

Scope: Applicable to all species in the genera *Dicentrarchus*, *Sparus*, *Pagrus*, and *Argyrosomus* and in all regions where these fish are cultured

Please refer to the ASC Sea Bass, Sea Bream, and Meagre standards v1.1 document for additional clarification, guidance, and rationales

PRINCIPLE 1: COMPLY WITH ALL APPLICABLE INTERNATIONAL, NATIONAL AND LOCAL LAWS AND REGULATIONS

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.

Criterion 1.1 Compliance with all applicable local, national and international legal and regulatory requirements

		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>	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.	A. Review farms operation in the context of requirements of applicable land and water use law.
		b. Maintain original (or certified copies of) lease agreements, land titles and concession permit(s) on file as applicable.	B. Confirm client holds original (or certified copies of) necessary: <ul style="list-style-type: none"> • lease agreements or land titles • permits from government agencies • aquaculture concession(s)
		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).	C. Review records of inspection and/or monitoring for compliance with national and local laws and regulations (as applicable).
1.1.2	<p>Indicator: Documents demonstrating compliance with all tax laws.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Provide a certificate of tax clearance or tax law conformity from local Revenue authority; OR 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.	A. Review certificate of tax clearance and/or tax law conformity from local revenue authority; OR 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.
		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.	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.
		c. If tax is paid by a parent company legally then the farm should present information to this effect.	C. Check validity of tax paid by the parent company.
1.1.3	<p>Indicator: Documents demonstrating compliance with all labor laws and regulations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Demonstrate how the farm conforms with the requirements of national and regional/local labor codes and employment law	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.
		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).	B. Review inspection records for compliance with national labor laws and codes (as applicable).
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>	a. Obtain permits for discharge water where applicable.	A. Verify that client obtains permits as applicable.
		b. Maintain records of monitoring and compliance with discharge laws and/or regulations as required.	B. Verify that records show that monitoring compliance with discharge laws and/or regulations as required.
		c. Maintain records of monitoring and compliance with waste and pollution laws/regulations.	C. Verify that records show that monitoring compliance with waste and pollution laws and/or regulations as required.

PRINCIPLE 2: CONSERVE NATURAL HABITAT, LOCAL BIODIVERSITY AND ECOSYSTEM STRUCTURE AND FUNCTION

Criterion 2.1 Benthic biodiversity and benthic effects	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
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Guidance to Clients and CABs on Criterion 2.1 – Benthic Impact assessment and monitoring
 A minimum of three benthic samples shall be taken at the edge of the AZE downstream from the predominant current and if control sites are needed, three samples shall be collected 100-1000m from the edge of the cage array with similar water depth and substratum as found on the farm (see ISO 12878:2012 for benthic sampling methodology). Samples should be taken during peak biomass. All collected samples must be analyzed by an accredited laboratory (e.g. ISO 17025) and the sampling methodology must be approved by the laboratory conducting the analysis. Allowable Zone of Effect (AZE) is defined under this standard as 25 meters. For farm sites where a site-specific AZE has been defined using a robust and credible modeling system such as the SEPA AUTODEPOMOD and verified through monitoring, the site-specific AZE shall be used. Significance is measured at 95% confidence interval.

	<p>Note: Under Indicator 2.1.1, farms can choose to measure redox potential (Option #1) or sulphide concentration (Option #2). Farms do not have to demonstrate that they meet both threshold values.</p>	
<p>2.1.1</p> <p>Indicator: Redox potential or total ‘free’ sulphide levels in sediment immediately outside of the Allowable Zone of Effect (AZE)^[1] attributed to farm operations</p> <p>Requirement: Redox potential > 0 millivolts (mV) OR Sulphide ≤ 1,500 microMoles/l OR No significant difference^[2] in redox potential or total ‘free’ sulphide levels in sediment at the edge of the AZE in comparison to control sites</p> <p>Applicability: All farms</p>	<p>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.</p>	<p>A. Review map to verify appropriate siting of sampling stations and evidence (where applicable) to justify use of a site specific AZE.</p>
	<p>b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1c-f, 2.1.2, 2.1.3 and 2.1.4.</p>	<p>B. Review evidence of benthic type and confirm whether to proceed to 2.1.1c.</p>
	<p>c. Inform the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.</p>	<p>C. Record which option the client selected</p>
	<p>d. Collect sediment samples using an appropriate methodology and sampling regime, following the guidance in the Sea Bass/Sea Bream Standard (i.e. using appropriate AZE, sampling stations and methodology).</p>	<p>D. Review documentary evidence (notes, GPS coordinates) showing sampling time, stations, and frequency. Cross-check against farm maps, production and harvest records.</p>
	<p>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 using an appropriate, nationally or internationally recognized testing method.</p>	<p>E. Review results to verify that redox potential of sediments complies with the requirement at each sampling station outside the AZE. Confirm that the testing method used by the farm is appropriate.</p>
	<p>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 using an appropriate, nationally or internationally recognized testing method.</p>	<p>F. Review results to verify that sulphide concentration in sediments complies with the Standard at each sampling station outside the AZE. Confirm that the testing method used by the farm is appropriate.</p>
	<p>g. For option #3, measure and record sulphide concentration (uM) or redox potential in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site using an appropriate, nationally or internationally recognized testing method.</p>	<p>G. Review results to confirm status of finding. Differences in chemical analysis immediately outside the AZE and at an un-impacted control site far must not be statistically significant (using 95% C.I.).</p>

Footnote	[1] Allowable Zone of Effect (AZE) is defined under this Standard as 25 meters. For farm sites where a site-specific AZE has been defined using a robust and credible modeling system such as the SEPA AUTODEPOMOD and verified through monitoring, the site-specific AZE shall be used.
Footnote	[2] Significance measured at a 95% confidence interval.

	<p>a. Prepare a map showing the AZE and sediment collections stations (see 2.1.1).</p>	<p>A. Review map to verify appropriate siting of sampling stations (see 2.1.1).</p>
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2.1.2	<p>Indicator: Benthic faunal index score (choosing a suitable benthic index to the composition of the benthos being sampled)</p> <p>Requirement: AZTI Marine Biotic Index (AMBI^[3]) score ≤ 3.3, or Shannon-Wiener Index score > 3, or Benthic Quality Index (BQI) score ≥ 15, or Infaunal Trophic Index (ITI) score ≥ 25 or BENTIX^[4] score ≥ 3.5 or No significant change in benthic faunal index scores at the edge of the AZE in comparison to control site</p> <p>Applicability: All farms</p>	b. Inform the CAB whether the farm chose option #1, #2, #3, #4, #5, or #6 to demonstrate compliance with the requirement.	B. Record which option the client chose for scoring faunal index.
		c. Collect sediment samples in accordance with sampling strategy.	C. Confirm sample collection followed strategy.
		d. For option #1, measure, calculate and record AZTI Marine Biotic Index [5] score of sediment samples using the required method.	D. Review results (as applicable) to verify that AMBI score of sediments is ≤ 3.3 at each sampling station outside the AZE.
		e. For option #2, measure, calculate and record Shannon-Wiener Index score of sediment samples using the required method.	E. Review results (as applicable) to verify that Shannon Wiener score of sediments is > 3 at each sampling station outside the AZE.
		f. For option #3, measure, calculate and record Benthic Quality Index (BQI) score of sediment samples using the required method.	F. Review results (as applicable) to verify that BQI score of sediments is ≥ 15 at each sampling station outside the AZE.
		g. For option #4, measure, calculate and record Infaunal Trophic Index (ITI) score of sediment samples using the required method.	G. Review results (as applicable) to verify that ITI score of sediments is ≥ 25 at each sampling station outside the AZE.
		h. For option #5, measure, calculate and record BENTIX score of sediment samples using the required method.	H. Review results (as applicable) to verify that BENTIX score of sediments is ≥ 3.5 at each sampling station outside the AZE.
	i. For option #6, measure and record benthic faunal index scores of samples taken from immediately outside the AZE as well as at an un-impacted control site using an appropriate, nationally or internationally recognized testing method.	I. Review results to confirm status of finding. Differences in faunal community immediately outside the AZE and at an un-impacted control site must not be statistically significant difference (using 95% C.I.).	
Footnote	[3] http://www.azti.es/en/ambi-azti-marine-biotic-index.html		
Footnote	[4] Simboura, N., & Zenetos, A. (2002). Benthic indicators to use in Ecological Quality classification of Mediterranean soft bottom marine ecosystems, including a new Biotic Index. Mediterranean Marine Science, 3(2), 77-111		
2.1.3	<p>evidence of testing for copper levels in the sediment immediately outside of the AZE</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	a Collect samples for copper levels in sediment immediately outside AZE.	A. Confirm evidence of testing for copper levels in the sediment immediately outside of the AZE.
2.1.4	<p>Indicator: Evidence that copper levels are < 34 mg Cu/kg dry sediment weight OR In instances where the Cu in the sediment exceeds 34 mg Cu/kg dry sediment weight, demonstration that the Cu concentration is not significantly different compared to background concentrations as measured at three reference sites in the water body</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	a. Measure and record copper levels in samples taken from immediately outside the AZE.	A. Review results to confirm status of finding. Copper levels in sediment immediately outside the AZE are < 34 mg Cu/kg dry sediment weight or Cu concentration falls within the range of background concentrations as measured at three reference sites in the water body.
Footnote	[5] The testing for copper required under 2.1.4 is only applicable to farms that use copper-based nets or copper-treated nets. The same benthic sampling methodology used in 2.1.2 shall be applied, where the sample taken outside the AZE shall not differ significantly ⁴ with the values found at the reference sites.		
Criterion 2.2 Water quality in and near the site of operation		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
		<p>Instruction to Clients for Indicator 2.2.1 - Monitoring Average Weekly Percent Saturation of Dissolved Oxygen Averaged weekly readings from within the cages shall be taken based on one daily measurement. Percent saturation is the amount of oxygen dissolved in the water sample compared to the maximum amount that could be present at the same temperature and salinity.</p>	

2.2.1	<p>Indicator: Weekly average percent saturation^[6] of dissolved oxygen (DO)^[7] on farm (Appendix 1-2)</p> <p>Requirement: ≥70%^[8]</p> <p>Applicability: All farms</p>	a. Monitor and record on-farm percent saturation of DO at a minimum of once daily using a calibrated oxygen meter or equivalent method. For first audits, farm records must cover ≥ 6 months.	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.
		c. Calculate weekly average percent saturation based on data.	C. Review calculation and confirm all weekly averages ≥ 70%.
		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.	D. As needed, review DO data from reference site and document in the audit report.
		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.
Footnote	[6] Percent saturation: Percent saturation is the amount of oxygen dissolved in the water sample compared to the maximum amount that could be present at the same temperature and salinity.		
Footnote	[7] Averaged weekly readings from within the cages taken from two daily measurement (preferably around 6am and 3pm).		
Footnote	[8] Should a farm not meet the minimum 70 percent weekly average saturation requirement; the farm must demonstrate consistency of percent saturation with a reference site. The reference site shall be at least 500 meters 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.		
2.2.2	<p>Indicator: Maximum percentage of weekly samples from 2.2.1 that fall under 2 mg/liter DO (Appendix 1-2)</p> <p>Requirement: 5%</p> <p>Applicability: All</p>	a. Calculate the percentage of on-farm samples taken for 2.2.1a that fall under 2 mg/l DO.	A. Review the farm's calculation and confirm that ≤ 5% of weekly samples fall under 2 mg/l DO.
2.2.3	<p>Indicator: Quarterly monitoring of TAN, NO₃, and TP levels on the farm and at a reference site^[9] (Appendix 1-3)</p> <p>Requirement: Yes</p> <p>Applicability: All farms</p>	a. Develop, implement, and document a quarterly monitoring plan for Total Ammonia Nitrogen, NO ₃ , total P.	A. Review the farm's monitoring plan and verify that the farm has collected monitoring data for N and P.
Footnote	[9] TAN (Total Ammonia Nitrogen = total NH ₃ + total NH ₄ ⁺), TP (Total Phosphorus)		
2.2.4	<p>Indicator: Evidence that the type of biocides used in net antifouling are approved according to legislation in the European Union, the United States, Australia, or Japan</p> <p>Requirement: Yes</p> <p>Applicability: All farms</p>	a. Identify all biocides used by the farm in net antifouling.	A. Review list of biocides and cross-check against treatment records and purchase records.
		b. Compile documentary evidence to show that each chemical used in 4.7.5a is approved according to legislation in one or more of the following jurisdictions: the European Union, the United States, Australia, or Japan.	B. Review documentary evidence to confirm compliance.
Criterion 2.3 Interaction with critical or sensitive habitats and species		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
	<p>Indicator: The farm shall assess the farm's (potential) impacts on</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.	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.

2.3.1	<p>biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix 1 (see Standard).</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>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.</p>	<p>B. Review the risk assessment for potential impacts on biodiversity and confirm plausibility of predicted outcomes for any proposed mitigation strategies or programmes.</p>
		<p>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.</p>	<p>C. Review evidence provided and/or discuss with independent stakeholders.</p>
2.3.2	<p>Indicator: Allowance for the farm to be sited in a protected area or High Conservation Value Areas⁽¹⁰⁾ (HCVAs)</p> <p>Requirement: None</p> <p>Applicability: All.</p>	<p>Instruction to Clients for Indicator 2.3.2 - Exceptions to Requirements that Farms are not sited within Protected Areas or HCVAs The following exceptions shall be made for Indicator 2.3.2:</p> <p>Exception #1: For protected areas classified by the International Union for the Conservation of Nature (IUCN) as Category V or VI (these are areas preserved primarily for their landscapes or for sustainable resource management).</p> <p>Exception #2: For HCVAs if the farm can demonstrate that its environmental impacts are compatible with the conservation objectives of the HCVA 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 HCVA.</p> <p>Exception #3: For farms located in a protected area if it was designated as such after the farm was already in operation and provided the farm can demonstrate that its environmental impacts are compatible with the conservation objectives of the protected area and it is in compliance with any relevant conditions or regulations placed on the farm as a result of the formation/designation of the protected area. 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 protected.</p>	
		<p>a. Provide a map showing the location of the farm relative to nearby protected areas or High Conservation Value Areas (HCVAs) as defined above (see also 1.1.1a).</p>	<p>A. Review map and cross-check against independent information sources to determine if the farm is sited in a protected area or HCVA.</p>
		<p>b. If the farm is <u>not</u> sited in a protected area or High Conservation Value Area as defined above, prepare a declaration attesting to this fact. In this case, the requirements of 2.3.2c-d do not apply.</p>	<p>B. Obtain a copy of the farm's declaration stating that the farm is not sited in a protected area or HCVA (as applicable).</p>
		<p>c. If the farm <u>is</u> sited in a protected area or HCVA, review the scope of applicability of Indicator 2.3.2 (see Instructions above) to determine if your farm is allowed an exception to the requirements. If yes, inform the CAB which exception (#1, #2, or #3) is allowed and provide supporting evidence.</p>	<p>C. 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.</p>
		<p>d. If the farm is sited in a protected area or HCVA and the exceptions provided for Indicator 2.3.2 <u>do not apply</u>, then the farm does not comply with the requirement and is ineligible for ASC certification.</p>	<p>D. Review evidence to determine whether the farm is allowed to be sited in a protected area or HCVA and hence eligible for ASC certification.</p>

Footnote	[10] 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 High Conservation Value Areas (HCVA): Natural habitats where conservation values are considered to be of outstanding significance or critical importance. HCVA are designated through a multi-stakeholder approach that provides a systematic basis for identifying critical conservation values—both social and environmental—and for planning ecosystem management in order to ensure that these high conservation values are maintained or enhanced (http://www.hcvnetwork.org/).		
2.3.3	<p>Indicator: Allowance for the farm to be sited closer than 500 meters to a seagrass meadow(s)^[11] measure from the edge of the AZE</p> <p>Requirement: None</p> <p>Applicability: All.</p>	<p>a. Provide a recent map showing the location of the farm relative to nearby seagrass (<i>Posidonia oceanica</i>, <i>Cymodocea nodosa</i>, <i>Zoostera marina</i> and <i>Zoostera noltii</i>) meadows.</p> <p>b. If the farm is <u>not</u> sited <500m from a seagrass meadow, prepare a declaration attesting to this fact.</p>	<p>A. Review map and cross-check against independent information sources to determine if the farm is sited <500m from a seagrass meadow.</p> <p>B. Obtain a copy of the farm's declaration stating that the farm is not sited <500m from a seagrass meadow.</p>
Footnote	[11] A “seagrass meadow” is defined as an area of >10m2 covered by aggregated seagrass.		
Criterion 2.4 Interaction with wildlife, including predators		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
2.4.1	<p>Indicator: Use of submerged acoustic deterrent devices</p> <p>Requirement: Not allowed</p> <p>Applicability: All</p>	<p>a. Prepare a written statement affirming that the farm's management is committed to not using submerged acoustic deterrent devices (ADDs) or submerged acoustic harassment devices (AHDs) for control of marine pests and/or predators.</p> <p>b. Compile documentary evidence to show that no submerged ADDs or AHDs are used on the farm (e.g. predator and pest control procedure and evidence of implementation).</p> <p>-</p>	<p>A. Confirm that farm management has prepared a written statement of commitment to the total non-use of submerged 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 submerged ADDs or AHDs are present or in -use at the facilities.</p>
2.4.2	<p>Indicator: Number of mortalities^[12] of endangered or red-listed^[13] animals in the farm lease area and adjacent areas due to farm operations, personnel or associates over the previous 2 years</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>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>
Footnote	[12] Mortalities: includes animals intentionally killed through lethal action as well as accidental deaths through entanglement or other means.		
Footnote	[13] Species listed as endangered or critically endangered by the IUCN or on a national endangered species list.		
2.4.3	<p>Indicator: Allowance for intentional lethal action against predators/wildlife on the farm site.</p> <p>Requirement: None, unless human safety is immediately threatened.</p> <p>Applicability: All.</p>	<p>a. Maintain a log of predator control events that allows for verification of adherence to ASC requirements regarding predator control.</p>	<p>A. Review the predator control log and verify if company procedures are implemented and adhered to in all cases of lethal predator management.</p> <p>B. Interview staff and/or stakeholders during the on-site audit with respect to procedures for managing predators.</p>

2.4.4	<p>Indicator: All lethal incidents are recorded and categorized^[14] and reported to ASC.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Record all mortalities, species and time of the event.	<p>A. Verify lethal incidents over the current production cycle (calendar year).</p> <p>B. Verify if lethal incidents are reported to ASC.</p>
Footnote	[14] Categorized by the reason of incident		
2.4.5	<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>
PRINCIPLE 3: PROTECT THE HEALTH AND GENETIC INTEGRITY OF WILD POPULATIONS			
<i>Criterion 3.1 Culture of non-native species</i>		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
3.1.1	<p>Indicator: Culture of a non-native species^[15].</p> <p>Requirement: None, unless the farmed species is ecologically established^[16] in the region at time of publication of the ASC Seabass, Seabream, and Meagre Standard v1.0</p> <p>Applicability: All.</p>	<p>a. Confirm to the CAB that the farm only produces native species.</p> <p>b. If non-native species, provide verifiable evidence that the species has already become established in the country and/or region/state prior to the publishing of the Sea Bass/Sea Bream standard</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:</p> <ol style="list-style-type: none"> 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>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. Review evidence that the non-native species has already become established in the country/region prior to publication of the Sea Bass/Sea Bream standard. Verify through interview/discussion with independent and/or regulatory agencies.</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>
Footnote	[15] Includes non-native species for parasite control or other on- farm management purposes.		
Footnote	[16] Ecologically established references to fully self-sustaining population(s).		
<i>Criterion 3.2 Introduction of transgenic species</i>		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
3.2.1	<p>Indicator: Culture of transgenic^[17] fish</p> <p>Requirement: Not permitted</p>	<p>a. Prepare a declaration stating that the farm does not use 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>A. Verify declaration of no use of transgenic stock.</p> <p>B. Review records to confirm compliance with stock origin record keeping requirements.</p>

	Applicability: All.	c. Ensure stock purchase/origin documentation clearly identifies genetic status and whether stock is transgenic or not.	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.
Footnote	[17] Artificially introduced genes from other species in the genome of the fish.		
Criterion 3.3 Escapes	Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CAB Actions):
3.3.1	<p>Indicator: Evidence of a well-designed, maintained and managed culture system, infrastructure and farm management^[18] to minimize escapes during grow- out and harvest.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Prepare a 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.	A. Obtain and review the farm's Escape Prevention and Management Plan
		<p>b. If the farm operates an open net pen system, ensure the plan (3.3.1a):</p> <p>1) clearly identifies the important and crucial issues in the context of minimizing escape events; and</p> <p>2) sets out clear procedures for ensuring:</p> <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> <p>1) clearly identifies the important and critical issues in the context of minimizing escape events; and</p> <p>2) sets out clear procedures for ensuring:</p> <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.
		d. Maintain records as specified in the plan.	D. Review documentary evidence showing implementation of the plan.
		e. Train staff on escape prevention planning and management as per the farm's plan.	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.
			G. Confirm the farm's Escape Prevention and Management Plan is revised yearly.

Footnote	[18] Proper farm management regarding escape prevention includes, but is not minimized to: 1) assessing potential factors that can result in fish escapes (e.g. siting related to marine navigation, nets with appropriate net strength – including resistance to net biting from farmed fish and predators, net testing and maintenance, nets with appropriate net mesh size, appropriate mooring and cage-system robustness – including protection against floating debris and forecastable weather events, fish handling/transport procedures), 2) assessing the risks for the listed risk factors (under 1) and developing Standard Operating Procedures (SOP) for 3) training staff to be aware of the (potential) risks and to follow escape prevention SOP to minimize escape risk(s) 4) record keeping and implementing corrective actions were identified 5) reviewing the escape prevention management system on a yearly basis, or when escape events occur, and revise where and when needed.		
3.3.2	Indicator: The farm shall count all fish at every stocking, grading and harvest event with a counting accuracy of $\geq 98\%$ ^[19] Requirement: Yes Applicability: All	a. Maintain records of accuracy of the counting technology used by the farm at times of stocking and harvest. Records include copies of spec sheets for counting machines and common estimates of error for hand-counts.	A. Confirm that the farm keeps records of counting accuracy for the counting technology or method used on site at stocking and harvest.
		b. If counting takes place off site (e.g. hatchery), obtain and maintain documents from the supplier showing the accuracy of the counting method used (as above).	B. Verify the client obtains information from fingerling suppliers (if applicable).
		c. During audits, arrange for the auditor to witness calibration of counting machines (if used by the farm).	C. Verify that the farm calibrates counting equipment as recommended by the manufacturer.
		-	D. Confirm the stated accuracy of the farm's counting technology or counting method is $\geq 98\%$ at both stocking and harvest. Stated accuracy shall be determined by the spec sheet for counting machines and through common estimates of error for any hand-counts.
Footnote	[19] Accuracy of the counting technology (taken from manufacturer spec sheets) shall be validated and documented (e.g. frequency of hand counts)		
3.3.3	Indicator: Total amount of known escapes ^[20] allowed per production cycle (calendar year) Requirement: 4% ^[21] of stocked count based on $\geq 98\%$ counting accuracy Applicability: All.	a. Maintain detailed records of all incidences of confirmed or suspected escapes (specifying date, cause, and estimated number of escapees), mortalities, stocking count, harvest count (recovered fish).	A. Review client submission for completeness and accuracy of information. Cross-check with the estimate of unexplained loss, maintenance records for small tears in net, predator attacks, etc.
		b. Aggregate cumulative escapes and cumulative stocking counts in the most recent production cycle (calendar year)	B. Review the calculation and confirm compliance with the requirement.
		-	C. 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.
Footnote	[20] Total amount of known escapes are all fish known to have escaped e.g. through handling errors.		
Footnote	[21] An exception (>4%) to this Standard may be made for an escape event that is clearly documented as being outside the farm's control. Only 1 exception is allowed in a 9-year period and this time window starts at the beginning of the production cycle (Calendar year) for which the farm is applying for initial certification. The farmer must demonstrate that there was no reasonable way to predict and/or mitigate the event that caused the escape.		
3.3.4	Indicator: Total amount of unexplained loss ^[22] per production cycle Requirement: 2% of stocked count based on $\geq 98\%$ counting accuracy Applicability: All.	a. Maintain detailed records of all incidences of confirmed or suspected escapes (specifying date, cause, and estimated number of escapees), mortalities, stocking count, harvest count (recovered fish).	A. Review farm records for completeness.
		b. Calculate the total unexplained loss = stocking count - harvest count - mortality count - known escapes (see indicator 3.3.3).	B. Review the calculation and confirm compliance with the requirement.
Footnote	[22] Calculated at the end of the production cycle (calendar year) as: Unexplained loss = Stocking count – harvest count – mortality count – known escapes (see indicator 3.3.3). Stocking count and harvest count numbers must be based on $\geq 98\%$ counting accuracy.		
	Indicator: Number of known escapes and unexplained losses are documented and made public as well as reported to ASC on an	a. The results from 3.3.4a are publicly available. Keep records of when and where escape records where made public (e.g. date posted to a company website) for all production cycles (calendar year).	A. Verify farm escape records are public available.

3.3.5	annual basis. Requirement: Yes Applicability: All.	-	B. Verify if lethal incidents are reported to ASC.
Criterion 3.4 Source of fingerlings/seed stock^[23]		Compliance Criteria (Required Client Actions):	
Auditor Evaluation (Required CAB Actions):			
Footnote	[23] This Standard defines seed/fingerling as entering an ASC certified farm to be ≤ 10g unless they come from an ASC certified farm/facility. A farm seeking certification would need to demonstrate through documentation that its fingerling or seed suppliers have met ASC requirements.		
3.4.1	Indicator: Source of fingerlings Requirement: Hatchery only Applicability: All.	a. Provide details of the source of all fingerlings. Provide supporting documentation including purchase orders, invoices, delivery notes etc. that attest to the origin of fingerlings.	A. Verify from documentation that all fingerlings used to stock the farm came from a hatchery and not a wild source.
3.4.2	Indicator: Traceability of all hatchery purchased fingerlings to their source. Requirement: Yes. Applicability: All.	a. Provide supporting documentation including purchase orders, transit/movement authorisations, 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.
		-	B. During the onsite audit discuss the origin of stocks present with farm staff and cross check with documentation provided at 3.4.2a.
3.4.3	Indicator: The fingerling supplier has a documented fish health and bio-security protocol or a comparable 3rd party certificate Requirement: Yes. Applicability: All.	a. Obtain a copy of the fingerling supplier's fish health management plan and bio-security protocol for the identification and monitoring of fish disease and parasites.	A. Verify that the farm obtains copies of fish health management plans and bio-security protocols from fingerling suppliers.
		b. Obtain internationally/nationally recognized 3rd party certificate for fish health and bio-security from fingerling suppliers.	B. Verify that farm has obtained copies of fingerling suppliers certificates for fish health and bio-security.
3.4.4	Indicator: The receiving facility ^[24] has a documented bio-security protocol, including quarantining, with respect to purchased fingerlings Requirement: Yes. Applicability: All.	a. Prepare a bio-security protocol for receiving purchased fingerlings that includes provisions for identification of fish disease and parasites and potential quarantining procedures. This plan may be part of a more comprehensive fish health management document.	A. Obtain and review the farm's biosecurity protocol for receiving purchased fingerlings.
Footnote	[24] The receiving facility includes private and/or government-run quarantine facility		
3.4.5	Indicator: All trans-national imported fingerlings must be accompanied by documentation required by importing countries (e.g. health certificate) Requirement: Yes. Applicability: All.	a. If fingerlings are purchased from international sources, all required documentation relating to health and bio-security (e.g. health certificates) must be retained and made available to the ASC auditor.	A. Obtain and review all documentation relating to the importation of fingerlings.

PRINCIPLE 4: USE RESOURCES IN AN ENVIRONMENTALLY EFFICIENT AND RESPONSIBLE MANNER		
Criterion 4.1 Traceability of raw materials in feed	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
<p>Instruction to Clients for Indicators 4.1.1 through 4.4.2 - Sourcing of Responsibly Produced Feed</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 4.4.4. To do so, farms must obtain documentary evidence that the feed producers (see note 1) are audited at regular intervals by an independent auditing firm or a conformity assessment body against a recognized standard which substantially incorporate requirements for traceability. Acceptable certification schemes include GlobalGAP or other schemes that have been acknowledged by the ASC (see 4.1.1c below). 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 supply chains. Declarations from the feed producer that are provided to the farm to demonstrate compliance with these indicators must be supported by the audits. Farms must also show that all of their feed producers are duly informed of the requirements of the ASC Sea Bass/Sea Bream Standard relating to sourcing of responsibly produced Sea Bass/Sea Bream feed (see 4.1.1b below).</p> <p>In addition to the above, farms must also show that their feed suppliers comply with the more detailed requirements for traceability and ingredient sourcing that are specified under indicators 4.1.1 through 4.4.2. The ASC Sea Bass/Sea Bream Standard allows farms to use one of two different methods to demonstrate compliance of feed producers:</p> <p>Method #1: Farms may choose to source feed from feed producers who used only those ingredients allowed under the ASC Sea Bass/Sea Bream Standards during the production of a given batch of feed. For example, the farm may request its feed supplier to produce a batch of feed according to farm specifications. Audits of the feed producer will independently verify that manufacturing processes are in compliance with ASC requirements.</p> <p>Method #2: Farms may choose to source feed from feed producers who demonstrate compliance using a "mass-balance" method. In this method, feed producers show that the balance of all ingredients (both amount and type) used during a given feed production period meets ASC requirements. However, mixing of ingredients into the general silos and production lines is allowed during manufacturing. Audits of the feed producer will independently verify that manufacturing processes are in compliance with ASC requirements. The mass balance method can be applied, for example, to integrated feed production companies that handle all steps of feed manufacturing (purchasing of raw materials, processing to finished feed, and sales) under the management of a single legal entity.</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 show evidence that all feeds used are in compliance with requirements.</p>		
4.1.1	<p>Indicator: Evidence of traceability, demonstrated by the feed producer, of all fishmeal and fish oil ingredients^[25]</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 supplier in writing of ASC requirements pertaining to production of Sea Bass/Sea Bream feeds and send them a copy of the ASC Sea Bass/Sea Bream Standard.</p> <p>c. For each feed producer used by the farm, confirm that an audit of the producer was recently done by an audit firm or CAB against an ASC-acknowledged certification scheme. Obtain a copy of the most recent audit report for each feed producer.</p> <p>d. For each feed producer, determine whether the farm will use method #1 or method #2 (see Instructions above) to show compliance of feed producers. Inform the CAB in writing.</p> <p>e. Obtain declaration from feed supplier(s) stating that the company can assure traceability of all fishmeal and fish oil ingredients in the feed.</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 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 audit firm or CAB against an ASC-acknowledged certification scheme, and that audit results demonstrate compliance with requirements.</p> <p>D. Review which method the farm will use and confirm that independent audit results (4.1.1c) show compliance of feed producers.</p> <p>E. Review declaration from each feed supplier to confirm the company assures traceability of all fishmeal and fish oil ingredients in the feed.</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>
Footnote	[25] Traceability should be at a level of detail that permits the feed producer to demonstrate compliance with the requirements 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 FMFO-ingredient.	
Criterion 4.2 Use of wild fish for feed	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):

4.2.1	<p>Indicator: Fishmeal Forage Fish Dependency Ratio (FFDRm) for grow-out (calculated using formulas in Appendix 2 (see standard))</p> <p>Requirement: (a) <i>Dicentrarchus labrax</i> and <i>Sparus aurata</i>: ≤ 1.85</p> <p>(b) <i>Argyrosomus regius</i>: ≤ 2.75, ≤ 2.5 (3 years^[26]), ≤ 2.35 (6 years^[26])</p> <p>(c) <i>Pagrus major</i>^[27]: ≤ 4.5, ≤ 3.5 (3 years^[26]), ≤ 2.5 (6 years^[26])</p> <p>Applicability: All.</p>	<p>Instruction to Clients for Indicator 4.2.1 - Calculation of FFDRm</p> <p>Farms must calculate the Fishmeal Forage Fish Dependency Ratio (FFDRm) according to formula presented in Appendix 2 using data from the most recent complete production cycle (Calendar year). Farms must also show that they have maintained sufficient information in order to make an accurate calculation of FFDRm as outlined below. For first audits, farms may be exempted from compliance with Indicator 4.2.1 for the most recent complete production cycle if the farm can satisfactorily demonstrate to the auditor that:</p> <ul style="list-style-type: none"> - the client understands how to accurately calculate FFDRm; - the client maintains all information needed to accurately calculate FFDRm (i.e. all feed specs for > 6 months) for the current production cycle; and - the client can show how feed used for the current production cycle will ensure that the farm will meet requirements at harvest. 	
		<p>a. Maintain a detailed inventory of the feed used including:</p> <ul style="list-style-type: none"> - Quantities used of each formulation (kg); - Percentage of fishmeal in each formulation used; - Source (fishery) of fishmeal in each formulation used; - Percentage of fishmeal in each formulation derived from trimmings; and - Supporting documentation and signed declaration from feed supplier. 	<p>A. Verify completeness of records and that values are stated in a declaration from the feed manufacturer.</p>
		<p>b. For FFDRm calculation, exclude fishmeal derived from rendering of seafood by-products (e.g. the "trimmings" from a human consumption fishery).</p>	<p>B. Verify that the client excludes from the FFDRm calculation any fishmeal rendered from seafood by-products.</p>
		<p>c. Calculate eFCR using formula in Appendix 2 (see standard).</p>	<p>C. Verify that eFCR calculation was done correctly.</p>
		<p>d. Calculate FFDRm using formulas in Appendix 2(see standard).</p>	<p>D. Verify that FFDRm calculations were done correctly and confirm the value complies with the requirement.</p>
Footnote	[26] After release date of the ASC Seabass, Seabream and Meagre Standard v1.0		
Footnote	[27] Other <i>Pagrus</i> species included in the scope of this Standard shall follow the requirements for <i>Pagrus major</i>		
4.2.2	<p>Indicator: Fish Oil Forage Fish Dependency Ratio (FFDRo) for grow-out (calculated using formulas in Appendix 2 (see standard))</p> <p>Requirement: All species ≤ 3, ≤ 2.95 (3 years^[26]), ≤ 2.9 (6 years^[26])</p> <p>Applicability: All.</p>	<p>a. Maintain a detailed inventory of the feed used as specified in 4.2.1a.</p>	<p>A. Verify completeness of feed records as in 4.2.1A.</p>
		<p>b. For FFDRo exclude fish oil derived from rendering of seafood by-products (e.g. the "trimmings" from a human consumption fishery.)</p>	<p>B. Verify client excludes fish oil rendered from byproducts from the FFDRo calculation.</p>
		<p>c. Calculate FFDRo using formulas in Appendix 2 (see standard) and using the eFCR calculated under 4.2.1c.</p>	<p>C. Verify that FFDRo calculations were done correctly and confirm the value complies with the standard.</p>
Criterion 4.3 Responsible origin of marine raw materials		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
4.3.1	<p>Indicator: Timeframe for at least 90% fishmeal or fish oil used in feed to come from fisheries^[28] certified under an ISEAL member's accredited certification whose primary goal is to promote ecological sustainability</p> <p>Requirement: < 5 years after the date of publication of the Sea Bass/Sea Bream standards (see note above)</p> <p>Applicability: All.</p>	<p>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 Seabass, Seabream, and Meagre Standard. This interim solution will apply until the ASC Feed Standard will be available or until further official and public notice by ASC</p>	
		<p>a. Prepare a policy stating the company's support of efforts to shift feed manufacturers purchases of fishmeal and fish oil to fisheries certified under a scheme that is an ISEAL member and has guidelines that specifically promote responsible environmental management of small pelagic fisheries.</p>	<p>A. Verify that the client's policy supports responsible feed sourcing (e.g. programs at http://www.isealalliance.org/portrait/full%20member).</p>
		<p>b. Prepare a letter stating the farm's intent to source feed containing fishmeal and fish oil originating from fisheries certified under the type of certification scheme noted in 4.3.1a.</p>	<p>B. Obtain a copy of the client's letter of intent.</p>

Footnote	[28] This requirement applies to fishmeal and fish oil from forage fisheries and not to by-products or trimmings used in feed nor to non-fish EPA/DHA-sources (e.g. EPA/DHA produce by algae).		
4.3.2	<p>Indicator: Prior to achieving 4.3.1 the fishmeal or fish oil used in feed must have a FishSource stock health score of 6.0 or higher or show evidence of being engaged in a credible and time bound fisheries improvement project (FIP)</p> <p>Requirement: All stock health scores \geq 6 (see note above)</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 4.3.2 - FishSource Score of Fish Used in Feed</p> <p>To determine FishSource scores of the fish species used as feed ingredients, do the following:</p> <ul style="list-style-type: none"> -go to http://www.fishsource.org/ - type the species into the search function box and choose the accurate fishery -confirm that the search identifies the correct fishery then scroll down or click on the link from the menu on the left reads "Scores" <p>For first audits, farms must have scoring records that cover all feeds purchased during the previous 6-month period.</p> <p>Note: Indicator 4.3.2 applies to fishmeal and oil from forage fisheries, pelagic fisheries, or fisheries where the catch is directly reduced (including krill) and not to by-products or trimmings used in feed.</p>	
		a. Record FishSource score for each species from which fishmeal or fish oil was derived and used as a feed ingredient (all species listed in 4.2.1a).	A. Cross-check against 4.2.1a to confirm that client recorded a score for each species used in feed.
		b. Confirm that each stock health score \geq 6.	B. Cross-check a sample of the farm's scores against the FishSource website to verify that no individual score is < 6.
		c. If the species is not on the website it means that a FishSource assessment is not available. Client can then take one or both of the following actions: <ul style="list-style-type: none"> 1. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment. 2. Contract a qualified independent third party to conduct the assessment using the FishSource methodology and provide the assessment and details on the third party qualifications to the CAB for review. 	C. If the client provides an independent assessment, review the assessment and the qualifications of the independent third party to verify that the assessment was done in accordance with the FishSource methodology.
		-	D. If the species does not have a FishSource score then the fish feed does not comply with the requirement.
4.3.3	<p>Indicator: Feed containing fishmeal and/or fish oil originating from by-products^[29] or trimmings from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species^[30]</p> <p>Requirement: None</p> <p>Applicability: All</p>	a. Compile and maintain, consistent with 4.2.1a and 4.2.2a, a list of the fishery of origin for all fishmeal and fish oil originating from by-products and trimmings.	A. Review list and confirm consistent with 4.2.1a, 4.2.2a
		b. Obtain a declaration from the feed supplier stating that no fishmeal or fish oil originating from IUU catch was used to produce the feed.	B. Verify that the farm obtains declarations from feed suppliers.
		c. Obtain from the feed supplier declaration that the meal or oil did not originate from a species categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species and explaining how they are able to demonstrate this (i.e. through other certification scheme or through their independent audit).	C. Review declaration to confirm compliance. The International Fishmeal and Fish Oil Organization's Global Standard for Responsible Supply and the Marine Stewardship Council standards are two options for demonstrating compliance with Indicator 4.3.4c.
		d. If meal or oil originated from a species listed as "vulnerable" by IUCN, obtain documentary evidence to support the exception as outlined in.	D. Review evidence to support exception (if applicable).
Footnote	[29] 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 does not meet official regulations with regard to fish suitable for human consumption.		
Footnote	[30] International Union for the Conservation of Nature (IUCN) reference at http://www.iucnredlist.org/static/introduction .		

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>	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.	A. Review declaration to confirm compliance.
		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.	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.
Criterion 4.4 Source of non-marine raw materials in feed		Compliance Criteria (Required Client 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 laws^[31]</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Compile and maintain a list of all feed suppliers with contact information. (See also 4.1.1a)	A. Review feed supplier list and cross-check against feed purchases. (See also 4.1.1a)
		b. Obtain from each feed manufacturer a copy of the manufacturer's responsible sourcing policy for feed ingredients showing how the company complies with recognized crop moratoriums and local laws.	B. Review policies from each feed supplier to confirm required sourcing policy is in place.
		c. Confirm that third party audits of feed suppliers (4.1.1c) show evidence that supplier's responsible sourcing policies are implemented.	C. Verify that the scope of third-party audits of feed suppliers includes review of policies and evidence of implementation.
Footnote	[31] 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		
4.4.2	<p>Indicator: Documentation of the use of transgenic^[32] plant raw materials, 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 soya and other plant raw materials in feed and whether it is transgenic.	A. Review feed supplier declaration and ensure declarations from all suppliers are present (see also 4.4.1A).
Footnote	[32] Transgenic: artificially introduced genes from other species in the genome of the plant.		
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 following the date of the publication of the ASC Sea Bass, Sea Bream, and Meagre Standard</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.

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	<p>Applicability: All.</p>	<p>c. If audit >5years after publication of the 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.</p>	<p>C. If audit >5years after publication of the 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.</p>
Criterion 4.5 Waste management/pollution control		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
4.5.1	<p>Indicator: Evidence that non-biological waste (including net pens) from grow-out site is either disposed of properly or recycled.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Provide a description of the most common production waste materials and how the farm ensures these waste materials are properly disposed of. (see also 4.5.1c)</p>	<p>A. During the on-site inspection look for evidence of proper waste disposal. (See also 4.5.1C)</p>
		<p>b. Provide a description of the types of waste materials that are recycled by the farm. (See also 4.5.1d)</p>	<p>B. During the on-site inspection look for evidence of recycling of waste materials as described by client. (See also 4.5.1D)</p>
		<p>c. Inform the CAB of any infractions or fines for improper waste disposal received during the previous 12 months and corrective actions taken..</p>	<p>C. Review infractions and corrective actions.</p>
		<p>d. Maintain records of disposal of waste materials including old nets and cage equipment.</p>	<p>D. Review records to verify waste disposal and/or recycling is consistent with client description and policy.</p>
4.5.2	<p>Indicator: Evidence of appropriate storage and/or disposal of biological waste</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Develop procedure that ensures proper disposal of all biological waste.</p>	<p>A. Verify that the farm has procedure in place for the proper disposal of biological waste.</p>
		<p>b. Maintain records to show how the farm disposes of dead fish and other forms of biological waste.</p>	<p>B. Verify from farm records that disposals follow the farm's procedures.</p>
		<p>-</p>	<p>C. During the on-site inspection, confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.</p>
4.5.3	<p>Indicator: Evidence of appropriate storage and/or disposal of chemical and hydrocarbon wastes</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Ensure that the disposal and storage of chemical and hydrocarbon wastes are done according to local law and Material Safety Data Sheets (MSDS). Farms shall maintain an inventory of all chemicals used or located on site.</p>	<p>A. Verify through farm inspection that disposal is done according to local law and MSDS descriptions. e.g. no disposal of waste at sea or in any watercourse, burning of plastics and other synthetic materials.</p>
4.5.4	<p>Indicator: Spill prevention and response plan for chemicals/hydrocarbons originating from farming operations</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Prepare a prevention and response plan spills of chemical and hydrocarbon waste. The plan shall outline the preventative maintenance of equipment exist and in place for the avoidance of fuel spills from vehicles, winches, cranes, and mechanical equipment on land and water.</p>	<p>A. Verify that the farm has sufficiently documented prevention and response plans for dealing with potential spills of chemical and hydrocarbon waste.</p>
4.5.5	<p>Indicator: For any farm that cleans nets on-land, evidence that net cleaning sites have effluent treatment^[33]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. If nets are cleaned on-land, obtain documentary evidence from each net-cleaning facility that effluent treatment is in place.</p>	<p>A. Review documentary evidence to confirm that each net-cleaning facility has effluent treatment in place.</p>
		<p>b. Obtain evidence that effluent treatment used at the cleaning site is an appropriate technology to capture of copper in effluents.</p>	<p>B. Review documentary evidence to confirm that land-based cleaning sites have appropriate technologies in place to capture copper in effluents and that they function as intended.</p>

Footnote	[33] Treatment must have appropriate technologies in place to capture copper if the farm uses copper-treated nets.											
Criterion 4.6 Energy consumption and greenhouse gas emissions on farms	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):										
4.6.1	<p>Indicator: Presence of an energy use assessment verifying the energy consumption on the farm and representing the production cycle (calendar year), as outlined in Appendix 3</p> <p>Requirement: Within two years of the initial audit (measured in kilojoule/t fish/production cycle)</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 4.6.1 - Energy Use Assessment Indicator 4.6.1 requires that farms must have an assessment to verify energy consumption. The scope of this requirement is restricted to operational energy use for the farm site(s) that is applying for certification. Boundaries for operational energy use should correspond to the sources of Scope 1 and Scope 2 emissions (see Appendix 3). Energy use corresponding to Scope 3 emissions (i.e. the energy used to fabricate materials that are purchased by the farm) is not required. However the ASC encourages companies to integrate energy use assessments across the board in the company.</p> <p>Quantities of energy (fuel and electricity) are converted to kilojoules. Verification is done by internal or external assessment following either the GHG Protocol Corporate Standard or ISO 14064-1 (see Appendix 3 in the standard for more details).</p> <table border="1" data-bbox="638 391 2045 971"> <tr> <td data-bbox="638 391 1304 634">a. Maintain records for energy consumption by source (fuel, electricity) on the farm throughout each production cycle (calendar year).</td> <td data-bbox="1304 391 2045 634">A. Verify that the farm maintains records for energy consumption.</td> </tr> <tr> <td data-bbox="638 634 1304 711">b. Calculate the farm's total energy consumption in kilojoules (kj) during the last production cycle (calendar year).</td> <td data-bbox="1304 634 2045 711">B. Review the farm's calculations for completeness and accuracy.</td> </tr> <tr> <td data-bbox="638 711 1304 808">c. Calculate the total weight of fish in tons (t) produced during the last production cycle (calendar year).</td> <td data-bbox="1304 711 2045 808">C. Confirm that the farm accurately reports total weight of fish harvested per production cycle (calendar year). Cross-check against other farm datasets (e.g. harvest counts, escapes, and mortalities).</td> </tr> <tr> <td data-bbox="638 808 1304 878">d. Using results from 4.6.1b and 4.6.1c, calculate energy consumption on the farm as required, reported as kilojoule/mt fish/production cycle.</td> <td data-bbox="1304 808 2045 878">D. Review the farm's calculations for completeness and accuracy.</td> </tr> <tr> <td data-bbox="638 878 1304 971">e. Ensure that the farm has undergone an energy use assessment that was done in compliance with requirements of Appendix 3(see standard).</td> <td data-bbox="1304 878 2045 971">E. Confirm that the farm has undergone an energy use assessment verifying the farm's energy consumption.</td> </tr> </table>	a. Maintain records for energy consumption by source (fuel, electricity) on the farm throughout each production cycle (calendar year).	A. Verify that the farm maintains records for energy consumption.	b. Calculate the farm's total energy consumption in kilojoules (kj) during the last production cycle (calendar year).	B. Review the farm's calculations for completeness and accuracy.	c. Calculate the total weight of fish in tons (t) produced during the last production cycle (calendar year).	C. Confirm that the farm accurately reports total weight of fish harvested per production cycle (calendar year). Cross-check against other farm datasets (e.g. harvest counts, escapes, and mortalities).	d. Using results from 4.6.1b and 4.6.1c, calculate energy consumption on the farm as required, reported as kilojoule/mt fish/production cycle.	D. Review the farm's calculations for completeness and accuracy.	e. Ensure that the farm has undergone an energy use assessment that was done in compliance with requirements of Appendix 3(see standard).	E. Confirm that the farm has undergone an energy use assessment verifying the farm's energy consumption.
a. Maintain records for energy consumption by source (fuel, electricity) on the farm throughout each production cycle (calendar year).	A. Verify that the farm maintains records for energy consumption.											
b. Calculate the farm's total energy consumption in kilojoules (kj) during the last production cycle (calendar year).	B. Review the farm's calculations for completeness and accuracy.											
c. Calculate the total weight of fish in tons (t) produced during the last production cycle (calendar year).	C. Confirm that the farm accurately reports total weight of fish harvested per production cycle (calendar year). Cross-check against other farm datasets (e.g. harvest counts, escapes, and mortalities).											
d. Using results from 4.6.1b and 4.6.1c, calculate energy consumption on the farm as required, reported as kilojoule/mt fish/production cycle.	D. Review the farm's calculations for completeness and accuracy.											
e. Ensure that the farm has undergone an energy use assessment that was done in compliance with requirements of Appendix 3(see standard).	E. Confirm that the farm has undergone an energy use assessment verifying the farm's energy consumption.											
4.6.2	<p>Indicator: Records of greenhouse gas (GHG^[34]) emissions^[35] on farm and evidence of an annual GHG assessment, as outlined in Appendix 3(see standard)</p> <p>Requirement: Yes, within two years of the initial audit</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 4.6.2 - Annual GHG Assessment Indicator 4.6.2 requires that farms must have an annual Greenhouse Gas (GHG) assessment. Detailed instructions are presented in Appendix 3 and references therein. The scope of this requirement is restricted to operational boundaries for the farm site(s) that is applying for certification. However the ASC encourages companies to integrate GHG accounting practices across the board in the company. Verification may be done by internal or external assessment following either the GHG Protocol Corporate Standard or ISO 14064-1 (see Appendix 3 for more details).</p> <table border="1" data-bbox="638 1125 2045 1469"> <tr> <td data-bbox="638 1125 1304 1333">a. Maintain records of greenhouse gas emissions on the farm.</td> <td data-bbox="1304 1125 2045 1333">A. Verify that the farm maintains records of GHG emissions.</td> </tr> <tr> <td data-bbox="638 1333 1304 1403">b. At least annually, calculate all scope 1 and scope 2 GHG emissions in compliance with Appendix 3 (see standard).</td> <td data-bbox="1304 1333 2045 1403">B. Confirm that calculations are done annually and in compliance with Appendix 3 (see standard).</td> </tr> <tr> <td data-bbox="638 1403 1304 1469">c. For GHG calculations, select the emission factors which are best suited to the farm's operation. Document the source of those emissions factors.</td> <td data-bbox="1304 1403 2045 1469">C. Verify that the farm records all emissions factors used and their sources.</td> </tr> </table>	a. Maintain records of greenhouse gas emissions on the farm.	A. Verify that the farm maintains records of GHG emissions.	b. At least annually, calculate all scope 1 and scope 2 GHG emissions in compliance with Appendix 3 (see standard).	B. Confirm that calculations are done annually and in compliance with Appendix 3 (see standard).	c. For GHG calculations, select the emission factors which are best suited to the farm's operation. Document the source of those emissions factors.	C. Verify that the farm records all emissions factors used and their sources.				
a. Maintain records of greenhouse gas emissions on the farm.	A. Verify that the farm maintains records of GHG emissions.											
b. At least annually, calculate all scope 1 and scope 2 GHG emissions in compliance with Appendix 3 (see standard).	B. Confirm that calculations are done annually and in compliance with Appendix 3 (see standard).											
c. For GHG calculations, select the emission factors which are best suited to the farm's operation. Document the source of those emissions factors.	C. Verify that the farm records all emissions factors used and their sources.											

		d. For GHG calculations involving conversion of non-CO ₂ gases to CO ₂ equivalents, specify the Global Warming Potential (GWP) used and its source.	D. Verify that the farm records all GWPs used and their sources.
Footnote	[34 For the purposes of this Standard, GHGs are defined as the six gases listed in the Kyoto Protocol: carbon dioxide (CO ₂); methane (CH ₄); nitrous oxide (N ₂ O); hydrofluorocarbons (HFCs); perfluorocarbons (PFCs); and sulphur hexafluoride (SF ₆).		
Footnote	[35] GHG emissions must be recorded using recognized methods, standards and records as outlined in Appendix 3 (see standard).		
4.6.3	<p>Indicator: Documentation of GHG emissions of the feed^[36] used during the previous production cycle reported (calendar year) to ASC, as outlined in Appendix 3 subsection B</p> <p>Requirement: Yes, within three years of the initial audit</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 4.6.3 - GHG Emissions of Feed</p> <p>Indicator 4.6.3 requires that farms document the greenhouse gas emissions (GHG) associated with any feeds used during fish production. Farms will need to obtain this information from their feed supplier(s) and thereafter maintain a continuous record of Feed GHG emissions throughout all production cycles (calendar year). This requirement takes effect on June 13, 2015 and it will apply across the entire previous production cycle. Therefore the ASC advises farms to inform their feed supplier(s) about this requirement long before the effective date. Specifically, the ASC recommends that...</p> <ul style="list-style-type: none"> - the farm provides its feed suppliers with detailed information about the requirements including a copy of the methodology outlined in Appendix 3 (see standard); - the farm explain what analyses must be done by feed suppliers; and - the farm explains to feed suppliers what documentary evidence will be required by the farm to demonstrate compliance. <p>Note1: Farms may calculate GHG emissions of feed using the average raw material composition used to produce the fish (by weight) rather than using feed composition on a lot-by-lot basis.</p> <p>Note2: Feed supplier's calculations must include Scope 1, Scope 2, and Scope 3 GHG emissions as specified in Appendix 3, subsection 2.</p>	
		a. Obtain from feed supplier(s) a declaration detailing the GHG emissions of the feed (per kg feed).	A. Verify declaration from feed supplier(s) and confirm client has declarations from all feed suppliers.
		b. Multiply the GHG emissions per unit feed by the total amount of feed from each supplier used in the most recent completed production cycle (calendar year).	B. Verify calculations cross-checking with feed purchase and use records.
		c. If client has more than one feed supplier, calculate the total sum of emissions from feed by summing the GHG emissions of feed from each supplier.	C. Verify calculations.
		d. Submit GHG emissions of feed to ASC as per Appendix 3 (see standard) for each production cycle (calendar year).	D. Confirm that the farm has submitted GHG calculations for feed to ASC, Appendix 3 (see standard).
Footnote	[36] GHG emissions from feed can be given based on the average raw material composition used to produce the fish (by weight) and not as documentation linked to each single product used during the production cycle (calendar year). Feed manufacturer is responsible for calculating GHG emissions per unit feed. Farm site then shall use that information to calculate GHG emissions for the volume of feed they used in the prior production cycle (calendar year).		
4.6.4	<p>Indicator: Evidence of a documented strategy to reduce GHG per unit of production (measured in kilojoule/t fish produced)</p> <p>Requirement: Yes, within three years of the initial audit</p> <p>Applicability: All</p>	a. Prepare a strategy to reduce GHG per unit of production based on energy use and GHG assessments completed during the certification period.	A. Verify that the client's has a strategy to reduce GHG based on the results of the energy use and GHG assessments completed during the certification period.
PRINCIPLE 5: MANAGE DISEASE AND PARASITES IN AN ENVIRONMENTALLY RESPONSIBLE MANNER			

Criterion 5.1 Fish Health Management		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
5.1.1	Indicator: Evidence of a veterinary approved Fish Health Management Plan (FHMP) ^[37] Requirement: Yes. Applicability: All.	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.
Footnote	[37] A FHMP contains at a minimum the following elements: 1) listing (potential)diseases/parasites occurring in the region and (potential) means for these diseases/parasites to enter the farm, 2) identification of actions to reduce the risk of diseases entering the farm as well as spreading within the farm once established, 3) development of SOP's and training staff to implement the identified actions under 2), 4) monitoring and evaluation of the FHMP on a yearly basis, or after a disease/parasite event.		
5.1.2	Indicator: Farm maintains a fish health management record keeping system Requirement: Yes Applicability: All.	a. Maintain a record keeping system to monitor all diseases /parasites and treatments on the farm.	A. Verify farm maintains records for disease monitoring and identification, treatments applied (theraputants used, fish treated, dates, etc.), vaccinations, and orrective actions if applicable.
		-	B. Review records to confirm that the farm follows their fish health manegment plan when monitoring and responding to disease and/or parasites.
Criterion 5.2 Chemicals and treatments		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
5.2.1	Indicator: Use of therapeutic treatments that are listed as critically important for human medicine by the World Health Organization ^{[38][39]} Requirement: Not permitted. Applicability: All.	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.	B. Confirm that the farm maintains a list of banned therapeutants.
		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 (calendar year), 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.
Footnote	[38] WHO Critical Microbials for Human Medicine, 5th edition, 2016. http://www.who.int/foodsafety/areas_work/antimicrobial-resistance/cia/en/		
Footnote	[39] Meagre producers may need an adjustment period to find a replacement antibiotic to treat for Vibrio infections at grow-out sites. Currently the only option is the EU veterinary approved antimicrobial flumequine. For this reason, meagre producers will have a 2 year allowance period from the publish date of the ASC Seabass, Seabream and Meagre Standard v1.0 for the use of flumequine to allow time to find a suitable alternative.		
	Indicator: Prophylactic use of chemical antimicrobial treatments.	a. Maintain records for all purchases of chemical antimicrobials (invoices, prescriptions) for the current and prior production cycles (calendar year).	A. Review purchase records and calculate total amount of chemical antimicrobials procured by client. Inspect storage areas to verify quantities on-site.

5.2.2	<p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	<p>b. Maintain a detailed log of all medication-related events (see also 5.2.1a and 5.2.3).</p>	<p>B. Review log of medication events to verify that the quantity of chemical antimicrobials applied by the client does not suggest prophylactic use.</p>
		<p>c. Calculate the total amount (g) and treatments (#) of chemical antimicrobials used during the current and preceding production cycles (calendar year).</p>	<p>C. Verify that the total amount of chemical antimicrobials used in the current production cycle (calendar year) is equal to the total amount prescribed.</p>
5.2.3	<p>Indicator: The farm shall document^[40] all chemicals^[41] and therapeutants used during the most recent production cycle (calendar year)</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Maintain comprehensive documentation on all chemicals and therapeutants used on the farm that includes the amounts used (including grams per kg of fish produced), the dates used, the retention time, which group of fish were treated and against which diseases, proof of proper dosing, and all disease and pathogens detected on the site.</p>	<p>A. Verify farm maintains records for chemical and therapeutant use as specified by the standard.</p>
Footnote	<p>[40] Appropriate documentation includes at a minimum: 1) determination of disease/parasite against which is treated, 2) name of the applied product and concentration of active component, 3) proof of proper dosing and actual amount of substance and active component applied, 4) date of use, 4) minimum withdrawal period required as referenced by manufacturer, 5) identification of treated fish/cages, which group of fish were treated and against which diseases.</p>		
Footnote	<p>[41] Chemicals used for the treatment of fish</p>		
5.2.4	<p>Indicator: Number of anti-parasiticide treatments^[42] allowed over the most recent production cycle (calendar year), including the hatchery phase of that stock</p> <p>Requirement: 1.</p> <p>Applicability: All.</p>	<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. Other than freshwater, formaldehyde and hydrogen peroxide only one prescribed anti-parasiticide treatment is allowed.</p>	<p>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 only one prescribed anti-parasiticide treatment other than freshwater, formaldehyde and hydrogen peroxide is used.</p>
		<p>b. Make available records relating to all chemical, veterinary and therapeutant suppliers. Include invoices, laboratory testing results as well as prescriptions and treatment records.</p>	<p>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.</p>
Footnote	<p>[42] Not including freshwater, formaldehyde or hydrogen peroxide treatments. In countries where formaldehyde is banned, its use would not be permitted under Principle 1 as obeying all laws takes precedence.</p>		
5.2.5	<p>Indicator: Number of treatments^[43] of antibiotics over the most recent production cycle (calendar year), including the hatchery phase of that stock</p> <p>Requirement: ≤ 3</p> <p>Applicability: All</p>	<p>Note: for the purposes of Indicator 5.2.5, "treatment" means a single course of medication given to address a specific disease issue and that may last a number of days and be applied in one or more pens (or cages).</p> <p>a. Maintain records of all treatments of antibiotics (see 5.2.1a). For first audits, farm records must cover the current and immediately prior production cycles (calendar year) in a verifiable statement.</p>	<p>A. Review documents to confirm that the client maintains a record of all treatments of antibiotics. Cross check against records of on-farm chemical & therapeutant use (5.2.1a), medication events (5.2.3a), and prescription records.</p>
		<p>b. Calculate the total number of treatments of antibiotics over the most recent production cycle (calendar year) and supply a verifiable statement of this calculation.</p>	<p>B. Confirm that the client used ≤ 3 treatments of antibiotics over the most recent production cycle (calendar year), including the hatchery phase of that stock.</p>
Footnote	<p>[43] A treatment is a single course medication given to address a specific disease issue and that may last a number of days.</p>		
Criterion 5.3 Survival of farmed fish		Compliance Criteria (Required Client Actions):	
		Auditor Evaluation (Required CAB Actions):	
5.3.1	<p>Indicator: All recovered mortalities are removed and disposed of in a responsible manner</p> <p>Requirement: Yes</p>	<p>a. Maintain records of mortality removals to show that dead fish are removed regularly and disposed of in a responsible manner.</p>	<p>A. Review records of mortality removals to confirm completeness and accuracy.</p>
		<p>b. Collect documentation to show that disposal methods are in line with practices recommended by fish health managers and/or relevant legal authorities.</p>	<p>B. Review client submission. Inspect the farm's system for mortality removals and disposals during the on site audit.</p>

	Applicability: All	c. For any exceptional mortality event where dead fish were not collected for post-mortem analysis, keep a written justification.	C. Review the farm's justification for any exceptional mortality event where dead fish were not collected for post-mortem analysis (this situation should be a rare occurrence).
5.3.2	Indicator: Classification of mortalities Requirement: All recovered mortalities are recorded and classified by cause of death Applicability: All	a. Maintain detailed records for all mortalities and post-mortem analyses including: - date of mortality and date of post-mortem analysis; - total number of mortalities and number receiving post-mortem analysis; - name of the person or lab conducting the post-mortem analyses; - qualifications of the individual (e.g. veterinarian, fish health manager); - cause of mortality (specify disease or pathogen) where known; and - classification as 'unexplained' when cause of mortality is unknown.	A. Review records of mortalities to verify completeness and to confirm that post-mortem analyses were done by qualified individuals or labs.
		b. For each mortality event, ensure that post-mortem analyses are done on a statistically relevant number of fish and keep a record of the results.	B. Review records to confirm the farm had post-mortem analysis done for each mortality event and that a statistically relevant number of fish were analyzed from each mortality event.
		c. If on-site diagnosis is inconclusive and disease is suspected or results are inconclusive over a 1-2 week period, ensure that fish are sent to an off-site laboratory for diagnosis and keep a record of the results.	C. Review records to confirm that any inconclusive on-site diagnoses were sent to an off-site laboratory for further testing.
5.3.3	Indicator: When unexplained mortalities exceed $\geq 0.5\%$ / per day, samples are submitted for analysis by a veterinarian or designated fish health expert Requirement: Yes Applicability: All.	a. Maintain records of unexplained mortalities and responses triggered when unexplained mortalities exceeds 0.5% per day.	A. Verify farm maintains records for unexplained mortalities and submits samples for analysis when it exceed 0.5% per day.
5.3.4		Note: Farms have the option to integrate their farm-specific mortality reduction program into the farm's fish health management plan (5.1.1).	
	Indicator: Evidence of a farm specific mortalities reduction program that includes defined annual targets for reductions in mortalities and reductions in unexplained mortalities. Requirement: Yes. Applicability: All.	a. Use records in 5.3.2 to assemble a time-series dataset on farm-specific mortalities rates and unexplained mortality rates.	A. Confirm that the farm used mortalities records to assemble a detailed dataset on mortality rates which covers the required timeframe.
		b. Use the data in 5.3.2 and advice from the veterinarian and/or fish health manager to develop a mortalities-reduction program that defines annual targets for reductions in total mortality and unexplained mortality.	B. Review program to confirm that targets for mortality reduction are reasonable and based on historical data.
		c. Ensure that farm management communicates with the veterinarian, fish health manager, and staff about annual targets and planned actions to meet targets.	C. Interview workers to confirm their understanding of mortalities recording, classification, and annual targets for reduction.
PRINCIPLE 6: DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER			
6.1 Freedom of association and collective bargaining^[44]		Compliance Criteria	
Footnote	[44] Bargain collectively: A voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.		
6.1.1	Indicator: Evidence that workers have access to trade unions (if they exist) and union representative(s) chosen by themselves without managerial interference.	a. Workers have the freedom to join any trade union, 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.	
		b. Union representatives (or worker representatives) are chosen by workers without managerial interference. ILO specifically prohibits "acts which are designated to promote the establishment of worker organizations or to support worker organizations under the control of employers or employers' organizations."	

	<p>Requirement: Yes</p> <p>Applicability: All</p>	<p>c. Trade union representatives (or worker representatives) have access to their members in the workplace at reasonable times on the premises.</p> <p>d. Be advised that workers and union representatives (if they exist) will be interviewed to confirm the above.</p>
6.1.2	<p>Indicator: Evidence that workers are free to form organizations, including unions, to advocate for and protect their rights.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Employment contract explicitly states the worker's right of freedom of association.</p> <p>b. Employer communicates that workers are free to form organizations to advocate for and protect work rights (e.g. farm policies on Freedom of Association).</p> <p>c. Be advised that workers will be interviewed to confirm the above.</p>
6.1.3	<p>Indicator: Evidence that workers are free and able to bargain collectively for their rights.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Local trade union, or where none exists a reputable civil-society organization, confirms no outstanding cases against the farm site management for violations of employees' freedom of association and collective bargaining rights.</p> <p>b. Employer has explicitly communicated a commitment to ensure the collective bargaining rights of all workers.</p> <p>c. There is documentary evidence that workers are free and able to bargain collectively (e.g. collective bargaining agreements, meeting minutes, or complaint resolutions).</p>
Criterion 6.2 Child labor		Compliance Criteria
6.2.1	<p>Indicator: Number of incidences of child^[45] labor^[46]</p> <p>Requirement: None</p> <p>Applicability: All except as noted 6.2.1a</p>	<p>a. In most countries, the law states that minimum age for employment is 15 years. There are two possible exceptions: - in developing countries where the legal minimum age may be set to 14 years or - in countries where the legal minimum age is set higher than 15 years, in which case the legal minimum age of the country is followed. If the farm operates in a country where the legal minimum ages is not 15, then the employer shall maintain documentation attesting to this fact.</p> <p>b. Minimum age of permanent workers is 15 or older (except in countries as noted above).</p> <p>c. Employer maintains age records for employees that are sufficient to demonstrate compliance.</p>
Footnote	[45] 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.	
Footnote	[46] Child Labor: Any work by a child younger than the age specified in the definition of a child.	
6.2.2	<p>Indicator: Percentage of young workers^[47] that are protected</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 hazards and do not perform hazardous work. Work on floating cages in poor weather conditions shall be considered hazardous.</p> <p>f. Be advised that the site will be inspected and young workers will be interviewed to confirm compliance.</p>
Footnote	[47] Young Worker: Any worker between the age of a child, as defined above, and under the age of 18.	
Criterion 6.3 Forced, bonded or compulsory labor		Compliance Criteria

6.3.1	Indicator: Number of incidences of forced ^[48] , bonded ^[49] or compulsory labor Requirement: None Applicability: All	a. Contracts are clearly stated and understood by employees. Contracts do not lead to workers being indebted (i.e. no 'pay to work' schemes through labor contractors or training credit programs).
		b. Employees are free to leave workplace and manage their own time.
		c. Employer does not withhold employee's original identity documents.
		d. Employer does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer.
		e. Employees are not to be obligated to stay in job to repay debt.
		f. Maintain payroll records and be advised that workers will be interviewed to confirm the above.
Footnote	[48] 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).	
Footnote	[49] Bonded labor: When a person is forced by the employer or creditor to work to repay a financial debt to the crediting agency.	
Criterion 6.4 Discrimination ^[50]		Compliance Criteria
Footnote	[50] Discrimination: Any distinction, exclusion or preference that has the effect of nullifying or impairing equality of opportunity or treatment. Not every 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.	
6.4.1	Indicator: Evidence of comprehensive ^[51] and proactive anti-discrimination policies, procedures and practices Requirement: Yes Applicability: All	a. Employer has written anti-discrimination policy in place, stating that 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.
		b. Employer has clear and transparent company procedures that outline how to raise, file, and respond to discrimination complaints.
		c. Employer respects the principle of equal pay for equal work and equal access to job opportunities, promotions and raises.
		d. All managers and supervisors receive training on diversity and non-discrimination. All personnel receive non-discrimination training. Internal or external training acceptable if proven effective.
Footnote	[51] Employers shall have written anti-discrimination policies stating that 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.	
6.4.2	Indicator: Number of incidences of discrimination Requirement: None Applicability: All	a. Employer maintains a record of all discrimination complaints. These records do not show evidence for discrimination.
		b. Be advised that worker 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.
Criterion 6.5 Work environment health and safety		Compliance Criteria
6.5.1	Indicator: Percentage of workers trained in health and safety practices, procedures ^[52] and policies on a yearly basis Requirement: 100% Applicability: All	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.
		b. Employees know and understand emergency response procedures.
		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.
Footnote	[52] Health and safety training shall include emergency response procedures and practices.	

6.5.2	Indicator: Evidence that workers use Personal Protective Equipment (PPE) effectively Requirement: Yes Applicability: All	a. Employer maintains a list of all health and safety hazards (e.g. chemicals).
		b. Employer provides workers with PPE that is appropriate to known health and safety hazards.
		c. Employees receive annual training in the proper use of PPE (see 6.5.1c). For workers who participated in the initial training(s) previously an annual refreshment training may suffice, unless new PPE has been put to use.
		d. Be advised that workers will be interviewed to confirm the above.
6.5.3	Indicator: Presence of a health and safety risk assessment and evidence of preventive actions taken Requirement: Yes Applicability: All	a. Employer makes regular assessments of hazards and risks in the workplace. Risk assessments are reviewed and updated at least annually (see also 6.5.1a).
		b. Employees are trained in how to identify and prevent known hazards and risks (see also 6.5.1c).
		c. Health and safety procedures are adapted based on results from risk assessments (above) and changes are implemented to help prevent accidents.
6.5.4	Indicator: Evidence that all health- and safety-related accidents and violations are recorded and corrective actions are taken when necessary Requirement: Yes Applicability: All	a. Employer records all health- and safety-related accidents.
		b. Employer maintains complete documentation for all occupational health and safety violations and investigations.
		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.
		d. Employees working in departments where accidents have occurred can explain what analysis has been done and what steps were taken or improvements made.
6.5.5	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 Requirement: Yes Applicability: All	a. Employer maintains documentation to confirm that all personnel are provided sufficient insurance to cover costs related to occupational accidents or injuries (if not covered under national law). Equal insurance coverage must include temporary, migrant or foreign workers. Written contract of employer responsibility to cover accident costs is acceptable evidence in place of insurance.
6.5.6	Indicator: Evidence that all diving operations are conducted in a manner that protects the health and safety of divers Requirement: Yes Applicability: All	<p>Note: If the farm outsources its diving operations to an independent company, the farm shall ensure that auditors have access to specified information sufficient to demonstrate compliance with Indicator 6.5.6. It is the farm's responsibility to obtain copies of relevant documentation (e.g. certificates) from the dive company.</p>
		a. Employer keeps records of farm diving operations and a list of all personnel involved. In case an external service provider was hired, a statement that provider conformed to all relevant criteria must be made available to the auditor by this provider. All diving operations are logged using diving computers and records are kept electronically.
		b. Employer ensures that a safety diver or a diving buddy is present during all dives.
		c. Employer maintains evidence of diver certification (e.g. copies of certificates) for each person involved in diving operations. Divers shall be certified through an accredited national or international organization for diver certification. Divers shall undergo periodical medical exams, which will include monitoring of all tissues affected by continuous diving (i.e. bones, cartilages).
Criterion 6.6 Wages		Compliance Criteria

6.6.1	<p>Indicator: The percentage of workers whose basic^[53] wage (before overtime and bonuses) is below the minimum wage^[54]</p> <p>Requirement: 0 (None)</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.</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) and be advised that workers will be interviewed to confirm the above.</p>
Footnote	[53] Basic wage: The wages paid for a standard working week (no more than 48 hours).	
Footnote	[54] If there is no legal minimum wage in a country, basic wages must meet the industry-standard minimum wage.	
6.6.2	<p>Indicator: Evidence that the employer is working toward the payment of basic needs wage^[55]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Proof of employer engagement with workers and their representative organizations, and the use of cost of living assessments from credible sources to assess basic needs wages. Includes review of any national basic needs wage recommendations from credible sources such as national universities or government.</p> <p>b. Employer has calculated the basic needs wage for farm workers and has compared it to the basic (i.e. current) wage for their farm workers.</p> <p>c. Employer demonstrates how they have taken steps toward paying a basic needs wage to their workers.</p>
Footnote	[55] 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.	
6.6.3	<p>Indicator: Evidence of transparency in wage-setting and rendering^[56]</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 stated and understood by 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. Be advised that workers will be interviewed to confirm the above.</p>
Footnote	[56] Payments shall be rendered to workers in a convenient manner.	
Criterion 6.7 Contracts (labor) including subcontracting		Compliance Criteria
6.7.1	<p>Indicator: Percentage of workers who have contracts^[57]</p> <p>Requirement: 100%</p> <p>Applicability: All</p>	<p>a. 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>
Footnote	[57] 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.	
	<p>Indicator: Evidence of a policy to ensure social compliance of its suppliers and contractors</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 practices and policies.</p>

6.7.2	<p>Requirement: Yes</p> <p>Applicability: All</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 6.7.2.</p>
Criterion 6.8 Conflict resolution		Compliance Criteria
6.8.1	<p>Indicator: Evidence of worker access to effective, fair and confidential grievance procedures</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Employer has a clear labor conflict resolution policy for the presentation, treatment, and resolution of worker grievances in a confidential manner.</p> <p>b. Workers are familiar with the company's labor conflict policies and procedures. There is evidence that workers have fair access.</p> <p>c. Maintain documentary evidence (e.g. complaint or grievance filings, minutes from review meetings) and be advised that workers will be interviewed to confirm the above.</p>
6.8.2	<p>Indicator: Percentage of grievances handled that are addressed^[58] within a 90-day timeframe</p> <p>Requirement: 100%</p> <p>Applicability: All</p>	<p>a. Employer maintains a record of all grievances, complaints and labor conflicts that are raised.</p> <p>b. Employer keeps a record of follow-up (i.e. corrective actions) and timeframe in which grievances are addressed.</p> <p>c. Maintain documentary evidence and be advised that workers will be interviewed to confirm that grievances are addressed within a 90-day timeframe.</p>
Footnote	[58] Addressed: Acknowledged and received, moving through the company's process for grievances, corrective action taken when necessary.	
Criterion 6.9 Disciplinary practices		Compliance criteria
6.9.1	<p>Indicator: Incidences of excessive or abusive disciplinary actions</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. 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 corporeal punishment, mental abuse, physical coercion, or verbal abuse will be investigated by auditors.</p> <p>c. Be advised that workers will be interviewed to confirm there is no evidence for excessive or abusive disciplinary actions.</p>
6.9.2	<p>Indicator: Evidence of a functioning disciplinary action policy whose aim is to improve the worker^[59]</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.</p> <p>b. Maintain documentary evidence (e.g. worker evaluation reports) and be advised that workers will be interviewed to confirm that the disciplinary action policy is fair and effective.</p>
Footnote	[59] 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.	
Criterion 6.10 Working hours and overtime		Compliance criteria
6.10.1	<p>Indicator: Incidences, violations or abuse of working hours^[60] and overtime laws</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>Note: Working hours, night work and rest periods for workers in agriculture should be in accordance with national laws and regulations or collective agreements (e.g. The Safety and Health in Agriculture Convention, 2001). Additional information can be found on the website of the International Labour Organization (www.ilo.org).</p> <p>a. Employer has 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. Records (e.g. time sheets and payroll) 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>

		d. Be advised that workers will be interviewed to confirm there is no abuse of working hours and overtime laws.
Footnote	[60] 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.	
6.10.2	<p>Indicator: Overtime is limited, voluntary, ^[61] paid at a premium rates and restricted to exceptional circumstances</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Payment records (e.g. payslips) 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. Be advised that workers will be interviewed to confirm that all overtime is voluntary except where there is a collective bargaining agreement which specifically allows for compulsory overtime.</p>
Footnote	[61] Compulsory overtime is permitted if previously agreed to under a collective bargaining agreement.	
Criterion 6.11 Living conditions for employees accommodated on the farm		Compliance Criteria (Required Client Actions):
6.11.1	<p>Indicator: Farm employees accommodated on the farm 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 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.</p>
PRINCIPLE 7: BE A GOOD NEIGHBOR AND CONSCIENTIOUS COASTAL CITIZEN		
Criterion 7.1 Community engagement and effective conflict resolution		Compliance Criteria (Required Client Actions):
7.1.1	<p>Indicator: Evidence of regular and meaningful^[62] consultation and engagement with community representatives and organizations</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. The farm engages in consultations with the local community at least twice every year (bi-annually). Note: farms with less than 6 employees consultations once every year is sufficient. This may include local authorities and/or elected community representatives.</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 elected representatives from the local community who were asked to contribute to the agenda.</p> <p>d. Maintain records and documentary evidence (e.g. meeting agenda, minutes, report) to demonstrate that consultations comply with the above.</p> <p>e. Be advised that representatives from the local community and organizations may be interviewed to confirm the above.</p>
Footnote	[62] Regular and meaningful: meetings shall be held at least bi-annually with elected representatives of affected communities. The agenda for the meetings should in part be set by the community representatives. Participatory Social Impact Assessment methods may be one option to consider here.	
		a. Farm policy provides a mechanism for presentation, treatment and resolution of grievances (i.e. complaints) lodged by stakeholders, community members, and organizations.

7.1.2	<p>Indicator: Presence and evidence of an effective^[63] 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>	b. The farm follows its policy for handling stakeholder grievances as evidenced by farm documentation (e.g. follow-up communications with stakeholders, reports to stakeholder describing corrective actions).
		c. The farm's mechanism for handling grievances is effective based on resolution of stakeholder complaints and community concerns (e.g. follow-up correspondence from stakeholders).
		d. Be advised that representatives from the local community, including complainants where applicable, may be interviewed to confirm the above.

Footnote [63] Effective: in order to demonstrate that the mechanism is effective, evidence of resolutions of complaints can be given.

7.1.3	<p>Indicator: For new farms^[64], evidence of engagement and consultation with surrounding communities about potential social impacts from the farm.</p> <p>Requirement: Yes.</p> <p>Applicability: All new farms (see note).</p>	a. Provide evidence to show whether or not the farm fits the definition of a 'new farm' as used here. If yes, proceed to 7.1.3b. If not, then Indicator 7.1.3 does not apply to the farm.
		b. Provide results of a participatory Social Impact Assessment (p-SIA) or equivalent methodology as evidence of the farm's engagement and consultation with surrounding communities about potential social impacts from the farm.
		c. Evidence provided in 7.1.3b should include minutes from community meetings and a log of communications with stakeholders. Consultations should address economic impacts, natural resource access and use, human health and safety issues, and changes to physical infrastructure and cultural issues, with a particular focus on impacts to indigenous people, where applicable.

Footnote [64] A 'new farm' is defined as an aquaculture operation where construction was completed after the publication date of the ASC Seabass, Seabream, and Meagre Standard or a farm that underwent a significant expansion after said publication date.

A farm seeking certification must have documentation from all of its fingerling suppliers to demonstrate compliance with the following requirements.

SECTION 8: REQUIREMENTS FOR FINGERLING AND EGG SUPPLIERS

		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
8.1	<p>Indicator: Presence of documents issued by pertinent authorities proving compliance with local and national authorities on land and water use, effluent regulations and use of treatments.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Obtain copies of supplier's business permit and land title deed.	A. Verify that farm obtains copies of business permits and land title deed from each supplier (if applicable).
		b. Obtain records from suppliers showing discharge permit requirements as required.	B. Verify that farm obtains records from suppliers to show compliance with discharge permit requirements.
		c. Obtain records from suppliers showing treatments used on fingerlings and eggs.	C. Verify that the farm obtains treatment records from its suppliers.
		d. Maintain on-site copies of laws governing water use, land use, effluent regulations and chemical treatments for animals.	D. Verify that farm obtains records from suppliers to show compliance with water extraction permit requirements, if applicable.
8.2	<p>Indicator: New introductions of exotic species from the date of publication of the Sea Bass/Sea Bream Standard, unless the hatchery/fingerling facility is a closed production system^[65].</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>Note: For the purposes of Indicator 8.2, a species is not considered exotic if it can be shown that the species is native to the area of farm operation or the species was established in the area of the farm prior to publication of the ASC Sea Bass/Sea Bream Standard. Also see Indicator 2.3.1.</p>	
		a. Obtain written evidence showing whether or not the fingerling and egg suppliers use closed production systems. If yes, then Indicator 8.2 does not apply.	A. Verify that the farm has evidence that their suppliers use only closed production systems. Otherwise, proceed to 8.2B.
		b. Obtain written evidence showing that the fingerling and egg suppliers do not produce an exotic species. If they do not, then Indicator 8.2 does not apply.	B. Verify that the farm has evidence that their suppliers do not produce an exotic species. If suppliers do produce exotic species, proceed to 8.2C.
		c. If the supplier produces an exotic species, obtain written evidence that the species was widely commercially produced in the area before publication of the ASC Sea Bass/Sea Bream Standard.	C. Verify that the farm has evidence showing that the exotic species in 8.2c was widely commercially produced in the area before publication of the ASC Sea Bass/Sea Bream Standard.

Footnote [65] A closed production system is defined as a facility with recirculating water that is separated from the wild aquatic medium by effective physical barriers that are in place and well maintained to ensure no escapes of reared specimens or biological material that might survive and subsequently reproduce.

8.3	<p>Indicator: Allowance for siting in National Protected Areas.</p> <p>Requirement: None.</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 8.3 - Exceptions to Requirements that Suppliers (fingerlings) are not Sited in National Protected Areas. For the purposes of implementing Indicator 8.3, the ASC Sea Bass/Sea Bream Standard defines a protected area as “a clearly defined geographical space, recognized, dedicated and managed through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values.” The following exceptions shall be made for Indicator 8.3:</p> <p>Exception #1: An exception is made for protected areas that are classified by IUCN, or the International Union for Conservation of Nature, as Category V or VI. These are areas preserved primarily for their landscapes, or areas that include sustainable resource management.</p> <p>Exception #2: An exception is also made for farms located in protected areas that are designated as such after the farm already exists in that location. In these situations, the farm must demonstrate that its operation is compatible with the objectives of the newly protected area, and that it is in compliance with any relevant conditions placed on the farm as a result of the designation.</p> <p>Where a supplier is sited in a protected areas that does not have formal national recognition (e.g. within a regionally-designated protected area), the farm producer should provide the CAB with a rationale showing how the supplier’s operation is compatible with the objectives of that protected area (as in Exception #2 above).</p> <p>Note: If a supplier of fingerlings or eggs has previously undertaken an independent assessment of biodiversity impact as part of the regulatory permitting process, the farm may use such documents as evidence to demonstrate the supplier’s compliance with Indicator 8.3.</p>	
		a. Obtain from suppliers of fingerlings and eggs a map showing the location of the operation relative to nearby protected areas as defined federally/at the National level.	A. Review map and cross-check against supplier location.
8.4	<p>Indicator: Evidence that the egg and fingerling producer must have an equivalent or better health status than that of the grow-out facility, and must follow all national and local (jurisdictional) guidance on disease management.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Obtain a written statement from egg and fingerling producers detailing the applicable national and local disease regulations and guidance on disease management which the supplier follows.	A. Verify that the farm has a written statement from the egg and fingerling producer detailing how the supplier conforms to applicable national and local regulations and guidance on disease management.
		b. Prepare a letter informing egg and fingerling producers that they must evaluate eggs and fry using health status metrics developed by the farm’s veterinary health professional.	B. Verify that the farm has a copy of the letter informing its suppliers of health status metrics developed by the farm’s veterinary health professional.
		c. Maintains records of the farm’s evaluations of the condition of eggs and fingerlings upon delivery.	C. Verify that the farm keeps records of evaluating the condition of eggs and fingerlings for each delivery.
8.5	<p>Indicator: Evidence of disclosure to the grow-out farm of all chemical and antibiotic treatments on eggs and fry, including the reason for their use and the quantity used.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	a. Prepare a letter informing egg and fry suppliers that they must disclose all chemical and antibiotic treatments on eggs and fry, along with stated rationale and the quantity used.	A. Verify that the farm has informed its suppliers that they must disclose information on chemical and antibiotic treatments together with the rationale for their use.
		b.Optional: Farm may conduct voluntary set tests on a subsample of fingerlings for each stocking event, to test for chemical and antibiotic use consistent with the supplier’s declaration.	B. Auditor includes in the audit report whether the farm has chosen to conducted chemical and antibiotic test on a subset of samples for each major stocking event.
8.6	<p>Indicator: Allowance for the use of therapeutic treatments, including antibiotics or other treatments, that are banned under European Union (EU) law or listed as critically important for human medicine by the World Health Organization^{[66][67]}.</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	a. Inform fingerling suppliers in writing that the farm will not purchase from suppliers using any therapeutants or antibiotics that are banned under EU law or treated with anti-microbials defined as critically important by the WHO, unless otherwise stipulated in the ASC Sea bass, sea bream, and meagre standard.	A. Verify that the farm has a record of the statement sent to fingerling suppliers.
		b. Compare any results from 8.6b to the farm’s EU banned list and WHO critically important list to show that fingerling suppliers are in compliance.	B. Include a statement in the audit report describing a) whether the farm undertook optional testing of their supplier’s fingerlings and b) findings against the EU banned list and WHO critically important list.
Footnote	[66] WHO Critical Microbials for Human Medicine, 5th edition, 2016. http://www.who.int/foodsafety/areas_work/antimicrobial-resistance/cia/en/		

Footnote	[67] Meagre producers may need an adjustment period to find a replacement antibiotic to treat for Vibrio infections at grow-out sites. Currently the only option is the EU veterinary approved antimicrobial flumequine. For this reason, meagre producers will have a 2 year allowance period from the publish date of the ASC Seabass, Seabream and Meagre Standard v1.0 for the use of flumequine to allow time to find a suitable alternative.		
8.7	Indicator: Presence of a fish health management plan implemented in agreement with the facility's designated veterinarian or fish health specialist Requirement: Yes. Applicability: All.	a. For every supplier of fingerlings to the farm, obtain a copy of the supplier's Fish Health Management Plan (FHMP).	A. Verify that the farm obtains a FHMP from each fingerling supplier.
		b. Ensure that the fingerling supplier's FHMP is reviewed and updated at least annually with signatures by management indicating approval.	B. Verify that the farm has record that supplier management approves review and update of the FHMP at least annually.
		c. Ensure that the fingerling supplier's designated veterinarian reviews and approves the FHMP annually and after each update of the FHMP, by signature.	C. Confirm that the farm has supplier documentation showing signature and date of review by designated veterinarian.
8.8	Indicator: Evidence of company-level policies and procedures that demonstrate the company's commitment to each of the 8 key ILO labor issues described in Principle 6. Requirement: Yes. Applicability: All.	a. Obtain a copy of the supplier's company-level policies and procedures relating to key ILO labor issues.	A. Verify that farm obtains copies of relevant company-level policies and procedures from suppliers.
		-	B. Review supplier policies and procedures (copy provided by the farm) to verify the supplier's commitment to address each of the 8 key ILO labor issues.
8.9	Indicator: Evidence of regular communication, engagement and consultation with surrounding communities Requirement: Yes Applicability: All	Note: see compliance criteria for Indicator 7.1.1	
		a. Ensure that the farm obtains documentary evidence from fingerling suppliers of regular communications with surrounding community as described under 7.1.1.	A. Examine copies of records and documentary evidence (e.g. meeting agenda, minutes, report) to verify that the farm's suppliers performed community consultations in compliance with requirements.