

AUDIT MANUAL - ASC Seriola and Cobia Standard Version 1.2 March 2019		
Scope <i>Seriola quinqueradiata</i> , <i>Seriola dumerili</i> , <i>Seriola rivoliana</i> , <i>Seriola lalandi</i> and <i>Cobia Rachycentron canadum</i>		
INSTRUCTION TO FARMS/AUDITORS: This audit manual was developed to accompany the version of the ASC Seriola and Cobia Standards v1.1. References in this Audit Manual to Appendices can be found in the ASC Seriola and Cobia Standards document. The manual is complemented by a separate pre-audit checklist that outlines the minimum information that a client must have prior to the first audit. Prior to audit, the client and their conformity assessment body (CAB) shall reach agreement on whether the audit requires visits to both the client headquarters and the farm site, which information is held at each location, and the acceptable format of records (e.g. electronic or hard copy files).		
PRINCIPLE 1: COMPLY WITH ALL APPLICABLE INTERNATIONAL, NATIONAL AND LOCAL LAWS AND REGULATIONS		
Criterion 1.1 Compliance with all applicable local, national and international legal and regulatory requirements		
Implementation guidance: In order to ensure compliance with these standards, auditors will need to review a range of documentation and relevant correspondence related to farm siting and operation. It is probable that some of the information will need to be generated by the headquarters of the company owning the operation, while other information will relate specifically to the site.		
	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
1.1.1	<p>Indicator: Documents demonstrating compliance with all relevant local and national laws and regulations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p> <p>a. Maintain digital or hard copies of applicable land and water use laws. Provide the audit team with a summary of applicable laws and permit requirements along with contact details for relevant staff.</p> <p>b. Maintain original (or certified copies of) lease agreements, land titles and concession permit(s) on file as applicable.</p> <p>c. Keep records of inspections for compliance with national and local laws and regulations (where such inspections are legally required in the country of operation).</p>	<p>A. Review farms operation in the context of requirements of applicable land and water use law.</p> <p>B. Confirm client holds original (or certified copies of) necessary:</p> <ul style="list-style-type: none"> • lease agreements or land titles • permits from government agencies • aquaculture concession(s) <p>C. Review records of inspection and/or monitoring for compliance with national and local laws and regulations (as applicable).</p>
1.1.2	<p>Indicator: Documents demonstrating compliance with all tax laws.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p> <p>a. Provide a certificate of tax clearance or tax law conformity from local Revenue authority;</p> <p>OR</p> <p>Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax). Note that CABs will not disclose confidential tax information unless client is required to or chooses to make it public.</p> <p>b. Demonstrate that the farm ensures compliance with tax laws appropriate to its size and scale. Large-scale producers should for instance use the services of a qualified and knowledgeable tax professional such as a chartered Public Accountant to manage overall compliance with taxation law. Small-scale producers should show tax receipts.</p> <p>c. If tax is paid by a parent company legally then the farm should present information to this effect.</p>	<p>A. Review certificate of tax clearance and/or tax law conformity from local revenue authority</p> <p>OR</p> <p>An independently (third party) audited company annual report may be used to confirm tax status. Verify client has records of tax payments to appropriate authorities. Do not disclose client tax information, which is confidential.</p> <p>B. Verify that the farm appropriately ensures tax compliance, for larger farms that they use the services of a professional tax service provider, and that small-scale farms maintain receipts.</p> <p>C. Check validity of tax paid by the parent company.</p>
1.1.3	<p>Indicator: Documents demonstrating compliance with all labor laws and regulations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p> <p>a. Demonstrate how the farm conforms with the requirements of national and regional/local labor codes and employment law</p> <p>b. Keep records of farm inspections for compliance with national labor laws and codes (only if such inspections are legally required in the country of operation).</p>	<p>A. Verify that the farm conforms with labor codes and employment law through review of documentation, and /or direct discussion with staff and /or workers representatives.</p> <p>B. Review inspection records for compliance with national labor laws and codes (as applicable).</p>
1.1.4	<p>Indicator: Documents demonstrating compliance with regulations and permits concerning water quality impacts.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p> <p>a. Obtain permits for discharge water where applicable.</p> <p>b. Maintain records of monitoring and compliance with discharge laws and/or regulations as required.</p> <p>c. Maintain records of monitoring and compliance with waste and pollution laws/regulations.</p>	<p>A. Verify that client obtains permits as applicable.</p> <p>B. Verify that records show that monitoring compliance with discharge laws and/or regulations as required.</p> <p>C. Verify that records show that monitoring compliance with waste and pollution laws and/or regulations as required.</p>

PRINCIPLE 2: CONSERVE NATURAL HABITAT, LOCAL BIODIVERSITY AND ECOSYSTEM STRUCTURE AND FUNCTION																		
<p>Implementation guidance:</p> <ul style="list-style-type: none"> For 2.1.1: If there is a violation of the standard based on the result of a single sample, then the farm can be required to undertake a more rigorous sampling process. For 2.1.2: The farmer will use a measure of benthic community composition that is most appropriate to the site. Over time ASC will build lists and knowledge of appropriate species by regions and site characteristics that can inform further iterations of the standards. For 2.1.1 and 2.1.2: The baseline point is the one outside of the AZE and what we want to know is that it does not get any worse due to the farm. And it is acceptable to take samples from a point where water depth is around average. 																		
<p><i>Criterion 2.1 Benthic biodiversity and benthic effects</i></p>																		
	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):																
<p>Guidance to Clients and CABs on Criterion 2.1 – Benthic Impact assessment and monitoring</p> <p>The ASC recognises that there may be pre-existing statutory or regulatory requirements with respect to monitoring of benthic impact indicators and the location of sampling points. However, in all cases the Seriola and Cobia Standards require testing for significant differences in a chosen benthic indicator (Redox potential, Sulphide levels or Total Organic Carbon). Evaluation of conformance must be based on a sampling strategy that, at a minimum, includes samples from the cage edge and samples taken from inside and outside (Control sites) of a defined AZE¹. Modeling studies of the distribution of bio-deposits from finfish aquaculture have shown that enhanced settling of particulate matter from cultures can occur at significant distances from a farm depending on current speed, bathymetry and settling velocities for feed and faecal components (Gowen <i>et al.</i> 1994; Hevia <i>et al.</i> 1996, Jesup <i>et al.</i> 2007 and Cromey <i>et al.</i> 2002). The appropriate upstream or downstream locations for AZE and control sites relative to a finfish culture area will vary with each water body and site-specific hydrographic conditions. Carefully designed sampling strategies should be developed with a view to allowing credible, realistic and scientifically robust assessment of benthic impacts².</p>																		
2.1.1	<p>Indicator: TOC , sulphide, or redox levels in sediment immediately outside of Allowable Zone Effect (AZE)⁽¹⁾ attributable to farm operations as evidenced by control.</p> <p>Requirement: No significant change in TOC, sulphide, or redox levels in sediment at the edge of the AZE in comparison to the control site..</p> <p>Applicability: All farms except as noted in footnote 1. <i>For farms that have yet to define an AZE, within 3 years from the publication of the Seriola and Cobia standards.</i></p>	<p>Notes: Under Indicator 2.1.1, farms can choose to measure redox potential (Option #1), sulphide concentration (Option #2) or Total Organic carbon (Option #3). Evaluation of conformity with this criterion will be based on review of one (chosen) indicator and testing must focus on significance in difference between measurements inside and control sites located outside the AZE. Indicator values from immediately outside the AZE should not be statistically significantly different from those at a control site. Further information in relation to sampling regime requirements and timing is contained in the Seriola and Cobia Standards. Audit points b-g only apply to farms that have defined an AZE at time of initial audit, and for all farms commencing 3 years from the publication of the Seriola and Cobia standards. In all cases, within three years of the publication of the SCAD standards, all certified farms must have undertaken the appropriate analysis to determine the site-specific AZE and depositional patterns.</p> <p>For 2.1.1, if there is a violation of the standard based on the result of a single sample, then the farm can be required to undertake a more rigorous sampling process.</p> <table border="1"> <tr> <td>a. Prepare a map of the farm showing boundary of AZE and GPS locations of all sediment-sampling stations. If the farm uses a site-specific AZE, provide justification for its selection to the CAB.</td> <td>A. Review map to verify appropriate siting of sampling stations and evidence (where applicable) to justify use of a site specific AZE.</td> </tr> <tr> <td>OR (for farms that have yet to define an AZE and for up to 3 years from the publication of the Seriola and Cobia standards): Prepare a map of the farm showing GPS locations of all sediment-sampling stations.</td> <td></td> </tr> <tr> <td>b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1a-g, and 2.1.2.</td> <td>B. Review evidence of benthic type and confirm whether to proceed to 2.1.1c.</td> </tr> <tr> <td>c. Inform the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.</td> <td>C. Record which option the client selected</td> </tr> <tr> <td>d. Collect sediment samples using an appropriate methodology and sampling regime, following the guidance in the Seriola and Cobia Standards (i.e. at the time of peak cage biomass and at all required stations).</td> <td>D. Review documentary evidence (notes, GPS coordinates) showing sampling time, stations, and frequency. Cross-check against farm maps, production and harvest records.</td> </tr> <tr> <td>e. For option #1, measure and record redox potential (mV) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</td> <td>E. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that redox potential of surficial sediment samples taken immediately outside the AZE are not significantly different (95% C.I.) from the redox potential of surficial sediments sampled from an un-impacted control site far removed from the farm.</td> </tr> <tr> <td>f. For option #2, measure and record sulphide concentration (uM) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</td> <td>F. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that sulphide concentration of surficial sediment samples within the AZE are not significantly different (95% C.I.) to levels recorded for stations at an un-impacted control site far removed from the farm.</td> </tr> <tr> <td>g. For option #3, measure and record Total Organic Carbon (e.g. % by weight) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</td> <td>G. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that TOC levels for surficial sediment samples within the AZE are not significantly different (95% C.I.) to levels recorded for stations at an un-impacted control site far removed from the farm.</td> </tr> </table>	a. Prepare a map of the farm showing boundary of AZE and GPS locations of all sediment-sampling stations. If the farm uses a site-specific AZE, provide justification for its selection to the CAB.	A. Review map to verify appropriate siting of sampling stations and evidence (where applicable) to justify use of a site specific AZE.	OR (for farms that have yet to define an AZE and for up to 3 years from the publication of the Seriola and Cobia standards): Prepare a map of the farm showing GPS locations of all sediment-sampling stations.		b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1a-g, and 2.1.2.	B. Review evidence of benthic type and confirm whether to proceed to 2.1.1c.	c. Inform the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.	C. Record which option the client selected	d. Collect sediment samples using an appropriate methodology and sampling regime, following the guidance in the Seriola and Cobia Standards (i.e. at the time of peak cage biomass and at all required stations).	D. Review documentary evidence (notes, GPS coordinates) showing sampling time, stations, and frequency. Cross-check against farm maps, production and harvest records.	e. For option #1, measure and record redox potential (mV) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.	E. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that redox potential of surficial sediment samples taken immediately outside the AZE are not significantly different (95% C.I.) from the redox potential of surficial sediments sampled from an un-impacted control site far removed from the farm.	f. For option #2, measure and record sulphide concentration (uM) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.	F. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that sulphide concentration of surficial sediment samples within the AZE are not significantly different (95% C.I.) to levels recorded for stations at an un-impacted control site far removed from the farm.	g. For option #3, measure and record Total Organic Carbon (e.g. % by weight) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.	G. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that TOC levels for surficial sediment samples within the AZE are not significantly different (95% C.I.) to levels recorded for stations at an un-impacted control site far removed from the farm.
a. Prepare a map of the farm showing boundary of AZE and GPS locations of all sediment-sampling stations. If the farm uses a site-specific AZE, provide justification for its selection to the CAB.	A. Review map to verify appropriate siting of sampling stations and evidence (where applicable) to justify use of a site specific AZE.																	
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b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1a-g, and 2.1.2.	B. Review evidence of benthic type and confirm whether to proceed to 2.1.1c.																	
c. Inform the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.	C. Record which option the client selected																	
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f. For option #2, measure and record sulphide concentration (uM) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.	F. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that sulphide concentration of surficial sediment samples within the AZE are not significantly different (95% C.I.) to levels recorded for stations at an un-impacted control site far removed from the farm.																	
g. For option #3, measure and record Total Organic Carbon (e.g. % by weight) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.	G. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that TOC levels for surficial sediment samples within the AZE are not significantly different (95% C.I.) to levels recorded for stations at an un-impacted control site far removed from the farm.																	

¹ Allowable Zone of Effect (AZE) is defined under this standard as either: (a) an area around the outside of the net pen with a radius equal to the depth of the water; or (b) if a single-point mooring is used, then the area scribed by the arc of the mooring plus 30m. For a land-based production system, it is assumed that there is no significant effect outside of the outfall so there is no need for an AZE however it would be up to the operator of a land based production system to make an argument for a reasonable AZE if there is an impact beyond the outfall.

² There are widely recognized methods for determining adequate sampling. The onus is on the farm to demonstrate a rigorous experimental design which should specify # of grabs, control sites, how the AZE was defined, number of sampling sites and replicates as well as variance rules.

2.1.2	<p>Indicator: Abundance of harmful (invasive or noxious) macrofauna immediately outside of AZE attributable to farm operations as evidenced by control.</p> <p>Requirement: No significant change in harmful macrofauna at the edge of the AZE in comparison to the control site..</p> <p>Applicability: All farms except as noted in footnote 1. For farms that have yet to define an AZE, within 3 years from the publication of the <i>Seriola</i> and <i>Cobia</i> standards.</p>	<p>Notes:</p> <ul style="list-style-type: none"> - The farmer shall use a measure of benthic community composition that is most appropriate to the site. The scale and intensity of the operation should be taken in to account when determining sampling protocols, for instance small farms operating in isolation may not need to conduct extensive sampling. Over time ASC will build lists and knowledge of appropriate species by regions and site characteristics that can inform further iterations of the standards - If a farm is exempt due to hard bottom benthos (see 2.1.1b), then 2.1.2 does not apply and this shall be noted in the audit report. - Farms may demonstrate conformity with this indicator at initial audit, however farms have three years from date of publication of the <i>Seriola</i> and <i>Cobia</i> standards to demonstrate conformity with this indicator. Where farms have chosen to defer implementation this should be recorded in the audit report. 	
		a. Prepare a map showing the AZE and sediment collections stations (see 2.1.1).	A. Review map to verify appropriate siting of sampling stations (see 2.1.1).
		b. Develop appropriate benthic faunal sampling strategy, procedures and protocols or provide evidence that contractors have used appropriate sampling strategy, procedures and protocols.	B. Examine appropriateness of benthic faunal sampling strategies, procedures and protocols.
		c. Collect sediment samples in accordance with sampling strategy.	C. Confirm sample collection followed strategy.
		d. Analyze epifaunal and infaunal components of sediment samples including identification to species level and enumeration of all species, for all sampling stations.	D. Review summary analysis data for each sampling station.
		e. Estimate proportions of all faunal species present in sediments immediately outside the AZE and at an un-impacted control site far removed from the farm and test for significance in difference (95% C.I.) in presence of opportunistic species and species that are considered to be indicators of benthic enrichment or harm.	E. Review results to confirm status of finding. Differences in faunal community immediately outside the AZE and at an un-impacted control site far removed from the farm must not be statistically significant difference (using 95% C.I.).

Criterion 2.2 Water quality in and near the site of operation		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
<p>Guidance to Clients and CABs on Criterion 2.2 – water quality in and near site of operation</p> <p><input type="checkbox"/> Turbidity: monitoring should be undertaken monthly. If after 12 months there is no significant difference between sample sites and control sites, sampling should be undertaken on an annual basis. Turbidity should be measured using consistent procedures such as standardized methods for sampling total suspended solids (TSS) or a secchi disk at defined depths. Both should be measured 1 hour after feeding and when biomass is highest (if sampling annually)</p> <p><input type="checkbox"/> Ammonia: monitoring should be undertaken monthly. If after 12 months there is no significant difference between sample sites and control sites, sampling should be undertaken on an annual basis.</p> <p><i>Turbidity and Ammonia sampling sites:</i></p> <p><input type="checkbox"/> shall be measured at mid-cage or pond depth.</p> <p><input type="checkbox"/> the reference site shall be at least 500 m from the edge of the net pen array, in a location that is understood to follow similar patterns in upwelling to the farm site and is not influenced by nutrient inputs from anthropogenic causes including aquaculture, agricultural runoff, or nutrient releases from coastal communities.</p>			
2.2.1	<p>Indicator: Turbidity levels in the water column inside and outside AZE.</p> <p>Requirement No significant change³ in turbidity levels in the water column at the edge of the AZE in comparison to the control site.</p> <p>Applicability: All.</p>	a. Devise appropriate and detailed turbidity monitoring procedure with detailed maps of sampling points and detailed methodology.	A. Review the monthly turbidity sampling monitoring procedure and verify whether it is fit for purpose.
		b. Measure and record turbidity initially on a monthly basis at the edge of the Allowable Zone of Effect and at an un-impacted control site far removed from the farm.	B. Verify that monthly monitoring of turbidity procedure is in place or that the procedure has been completed for a 12 month period ending within 24 months prior to initial ASC audit.
		c. Conduct analysis of turbidity data for statistically significant difference (95% C.I.) between turbidity at the edge of the AZE and at one or more control sites far removed from any potential farm influence.	C. Verify that an appropriate statistical analysis has been carried out.
		d. Provide results of statistical analysis for initial 12 month turbidity monitoring.	D. Determine whether turbidity monitoring indicates a significant difference in turbidity between sampling locations at the edge of the AZE and at an un-impacted control site far removed from the farm.
		e. Implement annual turbidity monitoring procedure.	E. Collect and review evidence that there is an ongoing turbidity monitoring procedure in operation.

³ These should be measured by consistent and standard procedures such as a secchi disk or recognized TSS sampling methods. Significant measured at 95% confidence interval.

2.2.2	<p>Indicator: Ammonia levels in the water column inside and outside AZE.</p> <p>Requirement: No significant change in ammonia levels in the water column at the edge of the AZE in comparison to the control site.</p> <p>Applicability: All.</p>	a. Devise appropriate and detailed ammonia monitoring procedure with detailed maps of sampling points and methodology. The monitoring action must be appropriate for size and scale of the impact and if the farm can prove low impact over a year then don't have to monitor so frequently afterwards.	A. Review the ammonia sampling monitoring procedure and verify whether it is fit for purpose.
		b. Measure and record ammonia initially on a monthly basis at the edge of the Allowable Zone of Effect and at an un-impacted reference (control) site far removed from the influence of a farm .	B. Verify that monthly monitoring of ammonia procedure is in place or that the procedure has been completed for a 12 month period ending within 24 months prior to initial ASC audit.
		c. Conduct analysis of ammonia data for statistically significant difference (95% C.I.) between ammonia levels at the edge of the AZE and at one or more control sites far removed from any potential farm influence.	C. Verify that an appropriate statistical analysis has been carried out.
		d. Provide results of statistical analysis for initial 12 month ammonia monitoring.	D. Verify whether or not there is a significant difference in ammonia levels at sampling stations at the edge of the AZE and at an un-impacted reference (control) site far removed from the influence of a farm.
		e. Implement annual ammonia monitoring procedure.	E. Collect and review evidence that there is an ongoing ammonia monitoring procedure in operation.
Criterion 2.3 Interaction with critical or sensitive habitats and species			
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
<p>Guidance to Clients and CABs on Criterion 2.3 – Interaction with critical or sensitive habitats and species</p> <ul style="list-style-type: none"> Farms cannot be located in any protected area that does not allow economic activities that are incompatible with the management and conservation goals of the protected areas—this falls under the concepts of Principle 1 related to obeying the law. Compatibility with the goals of a protected area shall be guided by the outcomes of the assessment conducted for 2.3.1. Risk assessments for impacts of farming activity on biodiversity should identify the receptor (affected habitat/ecosystem/species), risk causing activity, mechanism of impact/harm, frequency of occurrence and likely outcome. Where appropriate, mitigation measures should be identified. Risk assessments should aim to result in overall Insignificant or Low levels of risk to critical, sensitive or protected habitats and species. 			
2.3.1	<p>Indicator: Evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum: a) identification of proximity to critical, sensitive or protected habitats and species, b) description of the potential impacts the farm might have on biodiversity, with a focus on affected habitats or species, and c) a description of strategies and current and future programs underway to eliminate or minimize any identified impacts the farm might have.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Collect documentation that allows an interpretation of the farms location in the context of biodiversity and ecosystems that may be at risk from under assessment farm related impacts. The monitoring action must be appropriate for size and scale of the potential impact of the farm and if the farm can prove low impact over a year then don't have to monitor so frequently afterwards.	A. Review documentary evidence provided and determine whether this allows for a solid and detailed understanding of the geographical distribution, nature and extent of biodiversity and ecosystems in the areas surrounding the farm that may be at risk of under assessment farm related impacts. Evaluate whether the assessment is appropriate for the scale and intensity of the operation.
		b. Complete a detailed risk assessment for potential impacts of the farm on critical, sensitive and protected habitats and species. Demonstrate how the farm has strategies and programmes in place that are designed to minimise or eliminate negative impacts on species and habitats.	B. Review the risk assessment for potential impacts on biodiversity and confirm plausibility of predicted outcomes for any proposed mitigation strategies or programmes.
		c. Collect independent evidence that confirms the level of interaction and/or impact of the farm on critical, sensitive or protected habitats and species. Evidence can include stakeholder submission.	C. Review evidence provided and/or discuss with independent stakeholders.
2.3.2	<p>Indicator: Allowance for the farm to be sited in a legally designated protected area⁴.</p> <p>Requirement: None (see note above).</p> <p>Applicability: All.</p>	<p>Notes: The following exceptions shall be made for Standard 2.3.2:</p> <p><input type="checkbox"/> For protected areas classified by the International Union for the Conservation of Nature (IUCN) as Category V or VI.</p> <p><input type="checkbox"/> For designated protected areas if the farm can demonstrate that its environmental impacts are compatible with the objectives of the protected area designation. The burden of proof would be placed on the farm to demonstrate that it is not negatively impacting the core reason an area has been identified as a protected area.</p> <p><input type="checkbox"/> For farms that pre-date the designation of a MPA.</p>	
		a. Provide a map showing the location of the farm relative to nearby legally protected areas (see footnote 5).	A. Review map and cross-check against independent information sources (official publications) to determine if the farm is sited in a legally protected area.
		b. If the farm is sited in a legally protected area, review the scope of applicability of Indicator 2.3.2a. (see Instructions above) to determine if the farm is allowed an exception to the requirements. If yes, inform the CAB and provide supporting evidence.	B. Review the applicability of the exception requested by the farm together with the supporting evidence to determine if the farm is eligible. If yes, Indicator 2.3.2 is not applicable.
		c. Demonstrate that the farm does not conflict with or interfere with the operation or integrity of designated parks, limited use protected areas or national preservation areas.	C. Verify from supporting documentation and information that the farm does not conflict with or interfere with the operation or integrity of designated parks, limited use protected areas or national preservation areas and that the farm has obtained any required operational consent if sited in or adjacent to such an area (see 2.4.2).

⁴ Protected area: "a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values." Source: Dudley, N. (Editor) (2008). Guidelines for Applying Protected Area Management Categories, Gland, Switzerland: IUCN.

Criterion 2.4 Interaction with wildlife, including predators		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
2.4.1	<p>Indicator: Acoustic deterrent devices allowed.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Prepare a written statement affirming that the farm's management is committed to not using acoustic deterrent devices (ADDs) or acoustic harassment devices (AHDs) for control of marine pests and/or predators.</p> <p>b. Compile documentary evidence to show that no ADDs or AHDs are used on the farm (e.g. predator and pest control procedure and evidence of implementation).</p>	<p>A. Confirm that farm management has prepared a written statement of commitment to the total non-use of marine ADD's and /or AHD's.</p> <p>B. Review documentary evidence (e.g. predator management policies and control procedures, records of predator incidents) and cross-check against interviews with farm staff and local community members.</p> <p>C. During the on-site audit, inspect the farm to confirm whether any ADDs or AHDs are present or in -use at the facilities.</p>
2.4.2	<p>Indicator: Number of mortalities⁵ of endangered or red-listed⁶ animals in the farm lease area and adjacent areas due to farm operations or personnel or associates.</p> <p>Requirement: 0.</p> <p>Applicability: All.</p>	<p>a. Provide a list of endangered and red-listed animals occurring in the farm lease area and surrounding areas</p> <p>b. Produce a documented record of the farm's impact on biodiversity and nearby ecosystems. Detail species/habitats, spatial/temporal aspects, type of interaction and outcome.</p> <p>c. Establish list of predators and pests requiring control. Identify clearly the permitted mitigation/control procedures and records that must be kept.</p> <p>d. Record all mortalities, species and time of the event.</p>	<p>A. Review species list and seek independent verification of completeness.</p> <p>B. Verify the actual level of impact on biodiversity through discussion with farm staff.</p> <p>C. Verify that the farm does not permit lethal management of endangered or red-listed species in documentary records. If appropriate, corroborate evidence through discussion with farm staff and/or independent parties.</p> <p>D. Verify mortalities over the current production cycle, mortalities exclude a farm for 2 years from the time of the event.</p>
2.4.3	<p>Indicator: Evidence that the following steps were taken prior to lethal action⁷ against a (non- endangered or non red-listed) predator:</p> <ol style="list-style-type: none"> 1. All other avenues were pursued prior to using lethal action. 2. Approval was given from a senior manager above the farm manager. <p>Requirement: Yes, unless human safety is immediately threatened.</p>	<p>Notes: While every effort should be made to avoid lethal action and to take appropriate measures prior to any lethal action, the safety of workers should not be compromised. In an instance where worker safety is at immediate risk, lethal actions are allowed under this standard. However, 2.4.6 mandates that adaptive management fully investigate the reasons for lethal incident, and therefore the farm should fully analyze the reasons why human safety was compromised, and put in place measures to prevent such risks recurring.</p> <p>a. Provide a company document that sets out the procedure that must be followed prior to lethal resolution of a predator.</p> <p>b. Maintain a log of predator control events that allows for verification of adherence to company procedures regarding predator control.</p>	<p>A. Review the farm lethal predator management procedure to ensure that protocols meet with ASC cobia and Seriola standard requirements.</p> <p>B. Review the predator control log and verify if company procedures are implemented and adhered to in all cases of lethal predator management.</p> <p>C. Interview staff and/or stakeholders during the on-site audit with respect to procedures for managing predators.</p>
2.4.4	<p>Indicator: Evidence that information about any lethal incident on the farm has been:</p> <ol style="list-style-type: none"> 1. Reported to the appropriate government oversight agency. 2. Made easily publicly accessible. <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Demonstrate that details on lethal predator management events have been transmitted to appropriate/most relevant government oversight agency.</p> <p>b. Demonstrate that details on lethal predator management events are made available to the public.</p>	<p>A. Confirm through documentation review or communications with relevant persons that lethal incidents have been reported to appropriate/most relevant government oversight agency.</p> <p>B. Validate that the evidence provided by the farm is accessible for local stakeholders i.e. notices and via the company website (in the case that the company does not have a website then a proxy would be acceptable as long as it is publicly available on the internet).</p>
2.4.5	<p>Indicator: Maximum number of lethal incidents⁹ on farm over the prior two years.</p> <p>Requirement: For birds: 4 lethal incidents. For sharks: 2 lethal incidents. For marine mammals: 1 lethal incident.</p> <p>Applicability: All.</p>	<p>a. Maintain log of lethal incidents for a minimum of two years. For first audit, > 6 months of data are required.</p> <p>b. Calculate the total number of lethal incidents involving different species or groups of species (e.g. sharks, birds, marine mammals) during the previous two-year period.</p> <p>c. If the farm can demonstrate valid publicly available research that whatever is killed is hindering the recovery of any population then it may be exempt from the set requirement number in this indicator.</p>	<p>A. Review log.</p> <p>B. Verify that over the previous two years there were < 4 lethal incidents of birds, <2 lethal incidents for sharks and <1 lethal incident for marine mammals.</p> <p>C. Auditor to review the species killed, research undertaken and supporting evidence to determine whether the farm is impacting wild specie ability to recover its population.</p>
2.4.6	<p>Indicator: In the event of any lethal incident, evidence that an assessment of the probability of lethal incident(s) has been undertaken and demonstration of concrete steps taken by the farm to reduce the risk of future incidences.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Carry out documented review of lethal incidents and revise risk assessment and procedures (see 2.3.1) if necessary / as appropriate.</p> <p>b. Demonstrate through revision of procedures that management of predators is continually being reviewed with a view to eliminating the need for lethal management.</p>	<p>A. Examine audit evidence that shows whether risks to species are reviewed and if predator management procedures are revised in accordance with changes in risk or efficacy of management.</p> <p>B. During the on-site audit, discuss predator management with stf10aff in order to verify that any changes in procedure have been implemented.</p>

⁵ Mortalities: includes animals intentionally killed through lethal action as well as accidental deaths through entanglement or other means.

⁶ Species listed as endangered or critically endangered by the IUCN or on a national endangered species list.

⁷ Lethal action: Action taken to deliberately kill an animal, including marine mammals and birds. No lethal action is allowed for endangered or red-listed animals as covered in 2.4.2.

⁹ Lethal incident: includes all intentional and unintentional, farm-related lethal actions, to include but not be limited to, entanglements and other accidental mortalities, excluding farm stock.

PRINCIPLE 3: PROTECT THE HEALTH AND GENETIC INTEGRITY OF WILD POPULATIONS		
Criterion 3.1 Culture of non-native species		
	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
<p>Instruction to Clients and CABs on Exemptions to Criterion 3.1 Farm sites for which there is no release into the natural (freshwater or marine) environment of water that may contain pathogens are exempt from the requirements under Criterion 3.1.1a. However, farms are only eligible for exemption from Criterion 3.1.1a if it can be shown that either of the following holds: 1) Species are separated physically and the farm does not release any water to the natural environment; or 2) Any effluent potentially containing biological that is released by the farm to the natural environment is not released directly and without prior effective treatment to kill pathogens (e.g. UV and/or chemical treatment of water with testing demonstrating efficacy).</p> <p>Auditors shall fully document the rationale for any exemptions to 3.1.1a. in the audit report.</p>		
3.1.1	<p>Note: Culture of non-native species is not within the scope of the cobia and seriola standard, unless commercial farming of the species already occurs in the region at time of the first publication of the SCAD standards, or a closed land-based production¹² system with <i>de minimis</i>¹³ risk of escapes/ pest and pathogen transfer to wild populations is used. Furthermore, the use of alternatives to chemical treatments for farm management, such as the use of cleaner fish for ectoparasite control in seriola / cobia, is permitted and encouraged under the SCAD standards. However, any wrasse, cleaner fish or other species used for management during production must be native species in order to prevent introduction of new species area.</p> <p>Indicator: Culture of a non-native species.</p> <p>Requirement: None, unless commercial¹¹ farming of the species already occurs in the region at time of the first publication of the SCAD standards, or a closed land-based production system with minimal risk of escapes and/or pest and pathogen transfer to wild populations is used.</p> <p>Applicability: All.</p>	<p>a. Confirm to the CAB that the farm produces only native species OR.</p> <p>A. Confirm the farm does not produce a non-native species by comparing indigenous species to the species under cultivation. Cross-check species under cultivation against a sample of records from suppliers of juveniles to the farm. Auditors may refer to online resources including fishbase.org to obtain descriptions of different species.</p>
	<p>b. If non-native species, provide verifiable evidence that the species was being legally cultured commercially in the country and/or region/state prior to the publishing of the seriola and cobia standard in 2015 OR</p>	<p>B. Review evidence that the non-native species was being (or had been) legally commercially cultured in the country prior to publication of the seriola and cobia standard. Verify through interview/discussion with independent and/or regulatory agencies.</p>
	<p>c. If the farm cannot provide evidence for 3.1.1b, provide documented evidence that the production system is closed to the natural environment and for each of the following: 1) non-native species are separated from wild fish by effective physical barriers that are in place and well maintained; 2) barriers ensure there are no escapes of reared fish specimens that might survive and subsequently reproduce; and 3) barriers ensure there are no escapes of biological material that might survive and subsequently reproduce (e.g. UV or other effective treatment) by treating effluent water prior to it exiting the system to the natural environment.</p>	<p>C. Review evidence that the farm complies with each point raised in 3.1.1c and confirm by inspection during on-site audit. Cross check against related farm records..</p>
Criterion 3.2 Introduction of transgenic species		
	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
3.2.1	<p>a. Prepare a declaration stating that the farm does not use transgenic stock.</p>	<p>A. Verify declaration of no use of transgenic stock.</p>
	<p>b. Maintain records for the origin of all cultured stocks including stocking date, supplier details, and contact person(s) for stock purchases.</p>	<p>B. Review records to confirm compliance with stock origin record keeping requirements.</p>
	<p>c. Ensure stock purchase/origin documentation clearly identifies genetic status and whether stock is transgenic or not.</p>	<p>C. Review stock purchase/origin documentation. If the auditor suspects that transgenic fish are being cultured, test stock identity by collecting 3 fish and sending to an ISO 17025 certified laboratory for genetic analysis.</p>

¹¹ Commercial: If a species is cultured as a part of a permitted research trial, it will not be considered an existing commercial operation. Generally research trials will contain no more than one pen of an experimental species.

¹² The SC assumes land based systems not to directly discharge into receiving body

¹³ The SC assumes that yellowtail will not be established as a result of escapes

Criterion 3.3 Escapes		
	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
3.3.1	<p>Indicator: For all fish, the operation must have an established plan related to escape management, and adhere to rigorous maintenance procedures and frequent net inspections.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	
	<p>a. Prepare a Stock Escape Prevention and Management Plan that includes a detailed farm operations risk assessment and submit it to the CAB prior to the first audit. The plan should explicitly detail what maintenance procedures are critical and important in the context of avoiding escapes, including but not limited to farm equipment maintenance and frequency of net inspections.</p>	A. Obtain and review the farm's Stock Escape Prevention and Management Plan prior to scheduling the first audit.
	<p>b. If the farm operates an open net pen system, ensure the plan (3.3.1a):</p> <ul style="list-style-type: none"> -clearly identifies the important and critical issues in the context of minimizing escape events; and -sets out clear procedures for ensuring: <ul style="list-style-type: none"> • net strength testing; • use of appropriate net mesh size; • net traceability; • system robustness; • predator management; • record keeping; • reporting risk events (e.g. holes, infrastructure issues, handling errors); • staff training to cover all of the above areas; and • staff training on escape prevention and counting technologies. 	B. Confirm the farm's Escape Prevention and Management Plan contains all required elements.
	<p>c. If the farm operates a closed system, ensure the plan (3.3.1a):</p> <ul style="list-style-type: none"> -clearly identifies the important and critical issues in the context of minimizing escape events; and -sets out clear procedures for ensuring: <ul style="list-style-type: none"> • system robustness; • predator management; • record keeping; • reporting risk events (e.g. holes, infrastructure issues, handling errors); • staff training to cover all of the above areas; and • staff training on escape prevention and counting technologies. 	C. Confirm the farm's Escape Prevention and Management Plan contains all required elements.
	<p>d. Maintain records as specified in the plan.</p>	D. Review documentary evidence showing implementation of the plan.
	<p>e. Train staff on escape prevention planning and management as per the farm's plan.</p>	E. Review records (i.e. attendance records, meeting notes) to confirm that farm staff attend training on escape prevention and management.
		F. Interview farm workers to confirm that the plan is implemented.

3.3.2	<p>Indicator: Operations will undertake and maintain detailed records on fish escapes and counting. This will include records of breaches in nets, estimates on escapes and stocked vs. recovered fish counts. Note: farms will also include technology and methodology for undertaking fish counts.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>Instruction on estimating losses to Clients for Indicator 3.3.2- Calculation of unrecorded stock escape. The estimated unrecorded loss (escape) of fish is calculated at the end of each production cycle as follows: <i>Unrecorded stock escape = (stocking count) - (harvest count) - (mortalities) - (recorded escapes).</i> Units for input variables are number of fish (i.e. counts) per production cycle.</p>	
		a. Maintain detailed records for mortalities, stocking count, harvest count (recovered fish), and details of escape events and possible escapes (e.g. through holes in nets).	A. Review farm records for completeness.
		b. Calculate the unrecorded stock escape as described in the instructions (above) for the most recent full production cycle. For first audit, farm must demonstrate understanding of calculation and the requirement to disclose unrecorded losses after harvest of the current cycle.	B. Verify accuracy of farm calculations for unrecorded stock losses.
		c. Make the results from 3.3.2b available publicly. Keep records of when and where results were made public (e.g. date posted to a company website) for all production cycles.	C. For instance made available at farm's website. If farm does not have a website of its own then the owning company's website (if farm is owned by other entity) is also acceptable. Alternative websites may also be acceptable if deemed sufficiently accessible and clear about the link to the farm by the auditor. The auditor must also make the results available in the audit report posted on the ASC website.
3.3.3	<p>Indicator: For selectively bred stock¹⁴ or for non-selectively bred stock not from local sources¹⁵ or for wild fingerlings not from local sources more than 2 escape events of 30% (cumulative total fish not recovered) over 2 years¹⁶.</p> <p>Requirement: No.</p> <p>Applicability: All.</p>	a. Determine whether stocks under culture are selectively bred, non-selectively bred but not from local sources or are from wild fingerlings not collected locally. If none of these apply, requirements 3.3.3 b.-d. do not apply	A. Review documents that show the origin of all stocks and cohorts under cultivation
		b. Where appropriate, maintain monitoring records of all incidences of confirmed or suspected escapes, specifying date, cause, and estimated number of escapees.	B. Review escape records for completeness and accuracy of information. Cross-check with the estimate of unrecorded loss, maintenance records for nets, predator attacks, etc.
		c. Where appropriate, aggregate cumulative escapes (events and numbers) of all stocks in the most recent production cycle.	C. Review the calculation and confirm compliance with the requirement
		d. Where appropriate, maintain the monitoring records described in 3.3.3a for at least 10 years beginning with the production cycle for which farm is first applying for certification.	D. Confirm that farm procedures and records demonstrate ongoing and continuous monitoring and recording of escapes as well as events that may have given rise to escape.
3.3.4	<p>Indicator: All escape events of farmed <i>Seriola</i> or <i>Cobia</i> are reported to the pertinent regulatory agency.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Document details of reportable escape events and suspected escape events. Make available details of reportable escapes and make results from 3.3.2b available to regulatory agencies. In absence of regulatory requirement keep the data and make it available for ASC on request.	A. Verify that reportable escape events have been communicated to the relevant agencies (or maintained in the absence of agencies). Cross-reference the farm claim over escapes by contacting the relevant agency staff to confirm details of reporting.
			B. List all escape events in the publicly available audit report.
Criterion 3.4 Collection of fingerlings			
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
3.4.1	<p>Indicator: Evidence that purchased or collected wild fingerlings are harvested from a source fishery with a public fishery assessment, for example FishSource or is in a credible fishery improvement process (FIP) towards an ISEAL compliant fisheries sustainability certification scheme.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Provide details of source fishery from which fingerlings are taken. Provide supporting documentation including purchase orders, invoices, delivery notes etc. that attest to the origin of wild fingerlings.	A. Verify from documentation the origin of wild fingerlings used to stock the farm
		b. Provide FishSource score (www.FishSource.com) for wild fingerling fishery or evidence of MSC certification. If FishSource score or MSC certification is not available, then proceed to 3.4.1 c	B. Review FishSource score and report it in the publicly available audit report.
		c. Demonstrate to audit team that the wild fingerling source fishery is in a credible Fisheries Improvement Programme towards an ISEAL compliant fisheries certification scheme	C. Review evidence that the fishery is in a credible FIP that aims to achieve ISEAL compliant fisheries sustainability certification.
3.4.2	<p>Indicator: Traceability of wild or hatchery purchased or collected fingerlings to their source.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Provide details of hatchery or fishery from which fingerlings are obtained. Provide supporting documentation including purchase orders, transit/movement authorisations, catching vessel details, invoices, delivery notes, stocking records etc. that attest to the origin of all stock present on the farm.	A. Review documentary evidence provided to the audit team and determine whether the origin of all stock under culture can reliably be traced to the original hatchery, or source fishery in cases where wild fingerlings are used to stock/partially stock the farm.
			B. During the onsite audit discuss the origin of stocks present with farm staff and cross check with documentation provided at 3.4.2a.

¹⁴ "Selectively bred stock" is a fish which has been subject to a conscious selection process in breeding and whose attributes differ from wild counterparts.

¹⁵ Definition for "non- selectively bred stock" is fish where either (a) the parents are from the local wild-stock gene pool, or (b) where F1s and subsequent generations of broodstock have not been subject to any conscious selection process. No more than F2 with no active selective breeding.

¹⁶ A rare exception to this standard may be made for an escape event that is clearly documented as being outside the farm's control. Only one such exceptional episode is allowed in a 10 year period for the purposes of this standard. The 10 year period starts at the beginning of the production cycle for which the farm was initially certified.

PRINCIPLE 4: USE RESOURCES IN AN ENVIRONMENTALLY EFFICIENT AND RESPONSIBLE MANNER			
Criterion 4.1 Traceability of marine raw materials in feed			
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
<p>Instruction to Clients for Indicators 4.1.1 through 4.4.3 - Sourcing of Responsibly Produced Feeds</p> <p>Farms must show that all feeds used by the farm are produced in compliance with the requirements of Indicators 4.1.1 through 4.4.3. To do so, farms must obtain documentary evidence that the feed producers are audited at regular intervals by a conformity assessment body for traceability of marine raw ingredients, or against a recognized standard which substantially incorporates requirements for traceability*. Results from these audits shall demonstrate that feed producers have robust information systems and information handling processes to allow the feed producers to be able to bring forward accurate information about their production and input supply chains. Declarations from the feed producer that are provided to the farm to demonstrate compliance with these indicators must be supported by independent audit evidence. Farms must also show that all of their feed producers are duly informed of the requirements of the ASC Seriola and Cobia Standard relating to sourcing of responsibly produced feeds (see 4.1.1b below). Furthermore, farms must also show that their feed producers comply with the more detailed requirements for traceability and ingredient sourcing that are specified under indicators 4.1.1 through 4.4.3.</p> <p>Note 1: The term "feed producer" is used here to identify the organization that produces the fish feed (i.e. it is the "feed manufacturer"). In most cases, the organization supplying feed to a farm (i.e. the feed supplier) will be the same organization that produced the feed, but there may be instances where feed suppliers are not directly responsible for feed production. Regardless of whether the farm sources feeds directly from a feed producer or indirectly through an intermediary organization, it remains the farm's obligation to demonstrate that all feeds used are in compliance with requirements.</p> <p>* Traceability shall be at a level of detail that permits the feed producer to demonstrate compliance with the performance indicators in the Seriola and Cobia standard (i.e., marine feed ingredients must be traced back to the source fishery). In particular, feed manufacturers will need to supply the farm with third-party documentation verifying origin of marine feed ingredients (fishmeal and fish oil) covered under this standard.</p>			
4.1.1	<p>Indicator: Evidence of traceability, demonstrated by the feed producer, of fishmeal and fish oil ingredients¹⁷.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Maintain detailed records of all feed suppliers and purchases including contact information and purchase and delivery records.</p> <p>b. Inform each feed producer (and supplier) in writing of ASC requirements pertaining to production of feeds and send them a copy of the ASC Seriola and Cobia Standard.</p> <p>c. For each feed producer supplying the farm, confirm that an independent third party audit of the producer has recently been completed against an ISEAL compliant standard that includes an evaluation of feed input traceability. Obtain a copy of the most recent audit report for each feed producer.</p> <p>d. Obtain declaration from feed producers and suppliers stating that the company can assure traceability of all fishmeal and fish oil ingredients used in making seriola and cobia diets.</p>	<p>A. Review feed records for completeness and confirm the number of feed suppliers to the client.</p> <p>B. Review farm records to verify that the farm has informed all of its feed producers and suppliers of relevant ASC requirements for feed production.</p> <p>C. Verify that the farm obtains current audit reports from all relevant feed producers, that these audits were performed by an independent audit firm or CAB against an ISEAL compliant standard and that audits included an evaluation of feed input traceability. Confirm whether audit results demonstrate compliance with requirements.</p> <p>E. Review declaration from each feed producer and supplier to confirm the company assures traceability to the level of detail required by the standard.</p> <p>F. Cross-check the declarations against results from audits of feed suppliers (4.1.1c) to verify evidence of required levels of traceability.</p>
Criterion 4.2 Efficient and optimized diets			
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
4.2.1	<p>Indicator: (a) Fishmeal Forage Fish Dependency Ratio (FFDRm) and Fish Oil Forage Fish Dependency Ratio (FFDRo) for Seriola (calculated using formulae in Appendix 1). Kampachi (<i>S. rivoliانا</i>, <i>S. dumerili</i>¹⁸), Hamachi (<i>S. quinqueradiata</i>).</p> <p>(b) FFDRm and FFDRo Cobia (calculated using formulae in Appendix 1)</p> <p>Requirement: a) Kampachi: FFDRm ≤ 2.9/FFDRo ≤ 2.9 Hamachi: FFDRm ≤ 6.0/FFDRo ≤ 7.0 (now) FFDRm ≤ 4.8/FFDRo ≤ 5.0 (3 years) FFDRm ≤ 2.9 /FFDRo ≤ 2.9 (6 years)</p> <p>b) FFDRm ≤ 6.0/FFDRo ≤ 6.0 (now) FFDRm ≤ 4.0/FFDRo ≤ 4.0 (3 years) FFDRm ≤ 2.9/FFDRo ≤ 2.9 (6 years)</p> <p>Applicability: All.</p>	<p>Guidance notes: The feed supplier must document inclusion rates for fishmeal and fish oil for the actual diet. This is assessed by calculating the Forage Feed Dependency ratios for fishmeal use (FFDRm) and fish oil use (FFDRo). To facilitate the calculation of FFDR's, the farm must maintain and make available records of both feed purchase and fish sales volumes for each production cycle. See Appendix 1 of the Seriola and Cobia standard for detailed information on FFDR calculation methodology.</p> <p>a. Maintain a detailed inventory of the feed used that includes information concerning:</p> <ul style="list-style-type: none"> Quantities used of each formulation (kg); Percentage of fishmeal and fish oil in each formulation used; Source (fishery) of fishmeal and fish oil in each formulation used; Percentage of fishmeal and fish oil in each formulation derived from trimmings; Supporting documentation and signed declaration from feed supplier. <p>b. For FFDRm and FFDRo calculations, exclude fishmeal and/or oil derived from rendering of seafood by-products (e.g. the "trimmings" from a human consumption fishery as per more detailed guidance in Appendix 1.</p> <p>c. Calculate eFCR using formula in Appendix 1.</p> <p>d. Calculate FFDRm and FFDRo using the relevant formulas in Appendix 1.</p>	<p>A. Verify completeness of records and that fishmeal and fish oil values are stated in a declaration from the feed manufacturer.</p> <p>B. Verify that the client excludes from the FFDRm and FFDRo calculations any fishmeal and /or oil rendered from seafood by-products as per more detailed guidance in Appendix 1.</p> <p>C. Verify that eFCR was calculated correctly.</p> <p>D. Verify that FFDR's have been calculated correctly and confirm that the values comply with the species-specific requirements in place at time of audit.</p>
4.2.2.	<p>Indicator: Use of wet feed and moist pellets.</p> <p>Requirement: Must be sourced from the same ecosystem as the farm.</p> <p>Applicability: All.</p>	<p>a. Maintain records of wet fish and moist pellet use on the farm, where the fish content originated from and where it was caught.</p>	<p>A. Check the documentation relating to wet fish usage and that it was caught in the same locality as the farm.</p>

¹⁷ Traceability should be at a level of detail that permits the feed producer to demonstrate compliance with the standards in this document. This standard also assumes that the feed producer will make available to the farm a list of the FMFO ingredients, the inclusion rates of FMFO, and the sources of each component of the FMFO.

¹⁸ Specific scientific data related to *Seriola dumerili* or *Seriola lalandi* was not included in the SCAD process and therefore the SC did not have enough species specific information to warrant an additional species specific FFDR standard. If producers of *S. dumerili* can produce scientific evidence of FFDR that promotes best practice, an additional FFDR level for that species of Seriola could be considered. Until that time, the same FFDR as *S. rivoliانا* should be used. There is currently approximately between 1000-1500 tons of *S. lalandi* produced in Australia per year. Miranda and Peet (2008) state that for *S. lalandi* the ratio of wild fish input to farmed fish input is 4.9: 1, which is considered high. Until further species-specific standards can be determined, a *Seriola lalandi* operation would also need to meet the FFDR requirements of *S. rivoliانا*.

Criterion 4.3 Responsible origin of marine raw materials			
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
	<p><i>[Note: In November 2016 ASC published an Interim Solution for ASC Marine Feed Ingredients, which will replace indicators 4.3.1 and 4.3.2 of this standard. This solution applies to all ASC's standards, which have indicators for marine raw material origin, including this ASC Seriola and Cobia Standard. This interim solution will apply until the ASC Feed Standard will be available or until further official and public notice by ASC.]</i></p>		
4.3.1	<p>Indicator: Timeframe for at least 90% fishmeal or fish oil used in feed to come from fisheries¹⁹ certified under an ISEAL member's accredited certification whose primary goal is to promote ecological sustainability.</p> <p>Requirement: Within 5 years following the date of the publication of the SCAD standards.</p> <p>Applicability: All. [see note above]</p>	<p>a. Obtain documentation that indicates the relative quantities of fishmeal and fish oil used in feed manufacture that is certified under an ISEAL member's accredited certification.</p> <p>b. Prepare a letter stating the farm's intent to source feed containing fishmeal and fish oil originating from fisheries certified under an ISEAL member standard.</p> <p>c. If audit >5years after publication of Seriola and Cobia standards, provide documentation that confirms that requirement for at least 90% fishmeal or fish oil used in feed to come from fisheries certified under an ISEAL member's accredited certification has been met.</p>	<p>A. At initial audit, verify that the client is aware of the requirement. Review documentation that confirms whether or not fishmeal and fish oil used in feed manufacture is certified under an ISEAL members accredited certification. Requirement for 90% certification only applies 5 years after standard publication.</p> <p>B. Obtain a copy of the client's letter of intent.</p> <p>C. If audit >5years after publication of Seriola and Cobia standards, review evidence to determine whether there is compliance with requirement that at least 90% fishmeal or fish oil used in feed to come from fisheries certified under an ISEAL member's accredited certification.</p>
4.3.2	<p>Indicator: Prior to achieving 4.3.1, the fishmeal or fish oil used in feed must have a FishSource score of 6.0 or higher, plus (and) an 8 in the biomass category or show evidence of being engaged in a credible and time bound fisheries improvement project (FIP).</p> <p>Requirement: At least 80% of the fish meal and fish oil used in feed (excluding fishmeal and oil from byproducts) must meet this criteria.</p> <p>Applicability: All. [see note above]</p>	<p>a. Obtain documentation from feed producers and/or suppliers that independently confirms the FishSource scores for at least 80% of fishmeal and fish oil used in feed manufacture.</p> <p>OR</p> <p>b. Where FishSource scores are not available for any particular fishmeal or fish oil ingredient/s, compile evidence that attests to the fishmeal and fish oil suppliers being engaged in a credible FIP.</p>	<p>A. At time of first audit, verify that at least 80% of fishmeal and fish oil inputs meet with requirements pertaining to FishSource scoring by reviewing documentation.</p> <p>B. Review evidence of fishmeal and fish oil suppliers participation in a credible FIP.</p>
4.3.3	<p>Indicator: Feed containing fishmeal and/or fish oil originating from by-products²⁰ or trimmings from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species²¹.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Compile and maintain, consistent with 4.2.1a, a list of the fishery of origin for all fishmeal and fish oil originating from by-products and trimmings.</p> <p>b. Obtain a declaration from the feed producer and/or supplier stating that no fishmeal or fish oil originating from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species is used to produce feed.</p> <p>c. If meal or oil originated from a species listed as "vulnerable" by IUCN but that species is sourced from a local stock that is not considered vulnerable, obtain documentary evidence to support a request for an exception based on regional differences in status of the relevant species/populations.</p>	<p>A. Review list and confirm consistent with 4.2.1a.</p> <p>B. Verify that declarations have been made by all feed producers and/or suppliers.</p> <p>C. Where an exception to this requirement may be requested, review farms justification and supporting documentary evidence and make a determination with respect to the appropriateness of granting an exception.</p>
4.3.4	<p>Indicator: Feed ingredients which come from other fish from the same genus.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Obtain from feed producers and/or suppliers declarations that the fishmeal and/or fish oil does not originate from fish of the same genus as that under cultivation.</p> <p>b. Obtain documentary evidence that feed manufacturer operates procedures to ensure that no raw material in a diet originates from the same genus as the fish for which the diet is intended. This includes all fishmeal and fish oil (including bulk fish and waste/trimmings/byproduct) that may be used.</p>	<p>A. Review declaration to confirm compliance.</p> <p>B. Verify that farm has a procedure for ensuring that feed suppliers do not use fishmeal or fish oil or any other raw material of fish origin that originates from a fish of the same genus as the fish to which the prepared diet will be fed.</p>

¹⁹ This requirement applies to fishmeal and oil from forage fisheries and not to by-products or trimmings used in feed.

²⁰ Trimmings are defined as by-products when fish are processed for human consumption or if whole fish is rejected for use of human consumption because the quality at the time of landing do not meet official regulations with regard to fish suitable for human consumption.

²¹ International Union for the Conservation of Nature reference at <http://www.iucnredlist.org/static/introduction>.

Criterion 4.4 Responsible origin of non-marine raw materials in feed			
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
4.4.1	<p>Indicator: Presence and evidence of traceability and a responsible sourcing policy for the feed manufacturer for feed ingredients which comply with internationally recognized moratoriums and local laws²².</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Maintain detailed records of all feed suppliers and purchases including contact information and purchase and delivery records.	A. Review feed records for completeness and confirm the number of feed suppliers to the client.
		b. Inform each feed producer (and supplier) in writing of ASC requirements pertaining to traceability and responsible sourcing for feed manufacturers and/or suppliers.	B. Review farm records to verify that the farm has informed all of its feed producers and suppliers of relevant ASC requirements for feed production traceability and responsible sourcing.
		c. For each feed producer used by the farm, confirm that an independent third party audit of the producer was recently completed by a CAB against a standard that includes an evaluation of feed input traceability. Obtain a copy of the most recent audit report for each feed producer.	C. Verify that the farm obtains current audit reports from all relevant feed producers, and that these audits were performed by an independent audit firm or CAB against a standard that includes an evaluation feed input traceability. Confirm whether audit results demonstrate compliance with internationally recognized moratoriums and local laws.
4.4.2	<p>Indicator: Documentation of the use of transgenic²³ plant raw material, or raw materials derived from genetically modified plants, in the feed.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Obtain from feed supplier(s) a declaration detailing the content of transgenic plant raw materials and/or raw materials derived from genetically modified plants, in feed. This requirement is just about knowing that the feed includes or does not include transgenic material and then not claim the opposite.	A. Review feed supplier declaration and ensure declarations from all suppliers are present.
		b. Disclose to the buyer(s) a list of any transgenic and /or genetically modified plant raw material used in feeds and maintain documentary evidence of this disclosure. For first audits, farm records of initial disclosures shall pre-date the audit by > 6 months.	B. Verify evidence of disclosure to all buyers, cross-checking with plant materials disclosed at 4.4.2a to see that all transgenic and/or genetically modified plant origin raw materials or ingredients were disclosed.
4.4.3	<p>Indicator: Percent of non-marine ingredients from sources certified by an ISEAL Member's certification scheme that addresses environmental and social sustainability.</p> <p>Requirement: 80% for soy and palm oil within 5 years from the date of the publication of the ASC Seriola and Cobia Standard .</p> <p>Applicability: All.</p>	a. Obtain documentation that indicates the relative quantities of non-marine ingredients used in feed manufacture that is certified under an ISEAL member's accredited certification.	A. Review documentation that confirms the percent of non-marine ingredients used in feed manufacture that is certified under an ISEAL members accredited certification. The requirement for 80% for soy and palm oil certification only applies 5 years after standard publication.
		b. For non-conforming farms, prepare a declaration stating the farm's intent to source feed that contains non-marine ingredients certified under an ISEAL member standard that addresses both environmental and social sustainability.	B. Obtain a copy of the client's declaration of intent.
		c. If audit >5years after publication of Seriola and Cobia standards, provide documentation that confirms that requirement for at least 80% of non-marine ingredients used in feed comes from ISEAL member certifications that address both environmental and social sustainability.	C. If audit >5years after publication of Seriola and Cobia standards, review evidence to determine whether there is compliance with requirement that at least 80% of soy and palm ingredients used in feed comes from ISEAL member certifications that address both environmental and social sustainability.

²² Specifically, the policy shall include that vegetable ingredients, or products derived from vegetable ingredients, must not come from the Amazon Biome as geographically defined by the Brazilian Soya Moratorium.

²³ Transgenic: Containing genes altered by insertion of DNA from an unrelated species. Taking genes from one species and inserting them into another species to get that trait expressed in the offspring. The SC notes that there is currently no credible evidence of food safety or environmental detriment from GMO applications.

PRINCIPLE 5: PROACTIVELY MAINTAIN THE HEALTH AND WELFARE OF CULTURED FISH AND MINIMIZE THE RISK OF DISEASE TRANSMISSION			
Criterion 5.1 Transfer of pests or parasites to wild stocks			
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
5.1.1	<p>Indicator: Commitment to participate in an Area-Based Management (ABM) scheme.</p> <p>Requirement: The farm participates in an ABM, where it exists, for managing disease and resistance to treatments.</p> <p>Applicability: All.</p>	<p>a. Keep record of farm's participation in an ABM scheme and communication around scheme availability.</p> <p>b. Submit to the CAB a description of how the ABM coordinates management of disease and resistance to treatments, for instance: - coordination of stocking; - fallowing; - therapeutic treatments; and - information sharing.</p> <p>c. Provide the CAB access to documentation which is sufficient for the auditor to evaluate the ABM's compliance with definition of area, minimum % participation in the scheme, components, and coordination requirements.</p>	<p>A. Review records of farm participation in ABM scheme. Contact other ABM participants as necessary to confirm the accuracy of client records. Review existence of ABM available for the farm.</p> <p>B. Review description of ABM to verify that the management activities address each element.</p> <p>C. Evaluate documents to confirm the ABM.</p>
5.1.2	<p>Indicator: A demonstrated commitment⁽²⁷⁾ to collaborate with NGOs, academics and governments on areas of mutually agreed research to measure possible impacts of pests or parasites on wild stocks.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>Note: Indicator 5.1.2 requires that farms demonstrate a commitment to collaborate with NGOs, academics and governments on areas of mutually agreed research to measure possible impacts on wild stocks. If the farm does not receive any requests to collaborate on such research projects, the farm may demonstrate compliance by showing evidence of commitment through other proactive means such as published policy statements or directed outreach to relevant organizations.</p> <p>a. Retain records to show how the farm and/or its operating company has communicated with external groups (NGOs, academics, governments) to agree on and collaborate towards areas of research to measure impacts on wild stocks, including records of requests for research support and collaboration and responses to those requests.</p> <p>b. Provide non-financial support to research activities in 5.1.2a by either: - providing researchers with access to farm-level data; - granting researchers direct access to farm sites; or - facilitating research activities in some equivalent way.</p> <p>c. When the farm and/or its operating company denies a request to collaborate on a research project, ensure that there is a written justification for rejecting the proposal.</p> <p>d. Maintain records from research collaborations (e.g. communications with researchers) to show that the farm has supported the research activities identified in 5.1.2a.</p>	<p>A. Review evidence that the farm and/or its operating company has communicated with external groups to agree on areas of research about possible impacts on wild stocks and is tracking and responding to research requests.</p> <p>B. Review how the farm and/or its operating company has provided non-financial support for research activities.</p> <p>C. As applicable, review the provided record of rejecting proposals to confirm that denials were justified and there is no consistent pattern to indicate that the farm and/or its operating company lacks a demonstrated commitment to collaborate on research activities.</p> <p>D. Verify that the farm's communications with researchers demonstrate a commitment to collaborate on relevant areas of research.</p>
5.1.3	<p>Indicator: On-farm testing for ectoparasites, with test results made easily publicly available.</p> <p>Requirement: Yes, with results made easily publicly available within seven days of testing.</p> <p>Applicability: All.</p>	<p>a. Prepare an annual schedule for ectoparasite testing that identifies timeframes of routine testing frequency.</p> <p>b. Maintain records of results of on-farm testing for ectoparasites. If farm deviates from schedule due to weather maintain documentation of event and rationale.</p> <p>c. Document the methodology used for testing ectoparasites ('testing' includes both counting and identifying ectoparasites). The method must follow national or international norms, follows accepted minimum sample size, use random sampling, and record the species and lifestage of the ectoparasite. If farm uses a closed production system and would like to use an alternate method (i.e. video), farm shall provide the CAB with details on the method and efficacy of the method.</p> <p>d. Make the testing results from easily publicly available (e.g. posted to the company's website) within seven days of testing. If requested, provide stakeholders access to hardcopies of test results.</p> <p>e. Keep records of when and where test results were made public.</p> <p>f. Submit test results to ASC at least once per year.</p>	<p>A. Review ectoparasite testing schedule to confirm regular testing.</p> <p>B. Review records to confirm that testing follows the farm's annual schedule. Review the rationale for any deviations from the schedule.</p> <p>C. Review the farm's methodology for testing ectoparasites. If practicable, observe testing while on-site. If farm is a closed system using an alternate testing method, document the distinction and review evidence of efficacy of the method.</p> <p>D. Test access from an offsite computer to confirm that results are easily publicly available. If applicable, confirm that the farm made hardcopies of test results easily available to stakeholders.</p> <p>E. Review records for the past year to confirm the farm posted test results within 7 days of each test. Cross-check against testing schedule.</p> <p>F. Confirm that client has submitted test results to ASC.</p>

²⁷ Commitment: At a minimum, a farm and/or its operating company must demonstrate this commitment through providing farm-level data to researchers, granting researchers access to sites, or other similar non-financial support for research activities. Posting results on a public website is an example of "easily publicly available."

Criterion 5.2 Chemicals and treatments		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
5.2.1	<p>Indicator: Use of therapeutic treatments that are banned by law under the local jurisdiction or listed as critically important for human medicine by the World Health Organization²⁴</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	a. Maintain a current version of the WHO list of antimicrobials critically and highly important for human health.	A. Confirm that the farm has the current copy of the WHO list of antibiotics.
		b. Maintain a list of therapeutants the use of which in finfish aquaculture are banned by law and also maintain a list of therapeutants the use of which in finfish aquaculture are permitted by law.	B. Confirm that the farm these lists..
		c. If the farm has used antibiotics listed as critically important to human health and/or has used therapeutants that are banned in finfish culture to treat any fish during the current production cycle, inform the CAB prior to scheduling audit.	C. Make note of the farm's critical antibiotic and/or banned therapeutant usage and do not schedule an on-site audit until the client provides sufficient additional information that will permit request of exemption to 5.2.1 (see 5.2.1d).
		d. If yes to 5.2.1c, request an exemption to the requirement of 5.2.1 from the CAB in order to certify only that portion of production that complies with the indicator. Prior to the audit, provide the CAB with records sufficient to establish details of treatment, which holding facilities were treated, and how the farm will ensure full traceability and separation of treated fish through and post- harvest.	D. Review the farm's exemption request and supporting documents to verify that the farm can satisfactorily demonstrate traceability to merit an exemption.
5.2.2	<p>Indicator: Prophylactic use of chemical antimicrobial treatments (excluding prebiotics or vaccinations).</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	a. Maintain records for all purchases of chemical antimicrobials (invoices, prescriptions) for the current and prior production cycles.	A. Review purchase records and calculate total amount of chemical antimicrobials procured by client. Inspect storage areas to verify quantities on-site.
		b. Maintain a detailed log of all medication-related events (see also 5.2.1a and 5.2.3).	B. Review log of medication events to verify that the quantity of chemical antimicrobials applied by the client does not suggest prophylactic use.
		c. Calculate the total amount (g) and treatments (#) of chemical antimicrobials used during the current and preceding production cycles (see also 5.2.9).	C. Verify that the total amount of chemical antimicrobials used in the current production cycle is equal to the total amount prescribed.
5.2.3	<p>Indicator: Farms have a comprehensive fish health management plan approved by the farm's designated veterinarian that includes either a) vaccination against diseases that present a risk in the region and for which an effective and commercially viable vaccine exists, or b) veterinarian-approved alternative fish health management strategies.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Prepare a fish health management plan that incorporates components related to identification and monitoring of fish disease and parasites. This plan may be part of a more comprehensive farm planning document.	A. Obtain and review the farm's fish health management plan.
		b. Ensure that documentation is available to verify that the fish health management plan includes mandatory procedures for either: i) vaccination against diseases that present a risk in the region and for which an effective and commercially viable vaccine exists; OR ii) veterinarian-approved alternative fish health management strategies.	B. Review evidence that procedures for vaccination of stock as identified in the fish health management plan are routinely implemented; and/or that approved alternative fish health strategies are implemented.
		c. Ensure that the farm's current fish health management plan was reviewed and approved by the farm's designated veterinarian.	C. Verify there is evidence to show that the farm's designated veterinarian reviewed and approved the current version of the plan.
		d. Demonstrate that the farm complies with World Organisation for Animal Health (OIE) regulations relating to transfer of fish/eggs/fingerlings, Specific pathogen free status and quarantine status (see http://www.oie.int/international-standard-setting/aquatic-code/access-online/).	D. Verify that the farm has documented and implemented procedures aimed at achieving and demonstrating compliance with the OIE <i>Aquatic Animal Health Code</i> .
5.2.4	<p>Indicator: Allowable farm level anti-parasiticide treatment not including freshwater, formaldehyde²⁵ or hydrogen peroxide.</p> <p>Requirement: None²⁶.</p> <p>Applicability: All.</p>	a. Identify permitted anti-parasiticides that may be applied to stock during the farming procedure in the fish health management plan. Provide Material Data Safety Sheets for all anti-parasiticide products that are used. Only freshwater, formaldehyde and hydrogen peroxide is allowed and others are banned.	A. Review fish health management plan and procedures relating to use of anti-parasiticides. Review MSDS to verify what chemicals or compounds are applied. Compliance is demonstrated when evidence suggests that nothing other than freshwater, formaldehyde and hydrogen peroxide are used as anti-parasitic agents.
		b. Make available records relating to all chemical, veterinary and therapeutant suppliers. Include Invoices, laboratory testing results as well as prescriptions and treatment records.	B. Confirm conformity with the requirement that the farm does not use anti-parasiticide treatments other than those permitted under the standard by review of documentation and interview with farm staff.

²⁴ <http://www.who.int/foodsafety/publications/antimicrobials-third/en/>

²⁵ In countries where formaldehyde is banned, its use would not be permitted under the standards as Principle 1, obey all laws takes precedence.

²⁶ The SC believes that the ASC can make an exception for benign treatments. The burden of proof for a benign treatment that has no impacts on the surrounding environment or species is the responsibility of the producer.

Criterion 5.3 Environmental welfare

		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
5.3.1	<p>Indicator: Weekly average percent dissolved oxygen (DO) saturation on farm, calculated in the following methodology.</p> <p>Requirement: >70% saturation²⁷.</p> <p>Applicability: All farms. Exception can be granted to farms that do not conform to >70% saturation where it can be demonstrated that farm site DO readings are consistent with those of a reference site.</p>	<p>Notes on measurement of Dissolved Oxygen The standards require the sampling of dissolved oxygen on the farm site and the calculation of the percent saturation for those samples. <input type="checkbox"/></p> <ul style="list-style-type: none"> • DO shall be measured twice daily (proposed at 6 am and 3 pm—with recognition that this will vary depending on region and operational practices). Percent saturation shall be calculated for each sample from the data and a weekly average percent saturation shall result. • A minimal amount of missed samples due to extreme weather conditions will be considered acceptable. • Sampling once daily shall also be considered acceptable, though not preferred. • DO shall be measured at a depth of 5 m at a location where the conditions of the water will be similar to those the fish experience. For example, measurements can be taken at the edge of the net-pen array, in the downstream direction of the current, or off of a feed shed or housing structure on the site. Measurements shall be taken at the same location at the same time to allow for comparison between days. • Weekly averages shall be calculated and remain at or above 70% saturation. • Should a farm fall below the 70% weekly average, demonstration of consistency of % saturation with a reference site. <p>The reference site shall be at least 500 m from the edge of the net-pen array, in a location that is understood to follow similar patterns in upwelling to the farm site and is not influenced by nutrient inputs from anthropogenic causes including aquaculture, agricultural runoff, or nutrient releases from coastal communities.</p>	
		a. Monitor and record on-farm percent saturation of DO at a minimum of twice daily using a calibrated oxygen meter or equivalent method. For first audits, farm records must cover ≥ 6 months. The ASC recognizes that it is not always safe to carry out weekly monitoring and there can be pragmatic and sensible solutions to testing. Under no circumstances should worker safety be compromised if, for example, there is bad weather.	A. Do not schedule audit until client provides a minimum of 6 months of DO data.
		b. Provide a written justification for any missed samples or deviations in sampling time.	B. Review records for completeness and conformity with DO sampling and monitoring methodology.
		c. Calculate weekly average percent saturation based on data.	C. Calculate weekly average percent saturation based on data.
		d. If any weekly average DO values are < 70%, or approaching that level, monitor and record DO at a reference site and compare to on-farm levels (see Instructions).	D. As needed, review DO data from reference site and document in the audit report (see instruction).
		e. Arrange for auditor to witness DO monitoring and calibration while on site.	E. Witness DO monitoring and verify calibration while on site. On-site values should fall within range of farm data for DO. If an out of range measurement is observed, raise a nonconformity.
5.3.2	<p>Indicator: Maximum percentage of weekly samples from 5.3.1 that fall under 70%.</p> <p>Requirement: <5%.</p> <p>Applicability: All farms. Exception can be granted to farms that do not conform to >70% saturation where it can be demonstrated that farm site DO readings are consistent with those of a reference site.</p>	a. Calculate the percentage of on-farm samples taken that are less than 70% saturation DO.	A. Review the farm's calculation and confirm that ≤ 5% of weekly samples fall under 70% saturation DO.
		b. Inform CAB if the percentage of on-farm DO measurements that are less than 70% DO is greater than 5%. Provide data for previous 6 months.	B. Verify that concurrent monitoring of DO for a reference site is in place and that there is consistency between readings at farm and reference sites.

²⁷ Exception if farm can document evidence that DO levels do not represent stress to cultured animals, as evidenced by DO levels being monitored with a DO meter regularly, with a frequency determined by a qualified veterinarian and remaining above the minimum level, as determined by the designated veterinarian. To determine stress levels, the veterinarian should examine stress hormone levels, FCR, growth rate.

Social requirements in the standards shall be audited by an individual who is a lead auditor in conformity with SAAS Procedure 200 section 3.1.		
PRINCIPLE 6: OPERATE FARMS WITH RESPONSIBLE LABOR PRACTICES		
Criterion 6.1 Child labour ²⁹ and young workers ²⁸⁽³²⁾		
		Compliance Criteria
6.1.1	<p>Indicator: Number of incidences of child²⁹ labor.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. In most countries, the law states that minimum age for employment is 15 years. There are two possible exceptions:</p> <ul style="list-style-type: none"> • in developing countries where the legal minimum age may be set to 14 years³⁰; or • in countries where the legal minimum age is set higher than 15 years, in which case the legal minimum age of the country is followed. <p>If the farm operates in a country where the legal minimum ages is not 15, then the employer shall maintain documentation attesting to this fact.</p> <p>b. Minimum age of permanent workers is 15 or older (except in countries as noted at 6.1.1a).</p> <p>c. Employer must maintain personnel records that are sufficient to demonstrate conformity with requirements.</p>
6.1.2	<p>Indicator: Percentage of young workers³¹ that are protected³²</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. Young workers are appropriately identified in company policies & training programs, and job descriptions are available for all young workers at the site.</p> <p>b. All young workers (from age 15 to less than 18) are identified and their ages are confirmed with copies of IDs.</p> <p>c. Daily records of working hours (i.e. timesheets) are available for all young workers.</p> <p>d. For young workers, the combined daily transportation time and school time and work time does not exceed 10 hours.</p> <p>e. Young workers are not exposed to hazards³³ and do not perform hazardous work³⁴. Work on floating cages in poor weather conditions shall be considered hazardous.</p>
Criterion 6.2 Forced, bonded compulsory labor ³⁵		
		Compliance Criteria
6.2.1	<p>Indicator: Number of Incidents where employers withhold any part of employee salary, property, or benefits upon termination of employment.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>Guidance for implementation of 6.2.1 and 6.2.2 Forced³⁶, bonded³⁷ or compulsory labor:</p> <p>1. Contracts shall be clearly stated and understood by employees³⁸ and never lead to an employee being indebted, such as employees paying for essential job training programs;</p> <p>2. Employees shall be free to leave the workplace and manage their own time;3. The employer shall never be permitted to withhold an employee's original identity documents.</p> <p>a. It must be demonstrated that workers are free to leave the employment and workplace and that they are not subject to withholding of payments or denial of any other benefits of employment; or under any other obligations to the employer other than those are legal and contractual in nature.</p> <p>b. Conformity will be verified further through discussion with selected staff members during the on-site audit.</p>
6.2.2	<p>Indicator: Number of incidents where employees are required to surrender original identity documents upon commencing employment (except as required for processing of legal documentation).</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. It must be demonstrated that workers are not required to surrender original identity documents except for when and for as long as it is necessary for the purpose of processing legal documentation.</p> <p>b. Conformity will be verified further through discussion with selected staff members during the on-site audit.</p>
Criterion 6.3 Discrimination ³⁹ in the work environment		
		Compliance Criteria
6.3.1	<p>Indicator: Evidence of comprehensive and pro-active⁴⁰ antidiscrimination⁴¹ policies, procedures and practices including, but not limited to, discrimination in the workplace and equal access to all jobs in relation to gender, age, race, religion, creed,</p>	<p>a. Demonstrate that employer has a written pro-active anti-discrimination policy in place, stating the company does not engage in or support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.</p> <p>b. Demonstrate that employer has clear and transparent company procedures that outline how to raise, file, and respond to discrimination complaints and that these policies are understood and adhered to by staff.</p>

²⁸ Child Labor: refers to any work by a child younger than the age specified in definition of a child, except for light work as provided for by ILO Convention 138, article 7. The conventions permit children between 15 and 17 to work on farms, provided that time for school and play is guaranteed and children are excluded from hazardous, abusive and physically hard work.

²⁹ Child Labor: Any work by a child younger than the age specified in the definition of a child.

³⁰ Child: Any person under 15 years of age. A higher age would apply if the minimum age law of an area stipulates a higher age for work or mandatory schooling. Minimum age may be 14 if the country allows it under the developing country exceptions in ILO convention 138.

³¹ Young Worker: Any worker between the age of a child, as defined above, and under the age of 18.

³² Protected: Workers between 15 and 18 years of age will not be exposed to hazardous health and safety conditions; working hours shall not interfere with their education and the combined daily transportation time and school time, and work time shall not exceed 10 hours.

³³ Hazard: The inherent potential to cause injury or damage to a person's health (e.g., unequipped to handle heavy machinery safely, and unprotected exposure to harmful chemicals).

³⁴ Hazardous work: Work that, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of workers (e.g., heavy lifting disproportionate to a person's body size, operating heavy machinery, exposure to toxic chemicals).

³⁵ Bonded Labor: when a person is forced by the employer or creditor to work to repay a financial debt to the crediting agency.

³⁶ Forced (Compulsory) Labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered himself/herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical punishment or the loss of rights and privileges or restriction of movement (e.g., withholding of identity documents).

³⁷ Bonded labor: When a person is forced by the employer or creditor to work to repay a financial debt to the crediting agency.

³⁸ Employee: An employee is a person who enters an agreement, which may be formal or informal, with an enterprise in return for remuneration in cash or in kind. An 'employee' is anyone working on the farm, whether directly employed or indirectly via for example a sub-contractor.

³⁹ Discrimination: any distinction, exclusion, or preferences, which has the effect of nullifying or impairing equality of opportunity or treatment. Not all distinction, exclusion, or preference constitutes discrimination. For instance, a merit or performance based pay increase or bonus is not by itself discriminatory. Positive discrimination in favor of people from certain underrepresented groups may be legal in some countries.

⁴⁰ Employers shall have written antidiscrimination policies stating the company does not engage in or support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.

⁴¹ Discrimination: Any distinction, exclusion or preference that has the effect of nullifying or impairing equality of opportunity or treatment. Not all distinction, exclusion or preference constitutes discrimination. For instance, a merit- or performance-based pay increase or bonus is not, by itself, discriminatory. Positive discrimination in favor of people from certain underrepresented groups may be legal in some countries.

	<p>caste, or sexual orientation.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>c. Demonstrate that employer proactively respects the principle of equal pay for equal work and equal access to job opportunities, promotions and raises.</p> <p>d. Demonstrate that all managers and supervisors receive training on diversity and non-discrimination and pro-active tolerance of diversity. All personnel receive non-discrimination training. Internal or external training is acceptable if proven effective.</p>
6.3.2	<p>Indicator: Number of confirmed incidences of discrimination.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Employer maintains a record of all discrimination complaints. Records do not show evidence that the farm discriminates on grounds related to age, gender, religion, race, creed, caste, sexual orientation, national origin, disability, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>b. Interview with employees and employee testimonies will be used to confirm that the company does not interfere with the rights of personnel to observe tenets or practices, or to meet needs related to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p>
6.3.3	<p>Indicator: Equality of pay, benefits and promotion opportunities for all employees independent of gender, age, race, religion, creed, caste or sexual orientation.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Include in anti-discrimination policy reference to equality of pay, benefits and promotional opportunities being independent of race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>b. Interview with employees and employee testimonies will be used to confirm that the company does not discriminate on pay, benefits or promotional opportunities on the basis of race, caste, religion, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p>
6.3.4	<p>Indicator: Number of incidents where employer dismisses an employee on the basis of marital status or pregnancy or deny employee legal rights to pregnancy or maternity leave.</p> <p>Requirement: None.</p>	<p>a. Check human resource records and employee files to verify grounds for dismissal or incidents of denying employee legal rights related to maternity or paternity leave.</p> <p>b. During the on-site audit, interview employees in relation to grounds for dismissal and company performance with respect to the granting of parental leave.</p>

Criterion 6.4 Work environment health and safety		Compliance Criteria
6.4.1	<p>Indicator: Percentage of employees trained in health and safety practices, procedures and policies relevant to the job.</p> <p>Requirement: 100% for operations above five employees.</p> <p>Applicability: All.</p>	<p>a. Employer has documented practices, procedures (including emergency response procedures) and policies to protect employees from workplace hazards and to minimize risk of accident or injury. The information shall be available to employees.</p> <p>b. Employees know and understand emergency response procedures.</p> <p>c. Employer conducts health and safety training for all employees on a regular basis (once a year and immediately for all new employees), including training on potential hazards and risk minimization, Occupational Safety and Health (OSH) and effective use of PPE.</p>
6.4.2	<p>Indicator: Safety equipment (Personal Protective Equipment, PPE) provided and maintained and in use.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Employer provides workers with PPE that is appropriate to known health and safety hazards.</p> <p>b. Employees receive annual training in the proper use of PPE. For workers who participated in the initial training(s) previously an annual refreshment training may suffice, unless new PPE has been put to use.</p> <p>c. During the on-site audit, employees will be interviewed to confirm the above.</p>
6.4.3	<p>Indicator: All health and safety related accidents and violations are recorded and corrective actions taken when necessary.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Employer records all health- and safety-related accidents.</p> <p>b. Employer records and maintains complete documentation for all occupational health and safety events, accidents, violations and investigations.</p> <p>c. Employer implements corrective action plans in response to any accidents that occur. Plans are documented and they include an analysis of root cause, actions to address root cause, actions to remediate, and actions to prevent future accidents of similar nature.</p> <p>d. Interview employees in order to determine what procedures are implemented and explain what analysis has been done and what steps were taken on foot of accidents or health and safety related events or concerns.</p>
6.4.4	<p>Indicator: Evidence of employer responsibility and/or proof of insurance (accident or injury) for 100% of worker costs in a job-related accident or injury when not covered under national law.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Employer maintains and makes available documentation to confirm that all personnel are adequately insured to cover costs related to occupational accidents or injuries (if not covered under national law). Equal insurance coverage must be provided to all workers including part-time, temporary, migrant or foreign workers. Written contract of employer responsibility to cover accident costs is acceptable evidence in place of insurance.</p>
Criterion 6.5 Wages		Compliance Criteria
6.5.1	<p>Indicator: Percentage of workers whose basic wage⁴² (before overtime and bonuses) is below the minimum wage⁴³.</p> <p>Requirement: 0%.</p> <p>Applicability: All.</p>	<p>a. Employer keeps documents to show the legal minimum wage in the country of operation. If there is no legal minimum wage in the country, the employer keeps documents to show the industry-standard minimum wage. The intention of this indicator is to protect the most vulnerable workers, other staff such as managers may be paid in kind and are not to be considered as 'workers' for the purpose of this indicator.</p> <p>b. Employer's records (e.g. payroll) confirm that worker's wages for a standard work week (≤ 48 hours) always meet or exceed the legal minimum wage. If there is no legal minimum wage, the employer's records must show how the current wage meets or exceeds industry standard. If wages are based on piece-rate or pay-per-production, the employer's records must show how workers can reasonably attain (within regular working hours) wages that meet or exceed the legal minimum wage.</p> <p>c. Maintain documentary evidence (e.g. payroll, timesheets, punch cards, production records, and/or utility records). Workers will be interviewed during on-site audit to verify conformity with the above.</p>
6.5.2	<p>Indicator: The percentage of workers whose basic wage⁴⁴ (before overtime and bonuses) is below the basic needs wage⁴⁵ 5 years after adoption of the standard.</p> <p>Requirement: 0%.</p> <p>Applicability: All.</p>	<p>a. Auditor to calculate the basic needs wage and compare it to the farm's calculation to verify for accuracy.</p> <p>b. Provide evidence that all farm workers are paid at least the basic needs wage (before overtime and bonuses) within 5 years of publication of the seriola and cobia standard.</p> <p>c. Demonstrate basic needs wage for the country of operation. The audit team will verify accuracy of the calculation and end figure.</p>
6.5.3	<p>Indicator: Evidence of transparency in wage-setting and rendering.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Wages and benefits are clearly articulated to workers and documented in contracts.</p> <p>b. The method for setting wages is clearly set out and explained to workers.</p> <p>c. Employer renders wages and benefits in a way that is convenient for the worker (e.g. cash, check, or electronic payment methods). Workers do not have to travel to collect benefits nor do they receive promissory notes, coupons or merchandise in lieu of payment.</p> <p>d. Workers will be interviewed to confirm conformity with the standards requirements.</p>

⁴² Certificate of training issued by the relevant competent national or provincial authority or by such authority's recognized training center, or evidence of adequate on the job training for health and safety practices. For any employee involved in diving work there must be evidence of adequate training from an appropriate national or commercial authority, e.g. NAUI, PADI.

⁴³ Basic wage: the wages paid for a standard working week (no more than 48 hours).

⁴⁴ If there is no legal minimum wage in a country, basic wages must meet the industry-standard minimum wage.

⁴⁵ Basic wage: The wages paid for a standard working week (no more than 48 hours).

⁴⁵ Basic needs wage: A wage that covers the basic needs of an individual or family, including housing, food and transport. This concept differs from a minimum wage, which is set by law and may or may not cover the basic needs of workers.

Criterion 6.6 Access to freedom of association and the right to collective bargaining		Compliance Criteria
6.6.1	<p>Indicator: Percentage of employees with access to trade unions, worker organizations, and/or the ability to self-organize as well as the ability to bargain collectively or access the representative(s) chosen by workers without management interference.</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. Demonstrate that all workers have the freedom to join a trade union or any legitimate workers organisation, free of any form of interference from employers or competing organizations set up or backed by the employer. Farms shall prepare documentation to demonstrate to the auditor that domestic regulation fully meets these criteria.</p> <p>b. Demonstrate that workers are permitted to self-organize and/or engage in collective bargaining.</p> <p>c. During interviews with workers, verify conformity with the requirements of 6.6.1 and that workers are free to access worker chosen representatives without interference from management or agents of the company.</p>
6.6.2	<p>Indicator: Incidences of members of unions or worker organizations being discriminated against.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. During interviews with workers and workers representatives, determine if there are incidents of members of unions or worker organizations being discriminated against by management.</p> <p>b. Review any stated cases of discrimination on the basis of union membership or membership of workers organisations with management to verify whether the farm is in conformity with requirements of the standard.</p>
Criterion 6.7 Harassment and disciplinary practices in the working environment causing temporary or permanent physical and/or mental harm		Compliance Criteria
6.7.1	<p>Indicator: Incidences of excessive or abusive⁴⁶ disciplinary Actions.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Verify that the employer does not use threatening, humiliating or punishing disciplinary practices that negatively impact a worker's physical and mental health or dignity.</p> <p>b. Allegations of corporal punishment, mental abuse⁴⁷, physical coercion, or verbal abuse must be fully documented in a company procedure so that these can be corroborated by auditors.</p> <p>c. During on-site audit, workers will be interviewed to determine whether there is evidence of excessive or abusive disciplinary actions.</p>
6.7.2	<p>Indicator: Evidence of clear, fair and transparent disciplinary procedures⁴⁸ documented and communicated to employees.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Employer has written policy for disciplinary action which explicitly states that its aim is to improve the worker. Maintain evidence that employees are aware of procedures and that the process is transparent.</p> <p>b. Maintain documentary audit trail for incidences of disciplinary action and outcome (incl. worker evaluation reports). Workers may be interviewed during onsite audit to determine level of conformity and that disciplinary action policy is fair and effective.</p>
6.7.3	<p>Indicator: Evidence that incidences of harassment are recorded and addressed with corrective actions.</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. Employer has in place a policy in relation to harassment of workers. The policy requires a procedure to be initiated in the event of incidents of harassment by management of workers or between workers. The procedure is documented and records details, action taken, outcome and corrective actions required.</p> <p>b. During the on-site audit, interview workers with respect to harassment, policies and procedures as well as examples of harassment action and outcomes to verify level of conformance.</p>
Criterion 6.8 Working hours and overtime		Compliance criteria
6.8.1	<p>Indicator: Incidences, violations or abuse of working hours or overtime laws⁴⁹.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. The employer must make available documentation showing the legal requirements for working hours and overtime in the region where the farm operates. If local legislation allows workers to exceed internationally accepted recommendations (48 regular hours, 12 hours overtime) then requirements of the international standards apply.</p> <p>b. Examination of a randomly selected sample of records (by the auditor) - including time sheets and payroll records show that farm workers do not exceed the number of working hours allowed under the law.</p> <p>c. If an employer requires employees to work shifts at the farm (e.g. 10 days on and six days off), the employer compensates workers with an equivalent time off in the calendar month and there is evidence that employees have agreed to this schedule (e.g. in the hiring contract).</p> <p>d. Farm workers may be interviewed to confirm there is no abuse of working hours and overtime laws.</p>
6.8.2	<p>Indicator: Overtime is limited, voluntary⁵⁰, paid at a premium rate and restricted to exceptional circumstances.</p> <p>Requirement: Yes.</p> <p>Applicability: All farms unless exempted.</p>	<p>a. Make available payment records (e.g. pay advice) show that workers are paid a premium rate for overtime hours.</p> <p>b. Overtime is limited and occurs in exceptional circumstances as evidenced by farm records (e.g. production records, time sheets, and other records of working hours).</p> <p>c. Workers may be interviewed to confirm that all overtime is voluntary (unless there is a collective bargaining agreement in place which specifically allows for compulsory overtime).</p>

⁴⁶ Physically or mentally. Mental Abuse: characterized by the intentional use of power, including verbal abuse, isolation, sexual or racial harassment, intimidation, or threat of physical force.

⁴⁷ Mental Abuse: Characterized by the intentional use of power, including verbal abuse, isolation, sexual or racial harassment, intimidation or threat of physical force.

⁴⁸ If disciplinary action is required, progressive verbal and written warnings shall be engaged. The aim shall always be to improve the worker; dismissal shall be the last resort. Policies for bonuses, incentives, access to training and promotions are clearly stated and understood, and not used arbitrarily. Fines or basic wage deductions shall not be acceptable disciplinary practices.

⁴⁹ In cases where local legislation on working hours and overtime exceed internationally accepted recommendations (48 regular hours, 12 hours overtime), the international standards will apply.

⁵⁰ Compulsory overtime is permitted if previously agreed to under a collective bargaining agreement.

Criterion 6.9 Contracts or other written employment agreements		Compliance criteria
6.9.1	<p>Indicator: Percentage of workers who have contracts⁵¹ or other written employment agreements.</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. The employer maintains a record of all employment contracts.</p> <p>b. There is no evidence for labor-only contracting relationships or false apprenticeship schemes.</p> <p>c. Be advised that workers will be interviewed to confirm the above.</p>
6.9.2	<p>Indicator: Evidence of a policy to ensure social compliance of its suppliers and contractors when operating on the farm site.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Farm has a policy to ensure that all companies contracted to provide supplies or services (e.g. divers, cleaning, maintenance) have socially responsible employment practices and policies.</p> <p>b. Producing company has criteria for evaluating its suppliers and contractors. The company keeps a list of approved suppliers and contractors.</p> <p>c. Producing company keeps records of communications with suppliers and subcontractors that relate to compliance with 6.9.2.</p> <p>d. All workers on site including those indirectly employed are to be protected by the requirements of Principle 6 and the auditor can check records, observations and interviews with these workers to evaluate compliance.</p>
Criterion 6.10 Conflict resolution		Compliance criteria
6.10.1	<p>Indicator: Evidence of worker access to effective, fair and confidential grievance procedures.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. The employer has a clear labor conflict resolution policy for the presentation, treatment, and resolution of worker grievances in a confidential manner, supported by a documented procedure.</p> <p>b. Workers are familiar with the company's labor conflict resolution policies and procedures. There is evidence that workers have access to fair treatment of complaints.</p> <p>c. The farm must maintain documentary evidence (e.g. complaint or grievance filings, minutes from review meetings). Workers may be interviewed during on-site audit in order to verify conformity.</p>
6.10.2	<p>Indicator: Percentage of grievances handled that are addressed⁵² within a 90-day timeframe.</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. The employer maintains a record of all grievances, complaints and labor conflicts that are raised.</p> <p>b. The employer keeps a documentary record of follow-up and outcome, according to procedural requirements (including corrective actions) and timeframe in which grievances are addressed.</p> <p>c. Workers will be interviewed to verify conformity with the procedure for dealing with grievances and that they were addressed within a 90-day timeframe.</p>
Criterion 6.11 Living conditions for employees accommodated on the farm		Compliance criteria
6.11.1	<p>Indicator: Farm employees have access to clean, sanitary, safe and suitable living conditions.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Provide evidence that potable/safe drinking water is always available for workers</p> <p>b. Provide evidence that adequate sanitary facilities are available for workers</p> <p>c. Provide evidence of safe, secure and quality accommodation sufficient to withstand local conditions in the event of storms or other natural events that could endanger lives.</p> <p>d. Provide evidence that accommodation provided is suitable to workers needs (and their family's), appropriate for their gender if accommodated on site also.</p>
6.11.2	<p>Indicator: Existence of separate sanitary and toilet facilities for men and women; with the exception of work sites with fewer than 10 employees or where married couples are working and accommodated together.</p> <p>Requirement: Yes.</p> <p>Applicability: All farms and accommodation and worksites except as permitted exclusions (6.11.2a).</p>	<p>a. Provide separate and suitable sanitary and toilet facilities are available for men and women, with the possible exception of married couples being accommodated together and at worksites that have less than 10 employees.</p>

⁵¹ Labor-only contracting relationships or false apprenticeship schemes are not acceptable. This includes revolving/consecutive labor contracts to deny benefit accrual or equitable remuneration. False Apprenticeship Scheme: The practice of hiring workers under apprenticeship terms without stipulating terms of the apprenticeship or wages under contract. It is a "false" apprenticeship if its purpose is to underpay people, avoid legal obligations or employ underage workers. Labor-only contracting arrangement: The practice of hiring workers without establishing a formal employment relationship for the purpose of avoiding payment of regular wages or the provision of legally required benefits, such as health and safety protections.

⁵² Addressed: Acknowledged and received, moving through the company's process for grievances, corrective actions taken when necessary.

PRINCIPLE 7: BE A GOOD NEIGHBOR AND CONSCIENTIOUS CITIZEN PRACTICES		
Criterion 7.1 Community engagement		Compliance Criteria
7.1.1	<p>Indicator: Evidence of regular and meaningful⁵³ consultation and engagement with community representatives and organizations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. The farm pro-actively arranges for consultations with the local community at least twice every year (bi-annually).</p> <p>b. Consultations are meaningful. OPTIONAL: the farm may choose to use participatory Social Impact Assessment (pSIA) or an equivalent method for consultations.</p> <p>c. Consultations include participation by representatives from the local community who were asked to contribute to the agenda in advance of meetings.</p> <p>d. Consultations include communication about, or discussion of, the potential human health risks of therapeutic treatments. The intention is for the farm to resolve conflicts that the farm has control / responsibility over and interviews are to be conducted in language appropriate to the community. Not to use technical language like for instance, 'theraputants'.</p> <p>e. Maintain records and documentary evidence (e.g. meeting agenda, minutes, report) to demonstrate that consultations comply with the above.</p> <p>f. Be advised that representatives from the local community and organizations may be interviewed to confirm the above.</p>
7.1.2	<p>Indicator: Presence and evidence of an effective⁵⁴ policy and mechanism for the presentation, treatment and resolution of complaints by community stakeholders and organizations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Farm policy provides a mechanism for presentation, treatment and resolution of complaints lodged by stakeholders, community members, and organizations.</p> <p>b. The farm follows its policy for handling stakeholder complaints as evidenced by farm documentation (e.g. follow-up communications with stakeholders, reports to stakeholder describing corrective actions).</p> <p>c. The farm's mechanism for handling complaints is effective based on resolution of stakeholder complaints (e.g. follow-up correspondence from stakeholders).</p> <p>d. Be advised that representatives from the local community, including complainants where applicable, may be interviewed to confirm the above.</p>
Criterion 7.2 Respect for local cultures and traditional territories		Compliance Criteria
7.2.1	<p>Indicator: Local groups consulted during project design and operation.</p> <p>Requirement: At least 2x per year or as required by relevant local and/or national laws and regulations.</p> <p>Applicability: All.</p>	<p>a. As required by law in the jurisdiction: - farm consults with local and/or indigenous groups and retains documentary evidence (e.g. meeting minutes, summaries) to show how the process complies with 7.2.1b.</p> <p>b. Farm management demonstrates an understanding of relevant local and/or national laws and regulations that pertain to consultations with indigenous groups.</p> <p>c. Representatives from the local community, including complainants where applicable, may be interviewed to confirm the above consultation and engagement with local groups at planning and operational stages.</p>
Criterion 7.3 Access to resources		Compliance Criteria
7.3.1	<p>Indicator: Changes undertaken restricting access to vital community resources without community approval.</p> <p>Requirement: 0.</p> <p>Applicability: All.</p>	<p>a. Resources that are considered vital to the community have been documented and are known by the farm (i.e. through the assessment process required under Indicator 7.3.2).</p> <p>b. The farm seeks and obtains community approval before undertaking changes that restrict access to vital community resources. Approvals are documented.</p> <p>c. Representatives from the community may be interviewed to provide evidence of whether or not the farm has restricted access to vital resources without prior community approval.</p>
7.3.2	<p>Indicator: Assessments of company's impact on access to resources.</p> <p>Requirement: At least once per year.</p> <p>Applicability: All.</p>	<p>a. There is a documented assessment of the farm's impact upon access to resources. Can be completed as part of community consultations under 7.2.1.</p> <p>b. Representatives from the community may be interviewed to generally corroborate the accuracy of evidence presented in 7.3.2a.</p>

⁵³ Regular and meaningful: Meetings shall be held at least bi-annually with elected representatives of affected communities. The community representatives should in part set the agenda for the meetings. Participatory Social Impact Assessment methods may be one option to consider here.

⁵⁴ Effective: In order to demonstrate that the mechanism is effective, evidence of resolutions of complaints can be given.