

Audit Preparation Checklist (for ASC Tilapia 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 Tilapia Audit Manual (AM). The Audit References can be found in the AM. All Appendixes in this document are referring to the ASC Tilapia 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, Farm-Wide	1.1.1	a. Maintain copies of applicable land and water use laws.	N/A		
		b. Maintain original lease agreements or land titles on file.	N/A		
		c. Keep 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. Obtain permits and maps showing that farm does not conflict with national preservation areas.	N/A		
	1.1.2	a. Keep records of tax payments.	N/A		
		b. Maintain copies of tax laws for jurisdiction(s) where company operates.	N/A		
		c. Register with national or local authorities as an "aquaculture activity".	N/A		
	1.1.3	a. Maintain copies of national labor codes and laws applicable to farm.	N/A		
		b. Keep records of farm inspections for compliance with national labor laws and codes (only if such inspections are legally required in the country of operation).	N/A		
	1.1.4	a. Obtain permits for water quality impacts where applicable.	N/A		
		b. Comply with all discharge laws or regulations.	N/A		
		c. Maintain records of monitoring and compliance with discharge laws and regulations as required.	N/A		
All Farms, Farm-Wide	2.1.1	a. Complete the Receiving Water Information Checklist in Audit Reference 2 (Table 1 in Appendix 1 of the Tilapia Standard).	N/A		
		b. Submit checklist and attachments to CB before the on-site audit.	N/A		
All farm locations outside Africa (see 2.2.2), Farm-Wide	2.2.1	a. Collect documentary evidence that cultured species was established in receiving waters on or before 1 January 2008, or Collect first hand accounts showing evidence for natural reproduction of tilapia species in receiving waters on or before 1 January 2008. Submit evidence with checklist (Audit Reference 2).	N/A		
		b. If system does not have receiving waters according as defined in this requirement [2] then the requirements of Indicator 2.2.1 are not applicable.	N/A		
		c. Show that there is a mechanism for treating effluent to eradicate/eliminate macro-biological organisms such as fish, if water is discharged into municipal water systems.	N/A		
Footnote [2]		"Receiving water" is defined as all distinct bodies of water that receive runoff or waste discharges, such as streams, rivers, ponds, lakes and estuaries (adapted from World Health Organization). This does not include farm-constructed water courses, impoundments or treatment facilities.			
Farms located in Africa only (see 2.2.1), Farm-Wide	2.2.2	a. Collect documentary evidence that cultured species and strain was present in receiving waters on or before 1 January 2008 or Collect first hand accounts showing evidence for natural reproduction of tilapia species and strain in receiving waters on or before 1 January 2008. Submit evidence with checklist (Audit Reference 2).	N/A		
		b. If system does not have receiving waters as defined in this Requirement ^[2] then the requirements of Indicator 2.2.2 are not applicable.	N/A		
		c. Show that there is a mechanism for treating effluent to eradicate/eliminate macro-biological organisms such as fish, if water is discharged into municipal water systems.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks	
All Farms, Farm-Wide	2.3.1	Instruction to Clients for Indicator 2.3.1 - Diurnal Difference in Dissolved Oxygen (DDDO) - Sampling for DDDO is done at least once per month and is measured only at Receiving Water Farm Afar (RWFA) site. - Measure dissolved oxygen (DO), conductivity (or salinity), and temperature at 0.3 m depth. Take all three measurements at the same time. - For each monthly sampling of DDDO, take measurements two times: 1 hour before sunrise and 2 hours before sunset. - Equations for calculating DDDO are given in Audit Reference 6 (also Equation 1 in Appendix III of the Standard). Note 1: For farms located in temperate zones, audits will occur during the 4-month window of peak primary productivity in receiving waters. Note 2: For farms where thermal destratification occurs (a natural event when oxygen is depleted due to mixing of deep waters with surface waters), the detection of low oxygen concentration will be recorded but will not be considered a non-conformance. Note 3: The pre-sunset measurements are taken at the same time that samples are collected for water quality monitoring (see Instructions for 2.5.1) at the day of the audit.				
		a. Collect ≥ 12 months of DDDO samples if farm was built after December 2009 (farms built before December 2009 need only 6 months of data).	≥ 12 months before first audit			
		b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Calibrate daily if there is no manufacturer's recommendation.	N/A			
		c. Adjust DO at saturation to reflect temperature, salinity and altitude during calibration or in calculations (see Audit Reference 6).	N/A			
		d. Calculate DDDO using equation 1 (Audit Reference 6) and oxygen saturation values (Audit Reference 5). Enter DDDO values into Water Quality Monitoring Matrix (Audit Reference 4).	N/A			
		e. Calculate average annual DDDO for the prior 12-month period. Enter result into Water Quality Monitoring Matrix (Audit Reference 4).	≥ 12 months before first audit			
		f. Take DO measurements while the auditor is at the farm.	N/A			
All Farms, Farm-Wide	2.4.1	Instruction to Clients for Indicator 2.4.1 - Upper Limit of Secchi Disk Visibility (SD) The TAD concluded that "Water bodies with an average annual Secchi disk visibility at or above 10 meters are not permitted to be used as receiving waters under the ISRTA because of their ecological uniqueness and rarity." Thus, Indicator 2.4.2 sets an upper limit on eligibility for certification: $SD \leq 10$ m. - Testing of the upper limit of SD is done only at the RWFA sampling station. - When depth at RWFA station is < 10 meters, the Requirement does not apply. - The required methods and equipment for measuring SD are given in Audit Reference 1.				
		a. Collect ≥ 12 months of SD readings at RWFA station (for first audits, farm must have ≥ 6 months of data). Enter SD values into Water Quality Monitoring Matrix (Audit Reference 4).	≥ 6 months before first audit			
		b. Take SD measurements at RWFA during the audit of the farm. The auditor will witness and replicate your SD measurements.	N/A			
	2.4.2	Instruction to Clients for Indicator 2.4.2 - Decision about Oligotrophy using SD The TAD concluded that it was necessary to protect oligotrophic waters from excessive nutrient loading. They imposed strict limits on concentration of Total Phosphorus (Indicator 2.4.3) and Chlorophyll a (Indicator 2.4.4). To decide whether a given waterbody is oligotrophic or not, the TAD mandated a functional definition: "Oligotrophic receiving waters are characterized as those that have a Secchi disk visibility equal to or greater than 5.0 meters." Thus, the Secchi disk measurement (SD) will determine whether Standard nutrient limits shall apply to a given receiving water. The flow chart in Audit Reference 7 shows how to make decisions using SD measurements. A few points about the logic of the decision-making process must be noted: - Highly oligotrophic waters (i.e. where the average annual SD is > 10 m) are automatically ineligible from certification because they do not comply with Indicator 2.4.1. - The decision about oligotrophy is made based solely on SD measurements taken at RWFA (i.e. SD measures from RWRP, RWFO or other locales are not considered). - The auditor will verify accuracy of farm SD measurements while on site. Where farm and auditor measurements differ, the auditor's SD measurement shall prevail. - When deciding if Requirement nutrient limits apply to a receiving water body, the auditor shall also compare the annual average SD to the on-site SD measurement. - If water depth at RWFA is < 5.0 meters and the SD measurement is to 'bottom' then 2.4.3 and 2.4.4 are not applicable. Note: If the client suspects that an abrupt reduction in SD as measured by the auditor (e.g. case D below) was caused by natural seasonal variations (i.e. summer blooms or rainy season turbidity), the client may request exemption from 2.4.3 and 2.4.4 but only if it can be shown annual average SD has not decreased by $> 5\%$ over the previous 2 years.				
		a. If auditor measurement shows $SD > 5.0$ m and annual mean $SD < 5.0$ m, then proceed to Indicator 2.4.3 and 2.4.4.	N/A			
		b. If auditor measurement shows $SD > 5.0$ m and annual mean $SD > 5.0$ m, then stop.	N/A			
		c. If auditor measurement shows $SD \leq 5.0$ m and annual mean $SD < 5.0$ m, then stop.	N/A			
		d. If auditor measurement shows $SD \leq 5.0$ m and annual mean $SD > 5.0$ m, then proceed to Indicator 2.4.3 and 2.4.4.	N/A			
		2.4.3	a. Determine total phosphorus concentration. If required under Indicator 2.4.2, collect water samples at RWFA.	N/A		
			b. Report results to CB.	N/A		
c. Analyze total phosphorus concentrations in all subsequent water samples from monthly water quality monitoring. Continue until instructed otherwise by the CB.	N/A					

Applicability	Reference in AM	Description	Timeframe	Check	Remarks		
All Farms, Farm-Wide	2.4.4	a. Collect water samples at RWFA, if required under Indicator 2.4.2. Determine chlorophyll <i>a</i> concentration.	N/A				
		b. Report results to CB.	N/A				
		c. Analyze chlorophyll <i>a</i> concentrations in all subsequent water samples from monthly water quality monitoring. Continue until instructed otherwise by the CB.	N/A				
All Farms, Farm-Wide	2.5.1	Instruction to Clients for Indicator 2.5.1 - Water Quality Monitoring - Required parameters for the water quality monitoring program are shown in Appendix II of the Standard. - Samples are collected from each of the 3 sampling stations: RWRP; RWFO; and RWFA. - A minimum of one sample is taken per station but the TAD encourages multiple sampling to investigate waterbody dynamics. - Water samples are taken from a 1-meter column of water or deeper. - Water samples are taken 2 hours before sunset. - Water samples must be kept in sealed coolers and kept at a temperature of less than 10°C. Note 1: Laboratories used by the auditor for analyses not performed on site with auditor equipment will use ISO methods as described in Audit Reference 1, and farms are suggested to periodically send water samples to these laboratories to assure farm analyses are within a 5% level of error. Note 2: Water samples from RWFA should be taken at the same time that DO is measured for the calculation of DDDO (see Instructions for Indicator 2.3.1) at the day of the audit.					
		a. Conduct ≥ 6 months of water quality monitoring before first audit.	≥ 6 months before first audit				
		b. Complete the Water Quality Monitoring Matrix (Audit Reference 4) and submit to CB.	N/A				
		c. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Calibrate daily if there is no manufacturer's recommendation.	N/A				
		d. Conduct water quality monitoring during the audit of the farm. The auditor will witness and replicate water sampling.	N/A				
		e. Collect water samples and prepare them for shipment as applicable.	N/A				
		f. Perform routine analysis of water samples (i.e. done in the same manner as for previous months of water quality monitoring).	N/A				
		g. Record values for each parameter and submit results to CB.	N/A				
All Farms, Farm-Wide	2.6.1	a. Provide a map delineating all wetlands currently within a 5-km radius of the farm.	N/A				
		b. Prepare a map showing pre- and post-1999 wetland coverage at farm site.	N/A				
All Farms, Unit of Certification Only Clients may omit/delete pricing details from purchase documents.	3.1.1	a. Calculate total weight of feed used. Keep invoices.	N/A				
		b. Calculate total weight of all fish purchased. Keep invoices.	N/A				
		c. Calculate total weight of fish produced. Keep invoices for all fish sold or shipped.	N/A				
		d. Obtain a signed letter from feed manufacturer stating phosphorus content of the feed.	N/A				
		e. Complete nutrient budget worksheet (Audit Reference 8).	N/A				
Farms with no post-culture treatment for phosphorus, Unit of Certification Only Clients may omit/delete pricing details from purchase documents.	3.1.2A	<i>Farms without post-culture treatment for phosphorus</i>					
		a. Calculate total weight of feed used. Keep invoices.	N/A				
		b. Calculate total weight of all fish purchased. Keep invoices.	N/A				
		c. Calculate total weight of fish produced. Keep invoices for all fish sold or shipped.	N/A				
	d. Complete nutrient budget worksheet (Audit Reference 8).	N/A					
	3.1.2B	<i>Farms with post-culture treatment for phosphorus</i>					
		f. Complete steps a-d (above) for Indicator 3.1.2A.	N/A				
		g. Describe method for treatment (e.g. sludge removal for fertilizer, water treatment facilities, etc.) and means of quantifying phosphorus capture.	N/A				
		h. Keep records of the quantity of phosphorus captured by treatment.	N/A				
		i. Subtract net phosphorus captured in treatment facility from total output of phosphorus, expressed as kg P/mt fish produced over prior 12-month period.	≥ 12 months before first audit				

Applicability	Reference in AM	Description	Timeframe	Check	Remarks	
All Farms, Unit of Certification Only Clients may omit/delete pricing details from purchase documents.	3.1.3	a. Calculate total weight of feed used. Keep invoices.	N/A			
		b. Calculate total weight of all fish purchased. Keep invoices.	N/A			
		c. Calculate total weight of fish produced. Keep invoices for all fish sold or shipped.	N/A			
		d. Obtain a signed letter from feed manufacturer stating nitrogen content of the feed.	N/A			
		e. Complete nutrient budget worksheet (Audit Reference 8).	N/A			
All Farms, Unit of Certification Only Clients may omit/delete pricing details from purchase documents.	3.1.4	a. Calculate total weight of feed used. Keep invoices.	N/A			
		b. Calculate total weight of all fish purchased. Keep invoices.	N/A			
		c. Calculate total weight of fish produced. Keep invoices for all fish sold or shipped.	N/A			
		d. Use equation from Audit Reference 6 to calculate total amount of nitrogen released.	N/A			
		e. Complete nutrient budget worksheet (Audit Reference 8).	N/A			
Only farms where brackish water is used for tilapia culture, Farm-Wide	3.2.1	a. Inform CB if brackish water is used for tilapia culture (3.2.1 applies only to farms where surface water is > 1,300 µS/cm or initial well water is < 1,300 µS/cm).	N/A			
		b. Show well locations on map of farm.	N/A			
		c. Record date of drilling and initial specific conductance (µS/cm) at each well.	N/A			
		d. Measure specific conductance of all wells less than 4 weeks before audit.	≥ 4 weeks before first audit			
All Farms, Farm-Wide	4.1.1	a. Install net mesh, screens and barriers in required locales.	N/A			
		b. Use meshes that are appropriately sized to retain stocked fish.	N/A			
	4.1.2	a. Establish program for regular inspection of permanent barriers.	N/A			
		b. Record the dates, findings and actions taken in an 'Inspection Register'.	N/A			
	4.1.3	c. Collect data for 6 months before first audit.	≥ 6 months before first audit			
		a. Establish program for monitoring escapes with trapping devices.	N/A			
Land-based systems only, Farm-Wide	4.1.5	b. Record all traps used, findings and actions taken.	N/A			
		c. Collect data for 6 months before first audit.	≥ 6 months before first audit			
		<i>If the farm is a land-based system, the client shall arrange to have tilapia cultures sampled for percentage of male fish (or sterile fish) as follows:</i>				
		a. Select three (3) culture vessels at random.	N/A			
		b. Capture 40 fish from each culture vessel for a total of 120 fish.	N/A			
All Farms, Farm-Wide	4.2.1	c. Determine the number of fish in the sample that are male (or sterile).	N/A			
		d. Calculate the percentage of male fish (or sterile fish) in culture.	N/A			
All Farms, Farm-Wide	4.3.1	e. Alternate approach when farm has fewer than 3 culture vessels: capture a total of 100 fish and determine the percentage male fish (or sterile fish).	N/A			
		a. Ensure that containers do not provide escape paths for fish, for transport of live fish to the farm (e.g. fry).	N/A			
All Farms, Farm-Wide	4.3.1	b. Ensure that containers do not provide escape paths for fish, for transport of live fish away from the farm (e.g. harvested fish).	N/A			
		a. Maintain records for the origin of all cultured stocks including the supplier name, address and contact person(s) for stock purchases.	N/A			
All Farms, Farm-Wide	4.4.1	b. Purchase documents must confirm that culture stock is not transgenic.	N/A			
		a. Prepare a list of all predator control devices and their locations.	N/A			

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All Farms, Farm-Wide	4.4.2	Instruction to Clients for Indicator 4.4.2 - Presence of IUCN Red List Species 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" - select "Animalia" - 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 4.4.2, species in the following IUCN categories may be excluded from further analyses: "Not evaluated", "Data Deficient", and "Least Concern".			
		a. Perform analysis. Record all IUCN red list species and farm-related threats.	N/A		
		b. Take appropriate precautions, if an IUCN Red List species is identified in region of the farm (including receiving and source waters).	N/A		
All Farms, Unit of Certification Only	5.1.1	a. Provide a signed letter from feed manufacturer stating percentage of fish meal and/or fish oil (Audit Reference 9) in feed used during the past 12 months.	past 12 months		
		b. For FFER calculations, exclude fish meal and fish oil derived from rendering of seafood by-products (e.g. the 'trimmings' from a human consumption fishery).	N/A		
		c. Calculate FFER using equations in Audit Reference 6 (also Appendix IV of Standard).	N/A		
	5.1.2	a. Provide a signed letter from feed manufacturer identifying the origin (genus, species and region harvested) of fish used in fish meal/oil (Audit Reference 9).	N/A		
		b. Determine if any of the species used in fish feed are on the IUCN's Red List following the instructions given for Indicator 4.4.2.	N/A		
		c. Determine if any of the species used in fish feed are listed by CITES as follows: - go to http://www.speciesplus.net - select option "Species" and click "find it"	N/A		
All Farms, Unit of Certification Only	5.1.3	a. Provide a policy stating the organization's support of efforts to shift feed manufacturers to an ISEAL-accredited certification scheme for fish meal/oil origins.	N/A		
		b. Provide a letter stating the organization's intent to source feed containing fishmeal or fish oil originating from fisheries deemed sustainable by an ISEAL member's accredited certification scheme by 19 December 2014.	N/A		
		c. Affirm support of the process through internal and external communications (e.g. correspondence with feed manufacturers).	N/A		
	5.1.4	Instructions to Clients for Indicator 5.1.4 - FishSource Scores of Feed Species For species from which fishmeal or fish oil is derived, determine FishSource scores as follows: - go to http://www.fishsource.org/ - select "Species" drop down tab to the left and enter relevant species - select the top tab that reads "Scores"			
		a. Record FishSource scores for each species from which fishmeal or fish oil is derived.	N/A		
		b. Confirm that average score is ≥ 6.0 with no individual score < 6.0 .	N/A		
		c. Confirm that there is no 'N/A' in a stock assessment category.	N/A		
		d. If the species is not on the website it means that a FishSource assessment is not available. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment.	N/A		
		e. In lieu of FishSource scores, a farm undergoing a first audit may substitute a signed letter of intent from their feed manufacturer stating commitment to provide feed complying with FishSource scoring requirements. However at the second audit, all farms shall demonstrate that they have used feed that complies with the FishSource scoring requirements for a minimum of 6 months.	≥ 6 months before first audit		
All Farms, Unit of Certification Only	5.2.1	a. Provide a list of all feed suppliers with contact information.	N/A		
		b. Provide a letter of intent to preferentially source feed from suppliers who have a traceability and sustainability policy by 19 December 2011 (Audit Reference 9; also see Indicator 5.1.3B).	N/A		
		c. Communicate your organization's policy to each feed supplier.	N/A		
		d. Request a traceability policy from each feed supplier (or letter of intent to establish one) before 19 December 2011.	N/A		
		e. Request sustainability policy from each feed supplier (or letter of intent to establish one) before 19 December 2011.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks	
All Farms, Farm-Wide	5.3.1	<p>Instructions to Clients for Indicator 5.3.1 - Calculating Total Energy used by Farm</p> <p>Calculate the total energy consumption of the farm over the prior 12-month period by completing the Energy Budget Worksheet (Audit Reference 10). Include all sources of energy consumption on the farm site such as aeration, boat engines, electricity for housing, etc. Do not include off-site energy consumption such as transport of personnel to or from the farm, or transport of fish to or from the farm. Report energy consumption in kilojoules (Note: 1 megajoule = 1,000 kilojoules). The different energy units can be converted to kilojoules using the following website: http://tonto.eia.doe.gov/energyexplained/index.cfm?page=about). Report the grand total energy used as kilojoules/mt fish produced/year.</p>				
		a. Complete the Energy Budget Worksheet (Audit Reference 10).	N/A			
All Farms, Farm-Wide	6.1.1	<p>Instructions to Clients for Indicator 6.1.1 - Calculating Percent Recovery of Production Stages</p> <p>Calculate the annual percent recovery of fish stocked in production stages after they have attained a size of 100 grams. All steps refer to quantities for the entire preceding 12-month period.</p> <p>1) Stage of production where fish attain an average weight of 100 g (estimated) identified. 2) Estimated loss of fish (#) prior to average size of 100 g being achieved for all production cycles (in ponds, cages, tanks, etc.) for the prior 12-month period. 3) Standing stock of fish (#) after average size of 100 g achieved. 4) The number of fish harvested to market for the 12 month period divided by (#3 above) multiplied by 100 is equal to the percent recovery after 100 g. 5) Average percent recovery for prior 12-month period at grow-out site and verification of calculations from farm records.</p> <p>Note 1: The method presented above is the required formula for calculating annual percent recovery of fish stocked in production stages. It is acknowledged that some farms may have production cycles which make it difficult to accurately collect the information needed to complete this calculation. In such cases, the client may propose to modify the abovementioned formula provided that the client can show such change is justified. Written justification shall be submitted to the CB together with a detailed description of farm production cycles and a complete explanation showing how a modified formula will yield a more accurate calculation of annual percent recovery of fish stocked in production stages. Proposals must be reviewed and approved by the CB before the audit.</p> <p>Note 2: Recovery does not include recruitment of tilapia resulting from reproduction within the culture system.</p>				
		a. Collect 12 months of data on recovery before the first audit.	≥ 12 months before first audit			
		b. Submit written justification to the CB before the first audit, if the farm proposes to modify the formula for calculating percent recovery.	N/A			
		c. Calculate percent recovery according to the instructions to Clients for Indicator 6.1.1.	N/A			
All Farms, Farm-Wide	6.2.1	a. Provide a list of all chemicals used on the farm in the previous 12 months. [Note: The TAD considers any substance added by the producer to culture system - aside from water and feed - to be a chemical.]	past 12 months			
		b. Provide a list of suppliers of all chemicals or therapeutants used.	N/A			
		c. Provide a list of all the countries where the product has been exported to in the prior 12-month period.	≥ 12 months before first audit			
		d. Provide a list of banned substances for the producing and exporting country and the national authority or regulating body in producing country (contact information required).	N/A			
		e. Maintain records of voluntary and/or mandatory chemical residue testing conducted or commissioned by the farm from prior 12-month period.	≥ 12 months before first audit			
	6.2.2	a. Maintain records for all purchases of antibiotics (invoices, prescriptions).	N/A			
		b. Maintain a log of all health related events. For each event record the duration and the requirements for use of antibiotics or therapeutants (see also 6.2.4).	N/A			
		c. Determine the total amount of antibiotics used in prior 12-month period.	≥ 12 months before first audit			
	6.2.3	<i>This indicator applies only to farms where the hatchery is located at the grow-out site (e.g. the grow-out facility owns and operates the hatchery) and where the hatchery discharges into the receiving waters. During the holding period, there shall be no risk of exposure of humans or livestock to methyl or ethyl testosterone.</i>				
		a. Hatchery facility must have the capacity to retain any water that contains hormones for sex reversal for a period of ≥ 48 hours.	N/A			
	6.2.4	a. Keep a record of all therapeutants used for prior 12-month period.	≥ 12 months before first audit			
		b. Maintain all prescriptions for therapeutants for prior 12-month period.	≥ 12 months before first audit			
		c. Obtain evidence of competency (e.g. accreditation) in the diagnosis of fish disease and drug therapy, if prescriptions are made by health professionals who are not veterinarians.	N/A			

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All Farms, Farm-Wide	6.2.5	a. Determine total amount of antibiotic used for prior 12-month period.	≥ 12 months before first audit		
		b. Adjust total weight of antibiotic by the fraction of active ingredient.	N/A		
		c. Determine total weight of fish produced for prior 12-month period. Calculate kg active ingredient/mt of fish produced/year.	≥ 12 months before first audit		
All Farms, Unit of Certification Only	6.3.1	a. Ensure that fish mortalities are removed from cultures on a daily basis.	N/A		
		b. Maintain records of daily removals of fish mortalities.	N/A		
All Farms, Farm-Wide	6.3.2	a. Provide a farm policy that addresses all requirements of the standard in regards to the acceptable disposal of dead fish.	N/A		
		b. Maintain records of mortality disposals as evidence of compliance.	N/A		
All Farms, Farm-Wide	6.4.1	a. Provide a fish health plan that addresses all requirements of the standard, including: 1) Protecting the farm from introduction of pathogens, 2) Preventing the spread of pathogens within the farm and to the receiving waters, and 3) Reducing the potential for development of disease resistance by ensuring responsible therapeutic use.	N/A		
		b. Obtain review and written approval of the fish health plan by the farm's veterinarian or health professional.	N/A		
All Farms, Farm-Wide	7.1.1	a. Maintain that the minimum age of permanent workers is 15 or older (per national legal minimum age).	N/A		
		b. Provide a system to monitor hours and conditions of young workers and light work by children.	N/A		
		c. Maintain that young workers (from 15 to less than 18): have no conflicts between work and schooling; do not spend more than 10 hours/day on transportation time, school and work; do not perform hazardous work.	N/A		
		d. Maintain equal treatment for children of migrant workers.	N/A		
All Farms, Farm-Wide	7.2.1	a. Contracts are clearly stated and understood by employees, no 'pay to work' schemes through labor contractors or training credit programs.	N/A		
All Farms, Farm-Wide	7.3.1	a. Provide 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		
		c. Provide a policy in place protecting pregnant and lactating mothers.	N/A		
		d. Provide a policy in place against HIV discrimination.	N/A		
	7.3.2	a. Verification of clear and transparent company procedures are outlined to raise, file, and respond to discrimination complaints.	N/A		
		b. Provide training for all managers and supervisors on diversity and non-discrimination. All personnel receive non-discrimination training. Internal or external training acceptable if proven effective.	N/A		
All Farms, Farm-Wide	7.4.1	a. 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. Existence of a emergency response procedures.	N/A		
		c. Conduct health and safety training for all employees on a regular basis (once a year and immediately for all new employees), including training on potential hazards and risk minimization.	N/A		
		d. Store potentially dangerous chemicals properly and as prescribed.	N/A		
	7.4.2	a. Documentation is generated with regards to occupational health and safety violations.	N/A		
		b. Corrective action plan 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		
	7.4.3	a. Documentation maintained by management confirms that all personnel are provided sufficient insurance to cover annual check-ups and costs related to occupational accidents or injuries. Equal insurance coverage must include temporary, migrant or foreign workers.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All Farms, Farm-Wide	7.5.1	a. Understand and have policies to ensure the principle of equal pay for equal work.	N/A		
		b. Ensure that wages are paid for a standard working week (no more than 48 hours) always meet, at least, legal/industry minimum standards, cover basic needs of personnel and provide some discretionary income.	N/A		
		c. Labor conflict resolution policy in place to track conflicts & complaints raised, and responses to conflicts & complaints.	N/A		
		d. Ratio of lowest wage rate to basic needs wage always exceeds 100%.	N/A		
		e. Proof of employer engagement with workers and their representative organizations, and use of cost of living assessments from credible sources to assess basic needs wages.	N/A		
All Farms, Farm-Wide	7.5.2	a. No deductions in pay for disciplinary actions.	N/A		
		c. Labor-only contracting[13] or false apprenticeship schemes[14] are not accepted, including: revolving/consecutive labor contracts used to deny benefit accrual.	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 of 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. Provide personnel with at least one day off in every seven day period.	N/A		
		g. Maintain that all overtime shall be paid at a premium and should not exceed 12 hours per week.	N/A		
		h. Maintain that overtime work shall always be voluntary.	N/A		
Footnote [13]		Labor-only contracting arrangement: The practice of hiring workers without establishing a formal employment relationship for the purpose of avoiding payment of regular wages or the provision of legally required benefits, such as health and safety protections			
Footnote [14]		False Apprenticeship Scheme: The practice of hiring workers under apprenticeship terms without stipulating terms of the apprenticeship or wages under contract. It is a "false" apprenticeship if its purpose is to underpay people, avoid legal obligations, or employ children.			
All Farms, Farm-Wide	7.7.2	a. Existence of 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, Farm-Wide	7.8.1	a. Copy of corrective action plan for prior 12-month period (first audit requires previous 3-month period) and employer testimonial that these plans have been implemented.	≥ 3 months before first audit		
	7.8.2	a. Copy of emergency (examples include earthquakes, fires, storms, etc.) action plan for prior 12-month period (first audit requires previous 3-month period) and employer testimonial that these plans have been implemented.	≥ 3 months before first audit		
	7.8.3	a. Copy of conflict resolution policy for prior 12-month period (first audit requires previous 3-month period) and employer testimonial that this plan has been implemented.	≥ 3 months before first audit		
c. Records of complaint cases, related actions and resolution maintained as well as worker evaluation of the resolution.		N/A			
All Farms, Farm-Wide	7.9.1	a. Provide evidence that potable/safe drinking water is available.	N/A		
		b. Provide evidence that sanitary conditions for disposal of human waste are in practice.	N/A		
		c. Provide evidence that human waste is not discharged into the environment.	N/A		
		d. Maintain that employee housing is constructed of material to sustain local conditions in the event of storms or other natural events that could endanger lives.	N/A		
All Farms, Farm-Wide	7.10.1	a. Provide testimonials from surrounding community members that farms have not blocked access to public property or public natural resources.	N/A		
	7.10.2	a. Verification of community conflict resolution policy and actions for prior 12-month period (first audit requires previous 3-month period) and community testimonials that this plan has been implemented and there is a shared understanding of procedures for filing complaints.	≥ 3 months before first audit		
		b. Three month time-frame from community member conflict filing and response evidenced by community testimonials.	≥ 3 months before first audit		
		f. Economic impacts of the farm activities reported – at least annually – to the community.	N/A		