



BENCHMARK REPORT

SCHEME:

SCOPE:

DATE:

Confidence in certified seafood



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For further information, please contact: secretariat@ourgssi.org

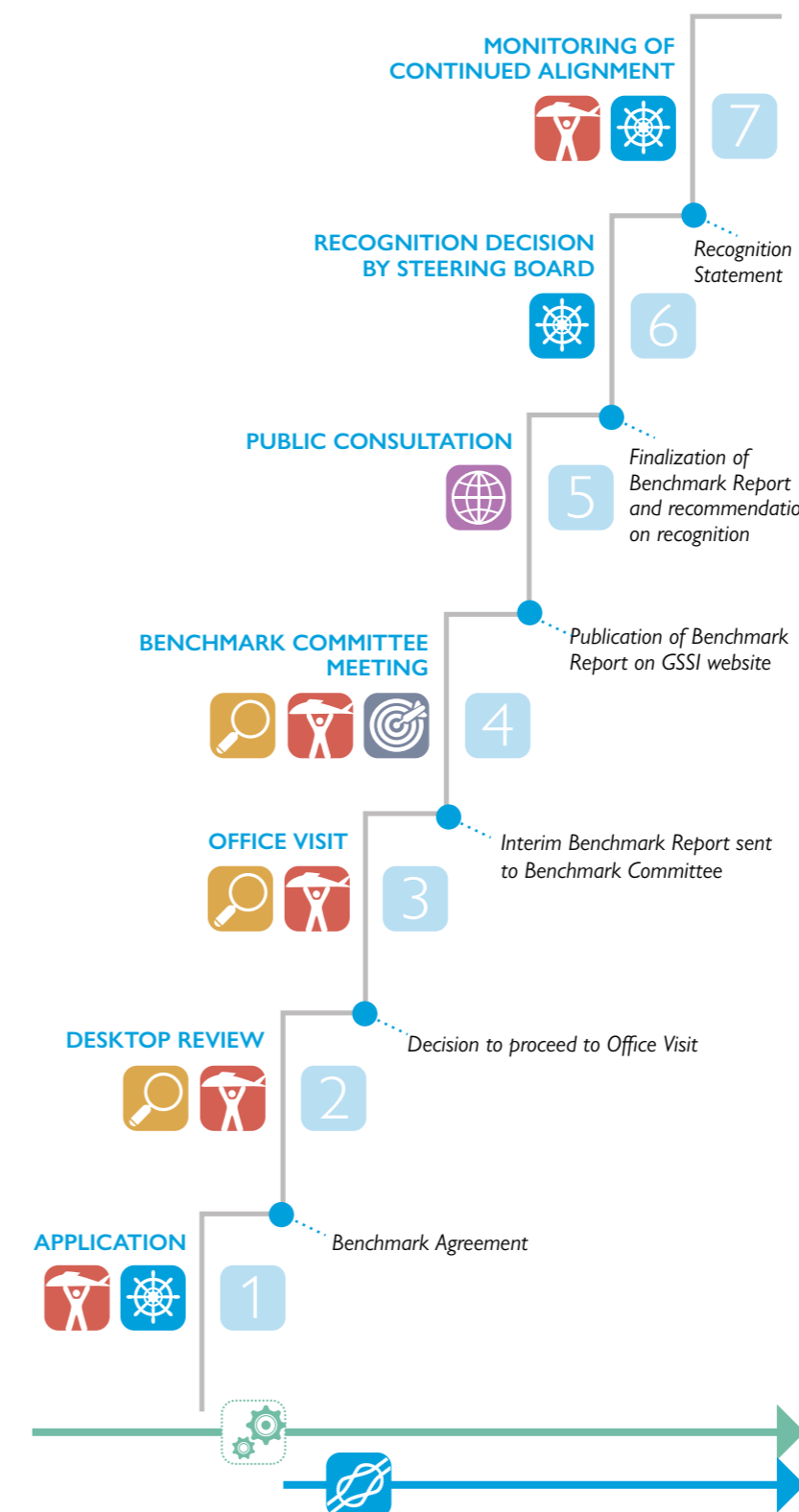
SCHEME OVERVIEW

SCHEME NAME	
STANDARD	
FOUNDING DATE	
FOUNDING PARTIES	
MISSION	
OBJECTIVE(S)	
SCOPE	
WEB SITE	

FROM APPLICATION TO RECOGNITION:

KEY STEPS AND RESPONSIBILITIES IN THE GSSI BENCHMARK PROCESS

DESCRIPTION	
1	
2	
3	
4	
5	
6	
7	



Who is involved?



- 
Scheme Owner
 An organisation, which is responsible for the development, management and maintenance of a certification scheme.
- 
Independent Experts
 A team of professional, competent and trained individuals appointed by GSSI's Steering Board to conduct the assessment of a seafood certification scheme applying for GSSI recognition.
- 
Steering Board Liaison
 An appointed member of GSSI's Steering Board assigned to support and monitor the Benchmark Process on behalf of the Steering Board.
- 
Benchmark Committee
 A multi-stakeholder committee of technical experts appointed by GSSI's Steering Board to review the Benchmark Report and provide a recommendation on recognition.
- 
Public
 Members of the global seafood industry, NGOs, academics, international organizations, and general public.
- 
Steering Board
 GSSI governing body who is responsible, with the support of the Secretariat, for the general management and performance of GSSI.
- 
GSSI Secretariat
 Concerned with operations, facilitation and communication, and all other work that may be required for the operational management of GSSI and the Benchmark Process.

WHO IS INVOLVED*

	SCHEME REPRESENTATIVES
	INDEPENDENT EXPERT (PROCESS)
	INDEPENDENT EXPERT (TECHNICAL)
	STEERING BOARD LIAISON
	STEERING BOARD MEMBERS

* Please include short biographical information

WHO IS INVOLVED*

	GSSI SECRETARIAT REPRESENTATIVE
	BENCHMARK COMMITTEE MEMBERS

* Please include short biographical information

SUMMARY



HOW TO READ THE SUMMARY

Each summary is a graphical display of all GSSI Essential Components and those GSSI Supplementary Components with which the benchmarked scheme is in alignment. GSSI Components which are not applicable are marked with "NA". All GSSI Components are organized by Topics and Elements. Source documents are colour-coded and referenced.

GSSI Benchmark Report identification number

Section

Performance Area number

Performance Area

Topic

Element

GSSI Essential Component: each Element includes one or more GSSI Essential Components which are numbered according to their respective Section and Performance Area. e.g., A.1.03 is the 3rd GSSI Essential Component of Performance Area 1 in section A..

GSSI BENCHMARK REPORT:

A SUMMARY: GOVERNANCE OF SEAFOOD CERTIFICATION SCHEMES

SCHEME GOVERNANCE		SCHEME MANAGEMENT	
ELEMENT / GSSI ESSENTIAL COMPONENTS	GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS	GSSI SUPPLEMENTARY COMPONENTS
Topic: Governance			
Legal status	A.1.01	A.1.01.01	● ● ●
		A.1.01.02	● ● ●
Topic: Impartiality			
Operating procedures	A.1.02	A.1.03	● ● ●
		A.1.03.01	● ● ●
Transparency of governance	A.1.04		
Governance complaints	A.1.05		
Governance participation	A.1.06		
Topic: Scope and objectives			
Scheme scope	A.1.07		
Scheme objectives	A.1.08	A.1.08.01	● ● ●
		A.1.08.02	● ● ●
Topic: Non-discrimination			
Non-discrimination – openness	A.1.09	A.1.09.01	● ● ●
Non-discrimination – market access	A.1.10		NA
Topic: Scheme integrity monitoring program			
Internal review	A.1.11	A.1.11.01	● ● ●

For Section A the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they build from the principles of the FAO Guidelines for Certification and Ecolabelling. ISO normative standards, ISEAL codes. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

SOURCE DOCUMENTS

- ISEAL Code of Good Practice for Setting Social and Environmental Standards V6, 2014
- ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards (Impacts Code)
- ISO/IEC 17067:2013, Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes
- Further elaboration on FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries and FAO Technical Guidelines on Aquaculture Certification

GSSI Supplementary Component: some GSSI Essential Components have one or more linked GSSI Supplementary Components, which are numbered according to their respective Section, Performance Area and Essential Component. e.g., A.2.02.01 is the first GSSI Supplementary Component linked to the 2nd GSSI Essential Component of Performance Area 2 in section A.

GSSI Components which are not applicable are marked with "NA".

Each GSSI Supplementary Component is grounded in a reference document, indicated by a color code.

A SUMMARY: GOVERNANCE OF SEAFOOD CERTIFICATION SCHEMES

A.1 SCHEME GOVERNANCE			A.2 SCHEME MANAGEMENT			A.2 STANDARD SETTING AND MAINTENANCE		
ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS
Governance			Logo use and claims			Standard setting body		
Legal status	A.1.01	A.1.01.01 ● ● A.1.01.02 ●	Claims policy	A.2.01		Standard setting body	A.3.01	
Impartiality	A.1.02		Relevant claims	A.2.02	A.2.02.01 ● ●	Central focal point	A.3.02	
Operating procedures	A.1.03	A.1.03.01 ●	Claims-making requirements	A.2.03		Standard setting procedures		
Transparency of governance	A.1.04		Logo management	A.2.04		Standards development and maintenance procedure	A.3.03	
Governance complaints	A.1.05		Certificate content management	A.2.05		Work program	A.3.04	
Governance participation	A.1.06		Minimum percentage-based claims	A.2.06		Terms of reference	A.3.05	A.3.05.01 ●
Scope and objectives						Decision making process	A.3.06	A.3.06.01 ● ● A.3.06.02 ● ● A.3.06.03 ● ● A.3.06.04 ● ● A.3.06.05 ●
Scheme scope	A.1.07					Complaints	A.3.07	A.3.07.01 ● ●
Scheme objectives	A.1.08	A.1.08.01 ● A.1.08.02 ● ●				Standards review and revision	A.3.08	
Non-discrimination						Proposals for revisions	A.3.09	
Non-discrimination – openness	A.1.09	A.1.09.01 ●				Record keeping	A.3.10	A.3.10.01 ● ●
Non-discrimination – market access	A.1.10					Participation and consultation		
Scheme integrity monitoring program						Public summary	A.3.11	
Internal review	A.1.11	A.1.11.01 ●				Balanced participation	A.3.12	
						Public consultation	A.3.13	A.3.13.01 ●
						Public announcement	A.3.14	
						Stakeholder consultation	A.3.15	A.3.15.01 ● A.3.15.02 ● ●
						Transparency comments received	A.3.16	
						Taking comments into account	A.3.17	A.3.17.01 ●
						Standards content		
						Standards content	A.3.18	
						Relevance of standards content	A.3.19	
						Local applicability	A.3.21	
						Standards accessibility		
						Standards availability	A.3.22	
						Translations	A.3.23	
						Transition period		
						Informing enterprises of transition	A.3.24	
						Transition period for compliance	A.3.25	
							A.3.26	

For Section A the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they build from the principles of the FAO Guidelines for Certification and Ecolabelling, ISO normative standards, ISEAL codes. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

SOURCE DOCUMENTS

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- ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards (Impacts Code)
- ISO/IEC 17065/2013, Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes
- Further elaboration on FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries and FAO Technical Guidelines on Aquaculture Certification

B SUMMARY: OPERATIONAL MANAGEMENT OF SEAFOOD CERTIFICATION SCHEMES

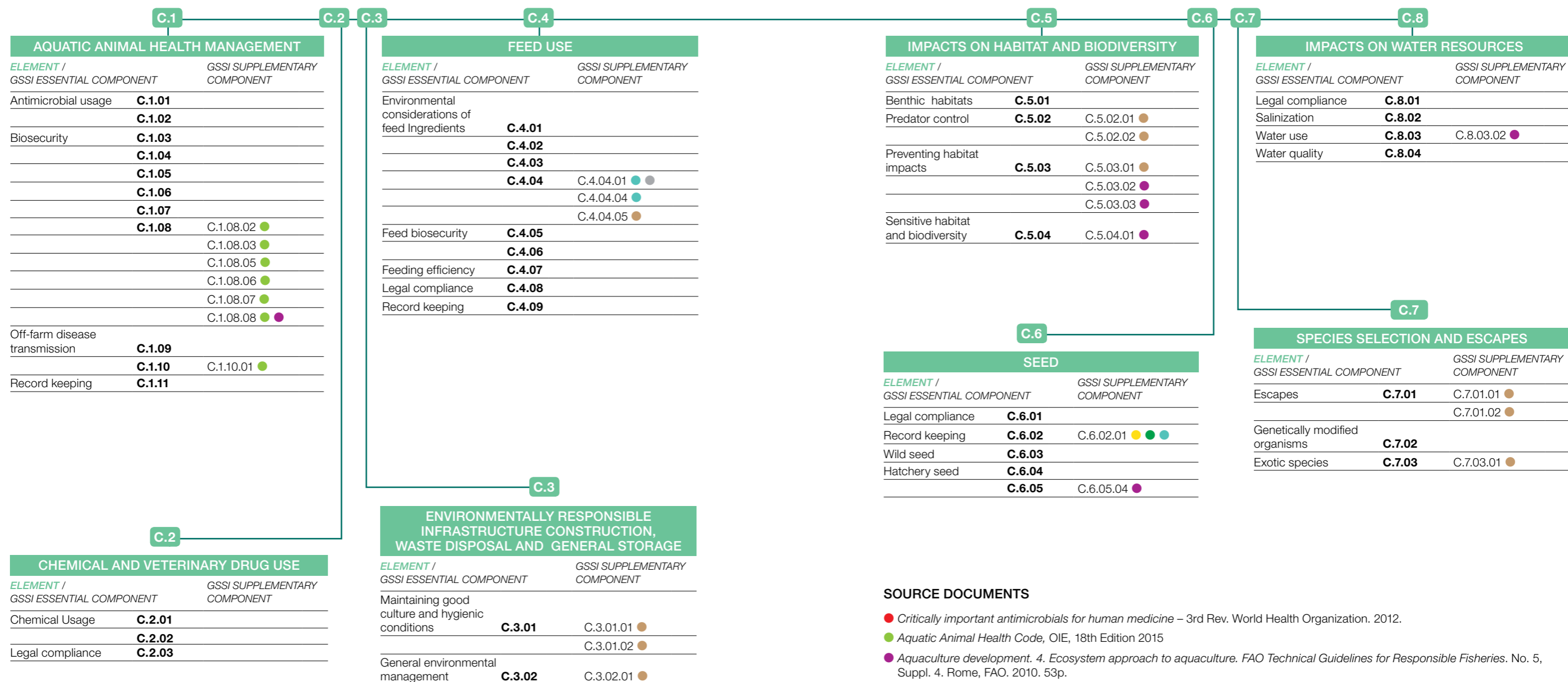
B.1 ACCREDITATION		B.2 CERTIFICATION		B.3 CHAIN OF CUSTODY	
ELEMENT / GSSI ESSENTIAL COMPONENTS		ELEMENT / GSSI ESSENTIAL COMPONENTS	GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS	
ISO-17011 compliance	B.1.01	Certification process		Segregation	B.3.01
Non-discrimination	B.1.02	ISO-17065 compliance	B.2.01	Enterprises to be audited	B.3.02
Specified requirements	B.1.03	Fee structure	B.2.02	Records for traceability	B.3.03
Transition period	B.1.04	Certification cycle	B.2.03	Sub-contractors	B.3.04
Accreditation body – Competencies	B.1.05	Surveillance	B.2.04	Auditing methods and frequency	B.3.05
External review	B.1.06	Assessment methodology	B.2.05	Non-conformity/corrective actions	B.3.06
Organizational transparency	B.1.07		B.2.05.01 ● ● ●	Audit report	B.3.07
Office audit	B.1.08		B.2.05.02 ● ● ●		B.3.08
Field audit	B.1.09	Termination, suspension, withdrawal	B.2.06	Record keeping	B.3.09
		Multi-site certification	B.2.07	Multi-site Chain of Custody audit	B.3.10
		Audit reports	B.2.08	Multi-site Chain of Custody internal verification	B.3.11
		Stakeholder input	B.2.09		
			B.2.09.01 ● ●		
			B.2.09.02 ●		
		Non-compliances	B.2.10		
		Site audit	B.2.11		
			B.2.11.01 ● ● ●		
		Transparency on certified entities	B.2.12		
		Transparency on audit reports	B.2.13		
			B.2.14		
			B.2.14.01 ●		
			B.2.14.02 ●		
		Notification of changes	B.2.15		
		Timeline for corrective action	B.2.16		
		Auditor competence			
		Requirements for technical knowledge	B.2.17		
		Technical knowledge	B.2.18		
		General auditing skills	B.2.19		
		Scheme specific knowledge assessment	B.2.20		
		Scheme specific knowledge maintenance	B.2.21		
		Knowledge maintenance	B.2.22		

For Section B the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they build from the principles of the FAO Guidelines for Certification and Ecolabelling, ISO normative standards, ISEAL codes and the GFSI Guidance Document. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

SOURCE DOCUMENTS

- *Assuring Compliance with Social and Environmental Standards, Code of Good Practice*, ISEAL Alliance, 2012
- Further elaboration on FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries and FAO Technical Guidelines on Aquaculture Certification
- GFSI Guidance Document, Sixth Edition, Version 6.3, GFSI, October 2013

C SUMMARY: AQUACULTURE CERTIFICATION STANDARDS



For Section C the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they relate to internationally agreed technical guidelines developed by FAO members since the Code of Conduct was agreed in 1995 and relevant OIE and WHO documents. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

SOURCE DOCUMENTS

- *Critically important antimicrobials for human medicine* – 3rd Rev. World Health Organization. 2012.
- *Aquatic Animal Health Code*, OIE, 18th Edition 2015
- *Aquaculture development. 4. Ecosystem approach to aquaculture. FAO Technical Guidelines for Responsible Fisheries*. No. 5, Suppl. 4. Rome, FAO. 2010. 53p.
- FAO (2011). *Aquaculture development. 6. Use of wild fishery resources for capturebased aquaculture. FAO Technical Guidelines for Responsible Fisheries*. No. 5, Suppl. 6. Rome, FAO. 2011. 81 pp.
- *Aquaculture development. 3. Genetic resource management. FAO Technical Guidelines for Responsible Fisheries*. No. 5, Suppl. 3. Rome, FAO. 2008. 125p
- *Aquaculture development. 5. Use of wild fish as feed in aquaculture. FAO Technical Guidelines for Responsible Fisheries*. Rome, FAO. 2011. 79p.
- Hasan and Halwart (2009). *Fish as feed inputs for aquaculture: practices, sustainability and implications*. FAO Fisheries and Aquaculture Technical Paper. No. 518. Rome, FAO. 2009. 407p.
- *FAO Technical Guidelines for Aquaculture Certification*
- Serrano (2005). *Responsible use of antibiotics in aquaculture*. FAO Fisheries Technical Paper 469.
- Conservation Alliance for Seafood Solutions (2015). *Guidelines for Supporting Fishery Improvement Projects*. www.solutionsforseafood.org/wp-content/uploads/2015/03/Alliance-FIP-Guidelines-3.7.15.pdf
- The WHO Recommended Classification of Pesticides by Hazard. 2009. www.who.int/ipcs/publications/pesticides_hazard/en/
- Rotterdam Convention Annex III listed chemicals - 2010, see www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx

EVIDENCE OF ALIGNMENT

*GSSI Essential Components
and GSSI Supplementary Components
for Governance of
Seafood Certification Schemes*



*GSSI Essential Components
and GSSI Supplementary Components
for Operational Management
of Seafood Certification Schemes*

*GSSI Essential Components
and GSSI Supplementary Components
for Aquaculture
Certification Standards*



HOW TO READ THE EVIDENCE OF ALIGNMENT

The Evidence of Alignment consists of the conclusion of the Independent Expert, the rationale which led to this and the references supporting the conclusion which are listed below.

GSSI Essential Components

GSSI Benchmark Report identification number → A.1

Section number → A.1

Performance area → SCHEME GOVERNANCE

Topic → GOVERNANCE

GSSI Component number → 01

Element → LEGAL STATUS

GSSI Essential Component → GSSI ESSENTIAL COMPONENT

Guidance for alignment → GUIDANCE

Number of related GSSI Supplementary Component(s) → 01

Conclusion: Summary of findings by the Independent Expert that confirms alignment of the Certification Scheme with the requirements of the Component → CONCLUSION

References: Evidence sighted by the Independent Expert that demonstrates alignment which could include policies, procedures, records, interviews, etc. → REFERENCES

COMPONENT NUMBER A.1.01

Evidence of alignment with applicable GSSI Essential Components. These Components are grounded in the Code of Conduct for Responsible Fisheries (CCRF) and the FAO Guidelines, which a seafood certification scheme must meet to be recognised by GSSI.

GSSI Supplementary Components

GSSI Supplementary Component number → A.1 01 01

GSSI Supplementary Component and rationale for inclusion → GSSI SUPPLEMENTARY COMPONENT

Guidance for alignment → GUIDANCE

Conclusion: Summary of findings by the Independent Expert that confirms alignment of the Certification Scheme with the requirements of the Component → CONCLUSION

References: Evidence sighted by the Independent Expert that demonstrates alignment which could include policies, procedures, records, interviews, etc. → REFERENCES

COMPONENT NUMBER A.1.01.01

Evidence of alignment with implemented GSSI Supplementary Components. These Components are grounded in the CCRF and related FAO documents, ISO normative standards and ISEAL codes, which show a seafood certification scheme's diverse approach and help stakeholders understand where differences exist.



EVIDENCE OF ALIGNMENT
WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS**
FOR GOVERNANCE
OF SEAFOOD CERTIFICATION SCHEMES

A.1

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

► GOVERNANCE

A.1 01 LEGAL STATUS

GSSI ESSENTIAL COMPONENT

The Scheme Owner is a legal entity, or an organization that is a partnership of legal entities, or a government or inter-governmental agency.

GUIDANCE

Scheme Owner is an entity which could be held legally responsible for its operations.

Examples of evidence for scheme alignment:

- an official document showing registration with legal authorities and current legal status of organization.
Examples include incorporation papers, statutes, business licenses and registration with tax authorities.

For government Scheme Owners, clear lines of responsibility and authority on decision making should be identified.

Pre-application to require scheme to identify legal registered entity or lead government agency/department.

RELATED SUPPLEMENTARY COMPONENTS

A.1 01 01 A.1 01 02

CONCLUSION

REFERENCES

A.1

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME GOVERNANCE****A.1 02 IMPARTIALITY****GSSI ESSENTIAL COMPONENT**

The Scheme Owner is not directly engaged in the operational affairs (auditing or certification) of the certification or accreditation program.

Note: This does not include complaint resolution or performance review.

GUIDANCE

Scheme Owner is not directly engaged in auditing, certification or accreditation activities in order to ensure freedom of commercial or financial pressure of assurance processes and decision making. This does not include complaint resolution or performance reviews.

Examples of evidence for scheme alignment:

- impartiality policy, impartiality clauses in certification body and accreditation body contracts, management control procedures

CONCLUSION**REFERENCES**

A.1

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

A.1 03 OPERATING PROCEDURES

GSSI ESSENTIAL COMPONENT

The Scheme Owner operates to a documented set of governance policies and procedures specifying at least the following:

- Board or governance body election or appointment process,
- Board or governance body representation and Terms of Reference,
- Member categories (where applicable),
- Income generation or funding processes,
- An organizational structure,
- The decision making processes of each governance body,
- Key personnel roles (responsibility and authority),
- Managing conflict of interest, and
- A conformity assessment program.

GUIDANCE

The Scheme Owner has policies/procedures available covering all aspects in this *Essential Component* except Member categories if not applicable.

Examples of evidence for scheme alignment:

- statutes and by-laws, organizational chart, internal procedures, job descriptions, conflict of interest statements, quality assurance manuals

RELATED SUPPLEMENTARY COMPONENTS

A.1 03 01

CONCLUSION

REFERENCES

A.1

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME GOVERNANCE****A.1 04 TRANSPARENCY OF GOVERNANCE****GSSI ESSENTIAL COMPONENT**

The Scheme Owner makes information freely and publicly available about the scheme's governance structure, Scheme Ownership, standards and standard-setting procedures, and the composition, operating procedures and responsibilities of its governance bodies.

GUIDANCE

All applicable listed governance documents are easily accessible online, free or at cost of any printing and handling costs.

Examples of evidence for scheme alignment:

- applicable documents posted on website, easy to find and free to download. If printed copies are offered - charges are reasonable to cover printing and handling.

CONCLUSION**REFERENCES**

A.1

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME GOVERNANCE****A.1 05 GOVERNANCE COMPLAINTS****GSSI ESSENTIAL COMPONENT**

The Scheme Owner has a transparent process to assess complaints based on a publicly available procedure for resolving complaints related to governance, scheme management and executive functions.

GUIDANCE

Complaints procedure is documented and clearly outlines steps, timelines and responsibilities to address and resolve complaints. The process for submitting a complaint - how and to whom - is public and easily understood. A process is in place to identify when and if the complaint is addressed and resolved.

Examples of evidence for scheme alignment:

- easily found complaint process and submission form online.
- documentation of existing complaints and their resolution.
- possibly request accreditation and certification bodies for previous submissions of complaints and resolution.

CONCLUSION**REFERENCES**

A.1

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME GOVERNANCE****A.1 06 GOVERNANCE PARTICIPATION****GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that stakeholders have the opportunity to participate in or provide direct input to the top governance body.

GUIDANCE

The Scheme Owner provides freely accessible public information outlining how stakeholders can participate in or provide direct input to the top governance body.

Examples of evidence for scheme alignment:

- online process document for submission of input, governance body selection process and stakeholder composition, review of previous stakeholder inputs and verify if/how this reached top governance.

CONCLUSION**REFERENCES**

A.1

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

► SCOPE AND OBJECTIVES

A.1 07 SCHEME SCOPE

GSSI ESSENTIAL COMPONENT

The Scheme Owner has a defined scope for certification under its scheme.

GUIDANCE

The Scheme Owner clearly defines scope that standard covers, for example which species, production systems/gear type, geographical locations, company structures (single units, groupings of sites/boats, smallholder groups/small-scale fisheries, subcontractors, product categories, certifiable units in the chain of custody etc.).

Examples of evidence for scheme alignment:

- explicit scope definition in certification methodology/requirements, standards, objectives.
- contracts with accreditation bodies, certification bodies and/or certified operations

CONCLUSION

REFERENCES

A.1

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

A.1 08 SCHEME OBJECTIVES

GSSI ESSENTIAL COMPONENT

The Scheme Owner has defined objectives for its scheme that aim for responsible use of the resource and has publicly available performance indicators related to scheme objectives.

GUIDANCE

Objectives for the scheme are defined and documented. The defined objectives cover all environmental resources covered in the standards; this would normally be for example fish populations, habitats and ecosystems, water, possibly energy, endangered species and biodiversity within the impact zone. Indirect use of resources for e.g. feed production may also be addressed. For each objective and associated resources, performance indicators are defined, documented and publically available.

Examples of evidence for scheme alignment:

- standard document with objectives and thresholds.

RELATED SUPPLEMENTARY COMPONENTS

A.1 08 01 A.1 08 02

CONCLUSION

REFERENCES

A.1

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

► NON-DISCRIMINATION

A.1 09 NON-DISCRIMINATION – OPENNESS

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that all types of fishery/aquaculture operations within the scope of its scheme can apply for certification, regardless of their scale, size or management arrangements, and has not set an upper limit on the number of operations that can be certified.

GUIDANCE

The Scheme Owner application process ensures equal access within the defined standard scope whether directly, sub-contractors or outsourcing (i.e. to certification body).

Examples of evidence for scheme alignment:

- application process selection criteria do not discriminate on factors such as size, scale, management, minimum number of operators.
- review declined applications are due to other non-discriminatory issues (i.e. incomplete, out of scope)

RELATED SUPPLEMENTARY COMPONENTS

A.1 09 01

CONCLUSION

REFERENCES

A.1

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

A.1 10 NON-DISCRIMINATION – MARKET ACCESS

GSSI ESSENTIAL COMPONENT

The Scheme Owner does not have mandatory requirements that require a fishery / aquaculture operation to be certified in order to access any markets.

GUIDANCE

Application selection process and certification methodology/requirements do not include mandatory requirements for access to markets.

Absence of such requirements indicates alignment.

CONCLUSION

REFERENCES

A.1

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

► SCHEME INTEGRITY MONITORING PROGRAM

A.1 11 INTERNAL REVIEW

GSSI ESSENTIAL COMPONENT

The Scheme Owner undertakes a fully documented annual management review of scheme performance, including its assurance program, and the performance of certification and accreditation bodies. The results of the review are used to revise its operating procedures and practices, where necessary.

GUIDANCE

System exists for an annual documented management review that covers scheme performance, assurance program, accreditation bodies and certification bodies as applicable. A documented system to use the results of the review to revise operating procedures and systems is available.

RELATED SUPPLEMENTARY COMPONENTS

A.1 11 01

CONCLUSION

REFERENCES

A.2

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME MANAGEMENT

▶ LOGO USE AND CLAIMS

A.2 01 CLAIMS POLICY

GSSI ESSENTIAL COMPONENT

The Scheme Owner has a publicly available policy governing use of symbols, logos and claims.

GUIDANCE

Scheme Owner has a policy that covers use of symbols, logos and claims if applicable to its system. The policy is public, easily accessible and available in languages appropriate to geographic scope.

CONCLUSION

REFERENCES

A.2

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME MANAGEMENT

A.2 02 RELEVANT CLAIMS

GSSI ESSENTIAL COMPONENT

Through the claims policy, the Scheme Owner ensures copyright is protected and that symbols, logos and claims are only applied to activities that are within the scope of certification, do not overstate or mislead users relative to the defined scope, and are relevant to that scope.

GUIDANCE

Claims policy (see A.2.01), contracts and MoUs ensure that logo use and claims are copyright protected and are restricted to activities within the scope of certification. This includes symbols, logos and claims on and off product, such as marketing materials, consumer brochures and the internet.

Examples of evidence for scheme alignment:

- legal registration of logos and seals with applicable agents.
- claims policy covers clear scope for on and off product use, claims and statements including policy for misuse.
- contractual relationships specify explicitly adherence to claims policy.
- records of applications for use of claims, records of complaints or violations.

RELATED SUPPLEMENTARY COMPONENTS

A.2 02 01

CONCLUSION

REFERENCES

A.2

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME MANAGEMENT

A.2 03 CLAIMS-MAKING REQUIREMENTS

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the certified organization does not make or permit any misleading statement or use regarding the status or scope of its certification.

GUIDANCE

The Scheme Owner has a contract, MoU or other formal arrangement with certified entity.

Examples of evidence for scheme alignment:

- publically available Logo Use and Claim document which is explicitly referenced in formal arrangement with certified entity.
- other examples include direct logo agreements, licensing or membership agreements with the Scheme Owner or its commercial partner or indirect contracts/agreements through the certification body.
- in the latter case the requirements to include this in contracts/agreements should be outlined in certification requirements/methodologies or similar contract/agreement between the Scheme Owner and the certification body.

CONCLUSION

REFERENCES

A.2

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME MANAGEMENT****A.2 04 LOGO MANAGEMENT****GSSI ESSENTIAL COMPONENT**

The Scheme Owner or its delegated authority issues written and enforceable authorizations and/or licenses to use the scheme's mark/claim/logo only when the facility and/or product has been certified as being in conformity with the relevant standard.

GUIDANCE

Contracts or formal agreements with the certified entity specify legal responsibility for the use of the scheme's mark/claim/logo only when the facility and/or product are certified.

Examples of evidence for scheme alignment:

- direct logo agreements, licensing or membership agreements with the Scheme Owner or a delegated authority.
- indirect contracts/agreements through the certification body.
- in the latter case the requirements should be outlined in certification requirements/methodologies or similar contract/agreement between the Scheme Owner and the certification body to include this in contracts/agreements.

CONCLUSION**REFERENCES**

A.2

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME MANAGEMENT

A.2 05 CERTIFICATE CONTENT MANAGEMENT

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certificates to include, at a minimum:

- the name and address of the accreditation body or Scheme Owner;
- the name and address of the certification body;
- the name and address of the certification holder;
- the effective date of issue of the certificate;
- the substance (scope of certification) of the certificate;
- the term for which the certification is valid;
- signature of the issuing officer.

GUIDANCE

The issuer of the certificate ensures that minimum information enables identification and contact information of assurance process parties (accreditation body, Scheme Owner and certification body), unique name and address of certified entity, date and validity, scope and signature of issuing officer.

Examples of evidence for scheme alignment:

- mandatory normative documents such as certification requirements/methodologies with certification bodies that cover all points listed.
- mandatory certificate template includes all points listed.
- review examples of certificates.

CONCLUSION

REFERENCES

A.2

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

SCHEME MANAGEMENT

A.2 06 MINIMUM PERCENTAGE-BASED CLAIMS

GSSI ESSENTIAL COMPONENT

Where a seafood ingredient can be certified, the Scheme Owner requires that at least 95% of the total seafood ingredient within a product is of certified origin in order for the scheme's logo or certification mark to be used. Where there is less than 95%, the scheme requires that the percentage must be stated and the logo or certification mark cannot be used.

GUIDANCE

The Scheme Owner specifies minimum percentages for use of logo and claims in mixed products. This states that at least 95% of the total seafood ingredient that can be certified, for unqualified claims and for lower percentages, a qualifying statement of the percentage must be used in conjunction with the logo or claim.

Examples of evidence for scheme alignment:

- normative documents such as scope definition, certification requirements/ methodologies or other agreements between the Scheme Owner and certification body that define these percentage claims.
- logo use and claims policy which is explicitly referenced in formal contracts and agreements with certification bodies and/or certified entities.
- review examples of issued certificates where these are public or product information in online databases of certified products where these are available.
- if the Scheme Owner does not allow mixed product, then this *Essential Component* is aligned.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

▶ STANDARD SETTING BODY

A.3 01 STANDARD SETTING BODY

GSSI ESSENTIAL COMPONENT

A Scheme Owner or other suitable arrangement (e.g. technical committee of independent experts, delegated standard-setting body) is assigned with the tasks of setting, reviewing, revising, assessing, verifying and approving standards.

GUIDANCE

The organizational chart clearly identifies the responsible person for assigning the management of the standard setting process. In addition, the organizational chart or related TORs/contracts with external bodies identifies where each of the tasks (setting, reviewing, revising, assessing, verifying and approving standards) are assigned to.

This documentation clearly indicates where the overall responsibility for the standard setting process lies.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 02 CENTRAL FOCAL POINT

GSSI ESSENTIAL COMPONENT

The Scheme Owner identifies a central point of contact for standards-related enquiries and for submission of comments. The Scheme Owner makes contact information for this contact point readily available including on the internet.

GUIDANCE

Contact details for standard related enquiries and comments are easily available for the public, including online. This can be the same as a general contact point, but should explicitly identify standard related scope.

Examples of evidence for scheme alignment:

- review website and verify that point of contact responds to enquiries.
- review past enquiries and submitted comments

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

▶ STANDARD SETTING PROCEDURES

A.3 03 STANDARDS DEVELOPMENT AND MAINTENANCE PROCEDURE

GSSI ESSENTIAL COMPONENT

The Scheme Owner has publicly available procedures for the process under which each standard is developed and revised.

GUIDANCE

Procedures defining the process of standard development and revision are easily available for the public, such as online, in appropriate languages.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 04 WORK PROGRAM

GSSI ESSENTIAL COMPONENT

A work program is prepared and made publicly available at least every six months, including:

- Scheme Owner's name and address
- the list of standards currently under preparation;
- the list of standards currently under reviewing or revision;
- the list of standards which were adopted in the preceding period.

GUIDANCE

A work program for standard setting and revision is easily available for the public, such as online. The program is updated at a minimum every 6 months. The work program contains all listed items.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 05 TERMS OF REFERENCE

GSSI ESSENTIAL COMPONENT

At the outset of a new standard development or revision process, the Scheme Owner develops or updates terms of reference (ToRs), which includes at least the following elements:

- Proposed scope of the standard and intended geographic application;
- Clear objectives that the standard seeks to achieve and how those are linked to the organization's intended change.

GUIDANCE

The Scheme Owner has mechanism in place to develop or update ToR at the outset of standard development or revision process that includes: proposed scope, geographical application and objectives.

Examples of evidence for scheme alignment:

- outlined in an internal procedure and part of the quality handbook for standard setting.

For Scheme Owners that have standard development or a revision process going on, check online availability of this information.

RELATED SUPPLEMENTARY COMPONENTS

A.3 05 01

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 06 DECISION MAKING PROCESS

GSSI ESSENTIAL COMPONENT

The Scheme Owner strives for consensus decisions on the content of the standard. Where consensus cannot be achieved, the Scheme Owner defines criteria in advance to determine when alternative decision-making procedures should come into effect and what the decision-making thresholds will be.

GUIDANCE

A mechanism is in place to assure a consensus decision is found where possible. In addition, the mechanism describes how decisions shall be made when a consensus is not possible. The mechanism assures that stakeholders are informed about this mechanism.

Examples of evidence for scheme alignment:

- internal procedures and/or quality handbook for standard setting and maintenance outlines decision making.
- meeting minutes/email correspondence.

Standard setting archives and draft standards and meeting minutes could verify that this mechanism was implemented during previous decision-making.

RELATED SUPPLEMENTARY COMPONENTS

[A.3 06 01](#)
[A.3 06 02](#)
[A.3 06 03](#)
[A.3 06 04](#)
[A.3 06 05](#)

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 07 COMPLAINTS

GSSI ESSENTIAL COMPONENT

The Scheme Owner, or delegated authority makes impartial and documented efforts to resolve procedural complaints related to standard-setting, based on a publicly documented complaints resolution mechanism. Decisions taken on complaints are disclosed at least to the affected parties.

GUIDANCE

The Scheme Owner or delegated authority has a publicly available complaint resolution mechanism related to standard setting. A general contact may be used, but must explicitly note standard setting complaints. Resolutions are documented and free of bias. Decisions on complaints are disclosed, at a minimum, to affected parties.

Examples of evidence for scheme alignment:

- internal quality assurance manual.
- previous complaints have been resolved according to this policy.
- decisions taken on previous complaints have been disclosed to the affected party.

Possibly request and cross-check with any previous procedural complaints from stakeholders.

RELATED SUPPLEMENTARY COMPONENTS

A.3 07 01

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 08 STANDARDS REVIEW AND REVISION

GSSI ESSENTIAL COMPONENT

The Scheme Owner reviews standards at least every five years for continued relevance and for effectiveness in meeting their stated objectives and, if necessary, revises them in a timely manner.

GUIDANCE

The Scheme Owner has a process in place for reviewing all standards to ensure continued relevance and meeting stated objectives. Relevance can include market uptake, stakeholder scope and support. Outcome and assessment reports can identify progress towards objectives. Review should be at least every five years.

Example of evidence of alignment:

- internal procedure, quality handbook, public work program.
- monitoring and evaluation system.
- public comments and consideration of reports for standard revisions.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 09 PROPOSALS FOR REVISIONS

GSSI ESSENTIAL COMPONENT

The Scheme Owner allows for comments on the standard to be submitted by any interested party at any time and considers them during the subsequent standards revision process.

GUIDANCE

The Scheme Owner has a permanent publicly available point of contact defined online for the submission of comments on the standard. This is not just during the development or revision process. A general point of contact online is acceptable for small schemes, as long as it explicitly states that all stakeholders can submit comments on the standard at any time. All comments on standards are considered in subsequent revision process.

Examples of evidence for scheme alignment:

- scheme's website with form for submitting comments on standards.
- internal procedure, quality handbook describing the receiving, filing and incorporation of submissions during the subsequent revision process.

Review ongoing submissions by interested parties on file.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 10 RECORD KEEPING

GSSI ESSENTIAL COMPONENT

The Scheme Owner keeps on file for a period of at least one full standards revision the following records related to each standard development or revision process:

- policies and procedures guiding the standard-setting activity;
- lists of stakeholders contacted;
- interested parties involved at each stage of the process;
- comments received and a synopsis of how those comments were taken into account; and
- all drafts and final versions of the standard.

GUIDANCE

The Scheme Owner has a mechanism in place to assure all records outlined remain on file for at least one full standards revision period.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook describing records to be kept, document and retention policy.

Review the full range of records for the most previous standard development and revision process.

RELATED SUPPLEMENTARY COMPONENTS

A.3 10 01

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

▶ PARTICIPATION AND CONSULTATION

A.3 11 PUBLIC SUMMARY

GSSI ESSENTIAL COMPONENT

At the outset of a standard development or revision process, the Scheme Owner makes publicly available a summary of the process that includes:

- contact information and information on how to contribute to the consultation;
- summary of the terms of reference for the standard, including the proposed scope, objectives and justification of the need for the standard;
- steps in the standard-setting process, including timelines and clearly identified opportunities for contributing; and
- decision-making procedures, including how decisions are made and who makes them.

GUIDANCE

The Scheme Owner has a mechanism in place assuring that a summary of the process is made easily available for the public online at the outset of the process. This includes Who and How to contribute, timeline, summary ToR (A.3.05) and decision making (who and how).

Examples of evidence for scheme alignment:

- internal procedure/quality handbook describing elements and process of public summary.
- examples of availability of past or current information.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 12 BALANCED PARTICIPATION

GSSI ESSENTIAL COMPONENT

The Scheme Owner or delegated authority ensures participation by independent technical experts and encourages balanced participation by stakeholders in the standard development, revision and approval process.

GUIDANCE

The Scheme Owner, or delegated authority, has mechanism to ensure participation of necessary technical experts and balance of different stakeholder perspectives in standard development and maintenance. A balanced participation of stakeholders would include: fisheries/aquaculture management authorities, the fishing/aquaculture industry, fish workers organizations, fishing/aquaculture communities, the scientific community, environmental interest groups, fish processors/traders/retailers, aquaculture input providers such as feed providers, hatcheries/nurseries and possibly treatment providers, as well as consumer associations.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook for standard development
- revision and approval processes that describe how balance is achieved, such as through stakeholder mapping, announcements and invitation.

Draft documents and meeting minutes/email correspondence indicate that during standard development, revision and approval processes of the past, independent technical experts participated, and a balanced participation by stakeholders was encouraged.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 13 PUBLIC CONSULTATION

GSSI ESSENTIAL COMPONENT

The Scheme Owner allows a period of at least 60 days for the submission of comments on the draft standard.

GUIDANCE

The Scheme Owner has a mechanism in place to assure a minimum of 60 days for comments on the draft standard.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining public comment period.
- ToR

Review previous comments and dates for submission on draft standards.

RELATED SUPPLEMENTARY COMPONENTS

A.3 13 01

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 14 PUBLIC ANNOUNCEMENT

GSSI ESSENTIAL COMPONENT

No later than the start of the comment period, the Scheme Owner publishes a notice announcing the period for commenting in a national or, as may be, regional or international publication of standardization activities and/or on the internet.

GUIDANCE

Timely announcements are made regarding the public comment period in appropriate channels so that they are easily available to relevant stakeholders. This can be online or in an appropriate publication. Dates should be clearly stated.

Examples of evidence for scheme alignment:

- internal procedure defining process.
- previous announcements are dated and were published before the beginning of the comment period.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 15 STAKEHOLDER CONSULTATION

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that interested parties can participate in the standard-setting process through a consultation forum or are made aware of alternative mechanisms by which they can participate.

GUIDANCE

The Scheme Owner has a mechanism in place to ensure all interested stakeholders can participate in standard setting process through a forum or alternative mechanisms or tools.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining public consultation process.
- ToR.

Review participation, communication and mechanisms/tools of past or current consultation.

RELATED SUPPLEMENTARY COMPONENTS

A.3 15 01

A.3 15 02

CONCLUSION

REFERENCES

A.3

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***STANDARD SETTING AND MAINTENANCE****A.3 16 TRANSPARENCY ON COMMENTS RECEIVED****GSSI ESSENTIAL COMPONENT**

The Scheme Owner makes publicly available all comments received in the consultation in a non-attributable way.

GUIDANCE

All comments received during the public comment period are made publically available without attribution or identifier.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook describing policy, current or past public comment comments posted online.

CONCLUSION**REFERENCES**

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 17 TAKING COMMENTS INTO ACCOUNT

GSSI ESSENTIAL COMPONENT

The Scheme Owner takes into account in further processing of the standard, comments received during the period for commenting.

GUIDANCE

The Scheme Owner has a process for considering all comments received during the public consultation on the standard. Comments which are integrated into the standard should be clearly identified.

Examples of evidence for scheme alignment:

- some sort of system (e.g. excel) for organizing, categorizing and responding to comments.
- review past consultation system, comments and response taken.

RELATED SUPPLEMENTARY COMPONENTS

A.3 17 01

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

▶ STANDARDS CONTENT

A.3 18 STANDARDS CONTENT

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the standard is consistent with the following requirements:

- only includes language that is clear, specific, objective and verifiable;
- is expressed in terms of process, management and / or performance criteria, rather than design or descriptive characteristics; (ISO 59)
- does not favor a particular technology, patented item or service provider; and (ISO 59)
- attributes or cites all original intellectual sources of content.

GUIDANCE

The Scheme Owner has a mechanism in place to review standards in respect to the listed requirements.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining all list requirements. Some standards state these in their preamble as principles or references.
- review that this list was checked for the current standards
- review standards and if available mandatory checklists/audit manuals in respect to the listed requirements.
- review any available complaints relating to this requirement.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 19 RELEVANCE OF STANDARDS CONTENT

GSSI ESSENTIAL COMPONENT

As part of the standard development process, the Scheme Owner assesses the feasibility and auditability of requirements in the draft standard.

GUIDANCE

The Scheme Owner has a mechanism in place to test the feasibility (cost, time) and auditability (interpretation, consistency) of requirements prior to finalization of the standards.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook, standard setting work plan.
- review assessment outcomes of past processes including revisions based on findings.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 20 RELEVANCE OF STANDARDS CONTENT

GSSI ESSENTIAL COMPONENT

The Scheme Owner demonstrates that all criteria in the standard contribute to the standard's defined objectives.

GUIDANCE

Criteria are related to how the Scheme Owner's objectives are met by identifying the acceptable performance. Often they are logically grouped around principles and objectives.

Examples of evidence for scheme alignment:

- comparison of the Scheme Owner performance indicators with the standard's criteria.
- monitoring and evaluation system of the performance indicators.
- criteria that are not monitored and not evaluated may be surplus to the objective of the standards.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 21 LOCAL APPLICABILITY

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the standard is locally applicable. Where the Scheme Owner adapts the standard for direct application at the national or regional level, the Scheme Owner develops interpretive guidance or related policies and procedures for how to take into account local environmental and regulatory conditions.

GUIDANCE

The Scheme Owner has mechanisms in place to ensure local applicability and relevance. For national or regional standards, the Scheme Owner has a process to take into account local environmental and regulatory conditions through guidance and policies.

Examples of evidence for scheme alignment:

- policies, internal procedures and quality handbook documenting process to consider environmental and regulatory aspects.
- compare geographical scope of standard and implementation (certificates) with available documented interpretation guidance.
- assessment or monitoring reporting indicating where locally specific guidance is required.

CONCLUSION

REFERENCES

A.3

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***STANDARD SETTING AND MAINTENANCE**▶ **STANDARDS ACCESSIBILITY****A.3 22 STANDARDS AVAILABILITY****GSSI ESSENTIAL COMPONENT**

The Scheme Owner promptly publishes adopted standards, and makes them available for free on the internet, and on request, to any interested party.

GUIDANCE

Standards are published in a timely fashion and are freely available online and on request. Validity dates coincide with publication dates of standards (taking transition periods into account) and the public work program on standard setting and maintenance.

CONCLUSION**REFERENCES**

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 23 TRANSLATIONS

GSSI ESSENTIAL COMPONENT

Where a scheme is globally applicable, the Scheme Owner makes translations of the standard into English, French or Spanish freely available and authorizes translations into other languages where necessary for credible implementation of the standard.

GUIDANCE

The Scheme Owner has a mechanism in place to identify the applicability and need for translations based on geographical scope of certification, as well as the geographical range of certified entities and products. For global schemes, the Scheme Owner should translate and make available the standard in English, French and Spanish and authorize into other languages to positively affect transparency and effective implementation.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook, current language availability, work plan of translations

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

► TRANSITION PERIOD

A.3 24 INFORMING ENTERPRISES OF TRANSITION

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that certified enterprises are informed of the revised standard and transition period, either directly or through their certification bodies.

GUIDANCE

The Scheme Owner has a mechanism in place assuring that certified entities are informed of standard revision and transition periods. This can be done directly or through other assurance bodies.

Examples of evidence for scheme alignment:

- internal procedures, quality handbook, contracts/agreements or formal arrangements with certification bodies.
- review process of previous revisions if applicable.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 **25** **TRANSITION PERIOD FOR COMPLIANCE**

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the unit of certification is given a period of at least three years to come into compliance with revised fishery standards and at least one year for revised aquaculture standards.

GUIDANCE

Certified entities are given sufficient time to come into compliance with revised standards, for fisheries – minimum 3 years and at least one year for revised aquaculture standards.

Examples of evidence for scheme alignment:

- standards, certification requirements/methodologies which state minimum transition period for revised standards

CONCLUSION

REFERENCES

A.3

Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 **26** **TRANSITION PERIOD FOR COMPLIANCE**

GSSI ESSENTIAL COMPONENT

The Scheme Owner notes in the standard the date of a revision or reaffirmation of the standard along with a transition period after which the revised standard will come into effect.

GUIDANCE

Standards include date of version and any transition period for the certified entity to come into compliance. If there are normative documents other than the standard and certification requirements/methodologies which affect compliance of fisheries/aquaculture, these similarly should contain the described validity dates.

CONCLUSION

REFERENCES



EVIDENCE OF ALIGNMENT
WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS**
FOR GOVERNANCE
OF SEAFOOD CERTIFICATION SCHEMES

A.1

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

► GOVERNANCE

A.1 01 01 LEGAL STATUS

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has insurance or reserves to cover the operations of the scheme.

Note: This does not apply to government-run schemes as they are self-insured.

Rationale: Demonstrates that the Scheme Owner has adequately evaluated risks arising from its activities.

GUIDANCE

The Scheme Owner shall be able to demonstrate that it has evaluated the risks arising from its activities and that it has adequate arrangements (e.g. insurance and/ or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates. (adapted ISO 17021 5.3 and ISO 17065 4.3)

Examples of evidence for scheme alignment:

- system for business risk assessment, insurance policy,
- clauses in accreditation body and/or certification body contracts addressing liability.

CONCLUSION

REFERENCES

A.1

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

A.1

01

02

LEGAL STATUS

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner provides, within its means, translations into appropriate languages of its standard-setting procedures, most recent work program, and draft and final versions of its standards.

Rationale: Strengthens transparency and accessibility to stakeholders based on scope of activities and geographic regions.

GUIDANCE

Scheme owner has a process for determining the need for translation and publication of documents in appropriate language to ensure access and transparency based on scope of activities and geographies. The procedure includes an assessment in order to ensure accurate translation.

Examples of evidence for scheme alignment :

- relevant policy and procedure document control system,
- work plans covering language needs assessment,
- process for ensuring accuracy of translations.

CONCLUSION

REFERENCES

A.1

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

A.1 03 01 OPERATING PROCEDURES

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner carries out a regular performance review of its top decision-making body, with results that are made publicly available.

Rationale: Supports competent and professional operations, and a level of transparency to stakeholders.

GUIDANCE

Scheme owner ensures continuous improvement of its operations by undertaking an annual performance review of its governance body. Results are made publically available to ensure transparency and accountability.

Examples of evidence for scheme alignment:

- online performance review findings and defined actions,
- annual report which includes summary of review,
- findings and actions.

CONCLUSION

REFERENCES

A.1

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

► SCOPE AND OBJECTIVES

A.1 08 01 SCHEME OBJECTIVES

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has a documented monitoring and evaluation system through which it collects data on its performance indicators, and uses this to inform the revision of its standard.

Rationale: Provides the data for understanding and communicating on progress towards scheme objectives. A foundation for a continuous improvement model.

GUIDANCE

The Scheme Owner has a documented system to monitor and assess its defined performance indicators. Monitoring information is shared with standards committee.

Examples of evidence for scheme alignment:

- monitoring system including data collected
- previous monitoring information has been assessed and documented inputs developed for the next standard revision process,
- requirement for full ISEAL members.

CONCLUSION

REFERENCES

A.1

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

A.1 08 02 SCHEME OBJECTIVES

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner can demonstrate it has delivered against its scheme objectives through outcome and impact evaluations of its scheme.

Rationale: Independent evaluations reinforce the findings of the monitoring and evaluation and provide a level of independence that increases integrity.

GUIDANCE

The Scheme Owner has a system to periodically conduct in-depth assessments of its performance. The number, regularity and extent of outcome or impact evaluations should be commensurate with the maturity, scale and intensity of the activities of the standards system.

Examples of evidence for scheme alignment:

- documented outcome or impact evaluations,
- requirement for full ISEAL members.

CONCLUSION

REFERENCES

A.1

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

► NON-DISCRIMINATION

A.1 09 01 NON-DISCRIMINATION - OPENNESS

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has procedures for taking into account the special circumstances of data deficient and/ or small-scale fishery/ aquaculture operations.

Rationale: Avoids discrimination against operations on the basis of scale or level of development.

GUIDANCE

The Scheme Owner processes and policies reduce barriers or promote access of small scale enterprises. This may include specific small scale standards or exemptions that do not lower the requirements of the standards themselves.

Examples of evidence for scheme alignment:

- separate specific standard for small scale enterprises or programs such as capacity building and access to finance targeted to small scale enterprises. Policies may include sliding scale fees or simplified reporting templates.

CONCLUSION

REFERENCES

A.1

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

SCHEME GOVERNANCE

► SCHEME INTEGRITY MONITORING PROGRAM

A.1 11 01 INTERNAL REVIEW

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner ensures the management review is, is carried out with the involvement of directly affected stakeholders and addresses any issues of concern raised by stakeholders.

Rationale: Ensures stakeholder accountability in the management review.

GUIDANCE

Directly affected stakeholders are defined by the Scheme Owner. A system exists to ensure sufficient time and opportunity for all directly affected stakeholders to provide input. Submissions are reviewed and addressed transparently.

Examples of evidence for scheme alignment:

- documented stakeholder identification,
- examples of invite and information system to inform stakeholders how to submit issues of concern or general input,
- documented process for handling, reviewing and responding to issues raised.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

▶ STANDARD SETTING PROCEDURES

A.3 05 01 TERMS OF REFERENCE

GSSI SUPPLEMENTARY COMPONENT

The terms of reference also include:

- A justification of the need for the standard, including an assessment of the most important environmental issues falling within the scope of the standard; whether the proposed standard will meet an expressed need; and documentation of what other standards exist or are in the process of development which meet all or part of the expressed need;
- An assessment of risks in implementing the standard and how to mitigate for these.

Rationale: Additional requirements ensure the Scheme Owner has done due diligence in determining the need and positive impact of developing a new standard.

GUIDANCE

The terms of reference for standard development and revision includes justification of need, issues and risks and how the standard addresses these.

Examples of evidence for scheme alignment:

- documented due diligence process,
- preamble of terms of reference covering these aspects.

CONCLUSION

REFERENCES

A.3

*Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes***STANDARD SETTING AND MAINTENANCE****A.3 06 01 DECISION MAKING PROCESS****GSSI SUPPLEMENTARY COMPONENT**

The Scheme Owner ensures participation in standards decision-making bodies is open to all stakeholders.

Rationale: Supports openness in decision-making. Not all stakeholders can participate but all should be given the opportunity to put their name forward.

GUIDANCE

Standard owner process and procedures for participation in standard's decision-making bodies ensures open participation of all stakeholders.

CONCLUSION**REFERENCES**

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 06 02 DECISION MAKING PROCESS

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner's decision-making process for standards development or revision ensures that no category of stakeholders has a majority vote in decision-making.

Rationale: Ensures that no one stakeholder group is able to dominate decision-making – a key tenet of a multi-stakeholder process.

GUIDANCE

Standard owner voting procedure process ensures balance in decision making where no single category of stakeholder has a majority in decision making.

Examples of evidence for scheme alignment:

- internal procedures and/or quality handbook,
- previous voting from minutes if available.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 06 03 DECISION MAKING PROCESS

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has procedures in place to ensure that directly affected stakeholders have the opportunity to be represented in decision-making.

Rationale: Directly affected stakeholders are the ones that will be impacted by implementation of the standard and need to have a voice in decision-making

GUIDANCE

The standard owner defines directly affected stakeholders, including certified entities and any active technical and/or stakeholder working groups.

A procedure is in place, assuring and describing how directly affected stakeholders can be represented in decision-making. A mechanism is in place to inform directly affected stakeholders of this opportunity.

Examples of evidence for scheme alignment:

- stakeholder mapping, meeting minutes and email correspondence to verify if stakeholders have been informed.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 06 04 DECISION MAKING PROCESS

GSSI SUPPLEMENTARY COMPONENT

Where the Scheme Owner limits decision-making to members, it ensures that membership criteria and application procedures are transparent and non-discriminatory.

Rationale: Supports transparency and non-discrimination over who can participate.

GUIDANCE

For membership organization where decision making is limited to members, the application process and selection criteria are easily available and ensure balanced participation of stakeholders. These criteria could be "Not Applicable" if the Scheme Owner is not a member based organization.

Examples of evidence for scheme alignment:

- application procedure, forms, completed applications and any reasons for declining.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 06 05 DECISION MAKING PROCESS

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner makes public any decisions on the content of the standard as well as a summary of deliberations in arriving at the decision.

Rationale: Supports transparency in how decisions are made.

GUIDANCE

The standard owner has a process in place to document decisions made on standard content, as well as a summary of deliberations in arriving at the decision. Records are made public, such as online.

Example of evidence of alignment:

- standards development or revision process description,
- template for comments and response,
- review of past development or revision documents.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 07 01 COMPLAINTS

GSSI SUPPLEMENTARY COMPONENT

Decisions taken on complaints and justifications for those decisions are made publicly available.

Rationale: Improves transparency of the complaints resolution process.

GUIDANCE

Decisions on complaints related to standard setting and justification for decision are publicly available (e.g. online on website).

CONCLUSION

REFERENCES

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 10 01 RECORD KEEPING

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner makes records in A.3.10 available to interested parties upon request.

Rationale: Support transparency in record-keeping.

GUIDANCE

The Scheme Owner has a mechanism to ensure records described in A.3.10 are provided to stakeholders on request for the last revision process.

Examples of evidence for scheme alignment:

- policy/procedure describing system and process to provide information,
- online form for request, past actual requests and action taken,
- possibly request records through online contact.

CONCLUSION

REFERENCES

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 15 01 STAKEHOLDER CONSULTATION

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner identifies stakeholders who will be directly affected by the standard and those that are not well-represented in consultations and proactively seeks their contributions.

Rationale: Puts the onus on the Scheme Owner to take steps to strengthen the balance and participation of key stakeholders.

GUIDANCE

The Scheme Owner documents directly affected stakeholders and identifies those not as represented in past consultations or have potential barriers to participate to proactively seek their input through alternative mechanisms and tools that are that are accessible and culturally appropriate for the stakeholder groups in question such online or in in-person workshops.

Examples of evidence for scheme alignment:

- stakeholder mapping including participation in past consultations
- meeting minutes, announcements, publications and or email communication indicate that the Scheme Owner is proactively seeking the input of specific stakeholder groups.

CONCLUSION

REFERENCES

A.3

*Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes***STANDARD SETTING AND MAINTENANCE****A.3 15 02 STAKEHOLDER CONSULTATION****GSSI SUPPLEMENTARY COMPONENT**

The Scheme Owner makes efforts to address constraints to participation in standard-setting faced by disadvantaged stakeholders such as small-scale operations and vulnerable groups.

Rationale: Supports participation by stakeholders who may face constraints to active engagement.

GUIDANCE

The Scheme Owner defines disadvantaged stakeholders and addresses potential barriers to participation such as language, culture, access to internet, costs, technical accessibility, etc. through alternative mechanisms and tools that are that are accessible and culturally appropriate for the stakeholder groups in question.

CONCLUSION**REFERENCES**

A.3

Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

STANDARD SETTING AND MAINTENANCE

A.3 17 01 TAKING COMMENTS INTO ACCOUNT

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner makes publicly available a synopsis of how these comments were addressed and sends the synopsis to all parties that submitted comments.

Rationale: Ensures stakeholders can see how their input was addressed in standards revisions.

GUIDANCE

The Scheme Owner develops a summary of how comments were addressed, makes publicly available as well as sends to everyone who submitted comments.

Examples of evidence for scheme alignment:

- system, internal procedure/quality handbook that describes how comments are summarized and made available publicly and to commenters,
- review of current and past standard public consultation information flow including synopsis.

CONCLUSION

REFERENCES

B

EVIDENCE OF ALIGNMENT
WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS**
FOR OPERATIONAL MANAGEMENT
OF SEAFOOD CERTIFICATION SCHEMES

B.1

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

ACCREDITATION

B.1 **01** ISO-17011 COMPLIANCE

GSSI ESSENTIAL COMPONENT

The Scheme Owner has a contractual, enforceable arrangement or formal understanding that requires accreditation bodies to be compliant with the requirements of ISO/IEC 17011:2004.

GUIDANCE

The Scheme Owner has a contract, memorandum of understanding or enforceable arrangement with a certification body or accreditation body that require the accreditation bodies to be accredited to ISO/IEC 17011:2004.

Examples of evidence for scheme alignment:

- contracts,
- memorandums of understanding and/or memorandum of agreements between scheme and accreditation bodies or certification bodies that specify accreditation bodies to be compliant with ISO/IEC 17011:2004.
- accreditation bodies' certificate of accreditation (on website).

CONCLUSION

REFERENCES

B.1

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

ACCREDITATION

B.1 **02** NON-DISCRIMINATION

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that accreditation services are available to certifying bodies irrespective of their country of residence, size, and of the existing number of already accredited bodies, within the scope of the scheme.

GUIDANCE

The Scheme Owner ensures that access to accreditation is open to qualified certification bodies without consideration of size, country or number of existing accredited certification bodies. This could be through contracts/agreements, in referenced policies or certification requirements/methodologies.

Examples of evidence for scheme alignment:

- application process/forms,
- review list of accredited certification bodies

CONCLUSION

REFERENCES

B.1

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

ACCREDITATION

B.1 03 SPECIFIED REQUIREMENTS

GSSI ESSENTIAL COMPONENT

The Scheme Owner specifies the requirements for certification bodies that the accreditation body is required to verify.

GUIDANCE

The Scheme Owner defines requirements for certification bodies to ensure accurate and consistent implementation. These are verified as part of the accreditation process by the accreditation body.

Examples of evidence for scheme alignment:

- requirements are specified in certification requirements/methodologies or a separate certification body and/or accreditation manual.
- reference to requirements in contracts or formal agreements with certification bodies or accreditation bodies.

CONCLUSION

REFERENCES

B.1

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

ACCREDITATION

B.1 **04** TRANSITION PERIOD

GSSI ESSENTIAL COMPONENT

Subsequent to any changes in the requirements for assessing certification bodies, the Scheme Owner ensures certification bodies are given a defined time period within which to conform to the changes.

Special considerations should be given to accredited bodies in developing countries and countries in transition.

GUIDANCE

The Scheme Owner specifies transition periods for any changes to certification requirements (B.1.03) for certification bodies to come into compliance with changes. For certification bodies in developing countries consideration is given that may include a longer transition period, capacity building or other measures.

Examples of evidence for scheme alignment:

- see B.1.03 reference to transition period and/or special consideration for developing country certification bodies.

CONCLUSION

REFERENCES

B.1

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

ACCREDITATION

B.1 05 ACCREDITATION BODY COMPETENCIES

GSSI ESSENTIAL COMPONENT

The Scheme Owner only works with accreditation bodies that have personnel with the necessary education, training, technical knowledge and experience for performing accreditation functions in fisheries and aquaculture operations.

GUIDANCE

The Scheme Owner ensures personnel competency through contracts or enforceable arrangements with accreditation bodies. Personnel competency includes education, training on the standard, technical knowledge and experience and can be defined by the Scheme Owner.

Examples of objective evidence:

- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.
- contract/agreement between the Scheme Owner and the accreditation body if applicable, certification/accreditation manuals.
- review of CVs of accreditation body staff.

CONCLUSION

REFERENCES

B.1

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

ACCREDITATION

B.1 06 EXTERNAL REVIEW

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that external audits are carried out on the accreditation body to assess performance.

GUIDANCE

The Scheme Owner ensures accreditation bodies undergo external/independent performance assessments.

Examples of evidence for scheme alignment:

- assessment process and requirements of IAF, ISEAL or other membership organization.
- Scheme Owner accreditation manual or requirements, contracts or agreements, assessment reports.

CONCLUSION

REFERENCES

B.1

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***ACCREDITATION****B.1 07 ORGANIZATIONAL TRANSPARENCY****GSSI ESSENTIAL COMPONENT**

The Scheme Owner ensures that the accreditation body is transparent about its organizational structure and the financial and other kinds of support it receives from public or private entities.

GUIDANCE

Scheme owner ensures accreditation body transparency regarding organizational structure and financial support.

The Scheme Owner requires disclosure of this information directly from the accreditation body.

Examples of evidence for scheme alignment:

- accreditation body website with information, certification/accreditation manuals, contracts and/or agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065;
- annual or periodic reports.

CONCLUSION**REFERENCES**

B.1

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

ACCREDITATION

B.1 **08** OFFICE AUDIT

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the accreditation process includes an on-site audit of the certification body.

GUIDANCE

The Scheme Owner specifies that accreditation includes an on-site audit of the certification body.

Examples of evidence for scheme alignment:

- accreditation/certification requirements/methodologies, accreditation body office audit reports, audit schedule.
- specified in accreditation body or certification body contracts/agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.

CONCLUSION

REFERENCES

B.1

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

ACCREDITATION

B.1 **09** FIELD AUDIT

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the accreditation process includes a review of the performance of certification bodies and auditors in the field.

GUIDANCE

The Scheme Owner specifies that accreditation includes a performance review of certification bodies and auditors.

Examples of evidence for scheme alignment:

- accreditation/certification requirements/methodologies, accreditation body audit reports, audit schedule, specified in accreditation body or certification body contracts/agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

► CERTIFICATION PROCESS

B.2 **01** ISO-17065 COMPLIANCE

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies operating in the scheme are accredited to ISO/IEC 17065:2012 for the scope of the respective standard of the scheme.

GUIDANCE

The Scheme Owner has a contract, memorandum of understanding or enforceable arrangement with certification body that require ISO/IEC 17065:2012 for the scope of the respective standard of the scheme.

Examples of evidence for scheme alignment:

- contracts, memorandums of understanding and/or memorandum of agreements between Scheme and accreditation bodies or certification bodies that specify certification bodies be accredited with ISO 17065:2012;
- accreditation manual or certification requirements/methodologies; certification bodies certificate of accreditation.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 02 FEE STRUCTURE

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification bodies to maintain a written fee structure that is available on request and is adequate to support accurate and truthful assessments commensurate with the scale, size and complexity of the fishery, fish farm or chain of custody. The fee structure is non-discriminatory and takes into account the special circumstances and requirements of developing countries and countries in transition.

GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with the accreditation body and/or certification body.

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies.
- possibly also review accreditation body audit reports that this requirement is verified, and for compliance of certification bodies on this requirement.
- policy or procedure which outlines how fee structures of certification bodies could address special requirements of developing and in transition countries in a non-discriminatory manner; certification body fee structure and policy (online or request).

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 **03** CERTIFICATION CYCLE

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the validity of a certification cycle does not exceed 5 years in the case of fishery or 3 years in the case of aquaculture certification and 3 years in the case of chain of custody certification.

GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with the accreditation body and/or certification body.

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies. Issued certificates with validity (online database or on request)

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 04 SURVEILLANCE

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies carry out periodic surveillance and monitoring at sufficiently close intervals to verify that certified operations continue to comply with the certification requirements. For aquaculture operations, this should be on an annual basis.

GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with accreditation body and/or certification body. Scheme owner risk assessment system should identify “*sufficient close intervals*”.

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies.
- Scheme Owner internal risk assessment system with assessment reports.
- Audit reports, schedules and issued certificates.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 05 ASSESSMENT METHODOLOGY

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that certification bodies apply a consistent methodology to assess compliance with the standard.

GUIDANCE

The Scheme Owner defines the methodology to assess compliance with the standard. An internal assessment (updated regularly) with clear outcomes, identifies if the methodology is consistent between certification bodies or if the methodology needs revising.

Examples of evidence for scheme alignment:

- certification requirements/methodologies,
- contracts and agreements with the certification body,
- guidance interpretation documents,
- Scheme Owner internal assessment system with assessment reports,
- training and calibration records.

RELATED SUPPLEMENTARY COMPONENTS

B.2 05 01 B.2 05 02

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 **06** TERMINATION, SUSPENSION, WITHDRAWAL

GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that accredited certification bodies have consistent documented procedure(s) that specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification.

GUIDANCE

For accurate and consistent implementation of the standard, the Scheme Owner ensures that certification bodies have documented procedures that specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification.

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body; accreditation manual, certification requirements/methodologies,
- audit reports,
- guidance documents specifying the conditions under which certification may be suspended or withdrawn.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 07 MULTI-SITE CERTIFICATION

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that accredited certification bodies have certification procedures and guidance for multi-site certifications, if allowed under the scheme.

GUIDANCE

If the Scheme Owner explicitly does not allow multi-site certification (prohibits, not that it is not yet developed or exists) requirement is “*Not applicable*”. Otherwise, the Scheme Owner requires certification body to have documented certification procedures and guidance for multi-site certification.

Examples of evidence for scheme alignment:

- memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body;
- certification requirements/methodologies specifying multi-site procedures;
- guidance specifying certification procedures for multi-site certifications, in order to support consistency between certification bodies;
- audit reports.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 **08** **AUDIT REPORTS**

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires CBs to ensure consistency in audit report formats and in how the reports are completed.

GUIDANCE

The Scheme Owner defines this requirement for certification bodies and has some system for quality control.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies;
- guidance specifying formats for audit reports and reporting, mandatory audit templates;
- review online audit reports for consistency of report format and reporting, Scheme Owner quality management system for review of audit reports.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 09 STAKEHOLDER INPUT

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies have in place consistent procedures for stakeholders to provide input during the certification process.

GUIDANCE

The Scheme Owner defines this requirement for certification bodies to have a documented procedure to enable input from all stakeholders during the certification process.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying requirements for mechanism for stakeholder input during certification process.
- guidance specifying procedures.
- review certification body process for input:
- publicly available information for stakeholder input, public announcements, audit work plans, requests for input.
- audit reports with stakeholder input.

RELATED SUPPLEMENTARY COMPONENTS

B.2 09 01 B.2 09 02

CONCLUSION

REFERENCES

B.2

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***CERTIFICATION****B.2 10 NON-COMPLIANCES****GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that certification bodies use a consistent procedure for determining non-compliances, verifying corrective actions arising from non-compliances and allowing for appeals of non-compliances.

GUIDANCE

For accurate and consistent implementation of the standard, the Scheme Owner ensures that certification bodies have documented procedures determining all of the following: non-compliances, verifying corrective actions arising from non-compliances, and allowing for appeals of non-compliances.

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body.
- accreditation manual, certification requirements/methodologies.
- guidance documents, determining non-compliances, verifying corrective actions arising from non-compliances and allowing for appeals of non-compliances, in order to support consistency between certification bodies.
- audit reports.

CONCLUSION**REFERENCES**

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 11 SITE AUDIT

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the scope of the (re-)certification audit includes a visit to locations pertinent to the scope of the certification.

GUIDANCE

The Scheme Owner requires that the scope of the audit (initial, annual or re-assessment) includes on-site assessment of premises covered by the scope of the standards and which one or more key activities are performed

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body,
- accreditation manual, certification requirements/methodologies,
- guidance documents specifying procedures for determining site visits including sampling,
- review audit reports.

B.2 11 01 SUPPLEMENTARY COMPONENTS

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 **12** TRANSPARENCY ON CERTIFIED ENTITIES

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that a list of certified enterprises is made publicly available.

GUIDANCE

The Scheme Owner makes publically available a list of certified entities either directly or requires of certification bodies/ accreditation bodies.

Examples of evidence for scheme alignment:

- system to show the certification status of enterprises is publicly available online (e.g. database or online certificate list). If this system is outsourced to the accreditation bodies or certification bodies, this is required and the system described in the contract/agreement between the Scheme Owner and the accreditation body/certification body, in a separate accreditation manual or certification requirements/methodologies.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 13 TRANSPARENCY ON AUDIT REPORTS

GSSI ESSENTIAL COMPONENT

For fisheries, the Scheme Owner requires certification bodies to make full audit reports available on request after certification has been granted, while excluding commercially sensitive information.

GUIDANCE

Applicable only to fisheries, for Aquaculture "*Not Applicable*". The Scheme Owner defines this requirement for certification bodies to make full audit reports, after certification has been granted, available online or upon request. Commercially sensitive information is excluded. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with certification body and certified entity with this requirement,
- certification requirements/methodologies specifying requirement,
- guidance specifying that making reports available to stakeholders happens in a timely manner,
- review certification body website for posted reports or process for responding to requests.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 14 TRANSPARENCY ON AUDIT REPORTS

GSSI ESSENTIAL COMPONENT

For aquaculture, the Scheme Owner requires certification bodies to make summary audit reports publicly available (excluding commercially sensitive material) after certification has been granted.

GUIDANCE

Applicable only to Aquaculture. For Fisheries *"Not Applicable"*.

The Scheme Owner defines this requirement for certification bodies to make summary audit reports, after certification has been granted, publicly available. Commercially sensitive information is excluded. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with certification body and certified entity with this requirement.
- certification requirements/methodologies specifying requirement.
- guidance specifying that making reports available to stakeholders happens in a timely manner.
- certification body website for posted reports.

RELATED SUPPLEMENTARY COMPONENTS

B.2 14 01

B.2 14 02

CONCLUSION

REFERENCES

B.2

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***CERTIFICATION****B.2 15 NOTIFICATION OF CHANGES****GSSI ESSENTIAL COMPONENT**

The Scheme Owner notifies accreditation bodies, certification bodies and certified enterprises of any change in management procedures which affects scheme rules and procedures for accreditation or certification.

GUIDANCE

The Scheme Owner has a system to ensure that accreditation bodies, certification bodies and certified entities are notified in a timely manner of any substantive change in management procedures. This is defined as changes which affect scheme rules and procedures for accreditation and/or certification. Where the scheme outsources responsibility of notification to accreditation bodies or certification bodies, there is a requirement for certification bodies to have a procedure for this notification and guidance on how this should take place (timeframe, manner, channel, etc.).

Examples of evidence for scheme alignment:

- contracts/agreements with accreditation bodies and certification bodies regarding notification of changes, internal procedure/quality handbook for change management, ring information flow.

CONCLUSION**REFERENCES**

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 16 TIMELINE FOR CORRECTIVE ACTION

GSSI ESSENTIAL COMPONENT

The Scheme Owner clearly defines the criteria relating to the classification of non-conformities. Where the Scheme Owner allows for certification of an entity with non-compliances, the Scheme Owner requires that:

- only non-conformities on minor, non-critical issues are allowed;
- a timeline for closing out corrective actions must be defined;
- a system to verify that corrective actions have been closed out is in place.

GUIDANCE

The Scheme Owner defines the criteria related to rating the severity of non-conformities for certification bodies. If Scheme allows for certified entities with non-compliances, these can only be (All must be met): minor/non-critical, with a defined timeline for closing out and a mechanism defined to verify resolution.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying classifications of non-conformities and conditions for allowing certification with non-compliances.
- guidance specifying procedures and process for classifying non-conformities and conditions for issuing certification, audit reports.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

▶ AUDITOR COMPETENCE

B.2 17 REQUIREMENTS FOR TECHNICAL KNOWLEDGE

GSSI ESSENTIAL COMPONENT

The Scheme Owner has defined the qualifications and competence criteria required by auditors and audit teams, employed by certification bodies, and it makes this information publicly available.

GUIDANCE

The Scheme Owner defines the requirement for certification body auditor and audit teams qualifications and competency and these requirements are publically available. Competencies and qualifications include knowledge in the standard, education, experience and personal attributes.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/certification requirements/methodologies specifying criteria for each function,
- auditor assessment and training records,
- auditor CVs.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 **18** TECHNICAL KNOWLEDGE

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification body auditors to have successfully completed training in the scheme to the satisfaction of the Scheme Owner.

GUIDANCE

The Scheme Owner defines the requirement for certification body auditor training in the standard including initial and ongoing development.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/certification requirements/methodologies specifying criteria for each function.
- auditor assessment and training records.

CONCLUSION

REFERENCES

B.2

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***CERTIFICATION****B.2 19 GENERAL AUDITING SKILLS****GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that certification body auditors successfully complete auditor training based on ISO 19011. This does not include technical experts seconded to audit teams.

GUIDANCE

The Scheme Owner defines the requirement for certification body auditors to have successfully completed (passed) training based on ISO 19011 (Guidelines for auditing management systems) and that the audit team includes at least one auditor. Technical experts supplement auditor expertise, but are not formally auditors and do not count as an auditor.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/certification requirements/methodologies specifying criteria for each function.
- auditor assessment and training records.
- auditor CVs.
- audit Reports.

CONCLUSION**REFERENCES**

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 20 SCHEME SPECIFIC KNOWLEDGE ASSESSMENT

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies include the following in their competence assessment of auditors:

- an assessment of knowledge and skills for each fundamental area the auditor will be expected to be working,
- an assessment of knowledge of pertinent fishery and /or aquaculture Programs and the ability to access and be able to apply relevant laws and regulations,
- an assessment of the personal attributes of the auditor, to ensure they conduct themselves in a professional manner,
- a period of supervision to cover the assessment fishery and/or aquaculture principles, specific audit techniques and specific category knowledge,
- a documented sign off by the certification body of the satisfactory completion of assessment requirements.

GUIDANCE

The Scheme Owner defines the requirement for certification bodies to include in the management of personnel competence (ISO 17065 clause 6.1.2) all of the elements in the *Essential Component*.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying requirement,
- guidance outlining the system and criteria for competencies, training, etc. (see B.2.17-B.2.19, 21-22),
- auditor assessment and training records,
- auditor CVs,
- accreditation body reports.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 **21** SCHEME SPECIFIC KNOWLEDGE MAINTENANCE

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification body lead auditors maintain category and scheme knowledge.

GUIDANCE

The Scheme Owner defines the requirement for certification body lead auditors to have and maintain the necessary training, technical knowledge and experience to ensure consistent and accurate audits.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying requirement,
- guidance outlining the system and criteria for lead auditors,
- lead auditor assessment and training records,
- lead auditor CVs,
- accreditation body reports.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 **22** KNOWLEDGE MAINTENANCE

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies have a continuing professional development program in place that provides auditors with current best practice for fishery and/or aquaculture.

GUIDANCE

The Scheme Owner defines the requirement for certification body auditor ongoing professional development to maintain current best practice in sector.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/certification requirements/methodologies specifying criteria for continuous professional development,
- auditor training, assessment and training records.

CONCLUSION

REFERENCES

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 **01** SEGREGATION

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that all certified products are identified and segregated from non-certified products at all stages of the supply chain.

GUIDANCE

The Scheme Owner requires clear identification and separation of certified from non-certified product at all stages of the supply chain.

Examples of evidence for scheme alignment:

- Chain of Custody standards, audit checklists, certification requirements/methodologies specifying requirement.
- Chain of Custody audit reports.

CONCLUSION

REFERENCES

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 02 ENTERPRISES TO BE AUDITED

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires all enterprises that are physically handling the certified product to undergo a Chain of Custody audit by an accredited certification body if the product can be destined for retail sale as a certified, labelled product.
 Exceptions: No audit is required for storage and distribution of tamper-proof, packaged products.

GUIDANCE

The Scheme Owner requires all entities in a supply chain that physically handle the product and where there is the possibility of mixing undergo a Chain of Custody audit if the product will be claimed as certified or carry a label. Entities in the supply chain which do not take physical control or only handle storage and distribution in tamper proof packaging need to be identified, but do not require a Chain of Custody audit.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, certified entity, certification requirements/methodologies defining types of operations and activities that require auditing according to these requirements,
- Chain of Custody reports.

CONCLUSION

REFERENCES

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 **03** RECORDS FOR TRACEABILITY

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification bodies to verify that all enterprises within the chain maintain accurate and accessible records that allow any certified product or batch of products to be traceable from the point of sale to the buyer.

GUIDANCE

The Scheme Owner defines the requirement for certification bodies that all entities within the supply chain, including those which may not undergo a Chain of Custody audit (see B.3.02), maintain up to date, complete and accessible records that allow for full traceability of the product along the entire supply chain.

Examples of evidence for scheme alignment:

- Chain of Custody standard.
- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying criteria for document control and maintenance.
- auditor checklists.

CONCLUSION

REFERENCES

B.3*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***CHAIN OF CUSTODY****B.3 04 SUB-CONTRACTORS****GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that enterprises are able to demonstrate that these Chain of Custody requirements are met by the enterprise's subcontractors.

GUIDANCE

The Scheme Owner ensures that certified entity takes full responsibility that all subcontractors fully meet Chain of Custody requirements and has a system to demonstrate this.

Examples of evidence for scheme alignment:

- sub-contract agreements, internal audits. If the Scheme Owner does not allow sub-contracting then this is aligned (as opposed to Not Applicable)

CONCLUSION**REFERENCES**

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 05 AUDITING METHODS AND FREQUENCY

GSSI ESSENTIAL COMPONENT

The Scheme Owner has or requires certification bodies to have documented procedures for auditing methods and frequency of audits that meet the following requirements:

- certificate validity does not exceed 3 years;
- periodicity depends on risk factors
- changes to an enterprise's traceability system that are deemed to affect the integrity of the Chain of Custody result in a re-audit (onsite).

GUIDANCE

The Scheme Owner has or ensures certification bodies have documented Chain of Custody audit methodologies including: validity of certificate cannot exceed 3 years, frequency of audits takes into consideration risk factors and an onsite audit is required when substantive changes to the certified entities traceability system take place. These are instances where the integrity of the Chain of Custody could be affected such as company mergers, major new markets.

Examples of evidence for scheme alignment:

- requirements in the contract/agreement between the Scheme Owner and the certification body, in a separate accreditation manual or for example in certification requirements/methodologies.
- guidance interpretation specifying frequency, auditing methods and risk factors, in order to support consistency between certification bodies.

CONCLUSION

REFERENCES

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 06 NON-CONFORMITY/CORRECTIVE ACTIONS

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires the certification body to record all identified breaches of the chain of custody, including:

- an explanation of the factors that allowed the breach to occur;
- an explanation of the corrective actions required to ensure that a similar breach does not re-occur;
- the time frames for the corrective actions to be completed; and
- the date of closing out of the corrective actions and how the problem was solved.

GUIDANCE

The Scheme Owner requires of certification bodies to document all breaches of Chain of Custody with explanation of contextual factors, corrective actions, and timeframes for corrective actions, date of closing and resolution.

Examples of evidence for scheme alignment:

- certification requirements/methodologies defining requirements of reports, contract or agreement specifying requirements, mandatory template reports.
- Chain of Custody audit report.

CONCLUSION

REFERENCES

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 07 AUDIT REPORT

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification body audit reports include:

- the date of the inspection/audit;
- the name(s) of the person(s) responsible for the audit and report;
- the names and addresses of the sites inspected/audited;
- the scope of the inspection/audit;
- the non-conformities identified;
- the result of at least one mass balance assessment for each product covered by the Chain of Custody audit; and
- a conclusion on the conformity of the client with the Chain of Custody requirements.

GUIDANCE

The Scheme Owner requires of certification bodies that all Chain of Custody audit reports include all of the elements in the *Essential Component*.

Examples of evidence for scheme alignment:

- certification requirements/methodologies defining requirements of reports, mandatory template reports.
- Chain of Custody audit report.

CONCLUSION

REFERENCES

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 **08** **AUDIT REPORT**

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification bodies to file reports at their office and to make these reports available to relevant parties upon request.

GUIDANCE

Certification bodies are required to maintain files of Chain of Custody audit reports (paper or electronic) and make these available upon request to relevant parties, within contractual arrangements with certified entities.

Examples of evidence for scheme alignment:

- contracts, agreements, certification requirements specify Chain of Custody reports are filed and process for making them available.

CONCLUSION

REFERENCES

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 **09** RECORD KEEPING

GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that an enterprise keeps records that demonstrate conformity with the Chain of Custody requirements for a period that:

- exceeds the shelf life of the certified product; and
- exceeds the periodicity between audits

GUIDANCE

Certified entity must keep records documenting compliance with Chain of Custody standard requirements at a minimum time that is longer than a. the shelf life of the product and b. time between audits.

Examples of evidence for scheme alignment:

- Chain of Custody standard, guidance interpretation and audit checklist that specify document retention policy.

CONCLUSION

REFERENCES

B.3

*Evidence of alignment with applicable GSSI Essential Components
for Operational Management of Seafood Certification Schemes*

CHAIN OF CUSTODY

B.3 10 MULTI-SITE CHAIN OF CUSTODY AUDIT

GSSI ESSENTIAL COMPONENT

Where a scheme allows for Chain of Custody certification of multiple sites managed under the control of a single entity, the Scheme Owner defines specific audit procedures that ensure all sites comply with the Chain of Custody certification requirements.

Control can include direct ownership, franchises, or where the entity has a signed agreement or contract with each site.

GUIDANCE

If the Scheme Owner does not allow Chain of Custody of multi-sites (prohibits not that it is not yet developed or exists)- requirement is "Not applicable". Otherwise, the Scheme Owner defines audit procedure for multi-sites (under control of one entity) and requirements for internal control management system.

Examples of evidence for scheme alignment:

- Chain of Custody standard, guidance or checklist specifying procedure and internal control system.

CONCLUSION

REFERENCES

B.3

Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

CHAIN OF CUSTODY

B.3 **11** MULTI-SITE CHAIN OF INTERNAL VERIFICATION

GSSI ESSENTIAL COMPONENT

Where the Scheme Owner allows for multi-site certification, they require that all sites are assessed as part of the internal audit during the period of validity of the certificate.

GUIDANCE

The Scheme Owner does not allow Chain of Custody of multi-site-requirement is "Not applicable". Otherwise, the Chain of custody standard requires all sites are assessed as part of the internal audit during the validity period of the certificate.

Examples of evidence for scheme alignment:

- standard, guidance interpretation and audit checklist.

CONCLUSION

REFERENCES

B

EVIDENCE OF ALIGNMENT
WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS**
FOR OPERATIONAL MANAGEMENT
OF SEAFOOD CERTIFICATION SCHEMES

B.2

Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2

05

02

ASSESSMENT METHODOLOGY

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has defined requirements for sampling methodology and frequency that certification bodies are required to follow during the audit.

Rationale: Provides guidance to certification bodies and auditors about what issues to focus on during the audit and how frequently to carry out audits.

GUIDANCE

The Scheme Owner defines the requirements for certification bodies for sampling methodology and frequency of audits.

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body.
- accreditation manual, certification requirements/ methodologies
- audit reports
- guidance specifying sampling methodology (including what issues to focus on) and sampling frequency, in order to support consistency between certification bodies.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 09 01 STAKEHOLDER INPUT

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner requires that the certification body solicits stakeholder input during the audit process.

Rationale: Proactive soliciting of stakeholder input encourages and increases scrutiny and transparency in the certification process, adding to the overall credibility.

GUIDANCE

The Scheme Owner defines this requirement for certification bodies to solicit input from all stakeholders during the certification process.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying requirement for mechanism for stakeholder input during certification process,
- guidance specifying procedures,
- review certification body process for input: publically available information for stakeholder input, public announcements, audit work plans, requests for input,
- audit reports with documented stakeholder input.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 09 02 STAKEHOLDER INPUT

GSSI SUPPLEMENTARY COMPONENT

For fisheries, the Scheme Owner requires certification bodies to make publicly available for comment a draft of the full audit report prior to the certification decision (excluding commercially sensitive information), with sufficient time for interested parties to submit comments. The Scheme Owner requires certification bodies to respond to all comments received.

Rationale: Strengthens audit reports by inviting stakeholder input before they are finalized. Supports accountability by requiring certification bodies to respond to comments.

GUIDANCE

Applicable only to fisheries. For Aquaculture "Not Applicable". The Scheme Owner defines this requirement for certification bodies to solicit input before a certification decision is made and to respond to all comments. Format and "sufficient" time should be defined that takes into consideration the risk, scope, size and type of stakeholders.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying requirement
- guidance specifying procedures for determining channel and time
- review certification body process for input: publically available information for stakeholder input, public announcements, audit work plans, requests for input,
- audit reports with documented stakeholder input,
- system for tracking comments and responses.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 11 01 SITE AUDIT

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner requires that CBs conduct unscheduled audits.

Rationale: Provides a mechanism to assess enterprises without a lot of advance warning, to get a more truthful assessment of practices.

GUIDANCE

'Unscheduled' means without significant advance warning. The Scheme Owner defines this requirement for certification bodies to conduct unscheduled (without significant advance warning) or surprise audits. The Scheme Owner defines process for determining audits and methodologies to ensure consistent implementation.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body,
- certification requirements/methodologies specifying requirement and conditions for unscheduled audits (e.g. risk, context, complaints received),
- guidance specifying procedures and process to ensure consistency,
- audit reports.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 14 01 TRANSPARENCY ON AUDIT REPORTS

GSSI SUPPLEMENTARY COMPONENT

For aquaculture, the Scheme Owner requires Certification Bodies to make summary audit reports available on request after certification has been granted, that include the following information:

- the date of the inspection/audit;
- the name(s) of the person(s) responsible for the audit and report;
- the names and addresses of the sites inspected/audited;
- the scope of the inspection/audit;
- the non-conformities identified;
- the result of at least one mass balance assessment for each product covered by the Chain of Custody audit; and
- a conclusion on the conformity of the client with the chain of custody requirements.

Rationale: Supports transparency and empowers stakeholders to understand the performance of an enterprise

GUIDANCE

Applicable only to Aquaculture. For Fisheries "Not Applicable". The Scheme Owner defines this requirement for certification bodies to make summary audit reports, after certification has been granted, available upon request that include all of the information defined in the *Supplementary Component*. If the scheme does not allow mass balance, then that information requirement is considered aligned. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with the certification body and certified entity with this requirement,
- certification requirements/ methodologies specifying requirement
- guidance specifying the information to be included in summary audit reports
- certification body website for posted reports.

CONCLUSION

REFERENCES

B.2

Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

CERTIFICATION

B.2 14 02 TRANSPARENCY ON AUDIT REPORTS

GSSI SUPPLEMENTARY COMPONENT

For aquaculture, the Scheme Owner requires certification bodies to make full audit reports on request after certification has been granted, while excluding commercially sensitive information

Rationale: Supports transparency and empowers stakeholders to understand the performance of an enterprise

GUIDANCE

Applicable only to Aquaculture. For Fisheries "Not Applicable". The Scheme Owner defines this requirement for certification bodies to make full audit reports, certification has been granted, publically available or upon request. Commercially sensitive information is excluded. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with the certification body and certified entity with this requirement,
- certification requirements/ methodologies specifying requirement
- guidance specifying that making reports available to stakeholders happens in a timely manner
- certification body website for posted reports.

CONCLUSION

REFERENCES



EVIDENCE OF ALIGNMENT
WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS**
FOR AQUACULTURE CERTIFICATION STANDARDS

C.1

*Evidence of alignment with applicable GSSI Essential Components
for Aquaculture Certification Standards*

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 01 ANTIMICROBIAL USAGE

GSSI ESSENTIAL COMPONENT

The standard requires that the decision to treat with antimicrobials is made according to the guidance of the OIE Aquatic Animal Health Code (i.e., by the aquatic animal health professional or other relevant competent authority and in response to a diagnosed disease; see Article 6.2.7 of the 2015 Aquatic Animal Health Code).

GUIDANCE

The standard is expected to prohibit prophylactic usage for growth promotion and require that all antimicrobials are used in response to a diagnosed disease (i.e., by the aquatic animal health professional or other relevant competent authority) and the audit is expected to include a review of suitable evidence (e.g., records of disease testing etc. prescriptions for treatments).

CONCLUSION

REFERENCES

C.1

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 02 ANTIMICROBIAL USAGE

GSSI ESSENTIAL COMPONENT

The standard requires that the application of antimicrobial agents is consistent with the guidelines outlined in Principles for Responsible and Prudent Use of Antimicrobial Agents in Aquatic Animals of the OIE Aquatic Animal Health Code (Articles 6.2.7 and 6.2.8 of the 2015 Code).

GUIDANCE

The audit is expected to include a review of evidence (such as written records or through interviews) to ensure consistency with OIE guidelines (2015) Article 6.2.7 “The veterinarian or other aquatic animal health professional authorized to prescribe veterinary medicines should indicate precisely to the aquatic animal producer the treatment regime, including the dose, the treatment intervals, the duration of the treatment, the withdrawal period and the amount of antimicrobial agents to be delivered, depending on the dosage and the number of aquatic animals to be treated. The use of antimicrobial agents extra-label/off-label may be permitted in appropriate circumstances in conformity with the relevant legislation” and Article 6.2.8 “Aquatic animal producers should use antimicrobial agents only on the prescription of a veterinarian or other aquatic animal health professional authorized to prescribe veterinary medicines, and follow directions on the dosage, method of application, and withdrawal period.”

RELATED SUPPLEMENTARY COMPONENTS

C.1 02 01 C.1 02 02

CONCLUSION

REFERENCES

C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 03 BIOSECURITY****GSSI ESSENTIAL COMPONENT**

The standard requires that workers employed in husbandry activities have been adequately trained and are aware of their responsibilities in aquatic animal health management practices.

GUIDANCE

The audit is expected include a review of evidence that relevant workers have been appropriately trained and aware of their responsibilities. Examples of suitable evidence could include suitable training or appropriate qualifications, and interviews with staff. The training of workers may be a component in a broader management system e.g., a health management plan.

CONCLUSION**REFERENCES**

C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 04 BIOSECURITY****GSSI ESSENTIAL COMPONENT**

The standard requires that aquatic animals are kept under farming conditions suitable for the species being raised.

GUIDANCE

The objective of this requirement is to verify that the species is being farmed in the proper environment to maintain its health. Due to the very broad nature of this Essential Component, specific guidance cannot be provided. Expected evidence could include requirements for farm siting (including permitting for the farm site and species), aquatic health plan maintenance, assurance or monitoring aquatic animal health, on-farm water quality and temperature monitoring, etc.

CONCLUSION**REFERENCES**

C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 05 BIOSECURITY****GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures to respond to disease outbreaks, which includes the ability to quarantine the aquatic animal where feasible.

GUIDANCE

It is expected that disease response procedures would be a component of the aquatic animal health management system. Feasibility of quarantine depends on a combination of species, culture system and production environment. In cases where quarantine is applicable, a review of suitable evidence is expected to demonstrate and verify the ability to contain diseased aquatic animals.

CONCLUSION**REFERENCES**

C.1

*Evidence of alignment with applicable GSSI Essential Components
for Aquaculture Certification Standards*

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 06 BIOSECURITY

GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures and/or systems for the early detection of aquatic animal health issues, which include routine monitoring of stocks and the environment.

GUIDANCE

Appropriate procedures are expected to include general health/behavioral inspections or testing for specific diseases with suitable monitoring (e.g., regular and including a suitable range of parameters, and of sufficient sample size to identify or anticipate disease outbreaks expediently, as well as increased surveillance when potential issues are identified.) Environmental monitoring is expected to include detection of unfavorable environmental quality factors that could adversely affect the health of the aquatic animal (e.g., water temperature and quality).

Verification is expected and could include reviews of written records and monitoring results to ensure procedures and/or systems are operational is also expected. This could also be captured in an aquatic health management plan.

CONCLUSION

REFERENCES

C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 07 BIOSECURITY****GSSI ESSENTIAL COMPONENT**

The standard requires that mortalities and moribund aquatic animals are routinely collected, where collection is a feasible practice.

GUIDANCE

GSSI expects this Essential Component to be applied where collection is a feasible function of good management practice (e.g., finfish grow out). Examples where this is not suitable could include where aquatic animals may be too small to effectively collect (e.g., shrimp farming). Record keeping on the numbers of, and reason for, mortalities is expected.

CONCLUSION**REFERENCES**

C.1

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 08 BIOSECURITY

GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility has operational fish health management practices, specifically favoring effective biosecurity and available vaccines, including introductions and transfers of farmed animals where relevant, which is overseen by an aquatic animal health professional.

GUIDANCE

It is expected that the standard will contain sufficient elements and/or audit of culture practices for an operational program relative to the scale, species, and production systems covered by the standard's scope, including a focus on disease prevention (e.g. the use of vaccines). The content of the measures are expected to be overseen (but not necessarily full time employment) of an aquatic animal health professional.

RELATED SUPPLEMENTARY COMPONENTS

- C.1 08 01
- C.1 08 02
- C.1 08 03
- C.1 08 04
- C.1 08 05
- C.1 08 06
- C.1 08 07
- C.1 08 08

CONCLUSION

REFERENCES

C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 09 OFF-FARM DISEASE TRANSMISSION****GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility to establish and implement procedures for the disposal of mortalities using appropriate methods that prevent the spread of disease.

GUIDANCE

Given the nature of this requirement, the standard may appear as a general requirement; however verification that practices are employed is expected. Relevant examples can be found in Articles 4.7.7 and 4.7.8 of the Aquatic Animal Health Code 2015 (see www.oie.int/index.php?id=171&L=0&htmfile=chapitre_aquatic_animal_waste.htm).

CONCLUSION**REFERENCES**

C.1

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 10 OFF-FARM DISEASE TRANSMISSION

GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures and/or systems to reduce the likelihood of disease and parasite transmission within and between the aquaculture facility and natural aquatic fauna.

GUIDANCE

Appropriate procedures or systems are expected to address both on farm disease and parasite transfer (such as the ability to quarantine diseased stocks, separating equipment) as well as between the facility and natural fauna (such as disinfection of effluents for diseased stocks, fallowing). The approach taken would be expected to be relevant to the species, production system, scale of production, and legal requirements. Can be “not applicable” with suitable justification provided by the scheme.

Where pathogens or parasites are a known concern (for example, sea lice on farmed salmon); Appropriate procedures or systems are expected to include specific requirements or actions defined in the standard or specified by the aquaculture facility through a suitable risk assessment or other evidence such as local or national regulations. Appropriate management measures in these cases could include treatment trigger levels of parasite numbers on the farm-facility or siting requirements that require that the aquaculture facility is located at suitable distances from wild populations.

Verification that the management measures are suitable and employed is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.1 10 01

CONCLUSION

REFERENCES

C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 11 RECORD KEEPING****GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility maintain records on veterinary drug and chemical usage and the rationale for their use.

GUIDANCE

Verification that suitable records are maintained is expected. Suitable records are expected to include type, concentration, and dosage, method of administration and withdrawal times of chemicals and veterinary drugs and the rationale for their use.

CONCLUSION**REFERENCES**

C.2

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

CHEMICAL AND VETERINARY DRUG USE

C.2 01 CHEMICAL USAGE

GSSI ESSENTIAL COMPONENT

The standard requires the establishment, implementation and maintenance of an appropriate system for the application of chemicals and veterinary drugs.

GUIDANCE

An appropriate system could conform to the relevant sections of Article 6.2.7 and 6.2.8 of the Aquatic Animal Health Code (2015) (www.oie.int/index.php?id=171&L=0&htmfile=chapitre_antibio_resp_prudent_use.htm) or other suitable reference. The system is expected to ensure that the application of the product follows the instructions of the manufacturer or other competent authority. Verification that the system is operational is also expected.

CONCLUSION

REFERENCES

C.2

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

CHEMICAL AND VETERINARY DRUG USE

C.2 02 CHEMICAL USAGE

GSSI ESSENTIAL COMPONENT

The standard requires appropriate controls for all chemicals, incl. veterinary drugs, that enter the environment (whether already covered by GSSI Essential Components or not) in order to minimize adverse impacts on environmental quality.

GUIDANCE

It is expected that the standard will require all chemicals used by the aquaculture facility and that will enter the environment are at least used according to the manufacturer's guidance (such as on label requirements or Safety Data Sheets (SDS) or, in the case of veterinary drugs, the guidance of the aquatic animal health professional.

In addition, for chemicals that pose a high risk of adverse impacts to environmental quality -- these could be specifically defined by the standard (e.g., copper-based anti-foulant treatments in marine cage aquaculture) or identified through a risk based self-assessment by the farmer (e.g., an environmental risk assessment)-- it is expected that the standard or the risk-assessment will define any necessary additional requirements to minimize the impacts (e.g., EQS limits for copper residues in the benthic environment).

RELATED SUPPLEMENTARY COMPONENTS

C.2 02 01 C.2 02 02

CONCLUSION

REFERENCES

C.2

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***CHEMICAL AND VETERINARY DRUG USE****C.2 03 LEGAL COMPLIANCE****GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility operates in compliance with relevant national and local laws with regard to the application of chemicals and veterinary drugs.

GUIDANCE

Verification is expected to include a review evidence to support compliance with relevant laws.

CONCLUSION**REFERENCES**

C.3

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

C.3 01 MAINTAINING GOOD CULTURE AND HYGIENIC CONDITIONS

GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility and its daily operations ensure that good culture and hygienic conditions are maintained.

GUIDANCE

This is a general Essential Component that covers a range of potential issues depending on the type of production system, species being cultured, and the local environment, and as such there is a need for flexibility in how consistency is achieved. It is expected that the following issues would be addressed and the systems verified to be operational:

- Appropriate storage of chemicals and fuel (e.g., stored in a lockable, labeled facility, limited access by personnel, leakage prevention - all based on Safety Data Sheets (SDS) (see figure 4.14 of the A Guide to The Globally Harmonized System of Classification and Labeling of Chemicals (GHS), available at: www.osha.gov/dsg/hazcom/ghsguideoct05.pdf)
- Appropriate storage of feed (e.g., stored separately from sources of contamination, accurately labeled, keeping medicated and non-medicated feed separated.)
- Appropriate pest control (e.g., prevent contamination of feed, chemicals by rodents or insects etc.)
- Domestic sewage control/disposal to avoid local contamination
- General farm waste (e.g., empty feed bags, household rubbish, food containers etc.).

RELATED SUPPLEMENTARY COMPONENTS

C.3 01 01 C.3 01 02

CONCLUSION

REFERENCES

C.3

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE****C.3 02 GENERAL ENVIRONMENTAL MANAGEMENT****GSSI ESSENTIAL COMPONENT**

The standard requires that aquaculture facility infrastructure is appropriately maintained in order to prevent pollution, whether from construction, operation or decommissioning (e.g., including the following requirement:

- A requirement for derelict or damaged gear to be collected and disposed of responsibly.)

GUIDANCE

Given the wide variety of production systems in aquaculture specific guidance cannot be provided and flexibility by the evaluator is required using a risk-based approach. Examples could include the requirement for derelict or damaged gear in shellfish or cage aquaculture to be collected and disposed of responsibly, or for that waste from pond construction is not placed in mangrove forests in shrimp farming. It is expected that specific requirements or risk-based management systems would be required where appropriate, along with suitable verification. These requirements may also be included in other Standards, such as sensitive habitat protection or escape prevention.

RELATED SUPPLEMENTARY COMPONENTS

C.3 02 01 C.3 02 02

CONCLUSION**REFERENCES**

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4 01 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacturer that can trace fish meal and fish oil (>1% inclusion) to the species and, at least, to the country of origin.

GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

CONCLUSION

REFERENCES

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4

02

ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacture that prohibits fishmeal and fish oil from endangered species.

GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

Endangered species are expected to be defined in the Standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See www.iucnredlist.org and www.cities.org for more information.

CONCLUSION

REFERENCES

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4 03 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS**GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility sources feed from a manufacturer that prohibits the use of fishmeal and fish oil from illegal, unreported, and unregulated fishing (I.U.U.).

GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

CONCLUSION**REFERENCES**

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4 04 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility sources feed from a manufacturer that has a written policy which includes assessment of source fishery status and identification of improvement needs and work plan to deliver improvements. The policy must include a commitment and timeline to source aquaculture and fishery products from responsible/best practice sources, such as those certified a standard benchmarked at minimum consistent with relevant FAO's ecolabelling guidelines or by identified independent risk assessment.

GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

RELATED SUPPLEMENTARY COMPONENTS

- C.4 04 01
- C.4 04 02
- C.4 04 03
- C.4 04 04
- C.4 04 05
- C.4 04 06
- C.4 04 07

CONCLUSION

REFERENCES

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4 05 FEED BIOSECURITY

GSSI ESSENTIAL COMPONENT

The standard prohibits the use of whole fish as a direct feed source in grow-out.

GUIDANCE

Verification is expected to include a suitable review of evidence, such as feed use records, visual observation, and financial records in aquaculture industries where this is common practice.

CONCLUSION

REFERENCES

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4 06 FEED BIOSECURITY

GSSI ESSENTIAL COMPONENT

The standards prohibit aquatic feed protein from the same species and genus as the species being farmed.

GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).

CONCLUSION

REFERENCES

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4 07 FEEDING EFFICIENCY

GSSI ESSENTIAL COMPONENT

Where applicable, the standard requires that the aquaculture facility has suitable measures in place to ensure that feed is used efficiently at the individual production unit level.

GUIDANCE

Suitable measures are expected to be part of a wider feed management system, such as the use of feed trays, cameras, pellet sensors, documented records of visual feed response, staff training. Verification that the measures are operational and fit for purpose is also expected.

CONCLUSION

REFERENCES

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4 08 LEGAL COMPLIANCE

GSSI ESSENTIAL COMPONENT

The standard requires that feed, feed additives, feed ingredients, and fertilizers used are compliant with relevant national and local laws

GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).

CONCLUSION

REFERENCES

C.4

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

FEED USE

C.4 09 RECORD KEEPING

GSSI ESSENTIAL COMPONENT

The standard requires that appropriate records are kept on all feed use.

GUIDANCE

Appropriate records are expected to include feed source, feed Batch/Lot/ID number, date of purchase, feed conversion ratio (FCR), and, where appropriate, feed inclusion percentages of fishmeal and fish oil or a fish in: fish out ratio. Appropriate records are expected to be kept for each individual production unit. Verification of appropriate record keeping and suitable documentation from feed manufacturers is also expected.

CONCLUSION

REFERENCES

C.5

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 01 BENTHIC HABITATS

GSSI ESSENTIAL COMPONENT

For cage production systems, the standard requires appropriate management measures for preventing excessive impacts of aquaculture facility waste on benthic environments.

GUIDANCE

Appropriate measures for marine cage production systems are expected to consider biological, chemical and physical impacts and additional chemical residues resulting from culture practices. Where relevant, they should conform to ISO 16665. The use of systems combining suitable allowable zones of effect and environmental quality standards of effect are expected. Verification that the measures are operational and fit for purpose is expected. Evidence of the prevention of adverse impacts could include comparisons with baseline conditions, reference locations, or standardized limits with a suitable justification for their use. Where adverse impacts are detected it is expected that appropriate mitigation measures/ remedial action for the identified adverse impacts on the surrounding natural ecosystem are applied.

While generally recognized as a marine cage issue, benthic impacts can also occur in freshwater cage systems. The degree of management measures should reflect the degree of potential impacts relative to the environment, production system, species, and size of production.

CONCLUSION

REFERENCES

C.5

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 02 PREDATOR CONTROL

GSSI ESSENTIAL COMPONENT

The standard prohibits the use of any lethal predator control techniques on endangered species. Exceptions for worker safety and where euthanization is an act of mercy are acceptable and expected.

GUIDANCE

Verification of the predator controls used, appropriate record keeping, and details of the endangered species in the region of the aquaculture facility are expected. Examples of supporting evidence of non-use could include interview, appropriate signage, and mortality records. Exceptions for worker safety and where euthanization is an act of mercy are acceptable and expected.

Endangered species are expected to be defined in the standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See www.iucnredlist.org and www.cities.org for more information.

RELATED SUPPLEMENTARY COMPONENTS

C.5 02 01 C.5 02 02

CONCLUSION

REFERENCES

C.5

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 03 PREVENTING HABITAT IMPACTS

GSSI ESSENTIAL COMPONENT

The standard requires compliance with national and local laws on habitat and biodiversity, including an Environmental Impact Assessment (EIA) where required.

GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to demonstrate legal compliance.

RELATED SUPPLEMENTARY COMPONENTS

- C.5 03 01
- C.5 03 02
- C.5 03 03

CONCLUSION

REFERENCES

C.5

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 04 SENSITIVE HABITAT AND BIODIVERSITY

GSSI ESSENTIAL COMPONENT

The standard requires that in areas where damage of sensitive habitats has occurred previously and where restoration is possible and effective; restoration efforts will or have resulted in a meaningful amount of restored habitat; either through direct on-farm restoration or by an off-farm offsetting approach. Grandfathering of historical losses is allowed.

GUIDANCE

It is expected that the standard will define sensitive habitat in context with its scope and an appropriate date to be used prior to which legal impacts can be “grandfathered in” and provide supporting evidence for the date. Verification at the aquaculture facility is expected to include whether restoration is necessary, to what degree (evidence could include maps, aerial photos, satellite images, government certification etc.) and whether that the active restoration is suitable (i.e., will it be successful and restore a suitable area of sensitive habitat).

RELATED SUPPLEMENTARY COMPONENTS

C.5 04 01 C.5 04 02 C.5 04 03

CONCLUSION

REFERENCES

C.6

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

SEED

C.6 01 LEGAL COMPLIANCE

GSSI ESSENTIAL COMPONENT

The standard requires that all seed is sourced and used in compliance with relevant national and local legal requirements for both the source and destination law.

GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws. This could include international laws (e.g., CITES) and laws governing introductions and transfers of live aquatic animals.

CONCLUSION

REFERENCES

C.6

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

SEED

C.6 02 RECORD KEEPING**GSSI ESSENTIAL COMPONENT**

The standard requires the establishment, implementation and maintenance of an appropriate record keeping system for all seed that is intentionally stocked.

GUIDANCE

An appropriate records system may include source of the seed, date of purchase, stocking density, vaccination record of the seed, and stocked seed batch identification.

Verification is expected to include a review of evidence that the system is operational and fit for purpose.

RELATED SUPPLEMENTARY COMPONENTS

C.6 02 01**CONCLUSION****REFERENCES**

C.6

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

SEED

C.6 03 WILD SEED

GSSI ESSENTIAL COMPONENT

The standard requires that where the deliberate use of wild seed is justifiable, it is collected in a manner that:

- Ensures controls are in place so that the collection of seed is not detrimental to the status of the wild target and non-target populations, nor the wider ecosystem.
- Avoids the use of environmentally damaging collection practices
- Source fishery is regulated by an appropriate authority

GUIDANCE

Expected examples of “justifiable use” include where there is a lack of commercially-available hatchery-raised seed, inability/lack of technology to hatchery-raised the farmed species, or passive collection of mollusks. Justification could be offered at the standard or aquaculture facility level.

- i) Suitable controls are expected to include aspects such as a fishery management plan that limits take to maintain the wild populations (i.e., there is no measurable impact on recruitment levels or the stocks ability to increases (examples include stocks that are under or fully exploited) with appropriate safeguards against excessive bycatch, and prevention of damaging gear types.
- ii) Examples of environmentally damaging collection practice are expected to include dynamite or poison fishing, habitat impacts.

Verification is expected to include the need to provide suitable evidence by the aquaculture facility (e.g., a summary report written by a credible 3rd party on the source fishery, a self-certification by the appropriate management authority, a 3rd party fishery certification that verifies suitable compliance).

RELATED SUPPLEMENTARY COMPONENTS

C.6 03 01

CONCLUSION

REFERENCES

C.6

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

SEED

C.6

04

HATCHERY SEED

GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility intentionally stocks hatchery-raised seed unless justification exists otherwise.

GUIDANCE

Examples of suitable justifiable exclusions are provided in C.6.03. Standards are expected to encourage the use of hatchery raised seed as they become available (e.g. by including a deadline for use to become required in the standard, or a certain percentage of seed needing to come from hatcheries to be met for certification, etc.). Verification is expected to include a review of evidence of the source of seed stocked at the aquaculture facility. In case of production systems and species where only hatchery seed is used (e.g. Atlantic salmon) this GSSI Essential Component can be not applicable.

CONCLUSION

REFERENCES

C.6

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

SEED

C.6 05 HATCHERY SEED

GSSI ESSENTIAL COMPONENT

The standard requires that suitable measures are in place to ensure that hatchery-raised seed are free from relevant/important pathogens before stocking for grow-out.

GUIDANCE

Relevant/important pathogens are expected to include those identified by the aquatic health professional and sources such as the OIE/ transboundary disease lists (See Chapter 1.3 of the Aquatic Animal Health Code 2015 <http://www.oie.int/en/international-standard-setting/aquatic-code/access-online/>).

Verification of suitable measures is expected to include reviews of disease-testing methods, the disease tested for, and the results (including ISO 23893-1:2007), and the vaccination record of the seed. This could form part of the aquatic animal health management plan.

RELATED SUPPLEMENTARY COMPONENTS

C.6 05 01 C.6 05 02 C.6 05 03 C.6 05 04

CONCLUSION

REFERENCES

C.7

*Evidence of alignment with applicable GSSI Essential Components
for Aquaculture Certification Standards*

SPECIES SELECTION AND ESCAPES

C.7 01 ESCAPES

GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility establishes, implements, and maintains an appropriate system to minimize the unintentional release or escape of cultured species.

GUIDANCE

An appropriate system is expected to be based on an evaluation of the likelihood of events and the magnitude of impacts on surrounding environment (where risk assessments are used they must use a suitable scientific method and taking into consideration, siting, culture practices, local environmental conditions, including extreme events, and other relevant uncertainties) according to the precautionary approach and possible impacts on surrounding natural ecosystems, including fauna, flora, and habitat. Specific requirements stated in the standard are acceptable.

Verification is expected to include a review of evidence of an operational and fit for purpose system.

The system is expected to address the following; relative to the species being farmed and the production system (individual elements can be "Not Applicable" with these considerations).

- i) Measures for escape detection
- ii) Monitoring for and record keeping of escapes events
- iii) Suitable training of employees
- iv) Incident management and infrastructure, including response or recapture measures.
- v) Regular monitoring and maintenance of the culture system
- vi) Regular review and failure analysis
- vii) containment infrastructure

RELATED SUPPLEMENTARY COMPONENTS

C.7 01 01 C.7 01 02 C.7 01 03

CONCLUSION

REFERENCES

C.7

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***SPECIES SELECTION AND ESCAPES****C.7 02 GENETICALLY MODIFIED ORGANISMS****GSSI ESSENTIAL COMPONENT**

In the case where the culture of GMO organisms is permitted, the standard requires a suitable evaluation of the risk of environmental impacts.

GUIDANCE

A suitable evaluation is expected to have been performed using an appropriate scientific method that assesses the likelihood of events and the magnitude of impacts, and take into account relevant uncertainties according to the precautionary approach. The evaluation should consider the possible impacts on genetic diversity, aquatic communities and ecosystems. Where ICES Code of Practice on the Introductions and Transfers of Marine Organisms 2005 is relevant, consistency with these requirements on genetically modified organisms (GMO) is also expected. Verification is expected to include a review of supporting evidence.

CONCLUSION**REFERENCES**

C.7

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

SPECIES SELECTION AND ESCAPES

C.7 03 EXOTIC SPECIES

GSSI ESSENTIAL COMPONENT

The standard requires that all species are farmed in compliance with relevant laws and regulations.

GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws.

RELATED SUPPLEMENTARY COMPONENTS

C.7 03 01

CONCLUSION

REFERENCES

C.8

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

IMPACTS ON WATER RESOURCES

C.8 01 LEGAL COMPLIANCE**GSSI ESSENTIAL COMPONENT**

The standard requires compliance with all relevant laws regarding water use, water quality, and waste discharge.

GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws.

CONCLUSION**REFERENCES**

C.8

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

IMPACTS ON WATER RESOURCES

C.8 02 SALINIZATION

GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility establishes, implements, and maintains an appropriate system that addresses the impact of salinization of freshwater resources and the surrounding environment by the aquaculture facility.

GUIDANCE

An exemption for standards that do not cover land-based saline water systems is expected.

Appropriate measures are expected to be based on risk assessments or standardized requirements. Controls could include relevant monitoring of freshwater resources (e.g., groundwater resources, local water bodies, local soils) for salinity changes and measures such as pond-linings, limiting groundwater use and other control techniques. The standard is expected to prohibit the aquaculture facility to contributing to changing freshwater resources and the surrounding environment to saline conditions. Verification is expected to include a review of evidence that the system is operational and fit for purpose, such as a visual inspection of the site.

CONCLUSION

REFERENCES

C.8

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

IMPACTS ON WATER RESOURCES

C.8 03 WATER USE

GSSI ESSENTIAL COMPONENT

Where appropriate (e.g. land-based freshwater ponds supplied with groundwater and all culture systems where water resources are limiting) the standard requires that the aquaculture facility has appropriate management measures for efficient water use.

GUIDANCE

This requirement is based on Paragraph 47 of the Technical Guidelines on Aquaculture Certification state *“Measures should be adopted to promote efficient water management and use, as well as proper management of effluents to reduce impacts on surrounding land, and water resources should be adopted.”* GSSI recognizes that standards for efficient water management and use are not common in many current aquaculture standards. Generally it is expected that this Essential Component will only apply to aquaculture facilities that use land-based freshwater ponds supplied with groundwater and all culture systems where water resources are limiting. An exemption for all other production systems is expected. This can also be “not applicable” for standards that do not cover relevant production systems.

Management measures may include a general promotion or awareness of efficient water use or actions that may lead to more efficient use. Where groundwater is used the standard is expected to require that the aquaculture facility establish, implement and maintain an appropriate system to prevent aquifer drawdown and negative impacts on freshwater resources and the surrounding environment caused by the facilities operations. Verification that the system is operational and fit for purpose is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.8 03 01 C.8 03 02

CONCLUSION

REFERENCES

C.8

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

IMPACTS ON WATER RESOURCES

C.8 04 WATER QUALITY

GSSI ESSENTIAL COMPONENT

The standard requires, where appropriate, management measures for effluents to reduce adverse impacts on water quality of water bodies receiving effluents.

GUIDANCE

Appropriate measures are expected to include.

1. Monitoring and recording of effluent or receiving water quality, and which may including key parameters that need to be addressed include, where applicable:
 - i) Nutrients – Nitrate/Nitrogen (impacts on seawater)
 - ii) Nutrients – Phosphate/Phosphorous (impacts on freshwater)
 - iii) Dissolved oxygen
 - iv) Salinity
 - v) Suspended Solids
 - vi) pH
2. Defined, aquaculture appropriate, maximum reference points (e.g., general concentration limits or aquaculture facility-specific limits) or mandatory systems (e.g., presence of a suitable filter) are defined to prevent pollution
3. Where reference points are exceeded, the scheme either refuses certification or that mitigation methods are employed and monitored to meet a time bound goal to come into compliance.

Verification is expected to include a review of evidence that the system is operational and fit for purpose, including visual inspection of the site. Where effluent concentration limits are used for compliance, independent verification of conformance is also expected.

“Where appropriate” is expected to include standards that cover production systems that release effluent that has the potential to impact water quality, e.g., fed/intensive aquaculture in ponds and raceways. An exception for marine cage aquaculture and on or off-bottom shellfish culture is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.8 04 01 C.8 04 02 C.8 04 03

CONCLUSION

REFERENCES

C

EVIDENCE OF ALIGNMENT
WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS**
FOR AQUACULTURE CERTIFICATION STANDARDS

C.1

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 08 02 BIOSECURITY

GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility to determine the cause of death when losses are significantly greater than expected and the cause is unclear, use laboratory analysis where feasible.

Rationale: Early disease detection and identification, particularly in the event of an exotic disease, is critical to reducing the spread and severity of a disease outbreak. When losses are unclear, laboratory testing may be the only way to appropriately diagnose the cause of losses and the actions necessary to mitigate its impacts. The increased surveillance and confidence in detection should allow for greater understanding of the spread of disease around the aquaculture facility and possibly aid in identifying novel disease outbreaks and decrease the use of veterinary drugs, which could reduce the frequency and impact of disease outbreaks.

GUIDANCE

Verification that policies or other systems are in place to respond to these situations is expected.

CONCLUSION

REFERENCES

C.1

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1

08

03

BIOSECURITY

GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility establishes, implements, and maintains a written Aquatic Animal Health Management Plan (AAHMP) which is overseen by an aquatic animal health professional, at a minimum, compliant with the following GSSI-requirements; C.1.01, C.1.02, C.1.03, C.1.04, C.1.05, C.1.06, C.1.07, C.1.08, C.1.09, C.1.10, C.1.11.

Rationale: The aquatic animal health actions defined in the Essential Components for this element may be undocumented or fragmented; at the Supplementary Component level all of the elements of must now be formalized and viewed as one defined and operational plan. By formalizing the plan, the effectiveness of the plan can be determined and the benefits for reducing the severity and frequency of disease outbreaks are likely to be increased.

GUIDANCE

Verification that the farm has a written AAHMP, and that the content covers the necessary content and that it is fully in operation and frequently reviewed is expected. Evidence of oversight could include an interview with the health professional or a signature on the documents.

Aligned standards will also be considered in alignment with C.1.01, C.1.02, C.1.03, C.1.04, C.1.05, C.1.06, C.1.07, C.1.08, C.1.09, and C.1.10.

CONCLUSION

REFERENCES

C.1

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1

08

05

BIOSECURITY

GSSI SUPPLEMENTARY COMPONENT

The standard requires that the aquatic animals are vaccinated against relevant/important diseases for which vaccines are available and effective against.

Rationale: Vaccination is an important tool for reducing the severity of disease outbreaks and the spread of disease. Vaccines are increasingly becoming available in aquaculture though their uptake may be limited by access, application, cost, risk, and perceived effectiveness. The standard verifies that effective vaccinations are used.

GUIDANCE

Relevant/important pathogens could include those identified by the aquatic animal health professional and sources such as the OIE/ transboundary disease lists. Verification, such as a review of justification by the aquatic animal health professional as to which vaccines could be used and records/receipts for vaccinations is expected.

CONCLUSION

REFERENCES

C.1

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1

08

06

BIOSECURITY

GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility to establish, implement, and maintain a written plan for improving survival rate (or similar system that incorporates survival rates (e.g., recovery rate)), including defined annual targets.

Rationale: Survival rates can be used as performance based metrics to reflect the effectiveness of the disease management systems. This GSSI Supplementary Component shows that the farm understands its current performance and is committed to improving it, this will have additional environmental benefits including reduced the severity of disease outbreaks and improving feed efficiencies.

GUIDANCE

Verification that a written plan exists and that includes actions directed at increasing the survival rate (such as increasing vaccination, biosecurity, water quality etc.) and that suitable records are kept on survival rate and the factors being considered in the plan, and that the plan is operational (e.g. by interview) is expected.

Aligned standards will also be considered in alignment with C.1.08.01.

CONCLUSION

REFERENCES

C.1

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1

08

07

BIOSECURITY

GSSI SUPPLEMENTARY COMPONENT

The standard requires suitable performance based metric limits on survival rate (or similar system that incorporates survival rates (e.g. recovery rate)) or similar criteria that demonstrate that the aquatic health management practices are effective.

Rationale: By meeting a performance based metric for survival rate the standard verifies that the farm has an effective biosecurity system.

GUIDANCE

A suitable performance based metric limit could include those set on a species specific basis using industry average data (e.g., a minimal % relative to say industry average data) or based on farm monitoring records. Other possible criteria may include metric limits on veterinary drug usage. Verification that the metric limits have been met and set based on a suitable monitoring and record keeping system is expected.

Aligned standards will also be considered in alignment with C.1.08.02 and C.1.08.06.

CONCLUSION

REFERENCES

C.1

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 08 08 BIOSECURITY

GSSI SUPPLEMENTARY COMPONENT

The standard requires a legally binding, appropriately defined, and operational area management system is in place that ensures that all participant aquaculture facilities use common and, where applicable, coordinated practices for the shared management of aquatic animal disease risk.

Rationale: Disease outbreaks are a limiting factor to the further growth of aquaculture. While maintaining farm level biosecurity practices reduces the chance of disease appearing on an individual farm, that farm system may still be reliant on shared resources such as water bodies. By working together to address the cumulative risk and spread of disease farms within the AMS boundary have the potential to great reducing the severity of disease outbreaks.

GUIDANCE

Not applicable where the aquaculture facility is physically or sufficiently isolated that disease transfer is highly unlikely.

Common practices for the shared management of aquatic animal disease risk are expected to include suitable requirements to prevent disease outbreaks, share disease status information, and, where appropriate, coordinate response actions in the presence of a disease, such as the use of veterinary drugs. Requirements are expected to be enforced through an agreement with the regulator or legally binding agreement of the producers in the area (e.g. an MOU or similar document).

An appropriately defined area is expected to have boundaries that are defined according to the ability to realistically manage aquatic disease risk within it.

Verification is expected to include a review evidence of the presence of the system and the common and coordinated practices applied (e.g., such as written records, meeting notes, contractual agreements and/or interviews).

CONCLUSION

REFERENCES

C.1

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 10 01 OFF-FARM DISEASE TRANSMISSION

GSSI SUPPLEMENTARY COMPONENT

Where the production system allows the discharge of parasites that are a known concern to local wildlife, the standard requires monitoring and adapting farming practices based on trigger limits of relevant parasite numbers on wild fish where this is feasible.

Rationale: Aquaculture facilities have the potential to introduce and locally amplify parasite numbers above those generally found in the wild. With a few exceptions, these issues remain poorly understood or studied. However, where these issues are known, these indicators verify that the degree of impact on wild populations is being managed.

GUIDANCE

Examples of pathogens or parasites that are a known concern include sea lice on farmed salmon; appropriate practices could be specified in the standard or a suitable risk assessment or other justification could be given to determine whether or not this Supplementary Component is applicable.

The certification scheme or standard is expected to address the monitoring of pathogen or parasite numbers on wild fish or a similar system that is likely to be effective at finding evidence of impact if it's occurring (possibly performed by third parties or government), and that appropriate trigger limits (e.g., expert opinions, scientific literature) and adaptive management plans exist and are employed to reduce the pressure on wild populations (such as by treating fish, fallowing, etc.).

Verification that the system is operational is also expected.

Aligned standards will also be considered in alignment with C.1.10.

CONCLUSION

REFERENCES

C.3

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE
CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

C.3 01 01 MAINTAINING GOOD CULTURE AND HYGIENIC CONDITIONS

GSSI SUPPLEMENTARY COMPONENT

The standard requires the presence of an active and documented recycling program.

Rationale: The benefits of recycling are well known but may not be seen as a high priority on aquaculture farms. The standard verifies that all recyclable waste is recycled.

GUIDANCE

The system is expected to ensure the farm recycles to the maximum extent practicable.

CONCLUSION

REFERENCES

C.3

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE
CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

C.3 01 02 MAINTAINING GOOD CULTURE AND HYGIENIC CONDITIONS

GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain a general waste management system.

Rationale: Controlling waste results a more efficient, cleaner, and more hygienic farming system.

GUIDANCE

An appropriate system is expected to include a baseline of waste generation and actions aimed at reductions, and suitable monitoring. Verification is expected to include a review of evidence that the system is operational and fit for the purpose.

CONCLUSION

REFERENCES

C.3

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE
CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

C.3 02 01 GENERAL ENVIRONMENTAL MANAGEMENT

GSSI SUPPLEMENTARY COMPONENT

The standard requires energy use to be monitored and recorded (e.g. total fuels or energy).

Rationale: The environmental impacts associated with energy use, such as greenhouse gas emissions, are well known but have rarely been considered in aquaculture. The aquaculture facility is required to pay attention to its energy use through monitoring.

GUIDANCE

Verification is expected to include a review of evidence that energy use is being appropriately monitored and recorded using appropriate methods.

CONCLUSION

REFERENCES

C.4

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

FEED USE

C.4 04 01 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

GSSI SUPPLEMENTARY COMPONENT

The standard requires independent verification that the feed manufacturer that sources, for whole fish ingredients greater than 1% content;

- fishmeal and fish oil that are traceable back to the species, fishery and country of origin, and
- fishmeal and fish oil with less risk of detrimental environmental impacts, such as those certified a standard benchmarked at minimum consistent with relevant FAO's ecolabelling guidelines and that uncertified sources must be identified as low risk by independent risk assessment or must come from sources that are part of an effective Fishery Improvement Project (FIP) towards a suitable certification or that have been assessed to show limited impacts on stock status and ecosystem impacts as defined in Principle 3 of the FAO (2011). Aquaculture Development. 5. Use of Wild Fish as Feed in Aquaculture.

Rationale: Third party audits of feed mill ingredient sourcing practices provide additional assurance that stated goals are being met. The Supplementary Components on sourcing marine feed ingredients are now focused towards more responsible sourcing and builds on the Essential Components which require the avoidance of environmentally damaging sources.

GUIDANCE

Verification is expected to include a 3rd party certification or audit of the feed manufacturer. The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish.

Effective FIPs could be those consistent with the Conservation Alliance for Seafood Solutions (2015). Guidelines for Supporting Fishery Improvement Projects. www.solutionsforseafood.org/wp-content/uploads/2015/03/Alliance-FIP-Guidelines-3.7.15.pdf

Aligned standards will also be considered in alignment with C.4.01, C.4.02, C.4.03, and C.4.04

CONCLUSION

REFERENCES

C.4

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

FEED USE

C.4 04 04 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

GSSI SUPPLEMENTARY COMPONENT

The standard requires the efficient use of fishmeal and fish oil relative to the production system and the species being farmed.

Rationale: Aquatic resources are limited resources and have, for the most part, been fully exploited meaning that there is a finite limit of these for the aquaculture industry. Using these valuable resources efficiently is therefore an important environmental goal, by setting stringent metric limits to the amount of aquatic resources being used to produce the aquaculture product, the scheme promotes efficiency and thereby potentially increasing the amount of seafood that could be produced using aquatic resources.

GUIDANCE

Suitable approaches are expected to include setting a suitable maximum Fish in: Fish Out Ratios, FFDRm (Forage Fish Dependency Ratio for Fish Meal) and FFDRo (Forage Fish Dependency Ratio for Fish Oil), or other calculations which reflect the importance of limited wild-harvested aquatic resources, this could include be species specific performance based metric limits. Consideration for extreme events (such as disease or escapes) is permissible. The standard is expected to apply to other relevant marine feed ingredients, such as from squid and krill. Verification is expected to include compliance at the aquaculture facility level.

Where fishmeal and fish oil are used in feed, aligned standards will also be considered in alignment C.4.07

CONCLUSION

REFERENCES

C.4

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

FEED USE

C.4

04

05

ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

GSSI SUPPLEMENTARY COMPONENT

The standard requires that the aquaculture facility sources feed from a manufacturer that assures the fish meal and fish oil used in the production of from aquaculture trimmings (if greater than 1% inclusion) can also be traceable back to the origin fishery and does not come from illegal, unreported, and unregulated fishing (I.U.U.) and does not contain species on the IUCN red list. The standard is expected to apply to other relevant marine feed ingredients, such as from squid and krill.

Rationale: The trimmings from the processing of fishery and aquaculture products are sometimes used in aquaculture feeds. This Supplementary Component avoids the use of egregious fishing activity in feed ingredients used to produce the initial product and further dissuades fisheries from these practices.

GUIDANCE

Verification is expected to include a 3rd party certification or audit of the feed manufacturer. The standard is expected to apply to other relevant marine feed ingredients, such as from squid and krill.

Verification of the use of compliant feed by the aquaculture facility is expected. Suitable evidence of compliance could include document evidence of sources supplying the feed mill, 3rd party certifications of source aquaculture facilities and/or rendering plants, legal permits or declarations etc.

CONCLUSION

REFERENCES

C.5

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 02 01 PREDATOR CONTROL

GSSI SUPPLEMENTARY COMPONENT

The standard requires that aquaculture facility uses non-lethal predator control measures on birds, mammals, and where relevant, reptiles.

Rationale: This Supplementary Component verifies that lethal predator control is avoided on all species.

GUIDANCE

Verification of the predator controls used is expected. Examples of supporting evidence could include interview, visual inspection, and appropriate signage. Exceptions for human health and welfare and where euthanization is an act of mercy are acceptable and expected. Exclusions for accidental mortalities are also acceptable. This does not apply to pests (e.g., rats).

Aligned standards will also be considered in alignment with C.5.02

CONCLUSION

REFERENCES

C.5

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 02 02 PREDATOR CONTROL

GSSI SUPPLEMENTARY COMPONENT

The standard excludes aquaculture facilities with a history of repeated accidental or deliberate mortality of endangered species has occurred.

Rationale: This Supplementary Component verifies the effectiveness of the non-lethal predator control measures by reviewing evidence that there have been no losses of Endangered, Threatened, and Protected Species.

GUIDANCE

Accidental mortality can include those as a result of entanglement etc. Repeated mortality means on more than one occasion over a suitable period of time (expected to be over one production cycle). Verification is expected and examples of supporting evidence include employee and local community interviews, appropriate signage, and interaction records.

Endangered species are expected to be defined in the standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See www.iucnredlist.org and www.cities.org for more information.

Aligned standards will also be considered in alignment with C.5.02 and C.5.02.01.

CONCLUSION

REFERENCES

C.5

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 03 01 PREVENTING HABITAT IMPACTS

GSSI SUPPLEMENTARY COMPONENT

The standard requires a suitable process was put in place to protect sensitive habitat and endangered species prior to expansions to the aquaculture facility that occur post-initial certification.

Rationale: Environmental Impact Assessment (EIA) is a management tool designed to understand the impact of an activity on the environment and steps required to limit those impact. Globally EIA's are not always required for aquaculture facilities. This Supplementary Component verifies an EIA is used even if it is not required by law.

GUIDANCE

A suitable process could include an EIA that be required to show evidence of negligible impacts to sensitive habitats
Endangered species are expected to be defined in the Standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See www.iucnredlist.org and www.cities.org for more information.
Verification is also expected.

CONCLUSION

REFERENCES

C.5

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 03 02 PREVENTING HABITAT IMPACTS

GSSI SUPPLEMENTARY COMPONENT

The standard requires that environmental monitoring records are made available upon request because of the aquaculture facilities use of a public resource (e.g., water).

Rationale: Requiring aquaculture facilities to provide relevant records to scientific or governmental institutions allows the institutions to evaluate the environmental impacts and any mitigation efforts of the facilities, and to help ensure that the facilities are in compliance with regulatory requirements. It also provides an incentive for facilities to minimize environmental impacts, and fosters trust and a collaborative relationship between the facility and the institutions.

GUIDANCE

Relevant records could include water quality, veterinary drug and chemical use, diseases, escapees, predator incidents. Verification is expected.

CONCLUSION

REFERENCES

C.5

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 03 03 PREVENTING HABITAT IMPACTS

GSSI SUPPLEMENTARY COMPONENT

The standard requires that ecologically relevant data that maybe useful to other stakeholders or policy makers to better manage shared resources are made public by the aquaculture facility.

Rationale: Making monitoring records publicly available allows stakeholders to evaluate the environmental impacts of aquaculture facilities and to help ensure that establishments are in compliance with regulatory and any certification requirements. It also provides an incentive for aquaculture facilities to minimize their environmental impacts, and potentially fosters trust and a collaborative relationship between the facility and the local community and other stakeholders.

GUIDANCE

Ecologically relevant data is expected to include data that maybe useful to other stakeholders or policy makers to better manage shared resources; for example EIA, escapes, veterinary drug use, water or benthic quality data etc.

Aligned standards will also be considered in alignment with C.5.03.2

CONCLUSION

REFERENCES

C.5

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON HABITAT AND BIODIVERSITY

C.5 04 01 SENSITIVE HABITAT AND BIODIVERSITY

GSSI SUPPLEMENTARY COMPONENT

The standard ensures no net loss of sensitive habitats on an area basis as a result of aquaculture facility construction and conversion and culture practices.

Rationale: This Supplementary Component helps reduce aquaculture-related loss of sensitive habitats by requiring no net loss of sensitive habitat within a particular area, while allowing for grandfathering within proscribed time periods and off-setting restoration projects (restoration outside of the area); and by requiring that any required restoration projects (to ensure no net loss) be monitored and demonstrate progress.

GUIDANCE

It is expected that the Standard will define (with supporting evidence) sensitive habitat in context with its scope, the basis for a “no net loss” claim, and an appropriate date to be used prior to which legal impacts can be “grandfathered in” (the date must be before major period of significant historical habitat loss for the production system that the certification covers). Verification at the aquaculture facility is expected to include whether restoration is necessary, to what degree (evidence could include maps, aerial photos, satellite images, government certification etc.) and whether the active restoration is or is likely to be successful at restoring the sensitive habitat. Offsetting is allowed.

Aligned standards will also be considered in alignment with C.5.04

CONCLUSION

REFERENCES

C.6

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

SEED

C.6 02 01 RECORD KEEPING

GSSI SUPPLEMENTARY COMPONENT

The standard requires that all intentionally stocked seed come from a source hatchery that has been independently-verified to be legally compliant and has an Aquatic Animal Health Management Plan (AAHMP) which is overseen by an aquatic animal health professional and is, at a minimum, consistent with the following *GSSI Essential Components*; C.1.01, C.1.02, C.1.06, C.1.08. Verification that an established, implemented and maintained appropriate system for recording the source, stocking and health status of broodstock (either by the hatchery or through a traceability system back to the broodstock facility).

Rationale: Many hatchery practices stipulated by national and international law and CITES are essential for reducing the risk of adverse environmental impacts related to fish health, escapes, chemical use, feed, and water quality. Third-party verification of hatchery practices provides an additional layer of certainty that these practices are complied with. It is especially important given that enforcement by national authorities may not be sufficient and may not address relevant international laws and provisions of CITES. Record keeping is critical to verifying practices at the broodstock facility and for tracking the performance of the produced broodstock.

GUIDANCE

Legal alignment is expected to include applicable local/international/national laws/CITES laws and cover species introductions and transfers of live aquatic animals requirements (where relevant), including legal brood stock sourcing. Verification is expected to include a review of evidence of the independence and suitability of the hatchery source (e.g., audit report, certificate, benchmarking result). An appropriate records system is expected to include source of the seed, date of purchase, results of disease/health status tests, vaccination record of the seed, stocking density, and stocked brood stock batch identification. Verification that the system is operational and fit for purpose is expected.

Aligned standards will also be considered in alignment with C.6.04, while C.6.03 will not be applicable.

CONCLUSION

REFERENCES

C.6

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

SEED

C.6

05

04

HATCHERY SEED

GSSI SUPPLEMENTARY COMPONENT

The standard requires a legally binding, appropriately defined, and operational area management system is in place that ensures that all participant aquaculture facilities use appropriate common and, where applicable, coordinated practices for sourcing seed in order to maintain biosecurity within the AMS.

Rationale: The risk of disease is amplified when aquaculture facilities are located in close proximity to each other, principally due to the potential for the water-born transmission of disease between aquaculture facilities. The efforts of an aquaculture facility with robust fish health management practices can be for naught if disease breaks out at a neighboring, less vigilant farm. Requiring an aquaculture facility to belong to an AMS in which all farms source seed according to GSSI Essential Components helps reduce the disease risk for all aquaculture facilities in the area.

GUIDANCE

Not applicable where the aquaculture facility is physically or sufficiently isolated that disease transfer is highly unlikely.

An appropriately defined area is expected to have boundaries that are defined according to the ability to realistically manage aquatic disease risk within it.

Common practices for sourcing seed are expected to include (where applicable) GSSI-Essential Components C.6.03, C.6.04, C.6.05. Where appropriate, coordinate response actions could include harmonized stocking. Verification is expected to include a review evidence of the presence of the system and the common and coordinated practices applied (e.g., such as written records, meeting notes, contractual agreements and/or interviews).

CONCLUSION

REFERENCES

C.7

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

SPECIES SELECTION AND ESCAPES

C.7 01 01 ESCAPES

GSSI SUPPLEMENTARY COMPONENT

The standard excludes (or decertifies) aquaculture facilities from certification that have repeated escape events over a representative number of production cycles.

Rationale: An aquaculture facility that has repeated escape events over a number of production cycles and/or a single significant escape event often indicates that the establishment has not taken sufficient precautionary measures to prevent escapes, such as proper siting, "robust" infrastructure materials and installation design, regular infrastructure inspections, and escape prevention planning and training. Not allowing such facility's to become certified provides an incentive for them to implement policies and procedures to reduce escapes.

GUIDANCE

Repeated escape events is expected to be considered in terms of the numbers of aquatic animals stocked and the length of the production cycle. Escapes due to factors outside of the aquaculture facility's control can be exempt. Examples of representative number of production cycles include 3 or more for production cycles less than 1.5 years, 2 for production cycles over 1.5 years, 1 for production cycles over 3 years.

Verification is expected to include a review of evidence, such as monitoring records, interviews with employees and the local community.

CONCLUSION

REFERENCES

C.7

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

SPECIES SELECTION AND ESCAPES

C.7

01

02

ESCAPES

GSSI SUPPLEMENTARY COMPONENT

Within detection limitations, the standard requires a stringent maximum cap on the total number of escaped fish that would lead to the loss of certification.

Rationale: A certified aquaculture facility that has a significant number of escapes may indicate that the establishment's escape prevention measures are inadequate. Loss of certification when a specified number of escapes is exceeded provides a strong and clear incentive for facilities to develop and maintain robust escape prevention measures, and thereby reduce the number of escapes.

GUIDANCE

Escapes due to factors outside of the aquaculture facility's control can be exempt. Stringent escape limits are expected to be pragmatic and set to account for the detection limits of the counting system and relevant for the production system and species (e.g., if counting accuracy is +/- 3%, then a stringent limit could be interpreted as 4-6% of the stocked population). Verification is expected to include a review of evidence, such as monitoring records, interviews with employees and the local community.

CONCLUSION

REFERENCES

C.7

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

SPECIES SELECTION AND ESCAPES

C.7 03 01 EXOTIC SPECIES

GSSI SUPPLEMENTARY COMPONENT

Where a non-established, non-native species has been shown to be or has potential to be a successful invasive species, the standard requires that they are controlled by strict effective escape impact prevention and mitigation measures.

Rationale: The risk of adverse impacts from escapes (impacts from predation, competition, disease transmission, hybridization, and habitat damage) are generally greater when the escaped species are non-native and becomes established. Requiring strict escape prevention and mitigation measures for non-native species with the potential for establishment -- such as requiring sterile, polyploidy, or mono-sex seed polyploidy to help prevent establishment -- reduces the risk of such impacts.

GUIDANCE

Effective measures are expected to include sourcing only sterile, polyploidy, or mono-sex seed or physical isolation. Verification is expected to include a review of evidence of operational and fit for purpose measures (e.g., hatchery records, visual inspection (aquaculture facility and/or aquatic animal).

CONCLUSION

REFERENCES

C.8

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON WATER RESOURCES

C.8 03 01 WATER USE

GSSI SUPPLEMENTARY COMPONENT

Where appropriate (e.g., land-based pond and flow-through systems, particularly in water resource limited region), the standard requires metric limits are placed on the fresh water consumption and prevention of aquifer drawdown.

Rationale: Impacts on local and regional water resources resulting from fresh water consumption by an aquaculture facility are typically increased by the cumulative consumption of multiple facilities located within the same watershed and/or drawing water from the same aquifer.

GUIDANCE

Metric limits are expected to be defined (by the facility or by the standard) and intended to prevent aquifer drawdown and minimize negative impacts on freshwater resources and the surrounding environment. Verification that these limits are not exceeded by the aquaculture facility is expected.

Aligned standards will also be considered in alignment with C.8.03

CONCLUSION

REFERENCES

C.8

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON WATER RESOURCES

C.8 03 02 WATER USE

GSSI SUPPLEMENTARY COMPONENT

The standard requires a legally binding, appropriately defined, and operational area management system is in place that ensures that all participant aquaculture facilities adapt their practices using a planned approach to limit cumulative freshwater abstraction.

Rationale: Impacts on local and regional water resources resulting from fresh water consumption by an aquaculture facility are typically increased by the cumulative consumption of multiple facilities located within the same watershed and/or drawing water from the same aquifer. Implementing a total water consumption limit for an AMS provides a direct and relatively certain means to reduce the risk of such impacts.

GUIDANCE

Not applicable where the aquaculture facility is physically or sufficiently isolated that disease transfer is highly unlikely.

Practices could include setting water abstraction limits for each aquaculture facility based on an assessment of regional abstraction capacity and/or requiring common practices that limit abstraction (e.g., requiring pond linings). Requirements are expected to be enforced through an agreement with the regulator or legally binding agreement of the producers in the area (e.g., an MOU or similar document).

An appropriately defined area is expected to have boundaries that are defined according to the ability to realistically manage aquatic disease risk within it.

Verification is expected to include a review of evidence, such as regional water resources monitoring data and local planning and licensing policies. Please also review guidance for the Essential Components on Water Use.

Aligned standards will also be considered in alignment with C.8.03 and C.8.03.1

CONCLUSION

REFERENCES

GLOSSARY

SCHEME SPECIFIC ACRONYMS AND ABBREVIATIONS



GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Accreditation	●	●		A process by which an authoritative body gives formal recognition of the competence of a certification body to provide certification services against an international standard.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms.
Accreditation body	●	●		An agency having jurisdiction to formally recognise the competence of a certification body to provide certification services.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Accreditation remediation procedure	●	●		A process which is in place to specify how certification bodies are required to address non-compliances.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Accreditation system	●	●		System that has its own rules of procedure and management for carrying out accreditation.	FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (ISO Guide 2, 17.1)
Agreement	●	●		An arrangement between parties as to the proposed course of action.	GSSI
Alignment	●	●		An arrangement in having similar relative positions.	GSSI
Allowable Zone of Effect (AZE)			●	The area of sea-bed or volume of the receiving water body in which competent authority allow the use of specific Environmental Quality Standards (EQSs) for aquaculture, without irreversibly compromising the basic environmental services provided by the ecosystem. The utility of AZE is to define the boundary of impact of responsible aquaculture activities in order to permit the free and safe use of marine space for the other stakeholders outside the AZE. The use of AZE gives some responsibility to farms for good practices.	General Fisheries Commission for The Mediterranean. www.faosipam.org/GfcmWebSite/CAQ/WGSC/2011/SHoCMed_AZE/GFCM-CAQ-WGSC-2011-SHoCMed_AZE-Report.pdf
Antimicrobial			●	A naturally occurring, semi-synthetic or synthetic substance that at in vivo concentrations exhibits antimicrobial activity (kill or inhibit the growth of micro-organisms). Parasiticides, anthelmintics and substances classed as disinfectants or antiseptics are excluded from this definition. (Adapted from OIE)	OIE Aquatic Animal Health Code (www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)
Appeal	●	●		A request by a scheme owner for reconsideration of a decision made by the GSSI Steering Board, GSSI employee or person contracted to GSSI. (adapted from GFSI)	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Application	●	●		A document confirming a scheme owner's intention to seek recognition by the GSSI for a scope of recognition.	GSSI
Aquaculture			●	The farming of aquatic organisms including fish, molluscs, crustaceans and aquatic plants. Farming implies some sort of intervention in the rearing process to enhance production, such as regular stocking, feeding, protection from predators, etc. Farming also implies individual or corporate ownership of the stock being cultivated, the planning, development and operation of aquaculture systems, sites, facilities and practices, and the production and transport.	FAO (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, Page 2

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GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Aquaculture byproducts			●	See fishery byproducts; the primary difference being a) aquaculture byproducts must be from the processing waste of aquacultured fish and crustaceans that were destined for human consumptions, and b) can be of both marine and freshwater aquaculture origin.	GSSI
Aquaculture facility			●	The physical site where aquatic animals are grown-out to market size. Usually the unit of certification for aquaculture standards.	GSSI
Aquatic animal health professional			●	A person who, for the purposes of the Aquatic Code, is authorised by the Competent Authority to carry out the actions identified in Prudent Use of Antibiotics section of the OIE Aquatic Animal Health Code 2014 (or latest version) including identifying, preventing and treating aquatic animal diseases, as well as the promotion of sound animal husbandry methods, hygiene procedures, vaccination and other alternative strategies to minimise the need for antimicrobial use in aquatic animals. They are authorised to prescribe veterinary medicines should only prescribe, dispense or administer a specific course of treatment with an antimicrobial agent for aquatic animals under their care. (Adapted from the OIE Aquatic Animal Health Code. 2014).	OIE Aquatic Animal Health Code www.oie.int/index.php?id=171&L=0&htmfile=chapitre_antibio_resp_prudent_use.htm
Aquatic animals			●	All life stages (including eggs and gametes) of fish, molluscs, crustaceans and amphibians originating from aquaculture establishments or removed from the wild, for farming purposes, for release into the environment, for human consumption or for ornamental purposes.	OIE Aquatic Animal Health Code www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm
Area management system (AMS)			●	A contractual or legally enforceable agreement for shared activities by aquaculture establishments (and possibly other polluting industries) within a defined area or zone. The AMS boundary must be defined to meet the objectives of the AMS. Alternative terms include zonal management agreement, area management agreements, single bay management.	GSSI
Arrangement	●	●		A cooperative mechanism established by two or more parties be they governmental, private or non-governmental entities.	GSSI
Assessment	●	●		The act of judging or deciding the amount, value, quality, or importance of something, or the judgment or decision that is made.	Cambridge dictionaries online http://dictionary.cambridge.org
Audit	●	●		A systematic and functionally independent examination to determine whether activities and related results comply with a conforming scheme.	FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (Codex Alimentarius, Principles for Food Import and Export Certification and Inspection, CAC/GL 20)
Auditor	●	●		A person qualified to carry out audits for or on behalf of a certification body.	GSSI

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GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Balanced decision-making	●	●		A decision making process which ensures proportionate representation of interested parties in the standard development, revision and approval process.	GSSI
Balanced participation	●	●		The participation by proportionate representation of interested parties in the standard development, revision and approval process.	GSSI
Benchmark committee	●	●		A team of technical experts who have been appointed by GSSI to undertake the benchmarking process of a seafood certification scheme applying for recognition.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Benchmark committee member	●	●		A person who has the required qualifications and experience and has undergone selection for the membership of a Benchmark Committee.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Benchmark process	●	●		A mechanism by which a seafood certification scheme can be objectively assessed, against a series of defined requirements laid down in the GSSI Framework Document, to determine if formal recognition by the GSSI Steering Board can be gained.	GSSI
Better management practice(s) (bmp(s))			●	Management practices aimed at improving the quantity, safety and quality of products taking into consideration animal health and welfare, food safety, environmental and socio-economical sustainability. BMP implementation is generally voluntary. The term “better” is preferred rather than “best” because aquaculture practices are continuously improving (today’s ‘best’ is tomorrow’s ‘norm’).	FAO. (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, Page 4
Biosecurity			●	A set of management and physical measures designed to reduce the risk of introduction, establishment and spread of pathogenic agents to, from and within an aquatic animal population.	OIE Aquatic Animal Health Code (www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)
Broodstock			●	Sexually mature specimens of both sexes kept for the purpose of controlled reproduction (independent of whether a first or subsequent generation is produced) as well as younger specimens destined to be used for the same purpose.	FAO Term Portal
Broodstock facility			●	The physical site where broodstock are held. This could be part of a hatchery or a separate facility only for broodstock.	GSSI
CCRF	●	●	●	FAO Code of Conduct for Responsible Fisheries	FAO(1995)
Central focal point	●	●		A person, location or address that is put in place to ensure standards-related enquiries and for submission of comments are gathered.	GSSI
Certification	●	●		Procedure by which certification body or entity gives written or equivalent assurance that a product, process or service conforms to specified requirements. Certification may be, as appropriate, based on a range of audit activities that may include continuous audit in the production chain.	FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (Modified from ISO Guide 2, 15.1.2; Principles for Food Import and Export Certification and Inspection, CAC/GL 20; Ecolabelling Guidelines)

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GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Certification body	●	●		A provider of certification services, accredited to do so by an accreditation body.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135
Certification decision	●	●		The granting, continuing, expanding the scope of, reducing the scope of, suspending, restoring, withdrawing or refusing of certification by a certification body.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135
(Seafood) Certification Scheme	●	●		An organisation in the seafood sector, which is responsible for the processes, systems, procedures and activities related to standard setting, accreditation and implementation of certification.	Adapted from FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (Adapted from the Report of the First Expert Workshop on Aquaculture Certification held in Bangkok, Thailand. March 2007)
Chain of custody	●	●		The set of measures that verify that a certified product originates from a certified aquaculture production chain, and is not mixed with non-certified products. Chain of custody verification measures should cover the tracking/traceability of the product all along the production, processing, distribution and marketing chain, the tracking of documentation, and the quantity concerned.	FAO. (2005a) Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. Rome, FAO, Page 90
Chemicals			●	In food technology: any substance either natural or synthetic, which can affect live fish, its pathogens, water, equipment used for production or at land within the aquaculture establishment. Includes antifoulant treatments used on nets in marine cage aquaculture.	FAO/WHO Codex Alimentarius Commission (2004) Code of Practice for Fish and Fishery Products. Aquaculture. (ftp://ftp.fao.org/codex/alinorm04/al04_18e.pdf)
Competence	●	●		The demonstrated ability to apply knowledge and skills to achieve intended results.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135
Competent authority			●	Means the Veterinary Authority or other Governmental Authority of a country having the responsibility and competence for ensuring or supervising the implementation of animal health and welfare measures, international veterinary certification and other standards and recommendations in the OIE Aquatic Animal Health Code in the region. Adapted from the OIE.	OIE Aquatic Animal Health Code. (www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)
Complaint	●	●		Expression of dissatisfaction, other than appeal (6.4), by any person or organization to a conformity assessment body (2.5) or accreditation body (2.6), relating to the activities of that body, where a response is expected	ISO/IEC 17000:2004 6.5
Conflict of interest	●	●		Where either a Certification Body or an individual is in a position of trust requiring them to exercise judgement on behalf of others and also have interests or obligations (whether financial or otherwise) of the sort that might interfere with the exercise of that judgment.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135
Conformity assessment	●	●		Demonstration that specified requirements (3.1) relating to a product (3.3), process, system, person or body are fulfilled.	ISO/IEC 17000:2005 2.1

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Conformity assessment program				A defined and documented program by which the Scheme Owner monitors the performance of Accreditation Bodies, Certification Bodies and participating organisations against defined criteria.	GSSI
Consensus	●	●		General agreement, characterised by the absence of sustained opposition to substantial issues by any important concerned party and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Consensus need not imply unanimity. (adapted from ISO)	ISO/IEC Guide 2:2004.
Contingency plan			●	Means a documented work plan designed to ensure that all needed actions, requirements and resources are provided in order to eradicate or bring under control outbreaks of specified diseases of aquatic animals.	OIE Aquatic Animal Health Code (http://www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)
Corrective action	●	●		An action to eliminate the cause of a detected non conformity or other undesirable matters.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Culture practices			●	Concept comprising not only the production facilities but also a description of the husbandry practices applied.	GSSI
Desktop review	●	●		An assessment carried out on documentation away from the location of the organisation being assessed.	GSSI
Detection Limit			●	Detection limit – is the lowest quantity of aquatic animals that can be distinguished from the stock within a stated confidence limit (often the limit of the counting equipment or method used).	GSSI
Endangered			●	Endangered species for Section “C” are expected to be defined in the Standard, with reference to general national listings (e.g., Red Data Books) or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See www.iucnredlist.org and www.cities.org for more information.	GSSI
Environmental impact assessment (EIA)			●	A set of activities designed to identify and predict the impacts of a proposed action on the biogeophysical environment and on man’s health and wellbeing, and to interpret and communicate information about the impacts, including mitigation measures that are likely to eliminate the risks. In many countries, organizations planning new projects are required by law to conduct EIA. Usually it is carried out by three parties, the developer, the public authorities and the planning authorities.	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/) Scialabba, N. (ed.) (1998) Integrated coastal area management and agriculture, forestry and fisheries. FAO Guidelines: 256p. Rome, FAO, Environment and Natural Resources Service. http://www.fao.org/docrep/W8440e/W8440e00.htm
Environmental impacts	●	●		A result of activity which has influence upon or changes the environment.	GSSI

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GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Environmental Quality Standard			●	<p>An Environmental Quality Standard is a value, generally defined by regulation, which specifies the maximum permissible concentration of a potentially hazardous chemical in an environmental sample, generally of air or water. (Sometimes also known as an ambient standard.)</p> <p>Environmental Quality Standards (EQSs) for marine, freshwaters and sediments have been developed and although there are no global values many countries have their own standards which are used to assess pollution levels in the aquatic environment. EQS values vary from country to country and are often incomplete. Metal speciation directly impacts on toxicity but this is often ignored. Despite these omissions they are nevertheless invaluable in the interpretation of monitoring data. EQS are not available for many parts of the world. In the absence of regional standards it is still preferable to compare values obtained against an EQS to assess the extent of pollution and potential for ecological damage.</p>	Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP)
Escapes			●	<p>A term used to describe specimens of cultured species, which escape from the rearing system into the ambient environment. There are potential impacts through interbreeding with wild conspecifics and through disease transfer. Also termed escapee.</p>	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
Evaluation			●	<p>An examination of production facilities or services in order to verify that they conform to requirements.</p>	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Exotic species			●	<p>Species not native to a particular area, which may pose a risk to endemic species.</p>	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
Expert	●	●		<p>A person appointed by GSSI who has demonstrable specific knowledge and expertise with respect to the subject at hand.</p>	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
FAO	●	●	●	<p>Food and Agriculture Organization of the United Nations</p>	FAO
Feed			●	<p>Fodder intended for the aquatic animal in aquaculture establishments, in any form and of any composition. Adapted from FAO, 2010.</p>	FAO (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, page 2
Feed additives			●	<p>Chemicals other than nutrients for fish that are approved for addition to their feed.</p>	Codex Alimentarius Commission Code of Practice for Fishery and Fishery Products, First Edition, 2009. (http://www.codexalimentarius.net/web/publications.jsp?lang=en)
Feed ingredients			●	<p>A component, part or constituent of any combination or mixture making up a feed, including feed additives, whether or not it has a nutritional value in the animal's diet. Ingredients may be of terrestrial or aquatic, plant or animal origin and may be organic or inorganic substances.</p>	OIE Aquatic Animal Health Code (www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)
Field audit	●	●		<p>An audit carried out at the location of a participating organisation.</p>	GSSI

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TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Fish in fish out ratio				<ul style="list-style-type: none"> ● A calculation to determine the ratio of wild harvested marine ingredients used per unit mass of farmed aquatic animal, usually on a wet weight basis. Alternative terms include forage fish dependency ratio, or forage fish equivalency ratio. 	GSSI
Fishery Byproduct				<ul style="list-style-type: none"> ● A byproduct is a useful and marketable product that is not the primary product being produced. A marketable by-product is from a process that can technically not be avoided. This includes materials that may be traditionally defined as waste such as industrial scrap that is subsequently used as a raw material in a different manufacturing process. <p>Fishery byproducts refers to commodities that are manufactured from fish, including shellfish, and crustaceans in a form that is different than conventional foods and which are intended for human consumption (either directly or as a food ingredient). They include but</p> <p><i>(continued on next page)</i></p>	Adapted from IFFO Marine Ingredients Organisation.
Fishery Byproduct <i>(continued from previous page)</i>				<ul style="list-style-type: none"> ● are not limited to: by-products derived from fish, including fish cartilage, fish oils, and fish proteins; and byproducts derived from the carapaces of crustaceans; but do not include marine plants or marine plant products. <p>In addition, a whole fish which is rejected on an intrinsic quality ground e.g. does not meet the specification for Human Consumption due to physical damage or the quality is substandard. These whole fish shall in these cases be classified as a byproduct from the human consumption fishery, and can be used for fishmeal and fish oil production. A whole catch of fish that is rejected by a fish processing factory on economic grounds is not considered to be a fish by-product.</p> <p>Adapted from IFFO Marine Ingredients Organisation.</p>	
Fit for purpose				<ul style="list-style-type: none"> ● (Of an institution, facility, etc.) well equipped or well suited for its a designated role or purpose. 	Oxford English Dictionary
Genetic drift				<ul style="list-style-type: none"> ● Random changes in gene frequency caused by small effective population size, e.g. sampling error (shipment of fish from one station to another; broodstock selection). The ultimate effect of genetic drift is the loss of genetic variance. Genetic drift is inversely related to effective breeding number. 	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
Genetically modified organism (GMO)				<ul style="list-style-type: none"> ● An organism that has been transformed by the insertion of one or amore transgenes. 	ICES (2004) Code of Practice on the Introductions and Transfers of marine Organisms. http://www.ices.dk/reports/general/2004/icescop2004.pdf

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	A	B	C		
Grandfathered In			●	A clause creating an exemption based on circumstances previously existing. A relevant aquaculture example includes historical conversion of mangrove forest into shrimp ponds and where Standards may prohibit aquaculture facilities from certification or require that restoration of losses occur prior to certification if the initial conversion occurred after the Ramsar Convention of 1999 but offering an exemption to facilities where mangrove loss occurred before the Ramsar agreement took place. Also termed a “grandfather clause”.	Merriam-Webster Dictionary.
GSSI	●	●	●	Global Sustainable Seafood Initiative	GSSI
GSSI Essential Component	●	●	●	Criteria grounded in the CCRF and the FAO Guidelines, which a seafood certification scheme needs to meet to be recognised by GSSI.	GSSI
GSSI Supplementary Component	●	●	●	Criteria grounded in the CCRF and related FAO documents, ISO normative standards and ISEAL codes. They show a seafood certification scheme’s diverse approach and help stakeholders understand where differences exist. A seafood certification scheme does not need to meet them for GSSI Recognition.	GSSI
Habitat			●	A specific place with its environmental conditions occupied by and covering the requirements of an organism, a population or a community.	Odum, E.P. (1959) Fundamentals in ecology. 2nd Edition, Philadelphia, Saunders Co: Page 53.
Hatchery			●	A facility used for the artificial and controlled breeding, hatching and rearing of aquatic organisms, on a commercial or experimental basis, through their early life stages. A hatchery is usually closely associated with a nursery facility where the cultured organism is grown to the appropriate size before being released to the wild or an ongrowing structure. Adapted from FAO.	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
Impartiality	●	●		The actual and perceived presence of objectivity.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Inbreeding			●	Mating or crossing of individuals more closely related than average pairs in the population.	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
Inbreeding depression			●	Declines in growth rate, fecundity, etc. and an increase in the percentage of deformed/abnormal fish that occur when inbreeding reaches certain levels.	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
Independence	●	●		A state of being free from outside control and not subject to another’s authority.	GSSI
Independent Expert	●	●		A competent trained person, appointed by GSSI, who is assigned to manage the benchmarking process for a specific scheme application.	GSSI

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	A	B	C		
Internal audit	●	●		Internal audits, sometimes called first-party audits, are conducted by, or on behalf of, the organization itself for management review and other internal purposes, and may form the basis for an organization's self-declaration of conformity. In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited.	ISO 19011:2002 3.1, Note 1
Internal review	●	●		An evaluation, undertaken on a regular basis by representatives of a company's management, to assess the suitability, adequacy and effectiveness of the company's management system and to identify improvement opportunities. The evaluation shall also be used to identify and assess any changes needed to policy, objectives, resource needs and improvement to product or services.	GSSI
Introduction			●	Of a fish species: intentional or accidental transport and release by humans into an environment beyond its present range.	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
Invasive Species			●	An non-native or introduced species (i.e., one that is not native to the region it's been farmed in) that causes negative impact to economic, environmental, socio-political or cultural values due to prolific growth and unmanaged population. Potential negative environmental impacts include habitat conversion/damage, outcompeting native populations for food or habitats, and predation on native species. For additional information see the Invasive Species Specialist Group website (www.issg.org/).	Adapted from FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
ISEAL Alliance	●	●		Global membership association for sustainability standards	ISEAL
Key performance indicators	●	●		A series of criteria which are quantifiable measurements, agreed to beforehand, that reflect the critical success factors of an organization.	Crandall, W.J. (2010) Revenue Administration: Performance Measurement in Tax Administration; IMF
Legal entity	●	●		Any entity recognized by the law, including both juristic and natural persons.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms.
Local applicability	●	●		The process of adaptation by a Scheme Owner of standards or rules for direct application at the national or regional level.	GSSI
Marine feed ingredients			●	Feed ingredients derived from marine aquatic organisms, such as fish, crustaceans, and algae.	GSSI
Monitoring	●	●		A planned sequence of observations or measurements to assess compliance with requirements.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms

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	A	B	C		
Mono-sex			●	The selection or rearing of a single sex of a given species in an aquaculture unit in order to avoid uncontrolled reproduction or to obtain higher yields. Commonly used with salmonids and tilapias in which there is a dichotomy between the growth of the two sexes that is activated after the onset of sexual maturity.	FAO Term Portal – Aquaculture. (www.fao.org/faoterm/en/)
Multi-site certification	●	●		Certification covering multi-site organisations including several sites and where sampling of these sites may be used by a certification body in its conformity assessment work. The scope of certification covers the actual products and processes as defined in the normative documents describing the scheme in question. Every site covered by this certification is mentioned on the main certificate documentation and every site is entitled to get its own sub-certificate.	GSSI
Multi-site organisation	●	●		An organisation having an identified central office, but not necessarily the headquarters of the organisation at which certain activities are planned, controlled and managed and a network of local offices or branches or sites at which such activities are fully or partially carried out.	GSSI
Non-conformity	●	●		A deviation of product or process from specified requirements, or the absence of, or failure to implement and maintain, one or more required management system elements, or a situation which would, on the basis of available objective evidence, raise significant doubt as to the conformity of what the auditee is supplying.	GSSI
Non-Established Species			●	An introduced (non-native) species that do not currently have breeding populations in the wild.	GSSI
Non-Native Species			●	See Introduction	GSSI
Normative documents	●	●		A document to which reference is made in the standard in such a way as to make it indispensable for the application of the standard.	European Committee for Standardization
Nutrient Load			●	The nutrient load refers to the total amount of waste nitrogen or phosphorus released as a result of production of the aquatic animal. Examples include “tons of nitrogen per ton of production”.	GSSI
Office audit	●	●		An audit carried out at the office or designated centres of an applicant.	GSSI
Offsetting			●	Counteract (something) by having an opposing force or effect. A relevant aquaculture example is the restoration of a specific area of mangrove forest to replace those converted during the construction of a shrimp pond, and may apply to restoring the actual area converted on the farm or restoring an area of similar size or ecological value in a different region.	Oxford English Dictionary
OIE			●	World Organization for Animal Health	OIE

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GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Operational			●	In or ready for use.	Oxford English Dictionary
Organisation	●	●		A group of people or other legal entity(ies) that is responsible for ensuring that products and processes meet and, if applicable, continue to meet the requirements on which the certification is based.	GSSI
Pest			●	Animals, generally rodents or insects, that may contaminate feed or chemicals used or stored on the aquaculture facility. This is separate from predators.	GSSI
Pollution			●	The introduction by man, directly or indirectly, of substances, or energy into the aquatic environment, including estuaries, which results or is likely to result in such deleterious effects as harm to living resources and aquatic life, hazards to human health, hindrance to aquatic activities, including fishing and other legitimate uses of the aquatic environment and unacceptable impairment of local water quality. Adapted from the United Nations Convention on the Law of the Sea (1982).	Adapted from the United Nations Convention on the Law of the Sea (1982).
Polyploidy			●	An organism with more than two sets of chromosomes. Sometimes used in aquaculture to create seed with more desirable traits, such as faster growth rates, than the same species with a normal set of chromosomes. In Section C, polyploidy is required to result in sterility due to the abnormal number of chromosomes. Examples include triploid (organisms with three sets of chromosomes).	GSSI
Precautionary approach (Aquaculture)			●	A set of agreed measures and actions, including future courses of action that ensures prudent foresight and reduces or avoids risk to the resource, the environment, and the people, to the extent possible, taking into account existing uncertainties and the potential consequences of being wrong.	GSSI
Prepackaged	●	●		Prepackaged means packaged or made up in advance in a container, ready for offer to the consumer, or for catering purposes.	Labelling of Prepackaged Foods (CODEX STAN 1-1985)
Process	●	●		A set of interrelated or interacting activities which result in an outcome.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137
Production system			●	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.	FAO Term Portal – Aquaculture (www.fao.org/faoterm/en/)
Production unit			●	An individual tank, cage, or pond holding a single batch of aquatic animals.	GSSI

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	A	B	C		
Publicly available	●	●		Obtainable by any person, without unreasonable barriers of access. NOTE – Information that is published on an organisation’s website and can be found through a basic and quick search is considered to be publicly available. ‘Available on request’ is not the same as publicly available.	ISEAL (2014) Impacts Code v2
Quarantine			●	(1) The facility and/or process by which live organisms and of their accompanying organisms can be held or reared in isolation from the surrounding environment. (2) Maintenance of a group of aquatic animals in isolation with no direct or indirect contact with other aquatic animals, in order to undergo observation for a specified length of time and, if appropriate, testing and treatment, including proper treatment of the effluent waters.	(1) ICES Code of Practice on the Introductions and Transfers of marine Organisms 2004. http://www.ices.dk/reports/general/2004/icescop2004.pdf (2) (OIE Aquatic Animal health Code http://www.oie.int/eng/normes/fcode/en_glossaire.htm#sous-chapitre-2)
Re-benchmarking	●	●		The process of benchmarking a scheme that was previously recognised by the GSSI and that is seeking renewed recognition.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137
Recovery rate			●	The percentage of the number of aquatic animals recovered at harvest divided by the number stocked. Intended as an indicator of mortality, incorporate both known and unknown losses.	GSSI
Register of benchmark committee members	●	●		A document containing the names of experts selected by GSSI, who may carry out benchmarking activities on their behalf.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137
Review	●	●		Verification of the suitability, adequacy and effectiveness of selection and determination activities, and the results of these activities, with regard to fulfilment of specified requirements (3.1) by an object of conformity assessment.	ISO/IEC 17000:2004, 5.1
Risk assessment			●	The evaluation of the likelihood of entry, establishment or spread of a pest or disease within the territory of an importing Member according to the sanitary or phytosanitary measures which might be applied, and of the associated potential biological and economic consequences; or the evaluation of the potential for adverse effects on human or animal health arising from the presence of additives, contaminants, toxins or disease-causing organisms in food, beverages or feedstuffs.	WTO (1995) The WTO Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement)
Risk based programme	●	●		A documented programme developed by a competent person(s) based on risk assessment principles.	GSSI

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GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Safety Data Sheet (SDS)			●	<p>Generally expected to conform to the Global Harmonized System (GHS). The (Material) Safety Data Sheet (SDS) provides comprehensive information for use in workplace chemical management. Employers and workers use the SDS as sources of information about hazards and to obtain advice on safety precautions. The SDS is product related and, usually, is not able to provide information that is specific for any given workplace where the product may be used. However, the SDS information enables the employer to develop an active program of worker protection measures, including training, which is specific to the individual workplace and to consider any measures that may be necessary to protect the environment. Information in a SDS also provides a source of information for other target audiences such as those involved with the transport of dangerous goods, emergency responders, poison centers, those involved with the professional use of pesticides and consumers.</p> <p>See www.osha.gov/dsg/hazcom/ghs.html#4.8, particularly section 4.8 for more details.</p>	Occupational Safety & Health Administration. United States Department of Labor,
Saline Water			●	<p>Saline water is defined as >0.7 electrical conductivity (d S/m) and > 500mg/l salt concentration.</p>	The use of saline waters for crop production – FAO irrigation and drainage paper 48 1992.
Salinization			●	<p>For waters: the increase in salinity of fresh surface and groundwater supplies. A result of saltwater intrusion by pumping of seawater boreholes and wells, and the building of inland seawater ponds structures. Can have a serious effect on local agriculture, especially paddy fields.</p>	FAO Term Portal – Aquaculture (www.fao.org/faoterm/en/)
Seafood Certification Scheme	●	●		See Certification Scheme.	
Seed			●	<p>Meaning eggs, spawn, offspring, progeny or brood of the aquatic organism (including aquatic plants) being cultured. At this infantile stage, seed may also be referred to or known as fry, larvae, postlarvae, spat, and fingerlings. They may originate from two principal sources: from captive breeding programmes (e.g., hatcheries) or caught from the wild.</p>	Adapted from FAO Term Portal – Aquaculture (www.fao.org/faoterm/en/)
Scheme Owner	●	●		An organisation, which is responsible for the development, management and maintenance of a certification scheme.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137
Scope	●	●		The extent of the area or subject matter that a scheme applies to or to which it is relevant	GSSI
Senior management	●	●		A person or persons who have the authority and accountability to develop, implement or amend organisational policies and procedures	GSSI

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Sensitive habitat/biodiversity			●	Sensitive is used in terms of habitat and/or biodiversity that are of biological, ecological values which are considered outstandingly significant or critically important, at the local, national, regional or global level. Adapted from the High Conservation Value Network. Relevant examples in aquaculture include, but are not limited to include mangrove and wetland forests, supported by the Ramsar Convention , International Union for Conservation of Nature (IUCN) listed species and Protected Areas, High Conservation Value areas defined by the High Conservation Value Area Network, the Convention on International Trade in Endangered Species of Wild Fauna and Flora.	High Conservation Value Area Network www.hcvnetwork.org
Site	●	●		A permanent location where an organisation carries out work or activity'	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Stakeholder	●	●		An individual or group of individuals, whether at institutional or personal level, who has an interest or claim that has the potential of being impacted by or having an impact on a given activity. This interest or claim can be stated or implied and direct or indirect. Stakeholders and stakeholder groups can be at the household, community, local, regional, national, or international levels.	ISO 26000, Working Draft 3 (Rev), definition 3.17.
Standard	●	●		Document approved by a recognized organization or arrangement, that provides, for common and repeated use, rules, guidelines or characteristics for products or related processes and production methods, with which compliance is not mandatory under international trade rules. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a product, process or production method.	WTO (1995) Technical Barriers to Trade agreement, Annex 1,2
Steering Board Liaison	●	●		An appointed member of GSSI's Steering Board assigned to support and monitor the Benchmark Process on behalf of the Steering Board.	GSSI
Sterile			●	Being infertile	FAO Term Portal – Aquaculture (www.fao.org/faoterm/en/)
Subcontracting	●	●		A firm, company or individual carrying out a process on products on the behalf of the site audited and is under contract to do so.	GSSI
Supplier	●	●		An organisation supplying food, feed or a service.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138
Surveillance	●	●		Follow-up audit(s) to assess compliance with the specific requirements of a scheme's standard and to verify the validity of an issued certificate.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138
Survival rate			●	Number of fish alive after a specified time interval, divided by the initial number. Usually on a yearly basis or for the rearing period.	FAO Term Portal – Aquaculture (www.fao.org/faoterm/en/)

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GSSI GLOSSARY

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Suspension	●	●		The process by which a scheme is temporarily not recognised by GSSI.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138
Tamper-proof (packaging)	●	●		Made so that one is able to see if anything has been changed, opened, removed, or damaged.	Cambridge dictionaries
Third party	●	●		A person or body that is independent of the organization or person that provides the object of conformity assessment.	(ISO/IEC 17000, 2004, Definition 2.4)
Third party certification			●	Procedure by which an accredited external, independent, certification body which is not involved in standards setting or has any other conflict of interest, analyzes the performance of involved parties, and reports on compliance. This is in contrast to first party certification (by which a single company or stakeholder group develops its own standards, analyzes its own performance, and reports on its compliance and second party certification (by which an industry or trade association or NGO develops standards, analyzes the performance of involved parties, and reports on compliance).	Adapted from the Report of the First Expert Workshop on Aquaculture Certification held in Bangkok, Thailand. March 2007
Traceability	●	●		The ability to follow the movement of a product of fisheries or aquaculture or inputs such as feed and seed, through specified stage(s) of production, processing, transport and distribution. (Adapted for GSSI)	FAO (2011) Technical Guidelines for Aquaculture Certification. Paragraph 12.
Transfer			●	The movement of individuals of a species or population of an aquatic organism from one location to another within its present range.	FAO (1998) Codes of practice and manual of procedures for consideration of introductions and transfers of marine and freshwater organisms
Transition period for compliance	●	●		A defined period of time by which an organisation shall comply to a series of requirements or standard.	GSSI
Trash fish			●	Small fish species, damaged catch and juvenile fish are sometimes referred to as 'trash fish' because of its low market value. Usually part of a (shrimp) trawler's bycatch. Often it is discarded at sea although an increasing proportion is used as human food or as feed in aquaculture and livestock feed.	FAO Term Portal – Aquaculture (www.fao.org/faoterm/en/)
Unit of certification (Aquaculture)			●	The scale or extent of the aquaculture operation(s) assessed and monitored for compliance. The unit of certification could consist of a single farm, production unit or other aquaculture facility. The certification unit could also consist of a group or cluster of farms that should be assessed and monitored collectively.	FAO Technical Guidelines for Aquaculture Certification (2011)
Unscheduled audit	●	●		Audits planned within a defined programme, but without the allocation of a specified programme date.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms

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Validation	●	●		An activity to obtain evidence that a requirement is controlled effectively.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Verification	●	●		A confirmation, through the review of objective evidence that requirements have been fulfilled.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
Veterinarian			●	See Aquatic Animal Health Professional	
Veterinary drugs			●	Definitions of veterinary drugs vary from source-to-source. In this document veterinary drugs as considered to include antimicrobials, antibacterials, therapeutants, antibiotics, and veterinary medicinal products, if misused, can result in food safety implications, including residues, as well environmental implications, such as the spread of resistance to treatments in pathogenic organisms.	GSSI
Water quality criteria			●	Specific levels of water quality desired for identified uses, including drinking, recreation, farming, aquaculture production, propagation of other aquatic life, and agricultural and industrial processes.	FAO Term Portal – Aquaculture (www.fao.org/faoterm/en/)
Wet-fish			●	Unprocessed, uncooked whole or chopped fish. Sometimes referred to as trash fish.	GSSI
Whole fish			●	These are marine feed ingredients (e.g., algae, crustaceans, and fish) harvested specifically for rendering into fishmeal and fish oil (as opposed to those primarily destined for human consumption. The term does not include aquaculture or fishery byproducts.	GSSI
Work program	●	●		A defined series of activities to be carried out within a defined time period.	GSSI

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REFERENCE DOCUMENTS





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