

Audit Preparation Checklist (for ASC Abalone Standard):
Purpose:

This document has been developed to serve farms to prepare for their **first** (initial) on-farm ASC audit. *This document is not applicable for surveillance and/or re-audits (!).*

If a farm does not have the needed documents/preparations available at the day(s) of the audit, this *may* lead to delays in the audit process & *may* lead to higher costs (e.g. auditors may need more time to process documents).

Reference:

Information in this document has been taken from the ASC Abalone Audit Manual (AM). All Appendixes in this document are referring to the ASC Abalone Standard Appendixes.

*This document **does not** replace the Audit Manual! In case text in the checklists differs from Audit Manual, the Audit Manual is leading.*

| Applicability | Reference in AM | Description | Timeframe | Check | Remarks |
|---------------|-----------------|---|-----------|-------|---------|
| All farms | 1.1.1 | a. Provide copies of applicable land and water use laws. | N/A | | |
| | | b. Provide original lease agreements, or copies, of land titles on file. | N/A | | |
| | | c. Provide records of inspections for compliance with national and local laws and regulations (only if such inspections are legally required in the country of operation). | N/A | | |
| | | d. Provide all necessary permits relating to land and water use as required by local and national authorities. | N/A | | |
| | | e. Provide a detailed map of the farm with at least 4 GPS coordinates to show that farm location does not conflict with national preservation areas. | N/A | | |
| All farms | 2.1.1 | Instruction to Clients for Indicator 2.1.1 - Presence of Species Listed as Threatened or Endangered on the IUCN Red List Determine whether IUCN red list species are present in the region as follows: - go to http://www.iucnredlist.org/ - follow to "other search options" - select "Taxonomy" and select "Animalia" and "Plantae" - indicate appropriate "Location", "Systems", "Habitat", - click on "run search" and record species listed and whether they are threatened by the farming activity. Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether a farm complies with indicator 2.1.1, species in the following IUCN categories may be excluded from further analyses: "Not evaluated", "Data Deficient", and "Least Concern". | | | |
| | | a. Perform above analysis. Record all IUCN red list species and farm-related threats. | N/A | | |
| | | b. Provide a map showing location of the farm (see Indicator 1.1.1e) relative to the known distribution of endangered species or critical habitats in the area. | N/A | | |
| | | c. If an IUCN Red List species is identified in region of the farm (including receiving and source waters), document how the farm takes appropriate precautions. If no IUCN Red List species is present this is N/A. | N/A | | |

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|---|-----------------|---|-----------|-------|---------|
| Sea-based Farms on Depositional Substrate | | <p>Classification of Seabed Type (applicable to Criteria 2.2. and 2.3.): Sea-based farms are required to perform a "tiered assessment" (see Appendix 1, Section 2) to assess benthic impacts of the culture activity. The first step is to classify each farm according to the type of seafloor that occurs beneath it. Seafloors, and thus farms, must be classified into one of two main types: Depositional, or Non-Depositional. In order to make this classification, all sea-based farms shall conduct an initial visual survey, using video or seabed imaging.</p> <p><u>Depositional / Soft Substrate</u> Criterion 2.2 applies only to sea-based farms on depositional substrate (i.e. sediment bottoms of sand or silt). Indicators 2.2.1, 2.2.2, 2.2.3, and 2.2.4 are evaluated while Indicator 2.3.1 is not evaluated. Farms must measure sulphide (S) concentrations in the sediment to determine compliance and subsequent monitoring frequency (see 2.2.1, 2.2.2). Direct measurement of S concentration may be replaced by an analysis of benthic community structure (see 2.2.3.). Farms must determine areas containing biogenic structures of importance to the functioning of the ecosystem (2.2.4).</p> <p><u>Non-Depositional / Hard Substrate</u> Criterion 2.3 applies only to sea-based farms on non-depositional substrate (i.e. hard or rocky bottoms). Indicator 2.3.1 is evaluated while Indicators 2.2.1, 2.2.2, 2.2.3, and 2.2.4 are not. The initial visual survey must allow for the comparison of control vs. impacted sites in terms of detrital accumulation and surface organisms.</p> <p>Note: The initial assessment shall be conducted within a 6 month period prior to the first audit. Sediment samples for the assessment of total "free" sulphides must be collected and analysed by a State or Nationally approved laboratory. Methods for the measurement of "free" sulphides in marine sediments is outlined in Appendix 2.</p> | | | |
| | 2.2.1 | <p>a. <u>If the farm site is a non-depositional area of hard substrates:</u> Provide monitoring via video or seabed imaging transects is conducted prior to the first audit.</p> <p>b. <u>If the farm site is a depositional area of soft substrate:</u> Provide an initial assessment of S concentration in sediments shall be conducted according to Appendix 1 & 2. Direct measurement of S concentration may be replaced by an analysis of benthic community structure in areas where this biotic approach is preferred by the client or is already mandated by a regulatory body [3] (see 2.2.3).</p> <p>The client shall present information detailing the sampling design used and results of the S assessment: - If S concentration is $\leq 1500 \mu\text{M}$, monitoring shall be conducted every five years (Proceed to 2.3.1). - If S concentration is $\geq 1500 \mu\text{M}$ and $< 3000 \mu\text{M}$, monitoring shall be conducted every year (Proceed to 2.3.1). - If S concentration is $\geq 3000 \mu\text{M}$ (Proceed to 2.2.2).</p> | N/A | | |
| Sea-based Farms on Depositional Substrate | 2.2.2 | <p><i>For sea-based farms on depositional substrate and not compliant with 2.2.1.</i></p> <p>a. If initial assessment of S concentration is $\geq 3000 \mu\text{M}$, the farm is not certifiable unless natural background S levels exceed $3000 \mu\text{M}$. Management response is required to reduce S levels.</p> <p>Natural background levels are derived from reference sites outside the farm (see Appendices 1 & 2 for the comparison to control sites). If S concentrations beneath the farm structures are not significantly higher ($p < 0.05$) than reference sites, monitoring shall be conducted every year (Proceed to 2.3.1).</p> | N/A | | |
| | | <p><i>For sea-based farms on depositional substrate that choose to replace direct measurement of S concentration with an analysis of benthic community structure.</i></p> <p>a. Provide direct measurement of S concentration may be replaced by an analysis of benthic community structure in areas where this biotic approach is preferred by the client or is already mandated by a regulatory body [3]. If S equivalency is $< 3000 \mu\text{M}$, proceed to 2.2.1. If S equivalency is $\geq 3000 \mu\text{M}$, proceed to 2.2.2.</p> | N/A | | |
| Footnote [3] | | Biotic indicator decision thresholds need to be assessed to ensure equivalency with the thresholds identified for total 'free' sulphides given in Requirement 2.2.1. There are several papers that have been published linking specific benthic sulphide levels to indices for benthic biodiversity. Please refer to the reference section for examples (e.g., Hargrave et. al. 2008). | | | |
| Sea-based Farms on Depositional Substrate | 2.2.4 | <p><i>For all sea-based farms on depositional substrate.</i></p> <p>a. Provide results from video or seabed imaging survey of the farm.</p> | N/A | | |
| | | <p>b. Provide summarized information about sensitive habitats in proximity to farming operations (e.g. using a map of habitat distribution) noting any areas where biogenic structures are located [4].</p> | N/A | | |
| Footnote [4] | | Areas containing biogenic structures that are not particularly adapted to sedimentation or organic enrichment (e.g., tubeworm mounds, bryozoan mounds, bivalve beds and reefs or sponge gardens that form a structure for other epifauna). | | | |

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|--|-----------------|---|---|-------|---------|
| Sea-based Farms on Hard or Rocky Substrate | 2.3.1 | <p>Instruction to Clients for Indicator 2.3.1 - Accumulation of Sediment Beneath Farm <i>For sea-based farms on non-depositional substrate (i.e. hard or rocky bottoms)</i></p> <p>All sea-based farms on non-depositional substrate (i.e. hard or rocky bottoms) will at least conduct an initial visual survey, using video or seabed imaging (outlined in the box "Classification of Seabed Type Criteria", Criteria 2.2.). If the initial visual survey indicates a hard or rocky substratum beneath the farm, then the client shall also include control areas in the visual survey for the comparison of detrital accumulation (see Appendix I for the design of a "CI" (Control-Impacted) type of sampling).</p> <p>Note: The initial assessment shall be conducted by the client within a 6 month period prior to the first audit. If the client is unable to conduct the initial assessment themselves, then an independent party should be contracted by the client.</p> | | | |
| | | a. Provide video or seabed imaging to the auditor. A "CI" (Control-Impacted) type of sampling design is required for the assessment of detrital accumulation and impact on surface organisms inhabiting the rocky substrate between control and impacted sites. | N/A | | |
| Land-based Farms | 2.4.1 | <p>Instruction to Clients for Indicator 2.4.1 and 2.4.2 - Monitoring Release of Total Ammonia Nitrogen and Total Suspended Solids Clients are required to provide quarterly measurements of total ammonia nitrogen and total suspended solids in effluents for ≥ 1 year before the 1st audit. For guidelines regarding procedures, calibration techniques, and instrument/reagent specifications used, refer to Appendices 3 and 4 for total ammonia nitrogen and total suspended solids, respectively.</p> | | | |
| | | a. Conduct at least 4 quarterly measurements of total ammonia nitrogen before first audit and document results. Samples shall be collected and analysed by a State or Nationally approved laboratory. Annual median concentration will be assessed against the standard of < 0.6 mg/L. | ≥ 4 quarterly measurements before first audit | | |
| | | b. Provide documentation regarding the procedures, calibration techniques, and instrument/reagent specifications used by the laboratory. These shall be in compliance with Table B of the California Ocean Plan and shall conform to the requirements of USA federal regulations (40 CFR PART 136) or equivalent national regulations. | N/A | | |
| Land-based Farms | 2.4.2 | <p><i>See instructions for Indicator 2.4.1.</i></p> | | | |
| | | a. Conduct at least 4 quarterly measurements of total suspended solids before first audit. Samples shall be collected by a State or Nationally approved laboratory. Annual median concentration will be assessed against the standard of <5 mg/L. | ≥ 4 quarterly measurements before first audit | | |
| | | b. Provide document on the procedures, calibration techniques, and instrument/reagent specifications used by the laboratory. These shall be in compliance with national regulations, or if none available, the requirements of CCME (Canadian Council of Ministers of the Environment, 2002). Canadian Water Quality Guidelines for the Protection of Aquatic Life: Total Particulate Matter 1999. Updated 2002, or equivalent national regulations. | N/A | | |
| Land-based Farms | 2.4.3 | a. Maintain records of all chemicals used on the farm that are discharged to effluent. Records include invoices, history of application (dates applied, quantities used, reason for use). | N/A | | |
| All farms | 2.5.1 | a. Provide a prevention and response plan describing how the farm deals with potential spills of chemical and hydrocarbon waste. | N/A | | |
| | | b. Maintain documentation regarding the training history of appropriate employees in the proper disposal of waste and in the prevention and management of chemical and hydrocarbon spills as described in the above plan (2.5.1.a). | N/A | | |
| | | c. Maintain documentation of equipment or structures that have come into contact with spilled chemicals and have been subsequently cleaned. | N/A | | |
| All farms | 2.6.1 | a. Provide a plan that details how the farm ensures proper disposal of all biological waste. | N/A | | |
| | | b. Maintain records to show how the farm disposes of dead abalone and other forms of biological waste. | N/A | | |
| All farms | 3.1.1 | a. Provide a written protocols that describe how the farm will follow best management practices to minimize escapes. | N/A | | |
| | | b. Maintain records of all escapes outside of the main culture area. For each escape incident, identify the date and location, probable cause, and actions taken by the farm to prevent similar escapes in the future. | N/A | | |
| | | c. For escape incidents, record actions taken by the farm to recover or destroy the escaped individuals. | N/A | | |
| | | d. Ensure that all containment structures (e.g. mesh at outlets) are properly maintained. | N/A | | |

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| All farms | 3.2.1 | <p>Instruction to Clients for Indicator 3.2.1 - Genetic management</p> <p>Clients must demonstrate that, in areas where the wild population is threatened or endangered (see Indicator 2.1.1), all seed must originate from native wild brood stock and not from selectively-bred animals. Clients are required to document the sources of all culture stock.</p> <p>Note: Where wild populations are not threatened and there is healthy local recruitment, genetic risk posed by selectively-bred animals is minimal and Requirement 3.2.1 need not be rigorously applied.</p> | | | |
| | | a. Maintain documentation showing the origin of culture stock with names, addresses, contact person(s) and delivery dates of each purchase. | N/A | | |
| All farms | 3.3.1 | <p>Instruction to Clients for Criteria 3.3 - Translocated Brood stock and Seed</p> <p>Quarantine: A principle requirement for all acquired brood stock and seed (farm to farm, 3.3.1; wild to farm, 3.3.2) is that they undergo a period of quarantine following translocation, for at least 8 weeks, in order to ensure that they are free of disease and parasites prior to being mixed with other farm animals. For wild to farm translocations (3.3.2) there is an additional requirement of cohabitation with farmed "sentinel" abalone during quarantine to prevent the introduction of disease to the farmed stock.</p> <p>Monitoring and identification of disease:</p> <p>Appendix 5 outlines the required protocol for identification, surveillance and response to diseases and mortality events. All farms are required to monitor the health of cultured abalone through regular inspection (Appendix 5. Section 3) in order to identify and react to disease or mortality events (Appendix 5. Section 5). All farms must be able to identify the key infectious diseases of concern for the abalone in their area. This requires both the training of staff in the identification of visible symptoms and the use of labs that are State or Nationally approved and have diagnostic procedures for detecting the presence or absence of these diseases (4.1.1, Appendix 5. Section 2).</p> <p>Maintenance of records:</p> <p>In addition to maintaining records as to the origin of the brood stock (3.2.1), clients must maintain detailed records of all translocations to the farm and within the farm to ensure that the requirements of quarantine have been met. In addition, all health inspection details shall be recorded. Documentation shall include:</p> <ol style="list-style-type: none"> 1) Origin of culture stock with names, addresses, contact person(s) and delivery dates of each purchase. 2) All translocations within the culture facility including dates of introduction and time spent in quarantine (minimum 8 weeks). 3) Record of staff training in the recognition and response to disease events. 4) Record of all mortality events and actions taken. | | | |
| | | a. Maintain records for origin of brood stock (see 3.2.1.a). | N/A | | |
| | | b. Maintain documentation of all translocations. | N/A | | |
| | | c. Maintain separate quarantine facilities in operable condition. | N/A | | |
| | | d. Maintain documentation of stock inspections and any actions taken regarding mortality events. | N/A | | |
| All farms | 3.3.2 | <p>Instruction to Clients for Indicators 3.3.2 - Wild to Farm Translocation of Brood stock and Seed</p> <p>See general "Instruction for Criteria 3.3." above. In addition to the general requirement of quarantine for all translocations, translocated wild abalone must go through cohabitation with farmed "sentinel" abalone during quarantine. Farms must ensure that sentinel abalone are clearly distinguishable from wild abalone (e.g. through marking) during the cohabitation.</p> | | | |
| | | a. Maintain documentation of all translocations including the additions of sentinels. | N/A | | |
| | | b. Maintain separate quarantine facilities in operable condition. | N/A | | |
| | | c. Maintain documentation of stock inspections and any actions taken regarding mortality events. | N/A | | |
| All Farms | 3.4.1 | a. If the farm works with the culture of non-native abalone species, permits must be obtained verifying compliance with ICES codes [10]. | N/A | | |
| Footnote [10] | | At a minimum, includes permits based on a credible risk or environmental assessment procedure and environmental management plan (e.g., ICES Code of Practice on the Introductions and Transfers of Marine Organisms) and certification to ICES requirements regarding parasites and pathogens. | | | |
| All Farms | 3.5.1 | a. Provide documentation from the supplier confirming that culture stock is not transgenic (see 3.2.1a). | N/A | | |
| | | b. Provide a declaration stating that the farm does not culture transgenic abalone. | N/A | | |

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| All farms | 4.1.1 | <p>Instruction to Clients for Indicator 4.1.1 - Evidence of compliance with a documented protocol for health surveillance and disease response</p> <p>Appendix 5 outlines the protocols required for identification, surveillance and response to diseases and mortality events. As detailed in the "Instruction to Clients for Criteria 3.3", Clients are required to maintain documentation of inspections and actions taken following mortality events. Farms must also demonstrate that staff have been trained in the identification of visible symptoms and subsequent actions required.</p> <p><u>Stock inspection</u> (from Appendix 5, Sections 3 & 5):</p> <ol style="list-style-type: none"> Every grow out unit is inspected at least once every 10 days to help ensure that any mortality event or abnormal behaviour of the abalone is quickly investigated. The frequency of stock inspection on an abalone farm varies with feed type, grow out unit design, weather and management strategies. In the case of a mortality event (as defined in Appendix 5 Section 5), or if abnormal behaviour is observed, then the details must be recorded (see log details below) and the procedures outlined in Appendix 5 Section 5 must be followed. A log shall be kept where details of each inspection are recorded. Information includes: <ul style="list-style-type: none"> - date of inspection - grow out unit number - abnormal behaviour - mortality (number of moribund abalone, cause of event, action taken, and conclusion) Each farm will compile over time records of grow out abalone mortality rates by year class and season. These will be used as a reference point in Appendix 5 Section 7 and will help the farm identify trends that could relate to diseases. | | | |
| | | a. Maintain documentation of stock inspections and any actions taken regarding mortality events. | N/A | | |
| | | b. Maintain documentation of staff training in the identification of visible symptoms of disease and appropriate actions to be taken. | N/A | | |
| All farms | 4.1.2 | a. Prepare procedure on disinfection of all equipment and clothing brought to the farm from other abalone farms or seafood processors. | N/A | | |
| | | b. Maintain record of all disinfections of equipment and clothing brought to the farm from other abalone farms or seafood processors. | N/A | | |
| All farms | 4.1.3 | a. Farms must show how they minimize access of birds and other animal vectors of disease (E.g., indoor grow out units, fencing, netting and deterrents). Maintain a list of all exclusion measures implemented on the farm. | N/A | | |
| All farms | 4.1.4 | a. Maintain records for all purchases of antibiotics (invoices). | N/A | | |
| | | b. Maintain a log of all health related events. For each event, record the type of treatment and duration. | N/A | | |
| | | c. Maintain a register all chemical and antibiotics treatments in the prior 12-month period. | ≥ 12 months before first audit | | |
| All farms | 4.1.5 | a. Maintain records of the origin of all seaweed used for abalone feed with names, addresses, and contact person(s) of each purchase. | N/A | | |
| All farms | 5.1.1 | a. If wild seaweed is used for abalone feed, provide a declaration from the supplier stating that the seaweed is from a regulated or recognized well-managed resource. | N/A | | |

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| All farms | 5.2.1 | Instruction to Clients for Indicator 5.2.1. - Calculation of Forage Fish Equivalency Ratio (FFER) In order to calculate the Forage Fish Equivalency ratio (FFER), follow the method in Appendix 6. 1. Calculate the Economic Feed Conversion Ratio (eFCR): the quantity of feed used to produce the quantity of fish harvested. $eFCR = \text{Feed, kg or mt} / \text{Net aquaculture production exclusive of mortalities, kg or mt (wet weight)}$ 2. Calculate the FFER for both fish meal (FFERm) and fish oil (FFERo) $FFERm = (\% \text{ fish meal in feed from forage fisheries}) \times (eFCR) / 22.2$ $FFERo = (\% \text{ fish oil in feed from forage fisheries}) \times (eFCR) / 5.0$ 3. Take the higher value between FFERm and FFERo $FFER = \text{maximum}(FFERm, FFERo)$ Notes: - Fish meal and fish oil that are produced from trimmings can be excluded from the calculation as long as the origin of the trimmings do not come from any species that are classified as Critically Endangered or Endangered in the IUCN Red List (The International Union for the Conservation of Nature and Natural Resources, reference can be found at http://www.iucnredlist.org). - The standard for FFER will be reduced to 0.8 effective October 15, 2013. | | | |
| | | a. Provide records of the total quantity of abalone produced (kg or mt wet weight) during the last ≥ 12 months prior to the audit. | ≥ 12 months before first audit | | |
| | | b. Provide records of the quantity and type of feeds used during the last ≥ 12 months prior to the audit. | ≥ 12 months before first audit | | |
| | | c. Provide records from feed suppliers stating the forage fish content (fish oil or meal, as a percentage) in each type of feed used. If farm produces their own feed records must be kept on forage fish content. | N/A | | |
| All farms | 5.2.2 | Instruction to Clients for Indicator 5.2.2 - Percentage of Certified Fish Meal and Fish Oil in Feed In order to ensure that the fish meal and fish oil components in feed original from sustainable fisheries, certified feed manufacturers should provide an authoritative signature of the ISEAL compliant certification scheme on their letterhead. Clients shall maintain these and any other documentation provided by the feed manufacturer in order for the auditor to assess compliance. <u>Note:</u> Regarding the language of the Standard that farms must be compliant "within five years of commercial availability in the farming region" - means being commercially available in the region (UN regions) by at least two independent suppliers and indicated in grey literature (date of becoming available). | | | |
| | | a. Maintain receipts for all feed purchases from the last ≥ 12 months prior to audit. | ≥ 12 months before first audit | | |
| | | b. Provide a declaration from each feed supplier stating that fish meal and fish oil components in feed originates from fisheries deemed sustainable by an ISEAL compliant certification scheme for sustainable forage fisheries. | N/A | | |
| All farms | 5.3.1 | a. Prepare a policy stating the farm's commitment to proper and responsible treatment of non-biological waste from production. It must explain how the farm's policy is consistent with best practice in the area of operation. | N/A | | |
| | | b. Provide a description of the most common production waste materials and how the farm ensures these waste materials are properly disposed of. Indicate which waste materials are recycled. | N/A | | |
| All farms | 5.4.1 | a. Maintain records (e.g. receipts) of fuel and electricity used by the farm. A minimum of 12 months of continuous records are required before the first audit. | ≥ 12 months before first audit | | |
| | | b. Compute the annual energy consumption for the last 12 months. Energy usage is itemized and summed in kilojoules. Conversions of energy components to kilojoules of energy can be found at: http://tonto.eia.doe.gov/energyexplained/index.cfm?page=about_energy_conversion_calculator . | ≥ 12 months before first audit | | |
| | | c. Using results from 5.4.1.b and the total weight (metric tons) of abalone produced over the last 12 months (calculated in 5.2.1.a.), determine the farm's energy consumption relative to production. | ≥ 12 months before first audit | | |
| | | d. Provide documents on any efforts made by the farm to improve energy efficiency. | N/A | | |
| All farms | 5.4.2 | a. Conduct an energy audit within the 12 months prior to first audit. An in-house audit is acceptable if no independent auditors are available nationally. | ≥ 12 months before first audit | | |

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| All farms | 5.4.3 | a. Maintain continuous records (e.g. receipts) of freshwater use on the farm. A minimum of 12 months of continuous records are required before the first audit. | ≥ 12 months before first audit | | |
| | | b. Calculate the total quantity of freshwater used on the farm on an annual basis. | ≥ 12 months before first audit | | |
| | | c. Provide documents on any attempts made to reduce the farm's water consumption. | N/A | | |
| All farms | 6.1.1 | a. Maintain free access to public resources. Provide map showing farm operations and property in relation to public areas and resources. | N/A | | |
| | | b. Minimize the use of lights and bright colored buoys in comparison to those required for navigational safety. | N/A | | |
| Sea-based Farms | 6.1.2 | a. Provide a copy of local navigational rules and regulations. Provide documents that staff have been appropriately informed and trained in compliance with local navigational rules and regulations. | N/A | | |
| | | b. Post a copy of local navigational rules and regulations on farm site. | N/A | | |
| All farms | 6.1.3 | a. Maintain a publicly available document that outlines the farm's external complaint response protocol, including a record of all past complaints and appropriate responses taken. | N/A | | |
| All farms | 7.1.1 | a. Maintain age records for employees. Minimum age of permanent workers is 15 or higher (per national legal minimum age). | N/A | | |
| | | b. Maintain a monitoring system for working hours and working conditions and light work by children System exists to monitor hours and conditions of young workers and light work by children. | N/A | | |
| | | c. Maintain that young workers from 15 to 18 years of age [as defined in footnote 15]: have no conflicts between work and schooling; do not spend more than 10 hours/day on transportation time, school and work; and do not perform hazardous work [as defined in footnote 16]. | N/A | | |
| | | d. Maintain that children under 15 perform only light work. Light work & school not to exceed 7 hours/day. | N/A | | |
| | | e. Perform equal treatment for children of migrant workers. | N/A | | |
| Footnote [15] | | A "young worker" is defined as any worker between the age of child, as defined above, and under the age of 18. | | | |
| Footnote [16] | | "Hazardous work" is defined as work that, by its nature or circumstances in which it is carried out, is likely to harm the health or safety of workers. | | | |
| All farms | 7.2.1 | a. Provide clearly contracts stated and understood by employees, no 'pay to work' schemes through labour contractors or training credit programs. | N/A | | |
| | | b. Allow employees to leave the workplace and manage their own time. | N/A | | |
| | | c. Maintain no withhold of employee's original identity papers. | N/A | | |
| | | d. Maintain no withhold of any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer. | N/A | | |
| | | e. Perform employees not obligated to stay in job to repay debt. | N/A | | |
| All farms | 7.3.1 | a. Written anti-discrimination policies in place, stating that the company does not engage/support in discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination. | N/A | | |
| | | b. Worker testimony supports that the company does not interfere with the rights of personnel to observe tenets or practices, or to meet needs related to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination. Records indicate objective mechanisms for employee reviews and the offering of promotion and training opportunities. | N/A | | |
| All farms | 7.4.1 | a. Provide documentation which is generated with regards to occupational health and safety violations. | N/A | | |
| | | b. Provide corrective action plans are implemented in response to accidents that have occurred. This should include: analysis of the root causes, address the root causes, remediate and prevent future accidents of similar nature. | N/A | | |

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| All farms | 7.4.2 | a. Maintain minimization of hazards/risks in the working environment, including documented systemic procedures and policies to prevent workplace hazards and their risks, shall exist and the information shall be available to employees. | N/A | | |
| | | b. Provide emergency response procedures shall exist and be known by employees. | N/A | | |
| | | c. Provide health and safety training for all employees is available, including training on potential hazards and risk minimization. | N/A | | |
| | | d. Maintain properly storage for potentially dangerous chemicals as is prescribed. | N/A | | |
| All farms | 7.4.3 | a. Provide documentation maintained by management confirms that all personnel are provided sufficient insurance to cover costs related to occupational accidents or injuries. Equal insurance coverage must include temporary, migrant or foreign workers. | N/A | | |
| All farms | 7.5.1 | a. Provide policies to ensure the principle of equal pay for equal work. | N/A | | |
| | | b. Maintain that employers ensure wages paid for a standard working week (no more than 48 hours) always meet, at least, legal/industry minimum standards. | N/A | | |
| | | c. Provide a labour conflict resolution policy in place to track conflicts and complaints raised, and responses to conflicts and complaints. | N/A | | |
| | | d. Maintain that the ratio of lowest wage rate to basic needs wage always exceeds 100%. | N/A | | |
| All farms | 7.6.1 | a. Maintain that workers have the freedom to form and join any trade union, free of any form of interference from employers or competing organizations set up or backed by the employer. The ILO specifically prohibits "acts which are designed to promote the establishment of worker organizations or to support worker organizations under the control of employers or employers' organizations". | N/A | | |
| | | b. Confirmation of no outstanding cases against the employer for violations of employees' freedom of association and collective bargaining rights by the local trade union, or where none exists a reputable civil-society organization. | N/A | | |
| | | c. Perform access for the trade union representatives to their members in the workplace at reasonable times on the premises. | N/A | | |
| | | d. Perform explicit communications from the employer about their commitment to freedom of association and collective bargaining rights of all. | N/A | | |
| | | e. If trade unions exist, they are able to access/inform all workers directly (posters, pamphlets, visits). | N/A | | |
| All farms | 7.7.1 | a. Maintain that there is never any use of or support for (e.g. subcontractors using) corporal punishment, mental or physical coercion, or verbal abuse. | N/A | | |
| | | b. Maintain that fines or wage deductions shall not be acceptable as a method for disciplining workers (indicated by policy statements, as well as evidence from worker testimony). | N/A | | |
| | | c. Provide procedures for situations in which disciplinary action is required, and they establish the use of progressive verbal and written warnings. Aim should always be to improve the worker before letting him/her go. (Indicated by policy statements as well as evidence from worker testimony). | N/A | | |
| All farms | 7.8.1 | a. Perform no deductions in pay for disciplinary actions. | N/A | | |
| | | b. Perform that wages and benefits are clearly articulated to employees and rendered to employees in a convenient manner; e.g. no need to travel to collect benefits, no promissory notes, coupons or merchandise; payment in cash or check. | N/A | | |
| | | c. Labour-only contracting or false apprenticeship schemes are not accepted, including: revolving/consecutive labour contracts used to deny benefit accrual. | N/A | | |
| | | d. Perform a clear, transparent mechanism for wage setting to employees. | N/A | | |
| | | e. Comply with applicable laws and industry standards related to working hours. "Normal workweek" can be defined by law but shall not on a regular basis (constantly or majority of the time) exceed 48 hours. Only if allowed by law, variations (to the 48-hour regular work week) based on seasonality may apply. | N/A | | |
| | | f. Maintain that all overtime shall be paid at a premium and should not exceed 12 hours per week. | N/A | | |
| | | g. Maintain that overtime work shall always be voluntary. | N/A | | |