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**Responsibility for these Requirements**

The Technical Advisory Group (TAG) of the Aquaculture Stewardship Council advises the Supervisory Board on this document’s content. The Supervisory Board holds responsibility for this document.

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### Versions Issued

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ABOUT THE ASC

ASC is the acronym for Aquaculture Stewardship Council, an independent not for profit organisation. The ASC was founded in 2010 by the WWF (World Wildlife Fund) and IDH (The Sustainable Trade Initiative) to manage the global standards for responsible aquaculture. The ASC standards were first developed by the Aquaculture Dialogues, a series of roundtables initiated and coordinated by the WWF.

What the ASC is
The ASC’s certification programme and logo recognise and reward responsible aquaculture.

The ASC is a global organisation working internationally with aquaculture producers, seafood processors, feed producers, retail and foodservice companies, scientists, conservation groups, social NGO’s and the public to promote the best environmental and social choice practices in aquaculture.

What the ASC does
Working with partners, the ASC runs a programme to transform the world’s aquaculture markets by promoting the best environmental and social aquaculture performance. The ASC seeks to increase the availability of aquaculture products certified as sustainable and responsibly produced. The ASC’s consumer logo provides third party assurance of conformity with production and chain of custody standards and makes it easy for everyone to choose ASC certified products.

What the ASC will achieve
The ASC is transforming aquaculture practices globally through:

**Credibility:** Standards developed according to ISEAL guidelines, multi-stakeholder, open and transparent, science-based performance metrics.

**Effectiveness:** Minimising the environmental and social footprint of commercial aquaculture by addressing key impacts.

**Added value:** Connecting the farm to the marketplace by promoting responsible practices through a consumer logo.
OVERVIEW OF THE ASC SYSTEM

The ASC system is made up of 3 components:

1. **ASC Standards**

The ASC works with independent third-party certification organizations that provide certification services for operations that grow one or more of the species or produce products for which the standards have been approved by ASC.

The species groups were chosen because of their potential impact on the environment and society, their market value and the extent to which they are traded internationally or their potential for such trade. The species covered at this time include: abalone, bivalves (clams, oysters, mussels and scallops), cobia, freshwater trout, pangasius, salmon, seriola, shrimp, and tilapia.

Through the Aquaculture Dialogues more than 2,000 people have participated in the development of the ASC Standards including fish farmers, seafood processors, retailers, foodservice operators, NGOs, government agencies and research institutes. Universal, open and transparent, the Aquaculture Dialogues focused on minimising the key environmental and social impacts of aquaculture. Each Dialogue produced requirements for one or a range of major aquaculture species groups. The standard creation process followed guidelines of the ISEAL Alliance the ISEAL Code of Good Practices for Setting Social and Environmental Standard. This code of good practice complies with the ISO/IEC Guide 59 Code of good practice for standardization, and the WTO Technical Barriers to Trade (TBT) Agreement Annex 3 Code of good practice for the preparation, adoption and application of standards. The standards are science-based, performance-based and metrics-based and will apply globally to various production systems, covering many types, locations and scales of operations.

ASC is developing standards for feed which will complement the species standards and support the recognition of responsible aquaculture.

2. **Independent 3rd Party Audits Conducted by accredited Conformity Assessment Bodies (CAB)**

Applicants that seek ASC certification hire a CAB (Conformity Assessment Body. Only clients that are certified by a CAB accredited by the ASC appointed accreditation body are eligible to sell certified product into a recognized chain of custody and have that product eligible to carry the ASC logo.

Accreditation is the process by which CABs are evaluated to determine their competency to provide certification to the ASC standards. The accreditation process includes annual evaluations of each accredited CAB and the ASC audits they perform. The ASC works with an exclusively appointed accreditation body to provide accreditation services for the ASC.
The ASC appointed accreditation body (AAB) is responsible for evaluations of CABs against the requirements in this document. All accreditation decisions are taken independently by the AAB in accordance with ISO 17011. The independence of the ASC, AAB and the CAB ensures that high quality, objective audits and certification decisions are performed without bias for all clients around the world.

3. MSC Chain of Custody (CoC) Certification and the ASC logo

The ASC logo has been developed for use by certified and licenced farms, processors and distributors so that all parts of the value chain and especially consumers can easily identify ASC certified product(s). The use of the ASC logo can be applied only to products that are sold through a consecutive, certified chain of custody that ensures traceability of certified products from production to final point of sale. For the ASC, chain of custody is certified through application of the MSC chain of custody system. Only products that originate in ASC certified operations and are sold through an MSC certified chain of custody are eligible to carry the ASC logo. Companies that are already certified to the MSC Chain of Custody standard and wish to also handle ASC certified products, may request a scope extension from their CAB in order to add ASC products onto the scope of their existing CoC certificate.

Just as with the ASC standards, the ASC logo is owned by the ASC which regulates all aspects of its use.
INTRODUCTION TO THIS DOCUMENT

The purposes of the ASC Certification and Accreditation Requirements [this document] are:

1. To establish requirements for certification to enable all Conformity Assessment Bodies (CABs) to operate in a consistent and controlled manner.

2. To establish requirements for accreditation of CABs by the ASC appointed accreditation body.

3. To provide the transparency that is required of an international certification scheme for it to have credibility with potential stakeholders, including governments, international governmental bodies (e.g. regulatory bodies, managers), CABs, suppliers of aquaculture products, non-governmental organisations and consumers.

4. To provide documentation to assure long-term continuity and consistency of the delivery of ASC certification.

The ASC’s appointed accreditation body will set the scope of accreditation for CABs with reference to the ASC certification requirements described in this document.

The ASC certification requirements have been developed to be in full compliance with the Food and Agriculture Organization of the United Nations (FAO) Technical Guidelines on Aquaculture Certification.

ASC is a member of the ISEAL Alliance and its operations are managed to be in conformity with ISEAL codes of good practice including the Standard Setting Code, the Assurance Code and the Impacts Code. More information is available on the ISEAL Alliance website.

The major headings in this document are designed to parallel the major sections of the ISO 17065 (International Organization for Standardization). This structure is repeated in sections A and B of this document.

The ASC’s certification and accreditation requirements are set out in two parts, which apply to all CABs conducting ASC audits:

- Part A – General certification requirements
- Part B – Operational certification requirements

Chain of custody for ASC certified products is assured through MSC (Marine Stewardship Council) chain of custody certification, to which the ASC CoC requirements have been added. Organizations that wish to trade in ASC certified products and make claims that these products are certified (including use of the ASC trademarks) must first be certified against the MSC chain of custody standard.
Primary producers that are certified to an ASC standard may sell products within the scope of their certificate as certified without being certified to for the MSC chain of custody system. The requirements that apply to these sales are described in this document.

This document has been developed to address the specific needs of the certification to ASC Standards. The ASC gratefully acknowledges the support of MSC, FSC (Forest Stewardship Council) and SAAS (Social Accountability Accreditation Services) in lending their experience and permitting elements of their systems to be incorporated into this document.

NOTE: This document has been developed for technical use by accredited and applicant Conformity Assessment Bodies (CABs), therefore casual readers may find that it is not easy to read. For general readers it is recommended that the ASC website be reviewed prior to this document.
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PART A – GENERAL REQUIREMENTS

1. SCOPE

Part A of the ASC’s Certification and Accreditation Requirements sets out the activities that all CABs shall undertake in carrying out certification audits of operations that wish to make a claim that the product(s) they are selling are certified to the ASC’s Standards, and/or to use the ASC logo to promote a product.

2. NORMATIVE REFERENCES

The documents listed below are part of the ASC Certification Requirements.

For references which have a specific date or version number, later amendments or revisions do not apply. CABs are encouraged to review the most recent editions and any guidance documents available to gain further insight.

For references without dates or version numbers, the latest edition of the document referred to applies.

a) Endorsed ASC Standards; See www.asc-aqua.org

b) Endorsed ASC Audit Manuals; See www.asc-aqua.org

 c) ISO 17065 Conformity Assessment – Requirements for bodies certifying products, processes and services

d) ISO 19011 Guidelines for auditing management systems
3. TERMS AND DEFINITIONS

3.1 All definitions are in Annex A.

4. GENERAL REQUIREMENTS

4.1 Requirement of accreditation

4.1.1 A CAB shall have had its application to the ASC appointed accreditation body for accreditation to the scope of the certification it wishes to provide, accepted before starting to sell certification services.

4.1.2 A CAB shall only award certificates once it is accredited and only within the scope of its accreditation.

4.1.3 A CAB shall recognise that certificate holders that have been certified by other accredited CABs conform to relevant ASC standards.

4.1.4 A CAB shall authorize the ASC appointed accreditation body to publish the CAB's company name, full address and contact persons' details.

4.1.5 A CAB shall authorize the ASC appointed accreditation body to publish witness assessment reports, surveillance reports, and final assessment reports.

4.2 Conformity to ISO 17065 and the ASC requirements

4.2.1 All CABs shall conform to the requirements of ISO 17065 and all other ASC requirements relevant to the scope of accreditation applied for or held.

4.2.2 CABs shall conform to the ASC requirements in the case of a conflict with ISO 17065.

4.3 Normative annexes

4.3.1 CABs shall follow in full all normative annexes to the ASC Certification Requirements if they are used.
4.4 ISO 19011

4.4.1 CAB audit personnel should follow guidance on auditing provided in ISO 19011.

4.5 Compliance with legal requirements

4.5.1 CABs shall comply with the legal requirements in the countries in which they operate.

4.5.2 Key personnel shall show understanding of applicable legislation and regulations.

4.6 Certification Decision-Making Entity

4.6.1 The CAB’s decision-making entity shall authorise any changes to the terms of certification.

4.7 Communication with the ASC

4.7.1 CABs shall follow the communication requirements in Annex D.

4.8 The ASC CAB calibration workshops

4.8.1 If instructed by the ASC, CABs shall participate in the ASC CAB workshops and annual CAB calibration workshops.

4.9 Contract

4.9.1 The CAB shall have a written contract with the farm, company or other entity seeking certification.

4.9.2 Prior to signing a contract, the CAB shall verify:

4.9.2.1 That the applicant is not already certified.

   a) If the applicant is currently certified the CAB shall follow the certificate transfer requirements in Section 4.11 below.
4.9.2.2 That the applicant has not had an ASC certificate withdrawn or has failed an ASC certification audit within the previous year.

4.9.3 The contract shall be signed prior to the commencement of the audit.

4.9.4 The contract shall specify:

4.9.4.1 The deliverables that the CAB will produce.

4.9.4.2 The timeline that the CAB will meet.

4.9.4.3 That ASC retains the right to change the ASC standards and certification requirements and that certification is conditional on conforming to new or revised standards and new or revised certification requirements within the timeframes established by the ASC.

4.9.4.4 That the ASC shall have full access to all audit products including audit evidence, audit findings and audit reports.

4.9.4.5 That ASC, MSC and the ASC appointed accreditation body shall have the right to observe audits conducted by the CAB.

4.9.4.6 That the ASC appointed accreditation body shall have the right to conduct audits of the certificate holder, including unannounced audits, for the purpose of monitoring CAB conformity.

4.9.4.7 That the CAB be informed of any previous ASC audits conducted within the previous 12 months.

   a) The CAB shall be provided with audit reports.

4.9.4.8 The complaint procedures of the CAB, the ASC appointed accreditation body and ASC by including a copy of each or by reference to publically available documents.

4.9.4.9 The applicant’s responsibility to make known to the public of any upcoming ASC audit at their premises (e.g. initial, surveillance, extension or recertification) to allow for interested stakeholders to provide their input to and comment during the audit process.

4.10 Use of the ASC and CAB trademarks

4.10.1 All uses of the ASC trademark(s) by a CAB shall be subject to an ASC logo licence agreement.
4.10.2 The CAB shall have documented procedures for the issue and use of any logo or trademark of the CAB (ISO 17065 4.1.3.1) for the ASC program, including procedures for pre-publication review and authorisation by the CAB of all uses of the CAB’s logo by ASC certificate holders.

4.11 Transfer of Certificates

4.11.1 A decision to transfer a certificate shall be voluntary by the certificate holder.

4.11.2 Issuing of a certificate to a former certificate holder after expiry or termination of the certificate

4.11.2.1 An ASC-accredited CAB may issue an ASC certificate to a new client at any time after the expiry or termination of the client’s existing certificate with another CAB, based on a full evaluation according to ASC certification requirements.

4.11.2.2 If the audit for this client is conducted within a period of twelve (12) months from the expiry or termination of the former certificate, the succeeding CAB shall consider any major or minor non-conformity(s) which have not been closed at the time of expiry / termination.

   a) The CAB that issued the existing certificate shall send these non-conformities to the succeeding CAB within ten (10) days of the transfer upon request made using FORM 2.

4.11.3 Principles for a transfer of certificates

4.11.3.1 ASC certificates shall only be transferred once within the period of validity of a certificate.

   a) If a certificate holder wishes to change CAB more than once within the period of validity, the succeeding CAB shall conduct a full ASC audit.

4.11.3.2 ASC certificates shall not be transferred in any of the following situations:

   a) The certificate is suspended.

   b) Major non-conformities have not been closed.

      i. All major non-conformities shall be closed to the satisfaction of the preceding CAB before the certificate may be transferred.

   c) The parties involved in the transfer cannot agree on the transfer date.
d) Relevant documentation about the certificate holder (records, history of non-conformities) is not being made available to the succeeding CAB by the preceding CAB.

   i. In cases where the succeeding CAB is able to receive all relevant documentation from the certificate holder directly, a transfer of documentation according to 4.11.3.2 d) is not required.

4.11.4 Certificate Transfer procedure

4.11.4.1 Once the holder of an active valid certificate has informed the current CAB that they are applying for a certificate transfer with another CAB; the transfer of the certificate shall be conducted as follows:

a) The expiry date of the succeeding certificate shall be the same as the expiry date of the preceding certificate.

b) The scope of the succeeding certificate shall be the same as the scope of the preceding certificate. If the certificate holder is requesting a change in scope, the succeeding CAB shall evaluate this request in line with relevant ASC requirements.

c) All minor non-conformities and associated timelines that are applicable to the preceding certificate shall remain applicable to the succeeding certificate.

d) The results of any accreditation body assessment regarding the compliance of the certificate holder to certification requirements shall be applicable to the succeeding CAB.

e) The succeeding CAB shall propose a transfer date to the preceding CAB and the certificate holder on which all rights and obligations for maintaining the certificate shall be passed from the preceding to the succeeding CAB.

   i. Both CABs shall keep a record of the agreed date.

f) The succeeding CAB shall carry out an on-site transfer audit within three (3) months of the agreed transfer date according to the requirements for a surveillance evaluation.

   i. This audit shall include a review of all pending minor non-conformities which were issued by the preceding CAB.
ii. If the audit is conducted in a way that satisfies all the formal requirements for a main evaluation, a new certificate may be issued.

g) The preceding and succeeding CABs shall update the ASC database according to the instructions issued by the ASC.

4.11.5 Certificate Transfer when the issuing CAB is losing or terminating its accreditation.

4.11.5.1 The procedure in 4.11.4 above shall be followed with the following changes:

a) Suspended certificates may be transferred.

b) Certificates with open major non-conformities may be transferred, and non-conformities shall be closed in accordance with requirements as set out in this document.

c) Section 4.11.4 f shall be conducted as a desk audit unless it is determined by the succeeding CAB that results will not deliver the required level of confidence for the succeeding CAB to issue their certificate.

d) Section 4.11.4.f.i shall include major non-conformities.

e) Section 4.11.4 f ii shall not apply unless an on-site audit is conducted.

5. STRUCTURAL REQUIREMENTS

5.1 Mechanism for safeguarding impartiality

5.1.1 The CAB shall have a documented impartiality structure which safeguards impartiality within the CAB and its operations.

5.1.2 The structure shall be enshrined in the documents that establish the CABs legal status or by some other means that prevents change which could compromise the function of the structure to safeguard impartiality.

5.1.3 This may be through vesting authority to the impartiality structure for approval of policies and some significant procedures such as the rules of procedure for the operation of the impartiality structure itself.

5.1.4 The impartiality structure may be an impartiality committee or equivalent structure.
5.1.5 The structure may be independent of management or combined with management function.

5.1.6 The CAB shall be responsible for:

5.1.6.1 Demonstrating the adequacy of the process for identifying and involving the relevant interested parties and

5.1.6.2 The impartiality structure itself to demonstrate the adequacy of their participation.

5.1.6.3 In order to enable provision of proper and impartial certification, the management of the CAB shall provide all the information required for the impartiality structure to perform their job, including, but not limited to, the reasons for:

a) all significant decisions and actions, and

b) the selection of persons responsible for particular activities in respect to certification.

5.1.7 The impartiality structure shall involve all parties concerned with the development of principles and policies for the functioning of the CABs certification system.

5.1.7.1 This shall include interested and affected parties throughout the supply chain.

a) These may include, but not limited to, the CAB itself, regulatory authorities, NGOs, consultants, academics, primary producers, processors, wholesalers, retailers, food service providers, restaurants and consumers.

5.1.7.2 This should be a high-level group with the responsibility for ensuring impartiality and not predominantly a technical or sector based group.

5.1.7.3 The membership shall not be selected to reflect the technical expertise of the CAB.

a) When necessary it can be supported by technical experts as required.

b) No single interest shall predominate.

5.1.8 Documentation for the mechanism for safeguarding impartiality shall include:

5.1.8.1 Rules of procedure that establish the duties and rights of members (e.g. rule for attendance, quorum and voting)
a) Members shall sign declarations of confidentiality.

b) Members shall sign annual declarations of the absence of conflicts of interest.

5.1.8.2 The principle that impartiality shall be established at three levels within the CAB:

a) Strategies and policies;

b) Decisions on certification; and

c) Auditing.

5.1.9 The impartiality structure shall conduct annual reviews that include:

5.1.9.1 The current and intended activities of the CAB;

5.1.9.2 The competence of key personnel; and,

5.1.9.3 The potential risks associated to the CAB’s operation.

5.1.10 The function of the structure shall include ensuring that:

5.1.10.1 Commercial and other considerations do not prevent the objective provision of certifications services.

5.1.10.2 The period of time specified by the CAB for which personnel shall not be used to review or make a certification decision for a product for which they have provided consultancy time shall be no less than 2 years.

5.1.10.3 No audit or certification services shall be provided to clients if any of the products or services provided by the CAB, related bodies or the CAB’s personnel are still in use by the client.

5.2 Confidentiality

5.2.1 The CAB shall document arrangements to safeguard confidentiality (ISO 17065 4.5).
6. Resource Requirements

6.1 CAB Personnel

6.1.1 All personnel involved in audits shall be knowledgeable about the aims and objectives of the ASC.

6.1.1.1 This shall include international agreements, conventions and treaties relevant to the assessment of applicants for ASC certification.

6.1.2 For all auditors and technical experts including subcontracted staff and the staff of subcontracted companies, the CAB shall:

6.1.2.1 Register all auditors and technical experts with the ASC.

6.1.2.2 Ensure that all Auditors shall not perform the role of Lead Auditor or Social Auditor until they have the required experience, completed the required training and demonstrated the required competencies as described in Annex B.

6.1.2.3 Ensure that all CAB personnel shall not participate in ASC audits until they have the required experience, completed the required training and demonstrated the required competencies for their role as described in Annex B.

6.1.2.4 Pay the relevant training fee.

6.1.3 Maintenance of Competency

6.1.3.1 The CAB shall have a written procedure to confirm annually that every auditor and all CAB personnel involved with audits are qualified and competent as described in Annex B and registered with the ASC as required.

a) This procedure shall include holding regular calibration workshops to ensure consistent practice among auditors.

b) The CAB shall keep records of all training and calibration workshops including a record of the individuals that participated.
7. Process Requirements

7.1 Information for Applicants

7.1.1 The CAB shall send the following to applicants:

7.1.1.1 The current versions of all ASC standards and other requirements relevant to the scope of certification sought.

a) The CAB shall maintain a record identifying the document(s), including the version(s), sent to each applicant and certificate holder.

7.1.1.2 The CAB shall send the following to applicants in a language appropriate to the applicant:

a) A copy of the CAB’s standard assessment and certification contract.

b) Information about the use of the ASC logo, including:

i. The website where the rules for the ASC logo may be found.

ii. An explanation that an ASC logo licence agreement will be required to be entered into with the ASC prior to the use of the logo.

c) Information about the ASC's right to change the ASC standards and certification requirements and that certification is conditional on conforming to new or revised standards and new or revised certification requirements within the timeframes established by the ASC.

d) A brief explanation of the responsibility of the auditor, how audits are conducted, how often and the rules that govern the CAB

e) A copy of the CAB complaints procedure.

f) A copy of the ASC complaints procedure.

7.1.1.3 In case of differences between original documents and translated versions the original version will prevail.

7.2 Audit Planning

7.2.1 CAB shall ensure that before the end of the audit planning phase the applicant receives the following written information:

7.2.1.1 Expected scope of evaluation

7.2.1.2 Draft work schedule
7.2.1.3 Names and affiliations of proposed team members

7.2.1.4 Sufficient information about the evaluation process so that the applicant can make proper preparations for the audit. This shall include:

a) A summary list of the objective evidence that may be required by the team

b) An explanation of the requirement(s) for and process of stakeholder consultation

7.2.2 The CAB shall have a documented procedure for dealing with an applicant’s concern about a member of the team proposed to carry out the evaluation; this procedure shall include the following elements:

7.2.2.1 Consider the merits of each concern raised by an applicant

7.2.2.2 Take appropriate action(s), which may include leaving the team unchanged if warranted

7.2.3 Maintain records of the justification for its action(s)

7.3 Decision on Certification

7.3.1 A certificate shall only be issued after a positive certification decision has been taken by the CAB’s certification decision-making entity.

7.3.2 The CAB shall not issue or re-issue a certificate if there are outstanding major non-conformities.

7.3.3 Audit evidence shall be no more than six (6) months old.

7.3.4 The final audit report shall indicate if any or all of the client's operation has been re-audited.

7.3.5 The CAB shall retain the right to delay or postpone its decision on certification in order to take proper account of new or additional information, which has become available to the CAB and which has not already been considered in its evaluation report and which, in the opinion of the CAB, could affect the outcome of its evaluation.

7.3.5.1 Any delays due to the consideration of new or additional information shall be explained in the final report.

7.3.5.2 Delays of more than seven (7) days shall be communicated to stakeholders.

7.3.6 The CAB shall register a certificate in the ASC database before it is issued or re-issued.
7.3.6.1 Registration shall include the entry of all specified data.

7.3.6.2 In the case of a malfunction of the on-line registration service, the ASC shall be informed that a certificate has been issued or re-issued within ten (10) days of its issue or re-issue.

7.3.6.3 Certificates, which are not registered with the ASC shall not be valid.

7.4 Certification Information on the ASC database

7.4.1 CABs shall be responsible for keeping their data entries on the ASC database up to date.

7.4.2 Until the ASC database is live, CABs shall submit all required information in pdf format until otherwise instructed.

7.5 Changes in Scope

7.5.1 On-site audits shall be conducted for any major changes in scope that include:

7.5.1.1 Addition of a new standard.

7.5.1.2 Change to impacts on receiving water bodies including the addition of new receiving water bodies.

7.5.1.3 Any other change to the certified operation determined by the CAB as requiring an onsite audit.

7.5.2 The CAB shall be responsible for determining whether or not a proposed change in scope requires an on-site audit.

7.5.3 All on-site audits for changes of scope shall conform to Part B of this document.

7.5.4 If no on-site audit is required, the updated certificate shall be accompanied with an annex explaining the scope changes.

7.5.5 The CAB shall register any changes in scope to an existing certificate in the ASC database before the change in scope is issued.

7.6 Suspension, Cancelation or Withdrawal of Certification

7.6.1 A CAB may suspend or withdraw a certificate for a contractual or administrative reason.
7.6.2 The CAB shall inform the ASC of any suspensions or withdrawals of certificates within five (5) days of the decision using FORM 5.

7.6.3 The date of the suspension or withdrawal shall be the date the decision was taken by the CAB.

7.6.3.1 If a certificate is suspended or withdrawn, the CAB shall immediately instruct the certificate holder:

a) Not to sell any product harvested from the date of suspension or withdrawal as ASC certified or with the ASC logo

b) To advise existing or potential customers in writing of the suspension within four (4) calendar days of the suspension or withdrawal date

7.7 Complaints and Appeals

7.7.1 The CAB shall have a documented procedure for handling complaints and appeals that includes:

7.7.1.1 A requirement that all formal and informal complaints, appeals concerns or objections related to the activities of the CAB, a certificate holder or a certification applicant be kept on file and logged (ISO 17065 section 7.13.1).

7.7.1.2 CABs shall report all logged issues using FORM 4 submitted annually no less than thirty (30) days prior to the annual surveillance by the ASC appointed accreditation body’s visit with copies sent to the ASC and the ASC appointed accreditation body.

7.7.1.3 In case of suspension or withdrawal of the CAB, all logged issues shall be sent to the ASC appointed accreditation body and ASC as part of the suspension or withdrawal process using FORM 4 no later than the final date of accreditation.

7.7.1.4 Determining whether the complaint or appeal relates to certification activities for which the CAB is responsible.

7.7.1.5 The appointment of an independent member of the CAB management who shall:

a) Report to top management

b) Be responsible for ensuring that procedures (ISO 17065 7.13) are followed

Encouragement for complainants to submit copies of their complaints complaints directly to ASC at:

a) Email: certification@asc-aqua.org
b) Mailing Address:
   P.O. Box 19107
   3501 DC Utrecht
   The Netherlands

c) Office Address:
   Nieuwekade 9
   3511 RV Utrecht
   The Netherlands

7.7.1.7 A procedure for reviewing all complaints and forwarding them to the responsible body as appropriate.

8. MANAGEMENT SYSTEM REQUIREMENTS FOR CABs

8.1 Internal Audits

8.1.1 Internal audits shall be performed at least once every twelve (12) months or completed within a twelve (12) month time frame for segmented (or rolling) internal audits.

8.1.2 Internal audits shall cover all ASC requirements in a planned and systemic manner.

9. HEADING NOT USED AT THIS TIME

10. HEADING NOT USED AT THIS TIME
PART B – OPERATIONAL CERTIFICATION REQUIREMENTS

11. Scope

11.1 Part B of the ASC Certification and Accreditation Requirements is for CAB use when auditing operations against ASC Standards.

12. Normative References

12.1 The normative documents in Section 2 also apply to Part B

13. Terms and Definitions

13.1 No additional requirements

14. General Requirements

14.1 No additional requirements

15. Structural Requirements

15.1 No additional requirements
16. **RESOURCE REQUIREMENTS**

16.1 **Audit teams**

16.1.1 Audit teams shall include an ASC lead auditor.

16.1.2 Audit teams shall include member(s) that have the following experience and expertise:

16.1.2.1 Relevant knowledge of national and local laws that apply to the organisation being audited that includes but is not limited to:

   a) Environmental laws
   b) Workplace safety laws
   c) Labour laws
   d) Health and safety laws
   e) Laws governing ownership and use of land and water
   f) Licenses and permits

16.1.2.2 Environmental science and technology, environmental management methods and aspects of operations that includes:

   a) Environmental issues in the area of the operation
   b) The management of natural resources
   c) Environmental protection
   d) Environmental monitoring tools and technologies
   e) The interaction of the activities, products, services, and operations with the environment.
   f) Sector specific terminology
   g) Environmental aspects and impacts
   h) Methods for evaluating the significance of environmental aspects
   i) Critical aspects of operational processes, products and services
   j) Monitoring and measurement techniques
   k) Technologies and methods for the prevention of pollution
   l) Social aspects of applicant operations and their surrounding communities
17.**Process Requirements**

17.1 **Unit of Certification**

17.1.1 The CAB shall determine the unit of certification as either:

17.1.2 A single site operation that has all of the following elements:

17.1.2.1 The applicant is capable of signing a binding contract that is legally enforceable

17.1.2.2 The certification unit is a single site

17.1.3 A cluster of sites that has all of the following elements:

17.1.3.1 The applicant is a legal entity

17.1.3.2 All of the sites have a common management structure in which all ASC requirements are binding for each site, facility or operation.

17.1.3.3 All of the operations are subject to the same standard

17.1.3.4 All of the sites have the same production system

17.1.3.5 All of the sites have at least one of the following characteristics:

   a) Share resources or infrastructure

   b) Share a landscape unit (e.g. a watershed, receiving water body)

17.1.4 The unit of certification determination shall include the geographic and/or receiving water body delineations in which the farm operates, and if applicable discharges into.

17.1.5 An applicant that owns multiple sites will be subject to compliance at the particular site(s) they chose to undergo certification.

17.1.6 Sites that are contiguous shall not be audited or certified as separate units.

17.2 **Notice of audit**

17.2.1 The CAB shall use FORM 3 to inform the ASC of planned audit dates no less than thirty (30) days prior to the audit.
17.2.2 The CAB shall publish the information contained in FORM 3 on its website within three (3) days of submitting it to ASC.

17.2.3 The CAB shall provide updates to FORM 3 within 5 days of any changes to the information.

17.2.3.1 If the changes are to occur before a planned audit, the changes shall be no less than 10 days before the audit is schedule to begin.

17.2.3.2 All changes will be clearly identified on the revised FORM 3.

17.2.3.3 The ASC should publish a public notice of the planned audit within three (3) days of receiving FORM 3.

17.2.3.4 This requirement shall apply for all on-site audits.

17.2.4 The CAB shall notify potential stakeholders of the planned audit and invite their participation.

17.2.4.1 The notice shall be in the local language(s).

17.3 Audit methodology

17.3.1 The ASC audit shall conform to the ASC Audit Manual for the standard(s) for which the client is being audited.

17.3.2 ASC reserves the right to develop, and implement and require CABs to use their own audit tools and methodology for the ASC aquaculture audits covering areas not specified in this document.

17.4 Audit Timing

17.4.1 The CAB shall not conduct an audit until the client has completed and the CAB accepted the client’s application for certification.

17.4.2 The CAB’s initial audit shall include harvesting activities of the principle product to be included for certification.

17.4.3 If other products are included but not harvested at the same time, the CAB shall collect evidence of compliance for all products to be added to the certificate.

17.4.4 If product handling or processing is included, the audit should be conducted to occur at the time that the handling or processing facilities are operating.
17.4.5 Audits should be conducted when all control points and sufficient records/evidence are available.

17.4.6 If the CAB determines that it is not possible to conduct the initial audit as specified in 17.4.2, the CAB shall:

17.4.6.1 Record this determination in the audit report.

17.4.6.2 Provide a justification for the alternative timing.

17.4.7 An audit conducted during the harvesting of the principle product included for certification shall occur at least once during the validity of each certificate.

17.5 Audit duration

17.5.1 The CAB shall determine the minimum planned duration of the audit.

17.5.2 The CAB shall record this determination and the justification for it in the audit report.

17.5.3 Evaluation of traceability risks and eligibility to enter further chain of custody.

17.6 Determining the start of the chain of custody

17.6.1 For the following risk factors, the CAB shall document whether each risk is currently or potentially applicable. This shall include:

17.6.1.1 The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, produced within the same operation.

17.6.1.2 The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, present during production, harvest, transport, storage, or processing activities.

17.6.1.3 The possibility of subcontractors being used to handle, transport, store, or process certified products.

17.6.1.4 Any other opportunities where certified product could potentially be mixed, substituted, or mislabelled with non-certified product before the point where product enters the chain of custody.

17.6.2 For each applicable risk, the CAB shall:

17.6.2.1 Clearly document the risk, and
17.6.2.2 Describe any traceability, segregation, or other systems in place to manage the risk.

17.6.3 The CAB shall review and document, in detail, the flow of certified product within the operation and the associated traceability system which allows product to be traced from final sale back to the unit of certification.

17.6.4 This shall include the traceability documentation at each stage of handling certified product and how product can be linked from each document (i.e. through batch codes, lot codes, etc.).

17.6.5 This shall also include a detailed description of the systems used to segregate or identify certified product at each stage of handling.

17.6.6 Based on the results found from 17.6.2 - 17.6.3 above, the CAB shall determine whether:

17.6.6.1 The traceability and segregation systems in the operation are sufficient to ensure all products identified and sold as certified by the operation originate from the unit of certification, or

17.6.6.2 The traceability and segregation systems are not sufficient and a separate chain of custody certification is required for the operation before products can be sold as ASC-certified or can be eligible to carry the ASC logo.

17.6.7 This determination shall remain in force until revised by the CAB in a subsequent audit or until a valid CoC certification is in place.

17.6.7.1 The CAB shall inform the applicant if any separate CoC certification for the operation required in 17.6.4.2 shall be completed by the same CAB that carried out the farm certification.

17.6.8 If the CAB has determined that separate chain of custody certification is not required for the operation; the audit report shall include the reasons for this decision.

17.6.9 The CAB shall clearly document in the Audit Report the determination under 17.6.4, including a statement confirming whether products are eligible to enter further chains of custody.

17.6.10 If the CAB determines under 17.6.4.1 that the traceability systems are sufficient to allow products to enter chain of custody, the CAB shall document:

17.6.10.1 The intended point of first sale.

17.6.10.2 The point from which chain of custody is required to begin.
17.7  Setting the Eligibility Date for under-assessment product

17.7.1 During the farm audit the CAB shall determine the specific date (Eligibility Date) from which product from the operation is eligible to be sold as ASC-certified or with the ASC logo.

17.7.2 The Eligibility Date can be set as either:

17.7.2.1 The date from which all major non-conformities have been verified as closed and a corrective action plan to address all minor non-conformities has been approved, or

17.7.2.2 The date of farm certification.

17.7.3 When the Eligibility Date shall be set as the date of farm certification for applicants where under 17.6.4.2 a determination has been made that the operation requires a separate Chain of Custody certification the CAB shall:

17.7.3.1 Record this Eligibility Date clearly in the audit report.

17.7.3.2 Communicate this date to the client and the ASC within 5 days.

17.7.4 If the Eligibility Date is set before the certification date, the CAB shall inform the applicant that:

17.7.4.1 All under-assessment product harvested after the Eligibility Date must be fully traceable back to the unit of certification and harvest date.

17.7.4.2 All under-assessment product must be clearly identified and segregated from certified and non-certified product.

17.7.4.3 The certificate holder shall not sell or apply the logo to under-assessment product as certified or with ASC trademarks until:

   a) The farm has been certified and the certificate issued by the CAB.

   b) There is a signed logo licence agreement between the client and ASC if the ASC logo is to be used.

17.8  Stakeholder engagement

17.8.1 The CAB shall maintain an up-to-date list of all stakeholders that are relevant to be contacted for their input per species.

17.8.2 The CAB shall keep a list of all stakeholders that indicate an interest in making a submission to the audit team.

17.8.3 The CAB shall acknowledge receipt of all written submissions.
17.8.4 Prior to the publication of the draft audit report, the CAB shall respond in writing to each stakeholder to explain how their comments were addressed by the audit team.

17.9 Audit Evidence

17.9.1 Audit evidence relevant to the audit objectives, scope and criteria, including information relating to interfaces between functions, activities and processes shall be collected by appropriate sampling and shall be verified.

17.9.2 Only information that is verifiable may be audit evidence.

17.9.3 The CAB shall record all audit evidence in the audit report.

17.10 Audit Findings

17.10.1 CABs shall classify non-conformities as minor, major or critical as follows:

17.10.1.1 A minor non-conformity

a) For initial certification, the CAB may recommend the applicant for certification once an action plan to address the minor non-conformity has been agreed to by both the client and the CAB.

i. The action plan shall include a brief description of:

A. The root cause(s) of the non-conformity

B. The corrective action(s) to be taken is intended to satisfactorily address the non-conformity

C. The timeframe for implementation of corrective action(s)

b) Minor non-conformities may be extended once for a maximum period of one (1) year if full implementation of corrective action was not possible due to circumstances beyond the control of the client.

17.10.1.2 The CAB should raise a major non-conformity where minor non-conformities are repeatedly raised against a particular requirement.

17.10.1.3 The CAB shall require that minor non-conformities raised during surveillance audits are satisfactorily addressed in one (1) year.

17.10.2 Major non-conformities
17.10.2.1  The CAB shall require that major non-conformities shall be satisfactorily addressed by an applicant:

a)  Prior to certification being granted.
   i.  Within three months of the date of the audit or a full re-audit shall be required.
   ii. That the root cause of the non-conformity is identified and addressed.
   iii. The CAB shall determine whether or not an on-site visit is needed to close the major non-conformity.

A.  The decision, justification and conclusion shall be made clear in the final audit report.

17.10.2.2  In the case of a major non-conformity raised during the period of validity of a certificate, the CAB shall require:

a)  That the certificate holder satisfactorily addresses the non-conformity within a maximum of three (3) months
   i.  Major non-conformities may be extended once for a maximum period of another three months if full implementation of corrective action was not possible due to circumstances beyond the control of the client.
   ii. That the root cause of the non-conformity is identified and addressed.

17.10.3  Critical non-conformities

17.10.3.1  In the case of a critical non-conformity raised in an initial audit or a re-certification audit, no certificate may be granted as long as a critical non-conformity remains open.

a)  Critical non-conformities shall only be closed following an on-site audit.

b)  If a critical non-conformity is not closed within three (3) months the certification process can only be resumed following a full audit.

17.10.3.2  In the case of a critical non-conformity raised during the period of validity of a certificate the CAB shall suspend the certificate with immediate effect until the critical non-conformity has been closed.

17.10.4  All non-conformities shall reference the relevant section of the ASC standard or other ASC requirement as relevant to the audit.
17.10.5 The CAB shall not include evidence of more than one non-conformity into a single documented non-conformity unless they apply to the same ASC requirement.

17.10.6 Major non-conformities shall not be downgraded to minor non-conformities.

17.10.7 Critical non-conformities shall not be downgraded to major non-conformities.

17.10.8 The CAB shall assess the effectiveness of the corrective and/or preventive actions in addressing the root cause of the non-conformity taken before closing out a critical, major or minor non-conformity.

17.11 Certification Decisions

17.11.1 The CAB shall only make certification decisions based on the evaluation of the audit evidence as to whether or not the applicant is in conformity with the requirements of the applicable ASC Standard, Audit Manual and these Certification Requirements.

17.11.1.1 Audit evidence shall be no more than six (6) months old.

17.11.2 The CAB shall consider all audit evidence when taking certification decisions.

17.11.2.1 This shall include audit evidence gathered prior to, during and after an on-site audit.

17.11.2.2 This shall include audit evidence gathered as the result of information submitted by stakeholders.

17.11.3 The CAB shall post all certification decisions, including changes in scope, suspensions and withdrawals on the ASC database.

17.11.4 If the ASC database is offline, the CAB shall inform the ASC within ten (10) days of the decision.

17.11.5 The CAB shall issue certificates with a maximum validity period of three (3) years from the date of issue.

17.12 Audit Report Requirements

17.12.1. ASC audit reports shall follow the format presented in Annex C.

17.13 Content of Certificates
17.13.1. The CAB shall issue an English language certificate, which as well as the requirements in ISO 17065 7.7 shall contain:

17.13.1.1 The ASC logo, which shall be no smaller than the logo of the CAB.

17.13.1.2 A unique certificate number
   
   a) An issue number (for re-issued or renewed certificates)

17.13.1.3 The point at which certified products may enter a Chain of Custody.

17.13.1.4 The date of issue of the certificate
   
   a) The date of issue shall be the date the certificate was registered on the ASC database.

   b) Registration shall not be complete until all information specified on the ASC database has been posted on the ASC database.

17.13.1.5 The date of expiry

17.13.1.6 The name and address of the CAB

17.13.1.7 The legal name and registered address of the certificate holder plus any trade names and other addresses that will be used for sales invoices

17.13.1.8 Any trade names and other addresses that will be used for sales invoices

17.13.1.9 The address of any additional sites included in the unit of certification

17.13.1.10 A description of the scope of the certificate, including a general description of the type of products covered by the certificate and a reference to the specific standard(s) against which the certificate holder has been evaluated

17.13.1.11 A reference to the ASC database of registered certificates (specific URL to be announced) for the full list of product groups covered by the certificate

17.13.1.12 A clear statement to the effect that the certificate shall remain the property of the CAB that issued it, and that the certificate and all copies or reproductions of the certificate shall be returned or destroyed if requested by the CAB

17.13.1.13 The date of expiry of the certificate together with the disclaimer “The validity of this certificate shall be verified on [specific URL to be announced].”

17.13.1.14 The signature of the individual(s) that the CAB assigned this responsibility.

17.13.1.15 A disclaimer stating: “This certificate itself does not constitute evidence that a particular product supplied by the certificate holder is ASC-certified. Products offered, shipped or sold by the certificate holder can only be considered..."
covered by the scope of this certificate when the required ASC claim is clearly stated on invoices and shipping documents”.

17.13.2. The CAB may issue certificates in other languages as well as the English version providing they bear a disclaimer in at least 10 point font that the certificate is an unverified translation of the English certificate, and in case of differences the English version shall take precedence.

17.14 Information for Certificate Holders

17.14.1. The CAB shall inform the certificate holder that it has the right to claim that, subject to the scope of its certificate, its operation is certified in accordance with the specific ASC standard covered.

17.14.2. The CAB shall inform the certificate holder that:

17.14.2.1. It may claim that its aquaculture products are the result of “Responsible Aquaculture Farming”.

17.14.2.2. It is eligible to apply for an ASC logo licensing agreement.

17.14.2.3. It shall not make any claim about ASC certification on consumer facing products without a valid ASC logo licence.

17.15 Surveillance

17.15.1. The CAB shall carry out a surveillance audit to monitor the certificate holder’s continued conformity with applicable ASC standards and other certification requirements at least annually.

17.15.2. Surveillance reports shall conform to Annex C.

17.15.3. During the three-year term of the certificate the CAB shall plan and conduct surveillance audits in such a way that all aspects of the production cycle are audited.

17.15.4. Stakeholder consultation may be undertaken during surveillance audits.

17.15.5. The CAB shall conduct no fewer than 2 surveillance audits for any valid certificate.

17.15.5.1. Surveillance audits should occur annually.

17.15.6. The CAB shall appoint an audit team with expertise that is comparable to the original audit team when conducting surveillance audits.
17.15.6.1. If team members are different to the original team, the selection of individuals to conduct audits shall be justified in writing and their relevant skills and/or expertise documented.

17.15.7. The CAB shall document and implement clear procedures for the conduct of surveillance audits that conforms to these requirements.

17.15.8. The CAB shall assess:

17.15.8.1. Progress and performance against outstanding non-conformities.

17.15.8.2. The CAB shall document conformity with, and progress and performance against, outstanding non-conformities using the form of the original non-conformity.

17.15.8.3. In the event that an outstanding non-conformity is changed, the CAB shall provide written justification for the change in the surveillance report.

17.15.9. The management system including:

17.15.9.1. Changes to the management system.

17.15.9.2. The capacity of the management system to manage any change in scope, size or complexity within the certified unit.

17.15.9.3. Legal and regulatory compliance.

17.15.9.4. This shall include any changes that have occurred in legislation or regulations.

17.15.9.5. Any complaints or allegations of non-conformity with ASC requirements.

17.15.9.6. A sample of sites and records to verify that the management systems are effective and consistent such as high risk areas or personnel changes.

17.15.9.7. Operational plans.

17.15.10. Any changes affecting the operation's traceability, chain of custody, or the ability to trace certified products back to the unit of certification.

17.15.11. If the CAB identifies an issue requiring further investigation it shall:

17.15.11.1. Record the existence of the issue and document any evidence found.

17.15.11.2. Raise a non-conformity if one is found.

17.15.12. The CAB may conduct surveillance audits of certificate holders for one or more of the following reasons:

17.15.12.1. The number and nature of non-conformities.
17.15.12.2. The number and nature of complaints from the ASC, another CAB, a stakeholder or an interested party.

17.15.12.3. The number and nature of other issues that the CAB determines must be investigated.

17.15.13. The CAB shall specify criteria and conditions for unannounced surveillance audits in their documented procedures.

17.16  **Extension of Certificate Validity**

17.16.1. The CAB may extend the validity of a certificate by up to three (3) months longer than the twelve (12) month period (fifteen (15) months in total) in cases where:

17.16.1.1. There is no product present at the time when the annual audit is due.

17.16.1.2. The certificate holder has applied to the CAB to be audited at or before the end of the period of validity of the certificate.

17.16.1.3. The CAB issued the previous certificate.

17.16.1.4. The CAB accepted the certificate holder’s application to be audited before the expiry date of the certificate.

17.16.1.5. CAB extends the certificate validity in the ASC database before the expiry of the existing certificate.

   a) If the ASC database is offline, the CAB shall inform the ASC within ten (10) days of the decision.

17.16.2. The subsequent audit shall be conducted at any time during a six (6) month period that ranges from three (3) months before the original expiry date of the certificate, and up to three (3) months after the original expiry date of the certificate.

17.17  **Recertification Audits**

17.17.1. The CAB **shall** start the recertification audit before the expiry of the existing certificate.

17.17.2. Exact timing and planning of the audit shall remain the responsibility of the CAB, in consultation with the client.

17.17.3. The CAB, when conducting an audit of a certified operation, shall:
17.17.3.1. Apply all of the steps of the ASC Certification Requirements in force at the time of the audit.

17.17.3.2. Apply interpretations of the relevant standard that are current at the time of the audit.

17.17.3.3. Take into account all surveillance reports, outcomes, and progress on non-conformities.

17.17.3.4. The CAB shall verify that corrective and preventive actions taken allows for the closure of open major non-conformities.

   a) If progress has not been adequate to close the open major non-conformities the CAB shall not re-issue the certificate.

17.17.3.5. Consider the relevance of the original unit of certification and if necessary, shall create modified or a new unit of certification.

17.17.3.6. Maintain records of its consideration of the issues above, as well as any rationale for decisions made relating to these issues.

18. **Management System Requirements for CABs**

18.1 No Additional Requirements
### ANNEX A – THE ASC VOCABULARY

**Normative**

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Appeal</strong></td>
<td>Request by a client or a CAB for reconsideration of any adverse decision made by the CAB or the ASC appointed accreditation body related to the client’s desired certification or accreditation status where a response is expected.</td>
</tr>
<tr>
<td><strong>ASC Database</strong></td>
<td>[specify URL when available]</td>
</tr>
<tr>
<td><strong>The ASC appointed accreditation body</strong></td>
<td>The accreditation body that is named and referred to on the ASC website.</td>
</tr>
<tr>
<td><strong>Audit</strong></td>
<td>A methodical evaluation against a specific set of requirements. An audit begins with the first step in the execution of an audit plan and concludes with a decision on certification.</td>
</tr>
<tr>
<td><strong>Audit Team</strong></td>
<td>One or more auditors conducting an audit, supported if needed by technical experts.</td>
</tr>
<tr>
<td></td>
<td>NOTE 1 One auditor of the audit team is appointed as the audit team leader.</td>
</tr>
<tr>
<td></td>
<td>NOTE 2 The audit team may include auditors-in-training.</td>
</tr>
<tr>
<td><strong>Auditor</strong></td>
<td>A person with the competency to perform an audit.</td>
</tr>
<tr>
<td></td>
<td>NOTE: Auditor competencies are described in Annex B.</td>
</tr>
<tr>
<td><strong>Cancellation of Certification</strong></td>
<td>Voluntary cancellation of a certification contract by any party to it according to the contractual arrangements.</td>
</tr>
<tr>
<td><strong>Child</strong></td>
<td>Any person less than 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If, however, local minimum age law is set at 14 years of age in accordance with developing-country exceptions under ILO Convention 138, the lower age will apply.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Child Labour</td>
<td>Any work by a child younger than the age(s) specified in the above definition of a child, except as provided for by ILO Recommendation 146.</td>
</tr>
<tr>
<td>Company</td>
<td>The entirety of any organization or business entity responsible for implementing the requirements of this standard, including all personnel (i.e. directors, executives, management, supervisors, and non-management staff, whether directly employed, contracted or otherwise representing the company).</td>
</tr>
<tr>
<td>Competence</td>
<td>The demonstrated ability to effectively apply appropriate knowledge, skills and technical understanding to undertake roles and activities in a manner which meets defined levels of achievement.</td>
</tr>
<tr>
<td>Complaint</td>
<td>Any expression of dissatisfaction, by any person or organisation, relating to the activities or lack of activities of an accreditation body, a CAB, a Certificate Holder, where a response is expected.</td>
</tr>
<tr>
<td>Corrective Action</td>
<td>The implementation of a systemic change or solution to ensure an immediate and on-going remedy to a non-conformity.</td>
</tr>
<tr>
<td>Critical non-conformity</td>
<td>Any non-conformity with an ASC requirement designated as critical.</td>
</tr>
<tr>
<td>Days</td>
<td>Working days in the country where the main office of the CAB is located.</td>
</tr>
<tr>
<td>Eligibility Date</td>
<td>The specific date from which product harvested from an applicant operation may be eligible to be sold as ASC certified, or apply the ASC logo once the farm is certified. The Eligibility Date is determined by the CAB during the farm audit.</td>
</tr>
<tr>
<td>Endorsed</td>
<td>Documents including standards and audit manuals that have been formally approved by ASC and are posted on the ASC website.</td>
</tr>
<tr>
<td>Expired Certificate</td>
<td>A certificate that reached the expiry date without having been renewed by the issuing CAB. This certificate is no longer valid.</td>
</tr>
<tr>
<td>Forced Labour</td>
<td>All work or service that is extracted from any person under the menace of any penalty for which said person has not offered him/herself voluntarily or for which such work or service is demanded as a means of repayment of debt.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>--------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Homeworker</td>
<td>A person who carries out work for a company under direct or indirect contract, other than on a company’s premises, for remuneration, which results in the provision of a product or service as specified by the employer, irrespective of who supplies the equipment, materials or other inputs used.</td>
</tr>
<tr>
<td>Initial Audit</td>
<td>The first audit conducted on a site.</td>
</tr>
<tr>
<td></td>
<td>If certification has not been awarded to a site for more than three (3) years then the next audit shall be considered as the initial audit.</td>
</tr>
<tr>
<td>Interested Party</td>
<td>Individual or group concerned with or affected by the social or environmental performance of the applicant or certificate holder.</td>
</tr>
<tr>
<td>Invalid Certificate</td>
<td>A certificate that is withdrawn, terminated or expired.</td>
</tr>
<tr>
<td></td>
<td><strong>NOTE:</strong> A certificate that has been suspended is still a valid certificate, however it may not be used to sell product as ASC certified. A certificate may also become invalid if the CAB loses its accreditation.</td>
</tr>
<tr>
<td>Lead Auditor</td>
<td>Auditor who is given the overall responsibility for a specified audit.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>----------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Major Non-conformity</strong></td>
<td>Any non-conformity with an ASC requirement that has one or more of the following:</td>
</tr>
<tr>
<td></td>
<td>• The absence or total breakdown of a system that is likely to result in a failure to achieve the objective of the relevant ASC Standard Criteria or another applicable certification requirement</td>
</tr>
<tr>
<td></td>
<td>• Would result in the probable shipment of product that does not conform to ASC requirements</td>
</tr>
<tr>
<td></td>
<td>• Is likely to result in a failure of the system or materially reduce the ability of the client to assure the integrity of the certified product</td>
</tr>
<tr>
<td></td>
<td>• Is shown to continue over a long period of time</td>
</tr>
<tr>
<td></td>
<td>• Is repeated</td>
</tr>
<tr>
<td></td>
<td>• Is systematic or is the result of the absence or a total breakdown of a system</td>
</tr>
<tr>
<td></td>
<td>• Affects a wide area and/or causes significant damage</td>
</tr>
<tr>
<td></td>
<td>• Is not corrected or adequately responded to by the client once identified</td>
</tr>
<tr>
<td></td>
<td>• Where two (2) or more minor non-conformities may together meet any of the above criteria</td>
</tr>
<tr>
<td><strong>Minor Non-conformity</strong></td>
<td>Any non-conformity with an ASC requirement that do not jeopardise the integrity of the certified product. This includes:</td>
</tr>
<tr>
<td></td>
<td>• Where failure to comply with a requirement which is not likely to result in the breakdown of a system to meet an ASC requirement</td>
</tr>
<tr>
<td></td>
<td>• Where the failure is a single observed lapse or isolated incident</td>
</tr>
<tr>
<td></td>
<td>• Where there is no systemic failure to conform to ASC requirements</td>
</tr>
<tr>
<td></td>
<td>• Where the impacts are limited in their temporal and spatial scale</td>
</tr>
<tr>
<td></td>
<td>• Where there is minimal risk of the shipment of a product that does not conform to ASC requirements</td>
</tr>
<tr>
<td></td>
<td>• Where the failure does not meet the definition of a Major Non-conformity</td>
</tr>
<tr>
<td></td>
<td>• Where the failure will not produce a non-conforming product</td>
</tr>
<tr>
<td><strong>Non-conformity</strong></td>
<td>Not conforming to an ASC indicator in the standard or another ASC requirement that is a requirement for certification and against which the audit is conducted.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------</td>
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</tr>
<tr>
<td><strong>Permanent Worker</strong></td>
<td>Worker whose main job is a permanent job or with a work contract of unlimited duration.</td>
</tr>
<tr>
<td>Preceding CAB</td>
<td>The CAB that first issued a certificate and that was contract partner until the certification contract was taken over and terminated.</td>
</tr>
<tr>
<td>Processing Facility</td>
<td>Facilities that process aquaculture products into other semi-finished or finished products. This includes facilities which blend or repackage products containing ASC certified materials.</td>
</tr>
<tr>
<td>Production System</td>
<td>Concept identified by what is being cultured, giving also hints on how this is done, and possibly the aquaculture milieu in which it takes place, such as for example land-based trout culture, suspended rope culture of mussel, intensive eel culture, pond culture of Nile tilapia and intensive catfish raceway culture. A production system may include a number of distinct processes.</td>
</tr>
<tr>
<td>Qualification</td>
<td>Specific accomplishment</td>
</tr>
<tr>
<td>Receiving Water Body</td>
<td>All distinct bodies of water that receive runoff or waste discharges, such as streams, rivers, ponds, lakes and estuaries (adapted from World Health Organization). This does not include farm-constructed water courses, impoundments or treatment facilities (settling ponds, oxidation lagoons, compost pits, etc.).</td>
</tr>
<tr>
<td>Remedial Action</td>
<td>Action taken to make amends to a worker or former employee for a previous violation of a worker’s rights as covered by SA8000.</td>
</tr>
<tr>
<td>Remediation of Children</td>
<td>All necessary support and actions to ensure the safety, health, education, and development of children who have been subjected to child labour, as defined above, and are dismissed.</td>
</tr>
<tr>
<td>Stakeholder</td>
<td>Any individual, group or organisation, which may affect or may be affected by the entity seeking certification.</td>
</tr>
<tr>
<td>Subcontractor / Sub-supplier</td>
<td>A business entity in the supply chain which, directly or indirectly, provides the supplier with goods and/or services integral to, and utilized in/for, the production of the supplier’s and/or company’s goods and/or services.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Succeeding CAB</td>
<td>The CAB that takes over a certificate from a preceding CAB. Prior to the transfer process, the succeeding CAB must establish a new contract and becomes the new contract partner of the certificate holder.</td>
</tr>
<tr>
<td>Suspension of Certificate</td>
<td>The temporary removal by the CAB of all or part of a certificate holder’s scope of certification pending corrective action by the certificate holder. A suspended certificate cannot be transferred.</td>
</tr>
<tr>
<td>Suspension of Certification</td>
<td>Process of temporarily making ASC certification invalid, in full or for part of the scope of certification.</td>
</tr>
<tr>
<td>Technical Expert</td>
<td>Person who provides specific knowledge or expertise to the audit team. NOTE: A technical expert is not required to be an auditor.</td>
</tr>
<tr>
<td>Temporary Worker</td>
<td>Worker engaged for a limited period only.</td>
</tr>
<tr>
<td>Termination of Certificate</td>
<td>Cancellation of the certification contract by either party according to contractual arrangements. Also referred to as voluntary withdrawal or cancellation.</td>
</tr>
<tr>
<td>Transfer of Certificate</td>
<td>Moving the responsibility for maintaining an active ASC certificate from one CAB to another.</td>
</tr>
<tr>
<td>Unit of Certification</td>
<td>The operation that is covered by a certificate. It includes all production and processing sites including the receiving water bodies, any harvest sites such as production ponds, and all storage or processing operations (including subcontracted operations) up to the point where the product enters further chain of custody.</td>
</tr>
<tr>
<td>Under-assessment product</td>
<td>Products harvested from an applicant farm, before the farm certification is complete, which may eventually be eligible to be sold as certified or apply the logo. Under-assessment product shall be harvested on or after the Eligibility Date specified in the farm report, and must originate from the farm’s unit of certification. After the farm is certified, under-assessment product may be sold as certified or apply the ASC logo, subject to specific requirements.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Valid Certificate</strong></td>
<td>A certificate that is not suspended, withdrawn, terminated or expired. Only active valid certificates can be transferred.</td>
</tr>
<tr>
<td><strong>Withdrawal of Certificate</strong></td>
<td>The irrevocable removal by the CAB of all or part of a certificate holder's certification as a result of noncompliance with certification requirements or contractual commitments.</td>
</tr>
<tr>
<td><strong>Withdrawal of Certification</strong></td>
<td>See Withdrawal of Certificate</td>
</tr>
<tr>
<td><strong>Worker</strong></td>
<td>A person employed in a non-supervisory job.</td>
</tr>
<tr>
<td><strong>Young Worker</strong></td>
<td>Any worker over the age of a child as defined above and under the age of 18.</td>
</tr>
<tr>
<td><strong>Shall</strong></td>
<td>Denotes a requirement.</td>
</tr>
<tr>
<td><strong>Should</strong></td>
<td>Denotes a recommendation.</td>
</tr>
<tr>
<td><strong>May</strong></td>
<td>Denotes a permitted course of action.</td>
</tr>
</tbody>
</table>
**ANNEX B – AUDITOR QUALIFICATIONS AND COMPETENCIES**

Normative

**Table A – All Auditor and Technical Expert qualifications and competencies**

All auditors and technical experts shall possess the following qualifications and competencies.

<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>B1. Analytical skills</strong></td>
<td>The individual <strong>shall</strong> effectively and systematically assess situations and information to make informed decisions on objective and verifiable evidence.</td>
</tr>
<tr>
<td><strong>B2. Audit Training</strong></td>
<td>The individual <strong>shall</strong> have knowledge of the purpose and procedure of conducting audits. The individual <strong>shall</strong> be trained and competent in accordance with the CAB procedures as needed for the role that is to be undertaken by the technical expert.</td>
</tr>
<tr>
<td><strong>B3. Diplomatic</strong></td>
<td>The individual <strong>shall</strong> be tactful in dealings with people, as appropriate to achieve the audit objectives.</td>
</tr>
<tr>
<td><strong>B4. Education</strong></td>
<td>The individual <strong>shall</strong> have at least a post-high school diploma or equivalent (minimum course duration of two (2) years) must have been obtained in a discipline related to the scope of certification. In exceptional cases practical experience can be regarded as equivalent. These cases shall be documented.</td>
</tr>
<tr>
<td><strong>B5. Ethical</strong></td>
<td>The individual <strong>shall</strong> be fair, truthful, unbiased, sincere, discreet, trustworthy and honest. The individual <strong>shall</strong> possess a high level of integrity, particularly in relation to bribery and corrupt practices.</td>
</tr>
<tr>
<td>Qualification/Competency</td>
<td>Requirement</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td><strong>B6. Listening</strong></td>
<td>The individual shall understand and interpret verbal material. The individual shall understand and interpret non-verbal communication, such as gestures, and personal expression.</td>
</tr>
<tr>
<td><strong>B7. Numeracy</strong></td>
<td>The individual shall understand and interpret number systems and their significance.</td>
</tr>
<tr>
<td><strong>B8. Observant</strong></td>
<td>The individual shall be fully aware of physical surroundings and activities throughout the entire audit process.</td>
</tr>
<tr>
<td><strong>B9. Open‐minded</strong></td>
<td>The individual shall be open-minded, reasonable and shall be willing to consider alternative ideas or points of view.</td>
</tr>
<tr>
<td><strong>B10. Perceptive</strong></td>
<td>The individual shall instinctively be aware of and be able to understand situations.</td>
</tr>
<tr>
<td><strong>B11. Professional</strong></td>
<td>The individual shall be courteous, conscientious, discreet and business like in their approach to auditing. The individual shall have the ability to deal sensitively with people from different backgrounds and to make them feel at ease, in order to resolve conflict without losing composure. The individual shall be empathetic, respectful to others and shall help to build trust during and after the audit. The individual shall keep relevant information confidential in accordance with non-disclosure or confidentiality agreements. The individual shall communicate confidently and with authority to secure agreement with the client’s management. The individual shall maintain strict independence from self-interest or personal bias.</td>
</tr>
<tr>
<td><strong>B12. Reading</strong></td>
<td>The individual shall understand and interpret written material.</td>
</tr>
<tr>
<td><strong>B13. Respectful</strong></td>
<td>The individual shall act respectfully, show politeness and good manners.</td>
</tr>
<tr>
<td><strong>B14. Tenacious</strong></td>
<td>The individual shall be persistent and focussed in their approach to achieve audit objectives.</td>
</tr>
<tr>
<td>Qualification/Competency</td>
<td>Requirement</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>B15. Versatile</td>
<td>The individual shall be able to adjust readily to different situations and to effectively resolve conflict and arrive at consensus agreement as far as possible.</td>
</tr>
<tr>
<td>B16. Work experience</td>
<td>The individual shall have at least two (2) years of experience relevant to the operation and, if relevant, the processing facility being audited.</td>
</tr>
<tr>
<td>B17. Writing</td>
<td>The individual shall have good written communication skills. The individual shall produce written documents that can be understood by the intended audience. The individual shall produce clear and accurate reports on audit findings and clearly articulate these in relation to legal requirements and relevant codes.</td>
</tr>
</tbody>
</table>
Table B – Lead Auditor qualifications and competencies

In addition to the requirements of tables A, lead auditors conducting ASC farm audits shall possess the following qualifications and competencies.

<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
</table>
| **B18. Audit Experience**       | The individual shall initially have completed a minimum of 25 days of onsite audit experience in conducting audits (either for social or environmental compliance).  
The individual shall have undertaken at least two satisfactory audits as an acting audit team leader, shadowed by and under the supervision of a competent lead auditor.  
The individual shall have conducted at least five (5) ASC audits or have been a member of an audit team for ten (10) audit days, for equivalent aquaculture audits at more than one (1) production facility. |
| **B19. Audit principles and techniques** | The individual shall be able to apply audit principles, procedures and techniques associated with management systems and possess a detailed knowledge of compliance issues commonly experienced with aquaculture and associated processing operations.  
The individual shall be able to prioritize and focus on matters of significance and understand the appropriateness and consequences of using sampling techniques for auditing.  
The individual shall be able to verify the accuracy of collected information and be aware of the significance and appropriateness of audit evidence to support audit findings and conclusions.  
The individual shall understand and assess those factors that can affect the reliability of the audit findings and conclusions.  
The individual shall be able to apply audit principles in the conduct of a social audit. |
<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>B20. Audit Training</strong></td>
<td>The individual shall have successfully completed of a Lead Assessor training course based on ISO 19011 principles that have a minimum duration of thirty-seven (37) hours. The certificate must specify the course content and duration. Successful completion must be indicated on the certificate. The Lead Assessor training course must cover: applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication) and reporting, and it must also include a practical case study.</td>
</tr>
<tr>
<td><strong>B21. Auditor training</strong></td>
<td>The individual shall have undertaken and successfully completed an ASC approved auditor training course or courses in relation to specific standards, as required by the ASC. The individual shall have undertaken and successfully completed the ‘ASC Farm Traceability’ online training module. The individual shall complete the ASC training for new requirements as specified by the ASC within the deadlines set by ASC. The individual shall undertake additional training on changes to legislation, specific standards, codes or conventions as appropriate. The individual has had an audit peer witnessed by a qualified ASC lead auditor no less than once in each two (2) year period.</td>
</tr>
<tr>
<td><strong>B22. Decisive</strong></td>
<td>The individual shall be able to reach timely conclusions based on logical reasoning and analysis, and in the case of possible conflict, be confident to manage and control discussions. The individual shall assume the leadership role during discussions and other situations in order to resolve issues.</td>
</tr>
<tr>
<td><strong>B23. Detection skills</strong></td>
<td>The individual shall have knowledge and investigative skills to detect and document evidence of non-conformities. The individual shall have the investigative skills to determine the authenticity of information and to evaluate allegations made by other sources.</td>
</tr>
<tr>
<td>Qualification/Competency</td>
<td>Requirement</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>B24. Ethically and morally courageous</td>
<td>The individual shall act professionally and ethically and make decisions even though these actions and decisions may result in disagreement, confrontation or appeal proceedings.</td>
</tr>
<tr>
<td>B25. Facilitating meetings</td>
<td>The individual shall effectively control and manage meetings during the audit.</td>
</tr>
<tr>
<td>B26. Fraud detection</td>
<td>The individual shall understand and has the skills to detect commonly used methods of document manipulation, fraudulent actions and fraudulent practices.</td>
</tr>
<tr>
<td>B27. Interpersonal skills</td>
<td>The individual shall have skills to ensure effective communication between themselves and other people. The individual shall have good people management skills. The individual shall have good communication skills in relation to a situation which warrants careful information gathering such as issues relating to gender, race, culture, discrimination and worker/management dispute.</td>
</tr>
<tr>
<td>B28. Interviewing</td>
<td>The individual shall be experienced in different types of interviewing techniques. The individual shall understand the principles of sampling techniques with respect to group or individual interviews and cultural considerations. The individual shall have the ability to interview personnel without compromising the source of information. The individual shall deal discreetly with personnel who may feel compromised or feel uncomfortable being interviewed.</td>
</tr>
<tr>
<td>B29. Language</td>
<td>Unless accompanied by an independent interpreter, the individual shall be a fluent speaker and reader of the language(s) used by managers, administrators and workers of the organisation being audited. The individual shall communicate effectively through an interpreter.</td>
</tr>
<tr>
<td>B30. Logical judgement</td>
<td>The individual shall make correct decisions based on objective and verifiable evidence.</td>
</tr>
<tr>
<td>Qualification/Competency</td>
<td>Requirement</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td><strong>B31. Management systems and reference documents</strong></td>
<td>The individual <strong>shall</strong> have a general knowledge of management systems standards (such as ISO 9001), applicable procedures or other management systems documents used as audit criteria.</td>
</tr>
<tr>
<td><strong>B32. Oral presentation</strong></td>
<td>The individual <strong>shall</strong> have good oral communication skills, which makes him/her understood by the intended audience. The individual <strong>shall</strong> provide clear and accurate oral representation on audit findings at closing meetings and clearly articulate these in relation to legal requirements and relevant codes.</td>
</tr>
<tr>
<td><strong>B33. Organisational situations</strong></td>
<td>The individual <strong>shall</strong> have knowledge of general business processes and <strong>shall</strong> understand the workings of organisations in relation to size, structure, function and relationships. The individual <strong>shall</strong> understand the social, economic and cultural relationships in worker communities.</td>
</tr>
<tr>
<td><strong>B34. Organisational skills</strong></td>
<td>The individual <strong>shall</strong> effectively plan, prioritise and adjust the activities to auditee needs as far as possible, without adversely affecting the audit. The individual <strong>shall</strong> have good organisational and time management skills.</td>
</tr>
<tr>
<td><strong>B35. Self-reliant</strong></td>
<td>The individual <strong>shall</strong> be able to act effectively and function independently during audits</td>
</tr>
<tr>
<td><strong>B36. Technical language</strong></td>
<td>The individual <strong>shall</strong> have knowledge of the technical language employed in aquaculture and processing of aquaculture products.</td>
</tr>
<tr>
<td><strong>B37. Work experience</strong></td>
<td>The individual <strong>shall</strong> have industrial experience relevant to the business being audited.</td>
</tr>
</tbody>
</table>
### Table C – Social auditor qualifications and competencies

In addition to the requirements of table A, social auditors conducting audits of social requirements in ASC farm audits shall possess the following qualifications and competencies.

<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
</table>
| **B38. Social auditing qualification** | The individual shall have one or more of the following qualifications or equivalent:  
  - Has completed an SA8000 four or five day auditor course that is formally approved by SAAS plus continuing professional development courses as required by SAAS and has successfully completed a 3-day SAAS approved course within 2 years of having taken the four or five day basic course.  
  - Has completed the Verité five day “EICC Labor & Ethics Lead Auditor Course” or the “Lead Auditor Accreditation Training: Investigative Skills Workshop”.  
  - Is recognized as a lead auditor for FI (Fairtrade International) audits for Trade and Hired Labour Standards by FLOCERT.  
  - Has completed the Worldwide Responsible Apparel Producers (WRAP) five day “Auditor/Lead Auditor Social System Training Course”. |
| **B39. Social auditing experience** | The individual shall have participated in at least two (2) audits in agriculture or aquaculture. The individual has participated in at least two audits for one or more of the following schemes:  
  - Business Social Compliance Initiative (BSCI)  
  - Electronic Industry Citizenship Coalition (EICC) Electronic Industry Code of Conduct  
  - Ethical Trading Initiative (ETI) Base Code  
  - Fair Trade USA  
  - Fairtrade International (FI)  
  - Goodweave (Rugmark)  
  - International Council of Toy Industries (ICTI) – Code of Business Practice  
  - Social Accountability International (SAI) SA 8000  
  - Worldwide Responsible Apparel Producers (WRAP) – Code of Conduct |
| **B40. ASC Auditor Training** | The individual shall have undertaken and successfully completed an ASC approved social auditor training course or courses in relation to specific standards, as required by the ASC. The individual shall undertake additional training on changes to legislation, specific standards, codes or conventions as appropriate. |
| **B41. Competencies** | The individual shall have knowledge of local labour and human rights legislation. The individual shall have familiarity with local customs. The individual shall speak and read the primary local language. The individual shall be able to manage relationships with workers and managers. |
ANNEX C – AUDIT REPORT REQUIREMENTS

Normative

See the Excel file "Annex C - ASC Report Template"
ANNEX D – COMMUNICATION WITH THE ASC

Normative

D1  Language

D1.1  All CAB communication with the ASC shall be in English.

D2  Forms

D2.1  CABs shall communicate with the ASC using forms supplied in this document or using online forms on the ASC database.

D2.2  Requests for interpretation of the ASC Standards or Certification Requirements and requests for variance to these normative requirements shall be made by CABs using FORM 1.

D3  Public Information

D3.1  The CAB is responsible for control of all confidential information submitted to the ASC on forms that specify public disclosure.

D4  Format

D4.1  Information shall be submitted in the formats specified by the ASC
FORM 1 – REQUEST FOR INTERPRETATION OR VARIANCE

This form is for the submission of requests by CABs to the ASC to request interpretations of the ASC normative requirements and/or requests for variance from specific normative requirements.

I CAB Request

<table>
<thead>
<tr>
<th>1.1 NAME OF CAB</th>
<th>1.2 DATE OF SUBMISSION</th>
<th>1.3 CAB CONTACT PERSON</th>
<th>1.4 EMAIL ADDRESS OF CAB CONTACT PERSON</th>
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</table>

1.5 LIST OF SITES FOR WHICH THE VARIATION IS REQUESTED

1.6 ASC DOCUMENT REFERENCE

1.7 BACKGROUND (PROVIDE FULL EXPLANATION OF THE ISSUE)

1.8 RECOMMENDED ACTION/DECISION

II ASC Determination

<table>
<thead>
<tr>
<th>2.1 STATUS</th>
<th>2.2 DATE OF THE ASC DETERMINATION</th>
</tr>
</thead>
<tbody>
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</table>

2.3 ASC DETERMINATION ON VARIANCE REQUEST

2.4 ASC INTERPRETATION
FORM 2 – REQUEST FOR DOCUMENTATION OF NON-CONFORMITIES FOR AUDITS TO BE CONDUCTED WITHIN TWELVE (12) MONTHS OF THE TERMINATION OF A VALID CERTIFICATE

This form is for the submission of requests by succeeding CABs to a preceding CAB to request information non-conformities for audits to be conducted within twelve (12) months of the termination of a valid certificate.

I To be completed by Succeeding CAB

<table>
<thead>
<tr>
<th>1.1 NAME OF PRECEDING CAB</th>
<th>1.2 PRECEDING CAB CONTACT PERSON (NAME AND CONTACT INFORMATION)</th>
<th>1.3 DATE OF REQUEST</th>
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<table>
<thead>
<tr>
<th>1.4 NAME OF SUCCEEDING CAB</th>
<th>1.5 SUCCEEDING CAB CONTACT PERSON (NAME AND CONTACT INFORMATION)</th>
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<tbody>
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<table>
<thead>
<tr>
<th>1.6 NAME, ADDRESS AND CERTIFICATE NUMBER OF CLIENT</th>
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<tbody>
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</table>

II To be completed by Preceding CAB

<table>
<thead>
<tr>
<th>2.1 TYPE OF INFORMATION PROVIDED</th>
<th>2.2 DATE OF RESPONSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Full Audit Report</td>
<td></td>
</tr>
<tr>
<td>☐ Non-Conformity Report(s)</td>
<td></td>
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<tr>
<td>☐ Summary of Information</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>2.3 FULL TITLE AND DATE OF REPORT(S) SENT</th>
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</table>
FORM 3 – PUBLIC DISCLOSURE FORM

This form is normative.

See the Excel file "Annex C - ASC Report Template"
**FORM 4 – LOG OF COMPLAINTS, CONCERNS AND OBJECTIONS**

This form is to be submitted annually, no less than thirty (30) days prior to the annual surveillance visit to be performed by the ASC appointed accreditation body (AAB) with copies sent to the ASC and the AAB.

*Add additional rows as need.*

*Add additional rows as need.*

<table>
<thead>
<tr>
<th>1.1 NAME OF CAB</th>
<th>1.2 DATE OF SUBMISSION</th>
<th>1.3 CAB CONTACT PERSON</th>
<th>1.4 EMAIL ADDRESS OF CAB CONTACT PERSON</th>
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<table>
<thead>
<tr>
<th>1.5 NAME OF CLIENT</th>
<th>1.6 CERTIFICATE NUMBER IF ISSUED</th>
<th>1.7 DATE RECEIVED</th>
<th>1.8 CAB FILE REFERENCE</th>
<th>1.9 FORMAL COMPLAINT (YES OR NO)</th>
<th>1.10 DATE OF RESPONSE</th>
<th>1.11 NATURE OF THE ISSUE</th>
<th>1.12 HOW IT WAS ADDRESSED</th>
<th>1.13 WAS THE COMPLAINANT SATISFIED</th>
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**FORM 5 – REPORT OF CANCELLATION OF AN AUDIT FOR A NEW APPLICANT OR SUSPENSION, OR WITHDRAWAL OF AN EXISTING CERTIFICATE**

*This form is to be submitted no less than five (5) days of the action taken by the CAB.*

*Add additional rows as need.*

<table>
<thead>
<tr>
<th>1.1 NAME OF CAB</th>
<th>1.2 NAME OF CAB CONTACT PERSON (NAME, AND CONTACT INFORMATION)</th>
<th>1.3 DATE OF ACTION</th>
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**1.4 ACTION TAKEN**

- □ Audit of new client cancelled before completion
- □ Existing certificate suspended
- □ Existing certificate withdrawn
- □ Other Action (describe in 1.5)

**1.5 DESCRIPTION OF OTHER ACTION**

<table>
<thead>
<tr>
<th>1.6 NAME AND ADDRESS OF CLIENT</th>
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</table>

**1.7 CERTIFICATE NUMBER (IF APPLICABLE)**

<table>
<thead>
<tr>
<th>1.8 DESCRIPTION OF REASONS FOR ACTION</th>
</tr>
</thead>
<tbody>
<tr>
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