CONSULTATION DOCUMENT

ASC Feed Certification Requirements for

Unit of Certification (RUoC) v 0.1

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Draft - September 2021

NOTES on how to read this document

The structure and style of this RUoC is aligned with the farm RUoC V1.0 (awaiting final approval) with all applicable requirements transposed directly.

Divergence is only where necessary to implement specific Feed Standard requirements.

Purple text within this document denotes feed specific requirements or amendments, black text relates to previously approved text.

Orange text refers to requirements where specific feedback is sought in public consultation to determine whether to include in ASC requirements. This will be via our survey and the specific feedback template.
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RESPONSIBILITY FOR THESE REQUIREMENTS

The Technical Advisory Group (TAG) of the Aquaculture Stewardship Council is responsible for this document.

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About the Aquaculture Stewardship Council (ASC)

The Aquaculture Stewardship Council (ASC) is an independent, not-for-profit organization that operates a voluntary, independent third-party certification and labelling programme based on scientifically robust Standards.

The Standards define Criteria that help to transform the aquaculture\(^1\) sector\(^2\) towards environmental sustainability and social responsibility, as per the ASC Mission.

ASC Vision
A world where aquaculture plays a major role in supplying food and social benefits for mankind whilst minimising negative impacts on the environment.

ASC Mission
To transform aquaculture towards environmental sustainability and social responsibility using efficient market mechanisms that create value across the chain.

ASC Theory of Change
A Theory of Change (ToC) is an articulation, description and mapping out of the building blocks required to achieve the organisation’s vision.

ASC has defined a ToC which explains how the ASC certification and labelling programme promotes and rewards responsible fish farming practices through incentivizing the choices people make when buying seafood.

ASC’s Theory of Change can be found on the [ASC website](#).

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\(^1\) Aquaculture: see Definition List.
\(^2\) Aquaculture sector: see Definition List.
THE ASC DOCUMENT AND CERTIFICATION SYSTEM

ASC is a full member of the ISEAL Alliance and implements a voluntary, independent third-party certification system\(^3\) consisting of three independent actors:

I. Scheme Owner i.e. Aquaculture Stewardship Council
II. Accreditation Body i.e. Assurance Services International (ASI)
III. Conformity Assessment Body (CAB) i.e. accredited CAB

Scheme Owner
ASC, as scheme owner:

- sets and maintains Standards according to the ASC Standard Setting Protocol which is in compliance with the “ISEAL Code of Good Practice - Setting Social and Environmental Standards”. The Standards are normative documents.

- sets and maintains Implementation Guidance which provides guidance to the UoC on how to interpret and best implement the Indicators within the Standard.

- sets and maintains the Auditor Guidance which gives guidance to the auditor how to best assess a UoC against the Indicators within the Standard.

- sets and maintains the Certification and Accreditation Requirements (CAR) which adheres at a minimum to the “ISEAL Code of Good Practice - Assuring compliance with Social and Environmental Standards”. The CAR describes the accreditation requirements, assessment requirements and certification requirements. The CAR is a normative document.

These above listed documents are publicly available on the ASC-website.

Accreditation Body
Accreditation is the formal recognition by an independent body, generally known as an Accreditation Body (AB), that a Conformity Assessment Body (CAB) operates according to international standards. The appointed AB of ASC is Assurance Services International GmbH (ASI) which uses the CAR as a normative document for the accreditation process.

Assessment findings of ASI-accreditation audits and an overview of current accredited CABs is publicly available via the ASI-website (www.asi-assurance.org).

\(^3\) Third-party Certification System: see Definition List.
Conformity Assessment Body
The UoC contracts the Conformity Assessment Body (CAB) who employs auditor(s) that conduct a conformity assessment (hereafter ‘audit’) of the UoC against the relevant Standard. The management requirements for CABs as well as auditor competency requirements are described in the CAR and assured through ASI-accreditation.

ASC Audit and Certification Process
An ASC audit follows strict process requirements. These requirements are detailed in the CAR. Only ASI-accredited CABs are allowed to audit and certify a UoC against ASC Standards. As scheme owner, ASC itself is not - and cannot be - involved in the actual audit or certification decision of a Unit of Certification (UoC). Granted certificates are the property of the CAB. ASC does not manage certificate validity.

Audit findings of all ASC audits, including granted certificates, are made publicly available on the ASC-website. These include audit findings that result in a negative certification decision.

Note: in addition to the Standard there are Certification Requirements that apply to UoC seeking certification. These requirements are detailed in the Requirements for the Unit of Certification (RUoC).

ASC Logo Use
ASC-certified entities shall only use the ASC Logo and trademarks if authorised through a signed Logo Licence Agreement.

Unauthorised logo display or use of trademarks is prohibited and will be treated as a trademark infringement.
INTRODUCTION TO THIS DOCUMENT

The purposes of the ASC Certification Requirements for Unit of Certification [RUoC - this document] are:

1. To provide applicants seeking for ASC certification with a description of the scheme certification requirements that apply to applicants and ASC certificate holders.

2. To describe the requirements for those certified entities who wish to make a claim about or use the ASC logo and trademarks for certified facilities or products.

3. To provide transparency so the ASC standard system has credibility with stakeholders.

This document contains administrative and process requirements that applicants and ASC certified feed mills need to conform to in addition to the performance requirements specified in ASC Standards.

Conformity Assessment Bodies (CABs) shall use this document in conjunction with ASC Certification and Accreditation Requirements (CAR), which further details requirements for the CAB.

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

This document comprises all administrative and process requirements that applicants for certification and certificate holders shall conform to in addition to the requirements in the ASC Feed Standard.

2. **Normative References**

The documents and the Interpretation Platform 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 and certificate holders are encouraged to review the most recent editions and any guidance documents available to gain further insight.

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

The following apply directly to the applicants and certificate holders:

a) ASC Feed Standard; See [www.asc-aqua.org](http://www.asc-aqua.org)

b) The ASC data retention and data ownership policies; See [www.asc-aqua.org](http://www.asc-aqua.org)

c) All applicable laws and regulations of governmental or other competent authorities.

3. **Terms and Definitions**

All definitions are in Annex A of this document.

4. **Process and Preparation Requirements for Feed Mills**

4.1. **Feed Mill staff competency requirements**

4.1.1 Only competent person(s), team(s) or organisation shall conduct Due Diligence and risk assessments as required in the ASC Feed Standard.

4.1.1.1 Individual(s) conducting Due Diligence and Primary Raw Material Production risk assessments shall collectively possess the required competencies in Annex C
4.1.1.2 Where Due Diligences or risk assessments are outsourced, the Client shall be responsible for confirming competencies of external parties.

4.1.2 The Client’s designated member of management (as per ASC feed standard indicator 1.2.4), shall have the following responsibilities:

   a) Evaluation and approval of competencies.
   b) Maintain a record of the evidence evaluated for competency approval according to the risk scope of the assessment (i.e. legal, social or environmental).
   c) Review and sign off on the content of all completed assessment reports and whether it was conducted according to the Due Diligence / assessment process, including all predefined risk factors and pathways to determine low risk, as defined in the standard.
   d) To support and engage with the facility undergoing the Due Diligence/assessment.
   e) Have the appropriate authority to follow up, and manage the implementation of monitoring programs and measures (prevention, mitigation, remediation, or cease sourcing) resulting from the outcome of the assessment(s).
   f) Where Due Diligence or risk assessment of a raw material producer is conducted by the Ingredient Manufacturer, the Client shall review the Due Diligence report to assess and record whether it was conducted by qualified person(s) and is acceptable by the Client.

4.2. **Ingredient Approval Process**

4.2.1 The applicant and/or certificate holder shall implement documented procedures with clearly defined responsibilities for processes specific to its Supply Chains and their risks. The procedures shall include but not be limited to the following:

4.2.1.1 Processes to maintain up-to-date Supply Chain mapping for all ingredients that represent >1% of the total annual ingredient-weight (volume) received by the applicant/certificate holder for use in aqua feeds

4.2.1.2 Processes to maintain traceability records/information of all Ingredients.

4.2.1.3 Processes used to determine risk levels of Ingredient Manufacturers and Primary Raw Materials Producers/Production and pathway(s) chosen for each respective risk factor as specified in the ASC Feed Standard.

4.2.1.4 Processes and pathway(s) used to determine risk levels of plant based Primary Raw Materials for legal deforestation/conversion risk factor as specified in the ASC Feed Standard.

4.2.1.5 Processes to allow and capture inputs from relevant stakeholders in various steps of Due Diligence processes.
4.2.1.6 Processes to verify approval status and classification of incoming ingredients as: Eligible Ingredient, Non-eligible Ingredient, Non-Aqua Ingredient or Non-Permitted Ingredients.

4.2.1.7 Processes to determine the sustainability category for whole fish marine ingredients.

4.2.1.8 Processes to restrict sourcing of relevant ingredients to approved Ingredient Manufacturers as required by the ASC Feed Standard.

4.2.1.9 Processes to assess and mitigate the risks of substitution or uncontrolled mixing between Eligible Ingredients and Non-eligible Ingredients where the Segregation Model is operated and where ASC-product and non-ASC product are produced.

4.3. **Ingredient Accounting System (IAS)**

4.3.1 Clients using the Mass Balance Model shall operate an Ingredient Accounting System that:

4.3.1.1 Is operated by trained and authorised person(s).

4.3.1.2 Is protected from deliberate and/or accidental altering of data.

4.3.1.3 Is updated on a continuous basis.

   a. Upon receipt, the Client shall determine, prior to entering into the IAS, whether the ingredient is destined for use in aqua feed or non-aquafeed. Only Volume destined for use in aquafeed can be entered into the IAS.

   b. Upon receipt, the Client shall determine, prior to entering into the IAS, whether the ingredient is eligible. Only Volume which is eligible can be entered into the IAS

   c. In exceptional cases where Eligible Volume entered into the IAS is later re-assigned for non-aqua feed, this volume must be immediately deducted from the IAS.

   d. In exceptional cases where an ingredient is retrospectively determined to be eligible, this volume shall be entered into the Ingredient Accounting System as eligible but only after evidence is available to demonstrate its eligibility and it was received within the Accounting Period

   e. Upon dispatch, the volume of ASC product produced under the mass balance model, is deducted from the IAS.
f. In cases where the Segregation model is used in addition to the Mass Balance Model: Upon dispatch, the volume of ASC product produced under the Segregation Model, is deducted from the IAS.

4.3.1.4 Displays the eligibility status of all relevant ingredients (i.e. Eligible) once legally owned by the client and following the ingredient approval processes outlined in section 4.2 above.

4.3.1.5 Records any changes in weight/volumes (e.g.: By-Product/ yield), in kg and %, of each Eligible Ingredient at each step from receiving to dispatching the final feed products to customers.

4.3.1.7 Deducts outgoing product, whether or not the product was dispatched under the Mass Balance Model or Segregation Model and their buyers.

4.3.1.8 In addition, where the Client is using both Mass Balance Model and Segregation Model, the Client shall:

a. Account for all incoming Ingredients regardless of its eligibility status in the Ingredient Accounting System.

b. For product produced under the Segregation Model, deduct the quantity of eligible volume supplied to customers from the Ingredient Accounting System based on the actual physical material supplied.

4.4. **Shared Accounting System**

4.4.1 When a Shared Accounting System is used, each participating production site shall meet all of the following conditions:

4.4.1.1 be owned and operated by the Client,

4.4.1.2 be certified individually or as a multi-site under the ASC Feed Standard,

4.4.1.3 be certified by the same CAB,

4.4.1.4 be located within the same country,

4.4.1.5 be listed (name, location) in the Shared Accounting System,

4.4.1.6 share or use the same Ingredient manufacturers and raw material approval system,

4.4.1.7 have authority to enter into and deduct eligible volume from the Shared Accounting System,
4.4.1.8 acknowledge non-conformities raised against the Shared Accounting System of any one participating site may have an impact on eligible volume for all sites involved in the Shared Accounting System.

4.4.2 In the Shared Accounting System the output of ASC product produced by all participating sites shall not exceed the input of eligible volume received by all participating sites within the Accounting Period.

4.4.3 All requirements of the Shared Accounting System shall be applied in addition to the requirements as described within section 4.3 Ingredient Accounting System.

4.5. **The Mass Balance and Segregation Production Model**

4.5.1. **Making changes to Production Models in operation**

4.5.1.1. The Client shall request a CAB evaluation of its capability in the following situations:

a. Change from one Production Model (Segregation or Mass Balance) to another, or

b. Addition of a Production Model, or

c. Change to the Mass Balance Approach (Calendar Year/Continuous Balancing).

4.5.1.2. The evaluation of capability may be conducted during a surveillance audit or at any convenient time and cost as agreed by the Client and the CAB.

4.5.1.3. The Client shall only change the Production Models and Approaches upon receipt of the CAB approval.

4.5.1.4. Prior to moving from one Mass Balance Approach or from one Production Model to another, the eligible volume allocated to the current Mass Balance Approach or the current Model shall be run out / deducted from the Ingredient Accounting System.
4.5.2. **Mass Balance Production Model**

4.5.2.1. **Balancing of Mass Balance Accounting Period.**

4.5.2.1.1 The Client shall reconcile Mass Balance Model product produced for the defined Accounting Period.

4.5.2.1.1 For Mass Balance Approach A - ASC Calendar Year, balancing shall be carried out latest at the end of January of the following year.

4.5.2.1.1 The balancing summary shall include the following:

a) Eligible volume carried over from the previous Accounting Period;

b) Eligible volume deducted from the previous Accounting Period (if applicable);

c) Eligible volume Inputs received within the Accounting Period;

d) Eligible volume allocated to outputs;

e) Output volume (product) dispatched to customer within the Accounting Period and

f) Eligible volume of ingredients (if any) to carry over to the next Accounting Period.\(^5\)

4.5.2.1.1 If the available quantity of eligible volume is not allocated to outputs within twenty-four (24) months from the date of entry into the Ingredient Accounting System (see 4.3.1.3), the volume shall expire and shall be deducted from the Ingredient Accounting System.

4.5.3. **Mass Balance Approach A: ASC Calendar Year**

**Accounting Period: January to December**

4.5.3.1. For initial audits, Eligible Volume can be added to the IAS from January of that calendar year onwards, however, this must be verified as accurate during the initial audit. Once verified as accurate Eligible volume, (i.e. ASC Product),

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\(^4\) Note: Points e) only applies to Mass Balance Approach A as Approach B does not have an accounting period.

\(^5\) Note: Point f) only applies to Mass Balance Approach A as Approach B does not have an accounting period.
may be deducted from the Ingredient Accounting system from the date of initial certification onwards.

4.5.3.2. The volume of ASC product dispatched shall not exceed the volume of incoming Eligible Ingredients for the Accounting Period.

4.5.3.3. The UoC may overdraw volume during the Accounting Period as long as overall quantities are monitored and the volume is reconciled within the accounting period.

4.5.3.4. Unused eligible volume at the end of the Accounting Period may be carried over and recorded in the Ingredient Accounting System for the following twelve (12) month Accounting Period.

4.5.3.5. Only eligible volume which has been recorded in the Ingredient Accounting System within the Accounting Period (including the carry-over from the previous Accounting Period) shall be allocated to outputs dispatched within the Accounting Period.

4.5.4. **Mass Balance Approach B: Continuous Balancing Systems (Continuous, based on physical presence)**

4.5.4.1 Where a continuous balancing system is in operation, the Client shall:
   a. Enter Volume into the IAS in real time based on the quantity of physical Eligible Ingredients and ASC product at the physical site;
   b. Never overdraw volume in the Ingredient Accounting System;
   c. Only allocate eligible volume recorded in the Ingredient Accounting System to ASC product.

4.5.4.2 If the client does not allocate the available quantity of eligible volume to outputs within twenty-four (24) months from the date of entry into the Ingredient Accounting System, the volume shall expire and shall be deducted from the Ingredient Accounting System.

4.5.5. **Segregation Production Model**

4.5.5.1. For the Segregation Model, the Client shall implement documented traceability procedures to maintain physical traceability throughout all processes under the control of the UoC.

4.5.5.2. As a minimum, the procedures shall:
   a) Include a clear description of the segregation and traceability system;
   b) define relevant records required;
c) define controls in place to:
   i. prevent mixing of Eligible Ingredients with Non-eligible Ingredients and Non-aqua Feed Ingredients (e.g.: Livestock);
   ii. prevent mixing of product produced under the Segregation Model with product produced under the Mass Balance Model and Non-ASC product;
   iii. where rework or reworking operations are performed, segregation and traceability shall be maintained.

4.5.5.3. The client shall conduct verification tests of their segregation and traceability system across the entire range of product produced under the Segregation Model.

4.5.5.4. The test shall verify whether traceability can be determined:
   1. From the supplier of an Eligible Ingredient to finished product dispatched to immediate customer (i.e.: a forwards trace check) and
   2. From a finished product back to the supplier of each Eligible Ingredient used in the manufacture of that product produced under the Segregation Model (i.e.: a backwards trace check).

4.5.5.5. Traceability test results should be achievable within 4 hours.

4.5.5.6. The test shall occur at a predetermined frequency and at a minimum annually with no more than twelve (12) months between tests.

4.5.5.7. Traceability test results shall be retained for internal audits and audits by the CAB.

4.5.5.8. Non-conformities raised during this internal verification test of the traceability system shall be documented and include:
   a) corrective action plans,
   b) timescales for completion,
   c) assigned responsibility for verification of effectiveness of action plans implemented,
   d) close out of the Non-conformity.
5. **APPLICATION**

5.1. The applicant shall contact accredited or applicant CABs to start an ASC certification process. Accredited and applicant CABs list is available on the ASC and ASC appointed accreditation body website.

5.2. The applicant shall complete CABs’ application forms with truthful information and provide all the additional information the CAB may request in relation to the UoC and violations to environmental or social compliance.

5.3. When applying for certification, the applicant shall specify the ASC production Models in use:

   a) Segregation Model

   b) Mass Balance Model

   c) Both.

5.3.1. If the Mass Balance Model is chosen, specify its approach:

   i. Mass Balance Approach A - ASC Calendar Year Approach

   ii. Mass Balance Approach B - Continuous Balancing systems

5.4. The applicant shall declare:

   5.4.1. Outsourcing of any activities to third parties (e.g. subcontractors for storage, transport or other activities)

   5.4.2. Production of other non-aqua feed products (e.g. livestock or poultry feed).

   5.4.3. Declaration of open court cases related to environmental or social compliance violations or any allegations of fraud in connection with the applicant’s UoC and the ASC requirements.

5.5. A certificate holder which had an ASC certificate withdrawn may only apply for a new ASC certification twelve (12) months after the date of the certificate withdrawal.

   5.5.1. An applicant which failed an ASC audit may apply again for certification in less than twelve (12) months only with the same CAB, with which it failed the audit.

5.6. The applicant should review all the information sent by the CAB related to the ASC standards and requirements, and the certification process.
6. **PREREQUISITES FOR INITIAL AUDIT**

Prior to scheduling an initial audit, the applicant shall comply with the following conditions:

6.1. The applicant shall have a functioning Ingredient Accounting System (IAS) in place that can control and monitor the volumes of incoming Eligible Ingredients and account for the volumes of outgoing feed produced under the Mass Balance Model.

6.2. The applicant shall have conducted at least one Ingredient Accounting System balancing exercise resulting in accurate calculation prior to the initial audit.

6.2.1. This also applies where the Shared Accounting System is in operation.

6.3. The applicant shall have implemented Code of Conduct requirements.

6.4. The applicant shall have completed Due Diligence processes for both Ingredient Manufacturers and Primary Raw Material Producers as required by the standard in the last twelve (12) months.

6.5. The applicant shall have calculated its Majority Sustainability Level (MSL) Entry level.

6.6. The applicant shall have conducted at least one internal audit in the last six (6) months against the ASC Feed Standard and Requirements for the Unit of Certification as specified in this document with corrective action plans implemented as required.

6.7. The applicant shall map all steps of their production flow, from receiving ingredients to dispatching ASC product, identifying steps involving a change of material volume or weight, and specifying type of change (loss/gain, by-product, etc.).

7. **SCOPE OF CERTIFICATION**

7.1. The applicant shall provide the CAB with all the required information to define the scope of certification including:

   a) Applicable certification type (i.e. Single site or Multisite)

   b) Activities under control of the UoC before the product changes ownership. This includes but is not limited to: production, storage, transport.

   c) Production Model (and Approach) in use i.e. Mass Balance Model / Segregation Model or both.
7.2 The Certification Type may be either:

7.2.1 A single site Certificate whereby the client is:
   a) the owner of the ASC product
   b) capable of signing a binding contract that is legally enforceable
   c) the UoC has only 1 production site.

7.2.2 A multi-site certificate having all of the following elements:
   a) The UoC Consist of more than one site and all sites are clearly identified.
   b) The client is responsible for all sites and is capable of signing a binding contract that is legally enforceable.
   c) The client is the only entity authorised to sell ASC products from all sites.
   d) All sites are located within the same country.
   e) All individual sites shall be audited.

8. CONTRACT

8.1. If the applicant and the CAB agree to start the certification process, both shall sign a contract including the following elements:

   8.1.1. 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.

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

   8.1.3. That the client shall submit to ASC accurate production and sales data using the form and manner specified by the ASC.

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

8.1.5. That upon request, the CAB Auditor, ASC, ASC designated agent and the ASC appointed accreditation body shall have unrestricted access to data (except financial) in the Ingredient Accounting System.

8.1.6. That ASC, ASC designated agent and the ASC appointed accreditation body shall have the right to observe audits conducted by the CAB.

8.1.7. That ASC, ASC designated agent and ASC appointed accreditation body shall have the right to visit the certificate holder site(s), including visits without prior notice for the purpose of integrity of ASC certification.

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

8.1.9. That ASC, ASC designated agent, ASC appointed accreditation body and the CAB shall have the right to collect product samples or other supporting samples (e.g. raw material ingredients) to evaluate the UoC’s compliance.

8.1.9.1. This sampling may be conducted unannounced during ASC audits or at any other time.

8.1.9.2. Costs incurred in testing shall be covered by the client for samples taken and decided by the CAB during ASC audits.

8.1.10. 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.

8.1.11. That the client shall have the right to raise their concerns or object to any of the proposed audit team members.

8.1.12. That the client shall be responsible to inform the CAB, within fifteen (15) days of any changes made in the operation that may require oversight from the CAB. This can include, but is not limited to:

a) inclusion of new products which introduce a significant new risk to the facility e.g.: addition of non-aqua feed);

b) Addition of new products under the segregation model, including the distinct commercial feed name.

c) Changes in the number of sites (if a multi-site client);

d) Changes in infrastructure that affect workers living conditions
8.1.13. That the client shall be responsible for informing the CAB within fifteen (15) days of the occurrence of any non-conformances in the following situation(s):

a) Fatal workplace accidents;

b) Legal compliance violations confirmed by the statutory authority on issues related to the scope of ASC feed standard and requirements;

c) Recall of non-conforming products due to incorrect ingredient formulation or contamination (e.g. non-permitted substances, or use of Non-eligible Ingredients in an ASC product produced under the Segregation Model).

d) Any event which may affect the compliance against the ASC standard.

9. **AUDIT TIMING**

9.1. The client and the CAB shall plan to ensure that by the time the initial audit takes place:

a) The site shall have been in operation for no less than six (6) months; and

b) Has confirmed completion of the pre-requisite activities as defined in section 6 above.

9.2. The UoC shall have had available records of performance data covering the periods of time specified in the ASC standard(s).

9.3. The client shall arrange the audit to occur at the time that the site is operational and in production.

9.4. The client and the CAB should plan for audits in a way that ASC feed products are in production or Eligible Ingredients are stored in the UoC.

9.5. The client shall:

a) Ensure that only product intended for sale (no trial or mock production) will be evaluated; AND

b) Allow the CAB to evaluate other activities within the scope of the UoC such as loading and transport, even when they are implemented by subcontractors, or production of non-aqua feed, if applicable.
10. **AUDIT ANNOUNCEMENT**

10.1. The client may request the CAB to change the audit date after the audit announcement is published.

10.1.1. If the change occurs within ten (10) days before the announced audit date, the client shall accept that the audit notice period will start anew for forty-five (45) days.

11. **STAKEHOLDER ENGAGEMENT**

11.1. The client should publish in a visible place for local communities and neighbours the dates of the upcoming ASC audit with the CAB contact information in case they want to submit public comments.

11.2. The client may provide the CAB with contact information of stakeholders relevant to be contacted in the region where the UoC is located.

12. **AUDIT PREPARATION AND PLANNING**

12.1. The client shall provide the information requested by the CAB to conduct a desk review before the audit.

12.2. The client should agree with the CAB on a detailed audit plan with the following information:

   a) Scope of the audit.

   b) Draft work schedule.

   c) Names and affiliation of proposed audit team members.

   d) Information about the audit process in order to make proper preparations for the audit.

12.3. The client may object to any audit team members if there is good reason for that objection.
13. **Audit**

13.1. The client shall arrange relevant personnel of the UoC to attend different activities during the audit and make the necessary arrangements for the audit execution. This includes, but is not limited to:

   a) Invite management of the UoC and key relevant personnel, including workers and/or trade union representatives to the audit opening meeting;

   b) Arrange transportation (where required) of the audit team members to the different premises within the UoC;

   c) Arrange interviews with management and technical staff;

   d) Provide the CAB access to all premises and facilities, including those that are subcontracted, within the scope of the UoC;

   e) Provide in a timely manner all the documents and records requested by the CAB auditors on its requested timelines;

   f) Allow auditors to interview workers in private without the presence of management representatives or those in supervisory roles;

   g) Invite management of the UoC and key relevant personnel, including workers and/or trade union representatives to the closing meeting.

13.2. The client shall provide the CAB, during the audit, with a scheme or map of the facilities and production areas in order to plan the site tour.

14. **Sampling and testing**

14.1. The client shall allow the CAB, ASC, ASC appointed accreditation body or designated agents to collect samples of feed product or other substances (water, ingredients, additives) during ASC audits to verify UoC’s compliance against the ASC standards.

14.2. The client shall assist the CAB auditor with equipment available at the site and staff to collect the samples.

14.3. The client may request the CAB for a second test of the duplicate sample by the same laboratory to confirm results of the first test.

   14.3.1. The second test shall only be run for parameters being disputed.

   14.3.2. In case the second test produces a different result the client shall accept results of the last (third) test.
15. **REMOTE AUDITING**

15.1. When (partial or full) remote audit is allowed, the certificate holder shall arrange with the CAB for audit activities that will occur remotely. Those activities may include but are not limited to:

   a) Witnessing production activities,
   b) Interviewing management staff,
   c) Reviewing data, documents and records,
   d) Conducting site tours,
   e) Reviewing video recording or photographs (i.e. sampling activities).

15.2. The certificate holder may allow the CAB to collect and evaluate evidence remotely as part of any audit through data, documents and records reviews and management interviews.

15.3. The certificate holder may request the CAB to conduct fully remote audit for:

   f) Surveillance audits at single site or multi-site UoCs
   g) In either case the UoC shall:
      i. Possess a valid certificate (not suspended), AND
      ii. Have received less than 5 major non-conformities in the previous audit.

15.4. The certificate holder shall agree with the CAB on the use of Information and Communication Technologies (ICTs) and measures to address issues related to confidentiality, security and data protection.

15.5. The certificate holder shall participate in tests in using ICTs required by the CAB prior to the actual remote audit to safeguard effective and secured remote audits or remote evidence collection.

16. **AUDIT FINDINGS**

16.1. The client may request for an opportunity to provide additional evidence to refute a non-conformity (minor, major or critical) raised by the CAB during an audit.

16.2. Within a maximum of twenty (20) days from the date of detection/closing meeting, the client shall provide to the CAB for each non-conformity:

   a) A root cause analysis of why the non-conformity occurred;
b) An expected action plan detailing correction(s) to solve the failure if possible and corrective actions to address the root cause and prevent reoccurrence.

16.3. When the action plan is approved, the client shall submit to CAB objective evidence of its effective implementation in the following timeframes from the detection date:

<table>
<thead>
<tr>
<th>Non-conformity</th>
<th>Initial audit</th>
<th>During the validity of the certificate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minor</td>
<td>Three (3) months</td>
<td>Three (3) months</td>
</tr>
<tr>
<td>Major</td>
<td>Three (3) months</td>
<td>Three (3) months</td>
</tr>
<tr>
<td>Critical</td>
<td>Three (3) months</td>
<td>Immediate suspension</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Three (3) months</td>
</tr>
</tbody>
</table>

16.4. Non-conformities may be extended once if the client submits to the CAB evidence demonstrating that Conformity was not possible due to circumstances beyond the control of the client.

16.4.1. Non-conformities may be extended from the detection date for a maximum period of:

<table>
<thead>
<tr>
<th>Non-conformity</th>
<th>Initial audit</th>
<th>During the validity of the certificate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minor</td>
<td>Twelve (12) months</td>
<td>Twelve (12) months</td>
</tr>
<tr>
<td>Major</td>
<td>No extension</td>
<td>Six (6) months</td>
</tr>
<tr>
<td>Critical</td>
<td>No extension</td>
<td>Fifteen (15) days</td>
</tr>
</tbody>
</table>

16.5. The client shall timely submit the relevant information to allow the CAB to review the information before the non-conformity closure deadline.

16.5.1. The client should agree with the CAB on the timelines for non-conformities closure.

16.6. The client should accept additional evaluations (either on-site or remote) of the effective implementation of the action plan.

16.7. If non-conformities are not closed or extended in the timeframes above the client shall be aware that the following actions would be taken by the CAB.

<table>
<thead>
<tr>
<th>Non-conformity</th>
<th>Initial audit</th>
<th>During the validity of the certificate</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 17. Non-Conforming Product

17.1. The Client shall have a documented procedure for managing non-conforming ASC product\(^6\) that includes the following requirements:

17.1.1. Staff awareness to identify and report potential non-conforming product.

17.1.2. Secure storage and clear identification of non-conforming product still on site (e.g. via physical label and / or IT system).

17.1.3. Defined responsibilities for decision making on the use of products appropriate to the issue (e.g. down grading to Mass Balance Model product, downgrading to non ASC status, use in non-aqua feed production, return to the supplier).

17.1.4. In the event of detecting non-conforming product, the Client shall:

   a. immediately cease to sell or dispatch any implicated non-conforming product as Segregation Model product and, where relevant, Mass Balance Model product.

   b. assess and take necessary action for implicated ingredients or product still on site.

   c. place further deliveries of implicated ingredient(s) in quarantine until necessary action have been taken.

   d. If warranted, recall affected product.

17.1.5. The Client identifies and where applicable, downgrades the non-conforming product (e.g: from ASC to non-ASC product, from Segregation Model to Mass Balance Model product or from Eligible to non-eligible

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\(^6\) Note: use of the term Non-conforming product in this section can also refer to a non-conforming ingredient, and the requirements listed still apply.
Ingredients) and relabels or re-identify as such prior to sale or other activities.

17.1.6. The Client shall notify their CAB within two (2) days of detecting the non-conforming product and inform the CAB of the implicated lots of non-conforming product and actions taken to resolve the situation.

17.1.7. The Client shall notify any customers confirmed as having received non-conforming ASC product within two (2) days of detecting the non-conformity and inform the customer of potential impacts on any claims associated with this product.

17.1.8. The Client shall identify the reason the product is non-conforming and implement measures to prevent re-occurrence where necessary.

17.1.9. Records of decisions and actions taken shall be maintained and where relevant, the Ingredient Accounting System updated accordingly.

18. Subcontracted Storage and Transport

18.1. A Client which subcontracts storage and transport activities relating to ingredients or products within the scope of the ASC Feed Standard shall:

18.1.1. Demonstrate that all subcontractors handling Ingredients or ASC product comply with the traceability requirements of this document.

18.1.2. Be able to request relevant records from the subcontracted storage and transport facilities

18.1.3. Secure the CAB / ASC or ASI access to ASC Product at any time.

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7 The traceability requirements referenced here, relate to the RUoC requirement 4.5.5. and applies to all ingredients & ASC final product stored or transported by the subcontractor, regardless of the Production Model used by the Client.
19. **AUDIT REPORT**

19.1. The client shall accept that all audit reports and related information, except Confidential annexes, are published on the ASC website. This includes reports of failed audits, reasons for suspension or withdrawal.

19.2. The client may agree with the CAB to keep commercially sensitive information in Confidential annexes, submitted separately to the ASC in confidence.

19.2.1. Confidential annexes will not be public, however the ASC and ASC appointed accreditation body shall have access to them.

19.3. The client shall submit the root cause analysis and corrective action plan in time as specified in 16.2 to be included in the draft audit report before its submission for publication.

19.4. The client may follow up with the CAB to ensure compliance with the following timeframes:

<table>
<thead>
<tr>
<th>Event</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Draft report submission</td>
<td>Fifty (50) days after the end of the audit</td>
</tr>
<tr>
<td>Public consultation period</td>
<td>Twenty (20) days after draft report publication on ASC website</td>
</tr>
<tr>
<td>Final report + Certification decision</td>
<td>Thirty (30) days after end of public consultation</td>
</tr>
<tr>
<td>Surveillance audit reports</td>
<td>Ninety (90) days after the end of the audit</td>
</tr>
</tbody>
</table>
20. **CERTIFICATION DECISION**

20.1. When well justified, the client shall be aware that the CAB may need more time to take the certification decision.

20.1.1. The client shall agree with the CAB on arrangements for a full (repeat) audit in case the certification decision is not taken within six (6) months.

20.2. If the certification decision is positive, the client shall confirm the certificate registration and publication on the ASC website before starting the sales of ASC products.

20.2.1. Certificates not registered nor published on the ASC website shall not be valid.

21. **USE OF THE ASC LOGO, TRADEMARKS AND CLAIMS**

21.1. The client holding a valid certificate (certificate holder) may claim that its operation is certified in accordance with the ASC Feed Standard subject to the scope of its certificate.

21.2. The certificate holder shall enter into an ASC Licensing Agreement to use the ASC logo, claims and other trademarks on certified products in accordance with the License Agreement8.

21.3. A certificate holder shall only use the ASC Logo and trademarks if a License Agreement has been signed.

21.4. All use of the ASC logo and claims on promotional material and on product shall be submitted to ASC’s designated agent for approval prior to printing.

21.5. The Client shall clearly identity all ASC products, both physically for sealed feed bags, as well on associated sales documents for all feed, indicating the Production Model applied. (i.e. Segregation or Mass Balance).

21.6. The Client shall only make ASC related claims, including claims on the Production Model when it holds a valid certificate and where relevant a valid Logo License Agreement with ASC’s designated agent.

21.7. The Client shall follow the ASC Claims User Guide when available.

21.8. The Client shall report to the CAB within two (2) days upon finding incorrect use of the claim (See Non-Conforming Product section 17 above).

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*Note: Obtaining certification does not automatically guarantee the granting of a License Agreement. For more information see: ASC Logo or get in touch on logo@asc-aqua.org. Unauthorised logo display or use of trademarks is prohibited and will be treated as a trademark infringement.*
21.9. In cases where the Client sells ASC product to an entity other than directly to an ASC certified farm, e.g. trader or distributor, the Client:

21.9.1. Shall pack ASC product with tamper proof & traceable labels or seals (i.e. a label or seal with a traceable identification which is destroyed when the container or bag is opened).

21.9.2. Shall have a mechanism to prevent the entity from misusing the client's name or re-use of the client's packaging.

21.9.3. Should obtain written commitment from the entity that they will not permit misuse or tampering of the ASC product while in their ownership.

22. SURVEILLANCE AUDITS

22.1. The client and the CAB shall plan at least 2 surveillance audits during the certification cycle

22.1.1. Surveillance audits shall be conducted annually with a window of three (3) months before or after the anniversary of the initial certification decision.

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

22.1.3. Before each surveillance audit, the client shall submit to the CAB the result of the latest internal audit.

23. UNANNOUNCED AUDITS

23.1. The client shall accept unannounced audits by the CAB with no more than 48 hours’ notification.

23.2. The client’s certificate shall be suspended where the client does not accept the second attempt of an unannounced audit by the CAB.

23.2.1. The suspension shall only be lifted when another unannounced audit is accepted and completed and all major or critical non-conformities are closed.
24. **Recertification Audits**

24.1. The certificate holder should start applying for recertification six (6) months before the expiry date of the certificate to avoid a gap in certification validity.

25. **Extension of Certificate Validity**

25.1. The certificate holder may request to the CAB an extension of the validity of the certificate once by up to three (3) months only in cases when there are conditions outside the control of the certificate holder that prevent the execution of the audit.

25.2. To request an extension, the certificate holder shall apply to the CAB for recertification and the application shall have been accepted by the CAB at or before the end of the period of validity of the certificate.

26. **Transfer of Certificates**

26.1. A decision to transfer a certificate from one CAB (preceding CAB) to another CAB (succeeding CAB) shall be voluntary by the certificate holder.

26.2. The certificate holder may request a certificate transfer only once within the period of validity of a certificate.

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

26.3. The certificate holder may not request a transfer if:

   a) The certificate is suspended

   b) Critical and major non-conformities have not been closed to the satisfaction of the current CAB.

26.4. The certificate holder may agree with the succeeding CAB:

   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.
27. **Changes in the Scope**

27.1. The client shall inform the CAB within fifteen (15) days about any change that might affect the scope of the UoC or scope of the certificate. This includes:

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

b) Reporting conditions described in contractual requirements.

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

28. **Suspension, Withdrawal or Cancellation of Certification**

28.1. The client may decide to cancel its certificate at any time.

28.1.1. The client shall inform the CAB of its decision and reason(s) to cancel a certificate.

28.2. The certificate holder shall follow the actions requested by the CAB to lift the suspension in case its certificate is suspended.

28.3. If the certificate holder does not address the reasons of the suspension in the timeframe set by the CAB, its certificate shall be withdrawn.

28.4. The client shall accept that its cancellation/suspension/withdrawal status and reasons are published on the ASC website.

28.5. The client, whose certificate is suspended, withdrawn, or cancelled shall:

a) Immediately stop selling and/or promoting any product produced from the date of suspension, withdrawal or cancellation as ASC certified or with the ASC Trademarks;

b) Inform existing and potential customers in writing of the suspension/withdrawal/cancellation within four (4) days of the suspension/withdrawal/cancellation date.

28.6. The client, whose certificate was withdrawn may only apply for ASC certification again after minimum twelve (12) months from the date of withdrawal.

28.7. The client found to be not following the above requirements 28.5 a or b shall not re-apply to the programme within thirty-six (36) months from the date of detection.
29. COMPLAINTS, APPEALS AND FEEDBACK

29.1. Clients are encouraged to submit to ASC in confidence, its feedback of each audit process within 30 days after the last day of the audit.

29.1.1. ASC shall keep clients' feedback confidential and only use in an aggregated manner for analysis and improvement of the programme.

29.2. The client may appeal a certification decision by a CAB if it is evident that
   a) The CAB personnel have not taken all submitted evidence into account when taking the certification decision, OR
   b) The CAB personnel have not followed requirements laid out in the ASC CAR or other normative references for the certification process (e.g. auditor competence, conflict of interests, response timelines), OR
   c) The CAB have misinterpreted ASC standard indicators or other applicable requirements.

29.2.1. The client shall follow the CAB's appeal procedure for such objection.

29.3. Clients may file a complaint to the CAB, following their complaints procedure if dissatisfied with the performance of the CAB.

29.3.1. Clients are encouraged to send a copy of the complaint to ASC and the ASC appointed accreditation body (ASI).

29.3.2. A copy of the complaint can be sent to ASC at:
   Email: complaints@asc-aqua.org
   Mailing Address: P.O. Box 19107
   3501 DC Utrecht
   The Netherlands
   Office Address: Aquaculture Stewardship Council
   Daalseplein 101,
   3511 SX Utrecht
   The Netherlands

29.4. If clients are dissatisfied with the CAB's complaint resolution mechanism, they may escalate to the ASC appointed accreditation body, following ASI's
30. **PUBLICITY AND DATA**

30.1. The applicant and/or certificate holder shall allow its information such as, but not limited to, site locations and audit reports be made publicly available on the ASC website.

30.2. The applicant and/or certificate holder shall inform the CAB in advance of the audit, the commercially sensitive information that it wishes to keep confidential and not publishing it in the public audit reports.

30.3. Any data submitted by the client and the CAB during the certification process shall be held and processed in line with the ASC data retention and data ownership policies. The policies can be found on the ASC website.

31. **REPORTING TO THE ASC**

31.1. The certificate holder shall provide required data to the ASC in the form and manner and with frequency as specified in ASC Standards and other ASC requirements.
## ANNEX A – THE ASC VOCABULARY

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Period</td>
<td>The span of time over which a site enters their Mass Balance calculation. In the case of the ASC Feed Standard, the Accounting Period is January to December. In the case of the ASC Feed Standard, and for mass balance model using approach A, the Accounting Period is January to December, and for approach B, no accounting period applies.</td>
</tr>
<tr>
<td>Eligibility Status</td>
<td>The status of an ingredient as to whether it is determined to be an Eligible Ingredient and can count towards the Eligible Volume. I.e.: Eligible Ingredient or Non-eligible Ingredient.</td>
</tr>
<tr>
<td>Ingredient Accounting System (IAS)</td>
<td>Internal mechanism to monitor the input volume of ASC eligible ingredients and additives versus the output of ASC product. This is a virtual balancing calculation rather than handling of physical product. In the case that the Mass Balance and Segregation Production Model are in use at the same time, the IAS must capture both eligible and Non-eligible Ingredients.</td>
</tr>
<tr>
<td>Non-Aqua feed ingredients</td>
<td>Non Aqua feed ingredients are those ingredients designated for use in the manufacture of non-Aqua feed, e.g. Livestock and poultry feed.</td>
</tr>
<tr>
<td>Output</td>
<td>ASC product produced and dispatched under the Mass Balance Model or Segregation Model.</td>
</tr>
<tr>
<td>Re-work</td>
<td>Correcting of defective, failed, or non-conforming product, during or after inspection. Rework includes all follow-on efforts such as re-weighing, re-bagging etc.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Shared Accounting System</td>
<td>A system in which the Client can apply the requirements of the Ingredient Accounting System over a number of their ASC certified production sites using one single accounting system. This means inputs of ASC Eligible Volume can be shared across multiple physical sites.</td>
</tr>
<tr>
<td>Supply Chain Mapping</td>
<td>Supply Chain Mapping is the process of identifying the actors in a company’s Supply Chain and the relationships among them.</td>
</tr>
<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 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.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</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>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>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Client</td>
<td>Legal entity applying or certified for the ASC programme 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. <strong>NOTE:</strong> Whenever the word CAB is used in the text, it applies to both the “applicant and accredited CABs” unless otherwise specified.</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>A non-conformity with one or more of the following conditions:</td>
</tr>
<tr>
<td></td>
<td>a) Workers’ lives are evidently at risk,</td>
</tr>
<tr>
<td></td>
<td>b) Sales of non-ASC products as ASC compliant.</td>
</tr>
<tr>
<td></td>
<td>c) Sale of Non-eligible Ingredients within an ASC Segregation Model product.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>--------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</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>Interested Party</td>
<td>Individual or group concerned with or affected by the social or environmental performance of the applicant or certificate holder.</td>
</tr>
<tr>
<td>Internal audit</td>
<td>An audit against the ASC requirements carried out by personnel directly employed by or contracted by a multi-site UoC.</td>
</tr>
<tr>
<td>Internal auditor</td>
<td>A person with the competency to perform an internal audit of the UoC according to the competencies in ASC Requirements for Units of Certification</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. 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>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</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>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>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-----------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</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>
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<tr>
<td></td>
<td>• Where there is no systemic failure to conform to ASC requirements</td>
</tr>
<tr>
<td></td>
<td>• Where the impacts are limited in their temporal and spatial scale</td>
</tr>
<tr>
<td></td>
<td>• Where there is minimal risk of the shipment of a product that does not conform to ASC requirements</td>
</tr>
<tr>
<td></td>
<td>• Where the failure does not meet the definition of a Major Non-conformity</td>
</tr>
<tr>
<td></td>
<td>Where the failure will not produce a non-conforming product.</td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td></td>
<td><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-conforming product</td>
<td>In the context of the ASC Feed standard, non-conforming product can be:</td>
</tr>
<tr>
<td></td>
<td>- ASC product produced under the Segregation Model that is identified as such, but relevant ingredients contained within cannot be confirmed as eligible or that mixing with Non-eligible Ingredients has occurred.</td>
</tr>
<tr>
<td></td>
<td>- ASC product produced under the Segregation Model or Mass Balance Model containing Non Permitted Ingredients (e.g.: from a Supply Chain with forced or child labour, IUU activities, Illegal deforestation or conversion) or use of non-aqua feed ingredients (e.g.: ingredients designated for use in livestock feed).</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>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>---------------------------------------------------------------------------</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>Qualification</td>
<td>Specific accomplishment</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>Shall</td>
<td>Denotes a requirement.</td>
</tr>
<tr>
<td>Should</td>
<td>Denotes a recommendation.</td>
</tr>
<tr>
<td>Site</td>
<td>A production facility that is owned or operated by the client. The facility that is audited and which is the subject of the audit report and Certificate.</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 utilised in/for, the production of the supplier’s and/or company’s goods and/or services.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Succeeding CAB</td>
<td>The CAB that takes over a certificate from a preceding CAB. Prior to the transfer process, the succeeding CAB 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>Unit of Certification (UoC)</td>
<td>The operation(s) that is covered by a certificate up to the point where the product changes ownership. It may include:</td>
</tr>
<tr>
<td></td>
<td>- Production site(s) and facilities within the UoC</td>
</tr>
<tr>
<td></td>
<td>- Production and storage operations (including subcontracted operations) within the control of the Client.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Term</td>
<td>The UoC may consist of one site (single site certification) or by more than one site (multisite certification)</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 - ASC REQUIREMENTS FOR MULTI-SITE CERTIFICATION

All requirements in the ASC Certification and Accreditation Requirements and this document also apply to clients applying for multisite certification unless specifically stated otherwise in this annex.

1. **Requirements for Multisite certification**

1.1. All sites in the UoC shall:

   a) Maintain a legally binding link (i.e direct ownership, lease or contract) with the client.

   b) Operate within the same jurisdiction or within neighboring jurisdictions that share relevant common regulations.

1.2. The client shall have a designated central office that has the responsibility and authority to manage the Multi-site UoC’s conformity to the ASC requirements.

1.3. The central office is responsible for the oversight and implementation of the following documented procedures:

   1.3.1. Complaints procedures for managing complaints submitted by stakeholders and staff members as specified in the ASC Feed standard;

1.4. The central office shall notify the CAB if a new site will be added to the multisite. In this case the new site shall:

   1.4.1. Receive an Initial audit by the CAB.

   1.4.2. Show compliance to all ASC requirements before being included in the scope of the certificate

   1.4.3. The new site may be included in the scope of the multisite certificate without an audit if it has a valid ASC single site certificate. This decision is under CAB’s discretion.
ANNEX C COMPETENCY REQUIREMENTS

Note: requirements for qualifications and competencies detailed in Table A, B and C below, apply only when pathway 2 Sectoral Assessment or pathway 3 Ingredient Manufacturer Assessments are used for the Due Diligence or plant risk assessment.

Table A

Qualifications and competencies for ALL individuals conducting Due Diligence and Deforestation / Conversion Free plant assessments.
Individual(s) conducting Ingredient Risk Assessments shall possess the following qualifications and competencies. Competency can be demonstrated by both internal or external resources so long as the below criteria is collectively met.

<table>
<thead>
<tr>
<th>Qualification / Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Education</td>
<td>a) The individual shall have at least a post-high school diploma or equivalent (minimum course duration of two (2) years)</td>
</tr>
</tbody>
</table>
| 2. Work Experience         | a) The individual shall have 3 years of experience (work or consultancy) in the relevant sector under assessment (e.g. industrial processes, agriculture, aquaculture, fisheries, forestry).  
                               b) The individual(s) shall have experience conducting Supply Chain Risk Assessment / Risk Management / Other Due Diligence assessments in a similar sector. |
| 3. Training                | a) The individual(s) shall have completed the ASC Feed Standard training module provided by the ASC (when available). |
### Table B

**Qualifications and competencies for individuals conducting Due Diligence on Legal and Environmental Risks in the fisheries sector.**

In addition to table A, individual(s) conducting Due Diligence relating to fisheries shall possess the following qualifications and competencies. Competency can be demonstrated by both internal or external resources so long as the below criteria is collectively met.

<table>
<thead>
<tr>
<th>Qualification / Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Education</strong></td>
<td>a) The individual shall have a university degree in fisheries, marine conservation biology, natural resources, environmental management, or another relevant field.</td>
</tr>
</tbody>
</table>
| **2. Work Experience**     | b) The individual shall have worked in:  
  i. Fish stock assessment: at least 3 years of experience as a leader in the production of peer reviewed stock assessments; OR  
  ii. Fish stock biology/ecology: at least 3 years of experience working in fisheries biology and population dynamics; OR  
  iii. Fishing impacts on aquatic ecosystems: at least 3 years of experience in research into, policy analysis for, or management of fisheries impacts on aquatic ecosystems; OR  
  iv. Fishery management and operations: at least 3 years of experience as a practicing fishery manager and/or fishery policy analyst. |
Table C
Qualifications and competencies for individuals conducting Due Diligence on Social risks.

In addition to table A, individual(s) conducting Due Diligence of Social Risks shall possess the following qualifications and competencies. Competency can be demonstrated by both internal or external resources so long as the below criteria is collectively met.

<table>
<thead>
<tr>
<th>Qualification / Competency</th>
<th>Requirement</th>
</tr>
</thead>
</table>
| 1. Work Experience                  | a) The individual shall have previous experience conducting Due Diligence or social risk assessments.  
                                        b) *Specific for social risks at fisheries:* The individual shall demonstrate experience working to address social issues in fisheries or fishing communities. |
2. Training

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) The individual shall have knowledge of local labour and human rights legislation for the country of the sector under assessment.</td>
</tr>
<tr>
<td>b) <em>Specific for social risks at fisheries:</em> The individual shall attend a training on the Social Risk Assessment or a recognized social programme (See the ASC website for recognized schemes)</td>
</tr>
</tbody>
</table>

**Table D – Feed Mill Internal Auditor qualifications and competencies (as referenced in Criterion 1.2 of the ASC Feed Standard)**

**Internal Auditors** evaluating the UoC’s compliance against the ASC requirements through, annually scheduled internal audits shall possess the following qualifications and competencies.

<table>
<thead>
<tr>
<th>Qualification / Competency</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Education</td>
<td>a) The individual shall have at least a post-high school diploma.</td>
</tr>
<tr>
<td></td>
<td>b) The individual shall have a general knowledge of management systems standards (such as ISO</td>
</tr>
</tbody>
</table>
c) The individual shall understand the social, economic and cultural relationships in worker communities.

2. Work Experience

a) The individual shall have experience relevant to the business being audited.

3. Auditor training

a) The individual shall have successfully completed an Internal Auditor training course based on ISO 19011 principles that has a minimum duration of sixteen (16) hours. The course provider shall be accredited by the International Register of Certified Auditors (IRCA) or Global Exemplar.

b) The individual(s) shall have completed the ASC Feed standard training module provided by the ASC (when available).

c) The individual shall have successfully completed a training course for auditing social requirements provided by a certification body or professional training institution specialised in social auditing (only applicable to internal auditors auditing social requirements).

4. Audit Experience

a) The individual shall have conducted at least three (3) management system audits.

Table E – Feed Mill Health and Safety qualifications and competencies for staff implementing ASC Feed Standard criterion 1.7

Staff responsible for health and safety of workers at feed mills shall possess collectively the following qualifications

<table>
<thead>
<tr>
<th>Qualification / Competency</th>
<th>Requirement</th>
</tr>
</thead>
</table>
1. **Education**  
   a) The individual shall fulfill local regulations related to minimum education required depending on the number of workers and the level of risk of the organization.  
   b) If the country does not have a local regulation related to minimum education based in the number of workers and level of risk, the individual shall fulfill the following education qualifications:  
      i. 10 to 49 workers: post high school diploma.  
      ii. 50 to 99 workers: post high school diploma and a postgraduate degree in labor health and safety.  
      iii. ≥100 workers: post high school diploma and a postgraduate degree in health and safety.

2. **Work Experience**  
   a) The individual shall have experience managing health and safety systems at industrial facilities for at least two (2) years.

3. **Health and Safety training**  
   a) The individual shall fulfill local regulations related to minimum specific health and safety training hours required depending on the number of workers and the level of risk of the organization.  
   b) If the country does not have a local regulation related to minimum specific health and safety training hours based in the number of workers and the level of risk, the individual shall fulfill the following training qualifications:  
      i. 10 to 49 workers: ≥ 50 hours.  
      ii. 50 to 99 workers: ≥ 100 hours.  
      iii. ≥100 workers: ≥ 200 hours.