Certification and Accreditation Requirements (CAR)

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NOTES on how to read this document

**Black text**: Existing requirements. Text from CAR V2.2 without changes. Some black text could be in a different section of the CAR but its content does not change (*i.e.* not new requirements: not for comments).

**Blue text**: Requirements from the ASC CAR with Social audit methodology (SAM). These requirements went through public consultation in 2019. Not intended for this public consultation (*i.e.* not for comment).

**Green text**: New requirements (as of August 2020 public consultation), rewording or clarification for the CAR V2.3 (*i.e.* comments are invited)
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Trade register number 34389683
### Responsibility for these Requirements

Aquaculture Stewardship Council (ASC) holds responsibility for this document.

**Versions Issued:**

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<td>13 March 2012</td>
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<td>2.0</td>
<td>1 December 2015</td>
<td>Document revised to conform to ISO 17-65:2012, ISO 19011:2011, changes to the requirements for social auditors, changes to sections on chain of custody to conform to MSC requirements, preparation of an ASC feed standard, and other changes in response to variation requests by CABs, recommendations for improvements by stakeholders, and minor editorial changes.</td>
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| 2.1         | 1 August 2017 | 1. Adding new requirements for multi-site certification, in particular:  
- 7.1.1.1: Added clarification requirements regarding the list of documents and records  
- 17.1: Added requirements for multi-site unit of certification to replace current provisions 17.1.5 and 17.1.7  
- Annex A: Added new definitions related to Multi-site certification (denoted with *)  
- Annex B: Added Table D – Requirements for internal auditors; added new requirements for Lead auditors in Table B – B18 and B21  
- Annex E: New annex containing requirements for CABs to audit multi-site clients.  
2. Updating ASC office address on pages (i) and (17). |
| 2.2         | 9 April 2019  | 1. Release  
- Adding new type of Unit of Certification which is Group to become 17.1.4  
| 2.3         | August 2020   | Social Audit Methodology (text in blue in this document)                                                                                                    |
Requirements for the Social Audit Methodology (presented in April 2019 public consultation).

Draft for public consultation (texts in green):

Amendments/additions to/of:

Addition of references to “ASC trademarks” in “3. MSC Chain of Custody (CoC) Certification and the ASC trademarks” (in “Overview of the ASC System”).

Updating with current ASC office address (Cover page, page iii & Part A: 5.3.1.9).

Part A: sections 1; 2b; 2f; 2g; 4.1.3; 4.1.5; 4.2; 4.2.3; 4.4.2; 4.7.1; 7.1.4; 7.1.4.1; 7.1.5.b; 8.1; 8.2.

Part B: sections 1.1; 3.1; 4.1; 4.2; 5.1; 6.1-6.4; 6.5.1; 6.5.2; 6.5.2.1; 6.5.3; 6.6; 7.1; 7.2.1; 7.2.2; [7.5.4-7.5.9]; 7.5.12; 7.5.12b; 7.5.12c; 7.5.13; 8.2.a; 8.2.c; 8.3; 8.4; 8.5.[a-d]; 8.5.2 a-b; 8.5.4; 8.6; 9.5; 10; 10.1.1; 10.2; 10.3; 11.2.[b-d]; 11.5.2.b; 11.5.3; 13.5; 13.6; [15.1-15.7]; [16.1-16.10]; 17.4; [18.2-18.3.3.3]; 13.3.4 a & c; 18.3.5; [18.3.7-18.5.2.2]; 18.6.1.c; [19.1 -9.5]; 19.5.1.1; [20.2-20.4]; [21.2.1-21.3]; 21.8.1; 21.9; 22.1.10; 22.1.13; 24.1.4; 21.1.5; 24.2.2; 24.2.5; 24.3.4; 24.3.5; [25.1-25.3.1]; [26.1-26.2.1]; 26.3.4; 27.2; 28.2.1; 28.2.2.a; 28.2.2.b; 28.2.3; 28.3; 28.3.2.d; 28.4.1; 28.4.1.1-28.4.1.2; 28.4.1.4-28.4.1.5; 29.1.d; 29.4; 30.4.1.c; [30.5-30.8].


Annex B: introductory sentence and title of Table A. B5 [a-d] requirements, B11 [a-b] requirements.

Annex C: C2.1; C3.1; C4; C4.1; C7;

Annex E: E2.1.a-b; E3.7; E7.1.3.b;

Annex F: E5.7.3.
ABOUT THE ASC

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

**What the ASC is**

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

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

**What the ASC does**

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

**What the ASC will achieve**

The ASC is transforming aquaculture practices globally through:

- **Credibility:** Standards developed according to [ISEAL Alliance](https://www.isealalliance.org) and the Food and Agriculture Organisation of the United Nations (FAO) guidelines, multi-stakeholder, open and transparent, science-based performance metrics.

- **Effectiveness:** Minimising the environmental and social footprint of commercial aquaculture by addressing key impacts while increasing farm efficiency.

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

The ASC system is made up of 3 components:

1. **ASC Standards**

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

   The species groups were chosen because of their potential impact on the environment and society, their market value and the extent to which they are traded internationally or their potential for such trade. The species covered at this time include: abalone; bivalves (clams, oysters, mussels and scallops); freshwater trout; pangasius; salmon; seabass, seabream and meagre; seriola and cobia; shrimp; and tilapia. There is also a joint ASC-MSC Seaweed Standard. ASC continuously develops criteria and indicators applicable for other aquaculture species of commercial interest.

   Through the Aquaculture Dialogues more than 2,000 people have participated in the development of the ASC Standards including fish farmers, seafood processors, retailers, foodservice operators, NGOs, government agencies and research institutes. Universal, open and transparent, the Aquaculture Dialogues focused on minimising the key environmental and social impacts of aquaculture. Each Dialogue produced requirements for one or a range of major aquaculture species groups. The standard creation process followed guidelines of the ISEAL Alliance the *ISEAL Code of Good Practices for Setting Social and Environmental Standard* and *FAO Technical Guidelines on Aquaculture Certification*. The standards are science-based, performance-based and metrics-based and will apply globally to various production systems, covering many types, locations and scales of operations.

   The standards are owned and managed by the ASC as an independent standard setting organisation. Review and revision of existing standards as well as development of new standards follow strict guidelines, as set out above.

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

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

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

   Accreditation is the process by which CABs are evaluated to determine their competency to provide certification to the ASC standards. The accreditation process includes annual evaluations of each accredited CAB and the ASC audits they perform. The ASC works with an exclusively appointed accreditation body (AAB) to provide accreditation services for the ASC.

   The ASC’s AAB is responsible for evaluations of CABs against the requirements in this document. All accreditation decisions are taken independently by the AAB in accordance with ISO 17011. The independence of the ASC, AAB and the CABs ensures that high...
quality, objective audits and certification decisions are performed without bias for all clients around the world.

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

The ASC logo and claims have been developed for use by certified and licenced farms, processors and distributors so that all parts of the value chain and especially consumers can easily identify ASC certified product(s). The use of the ASC logo, claims and trademarks can be applied only to products that are sold through a consecutive, certified chain of custody (CoC) that ensures traceability of certified products from production to final point of sale. For the ASC, CoC is certified through application of a ASC/MSC chain of custody system. Only products that originate in ASC certified operations and are sold through the ASC/MSC certified CoC, are eligible to carry the ASC logo, claims or trademarks.

Companies that are already certified to a ASC/MSC Chain of Custody Standard and wish to also handle ASC certified products, may request a scope extension from their CAB in order to add ASC products onto the scope of their existing CoC certificate. Further specific requirements may need to be complied with depending on the ASC/MSC CoC standard. Further information can be found on the ASC website.

Just as with the ASC standards, the ASC logo, claims and trademarks are owned by the ASC which regulates all aspects of their use.
INTRODUCTION TO THIS DOCUMENT

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

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

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

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

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

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

The ASC certification and accreditation requirements have been developed to be in full compliance with the FAO Technical Guidelines on Aquaculture Certification.

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

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

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

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

Chain of custody for ASC certified products is assured through the ASC/MSC CoC certification. Organisations that wish to trade in ASC certified products and make claims that these products are certified (including use of the ASC trademarks) shall first be certified against the ASC/MSC Chain of Custody Standard.

Primary producers that are certified to an ASC standard may sell products within the scope of their certificate as certified without being certified to the MSC chain of custody system. The requirements that apply to these sales are described in this document.

This document has been developed to address the specific needs of the certification to ASC Standards. The ASC gratefully acknowledges the support of MSC, FSC (Forest Stewardship Council) and SAAS (Social Accountability Accreditation Services) in lending their experience and permitting elements of their systems to be incorporated into this document.
The CAR is subject to periodic review to incorporate revisions based on developing accreditation and certification practices. As with the ASC standards, the review and revision interval is every three to five years. During this period, the ASC collects and analyses comments submitted by stakeholders and interested parties. Feedback that is critical may lead to an earlier and revision of the document.

All planned review and revision of the CAR will be announced to invite public feedback with relevant documents published on the ASC website.

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

1. SCOPE

Part A sets out the requirements that all CABs shall implement in their own procedures and management system. Following these requirements allows them to carry out certification services for clients that wish to make a claim that the aquaculture product(s) they sell are certified to the ASC's Standards.

2. NORMATIVE REFERENCES

The documents listed below are part of the ASC Certification Requirements. For references which have a specific date or version number, later amendments or revisions do not apply. CABs are encouraged to review the most recent editions and any guidance documents available to gain further insight. For references without dates or version numbers, the latest edition of the document referred to applies.

a) ASC Standards: See www.asc-aqua.org

b) ASC Requirements for Units of Certification (RUoC)

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

d) ISO 19011 Guidelines for auditing management systems;

e) ISO 17021-1 Conformity assessment – Requirements for bodies providing audit and certification of management systems;


g) IAF MD 4:2018 IAF Mandatory document for the use of Information and Communication Technology (ICT) for auditing/assessment purposes.
3. **TERMS AND DEFINITIONS**

3.1 All definitions are in Annex A.

4. **GENERAL REQUIREMENTS**

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

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

4.1.3 A CAB shall recognise that certificate holders with a valid certificate issued by other accredited CABs conform to relevant ASC standards.

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

4.1.5 A CAB shall authorize the ASC appointed accreditation body to publish on its website accreditation assessment reports.

4.2 **Conformity to ISO 17065, 17021, 19011 and the ASC requirements**
4.2.1 All CABs shall conform to the requirements of ISO 17065 and all other ASC requirements relevant to the scope of accreditation applied for or held.

4.2.2 CABs shall conform to the ASC requirements in this document in the case of a conflict with any listed ISO standards.

4.2.3 CAB audit personnel shall follow guidance provided in ISO 19011.

4.2.4 The CAB shall develop procedures for ASC social audits that are consistent with the latest version of ISO 17021 and ISO 19011, making adaptations taking into account specific requirements of this CAR.

4.2.5 In cases of inconsistency between ISO 17021 and ISO 19011, the former shall prevail.

4.3 **Normative annexes**
4.3.1 CABs shall follow in full all normative annexes to the ASC Certification Requirements if they are used.
4.4 Compliance with legal requirements
4.4.1 CABs shall comply with the legal requirements in the countries in which they operate.

4.4.2 Key CAB personnel shall demonstrate understanding of applicable legislation and regulations of the country where certification services are being offered.

4.5 Certification Decision-Making Entity
4.5.1 The CAB’s decision-making entity shall authorise any changes to the terms of certification.

4.6 Communication with the ASC
4.6.1 CABs shall follow the communication requirements in Annex D.

4.7 The ASC CAB calibration workshops
4.7.1 CABs shall participate in calibration workshops organised by the ASC and annual CAB tripartite sessions.

4.8 Use of the ASC and CAB trademarks
4.8.1 All uses of the ASC trademark(s) by a CAB shall be subject to an ASC logo licence agreement.

4.8.2 The CAB shall have documented procedures for the issue and use of any logo or trademark of the CAB (ISO 17065 Use of license, certificates and marks of conformity) for the ASC program, including procedures for pre-publication review and authorisation by the CAB of all uses of the CAB's logo, claims or trademarks by ASC certificate holders.
5. STRUCTURAL REQUIREMENTS

5.1 Mechanism for safeguarding impartiality

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

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

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

5.1.4 The impartiality structure may be an impartiality committee or equivalent structure.

5.1.5 The structure may be independent of management or combined with management function.

5.1.6 The CAB shall be responsible for:

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

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

5.1.6.3 Providing all the information required for the impartiality structure to perform their job, including, but not limited to, the reasons for:

   a) all significant decisions and actions, and

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

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

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

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

5.1.7.2 This should be a high-level group with the responsibility for ensuring impartiality and not predominantly a technical or sector-based group.
5.1.7.3 The membership shall not be selected to reflect the technical expertise of the CAB.
   a) When necessary it can be supported by technical experts as required.
   b) No single interest shall predominate.

5.1.8 Documentation for the mechanism for safeguarding impartiality shall include:

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

5.1.8.2 The principle that impartiality shall be established at three levels within the CAB:
   a) Strategies and policies;
   b) Decisions on certification; and
   c) Auditing.

5.1.9 The impartiality structure shall conduct annual reviews that include:

5.1.9.1 The current and intended activities of the CAB;

5.1.9.2 The competence of key CAB personnel; and,

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

5.1.10 The function of the structure shall ensure that:

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

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

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

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

5.3 **Complaints and Appeals**

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

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

5.3.1.2 A description of involvement of the ASC appointed accreditation body and the ASC in case of appeals.

5.3.1.3 Reference to the ASC appointed accreditation body’s dispute mechanism, including incidents, complaints and appeals handling processes.

5.3.1.4 CABs shall report all logged issues using FORM 4 submitted annually no less than forty-five (45) days prior to the annual surveillance by the ASC appointed accreditation body’s visit. Copies shall be sent to the ASC and the ASC appointed accreditation body.

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

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

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

   a) Report to top management
   b) Be responsible for ensuring that procedures (ISO 17065 complaints and appeals) are followed.

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

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

   a) Email: disputes@asc-aqua.org

   b) Mailing Address:
6. MANAGEMENT SYSTEM REQUIREMENTS FOR CABs

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

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

7. RESOURCE REQUIREMENTS

7.1 CAB Personnel
7.1.1 All personnel involved in delivering conformity assessment services shall be knowledgeable about the aims and objectives of the ASC.

7.1.1.1 This shall include knowledge of international agreements, conventions and treaties relevant to the assessment of UoCs for ASC certification as appropriate to the role and responsibilities of each individual.

7.1.2 The CAB shall register all auditors working with the ASC scheme with the ASC and the appointed accreditation body.

7.1.3 The CAB shall ensure that all CAB personnel shall not participate in ASC conformity assessment services until they have the required experience, completed the required training and demonstrated the required competencies for their role as described in Annex B.

7.1.4 The CAB shall not assign the same lead auditor to audit a UoC for more than 3 consecutive audits.

7.1.4.1 If the CAB has only one auditor in a given region and is not able assign a different auditor, the CAB shall submit a variance request explaining how to avoid the potential conflict of interest due to the familiarity with the UoC.

7.1.5 The CAB shall have a written procedure to confirm annually that every auditor is qualified and competent as described in Annex B and registered with the ASC as required. This procedure shall include:

   a) Regular performance evaluation of CAB personnel involved in the ASC conformity assessment activities.
b) **Annual** calibration sessions on auditing against the ASC standards and **requirements** to ensure consistent practice among auditors and other CAB personnel.

c) Record keeping of all training and calibration sessions including a record of the individuals that participated.

7.1.6 Audit teams shall include an ASC lead auditor.

7.1.7 Audit teams shall include member(s) that **collectively** have the following experience, expertise; **language skills and cultural knowledge required to conduct an effective audit.**

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

a) Environmental laws;

b) Occupational health and safety laws;

c) **Labour laws** (both national and regional);

d) Laws governing ownership and use of land and water;

e) Licenses and permits;

f) Knowledge of client’s operations regarding the wages and working time applicable to different types of UoC in different aquaculture systems;

g) Cultural knowledge of the region/location where the UoC is located and of existing differences in the kinds of workers employed (such as full-time, temporary, contracted and migrant workers);

h) Applicable languages and dialects (both written and spoken) mostly by workers of the UoC;

i) Building codes and bylaws.

7.1.7.2 Environmental science and technology, environmental management methods and aspects of operations that includes but is not limited to:

a) Knowledge and experience in the species or other subject of the standard being audited;

b) Environmental issues in the area of the operation;

c) The management of natural resources;

d) Environmental protection;

e) Environmental monitoring tools and technologies (i.e. GIS technologies);
f) The interaction of the activities, products, services, and operations with the environment;

g) Sector specific terminology;

h) Environmental aspects and impacts;

i) Methods for evaluating the significance of environmental aspects;

j) Aspects of operational processes, products and services;

k) Monitoring and measurement techniques;

l) Technologies and methods for the prevention of pollution;

m) Social aspects of applicant operations and their surrounding communities.

7.1.7.3 When translation services are needed to conduct the audit, the CAB shall select interpreters that are independent of the client.

7.1.7.4 The CAB shall have procedures to determine if potential interpreters are competent and skilled in interpretation from the national or local language into the operating language of the audit team. This shall include as a minimum:

a) Language certificate of the operating language of the audit team if it is not native to the interpreter.

   i. The certificate shall be at least of level B2 according to the Common European Framework of Reference for Languages (CEFRL).

   ii. The CAB may be exempted of this requirement (16.1.2.3.b.i) when the operating language of the audit team is English and if/when interpreters come from countries/regions ranked high or very high by the EF English Proficiency Index (EPI).

   iii. Good understanding and experience of the translators with the subjects being translated.

   iv. Detailed CVs of interpreters shall be kept on file by CABs.
8. **CONDITIONS FOR SUSPENSIONS AND WITHDRAWALS**

8.1 If a CAB is suspended by the ASC appointed accreditation body, the CAB shall inform ASC and all the clients affected by the scope of suspension within five (5) days after the date of suspension decision.

8.2 Upon receipt of suspension notice from the CAB, the ASC will publish the CAB’s suspension status on its website within five (5) days.
PART B – OPERATIONAL CERTIFICATION REQUIREMENTS

1. SCOPE

1.1 Part B sets out requirements for CAB to use when auditing UoCs against ASC Standards and other requirements from the application phase to the certification decision. It also covers additional procedures such as transfer of certificates.

2. NORMATIVE REFERENCES

2.1 The normative documents in Part A also apply to Part B.

3. TERMS AND DEFINITIONS

3.1 All definitions are in Annex A.

4. INFORMATION FOR APPLICANTS

4.1 The CAB’s application form shall, as minimum, request the following information from the applicant:

   a) Applicant legal entity name
   b) Contact information
   c) Site(s) address(es) and geographical coordinates (WGS 84 i.e 52.082478, 5.117676)
   d) Satellite images with site(s) polygons preferable in shape file, csv, kml or gpx formats.
   e) Species and applicable version of the ASC standard
   f) Activities included in the UoC such as stocking, nursing, husbandry, harvest, transport, processing or packing
   g) Application to partial certification, the reason for partial certification according to the definition in Annex A and the production units (ponds, cages, tanks, lines, etc.) excluded from the scope of certification.
   h) Declaration of open court cases related to environmental or social compliance violations or any fraudulent allegations.

4.2 The CAB shall send to applicants the documents or the respective ASC website links for:
a) The most recent version of the applicable ASC standard(s);
b) The most recent version of the Requirements for the Unit of Certification;
c) Audit preparation checklists issued by the ASC;
d) List of documents in “Desk Review (Client’s information/List of documents/CAB’s review)”
e) Information about the use of the ASC logo and the Logo Licence Agreement
f) A brief explanation of the certification process and related timelines.

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

4.4 In cases where documents are translated for the convenience of the client, any differences between original documents and translated versions the original version will prevail.

5. DUE DILIGENCE

5.1 As part of the application review process the CAB shall complete documented due diligence, which includes the following subjects:

a) Intersection with Protected Areas
b) Potential Wetland and Mangrove conversion
c) Potential Connection to sensitive ecosystems (i.e. seagrass meadows, wetlands, tubeworm mounds, bivalve beds)
d) Introduction status of non-native species in the applicant’s country
e) Open cases of violations to human rights reported by government authorities.
f) Open cases of violations to environmental compliance reported by government authorities.

5.1.2 The CAB may use the ASC Online Mapping Tool to verify siting factors.

5.1.3 The CAB shall determine if is necessary to request more information from the applicant before continuing with the contract approval process.

6. UNIT OF CERTIFICATION (UoC)

6.1 The CAB shall define the scope of the UoC as follows:

a) Applicable ASC standard
b) Applicable species, where relevant
c) Sites including production sites, storage, processing and packing facilities

d) Activities undertaken by the UoC before the product changes ownership or is handled by any further certified chain of custody certificate holders. This includes but is not limited to: harvest, slaughtering, storage, transport, processing and packing.

6.2 If processing and/or packing activities are within the scope of the UoC, the CAB shall require a separate chain of custody certification, unless:

   a) Ownership does not change; AND
   b) Only ASC certified products from the UoC are handled; AND
   c) The transportation only occurs within the premises of the UoC, AND
   d) Processing and/or packing facilities are at the same address where other activities of the UoC occur.

6.3 The CAB shall evaluate all relevant ASC standard indicators and other requirements at all facilities within the scope of the UoC.

6.4 The CAB shall not issue more than one valid ASC certificate at the same time for the same UoC, for the same ASC standard.

6.4.1 The CAB may combine audits for more than one ASC standard for the same UoC.

6.5 The CAB shall define the UoC as either:

6.5.1 A single site UoC having both of the following elements:

   a) The client is capable of signing a binding contract that is legally enforceable;
   b) A single site, which has defined limits and may include multiple pens, cages, ponds, raceway systems or beds.

6.5.2 A multi-site UoC having all of the following elements:

   a) The client is responsible for compliance at all sites;
   b) The client is capable of signing a binding contract that is legally enforceable;
   c) Consists of more than one site, each of which has clearly defined limits;
   d) The client is the only entity authorized to commercialize ASC certified products from all sites.

6.5.2.1 The CAB shall define a multisite UoC as either:

   a) A multisite without internal management system (option 1) if the client decides that the CAB audits all individual sites in every audit.
b) A multisite with internal management system (option 2) if the client decides to be audited against applicable requirements for the internal management system specified in the ASC RUoC and sites sampled according to the requirements in Annex E.

6.5.3 A group UoC having all of the following elements:

a) The client representing all group members is capable of signing a binding contract that is legally enforceable;

b) Each member in the group operates either a single site or a multisite;

c) The client is the only entity authorized to commercialize ASC certified products;

d) A group management body (GMB) in charge of implementing and monitoring compliance against the requirements for Groups in the ASC RUoC and ASC applicable standard at all sites.

6.6 A UoC can be eligible for partial certification for cases where a specific and identifiable batch(es) or production unit(s) do not comply with the ASC standard only in cases when:

a) Exceeding antibiotic treatments permitted by the ASC standard.

b) Using of non-compliant feed

c) Use of seedlings suppliers not compliant with the seedlings suppliers’ principles

7. **CONTRACT**

7.1 The CAB shall have a written contract with the client representing the UoC seeking certification.

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

7.2.1 That the applicant UoC is not already certified.

a) If the applicant UoC is currently certified the CAB shall follow the certificate transfer requirements in Section 28.

7.2.2 That the applicant UoC has not had an ASC certificate withdrawn or has failed an ASC audit with another CAB within the previous twelve (12) months against the same ASC standard.

7.3 The contract shall be signed by the CAB and client prior to the announcement of the audit.

7.4 The contract shall include a copy of the CAB complaints procedure that includes information on when and how the ASC appointed accreditation body and the ASC
may be engaged in case the complaint process escalates beyond the CAB authority.

7.5 The contract shall specify:

7.5.1 The certification timeline, including reporting timeline as specified in the Annex C, that the CAB will meet.

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

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

7.5.4 That the client shall submit to the ASC, information related to its ASC certified production using the formats and tools provided by the ASC.

7.5.5 That the client shall allow ASC to process, publish UoC’s data and information collected from the certification process for the purpose of transparency as an integral part of the ASC certification programme.

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

7.5.7 That ASC shall have the right to visit the certificate holder site(s), including visits without prior notice for the purpose of integrity of ASC certification.

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

7.5.9 That ASC, MSC, ASC appointed accreditation body and the CAB shall have the right to collect seafood products samples or other supporting samples (e.g. water, feed, soil, sediment, sludge) to evaluate the UoC’s compliance. This sampling may be conducted unannounced during ASC audits or at any other time. Costs incurred in testing shall be covered by the client for samples taken by the CAB.

7.5.10 That the CAB be informed of any previous ASC audits conducted within the previous 12 months by another CAB, appointed accreditation body or ASC.

7.5.10.1 The CAB shall be provided with audit reports.

7.5.11 That the CAB shall have access to all audit products of the latest third-party social audit, if any. This includes - but is not limited to - audit reports, non-conformity reports, evidence of closing non-conformities, and relevant confidential information.

7.5.12 That the client has the right to raise their concerns or object to any of the proposed audit team members.
7.5.13 That the client has the responsibility to inform the CAB, within fifteen (15) days of any changes made UoC that may require oversight from the CAB. This can include but is not limited to:

a) Changes in species farmed

b) Expansions or reduction of the production area

c) Relocation of production areas

d) Changes in the number of sites

e) Changes that may impact the start of the chain of custody.

f) Disease outbreaks

7.5.14 That the client has the responsibility to inform the CAB within fifteen (15) days of the occurrence of self-detected non-conformances against any effective ASC standards’ critical indicators and/or in the following situation(s) [a-e]:

a) Fatal workplace accidents;

b) Legal compliance violations;

c) Administration of veterinary treatments to some or all production units (ponds, cages, pens, tanks, etc.) or sites (multi-site and group) that affects the compliance against the applicable ASC standard;

d) Escapes events that affect the compliance against the applicable ASC standard;

e) Endangered species or marine mammal mortalities.

8. **AUDIT TIMING**

8.1 The CAB shall not conduct an on-site audit until the client has submitted all required information and documentation, and that the CAB has completed the Desk Review (See 13.3).

8.2 The CAB shall conduct an initial on-site audit only when the site(s) has completed one of the following periods, whichever is less:

a) Been in operation no less than twelve (12) months; OR

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1 Critical indicators are currently being defined by ASC’s Science and Standards Department. Requirements referring to critical indicators will apply as soon as they become effective.
8.3 The CAB shall schedule audits only when the facilities are in normal production or the species in the scope of the UoC is present on site:
   a) At least half of the production units are under operation for single site UoCs
   b) As described in Annex E and F for Multisite and Group UoCs.

8.4 The CAB may conduct surveillance and recertification audits on single site UoCs without product on-site only if:
   a) The site grows a long cycle species; AND
   b) The site is fallowing as required by local regulation; AND
   c) The previous audit was conducted with product on-site.

8.5 The CAB shall evaluate harvesting activities of the principle product to be audited as follows:
   a) In every audit at single site UoCs operating short cycle or continuous harvest sites at; OR
   b) At least once during the certification cycle for long cycle species at single site UoC; OR
   c) At least at one site for Multisite UoCs following the same harvesting procedures; OR
   d) As described in Annex F for group UoCs.

8.5.2 If harvest is evaluated during the audit, the CAB shall:
   a) Evaluate the harvest intended for commercialization (no trial or mock harvests); AND
   b) Evaluate transport and loading activities including subcontractors under the control of the UoC.

8.5.3 The CAB shall record in the audit report if harvesting activities were evaluated during the audit.
8.5.4 If other species are included but not harvested at the same time, the CAB shall collect evidence of compliance for all species to be added to the certificate.

8.6 If product handling or processing is included in the activities of the UoC, the audit shall occur at the time that the handling or processing facilities are operating.

9. **NOTICE OF AUDIT**

9.1 The CAB shall use FORM 3 to inform the ASC and the ASC appointed accreditation body of planned audit dates no less than forty-five (45) days prior to the audit. This includes scope extension audits adding sites, new species and production area extensions.

9.1.1 For unannounced audits FORM 3 may be submitted to the ASC fewer than forty-five (45) days prior to the audit.

9.1.2 The CAB shall submit one FORM 3 for each UoC.

9.1.3 ASC shall not publish FORM 3 prior to an unannounced audit.

9.2 The CAB shall provide updates to FORM 3 within seven (7) days of any changes to the information.

9.2.1 If the changes are to occur before a planned audit, the changes shall be no less than ten (10) days before the audit is scheduled to begin.

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

9.3 The ASC should publish a public notice of the planned audit within five (5) days of receiving FORM 3.

9.4 The notice shall be in the local language(s) and English.

9.5 The CAB shall submit to the ASC all pending reports and relevant documentation of the previous audit before announcing a new audit for the same UoC.

9.6 These requirements shall apply for all audits.

10. **STAKEHOLDER ENGAGEMENT**

10.1 The CAB shall maintain an up-to-date list of all stakeholders that are relevant to be contacted for their input per country and species.
10.1.1 The CAB may make use of but shall not rely only on the stakeholder list provided by the client.

10.2 The CAB shall notify stakeholders that are relevant for the scope and objectives of the audit and invite their participation.

10.2.1 The CAB may choose to notify none, some or all potential stakeholders and interested parties prior to an unannounced audit.

10.2.2 Independent initial stakeholder consultation shall be performed at the initial planning stage, between Desk Review and on-site audit.

10.2.3 This stakeholder consultation may be carried out remotely.

10.2.4 In cases where the identified stakeholders are single entities or persons, the CAB shall maintain records of contact details and date of consultation with the stakeholder.

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

10.4 The CAB shall acknowledge receipt of all written submissions.

10.4.1 Verbal submissions and how they have been addressed shall be clearly explained in the audit reports.

10.5 Prior to the publication of the draft audit report, the CAB shall respond in writing to each stakeholder and interested party to explain how their comments were addressed by the audit team.

10.6 The CAB shall have a mechanism that allows comments to be submitted at any time during the validity of the certificate, and that specifies how those comments are to be taken into consideration for the next coming audit.

10.6.1 The CAB shall make sure that the mechanism is known to the public.

10.6.2 The CAB shall retain all records related to stakeholder consultation of each audit while contracted to the client and for 3 years, as a minimum, after the CAB stops providing certification services to the client.

11. **AUDIT PREPARATION AND PLANNING**

11.1 The CAB shall have completed a Desk Review before conducting each audit.

11.2 As a minimum, the CAB shall obtain the following:

   a) Required information, documents and records submitted by the client as specified in the Desk Review Template (Annex G).
i. The CAB shall only accept submission of completed Client’s information sheet for review (Annex G)

b) Impact assessments as required by the applicable ASC standard.

c) Data as required by the applicable ASC standard

d) Copies of legal permits and licences.

e) Other information as deemed necessary for an effective Desk Review that may include preliminary study.

11.3 The CAB shall review and take into consideration all of the obtained information for Social Audit Risk Assessment and audit planning.

11.3.1 Auditors shall review a map/layout/drawing of the facility to be audited and all areas that form part of the audit scope to determine distance and travel time between different locations under the scope.

11.4 The CAB shall conduct a Social Audit Risk Assessment for each audit using the tool provided in Annex H when developing the audit plan and assigning an audit team.

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

11.5.1 Expected scope of audit, that includes as a minimum:

a) (Name of) production/processing site(s)/feed mill(s) and places (e.g. workers’ living quarter) to be audited

b) Processes, functional departments

c) Shift(s) at the sites, if applicable

11.5.2 Draft work schedule that includes:

a) The date(s) and site(s) where the on-site audit activities will be conducted, including visits to storage and processing facilities.

b) The date(s), site(s) and activities that will be audited off-site (remote) as described in section 16.

c) Approximate time (in hours and/or days) for each audit activity segregated in desk review, off-site activities and on-site activities.

d) Expected number of management and worker interviews.
11.5.3 Names and affiliations of proposed audit team members

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

a) A summary list of the objective evidence, including actual performance data that may be required by the audit team

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

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

a) Consider the merits of each concern raised by an applicant

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

c) Maintain records of the justification for its action(s).

11.7 The final audit plan shall be included as an annex in the audit report.

12. AUDIT DURATION

12.1 The CAB shall determine the minimum planned duration of the audit, taking into account, when applicable, evaluation of traceability risks and eligibility to enter further chain of custody.

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

12.2.1 The following factors may be considered, as the minimum, for determining duration of an audit:

a) Desk Review time is accounted for in the total audit duration;

b) Initial audit preparation takes into account audit planning, stakeholder consultation and preliminary study;

c) The time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters) shall necessitate additional time;

d) The time spent for familiarisation with all required information under 16.1.2 for auditor(s) performing audits in countries they do not belong to;
e) The time spent for the activities during the on-site audit;

f) The time spent for other activities (e.g. reporting, traveling, closing non-conformities) as deemed necessary.

13. **AUDIT METHODOLOGY**

13.1 The ASC audit shall use the ASC Audit Manual as guidance for the standard(s) for which the client is being audited.

13.2 ASC reserves the right request the CABs to use its own audit tools and methodology for the ASC aquaculture audits covering areas not specified in this document.

13.3 The CAB shall conduct a Desk Review (Annex G) based on information and documents provided by the client to inform its Social Audit Risk Assessment (Annex H) and audit planning prior to the on-site audit (see 7.2.0).

13.4 The CAB shall consider outcomes of the Desk Review and Social Audit Risk Assessment to determine audit effort for each type of UoC. This includes (but is not limited to):

13.4.1 Number of worker interviews, and types (individually or in group).

   a) The number of interviews with management and staff functions shall come in addition to the number of worker interviews calculated in the Social Audit Risk Assessment tool.

13.4.2 Visit to relevant local stakeholders to corroborate evidence, if necessary.

13.4.3 Visit to workers’ living quarter if provided to workers.

13.5 The CAB shall evaluate all the activities and facilities included in the scope of the UoC in the initial audit.

13.6 The CAB shall follow Annexes E and F requirements to audit Multisite and Group UoCs

14. **AUDIT METHODOLOGY OF SOCIAL REQUIREMENTS**

14.1 The CAB’s auditors shall follow processes as described in the latest version of ISO 17021-1 related to conducting audits (section 9.4 in ISO 17021-1: 2015).

14.2 In addition to 17.18.1, the following shall be implemented by the audit team:

14.3 Opening meeting:
a) The auditors shall invite senior management of the UoC and key relevant personnel, including workers and/or trade union representatives to attend the opening meeting;
b) Attendance shall be documented for all those present at the opening meeting;
c) The auditors shall state that:
   i Worker interviews shall be conducted in a private place, individually and/or in groups.
   ii The place shall be determined by the auditor(s) during the course of the audit.
   iii Interviewed workers shall not be discriminated against or be put in an unfavourable position for taking part in interviews irrespective of the nature of their job.
   iv The auditor may consider additional worker interviews, if necessary, after review of records;
   v To provide additional confidence and a method of communication, workers shall be provided with contact information of the CAB and the ASC, and this contact information shall not be taken back from workers by the UoC after the audit;
   vi Management, supervisory and clerical staff may not attend those workers' interviews.
d) The auditors shall inform that audit evidence by way of documents, records, pictures and other multimedia means will be taken during the audit and that these will relate solely to requirements of the applicable standard and other relevant requirements;
e) The auditors shall confirm if there are any changes to information, list of documents submitted by the client for Desk Review and scope of the audit, and reconfirm all documents that will be verified during the audit;
f) The auditors shall determine if there are sub-contractor workers at the site(s) within the scope of the audit or certification, and if so: the number of such workers and the work being performed on the day of the audit.

14.4 Walkthrough and visit to working areas and facilities within the UoC

b) Auditors shall follow the guidance in the latest version of ISO 19011 regarding visiting the client’s location.
c) Auditors shall review travel arrangements and make necessary adjustments to the audit plan on the basis of availability of transport to ensure full audit coverage within the assigned audit time.
d) The visit and walkthrough shall include all work areas irrespective of the presence of workers in the area on the day of the audit, living quarters, on-site hospital/clinic, kitchens, dining areas (if provided), the perimeters of production and processing units, common toilets, common areas like on-site grocery stores, prayer halls and any other areas as appropriate.
e) During the visit and walkthrough, auditors shall:
   i. Identify potential workers that they will speak to later;
   ii. Identify all hazards and potentially dangerous areas of work;
iii. If possible, collect information (e.g. pictures of notices) to later corroborate information provided prior and/or during the audit;
iv. Distribute the CAB, ASI and ASC contact information to workers that they speak to so that workers may communicate with those organisations at any time.
f) The visit and walkthrough shall be implemented for every on-site audit.

14.5 Document and records review

a) When drawing samples for records review, the auditor shall consider:
   i. Different types of workers (full time, contractual, seasonal, migrants);
   ii. Different types of payment methods (hourly rate, piece rate, monthly rate) as appropriate.

b) Auditing of personal records (e.g. time sheet and pay records) shall be based on risk and the sampling plan as outlined in the Social Audit Risk Assessment Annex H.

c) For each interviewed worker, his/her personal records and related documents shall be reviewed.

d) Personal information and records shall only be reviewed on-site, unless allowed by legislation of countries of parties involved – the client and the CAB.

e) Other documents as deemed necessary at auditor’s discretion.

14.6 Conducting interviews

a) The CAB shall follow the guidance in the latest version of ISO 19011 as regards to conducting interviews

b) The CAB shall have and implement procedures for deciding how much time to allocate for interviews, depending on types of UoC, issues being audited, types of interview (group/individual) and place(s) where the interviews are to take place.
   i. It is a common practice to allocate 15 minutes for individual interviews and 30 minutes for group interviews.

c) Auditors shall interview as a minimum the following functions:
   i. Senior management of the UoC
   ii. Worker and/or trade union representative(s)
   iii. Workers:
      A. Number of worker interviews is calculated using the Social Audit Risk Assessment calculator (Annex G)
      B. Auditors shall stratify worker interviews based on their tasks and background (gender, type of work – permanent/temporary, type of labour – migrant, and the likes)
      C. Number of worker interviews, justification for stratification shall be documented in the audit report.
   iv. Other relevant personnel playing a role in implementing ASC social requirements in the standard (e.g. in the area of health & safety human resources, finance, etc.).

   d) Auditors shall develop a list of relevant topics for interviewing each function based on results of Desk Review.
e) Auditors shall use professional judgement, common sense knowledge and experience to take the decision, which may be taken on the spot, regarding approach to conducting interviews (individual or group).

f) Auditors shall use appropriate skills to ensure confidentiality while speaking to workers during the visit and walkthrough and at workplaces.

g) The CAB shall maintain records of all interviews during an audit as part of audit evidence.

h) All personal worker interviews shall usually take place on-site; however
   i. Off-site interviews shall take place if or when there is a perceived threat or pressure to workers by any party for providing information or there is a lack of a location at the audit site that allows workers to speak confidentially.

i) All worker interviews shall take place in a quiet, private area away from management offices and without the presence of management representatives or those in supervisory roles.

j) Casual interviews shall also take place during the physical tour of the workplace, during meal and rest breaks

k) Interviews may be conducted in the presence of a trade union member, with the permission of the worker, and if the CAB auditor feels worker/s is/are comfortable with this arrangement.

14.7 Closing meeting

a) A pre-closing meeting with the management may be held for the purpose of:
   i. Discussing audit findings and clarifying any divergent views or opinions;
   ii. Reviewing any information the UoC may provide to demonstrate conformance with the ASC Standard;
   iii. Avoiding differences of opinion that may lead to the UoC contesting audit findings at the closing meeting;
   iv. Saving time at the closing meeting where only key findings, opportunities for improvement, best practices and other matters are discussed.

b) The closing meeting shall be attended by senior management of the UoC and personnel responsible for time and pay records, those responsible for meeting health safety and environment requirements, human resources and administration, those responsible for key functions and workers and/or trade union representatives.
   i. If senior management is not available for the closing meeting this shall be documented in the audit report.
   ii. Attendance shall be recorded for all those present at the closing meeting.

c) The result of the audit shall be communicated in a language understood by those present and, if necessary, translated into a language spoken by workers' representatives / trade union members.
d) Depending on the result of the audit and the type of non-conformities raised (if any), auditors shall inform the

e) of follow up activities as appropriate.

f) Auditors shall remind the client of timelines they need to meet for providing and implementing root cause analysis and corrective actions

g) A copy of non-conformities that were raised shall be provided to the UoC.

15. **Sampling and Testing**

15.1 **Sampling and testing antibiotics and banned veterinary substances**

15.1.1 The ASC may request CABs to collect seafood or other substances during ASC audits to verify a UoC’s compliance against the ASC standards.

15.1.2 The CAB may decide to collect additional samples according to the observations and evidence collected during on-site audits.

15.2 The CAB shall make all the necessary arrangements to collect and deliver samples according to the ASC specified procedures.

15.3 The CAB auditor shall decide from which batches, production units or sites the samples will be taken.

15.3.1 Any of the following criteria may be considered to inform this decision:

a) Random sampling

b) Based on observations and evidence collected

c) Mortality records

d) Production stage

e) Professional experience

15.4 The CAB auditor shall manage sample conditions as follows:

15.4.1 Only samples from the same production stage of the same site may be composited.

15.4.2 Samples from a maximum of 3 batches or production units of the same site may be composited.

15.4.3 Use of traceable seals or tamper proof bags shall be used to maintain the integrity of the samples.

15.4.4 Duplicates of each sample should be prepared for confirming results if needed.

15.5 Sign off sample forms shall be used confirming the following information:

a) Sample identification and seals number

b) Type of sample, production units and approximate weight

c) Substances to be tested

d) Date and time of collection
15.6 The CAB shall record in the audit report the following information:

a) If a sample was taken during the audit
b) Justification for sampling
c) Whether sampling was announced or unannounced
d) A copy of the sample form.

15.7 The client may decide to test the duplicate sample in case of positive residues results. In this case the CAB shall:

a) Request the testing of duplicate sample by the same laboratory for the positive parameters detected in the previous test
b) If the second test results are negative, a third test for the initial positively detected parameters by another ASC listed laboratory in the same country.

16. REMOTE AUDITING

16.1 The CAB shall follow the ISO 9001 Auditing Practices Group Guidance on: REMOTE AUDITS (Edition 1 16-04-2020 or the most current version at the time of the audit) when conducting remote audits or remote evidence collection.

16.1.1 The CAB shall conduct a feasibility and risk analysis as described in this document before carrying out remote audits or remote evidence collection.

16.2 The CAB may collect evidence remotely to:

a) Complement on-site audits.
b) Witness harvest activities for long cycle species.
c) Interview management staff
d) Review data, documents and records
e) Conduct site tours
d) Review video recording or photographs (i.e. sampling activities)

16.2.1 Reviews of data, documents and records (15.2.d) and management interviews (15.2.c) may be performed remotely in any audit as part of the evidence collection.

16.3 The CAB shall not collect evidence remotely for social indicators which require worker or stakeholder interviews.

16.4 The CAB shall only conduct fully remote audits for:

a) Surveillance audits in countries categorized as LOW and MEDIUM risk in the ASC Country Social Index (published by ASC); OR
b) Surveillance audits when product is not present on-site for longer cycle species; AND

c) At single site UoCs

16.4.1 CABs shall not conduct fully remote audits where:

   a) The certificate holder is suspended; OR

   b) The audit is an initial or recertification audit; OR

   c) The previous audit was a fully remote audit; OR

   d) The certificate holder received more than 5 major NCs in the previous audit.

16.5 Auditors conducting remote audits or evidence collection shall be trained by the CAB on how to collect evidence remotely as described in ISO 19011:2018.

16.6 Fully remote audits shall be conducted by lead auditors who conducted the previous ASC on-site audit at the same UoCs. This does not include the audits witnessed for initial qualification.

16.7 The CAB shall follow the requirements of IAF MD 4:2018, IAF Mandatory Document for the use of Information and Communication Technology (ICT) for auditing/assessment purposes.

16.8 The CAB shall evaluate clients’ and their own local legislation and regulations related to confidentiality, security and data protection which may require additional agreements from both sides because of the use of ICT.

16.8.1 The CAB shall record this evaluation and determination on the need of additional agreements.

16.9 The CAB shall test the ICT selected for the remote audits in advance of the audit.

16.9.1 The CAB shall record the ICT tests results and determination to continue or not with the remote audit.

16.10 Video, photograph, or live streaming evidence shall be verified as featuring the UoC evaluated remotely.

17. AUDIT EVIDENCE

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

17.2 Only information that is verifiable may be considered as audit evidence.
17.3 Audit evidence may be in the form of pictures, multimedia, notes, and other means.

17.4 The CAB shall record the type of audit evidence evaluated for each ASC standard indicator and applicable ASC requirements in the audit report.

17.5 The CAB shall retain audit evidence for the entire period that the client is certified by the CAB and minimum one (1) year after the certification contract is terminated.

18. **AUDIT FINDINGS**

18.1 Auditors shall evaluate audit evidence to determine whether the UoC is in conformance with each ASC standards indicator and applicable ASC Requirements for UoC.

18.2 The CAB shall grade non-conformities as minor, major or critical according to the definitions in Annex A and clearly justify the grading in the audit report.

18.3 **Requirements for all non-conformities**

18.3.1 The CAB shall set the non-conformity detection date as the date of the closing meeting when the non-conformity is reported to the client.

    a) In case new evidence emerges after the completion of an audit, the CAB shall clearly describe the circumstances of the new evidence in the audit report.

    b) Changes in grading non-conformities after the closing meeting shall not alter the detection date.

18.3.2 Critical and major non-conformities shall not be downgraded.

18.3.3 The CAB shall provide information to the client of the next steps to close non-conformities if the client decides to continue the certification.

18.3.3.1 The CAB shall classify an initial audit, if already performed, as failed if an applicant decides to not continue the certification process.

18.3.3.2 During the period of validity of a certificate the CAB shall cancel the certificate if a certificate holder decides to not continue the certification process.

18.3.3.3 In both cases the CAB shall submit Form 5 to the ASC within ten (10) days from the decision.

18.3.4 For each non-conformity the CAB shall request and confirm with the client:

    a) a root cause analysis

    b) an action plan with corrections and corrective actions
c) that the corrective actions address the root cause

18.3.5 The root cause analysis and corrective action plan shall be included in the draft audit reports.

18.3.6 The CAB shall close non-conformities if there is sufficient objective evidence showing:

   a) effective implementation of the corrections
   b) effective implementation of the corrective actions addressing the root cause

18.3.7 The CAB shall record in final audit reports the actions taken by the client and description of the evidence evaluated to close or extend a non-conformity.

18.3.8 The CAB shall record in the next audit report the actions taken by the client and the evidence evaluated to close extended non-conformities.

18.4 Minor non-conformities

18.4.1 Minor non-conformities can be extended once for a maximum period of 12 months after the detection date if the CAB has received sufficient objective evidence that demonstrates that:

   a) The time needed to execute the action plan requires a longer deadline due to circumstances related to the species production cycle; OR
   b) Conformity was not possible due to circumstances beyond the control of the client.

18.4.2 The CAB shall classify an initial audit as failed if minor non-conformities are not closed or extended within three (3) months from the date of detection.

18.4.3 For minor non-conformities detected during the period of validity of a certificate:

18.4.3.1 The CAB shall upgrade a minor non-conformity to major non-conformity if not closed or extended within three (3) months from the date of detection.

18.4.4 The CAB shall upgrade a minor non-conformity to a major non-conformity where minor non-conformities are repeatedly raised against a particular indicator.

18.5 Major non-conformities

18.5.1 The CAB shall classify an initial audit as failed audit if major non-conformities are not closed within three (3) months from the detection date.

18.5.2 For major non-conformities detected during the period of validity of a certificate:

18.5.2.1 The CAB shall suspend the certificate if not closed or extended within three (3) months from the date of defection.
18.5.2.2 Major non-conformities may be extended once for a maximum period of six (6) months after the detection date if the CAB has received sufficient objective evidence that demonstrates that:

i. The time needed to execute the action plan requires a longer period of time due to circumstances related to the species production cycle; OR

ii. Conformity was not possible due to circumstances beyond the control of the client.

18.6 Critical non-conformity
18.6.1 The CAB shall issue a critical non-conformity when either
   a) Workers’ lives are evidently at risk, or
   b) A critical indicator specified in the ASC standard is not met.
   c) A banned substance or veterinary medicine not allowed to be used by the applicable ASC standard was detected in samples taken by the ASC, ASC designated agent, ASC appointed accreditation body or the CAB.

18.6.2 The CAB shall require that critical non-conformities shall be satisfactorily addressed by the client:
   a) Prior to certification being granted;
   b) Within one (1) month of the detection date or a full re-audit shall be required;
   c) That the root cause of the non-conformity is identified and addressed.

18.6.3 The CAB shall conduct an on-site visit to close the critical non-conformity.
18.6.4 The decision, justification and conclusion shall be made clear in the audit reports.
18.6.5 In the case of a critical non-conformity raised during the period of validity of a certificate, the CAB shall:
   a) Suspend the certificate at the end of the audit;
   b) Close the critical non-conformity within a maximum of one (1) month of the detection date. This shall include:
      i. Acceptance of root cause analysis (RCA) and corrective actions based on the RCA submitted by the unit of certification;
      ii. Verification of corrective actions implemented by the UoC:
         A. On-site verification as deemed necessary;
         B. Conformity can be demonstrated.
   c) Withdraw the certificate if the critical non-conformity is not closed on completion of the one (1) month period.
      i. An extension of 15 calendar days shall be granted to close out the critical non-conformity in exceptional cases;
      ii. Extension of time and justification to close critical non-conformities shall be documented in the audit report.

19. Traceability
19.1 The CAB shall determine the activities covered by the scope of the UoC until the ownership or physical possession of the certified products is transferred. This may include but is not limited to:

a) Stocking
b) Nursing
c) Out-growing
d) Transferring
e) Harvest
f) Transportation
g) Storage
h) Processing
i) Packing

19.2 The CAB shall determine:

a) If a traceability system is in place
b) What risks of mixing and substitution have been identified and how to address those risks
c) How identification and segregation of certified from non-certified product at each applicable stage of the production cycle are implemented
d) If records are adequate to allow for tracing products back to the stocking day at the UoC
e) Who within the UoC are trained on UoC’s traceability system
f) What happens when products are mixed.

19.3 The CAB shall conduct traceability tests as follows:

a) Using the ASC template
b) To a representative sample of batches sold by the UoC including certified and non-certified products, if applicable.

19.3.2 The CAB shall consider:

i. the flow of certified product within the operation from stocking to sale.
ii. traceability documentation at each stage of production (stocking, nursing, grow-out, transferring between production units, harvest, transport, storage, or processing activities under the scope of the UoC.
iii. Production records of certified product and how product can be linked from each document (e.g. through batch codes, lot codes, etc.).
iv. If harvest is evaluated during the audit, the CAB shall select the harvested batch as part of the sample for traceability tests.
19.4 The CAB shall conduct and record input – output exercise of representative sampled batches sold by the UoC including certified and not certified products if applicable.

19.4.1 The input – output exercise shall consider:

   a) Stocked animals
   b) Mortalities collection if applicable
   c) Survival rate
   d) Feed conversion ratio
   e) Escapes
   f) Harvested biomass
   g) Inputs – outputs and conversion ratios for processing and packing if applicable.

19.5 The CAB shall document in the Confidential Annex of the audit report the actual production and sold (as certified and non-certified) volumes per harvest or crop of the previous calendar year by the UoC.

19.5.1 The CAB shall determine in the audit report whether or not the traceability system is sufficient to ensure all products identified and sold as certified are eligible to enter further certified chains of custody.

19.5.1.1 The CAB shall raise a major non-conformity against the traceability requirements where a traceability test or input-output exercise fails, or there is a lack of data to perform those tests.

   a) The CAB shall determine and inform the client that any product harvested from the detection date of a major non-conformity on traceability, is not eligible to be sold as certified and is not allowed to enter further certified chain of custody.

19.6 If the CAB has determined that the traceability systems are sufficient to allow products to enter chain of custody, the CAB shall record:

   a) The intended point of first sale.
   b) The point from which chain of custody is required to begin.

20. AUDIT REPORTS AND REVIEW

20.1 ASC audit reports shall follow the format and requirements of the ASC audit Report Template.

20.2 Each audit report, draft and final, shall receive a technical review that conforms to the following criteria:
20.2.1 The review is conducted by a fully qualified ASC lead auditor who was not involved in the audit;

20.2.2 The review is conducted before the report is submitted to ASC for publishing;

20.2.3 The review ensures that each section of the report is complete and includes all the information required.
   
   a) Review of each non-conformity to ensure that the grading is justified by the evidence presented.
   
   b) Review the action plans and actions taken to close non-conformities

20.3 The lead auditor shall address all issues of concern raised by the technical reviewer.

20.4 All comments of the technical reviewer shall be retained by the CAB for as long as the client is certified by the CAB and minimum one (1) year after the certification contract is terminated.

21. Certification Decisions

21.1 The CAB shall only make certification decisions based on the evaluation of the audit evidence as to whether or not the applicant is in conformity with the requirements of the applicable ASC Standard(s) and other applicable ASC requirements.

21.2 The CAB shall only use audit evidence not older than 6 months from the last day of the audit to make a certification decision.

21.2.1 The CAB shall conduct a full re-audit if above timeframe is exceeded.

21.2.1.1 The CAB shall inform the client of the reason(s) for the re-audit.

21.3 The CAB shall not grant a positive certification decision if there is:
   
   a) An open major or critical non-conformity
   
   b) Any open minor non-conformity
   
   c) An open variance request.

21.4 The CAB shall consider all audit evidence when taking certification decisions.
   
   a) This shall include audit evidence gathered prior to, during and after an on-site audit.
   
   b) This shall include audit evidence gathered as the result of information submitted by stakeholders and interested parties.
21.5 The CAB shall post all certification decisions, including changes in scope, suspensions, cancellation and withdrawals on the ASC database.

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

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

21.7.1 Additional information includes but not limited to inputs provided by stakeholders and interested parties.

21.7.2 Any delays in the proposed timeline for the decision on certification due to the consideration of new or additional information shall be explained in the final report.

21.7.3 Delays of more than ten (10) days shall be publicly communicated no later than the planned date of determination, using an ASC provided template.

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

21.8.1 Certificates re-issued after a certificate extension shall have the same certificate cycle dates as the initial certificate.

21.9 The CAB shall register a certificate in the ASC database within ten (10) days of its issue or re-issue.

21.10 Registration shall include the entry of all specified data.

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

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

22. **CONTENT OF CERTIFICATES**

22.1 The CAB shall issue an English language certificate, which as well as the requirements in ISO 17065 7.7 shall contain:

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

22.1.2 A unique certificate number

a. An issue number (for re-issued or renewed certificates)
22.1.3 The point at which certified products may enter a Chain of Custody.
   a) This can be skipped for a certificate only covering the social scope of a CoC UoC.

22.1.4 The date of issue of the certificate

22.1.5 The date of expiry

22.1.6 The name and address of the CAB

22.1.7 The legal name and registered address of the certificate holder

22.1.8 The name, coordinates and physical address of sites included in the Multi-site or Group UoC.

22.1.9 A description of the scope of the certificate, including a general description of the type of products covered by the certificate, a reference to the specific standard(s) against which the certificate holder has been evaluated, and confirmation of full or partial certification.

22.1.10 A description of the activities and facilities covered in the scope of the UoC.

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

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

22.1.13 The date of expiry of the certificate together with the disclaimer "The validity of this certificate shall be verified on www.asc-aqua.org"

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

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

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

23. INFORMATION FOR CERTIFICATE HOLDERS

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

23.1.2 It may claim that its aquaculture products are the result of “Responsible Aquaculture Farming”, or “Responsibly Produced”, or “Responsibly processed”.

23.1.3 It is eligible to apply for an ASC Logo Licensing Agreement.

23.1.4 It shall not make any claim about ASC certification on consumer facing products without a valid ASC Logo Licensing Agreement.

24. **SURVEILLANCE**

24.1 The CAB shall carry out surveillance audits to monitor the certificate holder’s continued conformity with applicable ASC standards and other certification requirements as follows:

24.1.1 At least annually with a window of three (3) months before or after the anniversary of the initial certification decision.

24.1.2 Conduct no fewer than two (2) surveillance audits during the certification cycle.

24.1.3 Two (2) surveillance audits should not be carried out with less than 6 months between them.

24.1.4 During the three-year term of the certificate the CAB shall plan and conduct surveillance audits in such a way that all ASC standard indicators that are not critical, are audited at least once.

24.1.5 The CAB shall evaluate all critical indicators in every audit.

24.1.6 For social aspects, the CABs shall follow instructions included in the Social Audit Risk Assessment for surveillance audits (Annex H).

24.1.7 Public notice of surveillance audits shall use Form 3.

24.1.8 Surveillance reports shall conform to Annex C.

24.1.9 Stakeholder consultation may be undertaken during surveillance audits.

24.2 The CAB shall assess during surveillance audits:

24.2.1 Implementation of corrective actions against outstanding non-conformities.

24.2.2 The CAB shall document conformity with outstanding non-conformities using the record of the original non-conformity.
24.2.3 In the event that an outstanding non-conformity is closed, the CAB shall record evidence collected for the closure in the surveillance audit report.

24.2.4 The Internal Management System and Group Management Body for Multisite and Group UoCs and a sample of sites according to Annex E and Annex F.

24.2.5 Legal and regulatory compliance including any changes that have occurred in legislation or regulations since the last audit.

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

24.2.7 Any changes affecting the operation’s traceability, chain of custody, or the ability to trace certified products back to production unit.

24.3 The CAB may conduct additional follow-up audits of certificate holders for one or more of the following reasons:

24.3.1 The number and nature of non-conformities.

24.3.2 The number and nature of complaints from the ASC, another CAB, a stakeholder or an interested party.

24.3.3 The number and nature of other issues that the CAB determines shall be investigated.

24.3.4 Follow-up audits shall comply with the requirements of surveillance audits in Annex C.

24.3.4.1 Un-announced follow-up audit shall not be published.

24.3.5 The CAB may limit the scope of a follow-up audit to specific topics relative to the reason of the follow-up audit.

25. **UNANNOUNCED AUDITS**

25.1 The CAB shall conduct unannounced surveillance audits on at least 10% of its single site certificate holders on an annual basis.

25.1.1 This number may include unannounced audits determined by the ASC Social Audit risk assessment.

25.2 The CAB shall develop a risk assessment to select the certificate holders that will receive an unannounced surveillance audit.

25.2.1 The risk assessment shall include but not be limited to the threats and thresholds detailed in Table 1.
25.2.2 If the majority of clients are categorised as low risk, the CAB shall complete the minimum unannounced audits with low risk UoCs selected randomly or by opportunity in conjunction with other audits.

25.3 The CAB shall notify unannounced audits to certificate holders no more than two (2) days or 48 hours before the audit.

25.3.1 Exceptions of five (5) days notification can be made for UoCs which require complex logistics to access the site (i.e. rental or arrangement of boats, helicopters, planes)

25.4 The client’s certificate shall be suspended where the client does not accept the unannounced audit by the CAB.

25.4.1 The suspension shall only be lifted when another unannounced audit is accepted and completed with no major or critical non-conformities.

Table 1. Threats evaluation matrix for unannounced audits

<table>
<thead>
<tr>
<th>Threat</th>
<th>Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Records management weakness</td>
<td><strong>Low Risk</strong> All required records are retained and organised as per legal requirements, applicable ASC standard and own regulations.</td>
</tr>
<tr>
<td>2. Subcontractors including subcontracted sites and subcontracted services (related to the operations of the unit of certification)</td>
<td><strong>Low Risk</strong> Either: 1) No subcontracted sites or services are used in the unit of certification; or, 2) Performance requirements for subcontracted sites and services are defined. The performance of all subcontracted sites and services meet the defined ASC requirements and are monitored by the client. All records are retained by the client.</td>
</tr>
<tr>
<td>Threat</td>
<td>Threshold</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------</td>
</tr>
<tr>
<td>3. Record of NCs raised by the ASC CAB and response</td>
<td>No open NC(s)</td>
</tr>
<tr>
<td>4. Complaints resolution weakness</td>
<td>All complaints regarding the UoC have been responded to and resolved within timelines.</td>
</tr>
<tr>
<td>5. Traceability weakness</td>
<td>Either: 1) The UoC has a separate ASC/MSC CoC certification for farming operations; or 2) All production of the UoC can be sold as ASC certified AND there is no non-conformity raised against the traceability requirements</td>
</tr>
<tr>
<td>6. Country risk assessment score</td>
<td>Operations located in a country that is above 62 on Transparency International’s latest list².</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Threat</th>
<th>Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>26. Recertification Audits</td>
<td><em>The CAB shall start the recertification audit before the expiry of the existing certificate.</em></td>
</tr>
<tr>
<td>26.1</td>
<td><em>Exact timing and planning of the audit shall remain the responsibility of the CAB, in consultation with the client.</em></td>
</tr>
</tbody>
</table>

² Country risk assessment score found on Transparency International's latest Corruption Perception Index on the latest year's CPI for the country in which the operations are sited. (For the latest scores see [http://cpi.transparency.org](http://cpi.transparency.org)).
26.2.1 The CAB shall allocate enough staff resources to conduct recertification audits to ensure the audit and recertification can be completed before expiry of current certificate.

26.3 For recertification audits the CAB shall:

26.3.1 Apply all of the steps of the ASC Certification Requirements in force at the time of the audit.

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

26.3.3 Take into account all surveillance reports, outcomes, progress on non-conformities, and inputs from stakeholders and interested parties.

26.3.4 Consider any changes to the scope of the UoC.

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

26.3.6 Follow the instructions included in the Social Audit Risk Assessment for recertification audit (Annex H).

27. **Extension of Certificate Validity**

27.1 The CAB may extend the validity of a certificate once by up to three (3) months in cases where:

27.1.1 The CAB issued the previous certificate; AND

27.1.2 The certificate holder has applied to the CAB for recertification and the application has been accepted by the CAB at or before the end of the period of validity of the certificate AND

27.2 The CAB shall justify the reasons for extending a certificate only for cases when:

27.2.1 There is no product on-site; OR

27.2.2 There are conditions outside the control of the CAB or the certificate holder that prevent the execution of the audit.

27.3 The CAB shall register the extended certificate validity in the ASC database before the expiry of the existing certificate.

27.3.1 If the ASC database is offline, the CAB shall inform the ASC within ten (10) days of the decision.
28. **Transfer of Certificate**

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

28.2 **Issuing of a certificate to a former certificate holder upon expiry or termination of the certificate**

28.2.1 An ASC-accredited CAB may issue an ASC certificate to a new client upon the expiry or termination of the client’s existing certificate with another CAB, based on a full audit according to ASC certification requirements.

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

   a) The CAB that issued the last certificate shall send these non-conformities to the succeeding CAB within fifteen (15) days upon request using FORM 2.

   b) If the preceding CAB does not reply in the above required timeframe the succeeding CAB may continue with the audit planning.

28.2.3 If the audit is conducted after the expiration of the certificate a full audit is required.

28.3 **Principles for a transfer of a valid certificate**

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

   a) If a certificate holder wishes to change CABs more than once within the period of the certificate validity, the second and all other succeeding CABs shall conduct full ASC initial audits.

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

   a) The certificate is suspended.

   b) Critical and major non-conformities have not been closed.

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

   c) The parties involved in the transfer cannot agree on the transfer date.

   d) Relevant documentation about the certificate holder (all records, audit evidence, including reports and history of non-conformities, confidential annexes) is not being made available to the succeeding CAB by the preceding CAB.
28.4 Certificate Transfer procedure

28.4.1 Once the holder of an active valid certificate has informed the current CAB that they are applying for a certificate transfer with another CAB, the transfer of the certificate shall be conducted following these steps:

28.4.1.1 The preceding CAB shall transfer all the information related to the certificate holder which is not publicly available on the ASC website within fifteen (15) days upon receipt of request from the succeeding CAB.
   a) That shall include the status of open non-conformities, all evidence of closing non-conformities detected in previous audits, and confidential annexes

28.4.1.2 The succeeding CAB shall conduct a desk review of all the available information and decide either:
   a) To carry out a transfer audit within three (3) months after the agreed transfer date according to the requirements for a surveillance audit; OR
   b) follow the certificate holder’s surveillance audit planning.
   c) The decision and rationale shall be recorded.

28.4.1.3 The succeeding CAB shall propose a transfer date to the preceding CAB and the certificate holder on which all rights and obligations for maintaining the certificate shall be passed from the preceding to the succeeding CAB.
   a) Both CABs shall keep a record of the agreed date

28.4.1.4 The succeeding CAB shall issue a new certificate on the agreed transfer date as follows:
   a) The expiry date of the succeeding certificate shall be the same as the expiry date of the preceding certificate.
   b) The scope of the succeeding certificate shall be the same as the scope of the preceding certificate.

28.4.1.5 The preceding CAB shall cancel the existing certificate on the agreed transfer date.

28.4.1.6 All open minor non-conformities and associated actions together with timelines that are applicable to the preceding certificate shall remain applicable to the succeeding certificate.
28.4.1.7 The results of any accreditation body assessment regarding the compliance of the certificate holder to certification requirements shall be applicable to the succeeding CAB.

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

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

28.5.1 The procedure in 28.4.1 above shall be followed with the following changes:

a) Suspended certificates may be transferred.

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

29. Changes in Scope

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

a) Addition of a new standard

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

c) Physical change to working and living conditions, including but is not limited to new work floor, processing line, canteen, and living quarter.

d) Reporting conditions described in clause 7.5.13 of this document.

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

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

29.3 If no on-site audit is required, the updated certificate shall be accompanied with an annex explaining the scope changes and justification for not conducting an on-site audit.

29.4 The CAB shall register any changes in scope to an existing certificate in the ASC database within ten (10) days from the decision to change the scope.
30. **Suspension, Cancellation or Withdrawal of Certification**

30.1 The CAB may suspend, cancel or withdraw a certificate for a contractual or administrative reason.

30.2 The CAB shall inform the ASC of any suspensions, withdrawals or cancellation of certificates within five (5) days of the decision using FORM 5.

30.3 Suspended, withdrawn and cancelled certificates and related information will be updated on the ASC website.

30.4 The date of the suspension or withdrawal shall be the date the decision was taken by the CAB, whereas the date of cancellation shall be the date that the certificate holder informs the CAB and/or the ASC of its decision on cancellation.

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

   a) To not to sell any product harvested from the date of suspension or withdrawal or cancellation as ASC certified or with the ASC logo or trademark
   
   b) To advise existing or potential customers in writing of the suspension/ withdrawal/ cancellation within four (4) days of the suspension, withdrawal or cancellation date
   
   c) The suspension deadline and the actions needed to lift the suspension.

30.5 The CAB shall set a deadline of a maximum of 6 months for the certificate holder to complete the actions required to lift the suspension.

30.5.1 A suspension deadline shall not be extended.

30.6 If the actions are not satisfactorily completed by the certificate holder at the set deadline, the CAB shall withdraw the certificate.

30.7 The CAB shall record the decision to lift a suspension in the FORM 6 and submit it to the ASC within five (5) days of this decision.

30.8 The CAB shall not start a certification process with clients whose certificate was suspended or withdrawn in the last 12 months.

31. **Certification Information on the ASC Database**

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

31.2 Until the ASC database is live, CABs shall submit all required information in pdf format until otherwise instructed.
ANNEX A – THE ASC VOCABULARY

Normative

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appeal</td>
<td>Request by a client or a CAB for reconsideration of any decision made by the CAB or the ASC appointed accreditation body or the ASC related to the client's desired certification or accreditation status where a response is expected.</td>
</tr>
<tr>
<td>Applicant</td>
<td>A legal entity that seeks to obtain an ASC certificate issued by a CAB that is accredited by the ASC appointed AB.</td>
</tr>
<tr>
<td>ASC Database</td>
<td>IT system implemented by the ASC to collect and publish certification information on the ASC website.</td>
</tr>
<tr>
<td>ASC Representative</td>
<td>Individual supported and appointed by Group Management Body to take responsibility for ensuring that the Group Management complies with ASC requirements. The ASC Representative is the contact point for the certification but not an employee of ASC.</td>
</tr>
<tr>
<td>ASC Requirements</td>
<td>Requirements applicable for ASC certification. These include all ASC documents that apply to any specific unit of certification such as ASC Standard(s), ASC Requirements for Unit of Certification (RUoC) and requirements for the use of the ASC trademark(s) and logo.</td>
</tr>
<tr>
<td>Audit</td>
<td>Systematic, independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which ASC standard indicators and other requirements are fulfilled. An audit begins with the first step in the execution of an audit plan and concludes when the audit plan is completed and a closing meeting is conducted. Audit activities can be desk review, on-site and off-site.</td>
</tr>
<tr>
<td>Audit Evidence</td>
<td>Records, statements of fact or other information, which are relevant to the audit criteria and verifiable. NOTE: Audit evidence can be qualitative or quantitative. Source: ISO 19011:2018</td>
</tr>
<tr>
<td>Audit Team</td>
<td>One or more auditors conducting an audit, supported if needed by technical experts and interpreters. NOTE 1 One auditor of the audit team is appointed as the lead auditor. NOTE 2 The audit team may include auditors-in-training.</td>
</tr>
<tr>
<td>Auditor</td>
<td>A person with the competency to perform an audit of a site as part of an audit team. NOTE: Auditor competencies are described in Annex B of the ASC CAR.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Cancellation of Certification</td>
<td>Voluntary cancellation of a certification contract by any party, the CAB or the Client, according to the contractual arrangements.</td>
</tr>
<tr>
<td>Certificate holder</td>
<td>Client granted with the ASC certification for a specific UoC.</td>
</tr>
<tr>
<td>Certification cycle</td>
<td>Period between the issue date and expiry date of an ASC certificate. The certification cycle includes an initial or recertification audit and two surveillance audits.</td>
</tr>
<tr>
<td>Client</td>
<td>Legal entity applying or certified for the ASC program who is responsible for implementing the ASC requirements in a specific UoC, including all personnel (i.e. directors, executives, management, supervisors, and non-management staff, whether directly employed, contracted or otherwise representing the client).</td>
</tr>
<tr>
<td>Complaint</td>
<td>Any expression of dissatisfaction, by any person or organisation, relating to the activities or lack of activities of an accreditation body, a CAB, a Certificate holder, where a response is expected.</td>
</tr>
<tr>
<td>Conformity Assessment</td>
<td>Set of processes that show that a product, service or system meets the requirements of a standard.</td>
</tr>
<tr>
<td>Conformity Assessment Body (CAB)</td>
<td>Body that performs conformity assessment services and that can be the object of accreditation. NOTE: Whenever the word CAB is used in the text, it applies to both the &quot;applicant and accredited CABs&quot; unless otherwise specified.</td>
</tr>
<tr>
<td>Continuous harvesting</td>
<td>Aquaculture production that is continuously harvested for a long period of time (opposite to batch harvest).</td>
</tr>
<tr>
<td>Contract farming</td>
<td>An agreement between Group Members and the GMB for the production and supply of aquaculture products under forward agreements, frequently at predetermined prices. (Adapted from FAO).</td>
</tr>
<tr>
<td>Contributing family workers</td>
<td>Workers who hold a 'self-employment' job in a market-oriented establishment operated by a related person living in the same household, who cannot be regarded as partners, because their degree of commitment to the operation of the establishment, in terms of working time or other factors to be determined by national circumstances, is not at a level comparable to that of the head of the establishment. Where it is customary for young persons, in particular, to work without pay in an economic enterprise operated by a related</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>------</td>
<td>------------</td>
</tr>
<tr>
<td>person who does not live in the same household, the requirement of 'living in the same household' may be eliminated.</td>
<td>Source: Resolution concerning the International Classification of Status in Employment (ICSE). ILO Jan 1993.</td>
</tr>
<tr>
<td>Correction</td>
<td>A correction is any action that is taken to eliminate a nonconformity.</td>
</tr>
<tr>
<td>Corrective Action</td>
<td>Action to eliminate the cause of a nonconformity and to prevent recurrence.</td>
</tr>
<tr>
<td>Critical Non-Conformity</td>
<td>Any non-conformity as defined in 18.6.1, as well as non-conformities referring to ASC standards’ critical indicators when the latter become effective.</td>
</tr>
<tr>
<td>Days</td>
<td>Calendar days</td>
</tr>
<tr>
<td>Detection date</td>
<td>The detection date is the date of the closing meeting when NCs is reported to the client.</td>
</tr>
<tr>
<td>Endorsed</td>
<td>Documents including standards and audit manuals that have been formally approved by ASC and are posted on the ASC website.</td>
</tr>
<tr>
<td>Failed audit</td>
<td>An initial audit for which the applicant has decided to not close or is unable to close non-conformities in the required timeframes.</td>
</tr>
<tr>
<td>Farm</td>
<td>See site definition.</td>
</tr>
<tr>
<td>Group Certification</td>
<td>Collective certification against an ASC standard by a group of two or more small-scale aquaculture producers. The group has a management body with the responsibility and authority to implement and maintain an Internal Management System to ensure compliance with relevant ASC requirements by all Group Members.</td>
</tr>
<tr>
<td>Group internal audit</td>
<td>A review of the compliance of the Group Management Body and its Internal Management System with ASC requirements for Certification of Producer Groups.</td>
</tr>
<tr>
<td>Group internal auditor</td>
<td>A person appointed by the Group Management Body to undertake an objective Group internal audit of the GMB and its Internal Management System.</td>
</tr>
</tbody>
</table>

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3 Critical indicators are currently being defined by ASC’s Science and Standards Department. Requirements referring to critical indicators will apply as soon as they become effective.
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Group Management Body (GMB)</strong></td>
<td>The person or group of people who manage and are responsible for the Group’s compliance with ASC requirements.</td>
</tr>
<tr>
<td><strong>Group Management Body (GMB)</strong></td>
<td>The person or group of people who manage and are responsible for the Group’s compliance with ASC requirements.</td>
</tr>
<tr>
<td><strong>Group Member</strong></td>
<td>Individual producer that participates formally in a group for the purpose of applying for, obtaining and maintaining ASC certification as a unit of certification. NOTE: A Group Member may own or control more than one site.</td>
</tr>
<tr>
<td><strong>Group UoC</strong></td>
<td>Collective certification against an ASC standard by a group of two or more small-scale aquaculture producers. The group has a management body with the responsibility and authority to implement and maintain an Internal Management System to ensure compliance with relevant ASC requirements by all Group Members.</td>
</tr>
<tr>
<td><strong>Harvest period</strong></td>
<td>The time between the first and the last actual harvest of the site before a prolonged dry-out period.</td>
</tr>
<tr>
<td><strong>Interested Party</strong></td>
<td>Individual or group concerned with or affected by the social or environmental performance of the applicant or certificate holder.</td>
</tr>
<tr>
<td><strong>Internal audit</strong></td>
<td>An audit against the ASC requirements carried out by personnel directly employed by or contracted by a multi-site or group UoC.</td>
</tr>
<tr>
<td><strong>Internal auditor</strong></td>
<td>A person with the competency to perform an internal audit of sites in a multisite or group UoC</td>
</tr>
<tr>
<td><strong>Internal Inspection</strong></td>
<td>A review of the compliance of a Group Member and his/her site with ASC Standard and Group requirements.</td>
</tr>
<tr>
<td><strong>Internal Inspector</strong></td>
<td>A person appointed by Group Management body to undertake an objective internal inspection of individual group members.</td>
</tr>
<tr>
<td><strong>Internal lead auditor</strong></td>
<td>A person with the competency to perform an internal audit of the IMS or GMB systems in a multisite or group UoC according to the competencies in ASC Requirements for Units of Certification</td>
</tr>
<tr>
<td><strong>Internal Management System (IMS)</strong></td>
<td>A documented structure and set of procedures and processes that a Group develops and implements to manage its operations and those of Group Members in achieving and maintaining ASC certified status.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Invalid Certificate</td>
<td>A certificate that is withdrawn, terminated or expired. NOTE: A certificate that has been suspended is still a valid certificate, however it may not be used to sell product as ASC certified. A certificate may also become invalid if the CAB loses its accreditation.</td>
</tr>
<tr>
<td>Jurisdiction</td>
<td>The lowest administrative division having regulations relevant to implementation of ASC standard(s) at sites to be included in the unit of certification.</td>
</tr>
<tr>
<td>Lead Auditor</td>
<td>Auditor who is given the overall responsibility for a specified audit managing auditors, technical experts and interpreters.</td>
</tr>
<tr>
<td>Long cycle</td>
<td>Aquaculture production that lasts longer than six (6) months from the stocking date to the harvest date.</td>
</tr>
<tr>
<td>Major Non-conformity</td>
<td>Any non-conformity with an ASC requirement that has one or more of the following characteristics:</td>
</tr>
<tr>
<td></td>
<td>• The absence or total breakdown of a system that is likely to result in a failure to achieve the objective of the relevant ASC Standard Criteria or another applicable certification requirement</td>
</tr>
<tr>
<td></td>
<td>• Would result in the probable shipment of product that does not conform to ASC requirements</td>
</tr>
<tr>
<td></td>
<td>• Is likely to result in a failure of the system or materially reduce the ability of the client to assure the integrity of the certified product</td>
</tr>
<tr>
<td></td>
<td>• Is shown to continue over a long period of time</td>
</tr>
<tr>
<td></td>
<td>• Is repeated</td>
</tr>
<tr>
<td></td>
<td>• Is systematic or is the result of the absence or a total breakdown of a system</td>
</tr>
<tr>
<td></td>
<td>• Affects a wide area and/or causes significant damage</td>
</tr>
<tr>
<td></td>
<td>• Is not corrected or adequately responded to by the client once identified</td>
</tr>
<tr>
<td></td>
<td>• Where two (2) or more minor non-conformities may together meet any of the above criteria</td>
</tr>
<tr>
<td>May</td>
<td>Denotes a permitted course of action.</td>
</tr>
<tr>
<td>Minor Non-conformity</td>
<td>Any non-conformity with an ASC requirement that does not jeopardise the integrity of the certified product. This includes one or more of the following characteristics:</td>
</tr>
<tr>
<td></td>
<td>• Where failure to comply with a requirement which is not likely to result in the breakdown of a system to meet an ASC requirement</td>
</tr>
<tr>
<td></td>
<td>• Where the failure is a single observed lapse or isolated incident</td>
</tr>
<tr>
<td></td>
<td>• Where there is no systemic failure to conform to ASC requirements</td>
</tr>
<tr>
<td></td>
<td>• Where the impacts are limited in their temporal and spatial scale</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Multi-site UoC</td>
<td>An organization having an identified central function at which certain activities are planned, controlled or managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out. <em>Source: IAF Mandatory Document for the Certification of Multiple Sites Based on Sampling, Issue 1 Version 3 (IAF MD1:2007)</em></td>
</tr>
<tr>
<td>Non-certified product</td>
<td>Any product that does not meet an ASC requirement and therefore is not eligible to be considered as certified. That may include product coming from within or outside of the unit of certification (e.g. from a suspended site).</td>
</tr>
<tr>
<td>Non-conforming product</td>
<td>A product that comes from within the unit of certification but does not conform to specified product requirements. Product requirements may be specified in ASC standard(s) or by the unit of certification itself. Non-conforming product with ASC requirements is considered as non-certified and therefore not eligible to enter to ASC certified chain of custody.</td>
</tr>
<tr>
<td>Non-conformity</td>
<td>Not conforming to an ASC indicator in the standard or another ASC requirement for certification and against which the audit is conducted.</td>
</tr>
<tr>
<td>Partial certification</td>
<td>A case in which certified and non-certified products are produced in an ASC certified UoC.</td>
</tr>
<tr>
<td>Preceding CAB</td>
<td>The CAB that first issued a certificate and that was contract partner until the certification contract was taken over and terminated.</td>
</tr>
<tr>
<td>Processing Facility</td>
<td>Facilities that process aquaculture products into other semi-finished or finished products. This includes facilities which blend or repackage products containing ASC certified materials.</td>
</tr>
<tr>
<td>Production System</td>
<td>Concept identified by what is being cultured, giving also hints on how this is done, and possibly the aquaculture milieu in which it takes place, such as for example land-based trout culture, suspended rope culture of mussel, intensive eel culture, pond culture of Nile tilapia and intensive catfish raceway culture. A production system may include a number of distinct processes.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Production unit</td>
<td>A pond, cage, tank, group of suspended lines, bags or any other aquaculture containment unit within a site.</td>
</tr>
<tr>
<td>Qualification</td>
<td>Specific accomplishment</td>
</tr>
<tr>
<td>Receiving Water Body</td>
<td>All distinct bodies of water that receive runoff or waste discharges, such as streams, rivers, ponds, lakes and estuaries (adapted from World Health Organisation). This does not include farm-constructed water courses, impoundments or treatment facilities (settling ponds, oxidation lagoons, compost pits, etc.).</td>
</tr>
<tr>
<td>Risk</td>
<td>The combination of the likelihood of a threat and its potential impact.</td>
</tr>
<tr>
<td>Root cause analysis</td>
<td>Analysis conducted to determine the reason or reasons of a non-conformity. A correct determination of the root cause should avoid the recurrence of the non-conformity.</td>
</tr>
<tr>
<td>Sanctions</td>
<td>Measures taken against Group members and their site(s) who have failed to comply with a standard or with other specified requirements.</td>
</tr>
<tr>
<td></td>
<td>Internal sanctions can be taken by the Group against Group Members, while external sanctions can be taken by a CAB against the Group as a whole.</td>
</tr>
<tr>
<td>Shall</td>
<td>Denotes a requirement.</td>
</tr>
<tr>
<td>Short cycle</td>
<td>Aquaculture production that lasts less than 6 months from the stocking date to the harvesting date.</td>
</tr>
<tr>
<td>Should</td>
<td>Denotes a recommendation.</td>
</tr>
<tr>
<td>Site</td>
<td>Production facility owned or operated by the client that is included in the UoC.</td>
</tr>
<tr>
<td></td>
<td>NOTE: A site which has been in production and is planned to return to production shall remain within the scope of a multi-site audit or certificate even if it is not in production at the time of any individual audit.</td>
</tr>
<tr>
<td></td>
<td>NOTE: Subcontracted sites that are included within the scope of an audit or within the scope of a certificate sites.</td>
</tr>
<tr>
<td>Small-scale aquaculture producers</td>
<td>Producers with all the following conditions:</td>
</tr>
<tr>
<td></td>
<td>- small production volume</td>
</tr>
<tr>
<td></td>
<td>- relatively small surface area</td>
</tr>
<tr>
<td></td>
<td>- without hired workers all year round</td>
</tr>
<tr>
<td></td>
<td>- most of the farm work is done by the producers and contributing family workers (even if the producers have more than one site)</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>- lacking technical and financial capacity to support individual member certification.</td>
</tr>
<tr>
<td>Stakeholder</td>
<td>Any individual, group or organisation, which may affect or may be affected by the entity seeking certification.</td>
</tr>
<tr>
<td>Subcontractor / Sub-supplier</td>
<td>A business entity in the supply chain which, directly or indirectly, provides the supplier with goods and/or services integral to, and utilized in/for, the production of the supplier’s and/or company’s goods and/or services.</td>
</tr>
<tr>
<td>Succeeding CAB</td>
<td>The CAB that takes over a certificate from a preceding CAB. Prior to the transfer process, the succeeding CAB shall establish a new contract and becomes the new contract partner of the certificate holder.</td>
</tr>
<tr>
<td>Suspension of Certificate</td>
<td>The temporary removal by the CAB of all or part of a certificate holder’s scope of certification pending corrective action by the certificate holder. A suspended certificate cannot be transferred.</td>
</tr>
<tr>
<td>Technical Expert</td>
<td>Person who provides specific knowledge or expertise to the audit team. NOTE: A technical expert shall not act as an auditor.</td>
</tr>
<tr>
<td>Termination of Certificate</td>
<td>Cancellation of the certification contract by either party according to contractual arrangements. Also referred as Cancellation.</td>
</tr>
<tr>
<td>The ASC appointed accreditation body</td>
<td>The accreditation body that is named and referred to on the ASC website.</td>
</tr>
<tr>
<td>Threat*</td>
<td>A source of risk to the client’s conformity with ASC requirements.</td>
</tr>
<tr>
<td>Transaction</td>
<td>An instance of selling any ASC certified products whereby an invoice is created.</td>
</tr>
<tr>
<td>Transfer of Certificate</td>
<td>Moving the responsibility for maintaining an active ASC certificate from one CAB to another.</td>
</tr>
<tr>
<td>Unannounced audit</td>
<td>An audit by a CAB to a client and/or their members/sites without a public audit announcement or prior notice.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Unannounced inspection</td>
<td>An internal inspection of a Group Member and his/her site without any prior notice.</td>
</tr>
<tr>
<td><strong>Unit of Certification (UoC)</strong></td>
<td>The operation(s) that is covered by a certificate up to the point where the product enters further chain of custody. It may include:</td>
</tr>
<tr>
<td></td>
<td>- production or harvest sites.</td>
</tr>
<tr>
<td></td>
<td>- storage, slaughter or processing operations (including subcontracted operations) within the limits of the UoC</td>
</tr>
<tr>
<td></td>
<td>- Activities under responsibility of the UoC such as transport</td>
</tr>
<tr>
<td>Valid Certificate</td>
<td>A certificate that is not suspended, withdrawn, cancelled or expired. Only active valid certificates can be transferred.</td>
</tr>
<tr>
<td>Withdrawal of Certificate</td>
<td>The irrevocable removal by the CAB of all or part of a certificate holder’s certification as a result of noncompliance with certification requirements or contractual commitments.</td>
</tr>
</tbody>
</table>
**ANNEX B – AUDITOR QUALIFICATIONS AND COMPETENCIES**

Normative

All auditors shall possess the attributes described in clauses 4, 7.2.2 and 7.2.3.2.a in ISO 19011:2018.

Table A – Environmental Auditor qualifications and competencies

Auditors evaluating environmental requirements in ASC audits shall possess the following qualifications and competencies.

<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>B1. Education</strong></td>
<td>a) The individual shall have at least a post-high school diploma or equivalent (minimum course duration of two (2) years) shall have been obtained in a discipline related to the scope of certification; OR&lt;br&gt;b) In exceptional cases practical experience can be regarded as equivalent. These cases shall be documented.</td>
</tr>
<tr>
<td><strong>B2. Work experience</strong></td>
<td>a) The individual shall have at least two (2) years of experience relevant to aquaculture operations and, if relevant, the processing facility being audited.</td>
</tr>
</tbody>
</table>
| **B3. Language**         | a) Unless accompanied by an independent interpreter, the individual shall be a fluent speaker and reader of the language(s) used by managers, administrators and workers of the UoC being audited.  
  b) The individual shall communicate effectively through an interpreter.  
  c) The individual shall have knowledge of the technical language employed in aquaculture and processing of aquaculture products. |
<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
</table>
| B4. Audit training      | a) The individual shall have successfully completed a Lead Auditor training course based on ISO 19011 principles that have a minimum duration of thirty-seven (37) hours. The certificate shall specify the course content and duration. Successful completion shall be indicated on the certificate. The Lead Auditor training course shall cover: applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication) and reporting, and it shall also include a practical case study; AND  
b) The individual shall have undertaken and successfully completed an ASC approved auditor training course or courses in relation to specific standards and certification requirements, as required by the ASC; AND  
c) The individual shall have undertaken and successfully passed the 'ASC Farm Traceability' or CoC training at the MSC online training platform; AND  
d) The individual shall complete the ASC training for new requirements as specified by the ASC within the deadlines set by ASC; AND  
e) The individual shall undertake additional training on changes to legislation, specific standards, codes or conventions as appropriate. |
<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
</table>
| B5. Audit Experience    | a) The individual shall initially have completed a minimum of 25 days of onsite audit experience in conducting audits (either for social or environmental third party certification audits); AND  
 b) The individual shall have actively participated in at least three (3) ASC audits as an ASC auditor trainee; OR shall have been a member of an audit team for ten (10) audit days, for any other aquaculture third party certification audits (GlobalG.A.P., BAP, FOS, Organic Aquaculture) at more than one (1) production facility; AND  
 c) The individual shall have undertaken at least 2 satisfactory ASC audits shadowed and under the supervision of a previously qualified competent ASC environmental auditor.  
 d) The individual shall participate in ASC audits within a maximum of one (1) year after having successfully passed an ASC auditor training, or shall repeat the training if no ASC audit is performed during this one (1) year period.  
 e) The individual shall lead no less than two (2) ASC audits per year to maintain ASC auditor qualification. |
### Table B – Social auditor qualifications and competencies

**Auditors** evaluating **social requirements** in ASC audits shall possess the following qualifications and competencies.

<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>B6. Social auditing qualification</strong></td>
<td>The individual shall have one or more of the following qualifications or equivalent:</td>
</tr>
<tr>
<td></td>
<td>a) Has successfully completed a SAAS approved 5-day SA8000 basic auditor course, OR</td>
</tr>
<tr>
<td></td>
<td>b) Has successfully completed the Verité five day “EICC Labor &amp; Ethics Lead Auditor Course”, OR</td>
</tr>
<tr>
<td></td>
<td>c) Is an APSCA-approved auditor.</td>
</tr>
<tr>
<td><strong>B7. Social auditing experience</strong></td>
<td>1. The individual shall have participated as an active audit team member in at least two (2) third party audits in agriculture or aquaculture. AND</td>
</tr>
<tr>
<td></td>
<td>2. The individual shall have participated as an active audit team member in at least five (5) third party audits for one or more of the following schemes:</td>
</tr>
<tr>
<td></td>
<td>• Amfori (Business Social Compliance Initiative - BSCI)</td>
</tr>
<tr>
<td></td>
<td>• Ethical Trading Initiative (ETI) Base Code</td>
</tr>
<tr>
<td></td>
<td>• Fair Trade USA</td>
</tr>
<tr>
<td></td>
<td>• Fairtrade International (FI)</td>
</tr>
<tr>
<td></td>
<td>• Goodweave (Rugmark)</td>
</tr>
<tr>
<td></td>
<td>• International Council of Toy Industries (ICTI) – Code of Business Practice</td>
</tr>
<tr>
<td></td>
<td>• Social Accountability International (SAI) SA 8000</td>
</tr>
<tr>
<td></td>
<td>• Worldwide Responsible Apparel Producers (WRAP) – Code of Conduct</td>
</tr>
<tr>
<td><strong>B8. ASC Social Auditor Training</strong></td>
<td>a) The individual shall have undertaken and successfully completed an ASC Social Auditor training course, or courses in relation to specific standards, as required by the ASC; AND</td>
</tr>
<tr>
<td></td>
<td>b) The individual shall undertake additional training on changes to legislation, specific standards, codes or conventions as appropriate.</td>
</tr>
</tbody>
</table>
### B9. Competencies

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>The individual shall have knowledge of local labour and human rights legislation</td>
</tr>
<tr>
<td>b)</td>
<td>The individual shall have familiarity with local customs</td>
</tr>
<tr>
<td>c)</td>
<td>The individual shall speak and read the primary local language, unless an independent interpreter makes up part of the audit team</td>
</tr>
<tr>
<td>c)</td>
<td>The individual shall be proficient in the language of the audit (at least at level B2 according to the Common European Framework of Reference for Languages (CEFRL), if the language is not native to the social auditor</td>
</tr>
<tr>
<td>d)</td>
<td>The individual shall be able to manage relationships with workers and managers.</td>
</tr>
</tbody>
</table>

### B10. Continuous professional development

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>The individual shall conduct at least 3 ASC social audits per year</td>
</tr>
<tr>
<td>b)</td>
<td>The individual shall take part in ASC annual social auditor calibration session</td>
</tr>
<tr>
<td>c)</td>
<td>The individual shall attend update training or session on topics related to ASC social requirements.</td>
</tr>
</tbody>
</table>

### Table C – Lead Auditor qualifications and competencies

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

<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>B11. Audit Experience</td>
<td>a) The individual shall have undertaken at least five (5) audits as a lead auditor for any other third party certification scheme.</td>
</tr>
<tr>
<td></td>
<td>b) The individual shall have actively participated in at least three (3) ASC audits as an auditor (either environmental or social)</td>
</tr>
<tr>
<td></td>
<td>c) The individual shall lead no less than two (2) ASC audits per year to maintain ASC lead auditor qualification.</td>
</tr>
</tbody>
</table>
### Table D – Lead Auditor qualifications and competencies for Multisite and Group Management systems

In addition to the requirements of tables A or B and C, **lead auditors** conducting ASC audits in multisite and group UoCs shall possess the following qualifications and competencies.

<table>
<thead>
<tr>
<th>Qualification/Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>B12. Auditor training</td>
<td>e) The individual shall have successfully completed an IRCA or Exemplar Global management system lead auditor course.</td>
</tr>
<tr>
<td>B13. Audit Experience</td>
<td>c) The individual shall have conducted at least three (3) management system audits.</td>
</tr>
</tbody>
</table>
**ANNEX C – AUDIT REPORT REQUIREMENTS**

Normative

*(For the audit report template, see the Excel file “Annex C - ASC Report Template”)*

**General Requirements**

C1. Audit reports shall be written in English and in the most common language spoken in the areas where the operation is located.

C1.1 The CAB may submit only a report in English for audit reports of UoCs located in countries evaluated as Very High in the latest report by the EF English Proficiency Index.

C2. Audit reports may contain confidential annexes for commercially sensitive information.

  C2.1 The CAB shall agree the content of any commercially sensitive information with the applicant, which shall be submitted separately to the ASC and accessible to the appointed accreditation body upon request as stipulated in the certification contract.

  C2.2 The public report shall contain a clear overview of the items which are in the confidential annexes.

  C2.3 Except for the annexes that contain commercially sensitive information all audit reports will be public including unannounced audit reports.

C3. The CAB is solely responsible for the content of all reports, including the content of any confidential annexes.

  C3.1 The CAB shall submit to the ASC the full Impact Assessments reports as required by the applicable ASC standard. In case the assessment reports are in local language(s) a summary or synopsis of the report in English shall be included as part of the audit reports.

C4. The CAB shall submit to the ASC audit reports or summaries of non-conformities for failed audits or audits that resulted in the suspension, cancellation or withdrawal of a certificate.

  C4.1 The ASC shall keep these reports published for 12 months and make them available upon request after this period.

C5. The CAB shall include a record of changes if a published final report is updated or corrected.

C6. Audit reports shall contain accurate and reproducible results.

**Reporting Deadlines* for certification and re-certification audit reports**

C7. Within fifty (50) days of the completing of the audit the CAB shall submit a draft report in English and the national or most common language spoken in the area where the operation is located.

C8. Within seven (7) days the ASC should post the draft report to the ASC website.

C9. The CAB shall allow stakeholders and interested parties to comment on the report for twenty (20) days.
C10. Within thirty (30) days of the close of comments, the CAB shall submit the final report to the ASC in English and the national or most common language spoken in the area where the operation is located.

C11. Within seven (7) days the ASC should post the final report to the ASC website.

**Reporting Deadlines* for surveillance audit reports**

C11. Within ninety (90) days of the completing of the audit the CAB shall submit a final report in English and the national or most common language spoken in the area where the operation is located.

C12. Within seven (7) days the ASC should post the final report to the ASC website.

* Refers to calendar days
ANNEX D – COMMUNICATION WITH THE ASC

Normative

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

D2 Forms
D2.1 CABs shall communicate with the ASC using forms supplied in this document or using online forms on the ASC database.
D2.2 Requests for interpretation of the ASC Standards or Certification and Accreditation Requirements and requests for variance to these normative requirements shall be made by CABs using FORM 1.

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

D4 Format
D4.1 Information shall be submitted in the formats specified by the ASC
ANNEX E – ASC CERTIFICATION FOR MULTI-SITE UoCs

Normative

E1. Scope

E1.1. This annex shall be used for all conformity assessment services for multi-site clients.

E1.2. Multisite without IMS (option 1): The CAB shall audit all the sites in each audit, initial, surveillance and recertifications.

E1.3. Multisite with IMS (option 2): The CAB shall evaluate the Multisite’s IMS according to the requirements in Annex A of the ASC Certification Requirements for Unit of Certification (ASC RUoC).

E2. Initial Audit

E2.1. All initial audits of multi-site clients shall:
   a) All the sites shall be operative and with product on site.
   b) At least a quarter of all sites meet one of the periods described in section 8.2.
   c) Include onsite visits of all sites in the unit of certification.
   d) Include all applicable requirements for certification as stated in the relevant standard and in the ASC Certification and Accreditation Requirements (this document).
   e) Worker interviews conducted according to Social Audit Risk Assessment (Annex H).
   f) Files and records shall be sampled at a rate to be established by the CAB taking into account that threats and risk level of the unit of certification are yet to be identified and assessed at the end of the initial audit.

E2.2. Initial audits for Multisite with IMS (option 2) shall include the evaluation of the IMS.

E3. Sites

E3.1. Only sites that are in production shall be included in the unit of certification of a multi-site applicant.

E3.2. Sites that are certified under an existing certificate(s) may be exempted from the initial audit if:
   a) The site has been subject of an audit within the last 6 months, and
   b) No open major non-conformities have been identified at the site.

E3.2.1. The CAB may decide to audit any site that conforms to these conditions if it determines that it is necessary to demonstrate conformity with ASC requirements.

E3.3. Sites may be removed from the scope of an initial audit by the CAB at the request of the client.

E3.3.1. Removed sites and reason(s) of removal shall be included in the audit report.

E3.3.2. Audit findings of sites removed after the initial onsite audit shall be documented in the audit report.
E3.3.3. Sites that are removed from the scope of an initial audit may only be added to the scope of the certificate as new sites at the next re-certification audit.

E3.4. Sites may be removed from the scope of an existing certificate by the CAB
   a) due to a major non-conformity that is not closed out in due time; OR
   b) due to not complying with applicable local regulations as notified by the client.

E3.5. The CAB shall follow requirements in section 30 of this document when removing sites from a certificate.

E3.6. Reason(s) of site removal from a certificate shall be documented in the next audit report.

E3.7. Sites removed from a certificate may be added to the scope of the certificate once the CAB confirms that:
   a) all outstanding non-conformities are closed following an agreed timeframe between the multi-site client and the CAB;
   b) the site complies with applicable regulations; and,
   c) product produced in the removed site(s) is not at risk of being included as certified production and in further certified chain of custody.

E3.8. New sites may be added to an existing certificate only after an onsite audit has been conducted by the CAB without any open major non-conformities.

E3.8.1. Sites that are fallowed at the time of the initial audit shall be treated as new sites if they are to be added to the scope of a certificate.

E3.8.2. All site(s) removed from the initial audit and from a valid certificate as described above shall be treated as new sites at the next audit.

E3.9. The CAB shall prepare a map of the location and boundaries of each site that are included in the unit of certification.

E3.9.1. The map of all sites within the unit of certification shall be included in the audit report.

E3.9.2. The location and name or ID of each site in the unit of certification shall be appended to the certificate.

E3.9.3. If the sites included in the scope of a certificate are different from the sites in a subsequent audit (due to removed or newly (re-)included sites), the CAB shall update the map of the unit of certification.

E3.9.4. The map shall:
   a) be included in the audit report;
   b) include all sites within the unit of certification, including those that are not in production and those from which product may be quarantined or segregated;
   c) clearly indicate all sites that were removed from and newly added to the scope of the audit or certificate.

E3.10. The CAB shall update the certificate with an up-to-date list of all sites within the unit of certification and their locations each time a site is added or removed.
E4. Traceability

E4.1. In addition to the requirements of section 19 in this document, the CAB shall determine if the product from any site(s) are to be excluded from entering the chain of custody. This may be due to factors such as:

a) If the site is not actively being used for production;
b) If the site has any production units (cages/pens/ponds/tanks/raceways/beds) or fish cultured in them remediated or treated; or
c) If the site is suspended or removed from the unit of certification due to (open) major non-conformity, or cancelled for any other reasons.

E4.2. The CAB may determine that product from one or more site(s) shall be excluded from the chain of custody.

a) The CAB shall determine the conditions under which product from the site may be sold as certified.
b) The CAB may determine that product from the site is to be quarantined or otherwise segregated from certified product.

E4.3. The CAB shall document its review of the risks to traceability that may arise due to any decisions taken relative to E4.1 and E4.2.

E5. Surveillance audits (Multisites with IMS (Option 2))

E5.1. All audits conducted after the initial audit, including surveillance and re-certification audits, shall use the risk weighted sampling procedure below.

E5.1.1. If the client chooses to change to a different CAB, the succeeding CAB shall use the risk weighted sampling procedure below.

a) Data gathered by the preceding CAB in its first audit shall be applied.
b) The succeeding CAB may use additional information for its risk weighted sampling procedure.

E5.1.2. If a client had a certificate that has expired for any period of time, any new certification audits shall be treated as an initial certification (E2).

E5.1.3. The CAB shall make or revise its risk analysis of the client using the same risk-based method described in this Annex E to determine the rate and selection of samples.

E5.1.4. The grading of threats as a low, medium or high risk may be revised based on audit evidence and other information gathered in previous audits and stakeholder input received by the CAB.

E5.1.5. Grading of risks and sampling levels may change from audit to audit, based on the information gathered in previous audits and new information gathered.

E5.1.6. All ASC certification requirements relevant to threats that are determined to be high and medium risks shall be audited in every surveillance audit.

E6. Re-certification audits (Multisites with IMS (Option 2))

E6.1. All re-certification audits shall include all requirements for certification as stated in the relevant standard and in the ASC Certification and Accreditation Requirements (this document).
E6.2. The CAB shall review and revise the risk analysis for the client using the same risk-based method described in this Annex E to determine the rate of sampling for the re-certification audit.

E6.2.1. The revision of the risk analysis for re-certification audits shall consider all risk information gathered in previous audits.

E7. Risk-Weighted Sampling Procedure (Multisites with IMS (Option 2))

E7.1. The CAB procedures shall document its risk-weighted sampling procedure that shall conform to this Annex E. This procedure shall include:

E7.1.1. Audit planning procedures including:
   a) Initial audits
   b) Surveillance audits
   c) Re-certification audits

E7.1.2. Risk assessment procedures for threats not covered in this annex including:
   a) Threat identification
   b) Risk assessment
   c) Assignment of risk categories

E7.1.3. Sample selection procedures including:
   a) Sample size
   b) Sample selection including fallowing site(s).

E7.1.4. Reporting procedures:
   a) Reporting on audit planning, risk assessment and sample selection

E8. Risk-Weighted Sampling (Multisites with IMS (Option 2))

E8.1. Threat identification and classification of risk threshold

E8.1.1. The CAB shall evaluate the operations of the client against the ASC standard to be audited and identify any material environmental, operational, social or economic threats to its conformity to ASC requirements that are not included in Table E1.

E8.1.2. These additional threats and associated risk assessment shall be included in the audit report.

E8.2. Risk Assessment

E8.2.1. For the threats listed in Table E1, the CAB shall apply the thresholds in the Table to determine if the risk is low, medium or high.

E8.2.2. For threats identified by the CAB that are not listed in Table E1, the CAB shall develop thresholds for determining whether the threat is a low, medium or high risk and shall include this information in Table E1 in the audit report.
   i. This determination shall be based on the likelihood of the occurrence and the likely impact of each threat during the term of certification.
   ii. The audit plan shall include provision for evaluating threats that are identified by the CAB and are not listed in Table E1

E8.2.3. All threats assessed and their risk classification shall be described and justified in the audit report.
Table E1 - Threat Evaluation Matrix for Multi-site risk assessment

<table>
<thead>
<tr>
<th>Threat</th>
<th>Threshold</th>
</tr>
</thead>
</table>
| 1. Management system weakness         | Low Risk: The client is certified to a management system standard such as ISO 9001 or 14001, or GAA/BAP group certification or GlobalG.A.P. multi-site option 2 or group certification.  
Medium Risk: The client is not certified to a management system standard such as ISO 9001 or 14001, or GAA/BAP group certification, or GlobalG.A.P. multi-site option 2 or group certification.  
High Risk: The client is not certified to management system standard such as ISO 9001 or 14001, or GAA/BAP group certification, or GlobalG.A.P. multi-site option 2 or group certification; and is known to have a weak management system. |
| 2. Weakness of client’s internal site checklist | Low Risk: All internal site checklists are complete and up to date.  
Medium Risk: Internal site checklists are not complete and up-to-date but performance is not being affected.  
High Risk: Internal site checklists are not complete and up-to-date; and performance is at risk. |
| 3. Internal audit weakness            | Low Risk: Complete internal audit at all sites is conducted by qualified internal auditors. Audit and audit report include a review of all ASC requirements and internal site checklists. All audit findings are reported and acted upon.  
Medium Risk: Complete internal audit at all sites is regularly conducted by qualified internal auditors. Internal audit includes a review of all ASC requirements and internal site checklists. Audit report is incomplete.  
High Risk: Either 1) Internal audit does not include a review of all sites and all ASC requirements and internal site checklists; Or 2) Internal audit is conducted by unqualified internal auditors. |
| 4. Staff training weakness           | Low Risk: All responsible personnel at all sites are trained in relevant the procedures and are competent to accomplish their responsibilities. A staff training procedure is implemented.  
Medium Risk: No staff training procedure is available. All responsible staff are trained to do their job to ensure conformity with ASC requirements.  
High Risk: Staff training is deficient, or not occurring. |
| 5. Multiple management systems        | Low Risk: The client has a single management system implemented for all its operations.  
Medium Risk: The client has more than one management system but only one is used by the central office and for all sites included in the unit of certification.  
High Risk: The client has more than one management system for operations managed by the central office including for sites that are part of the unit of certification. |
<table>
<thead>
<tr>
<th>Threat</th>
<th>Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Records management weakness</td>
<td>Low Risk: All required records are retained and organised as per legal</td>
</tr>
<tr>
<td></td>
<td>requirements, applicable ASC standard and own regulations.</td>
</tr>
<tr>
<td></td>
<td>Medium Risk: Not all required records are found due to missing records or</td>
</tr>
<tr>
<td></td>
<td>they are not organized for retrieval.</td>
</tr>
<tr>
<td></td>
<td>High Risk: Required records are not retained or found.</td>
</tr>
<tr>
<td>7. Subcontractors including subcontracted sites and subcontracted</td>
<td>Either: 1) No subcontracted sites or services are used in the unit of</td>
</tr>
<tr>
<td>services (related to the operations of the unit of certification)</td>
<td>certification; or, 2) Performance requirements for subcontracted sites</td>
</tr>
<tr>
<td></td>
<td>and services are defined. The performance of all subcontracted sites</td>
</tr>
<tr>
<td></td>
<td>and services meet the defined ASC requirements and are monitored by the</td>
</tr>
<tr>
<td></td>
<td>client. All records are retained by the client.</td>
</tr>
<tr>
<td></td>
<td>Medium Risk: Records of the client monitoring the performance of</td>
</tr>
<tr>
<td></td>
<td>subcontracted sites and services are not complete. The performance of</td>
</tr>
<tr>
<td></td>
<td>subcontracted sites is found to be in compliance with relevant ASC</td>
</tr>
<tr>
<td></td>
<td>requirements.</td>
</tr>
<tr>
<td></td>
<td>High Risk: Records of monitoring the performance of subcontracted sites</td>
</tr>
<tr>
<td></td>
<td>and services are incomplete.</td>
</tr>
<tr>
<td>8. Use of resources</td>
<td>Purchasing of supplies and services is centralised. Records are</td>
</tr>
<tr>
<td></td>
<td>complete.</td>
</tr>
<tr>
<td></td>
<td>Medium Risk: All purchasing of supplies and services is centralised but</td>
</tr>
<tr>
<td></td>
<td>records are not centralised.</td>
</tr>
<tr>
<td></td>
<td>High Risk: Supplies and services are purchased as needed and approved by</td>
</tr>
<tr>
<td></td>
<td>more than one individual.</td>
</tr>
<tr>
<td>9. Record of NCs raised by the ASC CAB and response</td>
<td>No open NC(s)</td>
</tr>
<tr>
<td></td>
<td>Open minor NC(s)</td>
</tr>
<tr>
<td></td>
<td>Any site was once suspended or removed from the scope of a certificate</td>
</tr>
<tr>
<td></td>
<td>within the past 3 years due to not complying with ASC requirement(s).</td>
</tr>
<tr>
<td>10. Complaints resolution weakness</td>
<td>All complaints regarding the UoC to the client have been responded to and</td>
</tr>
<tr>
<td></td>
<td>resolved within timelines in client’s complaint procedure.</td>
</tr>
<tr>
<td></td>
<td>Complaints regarding the UoC are addressed but not in a timely fashion as</td>
</tr>
<tr>
<td></td>
<td>specified in the client’ complaint procedure.</td>
</tr>
<tr>
<td></td>
<td>Evidence is found that complaint responses and resolution related to the</td>
</tr>
<tr>
<td></td>
<td>UoC is intentionally delayed or avoided; OR A complaint related to the</td>
</tr>
<tr>
<td></td>
<td>UoC has escalated to legal actions.</td>
</tr>
</tbody>
</table>
### E9. Sample Size for surveillance and re-certification audits

**E9.1** The minimum sampling size for sites and staff interviews shall be determined by using the “ASC multi-site sample size combined calculator”.

**E9.1.1** Audit approaches and any additional samples selected for risks identified by the CAB that are not listed in Table E1 shall be determined by the CAB.

- These shall be documented in the audit report.

**E9.2.** Sample size for files and other records shall be determined by the CAB, considering the risk profile of the client.

- Sample size for records should be greater for sites with elevated risks in areas where there are elevated risks.

**E9.2.1** These shall be documented in the audit report.

### E10. Sample selection

**E10.1** The allocation of the sample size determined in E8 shall include:

**E10.1.1** If the sample size is less than the total number of sites or staff to be interviewed:

- No less than 20% (rounded up) shall be selected randomly

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5 Country risk assessment score found on Transparency International’s latest corruption perception index on the latest year’s CPI for the country in which the operations are sited. (For the latest scores see [http://cpi.transparency.org](http://cpi.transparency.org)).
ii. No less than 50% (rounded up) of any balance shall be selected based on medium and high risk identified for any of threats number 2, 3, 7 or 9 in table E1.

E10.2 Where the client’s operations, sites, locations or staff have been stratified, the sample selection for each stratum will conform to E9.1

E10.3 For samples selected where there are only low risks identified under E7, E9.1.1 shall not apply.

E10.3.1 Samples for all low risk multi-site clients shall be representative and shall be clearly explained and documented in the audit report.
Annex F – Requirements for CABs Providing Certification Services for Producer Groups

Normative

E2. Scope

E2.1. This annex, in addition to relevant requirements in this document, shall be used for all conformity assessment services for Producer Groups.

E3. Normative Documents

E3.1. In the application of this Annex CABs shall also conform to the requirements of the following:

E3.1.1. ASC Certification Requirements for Producer Groups.

E4. Requirements for CABs

E4.1. Third-party audits and certification of Producer Groups shall be undertaken by accredited CABs with scope for Group certification.

E4.2. CAB audit team members shall conform to the requirements of Annex B of this document.

E4.3. The CAB shall apply the methodology described in this Annex to audit Group Producers.

E4.3.1. For medium and large-scale producers included in the Group, the CAB shall apply the Social auditing methodology\(^6\) in addition to the subsequent sections of Desk Review (F4.2), Risk weighted sampling procedure (F4.3), Risk assessment (F4.4), Sample size and sample selection (F4.5), and Audit planning (F4.6).

E4.4. The CAB shall implement documented procedures for product sampling and testing, when needed. The procedures shall include:

E4.4.1. Criteria and conditions, under which product sampling and testing is necessary to confirm conformance of the ASC certified product;

E4.4.2. Testing parameters;

E4.4.3. Number and type(s) of samples (e.g. fish, water, sediment, feed, and chemicals);

E4.4.4. Sampling and sample transportation protocols to assure integrity of the samples chain of custody;

E4.4.5. Product testing shall be performed by an ISO 17025 accredited laboratory.

\(^6\) When the Social auditing methodology is available.
E5. Certification process

E5.1. Review of application for Group certification

E5.1.1. The CAB shall review and only accept eligible Group applicants as specified under “Application for Group Certification” in the ASC Requirements for Certification of Producer Groups.

E5.1.2. As a result of the review, the CAB shall determine whether a Group applicant shall have a separate MSC/ASC Chain of Custody (CoC) certification.

E5.2. Desk review (off-site)

E5.2.1. A Desk Review shall be completed prior to any on-site audit (initial, surveillance, re-certification, and any other) and whenever major changes occur in the Group’s structure and/or Internal management system.

As a minimum the CAB shall review the following document and record types:

- Group’s IMS policies and procedures;
- The Sites Register (latest version);
- Reports of the latest Group internal audit and internal audits, including all non-conformity reports and evidence of their close-out;
- Maps of Group Members;
- Member agreement and/or contract farming terms and conditions;
- Group Members’ sales and delivery notes;
- Minutes of the last management review;
- List of staff of the GMB and workers of each site and their functions;
- Received complaints and appeals and details of their respective resolutions; for the 6 months preceding the initial audit, and between on-site audits for all subsequent audits.
- Other records as specified in the Desk Review section to social auditing, if applicable.

E5.2.2. Results of desk review shall serve as a source of information for the CAB risk weighted sampling procedure and planning for on-site audits.
E5.3. **Risk Weighted Sampling Procedure**

E5.3.1. The CAB procedures shall describe its risk-weighted sampling process for the audit of the Group that conforms to this Annex. This process shall include:

- Risk assessment procedures including threat identification, risk assessment, and assignment of risk categories.
- Sample selection procedures including sample size, sample selection.

E5.4. **Risk Assessment**

E5.4.1. Before every on-site audit the CAB shall (re-)evaluate the operations of the Group Management Body (GMB) and its Group Members against the ASC requirements to identify any material environmental, operational, social or economic threats to its conformity to ASC requirements.

E5.4.2. For the threats listed in Table F1 in this Annex, the CAB shall apply the thresholds in the table to determine if the risk is low, medium or high.

The default risk level of threats (except threat number 12) in Table F1 for the initial audit is Medium.

E5.4.3. For threats identified by the CAB that are not listed in Table F1, the CAB shall develop thresholds for determining whether the threat is a low, medium or high risk.

This determination shall be based on the likelihood of the occurrence and the likely impact of each threat during the term of certification.

These additional threats and associated risk assessment shall be included in addition to the Table F1 in the audit report.

E5.4.4. Threats may be added or removed based on audit evidence and other information gathered in previous audits and stakeholder input received by the CAB.

E5.4.5. Risk classifications and sampling levels may change from audit to audit based on the information gathered in previous audits and new information gathered.

E5.4.6. All assessed threats and their risk classification shall be described and justified in the audit report.

E5.5. **Sample size and sample selection**

E5.5.1. The minimum sampling size for sites shall be determined by using the ASC Group sample size calculator (Excel file – Annex F-1).

The CAB shall only use the number of small-scale producers to calculate the audit sample size (i.e. number of sites to be audited).
Medium and large producers shall be singled out and audited in every CAB audit.

Any additional samples shall be determined based on the additional threats identified by the CAB.

E5.5.2. The sample size for documents and records shall be determined by the CAB, considering the risk profile of the client.

The sample size for records should be greater for sites with elevated risks in areas where the elevated risks are.

E5.5.3. Selection of sites shall include:

- Minimum 20% of the sampled sites shall be random
- Minimum 50% of the sample sites shall be based on medium and high-risk threats identified in section F4.5.1 above.
- The balance shall be stratified based on production stages, production systems and methods, size of sites within the unit of certification, site location in relation to GMB’s office, sites admitted by the GMB in between CAB audits, new sites, number of sites per member, among others.

Fallow sites may be the sampled for any on-site audits, except the initial one (See 5.2 – Application for Group Certification/ASC requirements for the Certification of Producer Groups).

Sites with harvesting activities shall be included in the sample for initial, surveillance and re-certification audits.

Sites with critical and/or major non-conformities raised either in the latest internal audit or previous certification audit shall be included in the audit sample.

Where there are only low risks identified, the above requirements under F4.5.3.1- F4.5.3.5 may not apply.

Samples may be selected representatively.

E5.5.4. Selection for interviews

The CAB shall select to interview as many diverse positions within the GMB as possible.

As a minimum the interviews shall be conducted with Group internal auditors/auditors, Group’s decision-makers (regarding compliance status of sites, sanctions applied to Members and their site, removal/addition of sites, complaints and appeals, traceability), Group Members, managers of sites, workers if any.

The Group Coordinator shall only be counted in the interview sample if s/he takes charge of any of the Group’s other functions (e.g. Group internal audit/audits, handling of Group’s product, handling of complaints and appeals).
Farmers or site managers and workers of selected sites shall be interviewed.

E5.5.5. Sample size and justification for selection of sites, interviews and records shall be documented and explained in the audit report.

This shall include any additional samples as determined by the CAB.

E5.6. Audit Planning

E5.6.1. Planning for all on-site Group audits shall be undertaken based on the results of the Desk Review and Risk-weighted Sampling process described above.

E5.6.2. The audit plan shall:

- Apply the sampling level and selection as determined.
- Cover all requirements for certification as stated in the ASC Requirements for the Certification of Producer Groups and in the CAR (this document).

E5.6.3. The on-site audit plan shall include provision for evaluating threats that are identified by the CAB and are not listed in Table F1.

E5.7. On-site audits

E5.7.1. All certification audits by the CAB shall be on-site following the Desk Review and Risk weighted Sampling procedures. This includes:

- Initial audit,
- Surveillance audits,
- Re-certification audit,
- Follow-up (for closing out critical and/or major non-conformity, as determined by the CAB),
- Re-audit,
- Transfer audit,
- Ad-hoc audit (to include new members if required by the Group).

E5.7.2. All on-site audits shall:

- Be carried out at the GMB to verify the information previously provided to the CAB, and at selected sites of Group Members to verify the results of the Group’s internal audits of those sites;
- Review all ASC certification requirements relevant to threats that are determined to be high and medium risks;
- Conduct at a minimum 20% unannounced audits to sampled sites in the initial audit:
Names of these sites receiving unannounced audits shall not be disclosed to the GMB and sites in advance, up to 48 hours prior to the actual on-site visit to those sites;

If no non-conformities detected at sites receiving unannounced audits and no major non-conformities for the GMB, the CAB may consider to gradually reduce the amount of unannounced audits to sampled sites, but not to less than a level of 10% unannounced audits.

E5.7.3. Within a certification cycle, all sites within the unit of certification should be audited on-site at least once if the size of the group allows it.

The CAB should select sites not visited in previous audits.

E5.7.4. Group UoCs are subject to receive unannounced audits, as per CAR section on unannounced audit procedures by CABs (See CAR – 17.15.14).

E5.8. Adding and removing sites

E5.8.1. Upon GMB’s request to add new sites to the unit of certification, the CAB shall communicate its determination in a Letter of Approval to the GMB within a maximum 30 working days.

The CAB shall only accept requests to approve new sites if the GMB does not have any pending non-conformity.

The CAB shall review documents and records submitted by the GMB.

The CAB may request additional information from the GMB if deemed necessary.

The CAB shall carry out an on-site audit for adding medium and large sites.

The CAB’s determination may be approval or rejection of all or a certain number of the sites submitted by the GMB.

Justification for any decision shall be provided in the Letter of Approval.

E5.8.2. The CAB shall update (the Annex of) the Group certificate and send to the ASC within five (5) working days of the CAB’s approval (to add new sites) or of the GMB’s submission to remove existing site(s).

When approving to add new sites, in addition to the update Group certificate the CAB shall submit the Letter of Approval to the ASC for publishing on the website.
E5.9. Traceability

E5.9.1. In addition to the assessment as per 17.6.1 – 17.6.5 of the CAR, the CAB shall determine if the product from any site(s) are to be excluded from entering the chain of custody. This may be due to factors such as:

- The site is not actively being used for production;
- The site has any fish being treated;
- Results of product testing confirm that the product is non-conforming;
- The site is cancelled or suspended or is removed from belonging to the Group unit of certification for any reasons.

E5.9.2. The CAB may determine that all or certain product from one or more site(s) shall be excluded from the chain of custody.

- The CAB shall determine the conditions under which products from the site may be sold as certified.
- The CAB may determine that products from the site are to be quarantined or otherwise segregated from the certified product.

E5.9.3. The CAB shall run traceability tests during each audit to verify the effectiveness of the Group’s traceability procedures.

- The number of tests shall be at least 5 % of the total number of selling transactions\(^7\) of ASC certified product carried out by the GMB in the past 12 months. If 5% represents less than one (1) selling transaction, one (1) traceability test shall be completed.
- The tests and outcome shall be documented in the audit report (Annex F-2 – Template for Group Traceability Test).

E5.9.4. The CAB shall reconcile volumes of Group’s production and sales of ASC certified product on a calendar year basis.

- This volume reconciliation may be included in the list of confidential annexes and shall be reported only to ASC.

E5.9.5. The CAB shall document its review of the risks to traceability that may arise due to any decisions taken relative to F4.9.1 - F4.9.3

- Based on the results found from 17.6.1 – 17.6.5 of the CAR and F4.9.1 - F4.9.4, the CAB shall determine if 17.6.6.1 or 17.6.6.2 applies.

- The CAB shall further implement requirements 17.6.7 through 17.6.10.2 of the CAR.

After the on-site initial audit, the CAB shall set a collective eligibility date, which is the certification date, for all sites of the Group.

The CAB’s approval date shall be the eligibility date for new sites being added to the Group unit of certification.

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\(^7\) See the definition for “Transaction” in “ASC Requirements for Certification of Producer Groups” - Annex 1 – Group Certification Definitions.
E5.10. Audit findings and sanctions

E5.10.1. The CAB shall follow the requirements in 17.10 Findings (in the CAR) for the classification and treatment of audit findings of the GMB and sampled sites.

E5.10.2. In the event of a critical and/or major non-conformity raised for a site, the CAB shall:

- Immediately suspend the site if a critical non-conformity is detected;
- Suspend the site if the major non-conformity is not closed by the deadline;
- Remove the sites from the Group certification scope if the critical non-conformity is not closed within three (3) months from detection date, or the major non-conformity is not closed within three (3) months after the deadline.
- Determine and inform the GMB that any product harvested from the suspended site(s) from the date of suspension shall be treated as non-certified.
- Sites removed from a Group unit of certification shall only be re-admitted to any Group after 12 months from the date of removal.

E5.10.3. The CAB shall raise non-conformities for the GMB at any time during the certification cycle if it comes to the CAB’s knowledge that a Certification Requirement for Producer Groups is not being met.

- A critical non-conformity for the GMB with regard to the effectiveness of internal audits shall be raised if more than one (1) site is found to have systematically not met a standard indicator.
- A critical non-conformity for the GMB shall be raised if it fails to fulfil any of requirements 2.2.3.1- 2.2.3.5 and 2.2.3.8 – 2.2.3.10 and 7.1 & 7.2 in the ASC Certification Requirements for Producer Groups.

E5.10.4. In the event of a critical non-conformity raised for the GMB, the CAB shall:

- Postpone the certification decision until the critical non-conformity is closed according to the timeline specified under section 18 in case of an initial audit;
- Immediately suspend the Group’s certificate until the critical non-conformity is closed within three (1) months from the date of detection, and;
- Withdraw the Group’s certificate if the critical non-conformity is not closed by the deadline.
All product harvested from any sites of the Group unit of certification shall be treated as non-certified on the date of suspension onwards until the suspension is lifted.

A Group with a withdrawn certificate shall only be re-admitted to certification by any CAB after 12 months from the withdrawal date.

Upon re-admission, the CAB shall verify if the reason(s) of previous withdrawal has been effectively addressed.

E5.11. **Group’s certificate**

E5.11.1. The Group Certificate shall only be valid when accompanied by an Annex with the following information:

- Names of the Group Members in the scope of Group certification;
- Group Member’s full address;
- Name of site(s) of each Group Member that is included in the scope of Group certification;
- GPS (both longitude and latitude) of the sites;
- Site (license) unique number or ID as indicated on the license or permit of the site;
- Name of certified (sub-)species (in both Latin and English names) grown at each site;
- Date the site(s) is added to the scope of Group certification.

If the sites are included in the initial audit, the date shall be the Group’s initial certification date.

E5.11.2. The Group certificate is updated every time a site is newly added or removed from the Group’s Sites Register.
# Table F1 - Threat Evaluation Matrix for Group risk assessment

<table>
<thead>
<tr>
<th>Threat</th>
<th>Low Risk</th>
<th>Medium Risk</th>
<th>High Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Management system weakness</td>
<td>The Group has an organogram with defined functions.</td>
<td>The Group has an organogram with defined functions; Procedures are fully implemented; covering at least areas (2.2.3.1-5, 2.2.3.8-10) in the ASC Certification Requirements for Producer Groups.</td>
<td>The Group has procedures covering at least areas (2.2.3.1-5, 2.2.3.8-10) in the ASC Certification Requirements for Producer Groups.</td>
</tr>
<tr>
<td></td>
<td>Each function has clearly defined role and responsibilities.</td>
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<td>The Group has the capacity to run its daily operations.</td>
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<tr>
<td></td>
<td>Procedures are fully implemented; covering at least all areas specified in the ASC Certification Requirements for Producer Groups.</td>
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<td></td>
</tr>
<tr>
<td>2. Internal audits weakness</td>
<td>Internal audit procedures are documented and implemented.</td>
<td>Internal audit procedures are implemented. Internal audits are carried out by qualified internal auditors. Not all findings of the last internal audit round are closed prior to this risk assessment.</td>
<td>Internal audit procedures are documented. Internal audits are carried out by trained Group Members. The last internal audit round was conducted just before this risk assessment.</td>
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<tr>
<td></td>
<td>Internal audits are led by competent auditors with third-party auditing experience leading at least 10 third-party audits.</td>
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<td>Each site is internally inspected more than once a year.</td>
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<td></td>
<td>All findings of the last internal audit round have been closed out at prior to this risk assessment.</td>
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<td>All internal audits records are kept.</td>
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<td>Threat</td>
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<tr>
<td>3. Group internal audit</td>
<td>Low Risk: Group internal audit procedures are documented and implemented. Group internal audits are led by competent auditor(s) with third-party auditing experience of leading at least 10 third-party audits. All findings of the last Group internal audit are closed prior to this risk assessment. All Group internal audit records are kept.</td>
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</tr>
<tr>
<td>weakness</td>
<td>Medium Risk: Group internal audit procedures are implemented. Group internal audits are carried out by qualified Group internal auditors. Not all findings of the last Group internal audit are closed prior to this risk assessment.</td>
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<td></td>
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<tr>
<td>4. Training weakness</td>
<td>High Risk: Group internal audit procedures are documented. Group internal audits are carried out by trained Members of the GMB. The last Group internal audit was conducted just before this risk assessment.</td>
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</tr>
<tr>
<td>weakness</td>
<td>The Group has training procedures documented and implemented. All functions within the Group are performed by competent persons. Yearly training takes place based on identified training needs within the Group. All Group Members are trained and understand Group’s certification.</td>
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<tr>
<td>4. Training weakness</td>
<td>The Group has training procedures implemented. Personnel are trained to do their job. Not all Group Members are trained and understand Group’s certification requirements.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>weakness</td>
<td>The Group has training procedures documented. Not all Group Members understand Group’s certification requirements.</td>
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<tr>
<td>Threat</td>
<td>Threshold</td>
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<tr>
<td>5. Overseeing operations of Group Members’ sites</td>
<td><strong>Low Risk</strong>&lt;br&gt;All operations of all sites within the unit of certification are carried out according to a single set of standard operating procedures (SOP).&lt;br&gt;The GMB provides technical assistance to Group Members through regular visits to their sites.&lt;br&gt;Data of all sites’ operations is available at the GMB.</td>
<td><strong>Medium Risk</strong>&lt;br&gt;There are SOPs provided to Group Members.&lt;br&gt;The GMB does provide technical assistance to group Members once a year.&lt;br&gt;Data and records are kept individually by Group Members.</td>
<td><strong>High Risk</strong>&lt;br&gt;There are SOPs but not for all operations of Group Members’ sites.&lt;br&gt;Group Members receive no visits from the GMB to oversee operations of their sites.</td>
</tr>
<tr>
<td>6. Records management weakness</td>
<td><strong>Low Risk</strong>&lt;br&gt;All required records are retained and organised as per legal requirements, applicable ASC standard, ASC requirements for certification of Producer Groups, and own regulations</td>
<td><strong>Medium Risk</strong>&lt;br&gt;Not all required records are found due to missing records or they are not organized for retrieval.</td>
<td><strong>High Risk</strong>&lt;br&gt;Required records are not retained or found.</td>
</tr>
<tr>
<td>7. Group governance</td>
<td><strong>Low Risk</strong>&lt;br&gt;Group Members share common interests and objectives.&lt;br&gt;Group Members participate in the GMB’s decision making.&lt;br&gt;The GMB holds regular meetings with Group Members to discuss issues faced by the majority of Group Members.&lt;br&gt;All GMB’s activities and decisions are transparent.</td>
<td><strong>Medium Risk</strong>&lt;br&gt;Group Members share common interests and objectives.&lt;br&gt;No regular meetings are held with Group Members to discuss collective issues of the Group.&lt;br&gt;GMB’s decisions are communicated to Group Members.</td>
<td><strong>High Risk</strong>&lt;br&gt;Decisions related to operations of Group Members are top-down.</td>
</tr>
</tbody>
</table>

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8 Technical assistance visit is different from the internal audit visits.
<table>
<thead>
<tr>
<th>Threat</th>
<th>Threshold</th>
<th>Low Risk</th>
<th>Medium Risk</th>
<th>High Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>8. Use of resources</td>
<td>The Group has procedures for purchasing supplies and services documented and implemented. Purchasing of supplies and services is centralised by the GMB. Records of all purchases and distribution to Group Members are complete.</td>
<td>All purchasing of supplies and services is centralised. Records of purchases are available at the GMB.</td>
<td>Supplies and services are purchased as needed by individual Group Members.</td>
<td></td>
</tr>
<tr>
<td>9. Sanction mechanism weakness</td>
<td>The Group has different events and associated sanction measures clearly defined. All Group Members are fully aware of those events and sanctions. All records of implemented sanctions are kept.</td>
<td>The Group has sanction measures clearly defined. Not all Group Members know about sanctions in the Group. Enforcement of the sanction measures is evident.</td>
<td>Events and sanctions are defined. Group Members are not aware of sanctions existing in the Group. It is evident that sanctions are not imposed in any of the defined events.</td>
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</tr>
<tr>
<td>10. Complaints resolution weakness</td>
<td>The Group has complaints and appeals procedures documented and implemented. All complaints regarding the unit of certification to the GMB have been responded to and resolved within timelines in client’s complaint procedure. Group Members are aware of how the procedures work in case they have complaints or appeals regarding their compliance status in the Group.</td>
<td>The Group has complaints and appeals procedures implemented. Complaints regarding the unit of certification are addressed but not in a timely fashion as specified in client’s complaint procedure. Not all Group Members are aware of the procedures and how they work.</td>
<td>Evidence is found that complaint responses and resolution related to the unit of certification are intentionally delayed or avoided. Group Members are not aware of the procedures.</td>
<td></td>
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<tr>
<td>Threat</td>
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<tr>
<td>11. Traceability weakness</td>
<td>Either The unit of certification of the Group has a separate MSC/ASC CoC certification; Or The Group has traceability procedures documented and implemented. All Group Members have all their sites registered for the unit of certification. All product of all sites is sold centrally. The Group did not have any site suspended or withdrawn either in the last CAB’s audit or through internal audits until this risk assessment. The GMB arranges collection of product from sites within the unit of certification. The Group does not have any new sites added to the unit of certification with CAB’s remote approval within the last 12 months.</td>
<td>Product of sites is sold as conventional by Group Members. Group Members have more sites than registered ones with the unit of certification. Sites in the unit of certification are surrounded by uncertified sites growing the same species. Group Members arrange delivery of their product to the GMB.</td>
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</tbody>
</table>

| 12. Country risk assessment score          | Operations located in a country that is above 62 on Transparency International’s latest list\(^9\) and has not been designated as medium or high risk by ASC. | Operations located in a country that is between 32 and 62 on Transparency International’s latest list\(^3\) and has not been designated as high or low risk by ASC. | Operations located in a country that is 31 or less on Transparency International’s latest list\(^3\) and has not been designated as medium or low risk by ASC. |

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\(^9\) Country risk assessment score found on Transparency International’s latest corruption perception index on the latest year’s CPI for the country in which the operations are sited. (For the latest scores see [http://cpi.transparency.org](http://cpi.transparency.org)).
ANNEX F-1 – ASC GROUP SAMPLE SIZE CALCULATOR

A separate Excel file available on the ASC website.
ANNEX F-2 - TEMPLATE FOR GROUP TRACEABILITY TEST

A separate Excel file available on the ASC website.
ANNEX G – DESK REVIEW (INFORMATION OF UNIT OF CERTIFICATION/ LIST OF DOCUMENTS AND RECORDS/ CAB’S REVIEW)

Normative

The CAB shall use the attached excel file for Desk Review. The format of the file may be altered to suit the operating system used by the CAB, however its content shall remain unchanged.
ANNEX H - ASC SOCIAL AUDIT RISK ASSESSMENT

Normative

The CAB shall follow instructions in the ASC Social Audit Risk Assessment Tool and outcomes for planning audits. The tool is excel-based and available on the ASC website. Auditors shall use input from the Desk Review to feed into this tool. All input fields in the calculator are indicated in green text. These fields accept either numerical or text-selections (indicated by orange backgrounds) from drop-down boxes (all other fields are locked).

Section A – CAB/Auditor data inputs (Table 1 below)

1. **Purpose**: to estimate the minimum number of workers to be interviewed.

2. **Applicability**: all types of UoC (single/multi-site/group), all types of audit (initial/surveillance/re-certification/re-audit), all types of operations (feed mills, farms, processors).

3. **Steps**:

   3.1 Answer questions in section A of the social risk calculator.
   3.2 Data shall be entered in numerical order of the 9 questions (A1 – A9), noting that default entries in subsequent fields may be blanked contingent on earlier responses.
   3.3 Do not select or enter values in blank cells.
   3.4 In the case of drop-down text selections questions are always phrased such that selection of a 'No' or 'None' response will always reflect the lowest risk scenario.
   3.5 Prior to data entry: toggle drop-down fields on inputs A5a, A6a, A7a to expose all blank fields and ensure these are set to the lowest risk setting as the default prior to any data entry; i.e. select ‘no’ or ‘none’ for the revealed text fields and enter zeros for non-conformity counts from prior audits (A9).