This document will enable approved certification bodies, who carry out audits on behalf of both standard owners, to conduct a single audit as the basis for two certificates.

**Shrimp - ASC-GLOBALG.A.P Commonalities**

All ASC Requirements will need to be addressed by the farm for CAB to consider the farm for ASC certification.

<table>
<thead>
<tr>
<th>ASC Indicator No.</th>
<th>Descriptions</th>
<th>GlobalG.A.P. CP No.</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.1</td>
<td>Compliance with local and national laws or regulation</td>
<td>AB 1.1.1</td>
<td>Are farms operated in accordance with applicable legislation in relation to the GLOBALG.A.P. Standard?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 1.1.3</td>
<td>Are all aquaculture farms registered as such with the relevant competent authority as required by national legislation?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 2.5.2</td>
<td>Are anesthetics used, approved by the relevant competent authority for use in aquaculture and for the named species?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 4.2.3</td>
<td>Are diving operations carried out in accordance with relevant legislation or as a minimum in accordance with health and safety risk assessment?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 5.2.5</td>
<td>Do all farms notify the relevant competent authority of any disease where required to do so by law and as a minimum as those stipulated by the O.I.E. (World Organization for Animal Health)?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 5.2.8</td>
<td>Does the farm operate according to maximum densities related to fish size, production stage and production system? Are the maximum densities based on legislative requirements or industry recognized practices, taking care of fish health &amp; welfare aspects? Can the farm document that densities are not exceeded?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 5.6.3</td>
<td>Does the farm have a system for dead fish removal, storage and disposal that ensures that environmental aspects and risk of pathogen and disease spread to own stock and wild fish species are not compromised and minimum according to national legislation?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 11.1.1</td>
<td>Does water abstraction and discharge meet the requirements set by the competent authority?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 11.1.2</td>
<td>Is inlet / outlet water quality in compliance with existing applicable local regulations? Where no such regulations exist, are there facilities for effluent treatment available in order to minimize polluting the open water and inlet treatment to promote fish welfare?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AB 11.2.1</td>
<td>Are local limits in accordance with legislation as implemented and enforced by the relevant competent authority? Does every operator have a consent to discharge, and is able to demonstrate compliance with the consent conditions?</td>
</tr>
<tr>
<td>Section</td>
<td>Requirement</td>
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<tr>
<td>2.1.1</td>
<td>Farm owners shall commission a participatory B-EIA and disseminate results and outcomes openly in locally appropriate language. The B-EIA process and document must follow the outline in Appendix A.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.5.3</td>
<td>Responsible handling and disposal of sludge and sediments removed from ponds and canals.</td>
<td></td>
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</tr>
<tr>
<td>7.7.2</td>
<td>Responsible handling and disposal of wastes based on risk assessment and possibilities of recycling.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.1</td>
<td>Allowance for siting in Protected Areas (PAs): No</td>
<td></td>
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</tr>
<tr>
<td>2.3.1</td>
<td>Allowance for siting farms in critical habitats of endangered species as defined by the IUCN Red List, national listing processes or other official lists.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.2</td>
<td>Allowance for siting in mangrove ecosystems and other natural wetlands, or areas of ecological importance as determined by the B-EIA or national/state/local authority plans/list.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4.2</td>
<td>Riparian buffers: Minimum width of permanent native and natural vegetation between farms and natural aquatic/brackish environments.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4.3</td>
<td>Corridors: Minimum width of permanent native and natural vegetation through farms to provide human or native wildlife movement across agricultural landscapes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.5.2</td>
<td>Allowance for the use of fresh groundwater in ponds.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1.1</td>
<td>Minimum age of hired workers</td>
<td></td>
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</tr>
</tbody>
</table>

AF 5.1.1 Have possible waste products and sources of pollution been identified in all areas of the business? 
AF 5.2.1 Is there a documented farm waste management plan to avoid and/or reduce wastage and pollution and does the waste management plan include adequate provisions for waste disposal? 
AB 3.2.2 Does storage and disposal of empty containers and non-used chemicals take place in a manner that avoids spillage and exposure to products, humans and animals? 
AB 3.2.3 Are unused chemicals disposed of by a legally approved chemical waste contractor or returned to the supplying company? 
AB 10.1.1 Is there a waste management system in place? 
AB 10.1.2 Is all litter and waste collected and disposed of according to legislation? Is plastic and paper wastes NOT burnt or left in the environment? 
AB 10.1.3 Is the producer committed to a formal Environmental and Biodiversity Policy, including the element of continuous improvement (supported by codes of practice, management protocols, management practices, record keeping and regulatory compliance certificates)? 
AB 10.1.4 Is a continuously updated biodiversity-inclusive environmental impact assessment (EIA) and risk assessment (ERA) in place? 
AB 10.1.8 Documented evidence must be available that the competent authorities and local communities have been informed when salinization takes place. 
AB 10.4.1 Has the farm site or related facilities not been established within a designated national Protected Area (PA), PAs with IUCN categories Ia through to IV, or areas defined under international conventions (such as RAMSAR or World Heritage)? If within PA IUCN category V or VI, consent of PA management required. 
AB 10.4.2 Has the new pond, farm site or related facilities NOT been established (before April 2008) in areas that were previously within a mangrove ecosystem, within the natural inter-tidal zone, or a High Conservation Value Area. 
AB 10.4.3 Farms established between May 1999 and April 2008 within mangroves, the natural inter-tidal zone or a High Conservation Value Area must show evidence that they are in the process of being retired, rehabilitating the area and if necessary compensating surrounding communities. From the date of first certification, a maximum of 3 years shall take the process to be completed, after which it is removed and new locations (if any, outside these areas) are considered for certification. 
AB 5.8.2 In pond farming, are vegetative buffer zones and habitat corridors maintained? 
AB 11.1.6 Is fresh ground water or potable water not used to lower the salt concentrations? 
GRASP 8 Do records indicate that no minors are employed on the farm?
4.2.1 Right to full final payment and benefits
4.2.2 Employees have the right to keep identity documents and work permits
4.2.3 Hired workers have the freedom of movement outside working hours
4.3.1 Anti-discrimination policy in place, including, but not limited to, how to deal with discrimination in the workplace and equal access to all jobs in relation to gender, age, origin (locals vs. migrants), race or religion, and outlining clear and transparent company procedures are to raise/file and respond to discrimination complaints. Clear and transparent company procedures are outlined to raise/file and respond to discrimination complaints.
4.3.4 Respect of maternity rights and benefits.
4.4.3 Medical expenses coverage.
4.6.1 Percentage of workers with access to trade unions, worker organizations, and/or have the ability to self-organize and the ability to bargain collectively or to have access to representative(s) chosen by workers without management interference
4.6.2 Members of unions or worker organizations are not discriminated against by employers.
4.6.3 The employer ensures that all workers have access to appropriate channels of communication with managers on matters relating to labor rights and working conditions.
4.10.1 The employer ensures that all workers have access to appropriate channels of communication with managers on matters relating to labor rights and working conditions.

**AF 3.6.2** Do regular two-way communication meetings take place between management and workers? Are there records from such meetings?

**GRASP 1:** Is there at least one employee or an employees' council to represent the interests of the staff to the management?

**GRASP 2:** Is there a complaint procedure available on the farm, through which employees can make a complaint?

**GRASP 3:** Has a self-declaration on good social practice regarding human rights been communicated to the employees and signed by the farm management and the employees' representative and have the employees been informed? (ILO Conventions 29 and 105 on forced labor, ILO Conventions 111 on discrimination)

**GRASP 4:** The responsible person for workers’ health and safety and good social practice and the employees’ representative(s) have knowledge and/or access to national regulations concerning medical care.

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| 4.4.1 | Percentage of workers trained in health and safety practices, procedures and policies relevant to the job. Safety equipment provided and maintained and in use. |
| 3.4.1 Written contract agreements |
| 4.5.1 Minimum wage level as applicable to their specific job/task description |
| 4.5.2 Permanent workers are paid fair wages. Salaries, if not already at a “fair wage” level, are gradually increased to include sufficient funds for a worker’s basic needs plus a discretionary income that allows for savings and/or pension payments |

**AF 3.1.3** Have all workers received health and safety training?

**AF 3.2.3** Have all persons working on the farm received annual basic hygiene training according to the hygiene instructions in AF 3.2.2?

**AF 3.3.1** Is there a record kept for training activities and attendees?

**AF 3.3.2** Records must identify workers who carry out such tasks, and show proof of competence, certificates of training, and/or records of training with proof of attendance. No N/A.

**AB 4.1.1** Does the person(s) responsible for decision-making in the use of chemicals (including medication and treatments) have appropriate training?

**AB 4.1.2** Does the training outline the hygiene standards (based on hazard risk analysis) to be adopted by workers and visitors and subjects listed in the GLOBALG.A.P. Aquaculture Standard?

**AF 3.1.2** Does the farm have written health and safety procedures addressing issues identified in the risk assessment of AF 3.1.1?

**AF 3.4.1** Do accident and emergency procedures exist; are they visually displayed, and are they communicated to all persons associated with the farm activities?

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**GRASP 5** Can copies of working contracts be shown for the employees? Do they indicate at least full names, nationality, a job description, date of birth, date of entry, wage and the period of employment? Have they been signed by both the employee and the employer?

**GRASP 7** Do pay slips / pay registers indicate the conformity of payment with at least legal regulations and/or collective bargaining agreements?
<table>
<thead>
<tr>
<th>4.8.1</th>
<th>4.8.6</th>
<th>4.8.1 Maximum number of regular working hours: 8 hours/day or 48 hours/week (maximum average over 17 week period) including “stand-by” hours; with at least one full day (including two nights) off in every seven-day period. 4.8.6 Overtime is voluntary, and not longer than 12 hours/week.</th>
<th><strong>GRASP 11</strong></th>
<th>Do working hours and breaks documented in the time records comply with applicant legislation and/or collective bargaining agreements?</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.11.1</td>
<td></td>
<td>Living conditions for workers accommodated on the farm are decent and safe.</td>
<td><strong>AF 3.6.4</strong></td>
<td>Are on-site living quarters habitable and have the basic services and facilities?</td>
</tr>
<tr>
<td>5.1.1</td>
<td></td>
<td>Develop and maintain an operational health plan addressing: 1) Pathogens that can come from the surrounding environment into the farm (e.g., predator and vector control) 2) Pathogens that can spread from the farm to the surrounding environment (e.g., effluent filtration/sterilization, and waste such as dead-shrimp management) 3) Spreading of pathogens within the farm. Critical to avoid cross contamination, detect and prevent emerging pathogen(s), and monitor external signs of pathologies and moribund animals</td>
<td><strong>AB 5.2.3</strong></td>
<td>Is a Veterinary Health Plan available, updated during last 12 months or for last production cycle and where the need of new drugs not previously included is the case, and signed off by a veterinarian?</td>
</tr>
<tr>
<td>5.1.2</td>
<td></td>
<td>Filtration of inlet water for minimizing the entry of pathogens</td>
<td><strong>AB 5.2.10</strong></td>
<td>Has a risk assessment been undertaken to demonstrate that water quality does not compromise food safety and animal health &amp; welfare?</td>
</tr>
<tr>
<td></td>
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<td></td>
<td><strong>AB 5.2.11</strong></td>
<td>Does the infrastructure of the facility ensure no contamination of intake water?</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td><strong>AB 5.9.1</strong></td>
<td>According to risk assessment, are documented procedures in place to prevent cross contamination?</td>
</tr>
<tr>
<td>5.1.4</td>
<td>6.2.1</td>
<td>5.1.4 Percent of stocked postlarvae (PLs) that are Specific Pathogen Free (SPF) or Specific Pathogen Resistant (SPR) for all important pathogens. 6.2.1 PL and broodstock have appropriate disease-free status and sources meet regional, national and international importation guidelines (e.g., OIE and ICES)</td>
<td><strong>AB 2.1.2</strong></td>
<td>Are broodstock prior to breeding screened and verified free of diseases potentially vertically transmitted?</td>
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<td></td>
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<td><strong>AB 2.3.2</strong></td>
<td>Does the farm comply with governmental regulations regarding the import of seedlings and can certificates demonstrate that they are specific pathogen free? Upon arrival at the hatchery, is imported seedlings held in quarantine until their disease status is verified prior to their transfer to other areas?</td>
</tr>
<tr>
<td></td>
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<td></td>
<td><strong>AB 2.3.4</strong></td>
<td>Do seedling suppliers provide analytical test certificates of routine surveillance disease monitoring, at least for known diseases for the specific species?</td>
</tr>
<tr>
<td>5.2.1</td>
<td></td>
<td>Allowance for intentional lethal predator control of any protected, threatened or endangered species as defined by the International Union for Conservation of Nature (IUCN) Red List national listing processes, or other official lists.</td>
<td><strong>AB 10.2.2</strong></td>
<td>Subject to Risk Assessment results, is there in place a regular net and predator net checking system used to reduce negative interaction with wildlife?</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td><strong>AB 10.2.3</strong></td>
<td>Are predator controls implemented so as to prevent unnecessary wildlife destruction by the use of preventative measures or startling devices? If used, are anti predator methods used in accordance with relevant legislation and codes of practice?</td>
</tr>
<tr>
<td>5.2.3</td>
<td></td>
<td>In case lethal predator control is used, a basic monitoring program must be in place for documenting the frequency of visits, variety of species and number of animals interacting with the farm.</td>
<td><strong>AB 10.2.4</strong></td>
<td>Where destruction of predators is unavoidable, is this within the constraints of legislation?</td>
</tr>
<tr>
<td>5.3.3</td>
<td></td>
<td>Information on chemical storage and usage.</td>
<td><strong>AB 5.4.1</strong></td>
<td>Do all farms maintain up to date legal medicine purchase and administration records including medicated feed?</td>
</tr>
<tr>
<td></td>
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<td></td>
<td><strong>AB 5.4.2</strong></td>
<td>Is the producer able to provide a complete history and current overview of fish treatments and application methods and that these are carried out according to national regulation and the VHP?</td>
</tr>
</tbody>
</table>

ASC/GlobalGAP Commonalities ASC Shrimp Standard - version 1.0
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5.3.4 Proper use of chemical products by farm workers

7.7.1 Safe storage and handling of chemicals and hazardous materials

AB 3.1.1 Is a product inventory documented and readily available for all chemicals in store?
AB 3.1.2 Are product and safety data sheet available for all chemicals?
AB 3.1.3 Are chemicals stored in accordance with the label instructions, legislation (including refrigeration when required) and physically separated when risk of cross contamination, in a sound, secure, lockable, well ventilated, well lit location that is located away from other materials?
AB 3.1.4 Is there emergency information with corresponding facilities for workers to deal with accidents during handling (e.g. eye wash, plenty of clean water) where required?
AB 3.1.5 Is the chemical store kept locked and access limited to workers with training (according to AF 3.1.3 and AB 4.1.1)?
AB 3.1.6 Are all chemicals stored in their original packaging, which must be kept in a suitable condition to allow label instructions to be clearly identified?
AB 3.1.7 Is the chemical store able to retain spillage and are there emergency facilities to deal with accidental spillage?
AB 3.1.8 Are there facilities and equipment suitable for measuring and/or mixing of chemicals to assure safe and accurate dosage?
AB 3.1.9 Is there suitable equipment available to prevent and to deal with operator contamination?
AB 3.1.10 Is there a product inventory documented and readily available for all chemicals in store?
AB 3.1.11 Are product and safety data sheet available for all chemicals?
AB 3.1.12 Are chemicals stored in accordance with the label instructions, legislation (including refrigeration when required) and physically separated when risk of cross contamination, in a sound, secure, lockable, well ventilated, well lit location that is located away from other materials?
AB 3.1.13 Is there emergency information with corresponding facilities for workers to deal with accidents during handling (e.g. eye wash, plenty of clean water) where required?
AB 3.1.14 Is the chemical store kept locked and access limited to workers with training (according to AF 3.1.3 and AB 4.1.1)?

AB 3.1.15 Are chemicals stored in accordance with the label instructions, legislation (including refrigeration when required) and physically separated when risk of cross contamination, in a sound, secure, lockable, well ventilated, well lit location that is located away from other materials?
AB 3.1.16 Is there emergency information with corresponding facilities for workers to deal with accidents during handling (e.g. eye wash, plenty of clean water) where required?
AB 3.1.17 Is the chemical store kept locked and access limited to workers with training (according to AF 3.1.3 and AB 4.1.1)?
AB 3.1.18 Are all chemicals stored in their original packaging, which must be kept in a suitable condition to allow label instructions to be clearly identified?
AB 3.1.19 Is the chemical store able to retain spillage and are there emergency facilities to deal with accidental spillage?
AB 3.1.20 Are there facilities and equipment suitable for measuring and/or mixing of chemicals to assure safe and accurate dosage?
AB 3.1.21 Is there suitable equipment available to prevent and to deal with operator contamination?

AB 3.1.22 Is a product inventory documented and readily available for all chemicals in store?
AB 3.1.23 Are product and safety data sheet available for all chemicals?
AB 3.1.24 Are chemicals stored in accordance with the label instructions, legislation (including refrigeration when required) and physically separated when risk of cross contamination, in a sound, secure, lockable, well ventilated, well lit location that is located away from other materials?
AB 3.1.25 Is there emergency information with corresponding facilities for workers to deal with accidents during handling (e.g. eye wash, plenty of clean water) where required?
AB 3.1.26 Is the chemical store kept locked and access limited to workers with training (according to AF 3.1.3 and AB 4.1.1)?
AB 3.1.27 Are chemicals stored in accordance with the label instructions, legislation (including refrigeration when required) and physically separated when risk of cross contamination, in a sound, secure, lockable, well ventilated, well lit location that is located away from other materials?
AB 3.1.28 Is there emergency information with corresponding facilities for workers to deal with accidents during handling (e.g. eye wash, plenty of clean water) where required?
AB 3.1.29 Is the chemical store kept locked and access limited to workers with training (according to AF 3.1.3 and AB 4.1.1)?

AB 3.1.30 Are all chemicals stored in their original packaging, which must be kept in a suitable condition to allow label instructions to be clearly identified?
AB 3.1.31 Is the chemical store able to retain spillage and are there emergency facilities to deal with accidental spillage?
AB 3.1.32 Are there facilities and equipment suitable for measuring and/or mixing of chemicals to assure safe and accurate dosage?
AB 3.1.33 Is there suitable equipment available to prevent and to deal with operator contamination?

AB 3.1.34 Do producers only use medicines and treatments that are approved by the relevant competent authority for use in aquaculture and for the named species? Is a list of all medicines that may be used available?

AB 3.1.35 Is the chemical store kept locked and access limited to workers with training (according to AF 3.1.3 and AB 4.1.1)?
AB 3.1.36 Are all chemicals stored in their original packaging, which must be kept in a suitable condition to allow label instructions to be clearly identified?
AB 3.1.37 Is the chemical store able to retain spillage and are there emergency facilities to deal with accidental spillage?
AB 3.1.38 Are there facilities and equipment suitable for measuring and/or mixing of chemicals to assure safe and accurate dosage?
AB 3.1.39 Is there suitable equipment available to prevent and to deal with operator contamination?

AB 3.1.40 Do all workers handling and/or administering veterinary medicines, chemicals, disinfectants, plant protection products, biocides and/or other hazardous substances and all workers operating dangerous or complex equipment as defined in the risk analysis in AF 3.1.3 have certificates of competence, and/or details of other such qualifications?

5.3.7 Use of probiotic bacterial strains excluding the use of fermented product to seed further batches.

AB 5.3.1 Are all equipment and systems designed, installed and operated to minimize the risk of compromising fish health or risk of fish escapes?

AB 5.11.1 Are all equipment and systems designed, installed and operated to minimize the risk of compromising fish health or risk of fish escapes?
AB 10.3.2 Does the EMP (see AB 10.1.5) includes a Contingency Plan and a standard operating procedure to avoid escape of farmed stock into the sea or local fresh water course?
AB 10.3.3 Are precautions in place to prevent erosion of dams or channels that could lead to subsequent escapes?
AB 10.3.4 Are canals, embankments and sheeting constructed in such a way that the adverse effect of high flood levels is limited?

6.1.2 Prevention measures in place to prevent escapes at harvest and during grow-out include:
A: Effective screens or barriers of appropriate mesh size for the smallest animals present; double screened when non-indigenous species.
B: Perimeter pond banks or dykes are of adequate height and construction to prevent breaching in exceptional flood events.
C: Regular, timely inspections are performed and recorded in a permanent register.
D: Timely repairs to the system are recorded.
E: Installation and management of trapping devices to sample for the existence of escapes; data is recorded.
F: Escape recovery protocols in place.

AB 2.1.1 Is there only domesticated broodstock used?
AB 2.1.2 Is there only seedlings sourced from domesticated broodstock?
AB 2.2.1 Are there only seedlings purchased from a GLOBALG.A.P. certified supplier hatchery, and certified according to official legislative requirements? (Maximum period of time: one year after first audit)
AB 2.2.2 Is farming of Genetically Modified -GM (transgenic) - fish prohibited?

6.2.2 Percent of total postlarvae from closed loop hatchery (i.e., farm-raised broodstock)
6.2.3 Origin of wild-caught broodstock
6.2.4 Allowance for wild-caught PL other than natural tidal flow into ponds

AB 2.3.1 Are seedlings purchased from a GLOBALG.A.P. certified supplier hatchery, and certified according to official legislative requirements? (Maximum period of time: one year after first audit)
AB 2.3.3 Are seedlings purchased from a GLOBALG.A.P. certified supplier hatchery, and certified according to official legislative requirements? (Maximum period of time: one year after first audit)
AB 6.1.2 Prevention measures in place to prevent escapes at harvest and during grow-out include:
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C: Regular, timely inspections are performed and recorded in a permanent register.
D: Timely repairs to the system are recorded.
E: Installation and management of trapping devices to sample for the existence of escapes; data is recorded.
F: Escape recovery protocols in place.

6.3.1 Allowance for the culture of transgenic shrimp (including the offspring of genetically engineered shrimp)

AB 6.3.1 Allowance for the culture of transgenic shrimp (including the offspring of genetically engineered shrimp)
AB 6.2.2 Prevention measures in place to prevent escapes at harvest and during grow-out include:
A: Effective screens or barriers of appropriate mesh size for the smallest animals present; double screened when non-indigenous species.
B: Perimeter pond banks or dykes are of adequate height and construction to prevent breaching in exceptional flood events.
C: Regular, timely inspections are performed and recorded in a permanent register.
D: Timely repairs to the system are recorded.
E: Installation and management of trapping devices to sample for the existence of escapes; data is recorded.
F: Escape recovery protocols in place.

7.1.1 Evidence of basic traceability of feed ingredients, including source, species, country of origin and harvest method demonstrated by the feed producer

AB 7.1.1 Evidence of basic traceability of feed ingredients, including source, species, country of origin and harvest method demonstrated by the feed producer
AB 7.1.2 Demonstration of chain of custody and traceability for fisheries products in feed through an ISEAL member or ISO 65 compliant certification scheme that also incorporates the FAO Code of Conduct for Responsible Fisheries.

7.1.2 Demonstration of chain of custody and traceability for fisheries products in feed through an ISEAL member or ISO 65 compliant certification scheme that also incorporates the FAO Code of Conduct for Responsible Fisheries.
7.2.1

a: Timeframe for 100% (mass balance) fishmeal and fish oil used in feed to come from fisheries certified by a full ISEAL member that has guidelines specifically promoting ecological sustainability of forage fisheries

b: FishSource score, for the fishery(ies) from which a minimum of 80% of the fishmeal and fish oil by volume is derived (See Appendix IV, subsection 3 for explanation of FishSource scoring). For FishSource Criteria 4 (spawning biomass assessment) b. for FishSource Criteria 1, 2, 3 and 5

c: Lacking a FishSource assessment a fishery could be engaged in an Improvers Programme. (transparent and public Fisheries Improvement Project (FIP) with periodic public reporting (refer to Appendix VII).

7.6.1

Energy consumption by sources over a 12-month period.

Non-Comparable additional ASC Shrimp indicators

1.1.2 Transparency on legal compliance.

2.3.2 Maintain habitats critical for endangered species within farm boundaries and implement protection measures of such areas.

2.4.1 Coastal barriers: Minimum permanent barrier (or natural) between farm and marine environments

2.5.1 Allowance for discharging saline water to natural freshwater bodies: No

2.5.3 Water-specific conductance or chloride concentration in freshwater wells used by the farm or located on adjacent properties

2.5.4 Soil-specific conductance or chloride concentration in adjacent land ecosystems and agricultural fields.

2.5.5 Specific conductance or chloride concentration of sediment prior to disposal outside the farm.

3.1.1 Farm owners shall commission or undertake a participatory Social Impact Assessment (p-SIA) and disseminate results and outcome openly in locally appropriate language. Local government and at least one civil society organization chosen by the community shall have a copy of this document. The p-SIA process and document includes a participatory (shared) impact and risk analysis with surrounding communities and stakeholders. The participatory element (community input and response) is visibly included in the report. Outcomes as agreed between farm and surrounding community on how to manage risks and impacts are included in the report.

3.2.1 Farm owners shall develop and apply a verifiable conflict resolution policy for local communities. The policy shall state how conflicts identified in the p-SIA and new complaints will be tracked transparently, how third party mediation can be part of the process and explain how to respond to all received complaints. Complaint boxes, complaint registers and complaint acknowledgement receipts (in local language(s)) are used.

3.2.2 Areas of conflict or dispute are recorded and shared among farm, local government and surrounding community representatives. At least 50% of the conflicts shall be resolved within one year from the date of being filed, and a total of 75% in the period between two successive audits.

3.3.1 Farms shall document evidence of advertising positions to people living within daily traveling distance from the farm before hiring people who cannot travel to and from home on a daily basis

3.3.2 Justifications for employment of each worker are available, and based on profile and merits (skills, experience or CV in the case of hired migrant worker)
### 3.4.3 Transparency and openness of negotiations

#### 4.3.2 Number of incidences of discrimination

Equality of salaries and opportunities. All hired workers, independent of their gender, origin, race or religion, receive equal pay, benefits, promotion opportunities, job security arrangements and training opportunities for equal work at equal role and experience levels within the same hierarchical position.

#### 4.5.3 Punishment through infringement of workers' rights or wages

Revolving labor-contract schemes designed to deny long-time workers full access to fair and equitable remuneration and other benefits.

#### 4.7.1 Fairness of disciplinary measures

#### 4.7.2 Clear, fair and transparent disciplinary policies and procedures

#### 4.7.3 Prohibition of harassment

#### 4.8.2 Right to leave the farm after completion of daily work duties

#### 4.8.3 Minimum time off from work, with the right but not the obligation to leave farm premises if accommodations are on the farm, except where both the employer and employee agree that off-days cannot be accommodated on the farm.

#### 4.8.4 Transport provided to workers (in cases where farm locations are remote) to allow workers to enjoy relaxation at home, with family or in places of recreation of their choosing.

#### 4.8.7 Rights to maternity leave, including daily breaks or a reduction of hours of work to address child care needs.

#### 4.9.1 Allowance for labor-only contracting relationships or false apprenticeship schemes including revolving / consecutive labor contracts to deny benefit accrual.

#### 4.9.4 Probation period stipulated in contract

#### 4.10.2 Percentage of issues raised by workers which are recorded, responded to and monitored by employer.

#### 4.10.4 Percentage of complaints that are resolved within three months after being received

### 4.11.2 Adequate facilities for women

#### 5.1.3 Annual average farm survival rate (SR):

1. Unfed and non-permanently aerated pond systems
2. Fed but non-permanently aerated pond systems
3. Fed and permanently aerated pond systems.

#### 5.2.2 Allowance for use of lead shot and select chemicals for predator control.

#### 5.3.1 Allowance for use of antibiotics and medicated feed on ASC-labeled products (farm can be certified but specific product receiving medicated feed will not be authorized to carry ASC label).

#### 5.3.2 Allowance for the use of antibiotics categorized as critically important by the World Health Organization (WHO), even if authorized by the pertinent national authorities.

#### 5.3.5 Allowance for the use of antibiotics categorized as critically important by the World Health Organization (WHO), even if authorized by the pertinent national authorities.

#### 5.3.6 Allowance for the discharge of any hazardous chemicals without previous neutralization.

#### 6.1.1 Use of non-indigenous shrimp species

#### 6.1.3 Escapes and actions taken to prevent reoccurrence.

#### 7.2.2 Percentage of non-marine ingredients from sources certified by an ISEAL member's certification scheme that addresses environmental and social sustainability.
## 7.3.1 Allowance for feed containing ingredients that are genetically modified ONLY when information regarding the use of GM ingredients in shrimp feed is made easily available to retailers and end consumers, including:
- Disclosure on the audit reports if GMO ingredients were used in the feed fed to shrimp. Disclosure if GMO ingredients were used in the feed fed to ASC-certified shrimp all along the supply chain up to the retailer. Total disclosure on the revised auditor reports are published on an easy-access database on the ASC web page (when available). This database, when available, should be made available on demand to retailer and consumers.
- Use of the most adequate, fast and user-friendly communication tools to inform retailers and consumers on all certified products.

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