade Lëtzebuerg servers and firewalls are regularly updated.

The server has a daily incremental backup and a weekly full back up that is stored locally. Backup functioning is tested once a year by restoring a set of test files and also more regularly when recovering deleted items for staff.

5.4. Fairtrade Lëtzebuerg employee information

Only the Administration Manager and the Executive Director have access to Fairtrade Lëtzebuerg Employee Information.

5.5. Email accounts

Remote access to email accounts are password protected.

5.6. Software no longer in use

Software that is no longer in use is removed from our systems.

6. Data breach measures

6.1. Reporting to privacy commissioner

Fairtrade Lëtzebuerg will notify the Privacy Commissioner of Luxembourg if we become aware of any breaches of security safeguards involving personal information that pose a real risk of significant harm to individuals.

Fairtrade Lëtzebuerg will assess the real risk of significant harm of the data breach. Factors taken into consideration are the sensitivity of the personal information involved in the breach and the probability that the personal information might be misused.

6.2. Records

Fairtrade Lëtzebuerg will keep records of all breaches of security safeguards for two years, whether these breaches were reported to the Privacy Commissioner of Luxembourg or not. The record includes:

- date or estimated date of the breach;
- general description of the circumstances of the breach;
- nature of information involved in the breach;
- whether or not the breach was reported to the Privacy Commissioner of Luxembourg /individuals were notified; and
- any other relevant specific details of the breach.

6.3. Informing individuals

Fairtrade will also inform individuals affected by such breaches if there is a real risk of significant harm to individuals. The notification will include the following information:

- a description of the circumstances of the breach;
- the day on which, or period during which, the breach occurred or, if neither is known, the approximate period;
- a description of the personal information that is the subject of the breach to the extent that the information is known;
- a description of the steps that the organization has taken to reduce the risk of harm that could result from the breach;
- a description of the steps that affected individuals could take to reduce the risk of harm that could result from the breach or to mitigate that harm; and
- contact information that the affected individual can use to obtain further information about the breach.

6.4. Informing law enforcement

7. Fairtrade Lëtzebuerg will notify law enforcement organisations of a data breach if law enforcement may be able to reduce the risk of harm that could result from the breach or mitigate the harm.