Audit Preparation Checklist (for ASC Trout 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 Trout Audit Manual (AM). All Appendixes in this document are referring to the Trout 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. Maintain copies of key land and water use laws (both local and national) that apply to regulating the environmental and social impacts of aquaculture.	N/A		
		b. Maintain original lease agreements, land titles, concession permits, or related official land use documents on file as applicable.	N/A		
		c. Provide records of inspections for compliance with national and local laws and regulations (if such inspections are legally required in the country of operation).	N/A		
		d. Obtain permits and maps showing that the farm does not conflict with national preservation areas (see Indicator 2.1.1).	N/A		
	1.1.2	Note: To ensure that all tax-related information for 1.1.2 is available for auditor review, farms may wish to consolidate required documentation prior to the audit (e.g. when files are held at off-site facilities such as a head office or accountancy).			
		a. Maintain copies of tax laws for jurisdiction(s) where company operates.	N/A		
		b. Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax). Note that CABs will not disclose confidential tax information unless client is required to or chooses to make it public.	N/A		
		c. Register with national or local authorities as an “aquaculture activity" where such registration is consistent with regulations. Maintain copies of registration documents and the contact details for relevant authorities.	N/A		
	1.1.3	Note: Indicator 1.1.3 is restricted in applicability and applies only to those farm sites within the unit of certification.			
		a. Maintain copies of key labor laws and regulations that are applicable to regulating the social impacts of aquaculture.	N/A		
		b. Provide 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. Maintain copies of key regulations and permitting requirements that apply to water quality impacts, effluent discharge and water abstraction by the farm.	N/A		
		b. Obtain permits for water quality impacts where applicable.	N/A		
		c. Maintain records of monitoring and compliance with discharge laws and regulations as required.	N/A		
		d. Obtain a statement from local authorities indicating the water abstraction limits (units given) for the farm. If local authorities do not set water abstraction limits for farms operating in the region, obtain of a statement from local authorities attesting to this fact.	N/A		
		e. Maintain records of water abstraction.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms except as noted in [4] and [5]	2.1.1	**Instruction to Clients for Indicator 2.1.1 - Exceptions to Requirements that Farms are not sited in National Protected Areas** For the purposes of implementing Indicator 2.1.1, the ASC Freshwater Trout Standard defines a protected area as "a clearly defined geographical space, recognized, dedicated and managed through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values [3]." The following exceptions shall be made for Indicator 2.1.1: Exception #1: An exception is made for protected areas that are classified by the International Union for Conservation of Nature (IUCN) as Category V or VI. These are areas preserved primarily for their landscapes, or areas that include sustainable resource management [4]. Exception #2: An exception is also made for farms located in protected areas that are designated as such after the farm already was established in that location. In these situations, the farm must demonstrate that its operation is compatible with the objectives of the protected area, and that it is in compliance with any relevant conditions placed on the farm by authorities as a result of the protected designation [5]. The burden of proof is placed on the farm to demonstrate that it is not negatively impacting the core reason an area has been protected. Where a farm is sited in a protected areas that does not have formal national recognition (e.g. within a regionally-designated protected area), the farm should provide the CAB with a rationale showing how the aquaculture operation is compatible with the objectives of that protected area (as in Exception #2 above).			
		a. Provide a map showing the location of the farm relative to nearby protected areas as defined by national laws (also see 1.1.1d).	N/A		
		b. Inform the CAB, if the farm is not sited in a protected area as defined above. In this case, the requirements of 2.1.1c-d do not apply.	N/A		
		c. If the farm <u>is</u> sited in a protected area, review the Instructions for Indicator 2.1.1 (above) to determine if the farm is allowed an exception to the requirements. If yes, inform the CAB which exception (#1 or #2) is allowed and provide supporting evidence.	N/A		
		d. If the farm is sited in a protected area and the exceptions provided for Indicator 2.1.1 <u>do not apply</u>, then the farm does not comply with the requirement and is ineligible for ASC certification.	N/A		
Footnote [4]		An exception is made for protected areas that are classified by the International Union for Conservation of Nature (IUCN) as Category V or VI. These are areas preserved primarily for their landscapes, or areas that include sustainable resource management. Details can be found here: http://www.iucn.org/about/work/programmes/gpap_home/gpap_quality/gpap_pacategories/.			
Footnote [5]		An exception is also made for farms located in protected areas that are designated as such after the farm already was established in that location. In these situations, the farm must demonstrate that its operation is compatible with the objectives of the protected area, and that it is in compliance with any relevant conditions placed on the farm by authorities as a result of the protected designation.			
All farms except as noted in [7]	2.1.2	Note: An exception to Indicator 2.1.2 is allowed where conversion of wetlands is for water use (e.g., canals for inlets and outlets). Converted surface area must be offset by restoration of 100% of the equivalent area of functional wetlands with the same habitat characteristics [7].			
		a. Provide documentary evidence showing all construction activities and the habitat types impacted by those activities on the farm since 1999.	N/A		
		b. Provide a map delineating all wetlands (as defined in [6]) currently within a 5-km radius of the farm.	N/A		
		c. Prepare a map showing wetland coverage in 1999 at the farm site.	N/A		
Footnote [6]		Wetland: Generally, wetlands are lands where saturation with water is the dominant factor determining the nature of soil development and the types of plant and animal communities living in the soil and on its surface. Wetlands generally include swamps, marshes, bogs and fens (U.S. Environmental Protection Agency).			
Footnote [7]		Exception: Conversion of wetlands for access to water (e.g., canals for inlets and outlets): Converted surface area must be offset by restoration of 100% of the equivalent area of functional wetlands with the same habitat characteristics.			

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	2.1.3	**Instruction to Clients for Indicator 2.1.3 - Assessment of the Presence of IUCN Red Listed Species on the Farm** Indicator 2.1.3 requires the farm to demonstrate that an assessment has been undertaken to evaluate the likelihood that species listed on the International Union for Conservation of Nature (IUCN) "Red List of Threatened Species" (see Note 1) are present on or near the the farm site. The assessment may be performed internally (i.e. by the farm) or it may be done externally by a third-party entity (see Note 2). The assessment shall involve identifying IUCN red list species and their critical habitats that are present in the region of the farm (i.e. within a 5 km radius of the farm). The analysis should be done as follows: - go to http://www.iucnredlist.org/ - follow to "other search options" - select "Taxonomy" and select "Animalia" and "Plantae"; click on the red arrow in between the selection fields to confirm the selection - indicate appropriate "Location", "Systems", "Habitat", "Assessment" (see Note 1); click on the red arrow in between the selection fields to confirm the selection - click on "run search" and record species listed and whether they are threatened by the farming activity. Note 1: 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 compliance with indicator 2.1.3, only the following four IUCN listing categories are included: "vulnerable", "near threatened", "endangered" or "critically endangered". Species in other IUCN categories (e.g. "not evaluated", "data deficient", and "least concern") may be excluded from further analyses. Note 2: If the assessment is conducted by a third-party entity, farms must maintain evidence of that the work was done by suitably qualified professionals (e.g. academic ecologist or environmental consultant).			
		a. Perform above analysis and record all IUCN red listed species and farm-related threats. Alternatively, farms may have a qualified third-party entity conduct the assessment for the presence on the farm of IUCN red listed species.	N/A		
		b. Provide a map showing location of the farm (see 1.1.1d) relative to the known distribution of IUCN red-listed species (categories as defined in the indicator) or critical habitats in the area.	N/A		
		c. Provide a documented evaluation of the farm's impacts on such species, if results from 2.1.3a (above) identify that IUCN Red List species occur within a 5 km radius of the farm (including upstream and receiving waters).	N/A		
		d. Prepare a set of written and clearly-defined mitigation measures to reduce any negative impacts and allow existence of such species, if the results from 2.1.3c indicate a potential for negative impacts.	N/A		
All land-based farms constructed after publication of the ASC Freshwater Trout Standard except as noted in [9]	2.2.1	Note: An exception is made if the farm can demonstrate through a third-party scientific analysis that the farm's structures do not impede animal habitats and corridors and do not present erosion risks [9].			
		a. Inform the CAB of the date when farm installation was originally completed and any farm expansions thereafter (also see 2.1.2a).	N/A		
		b. If farm installation was completed before publication of the ASC Freshwater Trout Standard, then indicator 2.2.1 does not apply. Otherwise proceed to 2.2.1c.	N/A		
		c. Prepare a diagram of the farm showing the siting and dimensions of buffer zones between the farm and adjacent water body.	N/A		
		d. Ensure that buffer zones are free of farm infrastructure (rescue and safety equipment is allowed as appropriate to ensure worker health and welfare).	N/A		
Footnote [9]		An exception is made if the farm can demonstrate through a third-party scientific analysis that the farm's structures do not impede animal habitats and corridors and do not present erosion risks.			
All farms except closed production systems	2.3.1	**Instruction to Clients for Indicator 2.3.1 - New Introductions of Exotic Trout** The ASC Freshwater Trout Standard seeks to discourage the introduction of trout into waterways where these species are not native or not previously established. For the purposes of Indicator 2.3.1, a species is not considered exotic if it can be shown that the species is native to the area of farm operation or if it can be shown that the species was established in the area of the farm prior to publication of the ASC Freshwater Trout Standard. Note: Indicator 2.3.1 does not apply to farms that operate closed production systems. A closed production system is defined as a facility with recirculating water that is separated from the wild aquatic medium by effective physical barriers that are in place and well maintained to ensure no escapes of reared specimens or biological material that might survive and subsequently reproduce [11].			
		a. Inform the CAB if the farm uses a closed production system according to the above definition (indicator 2.3.1 does not apply). Otherwise, proceed to 2.3.1b.	N/A		
		b. Inform the CAB which trout species is being cultured at the farm and maintain purchase records (e.g. receipts) that identify the species by Latin name.	N/A		
		c. Compile available primary literature (e.g. scientific studies, government publications) to determine whether or not the cultured species is generally considered to be native to the region in which the farm operates.	N/A		
		d. Search the literature for a reliable estimate of the year of introduction, if the species is considered non-native but was previously established in the area (i.e. if it is an introduced species).	N/A		
Footnote [11]		A closed production system is defined as a facility with recirculating water that is separated from the wild aquatic medium by effective physical barriers that are in place and well maintained to ensure no escapes of reared specimens or biological material that might survive and subsequently reproduce.			

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	2.4.1	**Instruction to Clients for Indicator 2.4.1 - Culture of Transgenic vs. Genetically Modified Trout** Under Indicator 2.4.1, farms which culture transgenic trout are ineligible for certification. Therefore it is important to be clear about the definitions adopted by the FTAD Steering Committee. Transgenic Trout: A subset of genetically modified organisms (GMOs), which are organisms that have inserted DNA that originated in a different species. Some GMOs contain no DNA from other species and, therefore, are not transgenic but cisgenic [12]. Genetic enhancement: The process of genetic improvement via selective breeding that can result in better growth performance and domestication but does not involve the insertion of any foreign genes into the genome of the animal [13]. Under the ASC Freshwater Trout Standard, the culture of genetically enhanced trout stocks is allowed. The culture of transgenic and cisgenic trout stocks is not allowed. Note: In countries where transgenic trout are not allowed by law, a statement from the authorities to confirm this is sufficient to show compliance with Indicator 2.4.1.			
		a. Maintain records for the origin of all cultured stocks including the supplier name, address and contact person(s) for stock purchases.	N/A		
		b. Ensure purchase documents confirm that the culture stock is not transgenic.	N/A		
Footnote [12]		Transgenic trout: A subset of genetically modified organisms, which are organisms that have inserted DNA that originated in a different species. Some GMOs contain no DNA from other species and, therefore, are not transgenic but cisgenic.			
Footnote [13]		Genetic enhancement: The process of genetic improvement via selective breeding that can result in better growth performance and domestication but does not involve the insertion of any foreign genes into the genome of the animal.			
All farms except closed production systems	2.5.1	a. Ensure that farm procedures (see 2.5.2a) address all the farm measures for escape prevention given in Appendix IV. Align farm procedures against requirements in Appendix IV.	N/A		
		b. Ensure proper maintenance of the culture system and infrastructure to prevent escapes during grow-out and harvest.	N/A		
		c. Arrange for the auditor to witness the farm's method of harvesting during the on-site visit, for the initial audits.	N/A		
All farms	2.5.2	a. Prepare a written SOP that incorporates an escape risk assessment (see 2.5.1a). For farms that operate closed production systems, SOPs do not need to incorporate an escape risk assessment.	N/A		
		b. Ensure that the SOP is implemented on the farm.	N/A		
All farms except closed production systems	2.5.3	a. In the SOP for reducing escapes (see 2.5.2a), provide a description of how the farm ensures adequate staff capacity to address risks from escapes.	N/A		
		b. Maintain documentary records (e.g. minutes, attendance sheets) from regular staff trainings on escape prevention procedures.	N/A		
All farms	2.5.4	**Instruction to Clients for Indicator 2.5.4 - Calculation of Estimated Unexplained Loss** The Estimated Unexplained Loss (EUL) of fish is calculated at the end of each production cycle as follows [15]: EUL = (stocking count) - (harvest count) - (mortalities) - (recorded escapes) Units for input variables are number of fish (i.e. counts) per complete production cycle.			
		a. For each production cycle, maintain detailed records of the following: - stocking count; - harvest count; - mortalities; and - recorded escapes.	N/A		
		b. Calculate the estimated unexplained loss as described in the instructions (above) for the most recent full production cycle. For first audit, farm must demonstrate understanding of calculation and the requirement to disclose EUL after harvest of the current cycle.	demonstrate understanding of calculation and the requirement to disclose EUL after harvest of the current cycle before first audit		
		c. Make the results from 2.5.4b publicly available (e.g. by publishing information on the farm's website). Keep records of when and where the results were made public for all production cycles.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
Footnote [15]		Calculated as: Unexplained loss = Stocking count - harvest count - mortalities - other known escapes.			
All farms	2.5.5	a. Provide a written procedure for grading which describes the frequency and methodology for obtaining counts.	N/A		
		b. Keep records of counts obtained at each grading.	N/A		
All farms except as noted in [17]	2.6.1	**Instruction to Clients for Indicator 2.6.1 - Exception to Prohibition on Use of Lethal Predator Control** The requirements of Indicator 2.6.1 prohibit farms from using lethal control measures to manage predators. Management of predators shall be through non-lethal methods only. To ensure compliance with Indicator 2.6.1, farms must provide a detailed description of the predator control measures used at the site. In certain limited and well-justified circumstances, the CAB may permit an exception to requirements of Indicator 2.6.1. Specifically, an exception may be granted in situations where the farm can provide evidence of an assessment that demonstrates lethal action against a particular predator is appropriate, necessary and presents no risks to wild populations or ecosystems. The assessment must come from an Environmental Impact Assessment (EIA) or any other credible process of environmental analysis. If the CAB determines that a farm should be allowed an exception to 2.6.1, the CAB shall reproduce the written justification by the producer in the audit report. This exception cannot be applied to species that are vulnerable, endangered or critically endangered [20] as defined by local or national legislation. Similarly, this exception cannot be applied to IUCN red listed species identified as threatened under Indicator 2.1.3.			
		a. Provide a list of all predator control devices used on the farm and their locations.	N/A		
		b. Provide a description of farm procedures for managing predators (e.g. in the SOP identified in 2.5.2) which explains how the farm ensures that all actions are non-lethal.	N/A		
Footnote [17]		The ASC Freshwater Trout Standard permits an exception to the prohibition on lethal action in situations where the farm can provide evidence of an assessment that demonstrates lethal action against a particular predator is appropriate, necessary and presents no risks to wild populations or ecosystems. This exception cannot be applied to species that are threatened, endangered or critically endangered. The assessment must come from an EIA or any other credible process of environmental analysis.			
Footnote [20]		If a single oxygen reading is below 60 percent, the farm would need to demonstrate daily continuous monitoring with an electronic probe and recorder for at least a week with a minimum 60 percent saturation at all times.			
All farms utilizing surface water (such as water from a river) except as noted in [18]	3.1.1	**Instruction to Clients for Indicator 3.1.1 - Exemptions from Meeting the Maxima for Water Abstraction** Indicator 3.1.1 requires that farms abstract no more than half of the water from a natural flowing water body as determined on at least an annual basis. In implementing this requirement, the ASC recognizes a need for farms and auditors to remain flexible. It may be challenging to evaluate some water ways because of complex flow patterns (e.g. seasonal changes) or because the waterways themselves are highly modified from a natural state (e.g. some of the centuries-old channels in Europe). In such cases, operators should provide the CAB with sufficient background information to show how the farm's water abstraction volume is consistent with meeting the intent of the requirement. Where local authority or scientific study has established a minimum vital water flow for the water body, farms should respect these minima. Therefore the ASC allows two exemptions to 3.1.1: Exeption #1: Farms are exempt if they demonstrate that their jurisdiction of operation regulates water abstraction based on a minimum vital water flow for the natural water body. Farms must provide documentary evidence to show that water use complies with regulatory requirements for minimum vital flow. Exeption #2: Farms are exempt if they demonstrate that abstraction amounts respect the limits determined by a scientific study which has estimated minimum vital flow. Farms must provide documentary evidence to show how their water usage is consistent with maintaining the minima set by scientific study.			
		a. Inform the CAB if the farm seeks an exemption to 3.1.1 and provide supporting evidence (see Instructions above). Otherwise, proceed to 3.1.1b.	N/A		
		b. Maintain records of all water abstracted by the farm and use these values to calculate the total volume of water abstracted on an annual basis.	N/A		
		c. Provide the CAB with reliable estimates of water flow immediately above the farm (e.g. scientific studies, government publications). Use these values to calulate the total volume of water flow on an annual basis.	N/A		
		d. Use the results of 3.1.1b divided by 3.1.1c multiplied by 100 to determine the percent abstraction of the natural water body's flow.	N/A		
Footnote [18]		Farms will be exempted from this requirement if they can demonstrate that they are in a jurisdiction that regulates the farm’s water abstraction based on a minimum vital water flow for the natural water body, and the farm’s water use respects that minimum vital flow. Farms would also be exempt if they can demonstrate abstraction amounts respect limits determined by a scientific study that estimates minimum vital flow.			
All farms utilizing surface water (such as water from a river)	3.1.2	a. Retain records to show how the farm ensures that > 90% of abstracted water is returned to the natural water body.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms utilizing groundwater (such as water from a well)	3.1.3	**Instruction to Clients for Indicator 3.1.3 - Distinction between Surface Water and Underground Pumped Water** For the purposes of showing compliance with Indicator 3.1.3, it is necessary to make a distinction between "surface water" and "underground pumped water." Surface water is defined as "water collecting on the ground or in a stream, river, lake, wetland or ocean. Groundwater is defined as "water beneath the earth's surface that supplies wells and springs". A spring is a location where ground water comes to the surface. Once spring water is flowing naturally across the ground surface, it is no longer ground water but is considered surface water. Note: the term "surface water" is used here in place of the original term "surficial water" that appeared in the PAD Standard.			
		a. Identify any use of underground pumped water by the farm and include in the farm map or diagram (see 1.1.1d and 2.1.1a).	N/A		
		b. Obtain permits from regulatory authorities.	N/A		
All farms utilizing groundwater (such as water from a well)	3.1.4	a. Ensure that well tests are conducted at a similar time each year [19] using an appropriate methodology.	N/A		
		b. Maintain records of results from all tests of well depth.	N/A		
		c. Make the results from 3.1.4b available publicly (e.g. by posting on the farm's website). Keep records of when and where results were made public.	N/A		
Footnote [19]		Well depths must be tested at similar times of the year, with results submitted to ASC. More detailed methodology will be provided in the Auditing Guidance document.			
All land-based systems	3.2.1	**Instruction to Clients for Indicator 3.2.1 - Calculating Total Phosphorus Released per Ton of Fish Produced** Farms must demonstrate compliance with the requirement of Indicator 3.2.1 which specifies the maximum amount of phosphorus that a producer can release into the environment per metric ton (mt) of fish produced over a 12-month period. The requirement is set at 5 kg/mt for the first three years from date of publication of the ASC Freshwater Trout Standard (i.e. from 7 February 2013 until 7 February 2016), dropping to 4 kg/mt thereafter. The calculation of total phosphorus released is made using a “mass balance” approach. Detailed instructions and formulas are given in Appendix II-A. If applicable, farms may take account of any physical removals of phosphorus in the form of sludge provided there is evidence to show: - the farm has records showing the total quantity of sludge removed from site over the relevant time period; - the farm determined phosphorus concentration (% P) in removed sludge by sampling and analyzing representative batches; and - the sludge was properly disposed off site and in accordance with the farm's biosolid (sludge) management plan.			
		a. Maintain records showing the amount and type of feeds used during the past 12 months.	last 12 months		
		b. Keep records showing phosphorus content as determined by chemical analysis or based on feed supplier declaration (Appendix II-A), for all feeds used (result from 3.2.1a).	N/A		
		c. Calculate the total amount of phosphorus added as feed during the last 12 months of production, using equation #1 from Appendix II-A and results from 3.2.1a and b.	N/A		
		d. Maintain records for stocking, harvest and mortality which are sufficient to calculate the amount of biomass produced (equation #2 in Appendix II-A) during the past 12 months.	last 12 months		
		e. Calculate the amount of phosphorus in fish biomass produced (result from 3.2.1d) using equation #3 in Appendix II-A.	N/A		
		f. If applicable, maintain records showing the total amount of P removed as sludge (equation #4 in Appendix II-A) during the past 12 months.	last 12 months		
		g. Calculate total phosphorus released per ton of fish produced, using the formula in Appendix II-A and results from 3.2.1a-f (above).	N/A		
	3.2.2	**Instruction to Clients for Indicator 3.2.2 - Oxygen Saturation in the Outflow** Requirements for measuring oxygen saturation are given in Appendix II-B. Take DO measurements at the outlet where water is discharged (i.e. measure DO in the actual outflow, not in the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged). Each month, determine percent oxygen saturation from two data series: one taken in the early morning and another one taken in the late afternoon (does not need to be daily). If a single oxygen reading is below 60 percent, the farm would need to demonstrate daily continuous monitoring with an electronic probe and recorder for at least a week with a minimum 60 percent saturation at all times.			
		a. Provide monthly monitoring records of DO percent saturation in outlfow water for the previous 12 months. For first audits, farm records must cover ≥ 6 months.	≥ 6 months before first audit		
		b. Initiate daily continuous DO monitoring with an electronic probe and recorder for > 1 week, if any single value from 3.2.2a is < 60%. Maintain a record of the results.	N/A		
		c. Make arrangements for the auditor to observe calibration of equipment and measurements, during the on site visit.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All land-based systems	3.2.3	**Instruction to Clients for Indicator 3.2.3 - Macroinvertebrate Surveys** A detailed description of the methodology for the macroinvertebrate survey is given in Appendix II-C of the ASC Freshwater Trout Standard. Farms may undertake the surveys themselves or contract to have the surveys completed by a competent external party. In either case, all requirements of the methodology shall be fulfilled including anlaysis of samples by an accredited laboratory that has approved the sampling methodology. Macroinvertebrate surveys must be conducted once every 12 months (i.e. annual sampling) with two exceptions. First, in situations where the downstream survey drops a category according to the benthic health status between two consecutive surveys, the farm must perform two surveys during the following 12 month period (i.e. bi-annual sampling) using the same faunal system, that demonstrate compliance with the Standard. Second, in situations where downstream and upstream benthic health status is consistent for 3 years or more, the farm may perform sampling every 24 months (i.e. semi-annual sampling). When survey results indicate that the health of downstream benthic communities is worse than upstream but there is reason to suspect that farm effluent was not the cause, the farm may seek an exemption from the CAB. In such cases, an exemption may only be awarded if it can be shown that the observed health of downstream benthic communities is consistent with minimum health levels set by competent authority (e.g. a government agency) as established through scientific analyses. For any such exceptions, the auditor shall fully document in the audit report how the results of the farm's benthic surveys are consistent with the intent and rigor of the ASC Freshwater Trout Standard.			
		a. Have a scientific assessment done in the area downstream of the outlet to identify the zone most likely to be impacted by farm discharge. This assessment must consider water mixing and distance from farm outlet.	N/A		
		b. Provide a map showing the upstream and downstream transects and sampling stations used for macroinvertebrate surveys (see Appendix II-C).	N/A		
		c. Collect benthic samples along transects in accordance with Appendix II-C and maintain records of all sample collections.	N/A		
		d. Have an accredited laboratory analyze the samples for benthic invertebrate fauna including characterization of species composition, abundance, diversity, and presence of key sensitive indicator species.	N/A		
		e. Compare the benthic health of areas downstream from the discharge to those areas upstream of the discharge to assure no change, using survey results from 3.2.3d.	N/A		
	3.2.4	Note: Detailed description of the biosolids (sludge) Best Management Practices is given in Appendix II-D of the ASC Freshwater Trout Standard.			
		a. Provide a biosolids (sludge) management plan that addresses all requirements in Appendix II-D.	N/A		
		b. Provide a process flow diagram of the key steps taken to responsibly manage sludge identifying treatment, transfer, storage, utilization and disposal.	N/A		
		c. Maintain records of biosolid (sludge) cleaning, maintenance, and disposal as described in Appendix II-D.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All land-based systems	3.2.5	**Instruction to Clients for Indicator 3.2.5 - Water Quality Monitoring Matrix, Land-Based Systems** Land-based farms are required to monitor a 'matrix' of four water quality parameters shown in Appendix II-B of the ASC Freshwater Trout Standard: total phosphorus (TP); total nitrogen (TN); biological oxygen demand (BOD); and Total Suspended Solids (TSS). Monitoring of these four parameters represents a minimum level of compliance. They are in addition to any other parameters that may be required by local regulatory authorities. The ASC Freshwater Trout Standard does not prescribe details of the sampling methodology (i.e. spatial distribution of sites, temporal distribution of sample collection). Therefore, where such programs are not dictated by local regulation, farms may use their own discretion to design a water quality monitoring program that is suited to the specific objectives of the farm site. However theASC encourages farms to consider the following factors when designing a water quality monitoring program: - comparison of differences in water quality between inflow and outflow (i.e. an upstream vs. downstream approach); - influence of seasonality (e.g. sampling should be done at least monthly to identify seasonal patterns); - sampling from multiple stations to investigate waterbody dynamics; - consistency of sampling position (e.g. water samples are taken from a 1-meter column of water or deeper); - uniform time of sample collection (e.g. all samples taken 2 hours before sunset); and - inclusion of additional parameters that are of direct relevance to the farm operation (e.g. temperature, salinity, flow rate, etc). Note 1: Under Indicator 3.2.2, farms are required to monitoring dissolved oxygen (DO) concentration. Farms may choose to include DO as one of the parameters that is routinely sampled as part of their water quality monitoring program however this is not a requirement. Note 2: Farms may perform the analyses of water quality parameters on site or they may go to suitably qualified independent laboratories. If analyses are done on site, the SC recommends that farms periodically send water samples to an independent laboratory to assure that farm analyses are within a 5% level of error. However, the SC has not specified a requirement for number of samples or frequency of validation testing. If farms hire an independent accredited laboratory to do water quality sampling and testing, the farm is still responsible for ensuring that all specified water quality parameters (Appendix II-B) are monitored on at least a monthly basis and reported to ASC at least annually. However the requirements for calibration (3.2.5c) and shipping (3.2.5d) do not apply. Suggest matching with SAD if there is this requirement.			
		a. Conduct ≥ 6 months of water quality monitoring before first audit. Thereafter, monitoring should be part of production practices for certified farms.	≥ 6 months before first audit		
		b.Complete the Water Quality Monitoring Matrix (Appendix II-B) and submit to CAB.	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. Arrange to conduct water quality monitoring, during the audit of the farm. The auditor will witness water sampling.	N/A		
		e. Collect water samples and prepare them for shipment to a laboratory (if 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 CAB.	N/A		
		h. Submit data on water quality monitoring to ASC in a suitable format (required parameters are shown in Appendix II-B) at least once per year.	N/A		
Cage-based systems operating on water bodies with a surface area < 1000 km2	3.3.1	**Instruction to Clients for Indicator 3.3.1 and 3.3.2 - Classification of Surface Area of Water Body** Under Indicators 3.3.1 and 3.3.2, farms using cages must specify whether the water body in which they operate has a surface area greater than or less than 1,000 km^2. Farms may classify the water body using reliable published data (scientific papers, government publications) or farms may perform a spatial analysis using GIS or similar method to estimate surface area of the water body. Farms should provide the CAB with information on water body surface area and associated calculations, prior to the first audit.			
		a. Determine the surface area of the water body where the farm operates (see Instructions above).	N/A		
		b. Inform the CAB if results from 3.3.1a indicate that the water body is less than 1,000 km^2 surface area and proceed to 3.3.1c. Otherwise, go to 3.3.2.	N/A		
		c. Obtain a documentated assimilative capacity study for the water body where the farm operates. The assimilative capacity study must address all requirements described in Appendix II-E.	N/A		
		d. Provide evidence that the farm production levels reflect the results of the assimilative capacity study in 3.3.1c.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
Cage-based systems operating on water bodies with a surface area < 1000 km2	3.3.2	**Instruction to Clients for Indicator 3.3.2 - Water Body Classifications as Type 1, Type 2 or Type 3** Under Indicator 3.3.2, farms operating on water bodies with a surface area ≥ 1,000 km^2 are required to show evidence that cages are located at sites that are classified as "Type 3" using the method described in Appendix II-F. Where a regulatory agency has previously used the required method to classify the site, the farm will use the regulator's classification. In situations where the water body has not previously been classified by regulators according to the required classification system, the farm shall contract an independent consultant to perform the classification as described and provide a detailed analysis to support that determination (see Appendix II-F). Independent consultants shall have an advanced degree, a minimum of 5 years of experience in limnology and environmental assessments, and a broad understanding of environmental impacts of aquaculture operations on freshwater habitats. Classifications should follow the method of Boyd et al. 2001 and results shall be documented in a report which provides a detailed analysis to support the determination. Boyd, D., M. Wilson, and T. Howell (2001) Recommendations for Operational Water Quality Monitoring at Cage Culture Aquaculture Operations Environmental Monitoring and Reporting Branch, Ontario Ministry of Environment.			
		a. Determine the surface area of the water body where the farm operates (see 3.3.1a). If the surface area is 1,000 km^2 or greater, proceed to 3.3.2b. Otherwise, go to 3.3.1.	N/A		
		b. Provide evidence that the water body classification was performed by a regulatory agency as required under Appendix II-F. If no regulatory agency has classified the water body, proceed to 3.3.2c.	N/A		
		c. If applicable, hire a qualified independent consultant to analyze and classify the site where the farm operates in accordance with the definitions in Appendix II-F.	N/A		
All cage-based systems	3.3.3	**Instruction to Clients for Indicator 3.3.3 - Water Quality Monitoring, Cage-Based Systems** Farms using cage-based systems are required to monitor two water quality parameters as shown in Appendix II-G of the ASC Freshwater Trout Standard: total phosphorus (TP) and Dissolved Oxygen (DO). Monitoring of these two parameters represents a minimum level of compliance. They are <u>in addition to</u> any other parameters that may be required by local regulatory authorities (Note 1). The ASC Freshwater Trout Standard requires that water quality monitoring is conducted at a minimum of seven (7) sampling stations. There are four 'boundary' stations which are established at the limit of the farm's management zone, roughly 50 m from the edge of cages. Boundary stations should be arranged to the North, South, East and West or in a comparable spatial distribution (if the farm is attached to land on one side, then the station from that side would be removed). There are also two 'reference' stations which are established approximately 1-2 km upcurrent and downcurrent of the farm. Lastly, there is a 'pristine station' used for measuring changes in TP concentration against a baseline (see Indicator 3.3.4 below). The pristine station should be located in an area of the water body which is far removed from point discharge sources, stream inflows, aquaculture activities and anthropogenic impacts. All seven sampling stations shall be identified with GPS coordinates on a schematic map of the farm. Samples must be taken at least once every three months (i.e. quarterly) during periods without ice (Note 2). Water samples for TP shall be collected from a representative composite water column to a depth of the bottom of the cages. The SC does not specify the number, volume or depth of individual 'grab' samples that are composited to make a representative sample of the water column. Farms should design a water sampling program to suit the specific arrangement of cages in the waterbody. For example, a hypothetical sampling design might involve compositing three grab samples from each station, with individual grabs taken at cage bottom depth (2.0 m), middle cage depth (1.0 m) and near surface (0.2 m). TP concentration of water samples shall be analyzed by an accredited laboratory or using a method with a detection limit of ≤ 0.002 mg/l. DO measurements shall be taken at 50 cm (0.5m) from the bottom sediment (or at a depth of 25 m where sampling at greater depths is impractical). Note 1: The ASC encourages farms to consider additional factors (see Instructionsfor Indicator 3.2.5) when designing a water quality monitoring program. Note 2: If local regulatory authorities prescribe a specific sampling regime, farms should inform the CAB. Some flexibility may be allowed by qualitied team members, as to the exact location and method of sampling in order to avoid duplication of sampling efforts.			
		a. Conduct ≥ 6 months of water quality monitoring before first audit and submit to CAB.	≥ 6 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. Arrange to conduct water quality monitoring at location of auditor's choice, during the audit of the farm.	N/A		
		e. Collect water samples at the same location as 3.3.3a and obtain analysis from a water quality laboratory at least once annually.	N/A		
		f. Assure that values from laboratory are consistent with values obtained from laboratory results. If values differ by >5%, demonstrate how equipment has been recalibrated, replaced, or how procedures have been modified.	N/A		
		g. Submit data on water quality monitoring to ASC as per Appendix II-B.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All cage-based systems	3.3.4	**Instruction to Clients for Indicator 3.3.4 - Establishing a Baseline Total Phosphorus Concentration** Indictors 3.3.4, 3.3.6, and 3.3.7 require that the farm has knowledge of a 'baseline' value for total phosphorus (TP) concentration of the water body in which the farm operates. Farms may establish the baseline TP concentration in one of two ways: Option 1 - Adopt a Baseline Set by a Competent Authority For a water body where a baseline total phosphorus concentration has been set by competent authority that is independent of the farm (e.g. regulatory agency, peer reviewed scientific study), the farm shall adopt that value as the baseline TP concentration. Option 2 - Establish a Baseline Using Empirical Evidence For a water body where no authoritative baseline exists, an alternative is for farms to establish a baseline themselves using at least one year of monitoring results for TP concentration. To pursue this second option, farms will follow all relevant requirements for monitoring TP. Data collection requirements are essentially the same as those for routine monitoring of TP concentration (as described under Indicator 3.3.3 and Appendix II-G). The only exception is that establishment of baseline TP concentration is calculated using at least four quarterly samples taken exclusively from the 'pristine' sampling station. For first audits, farms may demonstrate compliance by showing that a reputable authority (e.g. government agency, peer reviewed scientific study) has established a baseline TP concentration for the water body (option 1). Alternately, farms may provide evidence a baseline TP concentration has been established using empirical evidence. exceed ≤ 20 µg/l in the water body of operation. Evidence may derive from a monitoring program operated by the farm itself or a suitably qualified external party.			
		a. Provide CAB with a description of the farm's TP monitoring program (e.g. sampling station, sampling protocol, name of laboratory used).	N/A		
		b. Implement monitoring of TP as described in the instructions for Indicator 3.3.3.	N/A		
		c. Identify the baseline TP concentration of the water body (see Instructions above) and provide the CAB with evidence to show how this value was established.	N/A		
		d. Provide monthly TP monitoring data to the CAB as indicated in Appendix II-B	N/A		
All cage-based systems	3.3.5	a. Provide CAB with a description of the farm's oxygen saturation monitoring program (see Indicator 3.3.3).	N/A		
		b. Implement monitoring of oxygen saturation according to the methods described above.	N/A		
		c. Provide oxygen monitoring data to the CAB.	N/A		
	3.3.6	a. Obtain documentary evidence stating the trophic status of water body if previously set by a competent authority (if applicable). If not, got to 3.3.6.b.	N/A		
		b. If the trophic status of the water body has not previously been classified, use the baseline TP concentration (result from 3.3.4c) to assign a trophic status to the water body according to the table in Appendix II-H.	N/A		
All cage-based systems as specifed according to size of water body in which the farm operates	3.3.7	**Instruction to Clients for Indicator 3.3.7 - Calculation of Percent Increase in TP from Baseline** Indicator 3.3.7 requires that farms calculate the increase in total phosphorus (TP) concentration from a baseline value for the water body in which the farm operates. Farms need to demonstrate twelve months of TP data; and at least six months with defined criteria prior to first-time audit. Farms will use the same 'baseline TP' concentration as determined previously (see above instruction for Indicator 3.3.4) for the water body. Percent change in TP from baseline is calculated as follows: $\Delta TP = [(TP_{Current} - TP_{Baseline})/TP_{Basline}] * 100$ Where: $TP_{Current}$ is the annual average TP concentration (mg/l) as observed over the most recent 12 months; and $TP_{Baseline}$ is the baseline TP concentration (mg/l) as perviously established for the water body.			
		a. Identify the baseline TP concentration that will be used to calculate percent change from baseline, using the result from Indicator 3.3.4 (above).	N/A		
		b. Identify the size of the water body in which the farm operates, using the result from Indicator 3.3.1 and 3.3.2 (above).	N/A		
		c. Calculate the current annual average concentration of TP, using TP monitoring data from the reference station taken over the past 12 months.	N/A		
		d. Calculate the difference between 'baseline TP' and the annual average TP concentration over the most recent 12 months according to the instructions given above.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All cage-based systems	3.3.8	**Instruction to Clients for Indicator 3.3.8 - Calculation of Total Phosphorus Released per Ton of Fish Produced** Farms must demonstrate compliance with the requirement of Indicator 3.3.8 which specifies the maximum amount of phosphorus that a producer can release into the environment per metric ton (mt) of fish produced over a 12-month period. The requirement is set at 5 kg/mt for the first three years from date of publication of the ASC Freshwater Trout Standard (i.e. from 7 February 2013 until 7 February 2016), dropping to 4 kg/mt thereafter. The calculation of total phosphorus released is made using a "mass balance" approach. Detailed instructions and formulas are given in Appendix II-A. Sludge removals will reduce the total amount of phosphorus that a farm releases into the environment. When performing the calculation in Appendix II-A, farms may include the weight of P that was removed as sludge if there is evidence to show that: - the farm has records showing the total quantity of sludge removed from site over the relevant time period; - the farm determined phosphorus concentration (% P) in removed sludge by sampling and analyzing representative batches; and - the sludge was properly disposed off site and in accordance with the farm's biosolid (sludge) management plan.			
		a. Maintain records showing the amount and type of feeds used during the past 12 months.	N/A		
		b. Keep records showing phosphorus content as determined by chemical analysis or based on feed supplier declaration (Appendix II-A), for all feeds used (result from 3.3.8a).	N/A		
		c. Calculate the total amount of phosphorus added as feed during the last 12 months of production, using equation #1 from Appendix II-A and results from 3.3.8a and b.	N/A		
		d. Maintain records for stocking, harvest and mortality which are sufficient to calculate the amount of biomass produced (equation #2 in Appendix II-A) during the past 12 months. Value taken from 3.2.1.d.	N/A		
		e. Calculate the amount of phosphorus in fish biomass produced (result from 3.3.8d) using equation #3 in Appendix II-A.	N/A		
		f. Maintain records showing the total amount of P removed as sludge (equation #4 in Appendix II-A) during the past 12 months, if applicable. This compliance criteria valid for flow-through systems but does not apply for cage systems.	N/A		
		g. Calculate total phosphorus released per ton of fish produced, using the formula in Appendix II-A and results from 3.3.8a-f (above).	N/A		
All farms	4.1.1	Note: If the farms has a separate crisis management plan to cover food safety issues, that plan may be incorporated by reference into the farm's Farm Health Plan.			
		a. Provide a Farm Health Plan (FHP) that is site-specific and addresses biosecurity, veterinary health, crisis management, and risk assessment.	N/A		
		b. Ensure that the FHP is reviewed and updated at least annually with signatures by farm management indicating approval.	N/A		
		c. Ensure that the farm's designated veterinarian reviews and approves the FHP annually and after each update of the FHP, by signature.	N/A		
	4.1.2	Note: health status metrics should be weighted towards serious conditions, not transitory ones.			
		a. Design a set of health status metrics that can be evaluated at all relevant phases of the life history. Note: metrics for serious health conditions (e.g. symptoms of infectious disease) should outweigh metrics for transitory conditions (e.g. fin abrasions). Have the metrics reviewed and approved by the farm's designated health care professional.	N/A		
		b. Ensure that the farm's designated health care professional samples fish on-site during an annual inspection and maintains records of conditions using metrics defined by 4.1.2a.	N/A		
		c. Ensure that the samples of health condition (from 4.1.2b) are taken from all of the main cohorts in production during each health status inspection.	N/A		
		d. Prior to accepting a transfer of fish (whether the transfer is internal or external), ensure that the supplier has evaluated fish using the farm's health status metrics in 4.1.2a. Farm's may also use evidence from statutory evaluations (e.g. health certificates) as a basis for accepting transfers provided that the evaluations are appropriately documented.	N/A		
		e. Ensure that responsible farm staff are trained to evaluate fish condition using health status metrics. Training should include instruction on how to identify fish health symptoms. Farms may decide for themselves on the most effective training tools (e.g. lectures, courses, tests) and frequency of training and re-training (e.g. annually, every two years, etc).	N/A		
		f. Arrange for the farm's veterinary health professional to review the accuracy of fish health condition scores that were assigned by trained farm staff. This validation exercise may be done annually on a small sample of fish.	N/A		
All farms	4.1.2	g.Ensure that a sub-sample of fish are screened from each batch prior to transfer. Any batch which does not conform is returned to the supplier with health status metrics recorded.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	4.1.3	a. Ensure that receivers evaluate fish health condition using metrics defined by the farm's designated veterinary health specialist (4.1.2a) at the receiving location prior to transfer, and to convey this information prior to transfer.	N/A		
		b. Ensure that trained farm staff (4.1.2e) evaluate the health condition of a subsample of individuals prior to moving fish off site.	N/A		
		c. Ensure that fish are only moved off site if there are records demonstrating that fish health in the receiving location is equal to or less than that in the shipping location.	N/A		
	4.1.4	a. Provide written protocols for site access, disinfection and hygiene (these protocols may be incorporated into the Farm Health Plan in 4.1.1a).	N/A		
		b. Make direct reference to national regulations related to site access, disinfection and hygiene, in the above protocols (4.1.4a).	N/A		
		c. Ensure that farm protocols for site access, disinfection and hygiene are implemented.	N/A		
	4.1.5	a. Maintain records for-disposal of all mortalities and fish trimmings.	N/A		
		b. Provide a protocol for biosecure disposal of biological tissue and fish trimmings with a rationale explaining how biosecurity is achieved.	N/A		
		c. In the above protocol (4.1.5b), make explicit reference to any national regulations related to disposal of biological waste.	N/A		
	4.1.6	**Instruction to Clients for Indicator 4.1.6 - Investigation of major Mortality Events** Indicator 4.1.6 requires that farms immediately investigate all major mortality events and attempt to identify cause. For the purposes of this Standard, a mortality event is any time period where fish experience a sharp increase in mortality rates such that the number of deaths increases significantly over background levels when compared on a monthly basis. The SC recognizes that fish have variable mortality rates over the course of their life cycle and that it is not practical for farms to attempt to explain or investigate every fish death. Nonetheless, a sudden increase in mortality rates requires immediate action and farms shall investigate the cause for all major mortality events. Note: An on-site investigation of mortality events (4.1.6c) is not required when farms proceed immediately to have all major mortality events investigated off-site (4.1.6d).			
		a. Maintain records of all mortality events and identify the actions taken. Collected data should indicate a baseline mortality as well as major mortality events.	N/A		
		b. Maintain records to show that the farm undertook immediate investigation (i.e. within 24 hours of detection), for each major mortality event identified in 4.1.6a.	N/A		
		c. For investigation of major mortality events that are coducted on site, maintain a record of the tests used and the results obtained.	N/A		
		d. Provide a relevant fish health professional perform an off site investigation and keep a record of their opinion as to cause, for any major mortality events in 4.1.6c where the results were unexplained or unattributed.	N/A		
	4.1.7	a. Maintain log showing the date of visit, title and affiliation of designated veterinarian.	N/A		
		b. Obtain signature from designated veterinarian confirming inspection and date.	N/A		
		c. Maintain on site, a current (within 3 years) CV of the farm's designated veterinarian.	N/A		
	4.1.8	a. Include rationale for maximum stock density in the farm health plan (see 4.1.1) that refers to peer reviewed reference material.	N/A		
		b. Obtain a statement signed by the designated veterinarian and site manager confirming their joint determination of maximum stock density.	N/A		
All farms	4.2.1	a. Provide requisite protocols which include at a mimimum: name of the veterinary health professional prescribing treatment; product name and chemical name (for all therapeutants and antimicrobials); treatment plan and reason for use (specific disease); date(s) of treatment; amount (g) of product used; dosage; quantity of fish treated (mt); WHO classifcation of any antibiotics used; and supplier of chemicals or therapeutants.	N/A		
		b. Maintain all required records and receipts listed in 4.2.1a.	N/A		
	4.2.2	a. Maintain a list of therapeutants (including antibiotics) banned by the EU and update the list no less than annually.	N/A		
		b. Ensure that staff responsible for purchasing and administering therapeutants (including antibiotics) are aware of banned therapeutants listed in 4.2.2a.	N/A		
		c. Maintain records of voluntary and/or mandatory chemical residue testing conducted or commissioned by the farm from the prior and current production cycles.	prior and current production cycles before first audit		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	4.2.3	**Instructions to Clients for Indicator 4.2.3 - Use of Prebiotic and Probiotic Treatments** Under Indictor 4.2.3, the prophylactic use of chemical antimicrobial treatments is not permitted. However the use of prebiotics and probiotic treatments is excluded from this requirement if their usage has been approved by a regulatory process that includes a risk assessment [23]. For such usage to be considered under this exclusion, farms must: - present the auditor with the outcome of a risk assessment; - demonstrate that the regulatory body stipulates clearly who may conduct such risk assessments; - show that the risk assessor met these qualifications; and - show the auditor the portion of the risk assessment that articulates both allowance for the prebiotics or probiotics in use along with a rationale that references peer reviewed literature. The CAB shall review the above evidence to determine if prebiotics and/or probiotics usage qualifies for exclusion. Farms shall not use any prebiotic or probiotic compounds that are banned under EU law (see Indicator 4.2.2). If the CAB determines that farm usage of prebiotics and probiotics is in compliance with requirements, the CAB shall provide a rationale in the audit report. Note: The washing of eggs with chemical antimicrobial treatments is permitted under this standard.			
		a. Inform the CAB if the farm used any prebiotic or probiotic treatments for the last full production cycle and, if applicable, provide chemical names.	N/A		
		b. Maintain records of all chemical antimicrobial treatments for the last full production cycle as per 4.2.1a and 4.2.1b.	N/A		
		c. Provide records to show that all chemical anitmicrobial treatments identified in 4.2.3b were prescribed by the farm's veterinary health care professional before application.	N/A		
All farms	4.2.4	**Instructions to Clients for Indicator 4.2.4 - Public Disclosure of Antimicrobial Treatments** Indicator 4.2.4 requires that farms make public disclosure of all antimicrobial treatments used on the farm. It is the intent of the ASC Freshwater Trout Standard that certified farms make public all applications of antibiotic treatments in order to better inform interested parties about the extent of their use. In this context, a public disclosure means that the farm has made the information easily accessible to any interested party. Generally it is envisioned that farms will make disclosures via the internet (e.g. by posting on the farm website). However ASC will allow farms to make public disclosures using other forms of media (e.g. newspaper ads, list server notifications, email distributions) if they are shown to be a more effective way to inform interested parties. In some situations, it may be impractical for a farm to make discosure via the internet (e.g. because of poor internet access or lack of a company website). Such farms may choose to make their public disclosure using the ASC website. To do so, farms must use the form in Appendix VI of the ASC Salmon Standard (not the ASC Trout Standard) to list all antimicrobial treatments that were used on the farm over the last full production cycle. The farm then submits this information to ASC for publication on the ASC website.			
		a. Maintain records of all antimicrobial treatments for the last full production cycle as per 4.2.1b.	N/A		
		b. Make a public disclosure of all the antimicrobial treatments listed in 4.2.4a, by publishing the information on the farm's website or via another more effective medium (see Instructions above).	N/A		
		c. Farms may choose to make a public disclosure using the ASC website, as an alternative to 4.2.4b. If applicable, use the form in Appendix VI of the ASC Salmon Standard to list all antimicrobial treatments used on the farm. Then submitt the completed form to ASC for publication on the ASC website.	N/A		
	4.2.5	a. Request that the veterinary health professional creates a record listing diseases that present a risk in the region and the relevant, available vaccine (or absence of a suitable vaccine).	N/A		
		b. Maintain a record of all vaccinations administered.	N/A		
		c. Request that the veterinary health professional supplies a written rationale for avoiding vaccination in the vaccination record. Where the veterinary health professional has listed a disease that does not have a commercially viable vaccine, or a when an existing vaccination has not been administered (for whatever reason).	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms		**Instruction to Clients and CABs for Auditing Indicators 5.1.1 through 5.4.4 - Sourcing of Responsibly Produced Trout Feeds** Farms must show that all feeds used by the farm are produced in compliance with the requirements of Indicators 5.1.1 through 5.4.4. To do so, trout producers must work directly with their feed producers (see note 1) to demonstrate compliance. Farms will need to obtain from their feed producers the results from third-party audits which demonstrate that feed producers have robust information systems and information handling processes to allow the feed producers to be able to bring forward accurate information about their production and supply chains. Declarations from the feed producer that are provided to the farm to demonstrate compliance with these indicators must be supported by the audits. Farms must also show that all of their feed producers are duly informed of the requirements of the ASC Freshwater Trout Standard relating to sourcing of responsibly produced trout feed (see 4.1.1b below). In addition to the above, farms must also show that their feed suppliers comply with the more detailed requirements for traceability of feed ingredients listed under Indicator 5.1.1. and 5.2.3. The ASC Freshwater Trout Standard permits two methods for demonstrating compliance with the standard: Method #1. This method requires the farm to buy feed that contains the ingredients as specified in these standards and provide an auditor with third-party documentation that the manufacturing process did indeed produce this special feed for the farmer. Method #2. Farmers also have a second option, commonly referred to as the “mass-balance approach.” With this option, the farm’s feed manufacturer must demonstrate, using a third-party audit, that it purchased the appropriate amount and type of ingredients to supply feed to all its customers requesting specific ingredients through schemes such as the ASC Freshwater Trout Standard . These ingredients, however, would be mixed into the general silos and production lines of the manufacturer, greatly reducing costs associated with special storage capacity and production lines. This mass-balance approach is commonly used in other certification schemes and in situations such as purchasing “green” energy off an electricity grid. Ingredients that could be included in a mass-balance approach are primary fishmeal and fish oil inputs, as well as vegetable ingredients such as soy. Note 1: The term "feed producer" is used here to identify the organization that produces the fish feed (i.e. it is the "feed manufacturer"). In most cases, the organization supplying feed to a farm (i.e. the feed supplier) will be the same organization that produced the feed, but there may be instances where feed suppliers are not directly responsible for feed production. Regardless of whether the farm sources feeds directly from a feed producer or indirectly through an intermediary organization, it remains the farm's obligation to show evidence that all feeds used are in compliance with requirements.			
	5.1.1	a. Obtain a list from each feed producer of all ingredients representing more than 1% by weight of the feed as specified in Indicator 5.1.2 (below).	N/A		
		b. Provide copies of third-party documentation showing certified traceability of the production site and (for fish products), fishing area, landing site, species and harvest method, for all feed ingredients identified in 5.1.1.a.	N/A		
		c. Collate three examples of traceback procedures conducted by a third-party auditor for the selected feed ingredients to the point of landing and vessel, in the source fishery, for three ingredients of marine origin (fewer if fewer are used).	N/A		
		d. Provide a report from an onsite third-party audit of the feed manufacturer to assure traceability as in 5.1.1.b, for producers wishing to source from a feed manufacturer using a mass balance approach.	N/A		
	5.1.2	a. Obtain a statement from each feed supplier (on company letterhead) identifying all feed ingredients that make up more than 1% of the feed by weight. Market names must be accompanied by scientific latin names for natural ingredients and formal chemical nomenclature for synthetic products.	N/A		
All farms	5.2.1	**Instruction to Clients for Indicator 5.2.1 - Feeds Containing Products that are Certified under an ISEAL-Accredited Scheme** ISEAL is the International Social and Environmental Accreditation and Labelling Alliance - a global association for social and environmental standards systems (see http://www.isealalliance.org). These requirements strive to meet the ISEAL guidelines for standard setting. The farm’s feed manufacturer may use the “mass balance approach” to demonstrate that it purchased the appropriate amount and kind of “certified” ingredients to supply feed to all of its customers making a similar request over a given period of time. It is understood that ingredients will be mixed in silos and production lines, reducing costs associated with special storage capacity and production lines. This could be done instead of requiring documentation for a single batch per farm, which remains an option.			
		a. Provide a policy stating the company's support of efforts to shift feed manufacturers purchases of fishmeal and fish oil to fisheries certified under a scheme that is an ISEAL member and has guidelines that specifically promote responsible environmental management of small pelagic fisheries. Include supporting text from the relevant portion of the certification scheme showing management unique to small pelagics.	N/A		
		b. Provide a letter stating the farm's intent to preferentially source feed containing fishmeal and fish oil originating from fisheries certified under the type of certification scheme in 5.2.1a and inform all feed suppliers.	N/A		
		c. Provide a list of the origin of all fish products used as feed ingredients, using the feed inventory and feed supplier declarations in 5.1.2a.	N/A		
		d. Identify which fishmeal and fish oil feed ingredients come from fisheries certified under a scheme that is ISEAL-accredited and has guidelines that specifically promote responsible environmental management of small pelagic fisheries, using the list from 5.2.1c.	N/A		
		e. Provide evidence that the volume of certified ingredients (result from 5.2.1d) is ≥ 10% of the total volume of fishmeal and fish oil ingredients (result from 5.2.1c), starting 7 February 2016.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	5.2.1	f. Provide evidence that 100% of fishmeal and fish oil used in feed come from certified fisheries as per 5.2.1d, starting 7 February 2018.	N/A		
	5.2.2	**Instruction to Clients for Indicator 5.2.2 - FishSource Score of Products Used in Feed** To determine FishSource scores of fish species used as feed ingredients, do the following: - go to http://www.fishsource.org/ - select "Species" drop down tab to the left - select the species that is utilized by the farm as a source of fish meal or oil - confirm that the search identifies the correct species, then select the top tab that reads "Scores" - Review scores to verify compliance. If results show the species does not meet all the criteria, then the feed does not meet requirements of the Standard. If the species has not been assessed (i.e. it is not listed on the FishSource website), then the feed does not meet requirements of the Standard. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment. If agreed with SFP, a qualified independent third party may be contracted to conduct an assessment of the source fishery using the FishSource methodology. The report must be reviewed following SFP's standard operating procedures. **Note:** Indicator 5.2.2. applies to fishmeal and oil from reduction fisheries and not to by-products or trimmings used in feed.			
		a. Provide a FS score for each fish species identified as a feed ingredient (see 5.1.2a) for all feeds used by the farm during the last 12 months. For first audits, farm records must cover ≥ 6 months.	≥ 6 months before first audit		
	5.2.3	**Instruction to Clients for Indicator 5.2.3 - Third-Party Verification of Traceability** Indicator 5.2.3 requires that farms show that their feed producers can demonstrate chain of custody and traceability as verified through third-party audits. Farms may submit reports from audits of feed producers (see 5.1.1b) as evidence that traceability systems are in compliance. Alternatively, farms may show that their feed producers comply with traceability requirements of Indicator 5.1.1. by submitting evidence that suppliers, and the batches of fishmeal and oil, are certified to the International Fishmeal and Fish Oil Organization's Global Standard for Responsible Supply or to the Marine Stewardship Council Chain of Custody Standard. For the first audit, a minimum of 6 months of data on feed is required and evidence shall relate to species used in said dataset.			
		a. Obtain from the feed supplier documentary evidence that the origin of all fishmeal and fish oil used in the feed is traceable via a third-party verified chain of custody or traceability program.	N/A		
		b. Ensure that all species within the scope of the chain of custody or traceability program align with fish meal and fish oil ingredients used in the farm's feeds (consistent with 5.2.2.a and 5.3.1.a).	N/A		
All farms except as noted in [27]	5.2.4	Note: Instructions for searching the IUCN database are given under Indicator 2.1.3.			
		a. Compile and maintain a list (as per 5.3.1a below) of the fishery of origin for all fishmeal and fish oil originating from by-products and trimmings.	N/A		
		b. For each by-product species (5.2.4a) that is an ingredient of any feed used during the last 12 months, search the IUCN database to determine if it is categorized as vulnerable, endangered, or criticatlly endangered. For first audits, farm records must cover ≥ 6 months.	≥ 6 months before first audit		
Footnote [27]		An exception is made for sub-populations of “vulnerable” species that can demonstrate healthy populations through a fishery certified by the Marine Stewardship Council, or approved by the technical committee of the IFFO Responsible Sourcing standard.			
All farms	5.3.1	**Instruction to Clients for Indicator 5.3.1 - Calculation of Fish Meal FFDR** Farms must calculate the the Fishmeal Forage Fish Dependency Ratio (FFDRm) according to formula presented in Appendix III, subsection 1) c, using data from the most recent complete production cycle. Farms must also show that they have maintained sufficient information in order to make an accurate calculation of FFDRm as outlined below. For first audits, farms may be exempted from compliance with Indicator 5.3.1. for the most recent complete production cycle (i.e. if the FFDRm of the most recent crop was > 1.5) if the farm can satisfactorily demonstrate to the auditor that: - the client understands how to accurately calculate FFDRm; - the client maintains all information needed to accurately calculate FFDRm (i.e. all feed specs for > 6 months) for the current production cycle; and - the client can show how feed used for the current production cycle will ensure that the farm will meet requirements at harvest (i.e. FFDRm < 1.5).			
		a. Maintain a detailed inventory of the feed used including: - Quantities used of each formulation (kg); - Percentage of fish oil in each formulation used; - Source (fishery) of fish oil/EPA/DHA in each formulation used; - Percentage of oil in each formulation derived from trimmings; and - Supporting documentation and signed declaration from feed supplier.	N/A		
		b. Calculate FFDRm using formulas in Appendix III. Exclude fish meal derived from rendering of seafood by-products (e.g. the "trimmings" from a human consumption fishery).	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
Option A; All farms, but note that farms may choose to demonstrate compliance with either Option A or Option B under Indicator 5.3.2.	5.3.2 Option A	Note: Farms are allowed select one of two options (Option A or Option B) to demonstrate compliance with the requirements of Indicator 5.3.2.			
		Instruction to Clients for Indicator 5.3.2 Option A - Calculation of Fish Oil FFDR Farms must calculate the the Fish Oil Forage Fish Dependency Ratio (FFDRo) according to formula presented in Appendix III, subsection 1) c, using data from the most recent complete production cycle. Farms must also show that they have maintained sufficient information in order to make an accurate calculation of FFDRo as outlined below. For first audits, farms may be exempted from compliance with Indicator 5.3.2. for the most recent complete production cycle (i.e. if the FFDRo of the most recent crop was > 2.95) if the farm can satisfactorily demonstrate to the auditor that: - the client understands how to accurately calculate FFDRo; - the client maintains all information needed to accurately calculate FFDRo (i.e. all feed specs for > 6 months) for the current production cycle; and - the client can show how feed used for the current production cycle will ensure that the farm will meet requirements at harvest (i.e. FFDRo < 2.95). Note: exclude from these calculations oil derived from rendering of seafood by-products (e.g. the "trimmings") from a human consumption fishery.			
		a. Inform the CAB whether the farm choses **Option A** or **Option B** to show compliance. If Option A is selected, proceed directly to 5.3.2b below. Otherwise, skip to Option B in the next section.	N/A		
		b. Maintain a detailed inventory of the feed used as specified under 5.3.1a.	N/A		
		c. Calculate FFDRo using formulas for eFCR value as given in Appendix III.	N/A		
Option B; All farms, but note that farms may choose to demonstrate compliance with either Option A or Option B under Indicator 5.3.2.	5.3.2 Option B	**Instruction to Clients for Indicator 5.3.2 Option B - Calculation of EPA and DHA in Feed** Farms that choose Option B must show that the feeds used by the farm do not exceed the maximum level of EPA/DHA content. Detailed instructions for calculating EPA and DHA content are given in Section 2 of Appendix III. For these calculations, farms should exclude oil derived from rendering of seafood by-products (e.g. the "trimmings") from a human consumption fishery.			
		a. Inform the CAB whether the farm choses **Option A** or **Option B** to show compliance. If Option B is selected, proceed directly to 5.3.2b below. Otherwise, return to Option A in the previous section.	N/A		
		b. Maintain a detailed inventory of the feed used as specified under 5.3.1a.	N/A		
		c. Calculate EPA/DHA percentage using formula in Section 2 of Appendix III.	N/A		
All farms	5.4.1	Note: In determining whether the policies of a feed manufacturer fulfill the requirements of Indicator 5.4.1, the CAB may also consider evidence such as certificates issued by independent third-parties against relevant requirements covering internationally recognized moratoriums and laws.			
		a. Compile and maintain a list of all feed suppliers with contact information (see also 5.1.1a).	N/A		
		b. Obtain from each feed manufacturer a copy of the manufacturer's responsible sourcing policy for feed ingredients showing how the company complies with recognized crop moratoriums and local laws [30].	N/A		
		c. Obtain copies of third-party audits of feed suppliers (5.1.1) and confirm that these show evidence that supplier's responsible sourcing policies are implemented.	N/A		
Footnote [30]		Specifically, the policy shall include that vegetable ingredients, or products derived from vegetable ingredients, must not come from the Amazon Biome as geographically defined by the Brazilian Soya Moratorium.			
All farms	5.4.2	a. Provide a letter to each feed supplier stating the farm's intention to source only feeds with soy ingredients that are certified by the Roundtable for Responsible Soy (RTRS) or equivalent.	N/A		
		b. Keep records to show that the farm sent the letter of intent (5.4.2a) to each feed supplier.	N/A		
		c. Obtain and maintain declarations from all feed suppliers detailing the origin of soya in the feeds.	N/A		
		d. Provide evidence that all soya used in feed is certified by the RTRS or equivalent [31], starting 7 February 2018.	N/A		
Footnote [31]		The technical governance structure of the ASC must approve any other certification scheme as equivalent.			
All farms	5.4.3	**Instruction to Clients and Auditors for Indicator 5.4.3 - Disclosure of Feed Ingredients Containing Transgenic Plant Material** Indicator 5.4.3 requires farms to ensure that their feed suppliers disclose any transgenic plant material used as a feed ingredient where that material comprises more than 0.9% of the total weight of feed. Farms must maintain documentary evidence that the suppliersof GM-free feed ingredients have made such disclosures. Documentary evidence must include a written statement (i.e. a disclosure or declaration) from the feed manufacturer detailing each of the plant materials used as feed ingredients and a listing of all ingredients where transgenic plant materials comprises >0.9% by weight. Optional: feed manufacturers may also provide farms with the results of testing for Genetically modified Organisms (GMOs) as evidence of compliance. In cases where farmer states use of feed with NO gmo feed ingredients, he/she must demonstrate clear evidence by results of biomolecular testing by the feed manufacturer.			
		a. Obtain from feed suppliers a disclosure detailing all plant material used as feed ingredients (i.e. soya and others plants) and specify which of these ingredients contains >0.9% transgenic plant material by weight.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	5.4.4	Note: for the purposes of Indicator 5.4.4, the direct purchaser or 'buyer' is considered to be the person or entity who makes payment to the producer in exchange for possession of harvested fish.			
		a. Ensure that the farm can identify any harvested fish that were fed with feeds with ingredients containing > 0.9% transgenic plant material (i.e. those feeds specified in 5.4.3a). If no such feeds were identified in 5.4.3a, then Indicator 5.4.4 is not applicable.	N/A		
		b. Compile a list of all buyers who may have obtained fish from the harvest in question, if disclosures about transgenic matrial are needed (based on 5.4.4a). The list must include contact details of buyers.	N/A		
		c. Make disclosures to all buyers listed in 5.4.4b, as applicable (based on 5.4.4a). Maintain documentary evidence of disclosures. For first audits, farm records of disclosures must cover > 6 months.	≥ 6 months before first audit		
All farms	5.5.1	**Instruction to Clients for Indicator 5.5.1 - Energy Use Assessment** Indicator 5.5.1 requires that farms must have an assessment to verify on-farm energy consumption. The ASC Freshwater Trout Standard does not prescribe who must perform the assessment nor which assessment protocol must be followed so long as the energy use assessment meets the intent of the standard as described here. Farms may perform the assessment may be performed internally or it may be done externally by a third-party entity. In either case, recommended assessment methodologies include the GHG Protocol Corporate Standard (http://www.ghgprotocol.org/files/ghgp/public/ghg-protocol-revised.pdf) or ISO 14064-1 (http://www.iso.org/iso/catalogue_detail?csnumber=38381). The scope of Indicator 5.5.1 is restricted to operational energy use on the farm site(s) that is applying for certification. It does not include energy used in off-site production activities (i.e. production of feed or fingerlings). However the ASC encourages companies to integrate energy use assessments across the full life cycle of products for the company. For the purposes of calculating energy consumption, the relevant timeframe is 12 months (i.e. annually).			
		a. Maintain records for all energy consumption on the farm by source (fuel, electricity) throughout the year.	N/A		
		b. Calculate the farm's total energy consumption in kilojoules (kj) during the last 12 months, using the results from 5.5.1a and relevant conversion factors.	≥ 12 months before first audit		
		c. Calculate the total weight of fish produced (in metric tons, mt) during the last 12 months. When calculating total annual production, it is acceptable for farms to estimate the total weight using records for processed weight or tonnage sold.	≥ 12 months before first audit		
		d. Calculate energy consumption on the farm in kilojuoule/mt fish/year, using the results of 5.5.1b divided by the results of 5.5.1c.	N/A		
		e. Provide the CAB with evidence that the farm has had an energy use assessment (see Instructions above) within the last 12 months.	≥ 12 months before first audit		
All farms	5.6.1	a. Maintain a written list of all types of combustibles used on the farm.	N/A		
		b. Ensure that all combustibles are stored in waterproof bunds.	N/A		
	5.6.2	a. Maintain a detailed list of all chemicals or therapeutants on the farm.	N/A		
		b. Ensure that all chemicals or therapeutants are stored in impermeable containers or buildings.	N/A		
	5.6.3	a. Provide a written policy or procedure explaining how used lubricants are recycled or turned over to a waste management company. If no waste management company exists, obtain a signed letter from the government agency in charge of waste disposal at the provincial/state level as confirmation.	N/A		
		b. Maintain receipts of payment for services where waste is collected by a waste management company.	N/A		
	5.6.4	Note: When chemical containers are re-used, it shall be only for the purpose of refilling with the same chemical. Farms should not re-fill containers with different chemicals because of the risk of mislabeling. Farms should never reuse the packaging/containers of hazardous materials.			
		a. Provide a written policy explaining how the chemical containers are reused or turned over to a waste management company. If no waste management company exists, obtain a signed letter from the government agency in charge of waste disposal at the local level as confirmation that neither public nor private waste disposal services are available.	N/A		
		b. Maintain records of chemical purchases and demonstrate tallied alignment against the number of containers in re-use/re-cycled.	N/A		
	5.6.5	a. Provide a written farm policy explaining how and which non-hazardous, non-recyclable wastes are turned over to a waste management company or buried on-site. If no waste management company exists, obtain a signed letter from the government agency in charge of waste disposal at the local level as confirmation that neither public nor private waste disposal services are available.	N/A		
		b. Show that an outside expert (hired groundwater or geology consultant with minimum of five years experience and university degree, or academic groundwater geologist) has signed a letter affirming that waste burial poses no risk of contamination to surface and underground waters, for on-site burial of waste. Maintain CV of outside expert on file for possible inspection.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	5.6.5	c. Include a statement in the farm waste disposal policy (5.6.5a) which prohibits the burning of non-hazardous, non-recyclable wastes.	N/A		
		d. Maintain receipts of payment for services, where waste is collected by a waste management company.	N/A		
		e. Show schedule of collections where waste collection is a public service.	N/A		
	5.6.6	a. Provide a list of the three closest recycling facilities for relevant farm products (regardless of how far away these may be). Provide the auditor with contact informationl for the local waste management agency. If the farm is obligated to utilize a designated recycling facility (e.g. as specified in local regulations or environmental use permit), the farm shall provide this information to the auditor.	N/A		
		b. Provide a written statement articulating the farm's commitment to recycle waste from production.	N/A		
		c. Provide a description of the types of production waste materials and how these are either disposed of, or recycled.	N/A		
		d. Inform CAB of any infractions or fines for improper waste disposal received during the previous 12 months and corrective actions taken.	≥ 12 months before first audit		
All farms	6.1.1	Note: In most countries, the law states that minimum age for employment is 15 years. There are two possible exceptions: - in developing countries where the legal minimum age may be set to 14 years under the developing country exceptions in ILO convention 138; or - in countries where the legal minimum age is set higher than 15 years, in which case the legal minimum age of the country is followed. If the farm operates in a country where the legal minimum ages is not 15, then the employer shall maintain documentation attesting to this fact.			
		b. Maintain age records for employees that are sufficient to demonstrate compliance.	N/A		
All farms	6.2.1	f. Maintain payroll records and be advised that workers will be interviewed to confirm the above.	N/A		
All farms	6.3.1	a. Provide a written anti-discrimination policy in place, stating [41] the company does not engage in or support 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. Provide a clear and transparent company procedures that outline how to raise, file, and respond to discrimination complaints.	N/A		
		c. Maintain respect to the principle of equal pay for equal work and equal access to job opportunities, promotions and raises.	N/A		
		d. Provide training on diversity and non-discrimination for all managers and supervisors. All personnel receive non-discrimination training. Internal or external training is acceptable if proven effective.	N/A		
Footnote [41]		Employers shall have written antidiscrimination policies stating the company does not engage in or support 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.			
All farms	6.3.2	a. Maintains a record of all discrimination complaints. These records do not show evidence for discrimination.	N/A		
All farms	6.4.1	a. Provide documented practices, procedures (including emergency response procedures) and policies to protect employees from workplace hazards and to minimize risk of accident or injury. The information shall be available to employees.	N/A		
		b. Practices, policies and procedures are regularly revised to address workplace hazards that were identified in risk assessments (see Indicator 6.4.5, risk assessents revised at least annually).	N/A		
		d. 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, Occupational Safety and Health (OSH) and effective use of PPE.	N/A		
	6.4.2	a. Records all health- and safety-related accidents.	N/A		
		b. Maintain complete documentation for all occupational health and safety violations.	N/A		
		c. Implement corrective action plans in response to any accidents that occur. Plans are documented and they include an analysis of root cause, actions to address root cause, actions to remediate, and actions to prevent future accidents of similar nature.	N/A		
	6.4.3	a. Maintain documentation to confirm that all personnel are provided sufficient insurance to cover costs related to occupational accidents or injuries (if not covered under national law). Equal insurance coverage must include temporary, migrant or foreign workers. Written contract of employer responsibility to cover accident costs is acceptable evidence in place of insurance.	N/A		
	6.4.4	a. Maintains a list of all health and safety hazards (e.g. chemicals).	N/A		
		b. Provides workers with PPE that is appropriate to known health and safety hazards.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	6.4.5	a. Make regular assessments of hazards and risks in the workplace. Risk assessments are reviewed and updated at least annually (see also Indicator 6.4.1).	N/A		
		b. Maintain that employees are trained in how to identify and prevent known hazards and risks (see also 6.4.1d).	N/A		
		c. Health and safety procedures are adapted based on results from risk assessments (above) and changes are implemented to help prevent accidents.	N/A		
All farms	6.5.1	a. Keep documents to show the legal minimum wage in the country of operation. If there is no legal minimum wage in the country, the employer keeps documents to show the industry-standard minimum wage.	N/A		
		b. Provide records (e.g. payroll) confirm that worker's wages for a standard work week (≤ 48 hours) always meet or exceed the legal minimum wage. If there is no legal minimum wage, the employer's records must show how the current wage meets or exceeds industry standard. If wages are based on piece-rate or pay-per-production, the employer's records must show how workers can reasonably attain (within regular working hours) wages that meet or exceed the legal minimum wage.	N/A		
		c. Maintains documentary evidence to show compliance (e.g. payroll, timesheets, punch cards, production records, and/or utility records). Be advised that workers will be interviewed to confirm the above.	N/A		
		d. Proof of employer engagement with workers and their representative organizations, and the use of cost of living assessments from credible sources to assess basic needs wages. Includes review of any national basic needs wage recommendations from credible sources such as national universities or government.	N/A		
		e. Provide calculations on the basic needs wage for farm workers and has compared it to the basic (i.e. current) wage for their farm workers.	N/A		
		f. Demonstrates how they ensure paying a basic needs wage to their workers.	N/A		
	6.5.2	a. Wages and benefits are clearly articulated to workers and documented in contracts.	N/A		
		c. Maintain renders wages and benefits in a way that is convenient for the worker (e.g. cash, check, or electronic payment methods). Workers do not have to travel to collect benefits nor do they receive promissory notes, coupons or merchandise in lieu of payment.	N/A		
All farms	6.6.1	d. Maintain that the employment contract explicitly states the worker's right of freedom of association.	N/A		
		e. Maintain explicitly communicated a commitment to ensure the collective bargaining rights of all workers.	N/A		
		g. Provide documentary evidence that workers are free and able to bargain collectively (e.g. collective bargaining agreements, meeting minutes, or complaint resolutions).	N/A		
All farms	6.7.2	a. Provide written policy for disciplinary action which explicitly states that its aim is to assist the worker to improve [45].	N/A		
		b. Maintain documentary evidence (e.g. worker evaluation reports) and be advised that workers will be interviewed to confirm that the disciplinary action policy is fair and effective.	N/A		
Footnote [45]		If disciplinary action is required, progressive verbal and written warnings shall be engaged. The aim should always be to improve the worker before letting him/her go (Indicated by policy statements as well as evidence from worker testimony).			
All farms	6.8.1	a. Provide documentation showing the legal requirements for working hours and overtime in the region where the farm operates. If local legislation allows workers to exceed internationally accepted recommendations (48 regular hours, 12 hours overtime) then requirements of the international standards apply.	N/A		
		b. Records (e.g. time sheets and payroll) show that farm workers do not exceed the number of working hours allowed under the law.	N/A		
		c. Payment records (e.g. payslips) show that workers are paid a premium rate [49] for overtime hours.	N/A		
		d. Overtime is limited and occurs in exceptional circumstances as evidenced by farm records (e.g. production records, time sheets, and other records of working hours).	N/A		
		e. Provide evidence of compensation of workshift (e.g. 10 days on and six days off). Compensate workers with an equivalent time off in the calendar month and provide evidence that employees have agreed to this schedule (e.g. in the hiring contract).	N/A		
Footnote [49]		Premium rate: A rate of pay higher than the regular work week rate. Must comply with national laws/regulations and/or industry standards.			
All new farms (see note)	6.9.1	Note: A 'new farm' is defined as an aquaculture operation where construction was completed after the publication date of the ASC Freshwater Trout Standard 7 February 2013 or a farm that underwent a significant expansion after said publication date.			
		a. Provide evidence to show whether or not the farm fits the definition of a 'new farm' as used here. If yes, proceed to 6.9.1b. If not, then Indicator 6.9.1 does not apply to the farm.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All new farms (see note)	6.9.1	b. Provide results of a participatory Social Impact Assessment (p-SIA) or equivalent methodology as evidence of the farm's engagement and consultation with surrounding communities about potential social impacts from the farm. Mandatory for all farm sites with greater than ten (10) staff/employees.	N/A		
		c. Evidence provided in 6.9.1b should include minutes from community meetings and a log of communications with stakeholders. Consultations should address economic impacts, natural resource access and use, human health and safety issues, and changes to physical infrastructure and cultural issues, with a particular focus on impacts to indigenous people, where applicable.	N/A		
All farms	6.9.2	a. The farm engages in consultations with the local community at least twice every year (bi-annually). Note: farms with less than 6 employees consultations once every year is sufficient. This may include local authorities and/or elected community representatives.	N/A		
		b. Consultations are meaningful. OPTIONAL: the farm may choose to use participatory Social Impact Assessment (pSIA) or an equivalent method for consultations. Mandatory for all farm sites with greater than ten (10) staff/employees.	N/A		
		c. Consultations include participation by elected representatives from the local community who were asked to contribute to the agenda.	N/A		
		d. Maintain records and documentary evidence (e.g. meeting agenda, minutes, report) to demonstrate that consultations comply with the above.	N/A		
	6.9.3	a. Farm policy provides a mechanism for presentation, treatment and resolution of grievances (i.e. complaints) lodged by stakeholders, community members, and organizations.	N/A		
		b. The farm follows its policy for handling stakeholder grievances as evidenced by farm documentation (e.g. follow-up communications with stakeholders, reports to stakeholder describing corrective actions).	N/A		
		c. The farm's mechanism for handling grievances is effective based on resolution of stakeholder complaints and community concerns (e.g. follow-up correspondence from stakeholders).	N/A		
All farms	7.1	a. Obtain copies of supplier's business permit and land title deed.	N/A		
		b. Obtain records from suppliers showing discharge permit requirements as required.	N/A		
		c. Obtain records from suppliers showing treatments used on fingerlings and eggs.	N/A		
		d. Maintain on-site copies of laws governing water use, land use, effluent regulations and chemical treatments for animals.	N/A		
All farms	7.2	Note: For the purposes of Indicator 7.2, a species is not considered exotic if it can be shown that the species is native to the area of farm operation or the species was established in the area of the farm prior to publication of the ASC Freshwater Trout Standard. Also see Indicator 2.3.1.			
		a. Obtain written evidence showing whether or not the fingerling and egg suppliers use closed production systems [51]. If yes, then Indicator 7.2 does not apply.	N/A		
		b. Obtain written evidence showing that the fingerling and egg suppliers do not produce an exotic species. If they do not, then Indicator 7.2 does not apply.	N/A		
		c. If the supplier produces an exotic species, obtain written evidence that the species was widely commercially produced in the area before publication of the ASC Freshwater Trout Standard.	N/A		
Footnote [51]		A closed production system is defined as a facility with recirculating water that is separated from the wild aquatic medium by effective physical barriers that are in place and well maintained to ensure no escapes of reared specimens or biological material that might survive and subsequently reproduce.			

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms except as noted in 53 and 54	7.3	**Instruction to Clients for Indicator 7.3 - Exceptions to Requirements that Suppliers (fry/fingerlings) are not Sited in National Protected Areas** For the purposes of implementing Indicator 7.3, the ASC Freshwater Trout Standard defines a protected area as "a clearly defined geographical space, recognized, dedicated and managed through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values [52]." The following exceptions shall be made for Indicator 7.3: Exception #1: An exception is made for protected areas that are classified by the International Union for Conservation of Nature (IUCN) as Category V or VI. These are areas preserved primarily for their landscapes, or areas that include sustainable resource management [53]. Exception #2: Where farms clearly pre-date the estabishment of protected areas, the farm must demonstrate that the hatchery/fingerling operation is compatible with the objectives of the protected area, and that it is in compliance with any relevant conditions placed on the supplier by authorities as a result of the protected designation [54]. The burden of proof is placed on the farm to demonstrate that its supplier is not negatively impacting the core reason an area has been protected. Where a supplier is sited in a protected areas that does not have formal national recognition (e.g. within a regionally-designated protected area), the farm producer should provide the CAB with a rationale showing how the supplier's operation is compatible with the objectives of that protected area (as in Exception #2 above). Note: If a supplier of fingerlings or eggs has previously undertaken an independent assessment of biodiversity impact as part of the regulatory permitting process, the farm may use such documents as evidence to demonstrate the supplier's compliance with Indicator 7.3.			
		a. Obtain from suppliers of fingerlings and eggs a map showing the location of the operation relative to nearby protected areas as defined federally/at the National level.	N/A		
Footnote [52]		A protected area is "A clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values." Source: Dudley, N. (Editor) (2008), Guidelines for Applying Protected Area Management Categories, Gland, Switzerland: IUCN. x + 86pp.			
Footnote [53]		An exception is made for protected areas that are classified by IUCN, or the International Union for Conservation of Nature, as Category V or VI. These are areas preserved primarily for their landscapes, or areas that include sustainable resource management. Details can be found here: http://www.iucn.org/about/work/programmes/gpap_home/gpap_quality/gpap_pacategories/.			
Footnote [54]		An exception is also made for farms located in protected areas that are designated as such after the farm already exists in that location. In these situations, the farm must demonstrate that its operation is compatible with the objectives of the newly protected area, and that it is in compliance with any relevant conditions placed on the farm as a result of the designation.			
All farms	7.4	Note: Under Indicator 7.4, farms are required to have evidence showing that their fingerling and egg suppliers have had an assessment done for the presence of IUCN red listed species near the supplier's site (as described for Indicator 2.1.3). Suppliers may perform this assessment internally (i.e. done by the supplier) or they may have the assessments done by third-party entities. If the supplier hires a third-party entity to conduct the assessment, farms must request evidence that the work was done by suitably qualified professionals (e.g. academic ecologist or environmental consultant).			
		a. Prepare a letter informing egg and fingerling suppliers that the supplier must compile a list of IUCN Red Listed species in the relevant categories that may occur on their property following the instructions in Indicator 2.1.3.	N/A		
		b. Obtain from egg and fingerling suppliers a "risk assessment" (search and mitigation plan) that evaluates how the supplier's operation impacts on any IUCN Red Listed species identified in 7.4a. The risk assessment may be done by the supplier or it may be performed by an academic ecologist or environmental consultant.	N/A		
		c. Obtain from egg and fingerling suppliers a copy of the supplier's ETP species response plan and protocols based on the findings of the risk assessment.	N/A		
All farms	7.5	a. Obtain a written statement from egg and fingerling producers detailing the applicable national and local disease regulations and guidance on disease management which the supplier follows.	N/A		
		b. Prepare a letter informing egg and fingerling producers that they must evaluate eggs and fry using health status metrics developed by the farm's veterinary health professional (see 4.1.2a).	N/A		
		c. Maintains records of the farm's evaluations of the condition of eggs and fingerlings upon delivery.	N/A		
All farms	7.6	a. Prepare a letter informing egg and fry suppliers that they must disclose all chemical and antibiotic treatments on eggs and fry, along with stated rationale and the quantity used (see Indicator 7.1c).	N/A		
		b.Optional: Farm may conduct voluntary set tests on a subsample of eggs and fry for each stocking event, to test for chemical and antibiotic use consistent with the supplier's declaration.	N/A		
All farms	7.7	a. Inform egg and fry suppliers in writing that the farm will not purchase from suppliers using any therapeutants or antibiotics that are banned under EU law.	N/A		
		b. Compare any results from 7.6b to the farm's EU banned list (see 4.2.2a) to show that the egg and fry suppliers do not use banned chemicals.	N/A		

Applicability	Reference in AM	Description	Timeframe	Check	Remarks
All farms	7.8	a. For every supplier of fry and egg to the farm, obtain a copy of the supplier's Fish Health Management Plan (FHMP).	N/A		
		b. Ensure that the egg and fry supplier's FHMP is reviewed and updated at least annually with signatures by management indicating approval.	N/A		
		c. Ensure that the egg and fry supplier's designated veterinarian reviews and approves the FHMP annually and after each update of the FHMP, by signature.	N/A		
All farms	7.9	a. For suppliers identified in 2.4.1a, obtain a copy of the supplier's company-level policies and procedures relating to key ILO labor issues.	N/A		
All farms	7.10	Note: see compliance criteria for Indicator 6.9.2.			
		a. Ensure that the farm obtains documentary evidence from egg and fry suppliers of regular communciations with surrounding community as described under 6.9.2a, 6.9.2b, 6.9.2c and 6.9.2d.	N/A		